

**CERTIFICATION OF PRIOR EMPLOYMENT  
UNIVERSITY OF PENNSYLVANIA BASIC AND MATCHING PLANS**

*Must be submitted within 6 months of your hire date. Penn's contributions will begin after the completed form is received and processed by the Benefits Office.*

Faculty and staff who meet the following requirements are eligible for a waiver of the one-year waiting period for Penn contributions to the University of Pennsylvania Basic and Matching Plans.

- Your employer immediately prior to Penn was eligible to sponsor, or did sponsor, a 403(b) plan (typically an educational institution, a hospital, a religious organization, or a charity)
- You were eligible to participate in your prior employer's retirement plan; and
- You were in that eligible position for at least one year; and
- You were hired by Penn directly from the non-profit organization with no intervening employment, and were hired directly into a position eligible for the Basic and Matching Plans; and
- You return this form within 6 months of your hire date. If your form is not submitted within 6 months, you will be subject to the one-year waiting period.

*\* When an employee comes from a foreign employer, the Plan Administrator will evaluate the individual circumstances to determine eligibility for prior service credit.*

**To be completed by employee:**

Name: \_\_\_\_\_ Penn ID: \_\_\_\_\_  
E-mail: \_\_\_\_\_ Phone number: \_\_\_\_\_

I certify that between leaving the employer below and coming to the University of Pennsylvania, I did not have intervening employment.

Signature: \_\_\_\_\_ Date: \_\_\_/\_\_\_/\_\_\_\_\_

**To be completed by prior employer:**

1. Name of organization: \_\_\_\_\_  
City and State: \_\_\_\_\_
2. Is this organization *eligible* to sponsor a 403(b) Retirement Plan (regardless of whether it offers one)?  
 yes  no
3. The person above was employed from \_\_\_/\_\_\_/\_\_\_\_\_ to \_\_\_/\_\_\_/\_\_\_\_\_.
4. Was the person above eligible to participate in your organization's retirement plan for at least one year?  
 yes  no

I certify that the above information is correct.

Signature: \_\_\_\_\_ Date: \_\_\_/\_\_\_/\_\_\_\_\_  
Printed name: \_\_\_\_\_ E-mail: \_\_\_\_\_  
Title: \_\_\_\_\_

Please return completed form to the University of Pennsylvania Benefits Office via fax (**215-573-7385**), or mail (**HR-Benefits, 3451 Walnut St #600, Philadelphia, PA 19104-6205**).

*If you have any questions, please call 215-898-4436.*

**PRIOR SERVICE CREDIT  
FREQUENTLY ASKED QUESTIONS**

1. Can I enroll in the retirement plan before my Prior Service Credit is processed?

*Yes. You can enroll right away. You can enroll and learn more about the Plan [here](#).*

2. How will I know if my Prior Service Credit is approved?

*When a determination is made, you will receive a confirmation email.*

3. My position is ineligible for the Basic and Matching Plans. Is there any reason for me to submit a Certification of Prior Employment?

*No. Prior Service Credit applies to those two Plans only, and one of the criteria for Prior Service Credit is that you must be hired directly into a position eligible for the Basic and Matching Plans.*

4. If I miss employer contributions because of a delay in submitting the Certification of Prior Employment, can I receive those missed contributions retroactively?

*The plan does not allow retroactive employer contributions for Prior Service Credit. Employer contributions will begin when the completed form is received.*

5. If I am in a faculty position that is eligible for the SRA Plan only, does Prior Service Credit make me eligible for the Basic and Matching Plans?

*No. Prior Service Credit does not change your eligibility for the retirement plans. It simply waives the one-year waiting period for Penn's contributions for employees in a position that is eligible for the Basic and Matching Plans. If your position is eligible for the SRA Plan only, Prior Service Credit does not apply.*

6. Is there a list that shows retirement plan eligibility for each faculty title?

*The list is on [this webpage](#) (expand the "Faculty and Academic Support Eligibility by Title" section).*

7. Can I make a rollover contribution from a former employer's plan before my Prior Service Credit is processed?

*Yes. The one-year waiting period does not affect rollover contributions. You can make an eligible rollover contribution at any time. For more information, please contact TIAA at 877-736-6738, or Vanguard at 800-523-1188. You can learn more about rollover contributions [here](#).*