

FINANCIAL CONTROL POLICY

CODES OF PRACTICE

Involvement with a Service User's personal finances

- Kemfa care Staff should only assist with Service User's finances where this is stated on the formal Care Plan.
- At no time should Kemfa care Staff give financial advice regarding an investment or withdrawal of monies.
- Kemfa care Staff must not take it upon themselves to become involved in Service User's financial affairs.
- At no time should Kemfa care Staff process a Service User's money, cash, postal order or cheque through their own bank, building society or other current or savings accounts.
- Kemfa care Staff must not take charge of relevant financial records, such as bank and building society savings books, wills or any other item of value.
- Any request for the type of support or advice noted above must be reported to Kemfa care Manager or Registered Manager, so that a Financial Risk assessment can be undertaken of the Service User's needs.

NON ADHERENCE TO THE ABOVE ITEMS WOULD BE CONSIDERED AS A CASE OF GROSS MISCONDUCT AND SUBJECT TO DISCIPLINARY ACTION AND POSSIBLE DISMISSAL

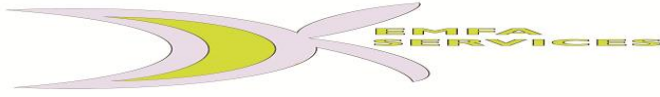
FINANCIAL PROCEDURES

The following guidelines are to assist Kemfa care Staff in carrying out their duties.

Kemfa care Staff have many tasks that involve financial transactions on behalf of the Service User, therefore it is essential that safe working practices are adopted to ensure all money matters are dealt with correctly to safeguard the individuals' security.

- All transactions involving finance must be receipted and a record must be made in the appropriate section of the monetary transaction form, each time cash is exchanged.

Step 1 – You must ensure that the name of the Service User is written at the top of each Financial Form.



Step 2 – The Financial Form must include the transaction e.g. Shopping/Pension Collection, the date, amount received, actual cost, change given, your signature and lastly the Service User’s signature as shown.

It is Company Policy and essential that each section of the form is completed as well as both signatures to safeguard care staff and the Service User. Please note: if a Service User either refuses to sign the form or is unable to sign, the Carer must ring the office to inform them of the financial task that they have undertaken, (this must be done from the Service User’s home prior to moving on to your next visit). The office will log all relevant information so that the details can be placed in the Service User’s office file. When the sheets are collected for audit, this will allow the office to cross reference the documents for signing off.

Step 3 – It is essential that you retain a receipt for each transaction, placing them inside of the Service User’s file, ready for audit.

Disregard and lack of attention to the Financial Policy and Procedure will result in disciplinary action or possible dismissal.

GIFTS AND HOSPITALITY

Acceptance of Gifts and Hospitality

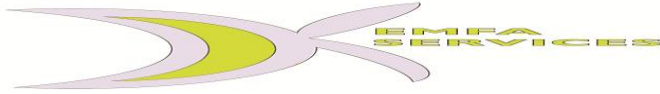
All employees of Kemfa care are subject to the following procedures relating to the acceptance of gifts. Kemfa care Services Limited regards the acceptance of gifts or hospitality to be unacceptable conduct as it is a breach of company policy for any member of staff to accept a gift, loan or fee unless a small Christmas thank-you if offered by one of your Service Users.

Where a member of Kemfa care staff has been proven to have received any money or gifts from a Service User, corruption may be presumed unless the contrary is made evident. If a member of Marches Home Care Staff is accused of this offence, the burden of proof rests with him or her personally to show that he or she did not breach Kemfa care Policy.

Any breach of gross misconduct will lead to disciplinary action and possible dismissal under Kemfa care’s Disciplinary Code.

Bequests from Service Users

- Kemfa care Staff may not be left gifts or money in Service User’s wills in appreciation of their services. Service Users and their relatives should be discouraged from leaving such bequests.
- Should a member of Kemfa care Staff be aware of such a bequest being made to them, they must inform the Care Manager in writing of the bequest, providing the appropriate details including the Service User’s name and the reason for the legacy and type of bequest.
- In the event on a member of Kemfa care being notified only after the death of a Service User that they are in receipt of a legacy, then the employee must inform the Care Manager in writing of the bequest.



- **Monies and Bank Accounts**

- Kemfa care Staff must not be an appointee for a Service User's pension book.
- It is forbidden for Kemfa care Staff to open a building society or bank account in order to process Service User's monies, or to use their own account for such purposes.
- Kemfa care Staff must never sign the Service User's name on any documents and must not witness signatures on wills.
- Service Users' monies must be kept entirely separate from a staff member's own money.
- Kemfa care Staff are advised to carry only a small amount of their own money during their rounds.

Lending or Borrowing Money

Kemfa care Staff must not borrow money from or lend money or goods to a Service User, or a Service User's friend, relative, contact or neighbour.

