

## Integration Joint Board 16 May 2019

**Subject:** **Adaptations Policy**

**Purpose:** The IJB to note the development of the Adaptations Policy to provide clear guidelines into when and how adaptations will be supplied and fitted

**Recommendation:** The IJB to approve the Adaptations Policy and updated documents.

### Glossary of Terms:

HSCP	Health and Social Care Partnership
IJB	Integration Joint Board
NHS AA	NHS Ayrshire and Arran

<b>1.</b>	<b>EXECUTIVE SUMMARY</b>
1.1	In March 2017 North Ayrshire Health and Social Care Partnership Integration Joint Board agreed the adaptations budgets and service provision would be delegated and administered by the Intermediate Care & Rehabilitation Services Senior Manager.
1.2	During the last 2 years the Adaptations Service has undertaken on-going development including clear timescales, more efficient delivery of the adaptations services and procurement efficiencies.
1.3	The Adaptations Service has now developed an Adaptations Policy to provide clear guidance for all stakeholders to ensure an efficient, and cost-effective adaptation service that takes account the unique health and well-being needs of local people. This has included the update of underlying documents.
<b>2.</b>	<b>BACKGROUND</b>
2.1	In March 2017 North Ayrshire Health and Social Care Partnership Integration Joint Board agreed the adaptations budgets and service provision would be delegated and administered by the Intermediate Care & Rehabilitation Services Senior Manager. In addition, it supported the development of new process and associated timescales as a means of ensuring clarity and equity of provision of adaptations, as well as developing a clear performance system.
2.2	Following delegation, on-going development of these adaptations processes were undertaken and several operational changes have taken place across the system

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	to optimise functionality. This included providing a partnership approach to decision making, centralising and providing a singular management structure to support staff involved in the Adaptations Service. The new approach included building timescales into the process for efficient delivery and examining potential for procurement efficiencies.
2.3	However, despite continued demand on the Adaptations Service over the last two years, with a substantial waiting list in place for Council Tenant Adaptations funded through the Housing Revenue Account (HRA), as well as continued demand on the Scheme of Assistance (Owner Occupiers), the service has managed to introduce clear performance management systems and improve timescales.
2.4	As well as clear performance management systems and improve timescales and as part of on-going development of the Adaptations Service, the Complex Case Adaptations Forum now includes cases for home owners as well as Local Authority tenants to reinforce a tender neutral approach for adaptations. This provides challenge to the decision making processes and ensures a best-value approach.
2.5	In line with guidance from North Ayrshire Legal Services and in conjunction with a multi-organisational working group including representatives from health, social care, housing and legal, the service has now produced an Adaptations Policy. The purpose of the policy is to set out North Ayrshire Health and Social Care Partnerships approach to support decision making and provide a clear framework for fair and equitable provision of adaptations.
2.6	The guidance provided through the Adaptations Policy aims to provide an efficient, and cost-effective adaptation service, taking into account the health and well-being of the individual, for all stakeholders. This policy is also underpinned by Adaptations Procedures and Adaptations Criteria that provide more detailed information about the assessment, supply and fitting of a range of adaptations provided by the Partnership. These documents have also been reviewed and agreed by all stakeholders to facilitate consistent decision making, with clear guidance and information for all staff.
<b>3.</b>	<b>PROPOSALS</b>
3.1a	The IJB note the continued development and performance of the Adaptations Service.
3.1b	The IJB to note the development of the Adaptations Policy to provide clear guidelines into when and how adaptations will be supplied and fitted.
3.1c	The IJB to approve the Adaptations Policy and the supporting Adaptations Procedures and Adaptations Criteria
3.2	<b><u>Anticipated Outcomes</u></b>
	The proposals set out in this report will assist the Integration Joint Board to deliver

	against the following Strategic Objectives set out in the North Ayrshire Strategic Plan for 2018-21 and provide a cost effective and equitable adaptations Service.
3.3	<b><u>Measuring Impact</u></b>
	The progress on implementation of Adaptations Policy will report using the HSCP Performance & Audit Committee process and form part of the HSCP annual performance report.
4.	<b>IMPLICATIONS</b>

