



Stage 3 (Medical) Adaptations

Policy Reference:		New Policy AM29	
Effective date:	February 2022	Review date:	February 2025
Approved by P&PRG:	November 2021	Approved by BoM:	Month 2022
Owner:	David Gray	Job Title:	Head of Asset Management
To be issued to:		ARK Management Housing Management Staff Care & Support Area Managers	
Method of Delivery:		Email Policy Update website Tenant newsletter	

Version Control

Date	Owner	Version	Reason for Change
2021	David Gray	V1.0	New Policy

Summary of Changes

Section	Change



Ark[®]
People
Housing
Care

Stage 3 (Medical) Adaptations

Contents

1.0 ARK's Values.....	3
2.0 Purpose	3
3.0 Policy Statement	4
4.0 Scope.....	4
5.0 Legal/Regulatory Framework.....	4
6.0 Responsibilities	5
6.1 Board of Management	5
6.2 Executive Team	5
6.3 Senior Leadership Team.....	5
6.4 Managers	5
6.5 All Staff.....	5
7.0 Policy Specific Section – Stage 3 Adaptations	6
8.0 Related Policies & Procedures	7
9.0 Equality Impact Assessment (EIA).....	7
10.0 Data Protection Impact Assessment (DPIA).....	7
11.0 Stakeholder Consultation.....	8
12.0 Monitoring and Review.....	8
12.1 Monitoring	8
12.2 Review.....	8

1.0 Ark's Values

Ark's values are true to the core purpose of the organisation and the services we deliver. They determine our behaviours towards one another and what we should expect in our relationships with one another. Working within the following values will guide and help us deliver our vision and mission of Ark being an organisation where everyone is equal:

Trust

We have confidence in our people to deliver excellent services and trust in them to do so. We will develop trusting and honest relationships and our customers will feel assured that they can rely on us to deliver.

Respect

We treat everyone fairly and we listen. We are respectful of each person with whom we come into contact and expect our people to respond professionally and treat others as they would wish to be treated.

Understanding

We will operate with empathy and compassion and approach each situation with an open mind. We will question and challenge to ensure we achieve the right outcomes for customers and our people.

Equality

We believe everyone is equal and expect our people to create positive experiences where everyone feels valued and included.

Integrity

We will do the right thing and take responsibility for our actions. We will work together to uphold the highest standards of behaviour and practice.

2.0 Purpose

It is Ark' policy to assist tenants to remain in their own home for as long as possible though the provision of Stage 3 Adaptations to our Housing Association properties and the purpose of this Policy is to set out our arrangements for managing these adaptations.

3.0 Policy Statement

Stage 3 Grant funded adaptations are works to adapt a property owned by a Registered Social Landlord, 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.

Subject to funding being available, Ark will carry out modifications to individual properties, to enable individuals with specific medical conditions to continue to live in them.

Funding may be provided by the Scottish Government, by other funding agencies including private finance sources, or from our own reserves. Application for funding will be made on an annual basis to Scottish Government and any relevant Local Authority Grant Funders.

Details of the processes involved in identifying the adaptations required, securing funding, arranging for the work to be carried out, and monitoring progress and expenditure are contained in the procedure entitled 'Stage 3 (Medical) Adaptations' ([insert procedure no.](#)).

4.0 Scope

This policy is aimed at people who are:

- Members of our Board of Management and of the Board of Management of any of our subsidiaries;
- All staff with budget holder responsibility across the organisation, including the Executive and Senior Leadership teams, and Care and Support service managers; and
- Members of the Assets team
- Members of the Housing team

5.0 Legal/Regulatory Framework

This policy and the supporting procedures comply with the Scottish Government current guidelines:-

- [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.

6.0 Responsibilities

6.1 Board of Management

Ark's Board of Management is responsible for consideration and approval of this policy, and for ensuring that its decisions are taken in accordance with relevant legislation, regulatory expectations, training and guidance.

6.2 Executive Team

Ark's Executive Team is responsible for ensuring that this policy is reviewed in accordance with Ark's schedule for review of policies, or sooner if required. The Executive Team is responsible for ensuring that its decisions, and the decisions of officers, are taken in accordance with relevant regulatory expectations, best practice, training and guidance.

6.3 Senior Leadership Team

The Senior Leadership Team will be responsible for approval of this policy and the effective implementation of this policy within their area of responsibility, as required. They must also ensure that each member of their staff, through induction, and team meetings, is made aware of this policy and participates in relevant training.

