

Brokerage Service Policy

Version	Change/Status	Author	Date
1	Published	Karen Green / Alison Enever	Dec 2019
2	Updated to include brokerage arrangements for Independence at Home framework	Alison Enever	February 2020

Contents

1. Introduction	1
2. Care Homes Brokerage	2
2.1 Scope	2
2.2 Funded Service Users within area	2
2.3 Funded Service Users out of area	4
2.4 Self-Funded Service Users	5
2.5 Continuing Health Care (NHS funded) within area	6
2.6 Continuing Health Care (NHS funded) out of area	7
2.7 Block Contract Award Opportunities	8
3. Independence at Home (Homecare) Framework Brokerage.....	8

1. Introduction

This policy describes how Bath and North East Somerset Council (B&NES Council) and Bath and North East Somerset Clinical Commissioning Group (BaNES CCG) will broker services to support individuals, over 18 years of age, who have been identified as requiring support to discharge/transition from a hospital or community setting into a more appropriate setting that best meets their needs.

The brokerage service will broker placements/packages of care on behalf of the Local Authority/NHS Commissioners or self-funders by supporting the identification and negotiation of residential/nursing home placements or packages of care.

Services will be provided to individuals who are either residing within the Bath and North East Somerset Local Authorities boundary or individuals who are registered with a Bath and North East Somerset CCG GP.

The brokerage service will support the Commissioner in achieving sustainable fee levels, reduce delayed transfers of care (DTOC) that are attributable to placements or packages of care, reduce the number of people who are designated as “super stranded” (length of stay over 21 days), support people’s experiences of discharge, and support people in the community to access packages of care in a timely manner

2. Care Homes Brokerage

2.1 Scope

- 2.1.1 The brokerage service will successfully support people to transition from a hospital or community setting to the most appropriate setting to meet their care and support needs. This may include out of area settings where appropriate.
- 2.1.2 The brokerage service will support people who are identified as eligible for Local Authority funding under the Care Act, NHS funding, or those who are identified as being self-funding. They will work with all individuals who require a care home placement. This includes self-funding individuals, those currently in a hospital setting and those currently in their own home.
- 2.1.3 The brokerage service may be requested to support individuals moving from a block contract bed or a respite bed or from a residential to nursing placement or from self-funding to LA funded, or in the event of home closure.
- a. The brokerage service will only make placements for funded service users with providers that are on the Care Home framework, in the first instance. The brokerage service provider will discuss with the relevant Commissioners any identified/preferred providers with whom the Local Authority/Clinical Commissioning Group does not have a contract, and who is not on the Care Home framework before placement is made.
 - b. The brokerage service will use the electronic vacancy system to identify care home vacancies.
 - c. The brokerage service will aim to make placements within the individual's preferred geographical location; however the service will be required to support individuals in considering placements outside of their preferred location where appropriate.
- 2.1.4 Any funded placement will be agreed in accordance with the Single Panel Protocol.

2.2 Funded Service Users within area

The brokerage service will only make placements, for **funded service users, who have a preference to be placed within the local authority/CCG boundary** following the process below (see also Appendix 1)

- 2.2.1 The brokerage service will only make placements with providers that the Commissioner has a contract with and who have been accepted on to the Care Home Framework in the first instance.
- 2.2.2 The brokerage service will use the electronic vacancy tracker system to identify suitable care home vacancies.
- 2.2.3 The brokerage service will identify care home options in the following order:

