

Finance Director**Department:** Administration**Reports To:** Executive Director**Supervises:** Quality Assurance Professional**FLSA Status:** Exempt, salaried**Work Schedule:** Full-time; standard office hours with additional hours during audits, tax season, and major financial events**On-Call Requirement:** N/A**Job Summary**

The Finance Director oversees the full financial operations of the agency, including accounting, financial reporting, expense management, accounts payable and accounts receivable, liability tracking, organizational payee accounts, individual tax filings, departmental budgeting, reserves, and cash-flow protection.

This role maintains and organizes all QuickBooks financial records (assets, liabilities, income, equity, and expenses), verifies projections and cash availability for budgeting decisions, manages agency payables and recurring obligations, ensures SSA Organizational Payee compliance, and supports leadership with accurate, timely financial information.

The Finance Director collaborates closely with the Executive Director, payroll administrator, department heads, and administrative staff. Financial records are considered critically important, and accuracy, timeliness, and compliance are non-negotiable performance expectations.

Role Authority & Decision Rights

Scope of Authority

The Finance Director is delegated authority to manage the agency's day-to-day financial operations within approved budgets, policies, and legal requirements. This authority exists to ensure timely financial execution, compliance, and protection of agency resources.

The Finance Director is an authorized party on all agency bank accounts and is entrusted with direct banking access as part of their role.

Independent Decision Authority

The Finance Director may independently:

- Process and issue routine agency payments and payables within approved budgets
- Reconcile accounts, manage financial records, and correct accounting errors
- Enforce receipt submission, documentation standards, and purchasing compliance
- Manage vendor relationships, billing timelines, and routine payment communications
- Maintain and administer financial systems, including QuickBooks, SetWorks financial components, PEX platforms, and the Budgeting shared Google Drive

- Determine appropriate financial coding, cost allocation, and expense categorization
- Implement standard financial controls and corrective actions consistent with policy
- Sign checks, initiate withdrawals, and make deposits on behalf of the agency within approved authority limits

Banking & Disbursement Authority

The Finance Director is authorized to:

- Sign agency checks
 - Initiate and process withdrawals
 - Make deposits into agency accounts
 - Execute routine banking transactions necessary for operations
- *Any single check exceeding \$10,000.00 requires prior approval from the Executive Director, regardless of purpose or funding source.*

Decisions Requiring Executive Director Approval

The Finance Director must obtain prior approval from the Executive Director for:

- Any check payment exceeding \$10,000.00
- Use of reserve funds or changes to reserve strategy
- Material changes to budget assumptions or projections
- New debt or refinancing
- Significant deviations from approved departmental budgets
- Changes that may affect payroll, benefits, insurance coverage, or agency solvency
- Responses to audits, investigations, or regulatory actions with potential agency impact

Advisory Role

The Finance Director is expected to proactively identify financial risks, constraints, and opportunities and present clear options, data, and recommendations to the Executive Director.

Final Authority

Final financial decision-making authority rests with the Executive Director. The Finance Director's role is to ensure decisions are informed, compliant, and executed accurately once approved.

SECTION I – CORE FINANCIAL OPERATIONS

1.1 Agency Financial Record Management

Role Focus: Maintain complete and accurate financial records and account structure in QuickBooks.

Responsibilities

- Maintain all account classifications inside QuickBooks, including:
 - Checking
 - Savings
 - Credit lines
 - Fixed assets
 - Liabilities
 - Payroll accounts
 - Equity accounts
- Enter and reconcile all financial transactions
- Perform bank reconciliations for all accounts on a monthly basis
- Maintain vendor profiles and categories
- Track all business loans and liabilities by owner and legal responsibility
- Ensure chart of accounts remains consistent and logical year to year
- Maintain accurate tracking of accounts payable and accounts receivable

Success Indicators

- QuickBooks is current and reconciled monthly
- Bank balances in QuickBooks match bank statements
- Accounts are categorized correctly and consistently
- Outstanding liabilities are accurate and updated regularly

1.2 Accounts Payable & Expense Management

Role Focus: Process and record all agency payments and expenses in a timely, accurate, and documented manner.

