

MINUTES

Meeting of the Board of Trustees University of Kentucky 3:00 P.M. December 11, 2001 18th Floor Patterson Office Tower

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Minutes

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PR 3A Proposed Amendments to the Governing Regulations

PR 3B Proposed Amendment to the Governing Regulations to Establish a Staff Senate

PR 3C Administrative Regulation Revision

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PR 3E Art Museum Director Emerita Title be Conferred upon Harriet Fowler

PR 3F Director Emeritus of the University Press of Kentucky be Conferred upon Kenneth Cherry

PR 3G Renaming Sports Center Drive

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PR 3I Naming of University Building

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AACR 2 Change in Name of an Educational Unit

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FCR 21 Ann Scott and Ralph E. Mason Gift

FCR 22 Dr. Lee T. Todd, Jr. Gift and Pledge

Minutes of the Meeting of the Board of Trustees of the University of Kentucky,
Tuesday, December 11, 2001.

The Board of Trustees of the University of Kentucky met at 3:00 p.m. (Lexington time) on Tuesday, December 11, 2001 in the Board Room on the 18th Floor of Patterson Office Tower.

A. Meeting Opened

Billy Joe Miles, Chairperson, called the meeting to order at 3:00 p.m., and the invocation was pronounced by Dr. Loys Mather.

B. Roll Call

The following members of the Board of Trustees answered the call of the roll: Mr. Paul W. Chellgren, Ms. Marianne Smith Edge, Mr. John “Jack” Guthrie, Dr. Loys Mather, Ms. Pamela May, Dr. Robert P. Meriwether, Mr. Billy Joe Miles (Chairman), Dr. Claire Pomeroy, Mr. Steven S. Reed, Mr. Frank Shoop, Ms. Marian Sims, Ms. Alice Sparks, Dr. Grady Stumbo, Ms. JoEtta Wickliffe, Mr. Billy Wilcoxson, Mr. Russ Williams, Ms. Elaine Wilson, and Ms. Barbara Young. Absent from the meeting were Dr. Elissa Plattner and Mr. Tim Robinson. The University administration was represented by President Lee T. Todd, Jr.; Acting Senior Vice President Jack C. Blanton; Senior Vice President and Chancellor of the Medical Center James W. Holsinger, Jr.; Acting Provost Michael Nietzel; Acting Vice President for Research James Boling, and Mr. Richard E. Plymale, General Counsel.

Members of the various news media were also in attendance. A quorum being present, the Chairperson declared the meeting officially open for the conduct of business at 3:05 p.m.

C. Consent Agenda

Mr. Miles said that the Consent Agenda consisted of two items:

Approval of Minutes
AACR 1 – Candidates for Degrees

Ms. Sims moved approval of the Consent Agenda. Her motion, seconded by Ms. Edge, passed. (See AACR 1 at the end of the Minutes.)

D. President's Report to the Board of Trustees (PR 1)

President Todd stated that there were many good things to report in PR 1; however, he would call attention to only a few of the items due to the length of the

agenda. He called attention to the following items:

1. Senior Jennifer Kasten of Nicholasville has received a 2002 Marshall Scholarship, a two-year award worth approximately \$50,000. This is a program put in place by the British government in 1953 as a gesture of thanks to the United States for their help in World War II.
2. UK Student Government showed compassion to victims of the September 11, 2001 terrorist attacks. The students raised \$6,560 for the Bluegrass Chapter of the Red Cross.
3. UK Hospital has been named a Magnet Hospital in recognition of outstanding nursing care at UK Hospital and UK Children's Hospital. UK Hospital is the first in Lexington and only the 39th of almost 6,000 hospitals in the nation to achieve the recognition from the American Nurses Credentialing Center, a subsidiary of the American Nurses Association.
4. For the first quarter of this fiscal year, the UK Chandler Medical Center's research funding is up from \$41 million at this point last year to \$57.8 million as of October 2, 2001.
5. Eight students in the Gatton College of Business and Economics were featured last week on CNBC's "Power Lunch" program competing with 18 other schools.

E. Self-Study Report

President Todd recognized Christine Havice and Terry Birdwhistle who co-chair the Self-Study Steering Committee. He thanked Ms. Sparks for the time she had given to the Self-Study Report and called upon Dr. Havice to make her presentation to the Board.

Dr. Havice gave the following report:

Dr. Havice thanked the Board for making time to read the report at this busy season. She introduced the Steering Committee co-chair, Terry Birdwhistell, and stated that the executive director of the self-study, John Piccoro, was attending this year's Southern Association of Colleges and Schools (SACS) meeting in New Orleans.

Dr. Havice said the purpose of the report today is to request the Board's approval to send the 2001 UK Self-Study report – all 3 volumes of text and then the fourth volume of appendices – to SACS. This, of course, comes as preparation for SACS April visit to reaffirm our accreditation. The Board's endorsement is an important part of the process. The Committee is grateful for the interest, attention, and participation by Ms. Sparks, the Board's liaison to the Committee, in this effort in which she joined over 160 students, faculty, staff and administrators on 17 committees. In addition, through a variety of

surveys, interviews, focus groups, and special meetings, all members of the University community, including alumni and former faculty, have had a chance to provide content to this report.

Dr. Havice said that her purpose was to convey some of the processes and parameters of the report, then inform the Board regarding the next steps of the accreditation process, and to let the Board know how it can participate and, finally, to give the Board members a chance to ask any questions.

She said she hoped the Board had a chance to become familiar with some of the working draft structure, content, and conclusions, presented in the form of recommendations and suggestions. Principle committees were created to follow the major areas of SACS' emphasis, which are set forth as a series of *Criteria*. She noted those could be found, along with other information, on the self-study website. In addition to what SACS required, committees were added on research, public service, and staff to correspond to the University's threefold mission and the variety of its stakeholders.

Where committees found that the University is doing what it is supposed to do, they point to the data that demonstrate this and in some cases cite outstanding accomplishments. The co-chairs probably erred on the side of conservative there rather than trying to sound too proud of the University's accomplishments.

Where the University does not meet the criteria, the committees wrote recommendations. These must be implemented in order for UK to be accredited, and the Board will be glad to discover that there are relatively few of these.

In other cases, the committees found that the University meets the letter but perhaps not the spirit of the criteria, or that additional improvements will move the University toward real excellence, and so the Committee wrote what SACS calls "suggestions". Suggestions do not carry the same urgency as recommendations, but they frequently capture the community's aspirations and so should be read carefully and taken seriously.

Dr. Havice said another feature of the report needs to be borne in mind: The co-chairs have been gathering and analyzing data since early 2000. In order to begin to bring closure to this long process, the first drafts were due back in February, and they have continued to work on subsequent drafts and then on coordinating the 17 separate reports over the summer. The Herculean task of making 17 reports read more like one long one fell to the Committee's tireless editor, Carlton Currens, to whom the Committee is continually indebted. It became clear last spring that the Committee would have to figure out a way to stop the work, particularly when it realized the magnitude of changes that it would face with the change of administration in July. So, to keep things clear, they agreed that the reports would be written effective June 30th of this year; that is, before President Todd took office. This reinforced the belief that the report would not only serve what SACS needed in the accreditation process but would also provide the new president a combination of report and planning document, and, the Committee is pleased

to note, President Todd has confirmed reading it in this spirit. On the other hand, this June 30th report date has created something of a “time warp,” for many of the important findings of the committees anticipated some of the first changes enacted by the new administration. The good part of this is, of course, that many of the recommended or suggested actions are already in place or in progress.

The Committee asked for the Board's agreement with the substance of the report, for correction of any remaining errors of fact, and for endorsement to send it on to the printer and thence to SACS.

SACS has appointed Dr. Roger Sayers, emeritus President of the University of Alabama, to chair the visiting committee. He will come to campus in mid-February to finalize plans for that visit, as well as to meet key administrators and members of the Self-Study committee. Meanwhile, SACS is in the process of naming the members of the visiting committee – there will be somewhere between 30 and 35 from institutions throughout the southeast – to whom the report, in printed and CD format, will be sent. Dr. Havice thanked Joan Shropshire of the College of Fine Arts for her time in designing the report's covers and CD.

On the home front, the so-called “Fix It” committee, charged by President Todd with acting on the report's recommendations and under the direction of Senior Vice President Holsinger, will continue its work. These and any other relevant changes since last June will be captured in a written addendum to the Self-Study, to be sent to the visiting committee in March. And the Self-Study group will proceed with local arrangements for the care and feeding of the visiting committee. In all these myriad details, the unsinkable Connie Vaughn of the Self-Study office has been both a force and a source. She asked Connie to stand and receive thanks for managing everyone and everything else. Ms. Vaughn received a round of applause.

The visit itself has long been set for April 15-18 and represents an intensive verification of the Self-Study's findings. At its conclusion, the Chair will meet with the President to share with him preliminary findings; the formal written report of the visiting committee will come in the late summer, at which point the University will have the opportunity to respond, again in writing. All these documents become part of the formal record and will continue to serve the University in its work over the next decade. In the shorter term, they all come into consideration when SACS formally votes on the reaffirmation of accreditation at its annual meeting a year from now.

What the Self-Study Committee can expect during the visit may be a little clearer once the Committee knows who has been named to the visiting committee. However, the Steering Committee joins SACS in encouraging Board members to participate. There will be an opening dinner with the visitors on April 15 to which the Board will be invited. Additionally, some of the team will visit distance learning sites in Eastern, Northern and/or Western Kentucky where the Committee may seek the Board's involvement as local experts and hosts. Certainly, the Board will be kept apprised of the changes and

adjustments made before and after the visit and will be able to follow developments on the website as well as through the Board's liaison, Alice Sparks.

Without trying to summarize the report's findings in 25 words or less, that is what lies behind and in front of the draft document. Dr. Havice said she would be happy to try to answer any questions. She thanked the Board for their attention.

Ms. Sparks thanked Dr. Havice, Mr. Birdwhistle, Connie Vaughn, and Dr. John Piccoro. She noted how valuable the Self-Study Report document is and how delighted she was to receive it. She commented about the work that had gone into the document. She said the document itself is clearly a blueprint for everyone to use and follow. The recommendations in the document must be carried out, as required by SACS. She said she was happy to learn that the "Fix It" committee had been appointed, and she feels quite sure that they will fix anything that needs to be fixed. Fortunately, as Dr. Havice pointed out, there are not as many recommendations as there could have been with other institutions. The Steering Committee has worked diligently, and it was a real pleasure to serve on the Committee. She asked the Board to give them a round of applause, and made a motion that the Board approve the report to be sent to SACS. Dr. Havice and Mr. Birdwhistle received a round of applause.

Ms. May said she was very impressed with the document. As a new Board member she has not seen anything like this before. As a new Board member, it gives one a picture of the University and how so many things operate together. Not everyone on the Board came from an academic background; therefore, the report is like a mini-capsule that brought it together. It is clear that hundreds of thousands of hours went into the document.

Ms. May said she is concerned about the comments at different places in the book about putting the document on a shelf after the accreditation process is over and not staying focused on the problems identified. As a Board member, it is critical to speak to this, and it is critical that there be some mechanism in place to make sure the document does not get put on a shelf. She said she is curious to know how the Board will stay abreast of the fact that the recommendations and suggestions are being tracked.

President Todd said when he first met with the SACS committee somebody recommended a "Fix It" committee, and this is not the normal thing to do. Normally, the report is sent to SACS, and the university waits for the committee to come back with suggestions.

He reported that the University has already started a "Fix It" committee, and Dr. Holsinger is chairman of that committee. The committee has already fixed two things that were in the book, and it is his goal to fix as many as possible before the accreditation team arrives on campus. There is no reason to do an analysis and wait for someone from the outside to come in and fix stuff. Perhaps, Dr. Havice, Mr. Birdwhistle, and Dr. Holsinger can track some of SACS suggestions and report to the Board on a quarterly basis.

Ms. Sparks said the committee found out that some of the Board members went to the NCAA hearing. The committee was very impressed that Trustees were there, and they will be even more impressed if as many of the Board as possible can be at the dinner.

President Todd said the University was restricted on how many Board members it could take to the NCAA hearing; however, that will not be the case when SACS comes to town.

On motion made by Ms. Sparks, seconded by Ms. Edge and carried, the draft document was endorsed and approved by the Board for submission to SACS.

President Todd thanked Dr. Havice and the University team for doing a good job.

F. Commission for Diversity

President Todd reminded the Board of his July 5th announcement appointing a Commission for the Status of Women and the appointment of Professor Carolyn Bratt as chairperson of that Commission. The Commission has already had two meetings. The meetings are open meetings, and information is available about their discussions.

President Todd said it gives him great pleasure to announce that Dr. Deneese L. Jones is going to be the Chairperson of the Commission for Diversity. He reviewed background information about Dr. Jones.

Dr. Deneese L. Jones came to the University of Kentucky in 1999 after earning a Ph.D. degree in Curriculum and Instruction with a reading emphasis from Texas A&M University. She also earned a M.Ed. in Curriculum and Instruction from Texas A&M University and a B.S. in Elementary Education from Texas Woman's University in Denton, Texas. Dr. Jones' research focus is equity pedagogy with a concentration in literacy instruction, performance-based assessment, multicultural education, and teacher education for a pluralistic society.

Dr. Jones is co-director for the Center for the Study of Academic Achievement in Learning Environments at the University of Kentucky. She is an Associate Professor in the Department of Curriculum and Instruction and has served as Associate Dean of the Graduate School for Recruitment and Diversity from 1998 to the present.

On a national level, Dr. Jones was editor for *Action in Teacher Education*, the journal for the Association of Teacher Educators.

President Todd said it was his pleasure to introduce Dr. Deneese Jones and to thank her in front of everyone for taking on this responsibility. He asked Dr. Jones to say a few words and noted that she may have some members of her group in the audience.

Dr. Jones said she would like to make one small correction in President Todd's comments. She came to the University of Kentucky in 1991. She said that she had asked some of the commission members to attend the Board meeting and gave the following remarks to the Board:

I would like to say that I have accepted this position with a tremendous sense of responsibility and urgency. I view it as an opportunity to create new milestones for the University of Kentucky in its stated commitment to champion diversity. More importantly, and contrary to the opinions of some, the journey toward diversity at UK is far from over. In fact, old challenges and new visions must merge to truly make a difference at this institution.

All around us the deepening ethnic texture, interracial tension and conflict, and the increasing percentage of students who speak a first language other than English make the role of the Presidents' Commission on Diversity an imperative as we move forward into this new century. And since students of color will make up about 46% of the nation's student population by 2020, the University of Kentucky, the Commonwealth's flagship university, must be compelled to recognize, to appreciate and to value diversity of ethnic, cultural and racial groups, now—not later—for faculty, staff and students.

In my ten years at the University of Kentucky, I have come to understand how individual beliefs, institutional norms, and political ideologies interact with and create one another in complex and contradictory ways. But, I am convinced that the marriage of hope with critique is not only possible but, in fact, indispensable for change to occur. Educational inequity takes many guises and results in differential outcomes for all. And, whether inequity is an intended outcome or not does not really matter; the end result is what counts. It is not secret that the University of Kentucky has had a roller coaster ride with regard to issues of diversity on this campus. Yet, in order to build a stronger institution of higher education, we must not only understand, but also begin to demonstrate the partnership of excellence and diversity. No doubt, this partnership should become the nucleus to all of our university's goals and expectations, and it must be embraced at all levels. To reserve it only for a few is a mistake and unacceptable.

Specifically, the Commission on Diversity has been charged by Dr. Todd to advise him on:

1. Matters of racial and ethnic diversity in employment, working environment, compensation and campus leadership;
2. Recommendations for enhancing the University's recruitment, retention and graduation of minority students in all of its programs;
3. Recommendations for enhancing the University's recruitment and retention of minority faculty and staff; and
4. Concerns about the creation of a campus that is inclusive in its cultural affairs, communications, curriculum, and extracurricular opportunities.

The charge is ambitious but needed. It is not lofty but practical. It is the only way to truly create a learning community. My aim is to develop a commission that will tackle this charge with diligence, persistence and energy. Nothing less will be acceptable. I am determined that the Commission will begin its work within the next few weeks with an earnestness that is indicative of a purposeful group poised toward action.

In conclusion, she reported that the Commission consists of 19 members, including herself. This includes faculty, staff, students, and a community representative. She said she is excited about the make-up of the group and asked the Commission members who were present to stand and introduce themselves. The following individuals introduced themselves: Gregory Parks, Veleshia Smith, Dr. John Harris, Pat Johnson-Powell, Kamyar Mahboub, Dr. Leon Assael, Dr. Susan Roberts, Anthony Hartsfield, Victor Hazard, Reverend C. B. Akins, and Jacob Karnes.

Dr. Jones said that she has asked 19 individuals, including herself, to work diligently toward the ends of the charge and the challenge that the Commission has. She will begin work as soon as her office is set up and plans to have a meeting early in January.

Dr. Jones and the members of the Commission received a round of applause.

G. Personnel Actions (PR 2)

President Todd said that PR 2 recommends that approval be given to the attached appointments and/or staff changes that require Board action and report relative to appointments and changes already approved by the administration. Mr. Guthrie moved approval. Ms. Edge seconded the motion, and it carried. (See PR 2 at the end of the Minutes.)

H. Proposed Amendments to the Governing Regulations (PR 3A)

President Todd reported that the proposed amendments to the Governing Regulations in PR 3A were presented at the September 18, 2001 meeting. They are coming back to the Board at this time for approval. He expressed appreciation to Ms. Nancy Ray for her diligent work on these amendments.

He reported that the document had been given to the University Senate, and the University Senate proposed several minor editorial changes to the September 18th version. Those changes have been incorporated into these amendments.

On motion made by Ms. Wilson, seconded by Ms. May and carried, PR 3A was approved. (See PR 3A at the end of the Minutes.)

I. Proposed Amendment to the Governing Regulations to Establish a Staff Senate (PR 3B)

President Todd said it gives him great pleasure to present this proposed amendment to the Governing Regulations for preliminary consideration at this meeting. The Board will take action at the next meeting, provided a month has elapsed. This amendment will provide the staff, many of whom have been at the University for many years, a great communication vehicle throughout the staff and faculty.

President Todd said that he is totally in support of this amendment. He reported that he has met with the group several times. The group has gone through the Administrative Regulations with Dr. Blanton and his team and has tried to keep the amendment simple. He noted that there are several universities in Kentucky who already have staff senates. He feels it is time the University of Kentucky moves in this direction.

Mr. Guthrie noted the number of senators being 175 and asked for the number of faculty senate.

Dr. Mather reported there are 119 faculty senate members and approximately 1500 faculty.

President Todd reported there are 9800 staff employees, and 175 are probably an appropriate representation.

J. Administrative Regulation Revision (PR 3C)

President Todd said PR 3C is a revision in the retirement plan. He asked Dr. Blanton to give a brief description of PR 3C.

Dr. Blanton said that this Board action does two things: It allows personnel called up for the military to continue to make contributions to the University's retirement system while they are away from the University on leave to serve in the military which heretofore was not permissible. Of course, while they are away the University will not be able to match their contributions. Another revision eliminates the one-year waiting period for people who came to the University and were not already in the retirement system. This brings the University in conformity with the law.

On motion made by Ms. Sparks, seconded by Ms. Edge and carried, PR 3C was approved. (See PR 3C at the end of the Minutes.)

K. Approval of Deferred Compensation Plan Document (PR 3D)

President Todd asked Dr. Blanton to comment on PR 3D.

Dr. Blanton reported that the United States Congress has recently changed the deferred compensation rules as they are applicable to the University as well as others

across the country. Previously, one could defer compensation either in the University's deferred Compensation plan or by going to the 457 plan that the state government ran. Because the state government plan was far removed from the University, very few of the employees decided to do that. Under the recent rule change, the University can now offer on campus both the 457 and 403b plan, and this resolution allows the University to do that. It also allows employees to defer compensation in both of those plans up to a certain limit. Heretofore, employees could only defer compensation in one of the plans. This is a very technical kind of resolution, but it does bring the University into conformity with the recent United States laws applicable to deferred compensation.

Mr. Chellgren moved approval of PR 3D. His motion, seconded by Dr. Mather, passed. (See PR 3D at the end of the Minutes.)

L. Art Museum Director Emerita Title be Conferred upon Harriet Fowler (PR 3E)

President Todd reminded the Board of its action at the September meeting approving a new title series of staff emeriti. He said it gave him great pleasure to bring forth the first two recipients of that designation.

Dr. Harriet Fowler came in 1981 as the curator of the University of Kentucky Art Museum and served in that capacity until 1990. In 1990, Dr Fowler was appointed Interim Director of the Art Museum until 1991 when she was appointed Director of the Art Museum. She served in that capacity until she retired in June of this year.

Dr. Fowler dedicated her years of service to making the work of the arts available to all Kentuckians, and especially school children, during her tenure. The Art Museum received many acquisitions. In addition, she was instrumental in attracting many outstanding exhibitions to the University of Kentucky Art Museum.

President Todd asked Dr. Fowler to stand and be recognized, following which she received a round of applause.

M. Director Emeritus of the University Press of Kentucky be Conferred upon Kenneth Cherry (PR 3F)

President Todd said the second action for staff emeritus recommends the title of Director Emeritus of the University Press of Kentucky be conferred upon Kenneth Cherry in recognition of his long service and dedication to the University Press of Kentucky. He noted that the University Press of Kentucky consists of a lot of presses from universities around the state.

In 1978, Mr. Cherry was named only the second Director of the University Press of Kentucky since its inception in 1969. Mr. Cherry was named Director then and had a staff of 19 employees and published between 23 and 26 titles a year. In the fiscal year 2000-2001, the University Press has a staff of 22 and publishes 50 titles a year.

In Mr. Cherry's role as Director, he established the Thomas D. Clark endowment and was responsible for raising \$2.4 million in funds for that endowment. He has distinguished himself and brought great distinction to Kentucky and the Commonwealth of Kentucky during his tenure as Director of the University Press of Kentucky.

President Todd asked Mr. Cherry and his wife, Sylvia, to stand and be recognized, following which they received a round of applause.

President Todd said when you bring about a title series with this distinction, it is good to have the caliber and character of these two individuals to set the standard for the recommendation for staff emeriti that will to come before the Board. He congratulated Dr. Fowler and Mr. Cherry.

N. Renaming Sports Center Drive (PR 3G)

President Todd said that PR 3G is a recommendation that Sports Center Drive on the University campus be renamed The Jerry Claiborne Way. He said the best information you can ever get about Coach Claiborne is to ask one of his players to talk about him. They start mentioning words like character, substance, teaching and get tears in their eyes since he was a great Kentuckian.

As a student, Coach Claiborne majored in mathematics and lettered three years in football. He was the football coach at UK from 1982-1989, leading the Wildcats to two bowl games. He lived with integrity and honesty. He still holds the Southeastern Conference (SEC) record for interceptions in a season. He was President of the National Football Coaches Association, which speaks to the respect his peers had for him. He was inducted into the College Football Hall of Fame in 1999. During his forty-year career, 27 years as head coach (the last eight years at UK), Mr. Claiborne compiled a career record 179-122-8, (59.4%) ranking him 21st among Division I coaches.

In 1989 UK became the first SEC institution to win the College Football Association Academic Achievement Award for graduating over 90% of the 1983 recruiting class. In 1988 UK finished second under his leadership with a 90.5% graduation rate.

President Todd said that this recommendation has been through the Committee on Naming University Buildings. He recommended that Sports Center Drive be named The Jerry Claiborne Way. Ms. Edge moved approval of PR 3G. Mr. Williams seconded the motion, and it carried. (See PR 3G at the end of the Minutes.)

O. Naming of University Building (PR 3H)

President Todd recommended that the new recreation building, presently under construction, and located adjacent to the Seaton Building be named the Bernard Johnson Student Recreation Center.

Bernard Johnson, known as “Skeeter” Johnson, committed most of his life to the University of Kentucky. He received his BA degree at UK in 1946 and his MS in 1949. He began as an instructor in the Department of Health, Physical Education and Recreation in 1946 and served in that capacity for 31 years. He was also Director of the UK Campus Recreation Program and served in that capacity for 13 years. The Governor of the Commonwealth of Kentucky appointed Mr. Johnson to the Pacesetters Association, and he traveled throughout the Commonwealth promoting physical activity for older adults as a leader and role model. Mr. Johnson received numerous awards and honors and was recognized for his outstanding service to the University, the local community and the Commonwealth of Kentucky.

President Todd asked Chairman Miles to seek a motion that the new building be named the Bernard Johnson Student Recreation Center. Ms. Sims moved approval of PR 3H. Her motion, seconded by Ms. Wilson, passed. (See PR 3H at the end of the Minutes.)

P. Naming of University Building (PR 3I)

President Todd said that PR 3I is the recommendation that the College of Medicine's main building be named the William R. Willard Medical Education Building. William R. Willard was the first Dean of the College of Medicine. Many of his contributions, particularly his commitment to excellence in medical education, continue until this day. The Association of American Medical Colleges recognized his accomplishments in 1972 when he was named the recipient of the Abraham Flexner Award, its highest honor. Frank Dickey, former UK President, commented that Bill Willard was a “man of integrity, unselfishness and rare judgment; . . . he developed the concept and the physical institution of the health sciences center integrated into the surrounding community.”

President Todd asked Chairman Miles to seek a motion to name the College of Medicine's main building the William R. Willard Medical Education Building. On motion made by Dr. Stumbo, seconded by Ms. May and carried, PR 3I was approved. (See PR 3I at the end of the Minutes.)

Q. Proposed Amendment to the Governing Regulations (PR 3J)

President Todd said that PR 3J is a walk-on concerning a proposed amendment to the Governing Regulations. He asked Dr. Blanton to comment on PR 3J.

Dr. Blanton explained that Professor Fortune, Chairperson of the Senate Council, asked if this proposed amendment could be put on the agenda because this rule called for the way a substitute student could serve on the Senate Council in the event the student who was supposed to serve was in class or could not serve. Dr. Blanton informed the Board that President Todd was not going to make a habit of putting walk-on items on the agenda.

This proposed amendment allows for delegation of substitutes, and the rules and regulations that are applicable to membership on the Council to the staff and to the Senate itself. He asked Ms. Ray and Professor Fortune if there was anything they wanted to add. He noted that this item will be on the table for 30 days and will be on the agenda for approval at the next Board meeting.

Professor Fortune said the only thing is that the first line is a strike out and that should probably not be there. Otherwise, it is just as Dr. Blanton said.

Chairman Miles asked if anyone had any objection to handling this item at this time. With no objection, PR 3J was received for preliminary consideration and will be considered at the next meeting. (See PR 3J at the end of the Minutes.)

R. Change in Name of an Educational Unit (AACR 2)

Ms. Sparks, Chairperson of the Academic Affairs Committee, reported that the Committee met and approved the two items on the agenda. The first item, Candidates for Degrees, was on the consent agenda. AACR 2 is a Change in Name of an Educational Unit. She moved approval of AACR 2. Ms. Wilson seconded the motion, and it carried. (See AACR 2 at the end of the Minutes.)

Ms. Sparks reported that the Committee received a nice update on the two other task forces that Dr. Todd has created, the Top-20 and the Futures. The task forces have been very active. There will probably be a report from both groups at the January meeting, and hopefully, the Committee will define what it means to be a Top-20 university. She noted that it was a good meeting, and President Todd had attended the meeting.

S. Executive Committee Report

Dr. Mather, Chairperson of the Executive Committee, reported that the Committee met briefly and had appointed Mr. Reed as Vice Chairperson of the Executive Committee.

T. Acceptance of Interim Financial Report for the University of Kentucky for Three Months Ended September 30, 2001 (FCR 1)

Mr. Chellgren, Chairperson of the Finance Committee, reported that the Committee met and reviewed a relatively conventional agenda, some 22 items. The first item, FCR 1, was the acceptance of the Interim Financial Report for the period ending September 30, 2001. That is, of course, 25% completion date for the academic year. Expenditures were some 26% of the approved budget of almost \$1.3 billion. Revenues were some 28% of the budget of \$1.3 billion. There are no items that need to be brought to the Board's attention from the Finance Committee. He moved the acceptance of FCR

1 and the Interim Financial Report. His motion, seconded by Ms. Wilson, passed. (See FCR 1 at the end of the Minutes.)

U. Appointment of Independent Auditors (FCR 2)

Mr. Chellgren said that the Audit Subcommittee of the Finance Committee met to review one particular item, and that is to recommend to the Finance Committee, who recommends to the Board, the appointment of the independent auditors for 2002 and the following three fiscal years, 2003, 2004, 2005. He explained the process, noting the Request for Proposal had been approved. It was sent out in September to the Big Five accounting firms, and a pre-proposal conference was held with four of those firms. Three of them actually followed up with site visits. Four proposals were received by November 1st. The staff reviewed and evaluated the proposals. The Finance Committee was pleased to see that our existing auditors, Deloitte and Touche, who audited the accounts of the corporation of the University and its affiliated corporations for the last six years, came in significantly low. It was a very competitive bid, and as a result, the audit subcommittee has recommended to the Finance Committee and the Finance Committee has recommended to the Board that Deloitte and Touche be appointed as the auditors of the University and its affiliated corporations for the next four years. Mr. Chellgren said he would be happy to answer any questions about the process. He moved the adoption of FCR 2. Mr. Shoop seconded the motion, and it carried. (See FCR 2 at the end of the Minutes.)

V. Disposition of Surplus Property (FCR 3)

Mr. Chellgren said that FCR 3 is the Disposition of Surplus Property. All of this equipment is related to the printing plant of the University. The University has decided to buy these services outside rather than perform them internally. As a result this printing equipment is surplus. He moved acceptance of FCR 3. Ms. Wilson seconded the motion, and it passed. (See FCR 3 at the end of the Minutes.)

W. Capital Construction Report (FCR 4)

Mr. Chellgren said FCR 4 is the Capital Construction Report of all the major capital projects of the University. These are the projects with a dollar scope in excess of \$400,000 and above. They are listed by alphabetical order. He said the report was distributed to all the Board members. It was pointed out that there were only approximately three change orders this past quarter for this quite significant capital program. Nothing in the report needs to be brought to the Board's attention. He moved the acceptance of FCR 4. His motion, seconded by Ms. Sparks, carried. (See FCR 4 at the end of the Minutes.)

X. Patent Assignment Report (FCR 5)

Mr. Chellgren said FCR 5 is the normal review of patent assignments. In the past, this report has been a test of the chemical and medical pronunciation skills of the

Chairman of the Finance Committee; however, the Committee decided not to do that this quarter. Mr. Chellgren said that he would be happy to answer any questions. He moved acceptance of FCR 5. Mr. Reed seconded his motion, and it passed. (See FCR 5 at the end of the Minutes.)

Y. Approval of Lease (FCR 6)

Mr. Chellgren said FCR 6 and 7 are normal leases. This Board and the Finance Committee have seen leases at essentially every meeting. FCR 6 is a new lease for 2,447 square feet of office space in Lexington at an annual rate of \$40,375.50 at \$16.50 per square feet. This lease needs to be approved by the Board because it is in excess of \$30,000 annual expenditures. It is for the School of Public Health at the University, and the owner of the property is South Creek Properties. The property is on Harrodsburg Road. He moved acceptance of FCR 6, but said he would do FCR 6 and 7 at the same time.

Z. Approval of a Lease to the Wesley Foundation, Inc. (FCR 7)

Mr. Chellgren said that FCR 7 is a lease for \$1 a year to the Wesley Foundation which will be paving a vacant lot that is soon to be a parking lot beside the Wesley Foundation on Columbia Avenue. He moved the acceptance of FCR 6 and 7. On motion made by Mr. Chellgren, seconded by Mr. Shoop and carried, FCR 6 and FCR 7 were approved. (See FCR 6 and FCR 7 at the end of the Minutes.)

AA. 2001-02 Budget Revisions (FCR 8)

Mr. Chellgren said that FCR 8 is part of the normal course of business as the academic year progresses. The approved budget needs to be amended because certain changes occur in both the revenue and expenditure side of the income statement. This is a very modest change of some \$2.7 million additional revenue offset by approximately \$2.701 million additional expenditures. This, of course, is a \$1.3 billion budget, and the budget amendment is quite immaterial. He moved the acceptance of the budget revisions as detailed in FCR 8. Mr. Guthrie seconded his motion, and it passed. (See FCR 8 at the end of the Minutes.)

BB. Lexington Community College Support Fee Approval for the Spring 2002 and Summer 2002 Semesters (FCR 9)

Mr. Chellgren said FCR 9 was reviewed in some depth at the Finance Committee meeting by the Provost. Lexington Community College (LCC) has been a great success story in terms of the rapid growth of the student population of the Community College. At the same time, it was a surprise to everyone to learn that since 1991, essentially 10 years, there has been no change in the per-semester tuition charge to the students and essentially no change in state support in terms of full-time student equivalent. As a result, a gap has developed. The University has recommend to the Finance Committee, and the Finance Committee recommends to the Board that a support fee of \$65 per

semester be assessed to full-time students and \$6 per credit hour to be assessed to part-time students beginning in the spring semester of 2002 and the summer semester of 2002. The whole issue of tuition at LCC does need to be reassessed with the 2003 budget. Students have been informed. For their own planning purposes, they can anticipate that full-time students next term tuition will go from \$810 per semester to \$875 per semester. The student population at LCC continues to grow robustly, and this change in the fee is necessary to maintain the financial integrity of the LCC program. He moved the acceptance of FCR 9. His motion, seconded by Ms. Edge, carried. (See FCR 9 at the end of the Minutes.)

CC. Gifts and Pledges (FCR 10 - 22)

Mr. Chellgren said that FCR 10 through 22 are the acceptances of a number of gifts and some items related to the endowment and existing professorships. He said he would describe them one-by-one; however, the Board would deal with them as a package. He commented on each of the following items:

FCR 10 - a recommendation that the Board approve changing the name of the United States Surgical Professorship in Minimally Invasive Surgery to the Commonwealth Professorship of Minimally Invasive Surgery. In December 1998, the Board accepted a \$140,000 gift and a \$2,260,008 pledge.

FCR 11- a gift of \$20,000 and a pledge of \$80,000 by James P. Gray II to create and endow the James P. Gray II Cultural Endowment Fund in the Gaines Center for the Humanities.

FCR 12 - a gift of \$401,600 from Philip Morris, Inc., of Richmond, Virginia, to the College of Agriculture.

FCR 13 - a gift of \$1,889,139 from the estate of John H. Clark to the University of Kentucky Equine Research Foundation for the Department of Veterinary Science in the College of Agriculture to be used to benefit the study of thoroughbred horses.

FCR 14 - a pledge of \$313,060 from Scott S. Smith of Atlanta, Georgia, to create and endow the Scott Smith Endowed Basketball Scholarship in the Department of Athletics.

FCR 15 - a pledge of \$313,060 from Sean S. Smith of Atlanta, Georgia, to create and endow the Sean Smith Endowed Basketball Scholarship in the Department of Athletics.

FCR 16 - a pledge of \$328,651 from Kenneth E. Nutter and Robert W. Nutter of Beaver Creek, Ohio, to create and endow the Nutter Family Endowed Basketball Scholarship in the Department of Athletics.

Mr. Chellgren noted that FCR 14, 15 and 16 give the donors the right to buy two basketball tickets on the floor; consequently, these gifts will commit another six of the 28 seats committed for this purpose. FCR 16 will be paid over time; therefore, there is more money that needs to be paid in total because of the concept of present value of money.

FCR 17 - a gift of \$120,000 from Wyeth-Ayerst Pharmaceuticals, Inc. to support residency education programs in the College of Pharmacy.

FCR 18 - gifts and pledges totaling \$100,000 from Lexmark International, Inc., and its employees to create and endow the Lexmark Graduate Fellowship Fund. It is anticipated that this total will be matched by the Research Challenge Trust Fund, creating a total of \$200,000 for the Fellowship Fund. The academic disciplines to benefit from this fellowship will be designated later.

FCR 19 - a gift of \$10,000 and a pledge of \$40,000 from the Northern Kentucky UK Alumni Club to establish and endow the Northern Kentucky UK Alumni Club Fellowship Fund in the Graduate School. This commitment is subject to being matched by the Research Challenge Trust Fund.

