Referral to Treatment
Access Policy

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<tr>
<th>Author:</th>
<th>Lilian Watson, Systems &amp; Network Manager. Andrew Hurren, Deputy Head of Operational Performance &amp; Planning.</th>
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<td>Owner:</td>
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<td>Publisher:</td>
<td>Healthcare Governance Team</td>
</tr>
<tr>
<td>Date of first issue:</td>
<td>January 2007</td>
</tr>
<tr>
<td>Version:</td>
<td>v.7.0</td>
</tr>
<tr>
<td>Date of version issue:</td>
<td>9th January 2019</td>
</tr>
<tr>
<td>Approved by:</td>
<td>Executive Board</td>
</tr>
<tr>
<td>Date approved:</td>
<td>17th October 2018</td>
</tr>
<tr>
<td>Review date:</td>
<td>2 years from approval date or legislation changes</td>
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**Executive Summary**

This policy reflects the overall expectations of the Trust for the management of patients’ referral to treatment pathway and defines the principles on which the policy is bases. All staff are expected to understand and apply this policy.
## Version History Log

This area should detail the version history for this document. It should detail the key elements of the changes to the versions.

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| v.2     | August 2010    | L Watson       | Head of Patient Access | • NHS Constitution (April 2010)  
• Implementation of right to access services within maximum waiting times - March 2010 – (pg 4 & App B) |
| v.2     | August 2010    | L Watson       | Head of Patient Access | • Update to new policy format |
| v.3     | 15 May 2013    | L Watson       | Head of Patient Access | • Reformatted as per Trust guidelines  
• Update to include reference to ‘Everyone Counts: Planning for Patients 2013/14’  
• Update to patient unavailability. Reduction of the length of time patients can make themselves unavailable for social reasons (pg 7 Clock Pauses)  
• Addition of a paragraph on copying letters to patients (pg 13)  
• Addition of a paragraph on operations cancelled on the day (pg 8)  
• Addition of flow diagram for diagnostic DNAs/CNAs (App C) |
| v.4     | 19th November 2014 | L Watson     | Head of Patient Access | • Updated to include feedback from the Intensive Support Team (IST):  
• Add sentence on redirecting |
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<td>• Safeguarding flow diagrams updated</td>
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<td>A Hurren</td>
<td>Deputy Head of Operational Planning &amp; Performance</td>
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1. Introduction

The policy is aimed at all staff with responsibility for clinically managing or administering patients’ access to services within the hospital. All staff are expected to understand and apply the appropriate rules and principles, including: patients’ right of access to services within the maximum waiting times and diagnostic waiting times guidance. Copies of Trust policies are available electronically via Staff Room under Policies and Procedures.

2. Definitions/Terms used in policy

Definitions are outlined at Appendix A.

3. Policy Statement

The purpose of this Policy is to ensure all patients requiring access to outpatient appointments, diagnostics and elective inpatient or day-case treatment are managed equitably and consistently in line with the NHS Constitution and national waiting time standards.

4. Impact upon individuals with Protected Characteristics

The Trust aims to design and implement services, policies and measures that meet the diverse needs of our service, population and workforce, ensuring that none are placed at an unreasonable or unfair disadvantage over others. In the development of this policy, the Trust has considered its impact with regard to equalities legislation.

5. Accountability

Whilst overall accountability rests with the Board of Directors, responsibility for adhering to the Policy sits with all staff that have access to and responsibility for administering and/or managing patient waiting lists within the Trust

Overarching Principles

6. Overarching Principles: Referral to Treatment

The purpose of this Policy is to ensure all patients requiring access to our elective services are managed equitably and consistently in...
line with the NHS Operating Framework and the NHS Constitution. Patients have the right to access certain commissioned services within maximum wait times unless they choose to wait longer or it is clinically appropriate to wait longer.

This Policy:

- Sets out the rules and principles under which the Trust manages elective access to outpatient appointments; diagnostics and elective inpatient and/or day case treatments

- Outlines directions for staff on application of the NHS Constitution in relation to elective waiting times

- Demonstrates how elective access rules should be applied consistently, fairly and equitably.

The following points highlight the general principles governing the Trust’s position on access to its services:

6.1 Access to the Trust’s commissioned services will be available for all patients who require those services. Patients have the right not to be unlawfully discriminated against in the provision of NHS services, including on grounds of gender, race, religion or belief, sexual orientation, disability, age or mental illness

6.2 The Trust will publish all consultant-led 1st outpatient services on the NHS e-referral system; ensuring that all outpatient appointment slots are available on the NHS e-referral system within agreed polling ranges and will not accept paper referrals to consultant-led services after March 2018

6.3 Paper referrals into the Trust will not be accepted into consultant-led services after March 2018

6.4 In most circumstances patients should not be referred for elective services unless they are fit, ready and willing to access services within the maximum waiting times. The exception will be in cases of urgent patient pathways
6.5 Patients have the right to start consultant-led treatment within 18 weeks from referral; be seen by a specialist within 2 weeks of GP referral for suspected cancer; wait no longer than 6 weeks for a diagnostic test.

6.6 The Trust’s Core Patient Database (CPD) will be used to record and administer all referrals, advice and guidance requests and waiting lists in the Trust. (Diagnostic investigations may be on local systems)

6.7 The process of referral and admission management will be transparent to the public and external organisations

6.8 Consultants may refer onward directly to other consultants for non-urgent conditions which are directly related to patients’ complaint/condition which caused the original referral. Onward referral is also permitted in urgent cases (e.g. cancer, other urgent conditions). Re-referral back to GP is only required for onward referral of non-urgent, unrelated conditions. It should be noted however, that where new referrals are received into the wrong specialty these referrals should be redirected to the correct specialty and not returned to the GP.

6.9 Waiting lists will be managed chronologically according to clinical urgency in line with patient choice, national and local targets

6.10 Accuracy of all waiting lists and diagnostic information is the responsibility of staff within the Trust involved in administration or management of patient information

6.11 All staff with responsibility for administering or managing elective patients within the Trust will be expected to understand and apply the rules associated with patients accessing services within the maximum waits times.

6.12 All staff with responsibility for administering or managing patients will ensure that the Trust’s Accessible Information Policy is adhered to in line with the national Accessible Information Standard; ensuring that our patients have access to and understand the information they are given as well as the appropriate communication support. (Although not part
of the Standard, the Trust policy will also include access to translation and interpretation services)

6.13 All staff must be aware of the need to use the NHS number throughout a patient’s episode of care: from registration of referral through clinic consultations and ward stays and final coding procedures

7. Trust Roles & Responsibilities/staff competency & compliance

All staff with responsibility for clinically managing or administering patients are responsible for understanding and applying the ‘rules’ associated with patients accessing our elective services within the maximum wait times.

- Directors are accountable for ensuring compliance with the policy within their Directorates

- Directorate Managers are accountable for implementing, monitoring and ensuring compliance within their Directorates

- The Head of Information is responsible for the timely producing of Patient Tracking Lists (PTLs) which support the Directorates in managing RTT waiting lists

- Waiting List clerks, medical secretaries and booking teams are responsible for compliance with all aspects of the Access Policy and Standard Operating Procedures underpinning the Policy

- Head of Patient Access is responsible for ensuring that the Trust’s e-RS Directory of Services (DoS) is accurate and up-to-date

As part of their induction all new starters to the Trust will receive training applicable to their role enabling them to demonstrate their competency and compliance with the Trust’s Access Policy.

