# National Assessment of Educational Progress (NAEP) 2018 and 2019

# Appendix H

# Instructions for Entering Student Information

*OMB# 1850-0928 v.5*
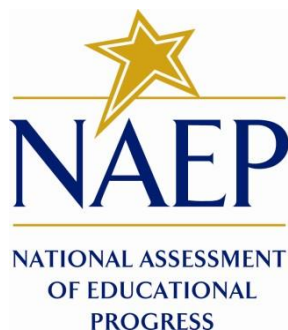
# Information on Log-in Screen:

**Paperwork Burden Statement, OMB Information**
*According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this voluntary information collection is 1850-0928. The time required to complete this information collection is estimated to be average [xx] minutes, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving this collection, or any comments or concerns regarding the status of your individual submission of form, please write to: National Assessment of Educational Progress (NAEP), National Center for Education Statistics (NCES), Potomac Center Plaza, 550 12th St., SW, 4th floor, Washington, DC 20202.*

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*National Center for Education Statistics (NCES) is authorized to conduct NAEP by the National Assessment of Educational Progress Authorization Act (20 U.S.C. §9622) and to collect students' education records from education agencies or institutions for the purposes of evaluating federally supported education programs under the Family 9 Educational Rights and Privacy Act (FERPA, 34 CFR §§ 99.31(a)(3)(iii) and 99.35). The information provided will be used for statistical purposes only. In accordance with the Confidential Information Protection provisions of Title V, Subtitle A, Public Law 107-347 and other applicable Federal laws, responses will be kept confidential and will not be disclosed in identifiable form to anyone other than employees or agents. By law, every NCES employee as well as every NCES agent, such as contractors and NAEP coordinators, has taken an oath and is subject to a jail term of up to 5 years, a fine of $250,000, or both if he or she willfully discloses ANY identifiable information about students. Electronic submission of student information will be monitored for viruses, malware, and other threats by Federal employees and contractors in accordance with the Cybersecurity Enhancement Act of 2015. The collected information will be combined across respondents to produce statistical reports.*

**NAEP 2017**

**INSTRUCTIONS FOR PREPARING**

**AN ELECTRONIC FILE OF STUDENTS**

**(Six Columns Race/Ethnicity)**

NAEP needs a complete list of students in the selected grade(s) at your school in order to draw a random sample of students to participate in the assessment. Your student data electronic file (E-File) must be submitted as a Microsoft Excel file.

**We recommend that you create your student file using the NAEP E-File Excel Template,** which is available on the MyNAEP website's "Submit Student List" page. If necessary, you may alternatively provide an Excel file with the same column headers and data in a different order. If you cannot submit your student data in an Excel file, call the NAEP Help Desk at **1-800-283-6237**.

## Step 1 — The E-Filing Template

Download and review the E-Filing Template. Note the column headers (fields) that must be included in your student list. If you do not have data for a particular field, you may leave the column blank.

| Unique Student ID | Student First Name | Student Middle Name | Student Last Name | Grade | Homeroom or Other Locator | Month of Birth | Year of Birth | Sex | Student with a Disability | English Language Learner | Ethnicity (Hispanic or Non-Hispanic) | White | Black or African American | Asian | American Indian or AK Native | Native Hawaiian or Pac Islander | School Lunch | On-Break Indicator | Student ZIP code |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|

## Step 2 — Compile Data for the Template

For each grade in your school selected to participate in the NAEP assessment prepare and submit a separate Excel file of **all students enrolled in the sampled grade** during the 2016-2017 school year using the most current enrollment data available.

- Include in the file data for **all students in the grade**, even those students who typically may be excluded from other testing programs, such as students with IEPs (SD) and English language learners (ELL). Make sure there are no duplicate students in your file.

- Also include students in the sampled grade who were displaced from other locations due to hurricanes and other disasters.

- If this is a year-round school,[1] include students who will be on break/on vacation on the scheduled assessment day along with all of the other students enrolled in the sampled grade. The NAEP E-File Excel Template contains an "On Break" column you will use to identify those students who will be on break/on vacation by filling in "Yes." (If you are not using the template, be sure to create and provide data for an "On Break" column in your file.)