FCR 20 - a gift of \$135,000 from Ashford Stud of Versailles, Kentucky, for the William T. Young Library Endowment to support the library collection for the benefit of research and graduate programs of the University. This gift is subject to being matched by the Research Challenge Trust Fund.

FCR 21 - a gift of \$100,000 from Ann Scott and Ralph E. Mason of Maysville, Kentucky, to establish and endow the Ann Scott and Ralph E. Mason Endowed Research Fund in Opera Studies in the College of Fine Arts' School of Music. This gift is subject to be matched by the Research Challenge Trust Fund.

FCR 22 - a gift of \$10,000 and a pledge of \$70,000 from Dr. Lee T. Todd, Jr. to create and endow the DataBeam Professorship in Electrical and Computer Engineering in the College of Engineering. This gift is eligible to be matched by the Research Challenge Trust Fund.

Mr. Shoop said he would like to comment about Albert Clay and the Clay family, and, of course, the William T. Young family. Both families have been very instrumental in cultivating gifts for the thoroughbred industry. The gift of \$1,889,139 from the John H. Clark estate (FCR 13) is primarily due to the friendship of Albert Clay. Mr. Clay is the former chairman of the UK Equine Research Foundation. Mr. Shoop noted that the UK Equine Research Foundation is appreciated by the thoroughbred industry.

DD. Investment Committee Report

Mr. Wilcoxson, Chairperson of the Investment Committee, reported that the Endowment Investment Assets had a market value on September 30th of \$405,000,000.

Overall, the endowment posted an average total return of minus 7.6% for the quarter ending September 30th compared to a minus 7.8% for the capital market indexes. Preliminary data from Cambridge Associates, the University's consultants, indicate that the UK endowment performance was also favorable when compared to the College and University Endowment median return for the same period, which was minus 8%. However, the Committee was informed that for the two months ending November 30th, the endowment posted a positive total return of 7.1%, which recoups much of the loss for the quarter ended September 30th.

The University received proposals for a Venture Capital Manager on November 28th, and the Investment Committee met in special session on November 30th to interview the finalists. The Committee unanimously voted to invest \$2,000,000 with Limestone Capital, a Lexington based firm, and \$1,000,000 with Chrysalis Ventures, a Louisville based firm, with the objectives of the venture investments being to enhance the return of the endowment and to support economic development in Kentucky.

The investment in Chrysalis of \$1,000,000 will be leveraged two for one by the Small Business Administration (SBA), which will result in a total investment of \$3,000,000. The Limestone Capital total fund will be \$20,000,000 and Village Ventures will leverage that amount with an additional \$3,000,000. The impact of the University's investment will be increased by these additional funds.

President Todd commented about the primary objectives of enhancing the return to the endowment and to demonstrate leadership in economic development that will create jobs in Kentucky. He expressed appreciation to the Investment Committee and the Board for their vision and support.

EE. University Relations Committee Report

Mr. Guthrie, Chairperson of the University Relations Committee, reported that the University Relations Committee met and took action. He reminded the Board of their discussion in September about creating a website for the Board that would be a part of the University site. President Todd sent the Board a questionnaire, and fifteen members returned it. The Committee reviewed the responses as well as other university websites such as the University of Michigan, Ohio State, Penn State, University of North Carolina and Purdue as a variety of some benchmark schools that have trustee websites.

He reported that the Committee recommends that the University of Kentucky Board of Trustees website include the following: photograph, biographical sketch, address (Board member's choice), phone number, e-mail address, term of office, alumni connection, if applicable, and committee appointments. He announced that a time would be arranged by Mary Margaret Colliver, Acting Director of Public Relations, to take photographs at the January 22, 2002 Board meeting. He moved the adoption of this recommendation to make it official. Ms. Edge seconded his motion, and it carried.

He noted that the appointment of Tom Harris, Associate Vice President of External Affairs, was approved in PR 2. Mr. Harris comes to the University from Honda Motor Corporation in Columbus, Ohio. He is a graduate of the University of Kentucky and has an outstanding reputation. He will be joining the administrative staff on January 1, 2002.

Mr. Guthrie reported that President Todd and President John Shumaker have asked that they develop some positive messages about the success story behind “Bucks for Brains” to send across the state. They will be meeting with some public relations and marketing people at the University of Louisville to discuss the Research Challenge Trust Fund activities and the cooperation between the universities.

He said the Committee would also be meeting at some future date with Stan Key from the Alumni Association, Terry Mobley from Development, Mary Margaret Colliver from Public Relations, and Tony Goetz from Government Relations, to get an overview of how those functions are handled at the University.

In conclusion, Mr. Guthrie said the Committee also discussed a possible University identification and health print ID program for the future, but that would be way down the road.

FF. Marian Sims' Comments

Ms. Sims said she would like to comment about The Jerry Clairborne Way. She said it was suggested that perhaps it not just be “Claiborne Way” because of the fine qualities that Jerry Claiborne had. The Alumni Association asked that the sign be “The Jerry Claiborne Way” to point to the life that he led.

Ms. Sims also commented about the passing of Mr. Jay Brumfield, former Director of the Alumni Association. Mr. Brumfield was a major contributor to the University and served the University well.

GG. First Six Months President's Report

President Todd thanked Dr. Blanton and Judy Marshall for their help in putting his First Six Months Report together. He said that he would be meeting with Mr. Terry Birdwhistle and doing an oral history of the presidency as well. He made the following pictorial presentation to the Board:

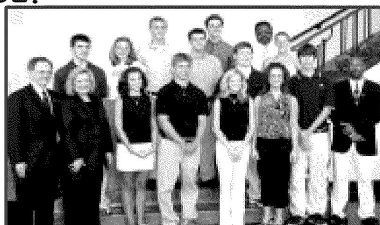
President Lee T. Todd, Jr.



REPORT TO THE BOARD OF TRUSTEES On the First Six Months

STUDENT INITIATIVES

- Governor's Scholars and Governor's School for the Arts alumni to receive scholarships in the fall of 2002.



STUDENT INITIATIVES

- Tuition Payment Plan
- Wireless computing capability
- E-Mail Directory for the UK Parents Association.
- Landscaped the grounds around the dormitories.
- "Gator Roast" pep rally attended by 7000 students.
- Taught five UK 101 classes.

ACADEMIC INITIATIVES



- Appointed a Diversity Commission with Professor Deneese Jones as Chair.



- Appointed a Women's Commission with Professor Carolyn Bratt as Chair.



- Established the position of "Writer in Residence" in Creative Writing and appointed noted Kentucky author Bobbie Ann Mason to the position.

ACADEMIC INITIATIVES

- Established a Top-Twenty Task Force
- Established a Committee on UK Futures: Faculty for the Twenty First Century
- Developed a course exchange with UL

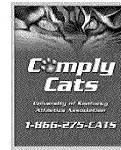


ADMINISTRATIVE INITIATIVES

- Reorganized the University into a provost model; staffed top executive positions; and saved \$1.25 million in recurring expenditures.
- Merged the offices of Admissions and Registrar into one office and created an Enrollment Management Team.
- Merged the the Medical Center PR Office with the UK PR Office and named a new director of the merged unit.

ADMINISTRATIVE INITIATIVES

- Established an Administrative Process Improvement Team to cut "red tape".
- Created a Health Insurance Task Force.
- Appeared before the NCAA Infractions Committee.
- Established a confidential "hot line" for athletics.



CAMPUS ENVIRONMENT

- Restoring the Gillis Lot for handicapped parking.
- Placed benches in the Patterson Office Tower Plaza for student/faculty interaction.



CAMPUS ENVIRONMENT

- Arranged for vending stands selling hot dogs, soft drinks, and ice cream in strategic locations on campus.



CAMPUS ENVIRONMENT

- Installed banners depicting Alumni/Faculty/Staff achievements, awards, and honors.



CAMPUS ENVIRONMENT

- Opened Starbucks Cyber Café in the Student Center, with laptop computers available for use by students/faculty/staff.



CAMPUS ENVIRONMENT

- Painted the UK Logo on the street at the intersection of University Drive and College View Road.
- Painted wildcat paw prints on the bridge to the Student Center.



CAMPUS ENVIRONMENT

- Opened the grounds and gardens of Maxwell Place to the campus community and the public.
- Hosted many student, faculty and staff meetings at Maxwell Place.
- Held "Open House" at Maxwell Place during Freshman Orientation.



CAPITAL PROJECTS INITIATIVES

- Appointed a Restoration Committee for the Administration Building.
- Negotiated a successful insurance settlement in the aftermath of the Administration Building fire.

CAPITAL PROJECTS INITIATIVES

- Employed the prominent international architectural firm of Hallstand-Kliment of New York City to assist with the internal design of the new Administration Building.





ALUMNI INITIATIVES

- Created a Legacy Tuition Program for children of out-of-state alumni.
- Hosted Reception for the 150-member UK Alumni Council at Maxwell Place.
- Created an Alumni E-Mail Network and an electronic Newsletter.
- Spoke to 15 Alumni Clubs since July 1st.



COMMUNITY OUTREACH INITIATIVES

- Developed the Central Kentucky "New Economy Plan."
- Appointed to the Mayor's reorganized Downtown Development Commission.
- Increased UK financial participation by 100 percent in Martin Luther King, Jr. Day activities.
- Selected two Kentucky firms for placement of \$3M of UK endowment in venture capital.
- Supported the downtown Woolworth's Project.



COMMUNITY OUTREACH INITIATIVES

- Traveled with the Governor on a development/education trip to Germany.
- Opened the UK Washington Office along with the State Government.
- Hosted the Fayette Legislative Delegation at the Boone Faculty Center.
- Hosted the Central Kentucky Legislative Caucus at Spindletop Hall with the Mayor's Office, the Horse Park, and the Lexington Chamber of Commerce.

COMMUNITY OUTREACH INITIATIVES

- Built a cooperative relationship with UL.
- Hosted KCTCS Administrators and Presidents at Spindletop dinner.
- Hosted CPE dinner at Maxwell Place.
- Developed joint graduate fellowship funding with Independent Colleges.
- Toured Robinson Forest.
- Toured UK Center for Rural Health.

COMMUNITY OUTREACH INITIATIVES

- Spoke to 135 groups around Kentucky and the U.S. since July 1st.



DEVELOPMENT INITIATIVES

- Received \$20.1 million in cash since July 1, 2001, a 25 percent increase over the same period last year.
- Raised \$30 million since July 1, 2001, including pledges, putting the development campaign total at \$433M.
- Attended a special reception in Boston for 40 major donor prospects.

DEVELOPMENT INITIATIVES

- **Attended and spoke at the UK Development Council Annual Meeting.**
- **Attended the UK Fellows Society Dinner, at which 800 guests welcomed 273 new Fellows.**
- **Hosted, along with Patsy, numerous development-related lunches and dinners at Maxwell Place.**

HH. Ms. May's Comments about Extension Agents

Ms. May reported that the female members of the Board and Mr. Williams met with the Extension Agents. She called attention to the Kentucky Extension Association of Family and Consumer Sciences flyer that she passed out to the Board members prior to the meeting and said the flyer represents the presence of the University in all 120 counties in the state. This organization touches more people than one can ever believe, through health initiatives, 4-H, and homemakers. They have tremendously good programs on teaching grandparents how to raise children again and helping single mothers. It is an organization that everyone should be proud of. It is an outstanding group of people. A year ago they competed nationally and won more national awards than any other state. This year they finished third. She said it was a tremendous experience for the Trustees to meet these people and encouraged the Board to get involved if they are contacted by any of these organizations because it is a very worthwhile experience.

II. Ms. Wickliffe's Comments about Presidential Inauguration

Ms. Wickliffe said the University would have an exciting time coming up. That is the inauguration of the University's eleventh president. The dates have been set. They are February 14 and 15, 2002. She asked the Board members to put those dates on their calendars because the Board, the staff, the faculty and students would be involved in this event. There will be well-known speakers, musical events, and activities designed especially for the students. There will be activities designed for everyone throughout the Commonwealth. It will be open to the public. She encouraged the Board to spread the word. She noted that there have already been private funds raised, and they already have had some commitments. She asked the Board to not get excited about the Committee spending a lot of the University's money.

JJ. Reactivation of Ad Hoc Committee on Board Committees

Mr. Miles announced that he is reactivating the Ad Hoc Committee on Board Structure. The Committee's charge is to review the configuration and responsibilities of the difference boards involved in the University, and to review the by-laws of all of the affiliated corporations for consistency and to recommend changes.

Mr. Miles noted that two or three of the members on that Committee have gone off the Board. He appointed Jack Guthrie, Loys Mather, Pam May, Frank Shoop, Alice Sparks, Grady Stumbo, Russ Williams, Elaine Wilson, and Barbara Young. He also appointed Dr. Blanton, Ms. Kathy DeBoer, and Mr. Frank Butler to serve as advisors to the Committee. He said without a doubt President Todd would be on the Committee.

Mr. Miles said there had been a lot of questions and discussion about these boards and affiliated corporations, and he wants to get it all out so everyone understands it.

President Todd said each month it seems like he is on a new board that he did not know he was on. This seems to be a time to take an inventory of all of the boards and how members are appointed.

He said he and Carolyn Bratt had talked about searches around the University for open positions. They would like to bring some consistency to the searches to make sure that the University is seeking diverse populations, is advertising quickly and getting the word out, and using all the contacts available.

President Todd said he would like to get some consistency within committee structures, appointment structures and at least have an inventory of all of them. There are some Boards that the Board of Trustees does not name; however, the Trustees need to know who they are and how many members are on them. This is really a bit of housekeeping issue, and the Ad Hoc Committee on Board Structure is the one to do that.

President Todd added that in doing this inventory he hopes to have a booklet or something that has the names of the committees and who serves on them. Trustees would be able to look at the booklet and help select members for those committees or make recommendations of people who really could participate.

Mr. Miles said another example is the Center for Applied Energy Research (CAER). A new Executive Director for the Center was hired in February 2001. Mr. Miles reported that he had received calls from all over the state about that, but he did not know what they were talking about. Mr. Miles expressed concern that the Board of Trustees did not have control of the Center.

While visiting Robinson Forest late this November, he and President Todd met with coal industry representatives leasing University coal and had a lot of discussion about the Center. CAER accounts for a big part of the research dollars that come to the

University, and he commented that it was important to protect those dollars coming to the University.

KK. Additional Comments about Venture Capital

Mr. Wilcoxson said he thought he should mention that the Chrysalis group in Louisville has already committed \$9,000,000 of their own money. One of the principals of Chrysalis is David Jones, Jr.

President Todd said that is will be a \$150,000,000 fund when they finish it and with Limestone in Lexington, the University's first \$2,000,000 committed is really the first \$2,000,000 committed to a \$20,000,000 fund.

Mr. Wilcoxson said both of these groups are committed to focusing on Kentucky, and in his opinion, the University is going to make money.

LL. Meeting Adjourned

With no further business to come before the Board, Mr. Miles adjourned the meeting at 4:50 p.m.

Respectfully submitted,

JoEtta Wickliffe
Secretary, Board of Trustees

(PR 2, 3A, 3B, 3C, 3D, 3E, 3F, 3G, 3H, 3I, 3J; AACR 1, AACR 2; FCR 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, and 22 which follow are official parts of the Minutes of the meeting.)

PR 2

Office of the President
December 11, 2001

Members, Board of Trustees:

PERSONNEL ACTIONS

Recommendation: that approval be given to the attached appointments, actions and/or other staff changes which require Board action; and that the report relative to appointments and/or changes already approved by the administration be accepted.

Background: The attached recommended appointments and/or other staff changes require approval by the Board of Trustees in accordance with Part VIII-B of the Governing Regulations of the University. These recommendations are transmitted to the Board by the appropriate Provost/Vice President through the President and have the President's concurrence.

Under the Governing Regulations, the authority to make certain appointments and/or other staff changes is delegated to the President or other administrators who are required to report their actions to the Board. These items of report follow the recommendations requiring Board approval.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

UNIVERSITY OF KENTUCKY

I. BOARD ACTION

A. ACADEMIC APPOINTMENTS

- Anderson-Harper, Heidi M., College of Pharmacy, Professor (with tenure), effective 1/1/02.
- Burmeister, Larry, College of Agriculture, Associate Professor (with tenure), Sociology, appointed to the Dr. and Mrs. C. Milton Coughenour Sociology Professorship in Agriculture and Natural Resources, 11/1/01 through 10/31/06.
- Butoi, Irina, College of Medicine, Clinical Instructor, Anesthesiology, 1/1/02 through 6/30/02.
- Chiriac, Nona D., College of Medicine, Professor (voluntary), Kentucky School of Public Health, 10/24/01 through 6/30/03.
- Cox, Nancy M., College of Agriculture, Professor (temporary), Animal Sciences, 10/1/01 through 6/30/02.
- Domer, Dennis, College of Architecture, Professor (with tenure), Architecture, appointed to the Clay Lancaster Distinguished Professorship in Historic Preservation, 12/1/01 through 6/30/04.
- Duta, Irina, College of Medicine, Professor (voluntary), Kentucky School of Public Health, 10/24/01 through 6/30/03.
- Farcasanu, Dana-Otilia, College of Medicine, Professor (voluntary), Kentucky School of Public Health, 10/24/01 through 6/30/03.
- Jackson, Carney B., College of Agriculture, Associate Professor (temporary), Veterinary Science, 10/1/01 through 6/30/02.
- Kasarskis, Edward J., College of Medicine, Professor, Neurology, named to the Cynthia Shaw Crispen Professorship in ALS Disease Research, 11/1/01 through 10/31/06.
- Kiernan, Kevin, College of Arts and Sciences, Professor (with tenure), English, appointed to the Marshall T. Hahn Sr. Professorship, effective 10/1/01.
- Kyprianou, Natasha A., College of Medicine, Professor (with tenure), Surgery, effective 1/1/02.
- Levine, Vladimir S., College of Medicine, Assistant Professor*, Pediatrics, 12/1/01 through 6/30/02.
- Lowe, Kaye, College of Education, Visiting Professor, Curriculum and Instruction, 9/6/01 through 9/5/02.
- Lynn, Bert C. Jr., College of Arts and Sciences, Associate Professor (temporary), Chemistry, 8/16/01 through 6/30/02.
- Matthew, Dayna, College of Law, Associate Professor (with tenure), Law, appointed to the Gallion and Baker Professorship, 11/1/01 through 6/30/02.

McLeod, Kyle R., College of Agriculture, Assistant Professor, Animal Sciences, 11/6/01 through 6/30/02.

Miller, Wallis, College of Architecture, Associate Professor (with tenure), Architecture, appointed to the Charles Parker Graves Professorship in Architecture, 12/1/01 through 6/30/04.

Moore, Kathryn L., College of Law, Associate Professor (with tenure), Law, appointed to the Everett H. Metcalf Jr. Professorship, 11/1/01 through 6/30/02.

Murphy, John T., College of Medicine, Clinical Associate Professor, Anesthesiology, 12/1/01 through 6/30/02.

O'Bryan, Mark, College of Architecture, Associate Professor (with tenure), Architecture, appointed to the AIA Kentucky Endowed Professorship in Architecture, 7/1/02 through 6/30/04.

Pana, Bogdan C., College of Medicine, Professor (voluntary), Kentucky School of Public Health, 10/24/01 through 6/30/03.

Perrier, Donald, College of Pharmacy, Professor (with tenure), effective 10/1/01.

Rabchevsky, Alexander G., College of Medicine, Assistant Professor, Physiology, 1/1/02 through 6/30/02.

Ramsey, Christian N., College of Medicine, Professor (voluntary), Family Practice, 10/24/01 through 6/30/03.

Salamanca, Paul E., College of Law, Associate Professor (with tenure), Law, appointed to the James M. Lassiter Professorship, 11/1/01 through 6/30/02.

Schardl, Christopher L., College of Agriculture, Professor (with tenure), Plant Pathology, appointed to the Harry E. Wheeler Chair in Plant Mycology, effective 12/11/01.

Shah, Vinod, College of Pharmacy, Adjunct Professor, 9/19/01 through 6/30/02.

Silhavy, Miroslav, College of Arts and Sciences, Visiting Professor, Mathematics, 1/1/02 through 6/30/02.

Singhai, Mukesh, College of Engineering, Professor (with tenure), Computer Science, and appointed to the Gardner Group Endowed Chair in Network Engineering, effective 9/20/01.

Stepniak-Biniakiewicz, Danuta, College of Medicine, Assistant Research Professor, Internal Medicine, 12/12/01 through 6/30/02.

Swenson, Michael R., College of Medicine, Professor (voluntary), Physical Medicine and Rehabilitation, 12/12/01 through 6/30/03.

Swetnam, Bruce, College of Architecture, Associate Professor* (with tenure), Architecture, appointed to the Kentuckiana Masonry Institute Professorship in Materials and Methods Construction, 12/1/01 through 6/30/04.

Teaster, Pamela B., College of Medicine, Assistant Professor, Kentucky School of Public Health, 1/1/02 through 6/30/02.

Valceanu, Daniela, College of Medicine, Professor (voluntary), Kentucky School of Public Health, 10/24/01 through 6/30/03.

Weaver, Diana J., College of Nursing, Associate Professor (part time),
10/24/01 through 6/30/02.

Yamada, Jun, College of Engineering, Visiting Associate Professor,
Mechanical Engineering, 10/8/01 through 8/15/02.

B. ADMINISTRATIVE APPOINTMENTS

Allen, David, University Hospital, Assistant Hospital Director, Hospital
Administration, effective 1/7/02.

Blackwell, Jeannine, College of Arts and Sciences, Professor (with tenure),
German Studies, appointed Senior Associate Dean, Graduate School,
1/1/02 through 6/30/03.

Chambers, Sandra, University Hospital, Assistant Hospital Director, Hospital
Administration, effective 12/12/01.

Ely, Brian, College of Medicine, Nurse Anesthetist, Anesthesiology, effective
1/1/02.

Harris, Thomas, Senior Vice President for Administration, appointed
Associate Vice President for External Affairs, effective 1/01/02.

Perrier, Donald, College of Pharmacy, Professor (with tenure), named Chair,
Pharmacy Practice and Science, effective 10/15/01.

Turner, Larry, College of Agriculture, Extension Professor (with tenure),
Biosystems and Agricultural Engineering, and Chair, Biosystems and
Agricultural Engineering, appointed Associate Dean for Extension,
College of Agriculture, effective 1/2/02.

C. JOINT APPOINTMENTS

Hoffmann, Michael, College of Medicine, Associate Professor (without
tenure), Neurology, joint appointment as Associate Professor (without
tenure), Psychiatry, 10/24/01 through 6/30/02.

Marshall, Robert C., College of Allied Health Professions, Professor (with
tenure), Rehabilitation Sciences, joint appointment as Professor (without
tenure), College of Medicine, Department of Physical Medicine and
Rehabilitation, effective 12/12/01.

Miles, Dale A., College of Dentistry, Professor (with tenure), Oral Health
Science, joint appointment as Professor (without tenure), College of
Medicine, Department of Diagnostic Radiology, effective 12/12/01.

Miller, Anne-Frances, College of Arts and Sciences, Associate Professor (with
tenure), Chemistry, joint appointment as Associate Professor (without
tenure), College of Medicine, Molecular and Cellular Biochemistry,
effective 10/1/01.

Ryder, Rebecca J., Libraries, Librarian II (with tenure), Libraries, joint
appointment as Librarian II (without tenure), College of Communications
and Information Studies, Library and Information Science, 8/16/01
through 12/20/01.

Sprang, Mary V., College of Social Work, Associate Professor (with tenure), Social Work, joint appointment as Associate Professor (without tenure), College of Medicine, Psychiatry, 7/1/01 through 6/30/02.

Swetnam, Bruce, College of Architecture, Associate Professor* (with tenure), Architecture, joint appointment as Associate Professor (without tenure), College of Human Environmental Sciences, Merchandising, Apparel and Textiles, 8/16/01 through 12/31/01.

D. REAPPOINTMENTS

Keane, Mark A., College of Engineering, Associate Professor (without tenure), Chemical and Materials Engineering, 1/1/02 through 6/30/03.

F. PROMOTIONS

Brinegar, Kathryn, from Manager, Internal Audit, to Director, Internal Audit, effective 9/1/01.

Yost, Scott A., College of Engineering, from Assistant Professor, Civil Engineering, to Associate Professor (with tenure), Civil Engineering, effective 1/1/02.

G. CHANGES

Collins, Margaret E., University Hospital, from Clinical Nurse II, Nursing Services, to Nursing Operations Administrator, Hospital Administration, effective 12/15/01.

Craft, Elaine, University Hospital, from Division Charge Nurse II, Nursing Services, to Hospital Operations Administrator, Hospital Administration, effective 12/15/01.

Curl, Denise, University Hospital, from Division Charge Nurse, Nursing Services, to Nursing Operations Administrator, Hospital Administration, effective 12/15/01.

Kang, Bann C., College of Medicine, Professor (with tenure), Internal Medicine, from miscellaneous leave without pay, 12/1/00 through 11/30/01, to miscellaneous leave without pay, 12/1/00 through 7/31/01.

Mason, Susan, College of Pharmacy, from Assistant Director, Drug Product Evaluation Unit, to Acting Director, Drug Product Evaluation Unit, effective 8/1/01.

McCaffrey, Francis M., College of Medicine, from Clinical Associate Professor, Pediatrics, to Associate Professor (part time), Pediatrics, 12/1/01 through 6/30/02.

Offutt, William N., College of Medicine, from Professor (voluntary), Ophthalmology, to Professor (part time), Ophthalmology, 12/12/01 through 6/30/02.

Smith, Anna, University Hospital, from Director, Diagnostic Services, to Acting Assistant Hospital Director, Hospital Administration, effective 10/27/01.

Smith, Anna, University Hospital, from Acting Assistant Hospital Director, Hospital Administration, to Assistant Hospital Director, Hospital Administration, effective 12/12/01.

Turner, Erwin G., College of Dentistry, from Professor (part time), Oral Health Science, to Clinical Professor, Oral Health Science, 1/1/02 through 6/30/02.

J. LEAVES OF ABSENCE

Chasen, Craig A., College of Medicine, Clinical Associate Professor, Internal Medicine, miscellaneous leave at full salary, 8/13/01 through 9/30/01.

K. RETIREMENTS

Brady, Mary, College of Agriculture, Extension County Clerk, Field Programs, after 30 years and 6 months of consecutive service, under Section III.B of AR II-1.6-1, effective 9/28/01.

Cunningham, Jane H., Publication Production Assistant, Publishing/Printing Services, after 20 years of consecutive service, under AR II-1.6-1 Section III.B, effective 1/31/02.

Digenis, George A., College of Pharmacy, Professor (with tenure), joint appointment as Professor (without tenure), Graduate School, Graduate Center for Toxicology, after 34 years, 5 months of consecutive service, under AR II-1.6-1, Section III.B, effective 12/31/01.

Pirone, Thomas P., College of Agriculture, Professor (with tenure), Plant Pathology, after 34 years and 4 months of consecutive service, under Section III.B of AR II-1.6-1, effective 12/31/01.

Ray, Barbara S., College of Nursing, Staff Support Associate I, after 2 years, 10 months of consecutive service, under AR II-1.6-1, Section III.B, effective 10/31/01.

Rose, Lena, College of Agriculture, EFNEP Program Assistant, Family and Consumer Sciences, after 6 years and 2 months of consecutive service, under Section III.B of AR II-1.6-1, effective 11/6/01.

Rush, Ramona, College of Communications and Information Studies, Professor (with tenure), Communication, after 24 years and 10 months of consecutive service, under Section III.B of AR II-1.6-1, effective 5/15/02.

Slone, Marie O., Student Affairs, Office Assistant, Residence Life, after 15 years and 2 months of consecutive service, under Section III.B of AR II-1.6-1, effective 1/2/02.

Smith, Darleine L., University Hospital, Neurophysiology Tech. Supv., Neurosciences, after 12 years, 1 month of consecutive service, under AR II-1.6-1, Section III.B, effective 12/14/01.

White, Alene H., Auxiliary and Campus Services, Utility Worker, Physical Plant Division, after 14 years and 3 months of consecutive service, under AR II-1.6-1 Section III.B, effective 1/7/02.

L. EARLY RETIREMENTS

Adams, Margaret Sue C., Research, Senior Storekeeper, Advanced Science and Technology Commercialization Center, after 27 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 1/2/02.

Allen, Bettie M., Auxiliary and Campus Services, Custodial Worker Supervisor I, Physical Plant Division, after 32 years and 2 months of consecutive service, under AR II-1.6-1 Section III.A.2, effective 12/10/01.

Barr, Elsie J., College of Medicine, Research Analyst, Molecular and Biomedical Pharmacology, after 17 years, 7 months of consecutive service, and a total of 17 years, 10 months, under AR II-1.6-1, Section III.A.2, effective 1/31/02.

Botkin, John R., University Hospital, Associate Hospital Director, Hospital Administration, after 25 years, 4 months of consecutive service, and a total of 26 years, 3 months, under AR II-1.6-1, Section III.A.2, effective 1/29/02.

Boyd, Anneen V., College of Agriculture, Staff Support Associate I, Sociology, after 17 years and 2 months of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 12/31/01.

Braden, Maria, College of Communications and Information Studies, Professor* (with tenure), Journalism and Telecommunications, after 21 years and 4 months of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 12/31/01.

Carter, Ronald C., Printing Specialist II, Publishing/Printing Services, after 35 years of consecutive service, under AR II-1.6-1 Section III.A.2, effective 1/31/02.

Clark, Estella, Medical Center, Registered Nurse, Acute Care Services, after 22 years, 10 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 12/1/01.

Clemmons, Sharon, Graphic Design Tech., Publishing/Printing Services, after 36 years of consecutive service, under AR II-1.6-1 Section III.A.2, effective 1/31/02.

Combs, Nancy S., Research, Staff Support Associate I, Tobacco and Health Research Institute, after 16 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 11/30/01.

Davis, Gladys, College of Pharmacy, Account Clerk, after 23 years, 1 month of consecutive service, under AR II-1.6-1, Section III.A.2, effective 11/30/01.

Goodlett, Charles, College of Agriculture, Plumber Supervisor, Management Operations, after 17 years and 9 months of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 1/2/02.

Hayes, Carolyn B., Lexington Community College, Administrative Support Associate I, President's Office, after 25 years and 10 months of consecutive service and 26 years and 1 month of total service, under Section III.A.2 of AR II-1.6-1, effective 12/31/01.

Hill, Raymond E., University Hospital, Associate Hospital Director, Hospital Administration, after 22 years, 7 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 10/26/01.

Huff, Linda G., College of Medicine, Administrative Support Associate I, Pediatrics, after 36 years of consecutive service, and a total of 36 years, 6 months, under AR II-1.6-1, Section III.A.2, effective 1/11/02.

Johnson, David C., College of Arts and Sciences, Professor (with tenure), Mathematics, after 31 years and 10 months of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 6/30/02.

Johnson, James E., College of Medicine, Associate Professor* (with tenure), Pathology and Laboratory Medicine, after 17 years, 7 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 9/30/01.

Kirkland, Daniel L., College of Agriculture, Agricultural Regulatory Specialist, Regulatory Services, after 19 years and 7 months of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 1/31/02.

Norman, Juanita, Auxiliary and Campus Services, Custodial Worker II/Assistant Supervisor, Auxiliary Services, after 15 years and 7 months of consecutive service, under AR II-1.6-1 Section III.A.2, effective 1/31/02.

Owens, Eddie L., College of Medicine, Clinical Professor, Anesthesiology, after 21 years, 10 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 4/30/02.

Stewart, Norma J., University Hospital, Phlebotomist Lead, Clinical Lab, after 22 years, 1 month of consecutive service, and a total of 38 years, 5 months, under AR II-1.6-1, Section III.A.2, effective 1/11/02.

Swingle, Nikki A., College of Arts and Sciences, Program Coordinator I, English, after 13 years and 4 months of consecutive service and 17 years and 7 months of total service, under Section III.A.2 of AR II-1.6-1, effective 1/2/02.

M. POST-RETIREMENT APPOINTMENTS

Brady, Mary, College of Agriculture, Extension County Clerk (part-time), Field Programs, 10/16/01 through 6/30/02.

Cobb, Ronald D., College of Pharmacy, Associate Professor (part time), 9/1/01 through 4/30/02.

Hall, Harry, College of Agriculture, Professor (part-time), Agricultural Economics, 11/20/01 through 12/5/01.

Pirone, Thomas P., College of Agriculture, Professor (part-time), Plant Pathology, 1/1/02 through 6/30/02.

Rush, Ramona, College of Communications and Information Studies, Professor (part-time), Communication, 8/16/02 through 12/31/02.

Sands, Donald, College of Arts and Sciences, Professor (part-time),
Chemistry, 7/1/01 through 6/30/02.
Taylor, Norman, College of Agriculture, Professor (part-time), Agronomy,
10/1/01 through 6/30/02.
Winburn, Ruth, College of Agriculture, Staff Support Associate II (part-time),
Agricultural Economics, 11/15/01 through 1/10/02.

N. PHASED RETIREMENT APPOINTMENTS

Dendle, Brian, College of Arts and Sciences, Professor (half-time), Spanish
and Italian, 7/1/02 through 6/30/05.

II. ADMINISTRATIVE ACTION

A. ACADEMIC APPOINTMENTS

Adams, Mark S., College of Medicine, Assistant Professor (voluntary),
Internal Medicine, 12/12/01 through 6/30/03.
Adkins, Dan R., College of Communications and Information Studies,
Adjunct Instructor, Journalism and Telecommunications, 8/16/01 through
12/31/01.
Allaire, Gloria, College of Arts and Sciences, Lecturer, Spanish and Italian,
8/16/01 through 6/30/02.
Ballard, Deborah A., College of Medicine, Assistant Professor (voluntary),
Internal Medicine, 10/24/01 through 6/30/03.
Bathke, Arne, College of Arts and Sciences, Assistant Professor, Statistics,
8/16/01 through 6/30/03.
Beebe, Leslie M., College of Nursing, Instructor (part time), 10/24/01 through
6/30/02.
Black, James E., College of Engineering, Assistant Adjunct Professor, Civil
Engineering, 9/10/01 through 6/30/02.
Blankenship, J. D., College of Medicine, Assistant Professor (voluntary),
Family Practice, 12/12/01 through 6/30/03.
Brown, Ralph, College of Business and Economics, Adjunct Instructor,
Management, 8/16/01 through 5/15/02.
Bryant, Charles, College of Communications and Information Studies,
Adjunct Instructor, Journalism and Telecommunications, 8/16/01 through
12/31/01.
Carrigan, Dennis, College of Communications and Information Studies,
Adjunct Instructor, Library and Information Science, 8/16/01 through
5/15/02.
Carter, Kathleen, College of Human Environmental Sciences, Instructor (part-
time), Merchandising, Apparel and Textiles, 8/16/01 through 12/31/01.
Cassady, Christy M., College of Communications and Information Studies,
Adjunct Instructor, Journalism and Telecommunications, 8/16/01 through
12/31/01.

Castellanos, Adalberto, College of Medicine, Assistant Professor (voluntary), Family Practice, 10/24/01 through 6/30/03.

Chamberlin, Mark E., College of Arts and Sciences, Assistant Professor, Aerospace Studies, 7/1/02 through 6/30/05.

Chico-Wyatt, Irene, College of Arts and Sciences, Lecturer, Spanish and Italian, 8/16/01 through 6/30/02.

Clark, Marilyn, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/01 through 12/31/01.

Clark, Terry D., College of Medicine, Assistant Professor (voluntary), Pathology and Laboratory Medicine, 12/12/01 through 6/30/03.

Copp, Kenneth W., College of Business and Economics, Instructor (part-time), Management, 8/16/01 through 5/15/02.

Crider, Jack B., College of Medicine, Assistant Professor (voluntary), Pediatrics, 12/12/01 through 6/30/03.

Cumberlander, Natalie, College of Education, Instructor (part-time), Educational and Counseling Psychology, 8/16/01 through 12/31/01.

Curtis, William, College of Medicine, Assistant Professor (voluntary), Family Practice, 10/24/01 through 6/30/03.

Dailey, John, College of Communications and Information Studies, Adjunct Instructor, Journalism and Telecommunications, 8/16/01 through 5/15/02.

