



STRATEGIC INNOVATION & PEER LEARNING  
*In housing, health, care and support*

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*TOOLKIT*  
EXTRA CARE –  
PATHWAYS AND  
ALLOCATIONS



## **Pathways into Extra Care Housing**

### **1. Overview**

Extra care housing is intended to be a resource to divert people away from residential care. Although it is primarily allocated on the basis of a care and support assessment, it can also take into account whether an individual can continue to live in their own home independently. Therefore the pathway into extra care housing has both a care and support as well as a housing dimension.

In prioritising applicants to extra care housing there can be a tension between care and support needs and housing needs. Adult Social Care (ASC) expect to be able to prioritise individuals for extra care housing as they are responsible for funding the care and support services, while many housing authorities expect social housing to be allocated through a choice based letting scheme.

A pathway into an extra care housing scheme will need to take account of both care and support needs as well as housing needs. Each authority will have a different approach to reconciling the balance between these needs. Some authorities will adopt a care pathway that takes account of housing issues and other authorities will adopt a housing pathway that takes account of care and support needs.

### **2. Eligibility criteria**

The starting point for defining the pathway into extra care housing is to define the eligibility criteria for the service. An example an authority's eligibility criteria for extra care housing is shown in Appendix 1.

Eligibility criteria can encompass both care as well as housing requirements. In particular eligibility criteria need to take account of:

- **Age**  
The age at which an individual can access extra care housing is often based on the age for accessing sheltered housing e.g. 55 or 60.
- **Care and Support Needs**  
Some authorities only want those who would otherwise be placed in residential care to be allocated extra care housing. This means that the eligibility criteria will be based on those with a high level of need. Other authorities prefer to have a balanced community.

Suitable referrals for extra care housing may include those:

- Who may be placed in residential care and could live in a more independent setting;
- Who are physically frail and exhibit some cognitive dysfunction;
- Who have had a recent diagnosis of dementia, or other long term condition, that is likely to result in a need for care services in the future;
- Whose accommodation is so severely affecting their health that they have become disabled or housebound and need to move.

- **Housing Needs**

A local connection is usually defined as a requirement by the housing authority, including the person's eligibility to be included on the authority's housing register.

In addition the following housing needs factors could be taken into account:

- Their housing so severely affecting their health that they have become disabled or housebound and need to move;
- Their current housing is isolated from shops, facilities and public transport links;
- They are registered with choice based lettings and their housing needs could be better met through choice based lettings.

The eligibility criteria for a scheme needs to be defined by the authority and included within the agreement with the provider. The provider organisation will have their own eligibility criteria, which must complement that of the authority's. An illustration of a housing association's eligibility criteria for an extra care housing scheme is shown in Appendix 2.

### 3. **Dependency Levels**

One of the key issues that must be clearly defined in any eligibility criteria is the level of dependency within an extra care housing scheme.

Some authorities develop dependency bands to ensure that there is a balanced community within the extra care housing scheme. For example the dependency bands could be as follows:

<b>Level of Care and Support</b>	<b>Number of Hours</b>	<b>Percentage of Residents</b>
High	Over 10 hours pw	50%
Medium	Between 5 and 10	30%
Low	Less than 5	20%

Other authorities require that all allocated places in an extra care housing scheme must fall into a high dependency band. The main reason for doing so is to be able to divert older people from residential care and as a consequence save the authority funding.

Where applicants have similar needs there needs to be a process of prioritisation. The following table highlights some the issues that need to be taken into account in terms of assessing who should receive priority.

<b>Area</b>	<b>Criteria</b>
Care and support received	Amount of care in hours
Social isolation	Living alone
	Carer not involved
	Communication difficulties
Risk of admission to hospital or care home	Carer not involved
Risk of exploitation	Person is or will be at risk of exploitation or abuse
Other relevant risks	
Emotional well being	Recent bereavement
Housing problems	Warmth, repairs, access, safety problems
Risk of falls	Number of falls in the last 12 months
	Informal support network not available or broken down/at risk of breaking down
Behavioural needs	Risk to others requiring consistent support

In addition other housing factors can be taken into account such as:

Under occupation	They under occupy social housing which could be allocated to a larger household.
Social housing	They live in social housing
Private rented sector	They live in private rented accommodation
Homeless	They are at risk of homelessness

#### **4. Care and Support Needs Assessment**

All applicants must be assessed for their care and support needs as part of the process of allocating a place in an extra care housing scheme. Authorities are adopting different approaches to the assessment of care and support needs, including:

- All applicants must be diverted from going residential care and must be in a high needs band;
- All applicants must go through the care assessment process but will be selected to ensure there is a balanced community with different levels of need;
- The care assessment is carried out following a bidding process through choice based lettings.

