

THE GREAT STATE!

Supervisor



**ORIENTATION QUICK REFERENCE GUIDE
FOR SUPERVISORS**

The Great State! Supervisor

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The Role of the Supervisor

“There is nothing noble about being superior to someone else. True nobility is in being superior to our previous self.” -- Hindu proverb

DEFINITION

A supervisor plans, organizes, directs, and monitors the performance of others to achieve desired results. The objective of effective supervision is to accomplish the goals of the organization by obtaining the best level of productivity through others. It is your job to create a climate where success is possible. When staff succeeds, everyone wins; the employee, you and the organization.

Supervisors work in the following three basic areas: ideas, things, and people. Working with ideas requires conceptual skills; the ability to see the big picture; to create a vision of how your unit should operate; to visualize a positive end result. You develop strategies to fulfill that vision, and educate and train yourself and others in the philosophy, process, tools and techniques for achieving excellence.

Working with things requires administrative and technical skills such as the ability to organize and prioritize work; to establish time tables and completion dates; to delegate assignments and responsibilities; to manage details; to gather facts, solicit input, analyze problems, generate options and make appropriate judgments for effective task management.

Working through people to accomplish the goals of the organization is the objective of supervision. It is both challenging and rewarding. This requires strong interpersonal and leadership skills. You communicate with your people in all aspects of your job as a supervisor. You provide leadership by your example as you model the performance you desire. You clearly and precisely express your expectations and the standards of operation for your unit. You maintain clear lines of communication and check for mutual understanding. You serve as a coach and a mentor. You assist in goal planning and the career development of your staff and you help them advance, even when it means losing them to new opportunities.

The “legal” definition for a “supervisory employee” as stated in Government Code Section 3513(g) is any person, regardless of the job description or title, having authority, in the interest of the employer, to hire, transfer, suspend, lay off, recall, promote, discharge, assign, reward, or discipline action, if, in connection with the foregoing, the exercise of such authority is not merely routine or of a clerical nature, but requires the use of independent judgment.

SCOPE OF DUTIES

As a supervisor, you have many responsibilities. These include working with your employees to:

- Plan (pre-determining a course of action)
 - create a vision for the unit and employees; establish expectations
 - understand program and goals and objectives, policies, and procedures
 - develop a budget and allocate resources
 - assign priorities and develop strategies for accomplishing tasks
- Organize (deciding who does what and when)
 - determine the best method of allocating workload within resources
 - assess resources such as staff, equipment, supplies, systems, and methods, and secure and update as needed
 - approve work schedules, including overtime, sick leave, vacation
 - clarify organization structure
- Direct (helping others produce results; team building)
 - communicate plans and expectations to management and staff
 - assign work; give staff clear instructions and proper training; provide coaching, OJT (on-the-job training)
 - define levels of responsibility and accountability
- Monitor (measuring progress toward goals)
 - evaluate progress toward achieving intended results
 - devise methods to track workload, expenditures, and resources
 - monitor the quality and quantity of work performed and record as necessary; provide feedback
 - solve problems and make program adjustments
 - ensure progress toward objectives and evaluate for future planning

The Tools of the Trade

“I suppose leadership at one time meant muscles; but today it means getting along with people.” -- Indira Gandhi

As a supervisor, you need a number of important skills and abilities to perform your responsibilities effectively. These include, but are not limited to, the following:

- Communication
 - convey the mission and purpose of the unit’s work, and how it relates to the customer service vision
 - clarify expectations and performance measurements
 - provide complete instructions on assignments and tasks; clear up misunderstandings
 - listen to employees express their job-related ideas, concerns, and opinions, share information, provide feedback
- Delegation
 - assign authority as well as responsibility to the lowest possible work levels
 - use the full potential of staff to solve problems
 - monitor workload; assign work equitably; clarify priorities
 - provide employees an opportunity to use their creative talents, lead programs, and provide briefings to upper management
 - assign staff the task of writing duty statements that outline major duties and responsibilities; reach agreement and finalize
 - initiate proper training for staff in all skills necessary to perform tasks effectively and efficiently

- Delegation (continued)
 - provide opportunities for employees to assume technical and administrative assignments that you would normally perform
 - locate obstacles; clear them from the work path
 - eliminate duplication and micro-management
- Organization
 - set priorities so the most important work can be completed first and on time; reduce the need for overtime
 - meet frequently with your supervisor; stay updated on laws, regulations, policies/procedures and organizational changes
 - prepare a program budget and operate within budgetary constraints
 - encourage employees to perform quality work
- Problem Solving
 - work to continually improve all systems; look for ways to solve problems at the lowest possible level
 - examine alternatives and options and select those that lead to the probability of success
 - identify and analyze problems and develop workable solutions
- Decision Making
 - involve staff in the decision making process to obtain input, and ensure acceptance of solutions and direction
 - develop effective implementation plans that provide a mechanism for ongoing evaluation
 - remove barriers to effective production and quality performance
 - modify your decision when it is not working or a better solution is evident

Making the Transition

“Don’t be afraid to take a big step if one is indicated. You can’t cross a chasm in two small jumps.” -- David Lloyd George

It is likely that you were selected to be a supervisor because of your superior performance as a staff person. However, the job of a supervisor is dramatically different from the job of performing a specific task or assignment. As a supervisor you will play many roles and wear many hats. You must be able to make the transition from player to coach, from follower to leader, in order to produce a “winning team.”

