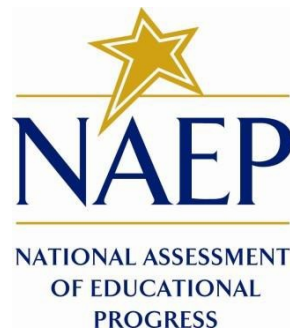


*NATIONAL CENTER FOR EDUCATION STATISTICS
NATIONAL ASSESSMENT OF EDUCATIONAL PROGRESS*

*National Assessment of Educational Progress
(NAEP) 2022*

*Appendix H
Instructions for Entering Student Information*

OMB# 1850-0928 v.22



March 2021
No changes since November 2020 (1850-0928 v.21)

Appendix H provides a sample from 2020 (OMB# 1850-0928 v.21). Appendix H will be updated and submitted by June 2021 as part of Amendment #1 and will include e-Filing instructions.

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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 7/31/2023

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.

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
State 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	Race/ Ethnicity	School Lunch	On-Break Indicator	Student ZIP code

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.
- Make sure you provide information for all students in the sampled grade, including students participating in virtual/remote learning due to the COVID-19 outbreak.
- 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	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: <ul style="list-style-type: none"> • 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 	Use ONE code per student, text or numeric

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.

Excel Header/ Field Name	NAEP Values	Comments
	<p>the Middle East</p> <ul style="list-style-type: none"> • 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 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)	<p>School defined codes for:</p> <ul style="list-style-type: none"> • 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. <p><i>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.</i></p> <p style="text-align: center;">CEP Direct Only</p> <p>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</p>	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/ Field Name	NAEP Values	Comments																
	<p>Assistance for Needy Families (TANF).</p> <p>Please code your students as follows</p> <table border="1" data-bbox="415 275 1000 590"> <tr> <td>Is the student economically disadvantaged?</td> <td>How should student be coded on NAEP?</td> </tr> <tr> <td>1. Yes</td> <td>1. Eligible for free or reduced-price lunch</td> </tr> <tr> <td>2. No</td> <td>2. Student not eligible</td> </tr> <tr> <td>3. Information missing</td> <td>3. Information unavailable</td> </tr> </table> <p style="text-align: center;">CEP Direct Certification Plus</p> <p>In CEP schools in our state, 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.</p> <p>Please code your students as follows:</p> <table border="1" data-bbox="415 930 1000 1245"> <tr> <td>Is the student economically disadvantaged?</td> <td>How should student be coded on NAEP?</td> </tr> <tr> <td>1. Yes</td> <td>1. Eligible for free or reduced-price lunch</td> </tr> <tr> <td>2. No</td> <td>2. Student not eligible</td> </tr> <tr> <td>3. Information missing</td> <td>3. Information unavailable</td> </tr> </table>	Is the student economically disadvantaged?	How should student be coded on NAEP?	1. Yes	1. Eligible for free or reduced-price lunch	2. No	2. Student not eligible	3. Information missing	3. Information unavailable	Is the student economically disadvantaged?	How should student be coded on NAEP?	1. Yes	1. Eligible for free or reduced-price lunch	2. No	2. Student not eligible	3. Information missing	3. Information unavailable	
Is the student economically disadvantaged?	How should student be coded on NAEP?																	
1. Yes	1. Eligible for free or reduced-price lunch																	
2. No	2. Student not eligible																	
3. Information missing	3. Information unavailable																	
Is the student economically disadvantaged?	How should student be coded on NAEP?																	
1. Yes	1. Eligible for free or reduced-price lunch																	
2. No	2. Student not eligible																	
3. Information missing	3. Information unavailable																	
	<p style="text-align: center;">CEP All</p> <p>In our state, all students in CEP schools are considered economically disadvantaged.</p> <p>Please code your students as follows:</p> <table border="1" data-bbox="415 1402 1000 1560"> <tr> <td>Is the student economically disadvantaged?</td> <td>How should student be coded on NAEP?</td> </tr> <tr> <td>1. Yes</td> <td>1. Eligible for free lunch</td> </tr> </table>	Is the student economically disadvantaged?	How should student be coded on NAEP?	1. Yes	1. Eligible for free lunch													
Is the student economically disadvantaged?	How should student be coded on NAEP?																	
1. Yes	1. Eligible for free lunch																	
Students with Disabilities (SD)	<p>School defined codes for:</p> <ul style="list-style-type: none"> • 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.” • 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 	Use ONE code per student, text or numeric																