Your Excel file must contain the following data:

| Excel Header/Field Name | NAEP Values | Comments |
|---|---|---|
| State unique Student ID | N/A | If available; do not use the student's Social Security number |
| Student First Name | N/A | Text, must be in its own column |
| Student Middle Name | | Text--Middle Name is optional, but the column must be included in the Excel file |
| Student Last Name | N/A | Text, must be in its own column |
| Grade in School | 4, 8 | Use current year data; don't use previous year's grade 3 enrollment for grade 4 |
| Homeroom or other Locator | N/A | If available, locator information is helpful in finding students and notifying them of the assessment |
| Month of Birth | M or MM (numeric format) | Numeric format; must be in its own column |

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[1] In year-round schools, students attend classes throughout the 12 calendar months unlike traditional schools that follow the 9-month calendar. However, at any one time during the year a percentage (e.g., 25 percent) of the students will be on break or on vacation.

| Year of Birth | YYYY (numeric format)<br><br>The expected ranges for Year of Birth are listed below:<br><br>Grade 4 – 2004-2008<br><br>Grade 8 – 2000 -2004 | Numeric format; must be in its own column |
|---|---|---|
| **Sex** | School-defined codes | Codes (numeric or text) for Male/Female |
| **Ethnicity (Hispanic or not)** | School-defined codes for:<br>• *Yes, Hispanic*: A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish (but not Portuguese) culture of origin, regardless of race<br>• *No, Not Hispanic*<br>• *Information unavailable at this time:* If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date. | Indicate all Race/Ethnicity categories that apply for each student, text or numeric. |
| **Race: White** | • *Yes, White*: A person having origins in any of the original peoples of Europe, North Africa, or the Middle East<br>• *No, not White*<br>• *Information unavailable at this time:* If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date. | Indicate all Race/Ethnicity categories that apply for each student, text or numeric. |
| **Race: Black or African American** | • *Yes, Black:* A person having origins in any of the Black peoples of Africa<br>• *No, not Black*<br>• *Information unavailable at this time:* If you currently do not have this information for one or more students, blank cells or an indicator such as | Indicate all Race/Ethnicity categories that apply for each student, text or numeric. |

| | | |
|---|---|---|
| | "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date. | |
| **Race: Asian** | ▪ ***Yes, Asian**: A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, including, for example, Cambodia, China, Japan, India, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam*<br><br>▪ ***No, not Asian***<br><br>▪ ***Information unavailable at this time:** If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date.* | Indicate all Race/Ethnicity categories that apply for each student, text or numeric. |
| **Race: American Indian or Alaska Native** | ▪ ***Yes, American Indian or Alaska Native**: A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment*<br><br>▪ ***No, not American Indian or Alaska Native***<br><br>▪ ***Information unavailable at this time:** If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date.* | Indicate all Race/Ethnicity categories that apply for each student, text or numeric. |
| **Race: Native Hawaiian or Pacific Islander** | ▪ ***Yes, Native Hawaiian or Pacific Islander** : A person having origins in any of the original people of Hawaii, Guam, Samoa or other Pacific Islands*<br><br>▪ ***No, not American Indian or Alaska Native***<br><br>▪ ***Information unavailable at this time:** If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date.* | Indicate all Race/Ethnicity categories that apply for each student, text or numeric. |
| **National School Lunch Program (NSLP)** | School defined codes for: | Use **ONE** code per student, text or numeric |

- **Student not eligible to participate:** Student is not eligible for free or reduced-price lunch.

- **Free lunch:** Student is eligible for free lunch. Schools participating in Provisions 2 or 3 of the NSLP should code all students as "free lunch." [2]

- **Reduced price lunch:** Student is eligible for reduced-price lunch.

- **School not participating:** School does not participate in the NSLP. When used, this code must be applied to all students.

- **Information unavailable at this time:** If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date.

***SPECIAL INSTRUCTIONS FOR CEP SCHOOLS: If your school participates in the Community Eligibility Provision (CEP), note that for NAEP, only students who are economically disadvantaged students can be classified as eligible for free or reduced-price lunch.***

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CEP Direct Only

In CEP schools in our state economically disadvantaged students are those who are directly certified through participation in assistance programs such as the Supplemental Nutrition Assistance Program (SNAP) and the Temporary Assistance for Needy Families (TANF).

Please code your students as follows

| Is the student economically disadvantaged? | How should student be coded on NAEP? |
|---|---|
| 1. Yes | 1. Eligible for free or reduced prince lunch |
| 2. No | 2. Student not eligible |
| 3. Information missing | 3. Information unavailable |

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CEP Direct Certification Plus

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[2] If it is not possible to distinguish between "free" and "reduced-price" for some students, code these students as eligible for free lunch

In CEP schools in our state/district economically disadvantaged students are identified in two ways: a) directly certified through participation in assistance programs such as the Supplemental Nutrition Assistance Program (SNAP) and the Temporary Assistance for Needy Families (TANF); b) through a household income survey.