Responsibilities

- Pay all agency bills, mortgage and rent payments, utilities, subscriptions, insurance, and vendor invoices by their due dates.
- Ensure payment schedules avoid late fees, penalties, or service gaps.
- Maintain purchase approvals consistent with agency policy (e.g., pre-approval for larger purchases).
- Enter receipts submitted by departments weekly; no backlog is allowed to accumulate.
- Maintain clear records for each payment, including vendor, amount, purpose, and program/site.
- Notify the Executive Director of any unbudgeted, unusual, or potentially problematic financial liabilities.
- Collect and retain W-9 forms when required for vendors and contractors.

Success Indicators

- No late fees, disconnection notices, or service interruptions due to non-payment.
- Weekly receipt entry completed consistently.

- All payables are properly coded to accounts and departments.
- Expense documentation is complete and audit-ready.

1.3 Vendor Management & Purchasing Controls

Role Focus: Oversee fiscal controls and accountability for all agency purchasing activity.

Responsibilities

- Maintain documentation for each agency card holder, including card limits and permitted use/acknowledgement.
- Require receipts for all agency card purchases and ensure they are turned in promptly.
- Require pre-approval of large purchases
- Report missing documentation or repeated receipt non-compliance to Human Resources.
- Ensure all purchases are appropriate, necessary, and in line with budgeted spending.

Success Indicators

- Receipts received and processed weekly.
- Purchases align with budget limits and agency policy.
- Spending activity is fully documented and traceable.
- No unauthorized or unapproved spending patterns are left unaddressed.

1.4 Asset Management

Role Focus: Track durable property and capital-related financial records.

Responsibilities

- Maintain a list of capitalized assets, including purchase date, cost, and location.
- Record expense at purchase per CPA guidance.
- Document disposals, losses, transfers, or ownership changes for assets.

Success Indicators

- Asset list kept current and accurate.
- Depreciation schedules are correct and maintained year-to-year.
- Asset transfers, disposals, or write-offs are fully documented.

1.5 Tax Preparation Coordination (Agency-Level)

Role Focus: Prepare documentation required by the external CPA for annual tax filings.

Responsibilities

- Ensure QuickBooks is fully reconciled prior to year-end tax preparation.
- Provide CPA with documents via provided portal:
 - Complete payroll record
 - Asset and depreciation records

- Owner(s) health insurance cost
- Owner(s) retirement contributions
- All vehicle purchase documents
- All property purchase documents
- All non-profit donation receipts
- Any requested additional documentation
- Respond promptly to CPA questions to avoid delays.
- Maintain organized copies of all filed returns and supporting schedules.
- Record all Owner(s) Distributions accurately (separate from payroll expenses)

Success Indicators

- CPA receives complete, accurate documentation without multiple follow-up requests.
- Year-end filing process is completed on time.
- Agency remains in good standing with tax authorities.

SECTION II – BUDGETING, REPORTING & DEPARTMENT SUPPORT

2.1 Financial Reporting

Role Focus: Ensure leadership receives timely, accurate fiscal data for decision-making.

Responsibilities

Prepare and submit monthly financial reporting to the Executive Director (by the end of the month for the previous month) including:

- Balance Sheet with asset and liability detail.
- Profit & Loss (current month and year-to-date comparison).
- Cash-flow projections (forecast 30, 60, and 90 days).
- Budget vs. Actual summaries for key cost areas.

Success Indicators

- Monthly reports delivered on time
- Executive Director has clear, usable information for operational and strategic decisions.

2.2 Budget Framework Development (Agency-Level)

Role Focus: Provide financial projections and spending recommendations for both the agency as a whole and individual departments.

Responsibilities

- Build the agency-wide annual budget in partnership with the Executive Director.
- Identify areas where cost containment or reallocation may be needed.
- Provide leadership with scenarios (e.g., conservative, expected, and optimistic projections).

Success Indicators

- Annual budget completed and approved by Executive Director
- Budget assumptions are grounded in real data and reasonable forecasts.
- Leadership receives clear options and recommendations prior to major decisions.

2.3 Annual Department Budget Development

Role Focus: Guide every Department Head in the creation of an annual operating budget that is realistic, data-driven, and aligned with agency resources.

