

Protecting
your NHS



Dental Point of Treatment checks – a guide for dentists, orthodontists and dental staff

Revised by the NHS CFSMS September 2006



Counter Fraud Service

Guidance on exemption and remission checks for patients claiming NHS dental treatment. This guide is for dentists and their staff.

Please ensure that every member of the practice team who has responsibility for collecting patient charges, or for advising patients on whether they have to pay, is fully acquainted with the contents of this guide.

Please contact the Operational Project Team with any queries about this document: email opt@cfsms.nhs.uk

Contents

- 1 Introduction**
 - 1.1 NHS forms and leaflets
- 2 Who does not have to pay for NHS dental treatment?**
- 3 Receipts and refunds**
- 4 Asking for evidence**
 - 4.1 When do I ask the patient for evidence?
 - 4.2 Is the evidence acceptable?
 - 4.3 What evidence is appropriate?
 - 4.4 Advising patients
- 5 Exemption categories**
- 6 Remission categories**
- 7 Patients' questions**
 - 7.1 Common situations
 - 7.2 Patients' frequently asked questions
 - 7.3 Tax credits (WTC and CTC) explained
 - 7.4 Q&A briefing for dental practices
- 8 Penalties for patient evasion of NHS costs**
- 9 Useful contacts at a glance**
- 10 Useful sources of information**

1 Introduction

Reducing loss of valuable funds to the NHS

The NHS Counter Fraud and Security Management Service (NHS CFSMS) is committed to reducing fraud and corruption within the NHS to an absolute minimum, hold it there, and free up resources for better patient care. One of the major areas of loss identified within primary care services was due to patient charge evasion – that is, patients claiming:

- free dental treatment
- free optical services
- free prescriptions

to which they are not entitled.

Since the introduction of Point of Treatment checks, the level of patient charge evasion in dentistry has been reduced by £19 million, or 47%¹. It is hoped that by continuing to raise awareness of the checks, the figure can be reduced further.

In September 2002, as part of its continued strategy to reduce NHS patient fraud, the NHS CFSMS created the Operational Project Team (OPT) (formerly the Patient Check Compliance Unit) with a remit to raise awareness of, and compliance with, Point of Treatment, Point of Service and Point of Dispensing checks in England and Wales.

The OPT's main objective is to ensure that whenever a patient claims to be exempt from NHS charges, the correct procedure is followed to obtain evidence of that exemption.

To achieve this objective, the OPT has engaged in a national programme of visits to dental practices, pharmacies and optical outlets, offering support and guidance to staff in relation to exemption checks.

The OPT also offers a unique opportunity for frontline NHS contractors to influence policy on all issues relating to patient charge exemptions, by using the comments and feedback provided by contractors to inform policy decisions and develop new and improved publicity material.

Point of Treatment (PoT) checks

Point of Treatment (PoT) checks have been in place since 13 November 2000 in England and 1 April 2001 in Wales. These are simple checks carried out when a patient (or their representative) signs a form to declare that they are entitled to exemption from charges (or remission of charges). Every patient (or their representative) claiming entitlement to exemption or remission should be asked to show evidence to support their claim. The checks serve to remind the patient of their responsibilities when they seek help with health costs.

Dentists² dealing with claim forms will not be held responsible if patients do not provide evidence or provide evidence that is false.

If no evidence is seen, you should simply mark the 'Evidence not seen' box on the front of the FP17 or FP17W form, or the equivalent box on the PR or PRW form, with an 'X'. Dental

¹ *Countering Fraud in the NHS: Protecting Resources for Patients, 1999–2005 Performance Statistics*. Source: NHS CFS risk measurement project – independently validated and methodology audited by the National Audit Office.

² For the purpose of this guidance, the term 'dentist' includes orthodontists and all staff responsible for asking patients to sign claim forms.

claim forms – both ‘evidence seen’ and ‘evidence not seen’ – are randomly selected for post-treatment checks by the NHS Business Services Authority, Dental Practice Division (DPD)³ .

Provided the patient has correctly completed and signed the form, you should not impose charges or withhold treatment solely because the patient is unable, for whatever reason, to provide satisfactory evidence. You should simply provide care and treatment in the normal way and ask the patient to sign the appropriate declarations on the claim form.

You are not responsible for the accuracy of the patient’s declaration; this remains the responsibility of the patient or whoever signs on their behalf.

Dentists and practice employees should not act as the patient’s representative as this could result in a conflict of interests. The declaration on the form allows the DPD to check that the information provided is correct. It is also the patient’s consent to be treated by the dentist.

Information about exemption, remission and the purpose of PoT checks is available for patients in leaflet HC81(D). Posters are also available for use in practices to raise patient awareness of the PoT checking process.

The ‘**Help with health costs**’ advice line provides guidance for both patients and practitioners – tel. **0845 850 1166**.

Supporting PoT checks

Your local PCT will monitor the extent of compliance with the requirement to seek evidence from patients who declare that they are entitled to help with the cost of NHS dental treatment.

³ For the purpose of this guidance, the Dental Practice Board will be referred to as the DPD (Dental Practice Division of the NHS Business Services Authority from 1 April 2006).

1.1 NHS forms and leaflets for England

Various NHS forms and leaflets are mentioned in this guide. It would be very helpful if you could keep stocks of the following to give to patients:

- HC1** The form used to apply for help under the NHS Low Income Scheme. It comes with an addressed envelope.
- HC5** This is used to claim a refund of NHS charges. The patient will have to send their receipt with it.
- HC11** This booklet explains all the help that patients may be able to get with health costs.
- HC11(TC)** *Tax credits – help with NHS health costs*. This leaflet contains specific information about tax credits and is available at:

www.dh.gov.uk/policyandguidance

(click on 'Medicines, pharmacy and industry' (under 'Shortcuts'), 'Prescriptions and prescribing', 'NHS costs and exemptions' and then 'HC11 (TC) New tax credits: help with health costs').
- HC12** This booklet, *Charges and optical voucher values*, lists the current values of optical vouchers for spectacles and contact lenses and is available at:

www.dh.gov.uk/policyandguidance

(click on 'Medicines, pharmacy and industry' (under 'Shortcuts'), 'Prescriptions and prescribing', 'NHS costs and exemptions' and then 'HC12 – Charges and optical voucher values: 1 April 2005').

All these publications may be ordered from your PCT or directly from:

DH Publications order line
PO Box 777
London SE1 6XH
email: dh@prolog.uk.com

Tel: **08701 555455**
Fax: **01623 724524**

HC81 leaflet and posters are only available from:

email: cfsms@prolog.uk.com
Fax: **01623 724524**

- HC81(D)** This leaflet gives patients and dental staff concise information about each of the exemption and remission criteria. It also contains a list of advice lines and sources of further information. Available in the following languages:

Albanian, Arabic, Bengali, Chinese, Croatian, Farsi, French, Kurdish, Portuguese, Punjabi, Serbian, Somali, Spanish and Turkish. Multilingual versions only available to download from www.cfsms.nhs.uk.

HC81 poster This new poster reminds patients of their responsibilities when claiming entitlement to exemption from or remission of NHS charges. It is available in A3 and A4 sizes.

Many of the leaflets and posters referred to in this guide are also available from the NHS CFSMS website www.cfsms.nhs.uk (click on the logo shown below):



NHS forms and leaflets for Wales

Leaflets and forms listed below are available from:

www.wales.gov.uk/healthforms

- HC1W** *Help with costs* – the form used to apply for help under the NHS Low Income Scheme. It comes with an addressed envelope.
- HC5W** This is used to claim a refund of NHS charges. The patient will have to send their receipt with it.
- HC10W** ‘Are you entitled to help with health costs?’ – A3 poster
- HC11W** This booklet explains all the help that patients may be able to get with health costs.
- HC12W** This booklet, *Charges and optical voucher values*, lists the current values of optical vouchers for spectacles and contact lenses.

All these publications may be ordered from your Local Health Board or directly from:

DH Publications order line
PO Box 777
London SE1 6XH
email: dh@prolog.uk.com

Tel: **01623 724233**
Fax: **01623 724524**

For bulk orders, tel. **02920 898688**

2 Who does not have to pay NHS dental charges?

Exemption – England and Wales

Patients do not have to pay any dental charges for a course of treatment if, ***on the date of acceptance***, they are:

- under 18 years of age
- aged 18 and in full-time education
- an expectant mother
- a woman who has had a baby or a still-birth in the previous 12 months
- an NHS hospital inpatient and the treatment is provided by the Hospital Dental Services.

Patients in Wales are entitled to a free dental examination if they are:

- under 25 years of age – on the date of examination in Wales
- over 60 years of age – on the date of examination in Wales.

Remission – England and Wales

Patients do not have to pay any dental charges for a course of treatment if, ***on either the date of acceptance or the day the charge is made***, they (or their partner) are receiving:

- Income Support
- Jobseeker's Allowance (Income-based)
- Working Tax Credit/Child Tax Credit and meet certain conditions
- Pension Credit Guarantee Credit/paid on its own or with Savings Credit

or are

- named on a valid NHS Low Income Scheme certificate for full help (HC2).

The dental charge may be reduced for patients named on an NHS Low Income Scheme certificate for limited help (HC3) if the certificate is valid on either ***the date of acceptance or the day the charge is made***.

Patients who are in a group eligible for remission of charges on the date of acceptance, and patients entitled to exemption on that day, will remain entitled throughout the course of treatment, regardless of any change in their circumstances.

Unlike exemption from charges, however, patients may also be entitled to remission of charges if they are in an eligible group **on the day the charge is made**, regardless of whether they were entitled when the course of treatment started. These patients must complete the relevant information in Part 14 of form FP17 or FP17W, or Part C of form PR or PRW, including the date the charge was made by the dentist.

PoT checks apply to all patients. You should ask every patient claiming entitlement to exemption or remission for evidence. This includes 'occasional patients' and patients seen on an emergency rota for another dentist.

Point of Treatment – ELIGIBILITY CHECKLIST

Ask the patient if they are eligible for free dental treatment

If the patient claims they are entitled to free dental treatment, ask them to provide evidence to support their claim and check their eligibility below:

Exemptions applicable to Wales only

Under 25 OR over 60 years of age on the date of examination

Patients are entitled to a free dental examination.

Evidence required:

Birth certificate
State Retirement Pension/Pension credit
NHS medical card
Driving licence
Travel concession card
Passport
Child Benefit award letter

England & Wales – exemptions

Age-related eligibility criteria

Under 18 years of age

Evidence required:

Birth certificate
NHS medical card
Driving licence
Travel concession card
Passport
Child Benefit award letter

Aged 18 and in full-time education

Evidence required:

Child Benefit award letter
OR
Birth certificate
NHS medical card
Driving licence
Passport
AND
Proof of full-time education

Is pregnant/ has had a baby or suffered a stillbirth

Evidence required:

Is pregnant
AND
Named on a valid NHS Prescription Charge Certificate – Maternity Exemption Certificate
Or MAT B1 form
OR
Has had a baby in the last 12 months

Named on a valid HC2 Certificate

Evidence required:

Named on a valid HC2 Certificate that gives full help with health costs as part of the NHS Low Income Scheme

Named on a valid HC3 Certificate

Evidence required:

Named on a valid HC3 Certificate that provides limited help with the cost of dental treatment

England & Wales – remission

Remission: the patient or their partner is in receipt of one of the following on the date of acceptance or the day the charge is made:

Pension Credit

Evidence required:

Pension Credit Guarantee Credit (paid on its own or with Savings Credit) award letter – see part 5 for breakdown.

Patients in receipt of Guarantee Credit are entitled to the same benefits/ entitlements/ help with health costs as people in receipt of Income Support.

Income Support

Evidence required:

Award letters are open-ended

Patients can obtain a letter confirming dates of entitlement from their benefit office. These should cover the date they sign the FP/PR form

Jobseeker's Allowance –Income Based (JSA IB)

Evidence required:

Those receiving JSA IB will not be able to show valid evidence of entitlement. Patients can obtain a letter confirming dates(s) of entitlement from their benefit office. These should cover the date the patient signs the FP17/PR form.

NOTE: ES40 is not an acceptable form of evidence.