All existing staff will receive annual contextual training to enable them to demonstrate ongoing competency and compliance with the Trust’s Access Policy.
This Policy along with underpinning Standard Operating Procedures will support the training programme.

Staff will be performance managed against key performance indicators applicable to their role.

The process for monitoring compliance is attached at Appendix B.

8. Patients’ Responsibilities

As outlined in the NHS Constitution, patients can make a significant contribution to their own, and their families, good health and wellbeing, and should take personal responsibility for it:

- Patients should be registered with a GP practice as this is the main point of access to NHS care as commissioned by NHS bodies.

- Patients should provide accurate information about their health, condition and status.

- Patients should keep appointments, or cancel within a reasonable timeframe.

9. Patients Moving between NHS and Private Care

Patients can choose to move between NHS and private care at any point during their treatment without prejudice.

Where a patient is being seen privately and then decides to move from private to NHS care, those patients should be referred back to their GP for referral into the NHS. (It is not always necessary for these patients to have another outpatient appointment). The clock starts for these patients when we (the provider) receive the referral.

The exceptions to this are for those patients who need to access services urgently. In these circumstances the clinician who transfers the patient from Private to NHS care, or their secretary, should inform the private patient team by phone (internal extensions 7715382; 7715383 or 7715385). This will allow the
necessary alterations to be made to CPD so that the appropriate charges can be made for the services we provide.

The RTT pathways of patients who notify the Trust of their decision to seek private care will be closed with a clock stop applied on the date of this being disclosed by the patient.

10. Commissioner Approved Procedures

Procedures of limited clinical value (POLCV) are contained within the CCG contract documentation (2017/19), highlighting the exact commissioning position for individual procedures, together with the position regarding elective intervention on patients who have a BMI over the outlined threshold or patients who are recorded as current smokers. Funding will only be considered where criteria are met. Clinicians must ensure that the patient fulfils all the criteria. All other cases need to be referred for consideration by the Individual Funding Request (IFR) Panel, with evidence about clinical exceptionality.

11. Armed Forces Covenant & Access for Military Veterans

In line with the Armed Forces Covenant, we must ensure that those in the armed forces, reservists, their families and veterans should not face disadvantage when accessing health services in the area they reside. Patients, with their families and carers, where appropriate, will be involved in and consulted on all decisions about their care and treatment.

Special consideration is appropriate in some cases and, therefore, all military veterans are entitled to priority access to NHS hospital care for any condition, as long as it is related to their service within the armed forces; and subject to clinical need of others. In practice this means that when secondary care clinicians agree that a veterans condition is likely to be service related we are required to prioritise their treatment over other patients with the same level of clinical need; but not over other patients with a more urgent clinical need. GPs should make it clear in their referrals that the patient is a war veteran and requires treatment for condition(s) relating to their period of service, however, it is our responsibility to ensure that prioritisation occurs. (Armed Forces Healthcare NHS Choices and Armed Forces Covenant 2015 refers).
NB: Military veterans do not need to have applied and become eligible for a war pension before receiving priority treatment.

12. Healthcare Travel Costs Scheme (HTCS)

For some patients, travel to receive healthcare can present difficulties. HTCS is part of the NHS Low Income Scheme to provide assistance to patients who do not have a medical need for ambulance transport, but do still require assistance with their travel costs. A quick reference guide for patients’ eligibility is attached at Appendix C. Members of staff within the Cashiers Office are able to advise patients and/or staff further.

13. Prisoners (Choice and 18 weeks)

Prisoners are included in the right to be treated within 18 weeks but are excluded from choice of provider and appointment due to safety and security issues. (The NHS Choice Framework: April 2016 refers).

The Trust will work with the prison service to minimise delays.

National Service Standards

14. National Referral to Treatment & Diagnostic Standards

Whilst the aim is to treat all elective patients within 18 weeks, the national standards are set at less than 100% to allow for scenarios such as:

- Clinical exceptions: when it is in the patient’s best interest to wait more than 18 weeks for their treatment

- Choice: when patients choose to extend their pathway beyond 18 weeks by declining reasonable offers of appointments; rescheduling agreed appointment dates/admission offers.

- Not attending: when patients do not attend previously agreed appointment dates/admission offers (Did Not Attend) and this prevents Trusts from treating patients within 18 weeks
Referral to Treatment

| Incomplete | 92% of patients on an incomplete pathway (i.e. still waiting for treatment) to be waiting no more than 18 weeks (or 127 days) |
| Diagnostics | 99% of patients to undergo the relevant diagnostic investigation within 5 weeks and 6 days (41 days) from the date of decision to refer to appointment date |

NB: Cancer waiting time standards are outlined at paragraph 60

15. Access for Patients to Services Within Maximum Waiting Times

Patients have the right to access certain services commissioned by NHS bodies within maximum waiting times; or for the NHS to take all reasonable steps to offer patients a range of suitable alternative providers if this is not possible. This means that patients have the right to:

- Choice of hospital and consultant

- start their consultant-led treatment within a maximum of 18 weeks from referral for non-urgent conditions; and

- be seen by a cancer specialist within a maximum of two weeks from GP referral for fast track referrals where cancer is suspected and; wait no longer than 6 weeks for a diagnostic test.

Detailed guidance for applying these rules is contained within the relevant departmental standard operating procedures that underpin this Policy.

Patients’ right to start treatment within 18 weeks from referral will include treatments where a consultant retains overall
clinical responsibility for the service or team, or for patients’ treatment. This means the consultant will not necessarily be physically present for each appointment, but will take overall responsibility for patients’ care.

16. **Exceptions to the right to be seen within Maximum Waiting times**

Exceptions to the right to be seen within maximum waiting times do not apply where:

- Patients choose to wait longer;

- Delaying the start of patients’ treatment is in their best clinical interests, for example where smoking cessation or weight management is likely to improve the outcome of the treatment;

- It is clinically appropriate for patients’ conditions to be actively monitored in secondary care without clinical intervention or diagnostic procedures at that stage;

- Patients’ fail to attend appointments which they had chosen from a set of reasonable options; or the treatment is no longer necessary.

*(Extracted from the NHS Constitution Handbook October 2015)*

17. **Clock Starts**

The RTT clock starts when any healthcare professional (or service permitted by an English NHS commissioner) refers to a consultant-led service. The RTT clock start date is the date the Trust receives the referral. For referrals received via the NHS e-Referral Service, the RTT clock starts the day the patient’s unique booking reference is converted.

A clock also starts when a referral is received into an interface or referral management assessment centre which may result in an onward referral to a consultant-led service.