Conducting other Business with Service Users

Kemfa care Staff must only provide the service that is detailed within the Care Plan at the agreed times. These documents have been prepared and authorised by qualified persons and other qualified multi agency staff when required.

Kemfa care Staff should only complete shopping if it is an agreed task within the Care Plan and after the Service User has provided cash in advance. This should then be recorded on the Financial transaction form which can be found in each Service User's diary.

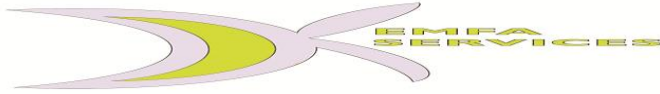
Kemfa care Staff should not pay for shopping and then request payment from the Service User. Any query regarding a financial transaction and a Service User should be passed to the office and preferably the Care Manager to be dealt with immediately.

Kemfa care Staff must not solicit Service Users to purchase goods from mail order catalogues or clubs. Neither must Kemfa care Staff purchase any goods from a mail order catalogue run by the Service User.

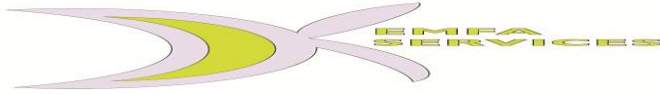
Declaration of Relationships

If a member of Kemfa care Staff is related to or has a previous personal relationship with a Service User, they must immediately inform the Care Manager.

Safe Working Practices to be followed



- ID cards must be displayed when collecting or carrying money for Service Users if a cashier asks for identification.
- Place money securely in a purse. Do not place purse in a conspicuous position eg, on top of shopping bag.
- When giving change to a Service User count it out to the Service User. Where possible, get a relative or neighbour to act as a witness. **YOU MUST** get the Service User to sign on the receipt and complete the monetary transaction form, not forgetting to sign it yourself.
- **OR**
- When cash is given to a member of Kemfa care to go shopping for the Service User, a financial transaction form must be completed at all times showing the date, amount given, amount of change, the Service User's signature and the name and signature of the member of Marches Home Care Services.
- Where a member of Kemfa care Staff has been asked to get shopping or pay bills, a receipt must be signed by the Service User, and the financial transaction form completed.
- Service User's money must never be taken to the home of a Staff member. Losses are not covered by the Kemfa care Insurance Policy and any losses would have to be repaid by the member of Marches Home Care Staff.
- Kemfa care Staff should not carry large sums of their own money with them when they are at work, as any loss is not covered by the Kemfa care Insurance Policy.
- On the record diary sheet, you must always log when you have undertaken shopping for a Service User, so that it will tally with the recorded log on the financial form.
- The time sheet must be completed on a daily basis just prior to leaving a Service User and before their signature obtained.
- Time sheets must never be made out in advance and the Service User must never be asked to sign a time sheet that has not been completed properly.
- Inform the Care Manager if the Service User has deteriorated and is unable to sign. Mark the time sheet accordingly 'unable to sign' and then obtain a declaration from the office to give reasons as to why the Service User cannot sign. The time sheet is a legal document and must be an accurate record of the Staff member's working day.



- Monies payable to Kemfa care Services must not be accepted from Service Users by Kemfa care Staff. Grace Staff should encourage the use of direct debit or cheques.
- If collecting a cheque from a Service User, ensure their name and address is printed on the back of the cheque before handing it to the office. If possible ensure you place the invoice number on the reverse of the cheque.
- If, in any emergency, a Service User is admitted to hospital, do not take possession of their belongings.
- If a Service User accuses you or another member of Kemfa care Staff of theft, immediately inform the Care Manager who will visit the Service User to establish the facts to be able to support you.
- Should a member of Kemfa care Staff have any problems regarding finance, contact the Care Manager. Never try to deal with matters yourself, as this may put you at risk.
- Suspicions or problems should be raised with either the Service User Assessor or the Care Manager.

UNDER NO CIRCUMSTANCES SHOULD STAFF PUT THEMSELVES AT RISK WHEN COLLECTING CASH

Accepting Fees or Payment from Service Users and/or any Service User's Relative

Under no circumstances must any member of Kemfa care Staff accept fees or payment in money, gifts of any kind from Service Users and/or their family for doing additional work outside of the tasks stipulated in the Care Plan. Please take note of your Employment Contract.

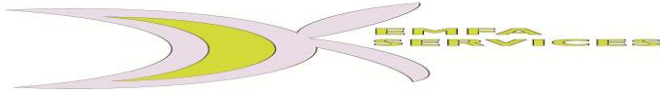
NON-ADHERENCE TO THE ABOVE WOULD BE CONSIDERED AS GROSS MISCONDUCT AND SUBJECT TO DISCIPLINARY ACTION AND POSSIBLE DISMISSAL BOUNDARIES

Friendships with Service Users

It is acknowledged that part of the success of Kemfa care Services is the positive relationship that develops between a Service User and Care Staff, however, this relationship should, at all times, be on a professional basis, where professional boundaries are set and maintained. Kemfa care Staff should remember that the relationship between Service User and carer is the result of the Service User being assessed as requiring a home care package. Kemfa care Staff must adhere to the time limits of their arranged authorised visits. There should be no occasions when a member of staff remains in a Service User's home for long extended periods without authorisation from the Kemfa care Management Team.

