	Action/Date
Title/Status-	Brokerage Process for Short Breaks (Play & Leisure) and Domiciliary Care for Disabled Children
New document or revised	Revised
Responsible Head of Service	Liz Perfect
Date review	July 2020
Date SMT approved.	

All documents and emails must be saved in the appropriate folder using the following format: ***YYYY MM DD (brief description of document contents)***	
Brokerage form completed by allocated worker, must be signed by a manager and then emailed to broker inbox (CFSCommissioningbroker@leics.gov.uk)	
Brokerage Form (Referral) Received:	
1.	Check in the following folder to see if there is a sub-folder for the child already (in last name alpha order) F:\CYPS Shared\Commissioning Support Team\Disabled Children's Services (2016)\Brokerage work\Cases - Closed
2.	a) If there is an existing folder, move it to: F:\CYPS Shared\Commissioning Support Team\Disabled Children's Services (2016)\Brokerage work\Cases - Open b) If there isn't an existing folder, create a new folder (LAST NAME, First name, Mosaic ID) in the "Cases – Open" folder
3.	Save the original brokerage form (Word document) and the email to the child's folder that has just been moved/created using the format set out at the top of this page.
4.	Check the Brokerage Form to ensure completed correctly and signed by a manager. Anything missing, incorrect or not clear needs to be returned to the person that completed it by email from the brokerage mailbox, with manager copied in. Re-open the email and save to the child's folder.
5.	Once emails are saved in the child's folder, delete them from the broker inbox and the sent box.
Anonymisation:	
6.	Once satisfied the brokerage form is completed correctly, it needs to be anonymised. ***Names:*** - Allocated worker name changed to initials - Child's name to be replaced by initials throughout the document

	- Sibling names need to be changed to "sibling/brother/sister (initial)" - Parent/carer names may need to be checked who they are in relation to the child e.g. mum, dad, carer etc, then replace the name with this ***Date of Birth:*** Alter to MM/YYYY ***Address:*** Alter to town and partial postcode by deleting last 2 digits of the post code ***Details of principal contact:*** - Alter name to initials - Remove telephone number
7.	Save the anonymised document in child's folder with current date (format at start of this guidance), initials and Mosaic ID as the document name
Recording on Tracker:	
All cases are recorded on the tracker: F:\CYPS Shared\Commissioning Support Team\Disabled Children's Services (2016)\Brokerage work\Short Breaks Framework Tracker	
8.	Select Open Cases tab and add the details to the bottom of the list for "Child Information" (green) and "Enquiry Information" (blue).
10.	Highlight the row above and click on format painter then click on the new row to copy the format.
11.	Save the tracker document.
Filtering:	
12.	Filter the framework providers using the information in the "Framework Brokerage" section (purple) based on the following: a) Lot number (number in brackets) b) Type of support required e.g. group, community, etc c) Framework area Any restrictions e.g. age, framework area, are shown in the headings on that tab of the tracker. For more detailed information that can be filtered see: F:\CYPS Shared\Commissioning Support Team\Disabled Children's Services (2016)\Brokerage work\Guidance and templates\Framework provision April 2018.xlsx *Note: a filtering spreadsheet is currently being developed but for now this is how it is done*
13.	For the providers selected as being able to meet the support requirements, enter the date in the child's row to indicate when an email is being sent. Insert "n/a" for the providers not being contacted for the case. Save the tracker document.

Send out to framework:	
14.	Create an email to send to providers based on the template: F:\CYPS Shared\Commissioning Support Team\Disabled Children's Services (2016)\Brokerage work\Guidance and templates\Template for sending referral out.msg Timescales for responses should be: Non urgent cases - 5 working days Urgent cases - 2 working days If it is an emergency case, telephone calls will be required.
15.	For the providers that have been filtered as suitable, copy the email addresses from the "Contact Details" tab of the tracker document. Ensure the following before sending the email: a) Email is Egress protected b) Anonymised Brokerage Form is attached c) Subject line has been amended to show correct initials, Mosaic ID and response date d) Using BCC to send to providers **N.B.** This initial email to providers needs to be sent from a personal email address because Egress does not work with the brokerage mailbox at this point.
16.	Once sent, re-open the email and save it to the child's folder using the appropriate date format, your initials and "to fwk" e.g. 2018 11 03 CK to fwk
Deal with responses:	
17.	There are 4 possible responses that will be returned: ***Queries/clarification requests*** - If necessary, contact the allocated worker to obtain any case specific notes to establish answers. Any material facts should then be shared with all providers that have been sent the enquiry. - Record on tracker (under provider's name and against the child) that the provider raised a query. - Once clarification is provided by the worker, email the provider with the response, preferably before the deadline. If it is a material fact, this should be shared with all providers that have been contacted. - Save all emails relating to the query in the child's folder ***Yes – meet in full*** - On the tracker, insert "Y - £(hourly rate)" under the provider and against the child - Save the brokerage form as "YYYY MM DD Yes (provider name).docx" - Save the email in the child's folder as "YYYY MM DD Yes (provider name).msg" ***Yes – meet part of request***

