



## Stage 3 (Medical) Adaptations

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# Stage 3 (medical) Adaptations

## Contents

1.0 Introduction .....	3
2.0 Objectives .....	3
3.0 Eligible Adaptations .....	3
4.0 Funding .....	4
4.1 Administration and Fees .....	4
4.2 VAT .....	4
4.3 Front Funding .....	4
5.0 Eligibility .....	5
6.0 Referral Routes .....	6
7.0 Procurement .....	6
8.0 Minor (General) Adaptation Process .....	6
9.0 Major Adaptation Process.....	9
10.0 Maintenance .....	9
11.0 Recording and Service Charges .....	10
12.0 Grant Payment Claims .....	10
13.0 Data Protection .....	10
14.0 Reporting .....	10
15.0 Implementation and Review .....	11
15.1 Implementation .....	11
15.2 Review .....	11
Appendix 1 .....	12
Appendix 2 .....	13
Appendix 3 .....	18

## 1.0 Introduction

- 1.1 Stage 3 adaptations are defined as works to adapt a property to suit the changing needs of the existing tenant, or of a new tenant, where these could not reasonably have been identified when the house was originally provided.

This procedure describes our arrangements for funding and carrying out adaptations and modifications to our properties to enable tenants with particular physical needs to remain in their homes.

- 1.2 Adaptations can only be considered for individual tenants of Ark Housing Association.

- 1.3 We acknowledge that adapted properties:

- assist independent living;
- reduce inappropriate housing conditions;
- help prevent admission into long term care or hospital;
- benefit an ageing population;
- increase the amount of housing stock suitable for people with reduced mobility.

- 1.4 Any work to be carried out will be dependent on grant funding being available from the Scottish Government or relevant Local Authority, unless Ark have agreed to front-fund adaptations until the annual grant allocation is made.

## 2.0 Objectives

- To support people to stay in their own homes and arrange appropriate adaptations in a fair and consistent way.
- To work with partners in the Scottish Government, Local Authorities, The National Health Service and contractors to meet the identified and assessed needs of individual tenants to enable them to lead as fulfilling and independent lives as possible.
- To ensure that properties are clearly identified on a register so that best use can be made of these properties as they become available.
- To maximise the grants and other resources available for adaptations, ensuring value for money at all times.
- To comply with all statutory and regulatory requirements and ensure a high quality, appropriate design in relation to aids or adaptations.
- To manage in accordance with The Scottish Government's current advice:-
  - [Procedure for Funding of RSL Adaptations](#) HSGN 2012/04 March 2012
  - [Procedures for HAG funding of Stage Three Adaptations](#) SHGN 2001/027
  - [Guidance on the Provision of Equipment and Adaptations](#) 2009

- A Guide to Funding Major Adaptations August 2010
- Independent Living Adaptations and Equipment (SG)
- Housing for Varying Needs Design Procedures CSGN 2004/12

If there are any amendment to these guidelines or Scottish Government processes RSLs are notified via a letter from the Scottish Government Policy or More Homes Division Area Team Manager.

### 3.0 Eligible adaptations

Adaptations to existing properties will be considered eligible for funding if they are “structural” i.e. they are fixed or become part of the structure of a property. A list of examples is provided in **Appendix 1**. Other types of aids and adaptations may be the responsibility of other authorities such as Health Boards or Social Work Departments. The Scottish Government local More Homes Division (MHD) area team can advise on the eligibility of works if there is any uncertainty.

As part of the funding application we are required to identify any specific high cost adaptations separately.

Adaptations fall under two main categories:-

Minor (General) Adaptations: these are adaptations that have been requested via a referral and can range from small adaptations such as handrails to larger works such as installation of a wet floor shower. If work requested is very extensive or complex then consideration should be given to (1) including it in a Major Works funding submission for the following financial year or, if urgent, (2) applying to the Scottish Government or relevant Local Authority for additional funding in the current financial year.

