

Pittsburg State University
Human Resource Services
FAIR LABOR STANDARDS ACT (FLSA) QUESTIONNAIRE

Human Resource Services is auditing positions to determine the FLSA status (exempt or non-exempt) of select positions. The first step requires completion of the appropriate sections of this survey. If appropriate for the position, you can complete more than one section. The content of the survey was developed from the FLSA Regulation, Part 541 "Defining and delimiting the exemptions for Executive, Administrative, Professional, Outside Sales and Computer Employees."

If the answers to the survey indicate a preliminary determination of exempt, then the next step will be to analyze a detailed position description for the position to confirm that the position is exempt. The department will need to provide a position description for unclassified positions. A meeting with the employee and supervisor may also be needed to gather more information to determine the appropriate FLSA status.

Employee Name: _____ **Dept:** _____
Supervisor Name: _____ **Pos#:** _____
Job Title: _____ **Class. or Unc?:** _____

HRS Use Only:

Determination based on questionnaire: _____ *Exempt* _____ *Non-exempt*

_____ *If Non-exempt, notify employee and supervisor of T & L Requirements*
_____ *Effective Date of Change:*

_____ *If Exempt, review position description.*

Determination based on PD review and meetings with supervisor & employee:

_____ *Exempt* _____ *Non-exempt*

_____ *If Non-exempt, notify employee and supervisor of T & L Requirements*
_____ *Effective Date of Change:*

Comments:

HRS Director

Date

EXECUTIVE DUTIES TEST

Please refer to the FLSA Definitions at the end of the questionnaire for a description of the terms in **bold**. If you answer "Yes" to questions 2 - 4, provide specific examples of work performed that supports your answer. An employee who meets the executive duties test is exempt. An employee must meet all of the following requirements to be exempt.

1. Is his/her weekly salary \$455 or more, (\$23,660/yr) exclusive of board, lodging, or other facilities?
2. Is his/her **primary duty** the **management** of the enterprise in which the employee is employed or of a customarily recognized **department or subdivision** thereof?
3. Does he/she customarily and regularly direct/supervise the work of **two or more other employees** (does not include lead worker type of positions)?
4. Does he/she have the authority to hire or fire other employees or are his/her suggestions and recommendations as to the hiring, firing, advancement, promotion or any other change of status of other employees given **particular weight**?

Completed By: _____

Date: _____

ADMINISTRATIVE DUTIES TEST

Please refer to the FLSA Definitions at the end of the questionnaire for a description of the terms in bold. If you answer "Yes" to questions 2 -3, provide specific examples of work performed that supports your answer. An employee who meets the administrative duties test is exempt. An employee must meet all of the following requirements to be exempt.

Tip for the Administrative Duties Test

1. *Carefully review situations in which employees merely gather data, monitor information, compile basic reports, notify managers of information obtained and perform routine clerical tasks associated with management or general business operations. Employees that primarily perform these functions will not be exempt.*
2. *The performance of administrative functions related to academic instruction that are directly involved in the field of education, such as academic counselors who assist students with academic problems and advise students regarding degree requirements; department heads responsible for the administration of the department; deans or any assistants responsible for matters such as curriculum, quality and methods of instructing, measuring and testing learning potential and achievement of students, establishing and maintaining academic grading standards.*
3. *The exercise of discretion and independent judgment does not involve the use of skills in applying techniques, procedures or specific standards.*
4. *Carefully consider positions in which detailed standards, guidelines, policy manuals, review from supervisors limits an employee's opportunity to make independent decisions. Where specific present standards are applied, the employee does not exercise independent judgment and discretion.*

1. Is his/her weekly salary \$455 or more, (\$23,660/yr) exclusive of board, lodging, or other facilities?

2. Is his/her **primary duty** the performance of office or non-manual work **directly related to the management or general business operations** of the employer or the employer's customers? Or

Is his/her **primary duty** the performance of administrative functions related to academic instruction or training operations and functions of the University?

ADMINISTRATIVE DUTIES TEST, continued

3. Does his/her **primary duty** include the exercise of **discretion and independent judgment** with respect to matters of significance?

Completed By: _____ Date: _____

PROFESSIONAL DUTIES TEST

Please refer to the FLSA Definitions at the end of the questionnaire for a description of the terms in **bold**. If you answer "Yes" to questions 2, provide specific examples of work performed that supports your answer. An employee who meets the professional duties test is exempt. An employee must meet the requirement of #1 and at least one of the options in #2 to be exempt.