Tax Credits plus meet qualifying conditions

Evidence required:

Named on a valid NHS Tax Credit Exemption Certificate **AND** meets the qualifying conditions

NOTE: Not all patients in receipt of tax credits will be entitled. Only those who receive an NHS Tax Credit Exemption Certificate will be entitled.

Can the patient provide appropriate evidence?

YES

Check that the evidence provided is sufficient and ensure that you have seen the original documents and not copies. If the evidence is sufficient, ask the patient to mark the appropriate exemption box and to sign and date the FP17/PR form.

NO

If the patient cannot provide evidence or if it is not clear that the patient or partner is exempt, you should mark the 'Evidence not seen' box with an X. Ask the patient to tick the appropriate exemption/remission box and to sign and date the FP17/PR form.

3 Receipts and refunds

Dentists should not make refunds themselves as this creates a risk that a patient may be paid a refund twice. The following guidance should be followed.

When a patient pays an NHS charge, you should provide a clear receipt. If an NHS receipt (form FP64) or comparable computer-generated receipt is not used, you must ensure that the receipt gives the following information:

- the dentist's name and address
- the dentist's contract number
- date charge paid
- amount paid
- confirmation that the charge was for NHS treatment
- whether full or part payment of the total charge was made
- if payment was by instalment, whether it was the final payment.

Form FP64 must not be used for private charges or sundry items e.g. toothbrushes.

If a patient makes a payment but later thinks that they might be entitled to exemption from or remission of the charge, they should use form HC5 to claim a refund – the form tells them what to do.

- If the patient was entitled to remission of charges on the date of acceptance or the date the charge was made, they should use form HC5 to claim a refund – the form tells them what to do.
- If the patient is on a low income but does not receive a qualifying benefit, they may be able to apply for help with future NHS charges – and a refund of the charge they have just paid – from the NHS Low Income Scheme. They should complete form HC1. If they complete this form within three months of the date the charge was **paid**, they may be entitled to a refund.
- If a woman discovers that she was pregnant on the first day of a course of treatment, she should write to the DPD asking for a refund and enclose evidence of the pregnancy and a receipt which shows that she paid for NHS dental treatment.

It would be helpful if you would remind patients that refunds must be claimed within three months of the date the charge was paid. Patients can request form HC5 by telephoning the 'Help with health costs' advice line on **0845 850 1166**. Alternatively, they can obtain form HC5 from a Jobcentre Plus or NHS hospital. The form tells them how to make the claim.

Entitlement to a refund will depend on the patient's circumstances on the date of acceptance or the date the charge was made.

It would help patients if you would keep a supply of HC5 refund claim forms, which may be ordered from your PCT/LHB.

4 Asking for evidence

4.1 When do I ask the patient for evidence?

You must ask the patient for evidence when they sign the declaration to say they do not have to pay NHS dental charges.

Since April 2006, orthodontists have been required to complete form FP17 (see below), which includes the 'Evidence not seen' box.

The FP17(O) and PDS2 should no longer be used.

FP17 and FP17W forms

On the date of acceptance, all patients should be asked to read Part 11 and complete and sign Part 12 or Part 13.

If a patient completes and signs Part 12 of the FP17 or FP17W to say that they (or their partner) are named on a valid HC3 certificate, you must ask to see it so you can confirm the maximum amount that they may pay.

If a patient completes and signs Part 13 of the FP17 or FP17W to say that they do not have to pay NHS charges, you must ask them, at the time they sign, whether they have evidence to support their claim.

After treatment has been completed, all patients must complete and sign Part 14.

On signing Part 14 of the FP17 or FP17W, patients who previously completed Part 12 to say that they have to pay a charge may declare that, on the date the charge was made, their circumstances had changed and they were entitled to **remission** of the charge on that date. They must complete Part 14 to show the date the charge was made and which benefit, tax credit or NHS charges certificate they (or their partner) received on that date.

Important – Parts 12 and 13 of the FP17 or FP17W must **not** be amended after initial completion and signing by the patient. For the purposes of verification and any other subsequent action, it is important that it is clear which information has been given (and declared by the patient to be correct and complete) on each occasion.

Patients may not have brought evidence with them when they first visited the surgery, but may bring it with them on another occasion. To avoid confusion or error, you should not postpone marking the 'Evidence not seen' box. To do so would risk failing to mark it with an 'X' in the proper way when evidence has still not been produced by the end of the course of treatment.

If you have marked the box and the patient later produces valid evidence that relates to the relevant date, you should completely block out the whole 'Evidence not seen' box in black and sign and date the form next to the box.

FP 17 – BACK OF FORM

Part 11 PATIENT DECLARATION
 I would like the dentist named overleaf to examine me under the NHS and to give me any necessary care and treatment which I am willing to undergo within NHS arrangements.
 I agree, if necessary, to be examined and/or to have my dental records examined, by a Dental Officer of the NHS business Services Authority.
PARTS 12 OR 13 AND PART 14 MUST BE COMPLETED BY, OR ON BEHALF OF, EVERY PATIENT

I declare that the information I give on this form is correct and complete. I understand that if it is not, appropriate action may be taken. I confirm, where claimed, proper entitlement to exemption or remission. To enable the NHS to check I have a valid exemption and to prevent and detect fraud and incorrectness, I consent to the disclosure of relevant information from this form to and by the NHS Business Services Authority, Department for Work & Pensions, Local Authorities and HM Revenue & Customs.

Part 12 I HAVE TO PAY NHS CHARGES
 I am liable for the NHS statutory charge and may have to pay the full amount prior to treatment.
 I am, or my partner is, named on a current HC3 NHS charges certificate, no. which limits my charge to a maximum of £ .

Signature Date
 I am the patient.
 I am signing for the patient. (Give details below)
 Name (In CAPITALS)
 Relationship to patient

Part 13a I DO NOT HAVE TO PAY NHS CHARGES BECAUSE:
 I am aged under 18. 1
 I am aged 18 in full time education at
 I am pregnant and the baby is due on
 I had a baby in the last 12 months on

Part 13b
 I am, or my partner is named on, a current HC2 NHS charges certificate, no.
 I am entitled to, or named on, a valid NHS tax credit exemption certificate, no.
 I am currently in prison or a young offender's institution

2, or my partner, receive Pension Credit guarantee credit
 3, or my partner, receive Income Support
 4, or my partner, receive Income-based Job seeker's Allowance

Please print name of person receiving benefit. Date of Birth
 NI number of the person receiving benefit
 The following benefits, on their own, DO NOT entitle you to help with health costs: Incapacity Benefit, Disability Living Allowance, Pension Credit savings credit, Contribution-based Job Seekers Allowance, NHS Prescription Charge Medical Exemption Certificate
 Patients found to have wrongly claimed help with health costs will face a Penalty Charge and in some cases prosecution, under powers introduced by the Health Act 1999. Routine checks are carried out on exemption claims including some where proof may have been shown. You may be contacted in the course of such checks.
 Signature Date
 I am the patient.
 I am signing for the patient. (Give details below)
 Name (In CAPITALS)
 Relationship to patient

Part 14 TO BE COMPLETED BY, OR ON BEHALF OF, THE PATIENT AFTER TREATMENT
 If you previously completed Part 12 but your circumstances have since changed and you do not now have to pay the full NHS dental charges please complete below:-
 On when the charge was made, I or my partner received one of the benefits / tax credits specified in Part 13b or had a current NHS charges certificate.
 Please print name of person receiving benefit. Date of Birth
 NI number of the person receiving benefit
 Type of Benefit, Tax or Pension Credit or HC2/3 No.
 Patients found to have wrongly claimed help with health costs will face a Penalty Charge and in some cases prosecution, under powers introduced by the Health Act 1999. Routine checks are carried out on exemption claims including some where proof may have been shown. You may be contacted in the course of such checks.
 I have paid NHS charges shown for this course of treatment. £ (Enter NIL if you do not have to pay)
 As far as I know, the treatment has been completed.
 I agree, if necessary, to be examined and/or to have my dental records examined, by a Dental Officer of the NHS Business Services Authority.
 I declare that the information I have given on this form is correct and complete. I understand that if it is not, appropriate action may be taken. I confirm, where claimed, proper entitlement to exemption or remission. To enable the NHS to check I have a valid exemption and to prevent and detect fraud and incorrectness, I consent to the disclosure of relevant information from this form to and by the NHS Business Services Authority, Department for Work & Pensions, Local Authorities and HM Revenue & Customs.
 Signature Date
 I am the patient.
 I am signing for the patient. (Give details below)
 Name (In CAPITALS)
 Relationship to patient



What is your ethnic group? - Please choose ONE selection from this list to indicate your ethnic group:

White British	1	White Irish	2	Other White background	3	White & Black Caribbean	4	White and Black African	5	White and Asian	6	Other mixed background	7	Indian	8
Pakistani	9	Bangladeshi	0	Other Asian background	D	Black Caribbean	F	Black African	G	Other Black background	H	Chinese	J	Any other ethnic group	K

Patients or their representatives should read Part 11 and complete Part 12 or 13 in full on the date of acceptance.

Part 14 should be completed in full by the patient or their representative after treatment has been completed.

FP17W – FRONT OF FORM

 		FP17W 14/11/05	
Printer Registration BSA Use Only		Part 2 Patient Information - complete in CAPITALS and Black Ink	
Patient's NHS No.		Surname	
Part 1 Provider name, address and location number		First Forename	
Performer number		House number followed by Street	
		City or Town	
		County Postcode	
		Previous surname if changed since last visit	
		Title Sex <input type="checkbox"/> M or F <input type="checkbox"/> Date of Birth	
Part 3 Treatment Dates		Incomplete treatment Band for ACTUAL treatment provided	
Date of Acceptance		Completion or last visit	
Completion same as Acceptance Date		Band for ACTUAL treatment provided	
Part 4 Exemptions and Remissions			
Patient under 16 <input type="checkbox"/> Full remission - HC2 cert. <input type="checkbox"/> Partial remission - HC3 cert. <input type="checkbox"/> Expectant mother <input type="checkbox"/> Nursing mother <input type="checkbox"/>			
Aged 18 in full-time education <input type="checkbox"/> Income Support <input type="checkbox"/> NHS Tax Credit Exemption <input type="checkbox"/> Jobseekers Allowance (IB) <input type="checkbox"/> Pension Credit guarantee credit <input type="checkbox"/>			
Prisoner <input type="checkbox"/> Exam only - under 25/50 or over <input type="checkbox"/> Evidence of Exemption or Remission not seen <input type="checkbox"/> Patient Charge Collected £			
Part 5 Charge Band			
Band 1 <input type="checkbox"/> Band 2 <input type="checkbox"/> Band 3 <input type="checkbox"/> Urgent treatment <input type="checkbox"/> Regulation 11 replacement appliance <input type="checkbox"/>			
Part 6 Treatment Category			
Treatment on Referral <input type="checkbox"/> Guaranteed treatment <input type="checkbox"/> Continuation of treatment <input type="checkbox"/> Domiciliary visits <input type="checkbox"/> Sedations <input type="checkbox"/>			
Part 7 Charge Exempt Items			
Prescription Issued <input type="checkbox"/> Denture repairs <input type="checkbox"/> Bridge repairs <input type="checkbox"/> Arrest of bleeding <input type="checkbox"/> Removal of sutures <input type="checkbox"/>			
Part 8 Orthodontic ONLY Codes			
Assessment & Review <input type="checkbox"/> Assess & Refuse Treatment <input type="checkbox"/> Assess & Accept for Treatment <input type="checkbox"/> IOTN <input type="checkbox"/> Aesthetic component <input type="checkbox"/>			
Date of Referral Date of Assessment Date Treatment began			
Treatment abandoned <input type="checkbox"/> Treatment discontinued <input type="checkbox"/> Treatment completed <input type="checkbox"/> Repair to appliance fitted by another dentist <input type="checkbox"/> Regulation 11 replacement appliance <input type="checkbox"/>			
Part 9 BSA Use Only			
M M M M			
Part 10 Performer's Declaration		I declare that I am properly entitled to practise under the current dental regulations and that the information I have given on this form is correct and complete. I understand that if it is not, appropriate action may be taken. For the purpose of verification of this and the prevention and detection of fraud and incorrectness, I consent to the disclosure of relevant information from this form to and by the NHS Business Services Authority.	
I shall provide such care and treatment which the patient is willing to undergo as may be necessary to secure oral health.		Signature	
I have carried out all the care and treatment which the patient is willing to undergo that is currently necessary to secure oral health.		Date	

If no evidence is seen, mark the 'Evidence not seen' box with an 'X'.

