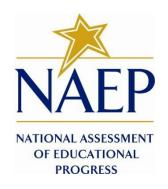
NATIONAL CENTER FOR EDUCATION STATISTICS NATIONAL ASSESSMENT OF EDUCATIONAL PROGRESS

National Assessment of Educational Progress (NAEP) 2021

Appendix H Instructions for Entering Student Information

OMB# 1850-0928 v.20



June 2020

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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 120 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.

OMB No. 1850-0928 APPROVAL EXPIRES 4/30/2023

Authorization and Confidentiality Assurance

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 Educational Rights and Privacy Act (FERPA, 34 CFR §§ 99.31(a)(3)(iii) and 99.35). All of the information provided by participants may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose except as required by law (20 U.S.C. §9573 and 6 U.S.C. §151). 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.

When you have finished or if you need to stop before finishing, please LOG OUT of the survey system by clicking "Save and exit" and CLOSE ALL browser windows or screens to keep your responses secure. For example, if you used Chrome or Safari to open the survey, make sure no Chrome or Safari windows or screens are open after you end the survey. Not closing all browsers may allow someone else to see your responses.

NAEP 2021 Instructions for Preparing and Submitting an Electronic File of Students (One Column 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 that column blank.



Step 2 - Compile Data for the Template

Using the most current enrollment data available, prepare a separate Excel file of **all students enrolled during the 2020–2021 school year for each grade** selected to participate in the NAEP assessment.

- 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.)

¹In 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%) of the students will be on break or on vacation.

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	N/A	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
Year of Birth	YYYY (numeric format) The expected ranges for Year of Birth are listed: Grade 4—2008-2012 Grade 8—2004-2008	Numeric format; must be in its own column
Sex	School-defined codes	Codes (numeric or text) for Male/Female
Race/Ethnicity - one column	 School-defined codes for: Hispanic, of any race: A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish (but not Portuguese) culture of origin, regardless of race White, not Hispanic: A person having origins in any of the original peoples of Europe (except Spain), North Africa, or the Middle East Black or African American, not Hispanic: A person having origins in any of the Black peoples of Africa Asian, not Hispanic: 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 	Use ONE code per student, text or numeric

Excel Header/		_
Field Name	NAEP Values	Comments
	 Islands, Thailand, and Vietnam American Indian or Alaska Native, not Hispanic: 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 Native Hawaiian or Pacific Islander, not Hispanic: A person having origins in any of the original people of Hawaii, Guam, Samoa, or other Pacific Islands Two or More Races, not Hispanic: A person who identifies with two or more of the non-Hispanic categories above School does not collect this information: Available to nonpublic schools only. 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. 	
National School Lunch Program (NSLP)	School defined codes for: 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." 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. 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 How should student be coded on NAEP? 1. Eligible for free	Use ONE code per student, text or numeric

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

Excel Header/		Commonto	
Field Name		or reduced-price	Comments
		lunch	
	2. No	2. Student not	
		eligible	
	3. Information	3. Information	
	missing	unavailable	
	In CEP schools in our students are identified through participation Supplemental Nutritio Temporary Assistance household income sur		
	Please code your stud		
	Is the student	How should	
	economically	student be coded	
	disadvantaged? 1. Yes	on NAEP? 1. Eligible for free	
	1. 165	or reduced-price	
		lunch	
	2. No	2. Student not	
	3. Information	eligible 3. Information	
	missing	unavailable	
		CEP All	
	In our state, all studer economically disadvar	nts in CEP schools are considered ntaged.	
	Please code your stud		
	Is the student	How should	
	economically disadvantaged?	student be coded on NAEP?	
	1. Yes	1. Eligible for free	
	1. 163	lunch	
Students with	School defined codes	for:	Use ONE code
Disabilities (SD)	Plan (IEP), the stud has an equivalent of students have both students as "Yes, II" No, not SD: Stude a 504 Plan without SD." Information unaw do not have this into blank cells or an interest the students of the cell (s) can be not have the students or an interest of the students of t	has a formal Individualized Education ent's IEP is in progress, or the student classification for private schools. If some in an IEP and a 504 Plan, code these EP." ent does not have an IEP. If students have an IEP, code these students as "No, not allable at this time: If you currently formation for one or more students, dicator such as "N/A" (Not Available) in napped to this code to notify your NAEP the need to collect the data at a later	
English	School-defined codes	Use ONE code	
Language	• Yes, ELL		per student, text
Learner (ELL)	• No, Not ELL		or numeric
	proficiency, is mon	.: A student who has achieved full Englis itored, and is included in ELL subgroup eporting for 2 years (or 4 years	n