An illustrative pathway into extra care housing that is care led is shown in Appendix 3. This approach is driven by the care assessment process, although housing authorities can have some input into the process.

#### **5. Choice based lettings route**

Where extra care housing has been developed as affordable social housing there is a question about whether it should be let through the choice based lettings route. Some authorities consider that all social housing should be let through choice based lettings, while others consider that extra care housing should be allocated through a care pathway.

Where the choice based lettings route is used then individuals need to bid for the extra care housing units when they are to assess individuals against the eligibility criteria for the scheme. An illustrative pathway that is housing led is shown in Appendix 4.

Another approach adopted by some housing authorities is to advertise places in an extra care housing schemes, but not request bids for the accommodation. Applicants are then signposted to the care pathway. This approach helps to advertise vacancies to a wider audience through the choice based lettings route, although all applicants are assessed through a care pathway.

## **6. The Process**

There are a number of issues to consider in relation to the pathway into extra care housing. These are as follows:

### ***Identification of suitable referrals***

Adult Social Care needs to be aware of the option of extra care housing when carrying out an assessment of older people. Many authorities refer older people into residential care because as there is little understanding of what extra care housing offers. To ensure that suitable individuals are identified at assessment stage staff need to be made aware of the option of extra care housing. Therefore communication with assessment staff is essential, as well as the provision of marketing information on extra care housing.

Where individuals bid for extra care housing through choice based lettings then housing authorities also need to provide information provided about this option, so that individuals are aware about what is being offered.

### ***Extra Care Housing Registers***

Some authorities have developed an extra care housing register. This is equivalent to a waiting list. This process can involve continuous referrals from Adult Social of those who are identified as suitable for extra care housing. These individuals are simply placed on a register, or waiting list, pending a vacancy.

Once a vacancy occurs then those on the waiting list are prioritised for assessment by the provider. Adult Social Care may need to carry out another care assessment where the existing care assessment is out of date. The most suitable applicants are then referred on to a panel for a decision.

### ***Extra Care Housing Panel***

Most pathways into extra care housing involve using a panel to make a decision about the allocation of places. Under the care pathway this will usually be a multi agency panel comprising social care, health, housing and the provider. Under the housing pathway it will usually be a lettings panel, although this panel could also include Adult Social Care and the provider.

### ***Landlord/Care Provider***

For many extra care schemes the landlord is also the care provider. Therefore the provider fulfils the functions of carrying a care and support assessment (or validating that of Adult Social Care) as well as ensuring that the individual meets certain landlord requirements.

Increasingly authorities are commissioning care and support services separately from the provision of accommodation. This can result in the landlord being a different organisation to the care and support provider. The landlord would retain responsibility for maintenance and housing management functions, while the care provider would be responsible for all the care and support provided within the scheme.

The separation of the housing and care and support functions does have an impact on the allocation process. The care and support provider must carry out the care and support assessment and the landlord must consider any housing issues related to the allocation process and sign up the tenant. Therefore there needs to be close liaison between the two bodies.

### **3. Personal Budgets**

The referral and allocation process implies that extra care housing is procured on a block contract basis and that individuals are referred into these services. This is the predominant model that currently exists.

With the introduction of personal budgets there is a question of how the pathway into extra care housing will work in practice. There are likely to be a number of different service models for extra care housing in the future and personal budgets/Direct Payments will be applied in different ways, for example:

- A core contract with a provider to deliver 24 hour cover with Direct Payments to individuals for the remaining support;
- A core contract with a provider to deliver 24 hour cover with the choice of either a personal budget to extend coverage by the existing provider or a Direct Payment to obtain care and support from another provider;
- The use of personal budgets for all the care and support services provided, where the budgets pay for a service charge to a single provider to provide a basic 24 hour cover service, with the remainder of their personal budget used as above.

Another HSU toolkit explores the issue of personalisation and extra care housing. In relation to the pathway into extra care housing it is likely that similar pathways will need to be adopted as outlined in this toolkit, as extra care housing is a resource that needs to be allocated. However once an individual is

allocated a place then person can be given greater choice over how services are delivered and who delivers them.

