The European Social Fund round 2 supplementary data collection guidance from April 2019

March 2019: Version 1

Contents

Introduction and purpose of the document

1   This document sets out how to submit non-ILR data and ILR adjustments through the supplementary data collection for round 2 European Social Fund contracts.

2   We may make changes to these principles and features during the funding year.

3   Of interest to further education and skills training providers.

Understanding our terminology

4   The term 'we' refers to the Education and Skills Funding Agency. When we refer to 'you' or 'providers', this includes colleges, Higher Education Institutions, training organisations, local authorities and employers that receive funding from us to deliver education and training.

What if I have an ESF contract for delivery up to April 2019?

5   This document relates to ESF delivery for round 2 contracts starting from April 2019 only. For ESF delivery on round 1 contracts for delivery prior to April 2019, please refer to the following documentation:

- 2014 to 2020 ESF Programme funding rules
- ESF specifications deliverables evidence requirements - 2014 to 2020 ESF Programme funding rules
- ESF Funding Rates and Formula for round 1 contracts prior to April 2019
- Supplementary Data Guidance for round 1 contracts prior to April 2019

What if I have a contract for ESF for delivery up to April 2019 and a contract for ESF delivery after April 2019?

Round 1 Contracts

6   If you have a contract for both rounds of ESF delivery, then you will need to continue to submit data for the Round 1 contract until the end of the 2018 to 2019 funding year using the previous supplementary data submission format.

7   There is no change to the way you submit you Round 1 data, so you must continue to submit this in the same way you have been submitting your data so far.

Round 2 Contracts

8   You must submit round 2 contracts according to the guidance in this document.

Data submission

9   You should continue to submit supplementary data as you have done previously through the hub.

10   Within the "active" area of the "data returns" tab, there will be a submission link for each contract round you can submit data for from April as shown in the image below.

Figure 1: submitting round 2 supplementary data

11   You must ensure you submit round 1 contract data through the "ESF Supplementary Data" link, and round 2 contract data through the "ESF Round2 Supplementary Data" link.

What is the supplementary data submission?

12   The 'supplementary data submission' is a file you create containing information about your ESF delivery that you cannot record in the Individualised Learner Record (ILR). It helps us work out how much money you are entitled to for your ESF delivery.

13   Your primary method for returning learner data will be the ILR. You will use the supplementary data submission in only 2 circumstances:

- You need to submit deliverables that cannot be recorded on the ILR (for example, a Local Enterprise Partnership (LEP) agreed delivery plan, or a community grant)
- In exceptional circumstances, where you have been authorised by us to alter your ILR data, by submitting amendments on your supplementary data submission

14   For a complete understanding of how the funding system works, please also read:

- Individualised Learner Record Specification 2018 to 2019
- Provider Support Manual 2018 to 2019
- Supplementary data guidance – ESF Round 1 up to March 2019
- Funding and performance-management rules – ESF Round 2 from April 2019
- ESF specifications deliverables evidence requirements - ESF Round 2 from April 2019

Changes from the previous round of contracts

15   The principles of how we calculate your funding and set funding rates have not changed. We will fund all learning aims at the same rate as those in the previous contract round (Round 1). If we did not fund the learning aim in the previous contract round (Round 1), we will use a single activity matrix to set rates for all eligible learning activity, including eligible qualifications.

16   We have removed funding for non-regulated learning aims with a learning duration of under 7 hours.

17   You must use a new Round 2 Supplementary Data file template to submit your new contract deliverables only. We have removed and changed several fields to be clearer about what data you need to enter in each field.

- We have added two new fields:
  - "LearnAimRef" field – the code from LARS for the learning aim being delivered
  - "SupplementaryDataPanelDate" field – the date of the ESF panel that has approved your requested modifications to ILR data in your Supplementary Data
- We have removed five fields:
  - StaffName
  - HourlyRate
  - TotalHoursWorked
  - ProjectHours
  - OrgHours
- There are fewer deliverable codes that you can submit in your supplementary data file to reflect the deliverables available across the new contracts.

