

**REPORT NO:** 12-01  
**DATE:** 01/09/12  
**ANALYST:** Michael Hebner

### **CLASSIFICATION REPORT**

**PROPOSED TITLE:** Deputy Finance Officer/Director Budget and Enterprise Financial Management

**CURRENT TITLE:** Director Budget – Using

**INCUMBENT:** Vacant

**REASON FOR REQUEST:** Review to verify proper classification for an appointed position with proposed changes

**DATE QUESTIONNAIRE SUBMITTED:** 01/06/2012

**DATE OF PREVIOUS STUDY:** N/A

**DISPOSITION OF PREVIOUS STUDY:** N/A

**PERSONS INTERVIEWED:** Kevin Carpenter, Assistant City Coordinator Finance  
Lalonne Erickson Baker, Manager Administrative Services

**RECOMMENDATION:** Establish the position as Deputy Finance Officer/ Director Budget and Enterprise Financial Management (Appointed) (688 Points, Grade 15)

The Assistant City Coordinator Finance has requested a review of the Director Budget (Appointed) position including an evaluation of proposed changes in responsibility and reporting relationships which he is implementing prior to refilling the position.

The proposed job responsibilities are presented below:

- Advise the Chief Finance Officer and make recommendations on the City enterprise budget, financial and resource management, and strategic direction.
- Provide staff support to allow City officials to make the best decisions regarding the appropriate tax burden on City residents and property.

- Provide staff support to study and recommend the best allocation of revenue and expense among City departments and boards and commissions to support City services and activities.
- Manage special projects, respond to information requests, and oversee the preparation of reports, research efforts, planning documents and presentations, and communicate budget and financial policies to elected officials, department heads, stakeholder groups and the public.
- Verbally present complex information at public hearings, City Council meetings and to large organizations, explaining City budget-related processes and decisions, and complex financial issues.
- Establish and monitor a budget and financial management process that incorporates the priorities of elected officials and assigns responsibility for adherence to these processes within budget guidelines.
- Identify and prioritize fiscal and management matters which influence, and are influenced by, the resources available to the City.
- Attend and serve as staff to the Ways and Means/Budget Committee of the City Council.
- Update and develop financial policies and guidelines for consistent practices through-out the division and City Enterprise.
- Improve and implement budget guidelines to assist departments in better understanding the objectives and outcomes of the budget process.
- Provide capital and debt management that has a long-term focus and incorporates sound financial planning to help policy-makers make informed decisions.
- Create, revise and present financial information and reports that meet the needs of finance staff, departments, and policy-makers to allow for effective and efficient decision-making.
- Provide sound long-term financial planning and advice to the Mayor and City Council, and department heads to assist them in fulfilling their respective roles and responsibilities and achieving key objectives.
- Coordinate, oversee and manage the performance of directly reporting directors and managers, setting goals and objectives for these staff, ensuring that division objectives fit with overall City and department direction, and monitoring division performance.
- Oversee all aspects of development finance activity in support of CPED and NCR development and neighborhood activities, including analysis of development opportunities and policy ramifications of resource allocation decisions.
- Lead enterprise risk management activities to promote a safe and supportive work environment and reduce financial exposure including workers' compensation and tort claims administration, loss prevention, workplace safety and insurance.
- Work collaboratively with other Finance & Property Services division directors to support strategic decision making with respect to City financial matters and resource management.
- Serve as the Chief Finance Officer's representative on various boards, task forces and committees.
- Act on behalf of the Chief Financial Officer in his/her absence.

## **POSITION ANALYSIS**

### **PREREQUISITE KNOWLEDGE**

The requirements for the position include a Master's Degree in Finance, Business Administration, or Public Administration or equivalent. The person hired for the position will need broad based knowledge of financial management and budgeting in an organization similar

in size and scope to the City. They will need seven or more years of public or private sector experience in budgeting and financial management, five of which have been in a supervisory/leadership position requiring policy development and strategic input. A rating of **75 points** is appropriate for this level of education and experience and will be assigned.

Other competencies required in the position include strategic agility to anticipate future trends, and consequences, and to be creative in developing plans and strategies aimed at achieving efficiency and managing functions and process. The position will require a strong presentation and communication skills and the ability to command attention and be persuasive when delivering information. It will require strong written communication skills and the ability to compile and present complex financial information in written formats. The person occupying the position will need to have strong interpersonal skills to build relationships within the Finance and Property Services Department, work in partnership with other Finance division directors, and to deal with staff from many departments, elected officials, and with outside organizations, and citizens. The position will need to be a trusted source of financial information and recommendations.