Excel Header/ Field Name	NAEP Values	Comments
English Language Learner (ELL)	date. School-defined codes for: <ul style="list-style-type: none"> • Yes, ELL • No, Not ELL • No, Formerly ELL: 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

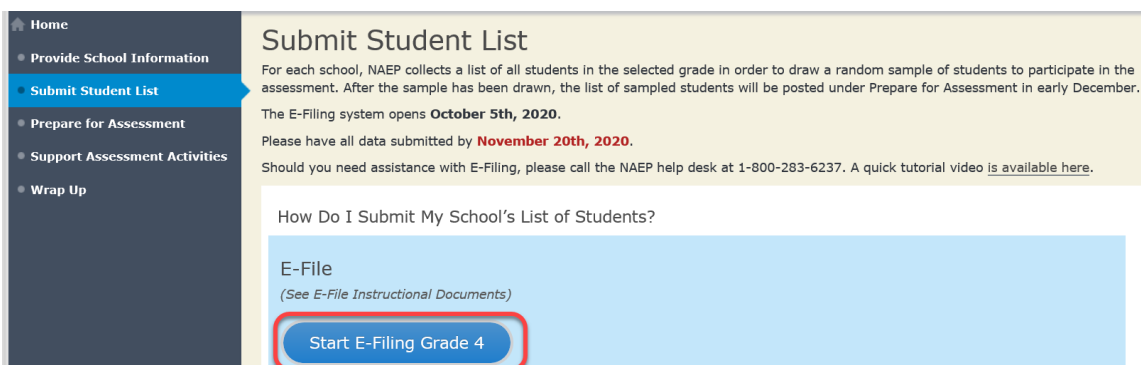
Tips for ensuring the E-File process goes smoothly:

- 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.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" 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 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 **ONE** column per student
 - 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

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)
- Does your student data file contain column headers: Yes ▾

To upload your student data file, you will need to locate the file on your computer.

1. Click on the "**Choose File**" or "**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.

File Name: No file chosen

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.

Submit Student List

E-File Step 2: Identify Your Column Contents

We need to know what information is in each column of your student data file. Click on the down arrow next to the words in the table that read "Column Contains ...". If there is no appropriate description in the drop-down list, please select N/A. It is important for us to have as much information about each student as possible. However, the essential information that must be reflected in the columns on the student list is: grade, student first name, student last name, month of birth, year of birth, sex, student with a disability (SD) indicator, and English Language Learner (ELL) indicator. If you are E-Filing for a year-round multi-track school, include a column for on-break indicator.

Note: Click on the links below in the "Column Heading Is" to view the student data contained in that column. If you wish to correct or change your selections for column content descriptions, click the "Clear" button. Clicking the "Clear" button will delete all of the selections you have made in each of the rows entitled "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
GRADE	Your Column Contains...	
FIRSTNAME	State Unique Student ID	
MIDDLENAME	Student Name: First	
LASTNAME	Student Name: Middle	
MOB	Student Name: Last	
YOB	Grade	
SEX	Homeroom or Other Locator	
SD	Birth Date: Month of Birth	
ELL	Birth Date: Year of Birth	
RACE	Sex	
SCHOOLLUNCH	Student with a Disability	
ED	English Language Learner	
YRMT	Race/Ethnicity	
	School Lunch	
	Zip Code	
	N/A	
	Your Column Contains...	
	Your Column Contains...	
	Your Column Contains...	
	Your Column Contains...	

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 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.

Submit Student List

E-File Step 3-1: Match Your Values to NAEP codes

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, click "Back" until you get to the Upload page. Then click "Exit", 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 2018- 2019 School Year	
Male	Female
53%	47%

Your File Contains 2 Value(s)

Grade 4					
#	View	Your Values	NAEP Codes	Number	Percentage
1.		1	Select Code...	25	53.2%
2.		2	N/A	22	46.8%
			Male		
			Female		

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

Exit Back Next

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.

Submit Student List

E-File Data Checks

The following data you submitted have been checked again against the 2018-2019 Common Core of Data (CCD) for your school. The CCD, a program of the National Center for Education Statistics, is a comprehensive annual, national statistical database of information concerning all public elementary and secondary schools and school districts. The following data you submitted have also been checked against your historical data (if available) for your school.