18   You will receive a new set of funding reports for your new contracts that show your deliverables from April 2019 onwards, and you will receive your former reports alongside these until the end of the 2018 to 2019 funding year. We will base these on your previous funding reports; the only structural difference will be in the Funding Summary Report, where we will show fewer rows to reflect the reduction in deliverables in the new contracts.

Can I claim funding for our learners?

19   You can use the Supplementary Data submission to claim funding for your ESF delivery if you have any of these contract deliverables:

- Community grant payment (CG01)
- Community grant administration cost (CG02)
- Learner progression within work (SD01)
- LEP agreed delivery plan (SD02)

20   You can also use the supplementary data submission to **adjust your ILR** if you have had explicit written approval from our ESF Management and Delivery Team.

21   You must discuss your adjustment to ILR data with your ESF management and delivery advisor, who will help you prepare a business case for a Supplementary Data Panel. Once you have received confirmation your request has been accepted, then you can then use the supplementary data submission for any of these ILR content deliverables that have been approved:

- Learner Assessment and Plan (ST01)
- Non-regulated Activity (NR01)
- Regulated Learning (RQ01)
- Progression deliverables (PG01, PG02, PG03, PG04)

How do I claim ESF funding?

22   You need to submit any activity that qualifies for funding in a 'supplementary data submission' within 2 months of that activity taking place.

23   Your submission must be a CSV file. You can upload the CSV in the Data Returns section of the Hub.

24   The file must use format shown in this example file: View example CSV file

25   Please take care to use the exact field names you see in the file – otherwise we will reject your submission.

26   Once you submit a file successfully, we will generate 3 reports for you:

- Rule Violation Summary Report (PDF) – this will show you an overview of the errors and warnings within your submission for each error or warning type.
- Rule violation detail report (CSV) – this will show you any records with errors or warnings, for example, "The CalendarMonth must be in numbers, not letters".
- Funding Report (CSV) – we have added in your unit cost values for your deliverables to your original supplementary data submission; this allows you to see your claimed funding that has passed validation.

General guidance for completing your supplementary data submission

27   Under regular circumstances, your supplementary data submission should only contain details about your ESF delivery that you cannot record in the ILR. You may use your supplementary data submission to alter your ILR data, only if you have received approval to submit an ILR adjustment deliverable from a supplementary data panel.

28   Each line in the supplementary data submission must be about a single learning delivery only. For example, you must record an NR01 deliverable for each Non-regulated learning aim you are modifying funding for, and a CG01 deliverable for each community grant you have funded.

29   You only need to submit data regularly through the supplementary data submission for Community Grants and Skills Support for the Workforce contracts. You may submit a supplementary data file for any contract if you need to alter your ILR data, and you have prior approval to do so from a supplementary data panel.

Submitting data for a contract

30   The file needs to include all the data you submit for your contract from when it started – not just the period or year that you are submitting data in. If you submit a supplementary data submission with a previous month's data removed, we will recover any payments from you relating to that missing data.

31   You need to submit a supplementary data file for each contract you hold – you cannot submit data for more than one contract in a single file.

32   We cannot accept data for a single contract split between files – it must be contained within a single file.

33   Each CSV file you submit will overwrite the last one you submitted for that contract; therefore, your latest return must represent the cumulative value.

34   You only need to send a new file if there have been changes or additions since the last file you sent.

35   When you claim for activity in any given month, you add it to the CSV file in a separate line to any activity you claimed for in previous months. We will make the cumulative calculations for you.

When to submit your supplementary data

36   The supplementary data return operates across years. Consequently, there is no R13 or R14 return for supplementary data like there is for the ILR. Instead, your data must reach us by the 4th working day of each month for R1-R12 returns:

- R01 – 4th working day of September
- R02 – 4th working day of October
- R03 – 4th working day of November
- R04 – 4th working day of December
- R05 – 4th working day of January
- R06 – 4th working day of February
- R07 – 4th working day of March
- R08 – 4th working day of April
- R09 – 4th working day of May
- R10 – 4th working day of June
- R11 – 4th working day of July
- R12 – 4th working day of August

Evidence for audit assurance

37   You must ensure you keep the supporting evidence that meets the requirements of your contract, and for when you amend or remove data. This provides an audit trail for each contract deliverable you are claiming or adjusting funding for. You may need to show proof in a future audit.