Excel Header/ Field Name	NAEP Values	Comments
	 depending on state policy) after exiting. 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; format can be 5 digits or 5 plus 4

Tips for ensuring the E-File process goes smoothly:

- The NAEP 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 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, log into the MyNAEP website and select "Submit Student List" from the left-hand menu.

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



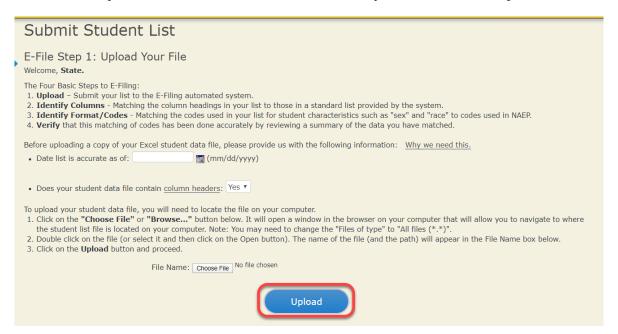
• You will see a checklist on the screen; review it carefully to be sure your file is set up correctly and is ready to be submitted. Then select "Continue."

Submit Student List Are You Ready to E-File? Complete the following steps before starting the E-File process: • Read the NAEP 2021 Instructions for Preparing an Electronic File of Students, provided on the MyNAEP "Submit Student List" . Create a student data file in Excel format using the NAEP 2021 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 2021 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). - 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 ONE column per student · National School Lunch Program eligibility 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

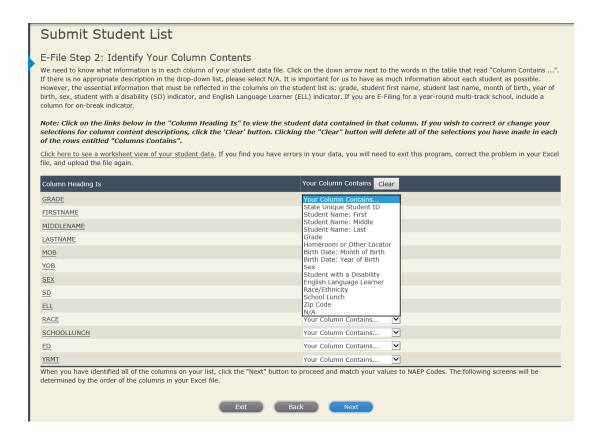
• Enter the required fields and then browse for the name of your file and select "Upload."

Continue

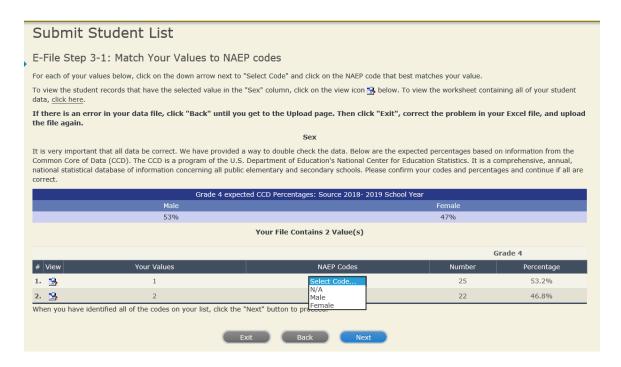
* If the data for this variable are not available at the time of e-Filing, you must still include the empty column in the template.



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.