## **DECISIONS AND ACTIONS**

The position will be the number two position in the Finance and Property Services Department and will have significant responsibility to support the Chief Finance Officer in his role to make City resource allocation decisions and facilitate the City's financial stability. In the Chief Finance Officer's absence this position will serve as acting Chief Finance Officer. This position will also have management authority over several significant business operations and have management authority over a significant portion of the Finance Department, including Risk Management, Development Finance, Capital and Debt Management, and Budget and Information Analysis. It will coordinate, and manage the performance of directors and managers in these areas, setting goals and objectives for these staff, and ensure that division objectives fit with overall City and department direction. It will build connections and partner with other department division directors having management responsibility over other business areas and work together in making decisions to support the City's financial position and inform City resource allocation. The position will be responsible for overseeing the budget processes used in City Government, including identifying and prioritizing fiscal and management matters which influence, and are influenced by, the resources available to the City. It will monitor and make recommendations on updating and developing financial policies and guidelines for consistent practices through-out the division and City Enterprise. The position will have a significant impact on City resource allocation decisions. It will be responsible for and have the authority to implement budget guidelines to assist departments in better understanding the objectives and outcomes of the budget process. The position will provide strategic input into budget, and financial and resource management to assist the Chief Finance Officer in establishing and implementing strategic direction.

The position will have the authority and responsibility of working with elected officials and department heads on financial matters and presenting advice and information to facilitate decision making.

A rating of **75 points** will be assigned. Jobs at this level manage a significant sub function of a major department. At this level the job is responsible for projects, plans, budgeting, staffing, and related operating decisions for a significant sized organization. Jobs at this level tend to be

appointed where the work is of considerable variety and complexity, usually involving all phases of a major function. Matters dealt with are broad in scope with complex and unusual problems being encountered with considerable frequency. Performance has considerable influence on finances or delivery of services. At this level the incumbent is expected to make decisions and take action on complex and unusual problems that arise and to develop solutions to these problems using advanced principles and techniques and considerable original thinking. Most work is of an advanced nature and calls for the exercise of independent judgment.

### **SUPERVISORY RESPONSIBILITY**

The position will directly supervise the Director Development Finance; the Director Risk and Claims Management; The Director Capital and Debt Management and the Manager Budget Information and Analysis. It will have direct management oversight over 25 positions. A rating of **25 points** is appropriate and will be assigned.

### **RELATIONSHIPS RESPONSIBILITY**

The position will be in continuous contact with Finance and Property Services department and other City staff, including Elected Officials, department heads and financial managers serving various departments regarding budget matters and in connection with the financial activities under its supervision. It will interact with State and Federal authorities regarding financial matters. It will serve on various boards and task forces as the Chief Finance Officer's representative. It will work collaboratively and interact on a frequent basis with Finance and Property Services division directors overseeing other department business operations. It will be responsible for verbally presenting information at public hearings, City Council meetings, and before other organizations regarding City processes and budget decisions. The position will also handle inquiries from the media and citizens about financial matters

A rating of **85 points** will be assigned. At this level jobs are highly placed executive level jobs in charge of major areas of responsibility where there are multiple contacts both internally and externally, primarily at a high level. Within the departments where they are assigned they typically direct the efforts of the department and/or divisions under their leadership. There is typically daily contact at a high-level advising City decision-making and providing leadership on policing and law enforcement, planning, housing, finance, on development projects, efficient and effective land use, or other very important political and financial matters. At this level, jobs deal with legislative matters, budget concerns, and externally there are frequent contacts with Neighborhood, Regional, State and Federal Officials, with various business associations, non-profit and for profit organizations representing persons interested in matters related to City business. At this level the incumbents would frequently be in contact with the highest level of City management including the City Coordinator, City Council Members, and the Mayor regarding various matters under their management.

### **EFFORT**

The effort in the position is mental in dealing with the management of several significant business operations of the Finance and Property Services Department. The position will be expected to continuously react to questions and concerns about financial issues and budgets. The position will require strict attention to detail, and involve strain in meet deadlines, and it will

involve problem solving and analytical activities and will involve mental effort in devising and developing strategic plans for dealing with challenges.