Below are discrepancies found between the information in your data file, and the information in the CCD and historical records for your school. Please review each warning message and do one of the following:

- Review and modify the data in question. This could mean either correcting the mapping of your values to NAEP's values, or correcting your Excel file and uploading the file again.
- If the data from your file are correct as is, continue with the data checks process.

School Lunch

- Excluding those students classified as "Information unavailable at this time", the percentage of students uploaded as *free or reduced lunch* differs significantly from the percentages on our CCD.
Free or reduced lunch, E-File= 86.4%, Frame = 47.3%
- Excluding those students classified as "Information unavailable at this time", the percentage for *free or reduced lunch* differ significantly from previous NAEP years.
Free or reduced lunch, E-File= 86.4%, Historical= 100.0%

Are your data correct? If you are satisfied with the information in your data file, click [Continue](#).

If you would like to change how you matched your school lunch codes to NAEP values, click [here to return to the linking page](#).

If there is an error in your data file, click [Start Over](#), correct this information in your Excel file, and upload the file again.

Race

- Excluding those students classified as "School does not collect this information" and "Information unavailable at this time", the racial/ethnic categories in the uploaded e-file differ significantly from those in our CCD. The percentages of the following race/ethnicity categories on the file you submitted differ from the frame by more than 10%.
Two or More Races (not Hispanic), E-File= 21.3%, Frame= 2.8%
- Excluding those students classified as "School does not collect this information" and "Information unavailable at this time", the percentages for the race variables differ significantly from previous NAEP years. The following categories differ from previous years by more than 10%.
White, not Hispanic, E-File= 57.4%, Historical= 0.0%
Black or African American, not Hispanic, E-File= 17.0%, Historical= 98.7%
Two or More Races (not Hispanic), E-File= 21.3%, Historical= 0.0%

Are your data correct? If you are satisfied with the information in your data file, click [Continue](#).

If you would like to change how you matched your race/ethnicity codes to NAEP values, click [here to return to the linking page](#).

If there is an error in your data file, click [Start Over](#), correct this information in your Excel file, and upload the file again.

[Start Over](#) [Continue](#) [Exit](#)

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.

Submit Student List

E-File Step 4: Verify Your E-File

The table below summarizes the information you have provided on your student list. Please review this summary and verify that the information is correct and that the total enrollment figure at the bottom of the table accurately represents the number of students on your student list.

Record whether the information is correct or incorrect by clicking the appropriate button at the bottom of the page. Then click the "Submit" button.

1. Students who are not Hispanic and identify with more than one race category are classified as **Two or more races, not Hispanic**.
2. Students whose ethnicity is Hispanic, regardless of race, are classified as **Hispanic, of any race**.

	Grade 4 Students	
	Number	Percentage
Grade		
Grade 4	47	100%
Sex		
Male	25	53.19%
Female	22	46.81%
Student with a Disability		
Yes, IEP	11	23.4%
No, not SD	36	76.6%
NAEP Race/Ethnicity		
White, not Hispanic	27	57.45%
Black or African American, not Hispanic	8	17.02%
Hispanic, of any race	2	4.26%
Two or More Races (not Hispanic)	10	21.28%
NAEP English Language Learner		
No, not ELL	47	100%
School Lunch		
Student not eligible	6	12.77%
Free lunch	31	65.96%
Reduced price lunch	7	14.89%
Information unavailable at this time	3	6.38%
Total Enrollment:	47	

- Information is **CORRECT**. To the best of my knowledge and understanding, the data are **Current** (based on 2020 - 2021 enrollment), **Complete** (includes all enrolled students), and **Accurate**.
- Information is **INCORRECT**.

Exit

Back

Print

Submit

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.

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P
State 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) Race		School Lunch	On-Break Indicator	Student ZIP code

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.
- Make sure you provide information for all students in the sampled grade, including students participating in virtual/remote learning due to the COVID-19 outbreak.
- 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

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.