Please code your students as follows:

| Is the student economically disadvantaged? | How should student be coded on NAEP? |
|---|---|
| 1. Yes | 1. Eligible for free lunch |
| 4. No | 2. Student not eligible |
| 5. Information missing | 3. Information unavailable |

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CEP All

In our state all students in CEP schools are considered economically disadvantaged.

Please code your students as follows:

| Is the student economically disadvantaged? | How should student be coded on NAEP? |
|---|---|
| 1. Yes | 1. Eligible for free lunch |

| | | |
|---|---|---|
| **Students with Disabilities (SD)** | School-defined codes for:<br><br>■ ***Yes, IEP:*** Student has a formal Individualized Education Plan (IEP), the student's IEP is in progress, or the student has an equivalent classification for private schools. If some students have both an IEP and a 504 Plan, code these students as "Yes, IEP."<br><br>■ ***No, not SD:*** If students have a 504 Plan without an IEP, code these students as "No, not SD."<br><br>■ ***Information unavailable at this time:*** If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date. | Use **ONE** code per student, text or numeric |
| **English Language Learner (ELL)** | School-defined codes for:<br><br>■ ***Yes, ELL*** | Use **ONE** code per student, text or numeric |

| | | |
|---|---|---|
| | ▪ *No, Not ELL* | |
| | ▪ *No, Formerly ELL (and monitored for AYP reporting)*: If a student has achieved full English proficiency within the previous 2 years <u>and</u> the state includes formerly ELL students in its AYP reports, the student should be coded as "No, formerly ELL." Public schools, contact your NAEP State Coordinator if you have any questions about using this code. | |
| | ▪ *Information unavailable at this time:* If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date. | |
| **On-Break Indicator** | School-defined code | Only for year-round schools; column can be left off if school is not year-round |
| **Student ZIP Code** | Numeric only | If available |

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**Tips for ensuring the E-File process goes smoothly:**

- The NAEP 2017 E-File template should be used if possible. **Please use it as is.** Do not change the column headers. Student information must begin on the second row. There should be no empty rows between the headings and the student data or within the student data, and no headings within the data.

- If you are not able to use the NAEP 2017 E-File Excel Template (for example, because of the way your data system works), the columns in your Excel E-File should have the same, or similar, names but do not have to be in any particular order. You will be able to identify the contents of each column after you have submitted your file. (For example, you will be able to indicate that your column labeled "Gender" is what provides the NAEP "Sex" information, and your value of "1" is "Male" and a "2" is "Female," or whatever the correct interpretation.)

- Be sure to give your file a unique, descriptive name. Select "File," then "Save As," and give it a name such as "Your School Name Grade 8.xls." Should you need to reference your file again, this will help you locate it after E-Filing.

- The first row of data in your file will be read as the column header unless you indicate otherwise on the E-Filing "Welcome" page. Each succeeding row will be considered a student record.

- If you merge or cut and paste data from another Excel file into the template, review the file afterward to be sure there are properly aligned student data in every row and there are no column headers or blank rows in the middle of the data.

- Be sure that your file contains only a heading row and student data, not notes or text in additional columns, or they will be read as data resulting in a warning or error message.

- There should be only one worksheet with data in the Excel file. If there are other worksheets, they must not contain any data.

## Step 3 – E-File

Once your file is prepared and checked for accuracy and completeness, login to the MyNAEP website and select "Submit Student List" from the left-hand menu.

- Select the "Start E-Filing Grade X" button
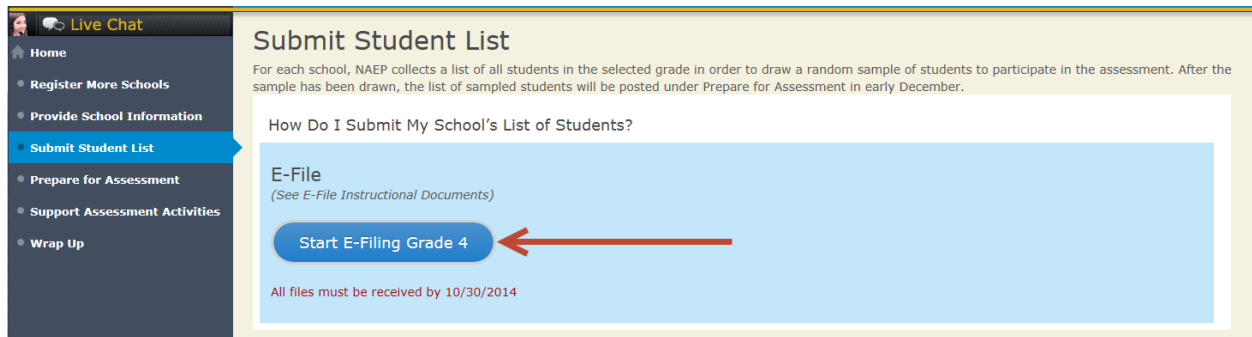


- You will see a checklist come up on the screen; please review it carefully to be sure your file is set up correctly and is ready to be submitted. Then select "Continue."