Major Works: project specific high cost adaptations such as extensions or substantial alterations. There is an expectation that funding for these will be identified separately in the funding submission for a specific project or works. However, if the specified project does not proceed for any reason the funding can be used to fund an alternative, major, piece of work.

### 4.0 Funding

Grant funding is provided from the Scottish Government’s RSL Adaptations Programme, except in Glasgow and Edinburgh where funds are managed by the Local Authority via the Transfer of the Management of Development Funding (TMDF) budget.

Grant Funding bids will be made on an annual basis by the Development Coordinator. Grant claims will be made on a quarterly in arrears throughout the year. All works related administration, procurement, tenant communication, programming and installation will be managed by the Assets Team.

## 4.1 Administrative costs & Fees

A standard allowance of 10% of works costs for administration can be included in the total grant claim to Scottish Government.

Professional fees, for example architect and private Occupational Therapist and statutory fees, such as Building Warrant costs and, depending on the circumstances, decant costs can be included in the total grant claimed. The 10% administration cannot be added to the works cost.

## 4.2 VAT

Whilst most Stage Three adaptation works are zero-rated for the purposes of VAT, there are some exceptions. If there is any doubt on whether an adaptation is exempt advice should be sought from the Head of Finance. Any VAT that has to be levied in accordance with the VAT regulations will be treated as a HAG eligible cost.

A VAT exemption certificate will be issued with every works order that is eligible for the zero-rate.

## 4.3 Front-funding

Grant funding allocations are usually received around June/July and, broadly speaking, are awarded at a level of 50% of the funding request submitted. If Ark wish to front-fund referrals in the financial year prior to this allocation, approval will be required from the Executive Team for a maximum budget figure.

Once funding is spent for the financial year a waiting list will be kept for the following year and adaptations carried over will be carried out in order of their level of priority once new funding is available.

## 5.0 Eligibility

Only Ark Housing Association tenants are eligible to have adaptations carried out under Scottish Government/Local Authority funding. If a referral is received for a person who is not a tenant, for example is a tenant of another landlord but received Care & Support from Ark, then they should be advised of this and directed to another funding source such as their own landlord or Local Authority.

If a referral is received for an Ark Services Ltd tenant, this should be directed to the Head of Asset Management and Head of Finance for consideration to fund it from Ark Services budgets.

## 6.0 Referral Routes

Occupational Therapist/medical professional: adaptations will be considered on receipt of a medical assessment that has been carried out by a qualified Occupational Therapist employed by the relevant Local Authority or National Health Service, or other such medically qualified person, such as a General Practitioner.

Self-Referral: If a tenant requires a minor adaptation, such as grab rail, handrails or lever taps they can complete a self-referral form for consideration by the Association. If it is considered that the work falls into this category then the work can be instructed. If the work requested is assessed to be of a value above this threshold then an OT/GP referral will be required. Tenant self-referral form is shown on **Appendix 2**

## 7.0 Procurement

### 7.1 Works contract estimated to cost up to £15,000

In terms of Scottish Government Guidance, Associations have discretion to select how adaptation works with an estimated contract value of up to £15,000 are procured within the context of achieving value for money/best value and the association's own policy threshold for procuring contracts. Please refer to Ark's Procurement Policy (FO2) and Procurement (Scotland) 2016 Regulations for guidance on procurement within this cost range.

### 7.2 Works contract estimated to cost over £15,000

A full tendering procedure is required under the accepted code of practice for works with an estimated contract value of over £15,000. Any other arrangement, such as a negotiated tender, will require the prior approval of Scottish Government

## 8.0 Minor (General) Adaptations Process

### 8.1 Processing & recording of Application

8.1.1 All applications for adaptations and referrals should be either e-mailed direct to [repairs@arkha.org.uk](mailto:repairs@arkha.org.uk) or posted to Ark Housing Association, The Priory, Canaan Lane, Edinburgh, EH10 4SG for the attention of the Property Administrator.

8.1.2 When an application is received the Property Administrator (PA) will initially assess if the person being referred is a tenant of Ark Housing Association by checking the Housing Management System.