FP17W – BACK OF FORM

Part 11 PATIENT DECLARATION
 I would like the dentist named overleaf to examine me under the NHS and to give me any necessary care and treatment which I am willing to undergo within NHS arrangements.
 I agree, if necessary, to be examined and/or to have my dental records examined, by a Dental Officer of the NHS business Services Authority.
PARTS 12 OR 13 AND PART 14 MUST BE COMPLETED BY, OR ON BEHALF OF, EVERY PATIENT

I declare that the information I give on this form is correct and complete. I understand that if it is not, appropriate action may be taken. I confirm, where claimed, proper entitlement to exemption or remission. To enable the NHS to check I have a valid exemption and to prevent and detect fraud and incorrectness, I consent to the disclosure of relevant information from this form to and by the NHS Business Services Authority, Department for Work & Pensions, Local Authorities and HM Revenue & Customs.

Signature _____ Date _____

I am the patient.

I am signing for the patient. (Give details below)

Name (In CAPITALS) _____

Relationship to patient _____

Part 12 I HAVE TO PAY NHS CHARGES
 I am liable for the NHS statutory charge and may have to pay the full amount prior to treatment.
 I do not have to pay for my examination because I am aged under 25 / 60 or over 1

I am, or my partner is, named on a current HC3 NHS charges certificate, no. _____ which limits my charge to a maximum of £ _____

Part 13a I DO NOT HAVE TO PAY NHS CHARGES BECAUSE:

I am aged under 18. 1

I am aged 18 in full time education at _____ Name of College _____

I am pregnant and the baby is due on _____ Date _____

I had a baby in the last 12 months on _____ Date _____

Part 13b

I am, or my partner is named on, a current HC2 NHS charges certificate, no. _____ HC2 Number _____

I am entitled to, or named on, a valid NHS tax credit exemption certificate, no. _____ Certificate Number _____

I am currently in prison or a young offender's institution _____ Name of Institution _____

I, or my partner, receive Pension Credit guarantee credit 2

I, or my partner, receive Income Support 3

I, or my partner, receive Income-based Job seeker's Allowance 4

Part 14 TO BE COMPLETED BY, OR ON BEHALF OF, THE PATIENT AFTER TREATMENT
 If you previously completed Part 12 but your circumstances have since changed and you do not now have to pay the full NHS dental charges please complete below:-

On _____ Date _____ when the charge was made, I or my partner received one of the benefits / tax credits specified in Part 13b or had a current NHS charges certificate.

Please print name of person receiving benefit: _____ Date of Birth _____

NI number of the person receiving benefit: _____

Type of Benefit, Tax or Pension Credit or HC2/3 No. _____

Patients found to have wrongly claimed help with health costs will face a Penalty Charge and in some cases prosecution, under powers introduced by the Health Act 1999. Routine checks are carried out on exemption claims including some where proof may have been shown. You may be contacted in the course of such checks.

I have paid NHS charges shown for this course of treatment. £ _____ (Enter NIL, if you do not have to pay)

I agree to pay

I declare that the information I have given on this form is correct and complete. I understand that if it is not, appropriate action may be taken. I confirm, where claimed, proper entitlement to exemption or remission. To enable the NHS to check I have a valid exemption and to prevent and detect fraud and incorrectness, I consent to the disclosure of relevant information from this form to and by the NHS Business Services Authority, Department for Work & Pensions, Local Authorities and HM Revenue & Customs.

Signature _____ Date _____

I am the patient.

I am signing for the patient. (Give details below)

Name (In CAPITALS) _____

Relationship to patient _____

What is your ethnic group? - Please choose ONE selection from this list to indicate your ethnic group:

White British	<input type="checkbox"/> 1	White Irish	<input type="checkbox"/> 2	Other White background	<input type="checkbox"/> 3	White & Black Caribbean	<input type="checkbox"/> 4	White and Black African	<input type="checkbox"/> 5	White and Asian	<input type="checkbox"/> 6	Other mixed background	<input type="checkbox"/> 7	Indian	<input type="checkbox"/> 8
Pakistani	<input type="checkbox"/> 9	Bangladeshi	<input type="checkbox"/> 0	Other Asian background	<input type="checkbox"/> D	Black Caribbean	<input type="checkbox"/> F	Black African	<input type="checkbox"/> G	Other Black background	<input type="checkbox"/> H	Chinese	<input type="checkbox"/> J	Any other ethnic group	<input type="checkbox"/> K

Patients or their representatives should read Part 11 and complete Part 12 or 13 in full on the date of acceptance.

Part 14 should be completed in full by the patient or their representative after treatment has been completed.

PR and PRW forms

On the date of acceptance, all patients must read Part A and complete and sign Part A or Part B.

If a patient completes and signs Part A to say that they (or their partner) are named on a valid HC3 NHS charges certificate, you must ask to see it so you can confirm the maximum amount that they may pay.

If a patient completes and signs Part B to say that they do not have to pay NHS charges, you must ask them, at the time they sign, whether they have evidence to support their claim.

After treatment has been completed, all patients must complete and sign Part C.

On signing Part C, patients who previously completed Part A to say that they have to pay a charge may declare that, on the date the charge was made, their circumstances had changed and they were entitled to remission of charges on that date. They must complete Part C to show the date the charge was made and which benefit, tax credit or NHS charges certificate they (or their partner) received on that date.

Important – Parts A and B must ***not*** be amended after initial completion and signing by the patient. For the purposes of verification and any other subsequent action, it is important that it is clear which information has been given (and declared by the patient to be correct and complete) on each occasion.

Patients may not have brought evidence with them when they first visited the surgery, but may bring it with them on another occasion. To avoid confusion or error, you should not postpone marking the 'Evidence not seen' box.

PR and PRW forms – general points to note

There must be one PR/PRW form for each course of treatment.

To ensure that the PR/PRW can be linked to the course of treatment in question, it is important that you:

- make sure you complete the front of the form with the patient's name and date of birth
- show the claim reference number in the 'Patient Reference No' box
- make sure the signatures are dated by the patient.

PR – FRONT AND BACK FORM (English version)

If no evidence is seen, mark the 'Evidence not seen' box with an 'X'.

Front Form - Patient Declaration

PATIENT REFERENCE No. _____

Provide name, address and location number

SURNAME (in CAPITALS) _____

FORNAME (in CAPITALS) _____

Date of birth _____

Evidence of remission/exemption not seen

PART A OR B MUST BE COMPLETED BY, OR ON BEHALF OF, EVERY PATIENT

PATIENT DECLARATION

I request that the Dental name above is examine me under the NHS and to give me any necessary care and treatment which I am willing to undergo within NHS arrangements.

I agree, if necessary, to be examined and/or to have my dental records examined by a Dental Officer of the NHS Business Services Authority.

I declare that the information I give on this form is correct and complete. I understand that if it is not, appropriate action may be taken. I confirm proper entitlement to exemption or remission. To enable the NHS to check I have a valid exemption and to prevent and detect fraud and incorrectness, I consent to the disclosure of relevant information from this form to and by the NHS Business Services Authority, Department for Work & Pensions, Local Authorities and HM Revenue & Customs.

Part A. I HAVE TO PAY NHS CHARGES

I am liable for the NHS statutory charge and may have to pay the full amount prior to treatment.

I, or my partner is, named on a current MCS NHS charges certificate no. _____ which limits my charge to a maximum of £ _____

Signature _____ Date _____

I am the patient.

I am signing for the patient (give details below)

Name (in CAPITALS) _____

Relationship to patient _____

Part B(i) I DO NOT HAVE TO PAY NHS CHARGES BECAUSE:

I am aged under 18

I am aged 18 and in full time education at _____

I am pregnant and the baby is due on _____

I had a baby in the last 12 months on _____

Part B(ii)

I, or my partner is named on, a current MCS NHS charges certificate no. _____

I am entitled to, or named on, a valid NHS tax credit exemption certificate no. _____

I am currently in prison or a young offenders institution _____

I, or my partner, receive Pension Credit guarantee credit _____

I, or my partner, receive Income Support _____

I, or my partner, receive Income-based Jobseeker's Allowance _____

Please print name of person making claim Date of birth _____ NI number _____

Please note the following benefits, on their own, DO NOT entitle you to help with health costs. Inequality Benefit, Disability Living Allowance, Pension Credit savings credit, Contribution-based Job Seekers Allowance, NHS Prescription Charge Medical Exemption Certificate.

Patients found to have wrongly claimed help with health costs will face a Penalty Charge and in some cases prosecution, under powers introduced by the Health Act 1999. Routine checks are carried out on exemption claims including some where proof may have been shown. You may be contacted in the course of such checks.

Signature _____ Date _____

I am the patient.

I am signing for the patient (give details below)

Name (in CAPITALS) _____

Relationship to patient _____

Part C. TO BE COMPLETED BY, OR ON BEHALF OF, THE PATIENT AFTER TREATMENT

If you previously completed Part A but your circumstances have since changed and you do not now have to pay the full NHS dental charges please complete below:-

On _____ when the charge was made, I or my partner received one of the benefits or tax credits specified in Part B(i) or had a current NHS charges certificate.

Name _____ NI number or Date of Birth _____

As far as I know, the treatment has been completed.

I have paid, or agree to pay, NHS charges of £ _____ for this course of treatment. (Enter Nil, if you do not have to pay)

I agree, if necessary, to be examined and/or to have my dental records examined by a Dental Officer of the NHS Business Services Authority.

I declare that the information I have given on this form is correct and complete. I understand that if it is not, appropriate action may be taken. I confirm proper entitlement to exemption or remission. To enable the NHS to check I have a valid exemption or remission and to prevent and detect fraud and incorrectness, I consent to the disclosure of relevant information from this form to and by the NHS Business Services Authority, Department for Work & Pensions, Local Authorities and HM Revenue & Customs.

Signature _____ Date _____

I am the patient.

I am signing for the patient (give details below)

Name (in CAPITALS) _____

Relationship to patient _____

What is your ethnic group? - Please choose ONE selector from this list to indicate your ethnic group

White British	White & Black African	Pakistani	Black African
White Irish	White & Asian	Bangladeshi	Other Black background
Other white background	Other mixed background	Other Asian background	Chinese
White & Black Caribbean	Indian	Black Caribbean	Any other ethnic group

All patients or their representatives should read Part A and complete and sign Part A or Part B on the date of acceptance.

Part C should be completed in full by the patient or their representative after treatment has been completed.

PRW FORM – FRONT AND BACK (Welsh version)

If no evidence is seen, mark the 'Evidence not seen' box with an X.

PRW Practice Record Form - Patient Declaration

Provider name, address and location number: _____

PATIENT REFERENCE NO.

SURNAME (IN CAPITALS) _____

FORENAME (IN CAPITALS) _____

Date of Birth _____

Evidence of non-prescription not seen

PART A: I HAVE TO PAY NHS STATUTORY CHARGES AND MAY HAVE TO PAY THE FULL AMOUNT PRIOR TO TREATMENT

I do not have to pay for my examination because I am aged under 25, 65 or over

I am, or my partner is, named on a current HC2 NHS charges certificate no. _____ which limits my charge to a maximum of £ _____

Signature _____ Date _____

I am the patient

I am signing for the patient (give details below):

Name (in CAPITALS) _____

Relationship to patient _____

Part B: I DO NOT HAVE TO PAY NHS CHARGES BECAUSE:

I am aged under 16

I am aged 16 and in full time education at _____ Name of College _____

I am pregnant and the baby is due on _____ Date _____

I had a baby in the last 12 months on _____ Date _____

I am, or my partner is named on, a current HC2 NHS charges certificate no. _____ HC2 Number _____

I am entitled to, or named on, a valid NHS tax credit exemption certificate no. _____ Certificate Number _____

I am currently in prison or a young offenders institution _____ Name of Institution _____

I, or my partner, receive Pension Credit guarantee credit

I, or my partner, receive Income Support

I, or my partner, receive income-based Jobseeker's Allowance

These are names of person(s) making benefit _____ Date of birth _____ NI number _____

Please note the following benefits, on their own, DO NOT entitle you to help with health costs: incapacity benefit, Disability Living Allowance, Pension Credit savings credit, Contribution based Job Seekers Allowance, NHS Prescription Charge Medical Exemption Certificate.

