

Part A - CONTRIBUTIONS / PARTICIPANTS

DUE by NOVEMBER 1

This report covers the period
 9/01/11 through 08/31/12.

1. Institution Name:

The University of Texas Southwestern Medical Center

2. Total Employer Contribution Rate(s) during FY12:

(6.0% state base rate plus any local supplement for a maximum 8.5%)

Group <i>(See Appendix C for definitions.)</i>	Total Employer Contribution Rate <i>(% = base + supplement)</i>	Number of Participants *
Grandfather	8.50%	406
Non-Grandfather	8.50%	1,982
Total Number of Participants		2,387

* Enter No. of Participants for both groups even if the rates are the same.

3. Employer Contributions during FY12:

Employer Contribution Funding Source <i>(See Appendix A for definitions.)</i>	Number of Participants <i>(See Appendix B.)</i>	Employer Contributions for these participants
General Revenue Funds	425.84	\$3,670,831
Other Educational and General Funds	2.34	\$6,831
Non-Educational and General Funds	1,074.80	\$17,197,519
Federal Funds and Private Grants	884.02	\$5,231,707
Other (SHSU): LEMIT Fund 581		
Other (SHSU): CMIT Fund 5083		
Other (TAMUS): Special		
Other (THECB): Collected		
Other (specify):		
Total	2,387.00	\$26,106,889

4. Employee Contributions during FY12 (6.65%):

\$20,425,354

5. Total ORP Contributions during FY12:

\$46,532,243

COMMENTS:

Part A - CONTRIBUTIONS / PARTICIPANTS

DUE by NOVEMBER 1

Electronic Funds Transfer (EFT)

1. Institution Name:

The University of Texas Southwestern Medical Center

Statutory Requirement regarding EFT

Section 830.202 of the ORP statute (Texas Government Code, Chapter 830) requires the following:

- An institution must send ORP contributions to ORP companies by electronic funds transfer (EFT) if the institution is currently able to send funds by EFT.
- If an ORP company is unable to receive funds by EFT, the institution must certify such to the Coordinating Board.
- At least once each fiscal year, institutions must give notice to each ORP participant indicating which ORP companies are unable to receive funds by EFT.

2. Mark one box to indicate the EFT status of your ORP companies during FY12:

- All companies that received ORP contributions from this institution in FY12 were able to receive ORP contributions by EFT from this institution in FY12.
- Some or all companies that received ORP contributions from this institution in FY12 were not able to receive ORP contributions by EFT from this institution in FY12. *(Indicate below in #3 which companies were not able to receive ORP contributions from this institution by EFT in FY12.)*
- Other (explain):

3. The following companies were not able to receive ORP contributions by EFT from this institution in FY12:

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

Part A - CONTRIBUTIONS / PARTICIPANTS

DUE by NOVEMBER 1

Data Certification

1. Institution Name:

The University of Texas Southwestern Medical Center

2. PREPARED BY:

Name: Regena Williams Address: 5323 Harry Hines Boulevard
Title: Accounting Supervisor, Payroll Dallas, TX 75390-9018
Phone: 214.648.0133
Fax: 214.648.0131 E-mail: Regena.Williams@UTSouthwestern.edu

3. APPROVED BY (Certifying Official):

Name: Sharon Leary Address: 5323 Harry Hines Boulevard
Title: Assistant VP of Accounting and Post Awards Dallas, TX 75390-9029
Phone: 214.648.0100
Fax: 214.648.0104 E-mail: Sharon.Leary@UTSouthwestern.edu

4. Check here to indicate that a list of authorized ORP companies during FY12 has been submitted in accordance with item #7-a in the Instructions.

5. CERTIFICATION

The information given in Part A of this report, including requested attachments, is correct and true to the best of my knowledge and is in accordance with applicable statutes and rules.



Signature of Certifying Official

10/25/12

Date

>>> Submit this signed page in accordance with item #6 in the Instructions (scan is preferred). <<<

Part B - ELIGIBILITY

DUE by NOVEMBER 1

This report covers the period
9/01/11 through 08/31/12.