Responsibilities

- Work individually with each Department Head to build their annual spending plan.
- Consolidate departmental budgets into a full agency draft budget for Executive Director review.
- Incorporate revisions as directed and support the Executive Director in finalizing the budget.

Success Indicators

- Annual departmental budgets submitted by agency deadlines.
- Final budget reflects real operational needs and constraints.
- Department heads understand and can explain their budgets.

2.4 Department-Level Budget Collaboration (Quarterly)

Role Focus: Meet with each Department Head quarterly to review spending performance, plan for upcoming needs, and ensure accountability to approved budgets.

Responsibilities

- Meet **in person** with each Department Head once per quarter to review:
 - Year-to-date spending
 - Variances from approved budget
 - Forecasted needs and operational priorities
 - Corrective plans when budgets are exceeded or at risk
- Verify department records and spending align with approved budgets and financial policy.
- Document quarterly budget meetings and maintain a record of outcomes, action items, and follow-up timelines.
- Provide a summary of each department's status to the Executive Director after quarterly meetings are completed.

Success Indicators

- Quarterly in-person meetings completed for every department.
- Budget status documented for each department with clear next steps.
- Variances are identified early with corrective strategies in place.

- Department leaders are supported in understanding and managing their budgets.

2.5 Financial Training & Policy Development

Role Focus: Provide financial education and procedural clarity to management-level employees and support the development of policies involving fiscal accountability and compliance.

Responsibilities

- Develop and deliver scheduled training for:
 - ISL Managers
 - Department Heads
 - Administrative employees
- Provide training on core financial processes including:
 - ISL budget construction and spending expectations
 - Receipt documentation, tracking, and submission
 - Allowable vs. non-allowable purchases
 - Department-specific budget thresholds and approval processes
 - Vendor payment and reimbursement procedures
- Create training materials such as handouts, guides, and reference sheets that staff can revisit later.
 - Use Scribe to create step-by-step documented processes for training and reference purposes
- Assist the Executive Director in drafting or updating policies and procedures involving:
 - Financial documentation requirements
 - Spending approvals
 - Payment timelines
 - Budget submission expectations
 - Audit and compliance standards
- Revise training content as systems or requirements change (e.g., new software, new regulations).

Success Indicators

- Trainings are provided at least quarterly or as needed.
- Staff demonstrate improved understanding of financial expectations.
- Financial policies are clear, accessible, and aligned with practice.
- The volume of preventable financial errors decreases over time.

2.6 Cost Tracking & Coding

Role Focus: Ensure financial transparency by accurately coding expenses to cost centers and categories.

Responsibilities

- Maintain separate tracking for key cost areas, such as:
 - House-specific expenses
 - Training expenses
 - Administrative costs
 - Vehicle expenses
 - Program-specific costs
- Ensure expenses are coded accurately at time of entry into QuickBooks.
- Maintain year-to-date totals for each major cost bucket for leadership review.

Success Indicators

- Spending trends are readily available by service site and by category.
- Budget variances can be quickly identified and explained.
- Reports support strategic and compliance needs.

2.7 ISL Variance Billing Submission & Compliance

Role Focus: Ensure DMH-required ISL variance documentation is completed and submitted on time so the agency can receive correct payment for ISL staffing authorizations.

Responsibilities

- Complete the DMH-required ISL Variance form for all newly implemented ISL staffing authorizations or significant changes.
- Submit each variance request within the DMH-required timeline to prevent loss of payment or delayed reimbursement.
- Variances must be submitted within 30 days of the individual's implementation date.
 - Example: If the plan implementation date is February 1, 2026, the variance must be submitted no later than March 31, 2026.
- Ensure variance requests include:
 - Authorized staffing hours and patterns
 - Rate structure and cost calculation
 - Correct plan start date
 - Vendor and provider information
 - Any required supporting documentation
- Maintain a tracking system that includes:
 - Individual's name
 - Plan implementation date
 - Variance due date
 - Date variance was submitted
 - Date approval/payment is confirmed
- Follow up with DMH regional staff as needed if variance approval or confirmation of payment is delayed.
- Notify the Executive Director immediately if a variance is rejected, needs correction, or is at risk of being late.

