



Skills Funding  
Agency

# Supplementary data collection guidance

## Version 1

This document sets out how to use the supplementary data collection.

March 2016

Of interest to technical staff in further education and skills training providers and employers.

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## **Introduction and purpose of the document**

1. This document describes the features of the supplementary data collection to claim funding based on information not collected through the Individualised Learner Record (ILR). The document also describes how to adjust funding for information that cannot be processed through our funding calculations.
2. This collection is a comma-separated value (CSV) file which you can upload to our systems through [the Data Returns section of the Hub](#).
3. For a complete understanding of how the funding system works in practice, please read this document along with our:
  - [Individualised Learner Record Specification 2015 to 2016](#)
  - [Provider Support Manual 2015 to 2016](#)
  - [ESF Funding Rates and Formula](#)
  - [Funding and performance-management rules - 2014 to 2020 ESF programme](#)

## **Understanding the terminology**

4. The terms 'we' and 'SFA' refer to the Skills Funding Agency and associated staff.
5. When we refer to 'you' or 'providers', this includes colleges, training organisations, local authorities and employers that receive funding from us to deliver education and training.

## **How this document can help you**

6. This document is divided into sections which explain what funding you can claim and how you should record it.
7. We have included a section which explains how data from the supplementary data collection feeds into one of our headline funding reports: the ESF Funding Summary Report. You can find this in paragraph 93 of this document.

## **Contract deliverables you can claim or adjust funding for**

8. You can claim or adjust funding for the following contract deliverables.
- Learner Assessment and Plan (ST01).
  - Additional Programme Cost (FS01).
  - Actual Costs (AC01).
  - Community Grant Payment (CG01).
  - Community Grant Management Cost (CG02).
  - Non-Regulated Activity (NR01): for funding adjustments only.
  - Regulated Learning (RQ01): for funding adjustments only.
  - Specification Defined deliverables (SD01 to SD10).
  - Progression deliverables (PG01 to PG06).
  - Sustained progression deliverables (SU01 to SU05, SU11 to SU15 and SU21 to SU24): for funding adjustments only.
9. For additional details regarding the costs and expenses that you should claim against the deliverables above, please refer to the [ESF Funding Rules, ESF Specifications Deliverables Evidence Requirements](#).

## **How and when to return data**

10. You need to send data to us by the deadlines in Appendix A of the [ILR specification](#) for it to be included for payment for that particular month. We will pay claims from the supplementary data collection monthly; therefore we will use the R01 to R12 collections in each funding year. Unlike the ILR collection timetable, there will not be a R13 and R14 collection because the data will be contained in the R01 and R02 collections. If you submit the file after the monthly deadline, we will not be include it for that month's payment.
11. You must have supporting evidence for each of the contract deliverables that you claim or adjust funding for.
12. Each supplementary data file ('file') is for a single contract and should include all records that are applicable for the duration of that contract.

13. Each file you submit will overwrite the previous file you submitted for that contract.
14. Individual lines within a file should not be cumulative values for the delivery to date; they represent the funding claimed for each month. If you claim activity for another month, it must be recorded on a separate line in the same file. We will add up the amount of funding for the file as a whole to calculate the total for the contract duration.
15. If you do not need to make a claim; you do not need to submit a file. You cannot split your data for a contract into separate files to transmit them separately.
16. You only need to send a file if there have been changes or additions to the records since the last file you sent. You can delete or amend records by sending a file with the records either amended or removed from the file.
17. You can enter the funding claimed for each of the deliverables listed in paragraph 8 of this document. We will add this to any funding earned from the ILR and it should represent the value claimed for each deliverable for that month.
18. Where you are submitting data for unit cost-based deliverables, enter the activity you are claiming for against the appropriate year and month. We detail these deliverables in paragraph 54 of this document.
19. We expect you to submit all new activity included in a file within three months of that activity taking place.
20. If you have any technical queries about the supplementary data collection, please email the [Service Desk](#).

### **Information in the file you must complete**

21. You must include all of the fields listed in this section in the file. You must use these field headers otherwise your file will be rejected. For more information about character length and data types, please see paragraph 89 in this document.
22. This section describes what you should record in these fields.