If the person being referred is an Ark Housing Association tenant the application will be logged by the PA on the Claims & Monitoring spreadsheet with as much detail as is

available at the time. The PA will continue to update this spreadsheet as further information becomes available up to completion of the works. The PA will also set up a folder in the Active Adaptations folder where all information pertaining to the referral will be filed, including initial referral, works order, VAT exemption form and invoice on completion.

If the person being referred is not an Ark Housing Association tenant, but is resident in a property owned by Ark, the PA will refer the application to the Head of Asset Management and the Head of Finance for a decision on whether it can be accommodation within the Ark Services Budget.

If the person being referred is not an Ark Housing Association, or residing in a property owned by Ark, then the PA will advise the referring party that Ark cannot assist in this instance and sign-post them accordingly, eg. to the person's landlord.

- 8.1.3 The PA will then pass details of the referral to the Development Co-ordinator (DC), who manages and monitors budgets. The DC will assess if there is (1) sufficient budget remaining to cover the cost of the works; (2) assess if any further information needs to be gathered (3) assess if the works are of a scale that requires to be referred to a Maintenance Officer (MO) for a visit and further assessment or an external consultant, eg. Architect and (4) assess if the work should be identified as a Major Works Adaptation.
- 8.1.4 If there is sufficient budget and the works are small scale, not requiring the input of a MO, for example, handrails or locks on kitchen cabinets, and below the current procurement level of £1,000 the DC will instruct the PA to issue a works order (and VAT exemption form is applicable) to a suitable contractor to carry out the work.
- 8.1.5 If there is sufficient budget and the DC considers that the works require further assessment by an MO, the referral will be passed to the MO with a request that a home visit be carried out, in consultation with the Occupational Therapist where required, and make recommendations on the work required. The MO will report back on this to the DC, who will make a decision on the work proceeding.

If the work is below the current procurement value of £1,000 the DC will in instruct the PA to issue a works order (and VAT exemption form is applicable).

If the work is above the current procurement value of £1,000 the PA will obtain a two quotes from suitable contractors.

Once two quotes have been received they will be forwarded by the PA to the DC for a decision on the work proceeding. The DC will then, if appropriate, instruct the PA to issue a works order (and VAT exemption form is applicable) to the most financially advantageous contractor.

- 8.1.6 If the DC considers that the works may not fall into the Minor adaptations category then options will be investigated for designating it as a Major adaptation.
- 8.1.7 If there is insufficient budget remaining in the financial year the DC will pass this back to the PA to contact the referring party, in writing, and advise them of this and the adaptation will be added to a waiting list for either, additional funding to become available, or the next financial year.

Where the request has a very high priority and it should if at all possible be processed, e.g. because it will prevent an admission to hospital or other long-term care, the DC will discuss the overall budget situation with the Head of Finance and if there is agreement that funds from another budget heading may be used, will proceed to process the work.

Where there are no other funds available the DC will discuss the request with the Finance Director, who will decide either to approve the work in anticipation of funds being available later in the year, or that it will have to be added to the waiting list to await a further allocation of funds.

- 8.1.8 Once the contractor has confirmed that the adaptation work is complete, the PA will contact the tenant by telephone or e-mail to ensure that they are happy with the work that has been carried out. The PA will also advise the referring party, in writing, that the works have been completed.

## 8.2 Technical Management of adaptations

- 8.2.1 If works required are of a sufficient scale that MO involvement is required, the MO will attend on site with the instructed contractor to agree the scale and scope of the works to be carried out and, if required, prepare a specification.
- 8.2.2 It should be noted that some adaptations may require statutory consents such as Planning Consent or Building Warrant. An example of this would be installation of an access ramp. Once the scope of work has been agreed the DC will make the necessary checks on any consents required. Guidance on this can be found with the [Scottish Government's Guidance on Householder Permitted Development Rights](#).
- 8.2.2 If the works being carried out will take place over several days the MO or external consultant will visit the property to check that the work is being carried out to standard.
- 8.2.3 The MO will inspect the work within 7 days of completion to ensure that it fully complete, is of an acceptable standard of workmanship and the property has been left in a tidy condition. The MO will advise the DC and PA of the outcome of the inspection and the Invoice for the work can then be processed and authorised.