- a. Suitable block funded vacancies
 - b. Suitable homes on the Care Home Framework that accept the agreed Fair Price of Care rate.
 - c. Suitable homes on the Care Home Framework nearest to the agreed Fair Price of Care rate (selected in ascending order of price).
 - d. Other suitable Care Homes on the Care Home Framework (selected in ascending order of price).
- 2.2.4 Suitable homes not on the Care Home Framework may be considered only providing the brokerage service has discussed with the relevant Commissioners any identified/preferred providers with whom the Local Authority/Clinical Commissioning Group does not have a contract, and who is not on the Care Home framework before placement is made.
- 2.2.5 The brokerage service will aim to make placements within the individual's preferred geographical location; however the service will be required to support individuals in considering placements outside of their preferred location where appropriate (and in accordance with the order of criteria above)
- 2.2.6 The brokerage service will present the options for available Care Home to the social worker; the allocated social worker will confirm suitability of the available homes. SW checks with the commissioner - CQC latest inspection report, current situation (suspension of placements) and any safeguarding concerns.
- 2.2.7 The brokerage service will present to the individual a maximum choice of three Care Homes and their preferred option will be confirmed.
- 2.2.8 The Home will be notified and a Care Home assessment will be completed either by the Care Home Registered manager or B&NES Trusted Assessor. If the Care Home agrees that they can meet the individual's care needs, a cost should be provided and negotiation on price may then be undertaken by the brokerage service as appropriate.
- 2.2.9 If the Care Home agrees that they can meet the individual's care needs and the cost of the placement is acceptable, the provider will be asked to submit a Placement Cost Breakdown. The brokerage service will hand back to the social worker for the case to be presented at Single Panel for funding to be agreed, where the price of the placement exceeds the Fair Price of Care.
- 2.2.10 Once agreement of funding is confirmed the brokerage service will:
- a. arrange the discharge with the ward
 - b. make a follow-up call to the care home 24 hours after discharge; checking that the discharge went well and all medication, discharge letter and equipment went with the individual
 - c. send out a customer satisfaction survey
- 2.2.11 If at any point of this process the chosen placement is not suitable then the brokerage service will go back to 2.2.2 and start the process again.

2.3 Funded Service Users out of area

The brokerage service will only make placements, for **funded service users, who have a preference to be placed outside of the local authority/CCG boundary** following the process below.

- 2.3.1 The brokerage service in conjunction with the individual, their Next of Kin and the social worker will identify their preferred location.
- 2.3.2 The brokerage service will search for care homes that would meet the individual's needs.
- 2.3.3 The brokerage service will approach the preferred care homes requesting the following information on the home/homes sourced:-
 - Does the home take their Local Authority rate?
 - Do they have any suspensions, quality or safeguarding concerns with their Local Authority?
 - The Care Homes CQC rating.
- 2.3.4 The brokerage service will present to the individual a maximum choice of three Care Homes and their preferred option will be confirmed.
- 2.3.5 The preferred Home will be notified and a Care Home assessment will be completed either by the Care Home Registered manager or B&NES Trusted Assessor. If the Care Home agrees that they can meet the individual's care needs, a cost should be provided and negotiation on price may then be undertaken by the brokerage service as appropriate.
- 2.3.6 If the Care Home agrees that they can meet the individual's care needs and the cost of the placement is acceptable, the provider will be asked to submit a Placement Cost Breakdown. The brokerage service will hand back to the social worker for the case to be presented at Single Panel for funding to be agreed, where the price of the placement exceeds the Fair Price of Care
- 2.3.7 The social worker emails B&NES Commissioning team giving details of individual, the cost and placement details. Including details of the cost of current available placements within B&NES.
- 2.3.8 The Commissioner will complete an Out Of Area Care Home Contract checklist. Checking if there's a contract in place, the CQC report and contacting the host authority Commissioner to ensure there are no concerns.
- 2.3.9 If all checks are satisfactory a contract and new contract letter will be sent via email to the care home attaching a new contract letter and contract.
- 2.3.10 A letter notifying the relevant authority of the placement is sent. All the documents and emails are saved into the out of area's care home individual file.
- 2.3.11 The returned signed contract is signed by a Senior Commissioner and then scanned, saved and returned to care home.

- 2.3.12 The Commissioning team to complete the bank payment form and send to the Finance Administration team and Liquid Logic.
- 2.3.13 Out of Area care home to be added to the review schedule for yearly review.
- 2.3.14 Once agreement of funding is confirmed the brokerage service will arrange the discharge with the ward.
- 2.3.15 The brokerage service will make a follow-up call to the care home 24 hours after discharge; checking that the discharge went well and all medication, discharge letter and equipment went with the individual.
- 2.3.16 If at any point of this process the chosen placement is not suitable then the brokerage service will go back to 4.2 and start the process again.

2.4 Self-Funded Service Users

The brokerage service will negotiate placements and costs for placements for **self-funded individuals** (see also Appendix 2).