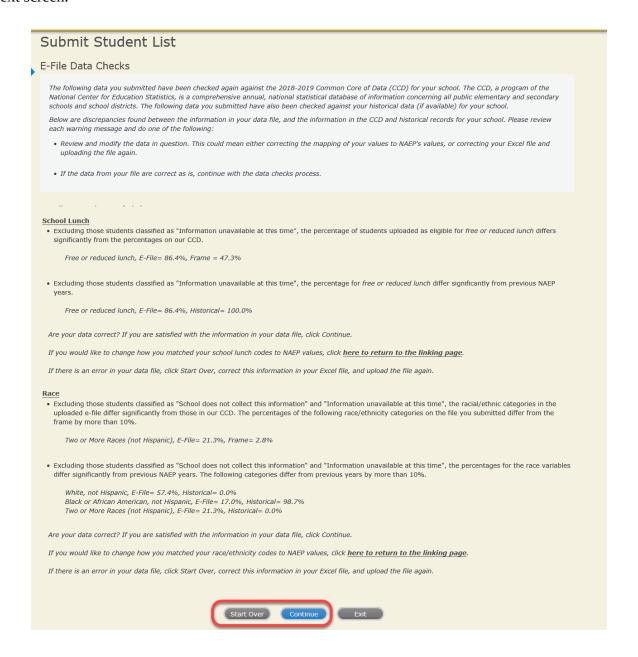


Shown below is an example of row mapping. You need to match the values in each of your columns to the NAEP codes (in drop-down). Once you map a value, select "Next" to move to the next value.



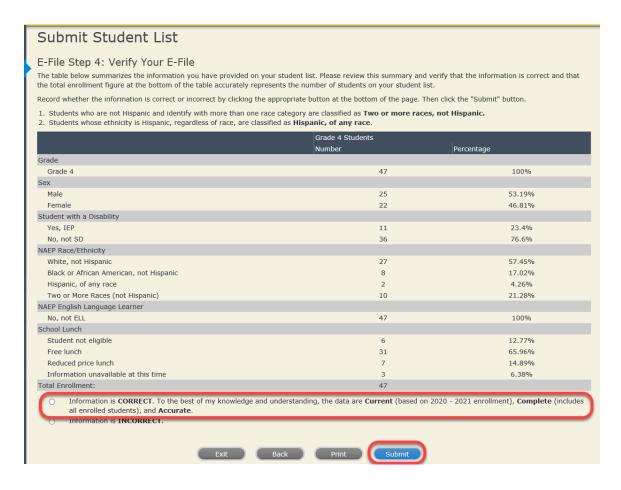
Step 5 - Review Warnings and Verify Data

When you finish row mapping, the E-Filing process will continue and a series of E-File checks will be run. These checks may produce warnings that you will need to review. If you find there are problems with your data, you can return to any mapping page to make any necessary changes. If your data are incorrect, you can choose "Start Over" and resubmit a new corrected file. If your data are correct, select "Continue" to move to the next screen.



The next screen will show you a table that summarizes the data in your file. If you verify your data as correct, you need to select "Information is Correct" and then "Submit."

If your data are incorrect, you should select "Information is Incorrect" or select "Back" and then "Start Over" to submit a new list.



If you need assistance, call the NAEP help desk at 1-800-283-6237.

NAEP 2021 Instructions for Preparing and Submitting an Electronic File of Students



(Two 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 that column blank.



Step 2 – Compile Data for the Template

Using the most current enrollment data available, prepare a separate Excel file of **all students enrolled during the 2020–2021 school year for each grade selected** to participate in the NAEP assessment.

- 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,³ 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.)

³In 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%) of the students will be on break or on vacation.

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	N/A	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
Year of Birth	YYYY (numeric format)	Numeric format; must be in its own column
	The expected ranges for Year of Birth are listed:	in its own column
	Grade 4—2008-2012 Grade 8—2004-2008	
Sex	School-defined codes	Codes (numeric or text) for Male/Female
Ethnicity (Hispanic or not)	 School-defined codes for: 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 No, Not Hispanic 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
Race	 School-defined codes for: White: A person having origins in any of the original peoples of Europe, North Africa, or the Middle East Black or African American: A person having origins in any of the Black peoples of Africa 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 American Indian or Alaska Native: A person having origins in any of the original peoples of North and South America (including Central 	Use ONE code per student, text or numeric