## 8.3 Tenant Satisfaction & Quality Control

- 8.3.1 On completion of the works, the PA will issue a tenant satisfaction survey to the tenant requesting feedback from them. A copy of the Tenant Satisfaction Survey is included at **Appendix 3**.

Results of all tenant satisfaction surveys will be recorded and reported under the Asset Department KPI Framework.

- 8.3.2 Where an MO has not been required to participate in the works, post-completion inspection of 10% of the works carried out will be required by them to monitor quality control.

## 9.0 Major Adaptations Process

- 9.1 As Major adaptation funding will have been applied for in the grant funding submission, Ark will be aware of these projects in advance and arrangements will be in place for a Project Team to arrange and monitor the works.
- 9.2 If an unexpected referral for a Major adaptation is received a meeting of the Housing, Assets and Care & Support teams will be called to discuss the referral and make a decision on how it should proceed, giving consideration to funding availability, suitability of the adaptation and other housing options.

## 10.0 Maintenance

- 10.1 Normally all work undertaken will be included in routine maintenance and repair arrangements. The exception will be where equipment has been installed which comes with a manufacturer's warranty period, or where there is a defects liability period covering the work. The PA will ensure that relevant details are noted so that repairs works orders are not issued to other contractors during the warranty or defects period.
- 10.2 At the end of the tenancy a decision will be made whether or not the adaptation remains for use by another tenant with a similar need, or whether it should be removed, possibly for use elsewhere (e.g. a chair lift), because the incoming tenant has no need for the adaptation.
- 10.3 Should a tenant carry out an adaptation without approval, this will be treated in the same way as any other unauthorised tenant alteration (see the Tenant Alterations & Improvements procedure ref: M24).

## 11.0 Recording & Service Charges

- 11.1 On completion of an adaptation the PA will update the property record accordingly on the Housing Management System and any potential cyclical charges will be passed to the Head of Asset Management and Senior Property Officer for inclusion in future cyclical budgets.
- 11.2 Any adaptations or equipment which may be considered for a service charge will be processed in line with Ark's internal service charge procedure.

## 12.0 Grant Payment Claims

- 12.1 The PA will prepare and submit grant claims via the Scottish Government HARP system on a quarterly basis. All claims required will be submitted to the DC for authorisation on HARP.
- 12.2 Once a claim has been submitted the PA will advise the Finance Department of the total amount and detail of the claim.
- 12.3 The PA will update the Claims & Monitoring spreadsheet and the Stage 3 Claim Tracker, the PA will also move the folder of information from the Active Adaptations file to the Completed Adaptations file.

## 13.0 Data Protection

In dealing with Stage 3 adaptation requests, sensitive data relating to tenants may be processed and shared with consultants. This has been recorded in the DPIA to ensure that all contractors, consultant and others who receive such data, will handle it in accordance with the Ark's Privacy and Data Protection Policy and Procedures.

## 14.0 Reporting

Reporting will be in line with the Asset Management KPI Framework.

Scottish Government – Quarterly (as part of grant claim)

Executive Team – Quarterly

Board of Management – Annually

Annual Return of the Charter - Annually

All reports will be prepared by the DC, with the assistance of the PA.

## 15.0 Implementation and Review

### 15.1 Implementation

The Head of Asset Management will ensure that this procedure is followed by all Board Members and members of staff involved in the process for price, quotations, and tenders.

### 15.2 Review

The Head of Asset Management will ensure that this procedure is reviewed at least every three years.

