

## Banking Executive Competency Profile

**Description of Work:** Position serves as the Chief Banking Officer for the State of North Carolina. This role administers and manages the business and financial affairs for centralized banking services for all State Agencies, institutions, community colleges, and local school units. Responsibilities include providing executive oversight over two separate units within the banking section: Specialized Banking Services Unit and the Disbursement Account Services Unit. The Specialized Banking Unit collects revenues either over the counter or electronically through various banks and saving institutions and deposits them into a central account so funds are available for either disbursement or investment. The Disbursement Account Services unit processes electronic warrants through commercial banks to the Federal Reserve Bank (FRB) in Charlotte. This function includes processing exemptions, fraud items, positive pay programs, providing online banking and customer service. Typical duties include, but are not limited to providing long range and strategic planning, financial accountability, human resources management and managing work processes.

Competency	Definition
<b>Professional Knowledge</b>	Considerable knowledge of banking theory, techniques, practices and procedures, and skills needed to apply this knowledge to bring about desired outcomes. A general knowledge of state and federal banking rules and regulations and a general knowledge of agency practices, procedures and principles.
<b>Planning and Organizing Work</b>	Develops plans to accomplish short and long-range goals and objectives for Banking Operations under the NC Department of State Treasurer's Mission and Vision Statements; monitors and adjusts plans; designs and implements new programs; assesses continuing validity of goals and objectives and need for new goals and objectives.
<b>Program Management</b>	Directs staff to achievement of goals and objectives. Focuses human and material resources to achieve such goals and objectives efficiently and effectively.
<b>Strategic Planning</b>	Establishes and commits to a course of action in order to accomplish long-range goals and vision of State Banking Operations. Conducts ongoing review of Mission and Vision Statements and proposes alterations as necessary.
<b>Human Resources Management</b>	Oversees recruitment, selection, development, coaching, counseling, disciplining and evaluation of employees. Promotes a diverse workforce. Administers and ensures compliance with human resources policies and procedures. Aligns human resources with achievement of goals and objectives.
<b>Career and/or Talent Development</b>	Plans and supports the development of staff using a competency based system. Ensures that all staff is properly trained.
<b>Business Administration</b>	Evaluates and allocates resources, plans procurement and oversees budget and contracts to ensure fiscal stability of State's Banking operations.

Note: Competency statements are progressive, and not all competencies apply to every position/employee. Evaluate only those that apply.

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### Professional Knowledge

Considerable knowledge of professional banking theory, techniques, practices and procedures; considerable knowledge of the fiscal area of assignment and skills in applying these knowledge in a review; general knowledge of state and federal rules and regulations governing the fiscal program; general knowledge of agency/university practices, procedures and principles.

Contributing	Journey	Advanced
1. Applies considerable knowledge of professional banking theory, techniques, practices and procedures, and may require knowledge of banking regulations operations and possesses the skills necessary to apply this knowledge.	1. Applies full knowledge of professional banking theory, techniques, practices and procedures and knowledge of finance service operations and banking regulations skills in applying this knowledge.	1. Applies extensive knowledge of professional banking theory, techniques, practices and procedures and knowledge of finance service operations and banking regulations and statutes; skills in applying this knowledge.
2. Applies considerable knowledge of state and federal regulations and statutes governing banking operations.	2. Applies full knowledge of local, state and federal regulations and statutes governing banking operations.	2. Applies extensive knowledge of local, state and federal regulations and statutes governing the area of work.
3. Applies knowledge of applicable information technology and internal controls to meet work needs.	3. Independently uses applicable information technology to perform. Ensures integrity of information systems, internal controls and data, including recommending modifications as required.	3. Assess and applies thorough knowledge of the reliability of systems and internal controls; identifies problems and changing requirements.
4. NA	4. Applies basic knowledge of strategic planning methodologies and practices.	4. Applies considerable knowledge of strategic planning methodologies and practices.
5. Performs basic analysis on accounts to ensure product mix is appropriate, and maintains relationships with financial institutions providing services.	5. Performs analysis on monthly reports to ensure compliance with state and federal regulations, contractual agreements, and Securities Lending. Ensures product mix is appropriate and may recommend changes to account status. Maintains relationships with financial institutions providing services.	5. Performs more complex analysis on monthly reports to ensure compliance with state and federal regulations, contractual agreements, and Securities Lending. Ensures product mix is appropriate and will recommend or make the decision on changes to account status. Maintains relationships with financial institutions providing services. Serves as expert on banking matters.