- Maintain documentation confirming approval so staffing hours are billable without interruption.

Success Indicators

- Variances submitted within the 30-day deadline, without exception.
- No loss of authorized funding occurs due to late or missing variance submissions.
- Staffing hours are fully reflected in reimbursement.
- Tracking log remains current and accurate for all ISL variances.

2.8 DMH Authorizations & Billing

Role Focus: Protect reimbursement by ensuring active, aligned authorizations exist and billing is submitted accurately and on time.

Responsibilities

- Monitor DMH service authorizations for all individuals served
- Review UR approvals and denials as they are received
- Update Setworks authorizations promptly to reflect:
 - service codes
 - authorized units
 - start and end dates
- Confirm documentation and units exist before billing occurs
- Complete all monthly billing by DMH submission deadlines
- Follow up with DMH when approvals are pending or unclear
- Notify Executive Director immediately when:
 - units are reduced
 - denials occur

Success Indicators

- No preventable revenue is lost due to expired authorizations
- Setworks authorizations match current UR records
- DMH billing submitted every period on time
- Staff documentation matches billable unit availability

SECTION III – CASH FLOW, RESERVES & PRIORITY PAYMENTS

3.1 Payroll Cost Coordination

Role Focus: Serve as the financial liaison for payroll-related costs while protecting payroll funds as the highest priority.

Responsibilities

- Verify that payroll deductions (insurance, benefits, garnishments, etc.) align with agency invoices

- Confirm available cash to cover full payroll and payroll tax obligations before each pay date.
- Immediately notify the Executive Director of any concern or risk related to meeting payroll or payroll tax deadlines.

Success Indicators

- Payroll processed accurately and on time for every pay period.
- No bounced payroll, delayed payroll, or missed payroll tax deadlines.
- Payroll cost projections support informed budgeting and staffing decisions.

3.2 Agency Reserve Fund Oversight

Role Focus: Maintain and grow agency cash reserves to support continuity and financial stability during unexpected events or reduced revenue.

Responsibilities

- Maintain a designated reserve fund with a long-term target of \$1,000,000.00, representing approximately two months of operating expenses.
- Track reserve fund balance monthly and report it during financial reviews with the Executive Director.
- Identify when reserve levels fall below the target threshold.
- Develop and implement a replenishment plan when reserves are used, with the goal of restoring reserve funds as soon as reasonably possible.
- Recommend temporary spending reductions, delays in non-essential purchases, or other strategies to protect reserve levels.
- Protect reserve accounts from being used for:
 - Routine operational spending
 - Unapproved projects
 - Non-emergency uses when other solutions are available
- Document all withdrawals from reserve accounts, including:
 - Date
 - Amount
 - Purpose
 - Plan for replenishment

Success Indicators

- Reserve levels are monitored monthly and clearly reported.
- When reserves are accessed, a replenishment plan is documented and initiated.
- No preventable operational disruptions occur due to lack of available cash.
- Reserve funds remain intact except for clearly documented and approved uses.

3.3 Expense Prioritization & Financial Safeguard Sequencing

Role Focus: Ensure that critical expenses are protected and sequenced correctly during periods of limited cash flow, preventing disruption to employment, coverage, and core operations.

Responsibilities

- Treat payroll and payroll taxes as the highest, non-negotiable financial priority under all circumstances.
- Ensure payroll funds are never:
 - Borrowed from
 - Redirected for other purposes
 - Used for non-payroll obligations
- Ensure payroll taxes and required contributions are paid accurately and on time.
- When cash or reserves are limited, prioritize payments in this order:
 1. Payroll and payroll taxes
 2. Rent and mortgage obligations tied to active service locations
 3. Health insurance premiums
 4. Worker's compensation premiums
 5. General liability and commercial insurance premiums
- Notify the Executive Director immediately if there is any projected inability to meet these priority expenses.
- Recommend deferral or restructuring of non-priority spending (e.g., elective purchases, non-urgent projects) before priority obligations are impacted.
- Communicate proactively with landlords, insurers, and other critical vendors when timing issues arise.