#### **4. Conclusion**

Although there can be a tension in the allocation of extra care housing between care and support needs and housing needs, ultimately almost the same outcomes can be achieved through either pathway. Both options have to involve an assessment of care and support needs as well as meeting certain housing requirements. The critical issue is to have clear criteria that have been agreed by all the stakeholders, as well as a clear pathway.

**1. ELIGIBILITY CRITERIA FOR EXTRA CARE HOUSING**

- 1.1 Applicants must qualify under the Council(s) Sheltered Housing Allocation policy and fulfil the Councils criteria for being placed on the Housing Register.

**2. SOCIAL CARE ELIGIBILITY CRITERIA FOR NOMINATION FOR RENTED HOMES**

- 2.1 Applicants must be aged at least 60 years or over and will generally be households without children (unless, for example, the second generation person is also an older person<sup>1</sup>).

We will consider applicants under 60 with a disability which will be subject to consent from the Council's planning department as an exception to the client group specified in the original planning application.

**and**

have been assessed by the Social Services Department in accordance with Section 47 of the National Health Service and Community Care Act 1990 and as a result have assessed care needs which can be appropriately met by the provision of care in an extra care housing scheme

- 2.2 Applicants suitable for nomination will fall within a level of need in accordance with the Council(s) eligibility criteria for community care services
- 2.3 Applicants should be capable of benefiting from the extra services offered by extra-care housing rather than sheltered housing.
- 2.4 Successful applicants will have at least some of the following needs/characteristics and whose present living situation may no longer be suitable because care and other related issues cannot readily, practicably or economically be provided:
- a) Physical need for provision of a higher level of support than can be provided through existing services.
  - b) Medical need as assessed by General Practitioner or Consultant or nursing assessment as part of comprehensive care management assessment
  - c) Requirement for extensive adaptation etc to existing property due to their disablement or have personal and social care needs that cannot be met in an individual's home
  - d) Needs arising where the level of provision of services is already high but entry to the extra care scheme can prolong independent living and enhance their quality of life
  - e) An ability to have their personal care needs met by the Council(s) or have the means to purchase this privately.
  - f) Health care needs which can be met by the Primary Health Care Team and other community health services

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<sup>1</sup> Second generation age acceptance will be by discussion on a case by case basis.



- g) A need for assistance with medication – this must be clearly identified as part of the care required and the Medication policies of the Council(s), Health Trust and Association shall apply.
  - h) Need for improved housing conditions as a result of illness or disability in addition to the need for support and care services provided by the scheme
  - i) A realistic chance of continuing to live independently (or returning to independent living if already in an institutional care setting) providing appropriate support and care is available.
  - j) The needs of carers who care for a prospective tenant will also be considered within the eligibility/allocation process. This will not, by virtue of the prospective tenant moving into Extra Care alone, include the re-housing of those who are the carers.
  - k) Applicants suffering from depression and/or the effects of isolation and/or mental health problems will also be accepted however points 2.3 and 2.4(i) should be carefully considered and concluded to be applicable and achievable.
- 2.5 The Council(s) would wish to offer priority to those eligible applicants who have a local connection to the appropriate Council Area(s).
- 2.6 It is recognised that tenants may need flexibility in the provision of care services and that tenants care needs will change over time. At any point where people are experiencing difficulties sustaining their lifestyle and the levels of care are impacting on the scheme, a case conference with Social Services and the tenant and/or their family/representatives will be called.
- 2.7 Applicants may require specific nursing care. The Applicants will be considered subject to that nursing care being available from the normal Community Nursing Services.

**1. ASSOCIATION'S ELIGIBILITY CRITERIA FOR TENANCY**

All nominations and referrals received must fit within the following criteria to be eligible for Extra Care Housing with the Association;

- 1.1 The prospective tenant must be 60 years or over or with a disability (subject to consent of the Associations Head of Supported Housing who would submit the relevant documentation to the appropriate Housing Authority Planning section if necessary)

**and**

have a need for Support and/or Care as assessed by Social Services

**and**

require and agree to accept at least the minimum level of service offered within the scheme

**and**

the level of support and/or care required is not greater than that which can be offered and sustained within that scheme. The level of this support and/or care would not seriously undermine the association's (or service providers) ability to support and/or care for other residents within the scheme.