Excel Header/		
Field Name	NAEP Values	Comments
	 America), and who maintains tribal affiliation or community attachment Native Hawaiian or Pacific Islander: A person having origins in any of the original people of Hawaii, Guam, Samoa, or other Pacific Islands Two or More Races: A person who identifies with two or more of the race categories above School does not collect this information: Available to nonpublic schools only. 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. 	
National School Lunch Program (NSLP)	 School defined codes for: 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."⁴ 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 	Use ONE code per student, text or numeric
	Iunch. 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	

⁴ If it is not possible to distinguish between "free" and "reduced-price" for some students, code these students as eligible for free lunch.

Excel Header/ Field Name	NAE	P Values	Comments
	3. Information missing	eligible 3. Information unavailable	
Students with Disabilities (SD)	Education Plan (IEP) progress, or the students for privile students have both these students as "Yes a students have a 504 these students have a 504 these students as "Yes a large of the such as "N/A" (Not Abe mapped to this corepresentative of the at a later date.	as a formal Individuali, the student's IEP is indent has an equivalent vate schools. If some an IEP and a 504 Plan, (es, IEP." In the does not have an IEP, on the foliation of the this information for each cells or an indicate and the cells or an indicate of the deed to collect the definition of the cell (s) and the cell (c) ode to notify your NAE e need to collect the deed to collec	n t t , code P. If code If you one tor) can EP data
English Language Learner (ELL)	and is included in El accountability report depending on state schools, contact you you have any questing the surrently do not have or more students, blue such as "N/A" (Not Abe mapped to this contable in a later date.	A student who has nonito	years Public ator if code. If you one tor) can EP data
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, format can be 5 digits or 5 plus 4

Tips for ensuring the E-File process goes smoothly:

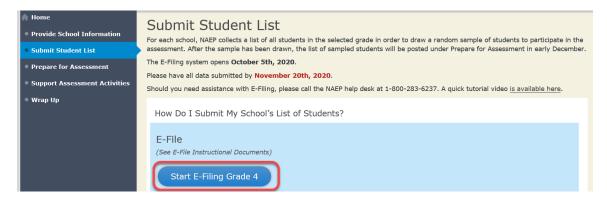
- The NAEP E-File template should be used, if possible. **Please use it as is.** Do not change the column headers. Student information must begin on the second row. There should be no empty rows between the headings and the student data or within the student data, and no headings within the data.
- If you are not able to use the NAEP 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, log into the MyNAEP website and select "Submit Student List" from the left-hand menu.

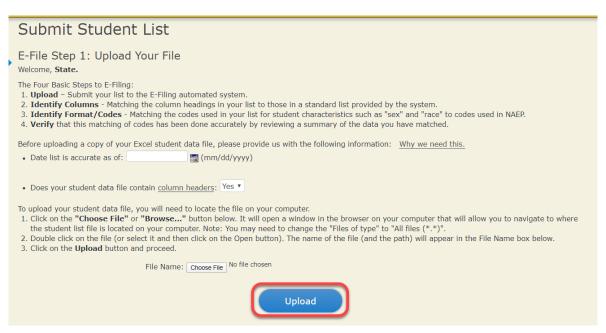
Select the "Start E-Filing Grade X" button.



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

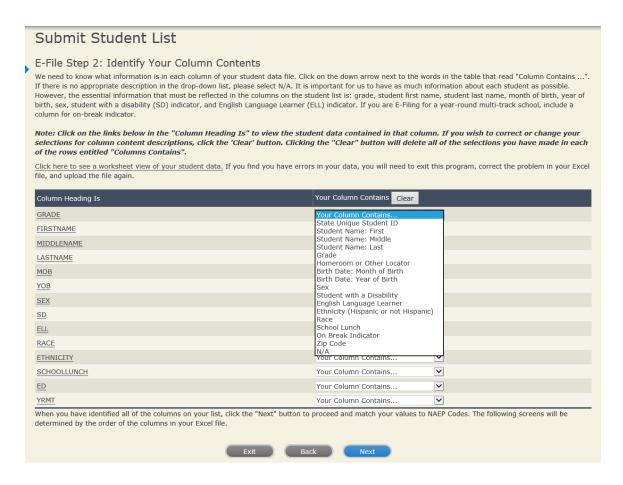
Submit Student List Are You Ready to E-File? Complete the following steps before starting the E-File process: • Read the NAEP 2021 Instructions for Preparing an Electronic File of Students, provided on the MyNAEP "Submit Student List" page; • Create a student data file in Excel format using the NAEP 2021 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 2021 Instructions for Preparing an Electronic File of 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). - 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 · ELL indicator - to identify English language learners, as defined by your school · Race/Ethnicity - use TWO columns per student: Ethnicity (Hispanic or not) 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

