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 that is eligible upon hire 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 (large eight digits on Penn ID card): ____________
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.

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.

Name: ________________________________  E-mail: ________________________________
Title: ________________________________

How to submit:
Please email the completed form to the University of Pennsylvania Solution Center at hcmsolutioncenter@upenn.edu with the subject line “Retirement Plan Documentation.” If you are using a secure email system that requires a verification email, please send the form to LCaccamo@upenn.edu.

1/2022
1. How soon after I submit this form will my Prior Service Credit be effective?
   *Forms received by the 1st of the month will be effective as of that month’s pay. If received after the 1st of the month, Prior Service Credit will be effective as of the 1st of the following month.*

2. How will I know if my Prior Service Credit is approved?
   *When a determination is made, you will receive a confirmation email.*

3. Can I enroll in the retirement plan before my Prior Service Credit is processed?
   *You can enroll before your Prior Service Credit is processed to start making employee contributions, but you will need to re-enroll after your prior service credit is processed to make elections for your employer contributions. Any contributions made without an election in place will default to the Vanguard Target Retirement Fund closest to the year you turn 65.*

4. Where can I enroll in the retirement plan?
   *You can enroll from the Saving for Retirement home page.*

5. 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.*

6. 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.*

7. 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).*

8. 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 the TIAA Retirement Call Center at 877-736-6738. You can learn more about rollover contributions here.*

9. Does Prior Service Credit apply to vesting?
   *No. Prior Service Credit applies only to the one-year waiting period for employer contributions. The standard vesting schedule still applies.*