NAEP 2019–2020 LTT 9 Instructions for Preparing and Submitting an Electronic File of Students (Six Columns Race/Ethnicity)

NAEP needs a complete list of students in the selected age group(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.

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
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	On-Break Indicator	Student ZIP code

Step 2 – Compile Data for the Template

Prepare and submit a separate Excel file of all students in your school with birthdates between **January 1, 2010** and **December 31, 2010**. Students may be in any grade, however, we expect most of the students to be in the following grades**: 2**, **3**, **4**, and **5**.

- Include in the file data for **all students in the age group**, 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 age group 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 in the sampled age group. 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	Any	**Use current year data**
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: 2010	**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: • ***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**

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

Excel Header/ Field Name	NAEP Values	Comments
Race: White	• ***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	• ***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	• ***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	• ***Yes, American Indian or Alaska Native:*** A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment • ***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.	Indicate all Race/Ethnicity categories that apply for each student, text or numeric
Race: Native Hawaiian or Pacific Islander	• ***Yes, Native Hawaiian or Pacific Islander:*** A person having origins in any of the original people of Hawaii, Guam, Samoa or other Pacific Islands • ***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

Excel Header/ Field Name	NAEP Values	Comments
Students with Disabilities (SD)	School-defined codes for: • ***Yes, IEP:*** Student has a formal Individualized Education Program (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 date.	Use **ONE** code per student, text or numeric
English Language Learner (ELL)	School-defined codes for: • ***Yes, ELL*** • ***No, Not ELL*** • ***No, Formerly ELL:*** If a student has achieved full English proficiency within the previous 2 years and the state includes formerly ELL students in its accountability reports, the student should be coded as "No, formerly ELL." Public schools, contact your NAEP State Coordinator if you have any questions about using this code. • ***Information unavailable at this time:*** If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date.	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 Age 9.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.

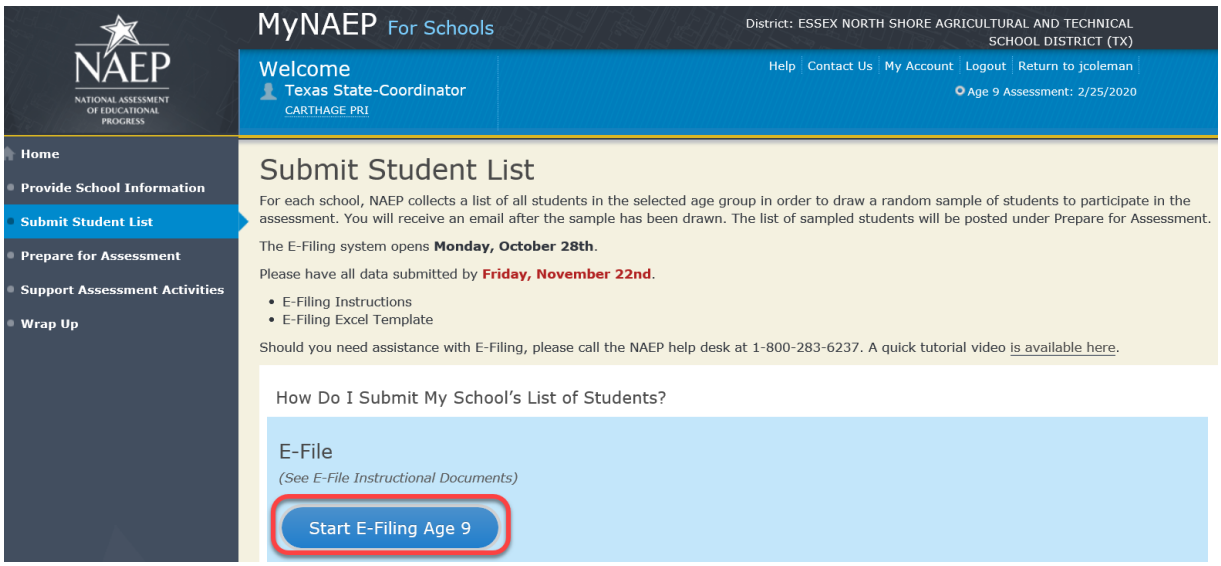
- Be sure that your file contains only a heading row and student data, not notes or text in additional columns, or they will be read as data resulting in a warning or error message.