## Submit Student List

### Are You Ready to E-File?

Complete the following steps before starting the E-File process:

- Read the **NAEP 2017 Instructions for Preparing an Electronic File of Students**, provided on the MyNAEP "Submit Student List" page;
- Create a student data file in Excel format using the **NAEP 2017 E-File Excel Template**, provided on the MyNAEP "Submit Student List" page, or acquire a student data file in Excel format in which the first row contains the appropriate variable names, including the correct number of race/ethnicity columns;
- Ensure that your student data file contains one column for each of the variables detailed in the **NAEP 2017 Instructions for Preparing an Electronic File of Students**.
    - State Unique Student ID (do not use the student's Social Security number)
    - Student first name
    - Student last name
    - Grade in school (PK-12)
    - Homeroom or other locator information
    - Month of birth (in M or MM number format, not spelled out as in "July") .
    - Year of birth (in YYYY format).
    - Sex*
    - SD indicator - to identify Students with a Disability, defined as a student with an Individualized Education Plan (IEP) for reasons other than being gifted and talented*
    - ELL indicator - to identify English language learners, as defined by your school*
    - Race/Ethnicity - use **SIX** codes (columns) per student, as follows:*
        - Ethnicity (Hispanic or not)
        - White
        - Black or African American
        - Asian
        - American Indian or Alaska Native
        - Native Hawaiian or Pacific Islander
    - National School Lunch Program eligibility indicator*
    - On-break indicator*
        - If you are submitting an E-File for a *year-round school*: this indicator identifies students who will be on-break/on vacation on your school's assessment date. (Please see your MyNAEP home page for assessment date).
        - If you are submitting an E-File for a *non year-round school*: do not provide values for this variable
    - Student Zip Code - include the student zip code, if available*

\* If the data for this variable are not available at the time of e-Filing, you must still include the empty column in the template.

[ Print ]  [ Continue ]  [ Exit ]

- Enter the required fields and then browse for the name of your file and select "Upload."

Submit Student List
E-File Step 1: Upload Your File

Exit

Welcome, **State.**

The Four Basic Steps to E-Filing:
1. **Upload** – Submit your list to the E-Filing automated system.
2. **Identify Columns** - Matching the column headings in your list to those in a standard list provided by the system.
3. **Identify Format/Codes** - Matching the codes used in your list for student characteristics such as "sex" and "race" to codes used in NAEP.
4. **Verify** that this matching of codes has been done accurately by reviewing a summary of the data you have matched.

Before uploading a copy of your Excel student data file, please provide us with the following information:    Why we need this.
- Date list is accurate as of: [              ] (mm/dd/yyyy) **Date the list was created; not necessarily today's date**
- Does your student data file contain column headers: [Yes ▾] **Row 1 of your Excel file contains column names**

To upload your student data file, you will need to locate the file on your computer.
1. Click on the **"Browse..."** button below. It will open a window in the browser on your computer that will allow you to navigate to where the student list file is located on your computer. Note: You may need to change the "Files of type" to "All files (*.*)".
2. Double click on the file (or select it and then click on the Open button). The name of the file (and the path) will appear in the File Name box below.
3. Click on the **Upload** button and proceed.

**Select the file name from your computer**    File Name: [                              ] Browse...

Upload

Uploading of your data file could take a few minutes. Please be patient. If you lose your Internet connection after uploading your file, you can log back on to the MyNAEP site and return to E-Filing. You will be sent directly to the last screen you were working on, allowing you to complete the E-Filing procedure.

## Step 4 – Map Your Columns and Rows to NAEP Values

The field names used by your database system may not have the same names as the NAEP values. You will need to match the names of your columns to the names of the NAEP columns and then match row values to NAEP values.