<b>Financial:</b>	The Adaptations Policy aims to provide clear guidance to ensure an efficient, and cost-effective adaptation service, taking into account the health and well-being of the individual
<b>Human Resources:</b>	There are no implications for NAHSCP staff
<b>Legal:</b>	There are no legal implications
<b>Equality:</b>	This policy aims to provide an efficient, and cost-effective adaptation service, taking into account the health and well-being of the individual, regardless of the type of tenure, therefore ensuring equity of provision.
<b>Children and Young People</b>	There are no specific implications for children and young people
<b>Environmental &amp; Sustainability:</b>	There are no environmental or sustainability issues arising as a result of the report.
<b>Key Priorities:</b>	The Adaptations Policy efficient, and cost-effective adaptation service, taking into account the health and well-being of each individual and therefore meeting the objectives of the Strategic Plan.
<b>Risk Implications:</b>	None identified.
<b>Community Benefits:</b>	Only applies to reports dealing with the outcome of tendering or procurement exercises.

<b>Direction Required to Council, Health Board or Both</b>	Direction to :-	
	1. No Direction Required	x
	2. North Ayrshire Council	
	3. NHS Ayrshire & Arran	
	4. North Ayrshire Council and NHS Ayrshire & Arran	

5.	<b>CONSULTATION</b>
5.1	The Adaptations Policy was developed through a multi-organisational working group including representatives from health, social care, housing and legal to ensure this policy encompassed a range of viewpoints, legislation and policy.
6.	<b>CONCLUSION</b>

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6.1	The Adaptations Policy forms an important foundation stone for the continued delivery of high quality adaptation services in North Ayrshire. The policy aims to provide clear guidance for all stakeholders to ensure an efficient, and cost-effective adaptation service that takes account the unique health and well-being needs of local people.
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North Ayrshire  
Health and Social Care Partnership



# Adaptations Policy

## Document Control

<b>Document Name</b>	Adaptations Policy
<b>Directorate</b>	NAHSCP
<b>Prepared by:</b>	Annie Robertson
<b>Authorised by:</b>	Michelle Sutherland
<b>Other documents referenced</b>	Adaptations Procedures Adaptations Criteria
<b>Related documents</b>	Guidance on the Provision of Equipment and Adaptations (2009) Guidance on the Provision of Major Adaptations (2011)
<b>Acknowledgements</b>	

## Version Control

<b>Version No</b>	<b>Date Issued</b>	<b>Author</b>	<b>Update Information</b>
V0.1	26/11/18	Annie Robertson	First draft
V0.2	10/12/18	Annie Robertson	Review by Senior OTs
V0.3	10/12/18	Annie Robertson	Review by Senior OTs
V0.4	11/12/18	Annie Robertson	Re-formatted
V0.5	22/01/19	Annie Robertson	Project Team feedback
V0.6	29/01/19	Annie Robertson	Final Review

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## 1. Purpose of the Policy

The purpose of the policy is to set out North Ayrshire Health and Social Care Partnerships (The Partnership's) approach to the provision of adaptations, who are eligible to receive them and how they will be delivered.

The assistance available through this policy aims to provide an efficient, and cost-effective adaptation service, taking into account the health and well-being of the individual, regardless of the type of tenure they have. This policy is also underpinned by [Adaptations Procedures](#) and [Adaptations Criteria](#) that provide more detailed information about the assessment, supply and fitting of a range of adaptations provided by the Partnership.

## 2. Definitions of Adaptations

The policy focuses on adaptations to properties which are usually defined as works that involve structural or other semi-permanent/permanent changes to a property. These are divided into two main types, minor and major adaptations.

A [minor adaptation](#) is relatively inexpensive and may be fitted and removed relatively easily and quickly, such as grab-rails, bannisters and door entry systems.

A [major adaptation](#) involves more expensive permanent structural changes to a person's home, such as widening doors for wheelchair access or provision of accessible shower facilities.

There is a number of adaptations that the service will not fund. These are outlined in the [NAHSCP Adaptations Criteria](#). A further example list of both minor and major adaptations is available in appendix 1.

## 3. Policy Aims

The policy aims to help residents of North Ayrshire, who have a disability or are impacted by long-term ill health to live independently in their home or homely environment.

The Partnership is committed to facilitating the provision of adaptations to properties in line with this policy and will endeavour to deal with requests for assistance as quickly, effectively and sensitively as possible. Applications are dealt with using a priority system combined with date order.

The approach is based on a 'minimum intervention, maximum independence' approach which underpins every assessment of need. This means that adaptations will only be provided when all other reasonable options have been ruled out.