- 2.4.1 The brokerage service will meet the individual and/or next of kin to discuss placement preferences and details.
- 2.4.2 The brokerage service will use the electronic vacancy tracker system to identify care home vacancies.
- 2.4.3 The brokerage service will check suitability of the home – CQC latest inspection report, current situation with Local Authority (suspension of placements) and any safeguarding concerns.
- 2.4.4 The brokerage service will present to the individual a choice of Care Homes that meet their preferences. Their preferred option will be confirmed.
- Care Home assessment will be completed either by the Care Home Registered manager or B&NES Trusted Assessor.
 - If the Home agrees that they can meet the individual's need a cost for the placement is given and any negotiation around cost takes place by the brokerage Service.
- 2.4.5 The brokerage service will liaise between the Care Home and the individual to confirm that they are able to meet the individual's needs and that they are in agreement with the cost.
- 2.4.6 The brokerage service will:
- arrange the discharge with the ward.
 - make a follow up call to the care home 24 hours after discharge; checking that the discharge went well and all medication, discharge letter and equipment went with the individual.
 - send out a customer satisfaction survey

2.4.7 If at any point of this process the chosen placement is not suitable then the brokerage service will go back to 2.4.2 and start the process again.

2.5 Continuing Health Care (NHS funded) within area

The brokerage service will negotiate placements and costs for placements for **Continuing Health Care (Fast Track) individuals**. (See appendix 3)

- 2.5.1 The brokerage service will receive the fast track paperwork from the Continuing Health Care team (CHC).
- 2.5.2 The brokerage service will only make placements with providers that the Commissioner has a contract with and who have been accepted on to the Care Home Framework.
- 2.5.3 The brokerage service will use the electronic vacancy tracker system to identify care home vacancies.
- 2.5.4 The brokerage service will seek to make placements in the following order:
 - a. Suitable block funded vacancies for CHC placements
 - b. Suitable homes that accept the agreed Fair Price of Care rate for CHC placements.
 - c. Suitable homes on the Care Home Framework nearest to the agreed Fair Price of Care rate for CHC placements.
 - d. Other suitable Care Homes not on the Care Home Framework may be considered only providing the brokerage service have discussed with the relevant Commissioners any identified/preferred providers with whom the Clinical Commissioning Group does not have a contract, and who is not on the Care Home framework before placement is made.
- 2.5.5 The brokerage service will aim to make placements within the individual's preferred geographical location; however the service will be required to support individuals in considering placements outside of their preferred location where appropriate (and in accordance with the order of criteria above).
- 2.5.6 Care Home assessment will be completed either by the Care Home Registered manager or B&NES Trusted Assessor. If the Home agrees that they can meet the individual's care needs and a cost for the placement is given; any negotiation around cost takes place by the brokerage service.
- 2.5.7 If the Care Home agrees that they can meet the individual's care needs and the cost of the placement is acceptable, the provider will be asked to submit a Placement Cost Breakdown. The brokerage service will hand back to the CHC Team for funding agreement.
- 2.5.8 The CCG Continuing Health Care commissioner will issue a contract to the care home if required.

2.5.9 The brokerage service will

- arrange the discharge with the ward.
- make a follow-up call to the care home 1 week and 3 months after discharge; checking that the discharge went well and all medication, discharge letter and equipment went with the individual.
- Send a customer satisfaction survey

2.5.10 If at any point of this process the chosen placement is not suitable then the brokerage Service will go back to 2.5.2 and start the process again.

2.6 Continuing Health Care (NHS funded) out of area

The brokerage service will negotiate placements and costs for placements for **Continuing Health Care (Fast Track)** individuals, who have a preference to be placed outside of the local authority/CCG boundary following the process below.

2.6.1 The brokerage service in conjunction with the individual, their Next of Kin and the Continuing Health Care team will identify their preferred location.

2.6.2 The brokerage service will search for care homes that would meet the individual's needs.

2.6.3 The brokerage service will approach the preferred care homes requesting the following information on the home/homes sourced:

- Does the home take Continuing Health Care residents
- Do they have any suspensions, quality or safeguarding concerns with their Local Authority or CCG
- The Care Home's CQC rating.