A rating of **75 points** will be assigned. Jobs at this level have high level responsibilities and heavy supervisory responsibilities. All these jobs are highly placed executives (Department Heads or Divisional Directors) where the managerial and administrator responsibilities place considerable demands on the incumbents. There is considerable mental effort and pressure to perform in creating plans, programs, and problem solutions in the assigned area, and managing complex work units, that are providing a variety of services. These classifications are under considerable deadline pressure in dealing with budgets, City Council directives, project schedules, and department work activities. There is constant need to pay close attention to detail in the work.

Conclusion:

**According to Kevin Carpenter; Chief Finance Officer, the proposed position meets the criteria for appointed positions under the Minneapolis Code of Ordinance, Section 20.1010 as follows:**

- 1. The person occupying the position must report to head of the designated City Department or the Designated City Department Head's Deputy.**

Kevin Carpenter is the Department Head and the position will report to him.

- 2. The person occupying the position must be part of the designated Department Head's management team**

The new Deputy Director Finance/Budget and Enterprise Financial Management will be the second in command of the Department and part of the Finance and Property Services Department senior management team.

- 3. The duties of the position must involve significant discretion and substantial involvement in the development, interpretation, or implementation of City or department policy.**

The new position will direct and coordinate the resources and processes necessary to provide elected officials and department heads with the assistance needed to appropriately allocate City resources and evaluate the effectiveness and efficiency of City operations ensuring that decisions are made in an informed and deliberate manner based on solid information.

- 4. The duties of the position must not primarily require technical expertise where Continuity in the position would be significant.**

The position will require a level of expertise in budget and financial management and considerable experience in staff supervision, but a primary requirement is the ability to oversee, plan, organize, monitor, evaluate, and to make strategic recommendations and to modify as required, all work being processed in the areas of the Finance and Property Services Department under its direction to ensure organizational success.

**5. There is need for the person occupying the position to accountable to, loyal to, and compatible with the Mayor, City Council, and the Department Head.**

In this position, in order to successfully execute their responsibilities, the individual will be exercising great discretion and decision authority and will work with the Mayor and City Council, as well as Department Heads, and will need to do this in cooperation with the goals and strategies of our City's management and leadership.

**RECOMMENDATION**

Establish the positions as Deputy Finance Officer/ Director Budget and Enterprise Financial Management (Appointed) (With 688 Points, Grade 15)

<b>CLASSIFICATION</b>								
<b>FACTOR WORKSHEET</b>								
<b>Benchmark Classifications</b>	<b>Factors</b>						<b>Total Points</b>	<b>Grade Level</b>
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>		
Director Capital and Debt Management	70	60	25	60	20	60	570	12
Director Risk Management and Claims	70	60	15	65	20	60	573	12
Director Purchasing	70	65	15	65	20	65	593	13
Director Development Finance	70	65	15	75	20	60	603	13
Director Treasury	70	65	45	60	20	65	615	13
Director Budget (Current)	75	65	15	80	20	70	635	14
Controller	75	65	40	70	20	70	645	14
Director Property Services	75	75	55	65	20	65	678	15
Assistant City Coordinator Finance Director	90	90	45	85	20	80	803	17
<b>PROPOSED CLASSIFICATION</b>								
Deputy Finance Officer-Director Budget and Enterprise Financial Management (Appointed)	75	75	25	85	20	75	688	15

1. Prerequisite Knowledge
2. Decisions and Actions
3. Supervisory Responsibility
4. Relationship Responsibility
5. Working Conditions
6. Effort

**The position meets the Exemption under the Fair Labor Standards Act under the ‘highly compensated employee’ provision.**

The position meets the ‘Highly Compensated Employee’ provision as follows:

1. **Pay of at least \$100,000.00 annually** – the position will be paid on a salary basis and it will be compensated at more than \$100,000 annually
2. **Customarily and regularly performs at least one of the duties of an exempt executive, administrative, or professional employee identified in the standards tests for exemption** – The position meets this requirement in many ways including that fact that it will directly supervise more than two full-time employees (**executive exemption**) and that it will perform work directly related to management of the City, in the areas of finance, accounting and budgeting (**administrative exemption**)