Adaptations will be provided with the aim of removing an environmental barrier and will only be considered where the applicant can be expected to enjoy increased independence and an improved quality of life, for a reasonable period following completion of the work.



Adaptations aim to:

- Support individuals to be as independent as possible
- Support individual outcomes for a person
- Reduce need for other professional/service intervention;
- Balance risk with the need to maximise functional potential.
- Support enablement and rehabilitation needs.
- Facilitate access to cooking, sleeping and living areas within the home where identified in the assessment
- To enable personal hygiene maintenance.

#### **4. Tenure (Housing Status)**

The Partnership is committed to operating a tenure neutral approach to the assessment and decision making in delivering adaptations. However once an individual is assessed as requiring an adaptation, the process and how long an individual may wait depends upon the tenure of the property, due to differing funding arrangements. In addition, adaptations may require changes to the fabric of the property and therefore the landlord/owner must give consent for works completed. See section 11 for detailed information.

Categories of tenure include:

- Owner-occupier
- Private tenant
- Local Authority (LA) tenant
- Housing Association (HA)/Registered Social Landlord (RSL) tenant

A more detailed list of tenure related processes is available in appendix 2.

#### **5. Qualifying for Adaptations**

In order to qualify for adaptations in the home:

The applicant must have a disability as defined by the Equality Act 2010. That is to say the person for whom the adaptation is being considered must have a physical or mental impairment which has a substantial and adverse effect on that person's ability to carry out normal day-to-day activities. This includes physical, sensory or learning, behavioural or cognitive impairment.

The person must be 'ordinarily resident' within North Ayrshire. Where other local authorities have formal responsibilities, each case will be considered on an individual basis.

The adaptations must be at that person's only or main residence or a property that is likely to become their only or main residence. If formal care arrangements are split within other local authorities, such as parental care, or long term foster care, consideration may be given to adapting more than one property.

It should be noted for Local Authority tenants, restrictions may apply in situations where overcrowding, under occupancy or mutual exchange is identified. These are referenced in the [Adaptations Procedures](#).

## 6. Referral

If an individual feels they would benefit from an adaptation, they can make a referral through their local social work department, or alternatively this can be done on the person's behalf, through their GP or other health or social care professional. All referrals will be screened and triaged to establish the urgency of the request. Critical (urgent) requests will be reviewed within 1 working day, whilst substantial (non-urgent) will be reviewed within 3 working days. The service operates a prioritised waiting list for allocation of assessment, average waiting time is 8-10 weeks, however this is subject to demand on the service, and may be longer. Following triage, any referral assessed as moderate or low may be signposted to other services. The full process is outlined in appendix three.

## 7. Assessment

An authorised health or social care professional will assess the individual's assets and needs and may provide advice, guidance and/or signposting in order for the person to self-manage their condition or needs. Following assessment, the health and social care professional will consider all options with the individual, these include rehabilitation, future housing options and adaptations to meet the person's needs.

## 8. Eligibility Criteria

For all assessments the following eligibility criteria is applied:

- **Low** - low risk to independence, health and wellbeing
- **Moderate** - risk of some impairment to the health and wellbeing of a person, or some risk to independence
- **Substantial** - risk of significant impairment to the health and wellbeing, or significant risk to independence
- **Critical** - risk of major harm/danger to a person or risk to independence. Any essential need to support hospital discharge or end of life care.

The Partnership can only meet **critical** and **substantial** need, which will form the basis of prioritisation into urgent or non-urgent for processing according to tenure. Where an approved adaptation has been identified, as **critical** this will be 'Fast Tracked', to the appropriate tenure provider for action.

## 9. Case Complexity

The assessor will determine in principle, if a case is **non-complex** or **complex** as outlined below.

**Non Complex Case:** is where the individual needs 2 or less adaptations in total, this will be classed as a **non-complex** case and the OT can progress the case in line with the tenure of the property.

**Complex Case:** Where an individual requires 3 or more **major adaptations**, an extension and/or layout alteration this will be classed as a **complex case**. This is because there are complex issues that require consideration when planning and co-ordinating large scale adaptations. Where rehousing is not an option, all complex cases will be discussed in the **Complex Case Adaptations Forum (CCAF)**. The **Complex Case Adaptations Forum** meets on a monthly basis and a complaints process is in place, to enable the individual to challenge the decision making.

## 10. Request for Adaptations

Where adaptations are identified as the most suitable means of meeting the individual's outcomes, the assessor will complete an [OT Specification /Adaptations Request](#) and confirm the relevant eligibility criteria. Following approval this request(s) will be processed according to tenure of the individual's home.