AS A LEADER...

Obviously, the first order of business is your interaction with your subordinate employees, some of whom may have been your peers in the organization before your promotion. It is your responsibility to maintain a non-biased, productive relationship with each employee under your immediate direction.

As a leader, it is important that you create and communicate a vision and unite your staff in a commitment to it and that you have an understanding of the skills, abilities and behaviors necessary for successful job performance.

You are primarily responsible for the condition of the supervisor-employee relationship. You need to conduct yourself with a positive self regard and respect each employee as an individual and find ways to communicate effectively with all of them. As a “leader” you communicate a vision, promote empowerment, trust, personal responsibility and teamwork throughout the organization.

Communication is the key to any successful relationship and it is the lifeline of an effective organizational relationship. Be open and responsive to all your staff, and listen to them as well as talk to them; provide direction, and motivation by giving recognition, reward, and feedback and being an example.

AS A SUPPORTER...

As a supervisor you are an integral part of your department’s management team. You are expected to be an active contributor to the development of the overall mission and goals of your organization as well as the policies and procedures which relate specifically to your area of responsibility. You should be a “supporter” and not just a “follower.”

It is your responsibility to express your ideas and concerns to upper management on any matters that relate to the management of your program and the well being of your staff. Your staff is counting on you to articulate their needs to upper management. Conversely, upper management is counting on you to present new policies and directives in a positive manner to your staff. Sometimes, this dual responsibility will create conflict for you, but constructive resolution of such conflict is essential to maintaining your effectiveness on the job.

AS A PEER...

The chain of command up and down the organization is usually much clearer than the network of relationships that a supervisor encounters in peer relationships throughout the organization. Often your ability to get your job done will rely on your ability to obtain the cooperation of supervisors in other program areas. Develop and maintain good working relationships with all people. To the extent possible, it is best when interdepartmental issues can be worked out at the lowest level possible, without intervention from upper management.

Networking with other supervisors at your level in the organization is one of the best way to learn the most effective methods of supervising and it is an excellent way to develop your identity as a member of the management team. Remember that your peer network expands beyond your own office, bureau, or division and includes supervisors throughout your department. It also includes administrative members of the management team such as the Training, Budget, and Personnel Officers.

TRANSITIONING

- Do
 - be patient with yourself and others – there are many things to learn
 - set aside time each day for planning and learning
 - interact with your staff on a regular basis
 - stop, look, and listen before making decisions

- Don't
 - become power happy – you are a supervisor, not a dictator
 - make changes too quickly or prejudge your employees
 - be intimidated or confined by prior relationships and roles
 - make promises, compromise your position, or label your employees

New Responsibilities

“Don’t be afraid to take a big step if one is indicated. You can’t cross a chasm in two small jumps.” -- David Lloyd George

EMPLOYEE RIGHTS

Employees that you supervise have rights specified in collective bargaining agreements, law, DPA Regulations and SPB rules. Memoranda of Understanding (MOU) are collectively bargained agreements between employee organizations (unions) and the State. These agreements define wages, hours, and conditions of employment affecting employees assigned to one of 21 bargaining units. Each unit is made up of employees performing similar or related duties. They choose an employee organization which has the exclusive right to represent them, as a group, in negotiations with the State, in grievances and in disciplinary matters.

It is not unusual for a supervisor to have employees in more than one bargaining unit, depending on the diversity of the work that is performed within the work group. You are expected to be familiar with the MOU(s) for the employees that you supervise, so you must have a copy of your own to understand and use regularly.

The MOU contains critical information about employee rights and grievance procedures that you need to consider when assigning work, scheduling overtime or making other key operational decisions.

Your Department’s Labor Relations Officer can provide you with additional guidance on the bargaining unit designations of your employees and the terms and conditions outlined in the MOU.

SUPERVISORS RIGHTS

In contrast to rank and file employees, management team employees are not covered by collective bargaining agreement and are referred to as “excluded” employees. This does not mean that supervisors, managers, confidential and exempt employees have no employment rights. Rather it means that rights of management team employees are contained in law, DPA Regulation and SPB Rule and may be somewhat different from rights of employees that you supervise.

These rights are described in detail under the “[Law Governing California State Human Resources](#)”, administered by the State Personnel Board and the California Legislative Information website. If your work unit does not have a copy of this important reference, you may request that they be purchased for use by supervisors, managers and confidentials in your division or unit.

