

Coronavirus (COVID-19) 2020-21 year-end declaration form – England only

Guidance to help you with the form completion in Compass

Updated 7 May 2021

Background:

During the coronavirus pandemic NHS England and NHS Improvement (NHSE&I) have issued [letters and guidance documents](#) which have included information on contractual obligations.

The requirements to complete a declaration at year end are included within [Issue 7, preparedness letter and supporting guidance – 22 December 2020](#) and the [Guidance to support dental contract management arrangements for the 2020/21 year-end reconciliation](#)

Completion of the year-end declaration form is a mandatory requirement for ALL dental contracts which have been open for part or all year between 1 April 2020 and 31 March 2021 and are managed in Compass

NHS Business Services Authority (NHSBSA) have worked closely with NHSE&I to create a form in Compass to collect the data required to comply with the requirements for the 2020-21 year-end declaration together with some guidance notes to support completion.

Requirements:

There are 10 statements where the Provider is required to provide a response for each contract managed in Compass. The requirement is for the declaration to be completed by the Provider (Should you need to change or reset your Provider password please refer to the guidance on our [website](#)).

The table included in [Appendix 1](#) identifies the requirement as set out in the NHSE&I documents and the corresponding questions on the Compass eForm. You will be required to provide a response for each question, and you will not be able to submit the form until all the questions have been answered and the declaration completed.

Purpose & failure to comply:

This information is being collected by NHSBSA on behalf of NHS England and NHS Improvement. Information and data will be shared with the regional commissioning teams and Provider Assurance Teams as part of the year end contract reviews being undertaken for 2020-21 year-end.

All contracts are expected to complete the year-end declaration even if they are not able to confirm full compliance with the requirements as set out in letter 7. Providers will be given an opportunity to provide further evidence to support their responses in the year-end declaration form before any contractual action is taken.

Failure to submit your year-end declaration eForm by 11:59pm on 31 May 2021 may lead to contractual action being taken by your NHS England and NHS Improvement regional team

Completing the form:

Log into Compass and open the COVID-19 menu from the menu then select 'Year End Declaration'. This will open a screen where you can start a new form and see any previously submitted year end forms for your Provider ID.

Select 'start new form' to open the screen below. Select the correct Provider ID and appropriate contract number from the drop-down lists and then respond to each of the 10 questions as per notes in appendix 1.

Compass 2021 year-end declaration screen entry

2021 Year End Declaration - Form Entry

1. Declaration Details

Username

Provider ID

Contract ID

Q1. Have the workforce risk assessments for your contract been completed?

Q2. Have monthly workforce returns been completed for your contract and has the contract retained the workforce?

Q3. Has the Provider met its contractual obligation to pay the practice (s) workforce at previous levels during the period from April to December 2020?

Q4. Please enter the proportion of NHS and private turnover for your contract

% NHS

% Private

Q5. Has the surgery(s) opening hours met contractual requirements and been open for the provision of NHS services?

Q6. Please enter a valid nhs.net or an alternative valid email address for the principle practice

Q7. Has the Provider received any duplicate or superfluous funding from the NHS or other government sources - including furlough or additional sick or parental leave pay that was not used to pay for cover?

Q8. Has the contract ensured that face-to-face urgent dental care is available for regular and non-regular attenders via direct contact or referral via NHS 111?

Q9. Has the contract reviewed any deferred courses of treatment and restarted these where appropriate to do so?

Q10. Has the contract ensured that patients who normally attend the practice are prioritised for care in terms of their risk?

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All questions must be answered and for further help on definition for response please refer to [appendix 1](#)

If the response to Q2 or Q3 is either 'partial' or 'no' a comments box will appear for entry of mitigating reasons for not being fully compliant. Comments are mandatory however there is a 1,000-character limit so responses will need to be concise.

The screenshot shows two questions from a form. Question 2 asks: "Have monthly workforce returns been completed for your contract and has the contract retained the workforce?" with a dropdown menu set to "No". Below it is a "Q2 Comments" field with a yellowed-out text area. Question 3 asks: "Has the Provider met its contractual obligation to pay the practice (s) workforce at previous levels during the period from April to December 2020?" with a dropdown menu set to "Partial". Below it is a "Q3 Comments" field with a yellowed-out text area.

For Orthodontic contracts a 'No' response can be entered for Q8 and Q9. A check against the contract number will be made to confirm that the contract is an Orthodontic only contract.

Once all questions have been answered select the 'Next' button which will then open the Provider declaration screen.

The screenshot shows the "2021 Year End Declaration - (IDN Limited, 1814350144) - Form Entry" screen. The current section is "2. Provider Declaration". It contains a checkbox for confirmation, a list of terms and conditions, and input fields for "Firstname", "Surname", and "Provider contact email address". The "Firstname" field is yellowed out. At the bottom, there are "Exit Form" and "Cancel Form" buttons on the left, and "2021 Year End Declaration - Page 2 of 2" in the center, and "< Back" and "Next >" buttons on the right.