Dickson, James L., College of Dentistry, Assistant Professor (voluntary), Oral Health Practice, 10/24/01 through 6/30/03.

Dorsett, Daniel, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/01 through 12/31/01.

Elias, Joseph A., College of Engineering, Instructor (part-time), Electrical and Computer Engineering, 8/22/01 through 12/31/01.

Estes, William T. II, College of Agriculture, Instructor (part-time), Landscape Architecture, 9/1/01 through 12/31/01.

Evans, Connie, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/01 through 12/31/01.

Ford, Richard F., College of Medicine, Assistant Professor (voluntary), Obstetrics and Gynecology, 10/24/01 through 6/30/03.

Frebis, James R., College of Business and Economics, Instructor (part-time), Accountancy, 8/16/01 through 5/15/02.

Giese, Debra, College of Nursing, Lecturer (full-time), 12/12/01 through 6/30/02.

Glaser, Josephine Lee A., College of Medicine, Assistant Professor (voluntary), Family Practice, 12/12/01 through 6/30/03.

Gleason, James P., College of Business and Economics, Instructor (part-time), Management, 8/16/01 through 5/15/02.

Goble, Christine A., College of Engineering, Assistant Professor (part-time), Mechanical Engineering, 8/16/01 through 6/30/02.

Govil, Amit, College of Medicine, Assistant Professor (voluntary), Family Practice, 10/24/01 through 6/30/03.

Gunther, Denotra S., College of Business and Economics, Instructor (part-time), Management, 8/16/01 through 5/15/02.

Hall, Elizabeth W., College of Communications and Information Studies, Adjunct Instructor, Journalism and Telecommunications, 8/16/01 through 12/31/01.

Hamperian, Roger K., Libraries, Librarian IV, Libraries, 1/7/02 through 6/30/02.

Hannah, Rancie W., College of Medicine, Assistant Professor (voluntary), Family Practice, 12/12/01 through 6/30/03.

Hardcastle, Sam, College of Medicine, Assistant Professor (voluntary), Internal Medicine, 10/24/01 through 6/30/03.

Hatter, Angie, College of Pharmacy, Assistant Professor (voluntary), 12/12/01 through 6/30/03.

Hellums, Duane B., College of Arts and Sciences, Assistant Professor, Aerospace Studies, 7/1/02 through 6/30/05.

Herald, Mike, College of Pharmacy, Assistant Professor (voluntary), 12/12/01 through 6/30/03.

Hitchner, Marilyn S., College of Human Environmental Sciences, Instructor (part-time), Interior Design, 8/16/01 through 12/31/01.

Holbein, Gordon F., College of Business and Economics, Lecturer, Management, 8/16/01 through 6/30/02.

Holle, Bruce F., College of Arts and Sciences, Lecturer, History, 8/16/01 through 6/30/02.

Kapil, Vikas, College of Medicine, Assistant Professor (voluntary), Family Practice, 10/24/01 through 6/30/03.

Kaufmann, Cheryl B., College of Nursing, Clinical Instructor, 12/12/01 through 6/30/02.

Kelleher, Patrick A., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 10/24/01 through 6/30/03.

Kelly, Teresa, Lexington Community College, Instructor (temporary), Lexington Community College, 9/1/01 through 12/31/01.

Knight, Jane, Lexington Community College, Librarian IV (temporary), Lexington Community College, 10/15/01 through 6/30/02.

LeVeque, Paul, College of Communications and Information Studies, Adjunct Instructor, Journalism and Telecommunications, 8/16/01 through 5/15/02.

Little, Bryan D., College of Business and Economics, Instructor (part-time), Management, 8/16/01 through 5/15/02.

Little, Vinnette T., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 10/24/01 through 6/30/03.

Loan, Theresa D., College of Nursing, Assistant Professor (part time), 12/12/01 through 6/30/02.

Lomax, Kevin C., College of Medicine, Assistant Research Professor, Kentucky School of Public Health, 1/1/02 through 6/30/02.

Lynch, John, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/01 through 12/31/01.

Manno, Charlotte, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/01 through 12/31/01.

McFadden, Steven Y., College of Engineering, Instructor (part-time), Electrical and Computer Engineering, 8/16/01 through 12/31/01.

Naqvi, Nuzhat, College of Medicine, Assistant Professor (voluntary), Family Practice, 11/1/01 through 6/30/03.

Perry, Gerald R., College of Business and Economics, Instructor (part-time), Management, 8/16/01 through 5/15/02.

Popham, Jill, College of Pharmacy, Assistant Professor (voluntary), 12/12/01 through 6/30/03.

Purohit, Nikhanth, College of Medicine, Assistant Professor (voluntary), Family Practice, 12/12/01 through 6/30/03.

Rauter, Claudia M., College of Agriculture, Assistant Research Professor, Entomology, 8/1/01 through 6/30/02.

Ringo, Georgia, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/01 through 12/31/01.

Roenker, Jonathan M., College of Business and Economics, Adjunct Instructor, Economics, 8/16/01 through 5/15/02.

Rolph, Charles W., College of Dentistry, Assistant Professor (voluntary), Oral Health Practice, 12/12/01 through 6/30/03.

Rose, Anthony W., Lexington Community College, Instructor, Lexington Community College, 8/6/01 through 6/30/02.

Ross, Edgar C., College of Business and Economics, Instructor (part-time), Accountancy, 8/16/01 through 5/15/02.

Saraff, Suma K., College of Medicine, Assistant Professor (part time), Internal Medicine, 12/12/01 through 6/30/02.

Schloemer, George L., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 10/24/01 through 6/30/03.

Schoeneberger, Marlies L., College of Medicine, Assistant Adjunct Professor, Behavioral Science, 12/12/01 through 6/30/02.

Schroder, Elizabeth A., College of Medicine, Assistant Research Professor, Pediatrics, 11/1/01 through 6/30/02.

Schureman, Gloria J., College of Nursing, Instructor (part time), 10/24/01 through 6/30/02.

Schwieger, Ruben, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/01 through 12/31/01.

Smith, Michelle L., College of Business and Economics, Instructor (part-time), Management, 8/16/01 through 12/31/01.

Snider, Bruce A., College of Medicine, Assistant Professor (voluntary), Psychiatry, 12/12/01 through 6/30/03.

Sugarman, Jacqueline M., College of Medicine, Assistant Professor (part time), Pediatrics, 12/1/01 through 6/30/02.

Sukin, Craig A., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 10/24/01 through 6/30/03.

Svavarsdottir, Alma E., College of Medicine, Assistant Professor (voluntary), Family Practice, 10/24/01 through 6/30/03.

Taylor, Elizabeth M., College of Arts and Sciences, Assistant Research Professor, Anthropology, 8/1/01 through 6/30/02.

Taylor, Michael, College of Business and Economics, Instructor (part-time), Accountancy, 8/16/01 through 5/15/02.

Teegavarapu, Ramesh, College of Engineering, Assistant Professor (temporary), Civil Engineering, 9/10/01 through 8/31/02.

Turley, Robert, College of Pharmacy, Assistant Professor (voluntary), 12/12/01 through 6/30/03.

van Wyk, Charl S., College of Medicine, Assistant Adjunct Professor, Diagnostic Radiology, 12/12/01 through 6/30/02.

Varkey, Leelamma, College of Medicine, Assistant Professor (voluntary), Family Practice, 12/12/01 through 6/30/03.

Walker, Amy S., College of Business and Economics, Instructor (part-time), Accountancy, 8/16/01 through 5/15/02.

Walker, Rasan, College of Business and Economics, Instructor (part-time), Economics, 8/16/01 through 5/15/02.

Wells, Kristy, College of Medicine, Assistant Professor (voluntary), Family Practice, 10/24/01 through 6/30/03.

White, Todd, College of Pharmacy, Assistant Professor (voluntary), 12/12/01 through 6/30/03.

Williams, Myra L., College of Nursing, Instructor (part time), 10/24/01 through 6/30/02.

Winsor, Craig, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 8/16/01 through 12/31/01.

Witt, Donald E., College of Communications and Information Studies, Adjunct Instructor, Communication, 8/16/01 through 12/31/01.

Yalamanchi, Vidya B., College of Medicine, Assistant Professor (voluntary), Family Practice, 12/12/01 through 6/30/03.

Yewell, Terry, College of Agriculture, Lecturer (part-time), Agricultural Economics, 8/22/01 through 12/14/01.

Zook, Matthew, College of Arts and Sciences, Assistant Professor, Geography, 8/16/01 through 6/30/03.

B. ADMINISTRATIVE APPOINTMENTS

DePriest, Paul D., College of Medicine, Associate Professor (with tenure), Obstetrics and Gynecology, named Acting Chair, Department of Obstetrics and Gynecology, 10/1/01 through 6/30/02.

Hancher, Donn E., College of Engineering, Professor (with tenure), Civil Engineering, appointed Acting Chair, Chemical and Materials Engineering, 9/17/01 through 6/30/02.

Jackson, Brian A., College of Medicine, Professor (with tenure), Physiology, named Acting Chair, Department of Physiology, 1/1/02 through 12/31/02.

Lillich, Thomas T., College of Dentistry, Professor (with tenure), Oral Health Science, named Acting Chair, Department of Oral Health Science, 11/1/01 through 6/30/02.

Scott, Abe, College of Pharmacy, Information Tech Manager II, effective 10/1/01.

C. JOINT APPOINTMENTS

Barnes, Gregory N., College of Medicine, Assistant Professor, Neurology, joint appointment as Assistant Professor, Molecular and Cellular Biochemistry, joint appointment as Assistant Professor, Pediatrics, 10/24/01 through 6/30/02.

Komanduri, Krishna V., College of Medicine, Clinical Assistant Professor, Radiation Medicine, joint appointment as Clinical Assistant Professor, College of Allied Health Professions, Department of Health Services, 10/24/01 through 6/30/02.

Mahfoud, Ziyad, College of Arts and Sciences, Assistant Professor, Statistics, and joint appointment as Assistant Professor, Kentucky School of Public Health, College of Medicine, 8/16/01 through 6/30/03.

Riel-Romero, Rosario M., College of Medicine, Clinical Assistant Professor, Neurology, joint appointment as Clinical Assistant Professor, Pediatrics, 10/24/01 through 6/30/02.

D. REAPPOINTMENTS

Abate, Anne, College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 1/1/02 through 5/31/02.

Boyle, Karen, College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 1/1/02 through 5/31/02.

Buchanan, Margo R., College of Fine Arts, Instructor (part-time), Theatre, 8/1/01 through 12/31/01.

Carter, Evelyn R., College of Nursing, Instructor (part time), 1/1/02 through 6/30/02.

Chirwa, Robert M.N., Instructor, Lexington Community College, 9/27/01 through 6/30/02.

Christianson, Laura K., College of Fine Arts, Instructor (part-time), Art, 8/1/01 through 12/31/01.

Clark, John Robert, College of Business and Economics, Instructor (part-time), Accountancy, 8/16/01 through 5/15/02.

Cooley, Edward L., College of Business and Economics, Instructor (part-time), Management, 8/16/01 through 5/15/02.

Cosby, Robin, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/01 through 5/15/02.

Dean, Johnie, College of Fine Arts, Instructor (part-time), Music, 8/16/01 through 12/31/01.

Glixon, Beth L., College of Fine Arts, Instructor (part-time), Music, 8/16/01 through 12/31/01.

Goff-Yates, Amy, College of Arts and Sciences, Instructor (temporary),
Philosophy, 8/1/01 through 6/30/02.

Hoffman, Dorotea, College of Fine Arts, Instructor (part-time), Music,
8/16/01 through 12/31/01.

Johnson, Lucy, College of Fine Arts, Instructor (part-time), Art, 8/1/01
through 12/31/01.

Karp, Margaret, College of Fine Arts, Instructor (part-time), Music, 8/16/01
through 12/31/01.

Kranner, Edit, College of Business and Economics, Instructor (part-time),
Economics, 8/16/01 through 5/15/02.

Lewis, Thomas, College of Business and Economics, Instructor (part-time),
Accountancy, 8/16/01 through 5/15/02.

Lindberg, Lauri, College of Human Environmental Sciences, Instructor (part-
time), Interior Design, 8/16/01 through 12/31/01.

Lindsay, Tedrin, College of Fine Arts, Instructor (part-time), Music, 8/16/01
through 12/31/01.

McComb, G. Neil, College of Architecture, Instructor (part-time),
Architecture, 8/1/01 through 12/31/01.

McVay, Vicki, College of Fine Arts, Instructor (part-time), Music, 8/16/01
through 12/31/01.

Myers, Larry, College of Business and Economics, Instructor (part-time),
Management, 8/16/01 through 5/15/02.

Osland, Lisa, College of Fine Arts, Instructor (part-time), Music, 8/16/01
through 5/4/02.

Owens, Rebecca, College of Business and Economics, Instructor (part-time),
Management, 8/16/01 through 5/15/02.

Parker, Lawrence, College of Business and Economics, Instructor (part-time),
Management, 8/16/01 through 5/15/02.

Parker, Steve, College of Communications and Information Studies, Instructor
(part-time), Communication, 8/16/01 through 12/31/01.

Payne, Gary D., College of Business and Economics, Instructor (part-time),
Management, 8/16/01 through 5/15/02.

Powell, William, College of Communications and Information Studies,
Instructor (part-time), Journalism and Telecommunications, 10/29/01
through 12/31/01.

Rapp, Joel, College of Communications and Information Studies, Instructor
(part-time), Journalism and Telecommunications, 8/16/01 through
5/15/02.

Schultz, Lois, College of Communications and Information Studies, Instructor
(part-time), Library and Information Science, 1/1/02 through 5/31/02.

Scott, John, College of Business and Economics, Instructor (part-time),
Management, 8/16/01 through 5/15/02.

Snodgrass, H.M., College of Education, Instructor (part-time), Administration
and Supervision, 8/16/01 through 12/31/01.

Weissmueller, Steve, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/01 through 6/30/02.

Wilson, Annabelle, College of Fine Arts, Instructor (part-time), Art, 8/1/01 through 12/31/01.

Zory, Matthew, College of Fine Arts, Instructor (part-time), Music, 8/16/01 through 12/31/01.

F. CHANGES

Beatty, Janet, Research, from Disability Program Specialist II, Interdisciplinary Human Development Institute, to Disability Program Administrator III, Interdisciplinary Human Development Institute, effective 9/24/01.

Boarman, Christopher A., College of Medicine, from Assistant Professor (voluntary), Pediatrics, to Clinical Assistant Professor, Pediatrics, 12/1/01 through 6/30/02.

Bright, Ethel, Research, from Disability Program Specialist II, Interdisciplinary Human Development Institute, to Disability Program Administrative Associate, Interdisciplinary Human Development Institute, effective 10/15/01.

Chapman, Kathy, Research, from Disability Program Specialist II, Interdisciplinary Human Development Institute, to Disability Program Administrative Associate, Interdisciplinary Human Development Institute, effective 10/15/01.

Clements, John H., College of Dentistry, from Instructor (voluntary), Oral Health Science, to Assistant Professor (part time), Oral Health Practice, 10/24/01 through 6/30/02.

Hursh, Diana M., College of Medicine, from Clinical Assistant Professor, Anesthesiology, to Assistant Professor (part time), Anesthesiology, 11/7/01 through 6/30/02.

Lewis, Richard, Research, from Disability Program Specialist II, Interdisciplinary Human Development Institute, to Disability Program Administrative Associate, Interdisciplinary Human Development Institute, effective 11/12/01.

Renfro, Mark R., Auxiliary and Campus Services, from Budget Director of Auxiliary Services to Purchasing/Stores Director Assistant, effective 12/1/01.

Rippetoe Freeman, Patricia E., College of Pharmacy, from Assistant Professor (voluntary), to Assistant Professor (part time), College of Nursing, joint appointment as Assistant Professor (part time), College of Pharmacy, 10/24/01 through 6/30/02.

Roberts, Anne, College of Nursing, from Instructor (part time), to Instructor (voluntary), 1/1/02 through 6/30/03.

Skeen, Mary, from Controller and Treasurer, Assistant Purchasing Director, Purchasing, to University Hospital, Materials Management Director, Hospital Materials Management, effective 12/15/01.

I. LEAVES OF ABSENCE

Arif, Jamal M., College of Medicine, Assistant Research Professor, Preventive Medicine and Environmental Health, miscellaneous leave without pay, 12/1/01 through 2/28/02.

Botkin, Darla, College of Human Environmental Sciences, Associate Professor (with tenure), Family Studies, Sabbatical leave with full salary, 1/1/02 through 6/30/02.

Booze, Rosemarie M., College of Medicine, Professor (with tenure), Anatomy & Neurobiology, joint appointment as Professor (without tenure), Graduate School, Graduate Center for Toxicology, sabbatical leave at half salary, 7/1/02 through 6/30/03.

Brennan, Sharon, College of Education, Associate Professor* (with tenure), Curriculum and Instruction, Sabbatical leave with full salary, 1/1/03 through 6/30/03.

Bruce, Margaret C., College of Medicine, Associate Professor (with tenure), Pediatrics, joint appointment as Associate Professor (without tenure), Physiology, miscellaneous leave without pay, 9/1/01 through 8/31/02.

Burmeister, Larry L., College of Agriculture, Associate Professor (with tenure), Sociology, Scholarly fellowship leave, 1/1/02 through 7/31/02.

Chassen-Lopez, Francie, College of Arts and Sciences, Associate Professor (with tenure), History, to change from Sabbatical leave with full salary, 1/1/02 through 6/30/02, to Sabbatical leave with full salary, 7/1/02 through 12/31/02.

Edington, Terina Hoskins, College of Agriculture, County Extension Agent, Cooperative Extension Service, Educational leave with full salary, 1/9/02 through 7/8/02.

Heath, J. Robert, College of Engineering, Associate Professor (with tenure), Electrical and Computer Engineering, Sabbatical leave with full salary, 1/1/02 through 6/30/02.

Howard, Patricia B., College of Nursing, Associate Professor (with tenure), sabbatical leave at full salary, 1/1/02 through 6/30/02.

Isenstadt, Samuel, College of Architecture, Assistant Professor, Architecture, Leave without pay, 1/1/02 through 6/30/02.

Jones, Deneese, College of Education, Associate Professor (with tenure), Curriculum and Instruction, and Associate Dean, Graduate School, Sabbatical leave with full salary, 7/1/02 through 12/31/02.

Kenner, Shelley, College of Arts and Sciences, Assistant Professor, Geological Sciences, Scholarly fellowship leave, 7/1/00 through 6/30/01.

- Li, Ren-Cang, College of Arts and Sciences, Associate Professor (with tenure), Mathematics, Sabbatical leave with half salary, 1/1/02 through 12/31/02.
- Payne, Fred, College of Agriculture, Professor (with tenure), Biosystems and Agricultural Engineering, Sabbatical leave with full salary, 5/1/02 through 10/30/02.
- Poonacha, K.B., College of Agriculture, Professor* (with tenure), Veterinary Science, Leave without pay, 7/1/01 through 6/30/02.
- Seales, W. Brent, College of Engineering, Associate Professor (with tenure), Computer Science, Scholarly fellowship leave, 1/1/02 through 6/30/02.
- Wever, Jo Ann M., College of Nursing, Associate Professor* (with tenure), educational leave without pay, 1/1/02 through 6/30/02.
- Zook, Matthew, College of Arts and Sciences, Assistant Professor, Geography, Scholarly fellowship leave, 8/16/01 through 6/30/02.
- Zoubir-Shaw, Sadia, College of Arts and Sciences, Associate Professor* (with tenure), French, to rescind Sabbatical leave with full salary, 7/1/01 through 12/31/01.

PR 3A

Office of the President
December 11, 2001

Members, Board of Trustees:

PROPOSED AMENDMENTS TO THE GOVERNING REGULATIONS

Recommendation: that the following proposed amendments to the Governing Regulations of the University of Kentucky, which were received by the Board of Trustees for preliminary consideration on September 18, 2001 be approved.

Background: These changes reflect the organization changes approved by the Executive Committee of the Board of Trustees on July 5, 2001, and reflect the changes in titles and delegations of the reorganization. The University Senate Council proposed several minor editorial changes to the September 18th version of the Governing Regulations, and those changes have been incorporated into the amendments.

Note: The locations of proposed changes are indicated by a vertical mark in the margin. Proposed additions are underlined; proposed deletions are lined through.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PART III

THE PRESIDENT OF THE UNIVERSITY

The President is the chief executive officer of the University and has full authority and responsibility over the administration of the academic, business, and fiscal operations of the University. It is the duty of the President to make recommendations relating to the general policies of the institution and to the maintenance of coordination among its several functions. It is also the President's duty, directly or through the various University officers, to supervise and administer all phases of the University's operations, both business and academic, including all departments, divisions, and colleges, and to perform all other administrative functions, whether expressly enumerated herein or not, necessary or appropriate for the effective operation of the University.

The President is responsible for the preparation of the biennial budget request and the annual budget for approval by the Board of Trustees and for the administration of the annual budget after approval by the Board. In the administration of the annual budget, the President shall exercise authority delegated by the Board for the transfer of funds within major fund groups, provided that all such transfers of funds shall be reported to the Board.

The President may delegate any of the President's assigned authorities or responsibilities to another person in the Office of the President, or to any other member of the administrative staff or faculty of the University. The President shall, however, have the prior consent of the Board of Trustees before delegating major areas of authority or responsibility.

The ~~chancellors~~ Provost, vice presidents, deans, directors, and all other subordinate administrative officers shall be subject to the supervision and direction of the President.

Subject to the regulations of the Board of Trustees, the President officially speaks for the University before all federal, state, and local government offices, boards, and agencies and is the non-voting representative of the University on the Council on Postsecondary Education.

The President is chairperson of the University Senate and an ex officio member of the various college faculties and may call meetings of the University Senate, the University Assembly, and any college faculty.

The President is responsible for fostering and promoting instruction, research, and service as the primary functions of the University. In this connection the President may make policy recommendations to the Board of Trustees, and the University Senate, ~~and the Senate of the Community College System~~, which are recognized as the primary educational policy-forming agencies of the University. The President must, of necessity, in the day-by-day direction of University affairs, interpret existing policies and, in some degree, establish new policy with respect to both educational and business and financial matters. Such policy determination shall be within the scope of the President's authority.

While responsible for the enforcement of the rules and regulations of the Board of Trustees and the University Senate, the President also shall provide for the application of these rules and regulations to individual cases. Under extraordinary circumstances, and with written justification to the Senate through the Senate Council, the President may suspend a rule of the University Senate in a particular case; under extraordinary circumstances a rule of the University Senate, however, under no circumstance may the President suspend ~~except~~ rules concerning admission and the number of credits and quality points required for graduation.

The President shall serve as the official medium of communication between the Board of Trustees, on the one hand, and the University Senate, ~~the Senate of the Community College System,~~ administrative officers, individual members of the faculty and staff, student organizations, and students on the other hand. In this connection it shall be the President's responsibility to transmit to the Board all formal communications from the University Senate, ~~the Senate of the Community College System,~~ and the Student Government Association along with the viewpoints of the body submitting a communication, including any minority opinions, and the President's own recommendations for action.

Incident to the administration of the University, the President may utilize subordinate administrative officers as appropriate. The President may appoint, or have appointed, temporary or standing advisory or administrative committees and, with the approval of the Board of Trustees, may establish academic and/or administrative councils.

In the event of a vacancy in the office of President or disability of the President, the ~~Vice President for Administration~~ Provost shall exercise the functions of the President in the absence of the appointment of an Interim President by the Board of Trustees. If the Board finds it desirable to appoint an Interim President, it shall seek advice from a joint Board-Faculty committee if such has been constituted to recommend the appointment of a President or, if the committee has not been constituted, from the University Senate Council.

PART VII

UNIVERSITY ORGANIZATION

For the purpose of administering the various programs of the University, there shall be established educational and administrative units within the University. All units of the University shall be established, altered, or abolished only on vote of the Board of Trustees. For matters having to do with the organization of the University as it affects academic policies, the Board relies upon the advice of the University Senate along with that of the President. It relies upon the advice of the President concerning administrative organization and powers and responsibilities of the officers of the University.

The educational-administrative organization of the University shall be such as to minimize duplication of effort and to enable the University to operate as a single, closely integrated institution, not as a loose association of colleges and departments. Barriers between educational and administrative units shall not be allowed to interfere with the academic purposes of the institution.

A. Educational Organization

1. Definition

The basic organization of the educational units of the University System shall be departments, schools, colleges, graduate centers, and multidisciplinary research centers and institutes.

The unit of the University System for instruction, research, and extension in a defined field of learning is the department, school, or college. All courses shall be given by the regular instructional units. However, interdisciplinary instructional programs may be established to utilize courses and faculty from different departments, schools, and colleges. The chief administrative officer of a department or interdisciplinary instructional program is a chairperson.

The term "school" is used to refer to: (1) the Graduate School; and (2) an administrative unit within a college which is under the general direction of the faculty of that college. The chief administrative officer of a school that is an administrative unit within a college is an associate dean or director.

The Honors Program is an educational unit which is equivalent to a department. Its chief administrative officer is a director who is equivalent to a department chairperson.

A graduate center is an educational unit of an interdisciplinary or multidisciplinary nature, which is equivalent to a department, and is located administratively in the Graduate School. It is associated exclusively with graduate programs and their attendant courses and research. Its faculty have primary appointments within a college or, in some cases, within the center.

A multidisciplinary research center or institute is an educational unit established for the administration of multidisciplinary programs which are primarily research in nature. Such an educational unit is administratively responsible to the Vice President for Research and Graduate Studies unless the administrative responsibility specifically has been delegated otherwise. The chief administrative officer of a multidisciplinary research center or institute is a director.

In some cases, the terms "bureau" and "office" may be used for units with some research functions, especially when these are not intercollege or interschool in nature.

A college is a major educational unit of the University. Its chief administrative officer is a dean.

The basic organization of the educational units of the Community College System shall be divisions and colleges.

The unit of the Community College System for instruction and community service in related fields of learning is the division. The chief administrative officer of a division is a chairperson.

The individual community colleges are the major educational units of the Community College System. Lexington Community College is a unit of the Community College System; however, it is managed as a unit in the University System of the University of Kentucky and shall be represented in the University Senate. The chief administrative officer of a community college is a president.

2. Academic Ranks

Academic ranks in the University System shall consist of instructor, assistant professor, associate professor, professor, and other ranks that are fully or partially equivalent to these recognized ranks.

Academic ranks in the Community College System shall include Instructor in the Community College System, Assistant Professor in the Community College System, Associate Professor in the Community College System, Professor in the Community College System, and other ranks that are fully or partially equivalent to these recognized ranks.

Ranks and special titles and a description of the qualifications for each shall be established by the President after consultation with appropriate administrative and faculty groups, including the Senate Council and/or the Community College Council. Likewise, emeritus ranks for retired administrative and academic personnel and the rights of holders of emeritus titles shall be established by the President after consultation with the Senate Council and/or the Community College Council. The establishment of new ranks and major changes in criteria for ranks shall have the approval of the Board of Trustees.

3. The Graduate Faculty (University System)

The Graduate Faculty shall consist of the Dean of the Graduate School, associate and/or assistant deans of the Graduate School, members, and associate members.

Graduate Faculty members must possess the following qualifications:

A doctor's degree or its equivalent in scholarly reputation;

The rank of assistant professor (or equivalent) or higher;

Scholarly maturity and professional productivity as demonstrated by publications, editorial services, research surveys, creative work, patents, and research in progress at the time of appointment; and

Definite interest in graduate work and the willingness to participate in the graduate program.

Membership in the Graduate Faculty is conferred ~~upon recommendations of~~ by the Dean of the Graduate School ~~and the Vice President for Research and Graduate Studies/appropriate chancellor and approval of the President.~~ The ~~recommendations of the Dean~~ appointments are made following review by the Graduate Council of the qualifications of the persons proposed for membership by the college deans, department chairpersons, and directors of graduate study.

Associate and other classes of members in the Graduate Faculty or in other faculty bodies or councils of the Graduate School may be appointed by the Dean of the Graduate School or elected, with appropriate duties and privileges as provided by the rules of the Graduate School and approved by the University Senate.

Members of the Graduate Faculty shall have assignments of duties that take into account the time necessary for graduate teaching, productive research, and service in the direction of graduate research and preparation of theses.

The Graduate Faculty shall have jurisdiction over all programs leading to graduate degrees within the limits established by the Board of Trustees and the policies and rules of the University Senate. It is the responsibility of the Graduate Faculty to safeguard, promote, and assist in the development of research in all fields. The Graduate Faculty shall make recommendations to the University Senate on academic matters and to the President or an officer designated by the President on administrative matters.

The Graduate Faculty may perform its functions directly, through the Graduate Council, or through standing or special committees which it may appoint or authorize for appointment. The Graduate Council shall have the authority and responsibilities delegated to it by the Dean of the Graduate School, the Graduate Faculty, and the University Senate.

4. Faculties of Colleges (University System)

The faculty of a college shall consist of its dean, assistant and/or associate deans, and full-time faculty personnel having the rank of assistant professor, associate professor or professor in the regular, special title, or extension series. Membership, with or without voting privileges, also may be extended by a college faculty to any other person assigned to it for administrative work, teaching or research. An individual may be assigned to more than one faculty; in this instance, one assignment shall be designated by the ~~appropriate—chancellor(s)/vice president(s)~~ Provost or dean (Part X.B.1) as the primary one.

The faculty shall hold regularly scheduled meetings. In addition, it shall meet in special session on the call of the President of the University, the Provost, the ~~chancellor/vice~~ Senior Vice President and Chancellor of the Medical Center/vice president sector, or the dean of the college, or at the request of a prescribed number of its membership. Each college faculty shall establish the quorum for the transaction of business. Copies of minutes of college faculty meetings shall be made available to all members of the faculty of the college.

Consistent with the Governing Regulations, the Administrative Regulations, and the Rules of the University Senate, the faculty of each college shall establish its own rules, including a committee or council structure necessary for the performance of the faculty's functions. After approval of these rules by the Provost or the Senior Vice President and Chancellor of the Medical Center as ~~appropriate chancellor/vice president~~, copies of the rules of the faculty and a description of the committee or council structure shall be made available to its members and copies filed with the dean of the college, the Provost and the Senior Vice President and Chancellor of the Medical Center ~~appropriate chancellor/vice president, the secretary of the University Senate~~ and the Senate Council Office.

Within the limits established by the regulations of the University and the policies and rules of the University Senate, the faculty of a college shall determine the educational policies of that college. It shall make recommendations to the University Senate on such matters as require the final approval of that body, and it may make recommendations on other matters to the University Senate, to the President, or to other administrative officials. The academic or scholastic requirements of a college may exceed, but not be lower than, those established for the University System as a whole by the University Senate or the Graduate Faculty. Any such differences in standards must be approved by the University Senate.

The faculty of a college may delegate by rule a defined part of the determination of its educational policies to an assembly of the college, which shall consist of the faculty and designated student representatives. The number of students voting and the method of selecting these students shall be determined by the rules of the college.

In addition to the functions and responsibilities described above, the faculty of a college without departments shall have any other functions and responsibilities which are delegated to a departmental faculty as set forth in Part VII.A.6.

5. Faculties of Schools (University System)

The faculty of a school shall consist of the dean of the college of which it is an administrative unit, the associate dean or director who is the chief administrative officer of the school, and the members of the faculty of the college who have been assigned duties in the school. It also shall include members of the faculties of other colleges who have joint appointments in the school or departments of the school. (The faculty of a college is defined in Part VII.A.4 of these regulations.) In addition, membership, with or without voting privileges, may be extended by the school faculty to any other person assigned to the school for administrative work, teaching or research.

Within the limits established by the regulations of the Board of Trustees, the policies and rules of the University Senate, and the policies and rules of the faculty of the college of which it is a unit, the faculty of a school shall determine the educational policies of the school. It shall be responsible for functions and duties assigned to it by the faculty of the college. For these purposes, it shall establish its own rules and determine its own committee structure. After approval of these by the dean of the college and the ~~chancellor/vice president~~, Provost or the Senior Vice President and Chancellor of the Medical Center, copies of the rules and a description of its committee structure shall be made available to its members and a copy filed with the director of the school, the dean of the college of which it is a unit, the ~~appropriate chancellor/vice president~~ Provost, the secretary of the University Senate and the Senate Council Office. It shall make recommendations to the faculty of the college on matters which require the approval of that body. It may make recommendations on other matters to the dean or other administrative officers of the college. The academic or scholastic requirements of a school may exceed, but not be lower than, those established by the college faculty. Any such differences in standards must be approved by the University Senate.

Copies of the minutes of school faculty meetings shall be made available to all members of the faculty of the school.

In addition to the functions and responsibilities described above, the faculty of a school without departments shall have any other functions and responsibilities which are delegated to a department faculty as set forth in Part VII.A.6.

6. Faculties of Departments (University System)

The faculty of a department shall consist of a chairperson and the members of the department who are members of the faculty of the school and/or college of which the department is a part. (The faculties of a college and a school are defined in Parts VII.A.4 and VII.A.5, respectively.) In addition, membership, with or without voting privileges, may be extended by the department faculty to any other member of the department faculty or staff or to any person assigned to it for administrative work, teaching, research or service.

The departmental faculty has jurisdiction over matters concerning its internal educational policies, insofar as these policies do not conflict with those of other departments or with the rules of the University Senate or the faculties of the school or college of which the department is a part. It should hold regularly scheduled meetings and shall establish rules of procedure and a committee structure to deal with matters over which it has jurisdiction. The proposed rules of procedure and

committee structure shall be submitted to the director of the school (if appropriate), the dean of the college, and the ~~appropriate chancellor/vice president~~Provost or the Senior Vice President and Chancellor of the Medical Center for approval. Copies of the approved rules of procedure and committee structure shall be made available to the members of the departmental faculty and shall be filed with the director of the school, (if appropriate) the dean of the college of which the department is a member, the ~~appropriate chancellor/vice president~~Provost, the secretary of the University Senate, and the Senate Council Office. It has primary responsibility for the development of policies on such matters as academic requirements, courses of study, class schedules, graduate and research programs, and service functions. Jointly with the department chairperson, it should establish procedures to be used within the department in (1) making recommendations on the appointment of new members of the department, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure; (2) the faculty performance evaluations and (3) the preparation of budget requests. The procedures in (1) and (2) shall include consultation with directors of multidisciplinary research centers and institutes for those faculty who are or will be associated with such centers or institutes.

The department chairperson shall preside over all departmental faculty meetings, except as the chairperson may delegate this function, and shall be an ex officio member of all departmental committees. Copies of minutes of departmental faculty meetings shall be made available to all members of the faculty of the department.

The academic or scholastic requirements of a department may exceed, but not be lower than, those of the school and/or college of which the department is a part. Any such differences in standards must be approved by the University Senate.

7. Staffs of Multidisciplinary Research Centers and Institutes
(University System)

The staff of a multidisciplinary research center or institute shall consist of: (1) a director who also shall be a faculty member of a department, school, or college; (2) faculty members on a joint appointment basis; (3) faculty members on a faculty associate basis (each such faculty associate appointed, on recommendations of both the director of the center or institute and the appropriate educational unit administrator, by the Vice President for Research and Graduate Studies or other administrator who has administrative responsibility for the center or institute); and (4) non-faculty employees appointed for the duration of a specific project.

Academic rank shall not be conferred by a multidisciplinary research center or institute nor tenure acquired solely through service in such a unit.

A multidisciplinary research center or institute shall be administratively responsible to the Vice President for Research and Graduate Studies unless specifically designated otherwise. A faculty advisory committee shall be appointed for each research center or institute by the officer to whom the unit is administratively responsible.

8. Faculty Organization in the Community College System and Lexington

Community College

a. Faculties of Colleges

The faculty of a community college shall consist of all professional, instructional, library, and administrative personnel. An individual may have appointments to more than one faculty; in such instance, one appointment shall be designated by the appropriate administrative officer (X.B.1) as the primary one. The president of the college shall serve as chairperson of the faculty.