**"Columns Contains".**

Click here to see a worksheet view of your student data. If you find you have errors in your data, you will need to exit this program, correct the problem in your Excel file, and upload the file again.

| Column Heading Is | Your Column Contains  Clear |
|---|---|
| STUDENT ID | State Unique Student ID |
| GRADE | Grade |
| FIRSTNAME | Student Name: First |
| MIDDLENAME | Student Name: Middle |
| LASTNAME | Student Name: Last |
| HOMEROOM | Homeroom or Other Locator |
| MOB | |
| YOB | |
| SEX | |
| SD | |
| ELL | |
| ETHNICITY HISP | |
| WHITE | |
| BLACK | |
| ASIAN | |
| AI/AN | |
| PI | |
| SCHOOLLUNCH | |

**Enter the column name in your file that matches each NAEP field name**

Drop-down list:
Your Column Contains...
State Unique Student ID
Student Name: First
Student Name: Middle
Student Name: Last
Grade
Homeroom or Other Locator
Birth Date: Month of Birth
Birth Date: Year of Birth
Sex
Student with a Disability
English Language Learner
Hispanic, of any race
White
Black or African American
Asian
Native Hawaiian or Pacific Islander
American Indian or Alaska Native
School Lunch
Zip Code
N/A

When you have identified all of the columns on your list, click the "Next" button to proceed and match your values to NAEP Codes. The following screens will be determined by the order of the columns in your Excel file.

Exit    Back    Next

Shown below are two examples of row mapping. You need to match the values in each of your columns to the NAEP codes (in drop-down). Once you map a value, select "Next" to move to the next value.

## Submit Student List
## E-File Step 3-1: Match Your Values to NAEP codes

[ Exit ]  [ Back ]  [ Next ]

For each of your values below, click on the down arrow next to "Select Code" and click on the NAEP code that best matches your value.

To view the student records that have the selected value in the "Grade" column, click on the view icon 📄 below. To view the worksheet containing all of your student data, click here.

**If there is an error in your data file, exit E-File, correct the problem in your Excel file, and upload the file again.**

**Grade**
**Your File Contains 1 Value(s)**

| | | | | Grade 4 | |
|---|---|---|---|---|---|
| # | View | Your Values | NAEP Codes | Number | Percentage |
| 1. | 📄 | 4 | Select Code... / Grade 4 | 101 | 100% |

When you have identified all of the codes on your list, click the "Next" button to proceed.

[ Exit ]  [ Back ]  [ Next ]

| File Name | Uploaded |
|---|---|
| 5110073.xls | 7/8/2014 3:31:03 PM |

Your student data file must be in Excel format according to the **NAEP 2015 Instructions for Preparing an Electronic File of Students**. If you need to create an Excel file, use the **NAEP 2015 Excel Student List Template**. Both documents may be found on the MyNAEP "Submit Student List" page. You may also contact the NAEP Help Desk at 1-800-283-6237 or naephelp@westat.com Monday through Friday between 8 a.m. and 8 p.m. ET.

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## Submit Student List
## E-File Step 3-1: Match Your Values to NAEP codes

[ Exit ]  [ Back ]  [ Next ]

For each of your values below, click on the down arrow next to "Select Code" and click on the NAEP code that best matches your value.

To view the student records that have the selected value in the "Sex" column, click on the view icon 📄 below. To view the worksheet containing all of your student data, click here.

**If there is an error in your data file, exit E-File, correct the problem in your Excel file, and upload the file again.**

**Sex**

It is very important that all data be correct. We have provided a way to double check the data. Below are the expected percentages based on information from the Common Core of Data (CCD). The CCD is a program of the U.S. Department of Education's National Center for Education Statistics. It is a comprehensive, annual, national statistical database of information concerning all public elementary and secondary schools. Please confirm your codes and percentages and continue if all are correct.

| Grade 4 expected CCD Percentages: Source 2012-2013 School Year | |
|---|---|
| Male | Female |
| 51.92% | 48.08% |

**Your File Contains 2 Value(s)**

| | | | | Grade 4 | |
|---|---|---|---|---|---|
| # | View | Your Values | NAEP Codes | Number | Percentage |
| 1. | 📄 | 1 | Select Code... / N/A / Male / Female | 53 | 52.5% |
| 2. | 📄 | 2 | | 48 | 47.5% |

When you have identified all of the codes on your list, click the "Next" button to proceed.

[ Exit ]  [ Back ]  [ Next ]

| File Name | Uploaded |
|---|---|
| 5110073.xls | 7/8/2014 3:31:03 PM |

When you finish row mapping, the E-Filing process will continue and you will be prompted to verify your

data.

**If you need assistance, call the NAEP Help Desk at 1-800-283-6237.**