6.4 Managers

Ark Managers will be responsible for the effective implementation of this policy within their area of responsibility. They must also ensure that relevant members of their staff (i.e. staff with procurement decision making ability), through induction, and team meetings, are made aware of this policy and that they comply with its terms, and make all relevant declarations.

6.5 All Staff

All relevant Ark employees are required to familiarise themselves with this policy and comply with its provisions as well as undertake any training implemented as part of the rollout of this policy.

7.0 Stage 3 Adaptations Management

7.1 Funding

Grant funding is applied for annually, with allocations being awarded around July. Any Stage 3 expenditure to be front funded prior to the award of funding each year will require to be approved by the Executive Team.

7.2 Authority to Incur Expenditure

Any expenditure should be within the relevant grant provider's allocation for the financial year (eg. Scottish Government, City of Edinburgh Council). In line with the Procedure, budgets will be monitored by the Development Coordinator and no expenditure should be committed to without their prior consent or consent from the head of the department.

Authorisation limits, noted within the Procurement Policy (FO2), must be adhered to before any commitment to spend is made.

When authorising any expenditure, it is the responsibility of the individual signing any order or invoice to be accountable for that expenditure by confirming that the expenditure is legitimate, justified, and conforms to existing policies and procedures.

7.3 Housing Allocation

In order to balance the housing needs of tenants or potential tenants with a disability and make the best use of existing adapted stock the Association will ensure that:

1. Where possible no offer of accommodation will be made to an applicant with special needs without referral to the Social Work Department's Occupational Therapist (SW O.T.) for an assessment of the suitability of the property being offered for that person's current and potential future needs.
2. The Association will maintain details of existing properties where adaptation work has been completed. This will facilitate the allocation of these properties to ensure, where appropriate, that people with disabilities who are in need of the particular adaptation are offered existing adapted units instead of adapting their current home. If a significantly adapted unit is proving difficult to let the adaptation will only be removed if it is beyond 70% of its expected life cycle.
3. Where a tenant with disabilities is residing in an adapted property and applies for a transfer to another tenancy, no consideration will be given to the application unless an O.T. assessment is obtained and the new property is deemed suitable for the current and future needs of the tenant. Only in cases where the transfer will provide a significant improvement to the quality of the life of the tenant will approval be given. This might include cases where the tenant will be nearer to a main carer.

4. Where the application is made for other reasons, it may be refused on economic grounds, due to the cost of adapting the new tenancy.

7.4 Tenants of Subsidiary, Ark Services Ltd

Any adaptation requests or referrals for customers who are not tenants of Ark Housing Association cannot be funded from the Stage 3 Adaptations budget. There may be potential for adaptations required under these circumstances to be funded internally and any referral would be considered by the Head of Asset Management and Head of Finance in the first instance.

7.5 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

8.0 Related Policies & Procedures

Policies

[FO2]	Procurement Policy
[G24]	Privacy & Data Protection Policy
[HM01]	Allocations Policy

Procedures

[AM29a]	Stage 3 Adaptations Procedure
[G48]	Privacy & Data Protection Procedure

9.0 Equality Impact Assessment (EIA)

No potential equalities issues have been identified in relation to the development of this policy, and consequently an EIA has not been completed.

In operating this Policy, Ark will at all times adhere to the principles of its Equality Policy where everyone can participate fully and be treated equally and fairly without disadvantage arising from any protected characteristic.

10.0 Data Protection Impact Assessment (DPIA)

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.

11.0 Stakeholder Consultation

In developing this policy the following groups were consulted:

- Ark Asset Team
- Ark Housing Team
- Ark Policy & Procedure Review Group

12.0 Monitoring and Review

12.1 Monitoring

Our Rules require the Board of Management to set our policy on Stage 3 Adaptations and keep it under review. This policy has been approved by our Board of Management and is consistent with the requirements of our Codes of Conduct for Board of Management Members and for Staff. These Codes have been confirmed by the Scottish Housing Regulator as meeting their regulatory requirements.

Ark's Executive and Senior Leadership Teams will monitor implementation of this policy, and its' supporting procedures on an ongoing basis.

12.2 Review

This policy will be reviewed within 3 years from the date of approval by the Board of Management, in accordance with Ark's policy review framework and approval process.