**and**

agree to enter into a Support and/or Care Plan and take part in periodic reviews of that plan

**and**

need the facilities offered by an Extra Care housing scheme, which are not available in other types of sheltered housing

- 1.2 Any application for Extra Care housing received by the Association will be checked for Former Tenant Arrears. Any application submitted found to hold a known debt with the Association for any repair work, void clearance or tenancy matter, or with any other Registered Social Landlord or Local Authority landlord, will not be accepted for re-housing unless

- There has been a payment plan in place and a reasonable amount of payment of the debt has been achieved over the previous three month period (or otherwise as defined by the Associations current arrears policy)
- In exceptional cases (eg where minimal Court Orders are in place) then the Head of Supported Housing will reach agreement with the Care Services Director. Subject to the Associations current arrears policy it should be noted that this agreement may require Board approval

- 1.3 Any former tenant traced in this way will be pursued in accordance with the Former Tenant Arrears procedure.

- 1.4 Should an applicant or nominee be found to have a recent history of severe anti social behaviour such as:

- Conviction of violence, assault, arson, hard drug dealing or possession, possession of firearms,

**or**

- Have been previously evicted for anti-social behaviour,
- or**
- Currently under an ASBO

Their case will be considered on an individual basis, and will include a full risk assessment and the need to promote community sustainability. The above list is not exhaustive but indicative.

1.5 In the event of a Schedule 1 offender (eg: convicted paedophile) being nominated, a multi-disciplinary case conference approach must be taken, inviting representatives of the Police, Probation, Social Services, the Housing Association, Health and the Local Authority to arrive at a collective decision following full risk assessment.

1.6 Applicants with pets will only be allocated property if the property is considered suitable (e.g. – it has its own entrance and garden area for sole use of that dwelling.) Pets will be considered under the following conditions

- The applicant has a well established pet which the applicant cannot re-home
- and**
- the pet is risk assessed by the Scheme Manager and is considered as compatible with other animals in the vicinity
- and**
- the pet assessment shows that the pet is easily controlled by its owner and not a trip hazard to others
- and**
- the applicant clearly understands that the pet will not be allowed in the communal areas unless the pet is an assistance dog
- and**
- the applicant understands that they are responsible for clearing up any mess that the animal makes.
- and**
- the applicant must agree that the pet will not be replaced on its death or when a pet has been re-homed
- and**
- the applicant ensures that there is a substantial plan in place for the pet to cover the applicants hospital admission or other event. The applicant will agree that they will be responsible for any fees incurred on their behalf for the pet whilst they are not at home which may, for example, include the placing of the pet in a boarding kennel, vet fees etc..
- and**
- the applicant agrees to arrange for the alternative homing of the pet if the arrangement is unsuccessful.

These rules will be relaxed a little in the case of Guide/Hearing dogs for people with disabilities providing the scheme and support can accommodate these dogs.

1.7 The Association has the right to refuse an applicant if:

- After carrying out a risk assessment, it considers that the applicant is likely to place anyone, including other residents, staff and/or neighbours at risk;
- If the individual shows a pattern of drug and/or alcohol misuse and/or dependency which has not been resolved or there is no prospect of change;
- It considers that the client requires more support than would be available within the scheme and therefore, the tenancy would not be sustainable;
- The risk assessment identifies that the applicant has support needs which are greater than those available at the scheme.
- The applicant is currently in breach of a tenancy agreement where the breach is not related to more support being required.

1.8 The Association will also take into account:

- The scheme's capacity to meet the customers care needs
- Level of housing need as determined by the Council
- The needs of any carer
- How the move would improve the customers quality of life
- Suitability and financial implications of customers alternatives to extra care housing
- Extent of medical need to move to Extra Care housing
- Whether customers are already in receipt of care from Wiltshire Social Services
- Priority on the Councils waiting list
- Whether customer downsizing from other Housing Association property

1.9 When offering tenancies the Association will take into account the overall scheme community balance including such considerations as:

- Community stability
- Age profile of residents (while avoiding 'ageism')
- Special needs
- Local Black & Minority Ethnicity (BME) composition care provision available