Clock starts commence as follows:
<table>
<thead>
<tr>
<th>Service</th>
<th>Date of Start</th>
</tr>
</thead>
<tbody>
<tr>
<td>NHS e-referral service</td>
<td>From the date the patient converts their unique booking reference number (UBRN) (i.e. the date they book their appointment)</td>
</tr>
<tr>
<td>Hard copy referral</td>
<td>From the date received by the provider</td>
</tr>
<tr>
<td>Referrals received via the national appointment line (TAL)</td>
<td>From the date the provider receives the e-mail communication from TAL</td>
</tr>
<tr>
<td>Inter-provider transfers</td>
<td>From the date the referral was received at the original provider</td>
</tr>
</tbody>
</table>
| RTT & Diagnostic Clock (many patients referred for a diagnostic test may also be on an open RTT pathway) | • RTT clock starts the date patient converts their unique booking reference number (i.e. the date they book their appointment). If hard copy the date received by provider  
• Diagnostic clock starts at the point of the decision to refer for test |
| Cancer clock starts                          | • See paragraph 61                                                           |

18. Exclusions to Clock Starts

A referral to most consultant-led services starts an RTT clock but the following services and types of patients are excluded from RTT:

• Obstetrics and midwifery  
• Planned patients (see paragraph 21)  
• Referrals to non-consultant led services  
• Referrals for patients from non-English commissioners  
• Genitourinary medicine (GUM) services  
• Emergency pathway non-elective follow-up clinic activity
19. **New Clock Starts for the same Condition**

**Following Active Monitoring:** Some clinical pathways require patients to undergo regular monitoring or review diagnostics as part of an agreed programme of care. These events would not in themselves indicate a decision to treat or a new clock start. If a decision is made to treat after a period of active monitoring/watchful wait, a new RTT clock would start on the date of the decision to treat.

**Following a Decision to Start a Substantively New Treatment Plan:** If a decision is made to start a substantively new or different treatment that does not already form part of that patient’s agreed care plan this will start a new RTT pathway clock and the patient shall receive their first definitive treatment within a maximum of 18 weeks from that date.

**For Second Side of a Bilateral Procedure:** A new RTT clock should be started when a patient becomes fit and ready for the second side of a consultant-led bilateral procedure

20. **Clock Stops**

The clock stops at the start of first definitive treatment. Start of first definitive treatment is described as the start of the first treatment that is intended to manage a patient’s condition. The clock stops if the treatment that is started is intended to avoid further intervention. This could be:

- Treatment provided within an interface service.
- Treatment provided by a consultant-led service.
- Therapy or healthcare science intervention provided in secondary care if this is what is decided as the best way to manage the patient’s condition.
- A clinical decision is made and has been communicated to the patient and their GP that they have been added to the transplant list.

A waiting time clock also stops when it is communicated to the patient, that:
• It is clinically appropriate to return the patient to primary care for any non-consultant-led treatment in primary care.
• A clinical decision is made not to treat.
• A patient did not attend and is discharged (with clinical input).
• A decision is made to start the patient on a period of active monitoring.
• A patient declines treatment having been offered it.

21. **Patients on Planned Waiting Lists**

Patients should be added to a planned waiting list where clinically they need to undergo a procedure at a specific time. The due date for their planned procedure will be included in the planned waiting list entry. Patients on planned waiting lists will be scheduled for admission at the clinically appropriate time and they should not have to wait after this time has elapsed.

22. **Active Monitoring**

Active monitoring is where a decision is made that the patient does not require any form of treatment currently, however, should still be monitored in secondary care. When a decision to begin a period of active monitoring is made and communicated to the patient, the RTT clock stops. Active monitoring may apply at any point in the patient’s pathway, but only exceptionally after a decision to treat has been made.

It is not appropriate to stop a clock for a period of active monitoring if some form of diagnostic or clinical intervention is required in a matter of days, but it is appropriate if a longer period of active monitoring is required before further action is needed.

23. **Patient Unavailability (Patient Initiated Delays: Cancelling, Declining or Delaying Appointment and Admission Offers)**

Whilst periods of unavailability are applicable to both non-admitted and admitted stages of the pathway, they tend to be more applicable to admitted pathways. See paragraph 55 for Diagnostics.
Patients can choose to postpone their appointment, treatment or TCI date if they wish. Such cancellations or delays have no impact on reported RTT waiting times. This period of unavailability must be recorded on our Core Patient Database (CPD). Clinicians will be informed of patient-initiated delays to ensure that no harm is likely to result from the patient waiting longer for treatment. Clinicians may indicate in advance, for each specialty or pathway, how long it is clinically safe for patients to delay their treatment before their case should be reviewed. However, we must not apply ‘blanket’ rules outlining maximum length of patient initiated delays. Clinicians should review patients’ cases individually to determine whether:

- The requested delay is clinically acceptable (RTT clock will continue).
- Clinically unsafe length of delay: clinician to contact patient with a view to persuading patient not to delay (RTT clock will continue).
- Contact the patient to review their options – this may result in agreement to the delay (RTT clock will continue); or to begin a period of active monitoring (RTT clock will stop).
- The patient’s best clinical interest would be served by discharging them to the care of their GP (RTT clock stops).
- Declined and cancelled TCIs do not stop the clock. Again, no ‘blanket’ rules can be applied and only the clinician can make the decision on an individual patient basis.

The general principle of acting in the patient’s best clinical interests at all times is paramount. It is generally not in the patient’s best interest to be left on a waiting list for an extended period, therefore, where long delays (i.e. months) are requested by patients a clinical review should be carried out, and the treating clinician should speak with the patient to discuss and agree the best course of action. Patients should not be discharged to their GP, or removed from the waiting list, without clinical input. See paragraph 55 for Diagnostics.
24. **Copying Letters to Patients**

Patients have the right to receive copies of letters sent between clinicians about their care. Copies of letters are available to patients on request. This includes communications between different health professionals, for instance those from and to GPs, hospital doctors, nurses, therapists and other healthcare professionals. Patients may inform their consultant/healthcare professional at the time of their consultation that they want to receive copy letters and this information can be captured as part of the outcome recording.

25. **Patient Choice**

Patients have the right to make choices about their NHS care and are entitled to choice of provider. This means that the majority of patients in England have the right to choose any hospital they wish to attend for their first outpatient appointment in a service led by a consultant; if that organisation provides clinically appropriate care for their condition. In order to facilitate the offer of choice it is mandatory that all our consultant led services are published and available on the NHS E-referral service. NHS E-referral is the Trust’s referral method for consultant-led services for patients’ first outpatient appointments.

26. **Patient Choice & Military Personnel**

Military personnel will continue to be excluded from choice of provider, but not appointment because of the need to maintain operational availability. Families of military personnel are still eligible to choose their hospital when being referred for a first outpatient appointment. (The NHS Choice Framework: Published 29 April 2016)

27. **Patients who may not be entitled to free NHS treatment**

The Trust will check every patient’s eligibility for treatment to help the Trust assess ‘ordinarily resident status’ in line with standard operating procedures. Anyone who is deemed to be ordinarily resident in the UK is entitled to free NHS hospital treatment in England. Anyone who is not ordinarily resident is subject to the National Health Service (Charges to Overseas Visitors) Regulations 1989. The Overseas Visitor Team (internal extension
Local Service Standards

28. Local Service Standards

Key standards for implementation are described in more detail within the standard operating procedures which underpin the RTT Policy and are available on the Trust's Intranet on Staff Room under Policies & Procedures.

Operational teams will regularly monitor levels of capacity for patient pathways to ensure any shortfalls are addressed to avoid poor patient experience and breaches of the standards.

29. Governance

The Governance structure is as follows:

- Planned Care Board
- Cancer Board
- Operational Steering Group
- Operational Performance Meetings

(See Appendix B)

30. Reasonable Notice of Appointment

Inpatients & Daycases

Patients on an inpatient or day case waiting list will be offered 2 dates with reasonable notice. An offer is deemed reasonable when either a verbal or written offer of a minimum of 2 appointments on different days, with at least 3 weeks’ notice given.