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	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
Ethnicity (Hispanic or not)	School-defined codes for: <ul style="list-style-type: none"> • 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: <ul style="list-style-type: none"> • 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 	Use ONE code per student, text or numeric

Excel Header/ Field Name	NAEP Values	Comments
	<p>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</p> <ul style="list-style-type: none"> • 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 • 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)	<p>School defined codes for:</p> <ul style="list-style-type: none"> • 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: 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. <p><i>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.</i></p> <p style="text-align: center;">CEP Direct Only</p> <p>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).</p>	Use ONE code per student, text or numeric

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	NAEP Values	Comments								
	Please code your students as follows: <table border="1" data-bbox="459 205 1044 501"> <tr> <td data-bbox="459 205 756 296">Is the student economically disadvantaged?</td> <td data-bbox="756 205 1044 296">How should student be coded on NAEP?</td> </tr> <tr> <td data-bbox="459 296 756 386">1. Yes</td> <td data-bbox="756 296 1044 386">1. Eligible for free or reduced-price lunch</td> </tr> <tr> <td data-bbox="459 386 756 438">2. No</td> <td data-bbox="756 386 1044 438">2. Student not eligible</td> </tr> <tr> <td data-bbox="459 438 756 501">3. Information missing</td> <td data-bbox="756 438 1044 501">3. Information unavailable</td> </tr> </table>	Is the student economically disadvantaged?	How should student be coded on NAEP?	1. Yes	1. Eligible for free or reduced-price lunch	2. No	2. Student not eligible	3. Information missing	3. Information unavailable	
Is the student economically disadvantaged?	How should student be coded on NAEP?									
1. Yes	1. Eligible for free or reduced-price lunch									
2. No	2. Student not eligible									
3. Information missing	3. Information unavailable									
Students with Disabilities (SD)	School-defined codes for: <ul style="list-style-type: none"> • 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.” • 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 <i>code</i> 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: <ul style="list-style-type: none"> • Yes, ELL • No, Not ELL • No, Formerly ELL: 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:

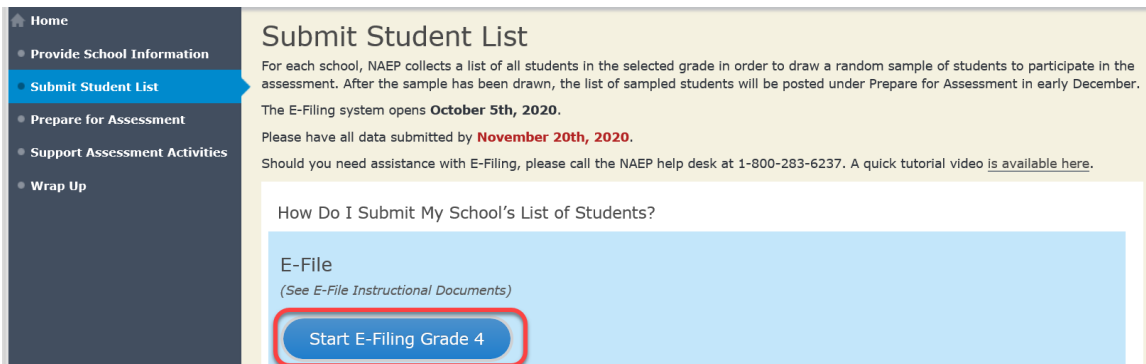
- The NAEP E-File template should be used, if possible. **Please use it as is.** Do not change the column headers. Student information must begin on the second row. There should be no empty rows between the headings and the student data or within the student data, and no headings within the data.

- 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.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 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 **TWO** columns per student:
 - Ethnicity (Hispanic or not)
 - Race
 - 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

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)
- Does your student data file contain **column headers**: Yes ▾

To upload your student data file, you will need to locate the file on your computer.

1. Click on the **"Choose File"** or **"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.

File Name: No file chosen

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.

Submit Student List

E-File Step 2: Identify Your Column Contents

We need to know what information is in each column of your student data file. Click on the down arrow next to the words in the table that read "Column Contains ...". If there is no appropriate description in the drop-down list, please select N/A. It is important for us to have as much information about each student as possible. However, the essential information that must be reflected in the columns on the student list is: grade, student first name, student last name, month of birth, year of birth, sex, student with a disability (SD) indicator, and English Language Learner (ELL) indicator. If you are E-Filing for a year-round multi-track school, include a column for on-break indicator.

