

**COMPETENCY MODEL FOR  
DEFINED CONTRIBUTION PLAN MANAGER  
CLASS CODE (9152)**

The following competencies have been identified as those that best separate superior from satisfactory job performance in the class of Defined Contribution Plan Manager (Numbers refer to the order of the competencies in the Competency Bank.)

- 3. Judgment and Decision Making
- 4. Analytical Ability
- 17. Innovation
- 20. Job Knowledge
- 33. Interpersonal Skills
- 40. Credibility
- 45. Oral Communication
- 47. Written Communication
- 49. Project Management
- 59. Strategic Planning

On the following pages are descriptions of each competency, including a definition, the level of the competency required for the class (*italicized, bolded, and underlined*), examples of behavioral indicators, and satisfactory and superior performance levels.

**3. JUDGMENT AND DECISION MAKING** – Accurately assesses situations, seeks new information if necessary, and applies all available information to reach sound conclusions/formulate effective response.

Level of Competency Required by Job:

- Level 1: Training and guidelines needed to respond to immediate situations within very specific function are provided (or supervisor available to assist).
- Level 2: General information and guidance to assist in responding to a variety of situations across a range of circumstances are provided.
- Level 3: **Little guidance available for responding to a wide range of complex situations with far-reaching and/or enduring consequences.**

Examples of Behavioral Indicators:

- Effectively responds to atypical situations.
- Asks questions or otherwise obtains additional relevant information to make a decision.
- Formulates a decision and necessary actions based on available facts.
- Correctly infers appropriate response based on information provided and existing policies, personal experience, and/or consultation with others.
- Discusses conclusions/possible responses with others before taking action as necessary.
- Considers impact of decisions on all affected parties.

Performance Levels:

Satisfactory

Correctly assesses routine and unusual situations and reaches appropriate conclusions for actions needed. Obtains additional information and/or consults with others as necessary.

Superior

Evaluates new situations accurately to establish an appropriate response or plan of action. Recognizes the impact on all affected parties, as well as the possible ramifications and/or repercussions of setting a precedent.

**4. ANALYTICAL ABILITY** – Identifies, obtains, and evaluates relevant information to establish relationships or patterns, cite causes, and reach logical conclusions.

Level of Competency Required by Job:

- Level 1: Recognize similarities/differences in current situation to those previously encountered and is guided accordingly. Apply existing policies correctly. Ask pertinent questions or otherwise seek additional information to formulate appropriate response.
- Level 2: Consider multiple, varied factors when evaluating a situation or issue. Seek additional information to provide further insight. Reach conclusions that logically follow from the information obtained.
- Level 3: **Consider a multitude of diverse factors, their interrelationships, the perspectives of others, alternative courses of action and their likely ramifications when evaluating information to reach a conclusion.**

Examples of Behavioral Indicators:

- Obtains the necessary amount of relevant information.
- Recognizes the impact of each type of information on conclusions.
- Evaluates the quality/source of information when considering it.
- States the shortcomings of the information and, therefore, the analysis.

Performance Levels:

Satisfactory

Recognizes available relevant information, seeks additional information to consider, and reaches a conclusion. Provides sound, convincing justification for conclusions, citing relevant data and facts.

Superior

Uses a great deal of existing and obtained information and data to develop and evaluate alternatives and arrive at a final conclusion. Provides compelling arguments in support of conclusions.

**17. INNOVATION** – Seeks out and/or develops drastically different work products or ways of doing work in order to improve services and/or increase productivity.

Level of Competency Required by Job:

- Level 1: Identify different means of doing work or suggest changes in work product that significantly improve productivity, work product, or service provided.
- Level 2: Re-engineer processes and practices to increase efficiency and/or productivity and/or to improve work product or service.
- Level 3: **Re-conceptualize purpose of function and/or how to achieve it in a way that improves efficiency and effectiveness.**

Examples of Behavioral Indicators:

- Notes inefficiencies/unnecessary steps in work processes for elimination.
- Suggests different, more expedient means of doing work.
- Conducts thorough review of work practices to identify possible points of increased efficiency in work flow and/or product/service quality.
- Identifies opportunities to increase breadth or depth of impact.
- Determines/implements novel means of accomplishing work.
- Reconfigures existing resources to improve work flow, work product, or service.

Performance Levels:

Satisfactory

Maintains constant awareness of ways to improve quantity and quality of work. Identifies and is willing to suggest changes no matter how radical a departure from current practice.

Superior

Deliberately seeks out or develops new and improved ways of doing work and/or alteration of/addition to current work product or service to vastly improve organizational performance and the “bottom line.”

**20. JOB KNOWLEDGE** – Knows information required to perform a specific job. Includes both widely available courses of study (for example, chemistry, human resources management, graphic arts) and City-specific information (parking regulation and ticketing practices; purchasing procedures; provisions of the City Charter).

