

To: Legislative History

Policy Owner(s): Director of Benefits, Human Resources

Date: December 13, 2022

Re: Policy 5-112: Retirement and Retiree Benefits

Changes to Policy 5-112: Retirement and Retiree Benefits

The University made the following changes to Policy 5-112: Retirement and Retiree Benefits

- Changed the name of the policy to help differentiate between this Policy and Policy 5-302: Retirement Programs
- Added retirement plan rules regarding withdrawals from accounts (currently only in retirement plan documents, which are not public, and the Retirement Information Guide on HR's website)
- Added new eligibility requirements for appointment to emeritus for administrative officers (Guideline A)
- Added requirements for retiree benefits eligibility
- Revised paragraph on post-retirement hires
- Added URS post-retirement rules reference
- Updates information regarding pre-retirement counseling with HR
- Moved specific retiree benefits to Guidelines B (Basic Benefits) and C (Emeritus Benefits)

The specific additions to and deletions from the policy are shown in context below. The guidelines below also show the changes to the benefits that were moved from the policy into the guidelines.

Proposed University of Utah Regulation Revision

General Regulation Information	
Regulation proposed for enactment/revision	Policy 5-112: Retirement and Retiree Benefits
Policy owner(s)	Wendy Poppleton, Director of Benefits
Policy officer(s)	Jeff Herring, Chief Human Resource Officer
Contact person(s)	Wendy Poppleton, Director of Benefits wendy.poppleton@utah.edu
Other related regulations with proposed revisions	New Guidelines: <ul style="list-style-type: none"> • Guideline G5-112A: Appointment of Emeritus Administrative Officers • Guideline G5-112B: Retirement and Retiree Benefits, Basic Retiree Benefits • Guideline G5-112C: Retirement and Retiree Benefits, Additional Benefits for Emeritus Retirees
Planned effective date of revisions	December 13, 2022
Brief (1-2 sentence) description of revisions and reason for revision	Add eligibility for retirement; update retiree benefits. Move specific benefits to guidelines

Consultation and Approval	
Groups and Stakeholders Consulted	
Human Resources Policy Committee	
Senate Advisory Committee on Academic Policy	
Emeritus Club	
Required Approval Steps and Date (if applicable)	
Council for Academic Deans (if applicable)	Not Applicable
Institutional Policy Committee	October 14, 2022
Academic Senate Executive Committee	October 17, 2022
Vice President or Designee	October 14, 2022
Academic Senate (if applicable)	November 7, 2022 (information calendar)
Board of Trustees (if applicable)	December 13, 2022 (planned)

Policy 5-112: Retirement and Retiree Benefits

Revision 9. Effective Date: December 13, 2022

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I. Purpose and Scope

A. Purpose

To outline the University's policy ~~toward~~regarding the retirement of Employees and benefits available to eligible ~~to~~-Retirees.

B. Scope

[This policy is applicable to all University Employees.](#)

II. Definitions

[The following definitions apply for the limited purposes of this policy and any associated regulations.](#)

A. [The definitions of "Benefits-eligible Position", "Employee" ~~is defined~~, "Faculty", and "Staff" as provided in Policy 5-001 apply for purposes of this policy.](#)

B. ["Administrative Officers" means the University President, Vice Presidents, Deans, Department Chairpersons, and Library Directors, as defined by Policy 2-005.](#)

C. ["Other General Administrative Officers" means other administrative officers appointed by a University president and who have institution-wide authority.](#)

D. ["Retiree" means a former University Employee who met the eligibility rules of this policy to retire from the University and receive the Retiree benefits included herein.](#)

~~B. "Faculty" is defined in Policy 5-001.~~

~~C. "Normal" retirement age means the age contemplated by University retirement programs at which University Employees are normally expected to consider retiring or to retire voluntarily either fully or on a phased retirement program.~~

~~D. "Phased Retirement Program" means an arrangement for early partial retirement, as embodied in a written contract between the University and the Employee.~~

E. "Retirement" means the full or partial termination of regular compensated service as an Employee concurrently with the ~~initiation of the receipt of~~[eligibility](#)

to receive retirement benefit payments or ~~annuities~~distributions under an applicable University-funded retirement program.

~~F. "Staff" is defined in Policy 5-001.~~

F. "Utah Retirement Systems" ("URS") means the retirement systems, programs, and plans administered by the State of Utah, for certain public employees.