Success Indicators

- Payroll is issued accurately and on schedule with zero interruptions.
- Payroll tax deadlines are met; no penalties or late notices occur.
- Insurance coverage and housing for service locations remain active and uninterrupted.
- Any short-term financial strain is managed without compromising essential obligations.

3.4 Vendor Communication During Financial Constraints

Role Focus: Maintain transparent, professional, and proactive communication with vendors, creditors, insurers, and service providers when full payments cannot be made on time.

Responsibilities

- Communicate promptly with vendors when the agency is unable to pay an invoice in full or must delay payment.
- Provide vendors with:
 - Notice of delayed payment

- Expected payment date(s)
 - Any partial payment amounts that can be made
- Ensure no vendor, landlord, service provider, or insurer is left without communication regarding delayed or partial payment.
- Maintain documentation of all communication (emails, letters, call notes) and payment arrangements.
- Respond to vendor inquiries within a reasonable timeframe (e.g., within 48 business hours).
- Notify the Executive Director immediately if:
 - A vendor refuses proposed payment terms
 - A service is at risk of suspension or cancellation
 - New deadlines or demands are issued by a creditor or vendor

Success Indicators

- Vendors confirm understanding of the situation rather than reporting a lack of communication.
- No service interruptions occur due to poor communication (as opposed to financial reality).
- Payment arrangements are documented and honored as agreed.
- Vendor relationships remain professional and stable, even during financial strain.

SECTION IV – INDIVIDUAL & RESIDENTIAL FINANCIAL MANAGEMENT

Supervisory Responsibility – Delegated Financial Ledger Tasks

The Finance Director may delegate ledger entry and documentation tasks to the Quality Assurance Professional (QAP). Delegation does not transfer accountability.

The Finance Director is responsible for:

- Ensuring the QAP is trained and compliant
- Reviewing work for accuracy and regulatory adherence
- Correcting errors and systemic issues
- Maintaining audit readiness at all times

4.1 SSA Payee Account Management & Compliance

Role Focus: Maintain fully compliant Organizational Payee records in alignment with SSA regulations and ensure individuals have access, autonomy, and appropriate use of their personal funds.

Responsibilities

- Maintain separate, accurate QuickBooks tracking for every SSA Organizational Payee account.
- Ensure each individual's account has active financial access tools, including:
 - A dedicated debit card

- A dedicated checkbook
- Reconcile each payee account monthly, including all:
 - Deposits
 - Purchases
 - Withdrawals
 - Savings balances
- Ensure every financial transaction for individuals receiving SSA payee services is recorded with:
 - Receipt documentation
 - Vendor name
 - Amount and date
 - Description or purpose
- Monitor balances to ensure funds are being used for the benefit of the individual, not unnecessarily stockpiled.
- Support individuals' autonomy by assisting them, at their request, in spending down excess balances on:
 - Personal items and preferences
 - Leisure activities or outings
 - Clothing and home needs
- Ensure purchases are made directly from the individual's account whenever possible, rather than reimbursing the agency afterward.
- Limit transfers from an individual's payee account to reimburse the agency to situations where:
 - A direct purchase option was not available
 - A shared item required later allocation
 - An immediate need required temporary agency payment
- Respond to all SSA Organizational Payee Review forms and return them by required deadlines.
- Maintain readiness for SSA audits and reviews with organized, accessible documentation.
- Communicate required changes to SSA, including:
 - Change of address
 - Death of the individual
 - Other status changes affecting benefits, as required

Success Indicators

- All SSA Payee accounts reconciled monthly without exception.
- Payee Review forms submitted completely and on time.
- Individuals access their funds freely and without unnecessary restriction.
- Purchases are made directly from individual accounts whenever feasible.
- SSA audits or reviews do not result in negative findings or corrective actions.

4.2 Monthly Personal Spending Reports for Individuals

Role Focus: Provide financial transparency regarding individual expenditures to legal guardians.

Responsibilities

- Download monthly finance reports from SetWorks
- Send reports to guardians no later than the last business day of the following month (e.g., January's report sent by the last business day of February).
- Respond to guardian questions or clarification requests related to spending within a reasonable timeframe.
- Correct any identified accounting errors and issue updated statements if necessary.