## 11. Waiting List

In accordance with the type of tenure and the level of demand, [substantial](#) requests, will be placed on a waiting list, based on level of priority and/or date order. For local authority and housing associations, the waiting list will be held by the respective landlord.

## 12. Limitation of Adaptations

The provision of adaptations is concerned with providing works that have an accessibility purpose, are most appropriate to the individual's need and are the most cost effective. Adaptations do not provide any works to improve the aesthetics or functionality of the property that have no direct accessibility benefit to the service user. In addition, recommended adaptations will be subject to limiting criteria listed in [NAHSCP Adaptations Criteria](#) and may also be limited by each housing provider's internal policy.

## 13. Funding

While this Policy outlines the arrangements for a tenure neutral approach to the assessment and decision making in delivering adaptations, it is recognised that the policy operates within the context of differing funding arrangements. While the funding arrangements for adaptations are delegated to the Partnership, individual services continue to oversee budget setting and monitoring. The funding arrangements are as follows:

- Owner Occupier – is funded by the Scheme of Assistance. Grants are made either at 80% or 100% if the person receives certain benefits. Any remaining costs must be met by the home owner. NAHSCP has discretionary powers to award top up grant.
- Private Tenant - is funded by the Private Sector Housing Grant/Scheme of assistance. Grants are made either at 80% or 100% if the person receives certain benefits. Any remaining costs must be met by the tenant however, NAHSCP has discretionary powers to award top up grant.
- Local Authority Tenant - The work will be paid for in full by the local authority funded through the Housing Revenue Account (HRA). HRA funding is ring-fenced for use only in Council homes. This budget is set annually and monitored by the budget holder.
- Housing Association (HA)/Registered Social Landlord - The work will be paid for by the HA, subject to the availability of funding. The Scottish Government provide Registered Social Landlords (RSLs) funding to carry out adaptations. This funding is allocated on an annual basis.

All major adaptations are subject to budget availability.

## 14. Provision of Adaptations

### 14.1 Owner Occupier/Private Tenant

Where the approved **OT Specification /Adaptations Request** includes minor adaptations, stair lift or ceiling track hoist, this will be processed by the Partnerships relevant budget and managed by the Adaptations Service.

If the Adaptations Request concerns a **major adaptation** then this will be processed under **Scheme of Assistance** and will be managed by the Grants Officer. The assessor will provide the Grants Officer with a copy of the specifications and work requested. The Grants Officer will visit the individual at their home with the appropriate documentation outlining the conditions for grant provision and highlighting the requirement to obtain three quotes. The Grant Officer will also confirm likely timescales, conditions of assistance and responsibility for ongoing repairs/maintenance. Any work undertaken over and above those specified and approved will be at expense of the home owner or tenant.

Once the Grants Officer has all the required information, they will submit the grant application for approval to the Partnership. North Ayrshire Health and Social Care Partnership, in association with the Grants Officer's financial assessment, will determine the amount of grant that will be awarded. Work must not be started unless approval has been provided as the grant cannot be awarded retrospectively. Following the award, individuals will have 12 months to complete the work.

When the work is complete the Grants Officer will notify the assessor who will undertake a follow up, to check the adaptation(s) meets the service users assessed needs and if any other associated equipment is required e.g. Shower chair. The Grants Officer will also inspect the adaptation to ensure quality, building regulation and specification compliance, as well as the individual's satisfaction with all aspects of the contractors work. Once all the work is complete and to an acceptable standard the Grants Officer will arrange payment to the applicant.

#### 14.1.a Reinstatement of an Adapted Property

Where Scheme of Assistance grant funding has been provided Housing Services can provide information and advice to tenants and landlords concerning reinstatement of a property that has previously been adapted, to return that property to the original condition (i.e. before the adaptation was carried out).

Where a landlord has agreed to the adaptation but placed a condition requiring reinstatement, Housing Services will expect the landlord to firstly look for a new tenant who could make use of the adaptations.

The Partnership may be able to assist landlords to identify suitable new tenants. If a new tenant cannot be found, in certain circumstances the Partnership will meet 80% of reasonable reinstatement costs, where adaptations are making it difficult to re-let the property.

Please note the Partnership will not give funding for reinstatement to owner occupiers.