1.10 Allocations for letting the scheme will be based on the following criteria;

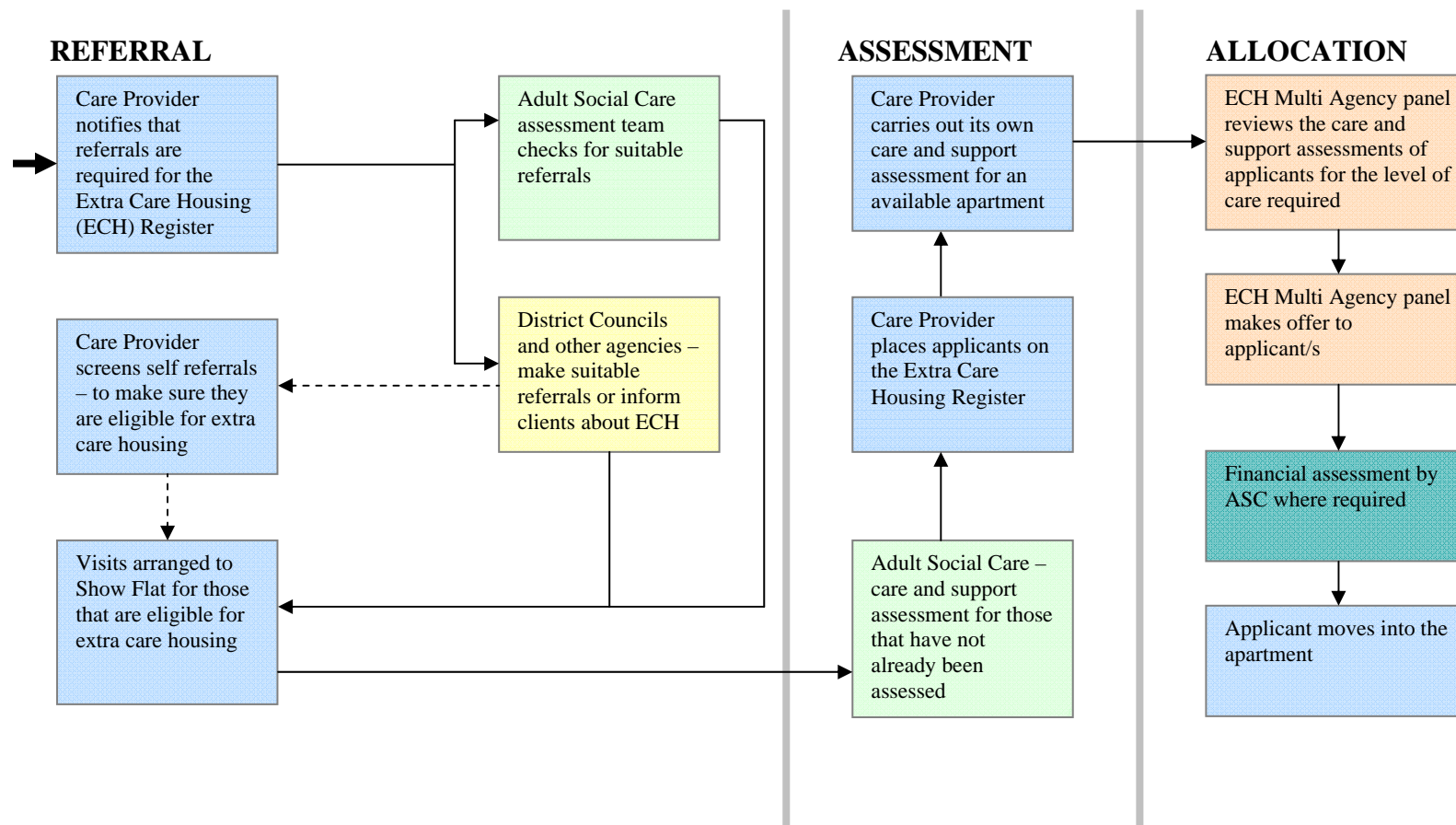
- Approx one third of residents will, with a minimum initial input of support and care, be able to achieve an outcome of being able to show and retain an increased level of personal, social and physical enjoyment of the opportunities that living with less isolation and more stimulus and support should facilitate.
- Approx one third of residents will have a level of needs totalling between 4 and 10 hours support and care combined. Residents within this group should be able to retain a reasonable level of personal, social and physical enjoyment of the scheme with the support and care provided
- The remaining one third of tenants will have a high level of care 10 + hours personal care in addition to very low level, periodic only, or nil support needs. This group will, however, be able to participate in whatever opportunities that the scheme offers periodically with some assistance from support or care staff.