Outpatients & Diagnostics

Patients on an outpatient or diagnostic pathway will be offered 2 dates with reasonable notice. A local agreement has been reached that an offer is deemed reasonable when either a verbal
or written offer of a minimum of 2 appointments on different days, with at least 1 weeks’ notice, is given.

31. **6 Weeks’ Notice of Leave by Clinicians**

The Trust leave policy requires a minimum of 6 weeks’ notice of annual or study leave (including notification of planned meetings) where a consultant or other medical staff requires a clinic to be cancelled or reduced.

32. **Inter-Provider Transfers**

When clinical care of patients on an 18-week pathway is transferred between organisations, the data items pertaining to the patient’s 18 week clock must be transferred securely via NHS net from the referring organisation to the receiving organisation within 48 hours of decision to refer (DSCN 44/2007 refers). The Patient Access Teams on the Scarborough and York sites will register receipt and ensure the 18-week clock information is recorded accurately on CPD.

For those patients who need to be onward referred from us to another hospital as part of their care pathway, patient details will be sent to the Data Quality Team by secretaries, and the Data Quality Team will onward refer to the appropriate IPT NHS.net mailbox.

33. **Data Quality**

All staff have a responsibility for data quality and must ensure that data is recorded accurately, and as close to the event as possible, adhering to Trust policies and procedures.

**Admitted Pathways**

34. **Adding Patients to waiting list**

The Trust’s Core Patient Database (CPD) will be used to capture and monitor all waiting list entries. Ideally, patients will be fit, ready and available before being added to the admitted waiting list. Patients should be added without delay following the decision to admit. The active waiting list includes all patients who are awaiting
admission at a clinically defined time. Adding a patient to the inpatient or day case waiting list will either:

- Continue the RTT clock from the original referral date.
- Start a new RTT clock if the surgical procedure is a substantively new treatment plan which did not form part of the original treatment plan, providing that either another definitive treatment or period of active monitoring has already occurred. The RTT clock will stop upon admission.

35. **Patients requiring more than one procedure**

If more than one procedure is to be performed at one time by the same surgeon, the patient should be added to the waiting list with extra procedures noted. If different surgeons will work together to perform more than one procedure, the patient will be added to the waiting list of the consultant surgeon for the priority procedure with additional procedures noted. If a patient requires more than one procedure performed on separate occasions by different (or same) surgeon(s):

- The patient will be added to the active waiting list for the primary (1\textsuperscript{st}) procedure.

- When the first procedure is complete and the patient is fit, ready and able to undergo the second procedure, the patient will be added (as a new waiting list entry) to the waiting list, and a new RTT clock will start.

36. **Patients Requiring Thinking Time**

Patients may sometimes require time to think about the recommended treatment options before confirming they would like to proceed. It is not appropriate to stop their RTT clock where thinking time amounts to only a short span of time. Therefore, patients should be asked to make contact within an agreed period with their decision.

It sometimes may be appropriate for the patient to enter into active monitoring (and the RTT clock stopped) where they state that they do not anticipate making a decision for a matter of months. This decision must be made by the clinician on an individual patient basis with their best clinical interests in mind. Where active
monitoring is applied then a follow-up appointment/contact should be made with the patient as appropriate. A new RTT clock would commence from the date of the decision to admit if the patient decides to proceed with the surgery.

37. Scheduling Patients for Admission

Clinically urgent patients should be scheduled first, followed by routine patients using the Trust’s PTL in chronological order of their RTT wait.

If the patient does not make contact, the demographic details of the patient should be checked either via our Data Quality Team or with the GP direct.

Patients will be offered a choice of at least 2 admission dates with three weeks’ notice. Admission dates can be offered with less than 3 weeks’ notice and if the patient accepts, this can be defined as ‘reasonable’. Any admission offers declined should be recorded on CPD.

If there is insufficient capacity to offer dates within the required timeframe this should be escalated to the appropriate service manager.

38. Patients who Do Not Attend Admission

Patients who do not attend (DNA) for their admission will have their pathway reviewed by their consultant. If the consultant decides that they should be offered a further admission date, the RTT clock will continue. If the consultant decides that it is in the patient’s best clinical interest to be discharged back to their GP, the RTT clock will stop.

We cannot apply ‘blanket’ rules on the discharge of patients linked to how many times they DNA.

39. Patients who are Unfit for Surgery

If the patient is identified as unfit for the procedure, the nature and duration of the clinical issue should be ascertained:

**Short-term illness**
If the clinical issue is to be short-term and has no impact on the original clinical decision to undertake the procedure (e.g. cough, cold etc.), the RTT clock continues.

**Longer-term illnesses**

If the clinical issue is of a more serious nature and the patient requires optimisation and/treatment the clinician should indicate to administration staff:

- If it is clinically appropriate for the patient to be removed from the active waiting list and put on active monitoring. (RTT clock stop).

- If the patient should be optimised/treated within secondary care or if they should be discharged back to the care of their GP (RTT clock stop).

**40. Elective On-the-Day Cancellations**

It is the expectation that no patient will be cancelled by the hospital on the day of admission for non-clinical reasons. However, in those extreme circumstances patients must be booked a new date either within 28 days (as per the national standard) or before their 18 week breach date, if this is shorter than 28 days. This offer date must be agreed within a reasonable timeframe from the cancellation and preferably before they leave the trust or within 24 hours. Where an offer of appointment cannot be made within 28 days then the patient is entitled to be offered an alternative provider and the cost of the treatment paid for by the original provider. (Escalation flow diagram is shown at Appendix D). This must be approved with the Directorate Manager or representative of that specialty. All other avenues for treatment must be explored and documented and subsequently discounted before agreement to transfer is approved.

**Non-Admitted Pathways**

**41. Receipt of Referral Letters into the Trust**

The process for receipt of referral letters into the Trust is shown at Appendix E. Referrals into consultant-led services will only be
accepted via the national electronic referral system (e-RS). Paper based referrals are only accepted for services that are not available via e-RS and these should be directed to the Patient Access Team within the Trust.

More detailed information on the process is contained within the Standard Operating Procedures.

42. **NHS E-Referral Appointment Slots**

The Trust will ensure that outpatient appointment slots are available on the NHS E-referral system, within agreed polling ranges. In instances where services have no available slots within the polling range the Trust will receive notification of the patients who have chosen us as their provider. Staff managing the receipt of these notifications must follow best practice by making contact with the patients within a maximum of 4 days. Patients should then be offered a suitable appointment date and Directorates informed of the appointment slot issues to ensure that sufficient capacity is made available via NHS E-referral.

43. **Outpatient Fast Track Referrals (14 day rule)**

The exception to the standard referral pathways are referrals made under the 2 week rule. These patients must be given an appointment within 14 days. The 2 week standard is monitored from the date of the receipt of these referrals, or from the date the appointment is booked via e-RS.

44. **Consultant to Consultant Referrals (onward referral of patients)**

Consultants may refer onwards directly to other consultants for non-urgent conditions which are directly related to the patients’ complaint/condition which caused the original referral. Onward referral is also permitted in urgent cases (e.g. cancer, other urgent conditions). Re-referral back to GP is only required for onward referral of non-urgent, unrelated conditions.

