



## NAEP 2018 INSTRUCTIONS FOR PREPARING AN ELECTRONIC FILE OF STUDENTS (Six Columns Race/Ethnicity)

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

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

### Step 1 – The E-Filing Template

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

Unique Student ID	Student First Name	Student Middle Name	Student Last Name	Grade	Homeroom or Other Locator	Month of Birth	Year of Birth	Sex	Student with a Disability	English Language Learner	Ethnicity (Hispanic or Non-Hispanic)	White	Black or African American	Asian	American Indian or AK Native	Native Hawaiian or Pac Islander	School Lunch	On-Break Indicator	Student ZIP code
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### Step 2 – Compile Data for the Template

For each grade in your school selected to participate in the NAEP assessment prepare and submit a separate Excel file of **all students enrolled in the sampled grade** during the 2017-2018 school year using the most current enrollment data available.

- Include in the file data for **all students in the grade**, even those students who typically may be excluded from other testing programs, such as students with IEPs (SD) and English language learners (ELL). Make sure there are no duplicate students in your file.
- Also include students in the sampled grade who were displaced from other locations due to hurricanes and other disasters.
- If this is a year-round school,<sup>1</sup> 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:

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

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, 12	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 – 2005-2009 Grade 8 – 2001 -2005 Grade 12 – 1997 - 2001	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"> <li>▪ <b>Yes, <i>Hispanic</i>:</b> A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish (but not Portuguese) culture of origin, regardless of race</li> <li>▪ <b>No, <i>Not Hispanic</i></b></li> <li>▪ <b><i>Information unavailable at this time:</i></b> 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</li> </ul>	Indicate all Race/Ethnicity categories that apply for each student, text or numeric.

	to this code to notify your NAEP representative of the need to collect the data at a later date.	
Race: White	<ul style="list-style-type: none"> <li>▪ <b>Yes, <i>White</i>:</b> A person having origins in any of the original peoples of Europe, North Africa, or the Middle East</li> <li>▪ <b>No, <i>not White</i></b></li> <li>▪ <b>Information unavailable at this time:</b> 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.</li> </ul>	Indicate all Race/Ethnicity categories that apply for each student, text or numeric.
Race: Black or African American	<ul style="list-style-type: none"> <li>▪ <b>Yes, <i>Black</i>:</b> A person having origins in any of the Black peoples of Africa</li> <li>▪ <b>No, <i>not Black</i></b></li> <li>▪ <b>Information unavailable at this time:</b> 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.</li> </ul>	Indicate all Race/Ethnicity categories that apply for each student, text or numeric.
Race: Asian	<ul style="list-style-type: none"> <li>▪ <b>Yes, <i>Asian</i>:</b> 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</li> <li>▪ <b>No, <i>not Asian</i></b></li> <li>▪ <b>Information unavailable at this time:</b> 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.</li> </ul>	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"> <li>▪ <b>Yes, <i>American Indian or Alaska Native</i>:</b> 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</li> <li>▪ <b>No, <i>not American Indian or Alaska Native</i></b></li> <li>▪ <b>Information unavailable at this time:</b> If you currently do not have this information for one or</li> </ul>	Indicate all Race/Ethnicity categories that apply for each student, text or numeric.

	<p>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>	
Race: Native Hawaiian or Pacific Islander	<ul style="list-style-type: none"> <li>▪ <b><i>Yes, Native Hawaiian or Pacific Islander</i></b> : A person having origins in any of the original people of Hawaii, Guam, Samoa or other Pacific Islands</li> <li>▪ <b><i>No, not Native Hawaiian or Pacific Islander</i></b></li> <li>▪ <b><i>Information unavailable at this time</i></b>: 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.</li> </ul>	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"> <li>▪ <b><i>Student not eligible to participate</i></b>: Student is not eligible for free or reduced-price lunch.</li> <li>▪ <b><i>Free lunch</i></b>: Student is eligible for free lunch. Schools participating in Provisions 2 or 3 of the NSLP should code all students as "free lunch."<sup>2</sup></li> <li>▪ <b><i>Reduced price lunch</i></b>: Student is eligible for reduced-price lunch.</li> <li>▪ <b><i>School not participating</i></b>: School does not participate in the NSLP. When used, this code must be applied to all students.</li> <li>▪ <b><i>Information unavailable at this time</i></b>: 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.</li> </ul> <p><b><i>SPECIAL INSTRUCTIONS FOR CEP SCHOOLS:</i></b>  <i>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>	Use <b>ONE</b> code per student, text or numeric

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

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#### CEP Direct Only

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

Please code your students as follows

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

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#### CEP Direct Certification Plus

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.

Please code your students as follows:

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

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#### CEP All

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

Please code your students as follows:

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

Students with Disabilities (SD)	<p>School-defined codes for:</p> <ul style="list-style-type: none"> <li>▪ <b>Yes, IEP:</b> 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."</li> <li>▪ <b>No, not SD:</b> If students have a 504 Plan without an IEP, code these students as "No, not SD."</li> <li>▪ <b>Information unavailable at this time:</b> 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.</li> </ul>	Use <b>ONE</b> code per student, text or numeric
English Language Learner (ELL)	<p>School-defined codes for:</p> <ul style="list-style-type: none"> <li>▪ <b>Yes, ELL</b></li> <li>▪ <b>No, Not ELL</b></li> <li>▪ <b>No, Formerly ELL (and monitored for AYP reporting):</b> If a student has achieved full English proficiency within the previous 2 years <u>and</u> the state includes formerly ELL students in its AYP reports, the student should be coded as "No, formerly ELL." Public schools, contact your NAEP State Coordinator if you have any questions about using this code.</li> <li>▪ <b>Information unavailable at this time:</b> 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.</li> </ul>	Use <b>ONE</b> 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