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

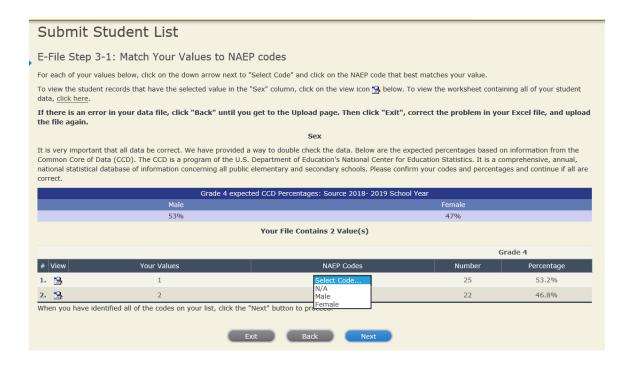


Step 4 - Map Your Columns and Rows to NAEP Values

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.

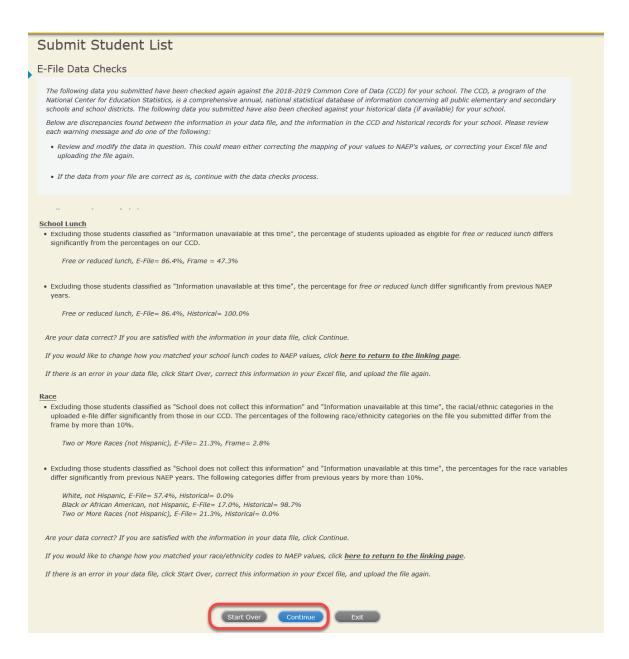


Shown below is an example of row mapping. You need to match the values in each of your columns to the NAEP codes (in drop-down). Once you map a value, select "Next" to move to the next value.



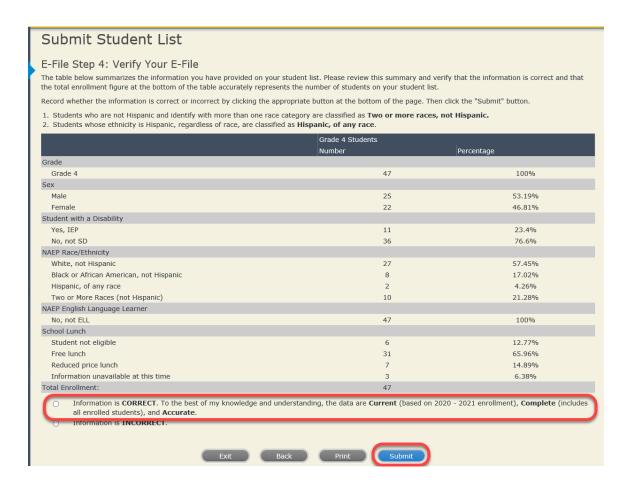
Step 5 – Review Warnings and Verify Data

When you finish row mapping, the E-Filing process will continue and a series of E-File checks will be run. These checks may produce warnings that you will need to review. If you find there are problems with your data, you can return to any mapping page to make any necessary changes. If your data are incorrect, you can choose "Start Over" and resubmit a new corrected file. If your data are correct, select "Continue" to move to the next screen.