III. Policy

A. General Provisions Applicable to All University Employees

1. The University administration regards the establishment and impartial administration of retirement ~~plans, and the provision of annuities after retirement, as matters conducive to the progress and efficiency of the University and of interest to personnel of the University.~~programs and benefits for eligible Retirees as important to attracting and retaining talented and knowledgeable Employees.
2. University Employees shall not be required to retire solely because of age; provided, however, that the University may require an Employee to retire if ~~(a) the Employee holds a position for which age is a bona fide occupational qualification reasonably necessary to the normal operation of the University;~~ ~~(b) the decision to require retirement is based on reasonable factors other than age;~~ ~~or (c) retirement is required as a disciplinary sanction for good cause.~~
3. ~~Either full or partial retirement on an optional basis~~Phased Retirement may be arranged, with administrative approval, ~~prior to or after the normal retirement age~~ as provided in Policy 5-309.
4. ~~The~~Each retirement program states a "normal" retirement age ~~for University at which~~ Employees ~~is 65 years, subject to paragraphs 2 and 3 above~~enrolled in the program normally retire voluntarily. Benefit

~~programs~~plans for Employees 65 years of age or over may ~~be~~include modified benefits within the limits authorized by state and federal law.

B. Faculty

5. ~~1.~~ After the commencement of retirement, ~~there shall be no obligation on the part of~~ the University is not obligated to provide assistance to a Retiree in any form except as authorized through the University's retirement programs; ~~provided that the University's administration may, at its discretion, employ from year to year, or for lesser periods, for part or full time, any Faculty Members who have fully retired but whose services are needed by the University.~~ and this policy.

6. In accordance with the University's retirement plan documents, Retirees and other former Employees may withdraw funds:

a. from the 401(a) Defined Contribution Retirement Plan after they have been retired for 32 or more consecutive days;

b. from the 403(b) Tax Deferred Annuity Plan at age 59 ½ or after 32 or more consecutive days following the end of University employment, whichever occurs first; and

c. from their 457(b) Plan at age 70 ½ or after 32 or more consecutive days following the end of University employment, whichever occurs first.

B. Appointment to Emeritus Status

1. ~~2.~~ Appointments to emeritus status for retired Faculty ~~Members and certain administrative officers~~ are made by the Board of Trustees on recommendation of the president and senior vice president for academic affairs.

2. Appointments to emeritus status for retired Administrative Officers and Other General Administrative Officers are made by the University president on

recommendation of the cognizant senior vice president and chief human resource officer in accordance with Guideline G5-112A.

a. Staff members who have not held an Administrative Officer or qualifying Other General Administrative Officer position are not eligible for emeritus status.

b. To be eligible for emeritus status, Other General Administrative Officers must have at least 20 years of service to the University and have held institution-wide authority.

C. ~~Staff~~Reemployment of Retired Employees

1. The hiring or extension of employment ~~of Staff~~ following full retirement may be authorized ~~by the Chief Human Resource Officer for short-term (less than 30 days) employment when this~~when the employment is essential to the continued operation of ~~the department. Requests for extension should be submitted by department supervisors to the Vice President for Human Resources. The request must present appropriate justification, and approval will be based on the needs of the University and the individual's physical status. Extensions will be approved only where continued employment is critical to the operation of the employing department, as, for example, where unusual skills are involved or where the skill is in short supply in the local market.~~a University unit.

2. Employees who have retired and are receiving retirement benefits through a URS retirement program are subject to the URS rules regarding post-retirement employment.

D. ~~Procedures~~Retirement Preparation

~~1. The Benefits Office should be notified by the department head 90 days prior to an individual's proposed retirement date to facilitate initiation of retirement plan benefit payments and other arrangements relating to retired status.~~

1. ~~2.~~ Individual counseling is available through ~~the Benefits Office~~ each Human Resources Department to answer questions regarding retirement, ~~social security~~ Social Security, Medicare, and ~~continuation or conversion of insurance~~ options for Retiree health coverage. ~~Additionally, group preretirement training sessions are conducted each year for Faculty and Staff.~~

E. Retiree Benefits ~~for Retired Employees~~

1. ~~Faculty and Staff who, on or after their 60th birthday, commence full retirement after completing five years of continuous service for the University immediately prior to retirement will be entitled to the following benefits (for additional benefits for emeriti and their spouses, see paragraph 2, below):~~

1. To be eligible for University Retiree benefits described in this Section III.E and Guidelines G5-112B and G5-112C, Employees must:

- a. have completed at least five years of continuous service in a Benefits-eligible Position immediately prior to Retirement; and
- b. be at least 60 years old or have at least 30 years of service with the University (or 20 years of service in a position that qualifies for participation in the URS Public Safety Retirement Plan).