Patients found to have wrongly claimed help with health costs will owe a Penalty Charge and in some cases prosecution, under powers introduced by the Health Act 1999. Routine checks are carried out on exemption claims (including some where proof may have been shown). You may be contacted in the course of such checks.

Signature _____ Date _____

I am the patient

I am signing for the patient (give details below):

Name (in CAPITALS) _____

Relationship to patient _____

PART C: TO BE COMPLETED BY, OR ON BEHALF OF, THE PATIENT AFTER TREATMENT

If you previously completed Part A but your circumstances have since changed and you do not now have to pay the full NHS dental charges please complete below:

On _____ when the charge was made, I or my partner received one of the benefits or tax credits specified in Part B(i) or had a current NHS charges certificate.

Name _____ NI number _____ Date of birth _____

As far as I know, the treatment has been completed.

I have paid, or agree to pay, NHS charges of £ _____ for this course of treatment. (Enter Nil, if you do not have to pay)

I agree, if necessary, to be examined and/or to have my dental records examined, by a Dental Officer of the NHS Business Services Authority.

I declare that the information I have given on this form is correct and complete. I understand that if it is not, appropriate action may be taken. I confirm proper entitlement to exemption or remission. To enable the NHS to check I have a valid exemption or remission and to prevent and detect fraud and inaccuracy, I consent to the disclosure of relevant information from this form to and by the NHS Business Services Authority, Department for Work & Pensions, Local Authorities and HM Revenue & Customs.

Signature _____ Date _____

I am the patient

I am signing for the patient (give details below):

Name (in CAPITALS) _____

Relationship to patient _____

What is your ethnic group? - Please choose ONE selection from this list to indicate your ethnic group:

White British	White & Black African	Other	Black African
White Irish	White & Asian	Bangladeshi	Other Black background
Other White background	Other Asian background	Other Asian background	Chinese
White & Black Caribbean	Indian	Black Caribbean	Any other ethnic group

All patients or their representatives should read Part A and complete and sign Part A or Part B on the date of acceptance.

Part C should be completed in full by the patient or their representative after treatment has been completed.

4.2 Is the evidence acceptable?

There are some basic checks to be made on all evidence offered to you.

IDENTITY – Is the patient's name printed on the evidence?

For relevant Department for Work and Pensions (DWP) benefits, tax credits and the NHS Low Income Scheme, partners of beneficiaries are entitled to remission of NHS dental charges. The partner may be named on the award notice; for tax credits, the partner should have their own exemption certificate and in the case of the Low Income Scheme, they should be named on the HC2 or HC3 certificate.

NB: If the partner does not have their own Tax Exemption Certificate or is not named on the HC2/3 certificate, this may mean that they were not included in the application form and their income was not taken into account when deciding whether to issue the certificate.

If it is not clear from the evidence whether the patient is the beneficiary's partner, you should mark the dental claim form with an 'X' in the 'Evidence not seen' box.

It will help with identification of patients in later post-treatment checks by the DPD if you record the name, date of birth and National Insurance number of the person who is receiving the benefit. These details may be printed on evidence relating to benefits or tax credits. There is a space for the National Insurance number in parts 13 and 14 of the FP17 and in parts B and C of the PR form.

DATE OF ENTITLEMENT – Is the patient claiming to be entitled to **exemption** on the date of acceptance?

It will usually be clear from the relevant evidence whether the patient is entitled to exemption on the date of acceptance, but this is not always the case. For example, a person aged 18 might be unable to show that they are in full-time education on the date of acceptance.

If it is not clear from the evidence whether the patient is entitled to exemption on the relevant date, you should mark the 'Evidence not seen' box with an 'X'.

DATE OF ENTITLEMENT – Is the patient claiming to be entitled to **remission** on either the date of acceptance or the *day the charge is made?

*The charge is made by the dentist. This normally happens on the date of acceptance, and certainly no later than the date of completion. This does not mean the date when you ask for money, because a patient will usually claim entitlement to remission before you ask them to pay.

If entitlement to remission is based on receipt of a DWP benefit, care must be taken to check when the benefit was payable to the patient. Giro's and the letters that accompany them show dates of entitlement to the benefit, which must cover either the date of acceptance or the date the dentist **makes** the charge.

Income Support and Jobseeker's Allowance (Income-based) are normally paid two weeks in arrears. However, letters and documents relating to DWP benefits, such as initial entitlement notices, are 'open' and do not include dates of entitlement. These are not acceptable evidence. (Patients can ask their local benefits office for a letter confirming the period during which they have been in continuous receipt of the relevant benefit.)

Only original documents are acceptable.

If it is not clear from the evidence whether the patient is entitled to remission on the relevant date, you should mark the 'Evidence not seen' box with an 'X'.

VALIDITY – Does the evidence appear to be forged, counterfeit or to have been altered or tampered with in any way?

You should be alert to the possibility that, on rare occasions, you may be shown evidence that appears not to be genuine, or to have been altered in some way. **If you are in any doubt as to whether the evidence is valid and relates to the patient, you should mark the 'Evidence not seen' box.**

If it appears to you that there may be a serious intent to defraud the NHS or others, you should report this to the Local Counter Fraud Specialist at your PCT immediately, or as soon as is practical. (See section 9 – 'Useful Information at a glance'.)

You can also refer confidentially to the freephone NHS Fraud and Corruption Reporting Line on **0800 028 4060**.

If you have any doubt about whether you might risk breaching patient confidentiality, you should contact your professional defence organisation.

Patient confidentiality: when a patient signs their PR, PRW, FP17 or FP17W form, they are making a declaration that the information provided by them is correct and that, if it is not, the appropriate action may be taken, and that they consent to disclosure of relevant information.

Section 29(3) of the Data Protection Act covers disclosure for the purpose of preventing or detecting crime.

Even if the patient does not have acceptable evidence, you should provide the service as usual – it is not expected that you should directly challenge them.

PoT Reporting Line: 08702 400 114

This is a dedicated phone line for contractors and their staff to report, in confidence, any concerns relating to exemption checks – for example, patients who persistently refuse to provide proof of entitlement to exemption, those who claim entitlement to exemption but are known not to be eligible, and those who refuse to provide proof of entitlement to exemption and are abusive. If there is no one available to take your call, you may leave a message and your contact details and a member of the call centre team will return your call.

The Civil Partnership Act

The Civil Partnership Act 2004 came into force on 5 December 2005. It affects numerous areas of legal rights and responsibility, including how same-sex couples are treated for benefit purposes. In short, it means that same-sex couples who register their partnership will be treated in the same way as married couples. Those same-sex couples who live together but do not register their partnership will be treated in the same way as opposite-sex unmarried couples.

4.3 What evidence is appropriate?

The following sections explain the evidence acceptable for each category of exemption or remission. The suggested forms of evidence are commonly available, but not all patients will be able to provide one of these items. The lists are not exhaustive and patients may produce other forms of proof. For example, a person under 18 may not be able to bring a Child Benefit award letter to confirm their date of birth. You have the discretion to accept other forms of evidence if, in your opinion, they clearly establish the grounds for exemption or remission. Only **original documents** are acceptable, not facsimiles or photocopies.

Except for some patients under 18 (see section 5), you must ask for evidence from every patient claiming entitlement to exemption from or remission of charges.

If you are in any doubt about the acceptability of the evidence offered, simply mark the dental claim form with an 'X' in the 'Evidence not seen' box.

You should also mark the 'Evidence not seen' box if a patient is clearly not entitled to exemption from or remission of charges but, despite advice, insists that they do not have to pay and signs the appropriate declaration on the form. ***You are not responsible for the accuracy of the patient's declaration; this remains the responsibility of the person signing the form.***

4.4 Advising patients

The declaration should be completed by the patient, not practice staff. You are advised to ask the patient to read the form and complete the sections that apply, and then to check that the form is fully completed and ask the patient to complete it if not.

If the patient needs help, ask them specific questions, such as "Are you on Income Support?" or "Are you on Income-based Jobseeker's Allowance?" Avoid general questions such as "Are you on benefits?" and "Are you unemployed?"

The patient is responsible for this declaration. They must take care to complete it accurately and they are expected to read the form and make a correct declaration.

The patient is responsible for knowing whether or not they are entitled to exemption from or remission of charges. They are expected to know which benefits they receive and what entitlements those benefits carry.

If a patient is unsure whether they are entitled to help with NHS dental charges, they should pay the charge. If they subsequently confirm that they were entitled to help with the charge, they can claim a refund within three months of the date the charge was paid. The dentist should not refund the charges paid by the patient in these circumstances.

You should not offer any advice to the patient as to whether they are entitled to exemption from or remission of charges. Patients are not automatically entitled to help with health costs because they receive benefits; only certain benefits qualify.

If you advise a patient that they are entitled to an exemption or remission and they are subsequently found not to be entitled and issued with a penalty notice, they may have grounds to make a complaint against you.

Dentists and practice employees should not act as the patient's representative as this could be a conflict of interests. The declaration is also the patient's consent to be treated by the dentist.

5 Exemption categories

Aged under 18

If a patient claims exemption from charges because they are under 18, evidence of their date of birth should be seen and recorded on their dental record at least once while they are your patient (please make a note of type of evidence seen).

It is preferable to ask for evidence at an early stage because, once you have seen and recorded it, you will not need to ask for it again (or mark the 'Evidence not seen' box). When valid evidence is seen, you should note this on the FP25 or computerised dental record for future reference.

You must ask for evidence of age whenever the patient claims to be 15 or over and there is no record that evidence has previously been seen.

If the patient claims to be under 15, you do not need to request evidence or carry out any PoT checks to mark where evidence has not been seen, unless you have reason to doubt the patient's stated age.

As with any other PoT check, if you are in any doubt about the patient's stated age or the validity of evidence, you should mark the 'Evidence not seen' box with an 'X'.

Valid evidence must show both the patient's name and date of birth.

Examples are:

- birth certificate
- Child Benefit award letter
- NHS medical card (some PCTs no longer issue medical cards)
- driving licence
- passport
- travel concession card – date of birth is printed on a young person's travel card.

Please note that patients whose parents are paid Child Benefit by Automated Credit Transfer (ACT) directly into their bank or building society account will not necessarily have any proof of ongoing payments. However, they may hold an original award notice that confirms the age of the child. This is acceptable evidence, as it is the patient's age that needs to be confirmed, rather than whether Child Benefit is currently being paid.

Aged 18 and in full-time education

Unless the patient's dental record shows that evidence of age has already been seen, students must show two documents – one confirming their date of birth and another confirming their educational status. Many patients may be unable to show valid evidence of both. In particular, there is no standard form of evidence available to confirm educational status, but patients may have a letter of confirmation from a school or college. You should, however, bear in mind that this might not necessarily confirm **full-time** attendance. If you are in any doubt, mark the 'Evidence not seen' box.

Please note that full-time education only gives exemption if the date of acceptance is before the patient's 19th birthday. There is no exemption for older students. At 19 or over, patients wishing to claim exemption may be entitled to help under the NHS Low Income Scheme and can apply by completing an HC1 form, which is available from a Jobcentre Plus office or NHS hospital.

If the patient does not already have a valid HC2 or HC3 certificate, they cannot claim entitlement to remission of charges and then fill in an HC1 application form. This is because they may not be awarded an HC2/3 certificate, and may then be issued with a penalty notice. Instead, they must pay the charge and then claim a refund when they fill in the HC1.

Dentists, doctors, opticians and pharmacists may stock HC1 forms. They can also be requested by telephoning 0845 850 1166, or from the Prescription Pricing Authority website: http://www.ppa.org.uk/ppa/HC1_form.htm.