### **ConRefNumber**

23. This is your contract reference number, as found in Appendix 1 of your contract documentation. We will only process files with valid contract numbers.

### **DeliverableCode**

24. This is the deliverable code contained in your contract documentation. You can only enter valid deliverable codes and you must record the short codes (for example, 'AC01'):

- ST01 – Learner Assessment and Plan.
- FS01 – Additional Programme Cost.
- AC01 – Actual Costs.
- CG01 – Community Grant Payment.
- CG02 – Community Grant Management Cost.
- SD01 to SD10 – Specification Defined Deliverables.
- NR01 – Non Regulated Activity.
- RQ01 – Regulated Learning.
- PG01 to PG06 – Progression Deliverables.
- SU01 to SU05, SU11 to SU15 and SU21 to SU24 - Sustained Progression Deliverables.

### **CalendarYear**

25. This is the calendar year that the record relates to. This may differ to the calendar year in which you submitted data. The length of this field is four digits, for example '2016'.

### **CalendarMonth**

26. This is the calendar month that the record relates to. This may differ to the month in which you submitted data. The length of this field is up to two digits, for example '8'.

## CostType

27. This is a description of the type of cost you are claiming for. All records must have a 'CostType' value. Some cost types are specific to one deliverable, and you can use others for multiple deliverables.

28. Some cost types have related fields which are you must complete to validate the file.

29. For further information about valid cost type entries, please refer to the [ESF Supplementary Data Validation Rules](#).

30. You can enter the following cost type values: apportioned cost, funding adjustment, grant, grant management, other costs, staff expenses, staff full-time, staff part-time, unit cost and unit cost deduction.

### CostType: Apportioned Cost

31. An apportioned cost is where only part of your cost can be attributed to the project you are claiming for. For example, utility bills apply to an organisation and could be shared across different projects to recover the full cost.

32. An apportioned cost should not relate to staffing, and cannot be fully attributed to the contract you are claiming for in the form. If the cost directly and fully relates to this contract's delivery, you should use the cost type of 'Other Costs'.

33. You must only use this cost type is used for the Actual Costs (AC01) deliverable.

34. You must also complete the following fields, otherwise the record will be invalid.

- ReferenceType – you must only enter the value 'Invoice'.
- ProjectHours.
- OrgHours.
- Value.

### CostType: Funding Adjustment

35. You can make funding adjustments where it is not possible to amend funding by altering the ILR for the appropriate records.

36. This cost type is only available for the Non-Regulated Activity (NR01) and Regulated Learning (RQ01) deliverables.

37. You must complete the following fields, otherwise the record will be invalid.

- ReferenceType – you must only enter the values ‘Authorised Claims’ or ‘Audit Adjustment’.
- Value.

### CostType: Grant

38. You must only use this cost type for the Community Grant Payment (CG01) deliverable.

39. You must complete the following fields, otherwise the record will be invalid.

- ReferenceType – you must only enter the value ‘Grant Recipient’.
- Value.

### CostType: Grant Management

40. You must only use this cost type for the Community Grant Management Cost (CG02) deliverable.

41. You must complete the following fields, otherwise the record will be invalid.

- ReferenceType – you must only enter the value ‘Grant Recipient’.
- Value.

### CostType: Other Costs

42. Other costs are costs that do not refer to staffing and can be fully attributed to the contract for which a claim is being made. If these costs can only be partly attributed to the contract, you must enter them as an 'Apportioned Cost'.

43. You can use this cost type for the Actual Costs (AC01) and Community Grant Management Cost (CG02) deliverables.

44. You must complete the following fields, otherwise the record will be invalid.

- ReferenceType – you must only enter the value 'Invoice'.
- Value.

### CostType: Staff Expenses

45. These are staffing costs that relate to travel and subsistence expenses. You must record all costs for staff wages using the cost types 'Staff Full Time' and 'Staff Part Time'.

46. You can only use this cost type for the Actual Costs (AC01) deliverable.

47. You must complete the following fields, otherwise the record will be invalid.

- ReferenceType – you must only enter the value 'Employee ID'.
- StaffName.
- Value.