It should be noted, however, that where new referrals are received into the wrong specialty these referrals should be redirected to the correct specialty and not returned to the GP.
45. **Outpatient Clinic Template Management Procedure**

Template management is critical in terms of understanding our capacity and demand. There is a formal process for all changes to either increase or decrease activity. Intended changes must fit in with our contracted plans and access target management. All template change requests must be submitted to the email box: CommissioningGroup@york.nhs.uk, detailing proposed changes in volume, case mix or other adjustment, with a brief supporting narrative. Please use the appropriate pro-forma. Outpatient Clinic Managers can advise on this process.

46. **Outpatient Clinic Outcomes**

Outcomes will be captured electronically on CPD during/following patients’ clinic consultations. Every patient, new and follow-up, whether they have attended or not, will have a status and outcome recorded on CPD. Outcomes will then be promoted to an electronic worklist and picked up by the appropriate administrative staff for action.

47. **Patients who Do Not Attend 1st Outpatient Appointment**

The RTT clock is stopped and nullified, as long as we can demonstrate the appointment was booked in line with our reasonableness criteria (see paragraph 30). If the clinician indicates that another first appointment should be offered, a new RTT clock will be started on the day the new appointment is agreed with the patient.

Patients who do not attend their first outpatient appointment following their initial referral may be discharged back to their GP (or referrer) and their clock stopped. The process for discharging patients must be based on clinician review. Where patients are discharged as a result of their DNA the GP/referrer and patient must be notified.

The procedure for management of children (under 18) who have not been brought to appointments is shown at Appendix F. Clinicians should review the records and assess the risk to a child’s welfare of not being brought to their appointment.

The procedure for management of vulnerable adults is shown at Appendix G.
The procedure for management of maternity patients is shown at Appendix H.

The general principle of acting in the patient’s best clinical interest is paramount.

48. DNA of Subsequent Outpatient Appointments

If a patient DNAs any subsequent (i.e. follow up) appointment and the clinician indicates that a further appointment should be offered then their RTT clock will continue to tick. The patient may be discharged but any discharge must be based on clinician review.

For the management of children (under 18) who have not been brought to appointments please see Appendix F.

Patients who are referred in at 16+ years can be seen in adult clinics. However, where they are existing patients in a paediatric service (and in full-time education) they are generally seen up until 18 years of age and the correspondence in these cases usually addressed to the parent/guardian.

The procedure for management of vulnerable adults is shown at Appendix G.

The procedure for management of maternity patients is shown at Appendix H.

Where patients are discharged as a result of their DNA the GP/referrer will be notified.

The general principle of acting in the patient’s best clinical interest is paramount.

49. Patients who Cannot Attend (CNA) Outpatient Appointments

The definition of a CNA is when a patient informs us that they wish to cancel their appointment (even if this is at short notice). National guidance dictates that if a patient cancels their appointment (regardless of whether this is on the day) the 18 week clock will continue to tick.
Patients can choose to postpone or amend their appointments. Such cancellations/delays have no impact on reported RTT waiting times. The RTT clock will stop if the patient is discharged. All discharges must be based on clinician review. The general principle of acting in the patient’s best clinical interest is paramount.

50. Management of Urgent Suspected Cancer Patients (2ww)

These patients should not be referred back to their GP after a single DNA or cancellation.

Patients may only be referred back to their GP after multiple (two or more) DNAs, but not after multiple appointment cancellations unless this has been agreed with the patient. By cancelling an appointment a patient has shown a willingness to engage with us.

Patients that choose an appointment outside of 2 weeks do not exempt themselves from the standards. The operational standards for the 2 week wait commitments take account of the volume of patients that are likely to be seen outside of 2 weeks due to patient choice. For further detail please refer to the Trust’s Cancer Operational Policy and the National Cancer Wait Times (CWT): A Guide.

The general principle of acting in the patient’s best clinical interest is paramount.

Diagnostics

51. Diagnostic Clock Rules

- **Diagnostic clock start**: the clock starts at the point of the decision to refer for a diagnostic test by either the GP or the consultant.
- **Diagnostic clock stop**: the clock stops at the point at which the patient undergoes the test.

More detailed information on appointment booking is available in the departmental standard operating procedures.
52. Patients with a Diagnostic & RTT Clock

A large proportion of patients referred for a diagnostic test may also be on an open RTT pathway. In these circumstances the patient will have both types of clock running concurrently:

- Their RTT clock which started at the point of receipt of the original referral.
- Their diagnostic clock which started at the point of the decision to refer for diagnostic test.

53. Patients with a Diagnostic Clock Only

Patients who are referred directly for a diagnostic test (but not consultant-led treatment) by their GP, i.e. clinical responsibility remains with the GP, will have a diagnostic clock running only. These are called direct access referrals.

54. Diagnostic Straight-to-test Arrangements

For patients who are referred for a diagnostic test where one of the possible outcomes is review and, if appropriate, treatment within a consultant-led service (without first being reviewed by their GP) an RTT clock starts on receipt of the referral.

55. Patients who Do Not Attend (DNA) and Can Not Attend (CNA) Diagnostic Appointments

If a patient DNAs their diagnostic appointment, their diagnostic wait time is set to zero and started again from the date of the appointment that the patient did not attend.

If a patient CNAs their appointment, their diagnostic wait time is also set to zero and started again from the date of the appointment that the patient cancelled.

The above is based on patients being given reasonable notice. See paragraph 30 for terms of reasonable notice. Patients should also be advised via their confirmation appointment letters of the consequences of DNAs/CNAs.

This guidance is taken from the DH’s “Diagnostics Waiting Times and Activity” March 2015. A flow diagram is attached at Appendix J outlining clock starts/stops, DNAs and CNA rules.
It should be noted that in many instances patients’ diagnostic tests will form part of their 18 week pathway and it is not appropriate to reset a patient’s RTT clock in these instances.

56. **Diagnostic Planned Appointments**

Planned patients are not included in the clock rules. Patients should be added to a planned waiting list where clinically they require a diagnostic test to be carried out at a specific time. The due date for their planned procedure should be included in the planned waiting list entry. Patients on planned waiting lists will be scheduled for admission at the clinically appropriate time and they should not have to wait after this time has elapsed.

57. **Therapeutic Procedures**

Where a patient is solely waiting for a therapeutic procedure, for example in the Radiology Department, there is no 6 week diagnostic standard. However, for many patients there is also a diagnostic element to their appointment, and in these instances, patients would still be required to have their procedure within 6 weeks.

58. **Acute Therapy Services**

Referrals to therapy services, for example, physiotherapy, dietetics, orthotics and surgical appliances can be:

- Directly from GPs where an RTT clock would not be applicable.

- During an open RTT pathway where the intervention may be intended as first definitive treatment or interim treatment.

Depending on the pathway, therapy interventions can constitute an RTT clock stop. Equally, the clock can continue to tick. It is therefore important that staff understand if the referral to them is intended as first definitive treatment. For example:

- Physiotherapy: Patients referred for physiotherapy as a first definitive treatment – RTT clock stops when the patient begins the physiotherapy.
- Patients referred for physiotherapy as an interim treatment (surgery required); the RTT clock continues when the patient begins physiotherapy.