Tip for the Professional Duties Test

Professions which are covered by this exemption include law, medicine, nursing, accounting, actuarial computation, engineering, teaching and various types of physical, chemical and biological sciences.

1. Is his/her weekly salary \$455 or more, (\$23,660/yr) exclusive of board, lodging, or other facilities?

2. Is his/her **primary duty**:
 - a. **Work requiring knowledge of an advanced type** in a **field of science or learning** customarily acquired by a **prolonged course of specialized intellectual instruction**; or
 - b. Work requiring **invention, imagination, originality or talent** in a recognized **field of artistic or creative endeavor**; or
 - c. Teaching, tutoring, instructing, or lecturing in the activity of imparting knowledge.

Completed By: _____

Date: _____

COMPUTER PROFESSIONAL DUTIES TEST

Please refer to the FLSA Definitions at the end of the questionnaire for a description of the terms in bold. If you answer "Yes" to questions 2, provide specific examples of work performed that supports your answer. Note that an employee who does not meet the Computer Professional Duties test may meet the Executive or Administrative Duties tests.

Tips for the Computer Professional Duties Test

The following duties are non-exempt:

1. *Assisting users in identifying hardware/software needs and providing advice regarding those needs.*
2. *Designing web pages.*
3. *Installing, configuring and upgrading hardware and software at workstations.*
4. *Analyzing, troubleshooting and resolving problems with computers.*
5. *Manufacturing or repairing of computer hardware and related equipment.*
6. *Programmers that use software to make programming changes.*
7. *Security analysts or systems gate-keepers.*

Employees whose work is highly dependent upon, or facilitated by, the use of computers and computer software programs (e.g., engineers, drafters and others skilled in computer-aided design software), but who are not primarily engaged in computer systems analysis and programming or other similarly skilled computer-related occupations are also not exempt computer professionals.

1. Is his/her weekly salary \$455 or more, (\$23,660/yr) exclusive of board, lodging, or other facilities or, if compensated on an hourly basis, at a rate not less than \$27.63 an hour?
2. Does his/her **primary duty** consist of:
 - a. The application of systems analysis techniques and procedures, including consulting with users, to determine hardware, software or system functional specifications; or
 - b. The design, development, documentation, analysis, creation, testing or modification of computer systems or programs, including prototypes, based on and related to user or system design specifications; or
 - c. The design, documentation, testing, creation or modification of computer programs related to machine operating systems; or
 - d. A combination of the aforementioned duties, the performance of which requires the same level of skills.

Completed By: _____

Date: _____

FLSA Definitions

Primary duty

To qualify for exemption under this part, an employee's "primary duty" must be the performance of exempt work. The term "primary duty" means the principal, main, major or most important duty that the employee performs. Determination of an employee's primary duty must be based on all the facts in a particular case, with the major emphasis on the character of the employee's job as a whole. Factors to consider when determining the primary duty of an employee include, but are not limited to, the relative importance of the exempt duties as compared with other types of duties; the amount of time spent performing exempt work; the employee's relative freedom from direct supervision; and the relationship between the employee's salary and the wages paid to other employees for the kind of nonexempt work performed by the employee.

The amount of time spent performing exempt work can be a useful guide in determining whether exempt work is the primary duty of an employee. Thus, employees who spend more than 50 percent of their time performing exempt work will generally satisfy the primary duty requirement. Time alone, however, is not the sole test, and nothing in this section requires that the exempt employees spend more than 50 percent of their time performing exempt work. Employees who do not spend more than 50 percent of their time performing exempt duties may nonetheless meet the primary duty requirement if other factors support such a conclusion such as receiving broad supervision or having the authority to hire or fire other employees.

Management

Generally, "management" includes, but is not limited to, activities such as interviewing, selecting, and training of employees; setting and adjusting their rates of pay and hours of work; directing the work of employees; maintaining production or sales records for use in supervision or control; appraising employees' productivity and efficiency for the purpose of recommending promotions or other changes in status; handling employee complaints and grievances; disciplining employees; planning the work; determining the techniques to be used; apportioning the work among the employees; determining the type of materials, supplies, machinery, equipment or tools to be used or merchandise to be bought, stocked and sold; controlling the flow and distribution of materials or merchandise and supplies; providing for the safety and security of the employees or the property; planning and controlling the budget; and monitoring or implementing legal compliance measures.