- 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 Age 9" 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 2020 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 2020 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 2020 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
  - On-break indicator
    - If you are submitting an E-File for a *year-round school*: this indicator identifies students who will be on-break/on vacation on your school's assessment date. (Please see your MyNAEP home page for assessment date).
    - If you are submitting an E-File for a *non year-round school*: do not provide values for this variable
  - Student Zip Code - include the student zip code, if available

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

Print | Continue | Exit

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

Submit Student List

E-File Step 1: Upload Your File

Exit

Welcome, **State.**

The Four Basic Steps to E-Filing:

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

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

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

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

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

Select the file name from your computer

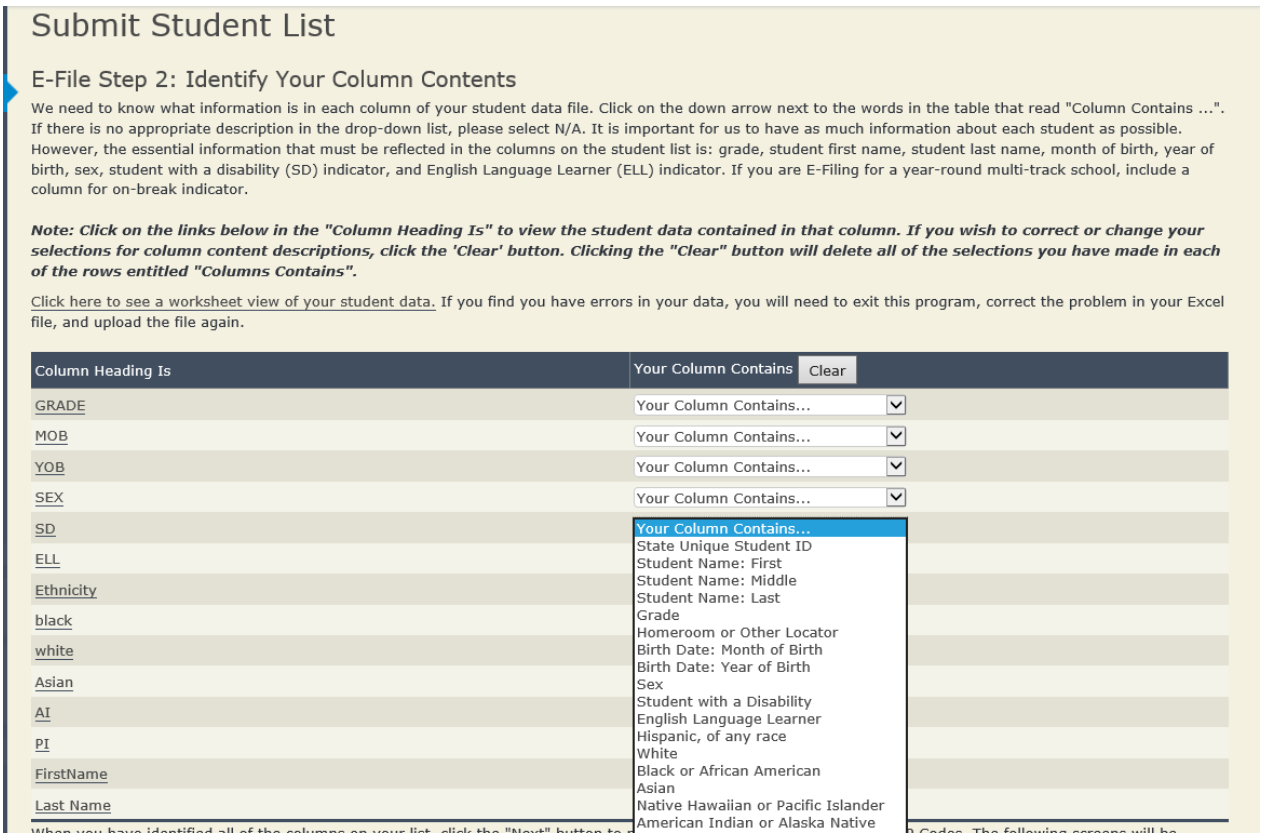
File Name: Browse...

