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%)

<table>
<thead>
<tr>
<th>Group</th>
<th>Total Employer Contribution Rate (% of base + supplement)</th>
<th>Number of Participants *</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grandfather</td>
<td>8.50%</td>
<td>400</td>
</tr>
<tr>
<td>Non-Grandfather</td>
<td>8.50%</td>
<td>1,982</td>
</tr>
<tr>
<td>Total Number of Participants</td>
<td></td>
<td>2,387</td>
</tr>
</tbody>
</table>

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

3. Employer Contributions during FY12:

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

4. Employee Contributions during FY12 (6.65%):

$20,425,354

5. Total ORP Contributions during FY12:

$46,532,243

COMMENTS:
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:

- [x] 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. 
Data Certification

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

2. PREPARED BY:

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

3. APPROVED BY (Certifying Official):

   Name: Sharon Leary
   Title: Assistant VP of Accounting and Contract Awards
   Phone: 214.648.0100
   Fax: 214.648.0104
   Address: 5323 Harry Hines Boulevard
   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]
   [Date: 10/26/12]

>>> Submit this signed page in accordance with item #6 in the instructions (scan is preferred). <<<
Institution Name: The University of Texas Southwestern Medical Center

2. LIST OF ORP-ELIGIBLE POSITIONS
   a. 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: 285
   b. Number of employees who initially became eligible for ORP during FY12 and elected to remain in TRS: 126
   c. Total number of employees who initially became eligible for ORP during FY12: 411

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 26, Rules and Regulations of the Texas Higher Education Coordinating Board.

Signature of Certifying Official: Shree P. Sow, SHRM
Date: 1/21/2012

Name: Shree P. Sow, SHRM
Title: Director, Employee Benefits & Retirement
Phone: (214) 648-9860
Fax: (214) 648-9881
Address: 5523 Harry Hines Blvd.
        Dallas, TX 75235-9323
Email: shree.sow@utsouthwestern.edu

COMMENTS:

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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 Clin/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.
<table>
<thead>
<tr>
<th>Carrier</th>
<th>Preferred Name</th>
<th>Type</th>
<th>Transmission Method</th>
<th>Percent Participants</th>
<th>Number of Participants</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fidelity Investments</td>
<td>115</td>
<td>Approved</td>
<td>Wire</td>
<td>1040.85</td>
<td>1088</td>
</tr>
<tr>
<td>ING UTSaver Direct Variable</td>
<td>INGOV</td>
<td>Approved</td>
<td>Wire</td>
<td>530.52</td>
<td>567</td>
</tr>
<tr>
<td>Lincoln Financial Group</td>
<td>49</td>
<td>Approved</td>
<td>Wire</td>
<td>227.85</td>
<td>248</td>
</tr>
<tr>
<td>Metropolitan Life Insurance</td>
<td>Company</td>
<td>52</td>
<td>Grandfathered</td>
<td>106.35</td>
<td>127</td>
</tr>
<tr>
<td>TIAA-CREF</td>
<td>81</td>
<td>Approved</td>
<td>Wire</td>
<td>385.23</td>
<td>412</td>
</tr>
<tr>
<td>VALIC</td>
<td>88</td>
<td>Approved</td>
<td>Wire</td>
<td>98.2</td>
<td>107</td>
</tr>
<tr>
<td>Totals</td>
<td></td>
<td></td>
<td></td>
<td>2389</td>
<td>2549</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Eligible Enrolled</th>
<th>Eligible Not Enrolled</th>
<th>Total Eligible</th>
<th>Number Of Participants who made contributions</th>
</tr>
</thead>
<tbody>
<tr>
<td>293</td>
<td>126</td>
<td>419</td>
<td>2389</td>
</tr>
</tbody>
</table>
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-a 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: 290 (99.9%)
   b. Number of employees who initially became eligible for ORP during FY12 and elected to remain in TRS: 126 (30.1%)
   c. Total number of employees who initially became eligible for ORP during FY12: 416 (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.

Shirlee P. Saw, SPHR
Signature of Certifying Official
10/31/2012

Name: Shirlee P. Saw, SPHR
Title: Director, Employee Benefits & Retirement
Phone: (214) 648-9980
Fax: (214) 648-9991
Address: SM23 Mary Hines Bldg.
Dallas, TX 75235-0023
Email: saw@mcl.har.mcl

COMMENTS:

*** Submit this signed page in accordance with item #6 in the instructions (scan is preferred). ***
<table>
<thead>
<tr>
<th>FUND NAME</th>
<th>FUND DEFINITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Revenue Funds</td>
<td>Appropriated General Revenue Funds.</td>
</tr>
<tr>
<td>Other Educational and General Funds</td>
<td>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.</td>
</tr>
<tr>
<td>Non-Educational and General Funds</td>
<td>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.</td>
</tr>
<tr>
<td>Federal Funds and Private Grants</td>
<td>Non-appropriated funds from the federal government or from private sources.</td>
</tr>
<tr>
<td>Other (specify)</td>
<td>None of the above funds. (e.g., Available University Funds). Please indicate the name of the fund when completing the form.</td>
</tr>
</tbody>
</table>
Institutions may report participants on a Headcount basis or an FTE-type basis.

<table>
<thead>
<tr>
<th>PAGE 1: FUNDING SOURCE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>HEADCOUNT METHOD:</strong></td>
</tr>
<tr>
<td>Participants are counted in only one funding source.</td>
</tr>
<tr>
<td>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., &gt; 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.</td>
</tr>
<tr>
<td><strong>FTE METHOD</strong> (more accurate):</td>
</tr>
<tr>
<td>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.</td>
</tr>
<tr>
<td>Grandfather Group</td>
</tr>
<tr>
<td>---------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>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.</td>
</tr>
</tbody>
</table>

25.6 Uniform Administration of ORP.

(a) Contributions.

(i) Contributions. Institutions may provide a supplement to the state base rate under the following conditions.

(ii) Amount of Suplemental 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.

(iii) 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.

(iv) 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.

(v) 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.

(vi) 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.

(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.

(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.