NHSBSA Provider Assurance Dental 2020/21 Year End Reconciliation Operational Plan

**Period 2 - 8 June to 31 December 2020**

Holding contract arrangements were in place that facilitated monthly payments in 2020/21 to all practices, equal to 1/12th of their TCV.

From 8th June practices were expected to reopen, with all being open on 20 July, providing patient care on a remote and face to face basis, subject to capacity, capability, availability of the workforce, supply of PPE, fit testing, and local public health guidance. From the 20July, the expectation was that practices would be delivering the equivalent of at least 20% of historic patient care volumes. The percentage is calculated for this period based on the number of patient care activities (E triage forms and FP17’s/FP17O’s) undertaken which should be at least 20% of the number of FP17’s/FP17O’s reported during the same period last year.

For year-end 20/21 reconciliation the level of activity across the six months will need to be 20% or greater in order to achieve a credit of up to 50% of the TCV. In addition to the requirement of delivering the equivalent of at least 20% of historic patient care volumes, Practices were set further expectations in the preparedness letter of 13 July 2020.

Were any of the above arrangements or requirements have not been met, the providers will revert to usual contractual arrangements. Further information around how these contractual arrangements will be implemented will follow.

June to December 2020

**Period 1- Abatements 1 April to 7 June 2020 – implementing March 2021 SFE amendments**NHSBSA Provider Assurance Dental team on behalf NHS England & NHS Improvement Regional Teams have been instructed to enact and communicate the abatements detailed in [NHS England and NHS Improvement letter to all Providers on 13 July 2020](https://www.england.nhs.uk/coronavirus/publication/preparedness-letters-for-dental-care/) relating to the period 1 April to 7 June 2020.

As stated in the issue 5 preparedness letter, all GDS contracts and PDS agreements will have a 16.75% abatement applied to the Negotiated Annual Contract Value (NACV) across the period 1 April to 7 June. No abatement to be applied to commissioned Urgent Dental Care Providers or Orthodontic Closedown agreements.

The abatement letters were published in Compass on 31 March 2021 and detailed that the abatement is to be recovered over four equal instalments, the first being in the March schedule (1 April pay) and the final instalment being in the June schedule (1 July pay).

For year-end 20/21 reconciliation, contractors who have met the conditions from the preparedness letter 5 will have their overall activity credited, up to a maximum of 25% of the TCV.

**2019/20 Carry Forward**

NHSBSA Provider Assurance Dental to support Regional Dental Commissioning Teams to communicate their commissioning intentions regarding the 2019/20 carry forward arrangements to contractors and capture and document the agreement made between the commissioner and the Provider, prior to the categorisation stage of the YE operational plan. A letter detailing this information was sent on 15 March 2021 to all business owner email addresses held in Compass (excluding prototype contracts and those that come under the Yorkshire and Humber local office). The deadline for responses is **Wednesday 31 March 2021**.

March 2021

April and May 2021

**Categorisation of Contracts**

Throughout April and May NHSBSA Provider Assurance Dental will work with Regional Dental Commissioning Teams to categorise each contract that requires a year end reconciliation. Whilst categories are for internal use only, this exercise is key part of the Year End reconciliation process, as it gives commissioners the opportunity to highlight contracts that need a manual reconciliation and to provide all the required information to complete this.

Contracts will be categorised as either 1, 2, 3 or 4 considering the quality of the data held in Compass about the contract’s (and any subcontract’s, if appropriate) delivery targets. Also, any commissioning considerations relating to previous Year End delivery of the contract or on-going considerations.

***Category 1*** *– details recorded in Compass are up to date and accurate and the year-end reconciliation can be completed based on these. Within NHSBSA Provider Assurance Dental responsibility to reconcile.*

***Category 2*** *- require additional information to complete the year-end reconciliation. Within NHSBSA Provider Assurance Dental responsibility to reconcile.*

***Category 3*** *- will normally be those paid by NHSBSA Dental Services via Compass that are not GDS and PDS (for example, but not limited to, PDS+, CDS, EDS) and/or Year End activities are not stipulated under the regulation or the standard contract. These contracts remain with the Regional Dental Commissioning Teams*

***Category 4*** *– these contracts are participating in the Dental Contract Reform programme. They are highlighted for information purposes only as NHSBSA PAD do not manage the reconciliation of these contracts, this is carried out by the NHSBSA Dental Contract Reform Team (**[nhsbsa.dentalcontractreform@nhs.net](mailto:nhsbsa.dentalcontractreform@nhs.net))*

Regional Dental Commissioning Teams can apply discretion/local decision making through the categorising of contracts. Where a Commissioner retains a contract in category 3 for local resolution it remains the responsibility of the Commissioner to complete any actions required to reconcile the contract.