Evidence required:

Valid evidence of age as above (see 'Aged under 18').

AND

A letter from a school or college confirming **full-time education**.

Patients aged 18–19 who are leaving full-time education and going to university are not automatically exempt from dental charges during the summer break before they enrol at university.

Maternity

A patient may claim entitlement to exemption if, on the date of acceptance, she is an expectant mother, or has had a baby in the last 12 months. Women who have had a stillborn baby in the last 12 months are also entitled to exemption.

The only acceptable forms of evidence of pregnancy are:

- Mat B1 form issued by a GP or registered midwife, or
- NHS Prescription Charge Exemption Certificate – Maternity Exemption.

MatB1

MATERNITY CERTIFICATE

MAT B1

Please fill in this form in ink

TO THE PATIENT
Please read the notes on the back of this form ▶

Name of patient _____

Part A

Part B

Fill in this part if you are giving the certificate *before* the confinement.

Fill in this part if you are giving the certificate *after* the confinement.

Do not fill this in more than 14 weeks before the week when the baby is expected.

I certify that I attended you in connection with the birth when you were _____ when you were

I certify that I examined you on the date given below. In my opinion you can expect to have your baby in the week that includes _____

delivered _____ and [] children

We use week to mean the 7 days starting on a Sunday and ending on a Saturday.

In my opinion your baby was expected in the week that includes _____

Date of examination _____/_____/_____

Registered midwives

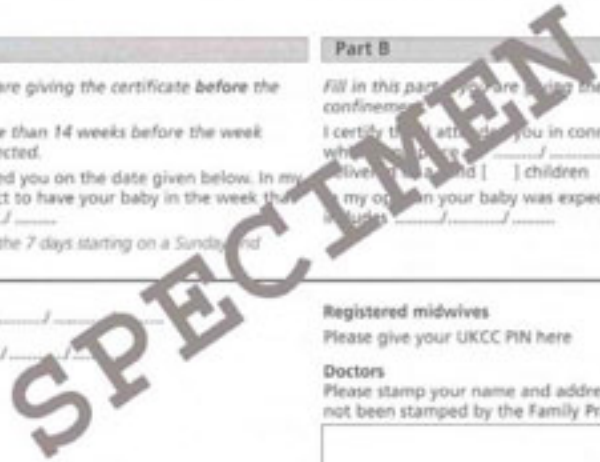
Date of signing _____/_____/_____

Please give your UKCC PIN here


Signature _____

Doctors

Please stamp your name and address here if the form has not been stamped by the Family Practitioner Committee.



NHS Prescription Charge Exemption Certificate – Maternity Exemption

NHS Prescription Charge Certificate		
Certificate Type:	Maternity Exemption	
Certificate No:	12345678900	
Name:	Title First Forename Surname	
Valid from:	03/10/02	Expires end: 02/02/03

Front

This card contains no machine readable data.

For conditions of issue see covering letter.

This card remains the property of the NHS.
If found please return to:

PO Box 854
NEWCASTLE UPON TYNE
NE99 2DE

NOT TRANSFERABLE

Back

To be certain that the date of acceptance falls within 12 months of the baby's birth or stillbirth, the only acceptable forms of evidence for a nursing mother are:

- full birth certificate – showing the mother's name
- certificate of registration of a stillbirth where appropriate
- NHS Prescription Charge Exemption Certificate – Maternity Exemption.

Legally, stillbirths occur from 24 weeks of pregnancy onwards. An earlier loss, up to week 24, is classified as a miscarriage. If pregnancy ends in a miscarriage, the exemption certificate ceases to be valid and must be returned to the Health Authority.

There is guidance on handling sensitive situations in section 7.1 (e).

NB: Being accompanied by a baby is not sufficient proof of entitlement to exemption.

6 Remission categories

Income Support

Income Support may be paid by giro cheque or Automated Credit Transfer (ACT) directly into a bank or building society account. Some letters and documents issued by the DWP about Income Support, while relating to the patient (or their partner), may not show dates of entitlement and these are **not** acceptable evidence. Entitlement to Income Support may stop at any time and evidence is only acceptable if it confirms receipt of Income Support on the date a course of treatment starts or the date the charge is made.

(Patients can ask their local benefits office for a letter confirming the period during which they have been in continuous receipt of the relevant benefit.)

Order book

The DWP no longer issues order books; benefits are paid by either giro cheque or ACT.

Giro cheque

Most patients paid by giro will have an accompanying letter FF260. Giros and the letters that accompany them show dates of entitlement. In the case of Income Support, payment is normally in arrears for the two weeks before a giro is sent, and an FF260 is not acceptable evidence.

Automated Credit Transfer (ACT)

The majority of patients who are paid by ACT are not issued with any notification of ongoing payments. This means that they do not have any appropriate evidence and are unable to confirm entitlement to Income Support on any specific date. For these patients, you should simply mark the dental claim form with an 'X' in the 'Evidence not seen' box.

Jobseeker's Allowance (Income-based)

There are two types of Jobseeker's Allowance (JSA) – Income-based JSA and Contribution-based JSA. It is only receipt of Income-based JSA that automatically entitles patients (and their partners) to remission of NHS charges, in the same way as if they were receiving Income Support. Receipt of Contribution-based JSA on its own does not entitle patients to help with NHS charges. However, these patients may be entitled to help under the NHS Low Income Scheme and may wish to make a claim by completing an HC1 form, available from Jobcentre Plus offices, NHS hospitals and PCTs.

While entitled to remission of charges, patients who receive (or whose partners receive) Income-based JSA – on the date of acceptance or the day the charge is made – will not be able to show valid evidence of entitlement. You should simply mark the claim form in the 'Evidence not seen' box.

NB: The receipt of **Incapacity Benefit** on its own does not entitle patients to help with NHS charges. These patients should be encouraged to make a claim for help under the NHS Low Income Scheme by completing an HC1* form, available as detailed above.

*If a patient does not already have a valid HC2 or HC3 certificate, they cannot claim entitlement to remission of charges and then fill in an HC1 application form. This is because

they may not be awarded an HC2/3 certificate, and may then be issued with a penalty notice. Instead, they must pay the charge and then claim a refund when they fill in the HC1.

Pension Credit

Pension Credit (Guarantee Credit)

On 6 October 2003, Pension Credit replaced Minimum Income Guarantee (Income Support for people aged 60 and over). Pension Credit consists of two elements – Guarantee Credit and Savings Credit. Pension Credit awards are of three types:

- Guarantee Credit (paid alone)
- Guarantee and Savings Credit (paid together).
- Savings Credit (paid alone).

People receiving Guarantee Credit (paid alone or with Savings Credit) are entitled to the same benefits/entitlements/help with health costs as people receiving Income Support. For PoT checks, part 5 of the award notice states which type of Pension Credit the patient has been awarded.

Tax credits

Working Tax Credit (WTC) and Child Tax Credit (CTC)

On 7 April 2003, Working Tax Credit and Child Tax Credit replaced Working Families' Tax Credit and Disabled Person's Tax Credit.

Broadly speaking, the patients entitled to help are those who would have been entitled to help under the old system of Working Families' Tax Credit and Disabled Person's Tax Credit.

Entitlement to tax credits is based on the family composition and financial circumstances of the claimant.

Not all patients in receipt of tax credits will be entitled to help towards the cost of their NHS dental treatment.


Patients (and partners, if applicable) who are entitled to free NHS dental treatment will receive an NHS Tax Credit Exemption Certificate.

NB: Some single patients and couples without dependant children may be eligible for Working Tax Credits.

Unlike Income Support, tax credits are awarded until the end of the financial year, although patients are required to notify HM Revenue and Customs (HMRC) of any changes in their circumstances that may affect their benefit. The award notice (NHS Tax Credit Exemption Certificate) is valid evidence throughout the period shown on it.

For further guidance, see 'Frequently asked questions' (section 7.3).

NHS Tax Credit Exemption Certificate

NHS Tax Credit Exemption Certificate			
Certificate No:	12345678900		
Name:	Title First Forename Surname		
Valid from:	03/10/02	Expires end:	02/02/03

Front

Please note that if a partner is included in the claim for tax credit, they will receive their own NHS Tax Credit Exemption Certificate.

This card contains no machine readable data.

For conditions of issue see covering letter.

This card remains the property of the NHS.
If found please return to:

PO Box 854
NEWCASTLE UPON TYNE
NE99 2DE

NOT TRANSFERABLE

Back

covered. Children are automatically exempt until they are 18 years old but are not covered by their parents' remission in any circumstances.

NB: Only the patient and their partner are covered by a tax credit remission. Other dependants are not

**Prescription Pricing Authority (PPA)
NHS Tax Credit Exemption Certificate letter**



Prescription Pricing Authority

Mr George Washington
27 Whitehouse Road
Monkseaton
Whitley Bay
Tyne and Wear
NE25 2ZZ

Exemption Issue Office
PO Box 1011
NEWCASTLE UPON TYNE
NE99 2ZP
DX 714 179 Newcastle 3

Tel: 0845 609 9299
Fax: 0191 203 5507
Web site: www.ppa.org.uk

Our office is open between
8.00am and 6.00pm

Certificate Number: **10236954236**

Your ref: **JA372145**

30 August 2005

Your NHS Tax Credit Exemption Certificate

Dear Mr Washington

Following your recent claim for tax credits, we have been notified by the Inland Revenue that you and your family meet the conditions for full help with health costs.

Please find attached NHS Tax Credit Exemption Certificates for you (and your partner if you have one). The certificate(s) also entitle your child(ren) named to full help with health costs.

Children entitled to full help with health costs:

Georgina Washington
Delaware Washington

Mr George Washington
Certificate Number: **10236954236**
If the above named certificate is not
attached to this letter – contact us
on the above number immediately

Please read the notes on the back of this letter carefully. They tell you what help the certificate entitles you to, what to do if you need to claim a refund, or if you need a replacement certificate.

EXEMPTION OFFICE

Mrs Gillian Washington
Certificate Number: **10236954237**
If the above named certificate is not
attached to this letter – contact us
on the above number immediately

T091

Chairman: Ayle Gibratti
Chief Executive: Nick Soloff
Director: Alistair McDosaki



What the NHS Tax Credit Exemption Certificate covers

The certificate entitles you, your partner (if you have one) and the child(ren) named overleaf to:

- *free NHS prescriptions*
- *free NHS dental treatment*
- *free NHS sight tests*
- *the full value of a voucher towards the cost of glasses and contact lenses*
- *free NHS wigs and fabric supports*
- *refund of necessary costs of travel to and from hospital for NHS treatment.*

You will need to show your NHS Tax Credit Exemption Certificate each time you get an NHS prescription or other health service. If your child(ren) are not already exempt (e.g. on age grounds), you will need to show this letter in addition to your certificate. Therefore, please keep this letter in a safe place.

This certificate is not valid for anyone who no longer lives with you or from a child's 19th birthday.

If you have a child aged under 1 and are not receiving milk tokens, you can buy 900 grammes per week of dried baby milk at a reduced price from your local clinic or Welfare Food Distribution Unit. Ask your health visitor for your nearest one. Take your certificate with you and proof of your child's age.

Refunds

If you have already paid NHS charges and wish to claim a refund, you must make your claim within 3 months of:

- *paying for dental charges, prescription charges, wig/fabric support charges or hospital travel costs*
- *paying a deposit or the full charge for glasses or contact lenses*
- *the date of the sight test.*

To claim a refund of NHS prescription charges you must have obtained form FP57 (EC57 in Scotland) from your pharmacist, doctor or hospital when you paid for your NHS prescription (you can't get one later); it tells you what to do.

To claim a refund of other NHS charges get form HC5, available from Benefit offices or NHS hospitals. Your dentist or optician may have one too. It tells you what to do.

See leaflet HC11, "Are you entitled to help with health costs?" available from main post offices or visit our website at www.ppa.org.uk for more details of how to claim a refund and time limits for claiming. This leaflet is also on the Department of Health website at:

www.dh.gov.uk/assetRoot/04/06/77/65/04067765.pdf.