The faculty shall hold regularly scheduled meetings. In addition, it shall meet in special session on the call of the President of the Kentucky Community and Technical College System, the Chancellor for the Community College System, or the president of the college, or at the request of a prescribed number of its membership. Each college faculty shall establish the quorum for the transaction of business. Copies of minutes of college faculty meetings shall be made available to all members of the faculty of the college.

Consistent with the Governing Regulations, the Administrative Regulations, and the Rules of the Senate of the Community College System, the faculty of each community college shall establish its own rules, including an organizational structure necessary for the performance of the faculty's functions. After approval of these by the Chancellor for the Community College System, copies of the rules of the faculty and a description of the faculty's committee structure shall be made available to faculty members and a copy filed with the Office of the Chancellor of the Community College System.

Within the limits established by the regulations of the University and the Rules of the Senate of the Community College System, the faculty of a college shall determine the educational policies of that college. It shall make recommendations to the Senate of the Community College System on matters which require the approval of that body, and it may make recommendations on other matters to the Senate of the Community College System, to the Chancellor for the Community College System, or to the President of the Kentucky Community and Technical College System.

b. Faculty Assemblies

The faculty of a community college may organize a Faculty Assembly for the purpose of making recommendations relating to the professional welfare of its members. It shall prepare a set of rules which shall describe its organization and procedures for the performance of its functions. Full-time faculty members devoting more than fifty percent of their effort to teaching, librarianship, and counseling are eligible for membership in the Faculty Assembly. Other members of the faculty may become members upon invitation of a majority of the members of the Assembly.

The rules of the Faculty Assembly of a community college shall be consistent with the Governing Regulations, the Administrative Regulations, and the Rules of the Senate of the Community College System and shall be adequate to allow the Assembly to perform its

responsibilities. Copies of the rules shall be submitted to the president of the college, the Community College Council, and the Chancellor for the Community College System for review and approval before being made operational.

c. Faculties of Divisions

The faculty of a division shall consist of a chairperson and the members of the division who are members of the faculty of the community college.

The division faculty has the responsibility for the internal policies of the division, insofar as these policies do not conflict with those of other divisions, with the rules of the faculty of the college of which it is a part, or with the Rules of the Senate of the Community College System. It should hold regularly scheduled meetings and is authorized, with the approval of the president of the college and the Chancellor for the Community College System, to establish rules for procedure and a committee structure to deal with matters for which it has responsibility. It should establish with the division chairperson and the president of the college procedures to be used within the division in advising on the appointment of new members of the division, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure, and the procedures to be used on the division level in faculty performance evaluations and in the preparation of budget requests.

The division chairperson shall preside over all division faculty meetings, except as the division chairperson may delegate this function, and shall be an ex officio member of all division committees. Copies of minutes of division faculty meetings shall be made available to all members of the faculty of the division and the president of the college.

d. Lexington Community College

Faculty organization in the Lexington Community College shall be consistent with paragraphs a, b, and c of this section with the exception that the faculty shall meet on call of the President of the University; the ~~Chancellor of the Lexington Campus~~ Provost shall fulfill the roles of the Chancellor of the Community College System; the Rules of the University Senate rather than the Rules of the Senate of the Community College System are applicable, and the Community College Council shall have no role in the review of the rules of the Faculty Assembly for the Lexington Community College.

9. Student Participation

Rules of procedure in educational units of the University shall provide for participation of students in the development of educational policies.

B. Administrative Organization

1. Definition

The administrative organization of the University is determined by the educational organization of the University and the teaching, research, service, and other functions of the University. Each administrative officer, other than the President, shall be responsible to the President, directly or through one or more superior officers, for the efficient operation of the organizational unit or functions for which the administrative officer is responsible. The administrative organization is established by the President with the approval of the Board of Trustees. It may be expected to change with increasing size and diversity in functions of the University. The duties of administrative officers reporting directly to the President shall be those delegated by the President and described in the Administrative Regulations. Each administrative officer is expected to recommend to the appropriate next superior officer the administrative organization necessary to carry out assigned duties. The positions of deans and presidents of colleges, directors, and department and division chairpersons, with descriptions of major duties assigned, are described in these Governing Regulations. Major changes in administrative organization must be approved by the Board of Trustees.

Each administrative officer is authorized to establish administrative and/or advisory committees to aid in the performance of assigned functions.

2. Dean of the Graduate School

The Dean of the Graduate School is chairperson of the Graduate Faculty and the Graduate Council. Under the broad direction of the President, and the Vice President for Research and Graduate Studies, the Chancellor for the Lexington Campus, and the Chancellor for the Medical CenterProvost, the Dean provides general planning, guidance, review, and coordination for all of the University's endeavors in graduate education. The Dean appoints regular and associate members of the Graduate Faculty ~~and recommends to the Vice President for Research and Graduate Studies/appropriate chancellor on the appointment of regular members requiring the approval of the President.~~ The Dean recommends to the ~~Vice President for Research and Graduate Studies/appropriate chancellor~~Provost and the Senior Vice President and Chancellor of the Medical Center on the following actions affecting faculty members who are or may be involved in research or graduate programs of the University: initial appointments of associate professors and professors; promotions of assistant professors and associate professors; and granting of tenure. The Dean also recommends on budgets as these may affect graduate education and shall have the same authority and responsibilities as those of a dean of a college in the administration of educational units that might be transferred to or developed under the Office of the Dean of the Graduate School.

The President, the Provost, the Vice President for Research ~~and Graduate Studies,~~ and the Dean of the Graduate School shall be ex officio members of all committees of the Graduate School. ~~The Chancellor for the Lexington Campus and the Chancellor for the Medical Center are ex officio members of all committees of the Graduate School which affect their respective sectors.~~The Senior Vice President and Chancellor of the Medical Center shall be an ex officio member of all Graduate School committees affecting the Medical Center.

3. Deans of the Colleges (University System)

A dean is the executive officer of a college. It is the dean's function to see that the Governing Regulations, the Administrative Regulations, the Rules of the University Senate, and the rules of the college faculty are enforced. The dean is the chairperson of the college faculty and an ex officio member of all college committees. The dean is charged with overseeing the educational work of the college and its efficient conduct and management in all matters not specifically charged elsewhere. The dean is responsible for the curricula of the college, for the quality of instruction given therein, for the assignment of duties to all personnel, and for the service provided by the faculty of the college, individually and as a whole. The dean shall review faculty performance evaluations submitted by the department chairpersons and shall be responsible for recommendations on salaries, salary changes, appointments, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, promotions, and granting of tenure for members of the college or for ultimate action thereon when such authority has been delegated by the ~~chancellor/vice president to whom the dean reports~~ Provost or the Senior Vice President and Chancellor of the Medical Center, as appropriate, or by the President. The dean shall submit the budget request for the college and administer the budget when it is approved.

Further administrative responsibilities may be delegated to the dean by the ~~chancellor/vice president to whom the dean reports~~ Provost or the Senior Vice President and Chancellor of the Medical Center, as appropriate, or by the President. These responsibilities may vary from college to college.

The dean shall speak for the college. In the event that the dean believes it necessary to depart from recommendations of the college faculty, the dean shall communicate the college faculty's recommendation as well as the dean's recommendation and notify the faculty of such action.

In addition to the roles and responsibilities described above, the dean of a college without departments shall have any other roles and responsibilities which are delegated to a department chairperson as set forth in Part VII.B.6.

4. Directors of Schools (University System)

The director (or associate dean) of a school serves as chairperson of the faculty of the school in the performance of its assigned functions and is an ex officio member of all committees of the school.

The director's administrative responsibilities shall be those delegated by the dean of the college of which the school is a part.

The director shall speak for the school. In the event that the director believes it necessary to depart from the recommendations of the school faculty, the director shall communicate the school faculty's recommendation as well as the director's recommendation and notify the faculty of such action.

In addition to the roles and responsibilities described above, the director of a school without departments shall have any other roles and responsibilities which are delegated to a department chairperson as set forth in Part VII.B.5.

5. Department Chairpersons (University System)

The department chairperson serves as chairperson of the department faculty in the development by the department of policies on such matters as academic requirements, courses of study, class schedules, graduate and research programs, and service functions. The chairperson presides at all department meetings, except as the chairperson may delegate this function, and is an ex officio member of all department committees. The chairperson has administrative responsibility for implementing the department's program within the limits established by the regulations of the University, the policies of the University Senate, and the rules of the college and of any school of which it is a part.

The department chairperson is responsible for recommendations on the appointment of new members of the department, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure. Procedures used in preparing recommendations shall be those established by the University, the college, and the department faculty. As a minimum, the procedures must include consultation with all tenured members of the department, with the directors of any multidisciplinary research centers or institutes with which the affected individuals are or will be associated, and with all full-time non-tenured faculty members (except those appointed in the research title series, Medical Center clinical title series, or visiting series) with the actual or equivalent rank of assistant professor or higher who have been members of the department for two years, except as noted below. Faculty members with appointments in the Medical Center clinical title series, however, shall be consulted on a departmental or divisional basis as appropriate about appointment or promotion of individuals to academic ranks equal to or below their own in the Medical Center clinical title series, but not be consulted on matters relating to appointment, retention, promotion, or tenure of faculty in the regular or special title series. All recommendations on matters listed above, excluding reappointments and post-retirement appointments, shall include the written judgment of each consulted member of the department and of each director of pertinent multidisciplinary research centers and institutes, along with the recommendation of the chairperson. The following exceptions may be made: (1) faculty members on approved leave of absence or with a primary administrative, service, or other assignment outside the department may, but are not required to, provide written judgments on all recommendations; (2) faculty members need not be consulted on recommendations for promotion affecting members with equivalent or higher rank, except that all faculty members with tenure shall be consulted on recommendations for granting of tenure; (3) faculty members without tenure need not be consulted on recommendations for granting of tenure; (4) the right to make recommendations on temporary appointments and/or appointments at the assistant professor level or below may be delegated, with these appointments to be reviewed by the tenured faculty of the department during the second semester of the first year of appointment; and (5) in a large and diverse department, upon prior recommendation by the department faculty and approval of the dean and the ~~chancellor/vice president~~ Provost or Senior Vice President and Chancellor of the Medical Center, as appropriate, consultation with faculty members may be

restricted to those associated with the concerned, previously-defined academic division or program area in the department.

The department chairperson is responsible for the periodic evaluation of department members by procedures and criteria established by the University, the college, and the department faculty.

The department chairperson submits the budget request for the department and administers the budget after its approval. The chairperson also is responsible for making recommendations on salaries and salary changes.

In connection with the above major administrative functions, the chairperson shall seek the advice of members of the department, individually or as a group, or of advisory committees that the chairperson may appoint.

The chairperson shall speak for the department. In the event that the chairperson believes it necessary to depart from the opinion of the department faculty, the chairperson shall communicate the department faculty opinion as well as the chairperson's recommendation, stating reasons for differing from the department faculty opinion, and notify the department faculty of such action.

6. Directors of Multidisciplinary Research Centers and Institutes
(University System)

The administrative officer of a multidisciplinary research center or institute is a director, who also shall be a faculty member in a department, school, or college.

The director of a multidisciplinary research center or institute is charged with the planning, implementation, coordination, and efficient management of the program and activities of the center or institute. The director shall have the same responsibilities as those of a department chairperson relative to faculty with joint appointments and non-faculty personnel in the center or institute. The director shall provide recommendations and advice to appropriate educational unit administrators concerning space, financial, and other resources, as well as the identification and appointment of faculty associates in the center or institute. The director shall submit the core budget request for the center or institute and administer this budget after its approval. In addition, the director may have other responsibilities delegated by the Vice President for Research and Graduate Studies or other specific administrator to whom the center or institute is administratively responsible.

In connection with the above major administrative functions, the director shall seek the advice of the staff of the center or institute, individually or as a group, or of advisory committees that may be appointed by the director of the center or institute or by the administrator to whom the center or institute is administratively responsible. The director shall speak for the center or institute and be an ex officio member of all of its committees.

7. Chairpersons of Interdisciplinary Instructional Programs

(University System)

The chairperson of an interdisciplinary instructional program shall be a member of one of the academic departments participating in the program.

The chairperson shall be responsible to the dean(s) of the college(s) in which the program is located and advise the dean(s) on staff and other needs of the program in connection with budget planning. The chairperson shall rely upon the advice of a committee of interested faculty drawn from the departments offering the courses composing the curriculum.

8. Presidents of Community Colleges

The president of a community college is the chief administrative officer of the college. Under the general direction of the Chancellor for the Community College System, or in the case of the Lexington Community College under the general direction of the ~~Chancellor of the Lexington Campus~~ Provost, the president is charged with general responsibility for the overall administration of the college. It is the president's function to see that the applicable University of Kentucky Governing Regulations, the Administrative Regulations, and the Rules of the Senate of the Community College System are enforced, and in the case of the Lexington Community College, that the Rules of the University Senate are enforced. The president is the chairperson of the college faculty and an ex officio member of all college committees. Along with the college faculty, the president is responsible for the development and implementation of an instructional program commensurate with the purposes of a comprehensive community college. The president is responsible for the curricula of the college, for the quality of instruction given therein, for the assignment of duties to all persons, and for the service provided by the faculty of the college, individually and as a whole. The president shall utilize, through the Office of the Chancellor for the Community College System or in the case of the Lexington Community College, through the Office of the ~~Chancellor of the Lexington Campus~~ Provost, the provisions for liaison with colleges and departments of the University System for advisory assistance and services relating to the instructional program.

The president shall review and finalize the performance evaluations recommended by the division chairpersons or other administrative personnel of the college.

The president shall be responsible without delegation for recommendations on salaries, salary changes, appointments, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, promotions, and granting of tenure for members of the college or for ultimate action thereon when such authority has been delegated to the president by the Chancellor for the Community College System or by the President of the Kentucky Community and Technical College System, and in the case of the Lexington Community College, the ~~Chancellor of the Lexington Campus~~ Provost, or by the President of the University.

With regard to students, the president is charged with administering the requirements and regulations of the community college concerning the admission, probation, and dismissal of students.

The president shall be responsible for the preparation of the budget request for the college, for the business and financial operation of the college, either assumed or delegated, and for the maintenance and operation of the physical plant of the college.

It is the president's responsibility to relate the college program to the community through relationships with an advisory board or board of directors through appropriate use of public information media, and by appropriate relationships with community groups and individuals. The president personifies the University in the community and shall endeavor to further constructive relations between college and community.

9. Division Chairpersons (Community College System)

The division chairperson serves as chairperson of the division faculty in the development by the division of policies in regard to such matters as the implementation and revision of programs and courses. The division chairperson assists the president, or the president's designee, in the preparation of the class and teaching schedule for the division. The division chairperson presides over all division meetings, except as the division chairperson may delegate this function, and is an ex officio member of all division committees. The division chairperson has administrative responsibility for implementing the division's program within the limits established by the regulations of the University and the Community College System, the policies of the Senate of the Community College System, in the case of the Lexington Community College the policies of the University Senate, and the rules and regulations of the community college.

The division chairperson shall be responsible for advising the president on the appointment of new members of the division, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure, after consultation with the tenured faculty of the division.

The division chairperson shall be responsible for the periodic evaluation of members of the division by procedures and criteria established by the University, the Community College System, and the community college and division faculties. The division chairperson shall make recommendations to the president, who shall make final decisions about such evaluations.

The division chairperson shall be responsible for preparing for the president, or the president's designee, the budget request for the division. The division chairperson also is responsible for advising the president, or the president's designee, as to salaries and salary changes for members of the division.

In connection with the division chairperson's major administrative functions, the chairperson shall seek the advice of members of the division, individually or as a group, or of advisory committees that the chairperson may appoint.

The division chairperson speaks for the division. In the event that the chairperson believes it necessary to depart from the opinion of the divisional faculty, the chairperson must communicate the divisional faculty opinion as well as the chairperson's recommendation or

advice, stating reasons for differing from the divisional faculty opinion, and notify the divisional faculty of such action.

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PART X

REGULATIONS AFFECTING ACADEMIC EMPLOYMENT

A. Merit As the Basis for Appointment

All appointments shall be made strictly on the basis of merit. An applicant for a position shall not be discriminated against because of sex, race, ethnic origin, national origin, sexual orientation, color, creed, religion, age, or political belief. Additionally, the University shall not discriminate against any applicant for employment because of Vietnam-era veteran status, disabled veteran status, or physical or mental handicap in regard to any position for which the applicant for employment is qualified.

Members of the Board of Trustees, except those elected to the Board as faculty, staff, or student representatives, and relatives of any member of the Board of Trustees are ineligible for employment at the University. "Relatives", as used above, include parents and children, husbands and wives, brothers and sisters, brothers- and sisters-in-law, mothers- and fathers-in-law, uncles, aunts, nieces and nephews, sons- and daughters-in-law, and step-relatives in the same relationships. Employment includes regular and temporary full- and part-time employment, including student work-study and graduate assistant programs.

No relative of the President shall be employed in a position at the University. Similarly, no relative of ~~a chancellor/the Provost, or any Vice pPresident, or any Associate Provost or Associate Vice President or any vice-chancellor in a sector~~ shall be employed in a position in that ~~sector or Central Administration officer's administrative area, as appropriate~~. Waiver of the above regulation may be permitted by the Board of Trustees on a stated temporary basis, not to exceed two years, when it is otherwise impossible practicably to fill a position with a fully qualified person. The same individual shall not be eligible for reappointment under the terms of this exception unless approval is given by the Board of Trustees. No relative of any administrative officer of the University, or of any member of the University faculty, may be appointed to any position in the University over which the related officer or staff member exercises supervisory or line authority. Employment of relatives within the same department or division shall be approved specifically by the ~~chancellor/Provost or senior vice president~~, as appropriate. "Relatives," as used above, include parents and children, husbands and wives, brothers and sisters, brothers- and sisters-in-law, mothers- and fathers-in-law, uncles, aunts, nieces and nephews, sons- and daughters-in-law, and step-relatives in the same relationships. The employment of relatives of University employees, as described in this paragraph, whose relationship was not a violation of this section of the Governing Regulations prior to its amendment on April 10, 1984, does not constitute a violation of the amended policy provided the relatives are regular employees of the University and remain in the University employment positions which they held on April 10, 1984. However, the transfer of any such employees described in this paragraph (whose employment relationship was not a violation of policy prior to its amendment on April 10, 1984) to any other regular University position shall require approval of the President.

B. Tenure

1. Types of Appointment

Faculty appointments shall be of three basic types: (1) non-tenured appointments; (2) tenured appointments; and (3) post-retirement appointments.

There are two types of non-tenured appointments. One type of non-tenured appointment is that in which a faculty member is ineligible for tenure as a consequence of having been appointed: (1) in the research, clinical, adjunct, visiting, or voluntary series of academic ranks and titles; or (2) on a part-time or temporary basis. An appointment on a temporary basis involves an individual who has assigned duties and responsibilities which should be completed within one year or less.

A second type of non-tenured appointment is that in which a faculty member is appointed on a full-time, year-to-year basis in the regular, special title, extension, or librarian series of academic ranks and titles. In such an appointment, the faculty member does not have tenure but may be considered for tenure if recommended for such by the appropriate University administrators.

A tenured appointment is one in which a faculty member is on full-time continuous appointment.

The term "joint appointment" shall apply in any case in which an individual holds two or more intra-University faculty appointments. In such an instance, one of the appointments shall be designated as the primary appointment by the dean of the college if the individual's appointments are associated with educational units in the same college, by the ~~appropriate chancellor/Provost or Senior Vice President and Chancellor of the Medical Center, as appropriate,~~ if the appointments are with educational units in different colleges ~~but in the same chancellor/vice president sector (i.e., Lexington Campus, Medical Center, Research and Graduate Studies, or Information Systems), or by the mutual agreement of the appropriate chancellors/vice presidents if the appointments are with educational units in different chancellor/vice president sectors.~~ The constituent appointments relating to a joint appointment may be processed simultaneously or at different times; however, each appointment should be processed independently and considered on its own merits. An individual's academic rank, though usually the same, may differ in the constituent appointments. The possibility of tenure applies only to the primary appointment. In case of termination of the non-primary appointment(s) leaving only the primary appointment for a full-time faculty member, the individual's assignment associated with the primary appointment shall become full-time.

Post-retirement appointments are of two types. One type is that in which retired employees may be appointed to perform duties for which fee schedules have been established and approved by the ~~appropriate chancellor/Provost or Senior Vice President and Chancellor of the Medical Center.~~

A second type of post-retirement appointment may be used in a very limited number of

cases, when it is essential to a University program or office or when it is otherwise impossible practicably to fill a position with a fully qualified person. Such a part-time or full-time appointment is restricted to former employees who have elected to retire, requires specific prior approval by the Board of Trustees, and is made for a period not to exceed one year.

More detailed information on the various types of appointments is provided in the Administrative Regulations (AR II-1.0-1, AR II-5.0-2, and AR II-1.6-1).

2. Probationary Periods

Probationary periods (or maximum non-tenure periods) are not applicable in cases where faculty members are appointed (1) in the research, clinical, adjunct, visiting, or voluntary series of academic ranks and titles, or (2) on a part-time or temporary basis. In all such appointments, faculty members are ineligible for tenure.

Probationary periods are applicable to non-tenured appointments of faculty members on a full-time year-to-year basis in the regular, special title, extension, or librarian series of academic ranks and titles. Such non-tenured appointments may be for one year or for other stated periods, subject to renewal. The total non-tenure period, however, shall not exceed seven years unless one of the following provisions applies: AR II-1.1-12 (Family Medical Leave); GR X.C.7. (leave for duration of an election or term of office); GR X.C.5.d. (educational leave); or for other leaves of absence where the University, in granting the leave, and the individual, in accepting it, agree that time spent on the leave of absence shall not count as probationary period service. Except as provided in Part X.C.5.d. and X.C.7., time spent on leave of absence shall count as probationary period service unless the University in granting the leave and the individual in accepting it agree to the contrary. An individual initially appointed to the rank of full professor may be given non-tenure status for a period not to exceed one year. An individual shall not remain at the rank of instructor in the University for more than three years. If after that period, promotion to a higher rank cannot be justified, the individual's appointment in the University System or the Community College System of the University of Kentucky shall not be renewed.

Following appropriate probationary periods not exceeding in duration those described above, all persons of associate professor or higher rank shall be given tenure or their appointments shall not be renewed; all persons of assistant professor rank (or equivalent as adjudged by the President) shall be promoted to associate professor with tenure or their appointments shall not be renewed. Established appointment, promotion, and review procedures shall be followed in making these decisions.

Existing tenure appointments are not affected by any of the foregoing regulations.

3. Appointment Record

The precise terms and conditions, excepting salary, covering each appointment shall be stated in writing on an official appointment record. Notice of reappointment shall be in the possession of the appropriate administrative officers and the appointee at least three months before

the renewed appointment begins, when possible, or at the earliest date feasible in view of budget considerations. It shall be the responsibility of the ~~appropriate chancellor/vice president~~ Provost or Senior Vice President and Chancellor of the Medical Center to insure compliance with this regulation.

4. Notification of Non-Renewal of Appointment: Non-Tenured Appointments

Part-time, visiting, or temporary short-term appointments with explicit terminal dates of one year or less terminate at the expiration of the term without notice.

For those employed year-to-year on a fiscal or academic year basis, notification of non-renewal of appointment at the end of the first year of service shall be given not later than March 1 if the appointment expires at the end of that year or three months in advance if the one-year appointment terminates during the academic year. Notification of non-renewal of appointment at the end of the second year of service shall be given no later than December 15 if the appointment expires at the end of the year or six months in advance if the appointment expires during the year. Notification of non-renewal of appointment after more than two years of service shall be given at least 12 months before expiration of appointment.

Any related appeal(s) to the ~~appropriate Provost or the Senior Vice President and Chancellor of the Medical Center, as appropriate, chancellor/vice president~~ concerning procedural matters or privilege and/or to the Advisory Committee on Privilege and Tenure of the University Senate or the Senate of the Community College System concerning procedural matters, privilege, or allegations of violation of academic freedom must be initiated in writing by the concerned faculty member within 60 days after being notified in writing by the dean or president of the college about non-renewal of appointment.

5. Termination of Appointment

a. Reasons for Termination

Except in cases of financial emergency, the termination of a tenured appointment or the dismissal of a person prior to the expiration of a non-tenured appointment shall be, in accordance with KRS 164.230, only for reasons of incompetence, neglect of or refusal to perform duties, or for immoral conduct.

In a case of termination because of a financial emergency, the faculty member may have the issues reviewed by the Advisory Committee on Privilege and Tenure of the University Senate or the Senate of the Community College System with the right of appeal to the President and the Board of Trustees for the University System faculty member and to the President of the Kentucky Community and Technical College System for the University of Kentucky Community College System faculty member. The faculty member shall be given notice as soon as possible and never less than 12 months' notice. The released faculty member's position shall not be filled by a replacement within a period of two years unless the released faculty member has

been offered reappointment and given a reasonable time within which to accept or decline it.

b. Procedure

Dismissal of a faculty member with tenure or of a non-tenured faculty member before the end of a specified term of appointment shall be preceded by discussions between the faculty member and the appropriate administrative officer or officers looking toward a mutual settlement. In the event of failure to agree upon settlement, the ~~appropriate chancellor/vice president~~ Provost shall be responsible for the preparation of a reasonably particularized statement of charges which shall be furnished to the faculty member and the Advisory Committee on Privilege and Tenure of the University Senate or the Senate of the Community College System. The committee shall make an informal investigation for the purpose of attempting to effect an adjustment and, in the case of failure, shall recommend to the President of the University of Kentucky for University System faculty or the President of the Kentucky Community and Technical College System for Community College faculty whether, in its opinion, dismissal proceedings should be undertaken. Its opinion shall not be binding upon the President of the University of Kentucky for University System faculty or the President of the Kentucky Community and Technical College System for Community College faculty.

If the President of the University of Kentucky for University System faculty or the President of the Kentucky Community and Technical College System for Community College faculty initiates dismissal proceedings, the concerned individual shall have the right to be heard initially by the Hearing Committee (Privilege and Tenure) of the University Senate or the Senate of the Community College System.

The faculty member shall be informed in writing by the President of the University of Kentucky for University System faculty or the President of the Kentucky Community and Technical College System for Community College faculty regarding specific charges at least 20 days prior to the hearing. At least seven days prior to the hearing, the faculty member shall answer the charges in writing. The faculty member may waive the hearing. If the faculty member waives the hearing but denies the charges or asserts that the charges do not support a finding of adequate cause, the Hearing Committee shall evaluate all available evidence and base its recommendation upon the evidence in the record.

The Hearing Committee, in consultation with the President of the University of Kentucky for University System faculty or the President of the Kentucky Community and Technical College System for Community College faculty and the faculty member, shall exercise its judgment as to whether the hearing shall be public or private. During the proceedings the faculty member shall be permitted to have an academic advisor and a counsel of personal choice. At the request of either party or the Hearing Committee, a representative of a responsible educational association shall be permitted to attend the proceedings as an observer. A full stenographic record of the hearing or hearings shall be taken and made available to the parties concerned. The burden of proof that adequate cause for dismissal shall rest with the institution and shall be satisfied only by clear and convincing evidence in the record considered as a whole. If the faculty member's competence is in question, the testimony should include that of qualified faculty members from this

and/or other institutions of higher education.

Upon the conclusion of the hearing, the Hearing Committee shall report to the President of the University of Kentucky for University System faculty or the President of the Kentucky Community and Technical College System for Community College faculty that adequate cause for dismissal has or has not been established by the evidence in the record. It may, in addition, recommend that, although adequate cause for dismissal has been established, an academic penalty less than dismissal would be more appropriate, giving supporting reasons for the recommendation. If the President of the University of Kentucky for University System faculty or the President of the Kentucky Community and Technical College System for Community College faculty rejects the report, the President shall provide reasons in writing to the Hearing Committee and to the faculty member and provide an opportunity for response before transmitting the case to the Board of Trustees.

A decision adverse to the faculty member may be made only after an opportunity has been given for an additional hearing before the Board of Trustees as required by KRS 164.230. The Board shall either sustain the recommendations of the Hearing Committee and the President or return the proceedings to the President and the committee with specific objections. The Hearing Committee then shall reconsider, taking into account the stated objections and receiving new evidence if necessary. The Board of Trustees shall make the final decision after a study of the Hearing Committee's reconsideration.

c. Suspension

Until the final decision on termination of an appointment has been reached, the faculty member shall be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to the faculty member or others is threatened by the faculty member's continuance. Before suspending a faculty member, pending an ultimate determination of the individual's status through the hearing procedure, the President shall consult with the Advisory Committee on Privilege and Tenure of the University Senate or the Senate of the Community College System. Salary shall be continued during the period of suspension.

6. Academic Freedom of Non-Tenured Faculty

If faculty members on non-tenured appointments or faculty members on post-retirement appointments allege that decisions not to reappoint them were caused by considerations violative of academic freedom, or that they were given less advance notice than specified in these regulations, they must present their allegations in writing to the Advisory Committee on Privilege and Tenure of the University Senate or the Senate of the Community College System within 60 days after being notified in writing by their respective deans or presidents of colleges of the decisions not to reappoint. Allegations so presented shall be given preliminary consideration by the appropriate Advisory Committee on Privilege and Tenure, which shall attempt to settle the matter by informal methods. The faculty members' allegations shall be accompanied by statements that they agree to the presentation, for the consideration of the committee, of such reasons and evidence as the University may allege in support of its decisions. If the difficulty is unresolved at this stage

and if the committee so recommends, the procedures set forth in 5-b shall be applied, except that the faculty members making the complaints are responsible for stating the grounds upon which they base their allegations, and the burden of proof shall rest upon them. If prima facie cases are established via these procedures in favor of the faculty members, it becomes incumbent upon the persons who made the decisions not to reappoint to present evidence in support of those decisions.

7. Resignation

Notice of resignation should be given early enough to obviate serious inconvenience to the University. If faculty members desire to terminate existing appointments or to decline renewals in the absence of notices of non-renewal, they shall give written notice of no less than three months if their rank is instructor or assistant professor, and no less than four months if their rank is higher, before the end of their duties during the academic year (exclusive of a summer session) or thirty days after receiving notification of the terms of their appointments for the coming year, whichever date occurs later. However, they may properly request a waiver of this requirement in cases of hardship or in situations where they would otherwise be denied substantial professional advancement.

8. Administrative Personnel

Administrative personnel who hold academic rank are subject to the foregoing regulations in their capacity as faculty members. Administrators who allege that considerations violative of academic freedom significantly contributed to decisions to terminate their appointments to administrative posts or not to reappoint them shall be entitled to the same procedures as those for non-tenured faculty who have alleged violation of academic freedom.

9. Graduate Student Academic Staff

In no case shall an appointment of a graduate or teaching assistant be terminated before the end of the period of appointment without the individual's being provided with an opportunity to be heard before the University Senate Advisory Committee on Privilege and Tenure.

A graduate or teaching assistant, who has established a prima facie case to the satisfaction of the committee that a consideration violative of academic freedom significantly contributed to the individual's non-reappointment, shall be given a statement of reasons by those responsible for the non-reappointment and an opportunity to be heard by a University Senate Hearing Committee (Privilege and Tenure).

10. Opportunities for Hearings

In no case shall a member of an academic staff, who is not otherwise protected by the preceding regulations which relate to dismissal proceedings, be dismissed (termination before the end of a period of appointment) without having been provided with a statement of reasons and an opportunity to be heard before the Advisory Committee on Privilege and Tenure of the University Senate or the Senate of the Community College System.

A member of an academic staff who establishes a prima facie case to the satisfaction of the committee that a consideration violative of academic freedom significantly contributed to the member's non-reappointment shall be given a statement of reasons by those responsible for the non-reappointment and an opportunity to be heard by the Hearing Committee (Privilege and Tenure) of the University Senate or the Senate of the Community College System.

11. Change of Assignment

When it is in the best interests of the institution, and if the professional status of an individual is not seriously jeopardized thereby, a change in the duties assigned to an individual may be made without such a change of assignment being regarded as a violation of the individual's tenure rights.

C. Conditions of Employment

1. Terms of Assignment

Academic assignments are made on academic year, ten-month, eleven-month, and twelve-month bases.

2. Vacation Leave

All full-time faculty members on a ten-month, eleven-month, or twelve-month assignment basis shall be entitled to 22 working days of vacation leave with pay per assignment period. With prior administrative approval, faculty members may take vacation leave at appropriate times during the period in which they are eligible to take such leave; however, each member of the teaching faculty shall be in actual attendance at least until after Commencement and until all reports have been made, and at least three days prior to the first day of registration for the fall semester, unless for special reasons leave is approved. Vacation leave normally cannot be accumulated from one assignment period to another, except that a faculty member on a twelve-month assignment basis may take vacation leave either during the assignment period in which the vacation leave is earned or during the subsequent assignment period. Under unusual circumstances, provided it is in the best interest of the University and has advance approval by the ~~appropriate chancellor/vice president~~, Provost or Senior Vice President and Chancellor of the Medical Center, a faculty member on a ten-month or an eleven-month assignment basis also may take unused vacation leave during the assignment period following that in which the vacation leave was earned. Pay for unused vacation leave shall be limited to a maximum of 22 days at the end of employment.

3. Professional Practices

a. General Policies

During their annual assignment period (whether academic year, ten months, eleven-months, or twelve months) faculty and research staff members are expected to serve the

University full-time. It is expected that they will be interested primarily in the work of their particular educational unit, giving their chief effort to the promotion of its needs.

A member of the University's academic staff shall, under certain conditions, be permitted to engage, as an expert, in professional employment (consulting or professional practice) outside the University for pay. In general, any outside employment demanding more than purely spare-time effort must be substantially justified in terms of the contribution its performance can bring to the faculty member's pursuit of teaching, research, and service. Conditions under which such employment may be undertaken are as follows:

(1) Such employment should not interfere with the fundamental responsibility of the faculty member to meet regularly assigned duties and inherent obligations to teaching and research, including being regularly available to students and colleagues, which are normally expected of a full-time faculty member and for which the faculty member receives compensation from the University.

(2) Such employment requires prior approval in writing by the appropriate University official.

All proposals to undertake outside employment shall be made in writing to the chairpersons whose recommendations shall be forwarded to the respective deans or presidents of colleges and thence, unless specified otherwise in the Administrative Regulations (AR II-1.1-1), to the ~~appropriate chancellor/vice president~~ Provost or Senior Vice President and Chancellor of the Medical Center for final action. Such proposals shall indicate the nature of the work to be performed, the estimated amount of time involved, the duration of the employment, and the scale of compensation. These proposals shall become a matter of record by the ~~appropriate chancellor/vice president~~ Provost or Senior Vice President and Chancellor of the Medical Center who shall transmit quarterly to the President of the University full information about those that have received approval and those that have been denied. The President, in turn, shall report periodically to the Board of Trustees.

Whenever a proposal by a faculty member is disapproved by an official of the University, it is the obligation of that official to provide the faculty member, upon request, with an oral statement of the reasons for the decision.

Requests should be specific. Approvals shall not be granted for blanket authorizations to consult or to engage in professional practice.

(3) Such employment shall be governed by time limitations stated in the Administrative Regulations (AR II-1.1-1).

(4) Such employment must avoid creating a conflict of interest. Each faculty member shall be expected to exercise sound judgment in requesting approval of outside employment, keeping in mind with utmost care the matter of conflict of interest.

While it is not possible to anticipate every factual situation which might give rise to a conflict of interest, such a conflict of interest does arise within the meaning of this regulation when a faculty member represents the legal interests of another party against the University or when a faculty member engages in litigation on behalf of another party against the University. Interpretations as to conflicts of interest in particular factual situations are to be made by the President of the University with the proviso that an adverse decision can be appealed to the Hearing Committee of the Board of Trustees.

b. Services Plans

Documents detailing the administration Services Plans approved by the Board of Trustees appear as a part of the Administrative Regulations.

4. Intellectual Property

As a general policy, all intellectual property conceived, first reduced to practice, written, or otherwise produced by faculty, staff, or students of the University of Kentucky using University funds, facilities, or other resources shall be owned and controlled by the University. Any member of the faculty, staff, or student body of the University who produces such intellectual property using University funds, facilities, or other resources shall assign personal rights to the property to the University, or its designate, but shall have an interest in and a right to share in any financial returns from the commercialization of the property. Notwithstanding, it is a specific policy of the University that the traditional products of scholarly activity, such as journal articles, textbooks, reviews, monographs, works of art, sculpture, music, and course materials, shall be the unrestricted property of the author. The University will exert no ownership claim of such works. A Standing Committee on Intellectual Property appointed by the President will administer the policy and oversee implementation of the procedures, both as detailed in the Administrative Regulation on intellectual property (AR II-1.1-3).