Success Indicators

- Monthly spending reports are sent on time, without exception.
- Accounting errors are rare and corrected promptly.

4.3 Individual Tax Filing & Return Processing

Role Focus: Ensure accurate filing of taxes for individuals who are responsible for their own finances (no legal guardian), and ensure tax refunds are used appropriately for their benefit.

Responsibilities

- Determine which individuals require personal tax filing based on income, benefits, or SSA/IRS requirements.
- Prepare and submit individual tax filings on or before annual deadlines.
- Maintain organized tax records for each individual, including:
 - Filed returns
 - IRS or state correspondence
 - Prior-year filings
 - Any documentation used in the return
- Review whether a filing will result in a refund or liability and plan accordingly.
- Deposit any approved tax refunds into the individual's personal spending account when:
 - There are no outstanding obligations that would cause financial hardship
 - The refund will not cause the individual to exceed resource limits and risk benefit loss
- Assist individuals, when appropriate, in understanding or planning how they wish to use their refunds.
- Ensure any refund spending reflects the individual's preferences and benefits them directly.
- File the Missouri Renters Rebate by April 1 each year for all individuals for whom the agency serves as SSA payee

Success Indicators

- Eligible individuals have returns filed accurately and on time.
- Refunds are deposited promptly into the correct accounts and fully documented.
- No individuals incur preventable penalties or liabilities due to missed filing.
- Tax filings do not inadvertently jeopardize benefits due to resource limit issues.

4.4 Individual Christmas Gift Funding & Coordination

Role Focus: Ensure every individual supported by the agency receives Christmas gifts annually, using their available personal funds or coordinating agency funds when none exist.

Responsibilities

- Verify each individual has available money for Christmas purchases no later than the first week of November.
- Contact external representative payees to request holiday spending funds when the individual does not have direct access.
- Utilize the individual's SSA payee account, savings, or personal discretionary funds as the first source of Christmas spending.
- If an individual has no payee funds, no personal funds, and no access to funds of any kind, allocate:
 - \$150 from agency revenue per individual for gifts.
- Maintain receipts for all purchases and categorize spending accurately.
- Submit all purchase receipts to the Office Manager to confirm:
 - The item was purchased
 - The item was received
 - Gifts were wrapped
 - Gifts were distributed to the individual

Success Indicators

- Every individual receives Christmas gifts annually, without exception.
- All purchases are completed by the December 1 deadline.
- Funds used and sources (personal vs. agency revenue) are fully documented.
- Office Manager can verify that each gift was received, wrapped, and delivered.

4.5 Room & Board Ledger Management

Role Focus: Maintain accurate room and board financial ledgers for each applicable household and ensure all allowable expenses are accounted for and properly documented.

Responsibilities

- Maintain separate room and board ledgers for each ISL/home.
- Update ledgers in real time or at least weekly with new transactions.
- Reconcile each room and board ledger at the end of every month.
- Maintain receipts and supporting documentation for all room and board expenses, including:

- Monthly rent amounts
- Utilities (electric, gas, water, trash, internet, etc.)
- Grocery purchases
- Household supplies
- Cleaning materials
- Kitchen items
- Household equipment or appliance replacements related to shared living space
- Ensure all ledger entries are categorized clearly by:
 - Date
 - Vendor
 - Amount
 - Purpose/description
- Confirm ledgers reflect actual household occupancy during the billing period.
- Report discrepancies or concerns (e.g., missing receipts, unusual patterns) immediately to the Executive Director and correct ledger entries when errors are identified.
- Maintain records in an audit-ready format for:
 - State agencies
 - Guardians
 - Case managers
 - Licensing or auditing entities

Success Indicators

- Room and board ledgers are reconciled accurately at the end of each month.
- Receipts fully match ledger entries with clear detail.
- No unverified or undocumented room and board charges are present.
- Ledgers clearly demonstrate compliance with residential billing requirements.

4.6 PEX Card Management

Role Focus: Maintain accurate financial access for individuals through PEX cards and ensure appropriate balances are available without interruption.

