



Education & Skills  
Funding Agency



**European Union**  
European  
Social Fund

# Supplementary data collection guidance

Version 4

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

**April 2017**

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 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](#). To support you in understanding the required format of the file, an example file is available on our [website](#) with dummy data. You can use the example file to create your own files for each contract either manually or in discussion with your data software supplier. The validation rules and format required are specified in paragraphs 95 to 99.
3. For a complete understanding of how the funding system works in practice, please read the following documents along with this one:
  - [Individualised Learner Record Specification 2016 to 2017](#)
  - [Provider Support Manual 2016 to 2017](#)
  - [ESF Funding Rates and Formula](#)
  - [Funding and performance-management rules - 2014 to 2020 ESF programme](#)
  - [ESF specifications deliverables evidence requirements - 2014 to 2020 ESF Programme funding rules](#)

## **Changes to this document**

4. Since version 1 was published in March 2016 the ESF contracts have been launched and providers have been submitting the supplementary data. We have re-written the third version of this document with regard to improving clarity on when to use the supplementary data submission.

## **Understanding the terminology**

5. The terms 'we' and 'ESFA' refer to the Education and Skills Funding Agency and associated staff.
6. 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?

7. This document is divided into sections which explain what funding you can claim and how you should record it.
8. 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 99 to 104 of this document.
9. If you have any technical queries about the supplementary data collection, please email the [Service Desk](#). If you have any other queries, please contact the Education and Skills Funding Agency (ESFA) ESF Management and Delivery Team.

## Contract deliverables you can claim or adjust funding for

10. The purpose of the supplementary data submission is so you can claim funding for contract deliverables which are non-ILR deliverables. You may also use the supplementary data submission to make adjustments to the ILR contract deliverables with evidence of the explicit written approval of the ESFA.
11. ESF Contract Deliverables for funding through the supplementary data submission are:
  - Actual Costs (AC01)
  - Community Grant Payment (CG01)
  - Community Grant Management Cost (CG02)
  - Specification Defined deliverables (SD01 to SD10)

ESF Contract Deliverables for adjustment only through the supplementary data submission. Only with evidence of explicit written approval from the Education and Skills Funding Agency (ESFA) ESF Management and Delivery Team.

- Learner Assessment and Plan (ST01)
- Non-Regulated Activity (NR01)
- Regulated Learning (RQ01)
- Progression deliverables (PG01 to PG06)

- Sustained progression deliverables (SU01 to SU24)
12. For additional details regarding 'Specification Deliverables' please refer to the
- [2014 to 2020 ESF Programme funding rules](#)
  - [ESF specifications deliverables evidence requirements - 2014 to 2020 ESF Programme funding rules](#)
  - The ESF Contract

## How and when to return data

13. You need to send the supplementary 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 of the following year. The file needs to be submitted and validated by the deadline or it will not be included.
14. You must have supporting evidence that meets the requirements of your contract and provides an audit trail for each of the contract deliverables that you claim or adjust funding for.
15. Each supplementary data file ('file') is for a single contract and should include all records that are applicable for the duration of the **whole** contract, not just the period or year of the collection. Each file you submit will overwrite the previous file you submitted for that contract. This means your latest return must represent the cumulative value.
16. 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. Individual lines within a file should not be cumulative values for the delivery to date; they represent the funding claimed for each month.
17. You cannot split your data for a contract into separate files to transmit them separately.

18. You only need to send a file if there have been changes or additions to the records since the last file you sent. This means that your last validated submission represents your current position. You can delete or amend records by sending a file with the records either amended or removed from the file. Where activity previously claimed/paid is subsequently amended or removed, you should ensure an audit trail is maintained to provide an explanation if this is required in future audits.
19. You can enter the funding claimed for each of the deliverables listed in paragraph 11 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.
20. Where you are submitting data for unit cost-based deliverables, enter the activity you are claiming for against the appropriate year and month. We list these deliverables in paragraph 56 of this document.
21. We expect you to submit all new activity included in a file within two months of that activity taking place.

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

22. 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 95 in this document.
23. This section describes what you should record in these fields.

#### **ConRefNumber**

24. This is your contract reference number, as found in Appendix 1 of your contract documentation, for example ESF-9876. We will only process files with valid contract numbers.

#### **DeliverableCode**

25. 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, ST01):
  - AC01 – Actual Costs

- CG01 – Community Grant Payment
- CG02 – Community Grant Management Cost
- SD01 to SD10 – Specification Defined Deliverables

ESF Contract Deliverables for adjustment only through the supplementary data submission are shown below. They can be used only with evidence of explicit written approval from the ESFA ESF Management and Delivery Team.

- ST01 – Learner Assessment and Plan.
- NR01 – Non Regulated Activity
- RQ01 – Regulated Learning
- PG01 to PG06 – Progression Deliverables
- SU01 to SU24 - Sustained Progression Deliverables

### **CalendarYear**

26. This is the calendar year that the activity 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**

27. This is the calendar month that the activity 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 for August and 12 for December.