Replacement Certificates

If your certificate is lost, stolen or damaged, please write to us for a replacement. Tell us what has happened and quote your full name, date of birth and certificate number if possible.

While you are waiting for your replacement certificate you can continue to complete NHS treatment forms to say you are entitled to full help with health costs.

Reporting Changes of Circumstances / Errors in your Tax Credit Assessment

As the Inland Revenue has provided the data, to enable us to issue your certificate, the Prescription Pricing Authority cannot amend any details relating to your tax credit assessment.

Please contact the Inland Revenue directly to advise them of any changes in circumstances or errors you believe have been made in your assessment.

Data Protection Act 1998: The Prescription Pricing Authority will use the information that you have provided for administrative purposes. We will not disclose your personal data to any third party or transfer it outside the European Economic Area. We may contact you to discuss your application. Your personal data will be deleted from our systems and files no later than 24 months after the date of expiry of the certificate.

NHS Low Income Scheme – HC2 and HC3 certificates

Patients who are not entitled to exemption from charges (or remission of charges) under any other category may apply for help under the NHS Low Income Scheme using form HC1. Patients may receive either an HC2 or HC3 certificate.

- HC2 – certificate for full help with NHS charges. Patients do not have to pay any dental charges for a course of treatment if they are named on a valid HC2 certificate and the certificate is valid on the date of acceptance or the day the charge is made.

Asylum seekers

Asylum seekers have to pay for their dental treatment unless they are entitled to remission of dental costs.

Asylum seekers who are supported by the National Asylum Support Service (NASS) are automatically sent an NHS Low Income Scheme HC2 certificate, which entitles them to full help with their health costs, including free dental treatment. Upon expiry of an HC2 certificate, an asylum seeker will need to contact their caseworker to obtain a renewal.

Asylum seekers who are not supported by NASS and are not otherwise entitled to exemption from or remission of dental costs can apply for help under the Low Income Scheme using the HC1 claim form.

The Refugee Council will provide an HC1. If there is not a Refugee Council in your area, patients can obtain HC1 forms from the nearest DWP or Jobcentre Plus office, or you can call 08701 555 455 and ask for one to be sent to them.

HC3 – certificate for limited help with health costs. Patients may receive some help with the cost of dental treatment if they are named on a valid HC3 NHS Low Income Scheme certificate and it is valid on the date of acceptance or the day the charge is made. A patient is entitled to help if the amount they have to pay towards the cost of dental treatment (box D on the HC3) is less than the full cost of the treatment.

Example:

Full cost of dental treatment	£42.40
HC3 box D	£9.00
Therefore, amount payable by patient is	£9.00

HC2 CERTIFICATE

HC2 Certificate for full help with health costs

Mr D Duck
46 High Street West
Middletown
MT12 4NG

CERT. NO.

2 - 047220004

You will need to quote this number if you have to get in touch with us

VALID FROM

18 April 2005

VALID UNTIL

17 April 2006

FOR

Mr Donald Duck
Mrs Daisy Duck

ABOUT THIS CERTIFICATE

Using the information you gave us in your HC1 claim for help with health costs, we have worked out that you, and your partner if you have one, are entitled to this certificate for the following:

- free NHS prescriptions
- free NHS dental treatment
- free NHS sight tests
- the full value of a voucher towards the cost of glasses and contact lenses
- free NHS wigs and fabric supports
- refund of necessary costs of travel to receive NHS treatment under the care of a consultant (please read the note overleaf before you travel)

IF YOU WOULD LIKE TO GET IN TOUCH WITH US

- always quote your current certificate number and the date by the 'valid from' box above
- if you have any queries about your claim, call us between 8.30 and 5.00 on or write to us at: Patient Services, Prescription Pricing Authority, Sandyford House, Newcastle upon Tyne, NE2 1DB.
- if you are not satisfied with our handling of your claim, please write to us at the above address and mark the envelope "Complaint"

NOTE

We can only give information about your claim to another person with your permission

HOW TO RENEW YOUR CERTIFICATE

Fill in another HC1 form - you can get one from a Job Centre Plus office, NHS hospital or by phoning our customer enquiry line on 0845 850 1166. Some dentists, opticians or doctors surgeries also have them.

Send it to us about 4 weeks before this certificate runs out. Check the 'valid until' box at the top of this certificate to see when it runs out.

If you apply for and receive a new certificate before this one runs out, you can use whichever one gives you most help. You don't have to use the new one straight away.

CARE

Keep this certificate in a safe place and take it with you when you need any of the things listed above



HC3 CERTIFICATE

HC3 Certificate for limited help with health costs

Mr D Duck
46 High Street West
Middletown
MT12 4NG

CERT. NO. **HC3-43377087**

You will need to quote this number if you have to get in touch with us

VALID FROM **18 April 2005**

VALID UNTIL **17 April 2006**

FOR **Donald Duck
Daisy Duck**

NOTE

This certificate does not affect any entitlement you have for other reasons such as age or medical condition. For example, if you are 60 or over you still get a free NHS sight test and NHS prescriptions.

ABOUT THIS CERTIFICATE

This certificate might help you by reducing the amount you have to pay towards your health costs.

Using the information you gave us in your HC1 claim form, we have worked out that you have to pay towards your health costs as below.

For sight tests you pay: <i>Please read Part A overleaf before you go to the optician</i>	A	£3.00	towards a private sight test
For glasses or contact lenses you pay: <i>Please read Part B overleaf before you go to the optician</i>	B	£6.00	towards a voucher
For travel to receive NHS treatment under the care of a consultant you pay: <i>Please read Part C overleaf before you travel</i>	C	£3.00	in any one week
For NHS dental treatment and wigs and fabric supports you pay: <i>Please read Part D overleaf before you go for treatment</i>	D	£9.00	per course of treatment or prescribed item

This certificate does not entitle you to free NHS prescriptions. Check leaflet HC11 'Help with health costs' about Prescription Prepayment Certificates.

NOTE

Improper use of this certificate may lead to prosecution

IF YOU WOULD LIKE TO GET IN TOUCH WITH US

- always quote your certificate number and the date by the 'valid from' box above
- if you have any queries about your claim, call us between 8.30 and 5.00 on or write to us at: Patient Services, Prescription Pricing Authority, Sandyford House, Newcastle upon Tyne, NE2 1DB.
- if you are not satisfied with our handling of your claim, please write to us at the above address and mark the letter "Complaint"
- if you want us to formally review our decision, please write to us and mark the envelope "Review"

NOTE

We can only give information about your claim to another person with your permission



7 Patients' questions

Answers to patients' questions

Introduction

In this section, we illustrate a number of situations you might encounter while carrying out PoT checks. We have tried to cover the types of issue most likely to arise, and this should help with the smooth running of the checking process. This is meant as a guide only and does not have to be used verbatim.

Point of Dispensing checks were introduced in pharmacies in April 1999 (in England and Wales) and Point of Service checks in opticians in February 2001 (in England; May 2001 in Wales), so some patients will already be familiar with the need to bring evidence with them. For others, however, this will be a new procedure. Until patients have become accustomed to being asked to show evidence, they may need explanation or reassurance. Posters and leaflets are available to help you carry out the checks; for more information, see section 1.1.

Dentists will need to deal tactfully with those who have difficulty understanding the checks and, in particular, should bear in mind the special needs of any patient who has a learning disability or mental illness. Particular care will also need to be taken when dealing with patients whose reason for entitlement to exemption from charges (or remission of charges) is particularly sensitive, such as a stillbirth or miscarriage.

We have also included a series of frequently asked questions (identified by the 'Help with health costs' advice line, which has been dealing with prescription check queries since April 1999) and the appropriate answers, which we suggest may be used as a quick and easy reference.

7.1 Common situations

- 7.1 (a) Acceptable evidence available
- 7.1 (b) No evidence of entitlement to exemption or remission available
- 7.1 (c) Patients who pay but want to claim a refund later
- 7.1 (d) Patients who are sensitive about showing evidence
- 7.1 (e) Patients who have had a miscarriage or stillbirth
- 7.1 (f) Patients who are reluctant to show evidence
- 7.1 (g) Patients whose first language is not English
- 7.1 (h) Patients who are blind
- 7.1 (i) People signing on behalf of a patient
- 7.1 (j) Occasional patients

7.1 (a) Acceptable evidence available

Receptionist (R)⁴

Do you pay for your NHS dental treatment?

Patient (P)

No.

R Have you heard about the procedures that should be followed when someone does not have to pay NHS charges?

P No.

R The NHS has introduced a procedure which means that we have to ask you to show some evidence of why you do not need to pay NHS dental charges.

P Why the change now?

R It's because some people do not pay when they should. They claim free NHS dental treatment they are not entitled to. This costs the NHS several million pounds a year – money which should be used to improve patient care.

P Ok, but how was I supposed to know about this?

R There has been a publicity campaign with adverts in the papers, and posters and leaflets in dental surgeries. These checks were started in chemists in April 1999 and opticians in February 2001 in England and May 2001 in Wales.

P Oh yes, I heard about that. Here is my evidence.

R Thank you very much. That is all I need.

(Where necessary, use the HC81(D), HC11 or the flow chart in this guide to check that the evidence is acceptable.)

If the patient is claiming entitlement to exemption from charges, the day in question is the date of acceptance, when the patient first signs the form.

For patients claiming entitlement to remission of charges, the day in question is either the date of acceptance or the day the charge was made.

7.1 (b) No evidence of entitlement to exemption or remission available

R Do you pay for your NHS dental treatment?

P No.

R Have you heard about the procedures for confirming that someone does not have to pay NHS charges?

P No.

⁴ For the purpose of these examples, the term 'receptionist' includes the dentist, orthodontist and all staff responsible for asking patients to sign claim forms.

- R** The NHS has introduced a procedure which means that we have to ask you to show some evidence of why you do not need to pay NHS dental charges.
- P** But I haven't got anything with me. What shall I do?
- R** Don't worry, you can have your treatment anyway, but can you remember to bring some evidence next time you come? If you are entitled, you have nothing to worry about. (Action: mark the 'Evidence not seen' box with an 'X'.)
- P** What sort of evidence should I bring and where should I get it?
- R** You should bring your [confirmation of Income Support (or whatever is appropriate)].

NB: Income Support entitlement letters are open-ended and may not cover the relevant dates. Patients can ask their local benefits office for a letter confirming the period during which they have been in continuous receipt of their benefit.)

- Or** I shall have to see your HC3 certificate to know how much you should pay. (Action: give the patient an HC81(D) leaflet to explain the different categories and where they can find the required evidence.)
- P** What will happen now?
- R** There may be a check on your claim later. If you are entitled, you have nothing to worry about and you will hear nothing more about it. Sometimes, a patient's entitlement cannot be confirmed with the relevant agency and a questionnaire will be sent to you requesting further information/evidence to enable the DPD to confirm your entitlement to help with dental charges. If you require more information, you can call the 'Help with health costs' advice line on 0845 850 1166.

(Action: If the evidence is produced later in the course of treatment – provided it was valid on the day in question (see below) – you must block out the 'Evidence not seen' box completely in black ink and sign and date the form below the box.)

NB: Please refer to sections 5 and 6 of this guidance.

If the patient is claiming entitlement to exemption from charges, the day in question is the first day of the course of treatment, when the patient first signs the form.

For patients claiming entitlement to remission of charges, the day in question is either the date of acceptance or the day the charge was made.

7.1 (c) Patients who pay but want to claim a refund later

- P** I paid the NHS charge for my dental treatment but I don't think I should have done. Can I get a refund?
- R** If your benefit or tax credit covers you for the first day of your treatment or the day the charge was made, you should be able to get a refund.

You need to fill in an HC5 form to apply for a refund. You will need to send off the receipt for your NHS treatment in the envelope that comes with the form. You can only apply when you have made the final payment for your treatment, and you must do this within three months.

Please refer to section 3 of this guidance.

NB: If evidence is produced later, please make sure that the patient has a receipt for their NHS charges payment and a refund form – HC5. Please refer to section 3 of this guidance.

If the patient pays and later in their course of treatment becomes eligible for remission of charges, they will need a receipt for the payment they have made and the appropriate refund form – HC5.