5. Leaves of Absence

a. Sabbatical Leave

The purpose of sabbatical leave is to provide opportunities for study, research, creative effort, improvement of teaching capabilities and methods, and related travel in order that the quality of each recipient's service to the University may be enhanced.

Faculty members who have full-time non-tenured or tenured appointments in the regular, special title, extension, or librarian series with the rank of assistant professor or higher, or of equivalent rank for this purpose as determined by the President, are eligible for leaves of absence after six years of continuous service in the rank of instructor or higher at the University, or for leaves of absence under a different option after three years of continuous service. All such leaves of absence shall be approved by the President or the President's designated representative.

After six years of continuous eligible service, an individual may apply for one year's leave (academic year for appointees on academic year, ten-month, or eleven-month assignments) at one-half salary or six months' leave (academic semester for appointees on academic year, ten-month, or eleven-month assignments) at full salary. After three years of continuous eligible service, an appointee may apply for six months' leave (academic semester for appointees on academic year, ten-month, or eleven-month assignments) at one-half salary. Normally "continuous service" is interrupted by a sabbatical leave; that is, no service prior to a sabbatical leave may be credited toward eligibility for future sabbatical leave. However, in the event that it becomes necessary for an individual to postpone a sabbatical leave at the request of and/or for the benefit of the University or one of its educational units, the period of postponement shall be counted as part of the six years of service necessary for the individual to again become eligible for sabbatical leave. The request for and/or agreement that the sabbatical leave be postponed must be made in writing by the dean or president of the individual's college and be approved by the ~~appropriate chancellor/vice president~~ Provost or Senior Vice President and Chancellor of the Medical Center. The request or agreement must specify the period of postponement and the reason for it. In no case shall cumulative sabbatical leave be granted for a single period longer than one full year at full salary. Leaves of absence without pay are not normally credited toward eligibility for sabbatical leave. However, exception may be made when the leave enhances the value of the individual to the University, e.g., a leave to accept a fellowship or a grant, service for professional organizations, and so forth. In no case shall the leave of absence without pay be considered as an interruption of continuous service.

Sabbatical leave shall not be used as a means of augmenting personal income. A recipient may not accept gainful employment during a sabbatical leave (for an individual on an academic year assignment basis, this does not include the period of May 16 through August 15; for an individual on a ten-month or eleven-month assignment basis, this does not include the period of vacation and the one or two months outside the assignment period each fiscal year; for an individual on a twelve-month assignment basis, this does not include the one-month vacation period) except as follows:

A fellowship, grant-in-aid, or government-sponsored exchange lectureship may be accepted for the period of the leave if acceptance will promote the purpose of the leave and is approved by the President or the President's designated representative.

For those on one-year leave, additional salary not to exceed one-half of the regular academic salary may be accepted for (1) work performed during the sabbatical leave on research projects administered by the University with funds from government or private grants or contracts when the terms of the grant or contract authorize the usage of such funds, and when the work to be performed is significantly related to the studies planned for the leave; (2) work on a research grant at another university; (3) research work in a government laboratory; or (4) work as a research professor or associate in another university. Any arrangements pursuant to this paragraph must be approved by the President or the President's representative.

In neither of the above instances shall a recipient's total income attributable to a sabbatical leave project exceed the individual's regular academic salary. Sabbatical leave shall

be granted with the understanding that the recipient, following the leave of absence, will continue service at the University for at least one academic year.

b. Other Leaves with Pay

(1) Sick Leave for Faculty

Sick leave may be granted to faculty by the ~~appropriate chancellor/vice president~~ Provost or Senior Vice President and Chancellor of the Medical Center. Eligible faculty who are totally disabled are entitled to six months' sick leave with pay after which the Long Term Disability Plan, for which the University pays the full cost, becomes operative. Sick leave with pay for more than six months requires approval by the Board of Trustees.

(2) Miscellaneous

The ~~President~~ Senior Vice President for Administration or, for individuals ~~on appointment in an academic sector~~ on an academic appointment, the ~~appropriate chancellor/vice president~~ Provost or the Senior Vice President and Chancellor of the Medical Center may grant leaves of absence with pay for a period not to exceed thirty days for the purpose of permitting an appointee to attend a professional meeting, serve temporarily with an outside agency, serve in the military forces of the United States, or for other good cause. Such leaves of absence with pay for more than thirty days require approval of the Board of Trustees.

c. Leave Without Pay

Upon the recommendation of the appropriate administrative officers and approval of the ~~President, Provost, the Senior Vice President and Chancellor of the Medical Center or the Senior Vice President for Administration or, for individuals on appointment in a chancellor/vice president sector, the appropriate chancellor/vice president~~, a member of the faculty or staff may be given a leave of absence without pay. Ordinarily such leave shall not be granted for a period in excess of one year (12 months). However, such leave may be extended on application and approval by the appropriate administrative officers. The best interests of the University shall be a major consideration in granting an extension of any such leave.

d. Educational Leave

To pursue an advanced degree at the University of Kentucky in accordance with Part X.C.6 of these Governing Regulations, faculty members may request half-time or more leave, with proportional reduction in salary. If such educational leave for faculty development is recommended by the dean or president of the college and approved by the ~~appropriate chancellor/vice president~~ Provost, or the Senior Vice President and Chancellor of the Medical Center, as appropriate, the faculty members shall be entitled to normal faculty benefits and privileges during the period of temporary change in status. Although a period of educational leave shall not be credited toward eligibility for sabbatical leave, it shall not be considered as an interruption of continuous service. Also, for non-tenured faculty members, such a period of

educational leave shall not be counted as probationary period service.

e. Scholarly Fellowship Leave

To accept a scholarly fellowship which allows a faculty member to pursue a program of research, and which the funding agency will not process through the University, faculty members may request leave with partial pay. If such leave is recommended by the dean or president of the college and approved by the ~~appropriate chancellor/vice president~~ Provost or Senior Vice President and Chancellor of the Medical Center, as appropriate, the faculty member shall be entitled to normal faculty benefits and privileges during the period of temporary change in status. Time spent on scholarly fellowship leave shall count as probationary period service unless the University in granting the leave and the individual accepting it agree to the contrary.

6. Faculty Members As Candidates for Degrees

Members of the faculty, except those in the Community College System, having a rank higher than that of instructor may not be considered as candidates for degrees in the discipline in which they are employed and hold academic rank. Faculty members pursuing degrees above the master's degree at the University of Kentucky may not hold more than a half-time work assignment either during the two full-time, consecutive resident semesters preceding the qualifying examination or during the two semesters of full-time dissertation study immediately following the qualifying examination.

7. Faculty Members As Scholars and Citizens

It is the policy of the University to maintain and encourage within the law full freedom of inquiry, discourse, teaching, research, and publication and to protect members of the academic staff against influences, from inside or outside the University, which will restrict them in the exercise of these freedoms in their areas of scholarly interest. Teachers and students shall be permitted and encouraged to investigate any theory, challenge any premise, engage in political and social debate, and to express their dissent, without jeopardy to their academic careers, provided their behavior is not in violation of the law and does not interfere with the normal operation of the educational programs of the University.

In their roles as citizens, faculty members have the same freedoms as other citizens, without institutional censorship or discipline, although they should be mindful that accuracy, forthrightness, and dignity befit their association with the University and their positions as scholars. When faculty members speak or write as citizens, they should indicate that they are not speaking for the University.

Like other citizens, faculty members are free to engage in political activities so far as they are able to do so within the law consistent with their obligations as teachers and scholars. When necessary, leaves of absence without pay may be given for the duration of an election campaign or a term of office, provided that there has been timely application for leave and that the requested leave is limited to a reasonable period of time. The terms of a leave of absence for this purpose

shall be set forth in writing. The leave shall not affect unfavorably the tenure status of a faculty member, except that the time spent on such leave from academic duties will not count as probationary service unless agreed to otherwise.

Elective and appointive part-time services on boards and commissions to which members of the University staff are prepared to provide exceptional services shall be governed by policies on professional practice (X.C.3).

8. Retirement

The University of Kentucky Retirement Plan represents a consolidation of the original Retirement Resolution (April 7, 1964) and its numerous subsequent amendments into a unified statement of University policy and guidelines on retirement of employees in Groups I, II, III, IV, and V. The University of Kentucky Retirement Plan, which has been adopted by the Board of Trustees and may be amended only by that body, is presented in its entirety in the Administrative Regulations (AR II-1.6-1).

9. Social Security

All employees of the University of Kentucky except those in Civil Service are covered by the Old-Age and Survivors Insurance of the National Social Security Program and are thus eligible for benefits in accordance with the governing legislation. Each eligible employee of the University must, if the employee has not previously done so, secure a Social Security card and supply to the Office of the Controller and Treasurer a completed Treasury Form W-4 with the employee's Social Security number and other information necessary for withholding insurance contributions.

10. Group Insurance

Regular full-time faculty and staff who are employed by the University are insured under the Basic Life Insurance Program. This insurance may be increased optionally to a total of one, two, or three times the employee's basic annual salary. The premium for the basic insurance is paid by the University, whereas that for the optional increase in insurance is paid by the employee.

In addition, all regular full-time employees are encouraged to participate in the University's basic hospital-medical and accident insurance programs which also may include coverage for dependents.

11. Workers' Compensation

A University employee sustaining an on-the-job injury or developing a job-related illness is covered by provisions of the Kentucky Workers' Compensation Act.

12. Employee Disability Program

Regular full-time faculty and staff, other than those covered by Civil Service or the

Federal Employee Retirement System, are covered by the Long Term Disability Program. Coverage commences after the completion of one year of employment unless the eligible employee, at the time of hire, satisfies the exception condition as outlined in the plan document in which case there is immediate coverage. This program provides income protection through a Long Term Disability Plan and, in some cases, supplemental benefits by the University. The University pays the full cost of this program.

GR - Part X - 3

PR 3B

Office of the President
December 11, 2001

Members, Board of Trustees:

PROPOSED AMENDMENT TO THE GOVERNING REGULATIONS
TO ESTABLISH A STAFF SENATE

Recommendation: that the attached proposed amendment to the Governing Regulations of the University of Kentucky be received for preliminary consideration and, at the next regular meeting of the Board of Trustees provided at least one month has elapsed, be included on the agenda for action.

Background: These changes will establish the University of Kentucky Staff Senate. The staff of the University of Kentucky is responsible for providing support to all academic programs on campus. The University of Kentucky Staff Senate will provide lines of communication among all segments of the staff, as well as between staff, faculty, and students of the University. The Staff Senate shall also act as a mechanism to disseminate information to the staff and passing information from staff to other members of the University community. The Staff Senate shall be composed of elected, appointed, and ex-officio membership.

Action Taken: ☒ Approved ☐ Disapproved ☐ Other _____

THE UNIVERSITY OF KENTUCKY STAFF SENATE

The University of Kentucky Staff Senate shall be the official representative body of the staff of the University. It shall strive to open lines of communication among all segments of the staff, as well as between staff, faculty and students of the University. The Staff Senate shall also act as a mechanism to disseminate information to the staff, and pass information from staff to others members of the University Community.

The Staff Senate shall consist of no more than 175 Senators. Senators shall be regular, full-time staff elected from and by their respective areas in accordance with the By-Laws of the Staff Senate, unless they are At-Large Senators or ex-officio members appointed in accordance with the By-Laws of the Staff Senate. Each Senator shall have one vote. No absentee ballots or voting by proxy shall be permitted. Ex-officio shall be non-voting members of the Staff Senate. Every Senator shall have reasonable release time from work to perform Senatorial duties. The Staff Senate shall meet regularly as specified in the By-Laws of the Staff Senate.

The Staff Senate shall have officers and standing committees as specified in the By-Laws of the Staff Senate to facilitate the functioning of the Senate. Advisory committees will be created as specified in the By-Laws of the Staff Senate to provide advice to the President and the Staff Representative to the Board of Trustees. The Staff Senate shall have no management or administrative functions either in itself or through the instrumentality of its committees. The Senate is authorized to develop rules for the conduct of its functions; copies of these rules will be furnished to the President and the Board of Trustees. The Staff Senate may address the President, or through the Staff Trustee, the Board of Trustees, regarding any matter affecting staff of the University.

The Staff Senate Development Task Force, an advisory group convened by the current Staff Representative to the Board of Trustees, shall conduct the elections of Senators as well as all other processes necessary to facilitate the election and seating of the Staff Senate. The Chair of the Task Force shall preside at the initial meetings of the Staff Senate until such time as the permanent officers elected.

PR 3C

Office of the President
December 11, 2001

Members, Board of Trustees:

ADMINISTRATIVE REGULATION REVISION

Recommendation: that the Board approve the attached revision of AR II-1.6-1, the University of Kentucky Retirement Plan, to permit persons on Uniformed Services Leave to continue making retirement contributions and to eliminate the one year waiting period for employee participation in the University of Kentucky retirement plan.

Background: The Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA) requires that employees who take Uniformed Services leave must be permitted to make retirement contributions during that leave. The Plan does not currently address such contributions.

The existing retirement plan permits new employees to participate in the retirement plan only if they have a pre-existing retirement contract. We are advised that this limitation is no longer permitted under non-discrimination provisions of the U.S. Tax Code.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

UNIVERSITY OF KENTUCKY RETIREMENT PLAN
(APPROVED BY THE BOARD OF TRUSTEES)

I. Introduction

The policies governing the University of Kentucky Retirement Plan are set forth in this administrative regulation. The University of Kentucky Board of Trustees has authorized three retirement plan carriers, effective July 1, 1988, to be utilized by University of Kentucky employees: Teachers Insurance and Annuity Association/College Retirement Equities Fund (TIAA/CREF); Fidelity Institutional Services Company (Fidelity Investments); and Twentieth Century Investors, Inc. (Twentieth Century). It is the Board's intention that University employees be given a wide range of investment options during the years in which contributions are being made on the employees' behalf as well as a wide range of withdrawal options at the time of retirement. The term "retirement plan carrier", as used throughout this administrative regulation, includes all three retirement plan carriers that have been authorized by the Board of Trustees.

The policies governing insurance benefits for University retirees are a part of the Staff Personnel Policy and Procedure Administrative Regulations and are found in Numbers 91, 93, and 94. Information on these insurance programs is not included in this Administrative Regulation.

II. Retirement Groups and Plans

A. Group I Personnel and Plan

1. Group I Personnel

Eligibility of personnel for classification in Group I is conditioned upon: (a) regular full-time employment, (b) employment in a faculty position or a position otherwise specifically approved for Group I by the President, and (c) occupation of a position not covered by the United States Civil Service Retirement Plan or the Federal Employees Retirement System.

2. Group I Plan - Participation Requirements

Participation of Group I personnel employed prior to July 1, 1964, is as follows:

a. Voluntary for employees who had attained age 56 prior to July 1, 1964, and for employees who have completed one year of continuous service but have not attained age 30.

b. Mandatory for employees who had completed one year of continuous service and attained age 30 but not age 56 as of July 1, 1964.

c. Mandatory upon the completion of one year of continuous service

and attainment of age 30 for all other such employees.

Participation of Group I personnel employed on or after July 1, 1964, is voluntary ~~upon completion of one year of continuous service~~ for those employees who have not attained age 30 and mandatory ~~upon the completion of one year of continuous service and the attainment of~~ for those employees who have attained age 30.

An employee who enrolls under the voluntary provisions of this policy shall make an irrevocable, one-time salary reduction agreement when entering the plan; that employee may not withdraw from the University's retirement plan as long as that employee remains eligible for plan participation.

~~The preliminary service period shall be waived, upon request, for employees with tenure or for employees who own retirement contracts issued by one or more of the authorized retirement plan carriers.~~

3. Group I Plan - Contributions and Vesting

Notwithstanding any provision to the contrary contained herein, all Group I personnel who have satisfied the age and service requirements for mandatory participation shall be required to contribute on a salary reduction (pre-tax) basis all contributions which are required to be made by the participant according to the applicable contributions schedule contained herein; provided, however, that this provision shall not apply to any participant who prior to December 22, 1986, was making contributions on a salary deduction (after-tax) basis.

Contributions toward retirement benefits for participating Group I personnel shall be made in accordance with the following schedule:

Contributions as a Percent of Basic Annual Salary

<u>By the Participant</u>	<u>By the Institution</u>	<u>Total</u>
5%	10%	15%

Beginning July 1, 1996, the University shall withhold the contribution of the participant from regular salary payments, add its contribution, and remit the combined sum to the retirement plan carrier(s) selected by the participant for the purchase of retirement benefits.

In addition to other applicable limitations stated in the plan, and notwithstanding any other provisions of the University's retirement regulations to the contrary, for plan years beginning on or after January 1, 1996, the annual compensation of each employee taken into account under the plan shall not exceed the Omnibus Budget Reconciliation Act of 1993 (OBRA '93) annual maximum includable compensation limit. The OBRA '93 annual limit is

\$150,000, as adjusted by the Commissioner of the Internal Revenue Service for increases in the cost of living in accordance with section 401(a)(17)(B) of the Internal Revenue Code. The cost-of-living adjustment in effect for a calendar year applies to any period, beginning in such calendar year over which compensation is determined (determination period); this period may not exceed 12 months. If a determination period consists of fewer than 12 months, the OBRA '93 annual limit will be multiplied by a fraction, the numerator of which is the number of months in the determination period, and the denominator of which is 12.

For plan years beginning on or after January 1, 1996, any reference in this plan to the limitation under section 401(a)(17) of the Code shall mean the OBRA '93 annual maximum includable compensation limit stated in this provision. The University of Kentucky Retirement Plan Year is deemed to begin July 1 of a calendar year and end June 30 of the next calendar year.

If compensation for any prior determination period is taken into account in determining an employee's benefits accruing in the current plan year, the compensation for that prior determination period is subject to the OBRA '93 annual limit in effect for that prior determination period. For this purpose, the OBRA '93 annual limit is \$150,000 for the first day of the first plan year beginning on or after January 1, 1996.

Notwithstanding the above, employees who became participants in the University's retirement plan before the first day of the plan year beginning on or after January 1, 1996, will not be subject to this annual limit.

a. The participant will direct the portion of the combined retirement contribution that is to be remitted to each carrier, if two or more carriers are selected. The participant also must advise each retirement plan carrier of which investment options have been chosen and, if two or more options are selected with a single carrier, of the part of the retirement contribution that is to be allocated to each option.

b. A participant may change the ratio of allocating funds among retirement plan carriers and/or change options by completing the appropriate paper work. Changes in allocating contributions among the plan options is accomplished by the participant directly with the retirement plan carrier.

In addition to contributions based on basic annual salary, contributions also shall be applied on compensation paid to faculty members for service during an interim between regular assignment periods, provided the faculty members are employed full-time by the University for at least one full month of continuous service in the interim, on a basis other than a fee schedule, without reduction in rate of earned salary per month as described in AR II-1.3-2. An interim between regular assignment periods for a faculty member on a regular nine-month, ten-month, or eleven-month assignment basis is defined in AR II-1.1-7.

Retirement benefits purchased with the combined employee and

University contributions shall become the property of individual participants immediately upon purchase. All benefits are for the sole purpose of providing retirement and/or death benefits.

If by applying the above-stated percentages there would be a violation of federal or state laws, as a result of the employer and/or employee contributions, then these percentages shall not be applied to the extent of violating applicable laws. In such cases, the amount of the employer contribution that cannot be forwarded to a retirement plan carrier shall be paid to the employee as a temporary salary increase for the balance of the calendar year.

4. Group I Plan - Termination of Contributions

Contributions on behalf of Group I personnel in the Retirement Plan through December 31, 1987, shall terminate at the end of the fiscal year in which the employee attains age 65 or upon the earliest occurrence of any one or more of the following.

- a. Cessation of regular full-time employment
- b. Retirement

Beginning January 1, 1988, retirement plan contributions on behalf of Group I personnel shall terminate upon retirement or cessation of regular full-time employment.

B. Group II Personnel and Plan

1. Group II Personnel

Eligibility of personnel for classification in Group II is conditioned upon: (a) regular full-time employment with the University or, upon approval of the Board of Trustees, with an agency for which the University serves as fiscal and payroll agent, (b) employment in a position classified as technical and scientific staff, office and clerical staff, or service and maintenance staff, and (c) occupation of a position not covered by the United States Civil Service Retirement Plan.

2. Group II Plan - Participation Requirements

Participation of Group II personnel employed prior to July 1, 1971, is as follows:

a. Voluntary for employees who had attained age 56 before July 1, 1971, and for employees who have completed one year of continuous service but have not attained age 30.

b. Mandatory for employees who had completed one year of continuous service and attained age 30 but not age 56 as of July 1, 1971.

c. Mandatory upon the completion of one year of continuous service and the attainment of age 30 for all other such employees.

Participation of Group II personnel employed on or after July 1, 1971, is voluntary ~~upon the completion of one year of continuous service~~ for those employees who have not attained age 30 and mandatory ~~upon the completion of one year of continuous service and the attainment of~~ for those employees who have attained age 30.

An employee who enrolls under the voluntary provisions of this policy shall make an irrevocable, one-time salary reduction agreement when entering the plan; that employee may not withdraw from the University's retirement plan as long as that employee remains eligible for plan participation.

~~The preliminary service period shall be waived, upon request, for employees who own retirement contracts issued by one or more of the authorized retirement plan carriers.~~

3. Group II Plan - Contributions and Vesting

Notwithstanding any provision to the contrary contained herein, all Group II personnel who have satisfied the age and service requirements for mandatory participation shall be required to contribute on a salary reduction (pre-tax) basis all contributions which are required to be made by the participant according to the applicable contributions schedule contained herein; provided, however, that this provision shall not apply to any participant who prior to December 22, 1986, was making contributions on a salary deduction (after-tax) basis.

Contributions to the retirement plan shall be made in accordance with the following schedule:

Contributions as a Percent of Basic Annual Salary

<u>For the Fiscal Year</u>	<u>By the Participant</u>	<u>By the University</u>	<u>Total</u>
1971-72	0.5%	1.0%	1.5%
1972-73	1.2	2.0	3.2
1973-74	1.9	3.0	4.9
1974-75	2.6	4.0	6.6
1975-76	3.3	5.0	8.3
1976-77	4.0	6.0	10.0
1977-78	4.0	6.5	10.5
1978-79	4.0	7.0	11.0
1979-80	4.0	7.5	11.5
1980-6/30/91	4.0	8.0	12.0

1991-93	4.25	8.5	12.75
1993-94	4.5	9.0	13.5
1994-95	4.625	9.25	13.875
1995-96	4.75	9.5	14.25
1996-97	4.875	9.75	14.625
1997-98	5.0	10.0	15.0

Beginning July 1, 1996, the University shall withhold the contribution of the participant from regular wage payments, add its contribution, and remit the combined sum to the retirement plan carrier(s) selected by the participant for the purchase of retirement benefits.

In addition to other applicable limitations stated in the plan, and notwithstanding any other provisions of the University's retirement regulations to the contrary, for plan years beginning on or after January 1, 1996, the annual compensation of each employee taken into account under the plan shall not exceed the Omnibus Budget Reconciliation Act of 1993 (OBRA '93) annual maximum includable compensation limit. The OBRA '93 annual limit is \$150,000, as adjusted by the Commissioner of the Internal Revenue Service for increases in the cost of living in accordance with section 401(a)(17)(B) of the Internal Revenue Code. The cost-of-living adjustment in effect for a calendar year applies to any period, beginning in such calendar year over which compensation is determined (determination period); this period may not exceed 12 months. If a determination period consists of fewer than 12 months, the OBRA '93 annual limit will be multiplied by a fraction, the numerator of which is the number of months in the determination period, and the denominator of which is 12.

For plan years beginning on or after January 1, 1996, any reference in the plan to the limitation under section 401(a)(17) of the Code shall mean the OBRA '93 annual maximum compensation includable limit stated in this provision. The University of Kentucky Retirement Plan Year is deemed to begin July 1 of a calendar year and end June 30 of the next calendar year.

If compensation for any prior determination period is taken into account in determining an employee's benefits accruing in the current plan year, the compensation for that prior determination period is subject to the OBRA '93 annual limit in effect for that prior determination period. For this purpose, the OBRA '93 annual limit is \$150,000 for the first day of the first plan year beginning on or after January 1, 1996.

Notwithstanding the above, employees who became participants in the University's retirement plan before the first day of the plan year beginning on or after January 1, 1996, will not be subject to this annual limit.

a. The participant will direct the portion of the combined retirement contribution that is to be remitted to each carrier, if two or more carriers are selected. The participant also must advise each retirement plan carrier of which investment options have been chosen and, if two or more options are selected with a single carrier, of the part of the retirement

contribution that is to be allocated to each option.

b. A participant may change the ratio of allocating funds among retirement plan carriers and/or change options by completing the appropriate paper work. Changes in allocating contributions among the plan options is accomplished by the participant directly with the retirement plan carrier.

Each retirement contract issued in accordance with the foregoing is for the sole purpose of providing retirement and/or death benefits.

Retirement benefits purchased by University contributions shall become the property of individual participants as follows:

c. If the participant was employed prior to July 1, 1971: upon the completion of five years of continuous University service. Only years of continuous service immediately prior to July 1, 1971, are to be included in this computation.

d. If the participant was employed on or after July 1, 1971: upon the completion of five years of continuous participation in this plan or on July 1, 1988, whichever event occurs first.

If by applying the above-stated percentages there would be a violation of federal or state laws, as a result of the employer and/or employee contributions, then these percentages shall not be applied to the extent of violating applicable laws. In such cases, the amount of the employer contribution that cannot be forwarded to a retirement plan carrier shall be paid to the employee as a temporary salary increase for the balance of the calendar year.

4. Group II Plan - Termination of Contributions

Contributions on behalf of Group II personnel in the Retirement Plan through December 31, 1987, shall terminate at the end of the fiscal year in which the employee attains age 65 or upon the earliest occurrence of any one or more of the following:

- a. Cessation of regular full-time employment
- b. Retirement

Beginning January 1, 1988, retirement plan contributions on behalf of Group II personnel shall terminate upon retirement or cessation of regular full-time employment.

C. Group III Personnel and Plan

1. Group III Personnel

Eligibility of personnel for classification in Group III is conditioned upon: (a) regular full-time employment with the University or, upon approval of the Board of Trustees, with an agency for which the University serves as fiscal and payroll agent, (b) employment in a position classified as administrative staff, managerial specialist staff, or professional staff, (c) occupation of a position not covered by the United States Civil Service Retirement Plan or the Federal Employees Retirement System; and (d) approval by the President or his delegate.

2. Group III Plan - Participation Requirements

Participation of Group III personnel employed prior to July 1, 1972, is as follows:

a. Voluntary for employees who had attained age 56 before July 1, 1972, and for employees who have completed one year of continuous service but have not attained age 30.

b. Mandatory for employees who had completed one year of continuous service and attained age 30 but not age 56 as of July 1, 1972.

c. Mandatory upon the completion of one year of continuous service and attainment of age 30 for all other such employees.

Participation of Group III personnel employed on or after July 1, 1972, is voluntary ~~upon the completion of one year of continuous service~~ for those employees who have not attained age 30 and mandatory ~~upon the completion of one year of continuous service and the attainment of~~ for those employees who have attained age 30.

An employee who enrolls under the voluntary provisions of this policy shall make an irrevocable, one-time salary reduction agreement when entering the plan; that employee may not withdraw from the University's retirement plan as long as that employee remains eligible for plan participation.

~~The preliminary service period shall be waived, upon request, for employees who own retirement contracts issued by one or more of the authorized retirement plan carriers.~~

3. Group III Plan - Contributions and Vesting

Notwithstanding any provision to the contrary contained herein, all Group III personnel who have satisfied the age and service requirements for mandatory participation shall be required to contribute on a salary reduction (pre-tax) basis all contributions which are required to be made by the participant according to the applicable contributions schedule contained herein; provided, however, that this provision shall not apply to any participant who prior to December 22, 1986, was making contributions on a salary deduction (after-tax) basis.

Contributions to the retirement plan shall be made in accordance with the following schedule:

Contributions as a Percent of Basic Annual Salary

<u>For the Fiscal Year</u>	<u>By the Participant</u>	<u>By the University</u>	<u>Total</u>
1972-73	1.0%	2.0%	3.0%
1973-74	2.0	4.0	6.0
1974-75	3.0	6.0	9.0
1975 through 6/30/91	4.0	8.0	12.0
1991-93	4.25	8.5	12.75
1993-94	4.5	9.0	13.5
1994-95	4.625	9.25	13.875
1995-96	4.75	9.5	14.25
1996-1997	4.875	9.75	14.625
1997-1998	5.0	10.0	15.0

Beginning July 1, 1996, the University shall withhold the contribution of the participant from regular salary payments, add its contribution, and remit the combined sum to the retirement plan carrier(s) selected by the participant for the purchase of retirement benefits.

In addition to other applicable limitations stated in the plan, and notwithstanding any other provisions of the University's retirement regulations to the contrary, for plan years beginning on or after January 1, 1996, the annual compensation of each employee taken into account under the plan shall not exceed the Omnibus Budget Reconciliation Act of 1993 (OBRA '93) annual maximum includable compensation limit. The OBRA '93 annual limit is \$150,000, as adjusted by the Commissioner of the Internal Revenue Service for increases in the cost of living in accordance with section 401(a)(17)(B) of the Internal Revenue Code. The cost-of-living adjustment in effect for a calendar year applies to any period, beginning in such calendar year over which compensation is determined (determination period); this period may not exceed 12 months. If a determination period consists of fewer than 12 months, the OBRA '93 annual limit will be multiplied by a fraction, the numerator of which is the number of months in the determination period, and the denominator of which is 12.

For plan years beginning on or after January 1, 1996, any reference in the plan to the limitation under section 401(a)(17) of the Code shall mean the OBRA '93 annual maximum compensation includable limit stated in this provision. The University of Kentucky Retirement Plan Year is deemed to begin July 1 of a calendar year and end June 30 of the next calendar year.

If compensation for any prior determination period is taken into account in determining an employee's benefits accruing in the current plan year, the compensation for that prior determination period is subject to the OBRA '93 annual limit in effect for that prior

determination period. For this purpose, the OBRA '93 annual limit is \$150,000 for the first day of the first plan year beginning on or after January 1, 1996.

Notwithstanding the above, employees who became participants in the University's retirement plan before the first day of the plan year beginning on or after January 1, 1996, will not be subject to this annual limit.

a. The participant will direct the portion of the combined retirement contribution that is to be remitted to each carrier, if two or more carriers are selected. The participant also must advise each retirement plan carrier of which investment options have been chosen and, if two or more options are selected with a single carrier, of the part of the retirement contribution that is to be allocated to each option.

b. A participant may change the ratio of allocating funds among retirement plan carriers and/or change options by completing the appropriate paper work. Changes in allocating contributions among the plan options is accomplished by the participant directly with the retirement plan carrier.

Each retirement contract issued in accordance with the foregoing is for the sole purpose of providing retirement and/or death benefits.

Retirement benefits purchased by University contributions shall become the property of individual participants as follows:

c. If the participant was employed prior to July 1, 1972: upon completion of three years of University service. Only years of continuous service immediately prior to July 1, 1972, are to be included in this computation.

d. If the participant was employed on or after July 1, 1972: upon completion of three years of participation in this plan or on July 1, 1988, whichever event occurs first.

If by applying the above-stated percentages there would be a violation of federal or state laws, as a result of the employer and/or employee contributions, then these percentages shall not be applied to the extent of violating applicable laws. In such cases, the amount of the employer contribution that cannot be forwarded to a retirement plan carrier shall be paid to the employee as a temporary salary increase for the balance of the calendar year.

4. Group III Plan - Termination of Contributions

Contributions on behalf of Group III personnel in the Retirement Plan through December 31, 1987, shall terminate at the end of the fiscal year in which the employee

attains age 65 or upon the earliest occurrence of any one or more of the following:

- a. Cessation of regular full-time employment
- b. Retirement

Beginning January 1, 1988, retirement plan contributions on behalf of Group III personnel shall terminate upon retirement or cessation of regular full-time employment.

D. Group IV Personnel and Plan

1. Group IV Personnel

Eligibility of personnel for classification in Group IV is conditioned upon: (a) regular full-time employment, (b) occupation of a position covered by the United States Civil Service Retirement Plan, and (c) eligibility rights under the United States Civil Service Retirement Plan.

2. Group IV Plan - Participation Requirements

Participation of Group IV personnel employed on or after January 1, 1973, is voluntary ~~upon the completion of one year of continuous service.~~

An employee who enrolls under the voluntary provisions of this policy shall make an irrevocable, one-time salary reduction agreement when entering the plan; that employee may not withdraw from the University's retirement plan as long as that employee remains eligible for plan participation.

~~The preliminary service period shall be waived, upon request, for employees with tenure or for employees who own retirement contracts issued by one or more of the authorized retirement plan carriers.~~

3. Group IV Plan - Contributions and Vesting

Contributions to the retirement plan shall be made in accordance with the following schedule for the period of January 1, 1973, through June 30, 1987:

Contributions as a Percent of Basic Annual Salary

<u>By the Participant</u>	<u>By the Institution</u>	<u>Total</u>
1%	2%	3%

Beginning July 1, 1987, contributions to the retirement plan shall be increased as follows:

Contributions as a Percent of Basic Annual Salary

<u>By the Participant</u>	<u>By the Institution</u>	<u>Total</u>
4.0%	8.0%	12.0%
4.25%	8.5%	12.75%
4.5%	9.0%	13.5%
4.625%	9.25%	13.875%
4.75%	9.5%	14.25%
4.875%	9.75%	14.625%
5.0	10.0	15.0

Beginning July 1, 1996, the University shall withhold the contribution of the participant from regular salary payments, add its contribution, and remit the combined sum to the retirement plan carrier(s) selected by the participant for the purchase of retirement benefits.

In addition to other applicable limitations stated in the plan, and notwithstanding any other provisions of the University's retirement regulations to the contrary, for plan years beginning on or after January 1, 1996, the annual compensation of each employee taken into account under the plan shall not exceed the Omnibus Budget Reconciliation Act of 1993 (OBRA '93) annual maximum includable compensation limit. The OBRA '93 annual limit is \$150,000, as adjusted by the Commissioner of the Internal Revenue Service for increases in the cost of living in accordance with section 401(a)(17)(B) of the Internal Revenue Code. The cost-of-living adjustment in effect for a calendar year applies to any period, beginning in such calendar year over which compensation is determined (determination period); this period may not exceed 12 months. If a determination period consists of fewer than 12 months, the OBRA '93 annual limit will be multiplied by a fraction, the numerator of which is the number of months in the determination period, and the denominator of which is 12.

For plan years beginning on or after January 1, 1996, any reference in the plan to the limitation under section 401(a)(17) of the Code shall mean the OBRA '93 annual maximum includable compensation limit stated in this provision. The University of Kentucky Retirement Plan Year is deemed to begin July 1 of a calendar year and end June 30 of the next calendar year.

If compensation for any prior determination period is taken into account in determining an employee's benefits accruing in the current plan year, the compensation for that prior determination period is subject to the OBRA '93 annual limit in effect for that prior determination period. For this purpose, the OBRA '93 annual limit is \$150,000 for the first day of the first plan year beginning on or after January 1, 1996.

Notwithstanding the above, employees who became participants in the University's retirement plan before the first day of the plan year beginning on or after January 1, 1996, will not be subject to this annual limit.

a. The participant will direct the portion of the combined retirement contribution that is to be remitted to each carrier, if two or more carriers are selected. The participant also must advise each retirement plan carrier of which investment options have been chosen and, if two or more options are selected with a single carrier, of the part of the retirement contribution that is to be allocated to each option.

b. A participant may change the ratio of allocating funds among retirement plan carriers and/or change options by completing the appropriate paper work. Changes in allocating contributions among the plan options is accomplished by the participant directly with the retirement plan carrier.