Another valuable reference that describes personnel policies and rights is your department administrative/operations manual. It’s a good practice for you to get into the habit of referring to this department manual whenever you’re in doubt about personnel matters.

EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION (EEO/AA)

It is the policy of the State that its employment processes will produce a State work force representative of California's diverse population. All efforts to ensure a representative work force will be made on the basis of merit, efficiency, and fitness consistent with State civil service and merit system principles and regulations.

- [Non-Discrimination Policy](#) – It is the policy of the State of California to provide equal employment opportunity and a non-discriminatory work environment for all persons without regard to age, race, sex, color, religion, national origin, political affiliation, ancestry, marital status, sexual orientation, disability or other non-job-related factors.
- [Americans with Disabilities Act \(ADA\)](#), effective July 26, 1992. The intent of the ADA is to prevent discrimination against qualified people with disabilities. People cannot be screened out of the hiring process, nor be discriminated against in any areas of employment including: compensation, promotions, benefits, or dismissals. Organizations must be aware of physical barriers in the workplace, and make appropriate adjustments to accommodate the disabled. This act ensures that all 50 States offer equal employment opportunity and reasonable accommodation in the workplace for people with disabilities.
- [Reasonable Accommodation Policy](#) – The State is committed to making a reasonable effort to adjust the job and/or work environment to permit the employment of persons with disabilities and to retain employees who become disabled. This could include job restructuring and building and equipment modification. This obligation extends to employees who are pregnant or those who have developed HIV virus or AIDS.
- [Sexual Harassment Policy](#) – It is the policy of the State to ensure a work environment free from sexual harassment. Sexual harassment is defined as unsolicited and unwelcomed sexual overtures of a severe or pervasive nature whether they are written, verbal, physical and/or visual. You can be held personally liable if you fail to take appropriate action when you know or can be reasonably expected to know that harassment is taking place.

STAFF SELECTION

It is likely that most of the employees you will supervise initially will have been hired by your predecessor or some other supervisor in your department. However, you will eventually have the important responsibility of making staff selections. Here are some tips to consider in the selection process.

- Make sure you know what the job involves – to ensure that you get the right candidate for the job, you need to have a clear understanding of the job. Carefully assess the tasks and make any appropriate changes to the duty statement before you advertise the position. Be sure you have a copy of the CalHR class specification available for reference.
- Check with Personnel and make sure you comply with all department procedures so that you can carefully plan the employment interview – the interview is the key to the selection process.
 - Schedule the time and place so that there will be no interruptions during the interview.
 - Consider asking other peer supervisors, or key subordinate staff, to participate in the interview to broaden your perspective, and/or to cover Affirmative Action considerations.
 - Develop the questions ahead of time (consider allowing each candidate time before the interview to review the questions). Ask some open-ended questions that allow the applicant a chance for expression and creativity.
 - Set aside your personal biases about the “type” of person you are looking for. Keep an open mind and listen to what each person has to say.
- Follow-up with reference checks – while a good interview may reveal which candidates are most suitable for your position, the final selection should not be made without calls to an applicant’s current supervisor and other references. An applicant’s work style and commitment can best be judged in discussions with others who have worked with him/her.

- When verifying information, look for:
 - Any inconsistencies with information on the employment application (confirm all dates and other objective statistical data).
 - Accuracy of names, places, education classes taken, jobs actually held, and reasons for leaving.
 - Facts concerning job duties, attendance, dependability, quantity and quality of work performed, any disciplinary problems, attitude, ability to get along with others, acceptance of constructive criticism, strengths, weaknesses, significant accomplishments, ability to supervise, teamwork abilities, maturity, judgment, initiative, motivation, flexibility, and willingness to learn.
 - Would the previous employer re-hire the candidate? Would an existing employer recommend the candidate?

Your Department's Personnel and EEO Office can assist you in developing an effective selection plan.

PERFORMANCE APPRAISAL

The California Government Code, Sections 19992-19222.4 require that employees receive periodic (not less than once each year), written, performance reports. Evaluating performance against predetermined goals and standards should be a positive, constructive experience. There are standard state forms for performance – see selection below.

[Appraisal and Development Plan \(ADP\)](#)

[Appraisal and Development Plan - Supervisors \(ADP-S\)](#)

[Appraisal and Development Plan - Managers \(ADP-M\)](#)

For assistance, access the [ADP Training Module](#)

Regardless of the form used, the process of appraisal is a very personal one which requires quality interaction between the employee and the supervisor in order to be effective. As reflected in the ADP, the performance evaluation serves a dual purpose: 1) rating the employee on the various performance dimensions and 2) planning future individual development and establishing performance agreements with the employee.

All new employees are required to be evaluated closely during their initial probationary period. Probationary periods can vary from six months to one year depending on the employee's classification. The Human Resources Office can provide you with the proper forms and assist you in developing an effective performance appraisal plan.