Personal visits to Service Users

- All visits to Service Users should be official as allocated under the formal Care Plan.
- Kemfa care Staff **must not** visit or have any personal contact with Service Users outside the stated support recorded in the Care Plan.



Personal Telephone Numbers

- **KEMFA CARE STAFF MUST NOT GIVE PERSONAL TELEPHONE NUMBERS, INCLUDING MOBILE NUMBERS TO SERVICE USERS.**
- If Kemfa care Staff receive telephone calls from Service Users on their personal number, this must be reported immediately to the Care Manager.

NON-ADHERENCE TO THE ABOVE WOULD BE CONSIDERED AS GROSS MISCONDUCT AND SUBJECT TO DISCIPLINARY ACTION AND POSSIBLE DISMISSAL

The Control of Service Users' Keys

- When it is necessary to obtain access to a Service User's home where a Service User is not able bodied, a key safe should be installed which should be arranged by the appointed Social Worker/Relative/Advocate. Kemfa care Limited can assist with this request should a Service User or their family need assistance.
- Kemfa care Staff must not enter the home of a Service User unless permission has already been obtained as noted on the Care Plan. This must be quite specific.
- Only in a case of emergency should a member of Kemfa care Staff have access to a Service User's keys, but authorisation must be obtained from the Care Manager.

Keys must not be tagged with the Service User's Address

CARE STAFF ARE STRICTLY NOT ALLOWED TO HOLD SERVICE USERS' KEYS

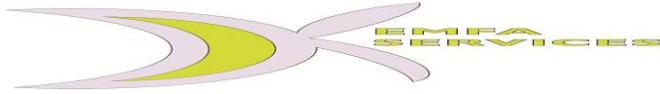
Entering a Service User's Home when they and/or their Family are not there

Should a Kemfa care Staff member enter a home and find the Service User absent, they must immediately leave the home, locking up securely, and then contacting the Care Manager straight-away to report the situation.

NON ADHERENCE TO THE ABOVE WOULD BE CONSIDERED GROSS MISCONDUCT AND SUBJECT TO DISCIPLINARY ACTION AND POSSIBLE DISMISSAL

Kemfa care Staff MUST NOT:

- undertake or offer to undertake, any personal tasks for the Service User that is not on the Care Plan, outside working hours;
- undertake to do any tasks either on the Care Plan or additional to the Care Plan in their own home, for example, taking a Service User's laundry home to wash and/or iron, supply meals etc. If asked by a Service User, this must be discussed with the Care Manager. If a specific request is suggested by the Service User, you must explain the Company's Policy,
- although in certain circumstances the Care Manager may be able to put forward a solution to be able to help.
- unless there are exceptional circumstances, Kemfa care Staff should not undertake additional work for the Service User in either working time or their own time that extends the tasks



identified in the Care Plan, for example, doubling time on the Care Plan for housework. It is recognised that on occasion it may be necessary to undertake additional tasks in an emergency situation. If any such occasion occurs, it must be reported immediately to the Care Manager for recording.

- **Taking Others to a Service User's Home**
- Kemfa care Staff **MUST NOT** take any unauthorised person, be it a member of their own family, adult, child or friend to the home of a Service User at any time
- Kemfa care Staff should not take a pet to the home of a Service User at any time.

- **Use of telephone**
- Kemfa care Staff **MUST NOT** use a Service User's telephone for personal calls.
 - Kemfa care Staff may be permitted to use a Service User's telephone after gaining their permission for urgent related work calls.

 - Kemfa care Staff may make urgent calls on behalf of the Service User to GPs, family etc, at the Service User's request.

 - Kemfa care Staff may make telephone calls if urgent assistance is required by the Service User.

- **Other Equipment**

- Under no circumstances must Kemfa care Staff use Service User's equipment such as washing machines, cookers, irons etc. for personal use.

- Under no circumstances must Kemfa care Staff store any personal belongings, including foodstuff, in the home of the Service User.

- Under no circumstances should Kemfa care Staff borrow or take out of the Service User's home any item of equipment (for example, vacuum, iron, cooking utensil) clothes, accessories or jewellery for themselves or for another person.
- Under no circumstances should Kemfa care Staff remove from the Service User's home any household item, for example, paper towels, cleaning materials, cloths etc. to be used in another Service User's home or for themselves or another.

- **This Company Policy must be strictly followed in order to safeguard both the Service User and care staff member**