Basic knowledge - The span of knowledge minimally necessary to complete defined assignments.

Full/Considerable knowledge - The span of knowledge necessary to independently complete defined assignments to produce an effort or activity directed toward the production or accomplishment of the research objective.

Extensive knowledge - The broad scope of knowledge demonstrated on the job that is beyond journey competencies.

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### Planning and Organizing Work

Develops plans to accomplish short and long-range goals and objectives for Banking Operations; monitors and adjusts plans; designs and implements new programs; assesses continuing validity of goals and objectives and need for new goals and objectives.

Contributing	Journey	Advanced
1. Monitors operation performance and adjusts or allocates resources needed to meet performance objectives and goals.	1. Defines intermediate performance objectives and makes temporary or short term changes to the organizational structure to meet short and long range goals.	1. Makes significant changes in the organizational structure, methods and procedures to respond to current and revised goals and objectives.
2. Leads implementation of short- and long-range plans to accomplish the goals and objectives.	2. Designs, develops and leads short- and long-range plans to accomplish defined goals and objectives.	2. Assesses goals and objectives at least annually; prepares and presents revisions to long range plans. Reviews, submits, and presents reports concerning activities, expenses, budget, government statutes and rulings, and other items affecting business or program services.
3. Recognizes needs to changes to work flow and/ or structure based upon changes to industry standards, Federal or state regulations, or compliance issues.	3. Recommends changes to work flow and/ or structure based upon changes to industry standards, Federal and state regulations, or compliance issues.	3. Plans, promotes, organizes, and coordinates service banking service programs and maintains cooperative working relationships among public and agency participants. Develops and maintains good working relationships regulatory and other agencies.

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### Program Management

Directs staff to achievement of goals and objectives. Focuses human and material resources to achieve such goals and objectives efficiently and effectively.

Contributing	Journey	Advanced
1. Supervises implementation of operating plans.	1. Designs, develops and implements annual operating plans.	1. Administers and monitors regulated activities to interpret and clarify laws and ensure compliance with laws.
2. Supervises Performance Management and Pay Plans for operations under the executive's supervision to ensure fairness and consistency with achievement of goals and objectives.	2. Develops performance management and pay plans for operations under the executive's supervision to ensure fairness and consistency with achievement of goals and objectives.	2. Supervises allocation of human and material resources to maximize efficiency and effectiveness.
3. Stays abreast of industry developments, including updates to Regulations, General Statutes, and cash management issues.	3. Stays abreast of industry developments, including updates to Regulations, General Statutes, and cash management issues. Keeps management informed on new products and rules.	3. Administers, interprets, and explains policies, rules, regulations, and laws to State Agencies and the General Assembly on banking operations. Stays abreast of industry updates and developments.
4. NA	4. NA	4. Directs or participates in the negotiation of contracts and agreements with federal and state agencies and other organizations. Manages such relationships continually.
5. NA	5. NA	5. Evaluates findings of investigations, surveys, and studies to formulate policies and techniques and determine improvements for staffing, programs, or business services.

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### Strategic Planning

Establishes and commits to a course of action in order to accomplish long-range goals and vision. Conducts ongoing review of Mission and Vision Statements and proposes alterations as necessary.

Contributing	Journey	Advanced
1. NA	1. Manages areas under supervision to achieve strategic goals and objectives as established in Mission and Vision Statements.	1. Reviews and assesses Mission and Vision Statements on an ongoing basis; shares conclusions and suggestions with others in agency senior management.
2. NA	2. Uses appropriate financial and other metrics to make decisions and measure outcomes.	2. Demonstrates vision and ability to proactively plan, implement, and forecast for success.
3. NA	3. Promotes change by communicating to and involving others; eliminates ineffective processes that are outdated.	3. Evaluates readiness and capacity for change and adjusts accordingly.
4. NA	4. Participates actively in review and revision of Mission and Vision Statements.	4. Delivers speeches, writes articles, and presents information at meetings or educational and research seminars to promote services, exchange ideas, and increase agency competencies.