JOB RELATED PERFORMANCE CRITERIA

Government Code Section 19992(a) has been interpreted by State Personnel Board Hearing Officers to mean:

- Standards of performance shall be developed for each position. Each employee shall be given a copy prior to evaluation.
- The standards of performance shall be consistent with:
 - Duties and responsibilities described in the class specification.
 - Assignments and tasks described in the employee's position description (duty statement).
- Performance shall be evaluated using a system of performance ratings that measure both strengths and weaknesses. Factors to be rated must be identified in advance.
- Expectations must be identified and discussed in advance for these purposes:
 - To inform the employee what is to be done and how and when to do it.
 - To recognize effective performance.

- To help the employee recognize areas where performance can be improved.
- To give the employee sufficient time and opportunity to meet known and reasonable expectations.
- To develop with the employee a plan for accomplishing improvement when it is needed.
- Performance evaluations are to be fair, balanced and constructive. Their purpose is to recap what has been previously known and discussed by the employee and supervisor. They are not valid when they contain big “surprises.” Foreknowledge and forewarning must be shared constructively if balance is to be assured. Reasonableness is a key ingredient.

The following tips may be helpful in preparing for and conducting a performance appraisal.

- Lay the ground work properly – make sure that each employee has a clear understanding of your performance expectations. Duty statements should be current and employees should have written procedures and workload standards to follow for all critical tasks.
- Be alert to environmental “hazards” – such as too much noise, poor lighting, or safety hazards. It is your job to provide an environment where employees are safe and can do their best work.
- Be diligent about performing appraisals – appraisal is an ongoing process. When you establish an appraisal schedule, stick to it. Do not allow them to become a low priority and fall behind schedule. If you do, you send a message to your staff that you do not care about quality performance, and you may be making it difficult to document your attempts to resolve poor performance.
- Be private and professional about the appraisal conference – it is often difficult for employees to accept feedback. Be clear about your expectations and measures for performance. Check for understanding of these with the employee. Create a climate for the performance appraisal that shows respect for your employees and the work that they do. Schedule an appointment with each employee in advance of the appraisal conference and make sure that you can meet in a private office or quiet room.
- Follow-up and be consistent in monitoring performance – even if you only conduct a formal appraisal once each year, you must keep in contact with your employees, daily or weekly, regarding their work progress. This is true not only for employees who have performance deficiencies; your best employees need frequent recognition for quality performance.

STAFF DEVELOPMENT

Many supervisors forget that you can hire the “best and the brightest,” but you still fail to get the best performance. The reason is that many supervisors neglect their responsibility to fully develop the staff they have. Once you’ve hired the right person for the right job, you must still strive to have that person do his or her best. The purpose of supervision is to direct activities of people so work gets done efficiently, effectively, and economically. The probability of this occurring is highest when people are trained, motivated, and recognized.

Outstanding supervisors are leaders who motivate employees to exceed expectations. They expand employee awareness that how they perform work articulates a dramatic statement about regard for excellence, productivity, imagination, pride, and success. In turn rewards are shared.

Staff development includes not only the training that is required for successful performance in the current job, but also training to develop employees for expanded responsibilities and future job opportunities. Selecting competent, qualified people is your first step, then you must plan for the growth and development of each person so that they can function to their full potential.

Each employee, along with the supervisor, should construct an Appraisal and Development Plan (ADP) that is mutually agreed to at the time of the annual performance appraisal. This plan should list training that will provide skills development for the employee. It may also include special assignments, schooling, on-the-job training, and projected goals for the year. Training may be provided through formal classroom sessions or on-the-job by the supervisor or a co-worker assigned to do training in specific tasks.

The [Learning and Development Unit \(Training Office\)](#) can assist you to develop training plans and provide you with information about the types of training opportunities available for your employees. Details about authorization for training are contained in the CalHR’s [Statewide Training Center Guidelines](#), department procedures manuals, and MOU’s.

EMPLOYEE ASSISTANCE

The Employee Assistance Program (EAP) provides confidential assessment and referral services to employees and their families for dealing with problems of any sort that impacts the employee's ability to perform at work. Submit an [HR Service Request](#) if you need to assistance with this service. Using the EAP is good management and provides you and your employees with positive alternatives for resolving problems in a productive way so that both of you can function effectively.

EAP intervention prevents 78% of cases from moving into the Adverse Action phase when constructive confrontation is used as soon as performance slips. It is your responsibility to recognize and respond to warning signals in terms of the needs of the worker and the organization and to pursue and follow-up until issues are resolved. The EAP is the first stop for the supervisor who has spotted the signals. In fact, it is your responsibility to contact the EAP office as soon as a performance problem surfaces, and to inform your employees of the availability of this free confidential service. You, as well, have unlimited access to your EAP provider for general assistance, consultation, guidance and support in dealing effectively with an employee who may be having a performance and/or personal problem. The role of the EAP is to prevent personal problems from becoming personnel problems.