Level of Competency Required by Job:

- Level 1: Knowledge is concrete, factual, and/or procedural and may be defined by the organization. Situations in which it is applied are quite consistent.
- Level 2: Knowledge is substantive and may be defined by an external trade, field, or profession. Situations in which it is applied vary and, as such, require breadth and depth of understanding.
- Level 3: **Knowledge is abstract, conceptual, and/or complex and may be supported by a well-defined academic discipline or authoritative sources (e.g., laws, ordinances, government guidelines/regulations/ codes). Situations in which it is applied may vary greatly or be novel.**

Examples of Behavioral Indicators:

- Performs work correctly/avoids technical (job content related) errors.
- Answers technical questions about work accurately.
- Asks few technical questions about the performance of routine work activities.
- Offers advice (“coaching”) to new employees regarding their work.
- Develops training programs for other employees.
- Sought out as a source of information by others.

Performance Levels:

Satisfactory

Sufficient job knowledge to perform work correctly independently. Answers technical questions about work correctly.

Superior

Expertise in technical job information sufficient to serve as a resource to others. May develop training manuals/ programs and/or give internal and/or external presentations related to work.

## JOB KNOWLEDGE AREAS

Knowledge of administration processes related to defined contribution plans based on federal law and regulation sufficient to administer benefits to City employees, their beneficiaries and their dependents.

Knowledge of governmental competitive procurement processes and contracting including those related to administrative services, investment management services, auditing, and consulting service provider relationships.

Knowledge of the processes and requirements for overseeing and managing the provision of participant services through contracted Third-Party Administrator relationships, including program recordkeeping, participant support, tax reporting, engagement, education, communications, and related services.

Knowledge of principles and practices of investment analysis, including portfolio management analysis, sufficient to ensure defined contribution plan participants have a broadly diversified menu of investment offerings and those offerings are selected and monitored appropriately consistent with applicable law, regulation, and best practices.

Knowledge of accounting and budgetary administration principles, practices, and procedures, such as revenue and expenditure analyses, the use of financial and accounting documents, and subjects of external audits and/or disclosure requirements, sufficient to ensure compliance with best practices for fiscal management and applicable federal or state rules and regulations.

Knowledge of program features, services, and trends applicable to retirement and defined contribution programs, including optional features permissible under Federal law as well as industry provider products and services.

Knowledge of legislative and regulatory requirements associated with defined contribution plans, including the development, monitoring, and refinement of plan documents, investment policy statements, and general codification of program policies related to various administrative processes.

### 33. INTERPERSONAL SKILLS – Interacts effectively and courteously with others.

#### Level of Competency Required by Job:

- Level 1: Interact with members of the workgroup, supervision, and/or the public in a cordial, service-oriented manner.
- Level 2: Interact across department lines and with appointed City officials, and/or members of the public, at times under adversarial circumstances, in a cordial, respectful manner.
- Level 3: **Interact with appointed and elected City officials, department heads, representatives of external organizations, and/or the media in a cordial, effective manner.**

#### Examples of Behavioral Indicators:

- Works well with others toward mutual objectives.
- Does not arouse hostility in others.
- “Disagrees without being disagreeable.”
- Elicits acceptance/cooperation from others.
- Affords all individuals respect, regardless of their role or status.
- Effectively addresses concerns of politicians or others who may have their “own agenda.”

#### Performance Levels:

##### Satisfactory

Behaves in a courteous, respectful, cooperative manner toward co-workers, other City employees, and members of the public.

##### Superior

Facilitates positive interpersonal relations within/among workgroups and toward members of the public. Adept at finding similarities and grounds for cooperation/mutual benefit.

**40. CREDIBILITY** – Is truthful and sincere; objectively and clearly provides all pertinent information rather than being vague, omitting negative information or only stating what listeners “want to hear.”

Level of Competency Required by Job:

- Level 1: Freely and openly share accurate job-related information with co-workers.
- Level 2: Provide complete, accurate information to other City employees and members of the public.
- Level 3: **Represent department to the Mayors’ Office, City Council, City Commissions, and/or department heads, and/or to external organizations, professional associations, and/or the media.**

Examples of Behavioral Indicators:

- Admits mistakes.
- Information provided is consistent (not contradictory or stating different things to different people).
- Answers questions directly and thoroughly.
- Shares credit for achievements.
- Acts in the best interest of the organization, not self interest.

Performance Levels:

Satisfactory

“Tells the complete story” from the onset. Is forthcoming with full information when questioned. Statements are consistent. Readily admits mistakes and gives credit to others.

Superior

Information provided is complete and accurate, and includes any negative information or information contrary to self interest. Does not attempt to be vague or put a “spin” on negative information to make it appear more positive.