## 14.2 North Ayrshire Council Local Authority Tenancy

On receipt of the authorised “**OT Specification /Adaptations Request**” form, the Adaptations Team will progress the request. Both minor and major adaptations are ordered through North Ayrshire Council Building Services except where specialist works such as ramps, wash dry toilets, ceiling track hoists and stair lifts are requested. These specialist orders are raised directly with the contractor. The following timescales have been agreed:

Adaptation Type	Adaptation	Timescales
Small - Minor	Fitting of Handrails, bannisters, grab rails, Door Entry, Lever Taps, Lower Threshold, Non-slip Flooring only High urgency requests to support discharge or imminent high risk. These should be actioned immediately.	14 days
Medium - Standard	Works where specialist external contractors are not required. e.g. Wet floor shower, widening doors	28 days
Medium - Bespoke	Works where specialist external contractors required. Non-bespoke adaptations Bespoke adaptations e.g. bespoke stair lift Due to manufacture.	56 days 84 days
Large - complex	Significant building works or structural changes. Expected timescales will be indicated at the beginning of works with a schedule proposed to all parties involved.	Agreed with clear schedule.

When the work is complete the Adaptations Team will notify the assessor who will undertake a follow up, to check the adaptations meets the service users assessed needs and if any other associated equipment is required.

## 15. Complaints, Compliments and Comments

You can comment, make a complaint, or pass on compliments about this policy, the decisions or decision-making process, or North Ayrshire Health and Social Care Partnership by:

- **Speaking** to a member of staff at your local Health and Social Care Partnership office
- Using the **online form** at <http://www.nahscp.org/contact-us/>
- **Emailing** us at [contactus@north-ayrshire.gov.uk](mailto:contactus@north-ayrshire.gov.uk)
- **Calling** us on 01294 317700
- **Writing** to Chief Officer, North Ayrshire Health and Social Care Integration Joint Board, 5th floor west, Cunninghame House, Irvine KA12 8EE

## Appendix 1

### Definition of Adaptations

All types of adaptations are defined within NAHSCP “[Adaptations Criteria](#)” however the following grouping can be made for the purpose of this document. Please note these lists are not exhaustive.

### Minor Adaptation

Minor adaptations are considered to be relatively inexpensive and may be installed or removed quickly and easily. Examples of minor adaptations:

- Bannisters
- Door Entry Systems
- Grab rails
- Handrails
- Specialist Rails

### Major Adaptation:

These are larger scale adaptations, which require more substantial changes to the fabric of the building. Examples include:

- Accessible food preparation area.
- Door alteration
- Door Opening Systems
- Fixed Overhead Hoists
- Internal living space alterations
- Over Bath Shower
- Ramp Access
- Specialist Wash Hand Basin
- Specialist WC
- Stairlifts
- Step Alteration
- Wet Floor and Level Access Shower

A more detailed list of all adaptations is available in the [Adaptations Procedures](#)

## Appendix 2

### Tenure related process\*

Permission Type	Costs	Work
<b>Owner-Occupier</b>		
Yes – Verbal	Can be covered by a LA mandatory grant if the work is considered essential. Grants are made either at 80% or 100% if the person receives certain benefits. Any remaining costs must be met by the home owner. The LA has discretionary powers to award top up grant.	The work must be organised by the home owner but this can be supported by the local authority in certain circumstances. However, work should not commence before written approval of a grant is received. Any relevant planning permissions should also have been received.
<b>Private Tenant</b>		
Yes - Written	Can be covered by a LA mandatory grant if the work is considered essential. Grants are made either at 80% or 100% if the person receives certain benefits. Any remaining costs must be met by the tenant. The LA has discretionary powers to award top up grant	The work must be organised by the tenant, <b>who must have their landlord's consent</b> , but this can be supported by the local authority in certain circumstances. However, work should not commence before written approval of a grant is received. Any relevant planning permissions should also have been received.
<b>Local Authority Tenant</b>		
Yes - through Adaptations Process	The work will be paid for in full by the local authority (subject to availability of funding)	The local authority will organise any works and should consult with the tenant during the design process.
<b>Housing Association Tenant</b>		
Yes – Given at point of request	The work will be paid for by the HA, subject to the availability of funding. In very exceptional circumstances, LA may provide in part or whole funding.	The HA will organise any works and should consult with the tenant during the design process.

\*Adapted from SPICe Briefing Housing Adaptations (Major) 15 March 2016



## Appendix 3