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### Human Resources Management

Oversees recruitment, selection, development, coaching, counseling, disciplining and evaluation of employees. Promotes a diverse workforce. Administers and ensures compliance with human resources policies and procedures. Observes and assesses work; provides feedback; may provide technical supervision; plans and supports employees in career development opportunities. Aligns human resources with achievement of goals and objectives.

Contributing	Journey	Advanced
1. Interviews and assesses applicants for jobs. Works with Banking Unit Managers to make final decision on selected candidate; determines appropriate salary; coordinates approvals needed from Senior Management.	1. Demonstrate understanding of underlying personnel and agencies policies and applies them consistently.	1. Develops a human resources inventory summarizing needed resources (both numbers of employees and competencies); manages to reach the desired inventory; reviews and revises inventory at least annually. Takes affirmative steps to insure that the agency is and continues to operate effectively with a diverse workforce. Makes clear by example that this is an agency priority.
2. Reviews work of subordinates to assure proper utilization of human resources.	2. Resolves formal complaints. Issues initial written warnings and recommends more serious disciplinary actions to superiors.	2. Coaches others to achieve agency objectives. By example and training, shows the proper implementation of agency policies and procedures and coaches others to adopt best practices. Handles disciplinary matters proactively and in a way that is fair and is perceived by agency personnel to be fair.
3. Demonstrates basic knowledge of supervisory practices and skill in supervising others, including communication skills, how to delegate and assign duties, how to deal effectively with difficult employees, how to evaluate performance and to participate in disciplinary actions. Applies basic knowledge of state government's Human Resources interview policies and procedures.	3. Demonstrates considerable knowledge of supervisory practices and skill in supervising others, including communication skills, how to delegate and assign work, how to deal effectively with difficult employees, how to evaluate performance and may assist or conduct investigations and participate in disciplinary actions. Applies working knowledge of state government's Human Resources policies and procedures.	3. Demonstrates extensive knowledge of supervisory practices and skill in supervising others, including communication skills, how to delegate and assign work, how to deal effectively with difficult employees, how to evaluate performance and to conduct investigations and participate in disciplinary actions. Mentor new supervisors. Applies full knowledge of state government's Human Resources policies and procedures.

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### Career and/or Talent Development

Plans and supports the development of staff using a competency based system. Ensures that all staff is properly trained.

Contributing	Journey	Advanced
1. Coaches staff on career development and growth and supervise training and career development programs.	1. Designs and implements training and career development programs to sustain current competencies.	1. Develops inventory of competencies needed by the agency to achieve goals and objectives; reviews and makes revisions to existing training to develop new competencies.
2. Designs success plans that coincide with individual career plans and agencies needs.	2. Takes steps to insure that employees get at least the minimum required training each year.	2. Develops new training and development programs, internal and external, to enhance employee opportunities.

### Business Administration

Evaluates and allocates resources, plans procurement and oversees budget and contracts to ensure fiscal stability.

Contributing	Journey	Advanced
1. Drafts annual operating budget and submits to higher officials for approval.	1. Evaluates budget needs and submits priorities based on program objectives and costs; justifies needs to higher officials; approves or rejects expenditures and may make routine fund transfers.	1. Determines budget needs and approves priorities based on program mission, costs and projected revenues; has authority for decisions on fund transfers.

**Recommended Minimum Recruitment Guideline:** Bachelor degree in a related field (banking, finance, business) and minimum of five years of management experience in banking, credit union, accounting or financial services; or equivalent combination of training and experience. Demonstrated ability to lead staff in achieving organizational goals.

**Special Note:** This is a generalized representation of positions in this class and is not intended to identify essential work functions per ADA. Examples of competencies are primarily those of the majority of positions in this class, but may not be applicable to all positions.