Upload

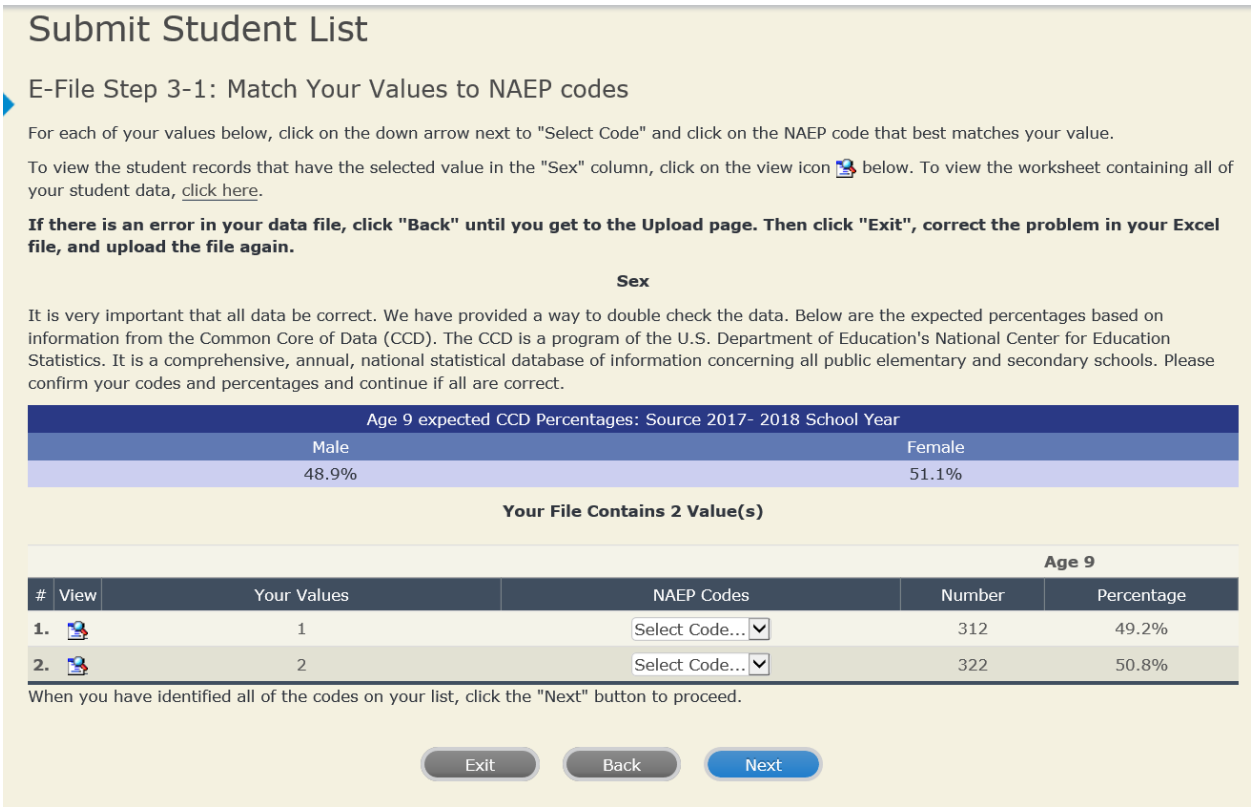
Uploading of your data file could take a few minutes. Please be patient. If you lose your Internet connection after uploading your file, you can log back on to the MyNAEP site and return to E-Filing. You will be sent directly to the last screen you were working on, allowing you to complete the E-Filing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

Step 4 – Map Your Columns and Rows to NAEP Values

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



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.

Age 9 expected CCD Percentages: Source 2017- 2018 School Year	
Male	Female
48.9%	51.1%

Your File Contains 2 Value(s)