Retirement benefits purchased with the combined employee and University contributions shall become the property of individual participants immediately upon purchase. All benefits are for the sole purpose of providing retirement and/or death benefits.

If by applying the above-stated percentages there would be a violation of federal or state laws, as a result of the employer and/or employee contributions, then these percentages shall not be applied to the extent of violating applicable laws. In such cases, the amount of the employer contribution that cannot be forwarded to a retirement plan carrier shall be paid to the employee as a temporary salary increase for the balance of the calendar year.

4. Group IV Plan - Termination of Contributions

Contributions on behalf of Group IV personnel in the Retirement Plan through December 31, 1987, shall terminate at the end of the fiscal year in which the employee attains age 65 or upon the earliest occurrence of any one or more of the following:

- a. Cessation of regular full-time employment
- b. Retirement

Beginning January 1, 1988, retirement plan contributions on behalf of Group IV personnel shall terminate upon retirement or cessation of regular full-time employment.

E. Group V Personnel and Plan

1. Group V Personnel

Eligibility of personnel for classification in Group V is conditioned upon:
(a) regular full-time employment; (b) occupation in a position covered by the Federal Employees

Retirement System (FERS) Act; and (c) participation rights under the FERS retirement plan.

2. Group V Plan - Participation Requirements

Participation of Group V personnel hired on or after January 1, 1973, but no later than March 31, 1987 is voluntary ~~upon completion of one year of continuous service.~~

An employee who enrolls under the voluntary provisions of this policy shall make an irrevocable, one-time salary reduction agreement when entering the plan; that employee may not withdraw from the University's retirement plan as long as that employee remains eligible for plan participation.

~~_____ The preliminary service period shall be waived, upon request, for employees with tenure or for employees who own retirement contracts issued by one or more of the authorized retirement plan carriers.~~

3. Group V Plan - Contributions and Vesting

Contributions to the retirement plan shall be made in accordance with the following schedule:

Contributions as a Percent of Basic Annual Salary

<u>By the Participant</u>	<u>By the Institution</u>	<u>Total</u>
1%	2%	3%

Beginning July 1, 1988, the University shall withhold the contribution of the participant from the regular salary payments, add its contribution, and remit the combined sum to the retirement plan carrier(s) selected by the participant for the purchase of retirement benefits.

In addition to other applicable limitations stated in the plan, and notwithstanding any other provisions of the University's retirement regulations to the contrary, for plan years beginning on or after January 1, 1996, the annual compensation of each employee taken into account under the plan shall not exceed the Omnibus Budget Reconciliation Act of 1993 (OBRA '93) annual maximum includable compensation limit. The OBRA '93 annual limit is \$150,000, as adjusted by the Commissioner of the Internal Revenue Service for increases in the cost of living in accordance with section 401(a)(17)(B) of the Internal Revenue Code. The cost of living adjustment in effect for a calendar year applies to any period beginning in such calendar year over which compensation is determined (determination period); this period may not exceed

12 months. If a determination period consists of fewer than 12 months, the OBRA '93 annual limit will be multiplied by a fraction, the numerator of which is the number of months in the determination period, and the denominator of which is 12.

For plan years beginning on or after January 1, 1996, any reference in the plan to the limitation under section 401(a)(17) of the Code shall mean the OBRA '93 annual maximum includable compensation limit stated in this provision. The University of Kentucky Retirement Plan Year is deemed to begin July of a calendar year and end June 30 of the next calendar year.

If compensation for any prior determination period is taken into account is determining an employee's benefits accruing in the current plan year, the compensation for that prior determination period is subject to the OBRA '93 annual limit in effect for that prior determination period. For this purpose, the OBRA '93 annual limit is \$150,000 for the first day of the first plan year beginning on or after January 1, 1996.

Notwithstanding the above, employees who became participants in the University's retirement plan before the first day of the plan year beginning on or after January 1, 1996, will not be subject to this annual limit.

a. The participant will direct the portion of the combined retirement contribution that is to be remitted to each carrier, if two or more carriers are selected. The participant also must advise each retirement plan carrier of which investment options have been chosen and, if two or more options are selected with a single carrier, of the part of the retirement contribution that is to be allocated to each option.

b. A participant may change the ratio of allocating funds among retirement plan carriers and/or change options by completing the appropriate paper work. Changes in allocating contributions among the plan options is accomplished by the participant directly with the retirement plan carrier.

Retirement benefits purchased with the combined employee and University contributions shall become the property of individual participants immediately upon purchase. All benefits are for the sole purpose of providing retirement and/or death benefits.

If by applying the above-stated percentages there would be a violation of federal or state laws, as a result of the employer and/or employee contributions, then these percentages shall not be applied to the extent of violating applicable laws. In such cases, the amount of the employer contribution that cannot be forwarded to a retirement plan carrier shall be paid to the employee as a temporary salary increase for the balance of the calendar year.

4. Group V Plan - Termination of Contributions

Contributions on behalf of Group V personnel in the Retirement Plan

through December 31, 1987, shall terminate at the end of the fiscal year in which the employee attains age 65 or upon the earliest occurrence of any one or more of the following:

- a. Cessation of regular full-time employment
- b. Retirement

Beginning January 1, 1988, retirement plan contributions on behalf of Group V personnel shall terminate upon retirement or cessation of regular full-time employment.

F. President, Vice Presidents, and Chancellors

Annual contributions to the Retirement Plan shall be made on behalf of the President, each Vice President, and each Chancellor in an amount equal to the aggregate of employee and University contributions otherwise provided herein for Group I employees. Provided, however, that nothing contained herein shall be construed to impair the retirement entitlement of any President or Vice President employed in that capacity as of September 18, 1979. The Chairperson of the Executive Committee of the Board of Trustees, on behalf of the Board, shall execute contracts with the individual officers providing for the age of retirement of the officers and the other details of the arrangement authorized by this Retirement Plan.

III. Retirement Dates

A. Retirement Prior to Age 65

Retirement prior to age 65 generally is considered as early retirement. Early retirement is authorized when the combination of the employee's age and years of regular full-time service (with a minimum of 15 years of continuous service at the time of retirement) equals or exceeds the number 75. Regular part-time service will be counted on a pro rata basis. Employees taking advantage of this early retirement must provide written notification through normal administrative channels to their appropriate chancellor or vice president at least three months in advance of the desired retirement date.

1. An employee who is taking early retirement and who is eligible for benefits as provided in Section IV.B shall be permitted to retire with entitlement to all University benefits except supplemental retirement income if applicable (as calculated under Section IV.B) at the time of retirement. Any supplemental retirement income is subject to the following conditions:

- (a) Payment of supplemental retirement income shall not begin until the month in which the early retiree attains age 65;
- (b) Service credit for supplemental retirement income shall not accrue after the person retires;

(c) The salary used to determine supplemental retirement income shall be the basic annual salary for the last year of active employment;

(d) An early retiree who elects to proceed under this option shall not receive supplemental retirement benefits which exceed 20% of the basic annual salary received during the last year of active employment plus 1% of such salary for each year of active service to the University.;

(e) The computation of supplemental retirement income will be based on the assumptions in Section IV.B.6, except that the value of the single life annuity option is to be computed on the basis of the employee's age at the time early retirement commences; and

(f) Supplemental retirement benefits are not payable to survivors in the event the retiree dies prior to the attainment of age 65.

2. An employee who is taking early retirement but is not eligible for benefits as provided for in Section IV.B shall be permitted to retire with entitlement to all other University benefits.

B. Normal Retirement

The normal retirement date for all employees of the University of Kentucky employed on or after July 1, 1964, and those employed prior to that date who attain age 56 after June 30, 1964, is hereby established as the end of the University's fiscal year in which the employee attains age 65 or, upon administrative approval at least three months in advance, during the month in which the employee attains age 65.

C. Mandatory Retirement

1. General

With the exceptions described in Sections III.C.2 and III.C.3, no mandatory retirement date is applicable to employees of the University of Kentucky.

2. Executives

The mandatory retirement date, as an executive, for all employees of the University of Kentucky employed in bona fide executive or high policy making positions for two or more years prior to the attainment of age 65 and who are entitled to an immediate nonforfeitable annual retirement benefit from the University which equals or exceeds the amount per year specified by federal statute is hereby established as the end of the University's fiscal year in which the employee attains age 65.

3. Law Enforcement Officers

The mandatory retirement date for all law enforcement officers of the University of Kentucky shall be at the end of the University's fiscal year in which the employee attains age 70.

D. Disability Retirement

1. Prior to Normal Retirement Date

An employee with an extended period of service to the University may, at the discretion of the President, be permitted to retire prior to age 65, upon the employee's request if same is supported by a statement of a licensed physician certifying that the employee cannot engage in normal employment because of physical or mental disability. The benefit level in such a special case shall be related to the period of service and rate of compensation at retirement, and shall be conditioned upon continuance of the employee's total disability.

2. Subsequent to Normal Retirement Date

An employee who has elected to continue in employment beyond his or her normal retirement date, as established herein, may be required to retire in the event that the said employee's condition of health becomes such that it prevents the discharge of assigned duties and responsibilities.

3. In Conjunction with Long Term Disability Plan

An employee entitled to disability benefits after age 65 under the Long Term Disability Program, who qualifies for retirement and supplemental retirement income pursuant to this plan, will be eligible to retire and activate supplemental retirement income under the following conditions:

a. The amount of annual supplemental retirement income to be provided shall be determined according to the formula provided in Section IV.B.1;

b. University-sponsored disability plan benefits are to be deducted from supplemental retirement income; and

c. Supplemental retirement income will be adjusted at the time disability benefits cease according to the formula provided in Section IV.B.1.

IV. Retirement Benefits

A. Benefits Through Retirement Plan Carriers

Each participant is entitled, at retirement or upon electing participation in the

Phased Retirement Program under AR II-1.6-2, to activate any or all retirement benefits that have been acquired under the University of Kentucky Retirement Plan in accordance with procedures and rules established by the retirement plan carriers. In addition to lump sum or partial lump sum provisions, there will be both annuitized and nonannuitized methods of withdrawal. There may be variances in the retirement withdrawal options among the carriers. All retirement plan carriers do not offer the same withdrawal options.

B. Minimum Annual Retirement Benefit and University Supplemental Retirement Income

1. Group I Personnel

For each Group I employee (see II.A.1) who was age 40 or older prior to July 1, 1964, and who was employed by the University prior to July 1, 1964, and who retires pursuant to the provisions hereof, the University will provide an annual supplemental retirement income during the lifetime of the employee, where necessary, to assure a minimum annual retirement benefit. The minimum annual retirement benefit shall be the following percentage of the basic annual salary at the employee's retirement date (unless the employee is serving outside the country on a University project and, in which case, the salary to be used in the computation shall be the basic annual salary received at the University during the year immediately preceding such foreign service):

- a. 20% plus 1% for each year of eligible service to the University

plus

- b. For the employee who had attained age 56 prior to July 1, 1964, 1% for each full year by which retirement precedes the end of the fiscal year in which the employee's 70th birthday is attained.

or

For the employee who had attained age 51, but not age 56 prior to July 1, 1964, the following percentage:

<u>Age</u>	<u>Percentage</u>
51	1
52	2
53	3
54	4
55	5

In no event shall the applicable percentage exceed 20% plus 1%

for each year of eligible service. Any service credit allowed for years of part-time employment shall be computed on an appropriate fractional basis.

Annual supplemental retirement income, if any, shall be determined according to the following equation or formula:

$$\begin{array}{rcl} \text{Fixed Annual} & & \text{Computed1} & & \text{Computed2 Annual} \\ \text{Supplemental} & & \text{Minimum} & & \text{Retirement} \\ \text{Retirement} & = & \text{Annual} & - & \text{Benefit from} \\ \text{Benefit} & & \text{Retirement} & & \text{the Funded Plan} \\ & & \text{Benefit} & & \text{Accumulations} \end{array}$$

1Computed as explained above in this section

2Computed on the basis of assumptions in Section IV.B.6.a.

Under the conditions of this formula, an employee would receive supplemental retirement income only if the computed annual retirement benefit from the funded plan accumulations is less than the computed minimum annual retirement benefits to which the employee is entitled.

2. Group II Personnel

For each Group II employee (See II.B.1) who was employed prior to July 1, 1971, and who had attained age 40 as of that date and has at least 15 years of consecutive service as of the employee's retirement date the University will provide an annual supplemental retirement income during the lifetime of the employee where necessary to assure a minimum annual retirement benefit under the plan equal to 20% of the basic annual salary received by the participant at the retirement date plus 1% of that salary for each year of eligible service at the University. The amount of annual supplemental retirement income to be provided shall be determined according to the formula provided in IV.B.1.

Information regarding computation of the minimum annual retirement benefit and annual supplemental retirement income for the participant employed prior to July 1, 1964, and who has been continuously employed since that date, is provided in Section IV.B.1.

3. Group III Personnel

For each Group III employee (see II.C.1) who was employed prior to July 1, 1972, and who had attained age 40 as of that date and has at least 15 years of consecutive service at the employee's retirement date the University will provide an annual supplemental retirement income during the lifetime of the employee, where necessary, to assure a minimum annual retirement benefit under the plan equal to 20% of the basic annual salary received by the participant at the retirement date plus 1% of that salary for each year of eligible service at the

University. The amount of annual supplemental retirement income to be provided shall be determined according to the formula provided in IV.B.1.

Information regarding computation of the minimum annual retirement benefit and annual supplemental retirement income for the participant employed prior to July 1, 1964, and who had been continuously employed since that date, is provided in Section IV.B.1.

4. Group IV Personnel

For each Group IV employee (see II.D.1) who was employed by the University prior to January 1, 1973, and whose University employment includes periods of eligible service covered in part by the United States Civil Service Retirement Plan and in part by the Group IV Plan and/or by the older University unfunded plan, the University will provide an annual supplemental retirement income during the lifetime of the employee, where necessary, to assure a minimum annual retirement benefit equal to that which would have been received had all eligible service been exclusively under the University's unfunded retirement plan. The amount of supplemental retirement income, if any, to be provided shall be computed using the following equation or formula:

Fixed Annual Supplemental Retirement Income	=	Computed ¹ Minimum Annual Retirement Benefit	-	Computed ² Annual Benefit from the Funded Plan Accumulations Retirement	-	Computed ³ Annual Benefit from Civil Service
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1Computed as explained in Section IV.B.1.

2Computed on the basis of assumptions in Section IV.B.6.a.

3Computed on the basis of assumption in Section IV.B.6.b.

Under the conditions of this formula, an employee would receive supplemental retirement income only if the sum of the computed annual benefit from the Civil Service retirement plan plus the computed annual retirement benefit received from the funded plan accumulations is less than the computed minimum annual retirement benefit to which the employee is entitled.

If an employee eligible for Civil Service retirement benefits elects to retire at an age earlier than the normal University retirement age of 65, all retirement benefits will be calculated on the age attained at retirement rather than age 65. Any University supplemental retirement benefit due the employee will be deferred until the employee attains age 65.

The policy described herein applies to retirements which become effective on or after January 1, 1974. Employees whose service is in part with the University of Kentucky and in part with the U.S. Veterans Administration are not covered under the Group IV

Plan.

5. Group V Personnel

Employees covered under the Group V plan do not have minimum annual retirement benefit rights.

6. Assumptions in Computation of Supplemental Retirement Income

In determining whether participation in the Civil Service and/or the funded retirement plan(s) has produced the minimum annual retirement benefit described in Sections IV.B.1 through IV.B.4, the following assumptions shall be used:

a. Assumptions Applicable to Calculation of Benefit from the Funded Plan

(1) That all retirement contributions, both from the employee and the University, were invested in a TIAA annuity contract (regardless of the percentages actually allocated to the authorized retirement plan carriers), and

(2) That the retiring employee elected the single life annuity option the value of which is computed on the basis of the employee's age at time of normal retirement (regardless of the option(s) actually elected).

b. Assumption Applicable to Calculation of Benefit from Civil Service

That the retiring employee elected the single life annuity option (regardless of the option(s) actually elected).

7. Periods of Service

As used in this retirement plan, "period of service" means the number of years of full-time employment plus credit allowed for part-time employment plus periods in an approved leave of absence status. Periods of service and eligible service shall be computed to the nearest half-year.

The term "eligible service" means the number of years of full-time employment plus credit allowed for part-time employment plus periods in an approved leave of absence status plus periods in an approved disability status occurring prior to the retirement date. Eligible service also includes service that is derived from Staff Personnel Policy and Procedure regulations that govern utilization of temporary disability leave in conjunction with retirement

under this Administrative Regulation.

Only years of continuous service immediately preceding retirement shall be counted in computing periods of eligible service, except where a leave of absence approved by the Board of Trustees or its Executive Committee is of record. When an approved leave is for employment other than by the University, and when the absence is in excess of one year, years of absence in excess of one shall not be counted in determining supplemental retirement income, except by specific agreement at the time the leave is taken or in exceptional instances upon recommendation of the President and approval of the Board of Trustees. The period during which an employee receives benefits under the University's Total Disability Program will be included in the total period of service factor used in the computation of benefits under the non-funded retirement program.

An employee who has had a break in continuous service with the University and, except for the required minimum of fifteen years of continuous service at retirement, otherwise qualifies for retirement benefits may count total service at the University in order to establish a minimum annual retirement benefit, provided total service is equal to at least fifteen years. In any event, the last re-employment date must have preceded the establishment of the funded retirement plan for the group of employees, in which the retiring employee is or was eligible to participate.

8. Retirement Age

The retirement age required under each of the various subsections of Section III may be modified by the provisions of Staff Personnel Policy and Procedure regulations that govern utilization of temporary disability leave in conjunction with retirement age.

C. Retirement Benefits Offset(s)

Any University employee who, at the time of retirement, is eligible for payments by the University under provisions of the unfunded retirement plan or under provisions for supplemental retirement income associated with the funded retirement plan, shall have any continuing benefits that are payable after retirement under the Workers' Compensation Laws or Unemployment Compensation Laws deducted from the University benefit payment. It is intended that the employee receive the total amount of the greatest single benefit but in no event receive any combination of benefits that will exceed the greatest single benefit.

Reduction in University benefit rates as a result of Workers' Compensation payments and/or Unemployment Compensation payments will be adjusted in the event that all or any portion of such payments are discontinued.

D. Benefits in Case of Death Before Retirement

In the event of a University employee's death prior to the commencement of retirement benefits, an income or lump-sum benefit will be paid by the retirement plan carrier to the participant's designated beneficiary or beneficiaries according to policy established by the carrier.

V. Survivorship Option

A. Employees eligible for supplemental retirement income pursuant to Section II.F. or IV.B. may elect a spouse survivor option as to such benefits.

B. The election may be filed at any time prior to the month in which the employee attains age 65, or thereafter at any time prior to retirement.

C. If the survivor option is elected supplemental retirement income will be reduced to an amount which is the actuarial equivalent (as determined by TIAA at the time of retirement) of a joint and two-thirds benefit to the surviving spouse payable for life.

D. Election of this option is revocable prior to the beginning of the month in which the employee attains age 65 unless, at an earlier date, benefits have been paid or accrued pursuant to said election. In all other cases the election is irrevocable.

E. Election of this option may not be exercised posthumously.

F. Survivor benefits pursuant to the provisions of this section are not payable, even though an election has been filed prior to retirement, unless the employee has (1) attained normal retirement age or (2) has been granted disability retirement pursuant to Section III.D.1.

VI. Contributions During Leave of Absence With Pay

A participant on leave with pay shall make the employee contribution and receive the University contribution based on the amount of the salary that is paid through the University payroll. Contributions to a participant's retirement plan shall be made on the actual salary paid through the University payroll, not to exceed the annual salary.

VII. Contributions Under Uniformed Services Leave

A participant on Uniformed Services Leave shall have the ability to continue making retirement contributions to the plan.

VIII. Employment Beyond Retirement

Employees who have elected to retire from University service under any of the provisions hereof shall not be eligible for reemployment except to perform duties for which fee schedules have been approved or upon the specific prior action of the Board of Trustees granting

approval of the appointment.

AR II-1.6-1 - 58

PR 3D

Office of the President
December 11, 2001

Members, Board of Trustees:

APPROVAL OF DEFERRED COMPENSATION PLAN DOCUMENT

Recommendation: that the Board adopt the following two documents to establish a new deferred compensation plan for the University of Kentucky. Attachment A is the Plan Document that Teachers Insurance and Annuity Association (TIAA) and College Retirement Equities Fund (CREF) have filed with the United States Department of Labor to create a 457(b) Deferred Compensation Plan for TIAA-CREF. Attachment B is an Adoption Agreement that completes the Plan Document for the University and makes specific provisions for a 457(b) deferred compensation plan as a part of the University's Retirement Plan.

Background: The Economic Growth and Tax Relief Reconciliation Act of 2001 (EGTRRA) provides 403(b) participants with additional opportunities for tax deferred retirement contributions. Beginning January 1, 2002, employees may make voluntary contributions to a 457(b) plan in addition to the amounts deferred under the 403(b) plan. Prior to January 1, 2002, University of Kentucky employees had to make a choice as to where to direct any supplemental retirement contributions. Mandatory retirement contributions (matched by UK) are directed into a 403(b) plan administered by the University's retirement carriers (American Century, Fidelity and TIAA-CREF). Voluntary supplemental contributions may be directed into either a 403(b) plan or into a 457(b) or 401(k) plan offered through the Public Employees Deferred Compensation Authority. For most employees, the limits under 403(b) provided the maximum amount of tax deferral.

Before the tax law changed the amounts deferred under Internal Revenue Code Sections 403(b), 401(k) and 457(b) had to be coordinated, meaning that an employee could not tax defer a greater amount by making contributions under more than one of the Code sections. Effective January 1, 2002, the coordination of contributions under sections 403(b) and 457(b) will be eliminated. For example, an employee may make the maximum deferral under section 403(b) plan (\$11,000, voluntary and \$40,000, overall) and may contribute an additional amount to a 457(b) plan (\$11,000, with two catch-up provisions). In addition to the increased tax deferral opportunity, 457(b) plans are not subject to the "age 59 ½ rule; thus, funds can be withdrawn upon separation of service without penalty for employees who have not attained age 59 ½

This action will offer employees additional tax deferred contribution options available under IRS Section 457 with the University's retirement carriers. By offering its own 457(b) plan, the University will provide employees with access to the University's present retirement carriers and with seamless retirement contributions regardless of which code section [403(b) or 457(b)] employees choose for their tax deferred contributions. The University will continue to offer employees access to the Public Employees Deferred Compensation Authority 457(b) and 401(k) plans.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

ATTACHMENT A

***457(b) DEFERRED
COMPENSATION PLAN
OF
UNIVERSITY OF KENTUCKY***

**Teachers Insurance and Annuity Association
College Retirement Equities Fund
730 Third Avenue
New York, New York 10017**

INTRODUCTION

The purpose of the Plan is to provide deferred compensation for employees covered under the Plan.

The Plan document and the Adoption Agreement are designated as constituting parts of a plan intended to constitute an eligible deferred compensation plan within the meaning of Section 457 of the Internal Revenue Code of 1986, as amended, regulations issued thereunder and other applicable law.

An employer shall be eligible to adopt this Plan provided the employer is a State or local government, or a political subdivision, agency or instrumentality thereof.

ARTICLE I - DEFINITIONS

- 1.1 **Adoption Agreement** means the separate agreement that is executed by the Employer which sets forth the elective provisions of the Plan. The Adoption Agreement and this Plan document collectively constitute the Plan.
- 1.2 **Beneficiary** means the individual, trustee, estate or legal entity entitled to receive benefits under this Plan which become payable in the event of the Participant's death.
- 1.3 **Code** means the Internal Revenue Code of 1986, as amended. Reference to a specific section of the Code includes not only the section but any comparable section or sections of any future legislation that amends, supplements or supersedes the section.
- 1.4 **Compensation** means, unless otherwise set forth in the Adoption Agreement, the total amount of cash remuneration earned by an Employee for personal services rendered to the Employer for the calendar year. In all cases, Compensation shall include amounts deferred under this Plan and any reductions pursuant to a salary reduction agreement with the Employer with regard to any plan established under Code Section 457(b), 403(b), 401(k), 125 or 132(f).
- 1.5 **Effective Date** means the date set forth in the Adoption Agreement if this is a new plan.
- 1.6 **Elective Deferral** means the annual amount of Compensation that a Participant elects to defer pursuant to a properly executed Voluntary Salary Deferral Agreement.
- 1.7 **Eligible Deferred Compensation Plan or Eligible Plan** mean a plan that constitutes an eligible plan within the meaning of Section 457 of the Code.
- 1.8 **Eligible Employee** means any person who performs services for the Employer as an Employee and who, pursuant to the terms of the Adoption Agreement, is eligible to participate in this Plan. Eligible Employee shall not include (i) any individual who is deemed to be an independent contractor, as determined by the Plan Administrator in its sole and absolute discretion, other than a trustee of the Employer

who shall be deemed an Eligible Employee if so set forth in the Adoption Agreement, or (ii) any individual who is performing services for the Employer pursuant to an agreement that provides that such individual shall not be eligible to participate in this Plan or other benefit plans of the Employer. If any individual is not classified as an Eligible Employee by the Employer and is subsequently reclassified as an Eligible Employee by any overriding governmental or regulatory authority, such individual shall nevertheless be deemed to have become an Eligible Employee prospectively only, effective as of the date of such reclassification (and not retroactive to the date on which he or she was found to have first become eligible for any other purposes), and then only if he or she otherwise satisfies the requirements of this Plan.

- 1.9 **Employee** means any person who performs services for the Employer to whom compensation is paid on a regular basis. Employee shall also include any leased employee as defined in Section 414(n) of the Code. The term Employee shall not include any self employed individual or any individual classified by the Employer as an independent contractor, other than a trustee of the Employer, in accordance with its general administrative policies.
- 1.10 **Employer** means the entity that has adopted this Plan and is named in the Adoption Agreement.
- 1.11 **Includible Compensation** means compensation for services performed for the Employer which is currently includible in the Employee's gross income for the taxable year for Federal income tax purposes (W-2 earnings). Such term does not include any amount excludible from gross income under this Plan or any other plan described in Section 457(b) of the Code, or any amount excludible from gross income under Section 403(b) of the Code, Section 401(k) of the Code, Section 125 of the Code or Section 132(f) of the Code.
- 1.12 **Investment Options** means the accounts offered by TIAA-CREF under the TIAA Group Supplemental Retirement Annuity ("TIAA GSRA") and the CREF Group Supplemental Retirement Annuity ("CREF GSRA") and any other investment alternatives made available by any other Investment Sponsor and designated pursuant to the terms of this Plan document and the Adoption Agreement as being available for the purpose of allocating contributions, rollovers and/or transfers under this Plan. Unless the Employer otherwise elects pursuant to the terms of the Adoption Agreement, all such accounts offered by TIAA and CREF and any such accounts offered

by TIAA and CREF in the future will automatically be made available to all Participants in the future.

- 1.13 **Investment Sponsors** means TIAA-CREF and any other insurance company, regulated investment company, or other entity providing Investment Options under the Plan.
- 1.14 **Normal Retirement Age** means age 65 unless otherwise provided in the Adoption Agreement, provided that in no event shall Normal Retirement Age be earlier than the earliest date on which a Participant may retire under the Employer's basic retirement plan, if any, without the Employer's consent and receive immediate retirement benefits without incurring an actuarial or similar reduction in benefits.
- 1.15 **Participant** means an Eligible Employee or former Eligible Employee who shall have become a Participant in the Plan in accordance with Article II hereof. An Employee shall cease to become a Participant at such time as he or she no longer has any interest in contracts or accounts under the Plan. An "Active Participant" means a Participant who is an Employee other than one who is no longer an Eligible Employee.
- 1.16 **Plan** means the 457(b) Deferred Compensation Plan set forth herein and in the Adoption Agreement, as amended from time to time.
- 1.17 **Plan Administrator** means the individuals or committee appointed by the Employer to administer the Plan. If the Employer fails to make such appointment, the Employer shall be the Plan Administrator.
- 1.18 **Plan Year** means the twelve consecutive month period designated by the Employer in the Adoption Agreement.
- 1.19 **Restated Effective Date** means the date set forth in the Adoption Agreement if this is a restated plan.
- 1.20 **TIAA-CREF** means Teachers Insurance and Annuity Association and College Retirement Equities Fund.
- 1.21 **Voluntary Salary Deferral Agreement** means the agreement between a Participant and the Employer to defer receipt by the Participant of Compensation not yet paid or otherwise made available. Such agreement shall state the Elective Deferral amount to be withheld from a Participant's Compensation and shall become

effective no earlier than the first day of the month following execution of such agreement. Once executed, the Voluntary Salary Deferral Agreement shall be legally binding and irrevocable with regard to amounts paid or otherwise made available while the agreement is in effect.

ARTICLE II – PARTICIPATION IN THE PLAN

2.1 *Eligibility.*

- (a) If this is a new plan, any Employee who is classified as an Eligible Employee as of the Effective Date shall be eligible to participate in the Plan on the Effective Date. If this is a restated plan, each present Participant shall continue to be a Participant in the Plan. Any other Employee who is classified as an Eligible Employee as of the Restated Effective Date shall be eligible to participate in the Plan on the Restated Effective Date.
- (b) If this is a new plan, any Employee who is not eligible to participate in the Plan as of the Effective Date pursuant to paragraph (a) above, shall be eligible to participate in the Plan upon classification as an Eligible Employee. If this is a restated plan, any Employee who is not eligible to participate in the Plan as of the Restated Effective Date pursuant to paragraph (a) above, shall be eligible to participate in the Plan upon classification as an Eligible Employee.

- 2.2 ***Enrollment In Plan.*** To participate in the Plan, each Eligible Employee shall complete and return the applicable forms, including a Voluntary Salary Deferral Agreement, and submit them to the Employer or its designee. Enrollment shall be effective on or after the first day of the month following the date the enrollment forms are properly completed by the Employee and accepted by the Employer or its designee.

ARTICLE III – DEFERRAL OF COMPENSATION

- 3.1 ***Elective Deferrals.*** If elected pursuant of the terms of the Adoption Agreement, an Eligible Employee may elect to make Elective Deferrals to the Plan pursuant to a Voluntary Salary Deferral Agreement with the Employer. Any such Elective Deferrals may be

made up to the amount set forth in the Adoption Agreement. Subject to the rules of the applicable Investment Sponsor, each Eligible Employee who elects to contribute to the Plan pursuant to a Voluntary Salary Deferral Agreement must agree to voluntarily defer a minimum of twenty-five (\$25) per pay period.

- 3.2 ***Modifications to Amount Deferred.*** A Participant may elect to change his or her Elective Deferral rate with respect to future Compensation by submitting a new properly executed Voluntary Salary Deferral Agreement to the Employer or its designee. Such change shall take effect as soon as administratively practicable but not earlier than the first pay period commencing with or during the first month following receipt by the Employer or its designee of such Voluntary Salary Deferral Agreement.
- 3.3 ***Termination of Deferral.*** A Participant may terminate his or her election to have Compensation deferred by so notifying the Employer or its designee in writing. Such termination shall take effect as soon as administratively practicable, but not earlier than the first pay period commencing with or during the first month following receipt by the Employer or its designee of satisfactory written notice of such revocation.
- 3.4 ***Employer Non-Elective Contributions.*** If elected pursuant to the terms of the Adoption Agreement, the Employer shall make non-elective contributions (other than Employer matching contributions, if any, made pursuant to Section 3.5 below) to the Plan on behalf of each Active Participant. No Participant shall have the right to elect to receive any amount to be contributed pursuant to this Section 3.4 as cash in lieu of a contribution. All such non-elective contributions shall be made at the rate set forth in the Adoption Agreement.
- 3.5 ***Employer Matching Contributions.*** If elected pursuant to the terms of the Adoption Agreement, the Employer shall make matching contributions (other than Employer non-elective contributions, if any, made pursuant to Section 3.4 above) to the Plan on behalf of each Active Participant who makes Elective Deferrals to the Plan pursuant to a Voluntary Salary Deferral Agreement. No Participant shall have the right to elect to receive any amount to be contributed pursuant to this Section 3.5 as cash in lieu of a contribution. All such matching contributions shall be made at the rate set forth in the Adoption Agreement and shall be based on the amount of Elective Deferrals properly made by an Active Participant to the Plan during the year.
- 3.6 ***Maximum Deferral.***
- (a) Primary Limitation. The maximum amount that may be contributed to the Plan pursuant to Sections 3.1, 3.4 and 3.5 hereof on behalf of any Participant, other than by means of a rollover or transfer, shall be X or Y, as applicable. X shall apply to any taxable year beginning on or after January 1,

2002 and shall not exceed the lesser of: (1) the applicable dollar amount, as set forth in Code Section 457 (e)(15) (\$11,000 in 2002), or (2) 100% of the Participant's Includible Compensation for the taxable year. Y shall apply to any taxable year beginning on or before December 31, 2001 and shall not exceed the lesser of \$7,500, as adjusted, or 33-1/3% of the Participant's Includible Compensation for the taxable year.

- (b) General Catch-Up Limitation. For one or more of the last three taxable years ending before a Participant's attainment of Normal Retirement Age, the maximum amount that may be contributed to the Plan pursuant to Sections 3.1, 3.4 and 3.5 hereof on behalf of a Participant, other than by means of a rollover or transfer, shall be the lesser of X or Y. X shall be, for any taxable year beginning on or after January 1, 2002, twice the applicable dollar amount in effect under Code Section 457(b)(2)(A) or, for any taxable year beginning on or before December 31, 2001, X shall be \$15,000. Y shall be the sum of (i) the primary limitation amount determined under Section 3.6(a) above for the year, and (ii) that portion of the primary limitation amount determined under Section 3.6(a) above not utilized by the Participant in prior taxable years (beginning after 1978) in which the Participant was eligible to participate in the Plan. The general catch-up limitation is available to a Participant during one three-year period only. If the Participant uses the general catch-up limitation and then postpones retirement or returns to work after retirement, the general catch-up limitation shall not be available again.
- (c) Catch-Up Limitation For Individuals Age 50 or Over. Effective January 1, 2002, to the extent permitted by law, in the case of any individual who has attained the age of 50 before the close of a taxable year, the maximum Elective Deferral amount that may be contributed pursuant to Section 3.1 hereof for such taxable year shall be increased by the applicable amount set forth in Section 414(v) of the Code. Notwithstanding the immediately preceding sentence, contributions shall not be made in accordance with this Section 3.6(c) during any year in which Section 3.6(b) hereof applies.
- (d) Coordination With Other Plans. If a Participant participates in more than one Code Section 457(b) plan, the maximum deferral under all such plans shall not exceed the applicable limit described in Section 3.6(a) above (subject to modification

by the catch-up limitation described in Section 3.6(b) or (c) above). For years beginning on or before December 31, 2001, if a Participant participates in a plan described in Section 403(b) of the Code and, effective January 1, 1989, and for all years after such date and beginning on or before December 31, 2001, a plan described in Sections 401(k), 408(k) or 501(c)(18) of the Code, amounts deferred by the Participant to any such plan or plans and excluded from his or her gross income in any such taxable year under such plan or plans shall reduce the primary limitation amount described in Section 3.6(a) hereof and the catch-up limitation described in Section 3.6(b) hereof.

- (e) To the extent that any amount deferred hereunder for any taxable year exceeds the limitations of this Section 3.6, such excess shall be deemed to be a contribution under a plan described in Code Section 457(f). Such excess shall first be deemed to be attributable to contributions made pursuant to Section 3.5 hereof, and then to the extent required, attributable to contributions made pursuant to Section 3.4 hereof, and then, to the extent required, attributable to contributions made pursuant to a Voluntary Salary Deferral Agreement under Section 3.1 hereof.

3.7 ***Vesting.*** A Participant shall be fully vested at all times in his or her accrued benefits under this Plan. Such accrued benefits shall be non-forfeitable at all times.

3.8 ***Transfers of Funds from Another Plan.*** If so provided in the Adoption Agreement and subject to any limitations set forth in the Adoption Agreement, a Participant may elect to make, and each Investment Sponsor shall accept, subject to the rules of such Investment Sponsor, contributions which are transferred directly from any other eligible deferred compensation plan. Notwithstanding the foregoing, transfers shall be permitted only to the extent permitted by law. Such funds and the accumulation generated from them shall be fully vested and nonforfeitable at all times.