A referral occurs when an employee contacts the Employee Assistance Program directly, or supervisors may make an informal or formal referral if the employee's problems are interfering with successful performance on the job. A supervisory referral to EAP should be made as soon as a performance problem impacts the workplace. Studies have shown early referral to be a critical factor in the successful outcome for the employee and the organization alike. Referral to EAP should never be used as intimidation or punishment. A formal or informal EAP referral made by a supervisor is a separate process from any corrective counseling or progressive discipline action, however, they can occur concurrently. Whether formal, informal, or self-referred, EAP is a voluntary program for the employee. The EAP service is still a confidential service even when a "formal" referral is made by the supervisor.

Contact the Employee Resources Unit at HRHelpDesk@cpuc.ca.gov for additional information about the EAP program and assistance in determining if, and when, a formal supervisory referral is appropriate.

CORRECTIVE ACTION

Your attitude and behavior are critical in creating a positive working environment where employees can maintain good work habits and be motivated to perform effectively without the need for corrective action. If employee corrective counseling or discipline is necessary, it should be focused on specific performance issues only. The goal of corrective counseling and discipline is to provide the employee the opportunity to correct sub-standard performance, clarify and hold employee accountable for task expectations, and to help motivate the employee to be an effective, efficient, and responsible person.

Honest misunderstandings and communications breakdowns are often the chief cause of emerging problems. Before presuming intentional disregard, always give the employee the benefit of the doubt that misunderstandings may have occurred.

- Be sure of the facts. A good rule of thumb is that if you have not written out each fact in chronological orders so that someone else can read and understand the issue, our conclusion of sub-standard performance is probably premature.
- Facts are critical: who, when, where, what, how and finally why.
- Strive to clarify expectations; are standards of performance clearly known and reasonable?
- Are you sure there has been forewarning of a known deficiency? Are you equally sure there has been reasonable time or opportunity for the deficiency to be corrected?
- After you are sure of the facts, begin counseling or other corrective actions, with adequate follow-up to ensure that the action has had the desired result. Be sure that there are no external conditions or circumstances getting in the way of good performance and pursue appropriate, positive, preventive measures such as training, performance evaluation, feedback, counseling, and referral to EAP before recommending an adverse action.

A Supervisor's Rights

“It isn't the mountain ahead that wears you out – it is the grain of sand in your shoe.” -- Robert Service

The biggest challenge for the new supervisor is coping with the magnitude of the job—so much to learn in such a short period of time. Who will be there to help you? What resources are available to provide you with direction and guidance? Well, many others have gone down this path before you and there are some special support programs and protection to assist you in developing the skills to do the job. There are training courses, professional organizations, employee organizations, handbooks, and departmental resources that are designed to assist you as you move from a nonsupervisory assignment to a supervisory position.

TRAINING

When you are appointed as a supervisor for the first time, management must provide you with at least 80 hours of training, as required by California Government Code Section 19995.4. Half the training (at least 40 hours) is to be structured and provided by a qualified higher level supervisor or manager. The training must include the following subjects: role of the supervisor, techniques of supervision, planning, organizing, staffing and monitoring, performance standards, performance appraisal, affirmative action, discipline, labor relations and grievance handling.

The entire 80 hours of training shall be completed within the probationary period, unless the department can show that it would be too costly or that no training is available. In either case, the training must be completed no more than twelve months after appointment.

Approximate supervisory training is available from a variety of sources. In most large departments, it is provided within the department by staff trainers. In smaller departments, or in outlying field locations, this training may be provided by sending the new supervisor to the Department of Human Resources (Cal HR's) State Training Center in Sacramento, or by arranging for the training through some other external training source.

A list of supervisory training courses available through the State Training Center, is listed below:

COURSES FOR NEW SUPERVISORS

- Supervisory Series Module 1: Foundational Skills for Supervisory Excellence
- Supervisory Skills Module 2: Managing Employee Issues
- Supervisory Skills Module 3: Building and Maintaining a High Performance Team
- Supervisory Series Module 4: Application and Enhancement of Supervisory Skills

COURSES FOR ALL SUPERVISORS

- Authentic Leadership for True Leaders
- Be Your Own Leadership Coach
- Best Hiring Practices
- CalHR Supervisor's Academy (10 Day Cohort)
- Coaching: Developing Others
- Emotional Intelligence
- Grievance and Arbitration 101 for Supervisors and Managers
- How to Deal with Difficult People
- IDP-Performance Appraisal
- Interpersonal Skills
- Interaction Success
- Leadership Development: Building on Your Natural Strengths
- Leading Project Teams
- Leading With Strengths
- Making the Transition to Supervisor
- Managing Up - How to Anticipate What Your Boss Wants
- Project Management
- Proving Your Adverse Action in Front of the SPB
- Rejection During Probation
- State Supervision On Line
- Statutory Appeals Process
- Stepping Forward and Leading Change
- Supervision Readiness
- Supervisor's Guide to Managing Poor Performance
- Taking Initiative: Becoming a Leader
- The Effective Communicator
- What You Should Know as a Skelly Officer

For additional information regarding courses you may contact the State Training Center at (916) 445-1547 or by email to Training@calhr.ca.gov. For information about the CPUC's supervisory training program or policies and procedures, you should contact your Training Officer.