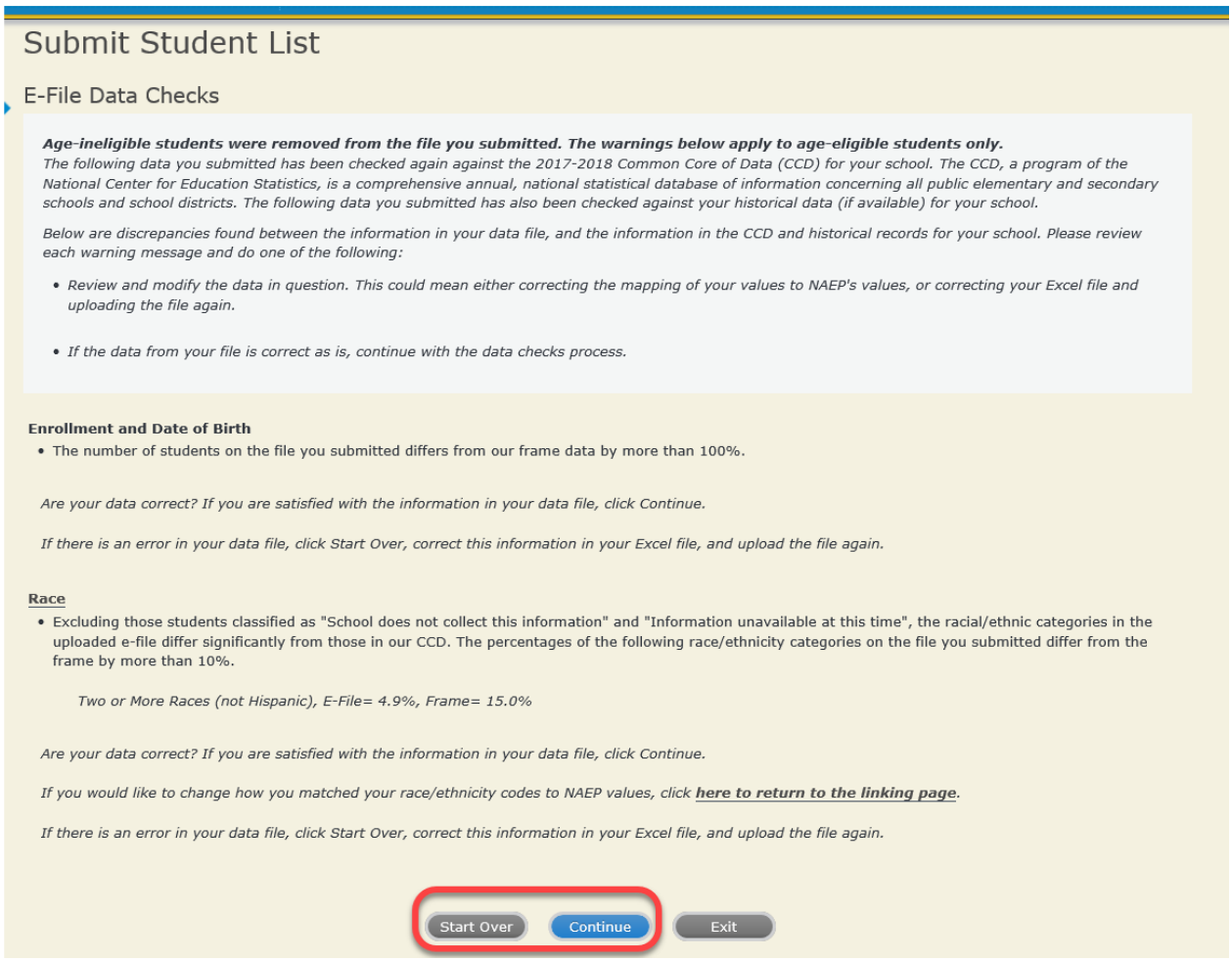
				Age 9	
#	View	Your Values	NAEP Codes	Number	Percentage
1.		1	Select Code...	312	49.2%
2.		2	Select Code...	322	50.8%

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

Age-ineligible students were removed from the file you submitted. The warnings below apply to age-eligible students only.
The following data you submitted has been checked again against the 2017-2018 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 has 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 is correct as is, continue with the data checks process.*

Enrollment and Date of Birth

- The number of students on the file you submitted differs from our frame data by more than 100%.

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

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= 4.9%, Frame= 15.0%

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**.

	Age 9 Students	
	Number	Percentage
Grade		
Grade 3	67	10.57%
Grade 4	473	74.61%
Grade 5	94	14.83%
Sex		
Male	312	49.21%
Female	322	50.79%
Student with a Disability		
Yes, IEP	83	13.09%
No, not SD	545	85.96%
Information unavailable at this time	6	0.95%
NAEP Race/Ethnicity		
White, not Hispanic	269	42.43%
Black or African American, not Hispanic	117	18.45%
Hispanic, of any race	171	26.97%
Asian, not Hispanic	33	5.21%
American Indian or Alaska Native, not Hispanic	9	1.42%
Native Hawaiian or Pacific Islander, not Hispanic	1	0.16%
Two or More Races (not Hispanic)	31	4.89%
Information unavailable at this time	3	0.47%
NAEP English Language Learner		
Yes, ELL	78	12.3%
No, not ELL	548	86.44%
No, Formerly ELL	3	0.47%
Information unavailable at this time	5	0.79%
Total Enrollment:	634	

- ○ Information is **CORRECT**. To the best of my knowledge and understanding, the data are **Current** (based on 2019 - 2020 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.