

**U.S. Department of Education
Office of Postsecondary Education/Federal TRIO Programs
Reporting Student Case Numbers
In the Veterans Upward Bound Annual Performance Report
Guidance Document**

Case Numbers: What and Why

Student Case Numbers are unique identifiers for every individual record in the Student Record File that a grantee submits in Section II of the 2018-19 Veterans Upward Bound Annual Performance Report (APR). These Case Numbers will allow TRIO to link records for the same individual participant over multiple reporting years, so that the U.S. Department of Education (Department) can track academic outcomes for the students whom grantees have served. In the past, Social Security Numbers (SSNs), when grantees have reported them, have contributed to this purpose. However, for security and privacy reasons, the Department will no longer collect SSNs as part of the VUB APR. Instead of SSNs, the Department will require grantees to report valid Case Numbers in Field #4 of the Student Record File. The label for Field #4 will be changed to “CaseNumber”. Grantees may find information on Case Numbers not only in this document, but also on pages 3-5 of the *Veterans Upward Bound General Instructions for Completing the Annual Performance Report for Program Year 2018-19*.

What is Required of Grantees?

- (1) Grantees are required to report valid Case Numbers for all student records that appear on the 2017-18 APR Download File that projects can access when they begin Section II on the on-line APR data collection system.
- (2) Every record with a Case Number that is submitted in 2018-19 must match a record in the 2017-18 Download File with precisely identical information reported in Field #4 (Case Number), Field #5 (Student’s Last Name), Field #6 (Student’s First Name), and Field #8 (Student’s Date of Birth). Additionally:
 - a. If a record on the 2017-18 Download File reports a year in the Postsecondary Education Enrollment Cohort in Field #38, then the 2018-19 record for the person with the same Case Number in the 2018-19 submission file must have precisely the same cohort year reported.
 - b. If a record on the 2017-18 Download File reports the value ‘8888’ in Field #38 (Postsecondary Education Enrollment Cohort), then the 2018-19 record for the person with the same Case Number in the 2018-19 submission file must report the value ‘8888’, ‘9999’, ‘2018’, or ‘2019’ for this field. (Please consult the table “Calculating Postsecondary Education Enrollment Cohorts” at the end of the General Instructions.)
 - c. If a record on the 2017-18 Download File reports the value ‘9999’ in Field #38 (Postsecondary Education Enrollment Cohort), then the 2018-19 record for the person with the same Case Number in the 2018-19 submission file must retain the value ‘9999’ for this field.

- (3) For all participant records reported in the 2018-19 APR for individuals who did not appear on the 2017-18 APR, grantees are required to leave Field #4 blank. The only anticipated participants of this kind are those new to the project in 2018-19.

Grantees will not be able to submit their 2018-19 APRs unless they meet all three of these requirements.

What are “Valid” Case Numbers?

A Case Number is valid only if it matches exactly to the Case Number that the Department already has on-record for the participant.

How will grantees get access to the Case Numbers that the Department has on-record?

When grantees begin Section II of the 2018-19 APR on the VUB APR on-line data collection system, they will have their first opportunity to obtain valid Case Numbers for the participants that they will report. Until a grantee begins Section II, the Student Record File that the grantee has prepared to upload (“The Upload File”) should be blank for Field #4 for all records.

The “Record Structure for Individual Participants--Getting Started” page for Section II on the on-line data collection system provides an option to “Download Excel File With Last Year’s APR Data.” This “Download File” includes valid Case Numbers for all continuing, reentry, and prior year participants who meet the following two criteria:

1. The grantee reported the participant in the 2017-18 APR, and
2. Retaining the individual’s record in the 2018-19 student record file serves an administrative purpose for the Department of Education.

Which student records are dropped from the 2017-18 match file, because they are no longer useful to ED?

Grantees report records of current and prior year participants because they are useful to ED in fulfilling administrative purposes, such as awarding grantee prior experience (PE) points, or contributing to general performance metrics. Individuals whose information in the student record file no longer contribute to these purposes will be dropped from the match file. Such individuals who have been dropped from the 2017-18 match file include:

1. Participants who are members of a postsecondary education enrollment cohort earlier than 2013. (Note: These cohorts, where applicable, have already been used in calculating the Postsecondary Education Completion Rate for PE points and/or standard objectives in prior APR reporting years.)
2. Individuals with a “not applicable” value (“8888” or “9999”) for PSECohort (Field #38) and whose record contains information to indicate that continued tracking is no longer necessary. (Page 3 of the *General Instructions* displays the technical rules that determine which individuals are dropped for this reason.)

Can grantees report student records for those who have been dropped from the match file and were not served in 2018-19?

No. If a grantee attempts to report a prior-year participant who was not served in academic year 2018-19 and has been dropped from the 2017-18 match file, the on-line data collection system will not accept the entire APR submission. The grantee is required to remove all such records before the system will accept the APR submission.

Review:

The introduction of student Case Numbers has created a new set of reporting requirements for the 2018-19 APR. The specific reporting requirement for each record depends on whether-or-not the individual in question appears in the 2017-18 download file. 'New' participants should be reported with blank information in Field #4 (CaseNumber). 'Continuing' and 'Prior-year' participants with records in the 2017-18 download file should be reported in 2018-19 with Case Numbers that exactly match the Case Numbers that appear in the 2017-18 download file. If a grantee has prepared to record an individual as a 'Continuing' or 'Prior-year' participant, but the individual does not appear on the 2017-18 match file, then the grantee must omit that individual's record from the 2018-19 APR.

Note: For each participant in a grantee's APR file who is coded 'New' in the Participant Status Code field (#26), the system will provide a Case Number in the final download file made available to the grantee after submission of the APR.