38   For further information about the supporting evidence you need to keep, you should refer to the funding rules.

How much have I earned?

39   After submitting your ILR or supplementary data, we will produce an 'ESF Funding Summary Report' in the business reports section of the Hub. This shows you your earnings per deliverable based on your latest submitted ILR and supplementary data.

40   For example, supplementary data funding claimed for April in the supplementary data file is added to funding earned from the ILR for April; supplementary data funding claimed for May is added to funding earned from the ILR for May, and so on.

41   The funding in your Funding Summary Report relates to when you earned the funding, not when we pay you for it.

Naming your CSV file

42   Your file must follow these naming guidelines for our system to accept your supplementary data submission.

- Must end with the .csv file extension and follow this format

SUPPDATA2-LLLLLLLL-CCCCCCCC-yyyymmdd-hhnnss.csv where:

- L = UK provider reference number (UKPRN) – this must be 8 characters
- C = contract reference number (For example, ESF-5001)
- y = year at file creation
- m = month at file creation
- d = day at file creation
- h = hour at file creation
- n = minute at file creation
- s = second at file creation

Supplementary data validation

43   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

44   If the file fails a file level error, then we will reject the whole file and we will report this on the rule violation reports. If this happens, we will not produce a Funding Summary report for you.

45   File level rules ensure the format of the file and the filename are correct.

Field definition rules

46   The mandatory fields within a file and the accepted characters in each field are shown in the table below:

Data	Length	Data Type	Mandatory Field	Accepted Data
ConRefNumber	20	Varchar	Y	a-z, -, 0-9
DeliverableCode	10	Varchar	Y	a-z, 0-9
CalendarYear	4	Integer	Y	2019, 2020, 2021
CalendarMonth	2	Integer	Y	0-12
CostType	20	Varchar	Y	Grant, Grant Management, Unit Cost, Unit Cost Deduction, Authorised Claims
ReferenceType	20	Varchar	Y	Grant Recipient, LearnRefNumber, Other
Reference	100	Varchar	Y	A-Z, Other Characters, Spaces
ULN	10	Big Integer	N	0-9
ProviderSpecified Reference	200	Varchar	N	A-Z, Other Characters, Spaces
Value	8, of which 2 decimals	Decimal	N	0-9
LearnAimRef	8	Varchar	N	a-z, -, 0-9
SupplementaryData PanelDate	-	Date	N	Numerical date as dd-mm-yyyy

Table 1: Valid data by field

47   The field definition rules check the following:

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

48   If a field fails a field definition rule, we will reject the record and we will report this on the rule violation report. We will only accept records passing all the field definition rules.

Validation rules

49   If any part of a record fails the validation rules, then we will reject the record with an error. We produce validation warnings where the data is unusual or where the data is allowed under certain circumstances. We load records that produce warnings into the national database, however you should check these records to ensure the data is correct.

50   A record within a file must be unique to pass the field definition rules. We identify this using the combination of the ConRefNumber, DeliverableCode, CalendarYear, CalendarMonth, CostType, ReferenceType and Reference values.

51   You can access the validation rules on gov.uk.

Field-by-field guidance for completing your supplementary data submission

52   All fields are mandatory unless specified below.

ConRefNumber

53   You must record your contract reference number. You will find it in Appendix 1 of your contract documentation; for example, ESF-5001.

DeliverableCode

54   You must record the type of activity you are claiming funding for. The table below shows all the deliverable codes you can claim for funding under different types of contracts. In the table, we have abbreviated the types of contracts; these are Skills Support for the Unemployed (SSU), Not in Education, Employment or Training (NEET), Community Grants (CG), and Skills Support for the Workforce (SSW).