1.11 All of the above criteria will be measured through Outcomes Based Support

and Care Planning and will be monitored through the usual Support and Care monitoring mechanisms such as the Outcomes Monitoring process for the Supporting People program.

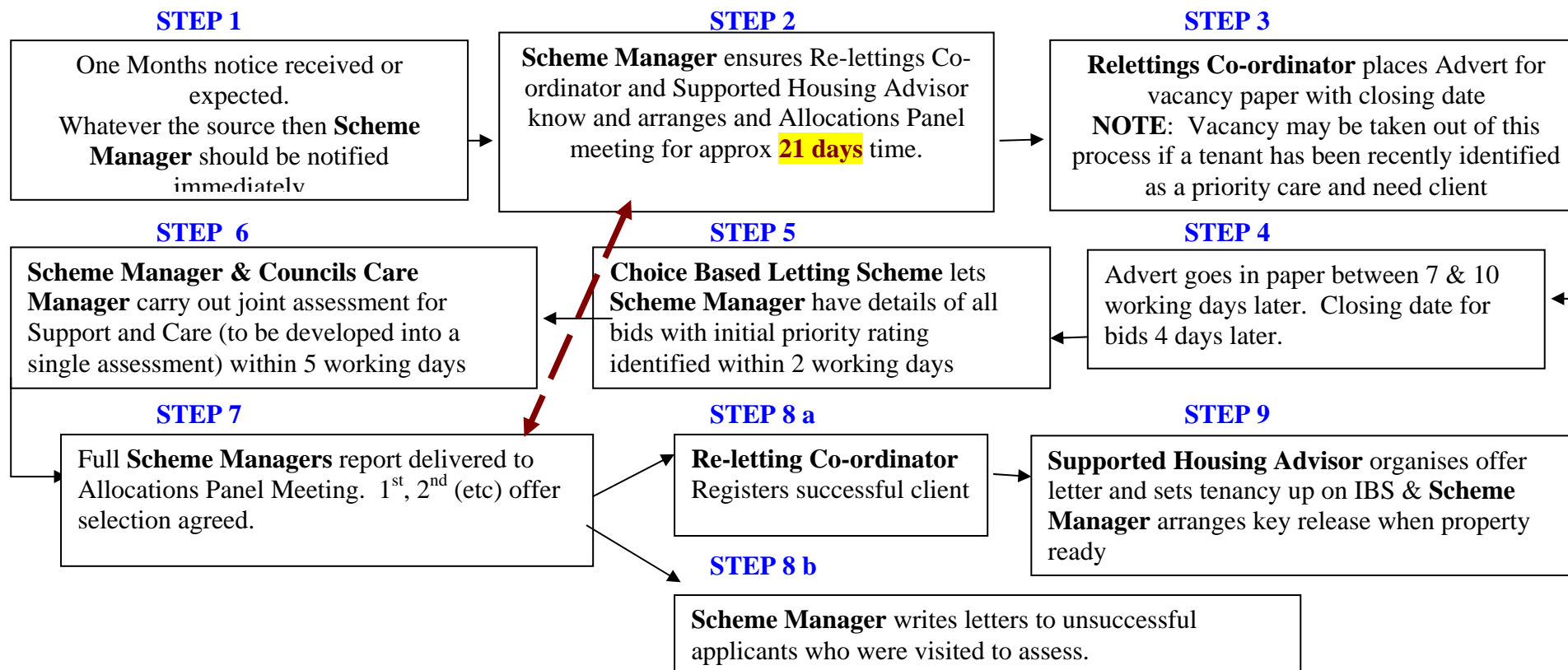
- 1.12 Individuals from any of these categories of care needs may also require specific nursing care, which will be provided by normal Community Nursing Services.

### Referral, Assessment and Allocation Process – Illustrative Flowchart for Extra Care Housing



**EXTRA CARE 9 STEP LETTINGS PROCESS FLOW CHART**

This flow chart should be viewed as a guide to the overall process. The process does from time to time vary.



Step 3 to 9 Note: alongside this process the Reletting Team will arrange a pre void inspection, followed by a post void inspection and organise and carry out any remedial work, including an electricity test, to the property when void. In most cases the property should be ready to let any time from 3 weeks after allocation panel meeting (step 7). The Association aims to let property within a **maximum** of 15 days from when the property becomes void (subject to void work).