2.6.4 The brokerage service will aim to make placements within the individual's preferred geographical location; however the service will be required to support individuals in considering placements outside of their preferred location where appropriate (and in accordance with the order of criteria above).

2.6.5 A Care Home assessment will be completed either by the Care Home Registered manager or B&NES Trusted Assessor. If the Home agrees that they can meet the individual's care needs and a cost for the placement is given; any negotiation around cost takes place by the brokerage service.

2.6.6 If the Care Home agrees that they can meet the individual's care needs and the cost of the placement is acceptable, the provider will be asked to submit a Placement Cost Breakdown. The brokerage service will hand back to the CHC Team for funding agreement.

2.6.7 The Continuing Health Care Commissioner will complete an Out Of Area Care Home Contract checklist. Checking if there's a contract in place, the CQC report and contacting the host authority Commissioner to ensure there are no concerns.

- 2.6.8 If all checks are satisfactory a contract and new contract letter will be sent via email to the care home attaching a new contract letter and contract.
- 2.6.9 A letter notifying the relevant Local Authority and Clinical Commissioning Group of the placement is sent. All the documents and emails are saved into the out of area's care home individual file.
- 2.6.10 The returned signed contract is signed by a Senior Commissioner and then scanned, saved and returned to care home.
- 2.6.11 The CCG Continuing Health Team to complete the bank payment form and send to the Finance Administration team and Liquid Logic.
- 2.6.12 Once agreement of funding is confirmed the brokerage service will:
- arrange the discharge with the ward
 - make a follow-up call to the care home 1 week and 3 months after discharge; checking that the discharge went well and all medication, discharge letter and equipment went with the individual
 - send a customer satisfaction survey
- 2.6.13 If at any point of this process the chosen placement is not suitable then the brokerage service will go back to 2.6.2 and start the process again.

2.7 Block Contract Award Opportunities

When finance and opportunities arise for Block Contracts, Commissioners will award Block contracts using the following process.

- 2.7.1 Commissioners will produce a specification for the proposed Block arrangement.
- 2.7.2 Commissioner will identify suitable homes i.e. those with an appropriate registration for particular type of care as per specification.
- 2.7.3 The providers/homes identified will be invited to tender through the Council's e-tendering system.
- 2.7.4 Interested homes will respond to the tender, submitting the requested details via the Council's e-tendering system.
- 2.7.5 Commissioners will evaluate received tenders using the published evaluation criteria.

3. Independence at Home (Homecare) Framework Brokerage

The Brokerage service (or person responsible for brokering a package) will only make placement, for **funded service users** following the process below. Brokerage is a developing service in Bath & North East Somerset, and in the first instance the brokerage team will only source Local

Authority packages. However, in due course packages funded by Continuing Healthcare and other health funding will also be managed through the brokerage service.

- 3.1 The Brokerage service will only make placements with providers that the Commissioner has a contract with and who have been accepted on to the Independence at Home Framework, unless there are exceptional circumstances in which case 3.2.v will apply.
- 3.2 The Brokerage service will identify independence at home options in the following order:-
 - i. A package of care with an existing innovation or block contract on Part B of the framework, where the service model is appropriate to the needs of the individual. Those providers who hold an innovation or block contract will be designated as Tier 1 providers
 - ii. A package of care with a Tier 1 provider's other homecare capacity (not related to their block or innovation contracts), that meets the person's needs, accepts the fair price of care rate (or baseline rate set in lieu of fair price of care), and can most closely meet required package timeframes and timescales for availability of care.
 - iii. A package of care with any other framework provider that meets the person's needs, accepts the fair price of care rate (or baseline rate set in lieu of fair price of care), and can most closely meet required package timeframes and timescales for availability of care.
 - iv. A package of care with any framework provider that meets the person's needs nearest to the agreed fair price of care rate and that can most closely meet required package timeframes and timescales for availability of care.
 - v. Providers that are not on the independence at home framework may be considered only providing the Brokerage service has discussed with the relevant Commissioners any identified/preferred providers with whom the Local Authority/Clinical Commissioning Group does not have a contract, and who is not on the framework before placement is made. In this instance a provider will be selected that meets the person's needs, meets or is nearest to the agreed fair price of care rate and that can most closely meet required package timeframes and timescales for availability of care.
- 3.3 The Brokerage service will be required to support the placement of individuals in accordance with the above policy, but in doing so may take into account the individual's preferences in accordance with other policies.
- 3.4 In order to facilitate hospital discharge or urgent priorities the Brokerage service may need to offer different package times in the first instance and seek to move towards preferred options at a later date.
- 3.5 The Brokerage service will discuss as necessary with the social worker / CHC case manager.
- 3.6 The Brokerage service will consider at least three potential providers prior to selection.