1. Institution Name: The University of Texas Southwestern Medical Center

2. LIST OF ORP-ELIGIBLE POSITIONS

Check here to indicate that a list of positions eligible for ORP during FY12 has been submitted in accordance with item #7-b in the Instructions.

NOTE: List each "Director" position individually (e.g., Director of HR, Payroll Director) rather than listing one category called Director.

3. ORP ELECTION

- a. Number of employees who initially became eligible for ORP during FY12 and elected to participate in ORP:
- b. Number of employees who initially became eligible for ORP during FY12 and elected to remain in TRS:
- c. Total number of employees who initially became eligible for ORP during FY12:

Number	Percentage
293	69.9%
126	30.1%
419	100%

4. CERTIFICATION

- a. All non-classified positions at my institution have been reviewed for eligibility to participate in the Optional Retirement Program.
- b. The list of ORP-eligible positions submitted in response to item #2 above is in compliance with Chapter 25, Rules and Regulations of the Texas Higher Education Coordinating Board.



Signature of Certifying Official

10/31/2012

Date

Name: Shirlee P. Sow, SPHR
Title: Director, Employee Benefits & Retirement
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Dallas, TX 75235-9023
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COMMENTS:

**UT Southwestern Medical Center
ORP ELIGIBILITY TITLES
2011-2012**

President
Executive Vice President
Vice President
Adjunct, Professor
Associate, Vice President
Assistant, Vice President
Dean
Associate Dean
Assistant Dean
Executive Director
Director*
Director, Animal Resources Center
Director, Cancer Center Administration
Director, Design & Construction
Director, Emergency Services
Director, Finance/Controller
Director, Health Information Management
Director, Housekeeping
Director, Laboratory Services
Director, Medical Surgical Services
Director, Medication Safety
Director, Pharmacy Services
Director, Transplant Services
Director, Employee Assistance Program
Director, Performance Improvement & Clinical
Education
Director, Financial Planning
Chief, University Police
Chief, Operating Officer
Clinical Staff Pharmacist

Professor
Professor, Assistant
Associate Professor
Associate Professor, Research
Associate Professor, Clinical
Instructor
Instructor, Research
Instructor, Clinical
Assistant Instructor
Faculty Associate
Chief Nurse Anesthetist
Nurse Anesthetist
Postdoctoral Researcher
Postdoctoral Fellows (Chinese)
Postdoctoral Trainee Cln/Res
Visiting Reciprocal Scholar
0513 Manager, University Hospitals**

*Director – If head of administrative department –
may or may not be eligible in other areas (see attached list)

**0513 Manager, University Hospitals – If responsible for managing the budget
in the hospital and report directly to head of a hospital administrative department. Approval of Executive
Vice President of Human Resources prior to offer of ORP.

Plan Participation Report for UTGA729 - ALL ORP from 09/01/2011 to 08/31/2012 (All Carriers) - as of 10/31/2012 3:32:43 PM

Carrier	Preferred Name	Type	Transmission Method	Percent Participants	Number of Participants
Fidelity Investments	115	Approved	Wire	1040.85	1088
ING UTSaver Direct Variable Annuity	INGDV	Approved	Wire	530.52	567
Lincoln Financial Group	49	Approved	Wire	227.85	248
Metropolitan Life Insurance Company	52	Grandfathered	Wire	106.35	127
TIAA-CREF	81	Approved	Wire	385.23	412
VALIC	88	Approved	Wire	98.2	107
		TOTALS		2389	2549
Eligible Enrolled	293	Eligible Not Enrolled	126	Total Eligible	419
				Number Of Participants who made contributions	2389

TEXAS HIGHER EDUCATION COORDINATING BOARD
Fiscal Year 2012 Report on Optional Retirement Program Participation

APPENDIX A
Fund Definitions

(for completion of item 3 on Page 1)

