

Subject: SUPERVISOR VS. LEAD PERSON RESPONSIBILITIES

REFERENCES	SECTIONS
Law & Regulation http://leginfo.legislature.ca.gov/faces/codes.xhtml;jsessionid=ec740fb92d7f258ccc38ebd5c0c9	GC: 3513(g)
Memorandum of Understanding (MOU) http://www.calhr.ca.gov/state-hr-professionals/Pages/bargaining-contracts.aspx	BU 1 Lead Responsibilities 11.25.1

Supervisor vs. Lead Person Responsibilities

Purpose

The purpose of this section is to provide information regarding the differences between supervisor/lead person responsibilities.

Note: When assigning lead person responsibilities to an employee (acceptance is voluntary unless specifically stated in the classification specification), the duty statement shall reflect these duties and the revised duty statement submitted to the assigned Classification and Pay (C&P) Analyst for review and approval. Additionally, a copy of the duty statement shall be provided to the employee to inform him/her of his/her performance expectations.

Supervisor definition

A supervisor is an employee whose primary duty is management of an organizational unit within which s/he regularly directs the work of other employees. S/he regularly makes decisions with respect to the execution of work within the unit. S/he spends time performing work, the work is of a higher level than that of the employees supervised.

The “legal” definition for a “supervisory employee” as stated in Government Code (GC) 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, layoff, recall, promote, discharge, assign, reward, or discipline other employees, or responsibility to direct them, adjust their grievances, effectively recommend such 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.

Lead person definition

A lead person is a working leader. S/he performs tasks substantially similar (in terms of nature and level) as the employees under his/her leadership. In addition, s/he has responsibility for assisting the supervisor in carrying out certain aspects of the supervisor’s responsibility.

A lead person can function anywhere on a continuum of tasks from merely answering technical questions or handling the more difficult assignments at one end to performing a full range of stronger tasks such as assigning tasks within the work project, and reviewing work; at the other end.

Continued on next page

Supervisor vs. Lead Person Responsibilities, Continued

Tasks a lead person should not perform

- authorize/approve overtime
- sign attendance reports
- approve travel claims advances
- approve training requests
- respond to grievances
- issue formal evaluations
- make hiring decisions
- sign documents on behalf of the Department
- conduct corrective interviews/issue corrective memorandums
- approve/disapprove Merit Salary Adjustments (MSA) or Special In-grade Salary Adjustments (SISA)

This does not preclude the lead person's involvement in the above tasks. The lead person may be required to:

- draft performance evaluations
- identify areas of deficiency
- assist in identifying appropriate corrective action
- participate in hiring interviews

The concept is that the lead person may participate in these tasks, but the supervisor maintains ultimate authority, and signs documents on behalf of the department.

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Supervisor vs. Lead Person Responsibilities, Continued

Responsibilities to management The following chart depicts the supervisor/lead person responsibilities to management.

Supervisor	Lead Person
<ul style="list-style-type: none"> • awareness of the organizational mission and goals, as well as those of his/her own immediate division, branch, program • adopting self-improvement as a way of life. This is key to growth and creativity • being a role model for others • supporting/advocating management philosophy, policies, and procedures 	<ul style="list-style-type: none"> • assist management in establishing program goals and objectives • ensure project work plan is followed (may assist in developing plan) • determine action steps, time frames, and resources for achieving the goals and objectives • evaluate and keep management apprised of status and progress of work including delays, modifications, and/or problems • identify and elevate issues to management • identify and request resources needed to efficiently and effectively accomplish work objectives

Responsibilities to team members The following chart depicts the supervisor/lead person responsibilities to team members.

Supervisor	Lead Person
<ul style="list-style-type: none"> • ability to get people to work toward achieving organizational goals • ability to visualize the requirements of production/service and the needs of people and being able to balance the two • involves motivating, training, and creating a positive climate for change 	<ul style="list-style-type: none"> • facilitate assessment of team's knowledge, skill and ability for accomplishing project/tasks • provide necessary on-the-job training, coaching, mentoring • ensure decisions made are congruent with the goals and objectives of the project • resolve issues through agreeable solutions or consensus, using active listening and non-threatening questioning techniques • communicate on a timely basis with management, team members, and others who need to know or be involved • coordinate work goals and objectives: <ul style="list-style-type: none"> ➤ act as a contact person for unit ➤ obtain input and involve team members regularly; listen to feedback ➤ facilitate completion of work assignments ➤ ensure that resources, supplies, and materials are available

Continued on next page 121.3

Supervisor vs. Lead Person Responsibilities, Continued

Suggestions for accomplishing responsibilities to management The following chart depicts suggestions for accomplishing responsibilities to management.

Supervisor	Lead Person
<ul style="list-style-type: none"> • knowledge of how to manage • ability to get the right things accomplished through the wise use of the talents of others • understands the overall mission of the organization and ensures that the work area contributes to that mission • sees supervision as a continuing process • respects the value of time and does not squander it • embraces work as a challenging and enjoyable part of life and seeks to impart that dynamic appreciation in others • know that there is a time for thought and a time for action and that failure to act can be as harmful as taking the wrong action 	<ul style="list-style-type: none"> • each program or project should operate on specific identifiable goals • periodic evaluation of the plan is necessary to maintain focus • the project plan should contain action steps, time frames, and tasks for accomplishing the goals/objectives • status reporting meetings scheduled on a routine basis and including lead, team members, and management will keep everyone informed • issues should be communicated on a routine basis. They can include shifts in targets, program concerns, needs, assignments, resources • requests needed supplies, resources, overtime from management

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Supervisor vs. Lead Person Responsibilities, Continued

Suggestions for accomplishing responsibilities to team members

The following chart depicts suggestions for accomplishing responsibilities to team members.