Deliverable	Deliverable code	Requires approval	SSU	NEET	CG	SSW
Learner assessment & plan	ST01	YES	YES	YES	YES	YES
Regulated learning	RQ01	YES	YES	YES		YES
Non-regulated activity	NR01	YES	YES	YES		YES
Progression paid employment	PG01	YES	YES	YES	YES	YES
Progression education	PG03	YES	YES	YES	YES	YES
Progression apprenticeship	PG04	YES	YES	YES		YES
Progression traineeship	PG05	YES	YES	YES		
Progression within work	SD01					YES
LEP agreed delivery plan	SD02					YES
Community grant payment	CG01				YES	
Community grant management cost	CG02				YES	

Table 2: Valid deliverables to return by contract

CalendarYear

55   You must record the calendar year the activity has taken place. This could be different to the year you submit the data. It should be 4 digits, for example 2019.

CalendarMonth

56   You must record the calendar month the activity has taken place. This could be different to the month you submit the data. It should be up to 2 digits long, for example 5 for May or 12 for December.

CostType

57   You must record the description of the type of cost you are claiming. The type you can select depends on the DeliverableCode. The CostTypes you can choose from are in the table below for each DeliverableCode:

DeliverableCode	Available CostTypes
CG01	Grant
CG02	Grant Management
SD01, SD02 ST01 PG01, PG03, PG04, PG05	Unit Cost
ST01 PG01, PG03, PG04, PG05	Unit Cost Deduction
NR01, RQ01	Authorised Claims

Table 3: CostTypes by deliverable

ReferenceType

58   The reference type describes the data required in the reference field. The ReferenceTypes you can use depend on the CostType you have recorded. The options you can record for each CostType are in the table below. This is a mandatory field.

CostType	ReferenceType
Grant	Grant Recipient
Grant Management	Grant Recipient
Unit Cost	LearnRefNumber, Other
Unit Cost Deduction	LearnRefNumber
Authorised Claims	LearnRefNumber

Table 4: ReferenceTypes by CostType

Reference

59   You must record a reference that should reflect what you are describing in the "ReferenceType" field.

60   You must describe exactly what you are claiming for in under 100 characters.

61   If you need to use a comma as part of a reference, you must ensure you enclose the whole reference with double quotes, or we may reject your file. For example, "Education, Training and Teaching Ltd".

ReferenceType	Reference Needed
Grant Recipient	Name of the business receiving a grant
Grant Recipient	Name of the business receiving a grant matching the corresponding CG01 deliverable
LearnRefNumber	LearnRefNumber for the adjusted learning delivery
Other	Name of the LEP approving the delivery plan

Table 5: Reference by ReferenceType

ULN

62   This field is only required if your ReferenceType is LearnRefNumber.

63   This is the Unique Learner Number for the learner. If the same learner is on your ILR return, the ULN should match the ULN you gave for the learner in the ILR.

ProviderSpecifiedReference

64   This is an optional field.

65   You can add your own reference here. For adjustment claims, it can be useful to include the name of the ESFA colleague you discussed adjusting your claim with.

Value

66   You must complete this field unless your CostType is either Unit Cost or Unit Cost Deduction, in which case you must not fill this in as this will result in an error and the record will fail validation.

67   This field must be entered for the following deliverables:

- CG01
- CG02
- NR01
- RQ01

68   You need to enter the value of the cost being claimed using numbers and a decimal point only. You can record a positive number, for example 45.24, or negative number, for example -12.79.

LearnAimRef

69   This is the Learning Aim Reference, as recorded on LARS, for the learning delivery you are adjusting. The same learning delivery must be on your ILR return for the corresponding ULN / LearnRefNumber you gave for the learner in your supplementary data return.

SupplementaryDataPanelDate

70   You must have our approval for any changes to your ILR data through your supplementary data file. You must create a business case to request approval from your ESF Management and Delivery Advisor. We will then review your request and if approval is granted, your ESF Management and Delivery Advisor will communicate the date that our Supplementary Data Panel approved your request, which you must record in this field.

When will you pay us?

71   We will pay you monthly in arrears. We will add any extra funding claimed through the supplementary data to your ILR payment.

72   For more about the rates we will pay you, see the ESF Funding Rates and Formula guide.

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