DEPARTMENT RESOURCES

Of course, the primary resource available to you is your manager. He/she is responsible for your development and performance. It may be helpful to schedule weekly meetings with your manager for the first few months so that you can have regular, structured feedback on your performance. These meetings can also serve as on-the-job training sessions, if you and your manager structure them to achieve that purpose. It's a good idea for you, as a new supervisor, to keep your manager "overly informed". As time passes, you will know how much or how little information is necessary. At first, it's preferable to err on the side of too much information as opposed to too little.

As suggested throughout this handbook, there are administrative support staff within your Department who are available to help you throughout your career as a supervisor. Find out who they are and write their names and phone numbers in this handbook so that you will have them readily available to you if you need them. In a small department, one person may fill several of these roles.

- Accounting Officer:
- Affirmative Action Officer:
- Budget Officer:
- Business Services Officer:
- Employee Assistance Program Coordinator:
- Equal Employment Opportunity/Affirmative Action Officer:
- Labor Relations Officer:
- Personnel Officer:
- Training Officer:
- Women's Program Coordinator:
- Worker's Compensation Coordinator:

PROFESSIONAL ORGANIZATIONS

There are many professional organizations in State government that have been created to deal with the unique needs of supervisors. Some of these are general supervisory organizations and others are specifically affiliated with exclusive rank and file organizations; still others are unique to a particular department. You can obtain more information on one or more of these associations by talking to other supervisors at your level in the organization.

EMPLOYEE ORGANIZATIONS/UNIONS

Supervisors, managers and confidential have the legal right to form, join, and be represented by employee organizations or unions of choice. Membership is voluntary. Supervisors who are members are entitled to full representation, and the right to meet and confer, to resolve problems involving wages, hours, benefits, working conditions, grievances and discipline. The rights are guaranteed by state law (Gov. Code 3513-3539.5, see appendix). This body of law is known as the Bill of Rights for State Excluded Employees – Senate Bill 511 (1990).

Suggested Reading List

“They are able who think that they are able.” -- Virgil

TRANSITION TO SUPERVISION

- COMPENSATION PLUS – A SUMMARY OF PRIMARY BENEFITS FOR MANAGERIAL, SUPERVISORY, AND CONFIDENTIAL EMPLOYEES. Department of Personnel Administration, 1991.
- EMPLOYEE ASSISTANCE PROGRAM – SUPERVISOR’S HANDBOOK. Department of Personnel Administration, 1991.
- MOVING UP TO SUPERVISION by Martin Broadwell. John Wiley & Sons, 1986.
- SUPERVISING, a guide for all levels by Paul O. Radde. Thrival Systems R, 1981.
- SUPERVISOR’S SURVIVAL KIT by Elwood Chapman. Science Research Associates, Inc 1982.
- THE FIFTY-MINUTE SUPERVISOR by Elwood N. Chapman. Crisp Publications, 1986.
- THE SUPERVISION TRANSITION! (an employee guide to choosing and moving into a supervisory position) by Paul O. Radde. Thriving Publications, 1990.
- THE EMPOWERED MANAGER by Peter Block. Jossey-Boss, 1991.

ASSERTIVENESS

- YOUR PERFECT RIGHT by R.E. Alberti and M.L. Emmons. Impact, San Luis Obispo, CA, 1970
- WHEN I SAY NO, I FEEL GUILTY by Manual J. Smith. Bantam Books, New York, 1980

COMMUNICATION

- ACTIVE LISTENING by Carl R. Rogers, and Richard E. Farson. Industrial Relations Center, University of Chicago, Chicago, Illinois
- THE ONE MINUTE MANAGER by Kenneth Blanchard and Spencer Johnson. Berkeley Books, 1983
- PUTTING THE ONE MINUTE MANAGER TO WORK by Kenneth Blanchard and Robert Lorber. Berkeley Books, New York, 1984
- SILENT MESSAGES: IMPLICIT COMMUNICATION OF EMOTIONS AND ATTITUDES, 2nd Ed.; by Albert Mehrabian. Wadsworth Publishing Company, Belmont, CA, 1980

CONFLICT RESOLUTION

- WIN-WIN NEGOTIATING by Fred Jandt. John Wiley and Sons, New York, 1985
- MANAGING CONFLICT PRODUCTIVELY by Fred Jandt. John Wiley and Sons, New York, N.Y.