7.1 (d) Patients who are sensitive about showing evidence

R Do you pay for your NHS dental treatment?

P No.

R Do you know about the procedures for confirming that someone does not have to pay NHS dental charges?

P No.

R The NHS introduced a procedure in dental surgeries which means we need to ask you for evidence to confirm that you do not need to pay for your NHS dental treatment or that you can get help with the dental charges. Do you have a document with you that confirms that you do not have to pay?

(Action: If the patient is hesitant, we suggest that you show them the HC81(D) or HC11 leaflet or the flow chart in this guide.)

P Patient indicates which benefit they are receiving/I don't know/I don't want to talk about it.

R Don't worry, you can have your NHS dental treatment in the normal way, but could you please bring your evidence with you next time?

(Action: Advise the patient that their claim may be checked to confirm that the information provided is correct. Mark the 'Evidence not seen' box with an 'X'.)

7.1 (e) Patients who have had a miscarriage or stillbirth

It may be particularly difficult to ask a patient whether she is still eligible if she is no longer pregnant and she does not have a baby with her. However, there are numerous reasons why the patient might attend on her own, e.g. the baby may be in childcare or being looked after by a relative/friend.

If the patient has had a miscarriage (ends before the 24th week of pregnancy), she will no longer be eligible for exemption from NHS charges. Her certificate of exemption should be returned to the PCT.

If the woman has had a stillbirth, (legally, a stillbirth occurs after 24 weeks of pregnancy) she will be entitled to exemption from NHS dental charges for up to 12 months after the stillbirth. She should have a certificate of stillbirth, but she is unlikely to have it with her.

If the patient is distressed or hesitant, please do not feel that you have to pursue the conversation and remember that the patient is not obliged to produce evidence. Mark the 'Evidence not seen' box with an 'X' on the relevant form and note the circumstances on the patient's record.

If the patient is unsure as to whether she is still exempt, she can ring the 'Help with health costs' advice line on 0845 850 1166.

7.1 (f) Patients who refuse or challenge the request to provide evidence of entitlement

R Do you pay for your NHS dental treatment?

P No.

R The NHS has introduced a procedure in dental surgeries which means that we need to ask you for evidence to confirm that you do not need to pay for your NHS dental treatment or that you can get help with the dental charges. Do you have a document with you that confirms that you do not have to pay?

P No, I haven't. What's this all about?

R Some people have been claiming that they do not have to pay when they are not, in fact, entitled to free treatment.

P I don't care about that. That's got nothing to do with me. How was I supposed to know about this anyway?

R There has been a publicity campaign about this with leaflets and posters in dentists' and doctors' surgeries. There is an advice line if you would like to know more. ['Help with health costs': 0845 850 1166.]

P I haven't got anything with me. Are you going to treat me or not?

R You can have your treatment in the usual way, but could you please bring your evidence with you next time?

(Action: Advise the patient that their claim may be checked to confirm that the information provided is correct. Mark the 'Evidence not seen' box on the dental form with an 'X'.

If the patient becomes abusive or aggressive, simply provide the service and mark the 'Evidence not seen' box with an 'X'.)

Please report any incident of abusive or aggressive behaviour (i.e. physical assault⁵ or non-physical assault⁶) to your PCT in line with the NHS Security Management Service (NHS SMS) strategy. This reporting should be in addition to your current reporting procedures through your own management system.

The NHS SMS has overall responsibility for all policy and operational matters related to the management of security within the delivery of NHS services. For further information, please refer to the website: www.cfsms.nhs.uk.

⁵ Physical assault: 'The intentional application of force to the person of another without lawful justification, resulting in physical injury or personal discomfort'.

⁶ Non-physical assault: 'The use of inappropriate words/behaviour causing distress and/or constituting harassment'.

7.1 (g) Patients whose first language is not English

R Do you pay for your NHS dental treatment?

P [Indicates that they do not understand.]

The receptionist can show the patient leaflets in various languages (see below for details), if any are held in the practice,

The HC81(D) leaflets are available in various languages other than English. Copies can be downloaded from the NHS CFSMS website: www.cfsms.nhs.uk. To order the leaflets, see 'Useful contacts at a glance' in section 10.

NB: If no evidence is produced, simply mark the 'Evidence not seen' box with an 'X'.

7.1 (h) Patients who are blind

R Do you pay for your NHS dental treatment?

P No.

R Do you know about the procedures for confirming that someone does not have to pay for NHS dental charges?

P I have heard something about them. What exactly is happening?

R The NHS has introduced a procedure which means that we need to ask you for evidence to confirm that you do not need to pay for your NHS dental treatment or that you can get help with the payment. Do you have a document with you which confirms that you do not have to pay?

P Either produces the evidence or says, "No – I'm sorry, but I don't understand what I need to show you".

R [Explain further or offer the patient a Braille copy of the HC81(D) – available from the NHS CFSMS order line.]

Don't worry, you can have your treatment anyway, but could you bring your [specify the appropriate evidence] with you the next time you come?

[If the patient is still unclear about what to bring, you can advise them using this guide or any of the HC series of leaflets, or advise them that they can contact the 'Help with health costs' advice line on 0845 850 1166.]

7.1(i) Patients signing on behalf of a patient

Carer/representative (C/R)

I usually sign on behalf of [name of patient].

R Does [name of patient] need to pay for their NHS dental treatment?

C/R No.

R Are you aware that the NHS has introduced a procedure which means that we need to ask for evidence to confirm that [name of patient] does not have to pay any NHS dental charges? Do you have that evidence with you?

R [If the carer/representative cannot produce the evidence] Why do you believe that [name of patient] does not have to pay any NHS charges? [Explain to the carer what evidence is needed, using the illustrations in this guide.]

C/R I do not have that document with me today.

R Don't worry, [name of patient] can have his/her treatment as usual, but please could you bring the evidence the next time you come?

(Action: Mark the 'Evidence not seen' box with an 'X'.)

7.1 (j) Occasional patients

P I would like NHS treatment, but do not wish to register at this point.

R Do you have to pay for NHS dental treatment?

P No, I don't.

R Do you know about the procedure in dental surgeries that should be followed when you claim that you do not have to pay?

P No.

R The NHS has introduced a procedure which means that we need to ask you for evidence to confirm that you do not need to pay for your NHS dental treatment. Do you have that evidence with you?

P No, not with me.

R Don't worry, you can have your treatment as an occasional patient, and checks will be made later. It is advisable, however, for you to take your proof with you whenever you visit a dentist.

(Action: Mark the 'Evidence not seen' box with an 'X'.)

7.2 Patients' frequently asked questions

These are some of the questions most frequently asked by patients phoning the 'Help with health costs' advice line about checks. Below each one, we have given an explanation which dentists, orthodontists and dental staff may find useful.

Q *Will the dentist know I am exempt?*

Patients must tell you they are exempt. They must complete and sign the form to say why they are exempt or claiming remission of charges, and you must ask them for proof.

Q *I called the 'Help with health costs' advice line yesterday and was told that I was entitled to help with dental care. What do I do now?*

If a patient needs further advice about categories and evidence of exemption and remission, you should give them the free HC81(D) leaflet or HC11 leaflet (to order stocks of leaflets, please refer to section 1.1 of this guidance).

(Further advice will depend on which category of exemption or remission the patient claims entitlement to. If there is any doubt about entitlement, you or the patient may call the 'Help with health costs' advice line again for help, on 0845 850 1166.)

Q *I haven't been able to obtain the HC11 booklet 'Help with health costs' – these do not seem to be widely available.*

HC11 leaflets 'Help with health costs' are available in Jobcentre Plus offices and NHS hospitals. They may also be available in dental surgeries, pharmacies, GP surgeries and optical practices.

(It would be helpful if you could hold a stock of HC11s to give to patients. Please refer to section 1.1 of this guidance for more information.)

Q *Does entitlement to 'free NHS treatment' include all dental work? Some dentists seem to interpret this differently. If not, what dental work is not covered by the NHS and are there set charges for this?*

All NHS dental treatment is covered when a patient is entitled to free NHS treatment. You should, of course, be aware of any treatment that your dental practice offers that is only available privately.

Q *Are patients entitled to a second opinion on free treatment?*

Any patient is entitled to change their NHS dentist or go to see another NHS dentist at any time, provided that the dentist is willing to see them under NHS arrangement. This should not affect entitlement to help with NHS dental charges as the entitlement conditions are not connected to the dentist providing treatment.

Q *What proof should I show to the dentist?*

Examples of proof for each category of exemption/remission are shown in this guidance and the flow chart it contains, which can be shown to patients. Patients should be given the free leaflet HC81(D), which may also be available in doctors' surgeries, pharmacies and opticians.

Q *Do I have to pay part costs?*

A patient only has to pay part costs if they are entitled to partial help under the NHS Low Income Scheme and have a valid HC3 certificate. They will pay part of the cost if they are

not in any group eligible for exemption or remission and their income is too high to qualify for free treatment under the NHS Low Income Scheme.

Q ***If I've already started treatment and signed to say I would pay, can I change my mind and claim entitlement to remission of charges?***

The patient will need an HC5 form and a receipt to claim a refund. A patient who was not eligible for remission of charges on the date of acceptance may become eligible if they are in a remission category on the day the charge is made. They should sign the declaration when treatment is completed. However, patients claiming to be in an exempt category are only entitled to free treatment if they are exempt from charges on the date of acceptance.

Patients who are not in any exemption or remission category but who say they cannot afford to pay may be eligible for help under the NHS Low Income Scheme. If NHS treatment has not yet been paid for, patients who think they might be eligible should make an urgent claim to the NHS Low Income Scheme. You should give the patient an HC1 claim form or advise them to get one from a Jobcentre Plus office or NHS hospital, or they can request a form by calling the DH Publications order line on 08701 555 455 and ask for a form to be sent to them.

Patients should pay for their treatment and then claim a refund when they fill in an HC1.

The same applies to patients claiming entitlement to remission of charges while waiting for their benefit to be assessed. Patients cannot claim entitlement to remission of charges unless they are in receipt of a benefit or have a valid certificate.

Q ***I've already started paying for treatment; can I get a refund?***

If the patient has already paid for NHS treatment, you should give them a receipt and an HC5 form to claim a refund. You can also advise them to get an HC5 from a Jobcentre Plus office. Dentists should not make refunds themselves, as this creates a risk that a patient may be paid a refund twice.

(Entitlement to a refund will depend on the patient's circumstances on the date of acceptance or date the charge is made.)

A refund must be claimed within three months of the date the charge was **paid**, or the date of the last instalment. A refund should not be claimed until the course of treatment is complete.

(For further details, see 'Receipts and refunds' in section 3.)

Q ***Where should I send my refund form? Should the dentist deal with the paperwork or is it the responsibility of the patient claiming the refund?***

It is up to the patient to claim the refund, and the HC5 form tells them where to send it once completed. But you can help by providing full receipts giving all the necessary information as detailed in section 3. You can also help by holding HC5 forms to give to patients.