3.9 ***Acceptance of Rollover Contributions.*** On or after January 1, 2002, if so provided in the Adoption Agreement and if a Participant is entitled to receive, and elects to receive, a distribution from another eligible deferred compensation plan maintained by a State, political subdivision of a State or any agency or instrumentality of a State or political subdivision of a State, or from a plan qualified under Section 401(a) or 403(a) of the Code, or a plan described in Section 403(b)

of the Code, that is in each case an eligible rollover distribution under the Code, each Investment Sponsor shall, subject to the rules of such Investment Sponsor, accept such amount under this Plan, provided that the rollover to this Plan is made either directly from another such plan or by the Participant within sixty days of the receipt of the distribution. Any such amounts rolled over from any such plan shall be accounted for separately upon acceptance as a rollover under this Plan. Such funds and the accumulation generated from them shall be fully vested and nonforfeitable at all times.

ARTICLE IV – DISTRIBUTIONS

4.1 ***Eligibility for Payment.*** Distribution of benefits from the Plan shall be made no earlier than: (i) for distributions on or after January 1, 2002, Severance from Employment, or for distributions on or before December 31, 2001, Separation from Service, (ii) the calendar year in which the Participant attains age 70-1/2 or (iii) in the event of an approved financial hardship due to an Unforeseeable Emergency, as defined below.

- (a) “Severance from Employment” and “Separation from Service” mean the termination of a Participant's employment with the Employer for any reason including the Participant's death, disability or retirement. Effective for distributions on or after January 1, 2002, a Participant will be deemed to have incurred a Severance from Employment without regard to whether such Participant continues in the same job for a different employer following a liquidation, merger, consolidation or other similar transaction.
- (b) “Unforeseeable Emergency” means a severe financial hardship to the Participant resulting from a sudden and unexpected illness or accident of the Participant or of a dependent of the Participant, loss of the Participant's property due to casualty, or other similar extraordinary and unforeseeable circumstances arising as a result of events beyond the control of the Participant. The circumstances that will constitute an Unforeseeable Emergency will depend upon the facts of each case, but, in any case, payment may not be made to the extent that such hardship is or may be relieved:

- (1) Through reimbursement or compensation by insurance or

otherwise;

- (2) By liquidation of the Participant's assets, to the extent that liquidation of such assets would not itself cause severe financial hardship; or
- (3) By cessation of deferrals under the Plan.

The need to send a Participant's child to college or the desire to purchase a home shall not be considered to be an Unforeseeable Emergency.

4.2 ***Distribution Due to Unforeseeable Emergency.*** A Participant may request a distribution due to an Unforeseeable Emergency by submitting a written request to the Employer or its designee, accompanied by evidence to demonstrate that the circumstances being experienced qualify as an Unforeseeable Emergency. The Employer or its designee shall have the authority to require such evidence, as it deems necessary to determine if a distribution shall be warranted. If an application for a distribution due to an Unforeseeable Emergency is approved, the distribution shall be limited to an amount sufficient to meet the Unforeseeable Emergency.

4.3 ***Commencement of Distributions.***

- (a) For distributions on or after January 1, 2002, a Participant may commence distribution of benefits at any time following Severance from Employment.
- (b) For distributions on or before December 31, 2001, a Participant shall commence distribution of benefits on the date selected by the Participant during the sixty day period following Separation from Service, unless the Participant subsequently makes a one time irrevocable written election in accordance with Code Section 457(e)(9)(B) to defer commencement of benefits to a specified later date. In the event a Participant fails to make an election during the sixty day period following Separation from Service, the Participant shall receive a lump sum distribution within ninety days following Separation from Service.
- (c) Notwithstanding the provisions of Sections 4.3(a) and 4.3(b) above, in no event shall distribution of benefits commence with respect to any Participant later than the April 1st of the

calendar year following the calendar year in which the Participant attains age 70-½ or if later, the April 1st of the calendar year following the calendar year in which the Participant separates from service.

Notwithstanding anything in this Section 4.3 to the contrary, for years beginning on or before December 31, 2001, if the total amounts held under this Plan for a Participant total \$5,000 or less, the Participant has experienced a Separation from Service and the Participant may not defer additional amounts under the Plan, the Participant may at any time elect a lump sum distribution of his or her benefits, and such distribution shall occur as soon as practicable after the Participant files a written request for such a distribution with the Employer or its designee.

4.4 *Distribution Requirements.*

- (a) General Rule. This Section 4.4 is intended to comply with Code Section 457(d) and the regulations issued thereunder. To the extent that there is any conflict between the provisions of Code Section 457(d) and the regulations issued thereunder and any other provision in this Plan, the provisions of Code Section 457(d) and the regulations issued thereunder will control.
- (b) Limits on Income Options. Distributions, if not made in a single lump sum shall be made over a period that does not exceed:
 - (1) the life of the Participant;
 - (2) the lives of the Participant and his or her designated Beneficiary;
 - (3) a period certain not extending beyond the life expectancy of the Participant; or
 - (4) a period certain not extending beyond the life expectancies of the Participant and his or her designated Beneficiary.

Any distribution on or before December 31, 2001 payable over a period of more than one year shall be made only in substantially non-increasing amounts paid not less frequently than annually.

- (c) Minimum Amounts to be Distributed. If a Participant's retirement payments are to be distributed in a form other than a single lump sum, the amount to be distributed each year, and the times those amounts are paid, shall satisfy the requirements specified in Section 401(a)(9) of the Code and the regulations issued thereunder.
- (d) Death Distribution Provisions.
 - (1) Death After Distributions Begin. If the Participant dies after distribution of his or her interest has commenced, the remaining portion of such interest shall continue to be distributed at least as rapidly as the method of distribution being used prior to the Participant's death.
 - (2) Death Before Distributions Begin. If the Participant dies before distribution of his or her interest has commenced, distribution of the Participant's entire interest shall be completed by the December 31 of the calendar year containing the fifth anniversary of the Participant's death, except to the extent that the recipient of such benefits elects to receive distributions in accordance with (i) or (ii) below:
 - (i) If any portion of the Participant's interest is payable to a designated Beneficiary, distributions may be made in substantially equal annual payments over the life of the designated Beneficiary, or over a period certain not extending beyond the life expectancy of the designated Beneficiary, and commencing no later than the December 31 of the calendar year immediately following the calendar year in which the Participant died;
 - (ii) If the designated Beneficiary is the Participant's surviving spouse, the date distributions are required to begin in accordance with (i) above shall be the December 31 immediately following the calendar year in which the Participant died or, if later, the December 31 of the calendar year in which the Participant would have attained age 70-½

If the Participant has not made an election pursuant to this Section 4.4 by the time of his or her death, the Participant's designated Beneficiary must elect the method of distribution no later than the earlier of (1) the December 31 of the calendar year in which distributions would be required to begin under this Section 4.4, or (2) the December 31 of the calendar year which contains the fifth anniversary of the date of death of the Participant. If the Participant has no designated Beneficiary, or if the designated Beneficiary does not elect a method of distribution, distribution of the Participant's entire interest must be completed by the December 31 of the calendar year containing the fifth anniversary of the Participant's death.

- (3) For purposes of Section 4.4(d), if the surviving spouse dies after the Participant, but before payments to such spouse begin, the provisions of Section 4.4(d) with the exception of paragraph (ii) shall be applied as if the surviving spouse were the Participant.
- (4) For purposes of this Section 4.4, any amount paid to a child of the Participant will be treated as if it had been paid to the surviving spouse if the amount becomes payable to the surviving spouse when the child reaches the age of majority.
- (5) For the purposes of this Section 4.4, distribution of a Participant's interest is considered to begin on the Participant's required beginning date (or, if applicable, the date distribution is required to begin to the surviving spouse). If distribution in the form of an annuity irrevocably commences to the Participant before the required beginning date, the date distribution is considered to begin is the date distribution actually commences.

4.5 *Plan-to-Plan Transfers/Direct Rollovers.*

- (a) Notwithstanding any provision of the Plan to the contrary, to the extent permitted by law, all or any part of the account balance of a Participant in the Plan shall be transferred to another eligible deferred compensation plan in which the former Participant has become a participant, if: (i) the plan receiving such amounts provides for

acceptance of such transfers and (ii) the Participant gives written direction to the Employer or its designee in a satisfactory form to make such transfer.

- (b) Notwithstanding any provision of the Plan to the contrary that would otherwise limit a distributee's election under this Section 4.5(b), a distributee may elect, to the extent permitted by law, at the time and in the manner prescribed by the Employer or its designee, to have any portion of an eligible rollover distribution paid directly to an eligible retirement plan specified by the distributee as direct rollover in accordance with Section 457(e)(16) of the Code.

ARTICLE V – FORMS OF PAYMENTS

- 5.1 ***Election.*** Subject to the rules of the Investment Sponsor, a Participant or Beneficiary may elect the form of distribution of his or her benefits and may revoke that election, with or without a new election, at any time at least thirty days before his or her benefits begin, or such other time as permitted by the Employer or its designee, by notifying the Employer or its designee in writing of his or her election.

- 5.2 ***Forms of Payments.*** The forms of benefit payments shall include:

- (a) **Lump Sum.** A single lump sum payment of the entire balance credited to a Participant's account.
- (b) **Single Life Annuity.** An annuity payable in equal installments for the life of the Participant that terminates upon the Participant's death.
- (c) **Joint Life Annuity.** An annuity payable in equal installments for the joint lives of the Participant and his or her Beneficiary.
- (d) **Fixed Period Payments.** Payments for a fixed period of not less than five years and not more than thirty years.

All forms of payments shall be subject to the limitations of the applicable Investment Sponsor.

- 5.3 ***Failure to Make Election.*** If a Participant or Beneficiary fails to elect a form of payment in a timely manner, benefits shall be paid in a

lump sum.

ARTICLE VI – BENEFICIARY INFORMATION

- 6.1 **Designation.** A Participant shall have the right to designate a Beneficiary, and amend or revoke such designation at any time prior to commencement of benefits, in writing, in a form approved by the Employer or its designee. Such designation, amendment or revocation shall be effective upon satisfactory receipt by the Employer or its designee.
- 6.2 **Failure to Designate a Beneficiary.** Benefits shall be paid to the Participant's estate if, prior to the date a Participant commences to receive payment of benefits under the Plan, the Participant has not designated a Beneficiary or no designated Beneficiary survives the Participant and benefits are payable following the Participant's death.

ARTICLE VII – PLAN ADMINISTRATION

- 7.1 **Plan Administration.** The Employer shall be responsible for appointing a Plan Administrator to administer the Plan. The Plan Administrator may authorize a committee comprised (to the extent possible) of not less than three persons, to act collectively with regard to administration of the Plan. The Plan Administrator shall have sole discretionary responsibility for the interpretation of the Plan, enrolling Participants in the Plan, sending contributions on behalf of each Participant to the applicable Investment Sponsor, and for performing other duties required for the operation of the Plan. Any action taken on any matter within the discretion of the Plan Administrator shall be made in its sole and absolute discretion based on this Plan document and the Adoption Agreement, and shall be final, conclusive, and binding on all parties. In order to discharge its duties hereunder, the Plan Administrator shall have the power and authority to delegate ministerial duties and to employ such outside professionals as may be required for prudent administration of the Plan. The Plan Administrator shall also have authority to enter into agreements on behalf of the Employer necessary to implement this Plan.
- 7.2 **Accounts and Expenses.** The Employer shall establish and maintain contracts and/or accounts on behalf of each Participant. Such Participant's contracts and/or accounts shall be valued at fair market

value as of the last day of the Plan Year and such other dates as are necessary or desired for the proper administration of the Plan. Each Participant shall receive a written notice of his or her contract value or account balance following such valuation or valuations, provided that such notice shall not be required to be given more than one time per calendar quarter. Each Participant's contract value and account balance shall reflect the aggregate of his or her aggregate Elective Deferrals, Employer non-elective contributions, Employer matching contributions, transfers and rollovers, if any, and shall also reflect investment experience credited to such contracts and/or accounts and shall reflect expense charges applied to, and distributions made from, such contract and/or account.

- 7.3 ***Investments.*** A Participant may request that amounts contributed to the Plan on his or her behalf be allocated among the available Investment Options established under the Plan. The Investment Options shall include the Investment Options made available by TIAA-CREF and may, in addition, include Investment Options made available by additional approved Investment Sponsors. The initial allocation request may be made at the time of enrollment. Once made, an investment allocation request shall remain in effect for all subsequent contributions until changed by the Participant. A Participant may change his or her investment allocation by submitting a written request to the Employer or its designee on such form as may be required by the Employer or its designee. Such changes shall become effective as soon as administratively feasible after the Employer or its designee receives a satisfactory written request. Although the Employer intends to invest contributions according to the Participant's requests, it reserves the right to invest without regard to such requests.

ARTICLE VIII – AMENDMENT OR TERMINATION OF PLAN

- 8.1 ***Amendment and Termination.*** While it is expected that this Plan will continue indefinitely, the Employer reserves the right at any time to amend, otherwise modify, or terminate the Plan without any liability for such action. No amendment shall increase the duties or responsibilities of any Investment Sponsor without its prior consent thereto in writing. In the event of a termination of the Plan, the Employer shall notify Participants of the termination.

ARTICLE IX – MISCELLANEOUS

- 9.1 ***Plan Non-Contractual.*** Nothing contained in this Plan will be construed as a commitment or agreement on the part of any person to continue his or her employment with the Employer, and nothing contained in this Plan will be construed as a commitment on the part of the Employer to continue the employment or the rate of compensation of any person for any period, and all Employees of the Employer will remain subject to discharge to the same extent as if the Plan had never been put into effect.
- 9.2 ***Claims of Other Persons.*** The provisions of the Plan will in no event be construed as giving any Participant or any other person, firm, corporation or other legal entity, any legal or equitable right against the Employer, its officers, employees, directors or trustees, except the rights as are specifically provided for in this Plan or created in accordance with the terms and provisions of this Plan.
- 9.3 ***Assignments.*** No benefit or interest available hereunder will be subject to assignment or alienation, either voluntarily or involuntarily, other than as provided under Section 401(a)(13) of the Code. The preceding sentence shall also apply to the creation, assignment, or recognition of a right to any benefit payable with respect to a Participant pursuant to a domestic relations order, unless, effective with respect to distributions made on or after January 1, 2002, such order is determined to be a qualified domestic relations order, as defined in Section 414(p) of the Code.
- 9.4 ***Contracts.*** The terms of each arrangement pursuant to which an Investment Option is offered hereunder, the terms of a trust in which an Investment Option may be held, and any contract issued on behalf of a Participant or certificate issued to a Participant, are a part of the Plan as if fully set forth in the Plan document and the provisions of which are hereby incorporated by reference into the Plan. In the case where there is any inconsistency or ambiguity between the terms of the Plan and those of any contract, certificate or trust, if any, funding the Plan, the terms of the Plan control.
- 9.5. ***Pronouns.*** Whenever used herein, the masculine pronoun is deemed to include the feminine. The singular form, whenever used herein, shall mean or include the plural form where applicable, and vice versa.
- 9.6. ***Representations.*** The Employer does not represent or guarantee that any particular Federal or State income, payroll, personal property

or other tax consequence will result from participation in this Plan. A Participant should consult with professional tax advisors to determine the tax consequences of his or her participation. Furthermore, the Employer does not represent or guarantee investment returns with respect to any Investment Options and shall not be required to restore any loss which may result from such investment or lack of investment.

- 9.7. **Severability.** If a court of competent jurisdiction holds any provision of this Plan to be invalid or unenforceable, the remaining provisions of the Plan shall continue to be fully effective.
- 9.8. **Applicable Law.** This Plan shall be construed in accordance with applicable Federal law and, to the extent otherwise applicable, the laws of the State in which the Employer is located.

ATTACHMENT B

**ADOPTION AGREEMENT
FOR THE
457(b) DEFERRED COMPENSATION PLAN**

The provisions you select in completing this Adoption Agreement will apply to your plan as if they were set forth in the Plan document. In completing this Adoption Agreement, you are urged to consult with your attorney or other tax advisor. TIAA-CREF does not and cannot provide legal or tax advice. Failure to properly fill out the Adoption Agreement may result in the failure of your plan to satisfy the requirements of an eligible deferred compensation plan under Section 457(b) of the Internal Revenue Code of 1986, as amended.

1. **General Information**

- (A) Name of Employer: **University of Kentucky**
- (B) Address of Employer: **University of Kentucky
Lexington, Kentucky 40506**
- (C) Name of Plan: **University of Kentucky 457 (b) Plan**
- (D) Federal Tax ID
Number of Employer: **61-600-1218**
- (E) Plan Administrator's
Name and Address: **University of Kentucky
Scovell Hall
Lexington, Kentucky 40506**

2. **Compensation** (Section 1.4)

- ☐ Select this Box 2 and complete this Item only if it is desired that Compensation is to be defined as other than total cash remuneration. Instead, Compensation will be defined as follows:

3. **Effective Date / Restated Effective Date**
(Sections 1.5 and 1.19)

- (A) ☒ The Plan is a new plan. The Effective Date is January 1, 2002.
- (B) ☐ The Plan is a restated plan. The Restated Effective Date is _____. The Plan's initial Effective Date was _____.

4. **Eligible Employee** (Section 1.8)

- (A) ☐ All Employees of the Employer.
- (B) ☒ All Employees of the Employer, other than the following excluded Employees:
- (1) ☒ Leased Employees
- (2) ☐ Salaried Employees

(3) ☐ Hourly Employees

(4) ☐ Employees whose employment is governed by the terms of a collective bargaining agreement between Employee representatives (within the meaning of Code Section 7701(a)(46)) and the Employer, under which retirement benefits were the subject of good faith bargaining.

(5) ☒ Other: Students

(C) ☐ Notwithstanding the election(s) set forth in Box 4(A) and Box 4(B) above, if this Box 4(C) is selected Eligible Employee will include trustees of the Employer.

5. **Investment Options** (Section 1.12)

Investment Options shall include a TIAA Group Supplemental Retirement Annuity Contract ("TIAA GSRA") and a CREF Group Supplemental Retirement Annuity Contract ("CREF GSRA").

(A) ☒ The following additional Investment Options will also be available:
Fidelity Investments
American Century

(B) ☐ By selecting this Box 5(B), all accounts offered under the TIAA GSRA and the CREF GSRA as of the date this Adoption Agreement is executed, and such accounts to be offered thereunder in the future, will not be made available under this Plan. Instead, the following limitations will apply:

6. **Normal Retirement Age** (Section 1.14)

☐ If this Box 6 is selected, Normal Retirement Age will not be age 65. Instead, Normal Retirement Age will be age ____.

7. **Plan Year** (Section 1.18)

Plan Year means:

(A) ☒ The calendar year.

- (B) ☐ The Plan Year is a twelve (12) month period beginning on _____ and ending on the following _____.
- (C) ☐ The initial Plan Year is a short Plan Year beginning on _____ ending on _____. Thereafter, the Plan Year will be the twelve (12) month period selected in Box 7(A) or Box 7(B) above.

8. **Elective Deferrals (Section 3.1)**

- (A) ☒ Elective Deferrals may be made to the Plan up to the maximum amount permitted by law.
- (B) ☐ Elective Deferrals may be made to the Plan up to a maximum amount equal to _____, provided that in no event may such deferrals exceed the maximum amount permitted by law.
- (C) ☐ Elective Deferrals may not be made to the Plan.

9. **Employer Non-Elective Contributions (Section 3.4)**

- (A) ☐ The Employer will make non-elective contributions to the Plan on behalf of each Active Participant in an amount equal to _____% of the Participant's Compensation.
- (B) ☐ The Employer will make non-elective contributions to the Plan on behalf of each Active Participant in an amount equal to:

- (C) ☐ The Employer will make non-elective contributions to the Plan as follows:

- (D) ☒ The Employer will not make any non-elective contributions to the Plan.

10. **Employer Matching Contributions (Section 3.5)**

- (A) ☐ The Employer will make matching contributions to the Plan on behalf of each Active Participant who makes an Elective Deferral pursuant to a Voluntary Salary Deferral Agreement in an amount equal to _____% of the Participant's Compensation that is contributed to the Plan for the Plan Year.

(B) ☐ The Employer will make matching contributions to the Plan on behalf of each Active Participant who makes an Elective Deferral pursuant to a Voluntary Salary Deferral Agreement in an amount equal to _____% of the first _____% of the Participant's Compensation that is contributed to the Plan for the Plan Year.

(C) ☐ The Employer will make matching contributions to the Plan as follows:

(D) ☒ The Employer will not make any matching contributions to the Plan.

11. **Transfers** (Section 3.8)

(A) ☒ Transfers may be made to the Plan from any other eligible deferred compensation plan to the extent permitted by law.

(B) ☐ Transfers may be made to the Plan from another eligible deferred compensation plan, subject to the following limitations:

(C) ☐ Transfers may not be made to this Plan from any other eligible deferred compensation plan.

12. **Rollover Contributions** (Section 3.9)

(A) ☒ Rollovers to the Plan are permitted to the extent permitted by law.

(B) ☐ Rollovers to the Plan are permitted to the extent permitted by law, subject to the following limitations:

(i) ☐ The following amounts may not be rolled over to the Plan:

(C) ☐ Rollovers to the Plan are not permitted.

By executing this Adoption Agreement, the Employer adopts the 457(b) Deferred Compensation Plan described herein and in the Plan document. The selections and specifications contained in this Adoption Agreement together with the terms, provisions and conditions provided in the Plan document constitute the Plan.

It is understood that TIAA-CREF is not a party to the Plan and shall not be responsible for any tax or legal aspects of the Plan. The Employer assumes responsibility for these matters.

The Employer acknowledges that it has counseled, to the extent necessary, with its attorney or other tax advisor. The obligations of the Investment Sponsors shall be governed solely by the provisions of its contracts and policies. TIAA-CREF shall not be required to inquire into any action taken by the Employer or the Plan Administrator and shall be fully protected in taking, permitting or omitting any action on the basis of the actions of the Employer or the Plan Administrator. TIAA-CREF shall incur no liability or responsibility for carrying out actions as directed by the Employer or the Plan Administrator.

IN WITNESS WHEREOF, this Adoption Agreement has been executed this ____ day of _____, 20__.

Employer: **University of Kentucky**

By: _____

Title: _____

PR 3E

Office of the President
December 11, 2001

Members, Board of Trustees:

ART MUSEUM DIRECTOR EMERITA TITLE
BE CONFERRED UPON HARRIET FOWLER

Recommendation: that Dr. Harriet Fowler be named Art Museum Director Emerita in recognition of her long service and dedication to the University of Kentucky Art Museum.

Background: In 1981, Dr. Fowler was employed as Curator of the University of Kentucky Art Museum and served in that capacity until 1990. In 1990, Dr. Fowler was appointed as Interim Director of the Art Museum until 1991 when she was appointed Director of the University of Kentucky Art Museum. Dr. Fowler served in that capacity until her retirement in June 2001.

Dr. Fowler dedicated her years of service to making work of arts available to all Kentuckians, especially school children. Dr. Fowler promoted the Arts to Kentucky schools and conducted numerous tours for school children. During Dr. Fowler's tenure with the UK Art Museum, it received many acquisitions; most notably, the Proskauer Bequest received in 1992 in which the Museum received more than 180 works of modernist paintings and sculpture (including works by Dubuffet, Gorky, Calder, and Avery), a selection of masterworks of art glass (including works by Tiffany, Gallé and the Daum family), an international assortment of chess sets, a selection of toys, weathervanes, and whirligigs by American folk artists. In 1993, the Art Museum received the bequest of Robert C. May that included a gift of photographs by nationally prominent American photographers and an endowment fund to support additional acquisitions and programs which have brought national renown to the museum.

Dr. Fowler was instrumental in attracting exhibitions to the UK Art Museum, most notably, 1999-2000, *A Place Not Forgotten: Landscapes of the South*, this was a collaborative exhibition with the Morris Museum of Art, Augusta, Georgia, underwritten in part by the Museum Loan Network. In 1999, the exhibition *Bluegrass Collectors II*, was composed of art work in regional private collections. In 1993, the exhibition *Photographs by Marvin and Morgan Smith* was works by twin African-American, Lexington-born artists who achieved prominence for their documentation of life in Harlem in the 1930s and '40s. And in 1992, the exhibit, *With Joy and Wonder: Ante-bellum Taste in the Bluegrass* was a bicentennial gathering of art and decorative art from public and private collections.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PR 3F

Office of the President
December 11, 2001

Members, Board of Trustees:

DIRECTOR EMERITUS OF THE UNIVERSITY PRESS OF KENTUCKY
BE CONFERRED UPON KENNETH CHERRY

Recommendation: that the title of Director Emeritus of the University Press of Kentucky be conferred upon Kenneth Cherry in recognition of his long service and dedication to the University Press of Kentucky.

Background: In 1978, Mr. Cherry was named the second Director of the University Press of Kentucky since its inception in 1969. The University Press of Kentucky is a consortium that includes the University of Kentucky, the University of Louisville, Morehead State University, Eastern Kentucky State University, Western Kentucky State University, Kentucky State University, Murray State University, Northern Kentucky State University, Bellarmine University, Transylvania University, Berea College, Centre College, the Kentucky Historical Society, and the Filson Club Historical Society in Louisville. In 1978 when Mr. Cherry was named Director, the University Press of Kentucky then had a staff of 19 employees and published between 23 and 26 titles a year. In fiscal year 2000-01, the University Press grew to a staff of 22 and it now publishes 60 titles a year. Those titles include The Encyclopedia of Kentucky, the Kentucky Atlas, and the Encyclopedia of Louisville among many others.

In his role as Director, Mr. Cherry also established the Thomas D. Clark Endowment and was responsible for raising \$2.4 million in funds for the Endowment. The Endowment income ensures publication of several items a year.

Mr. Cherry has distinguished himself and brought great distinction to the University of Kentucky and the Commonwealth of Kentucky during his tenure as Director of the University Press of Kentucky. After 23 years of service, Mr. Cherry retired on June 30, 2001.

Action Taken: ☒ Approved ☐ Disapproved ☐ Other _____

PR 3G

Office of the President
December 11, 2001

Members, Board of Trustees:

RENAMING SPORTS CENTER DRIVE

Recommendation: that Sports Center Drive on the University Campus be renamed The Jerry Claiborne Way.

Background: Jerry D. Claiborne, a native of Hopkinsville, was a distinguished alumnus of the University of Kentucky. As a student, he majored in mathematics, lettered three years in football and was a member of Lances, Phi Beta Kappa and Omicron Delta Kappa honoraries. He was the football coach at UK from 1982 and 1989, leading the Wildcats to two bowl games. Mr. Claiborne coached and lived with integrity and honesty. He believed in discipline for himself and for his players, and he played by the rules. He was fiercely competitive as a player and as a coach. He still holds the Southeastern Conference record for interceptions in a season. He was President of the National Football Coaches Association, which speaks to the respect his peers had for him. He was inducted into the College Football Hall of Fame in 1999. During his 40-year career, 27 years as head coach (the last eight years at UK), Mr. Claiborne compiled a career record of 179-122-8 (59.4 percent), ranking him 21st among Division I coaches. He compiled a winning record of 6-5 in his final season.

In 1989 UK became the first Southeastern Conference Institution to win the College Football Association Academic Achievement Award for graduating over 90 percent of the 1983 recruiting class; in 1988 UK finished second with a 90.5 percent graduation rate. Mr. Claiborne placed more players (17) than any other SEC school on the All-SEC academic squad and two of his players were named to the AP all-SEC team. Mr. Claiborne received the Robert R. Neyland Memorial Trophy from the Knoxville (TN) Quarterback Club for his contribution to college athletics. Mr. Claiborne passed away on September 24, 2000.

The University of Kentucky Alumni Association requested this change that was supported by the Committee on Naming University Buildings.

Action Taken: ☒ Approved ☐ Disapproved ☐ Other _____

PR 3H

Office of the President
December 11, 2001

Members, Board of Trustees:

NAMING OF UNIVERSITY BUILDING

Recommendation: that the new recreation building, presently under construction, and located adjacent to the Seaton Building be named the Bernard Johnson Student Recreation Center.

Background: Bernard Johnson, known as “Skeeter” Johnson committed most of his life to the University of Kentucky. He received his BA degree from UK in 1946 and his MS in 1949. Mr. Johnson began as an instructor in the Department of Health, Physical Education and Recreation (HPER) in 1946 and served for 31 years during which time he taught 39 different courses. He served as the Director of HPER Professional Curriculum, Director of the Recreation Curriculum and Director of the Departmental Service Program within HPER. Additionally he served as the Director of the UK Troupers for nearly 30 years. Mr. Johnson also served as the Director of the Campus Recreation Intramural Program and ultimately he became the Director of the UK Campus Recreation Program and served in that capacity for 13 years. Although he officially retired in 1982, Mr. Johnson continued to teach and serve the University community. He served as the leader and instructor of the Gerifitness Program that provided physical fitness programming for the UK Donovan Scholars Program and for older adults in the Lexington area and within the Commonwealth of Kentucky. The Governor of the Commonwealth appointed Mr. Johnson to the Pacesetters Association and he traveled throughout the Commonwealth promoting physical activity for older adults as a leader and role model. Mr. Johnson received numerous awards and honors and was recognized for his outstanding service to the University, local community and the Commonwealth of Kentucky. Among others, he received the Top Ten Teachers Award of the University of Kentucky, the Distinguished Service Medal for Youth from the Lexington YMCA, and the Kentucky Association from the Central Kentucky Officials Association. He also served on the Board of Directors for the YWCA for 22 years and on the Board of Directors for Spindletop Hall, Inc. He was active in the Bluegrass State Games and the Kentucky Special Olympics Program. Mr. Johnson remained professionally active and committed to helping others until his death in the spring of 2001.

In accordance with University policy AR II-1.1-6, the Committee on Naming University Buildings has made its recommendation to the Senior Vice President for Administration who recommends to the President and the Board of Trustees that the new recreation building be named the Bernard Johnson Student Recreation Center.

Action Taken: ☒ Approved ☐ Disapproved ☐ Other _____

PR 3I

Office of the President
December 11, 2001

Members, Board of Trustees:

NAMING OF UNIVERSITY BUILDING

Recommendation: that the College of Medicine's main building be named the William R. Willard Medical Education Building.

Background: William R. Willard was the first Dean of the College of Medicine. Many of his contributions, particularly his commitment to excellence in medical education, continue until this day. His accomplishments were recognized in 1972 by the Association of American Medical Colleges when he was named a recipient of the Abraham Flexner Award, its highest honor. Frank G. Dickey, a former President of the University of Kentucky, commented that Bill Willard was a "man of integrity, unselfishness, and rare judgment; . . . he developed the concept and the physical institution of the health sciences center integrated into the surrounding community." In accordance with University policy AR II-1.1-6, the Committee on Naming University Buildings has made its recommendation to the Senior Vice President for Administration who recommends to the President and the Board of Trustees that the College of Medicine's main building be named the William R. Willard Medical Education Building.

Action Taken: ☒ Approved ☐ Disapproved ☐ Other _____

PR 3J

Office of the President
December 11, 2001

PROPOSED AMENDMENT TO THE GOVERNING REGULATIONS

Recommendation: that the following proposed amendment to the Governing Regulations of the University of Kentucky be received for preliminary consideration and, at the next regular meeting of the Board of Trustees, provided at least one month has elapsed, be included on the agenda for action.

Background: These changes will remove the Board of Trustees from the approval of changes to the Governing Regulation when there is a change in the selection procedure for members of the University Senate.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PART IV

THE UNIVERSITY SENATE (UNIVERSITY SYSTEM)

The University Senate shall be composed of ~~both elected~~faculty, emeriti faculty, student and ex officio membership.

~~The elected membership~~faculty members shall number ~~114~~, of which ~~94~~ members shall represent ~~the faculty~~, one member shall represent the emeriti faculty, and 19 members shall represent the student body. With the exception of emeritus and ex-officio representatives, senators shall be full-time faculty or students selected in accordance with the By-Laws of the University Senate. The one elected emeritus faculty member shall represent the University of Kentucky Association of Emeriti Faculty.

~~The 94 elected faculty seats shall be apportioned each spring among the colleges and the University Libraries according to the following two equally weighted factors based on data for the preceding fall semester: (1) the number of the following individuals all of whom shall be considered "faculty" for purposes of this Rule: (a) full-time faculty in the regular and special title series with the rank of assistant professor or higher, (b) full time faculty appointed in the extension, librarian, research and clinical title series, and (c) full-time lecturers and instructors; and (2) the number of full-time students enrolled in the college, computed so that students enrolled in the Graduate School shall be assigned to the college in which they are pursuing their studies. Each elected faculty member shall serve for a term of three years and shall be eligible for re-election for a second consecutive term but ineligible for further re-election until one year has elapsed. If a faculty member of the Senate should at any time during a term become ineligible to serve (e.g., by reason of assuming an administrative title, resigning, or taking official leave which precludes attendance), the administrative head of the group represented shall declare a vacancy and designate that member from the eligible faculty who at the last election received the next highest vote to serve for the duration of the elected faculty member's ineligibility.~~

~~The one elected emeritus faculty member shall represent the University of Kentucky Association of Emeriti Faculty. The Association shall elect one senator for a term of three years and an alternate from its membership through an election process approved by the Senate Council. If the elected emeritus faculty member of the Senate at any time during a term becomes ineligible or unable to serve, the elected alternate shall serve the remainder of the term.~~

~~The 19 elected student membership shall consist of the President of the Student Government Association and representatives of the full-time student body in the various colleges and the Graduate School of the University System. The colleges and the Graduate School each shall have one student representative. Students with no declared major shall be represented through the College of Arts and Sciences. Each elected college representative shall be a junior, senior, or graduate or professional student, or in the case of the Lexington Community College a sophomore student, shall not be on either academic or disciplinary probation, shall serve for a term of one~~

~~year, and shall be eligible for re-election as often as the individual remains a full-time undergraduate, graduate, or professional student in the University System. If a student should at any time become ineligible to serve (e.g., by relinquishing status as a full-time student, being placed on academic probation, or violating the Senate attendance regulations), the administrative head of the group represented shall declare a vacancy and designate that member from the eligible student body who at the last election received the next highest vote to serve for the duration of the elected student member's ineligibility.~~

In even numbered academic years, the ex officio voting members of the Senate shall be composed of the following: Provost, Vice President for Research, Senior Vice President and Chancellor of the Medical Center, Director of Libraries, Director of Teaching Learning Center and Deans of the Colleges of Allied Health Professions, Architecture, Communications and Information Studies, Dentistry, Education, Engineering, Law, and Social Work. In odd numbered academic years, the ex officio voting members shall be the following: Provost, President of the Lexington Community College, Associate Vice President for Academic Affairs for the Medical Center, Dean of the Graduate School, Dean of Undergraduate Studies and Deans of the Colleges of Agriculture, Arts and Sciences, Business and Economics, Fine Arts, Human Environmental Sciences, Medicine, Nursing, and Pharmacy.

The ex officio non-voting membership shall include the President, all other vice presidents, Associate Provost for Minority Affairs, University System Registrar, Associate Provost for Undergraduate Education for the Lexington Campus and Director of Admissions, Dean of University Extension, Dean of Students, Professor of Military Science, Professor of Aerospace Studies, Director of the University Studies Program, and, if they are not already elected members of the Senate, the University System faculty members of the Board of Trustees, the Academic Ombud, the Director of the Honors Program, and the chairpersons of the University Senate Committees, including University Senate Advisory Committees. All officials mentioned in the preceding paragraph who are not ex officio voting members in any year shall be considered ex officio non-voting members. Other ex officio non-voting members may be added by the University Senate Council for the purpose of supplying information and viewpoints on problems considered by the Senate. Ex officio non-voting members shall enjoy all privileges of the elected membership except the right to vote.

The Senate is authorized to develop rules for the conduct of its functions, copies of these rules being furnished to the President and the Board of Trustees. It may perform its functions directly, through the Senate Council*, through standing or special committees which it may appoint or authorize for appointment, or through delegation of authority and responsibility to the faculties of the Graduate School or the colleges. Standing committees of the Senate, responsible to the

* Members of the Senate Council will remain members of the Senate until the end of their terms on the Council. They will not be counted as a part of the quota of the administrative unit that they

have represented nor of the maximum membership of the Senate after the expiration of their elected memberships.