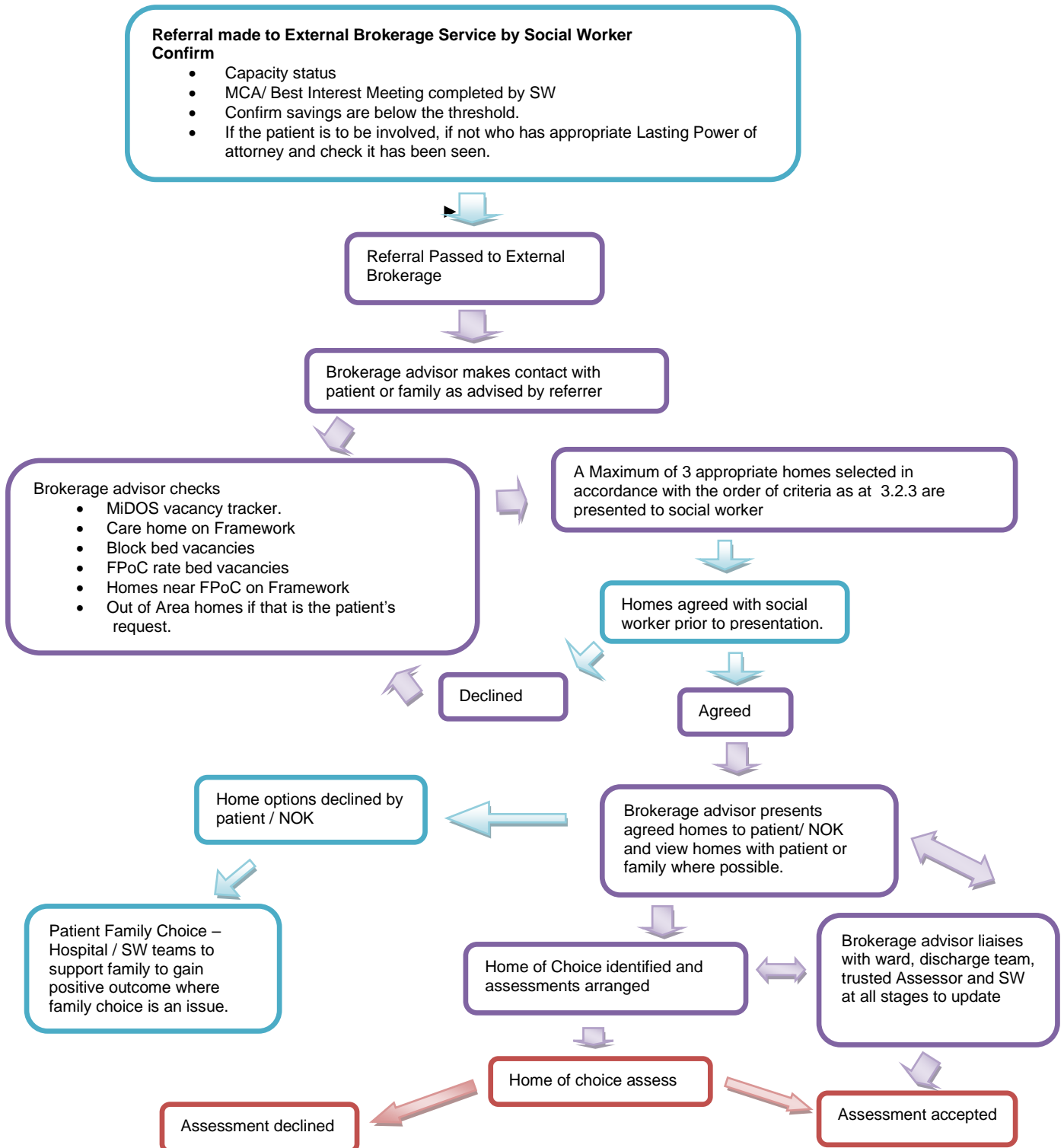
- 3.7 Package of care will be confirmed
- 3.8 The provider will be notified and will receive their instructions from the Commissioning Order Form (COF), in conjunction with the Care and Support Plan or CHC Assessment, which initiates and tailors the service for the person. The provider will start to provide the service on the start date specified and agreed.
- 3.9 A Care and Support Plan or CHC Assessment will identify a range of desired outcomes for the person. Once the provider accepts a referral they will complete their own assessment and develop a care plan using the information from the Care and Support Plan or the CHC Assessment.
- 3.10 The Provider's assessments and plans must be place prior to the Service commencing.
- 3.11 The Provider shall return the signed Commissioning Order Form to the Commissioner
- 3.12 The provider will work flexibly to manage times of visits to meet needs for the individual, balanced against the need to deliver a service to all clients across their geographical area: identifying genuine time-critical needs.
- 3.13 If at any point of this process the chosen placement is not suitable then the brokerage service will go back to 3.2 and start the process again.