**DEPUTY FINANCE OFFICER - DIRECTOR, BUDGET and  
ENTERPRISE FINANCIAL MANAGEMENT (APPOINTED)**

**CODE: C03180**

**REPORTS TO: Finance Officer**

**SUPERVISES: Director, Development Finance; Director, Risk Management; Director  
Capital & Debt Management; and Manager, Budget Information and  
Analysis**

**NATURE OF WORK**

**Direct, manage, coordinate and oversee the resources and processes necessary to provide  
elected officials and department heads with assistance needed to appropriately allocate  
City resources and evaluate the effectiveness and efficiency of City operations ensuring that  
decisions are made in an informed, reasoned, and strategic manner**

**TYPICAL DUTIES AND RESPONSIBILITIES**

**(Including, but not limited to the following)**

- Assist the Chief Financial Officer in City Enterprise financial and resource management and decision-making.
- Advise the Chief Financial Officer and make recommendations on the City enterprise budget, financial and resource management and strategic direction.
- Provide staff support to allow City officials to make the best decisions regarding the appropriate tax burden on City residents and property.
- Provide staff support to study and recommend the best allocation of revenue and expense among City departments, boards and commissions to support City services and activities.
- Manage special projects, respond to information requests, and oversee the preparation of reports, research efforts, planning documents and presentations, and communicate budget and financial policies to elected officials, department heads, stakeholder groups and the public.
- Verbally present complex information at public hearings, City Council meetings and to large organizations, explaining City budget processes, decisions, and complex financial issues. .
- Establish and monitor a budget and financial management process that incorporates the priorities of elected officials and assigns responsibility for adherence to these processes within budget guidelines.
- Identify and prioritize fiscal and management matters which influence, and are influenced by, the resources available to the City.
- Attend and serve as staff to the Ways and Means/Budget Committee of the City Council.
- Update and develop financial policies and guidelines for consistent practices throughout the division and City enterprise.

- Improve and implement budget guidelines to assist departments in better understanding the objectives and outcomes of the budget process.
- Provide capital and debt management that has a long-term focus and incorporates sound financial planning to help policy-makers make informed decisions.
- Create, revise and present financial information and reports that meet the needs of finance staff, departments, and policy-makers to allow for effective and efficient decision-making.
- Provide sound long-term financial planning and advice to department heads, Mayor, and City Council to assist them in fulfilling their respective roles and responsibilities and achieving objectives.
- Coordinate, oversee and manage the performance of Directors and Managers that report to this position, set goals and objectives for these staff, ensure that division objectives fit with overall City and department direction, and monitor division performance.
- Oversee all aspects of Development Finance activity in support of CPED and NCR development and neighborhood activities, including analysis of development opportunities and policy ramifications of resource allocation decisions.
- Lead enterprise risk management activities to promote a safe and supportive work environment and reduce financial exposure including workers' compensation and tort claims administration, loss prevention, workplace safety and insurance.
- Serve as the Chief Financial Officer's representative on various boards, task forces and committees.
- Act on behalf of the Chief Financial Officer in his/her absence.

**MINIMUM QUALIFICATIONS:** Master's Degree in Public Policy, Business Administration, Finance, a related field or equivalent

**MINIMUM EXPERIENCE:** Seven years of progressively responsible experience in governmental or private sector budgeting or financial management. At least five years experience in a leadership/supervisory position.

**LICENSES/CERTIFICATIONS:** N/A

#### **OTHER SPECIFICATIONS**

- Considerable knowledge of public financing, accounting, budgeting, program evaluation, and financial analysis.
- Ability to think strategically and manage diverse functions.
- Excellent oral and written communication skills.
- Excellent presentation skills and the ability to prepare clear and concise reports.
- Ability to communicate on financial matters with non-financial personnel.
- Ability to apply a non-adversarial approach when making recommendations on budget and financial management issues.
- Ability to establish trust and support and integrate financial priorities into the management process.
- Political sensitivity.
- Strong leadership and influencing skills.
- Ability to be creative, flexible and adaptive in a changing fiscal and political environment.

**WORKING CONDITIONS:** Normal office setting

**SERVICE:** APPOINTIVE  
**GRADE:** 15 (688 Total Points) Exempt  
**ESTABLISHED:** January 2011  
**JOB SPEC:** January 2011

**CITY OF MINNEAPOLIS**