Supervisor	Lead Person
<ul style="list-style-type: none"> • need technical knowledge of methods and/or equipment to keep employees' respect • know employee development is essential for the good of all • set and maintain reasonable job standards and helps employees reach and exceed those standards • realize that people change and that their evolving needs and expectations must be known and accommodated • consciously build a positive culture and attitude in the work area because the spirit of a group is far more powerful and lasting than all of the rules, regulations, and memoranda combined 	<ul style="list-style-type: none"> • assessments can be achieved through evaluations, interviews, feedback, observations and agreements • developing the team and the individual in particular is essential • continually ask, "does this decision help achieve the goals and objectives of this program and is it aligned with the vision, values, and principles of our department?" • negotiating agreements, solving problems and developing a high performing team is a valuable learning experience • timely communication involves all team members and management prior to final decisions. Include anyone impacted by the program or anyone who can provide input, vital information, statistics, legal opinions • ensure that the unit meets established goals; <ul style="list-style-type: none"> ➤ serve as the contact person ➤ schedule and attend meetings that impact the group or where decisions are being considered ➤ keep the team informed ➤ solicit feedback ➤ facilitate completion of work assignments ➤ ensure all team members are properly equipped to accomplish their tasks

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Supervisor vs. Lead Person Responsibilities, Continued

Duties substantially similar to subordinates

While some supervisory duties may be performed, lead persons do, in fact, perform duties substantially similar to subordinates. Lead persons' exercise of authority must be routine or clerical in nature. Routine means common, everyday regular or customary. Clerical means without discretion. Performance of one or more supervisory functions must not be on a regular and/or continuous basis.

Applying duties substantially similar to subordinates

Lead persons doing "duties substantially similar to subordinates: is applied differently depending on the setting:

If	Then
The lead person and all members of the work crew are in the same class	It is appropriate for the lead person to: <ul style="list-style-type: none"> • do work appropriate for the class even though others in the class are doing different work which is also appropriate to the class, or • do work appropriate for the class along with other crew members who are doing similar or the same kind of work
The lead person is not in the same class as other crew members	It is appropriate for the lead person to do work appropriate for his/her class while the other crew members do work appropriate for their class(es)
What lead persons may not do is simply "oversee" the work of others doing work typical for the lead persons' class a substantial part of the time.	

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Supervisor vs. Lead Person Responsibilities, Continued

Attachments The charts on the following pages depicts the typical responsibilities of a supervisor/lead person and his/her authority.

RESPONSIBILITY TYPICALLY APPROPRIATE FOR:
(X indicates the person who has the responsibility)

Responsibility	Supervisor	Lead Person
Selecting employees	X	
Transferring employees	X	
Training employees	X	X
Promoting employees	X	
Preparing performance appraisals and development plans	X	
Providing input on performance		X
Approving or recommending MSA or SISA	X	
Assigning work	X	
Assigning tasks within the work assignment	X	X
Reviewing work (deadlines and quality)	X	X
Approving overtime, time off, vacation, sign off time sheets	X	
Disciplining employees (formal and informal)	X	
Rewarding employees (commendation letters)	X	X
Preparing and approving budget requests	X	
Preparing recommendations relating to plans, budget requests, procedures and policies within the work unit	X	X
Approving changes in plans, procedures and policies within the work unit	X	
Making recommendations for layoffs and recalls	X	
Working to resolve employee grievances	X	
Set work hours (alternate work schedules, shift, overtime)	X	
Order travel, sign travel expense claims	X	
Justify, request and approve equipment and/or supply orders	X	

SUPERVISOR vs LEAD PERSON RESPONSIBILITIES

All of the following activities must be performed in accordance with existing rules, policy and applicable Memoranda of Understanding (MOU).

The following code indicates who can:

- A = Approve
- MR = May Recommend/Prepare
- MA = May Approve/Authorize/Carry-Out

Responsibility	Supervisor	Lead Person
Approve MSA or SISA	A	MR
Sign probation reports, individual development plans (IDP)	A	MR
Sign examination evaluation material (when not a competitor in the same exam)	A	MR
Approve unit training plan	A	MR
Authorize training course attendance when contained in training plan	A	MR
Make hiring commitment	A	MR
Make promotional commitments	A	MR
Sign letter confirming corrective interview	A	MR
Sign letters of warning	A	MR
Sign adverse actions	MR	MR
Sign rejection on probation	MR	MR
Resolve grievances	MA	MR
Grant leaves of absence	MA	MR
Establish shifts, including 4/40, etc.	MA	MR
Authorize overtime payment (CTO vs. Cash)	MA	MR
Make shift changes (whole shifts)	MA	MR
Sign travel expense claims	A	MR
Sign time sheets	A	MR
Set hours of work and variations (individuals)	A	MR
Authorize absence without pay (dock), vacation, annual leave, and use of CTO or Holiday	A	MR
Approve sick leave	A	MR
Disapprove sick leave	A	MR
Require sick leave substantiation	A	MR
Authorize overtime or schedule overtime	A	MR
Order travel	A	MR
Assign tasks within the work assignment		MA
Evaluate day-to-day work performed		MA
Train employee		MA
Establish work rules and procedures	A	MR
Enforce work rules and procedures		MA