- Dietetics: If patients are referred to dieticians and receive dietary advice with no other form of treatment, this would constitute an RTT clock stop. Equally, patients could receive dietary advice as an important step of a particular pathway where other treatment is required and the clock would continue to tick.

- Surgical Appliances: Where patients are on a pathway referred for a surgical appliance with no other form of treatment; the fitting of the appliance constitutes first definitive treatment and the clock would stop.

Cancer Pathways

59. Cancer Policy

Please refer to the Trust’s Operational Cancer Policy for detailed information, which is available on Staff Room under Policies & Procedures. A summary of the waiting time standards and clock starts is shown below.

60. Cancer Waiting Time Standards

The table below outlines the key cancer waiting time standards that must be adhered to:

<table>
<thead>
<tr>
<th>Service Standard</th>
<th>Operational Standard</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maximum 2ww from urgent GP referral for suspected cancer to first appointment</td>
<td>93%</td>
</tr>
<tr>
<td>Maximum 2ww from referral of any patient with breast symptoms (where cancer is not suspected) to first hospital assessment</td>
<td>93%</td>
</tr>
<tr>
<td>Maximum 31 days from decision to treat first definitive treatment</td>
<td>96%</td>
</tr>
<tr>
<td>Maximum 31 days from decision to</td>
<td>94%</td>
</tr>
</tbody>
</table>

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RTT Access Policy
V7.0 Issued 09 January 2019
<table>
<thead>
<tr>
<th>Service Standard</th>
<th>Operational Standard</th>
</tr>
</thead>
<tbody>
<tr>
<td>treat/earliest clinical appropriate date (ECAD) to start of subsequent treatment(s) where the subsequent treatment is surgery</td>
<td></td>
</tr>
<tr>
<td>Maximum 31 days from decision to treat/ECAD to start of subsequent treatment(s) where the subsequent treatment is drug treatment</td>
<td>98%</td>
</tr>
<tr>
<td>Maximum 31 days from decision to treat/ECAD to start of subsequent treatment(s) where the subsequent treatment is radiotherapy</td>
<td>94%</td>
</tr>
<tr>
<td>Maximum 62 days from urgent GP referral for suspected cancer to first treatment</td>
<td>85%</td>
</tr>
<tr>
<td>Maximum 62 days from urgent referral from an NHS cancer screening programme for suspected cancer to first treatment</td>
<td>90%</td>
</tr>
</tbody>
</table>

61. **Clock Starts (Cancer Pathway)**

2ww

The date the patient converts their unique booking reference number (UBRN) (i.e. the date they book their appointment) or date of receipt if received in hard copy.

62 day

A 62-day cancer clock can start following the below actions:

- Urgent 2ww referral for suspected cancer
- Urgent 2ww referral for breast symptoms (where cancer is not suspected)
- A consultant upgrade
- Referral from NHS cancer screening programme
- Non NHS referral (and subsequent consultant upgrade)
### 31 day

A 31-day cancer clock will start the following:
- A Decision to Treat (DTT) for first definitive treatment
- A DTT for subsequent treatment
- An earliest clinically appropriate date following a first definitive treatment for cancer

### 62. Clock Stops (Cancer Pathway)

<table>
<thead>
<tr>
<th>Clock Duration</th>
<th>Events to Stop the Clock</th>
</tr>
</thead>
</table>
| 62-day         | - A deliver of first definitive treatment  
                 - Placing a patient with a confirmed cancer diagnosis onto active monitoring  
                 - Making a decision not to treat  
                 - Patient declining all diagnostic tests  
                 - Confirmation of a non-malignant diagnosis |
| 31-day         | - Delivery of first definitive treatment  
                 - Placing a patient with a confirmed cancer diagnosis onto active monitoring  
                 - Confirmation of a non-malignant diagnosis |

In some cases where a cancer clock stops, the 18-week RTT clock will continue, i.e. confirmation of a non-malignant diagnosis.

Please refer to the Trust’s Cancer Operational Policy available via Staff Room: Policies and Procedures for more detailed information.
## Appendix A