Note: Click on the links below in the "Column Heading Is" to view the student data contained in that column. If you wish to correct or change your selections for column content descriptions, click the "Clear" button. Clicking the "Clear" button will delete all of the selections you have made in each of the rows entitled "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
GRADE	Your Column Contains...	
FIRSTNAME	State Unique Student ID	
MIDDLENAME	Student Name: First	
LASTNAME	Student Name: Middle	
MOB	Student Name: Last	
YOB	Grade	
SEX	Homeroom or Other Locator	
SD	Birth Date: Month of Birth	
ELL	Birth Date: Year of Birth	
RACE	Sex	
ETHNICITY	Student with a Disability	
SCHOOLLUNCH	English Language Learner	
ED	Ethnicity (Hispanic or not Hispanic)	
YRMT	Race	
	School Lunch	
	On Break Indicator	
	Zip Code	
	N/A	
	Your Column Contains...	
	Your Column Contains...	
	Your Column Contains...	
	Your Column Contains...	


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.

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.

Submit Student List

E-File Step 3-1: Match Your Values to NAEP codes

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, click "Back" until you get to the Upload page. Then click "Exit", 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 2018- 2019 School Year	
Male	Female
53%	47%

Your File Contains 2 Value(s)

Grade 4				
#	View	Your Values	NAEP Codes	Percentage
1.		1	Select Code...	53.2%
2.		2	N/A Male Female	46.8%

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

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.

Submit Student List

E-File Data Checks

The following data you submitted have been checked again against the 2018-2019 Common Core of Data (CCD) for your school. The CCD, a program of the National Center for Education Statistics, is a comprehensive annual, national statistical database of information concerning all public elementary and secondary schools and school districts. The following data you submitted have also been checked against your historical data (if available) for your school.

Below are discrepancies found between the information in your data file, and the information in the CCD and historical records for your school. Please review each warning message and do one of the following:

- Review and modify the data in question. This could mean either correcting the mapping of your values to NAEP's values, or correcting your Excel file and uploading the file again.
- If the data from your file are correct as is, continue with the data checks process.

School Lunch

- Excluding those students classified as "Information unavailable at this time", the percentage of students uploaded as eligible for free or reduced lunch differs significantly from the percentages on our CCD.

Free or reduced lunch, E-File= 86.4%, Frame = 47.3%

- Excluding those students classified as "Information unavailable at this time", the percentage for free or reduced lunch differ significantly from previous NAEP years.

Free or reduced lunch, E-File= 86.4%, Historical= 100.0%

Are your data correct? If you are satisfied with the information in your data file, click Continue.

If you would like to change how you matched your school lunch codes to NAEP values, click [here to return to the linking page](#).

If there is an error in your data file, click Start Over, correct this information in your Excel file, and upload the file again.

Race

- Excluding those students classified as "School does not collect this information" and "Information unavailable at this time", the racial/ethnic categories in the uploaded e-file differ significantly from those in our CCD. The percentages of the following race/ethnicity categories on the file you submitted differ from the frame by more than 10%.

Two or More Races (not Hispanic), E-File= 21.3%, Frame= 2.8%

- Excluding those students classified as "School does not collect this information" and "Information unavailable at this time", the percentages for the race variables differ significantly from previous NAEP years. The following categories differ from previous years by more than 10%.

White, not Hispanic, E-File= 57.4%, Historical= 0.0%

Black or African American, not Hispanic, E-File= 17.0%, Historical= 98.7%

Two or More Races (not Hispanic), E-File= 21.3%, Historical= 0.0%

Are your data correct? If you are satisfied with the information in your data file, click Continue.

If you would like to change how you matched your race/ethnicity codes to NAEP values, click [here to return to the linking page](#).

If there is an error in your data file, click Start Over, correct this information in your Excel file, and upload the file again.

Start Over

Continue

Exit

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.

Submit Student List

E-File Step 4: Verify Your E-File

The table below summarizes the information you have provided on your student list. Please review this summary and verify that the information is correct and that the total enrollment figure at the bottom of the table accurately represents the number of students on your student list.

Record whether the information is correct or incorrect by clicking the appropriate button at the bottom of the page. Then click the "Submit" button.

1. Students who are not Hispanic and identify with more than one race category are classified as **Two or more races, not Hispanic**.
2. Students whose ethnicity is Hispanic, regardless of race, are classified as **Hispanic, of any race**.