The next screen will show you a table that summarizes the data in your file. If you verify your data as correct, you need to select "Information is Correct" and then "Submit."

If your data are incorrect, you should select "Information is Incorrect" or select "Back" and then "Start Over" to submit a new list.



If you need assistance, call the NAEP help desk at 1-800-283-6237.

NAEP 2021 Instructions For Preparing and Submitting 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 that column blank.



Step 2 – Compile Data for the Template

Using the most current enrollment data available, prepare a separate Excel file of **all students enrolled during the 2020 – 2021 school year for each grade selected** to participate in the NAEP assessment.

- 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,⁵ 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

⁵In 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%) of the students will be on break or on vacation.

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	N/A	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
Year of Birth	YYYY (numeric format) The expected ranges for Year of Birth are listed below: Grade 4—2008 - 2012 Grade 8—2004 - 2008	Numeric format; must be in its own column
Sex	School-defined codes	Codes (numeric or text) for Male/Female

Excel Header/ Field Name	NAEP Values	Comments
Ethnicity	School-defined codes for:	Comments Indicate all
(Hispanic or not)	• Yes, Hispanic : A person of Mexican,	Race/Ethnicity
(mspanic or not)	Puerto Rican, Cuban, Central or South	categories that apply
	American, or other Spanish (but not	for each student,
	Portuguese) culture of origin, regardless	text or numeric.
	of race	text of figure it.
	• No, Not Hispanic	
	• 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.	
Race: White	Yes, White: A person having origins in	Indicate all
	any of the original peoples of Europe,	Race/Ethnicity
	North Africa, or the Middle East	categories that apply
	No, not White	for each student,
	 Information unavailable at this time: 	text or numeric.
	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.	
Race: Black or	• Yes, Black: A person having origins in	Indicate all
African American	any of the Black peoples of Africa	Race/Ethnicity
	No, not Black	categories that apply
	Information unavailable at this time:	for each student,
	If you currently do not have this	text or numeric.
	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.	
Race: Asian	• Yes, Asian : A person having origins in	Indicate all
Nace: Asiail	any of the original peoples of the Far	Race/Ethnicity
	East, Southeast Asia, the Indian	categories that apply
	Subcontinent, including, for example,	for each student,
	Cambodia, China, Japan, India, Korea,	text or numeric.
	Malaysia, Pakistan, the Philippine Islands,	text of fiditions.
	Thailand, and Vietnam	
	• No, not Asian	
	• 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.	
Race: American	Yes, American Indian or Alaska	Indicate all
Indian or Alaska	Native : A person having origins in any of	Race/Ethnicity
Native	the original peoples of North and South	categories that apply
	America (including Central America), and	for each student,

Excel Header/		
Field Name	NAEP Values	Comments
7,000,700,700	who maintains tribal affiliation or community attachment • No, not American Indian or Alaska Native	text or numeric.
	• 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.	
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 No, not Native Hawaiian or Pacific 	Indicate all Race/Ethnicity categories that apply for each student, text or numeric.
	 Islander 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. 	
National School Lunch Program (NSLP)	 School defined codes for: 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." ⁶ 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. 	Use ONE code per student, text or numeric
	CEP Direct Only	

⁶ If it is not possible to distinguish between "free" and "reduced-price" for some students, code these students as eligible for free lunch