### Definitions

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>2ww</td>
<td>Two-week wait: the maximum wait time for a patient’s first outpatient appointment or 'straight to test' appointment if they are referred as a 62-day pathway patient.</td>
</tr>
<tr>
<td>18 weeks Rule Suite</td>
<td>The 18 Weeks Rules Suite sets out the rules and definitions for 18 weeks. The suite provides a framework within which decisions can be made and how to apply the rules.</td>
</tr>
<tr>
<td>31-day pathway</td>
<td>The starting point for 31-day standard is the date a patient agrees a plan for their treatment or the date that an earliest clinically appropriate date is effected for subsequent treatments.</td>
</tr>
<tr>
<td>62-day pathway</td>
<td>Any patient referred by a GP with a suspected cancer on a 2ww referral pro-forma; referral from a screening service; referral from healthcare professional for breast symptoms or where a routine referral has been upgraded by a hospital clinician, must begin treatment within 62 days from receipt of referral.</td>
</tr>
<tr>
<td>Access to Services within maximum wait times</td>
<td>Guidance outlining the duties placed on PCTs and Providers of patients rights in accessing services within 18 weeks (Gateway 13676 refers).</td>
</tr>
<tr>
<td>Accessible Information</td>
<td>Information which is able to be read and/or received and understood by the individual or group for which it is intended.</td>
</tr>
<tr>
<td>Active Monitoring (sometimes known as watchful wait)</td>
<td>Where a clinical decision is made to start a period of monitoring in secondary care without clinical intervention or diagnostic procedures. An 18 week clock may be stopped where it is clinically appropriate to start a period of monitoring without clinical intervention. A new 18 week clock will start when a decision to treat is made.</td>
</tr>
<tr>
<td>ASI</td>
<td>Appointment Slot Issue.</td>
</tr>
<tr>
<td>Bilateral Procedures</td>
<td>Where a procedure is required on both the right and left sides of the body.</td>
</tr>
<tr>
<td>Choice</td>
<td>Patients have the right to choice of provider for their NHS care when referred for their first outpatient appointment to a service led by a consultant.</td>
</tr>
<tr>
<td>Chronological Booking</td>
<td>Refers to the process of booking patients for appointments, diagnostic procedures and admissions in date order of their clock start.</td>
</tr>
<tr>
<td>Consultant-led</td>
<td>A service where a consultant retains overall responsibility for the...</td>
</tr>
<tr>
<td>Term</td>
<td>Description</td>
</tr>
<tr>
<td>-------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>service</td>
<td>care of the patient. Patients may be seen in nurse-led clinics which come under the umbrella of the consultant-led service</td>
</tr>
<tr>
<td>Clock Start</td>
<td>An 18 week clock starts when any care professional (in England) makes a referral to a consultant led service regardless of setting.</td>
</tr>
<tr>
<td>Clock Stop</td>
<td>A clock stops when first definitive treatment starts</td>
</tr>
<tr>
<td>CNA</td>
<td>Could not Attend. Patients who have had reasonable notice of their appointment date and who do notify the hospital in advance of their appointment to say they cannot attend the appointment (even if this is at short notice).</td>
</tr>
<tr>
<td>Direct access</td>
<td>Where GPs refer patients to hospital for diagnostic tests only. These patients will not be on an open RTT pathway</td>
</tr>
<tr>
<td>DNA</td>
<td>Did not Attend. Patients, who have had reasonable notice of their appointment date and who, without notifying the hospital, do not attend their appointment. (Please also see WNB: Was Not Brought as this relates to children who have not been brought to their appointment and who have not ‘DNA’d)</td>
</tr>
<tr>
<td>E-referral Service (E-RS)</td>
<td>National electronic referral service.</td>
</tr>
<tr>
<td>Formerly known as Choose &amp; Book</td>
<td></td>
</tr>
<tr>
<td>First Definitive Treatment</td>
<td>An intervention intended to manage a patient’s condition, disease or injury and avoid further intervention. What constitutes first definitive treatment is a matter for clinical judgement in consultation with the patient.</td>
</tr>
<tr>
<td>Follow up</td>
<td>A Follow Up patient is one who attends as a follow up either after a 1st attendance or after being admitted for inpatient treatment which relates to the outpatient attendance.</td>
</tr>
<tr>
<td>Incomplete Pathways</td>
<td>Patients who are waiting for treatment on an open RTT pathway, either at the non-admitted or admitted stage.</td>
</tr>
<tr>
<td>Inter Provider Transfer (IPT)</td>
<td>Method of transferring a Minimum Data Set of 18 week clock start details and clinical information where a patient's care transfers between provider organisations. The information is transferred via secure email.</td>
</tr>
<tr>
<td>New Patient</td>
<td>A New Patient is a patient who is new to the consultant for the purpose for which they have been referred.</td>
</tr>
<tr>
<td><strong>NHS Constitution</strong></td>
<td>The Constitution (Everyone Counts: Planning for Patients 2013/14) establishes principles and values of the NHS in England and sets out rights to which patients, public and staff are entitled.</td>
</tr>
<tr>
<td>----------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Nullified</strong></td>
<td>Where the RTT clock is discounted from any reporting of RTT performance.</td>
</tr>
<tr>
<td><strong>Patient Initiated Delay</strong></td>
<td>Where the patient cancels, declines offers or does not attend appointments or admission. This in itself does not stop the clock. A clinical review must take place.</td>
</tr>
<tr>
<td><strong>Polling Range</strong></td>
<td>Range of appointments that are offered up to NHS e-referral service from our Core Patient Database.</td>
</tr>
<tr>
<td><strong>Planned Waiting List</strong></td>
<td>Patients who are to be admitted as part of a planned sequence of treatment or where they clinically have to wait for treatment or investigation at a specific time. Patients on planned lists should be booked at the clinically appropriate time.</td>
</tr>
<tr>
<td><strong>PTL</strong></td>
<td>Patient Tracking List.</td>
</tr>
<tr>
<td><strong>Reasonable Offer</strong></td>
<td><strong>Inpatients/Daycase</strong> &lt;br&gt; An offer is deemed reasonable when either a verbal or written offer of a minimum of 2 appointments on different days, with at least 3 weeks’ notice given. &lt;br&gt; <strong>Outpatients &amp; Diagnostics</strong> &lt;br&gt; A local agreement has been reached that an offer is deemed reasonable when either a verbal or written offer of a minimum of 2 appointments on different days, with at least 1 weeks’ notice given.</td>
</tr>
<tr>
<td><strong>RTT</strong></td>
<td>Referral to Treatment.</td>
</tr>
<tr>
<td><strong>TCI</strong></td>
<td>To Come In (date).</td>
</tr>
<tr>
<td><strong>UBRN</strong></td>
<td>Unique Booking Reference Number.</td>
</tr>
<tr>
<td><strong>WNB</strong></td>
<td>Was Not Brought – this term refers to children who are not brought to appointments.</td>
</tr>
</tbody>
</table>
## Process for Monitoring Compliance and Effectiveness

<table>
<thead>
<tr>
<th>Minimum Requirement to be monitored</th>
<th>Process for Monitoring</th>
<th>Responsible Individual, Committee or Group</th>
<th>Frequency of Monitoring</th>
<th>Responsible Individual, Committee or Group for review of results</th>
<th>Responsible Individual, Committee or Group for developing action plan</th>
<th>Responsible Individual, Committee or Group for monitoring action plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Planned Care Board</td>
<td>RTT Assurance</td>
<td>Planned Care Board</td>
<td>As required by escalation</td>
<td>Planned Care Board</td>
<td>Planned Care Board</td>
<td>Planned Care Board</td>
</tr>
<tr>
<td></td>
<td>Planned Care Board</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Cancer Board</td>
<td>Compliance assurance</td>
<td>Cancer Board</td>
<td>As required by escalation</td>
<td>Cancer Board</td>
<td>Cancer Board</td>
<td>Cancer Board</td>
</tr>
<tr>
<td>c. Operational Performance Meetings</td>
<td>Non-Compliance</td>
<td>Operational Performance Meeting</td>
<td>As required by escalation</td>
<td>Head of Operational Performance/Corporate Performance Meeting</td>
<td>Head of Operational Performance/Corporate Performance Meeting</td>
<td>Head of Operational Performance/Corporate Performance Meeting</td>
</tr>
<tr>
<td></td>
<td>Operational Performance Meeting</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Operational Steering Group</td>
<td>Compliance and action plan agreed at Operational Steering Group</td>
<td>Operational Steering Group</td>
<td>Quarterly – Standard Agenda Item</td>
<td>Directorate Manager/Operational Steering Group/Head of Patient Access</td>
<td>Directorate Manager/Operational Steering Group/Head of Patient Access</td>
<td>Directorate Manager/Operational Steering Group/Head of Patient Access</td>
</tr>
</tbody>
</table>
Appendix C

Extract from Healthcare Travel Costs Scheme (Gateway Ref 14322)

Quick Reference Guide (Patients Eligibility for Assistance with Healthcare Travel Costs)

1. Do you get
   - Income support?
   - Income-based
     Jobseekers allowance?
   - Pension Credit Guarantee
     Credit?
   - Income-based ESA?

2. Are you named on
   an NHS tax exemption
   certificate?

3. Are you on a
   low income and named
   on certificate HC2 or HC3?

4. You are not entitled to
   reimbursement of your travel costs. If you feel you may be on a low income you may claim using form HCS(T).

5. Was your journey made for an appointment arranged by a doctor or dentist?

6. Was your journey made for a non-primary care test or treatment?

7. Was your test or treatment paid for by the NHS?

8. Did you undertake a separate journey from the appointment where the referral was made?

You are entitled to reimbursement of your travel costs through HTCS.
In addition the daily operational meetings will review the week ahead when OPEL 3 is activated. Information to be brought to the meetings at this time is:

- List of all planned TCIs for week
- Forecast 18 week position
Appendix E

Process Flow: Receipt of Referrals into Trust

Referral received via e-Referral Service

Referral uploaded onto CPD using Foxit Phantom software with document type ‘Referral Letter-Incoming’

Referral registered and scanned onto CPD with document type ‘Referral Letter-Incoming’

Referral promoted to Consultant Notify Worklist

Consultant reviews the request on New Referrals tab in Notify under their Consultant Firm & Specialty

Request tests

Test ordered and arranged eg: Cardio Respiratory

Add to endoscopy or waiting list

Scheduled by waiting list teams

Outpatient Instructions

Worklist items:
- New ref response
- New ref response C&B

Admin team undertake the necessary instructions and bookings then mark the worklist item as actioned

Key
CPD: Core Patient Database
Notify: Electronic Notification
Worklist: Electronic Worklist
Process for Child not Brought to an Appointment

1st Missed Appointment / WNB

- Contact parent/carer.
- Record outcome in records.
- Send further appointment (if appropriate), if not, record in notes.