**Year End Declaration**

From the week commencing 12 April 2021, the Year End declaration form will go live in Compass. As part of the year end reconciliation process, contractors will be required to complete and submit an annual declaration form via Compass. In order to fully meet the year end reconciliation obligations, the declaration and associated documentation **must** be submitted in full. Contractors will have until **Monday 31 May 2021** to complete the declaration.

**Force Majeure/Exceptional Events**

Where a contractor has notified their Regional Dental Commissioning Teams that a Force Majeure/Exceptional Event has occurred within the financial year, this will be noted on the categorisation return as a Category 2 contract. NHSBSA Provider Assurance Dental will review the interim Year End data to identify if the contract has a year-end position of less than 96% of contract activity. If this is the case, an application for dental relief will be sent out towards the end of May 2021.

**Force Majeure/Exceptional Events application form deadline**

**This only applies where a contractor has notified their Regional Dental Commissioning Teams that a Force Majeure/Exceptional Event has occurred within the financial year and an application form for dental relief has been issued by the Provider Assurance team.**

The final deadline for contractors returning all supporting evidence in relation to applications for dental relief is **Friday 11 June 2021**. Following this date your Regional Dental Commissioning Team will review the completed applications to consider.

The returned application will be supplied to Regional Dental Commissioning Teams in time for a decision prior to YE letter publication and if accepted, dental relief for affected activity applied. The final decision of the request for dental relief will be communicated in the YE letter.

June 2021

**Year End data available- Reconciliation of contracts**

Year End data will be available from 1 July 2021. Between 1 July and 20 July 2021, NHSBSA Provider Assurance Dental will manually reconcile any contracts highlighted during the categorisation process where further information was required to complete the year end reconciliation.

All automated and manual calculations undergo rigorous quality assurance checks by NHSBSA Provider Assurance Dental data analysts before being authorised for inclusion in the Year End letter. Regional Dental Commissioning Teams will confirm final sign off prior to the Year End letters being published.

**Year End letters published in Compass**

Week commencing 26 July 2021, all Year End Letters (except for prototype contracts and those being managed by Regional Dental Commissioning Teams) are published in Compass. When letters are ready to view, a communication will be sent out to all business owner email addresses held in Compass with instructions detailing how to view the year end letter.

**Please make sure all Business Owner email addresses in Compass are up to date to ensure you receive your communication.**

July 2021

**Query management**

All queries from category 1 and 2 contracts form part of the NHSBSA Provider Assurance Dental remit. Regional Dental Commissioning Teams are advised to signpost enquires/queries to NHSBSA Provider Assurance Dental unless they relate to a category 3 or prototype contracts. All queries from a contractor will be acknowledged within 5 working days of receipt.

All queries should be submitted by email within 28 days of letter publication to [nhsbsa.dentalcases@nhs.net](mailto:nhsbsa.dentalcases@nhs.net) and [nhsbsa.dentalcontractreform@nhs.net](mailto:nhsbsa.dentalcontractreform@nhs.net) for prototypes.

August 2021

**Year End outcomes in Compass**

All Year End outcomes (i.e., carry forward, underperformance recoveries and the 16.75% Adjustment to reflect variable costs not incurred for any undelivered activity between 1 January to 31 March 2021, will be entered on Compass by **Wednesday 22 September 2021** (the Compass cut-off date).

The value of undelivered activity will be recovered in three monthly instalments unless indicated otherwise by the commissioner. The contracts Year End recovery commences on the Compass payment on 1 October 2021 (September schedule*)*.

All financial recovery must be completed by the March 2022 Compass cut-off. Request to extend this beyond March will need local/regional governance (commissioning and finance) sign off by the Regional Dental Commissioning Team.

**Year End Underperformance Breach Notices**

Should the decision be made for Year End under performance breaches be issued for the 2020/21 financial year, the Provider Assurance Dental team will support Regional Dental Commissioning Teams in October with communicating these breach notices on their behalf and publishing in Compass.

September & October 2021

**KEY DATES FOR CONTRACTORS AND COMMISSIONERS**

* Commissioner and Contractor 20/19 Carry forward intentions – **31 March 2021**
* Year-end declaration completion in full- **31 May 2021**
* Force Majeure/Exceptional Events application form deadline – **11 June 2021**
* Final Year- end data available – **1July 2021**
* Year-end letters available in Compass - **week commencing 26 July 2021**
* 1st instalment for value of undelivered activity - **1 October 2021 (September schedule*)***
* Final instalment for 3 monthly instalmentsfor value of undelivered activity- **1 December 2021 (November schedule)**
* Final instalment for 6 monthly instalmentsfor value of undelivered activity as agreed by the commissioner- - **1 March 2022 (February schedule)**
* Subject to a policy decision form NHSE/I - issue of Year-end underperformance breach notices - **October 2021**