### CostType: Staff Full Time

48. These are staffing wage costs, regardless of hours worked, where the employee's time is entirely dedicated to the contract for which the claim is being made. If the employee's time is not entirely dedicated to the contract, you must record the cost under the 'Staff Part Time' cost type.

49. You can only use this cost type for the Actual Costs (AC01) deliverable.

50. You must complete the following fields, otherwise the record will be invalid.

- ReferenceType – you must only enter the value 'Employee ID'.
- StaffName.
- Value.
- TotalHoursWorked.

#### CostType: Staff Part Time

51. These are staffing wage costs, regardless of hours worked, where the employee's time is partly attributed to your ESF provision.

52. You can only use this cost type for the Actual Costs (AC01) deliverable.

53. You must complete the following fields, otherwise the record will be invalid.

- ReferenceType – you must only enter the value 'Employee ID'.
- StaffName.
- Value.
- HourlyRate.
- TotalHoursWorked.

#### CostType: Unit Cost

54. This cost type relates to the following contract deliverables.

- Learner Assessment and Plan (ST01).
- Additional Programme Cost (FS01).
- Specification Defined Deliverables (SD01 to SD10).
- Progression Deliverables (PG01 to PG06).
- Sustained Progression Deliverables (SU01 to SU05, SU11 to SU15 and SU21 to SU24).

55. The unit cost of each of these deliverables is contained in your contract. Each valid record for this cost type will generate the unit cost from your contract.

56. You must complete the 'ReferenceType' field and should use the following values depending on the contract deliverable entered.

- For deliverables ST01, FS01, and all Progression and Sustained Progression deliverables, you should use the reference type LearnRefNumber. If you use this value you must record the Unique Learner Number (ULN).
- For deliverable SD01 to SD10, you should use reference types LearnRefNumber, CompanyName or Other. The reference type used will depend on the specific details of the contract deliverable. If funding relates to a learner, you should use reference type LearnRefNumber and provide the corresponding ULN.

#### CostType: Unit Cost Deduction

57. This cost type relates to the following contract deliverables.

- Learner Assessment and Plan (ST01).
- Additional Programme Cost (FS01).
- Progression Deliverables (PG01 to PG06).
- Sustained Progression Deliverables (SU01 to SU05, SU11 to SU15 and SU21 to SU24).

58. The unit cost of each of these deliverables is shown in your contract. Each valid record for this cost type will generate a negative unit cost from your contract. This is to be used as a negative adjustment for deliverables that have been claimed separately through your ILR return.

59. You should use the reference type LearnRefNumber. You should also record the Unique Learner Number (ULN) for this cost type.

## **StaffName**

60. This is the name of the staff member you are claiming the cost for. We use this information for audit purposes.

## **ReferenceType**

61. This field provides more detail about the cost being recorded. These always relate to a cost type, and you must complete all records for the file to be valid.

62. Valid entries are:

- Employee ID.
- Invoice.
- Grant Recipient.
- LearnRefNumber.
- Company Name.
- Other.
- Authorised Claims.
- Audit Adjustment.

63. Each reference type is valid for at least one cost type. Details of which value you should use are in the 'CostType' section above (please refer to paragraphs 27 to 59 in this document) and in the [ESF Supplementary Data Validation Rules](#).

## **Reference**

64. This is your description for the reference type. This will make it clear what you are claiming for. You must make a return in this field for all records.

## **ULN**

65. The Unique Learner Number (ULN) is required for all lines that have a reference type of LearnRefNumber. If the same learner has been recorded on the ILR, this should match the ULN on the ILR for that learner.

66. You can use the default ULN value of '999999999' temporarily while a ULN is being generated. This value must not be used for records with a calendar month that is two months earlier than the month you submit the data.

### **ProviderSpecifiedReference**

67. This is an optional field for you to add an additional reference. This is for your use only and we do not use it for validation or funding.

### **Value**

68. This is the value of the cost being claimed. You must enter this for the following deliverables: RQ01, NR01, AC01, CG01 and CG02.

69. The value entered can be positive or negative, and can contain pence values as decimal places. You should not include commas or any symbols, such as pound signs, in this field.

### **HourlyRate**

70. This is the hourly rate paid for staff wages that are not fully dedicated to the provision of the contract that you are claiming for in the form, regardless of the number of hours worked. You only use this field where the 'CostType' is 'Staff Part Time'.