DELEGATION

- THE ART AND SKILL OF DELEGATION by Lawrence L. Steinmetz. Addison-Wesley Publishing Co., Inc., Reading, MA, 1976
- DELEGATING FOR RESULTS by Robert B. Maddux. Crisp Publications, Inc., Los Altos, CA, 1990
- NO NONSENSE DELEGATION by Dale D. McConkey. AMACON, New York, 1972

LEADERSHIP

- LEADERS: THE STRATEGIES FOR TAKING CHARGE by Warren Bennis and Burt Nanus. Harper and Row, New York, 1985
- LEADERSHIP AND THE ONE MINUTE MANAGER by Kenneth Blanchard, Patricia and Drea Zigarmi
- THE POWER OF ETHICAL MANAGEMENT by Kenneth Blanchard and Norman Vincent Peale. William Morrow & Co., Inc., New York, 1988

PERFORMANCE

- ANALYZING PERFORMANCE PROBLEMS by Robert F. Mager and Peter Pipe, Fearon, 1970
- THE EXCELLENCE CHOICE by James A. Belasco. Management Development Associates, San Diego, CA, 1986
- THE NEW EMPLOYEE: DEVELOPING A PRODUCTIVE HUMAN RESOURCE by Gordon F. Shea. Addison Wesley Publishing Company Inc., Reading, MA, 1980

TIME MANAGEMENT

- HOW TO GET CONTROL OF YOUR TIME AND YOUR LIFE by Alan Lakein. Signet, New York, 1973
- HOW TO PUT MORE TIME IN YOUR LIFE by Dru Scott. Signet, New York, 1981
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APPENDIX

DPA Laws

STATE EMPLOYER-EMPLOYEE RELATIONS – EXCLUDED EMPLOYEES BILL OF RIGHTS

Government Code

3525. This chapter shall be known, and may be cited, as the Bill of Rights for State Excluded Employees.
(Repealed and added by Stats. 1990, Ch. 1522, Sec. 17.)

3526. The purpose of this chapter is to inform state supervisory, managerial, confidential, and employees otherwise excepted from coverage under the Ralph C. Dills Act by subdivision (c) of Section 3513 of their rights and terms and conditions of employment, and to inspire dedicated service, to recognize their important and fundamental roles in the management of state government, and to promote harmonious personnel relations among those representing state management in the conduct of state affairs.
(Amended by Stats. 2004, Ch. 654, Sec. 1.)

3527. As used in this chapter:

- (a) "Employee" means a civil service employee of the State of California. The "State of California" as used in this chapter includes such state agencies, boards, and commissions as may be designated by law that employ civil service employees, except the University of California, Hastings College of the Law, and the California State University.
- (b) "Excluded employee," means all managerial employees, as defined in subdivision (e) of Section 3513, all confidential employees, as defined in subdivision (f) of Section 3513, and all supervisory employees, as defined in subdivision (g) of Section 3513, and all civil service employees of the Department of Personnel Administration, professional employees of the Department of Finance engaged in technical or analytical state budget preparation other than the auditing staff, professional employees in the Personnel/Payroll Services Division of the Controller's office engaged in technical or analytical duties in support of the state's personnel and payroll systems other than the training staff, employees of the Legislative Counsel Bureau, employees of the Bureau of State Audits, employees of the Public Employment Relations Board, conciliators employed by the State Conciliation Service within the Department of Industrial Relations, employees of the office of the State Chief Information Officer except as provided in Section 11546.5, and intermittent athletic inspectors who are employees of the State Athletic Commission.
- (c) "Supervisory employee organization" means an organization that represents members who are supervisory employees under subdivision (g) of Section 3513.
- (d) "Excluded employee organization" means an organization that includes excluded employees of the state, as defined in subdivision (b), and that has as one of its primary purposes representing its members in employer-employee relations. Excluded employee organization includes supervisory employee organizations.
- (e) "State employer" or "employer," for purposes of meeting and conferring on matters relating to supervisory employer-employee relations, means the Governor or his or her designated representatives.
(Amended by Stats. 2007, Ch. 183, Sec. 4.)

3528. The Legislature hereby finds and declares that the rights and protections provided to excluded employees under this chapter constitute a matter of important concern. The Legislature further finds and declares that the efficient and effective administration of state programs depends upon the maintenance of high morale and the objective consideration of issues raised between excluded employees and their employer.
(Repealed and added by Stats. 1990, Ch. 1522, Sec. 17.)

3529. (a) Except for supervisory employees as defined in subdivision (g) of Section 3513, excluded employees shall not hold any office in an employee organization which also represents nonexcluded employees.
- (b) Excluded employees shall not participate in the handling of grievances on behalf of nonexcluded employees. Nonexcluded employees shall not participate in the handling of grievances on behalf of excluded employees.
 - (c) Excluded employees shall not participate in meet and confer sessions on behalf of nonexcluded employees. Nonexcluded employees shall not participate in meet and confer sessions on behalf of supervisory employees.
 - (d) The prohibition in subdivisions (b) and (c) shall not apply to the paid staff of an excluded or supervisory employee organization.
 - (e) Excluded employees shall not vote on questions of ratification or rejection of memoranda of understanding reached on behalf of nonexcluded employees.
(Repealed and added by Stats. 1990, Ch. 1522, Sec. 17.)