Excel Header/			
Field Name	-	Values	Comments
	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).		
	Diagona and a very street	anta an fallaa	
	Please code your stud	How should	
	economically disadvantaged? 1. Yes	student be coded on NAEP? 1. Eligible for free	
		or reduced-price lunch	
	2. No	2. Student not eligible	
	3. Information missing	3. Information unavailable	
	In CEP schools in our s	rtification Plus state, economically sts are identified in two	
	ways: a) directly certificipation in assistation the Supplemental Nut	fied through ance programs such as rition Assistance	
	Program (SNAP) and t Assistance for Needy b) through a househol	Families (TANF);	
	Please code your stud		
	Is the student How should economically student be coded on NAEP?		
	1. Yes	Eligible for free or reduced-price lunch	
	2. No 2. Student not eligible		
	3. Information 3. Information missing unavailable		
	CEI	P All	
	In our state, all students in CEP schools are		
	considered economica		
	Please code your students as follows:		
	Is the student economically	How should student be coded	
	disadvantaged?	on NAEP?	
	1. Yes	Eligible for free lunch	
Students with Disabilities (SD)	student's IEP is in p student has an equ	has a formal ation Plan (IEP), the	Use ONE code per student, text or numeric

Excel Header/		
Field Name	NAEP Values	Comments
English Language Learner (ELL)	both an IEP and a 504 Plan, code these students as "Yes, IEP." No, not SD: Student does not have an IEP. If students have a 504 Plan without an IEP, code these students as "No, not SD." 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. School-defined codes for: Yes, ELL No, Not ELL No, Formerly ELL: If A student who has achieved full English proficiency, is monitored, and is included in ELL subgroup for accountability reporting for 2 years (or 4 years depending on state policy) after exiting. 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.	Use ONE code per student, text or numeric
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; format can be 5 digits or 5 plus 4

Tips for ensuring the E-File process goes smoothly:

- The NAEP 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 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.xlsx." 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.

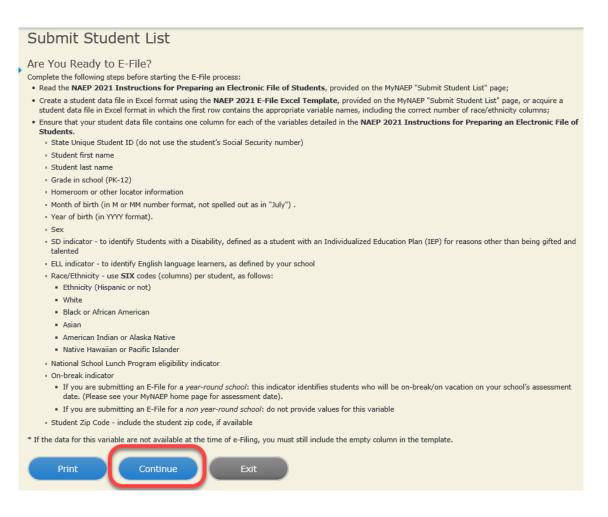
Step 3 – E-File

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.

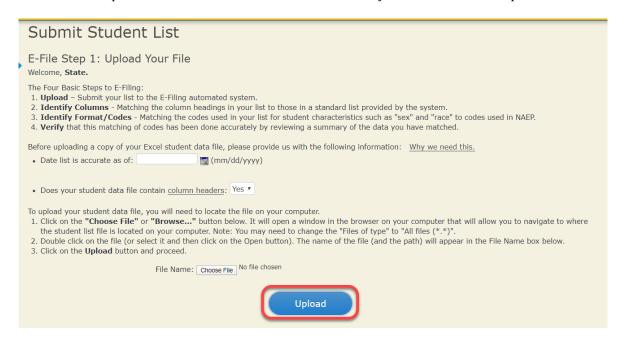
Select the "Start E-Filing Grade X" button



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

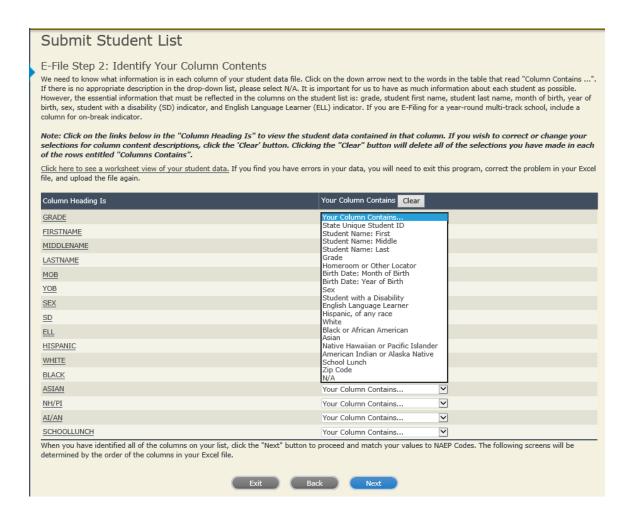


Enter the required fields and then browse for the name of your file and select "Upload."