Department or subdivision

The phrase "a customarily recognized department or subdivision" is intended to distinguish between a mere collection of employees assigned from time to time to a specific job or series of jobs and a unit with permanent status and function. A customarily recognized department or subdivision must have a permanent status and a continuing function. For example, a large employer's human resources department might have subdivisions for labor relations, pensions and other benefits, equal employment opportunity, and personnel management, each of which has a permanent status and function.

When an enterprise has more than one establishment, the employee in charge of each establishment may be considered in charge of a recognized subdivision of the enterprise.

A recognized department or subdivision need not be physically within the employer's establishment and may move from place to place. The mere fact that the employee works in more than one location does not invalidate the exemption if other factors show that the employee is actually in charge of a recognized unit with a continuing function in the organization.

Continuity of the same subordinate personnel is not essential to the existence of a recognized unit with a continuing function. An otherwise exempt employee will not lose the exemption merely because the employee draws and supervises workers from a pool or supervises a team of workers drawn from other recognized units, if other factors are present that indicate that the employee is in charge of a recognized unit with a continuing function.

Two or more other employees

To qualify as an exempt executive the employee must customarily and regularly direct the work of two or more other employees. The phrase “two or more other employees” means two full-time employees or their equivalent. One full-time and two half-time employees, for example, are equivalent to two full-time employees. Four half-time employees are also equivalent. An employee who merely assists the manager of a particular department and supervises two or more employees only in the actual manager’s absence does not meet this requirement.

Particular weight

To determine whether an employee’s suggestions and recommendations are given “particular weight,” factors to be considered include, but are not limited to, whether it is part of the employee’s job duties to make such suggestions and recommendations; the frequency with which such suggestions and recommendations are made or requested; and the frequency with which the employee’s suggestions and recommendations are relied upon. Generally, an executive’s suggestions and recommendations must pertain to employees whom the executive customarily and regularly directs. It does not include an occasional suggestion with regard to the change in status of a co-worker. An employee’s suggestions and recommendations may still be deemed to have “particular weight” even if a higher-level manager’s recommendation has more importance and even if the employee does not have authority to make the ultimate decision as to the employee’s change in status.

Directly related to management or general business operations

To qualify for the administrative exemption, an employee’s primary duty must be the performance of work directly related to the management or general business operations of the employer or the employer’s customers. The phrase “directly related to the management or general business operations” refers to the type of work performed by the employee. To meet this requirement, an employee must perform work directly related to assisting with the running or servicing of the business, as distinguished, for example, from working on a manufacturing production line or selling a product in a retail or service establishment.

Work directly related to management or general business operations includes, but is not limited to, work in functional areas such as tax; finance; accounting; budgeting; auditing; insurance; quality control; purchasing; procurement; advertising; marketing; research; safety and health; personnel management; human resources; employee benefits; labor relations; public relations, government relations; computer network, internet and database administration; legal and regulatory compliance; and similar activities. Some of these activities may be performed by employees who also would qualify for another exemption.

An employee may qualify for the administrative exemption if the employee’s primary duty is the performance of work directly related to the management or general business operations of the employer’s customers. Thus, for example, employees acting as advisers or consultants to their employer’s clients or customers (as tax experts or financial consultants, for example) may be exempt.

Discretion and independent judgment

To qualify for the administrative exemption, an employee's primary duty must include the exercise of discretion and independent judgment with respect to matters of significance. In general, the exercise of discretion and independent judgment involves the comparison and the evaluation of possible courses of conduct, and acting or making a decision after the various possibilities have been considered. The term "matters of significance" refers to the level of importance or consequence of the work performed.

The phrase "discretion and independent judgment" must be applied in the light of all of the facts involved in the particular employment situation in which the question arises. Factors to consider when determining whether an employee exercises discretion and independent judgment with respect to matters of significance include, but are not limited to: whether the employee has authority to formulate, affect, interpret, or implement management policies or operating practices; whether the employee carries out major assignments in conducting the operations of the business; whether the employee performs work that affects business operations to a substantial degree, even if the employee's assignments are related to operation of a particular segment of the business; whether the employee has authority to commit the employer in matters that have significant financial impact; whether the employee has authority to waive or deviate from established policies and procedures without prior approval; whether the employee has authority to negotiate and bind the company on significant matters; whether the employee provides consultation or expert advice to management; whether the employee is involved in planning long- or short-term business objectives; whether the employee investigates and resolves matters of significance on behalf of management; and whether the employee represents the company in handling complaints, arbitrating disputes or resolving grievances.