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

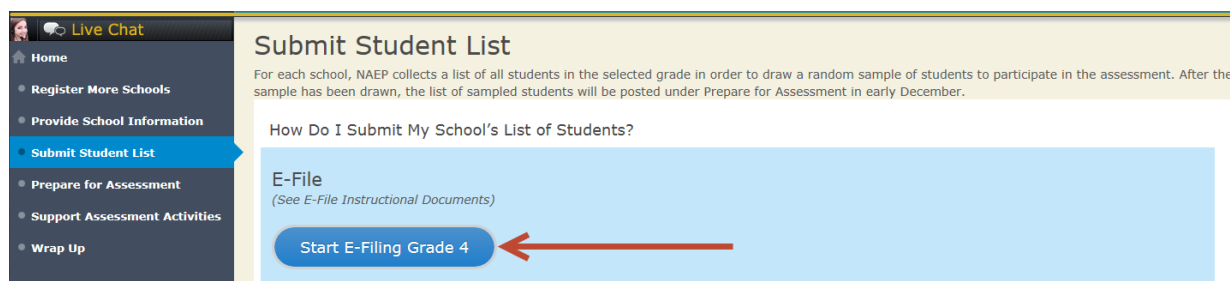
- The NAEP E-File template should be used if possible. **Please use it as is.** Do not change the column headers. Student information must begin on the second row. There should be no empty rows between the headings and the student data or within the student data, and no headings within the data.

- 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, login to the MyNAEP website and select “Submit Student List” from the left-hand menu.

- Select the “Start E-Filing Grade X” button



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

## Submit Student List

### Are You Ready to E-File?

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

- Read the **NAEP 2018 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 2018 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 2018 Instructions for Preparing an Electronic File of Students**.
  - State Unique Student ID (do not use the student's Social Security number)
  - Student first name
  - Student last name
  - Grade in school (PK-12)
  - Homeroom or other locator information
  - Month of birth (in M or MM number format, not spelled out as in "July") .
  - Year of birth (in YYYY format).
  - Sex
  - SD indicator - to identify Students with a Disability, defined as a student with an Individualized Education Plan (IEP) for reasons other than being gifted and talented
  - ELL indicator - to identify English language learners, as defined by your school
  - Race/Ethnicity - use **SIX** codes (columns) per student, as follows:
    - Ethnicity (Hispanic or not)
      - White
      - Black or African American
      - Asian
      - American Indian or Alaska Native
      - Native Hawaiian or Pacific Islander
  - National School Lunch Program eligibility indicator
  - On-break indicator
    - If you are submitting an E-File for a *year-round school*: this indicator identifies students who will be on-break/on vacation on your school's assessment date. (Please see your MyNAEP home page for assessment date).
    - If you are submitting an E-File for a *non year-round school*: do not provide values for this variable
  - Student Zip Code - include the student zip code, if available

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

Print

Continue

Exit

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

## Submit Student List

### E-File Step 1: Upload Your File

Exit

Welcome, **State**.

The Four Basic Steps to E-Filing:

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

Before uploading a copy of your Excel student data file, please provide us with the following information: [Why we need this.](#)

- Date list is accurate as of:  (mm/dd/yyyy) **Date the list was created; not necessarily today's date**
- Does your student data file contain column headers: ☒ **Row 1 of your Excel file contains column names**

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

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

Select the file name  
from your computer

File Name:

Browse...

Upload

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



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

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

**"Columns Contains".**

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

Column Heading Is	Your Column Contains	Clear
<u>STUDENT ID</u>	State Unique Student ID	
<u>GRADE</u>	Grade	
<u>FIRSTNAME</u>	Student Name: First	
<u>MIDDLENAME</u>	Student Name: Middle	
<u>LASTNAME</u>	Student Name: Last	
<u>HOMEROOM</u>	Homeroom or Other Locator	
<u>MOB</u>	Your Column Contains...	
<u>YOB</u>	State Unique Student ID	
<u>SEX</u>	Student Name: First	
<u>SD</u>	Student Name: Middle	
<u>ELL</u>	Student Name: Last	
<u>ETHNICITY HISP</u>	Grade	
<u>WHITE</u>	Homeroom or Other Locator	
<u>BLACK</u>	Birth Date: Month of Birth	
<u>ASIAN</u>	Birth Date: Year of Birth	
<u>AI/AN</u>	Sex	
<u>PI</u>	Student with a Disability	
<u>SCHOOOLLUNCH</u>	English Language Learner	
	Hispanic, of any race	
	White	
	Black or African American	
	Asian	
	Native Hawaiian or Pacific Islander	
	American Indian or Alaska Native	
	School Lunch	
	Zip Code	
	N/A	

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

Exit Back Next


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

Submit Student List

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

ExitBackNext


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

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

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

Grade

Your File Contains 1 Value(s)

Grade 4				
#	View	Your Values	NAEP Codes	Percentage
1.		4	<div>Select Code...</div> <div>Grade 4</div>	101100%

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

ExitBackNext

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


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

Submit Student List

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

ExitBackNext

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

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



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

Sex

Your File Contains 2 Value(s)

Grade 4 expected CCD Percentages: Source 2012-2013 School Year

Male	Female
51.92%	48.08%

Grade 4				
#	View	Your Values	NAEP Codes	Percentage
1.		1	<div>Select Code...</div> <div>N/A</div>	5352.5%
2.		2	<div>Select Code...</div> <div>Male</div> <div>Female</div>	4847.5%

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

ExitBackNext

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

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

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