3530. Excluded employee organizations shall have the right to represent their excluded members in their employment relations, including grievances, with the State of California. Excluded employee organizations may establish reasonable restrictions regarding who may join and may make reasonable provisions for the dismissal of excluded employees from membership. This section shall not prohibit any excluded employee from appearing on his or her own behalf or through his or her chosen representative in his or her employment relations and grievances with the State of California.
(Repealed and added by Stats. 1990, Ch. 1522, Sec. 17.)

APPENDIX (continued)

DPA Laws

3531. Supervisory employees shall have the right to form, join, and participate in the activities of supervisory employee organizations of their own choosing for the purpose of representation on all matters of supervisory employer-employee relations, as set forth in Section 3532. Supervisory employees also shall have the right to refuse to join or participate in the activities of supervisory employee organizations and shall have the right to represent themselves individually in their employment relations with the public employer.

(Repealed and added by Stats. 1990, Ch. 1522, Sec. 17.)

3532. The scope of representation for supervisory employees shall include all matters relating to employment conditions and supervisory employer-employee relations including wages, hours, and other terms and conditions of employment.

(Repealed and added by Stats. 1990, Ch. 1522, Sec. 17.)

3533. Upon request, the state shall meet and confer with verified supervisory organizations representing supervisory employees on matters within the scope of representation. Prior to arriving at a determination of policy or course of action directly impacting supervisory employees, the state employer shall provide reasonable advance notice and provide the verified supervisory employee organizations an opportunity to meet and confer with the state employer to discuss alternative means of achieving objectives. Advance notice may be written, oral, or electronic. "Meet and confer" shall mean that the state employer shall consider as fully as it deems reasonable, such presentations as are made by the verified supervisory employee organization on behalf of its supervisory members prior to arriving at a determination of policy or course of action. The final determination of policy or course of action shall be the sole responsibility of the state employer.

When the state employer determines that, due to an emergency or other immediate operational necessity, a law, rule, resolution, or regulation must be adopted immediately without prior notice or meeting and conferring with excluded employee organizations, the state employer shall provide notice and opportunity to meet and confer at the earliest practical time following the adoption of the law, rule, resolution, or regulation.

(Amended by Stats. 2004, Ch. 654, Sec. 2.)

3534. The state employer shall allow a reasonable number of supervisory public employee representatives of verified supervisory employee organizations reasonable time off without loss of compensation or other benefits when meeting and conferring with representatives of the state employer on matters within the scope of representation for supervisory employees.

Repealed and added by Stats. 1990, Ch. 1522, Sec. 17.)

3535. The Department of Personnel Administration may adopt rules and regulations for the administration of excluded employer-employee relations, including supervisory employer-employee relations, under these provisions. Such rules and regulations may include provisions for:

- (a) Verifying that an excluded employee organization does in fact represent excluded employees.
- (b) Verifying the official status of excluded employee organization officers and representatives.
- (c) Access of excluded employee organization officers and representatives to work locations.
- (d) Use of official bulletin boards and other means of communication by excluded employee organizations.
- (e) Furnishing nonconfidential information pertaining to excluded employee relations to excluded employee organizations.
- (f) Any other matters as are necessary to carry out the purposes of this chapter.

(Repealed and added by Stats. 1990, Ch. 1522, Sec. 17.)

3536. The state may adopt reasonable rules and regulations providing for designation of the management and confidential employees of the state and restricting these employees from representing any employee organization, which represents other employees of the state, on matters within the scope of representation. Except as specifically provided otherwise in this chapter, this section does not otherwise limit the right of excluded employees to be members of and to hold office in an excluded employee organization.

(Repealed and added by Stats. 1990, Ch. 1522, Sec. 17.)

3537. Every excluded employee organization shall submit an annual registration statement on or before July 1 of each calendar year to the Department of Personnel Administration. The registration statement shall, at a minimum, list the name of the organization, its affiliations, headquarters, and other business addresses, its principal business telephone number, a list of principal officers and representatives, and a copy of its organization bylaws.

(Added by Stats. 1990, Ch. 1522, Sec. 17.)

3538. The state employer and excluded employee organizations shall not interfere with, intimidate, restrain, coerce, or discriminate against supervisory employees because of their exercise of their rights under this article.

(Added by Stats. 1990, Ch. 1522, Sec. 17.)

3539. The enactment of this chapter shall not make Section 923 of the Labor Code applicable to state employees.

(Added by Stats. 1990, Ch. 1522, Sec. 17.)

3539.5 (a) The Department of Personnel Administration may adopt or amend regulations to implement employee benefits for those state officers and employees excluded from, or not otherwise subject to, the Ralph C. Dills Act (Chapter 10.3 (commencing with Section 3512)).

(b) These regulations shall not be subject to the review and approval of the Office of Administrative Law pursuant to the Administrative Procedure Act (Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2). These regulations shall become effective immediately upon filing with the Secretary of State.

(Amended by Stats. 2006, Ch. 538, Sec. 227.)