### **CostType**

28. This is a description of the type of cost you are claiming for. All records must have a 'CostType' value. 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.

29. Some cost types are specific to one deliverable, and you can use others for multiple deliverables. For further information about valid cost type entries, please refer to the [ESF Supplementary Data Validation Rules](#).

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



### **CostType: Apportioned Cost**

31. You must only use this cost type for the Actual Costs (AC01) deliverable.
32. 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.
33. 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'.
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. This cost type is only available for the Non-Regulated Activity (NR01) and Regulated Learning (RQ01) deliverables.
36. For adjustments to other ILR deliverables, please refer to paragraph 61.
37. Funding Adjustments must only be made following explicit written approval from the ESFA ESF Management and Delivery Team and be supported by a robust audit trail.
38. You must complete the following fields, otherwise the record will be invalid.
  - ReferenceType – you must only enter the values
    - 'Authorised Claims' (to address corrections required that cannot be made via normal ILR return methods) or;
    - 'Audit Adjustment' (where activity needs to be removed/amended following compliance/audit visits).
  - Value

39. When submitting authorised claims or audit adjustments the 'Reference Field' should show the learner's ULN. For multiple adjustments you will need to enter multiple rows each with the ULN reference. The value of the required adjustment should be recorded in the 'Value' field. For example, if a learner has earned £1,500 for a RQ01 deliverable, the funding needs to be adjusted down to £1,250 and the correction cannot be made via ILR, the ULN for the learner would be entered into the 'Reference Field' and the 'Value' entered would be -£250.

### **CostType: Grant**

40. You must only use this cost type for the Community Grant Payment (CG01) 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: Grant Management**

42. You must only use this cost type for the Community Grant Management Cost (CG02) deliverable.
43. 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**

44. You can use this cost type for the Actual Costs (AC01) deliverable.
45. 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'.
46. You must complete the following fields, otherwise the record will be invalid.
- ReferenceType – you must only enter the value 'Invoice'

- Value

### **CostType: Staff Expenses**

47. You can only use this cost type for the Actual Costs (AC01) deliverable.
48. 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'.
49. 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**

50. You can only use this cost type for the Actual Costs (AC01) deliverable.
51. 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.
52. 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**

53. You can only use this cost type for the Actual Costs (AC01) deliverable.
54. These are staffing wage costs, regardless of hours worked, where the employee's time is partly attributed to your ESF provision.

55. 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**

56. This cost type is used for the Specification Defined deliverables (SD01 to SD10).

57. 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.

58. You must complete the 'ReferenceType' field and should use the following values depending on the contract deliverable entered. For the specification defined deliverables 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.

59. In exceptional circumstances the supplementary data submission may be used for the contract deliverables which are usually paid through the monthly ILR submission. It can only be used for these contract deliverables following explicit written approval from the ESFA ESF Management and Delivery Team and must be supported by a robust audit trail.

- Learner Assessment and Plan (ST01)
- Non-Regulated Activity (NR01)
- Regulated Learning (RQ01)
- Progression deliverables (PG01 to PG06)
- Sustained progression deliverables (SU01 to SU24)

60. You should use the reference type LearnRefNumber when adjusting unit costs according to paragraph 58. If you use this value, you must record the Unique Learner Number (ULN).

### **CostType: Unit Cost Deduction**

61. Any amendments to ILR deliverables should be done through the ILR. However, this might not be possible when there are exceptional circumstances, for example, after the academic year hard close of the ILR. The Unit Cost Deduction is then an option which must be approved by the ESFA ESF Management and Delivery Team and be supported by a robust audit trail.
62. This cost type relates to adjustments that need to be made to the following contract deliverables.
  - Learner Assessment and Plan (ST01)
  - Progression Deliverables (PG01 to PG06)
  - Sustained Progression Deliverables (SU01 to SU24)
63. 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 against the deliverables payments that have been generated through your ILR return, and subsequently need to be removed.
64. You should use the reference type LearnRefNumber. You should also record the Unique Learner Number (ULN) for this cost type.

### **StaffName**

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

### **ReferenceType**

66. 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.
67. Valid entries are:
  - Employee ID
  - Invoice
  - Grant Recipient

- LearnRefNumber
- Company Name
- Other
- Authorised Claims
- Audit Adjustment

68. 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 28 to 64 in this document) and in the [ESF Supplementary Data Validation Rules](#).

### **Reference**

69. 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**

70. 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.

### **ProviderSpecifiedReference**

71. 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. In instances of authorised claims/audit adjustment, it would be useful if providers could use the provider specified reference to include the name of the SFA colleague involved in discussion prior to claim.

### **Value**

72. This is the value of the cost being claimed. You must enter this for the following deliverables: RQ01, NR01, AC01, CG01 and CG02. The RQ01 and NR01 deliverables should only be used in cases of authorised claims or audit adjustments.

73. 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**

74. 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'.
75. The value entered must be a positive one and must contain a maximum of two decimal places.