Complete the data entry and tick the box to confirm that you have read the declaration.

The email address entered in this declaration may be used to contact you to request further evidence as part of the 2020-21 year-end reconciliation process.

By selecting 'next' you will see a screen with a copy of the responses, and you can complete your entry by selecting 'submit form'.

Amending entries:

There is an opportunity to amend an entry once submitted. To change a form 'select' the correct form from the list. Then use the 'Amend Form' button which will allow you to change any of the previous entries and resubmit.

Appendix 1: Questions and response guidance for Compass year-end declaration form

No	Statement (as per letter7)	Compass Question	Provider response	Guidance notes
1	Completion of workforce risk assessments.	Have the workforce risk assessments for your contract been completed?	Yes/No	Yes - Fully complied with workforce risk assessment requirements as set out in the COVID-19 guidance and updates published in 2020-21 No – Not fully met the requirements
2	Completion of the monthly workforce return and retention of the workforce.	Have monthly workforce returns been completed for your contract and has the contract retained the workforce?	Yes/Partial/ No	Yes - Fully complied with submission of monthly workforce returns and retention of the workforce in line with the COVID-19 guidance and updates published in 2020-21 Partial – Have been unable to fully comply with the requirements and can provide evidence of mitigating circumstances. No - Have not met any of the requirements
3	Declaration that payments during the 2020/21 contract year have been made to the practice workforce from April – December.	Has the Provider met their contractual obligation to pay the practice(s) workforce at previous levels during the period from April to December 2020?	Yes/Partial/ No	Yes - Fully complied with requirements on workforce pay as set out in the COVID-19 guidance and updates published in 2020-21 Partial – Have been unable to fully comply with the requirements and can provide evidence of mitigating circumstances. No - Have not met any of the requirements
4	Declaration of proportion of NHS and private turnover.	Please enter the proportion of NHS and private turnover for your contract?	% NHS % Private	This should be an indicative % split of the expected 2020-21 annual account submission for the contract. This figure will form part of the Post Payment Verification (PPV) exercise which will be completed for 2021/22 and will allow an evaluation of the indicative figure provided.
5	Declaration of surgery opening hours and availability of NHS services.	Has the contract surgery(s) opening hours met contractual requirements and been open for the provision of NHS services?	Yes/No	Yes - If you have fully complied with the contracted opening hours in line with the COVID-19 guidance and updates published in 2020-21 and the contract has been providing NHS services. No – Not fully met the requirements

No	Statement (as per letter7)	Compass Question	Provider response	Guidance notes
6	Practice has an NHS nhs.net email address that is active.	Please enter a valid nhs.net or an alternative valid email address for the principal practice?	Email address entry	Enter nhs.net email or alternative email address for principal practice contract location.
7	Practice has not received any duplicate or superfluous funding from the NHS or other government sources – including furlough or additional sick or parental leave pay that was not used to pay for cover.	Has the Provider received any duplicate or superfluous funding from the NHS or other government sources – including furlough or additional sick or parental leave pay that was NOT used to pay for cover?	Yes/No	<p>Yes - The contract has received additional funding which has not been used to pay for NHS cover. This would include any business rates grants received.</p> <p>Payments from sources below are not classed as additional funding:</p> <ul style="list-style-type: none"> • Business loans • Furlough payments for private staff <p>No - The contract has NOT received additional funding</p>
8	Practice has ensured that face-to-face urgent dental care is available for regular and non-regular attenders via direct contact or referral via 111.	Has the contract ensured that face-to-face urgent dental care is available for regular and non-regular attenders via direct contact or referral via NHS111?	Yes/No	<p>Yes - has fully met the requirement in line with the COVID-19 guidance and updates published in 2020-21.</p> <p>No - has not fully met the requirement or is an Orthodontic contract.</p>
9	Practice has reviewed any interrupted patient care pathways and restarted these where appropriate to do so.	Has the contract reviewed any deferred courses of treatment and restarted these where appropriate to do so?	Yes/No	<p>Yes - has fully met the requirement in line with the COVID-19 guidance and updates published in 2020-21.</p> <p>No - has not fully met the requirement or is an Orthodontic contract.</p>
10	Practice has ensured that patients who normally attend the practice are prioritised for care in terms of their risk.	Has the contract ensured that patients who normally attend the practice are prioritised for care in terms of their risk?	Yes/No	<p>Yes - has fully met the requirement in line with the COVID-19 guidance and updates published in 2020-21.</p> <p>No - has not fully met the requirement</p>