	Grade 4 Students Number	Percentage
Grade		
Grade 4	47	100%
Sex		
Male	25	53.19%
Female	22	46.81%
Student with a Disability		
Yes, IEP	11	23.4%
No, not SD	36	76.6%
NAEP Race/Ethnicity		
White, not Hispanic	27	57.45%
Black or African American, not Hispanic	8	17.02%
Hispanic, of any race	2	4.26%
Two or More Races (not Hispanic)	10	21.28%
NAEP English Language Learner		
No, not ELL	47	100%
School Lunch		
Student not eligible	6	12.77%
Free lunch	31	65.96%
Reduced price lunch	7	14.89%
Information unavailable at this time	3	6.38%
Total Enrollment:	47	

- Information is **CORRECT**. To the best of my knowledge and understanding, the data are **Current** (based on 2020 - 2021 enrollment), **Complete** (includes all enrolled students), and **Accurate**.
- Information is **INCORRECT**.

Exit

Back

Print

Submit

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.

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
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

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.
- Make sure you provide information for all students in the sampled grade, including students participating in virtual/remote learning due to the COVID-19 outbreak.
- 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 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

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.

Excel Header/ Field Name	NAEP Values	Comments
Ethnicity (Hispanic or not)	School-defined codes for: <ul style="list-style-type: none"> • 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. 	Indicate all Race/Ethnicity categories that apply for each student, text or numeric.
Race: White	<ul style="list-style-type: none"> • Yes, White: A person having origins in any of the original peoples of Europe, North Africa, or the Middle East • No, not White • 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	<ul style="list-style-type: none"> • Yes, Black: A person having origins in any of the Black peoples of Africa • No, not Black • 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: Asian	<ul style="list-style-type: none"> • 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 • 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. 	Indicate all Race/Ethnicity categories that apply for each student, text or numeric.
Race: American Indian or Alaska Native	<ul style="list-style-type: none"> • 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 	Indicate all Race/Ethnicity categories that apply for each student,

Excel Header/ Field Name	NAEP Values	Comments
	<p>who maintains tribal affiliation or community attachment</p> <ul style="list-style-type: none"> • No, not American Indian or Alaska Native • 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. 	text or numeric.
Race: Native Hawaiian or Pacific Islander	<ul style="list-style-type: none"> • 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 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. 	Indicate all Race/Ethnicity categories that apply for each student, text or numeric.
National School Lunch Program (NSLP)	<p>School defined codes for:</p> <ul style="list-style-type: none"> • 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. <p>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.</p> <p style="text-align: center;">CEP Direct Only</p>	Use ONE code per student, text or numeric

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	NAEP Values	Comments																				
	<p>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).</p> <p>Please code your students as follows</p> <table border="1" data-bbox="440 457 1024 772"> <tr> <td>Is the student economically disadvantaged?</td> <td>How should student be coded on NAEP?</td> </tr> <tr> <td>1. Yes</td> <td>1. Eligible for free or reduced-price lunch</td> </tr> <tr> <td>2. No</td> <td>2. Student not eligible</td> </tr> <tr> <td>3. Information missing</td> <td>3. Information unavailable</td> </tr> </table> <p style="text-align: center;">CEP Direct Certification Plus</p> <p>In CEP schools in our state, 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.</p> <p>Please code your students as follows:</p> <table border="1" data-bbox="440 1142 1024 1457"> <tr> <td>Is the student economically disadvantaged?</td> <td>How should student be coded on NAEP?</td> </tr> <tr> <td>1. Yes</td> <td>1. Eligible for free or reduced-price lunch</td> </tr> <tr> <td>2. No</td> <td>2. Student not eligible</td> </tr> <tr> <td>3. Information missing</td> <td>3. Information unavailable</td> </tr> </table> <p style="text-align: center;">CEP All</p> <p>In our state, all students in CEP schools are considered economically disadvantaged.</p> <p>Please code your students as follows:</p> <table border="1" data-bbox="440 1642 1024 1801"> <tr> <td>Is the student economically disadvantaged?</td> <td>How should student be coded on NAEP?</td> </tr> <tr> <td>1. Yes</td> <td>1. Eligible for free lunch</td> </tr> </table>	Is the student economically disadvantaged?	How should student be coded on NAEP?	1. Yes	1. Eligible for free or reduced-price lunch	2. No	2. Student not eligible	3. Information missing	3. Information unavailable	Is the student economically disadvantaged?	How should student be coded on NAEP?	1. Yes	1. Eligible for free or reduced-price lunch	2. No	2. Student not eligible	3. Information missing	3. Information unavailable	Is the student economically disadvantaged?	How should student be coded on NAEP?	1. Yes	1. Eligible for free lunch	
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Is the student economically disadvantaged?	How should student be coded on NAEP?																					
1. Yes	1. Eligible for free lunch																					
Students with Disabilities (SD)	<p>School-defined codes for:</p> <ul style="list-style-type: none"> 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 	Use ONE code per student, text or numeric																				