Q&A briefing for dental practices: Point of Treatment checks

<p>What are they?</p>	<p>Dental Point of Treatment (PoT) checks were introduced in England in November 2000 and Wales in 2001.</p> <p>They are simple checks performed when a patient (or their representative) signs a declaration that they are entitled to exemption from/remission of charges. Every patient (or their representative) claiming entitlement to exemption/remission should be asked to show evidence to support their claim.</p>
<p>Why should I perform the checks?</p>	<p>The checks serve to remind the patient of their responsibilities when they seek help with health costs and have reduced dental patient fraud by 47% (a saving to the NHS of £19 million). These checks are a requirement for dentists as part of their Terms of Service.</p>
<p>Who performs the checks?</p>	<p>They should be performed by whichever member of staff routinely manages the completion of the FP17, FP17W or PR forms with the patient or their representative.</p>
<p>How do I (or my staff) perform the checks?</p>	<p>You should ask the patient to show proof to support their claim of eligibility for exemption/remission. If it is not clear from the evidence provided that the patient or partner is exempt, or if the patient or partner cannot provide evidence to support their claim, you should mark the reverse of the form with an 'X' in the 'Evidence not seen' box.</p> <p>If no evidence is provided, you should ask the patient to bring evidence with them next time they visit.</p>
<p>How do I know what is 'acceptable proof' of exemption/remission?</p>	<p>Some basic checks include confirming the patient's name is printed on the evidence, and confirming the date of entitlement and the validity of the evidence, i.e. does it appear to have been forged or tampered with in any way?</p>
<p>What about regular patients who I know are exempt?</p>	<p>You must ask for proof on every occasion. Entitlement to exemptions such as Income Support and Income-based Jobseeker's Allowance can change on a daily basis.</p> <p>Also, by confirming continued entitlement to exemption/remission, you will be helping the patient to avoid a costly penalty charge in the event that, for whatever reason, they are no longer exempt.</p>

<p>Will I be responsible for a wrongful claim?</p>	<p>You are not responsible for the accuracy of the patient's declaration; this will always be the responsibility of the patient. You should not try to advise the patient whether they are eligible or not.</p>
<p>What if the patient is not sure whether they are entitled?</p>	<p>If the patient is not sure whether they are entitled to free dental treatment, you should ask them to pay for the treatment and, at the time the charge is paid, issue them with a receipt form FP64 or HC5 (for NHS Low Income Scheme claims). No refunds should be made at the practice.</p> <p>The patient should be advised to complete the form and send it with their receipt to the address shown on the form. Remind the patient that refunds must be claimed within three months of the date of treatment.</p>
<p>I am having a problem with tax credits (Working Tax Credit and Child Tax Credit).</p>	<p>Working Tax Credit and Child Tax Credit may entitle patients to help with health costs if they meet certain qualifying conditions.</p> <p>Those entitled will receive a small white card called a 'Tax Credit Exemption Certificate' as evidence of their entitlement.</p> <p>Presently, to qualify for help with health costs, your annual income must be £15,050 or less (with effect from 6 April 2005) <u>and</u> one of the following must apply:</p> <ul style="list-style-type: none"> • you receive both WTC and CTC • you receive WTC which includes a disability or severe disability element • you receive CTC on its own because you are not eligible for WTC.
<p>I am having a problem with the new Pension Credit Guarantee Credit (paid on its own or with Savings Credit).</p>	<p>Pension Credit consists of two elements - Guarantee Credit and Savings Credit. Awards will be one of three types:</p> <ul style="list-style-type: none"> • Guarantee Credit on its own • Guarantee and Savings Credit paid together • Savings Credit on its own. <p>Patients who receive Guarantee Credit (paid on its own or with Savings Credit) will be entitled to help with health costs.</p> <p>Patients who receive Savings Credit on its own are not entitled to help with health costs.</p> <p>Only the award notice (section 5) is valid proof of evidence as this clearly shows which type of Pension Credit the patient receives.</p>
<p>Do people in receipt of Incapacity Benefit get help with health costs?</p>	<p>Benefits such as Incapacity Benefit, Disability Living Allowance and Contribution-based Jobseeker's Allowance do not automatically qualify patients for help with health costs.</p>
<p>What do I do if the patient informs me that they have no proof of entitlement to exemption?</p>	<p>The majority of benefits are paid directly into recipients' bank accounts (by ACT).</p> <p>If the patient is receiving Income-based Jobseeker's Allowance or Income Support paid by ACT, they can request confirmation of the type of benefit in payment and the dates covered from their local Jobcentre Plus office – the dates must cover either the date of acceptance (including the day of examination) or the day the charge is made.</p> <p>NB: you should not withhold services or charge the patient because they or their representative are unable to provide evidence of their entitlement. If the patient does not have an award letter confirming proof of entitlement to exemption, you should provide the service in the normal way, making sure to mark with an 'X' the 'Evidence not seen box' on the form.</p> <p>You should always ask for evidence as, even if none is provided at the time, this acts as an important deterrent.</p>

7.3 Tax credits (WTC and CTC) explained

Q *Some patients have said that WTC/CTC award notices are confusing. Could you explain them?*

A Not all those entitled to tax credits are eligible for help with health costs. See section 6 for detailed guidance on WTC/CTC.

Since 7 April 2003, patients eligible for help with health costs have received an NHS Tax Exemption certificate, sent to them under separate cover from their award notice. If there is a partner included in the claim, they will receive their own certificate.

Q *Some patients who receive WTC/CTC are unclear about whether they can claim for free dental treatment if their award of tax credit runs out while they are undergoing a course of dental treatment. Could you explain this?*

A *Only patients in receipt of WTC/CTC with a valid NHS Tax Credit Exemption Certificate* on the date of acceptance are entitled to free NHS dental treatment.

If a patient does not meet the qualifying conditions of *WTC/CTC on the date of acceptance*, they can only become entitled to free dental treatment if they have a change in circumstances and are awarded a valid NHS Tax Credit Exemption Certificate covering the date that the charge is made.

Q *WTC/CTC and entitlement to free NHS treatment can be confusing and some dentists are asking patients to pay for treatment initially and reclaim the cost.*

A All patients who qualify for full help with their health costs will automatically be sent the NHS Tax Credit Exemption Certificate approximately 6–8 weeks after they receive their award letter from HM Revenue and Customs, along with a letter clarifying who has been included in the claim. Before they receive their certificates, those patients who are eligible for help with health costs will be able to use their award notice from HM Revenue and Customs as evidence of their entitlement to exemption. If you are not sure that the patient is entitled to help with health costs, you should simply mark the 'Evidence not seen' box and provide free treatment in the normal way, as long as the patient signs the declaration to claim entitlement to remission of charges. It must be the patient's decision to claim entitlement to remission of charges if they are unsure.

8 What are the penalties for evasion of NHS patient charges?

'Dental Point of Treatment checks are just one of a series of measures to tackle patient evasion of NHS charges introduced as part of the Government strategy to tackle all fraud and corruption in the NHS wherever it occurs' (*Countering Fraud in the NHS*, December 1998).

On 1 November 1999, two provisions to deter patient fraud were introduced in England and Wales – a penalty charge and a new criminal offence. Both apply to all NHS patient charges arising on or after this date.

The DPD will carry out post-treatment checks to verify patient entitlement to exemption from or remission of charges. In many cases, the DPD will not need to contact patients in order to carry out these checks, and where entitlement is confirmed, patients will be unaware that any action has been taken.

When patients are found to have claimed entitlement incorrectly, the DPD will ask them to pay the full amount of any unpaid NHS charges. Patients are now also liable to pay a penalty charge in addition to the original NHS charges due. The penalty will be five times the unpaid charge, up to a maximum of £100.

Dental treatment example

A patient wrongly claims help with dental costs when the charge for the course of treatment is £15.50.

Five times the cost of treatment:	£77.50
Original cost of dental treatment:	£15.50
Total:	£93.00

A penalty notice will be issued on each occasion that entitlement to help with dental treatment costs is claimed wrongly or incorrectly.

If the patient fails to pay within the given period, a further surcharge will be imposed. Failure to respond to penalty notices will result in civil recovery action through the county court and the patient may be liable for additional court costs.

The penalty charge may be imposed if a patient has claimed entitlement incorrectly; there does not need to be any proof of criminal fraudulent intent. Representatives signing on behalf of patients will not be held responsible for false statements made on behalf of the patient. The onus is on the patient to provide the correct information. The circumstances of each case will be carefully considered before payment of a penalty is pursued.

The new criminal offence makes the evasion of NHS charges a specific offence for trial in a magistrates' court. Those convicted will be liable to pay a fine of up to £2,500. It is intended to reserve criminal prosecution for serious and persistent offenders.

9 Useful information at a glance – England

This section lists some useful contact numbers for patients, practitioners and staff.

- **Health costs advice line**

For more information about help with health costs and optical Point of Service checks, you can phone the 'Help with health costs' advice line:

0845 850 1166 for patients (including students) and practitioners

- **Medical and Maternity Exemption Certificate enquiries:**

0845 601 8076

- **NHS Low Income Scheme (HC2 and HC3 certificates)**

To apply, or for enquiries, you can write to:

Patient Services, Sandyford House, Newcastle upon Tyne NE21DB
or call **0845 850 1166** or **08701 555 455**

England and Wales

- **War Pensions Exemption Certificates**

The Veterans' Agency, Norcross, Blackpool FY5 3WP
Tel: **0800 169 2277**, fax: **01253 330561**

For people with hearing or speech difficulties: **0800 169 3458**

- **NHS Tax Credit Exemption Certificates**

For enquires, call **0845 609 9299** (patients should have their tax credit awards notice to hand)

NB: patients should **not** use this number for enquiries about applications for or entitlement to tax credits (see 'Useful sources of information', below)

- **HM Revenue and Customs – Tax Credit Helpline**

To apply for, or for enquiries about entitlement to, tax credits, call:
0845 300 3900

For people with hearing or speech difficulties: **0845 300 3909**

- **Pension Service – Pension Credit Application Helpline**

To apply for Pension Credits, call **0800 99 1234**

For people with hearing or speech difficulties: **0845 606 4064**
(NB: this line does not deal with enquiries about entitlement to Pension Credits)

For queries about benefit entitlement, call the Local Pension Service team on:
0845 606 0265

For people with hearing or speech difficulties: **0845 606 0285**

- **NHS Fraud and Corruption Reporting Line: 0800 028 40 60**
(Confidential calls, freephone number)
- **PoT Reporting Line: 08702 400 114**
(Confidential calls, charged at national rate)

If you have a concern about fraud and would like advice, please contact your local PCT and speak to your Local Counter Fraud Specialist or the Director of Finance's Office.

Useful information at a glance – Wales

Health costs advice lines

- **Medical and Maternity Exemption Certificates**

Contact your Local Health Board

- **Prescription Prepayment Certificates**
- **NHS Tax Credit Exemption Certificate**

(Please have your tax credit award notice to hand): **0845 609 9299**

(NB: this line does not deal with enquires about tax credit applications or entitlement to award notice)

Pension Service – Pension Credit Application Helpline

For queries about benefit entitlement, call the Local Pension Service team on:
0845 606 0265 (0845 60 60 275 for Welsh-speaking customers living in Wales)

For people with hearing or speech difficulties: **0845 606 0285** (0845 60 60 295 for Welsh language).

10 Useful sources of information

Guidance on tax credits is available at:

www.dh.gov.uk/PolicyAndGuidance

Click on 'Medicines, pharmacy and industry' (under 'Shortcuts'), 'Prescriptions', 'NHS costs' and then 'HC11 (TC) New tax credits: help with health costs'.

Guidance on Pension Credits is available at:

www.dh.gov.uk/PolicyAndGuidance

Click on 'Medicines, pharmacy and industry' (under 'Shortcuts'), 'Prescriptions', 'NHS costs' and then 'Pension credit'.

HC81(D)

Leaflets for patients explaining where to find evidence can be ordered by:

email: cfsms@prolog.uk.com

telephone: 0845 6016702

fax: 01623 724524

HC81(Op) is available in the following languages to download from the NHS CFSMS website, www.cfsms.nhs.uk:

Albanian, Arabic, Bengali, Chinese, Croatian, English, Farsi, French, Kurdish/Sorani, Portuguese, Punjabi, Serbian, Somali, Spanish, Turkish and Urdu.

- **HC11 – Help with health costs** available at: www.dh.gov.uk
- **HC11(TC) – Tax Credits** available at: www.dh.gov.uk
- **HC12 – NHS charges and optical voucher values** available at: www.dh.gov.uk

Copies of the HC11, HC11(TC) and HC12 are also available from:

DH Publications order line
PO Box 777
London SE1 6XH

Telephone: 08701 555 455

Fax: 01623 724 524

email: dh@prolog.uk.com

The HC11 in Braille and on audio cassette is available on request by calling 0848 850 1166 or emailing www.dh.gov.uk.

For information on overseas visitors, see:

Department of Health
Foreign and Commonwealth Office
Refugee Council
Citizens Advice Bureau
UK Council for International Information
National Union of Students
Expats.org.uk
Age Concern

www.dh.gov.uk
www.fco.gov.uk
www.refugeecouncil.org.uk
www.adviceguide.org.uk
www.ukcosa.org.uk
www.nusonline.co.uk
www.expats.org.uk
www.ageconcern.org.uk