The exercise of discretion and independent judgment implies that the employee has authority to make an independent choice, free from immediate direction or supervision. However, employees can exercise discretion and independent judgment even if their decisions or recommendations are reviewed at a higher level. Thus, the term "discretion and independent judgment" does not require that the decisions made by an employee have a finality that goes with unlimited authority and a complete absence of review. The decisions made as a result of the exercise of discretion and independent judgment may consist of recommendations for action rather than the actual taking of action. The fact that an employee's decision may be subject to review and that upon occasion the decisions are revised or reversed after review does not mean that the employee is not exercising discretion and independent judgment.

An employer's volume of business may make it necessary to employ a number of employees to perform the same or similar work. The fact that many employees perform identical work or work of the same relative importance does not mean that the work of each such employee does not involve the exercise of discretion and independent judgment with respect to matters of significance.

The exercise of discretion and independent judgment must be more than the use of skill in applying well-established techniques, procedures or specific standards described in manuals or other sources. The exercise of discretion and independent judgment also does not include clerical or secretarial work, recording or tabulating data, or performing other mechanical, repetitive, recurrent or routine work. An employee who simply tabulates data is not exempt, even if labeled as a statistician."

An employee does not exercise discretion and independent judgment with respect to matters of significance merely because the employer will experience financial losses if the employee fails to perform the job properly. For example, an employee who operates very expensive equipment does not exercise discretion and independent judgment with respect to matters of significance merely because improper performance of the employee's duties may cause serious financial loss to the employer.

Work Requiring Advanced Knowledge

The phrase “work requiring advanced knowledge” means work which is predominantly intellectual in character, and which includes work requiring the consistent exercise of discretion and judgment, as distinguished from performance of routine mental, manual, mechanical or physical work. An employee who performs work requiring advanced knowledge generally uses the advanced knowledge to analyze, interpret or make deductions from varying facts or circumstances. Advanced knowledge cannot be attained at the high school level.

Field of Science or Learning

The phrase “field of science or learning” includes the traditional professions of law, medicine, theology, accounting, actuarial computation, engineering, architecture, teaching, various types of physical, chemical and biological sciences, pharmacy and other similar occupations that have a recognized professional status as distinguished from the mechanical arts or skilled trades where in some instances the knowledge is of a fairly advanced type, but is not in a field of science or learning.

Prolonged Course of Specialized Intellectual Instruction

The phrase “customarily acquired by a prolonged course of specialized intellectual instruction” restricts the exemption to professions where specialized academic training is a standard prerequisite for entrance into the profession. The best prima facie evidence that an employee meets this requirement is possession of the appropriate academic degree. However, the word “customarily” means that the exemption is also available to employees in such professions who have substantially the same knowledge level and perform substantially the same work as the degreed employees, but who attained the advanced knowledge through a combination of work experience and intellectual instruction. Thus, for example, the learned professional exemption is available to the occasional lawyer who has not gone to law school, or the occasional chemist who is not the possessor of a degree in chemistry. However, the learned professional exemption is not available for occupations that customarily may be performed with only the general knowledge acquired by an academic degree in any field, with knowledge acquired through an apprenticeship, or with training in the performance of routine mental, manual, mechanical or physical processes. The learned professional exemption also does not apply to occupations in which most employees have acquired their skill by experience rather than by advanced specialized intellectual instruction.

Invention, Imagination, Originality, or Talent

The requirement of “invention, imagination, originality or talent” distinguishes the creative professions from work that primarily depends on intelligence, diligence and accuracy. The duties of employees vary widely, and exemption as a creative professional depends on the extent of the invention, imagination, originality or talent exercised by the employee.

Field of Artistic or Creative Endeavor

To qualify for exemption as a creative professional, the work performed must be “in a recognized field of artistic or creative endeavor.” This includes such fields as music, writing, acting and the graphic arts.