71. The value entered must be a positive one and must contain a maximum of two decimal places.

### **TotalHoursWorked**

72. This is the total number of hours worked. You only use this field where the 'CostType' is 'Staff Part Time' or 'Staff Full Time'.

73. The value entered must be a positive one and contain a maximum of two decimal places.

## **ProjectHours**

74. This is the number of hours within an 'Apportioned Cost' that have been dedicated to the delivery of the contract you are claiming for in the form.

75. You only use this field where the CostType is 'Apportioned Cost'.

76. The value entered must be a positive one and contain a maximum of two decimal places.

## **OrgHours**

77. This is the total number of hours that can be applied to the activity, for all 'Apportioned Cost' records. This includes time that does not relate to provision of the contract you are claiming in the form.

78. You only use this field where the CostType is 'Apportioned Cost'.

79. The value entered must be a positive one and contain a maximum of two decimal places.

## **File validation and error handling**

80. There are two stages in validating a file; field definitions and validation rules. For further information, please refer to the [validation rules](#).

## **Field definition rules**

81. The field definition rules check the following.

- All mandatory fields have been returned.
- The field data types are valid.
- The field lengths are valid.

82. We show the mandatory fields within a file, and the accepted characters in each field, in the table in paragraph 89 of this document.

83. If a field fails a field definition rule, the record will be rejected and reported on the rule violation report. Only records passing all the field definition rules will be passed through to the validation rules.

## **Validation rules**

84. If any part of a record fails the validation rules then we will reject the record with an error. If a record generates a warning then we will accept the record with a warning.

85. A record within a file must be unique in order to pass the field definition rules. This is identified using the combination of ConRefNumber, DeliverableCode, CalendarYear, CalendarMonth, CostType, ReferenceType and Reference values entered.

86. You can access the validation rules and field definition on the [ESF supplementary data](#) website. Also see the table in paragraph 89 below.

## **Filename**

87. All files must be given a filename followed by the CSV file extension. This filename will be a maximum of 54 characters, including the hyphens separating the different elements - as the length of your contract number may vary. The filename format is SUPPDATA-LLLLLLLLL-CCCCCCCCCCCCCCCCCCCC-yyyymmdd-hhnnss .CSV

88. The filename is not case sensitive and is made up of several sections separated by hyphens: Each section in the filename represents a specific piece of information.

- LLLLLLLL - the UK provider reference number (UKPRN). This must be eight characters long.
- CCCCCCCCCCCCCCCCCC - the contract reference number from the provider's Appendix 1. This is a maximum of 20 characters but may be shorter; this part of the filename does not need to be 20 characters long, if this is the case.

- yyyyymmdd-hhnnss - the date and time stamp when the file was generated. This should appear in the format above and be 15 characters long, with a hyphen separating the date and time. (y is the year, m is the numerical value of the month, d is the numerical value of the day, h is the hour in 24-hour format, n is the minute and s the second).

## Format of the data required

89. The format of the data must be:

Data	Length	Data type	Mandatory field	Accepted characters
ConRefNumber	20	varchar	Y	a-z, -, 0-9
DeliverableCode	10	varchar	Y	a-z, 0-9
CalendarYear	4	Int	Y	0-9
CalendarMonth	2	Int	Y	0-9
CostType	20	varchar	Y	a-z, spaces
StaffName	100	varchar	N	a-z, other characters, spaces
ReferenceType	20	varchar	Y	a-z, spaces
Reference	100	varchar	Y	a-z, other characters, spaces
ProviderSpecifiedReference	200	varchar	N	a-z, other characters, spaces
ULN	10	Bigint	N	0-9
Value	8, of which 2 decimals	decimal	N	0-9
HourlyRate	8, of which 2 decimals	decimal	N	0-9
TotalHoursWorked	8, of which 2 decimals	decimal	N	0-9
ProjectHours	8, of which 2 decimals	decimal	N	0-9
OrgHours	8, of which 2 decimals	decimal	N	0-9

## Uploading data to the Hub

90. Once you have prepared your file, you should upload it to the Data Returns section on [the Hub](#).

91. If you successfully submit the file to us, the following reports will be available.

- Rule Violation Detail Report (csv format) – containing the details of any records which have generated a validation error or warning.
- Rule Violation Summary Report (pdf format) – containing the summary of all validation errors or warnings.
- Funding Report (csv format).