### **TotalHoursWorked**

76. This is the total number of hours worked. You only use this field where the 'CostType' is 'Staff Part Time' or 'Staff Full Time'.
77. The value entered must be a positive one and contain a maximum of two decimal places.

### **ProjectHours**

78. 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.
79. You only use this field where the CostType is 'Apportioned Cost'.
80. The value entered must be a positive one and contain a maximum of two decimal places.

### **OrgHours**

81. 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.

82. You only use this field where the CostType is 'Apportioned Cost'.
83. The value entered must be a positive one and contain a maximum of two decimal places.

### **File validation and error handling**

84. There are three stages in validating a file; file level, field definition and validation rules. For further information, please refer to the [validation rules](#).

### **File level rules**

85. If the file fails a file level error, then the whole file will be rejected and reported on the rule violation report(s). In this instance a Funding Summary report will not be produced.
86. File level rules will ensure the format of the file and the filename are correct.

### **Field definition rules**

87. The field definition rules check the following:
  - All mandatory fields have been returned
  - The field data types are valid
  - The field lengths are valid
88. We show the mandatory fields within a file and the accepted characters in each field, in the table in paragraph 95 of this document.
89. 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**

90. 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.



91. 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.
92. You can access the validation rules and field definition on the [ESF supplementary data](#) website. Also see the table in paragraph 95 below.

## Filename

93. 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-hhnss .CSV
94. 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.
  - CCCCCCCCCCCCCCCCCCCC - the contract reference number from Appendix 1. This is a maximum of 20 characters but is currently in the format ESF-8976.
  - yyyymmdd-hhnss - 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

95. 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
ProviderSpecified Reference	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

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

97. 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).
98. 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.

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

99. The funding claimed through the supplementary data collection is added to the funding earned in the ILR.
100. For the ESF programme, the combined funding is shown in the ‘ESF Funding Summary Report’.
101. 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.
102. 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.
103. 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.
104. This example shows how supplementary data audit adjustments are displayed next to the ILR funding totals for ‘Regulated Learning’ and ‘Non-Regulated Activity’.

□ Provider Name :	xxxxxxx
UKPRN :	xxxxxxx
ILR File :	ILR-xxxxxxxxxx-1516-20160505-130000-01.xml
Last ILR File Update :	2016-05-05 13:00:00
File Preparation Date :	31/07/2016
Contract Reference Number :	ESF-2029
Supplementary Data File :	SUPPDATA-1

European Social Fund 2014-2020

Learner Assessment and Plan	April 2016	May 2016	June 2016	July 2016	Total
ILR ST01 Learner Assessment and Plan (£)	0.93	0.00	0.00	0.00	0.93
<b>Total Learner Assessment and Plan (£)</b>	<b>0.93</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.93</b>

Regulated Learning	April 2016	May 2016	June 2016	July 2016	Total
ILR RQ01 Regulated Learning - Start Funding (£)	808.39	536.61	401.25	0.00	1,746.25
ILR RQ01 Regulated Learning - Achievement Funding (£)	0.00	2,425.16	2,425.16	70,329.50	75,179.82
<b>ILR Total RQ01 Regulated Learning (£)</b>	<b>808.39</b>	<b>2,961.77</b>	<b>2,826.41</b>	<b>70,329.50</b>	<b>76,926.07</b>
SUPPDATA RQ01 Regulated Learning Audit Adjustments (£)	-57.45	-27.36	0.00	0.00	-84.81
SUPPDATA RQ01 Regulated Learning Authorised Claims (£)	23.45	16.98	0.00	0.00	40.43
<b>SUPPDATA Total RQ01 Regulated Learning (£)</b>	<b>-34.00</b>	<b>-10.38</b>	<b>0.00</b>	<b>0.00</b>	<b>-44.38</b>
<b>Total Regulated Learning (£)</b>	<b>774.39</b>	<b>2,951.39</b>	<b>2,826.41</b>	<b>70,329.50</b>	<b>76,881.69</b>

Non Regulated Activity	April 2016	May 2016	June 2016	July 2016	Total
ILR NR01 Non Regulated Activity - Start Funding (£)	1,500.00	104.86	0.00	0.00	1,604.86
ILR NR01 Non Regulated Activity - Achievement Funding (£)	0.00	0.00	0.00	0.00	0.00
<b>ILR Total NR01 Non Regulated Activity (£)</b>	<b>1,500.00</b>	<b>104.86</b>	<b>0.00</b>	<b>0.00</b>	<b>1,604.86</b>
SUPPDATA NR01 Non Regulated Activity Audit Adjustments (£)	-34.56	0.00	0.00	0.00	-34.56
SUPPDATA NR01 Non Regulated Activity Authorised Claims (£)	23.45	0.00	0.00	0.00	23.45
<b>SUPPDATA Total NR01 Non Regulated Activity (£)</b>	<b>-11.11</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>-11.11</b>
<b>Total Non Regulated Activity (£)</b>	<b>1,488.89</b>	<b>104.86</b>	<b>0.00</b>	<b>0.00</b>	<b>1,593.75</b>