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	- On the tracker, insert "Y – part" - Save the brokerage form as "YYYY MM DD Y- part (provider name).docx" - Save the email in the child's folder as "YYYY MM DD Y - part (provider name).msg" ***No – can't meet the request*** - On the tracker, insert "N (X)" using code indicated on the Provider Response part of the brokerage form (Part B) - Save the email in the child's folder as "YYYY MM DD N (provider name).msg"
Do not make an award until the response deadline has passed	
Once deadline has been reached:	
18.	Once deadline has passed, review responses: ***Responses outstanding and no positive response received*** - If it's not an urgent request, send an email to chase the outstanding responses, giving another 48 hour deadline. If urgent, will need to ring providers to chase outstanding responses. - Save any emails sent to the child's folder and delete from the sent box. - Record on tracker who has been chased and when, then update the deadline. ***No outstanding and no positive responses received*** - Move to section "Going off framework" below (step 25). ***Positive response received that can only meet part of the package*** - Send an email to the allocated worker setting out the support that can be provided and ask for a decision on whether this would meet the needs or if it should be sent off framework to meet full package. - Record on tracker in "Snapshot" the date of update to worker and save the email to the child's folder and change status to Hold. If worker requests it be sent off framework, move to section "Going off framework" below (step 25) and change status back to Open. - If worker agrees that the support meets the family's needs, treat this as a Positive response received that can meet package. ***Positive responses received that can meet most or all of the package*** - If there is more than one provider that can fill the package, the best price will be the deciding factor. If only one provider can fill the package the award will be made to them. *Note: If more than one provider comes out exactly the same then will need to do mini competition (see ITT documentation for process)* - Record in "Snapshot" column of the tracker who is awarded the package and mark their column as awarded. - Insert against the other providers the code for not awarding to them (codes are on the Notes tab of the tracker – D1 to D4).
When the package is filled	

19.	- Send an email to allocated worker informing them of decision and request that they contact the parent/carer to inform them that the provider will be contacting them direct to make arrangements. - Save the email to the child's folder once sent and delete from sent box.
20.	Create the IPA for the child by completing the brokerage form returned by the provider being awarded the work, as follows: - Re-insert the child's name where initials are shown throughout - Include full date of birth - Include full address - Include primary contact details - Complete Part C, but not the signature on behalf of the Authority Save the document in the child's folder as: "YYYY MM DD (Child's initials & Mosaic ID) IPA for (name of provider)"
21.	- Email the IPA to provider, using Egress, for agreement and signature, requesting that it be returned electronically using Egress, or some other encryption software. - Save the email to the child's folder once sent and delete from sent box.
22.	Update the tracker: ***Close the case*** - Change status to "Filled" with the date. - In Snapshot, enter who the package is awarded to. - Delete any date in column I "Deadline" - Change the formulae in columns M "No. of days since referral received" and N "No. of days taken to full support package" by overtyping the number of days - Cut the row for the child from the "Open On Fwk" tab and paste it on to the bottom of the "Filled Packages" tab ***Record IPA*** - On the "IPAs Created" tab, add a new row at the bottom by filling in the first 6 columns (up to "IPA sent") for the case. - Save the tracker
23.	Move the child's folder from "Cases – Open" to "Cases – Closed" on the shared network drive F:\CYPS Shared\Commissioning Support Team\Disabled Children's Services (2016)\Brokerage work
24.	When signed IPA received back from provider: - Check all has been completed and signed properly - Insert your own signature and details - Save the IPA to the child's folder as "YYYY MM DD (Child's initials & Mosaic ID) Signed IPA for (name of provider)" - Convert the IPA to a PDF document and save to the provider's IPA folder as "YYYY

	MM DD (Child's name & Mosaic ID) IPA for (name of provider)", which will be found in: F:\CYPS Shared\Commissioning Support Team\Disabled Children's Services (2016)\Brokerage work\Providers - IPAs - Send an email back to the provider, using Egress, with the PDF signed IPA attached, for their records. - Save the email to the child's folder once sent and delete from sent box. - Upload the PDF version of the IPA to the child's Mosaic record under Document Attachments as "Case Planning and Intervention" category - Update tracker "IPAs Created" tab, columns G, H and I. Also include start date in column J, if one has been confirmed, and enter "To be done" in "Start date checked" column and highlight that box.
Going off framework when package not filled through framework:	
25.	Send an email to the allocated worker to inform them that there has been no positive response from framework providers and that it will go to non-framework providers.
26.	Filter the non-framework providers using the information on the Contact Details tab of the tracker based on the following: a) Lot number (number in brackets) b) Type of support required e.g. group, community, etc c) Area covered d) Any other restrictions e.g. age
27.	For the providers selected as being able to meet the support requirements, enter the date in the child's row on the "Open to fwk" tab to indicate when an email is being sent.
28.	Follow the same steps as you would for a framework referral i.e. Step 14 onwards through to filling the package and issuing an IPA.
Unable to fill package:	
29.	- Send email to allocated worker, once all appropriate framework and non-framework providers have been approached and deadlines have passed with no positive responses, covering: a) explanation that package has not been filled and give the reasons for this (as given by the providers on their responses). b) a request for any flexibility of the package e.g. times of day, number of hours, days of week, which may assist with providers being able to fill the package. c) request if the search needs to continue or will they consider direct payments (DPs) for the family - Save the email to the child's folder and delete from sent box. - Record on tracker in "Snapshot" the date of update to worker and save the email to the child's folder and change status to Hold.

30.	If the allocated worker confirms no further work is to be done, or there has been no response from them for a number of weeks: ***Close the case – Update tracker*** - Change status to "Closed" with the date. - In Snapshot, enter the reason for closing. - Delete any date in column I "Deadline" - Change the formulae in columns M "No. of days since referral received" and N "No. of days taken to full support package" by overtyping the number of days - Cut the row for the child from the "Open On Fwk" tab and paste it on to the bottom of the "Filled Packages" tab ***Close the case – move folder*** - Move the child's folder from "Cases – Open" to "Cases – Closed" on shared network drive F:\CYPS Shared\Commissioning Support Team\Disabled Children's Services (2016)\Brokerage work
Additional Notes	
Whenever you go back to the allocated worker and require a response before moving on with an open case, change the status on the tracker to "Hold"	
Requests to revise IPAs need to be looked at individually as there are a number of variations that would be difficult to set out in a process due to the change in brokerage forms	