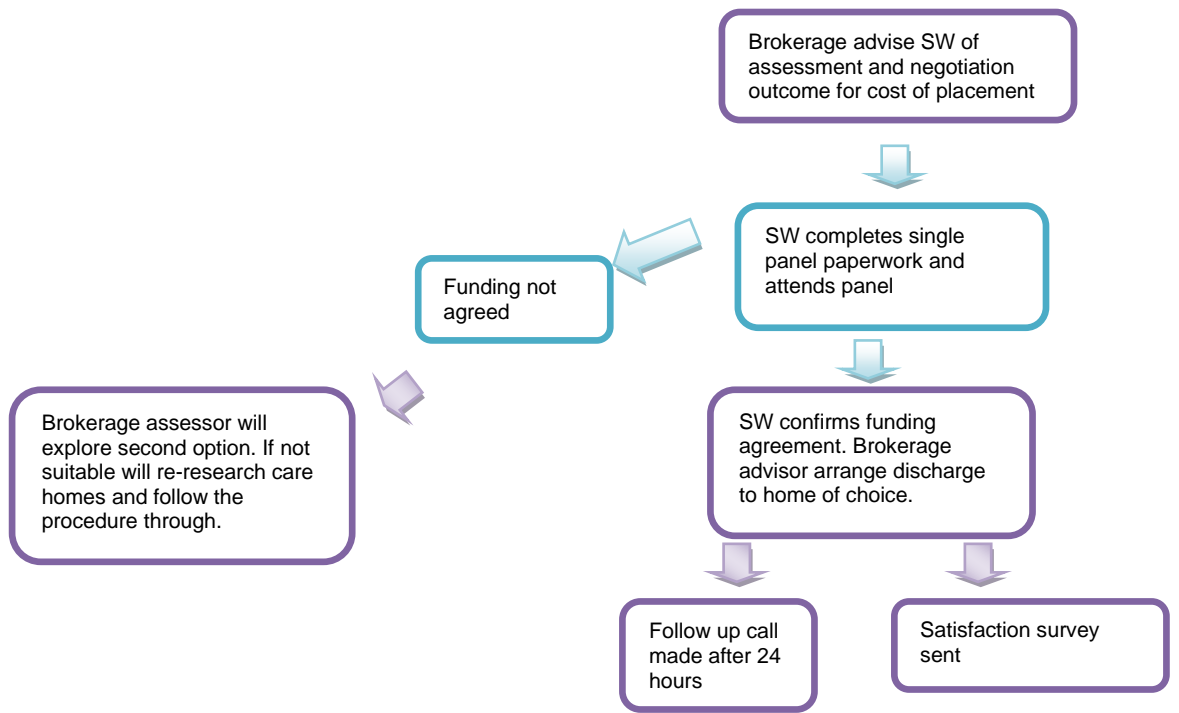
Appendix 1

Social Services Funded Placement Referral Process.