## Appendix 1

### Eligible Adaptations (List not exhaustive)

#### External Adaptations

- Handrail at front or rear of dwelling
- Widening paths around property
- Modification or widening of steps
- Defining steps for people with visual impairment
- Outdoor lighting
- Paved areas for wheelchairs
- Carport or covered access to property
- Installation of ramp to front / rear access

#### Internal Adaptations

- Widening or re-hanging of doors
- Re-positioning of door locks
- Replacing door knobs etc
- Installation of door call, entry phone and door unlock systems
- Additional stair rail
- Alterations to windows
- Installation of stair lift
- Vertical hoist including reinforcing ceilings and provision of hoist track
- Provision of level access shower, adapted bath etc
- Alteration or relocation of taps, power supplies, lights, sockets and heating appliances
- Storage space for wheelchair
- Acoustic insulation
- Warning or alarm systems
- Non-slip or tactile surfaces
- Letter cages or delivery shelf
- Alterations to kitchen storage or equipment (excluding full re-design)

#### Major Works

- Extensions or alterations to provide suitable bedroom or bathroom for a disabled person
- Vertical through floor lift
- Re-design of existing kitchen
- Creation of hard standings or other extensive external alterations



## MEDICAL ADAPTATIONS (STAGE 3) SELF-ASSESSMENT FORM

### MEDICAL ADAPTATIONS – A BRIEF OVERVIEW

An adaptation is an alteration to your home to suit the changing needs of the tenant or someone living with them to support them to stay in their home and lead as fulfilling and independent life as possible.

#### There are two types of Adaptations:

- Major adaptations (e.g. wet floor/level access showers, automatic door openers)
- Minor adaptations (e.g. grab rails, window/door lever handles, lever taps)

#### **Who can benefit?**

If you, or someone in your household, are older, has a disability or is less able to manage personal and domestic tasks, or if your carer's health is at risk from assisting you, then an adaptation may be of benefit.

## **Who funds an Adaptation?**

Ark Housing Association receives an annual grant from the Scottish. There is no charge to you for minor adaptations. Some major adaptations may have an ongoing maintenance or rental charge which will be included as part of your monthly service/rental charge. We will discuss this with you in advance if there is any charge. Some examples of items likely to carry the service and maintenance charge are:

- Clos-o-mats
- Automatic door openers
- Track and hoists

## **Who should you contact about an Adaptation?**

Contact the Ark's Assets Team, Housing Officer or Care & Support Team in the first instance who will be able to advise you on the best way forward.

## **SELF ASSESSMENT**

Ark Housing Association offers Self-Assessment for basic minor adaptations. The Self-Assessment involves YOU identifying daily activities where you may be struggling to manage or feel unsafe and think that a minor adaptation may be the solution. Examples of minor adaptations are:

- Various types of grab-rails and handrails
- Lever taps
- Window/door lever handles

If you would like to ask for a minor adaptation please complete the details requested below. Ark Housing Association will then consider your referral to assess if it falls into the minor adaptations category and can be accommodated within our annual budget.

If your referral is assessed as requiring more than a basic adaptation we will let you know and give you advice on how to ask for assistance in obtaining a referral from an Occupational Therapist or your GP.

If your referral is assessed as being a minor adaptation that can be accommodated but there is no funds remaining in the annual budget you will be added to a waiting list for the following financial year.

Please provide the following details:

NAME	
ADDRESS	
TELEPHONE NUMBER	
EMAIL ADDRESS	

1. What is the nature of your difficulty?

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2. Which item(s) would you like to request?

If this form is being completed by someone who is acting on your behalf, please provide details:

NAME	
RELATIONSHIP TO YOU	
ADDRESS	



TELEPHONE NUMBER	
------------------	--

**Declaration**

I understand that any Adaptations issued will be provided on a Self-Assessment basis.

Should I require any further Adaptations, or if the adaptation requested is assessed as requiring it, I will contact an Occupational Therapist or my GP.

Signature

---

Date \_\_\_\_\_

## Appendix 3 – Tenant Satisfaction Survey

**TO BE ATTACHED ONCE UPDATED TEMPLATE IS IN PLACE**