Excel Header/ Field Name	NAEP Values	Comments
	<p>both an IEP and a 504 Plan, code these students as “Yes, IEP.”</p> <ul style="list-style-type: none"> • 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. 	
English Language Learner (ELL)	<p>School-defined codes for:</p> <ul style="list-style-type: none"> • 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:

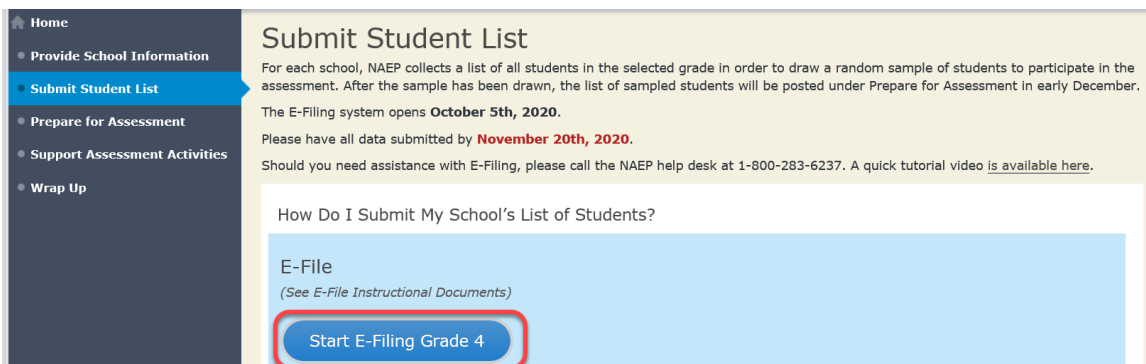
- The NAEP E-File template should be used, if possible. **Please use it as is.** Do not change the column headers. Student information must begin on the second row. There should be no empty rows between the headings and the student data or within the student data, and no headings within the data.
- If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

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 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

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)
- Does your student data file contain column headers: Yes ▾

To upload your student data file, you will need to locate the file on your computer.

1. Click on the "**Choose File**" or "**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.

File Name: No file chosen

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.

Submit Student List

E-File Step 2: Identify Your Column Contents

We need to know what information is in each column of your student data file. Click on the down arrow next to the words in the table that read "Column Contains ...". If there is no appropriate description in the drop-down list, please select N/A. It is important for us to have as much information about each student as possible. However, the essential information that must be reflected in the columns on the student list is: grade, student first name, student last name, month of birth, year of birth, sex, student with a disability (SD) indicator, and English Language Learner (ELL) indicator. If you are E-Filing for a year-round multi-track school, include a column for on-break indicator.

Note: Click on the links below in the "Column Heading Is" to view the student data contained in that column. If you wish to correct or change your selections for column content descriptions, click the "Clear" button. Clicking the "Clear" button will delete all of the selections you have made in each of the rows entitled "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 <input type="button" value="Clear"/>
GRADE	Your Column Contains...
FIRSTNAME	State Unique Student ID Student Name: First Student Name: Middle Student Name: Last
MIDDLENAME	Grade
LASTNAME	Homerroom or Other Locator
MOB	Birth Date: Month of Birth
YOB	Birth Date: Year of Birth
SEX	Sex
SD	Student with a Disability
ELL	English Language Learner
HISPANIC	Hispanic, of any race
WHITE	White
BLACK	Black or African American
ASIAN	Asian
NH/PI	Native Hawaiian or Pacific Islander
AI/AN	American Indian or Alaska Native
SCHOOLLUNCH	School Lunch Zip Code N/A
	Your Column Contains... <input type="button" value="v"/>
	Your Column Contains... <input type="button" value="v"/>
	Your Column Contains... <input type="button" value="v"/>
	Your Column Contains... <input type="button" value="v"/>


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.

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.