2. Employees who meet the eligibility requirements described in Section III.E.1 are eligible:

- a. for a University Retiree I.D. ID card ~~with a lifetime validation free of charge.~~

[The following items have been moved to Guideline G6-112B]

~~b. Bookstore discount.~~

~~c. Use of physical education facilities.~~

- ~~d. Use of those Union Building facilities requiring I.D. cards, such as movies, bowling, billiards, lectures, etc.~~
 - ~~e. Discounts on athletic and theater season tickets and travel series tickets. Also, discounts for concerts in the Special Events Center.~~
 - ~~f. Parking with purchase of appropriate sticker.~~
 - ~~g. Borrowing privileges at University library facilities.~~
 - ~~h. Reduced tuition of 50% on classes taken for credit to four hours per semester.~~
 - ~~i. Continued membership in the University credit union.~~
- ~~2. Fully retired Employees holding appointments as emeriti, and their spouses, are entitled to the following benefits:~~
- ~~a. Emeritus I.D. card entitling the holder to (1) all privileges regularly available to holders of faculty I.D. cards, (2) discounts on purchases at the University bookstore and University of Utah Press, (3) reduced prices for season tickets to athletic events and Pioneer Memorial Theater programs, (4) Faculty privileges relating to participation in the campus recreation program, (5) golfing privileges on the University golf course on a reduced fee or limited complimentary basis, and (6) complimentary admissions to the Museum of Natural History.~~
 - ~~b. Membership without charge in [to enroll in a group Retiree health care plan offered through](#) the University ~~of Utah Faculty Club;~~ [and](#)~~
 - ~~c. Enrollment in University classes without payment of tuition or fees, except as provided in Policy 5-305.~~
 - ~~[c. d. Campus parking privileges without charge](#) [for the other Retiree benefits described in Guideline G5-112B.](#)~~

3. Retirees with emeritus status are also eligible for the additional benefits for Emeriti Retirees described in Guideline G5-112C.

F. Retiree Benefits Subject to Change

[The following items have been moved to Guideline G6-112C]

~~e. Admission without charge to dress rehearsals of Pioneer Memorial Theater main stage productions.~~

~~f. Reduced price tickets, not to exceed two per game, for individual football and basketball home games, subject to availability of unsold seats.~~

~~g. Complimentary tickets, not to exceed two per event, to University Travel Club programs, and discounted admissions to other programs presented by the Lectures and Concerts Office of the Academic Outreach and Continuing Education.~~

~~h. Listing in the University general catalog and the University directory, and receipt of monthly publications of the University Office of Public Relations.~~

~~i. Eligibility to apply for and receive Faculty research grants from the University Research Committee.~~

~~j. Invitation to attend annual Faculty breakfast preceding autumn semester.~~

~~k. Use of office and laboratory facilities, but only to the extent such facilities can be made available by the cognizant department chairperson or dean within the limits of approved space allocations to the department or college.~~

~~3.~~ Discount rates, fee or price reductions, and other limitations or conditions applicable to benefits described in ~~paragraphs 1 and 2, above,~~ Section III.E and Guidelines G5-112B and G5-112C shall be prescribed by the cognizant

vice president, and are subject to change ~~from time to time,~~ without prior notice.

Sections IV- VII are for user information and are not subject to the approval of the Academic Senate or the Board of Trustees. The Institutional Policy Committee, the Policy Owner, or the Policy Officer may update these sections at any time.

IV. Policies/Rules, Procedures, Guidelines, Forms and other Related Resources

A. Policies/Rules. [*reserved*]

B. Procedures, Guidelines and Forms.

[1. Guideline G5-112A: Appointment of Emeritus Staff Employees](#)

[2. Guideline G5-112B: Basic Retiree Benefits](#)

[3. Guideline G5-112C: Additional Benefits for Emeritus Retirees](#)

C. Other related resources. [*reserved*]

V. References

A. Policy 5-001: ~~Personnel~~Employee Definitions

B. Policy 5-302: Retirement Programs

C. Policy 5-303: University Insurance Programs

D. Policy 5-305: Reduced Tuition Benefits

[E. Policy 5-309: Phased Retirement Program](#)

[F. Policy 6-300: The University Faculty—Categories and Ranks](#)

VI. Contacts

The designated contact officials for this Policy are:

- A. Policy Owner (primary contact person for questions and advice): the Director of Benefits for ~~Human Resources~~the University and the Manager of Benefits for the University of Utah Hospitals and Clinics are responsible for the application of this Policy to all Employees.
- B. Policy Officer: the Chief Human Resources Officer for the University and the Chief Human Resources Officer for the University of Utah Hospitals and Clinics or their designee has the authority to grant exceptions to this Policy.

See Rule 1-001 for information about the roles and authority of policy owners and policy officers.

VII. History

- A. Current version: Revision 9.
 - 1. Presented for the information of the Academic Senate November 7, 2022 and approved by the Board of Trustees December 13, 2022 with effective date of December 13, 2022.
- B. Earlier revisions:
 - 1. Revision 8. Effective Date. June 30, 2004
 - 2. Revision 7: Effective Date. December 27, 1999
 - 3. Revision 6: Effective Dates. June 26, 1979
- C. Renumbering
 - 1. Renumbered from Policy and Procedures Manual 2-10.