Pre Referral to External Brokerage

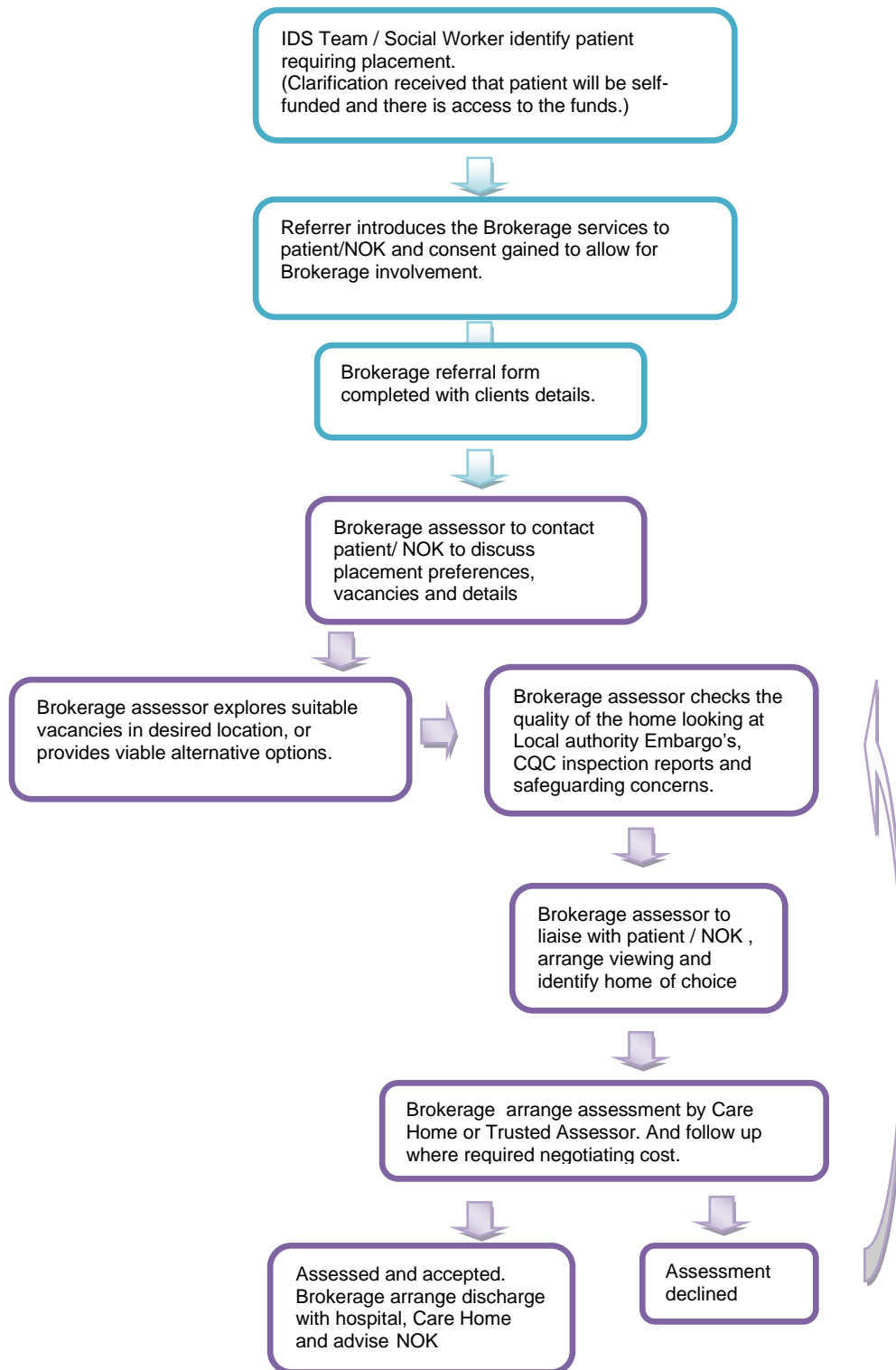
- Fair Price of Care leaflet given by Social Worker
- Any Nursing Care placement requirements confirmed for FNC purposes.





Appendix 2

Self – Funder Referral Pathway Process.



Appendix 3

Fast Track placement (CHC)