Submit Student List

E-File Step 3-1: Match Your Values to NAEP codes

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, click "Back" until you get to the Upload page. Then click "Exit", 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 2018- 2019 School Year	
Male	Female
53%	47%

Your File Contains 2 Value(s)

Grade 4				
#	View	Your Values	NAEP Codes	Percentage
1.		1	Select Code...	53.2%
2.		2	N/A Male Female	46.8%

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

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.

Submit Student List

E-File Data Checks

The following data you submitted have been checked again against the 2018-2019 Common Core of Data (CCD) for your school. The CCD, a program of the National Center for Education Statistics, is a comprehensive annual, national statistical database of information concerning all public elementary and secondary schools and school districts. The following data you submitted have also been checked against your historical data (if available) for your school.

Below are discrepancies found between the information in your data file, and the information in the CCD and historical records for your school. Please review each warning message and do one of the following:

- Review and modify the data in question. This could mean either correcting the mapping of your values to NAEP's values, or correcting your Excel file and uploading the file again.
- If the data from your file are correct as is, continue with the data checks process.

School Lunch

- Excluding those students classified as "Information unavailable at this time", the percentage of students uploaded as eligible for free or reduced lunch differs significantly from the percentages on our CCD.

Free or reduced lunch, E-File= 86.4%, Frame = 47.3%

- Excluding those students classified as "Information unavailable at this time", the percentage for free or reduced lunch differ significantly from previous NAEP years.

Free or reduced lunch, E-File= 86.4%, Historical= 100.0%

Are your data correct? If you are satisfied with the information in your data file, click Continue.

If you would like to change how you matched your school lunch codes to NAEP values, click [here to return to the linking page](#).

If there is an error in your data file, click Start Over, correct this information in your Excel file, and upload the file again.

Race

- Excluding those students classified as "School does not collect this information" and "Information unavailable at this time", the racial/ethnic categories in the uploaded e-file differ significantly from those in our CCD. The percentages of the following race/ethnicity categories on the file you submitted differ from the frame by more than 10%.

Two or More Races (not Hispanic), E-File= 21.3%, Frame= 2.8%

- Excluding those students classified as "School does not collect this information" and "Information unavailable at this time", the percentages for the race variables differ significantly from previous NAEP years. The following categories differ from previous years by more than 10%.

White, not Hispanic, E-File= 57.4%, Historical= 0.0%

Black or African American, not Hispanic, E-File= 17.0%, Historical= 98.7%

Two or More Races (not Hispanic), E-File= 21.3%, Historical= 0.0%

Are your data correct? If you are satisfied with the information in your data file, click Continue.

If you would like to change how you matched your race/ethnicity codes to NAEP values, click [here to return to the linking page](#).

If there is an error in your data file, click Start Over, correct this information in your Excel file, and upload the file again.

Start Over

Continue

Exit

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.

Submit Student List

E-File Step 4: Verify Your E-File

The table below summarizes the information you have provided on your student list. Please review this summary and verify that the information is correct and that the total enrollment figure at the bottom of the table accurately represents the number of students on your student list.

Record whether the information is correct or incorrect by clicking the appropriate button at the bottom of the page. Then click the "Submit" button.

1. Students who are not Hispanic and identify with more than one race category are classified as **Two or more races, not Hispanic**.
2. Students whose ethnicity is Hispanic, regardless of race, are classified as **Hispanic, of any race**.

	Grade 4 Students	
	Number	Percentage
Grade		
Grade 4	47	100%
Sex		
Male	25	53.19%
Female	22	46.81%
Student with a Disability		
Yes, IEP	11	23.4%
No, not SD	36	76.6%
NAEP Race/Ethnicity		
White, not Hispanic	27	57.45%
Black or African American, not Hispanic	8	17.02%
Hispanic, of any race	2	4.26%
Two or More Races (not Hispanic)	10	21.28%
NAEP English Language Learner		
No, not ELL	47	100%
School Lunch		
Student not eligible	6	12.77%
Free lunch	31	65.96%
Reduced price lunch	7	14.89%
Information unavailable at this time	3	6.38%
Total Enrollment:	47	

- Information is **CORRECT**. To the best of my knowledge and understanding, the data are **Current** (based on 2020 - 2021 enrollment), **Complete** (includes all enrolled students), and **Accurate**.
- Information is **INCORRECT**.

Exit

Back

Print

Submit

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