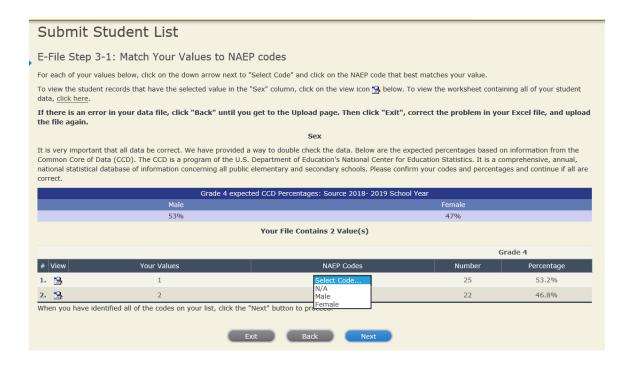


Step 4 - Map Your Columns and Rows to NAEP Values

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.

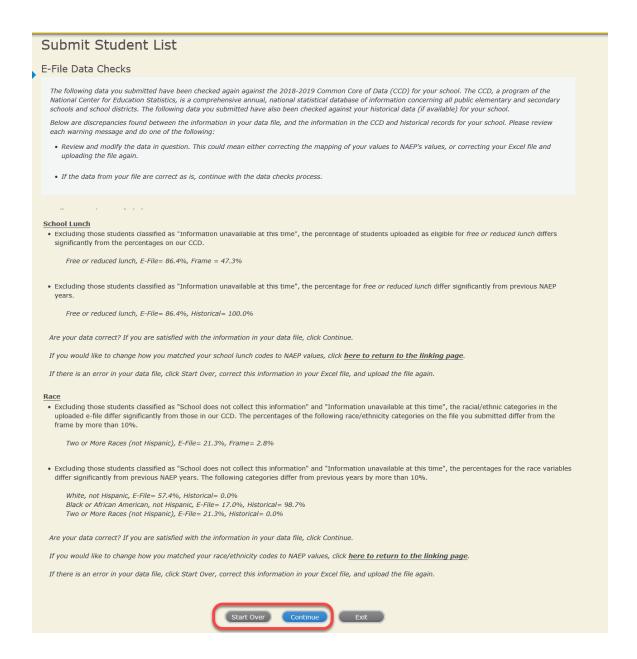


Shown below is an example of row mapping. You need to match the values in each of your columns to the NAEP codes (in drop-down). Once you map a value, select "Next" to move to the next value.



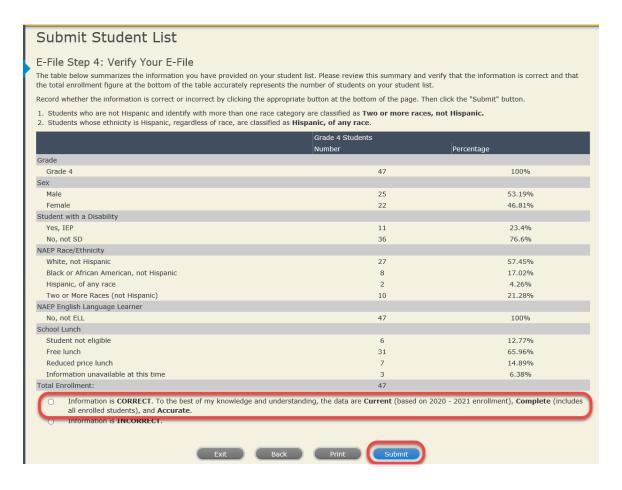
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