FUND NAME	FUND DEFINITION
General Revenue Funds	Appropriated General Revenue Funds.
Other Educational and General Funds	Appropriated funds, other than General Revenue. Includes tuition and fees at general academic and health-related institutions, and at Texas State Technical College System. Includes all General Revenue-Dedicated funds.
Non-Educational and General Funds	Non-appropriated funds, other than federal or private funds. Includes designated funds, auxiliary funds, endowment funds, and restricted funds. Also includes tuition and fees at community and junior colleges.
Federal Funds and Private Grants	Non-appropriated funds from the federal government or from private sources.
Other (specify)	None of the above funds (e.g., Available University Funds). Please indicate the name of the fund when completing the form.

TEXAS HIGHER EDUCATION COORDINATING BOARD
Fiscal Year 2012 Report on Optional Retirement Program Participation

APPENDIX B
How to Count the Number of Participants

(for completion of item 3 on Page 1)

Institutions may report participants on a Headcount basis or an FTE-type basis.

PAGE 1: FUNDING SOURCE

HEADCOUNT METHOD:

Participants are counted in only one funding source.

Participants who receive employer contributions from more than one funding source are reported as "1" in the category that was considered their primary source of matching (*e.g.*, > 50%). If the sources are split 50/50 and one of the sources was General Revenue, the participant is reported in the General Revenue category.

FTE METHOD (more accurate):

Participants who receive employer contributions from more than one funding source are reported using a decimal amount for each funding source, with a total amount for each participant (all funding sources) of 1.00.

TEXAS HIGHER EDUCATION COORDINATING BOARD
Fiscal Year 2012 Report on Optional Retirement Program Participation

APPENDIX C
Grandfather Definitions

(for completion of item 2 on Page 1)

Grandfather Group	Non-Grandfather Group
<p>Each participant whose first date to participate in ORP in lieu of TRS at any Texas public institution of higher education is prior to September 1, 1995, regardless of any subsequent break in service or transfer to another institution.</p>	<p>Each participant whose first date to participate in ORP in lieu of TRS at any Texas public institution of higher education is on or after September 1, 1995.</p>
<p>Excerpt from Chapter 25</p>	
<p>25.6 Uniform Administration of ORP.</p> <p>(a) Contributions.</p> <p>(6) Contribution Rates.</p> <p>(C) Supplemental Employer Rate. Institutions may provide a supplement to the state base rate under the following conditions.</p> <p>(i) Amount of Supplemental Rate. The supplemental rate may be any amount that, when added to the state base rate, does not exceed the maximum employer rate established in the ORP statute. For example, if the state base rate is 6 percent and the maximum statutory rate is 8.5 percent, then the supplement may be any amount up to and including 2.5 percent.</p> <p>(ii) Component Institution Policies. Governing boards may establish a supplemental rate policy that covers all component institutions or may establish different policies for one or more individual components.</p> <p>(iii) Annual Determination. The governing board of each institution shall determine the amount of the supplement once per year, to be effective for the entire year.</p> <p>(iv) Method 1 – All Participants. Institutions may provide the same supplemental rate to all ORP participants, regardless of the participant's first date to participate in ORP or a break in service. If this method is selected, each ORP participant shall receive the same supplemental rate as every other participant.</p> <p>(v) Method 2 – Two Groups. Institutions may, instead of providing the same supplemental rate to all participants, provide two different supplemental rates based on a participant's first date to participate in ORP, as follows.</p> <p>(I) Grandfathered. Each participant whose first date to participate in ORP in lieu of the applicable retirement system at any ORP employer, is prior to September 1, 1995, shall receive the same supplemental rate as other participants in this group, regardless of any break in service. This group of participants shall be referred to as the grandfathered group.</p> <p>(II) Non-Grandfathered. Each participant whose first date to participate in ORP in lieu of the applicable retirement system at any ORP employer is on or after September 1, 1995, shall receive the same supplemental rate as other participants in this group, regardless of any break in service. This group of participants shall be referred to as the non-grandfathered group.</p>	