**45. ORAL COMMUNICATION** – Communicates orally in a clear, concise, and effective manner.

Level of Competency Required by Job:

- Level 1: Exchange specific, job-related information orally with others in the immediate work environment or via telephone and/or radio.
- Level 2: Obtain/provide/present general and/or job-specific information orally to a variety of others in various situations.
- Level 3: **Obtain/provide/present a diverse array of information orally at varying levels of complexity to a wide range of others across many different situations and circumstances.**

Examples of Behavioral Indicators:

- Audience clearly understands the intended message.
- Rarely must repeat information in response to questions.
- Refrains from use of unnecessary words, phrases, or jargon.
- Provides a level of detail appropriate to the situation (avoids too much or too little detail).
- Speaks at a level appropriate to the audience in terms of terminology, sentence structure, and simplicity/complexity of ideas expressed.
- Uses words with precision (vocabulary) to convey exact information.

Performance Levels:

Satisfactory

Speaks clearly and audibly, providing the appropriate information and level of detail. Typically conveys the message on the first attempt. Answers questions accurately and directly.

Superior

Speech is direct and to the point. Speaks convincingly and with authority when appropriate. Maintains sensitivity to the audience while providing thorough information with the appropriate level of detail through the use of precise language.

## 47. WRITTEN COMMUNICATION – Communicates effectively in writing.

### Level of Competency Required by Job:

- Level 1: Write notes/e-mails. Completes forms with some open-ended responses (sentences).
- Level 2: Write letters, articles/reports, and/or detailed descriptions of activities/occurrences.
- Level 3: **Write lengthy reports, instruction manuals, in-depth analyses/reviews of complex issues and/or articles for publication. Reviews the written work of others.**

### Examples of Behavioral Indicators:

- Writing includes the necessary information to convey the intended message.
- Sufficiently few errors in spelling, punctuation, grammar to not interfere with the intended message or distract the reader.
- Little editing or re-writing needed to produce a final product.
- Composes materials efficiently.
- Information is presented in a well organized manner.
- Tone and degree of formality are appropriate to the purpose and audience.

### Performance Levels:

#### Satisfactory

Writes material that clearly communicates the necessary information; needs little editing.

#### Superior

Precisely uses words and organizes information in a way that enhances presentation of the message. Virtually no editing needed.

**49. PROJECT MANAGEMENT** – Anticipates and plans for all aspects of a multi-faceted, discrete endeavor to ensure resources are available and actions are taken at proper times for successful completion.

Level of Competency Required by Job:

- Level 1: Plan, coordinate, and oversee accomplishment of multi-step projects involving other employees.
- Level 2: Design, plan, coordinate, and manage large, multi-faceted projects involving employees from various segments of the organization representing different perspectives.
- Level 3: **Design, plan, secure approval and resources, and manages large-scale, complex projects involving many employees representing a large number of diverse segments of the organization and perspectives, which may at times be in conflict.**

Examples of Behavioral Indicators:

- Establishes project plans that gain management acceptance.
- Establishes realistic timeline and estimates of resources needed.
- Assembles appropriate team with complementary skills to efficiently execute all portions of a project.
- Secures necessary resources for successful project completion.
- Clearly designates roles/responsibilities/accountability.
- Addresses failure to perform or other problems in a timely and effective manner to minimize negative impact.

Performance Levels:

Satisfactory

Establishes acceptable project plan; assembles team with required skills; establishes personal responsibility/accountability. Ensures the necessary time and resources are available.

Superior

Designs efficient project plan to maximize benefits and minimize use of resources. Designates precise mix of people to best accomplish the project. Completes on time, with resources allocated.

**59. STRATEGIC PLANNING** – Establishes plans in a way that will achieve vision for the future.

Level of Competency Required by Job:

- Level 1: Recognizes that no work organization is static, so identifies how an improved organization would function and develops plans to create such an organization.
- Level 2: Considers factors in the external environment, best practices, and internal organizational factors to develop a vision for the future; identifies feasible changes/innovations in support of the vision.
- Level 3: **Considers social, economic, legal, and political trends and the “big picture” of the organization to establish a vision for its effective operation in the world of the future.**

Examples of Behavioral Indicators:

- Establishes and keeps up-to-date a “strategic plan.”
- Articulates how current trends and anticipated future events are expected to impact the organization.
- Identifies actions the organization can take to accommodate or leverage trends and future events.
- Recognizes that evolution/change will occur, and without an attempt to manage it, that it is unlikely to be in the best interest of the organization.
- Accepts that even when many factors are unknown or their certainty is questionable, that which is known with any degree of certainty can be effectively used to formulate plans.

Performance Levels:

Satisfactory

Considers the future when establishing current day-to-day operational practices. Envisions an improved organization and identifies specific actions to help create it.

Superior

Understands that the larger environment in which the organization exists is influenced by and influences the organization. Notwithstanding uncertainties, formulates a vision and plans to achieve it.