Responsibilities

- Maintain active PEX cards for all individuals authorized to use agency-supported spending cards.
- Issue new PEX cards when individuals enter services, start employment, or require card access.
- Terminate PEX cards promptly when:
 - An individual's services end
 - A staff member or role no longer requires card access
 - A card is lost, compromised, or inappropriate for continued use

- Ensure PEX account balances are sufficient to fund individuals' needs without delay for:
 - Groceries
 - Personal items
 - Community outings
 - Clothing
 - Medication copays
 - Activity or work-related purchases
- Review PEX activity regularly to ensure:
 - Purchases reflect the needs and preferences of the individual
 - Transactions are appropriate and within policy
- Reconcile PEX transactions monthly and align spending information with:
 - Room & board ledgers
 - SSA Payee accounts
 - Personal spending logs
- Maintain supporting documentation for all PEX purchases, including receipts, notes, and balance/top-up records.

Success Indicators

- Cards are issued, adjusted, and terminated accurately and in a timely manner.
- No gaps in individuals' ability to purchase essential items due to insufficient card balances.
- Monthly PEX reconciliations match receipts and ledgers.
- Documentation is complete and available for review.

SECTION V – EVENTS & SPECIAL FISCAL RESPONSIBILITIES

5.1 Christmas Party Fiscal Coordination

Role Focus: Manage all financial activity related to the annual agency Christmas Party, ensuring accurate distribution, compliance, and timely purchasing.

Responsibilities

- Withdraw required cash amounts for staff giveaways, prizes, or drawings per Executive Director approval.
- Ensure perfect attendance checks are:
 - Correctly calculated
 - Generated in advance
 - Printed, signed, and placed in labeled envelopes for distribution at the event
- Work jointly with the Director of Culture & Experience on all spending decisions, including:
 - Food, vendors, decorators, and venue expenses
 - Cash awards and employee prizes
 - Contest and raffle amounts

- Purchase approved items using company card or agency accounts.
- Issue vendor payments and deposits as needed.
- Collect all receipts associated with Christmas Party expenditures.
- Enter receipts into the financial system promptly and categorize accurately.
- Notify leadership of any budget concerns, overruns, or changes to projected expenses.
- Maintain a full record of all disbursements tied to the event for year-end documentation and 1099 reporting as applicable.

Success Indicators

- Cash awards and checks are available at the start of the party.
- Perfect attendance checks are accurate, labeled, and distributed correctly.
- All receipts are submitted and entered within one business week after the event.
- Christmas Party spending stays within the approved budget or variances are documented and approved.

SECTION VI – COMPLIANCE, CONTROLS & HR COLLABORATION

6.1 Internal Controls & Compliance

Role Focus: Protect agency resources and ensure financial systems are audit-ready.

Responsibilities

- Maintain secure record-keeping and electronic documentation for all financial activity.
- Ensure internal approval processes are followed for spending, reimbursements, and obligations.
- Report any financial irregularities, suspected fraud, or major discrepancies immediately to the Executive Director.
- Prepare financial documentation for audits, state reviews, and licensure as needed.

Success Indicators

- Records are consistently audit-ready.
- No unresolved or unexplained financial discrepancies.
- Internal controls are followed and reinforced across the agency.

6.2 Accountability, Follow-Through & HR Collaboration

Role Focus: Ensure fiscal procedures and expectations are followed, and collaborate with HR when they are not.

Responsibilities

- Monitor ongoing compliance with financial expectations, including:
 - On-time receipt submission
 - Use of approved vendors and purchasing channels

- Adherence to budgets and spending limits
- Notify the Executive Director when managers or staff repeatedly:
 - Fail to submit receipts
 - Make unauthorized or unapproved purchases
 - Exceed budget limits without communication
 - Ignore established financial procedures
- Collaborate with Human Resources to document performance concerns related to financial non-compliance.
- Provide clear documentation, timelines, and evidence to support HR interventions.
- Participate in corrective meetings or conversations with department leaders when requested.

Success Indicators

- Evidence-based documentation is available when HR intervention is required.
- Financial procedures are followed consistently agency-wide.
- Repeat financial non-compliance is reduced over time.

Employee Signature: _____ Date: _____

Employee Name: _____

Human Resources: _____ Date: _____