2nd Missed Appointment / WNB

The clinician should assess whether the non-attendance is a potential/actual safeguarding concern:
- Is there a Safeguarding Alert on CFD?
- Check with the Safeguarding Children Team to ascertain if the child is known to them?
- Following research, SCT will advise as to next actions.

**No identified concerns**
- Discharge Letter to GP & referrer.
  - If the child is on a Child Protection Plan or Looked After – contact named social worker.

**Concerns Identified**
- Letter to GP & referrer stating clearly how non-attendance is likely to impact on the child
  - Copy letter to 0-19 Healthy Child Service.
  - Consider if a referral is necessary.
Appendix G

DNA for Vulnerable Adults

Patient:
- Has open Safeguarding Adult Referral identified on CPD
- Flagged with Safeguarding Adults marker or
- Considered to be at risk due to age, reliance on carers, mental capacity or any other vulnerabilities

Contact patient/carer to establish reason for non-attendance and offer further appointment

Yes – agree further appt.
Inform carer that further non-attendance will result in referral back to GP or referrer (consider any reasonable adjustments to facilitate attendance)

No – Verify patient contact details with GP or Data Quality who can use the NHS Tracing Service.
Contact Trust Safeguarding Adults Team* if patient has Safeguarding Adults marker or open referral

Contact successful

Patient DNA’s second appointment

Correct contact details established

Contact carer/care provider to offer further appointment

*Inform Trust Safeguarding Adults Team on any of the following:
07795126588
07825089021

Refer back to GP if clinically appropriate to do so.

If not clinically appropriate to discharge refer to other risk factors

RTT Access Policy
V7.0 Issued 09 January 2019
Safeguarding Maternity DNA Process

If a woman fails to attend an appointment in either Day Services or Community Clinic, it is the responsibility of the clinician to:

1st DNA
- Check to see if the woman is an inpatient. If yes; document on CPD and inform GP. No further action is needed.
- Contact the woman to confirm address and reason for non-attendance and send new appointment.
- Check CPD for Safeguarding Alerts. If alerts exist, contact professionals involved as required.

Hospital Day Services
- Check CPD for Safeguarding Alerts. If no contact is made:
  - Inform CMW who will make a home visit.
  - Contact GP for information, Consider TOP, Miscarriage, Independent MW or Freebirth.

Community Midwifery
- Check CPD for Safeguarding Alerts. If no contact is made:
  - Make a home visit.
  - Make 2 attempts to contact woman.
  - Contact GP for information.
  - Consider TOP, Miscarriage, Independent MW or Freebirth.

Though we would ideally like women to attend for their antenatal care, it remains the woman’s informed choice whether she chooses to access care. Careful assessment of any safeguarding issues should be made and escalated appropriately where applicable.

Consider
- What are the health implications for the unborn?
- Are there historical concerns?
- Are other agencies involved? If so, inform them of concerns/non-attendance.
- Discuss concerns with the Safeguarding Children Team.
- Is a referral to Children Social Care required? Document details in records.
- If contact is still unsuccessful, or the woman declines antenatal care; document and update hospital and community systems.
- Inform GP of actions taken.
Appendix J

DNA/CNA Flow Diagram for Diagnostic 6 week target

Decision to Refer (Referral Made)

Clock Start

Referral rec’d by Dept

Patient offered choice of date within 6 wks of referral date with reasonable notice (see paragraph 30 for terms of reasonable notice)

Patient attends appointment & undergoes test

Clock Stop

Patient DNAs/Cancels appointment.
Waiting time for test is set to zero and started again from date of appointment that patient cancelled/missed

This guidance is taken from the DH’s “Diagnostics Waiting Times and Activity” March 2015
Appendix K

Policy Management

a) Consultation

Consultation has taken place with CCGs, Trust's Directorates, including Clinical teams, Corporate Directors and approved by the Executive Board.

b) Quality Assurance

Consultation has taken place with Directorate and Corporate Directors as well as ensuring the Policy is in line with national guidance on referral to treatment management. The policy has been proof read and checked prior to being submitted for approval.

c) Approval Process

The approval process for this Policy complies with that detailed in Trust Policy Guidance. The Executive Board is the approving group for this Policy.

d) Review and Revision Arrangements

This policy will be reviewed every 2 years or with legislation changes. The Healthcare Governance Team will notify the author of the policy of the need for its review six months before the date of expiry.

On reviewing this policy, all stakeholders identified will be consulted as per the Trust’s Stakeholder policy. Subsequent changes to this policy will be detailed on the version control sheet at the front of the policy and a new version number will be applied.

Subsequent reviews of this policy will continue to require the approval of the Executive Board.

e) Dissemination and Implementation

Dissemination
Once approved, this policy will be brought to the attention of Corporate Directors, Clinical Directors, Directorate Managers, Deputy Directorate Managers, Heads of Service and Senior Managers.

It will be published on the Trust’s Staff Room under Policies & Procedures and a communication sent out to ensure that all staff are aware of, and understand that they are required to comply with, this policy.

This policy is available in alternative formats, such as large print as set out in the Staff Guide for accessing Interpreting Services for patients which is available on the Trust’s Intranet site ‘Staff Room’.

**Implementation**

This policy will be implemented throughout the Trust by the Policy Manager to all staff with responsibility for managing the care of or administering patients’ access to services within the hospital.

Managers will ensure the day to day adherence of the policy.

**f) Document Control including Archiving**

The register and archiving arrangements for policies will be managed by the Healthcare Governance team. To retrieve a former version of this policy the Healthcare Governance team should be contacted.

**g) Monitoring Compliance and Effectiveness**

This policy will be monitored for compliance to ensure the minimum requirements of the NHSLA Risk Management Standards are met (Appendix B).

**h) Training**

Training is undertaken by staff on all systems and processes to apply the procedures that underpin this policy.

**i) Trust Associated Documentation**

- Trust Cancer Operational Policy
- Data Quality Policy
- Child Protection & Safeguarding Policy
- Access Procedures
- 18 Weeks RTT: Roles & Responsibilities

**j) External References**

- Referral to Treatment Consultant-led Waiting Times Rules Suite: October 2015
- Recording and Reporting Referral to Treatment (RTT) Waiting Times for Consultant-led elective care
- Recording and Reporting Referral to Treatment (RTT) Waiting Times for Consultant-led elective care: Frequently asked Questions
- The NHS Constitution (July 2015)
- Implementation of the right to access services within maximum wait times (Gateway Ref 13676)
- Diagnostics Frequently asked Questions (FAQs) on completing the ‘Diagnostic Waiting Times & Activity’ monthly data collection (February 2015)
- Choice at Referral: The Guidance Framework
- NHS Cancer Wait Time Guide (October 2015)
- DSCN 44/2007 – Inter Provider Transfer Administrative Minimum Dataset
- Equality Act 2010
- Overseas Visitor Guidance (April 2016)
- Armed Forces Covenant (July 2015)
- Healthcare Travel Costs Scheme (Gateway Ref 14322).