Guideline G5-112B: Retirement and Retiree Benefits, Basic Retiree Benefits

Revision 0. Effective: December 13, 2022

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I. Purpose and Scope

A. Purpose.

To outline the benefits available to eligible Retirees.

B. Scope.

This guideline is applicable to all University Employees.

II. Definitions

The following definitions apply for the limited purposes of this guideline and any associated regulations.

- A. The definition of "Retiree" and "Retirement" provided in Policy 5-112 apply for purposes of this guideline.

III. Guideline

A. Basic Retiree Benefits for Retired Employees

1. To be eligible for University Retiree benefits, Employees meet the eligibility requirements to be a Retiree described in Policy 5-112.
2. Retirees are eligible for the following basic Retiree benefits:
 - a. Retiree Ucard.
 - b. Enrollment in one of the University's group Retiree health plan options. Enrollment is available to the retiree and family members who meet the eligibility requirements of the plans. Retirees and their eligible family members pay the full cost of coverage. Enrollment in certain plans may be available only for those who are eligible for and enrolled in Medicare.
 - c. Discount on purchases at the University of Utah Campus Store.
 - d. Access to Eccles Student Life Center and other University physical fitness and recreation facilities, classes, and programs with payment of membership or course fees.
 - e. Use of those Union Building facilities requiring Ucards.
 - f. Discounts on University athletic and theater season tickets and other University events determined by the appropriate Vice President.
 - g. Parking with purchase of appropriate pass.
 - h. Borrowing privileges at University library facilities. All circulating physical collections are available for checkout. Due to the license agreements the Marriott Library has negotiated with vendors and publishers, most of the databases, online journals and electronic books offered by the Library are only available to University of Utah students, faculty and other employees. Individuals who are not current students, faculty members, or

otherwise employed by the University may secure access to some electronic resources if using a Library computer.

- i. Reduced tuition of 50% for University courses as governed by Policy 5-305 and Rule R5-305A.
- j. Other basic retiree benefits as amended from time to time are listed on the Human Resources Retiree web page.

B. Benefits Subject to Change

Discount rates, fee or price reductions, and other limitations or conditions applicable to benefits described above, shall be prescribed by the cognizant vice president and are subject to change from time to time, without prior notice.

IV. Policies, Rules, Procedures, Guidelines, Forms and other Related Resources

A. Policies/Rules

- 1. Policy 5-112: Retirement and Retiree Benefits

B. Procedures, Guidelines, and Forms

- 1. Guideline G5-112A: Appointment of Emeritus Administrative Officers
- 2. Guideline G5-112C: Retirement and Retiree Benefits, Additional Benefits for Emeritus Retirees

C. Other related resource materials.

V. References

- A. Policy 5-001: Employee Definitions
- B. Policy 5-305: Reduced Tuition Benefits

VI. Contacts

The designated contact officials for this Policy is the Director of Benefits for the University and the Manager of Benefits for the University of Utah Hospitals and Clinics are responsible for the application of this Policy to all Employees.

VII. History

A. Revision 0. Effective Date December 13, 2022

1. Legislative History

Guideline G5-112B: Retirement and Retiree Benefits, Basic Retiree Benefits

Revision 0. Effective: December 13, 2022

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 - c. Discount on purchases at the University of Utah Campus Store.
 - d. Access to Eccles Student Life Center and other University physical fitness and recreation facilities, classes, and programs with payment of membership or course fees.
 - e. Use of those Union Building facilities requiring Ucards.
 - f. Discounts on University athletic and theater season tickets and other University events determined by the appropriate Vice President.
 - g. Parking with purchase of appropriate pass.
 - h. Borrowing privileges at University library facilities. All circulating physical collections are available for checkout. Due to the license agreements the Marriott Library has negotiated with vendors and publishers, most of the databases, online journals and electronic books offered by the Library are only available to University of Utah students, faculty and other employees. Individuals who are not current students, faculty members, or

otherwise employed by the University may secure access to some electronic resources if using a Library computer.

- i. Reduced tuition of 50% for University courses as governed by Policy 5-305 and Rule R5-305A.
- j. Other basic retiree benefits as amended from time to time are listed on the Human Resources Retiree web page.

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IV. Policies, Rules, Procedures, Guidelines, Forms and other Related Resources

A. Policies/Rules

- 1. Policy 5-112: Retirement and Retiree Benefits

B. Procedures, Guidelines, and Forms

- 1. Guideline G5-112A: Appointment of Emeritus Administrative Officers
- 2. Guideline G5-112C: Retirement and Retiree Benefits, Additional Benefits for Emeritus Retirees

C. Other related resource materials.

V. References

- A. Policy 5-001: Employee Definitions
- B. Policy 5-305: Reduced Tuition Benefits

VI. Contacts

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A. Revision 0. Effective Date December 13, 2022

1. Legislative History