92. If you upload your file and it contains ESF data, the 'ESF Funding Summary Report' (Excel format) will be updated when an ILR file is submitted. This will be published alongside the ILR funding and validation reports. We show further detail regarding how this report displays supplementary data values from paragraphs 93 to 98 of this document.

## How data is shown on the ESF funding summary report

93. The funding claimed through the supplementary data collection is added to the funding earned in the ILR.

94. For the ESF programme, the combined funding is shown in the 'ESF Funding Summary Report'.

95. When you submit the file it will not trigger the generation of an 'ESF Funding Summary Report' automatically. To include all data in the report, you need to resubmit your ILR after the supplementary data file.

96. Funding from August in the supplementary data file is added to funding earned from the ILR for August; supplementary data funding claimed for September is added to funding earned from the ILR for September, and so on.

97. The 'ESF Funding Summary Report' shows data from the supplementary data under the appropriate contract deliverable line. The labels on the report rows are flagged as 'ILR' or 'SUPPDATA' to show where the data is derived from.

98. This example shows how supplementary data audit adjustments are displayed next to the ILR funding totals for 'Regulated Learning' and 'Non-Regulated Activity'.

<b>European Social Fund 2014-2020</b>					
	<b>Apr-16</b>	<b>May-16</b>	<b>Jun-16</b>	<b>Jul-16</b>	<b>Aug-16</b>
<b>Learner Assessment and Plan</b>					
ILR ST01 Learner Assessment and Plan (£)	1.00	2.00	3.00	4.00	5.00
<b>Total Learner Assessment and Plan (£)</b>	<b>1.00</b>	<b>2.00</b>	<b>3.00</b>	<b>4.00</b>	<b>5.00</b>
<b>Regulated Learning</b>	<b>Apr-16</b>	<b>May-16</b>	<b>Jun-16</b>	<b>Jul-16</b>	<b>Aug-16</b>
ILR RQ01 Regulated Learning - Start Funding (£)	25.00	26.00	27.00	28.00	29.00
ILR RQ01 Regulated Learning - Achievement Funding (£)	49.00	50.00	51.00	52.00	53.00
<b>ILR Total RQ01 Regulated Learning (£)</b>	<b>74.00</b>	<b>76.00</b>	<b>78.00</b>	<b>80.00</b>	<b>82.00</b>
SUPPDATA RQ01 Regulated Learning Audit Adjustments (£)	25.00	25.00	25.00	25.00	25.00
SUPPDATA RQ01 Regulated Learning Authorised Claims (£)	30.00	30.00	30.00	30.00	30.00
<b>SUPPDATA Total RQ01 Regulated Learning (£)</b>	<b>55.00</b>	<b>55.00</b>	<b>55.00</b>	<b>55.00</b>	<b>55.00</b>
<b>Total Regulated Learning (£)</b>	<b>129.00</b>	<b>131.00</b>	<b>133.00</b>	<b>135.00</b>	<b>137.00</b>
<b>Non Regulated Activity</b>	<b>Apr-16</b>	<b>May-16</b>	<b>Jun-16</b>	<b>Jul-16</b>	<b>Aug-16</b>
ILR NR01 Non Regulated Activity - Start Funding (£)	73.00	74.00	75.00	76.00	77.00
ILR NR01 Non Regulated Activity - Achievement Funding (£)	97.00	98.00	99.00	100.00	101.00
<b>ILR Total NR01 Non Regulated Activity (£)</b>	<b>170.00</b>	<b>172.00</b>	<b>174.00</b>	<b>176.00</b>	<b>178.00</b>
SUPPDATA NR01 Non Regulated Activity Audit Adjustments (£)					
SUPPDATA NR01 Non Regulated Activity Authorised Claims (£)					
<b>SUPPDATA Total NR01 Non Regulated Activity (£)</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Total Non Regulated Activity (£)</b>	<b>170.00</b>	<b>172.00</b>	<b>174.00</b>	<b>176.00</b>	<b>178.00</b>



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