



Roles of a Broker and the Code of Practice

Although this list is not exclusive, the National Brokerage Network lists the roles of a Broker as being:

- Review, prepare and/or identify indicative costs of creating and implementing a person centred support plan.
- Assist to develop a vision of a preferred lifestyle using relevant person centred planning tools.
- Clarify the person's needs and expectations
- Identify and apply for funding from all government and non-government sources.
- Identify and access community resources.
- Assist with funding negotiation
- Direct liaison and negotiation with service providers.
- Monitor and evaluate provider services in conjunction with existing monitoring and regulatory frameworks.
- Modify existing provider services or develop new ones.
- Mediate and resolve problems (as directed by the person).

All Brokers

- 1) To comply with the general ethics and procedures of the London Brokerage Network and to advertise the LBN's complaints procedure if necessary
- 2) To work in a person-centred and personalised way at all times
- 3) To act at all times on behalf of and in the best interests of a client and only with their consent (as appropriate).
- 4) To be accountable to your clients and have a clear and advertised way to complain
- 5) To offer as much choice to a client as is reasonably possible in terms of selecting a broker.
- 6) To ensure that you are in receipt of appropriate supervision
- 7) To keep up to date with changes in legislation and good practice
- 8) To keep up to date with what is available in their local area, including local grants and resources
- 9) To contribute regularly to the LBN website and overall wellbeing and growth of the network.
- 10) To attend relevant training, seminars and conferences and share good practice and other information with the Network
- 11) To put collaboration before competition, in the best interests of their local community and their clients.



- 12) To ensure that clients have genuine choice and control by making sure that all clients have a proper contract with any services that they use.
- 13) To act at all times within an equal opportunities framework

Independent Brokers

- 1) To provide a clear estimate of work to be done before undertaking any paid work
- 2) To enter into a clear contract with a client and to keep any changes to this updated
- 3) To have all relevant insurance and keep this up to date
- 4) To be registered as appropriate with HMRC if self-employed
- 5) To have an up-to-date CRB check
- 6) To act in accordance with the law at all times, for example, in terms of record-keeping.
- 7) To get feedback from clients

Associate Brokers

- 1) To be upfront and transparent about who they work for
- 2) To offer a range of options, not only those within their own organisation
- 3) To hand over any brokerage work that has a clear conflict of interest
- 4) To offer a choice of Broker if possible, even if it is only within their own organisation
- 5) To help facilitate local independent brokers as far as possible

Organisational Members

- 1) Organisational membership is possible, but must name specific brokers, who should conform to the membership requirements as individuals. Any new employees may register, but must successfully undertake the training within 6 months to maintain their membership of the LBN
- 2) To keep their list of named member-brokers up to date with the LBN
- 3) Not to share log-ins

Unpaid Brokers

Unpaid brokers are expected to agree to all the relevant parts of the code of practice above, according to their own situation. The LBN acknowledges that unpaid brokers will come from a variety of background and will be brokering for a variety of reasons. Indeed, many unpaid brokers are likely to be involved with a single client only.