Senate, shall be appointed by the Senate Council unless other methods of appointment have been authorized by the Senate.

The Senate also may establish Senate advisory committees which shall be responsible, in an advisory capacity, to the President or other administrative officer(s) or administrative unit(s). These committees also shall be responsible to the Senate for reporting upon issues which bear upon the functions of the Senate and for making recommendations for action. Senate advisory committees shall be appointed by the President from nominations made by the Senate Council or following consultation with the Council.

The President shall be the chairperson of the Senate and shall be the presiding officer except as the President may delegate this function. The University Registrar shall serve as ex officio secretary. A member of the University faculty (not necessarily a member of the Senate), appointed by the Senate Council, shall serve as parliamentarian. The two sergeants-at-arms, appointed by the Senate Council, shall be members of the University System faculty and/or staff.

The Senate shall hold regular monthly meetings during the academic year when classes are in session and, after adequate notice by its secretary, special meetings on the call of the President or the Senate Council or on the written request of ten (10) members.

Any member of the administrative, instructional, or research staff may attend a meeting of the Senate as a visitor and request the privilege of the floor.

The functions of the University Senate shall include the following:

- Determine the broad academic policies of the University System and make regulations to implement these policies.

- Approve all new academic programs, curricula, and courses offered in the University System.

- Adopt policies for the University System academic calendar and approve the annual calendar as prepared by the University Registrar.

- Recommend to the Provost on the establishment, alteration, and abolition of educational units in the University System.

- Advise the President or the President's designated officer on the planning for physical facilities and staff when these may affect the attainment of education objectives of the University System.

Advise the President or the President's designated officer, through appropriate committees, on criteria for appointments, reappointments, promotions, and granting of tenure in the University System.

Determine the conditions for admission and for degrees, other than honorary degrees, in the University System.

Recommend to the President all candidates for degrees in the University System.

Beyond those listed in the above, the Senate shall have no management or administrative functions either in itself or through the instrumentality of its committees.

The University Senate may address the President or, through the President, the Board of Trustees, regarding any University matter.

AACR 1

Office of the President
December 11, 2001

Members, Board of Trustees:

CANDIDATES FOR DEGREES

Recommendation: that the President be authorized to confer upon each individual whose name appears on the attached list the degree to which he or she is entitled upon certification by the University Registrar that the individual has satisfactorily completed all requirements for the degree for which application has been made and as approved by the University Senate.

Background: In order that the degrees may be conferred upon the individuals completing requirements in December as soon after the close of the semester as possible, it is recommended that the Board of Trustees give its approval contingent upon certification by the Registrar and the University Senate that all requirements have been satisfactorily completed.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

OFFICE OF THE UNIVERSITY REGISTRAR
CANDIDATES FOR DEGREES – DECEMBER 2001

Graduate Degrees:

Ph.D.	136
D.M.A	7
Ed.D.	11
Ed.S.	8
M.A.	71
M.A.EDU	10
M.A.IDMA	1
M.B.A.	47
M.H.A.	3
M.H.P.	2
M.M.	2
M.P.A.	1
M.R.C.	5
M.S.	104
M.S.ACC.	5
M.S.B.A.E.	2
M.S.B.E	8
M.S.CHE.E.	2
M.S.CIV.E.	17
M.S.CN	1
M.S.EDU.	37
M.S.E.E.	4
M.S.FAM.S.	12
M.S.FOR	3
M.S.IDMT	1
M.S.L.S.	27
M.S.MAEN.	3
M.S.MA.SE.	1
M.S.ME.	9
M.S.MI.	1
M.S.N.S.	1
M.S.NUR.	12
M.S.P.H.	8
M.S.P.T.	6
M.S.RMP.	1
M.S.V.EDV.	5
M.S.W.	24

TOTAL 598

Professional Degrees:

D.Pharm.	5
M.D.	1

TOTAL 6

Undergraduates:

Agriculture	
B.S.A.B.	12
B.S.A.E.	26
B.S.A.E.C.L.	7
B.S.AGR.	7
B.S.A.S.	12
B.S.F.S.	2

Undergraduates (cont'd)

B.S.FOR.	2
B. S. L.A.	1
B.S.NRC.	17
B.S.P.S.S.	10
TOTAL	96

Allied Health
B.H.S. 65

TOTAL 65

Architecture
B.ARCH. 16

TOTAL 16

Arts and Sciences
B.A. 211
B.G.S. 1
B.S. 81

TOTAL 293

Business and Economics
B.B.A. 221
B.S.A. 47
B.S.B.E. 16

TOTAL 284

Comm. & Information Studies
B.A. 58
B.S. 37

TOTAL 95

Education
B.A.EDU. 107
B.S.EDU. 5

TOTAL 112

Engineering
B.S.AGR.E. 5
B.S.CHE.E. 4
B.S.CIV.E. 35
B.S.C.S. 32
B.S.E.E. 24
B.S.MECH.E. 34
B.S.MINE. 1

TOTAL 135

Undergraduates (cont'd)

Fine Arts
B.A. 33
B.F.A. 10
B.M. 2
B.M.E.D.U. 11

TOTAL 56

Human Environmental Sciences
B.S. ID. 2
B.S.DIE. 17
B.S.FAM. 21
B.S.F.C.S.E. 1
B.S.F.S. 2
B.S.H.M. 14
B.S.MAT. 19

TOTAL 76

Nursing
B.S.N. 36

TOTAL 36

Social Work
B.A.S.W. 21

TOTAL 21

Lexington Community College:

A.A. 39
A.S. 20
A.A.S. 62

TOTAL 121

Graduate Degrees 598

Professional Degrees 6

Undergraduate Degrees 1285

Associate Degrees 121

TOTAL 2010

**December 2001 Degree Candidates
November 19, 2001**

**The Graduate School
Acting Dean: Douglass S.
Kalika**

Doctor of Philosophy

Ahmed, Adel M.
Akay, Veysel
Akojie, Patricia Alero
An, Jeong-Hyun
Ayers, Joshua Thomas
Bailey, Kelli McAllister
Balbo, Paul B.
Bazen, Ernest Frederick
Berberich, Jason A.
Bergosh, Robert G.
Beverly, David Bruce
Bewley, William Michael
Blankenship, Cary W.
Block, Mary R.
Blount, Andrea Gale
Bozdaglioglu, Yucel
Breathnach, Cormac Cillian
Bruckner, Shane R.
Calfee-Mason, Karen Gail
Campion, Jeffrey James
Chehade, Kareem Abdel-Hassan
Chen, Kun
Cheng, Sa-Lin
Chi, Xiaoliu
Chico-Wyatt, Irene O.
Childers, James Gregory
Chung, Misook Lee
Clark, Michael Edward
Cook-Newell, Margaret Ellen
Cooper, Matthew Troy
Cotter, John Matthew
Cox, Sharon Patricia
Crowell, Susan Goodloe
Czesak, Mary Ellen
Dani, Bhas A.
Diaz, Christopher Stephen
Dirikolu, Levent
Dubal, Dena B.
Eaton, David Lowell
Edison, Thomas Wayne
Ellis, Kelly Anjohnette
Eom, Kihong
Fisher, Thomas Francis
Forsythe, Ann Crittenden-Lewis
Fowler, Philip Todd
Garcia, Tiffany Sacra
Garcia, Virginia S.
Gillespie, Fred Wayne, Jr.
Gilmartin, Mary
Gonsalves, Gerald Caesar
Goodloe, Mary Reams
Gupta, Anjan K.
Hadinata, Philip Clark
Haggerty, Stephen Joseph
Harjoto, Maretno Agus
Hilgarth, Roland Sebastian
Holder, Timothy David
Horrell, Mason Edward
Howard, William Rawlingson

Jackson, Jennifer Kasi
Jiang, Shengbing
Jiang, Yaping
Jones, Jeffrey Alan
Jones, Katherine Therese
Jones, Melina Viola
Jorgensen, Mark S.
Kanski, Jaroslaw
Kelkar, Sujata V.
Kilpatrick, Eric L.
Krumrey-Fulks, Karen Sue
Kuezi-Nke, Marjorie Chisale
Lahm, Karen Faith
Larkin, Jeffery Louis
Ledford, Katherine Elizabeth
Li, Ting
Liberty, Kenneth Ronald
Loh, Wai Khan
Mao, Zupang
Maple, Maura Marie
Martin, Jeffrey W.
Mathews, Talina Rose
Matthews, Cynthia Ann Kouns
McCulders, Deanna Lynn
McCune, Dan Franklin
McKenney, Nancy Jane
Morey, Kristin Margot
Morozov, Alexander Yurievich
Murray, Phyllis D.
Myka, Jennifer Leigh
Nelson, George C.
Newkirk, Henry Eldridge
Nkulu, Kiluba Lukuba-Mvwanda
Nunley, Barbara Lynn
Orey, Stephen Andrew
Patros, Sheila P.
Pena-Ramos, Etna Aida
Popescu, Ioan Antoniu
Postolache, Roxana Toma
Prasad, Rashmi
Qi, Lifeng
Quintero, Jorge E.
Ralston III, Lyle Francis
Res, Ivica
Ritchey, Kristin A.
Robertson, Kerry E.
Robinson, Kristen Denise
Rodriguez, Monica Pilar
Sanchez-Flavian, Patricia
Shetty, Ranjit Shivram
Siriwitayawan, Gunching
Skidmore, Ronald Leroy
Spaulding, Aslihan Demiralay
Sprumberg, Julann Aline
Srinivasan, Anandi
Stephens, Eric Charles
Takahashi, Maki
Terry, Rebecca Renee
Thompson, Tammy Lynn
Tsai, Houg-Wei
Tucker, Thomas C.
Van Ess, Peter James
Verbois, Sandi Leigh
Vishwanathan, Raman
Waldrop, Bruce Allan

Walters, Karen Munsell
Ward, Cheryl Blankenship
Weaver-Hightower, Rebecca Anne
Weiss, Geoffrey Coleman
Wilkins, Lincoln Haworth, Jr.
Williams, Kathie Denise
Willis, Peter Gordon
Wolfson, Gabriela Schriels
Yungbluth, Stephen Christopher
Zhang, Chi
Zhang, Hongxing
Ziegler, Dana Roderick

Doctor of Education

Adams, John LeScott
Amaechi, Christopher Nnamdi
Bell, Jennifer K.
Garrison, Carolyn Ann
Henderson-Gasser, Ellen M.
McCrary, Nancy Elizabeth
McDonald, Susan Foust
Quashigah, Yao Augustine
Ransdell, Mary F.
Rous, Beth Shanks
Yates, Sandra Kay

Doctor of Musical Arts

Blackwell, Leslie J.
Cinquina, Joseph
Lawrence, Robert J.
Moore, James Steven
Morfesis, Gail
Rathke, Donna Rager
Schmidt, Denise Anne

Educational Specialist

Costello, Kimberly Ann
Hancock, Russell
Marlowe, Cynthia L.
Millett, Patricia Clark
Montross, Lori P.
Murray, Laura Anne
Peoples, Gladys Evans
Walters-Parker, Kimberly K.

Master of Arts

Agustin, Amarely
Akers, Abra Reagan
Alemdar, Zeynep
Apolo-Lorca, Sumi
Asensio-Sierra, Isabel
Avery, James M.
Baruti, Aminata Cairo
Bowers, Joshua Michael
Childers, Jason Thomas
Circosta, JoAnn
Crabtree, Beth Hannah
East, Jackie Ray
Enriquez, Robert John
Felice, Matthew Mark
Fischer, Sarah Frances

Furst, Laura Mary
Galbreath, Kacia Brady Marie
Garber, Brandi Anne
Gardner, Julia Elizabeth
Goetz, Kevin Seth
Green, Ryan Douglas
Hale, Tonia Jane
Hamilton, Justin C.
Hammond, John Craig
Harvey, George William
Henderson, J. Alexander
Henderson, J. Alexander
Inman, Stanley
Jarboe, Sarah Ellen
Kadreva, Victoria Maximova
Keathley, Valerie Jean
Kebadze, Nino
Keeton, Benjamin Curtis
Kim, Tae-Hyung
Kirillova, Natalia Vladimirovna
Kostecka, Daniel Joseph
Lawson, Kelly Jennifer
Mabry, Jennifer R.
Massey, Christi Spurl
McCoy, Ellen M.
Metzo, Christine Rose
Millang, Bret Lawrence
Miller, Stacy Elizabeth
Mullins, Charles Keith
Mullins, Tylina Jo
Murphy, Leslie Lynn
Nally, Kelly Marie
Owczarzak, Jill Teresa
Parks, John Hulbert
Peersen, Trond Breien
Powell, Jessie Bishop
Rainey, Lisa Michelle
Ren, Zhiyi
Ruschell, Justin Luke
Schaub, Cheryl Biagini
Selimovic, Inela
Slade, David Fry
Slane, Michael Shawn
Spencer, Melinda
Strother, Eric Scott
Taul, Anne Russell
Thomas, Leah Michelle
Thompson, Victor Dominic
Van Arsdale, Sarah Brewer
Wagner, Kristen Mary
Watson, Ian Drew
Wimbish, Selena Jane
Wolfe, Amber Christine
Xia, Nailing

Master of Arts in Education

Baker, Teddi Jeanne
Buchanan, Cynthia C. Sither
Chapman, Mary Francis Kane
Charles, Sarah Margaret
Combs, Ann E. Reed
Daniel, Jennifer Lynn Riesbeck
Hamlin, Amy Chappell
Montgomery, Wendy Kristine
Segebarth, James Andrew
Smith, Kevin Lee

Master of Arts in Interior Design, Merchandising & Textiles

Cotterill, Debra Barker

Master of Business Administration

Allen, Grant Michael
Bauer, Christopher Charles
Bauer, Jennifer Leigh Luckman
Columbus, Kathleen Ann
Coyle, Krystan Ann
Giannasio, Brian A.
Graham, Kate L.
Green, Clarence Robert
Harsono, Harimawan
Hogan, Matthew John
Houlihan, John Spencer, Jr.
Johnson, Terrence LaJuan
Jones, Raleigh Olson
Justice, Anthony Jerome
Justice, Brandon Chad
Karathanosis, Demetrios Anastasios
Kerr, Julie Ann
Knight, Wesley Allen
Lavery, Derek Michael
Littlejohn, Derrick Lynn
Marshall, Joseph Ray
Marte, Oliver
Mayberry, C. Thomas
McCloskey, Dinna Jeannine (Willis)
McIntosh, Heather Layne
Miles, Erica Yvonne
Mitchell, Joshua Joseph
Mohl, Kevin Patrick
Morton, Angela Coats
Moss, Michael Anthony
Pace, Levi Nelson
Pierce, Kevin M.
Plauche, Stephen Truett
Riggs II, Jesse Norman
Scott, Jessica Louise
Sypolt, William Douglas Austin
Vencill, Margarita Georgieva
Vongvises, Apinop
Wakefield, Donald Markam
Walker, Brenice Lee
Walters, Svetlana Kurilenko
Weston, Garry Louis, Jr.
Williams, Andrew Hanson
Williamson, Amanda Dee
Woodring, Lesley Jo
Woods, Tinesha Marie
Xie, Yimin

Master of Education

Abshire, Barbara Lee Workman
Clark, William Granville, Jr.

Master of Health Administration

Martin, Samuel Andrew
Miller, Ryan Scott
Stewart, Samuel Daron

Master of Historic Preservation

Chandler, Summer Joy
Plaisted, Anthony Cecil

Master of Music

Farrar, Ned E.
Neal, John David

Master of Public Administration

Smith, Christopher H.

Master of Public Health

Day, Christopher L.
Jefferies, John Lynn
O'Banion, Norman Brennan
Petrey, Joseph Stanley

Master of Rehabilitation Counseling

Allen, Chase Alexander
Clevenger, Brian Edward
Cowan, Joe Lee
Flanagan-Jessee, Allison Ann
Williams III, Charles Percel

Master of Science

Abdul-Aziz, Aseel
Abney, Michael Alan
Agrawal, Rajesh
Ang, Esther Chui Lian
Artiouchine, Ivan Sergey
Ates, Murat
Babb, Kelly Dodson
Berg, Christopher Andrew
Bobetsis, Spyridon
Boone, Holly Elizabeth
Bush, Heather Michele Clyburn
Cai, Henry (Hui)
Cai, Jie
Centers, Adrian Phillip
Chafins, Billie Sue
Chowdavarapu, Prasad V.
Chowdhury, Archana
Coleman, Holly Holbrook
Collins, Joseph Thomas
Cook, Brian S.
Cornett, Gregory Clay
Coulter, Christopher Ballard
Creasey, Carrie Ann
Czopp, Alexander Matthew
d'Angelo, Rebecca Dawn Jones
DeCiantis, Scott Anthony
Du, Meizhu
Dubbs, Tina Marie
Duvall, Jamieson Lee
Floyd, Alexander Brooks
Freytag, Ann Marie
Gandonou, Jean-Marc
Garing, Michael Raymond
Garry, William Brent
Gehrke, Brenda Jean
Green, Daniel Curtis
Guo, Jun-tao
Hanley, Anthony Marcel
Harris, Eric Emmanuel
Hatler, Thomas Ben
Hensley, Leslie Allen
Hill, Amy Elizabeth (Block)
Hires, Brigitte Baird

Hoagland, Warren Heath
Hsiao, Shu-hsien
Janowiak, Adrienne Lee
Jiang, Xinkai
Johnson, David Michael Carey
Johnson, Walter Karl
Jordan, Robert Blake
Jose, Nancy S.
Ladd, James Michael
Li, Min
Lin, Xi
Loper, Alphonse Lamont
Marathe, Vinita A.
Matlock, Matthew M.
McClain, V. Marie Sullivan
Meade, Terry Glynn
Mihalek, Ivana
Moats, Kyle Lee
Mohanty, Satya Ranjan
Morehouse, Ragan Katherine DeLong
Novitari, Dyana
Owens, Tanika Latrease
Padmanabhan, Subramoni
Pennington, Joseph Lane
Powell, Deborah Ann
Powers, Laura Ann
Prabhala, Krishna Prasanna
Price, Bryan David
Pucci, Thomas Michael
Puram, Venu-Gopal
Rallapalli, Jagannath
Ramaiya, Priyesh R.
Rapson, James
Rothman, Geoffrey David
Sahasrabudhe, Sameer Sudhakar
Shao, Hua
Shaw, Gargi
Sheehan, Kevin Christopher
Smith, Derrick Scott
Smith, Monica Beth Varitek
Stage, Tammy L.
Stultz, Heather Marie
Su, Yuhua
Subbaraman, Ravi
Subramaniam, Vijayaratnam
Tang, Jingwen
Thakur, Khageshwar
Thayi, Harsha R.
Thompson, Karen Exton
Venkatraman, Srinivasan
Walden, Stephanie Lynn
Ward, Michelle Marie
Werner, Holly Kristel
White, Lynne Ashley
White, Travis Alan
Williams, Kirk Yancy
Woods, Chad Ashley
Woolwine, Michele Renee
Xiong, Quanren
Zhang, Pifu
Zhang, Yan Rong

Master of Science in Accounting

Bowling, David Charles
Cox, Matthew Aaron
Holt, Sandra Christine
Pamperin, Kristin A.
Taylor III, Robert Ellis

Master of Science in Biosystems and Agricultural Engineering

Danao, Mary-Grace Cachuela
Myers, Sheila Erin Youngblood

Master of Science in Biomedical Engineering

Hua, Kegang
Ma, Jianying
McKale, James Michael
Ou, Junli
Qu, Fujian
Seppa, Katherine Rachel
Shultz, Jason Matthew
Watt, Philip Morgan

Master of Science in Chemical Engineering

Rodgers, Paul S.
Tee, Yit Hong

Master of Science in Civil Engineering

Albul, Dmitriy V.
Anderson, Sean Christian
Black, Catherine Wingate
Grunwald, Andrew Forsyth
Hopkins, Margaret Ruth
Koirala, Anuja
Kowsuvon, Noppadon
Kundu, Reema
Leslie III, Gerald G.
Liu, Yinhui
Mitchell, Laura Tenfelde
Nodurft, Elizabeth Nancy Gingerich
Peterson, Robert L.
Schweri, Laura Kathryn
Snyder, Michael Scott
Webb, Joshua David
Yee, Tien-Mun

Master of Science in Clinical Nutrition

Tharp, Daryl Ray, Jr.

Master of Science in Education

Ainsley, Leslie Ann
Arnold, Kelly Moore
Austin, Chammie Claude
Baker, Julie H.
Bass III, Pat Farrington
Bilberry, Darren Scott
Brambley, Catherine Anne
Cannon, Stephanie Leigh
Carr, Krissie Ann
Carrico, Tracie Lynn Thurston
Cavallo, Malinda Anne
Daugherty, Stefanie Gabriele
Doherty, Theresa Anne
Ford, Marilee Helen
Frisiello, Marc Edward
Goble, Melissa Louisea
Golinska, Magdalena Maria
Hahn, Katharine Jo

Hamm, Amanda Kristin
Helton, Dale Roger
Judd, Deanna Rhea Cope
Little, Michelle Lane (Rogers)
Littlefield, LuAnne Sipes
Lunceford, Kristi Wininger
Matsuyuki, Masami
McKenzie, Peggy S. Borders
Meadows, Cheri J.
Miller, Dixie Lynn
Moore, Laura Meredith
Perry, Rita Hocker
Pope, Valerie Collins
Prince, Tonya Tussey
Seabaugh, Rebecca Sue Kiefer
Talente, Gregg Michael
West, Tamela Mays
Wolford, Kendra DeShea
Woods, Natasha Lee

Master of Science in Electrical Engineering

He, Xuelian
Huang, Mei T.
Liu, Yuchi
Zhang, Kun

Master of Science in Family Studies

Clark, Marianne Hall
Frale, Roxiania Marie (Steele)
Gross, Betty Christine
Gulley, Leontyne Renae
Harms, Eric Blane
Hench, Micahel James
Hutchinson, Brent Douglas
Kemp, Shan Day
Mahone, Sharletta Kay
Moore, Nicolle Tennial
Neuman, Kathryn Celeste
O'Bryan, Judith Cissell

Master of Science in Forestry

Courtney, Amy Michele
Housman, Helen Heather
Kirillova, Natalia Vladimirovna

Master of Science in Interior Design, Merchandising & Textiles

Watson, Samuel S.

Master of Science in Library Science

Abshear, April Dawn
Buckner, Terry Demaree
Chester-Fangman, Christina Brooks
Crawford, Karen Denise
Elsner, Edward James
Fogler, Elizabeth Rose
Frilling, Elizabeth Nicole
Garr, Manuel L.
Garrett, Martha Catherine
Gehrich, Mary Pat
Hart, Christopher Michael
Hartle, Ann Gayle

Howard, Mykie A.
Hunley, Melissa Renee
Keller, Julie Ann
Kelly, Gretchen Yvette
Leathers, Marilyn P.
McClung, Erica Renea
McComas, Molly Souder
Nevitt, Erin Maxine
Pace, Sarah Little
Renners, Timothy M.
Schottner, Suzanne Gillie
Streng, Deanna Jo Strese
Wells, Susanne
Wickholm, Sharon Elizabeth
Williams, Katherine Nash

**Master of Science in Manufacturing
Systems Engineering**

Sweitzer, Michael Eugene
Wilson, Michael Shayne
Zhu, Kexin

**Master of Science in Materials
Science and Engineering**

Miller, Robert Edward, Jr.

**Master of Science in Mechanical
Engineering**

Gurupira, Tapiwa Zabron
Jasin, Sugianto
Kang, Jie
Moey, Lip Kean
Roche, Michael Ernest
Roclawski, Harald Johannes
Steele, Barrett Alan
Wang, Xiqun
Zhang, Bao

**Master of Science in Mining
Engineering**

Nombe, Mutombo Kumwimba

Master of Science in Nursing

Dabit, Diane A.
Gregory, Nola Lou Bird
Grider, Tina Louise
Happy, Rose Marie/Hayden
Marraccini, Patricia Ann Morand
McCloskey, Megan Elizabeth
Catherine
Morgan, Wanda Lorain
Morris, Marie Price
Reimer, Carly
Sutton, Perry Brian
Williams, Donna Armstrong

**Master of Science in Nutritional
Sciences**

Ward, Amy Kristin

**Master of Science in Physical
Therapy**

Harkins, Heather Ellen

Haynes, Raechel Rebekah
Hollman, Nova Marie
King, Leigh Anne
Osburn, Richard F.
Reas, Angela Janine

Master of Science in Public Health

Bryden, Phyllis Ann Marshall
Jenkins, Philip Noel
Johnson, Nancy Elizabeth
Mitchell, Wentzel Laron
Pursley, Holly Gluth
Shaw, Mary Caroline Buchanan
Shouse, Robbin Feltner
Svavarsdottir, Alma Eir

**Master of Science in Radiological
Medical Phys**

Creasey, Carrie Ann

Master of Social Work

Ayala, Cristoval George
Baldwin, R. Wayne
Blevins, Tresa Ann
Butler, Tony J.
Carmack, Peter Anthony
Daniluk, Michael John
Doughman, Mary Kay
Dryden, Kellie Reagan
Evans, Kimberly Alecia
Hanshel, Tracy Cave
Henry, Rachelle D.
Ingram, Sallie Jane
Jouett, Sandra
Meyer, Katherine Ann
Michaels, Frederick Carter
Nelson, Carol Stern
Pauline, Theresa R.
Pickard, Sheila Hensley
Scott, Christa Lynette
Shelton, Judy Marie
Stephens, Christopher Patrick
Underwood II, Charles Wesley
Ward, Celeste T.
Wells, Larry R.

**Master of Science in Vocational
Education**

Hughes, Tina Louise
Jackson, John Thomas
Miller, Misty Ruth
Moore, Marcus R.
Sorrell, Crystal Dawn

**College of Medicine
Dean: Emery A. Wilson M.D.
Doctor of Medicine**

Mosley, Francine Robinson

**College of Pharmacy
Dean: Kenneth B. Roberts**

Doctor of Pharmacy

Ferguson, Barry
Gilfether, John Robert
Hubbard, Kenneth David
McArter, John P.
Shoulders, Angela Kay

**College of Agriculture
Dean: M. Scott Smith**

**Bachelor of Science in Agricultural
Biotechnology**

Bale, Katie Hamilton
Collins, Claire Victoria
Conn, Heather Michelle
Dassel, Mark W
Griggs, Paul Michael
Herman, Rebecca Kathryn
Imperial, Zachary Andrew Truex
Mathews, Stephanie A.
Merten, Kevyn Edward
Pflipsen, Christina Ann
Rickman, Ryan Keith
Willson, Tara Ann

**Bachelor of Science in Agricultural
Economics**

Bowie, Jeremy Jemon
Brown, Carey Ann
Conboy, Ryan Stevens
Crafton, Joe Ragan
Crocker, Justin David
Dingle, Scott L.
Durr, James David
Groseth, Sanna B
Hammond, Jennifer Lynn
Haun, Frederick Joseph
Heppler, Ryan Lee
Holland, Timothy Edward
Jackson, Stephenie Marshall
Johnson, Amy Marie
Long, Clinton A.
McMaine, Raven Nichole
Merkt, Sean Christian
Nelson, Elisabeth Ann
Pasley, Amy Marie
Pickett, Clyde Wilson
Salsbery III, Harold Frederick
Scott, Meredith Leigh
Shah, Ty Wesley
Stevens, Justin A.
Tyler, Brian Matthew
VanHook, John Lawrence

**Bachelor of Science in Agriculture,
Education, Communication and
Leadership**

Bradley, Nathan Allen
Conway, Chadwick Shawn
Endorf, Adam John
Johnson, Matthew Robert
Scherer, Elizabeth Ann

Shouse, Susan Beth
Weaver, Catherine Susanne

Bachelor of Science in Agriculture

Bierman, Melissa Lauren
Eubank, Branson Achilles
Mulberry, John Casey
Reed, John Davison
Roberts, Sarah Alison
Robinson, Patrick Joseph
Wade, Mark David

Bachelor of Science in Animal Sciences

Auchter, Katharine A.
Barnhisel, Jennifer Lynn
Berry, Gregory Scott
Dixon, Heather Christina
Herrington, Frazer Scott
Huber, Rebecca Erin
Keeney, Martina Lynn
Mitchell, Michael Tilden
Ralph, Katrina A.
Russell, Ann Louise
Sands, Megan Taylor
Thompson, Seth Douglas

Bachelor of Science in Food Science

Kellett, Rachel Ann
Loehle, Kevin Anthony

Bachelor of Science in Forestry

Dance, Alison Danielle
Simpson, Heather Marie

Bachelor of Science in Natural Resource Conservation-Management

Appling, Barbara Ann
Byron IV, Frank Lacy
Cummins, Christopher David
Dulin, Michael W Jr.
Harper, Tamela Jean
Johnson, Amy Marie
Joy, Jordan Michael
Kruchinski, Ronald Kevin
Malone, Mary Kristin
Nelson, Kenzie L
Ready, Robyn Rae
Stapleton II, Scarlett Jane
Sweasey, Janice Marie
Vanderhoff, Mark Allen
Willett, Elizabeth Virginia
Wilson, Brett A
Zimmer, Edward C, Jr.

Bachelor of Science in Plant and Soil Science

Brittingham, Jeffrey Winston
Folnsbee, James Z
Hardin, Nathan Allen
Loyd, Sara Lynne
Moberly, Amy Marie

Scott, Delia W.
Steele, Colleen C.
Thompson, Richard W.
Truax, Sharon M
Younger, Sarah Elizabeth

College of Allied Health Dean: Thomas C. Robinson

Bachelor of Health Sciences

Abdul-Aziz, Tara
Barker, Tara Nai
Bird, Suzanne Crupper
Black, Jamie Preston
Blandford, Misti Louise
Blankenship, Brandice Ryan
Blankenship, Clint Collis
Blevins, Randy Keith
Blevins-Everman, Elizabeth
Boissonneault, Gilbert Andre
Bond, Kimberly S.
Botiller, Bernard Theodore
Bridge, Julie Christine
Brown, Christi Melissa
Camenisch, Kevin Ryan
Carter, Carrie Ann
Chang, I-Yuan Joseph
Cohorn, Tonya Renee
Combs, Julie Ruth
Dalton, James Arthur
Doss, Joseph Michael
Dotson, Adam Keith
Erickson, Joanne
Ervin, Clarence LaMar Jr
Forsythe, Kristy Hope
Graham, Chelsea Melnik
Groves, Jennifer Givens
Hensley-Conn, Farrah Jane
Hughes, Nedda Kay
Jackson, Traci Michelle
Johnson, Thomas Edward
Lankford, Amy Beth
Lewis, Cynthia LaVon
Lewis, Kathryn Michelle
Maggard, Sherry Larrisa
Maguet, Pamela Avery Adams
McCann, Cynthia Lee
McLoney, Gregory Stewart
McPherson, Terry Lynn
Montgomery, Shari Lyn
Morrow, Eric Carl
Newsome, Pamela Pinson
Noble, Sharon J.
Orick, Michelle Renee
Poynter, Stephanie Lynn
Qualls, Deborah G. Spencer
Reed, Joseph Richard
Rice, James Keith
Rietze, Jennifer Lee
Robinson, Tiffany Rice
Rountree, Cynthia Elaine
Scott, Chanda
Simmons, Douglas Ross
Slusher, Rebecca M. Curtis
Stewart, Carra Lynn (Middlemist)
Sudduth, William Van
Sy, Gregory Co
Taluskie, Stacy Marie
Tudor, Julie Lynne

Vanias, Lisa
Wheeler, Micki Marie
Wilcox, Leslie Anne
Wilhere, Carrie Dawn
Wilkins, Angela Gail
Wolford, David A.

College of Architecture Dean: David Mohney

Bachelor of Architecture

Anderson, Aaron Todd
Cox, Scott Christopher
Lancaster, Angela Bidwell
Lehigh, Marissa Anne
Lofdahl, Gary Wendell
Loy, Eric Nelson
Malone, Derrick Andre
Maynard, Robert Anthony
McDonald, Jon Eugene
Schook, Jesse Eugene, Jr.
Sewell, Nicholas Brandon
Skaggs, Patrick
Wallace, Jonna Lyn
Wang, Wei-Chang Adam
Waynick, Adam Douglas
Widyaratne, Mathiesha

College of Arts & Sciences Dean: Howard Grotch

Bachelor of Arts

Abbott, Kathryn Margaret
Able, Jennifer Suzanne
Adams, Kristin Regina
Adkins, Melissa Cheryl
Ahrens, Ashley Elizabeth
Albrecht, Krista Sigurros
Allspaw, Kristen Alena
Allspaw, Kristen Alena
Amster, Monica Marie
Anneken, Julie Leigh
Asher, Coleman David
Ayers, Blaine Kennedy
Azalea, Alia
Babb, Brandy Nicole
Baize, Raina J.
Baker, Robin Lynn
Bales, David Allen
Barnes, Amy Diane
Barnett, William John
Body, Brandi Ramona
Bohn, Sarah Jean
Brinson, Stephanie Lynn
Brown, Stacy E.
Buchanan, James David
Byers, Jerry Alan
Campbell, Reva Dawn
Cao-Nguyen, Bao-Long
Capek, Joanne M.
Carrico, Patrick Harris
Caswell, Melissa Ann
Cecil, Penny Anne
Chalothorn, Wanda Joy
Clayborne, Michael Louis
Collinsworth, Mark
Comley, Clinton Hancock

Conley, Elizabeth T.
 Cox, John Fisher
 Crawford, Jennifer Nanette
 Crockett, Brendan William
 Crowley, Neal Joseph
 Cunningham, Melissa Dawn
 Davis, Anne Paige
 Davis, Lori Danelle
 Davis, William Simpson, Jr.
 Day, Jesse Lamar
 DeCastro, Mark David
 Disch, Joseph Christopher
 Distler, Nicholas James
 Dorsett, Claiborne Todd
 Drake, Anthony Ryan
 Dumas, Melanie Seanette
 Duncan, Flenoil M.
 Eades, Laura Marie Rock
 Eickhoff, Bobby Joseph
 Eifler, John Bernard, Jr.
 Elder, Christianne Marie
 Elder, Christianne Marie
 Ellis, Adrienne Nicole
 Farris, Amanda Jean
 Fink, Jennifer S.
 Galloway, Amy Christine
 Garvin, Sydney Lynn
 Gayhart, Steven Daniel
 Gillaspie, Andrea Rae
 Goebeler, Joshu Lawrence
 Goebeler, Joshu Lawrence
 Graham, Aaron James
 Grant, Ronald Edward
 Greear, Lydia Patton
 Greene, Phyllis K.
 Hancock, Evin Heath Van Meter
 Hancock, Lori Coffey
 Handzel, Katherine Helene
 Haney, Donna Kay
 Hart, Brandon Miles
 Hatcher, Cheri Lynn
 Hatfield, John W.
 Haynes, Derek Scott
 Hestand, Matthew Scott
 Heuser, Aden Elizabeth
 Hinkle, Shane Alan
 Hoffman, Natalie Maria
 House, Robert Stanley
 Howard, Rebecca LeAnn
 Hunt, Dana Michelle
 Jackson, Iman Halsell
 Jaggars, Travis Allen
 Jefferies, Mary Suzanne Parker
 Jeffy, Christopher John
 Johnson, Erik Chase
 Jones, Alexis Marleise
 Jones, Alexis Marleise
 Jones, Julene Laurel
 Jones, Timothy Dean
 Keller, Jonathan Patrick
 Kelley, Elizabeth J.
 Kelley, Erin Elizabeth
 Kincaid, Angel Frank
 King, Kevin Todd
 Kirkland, John Lane
 Kommineni, Krishna C.
 Kroh, Jennifer Lynn
 Kuek Leung, Brian Yong
 Lampkin, Laveta Marie
 Landrum, Denise Jeannee

Landrum, Denise Jeannee
 Larghi, Thomas J.
 Larmour, Alicia Markwell
 Laser, Michele Dawn
 Lason, James Lawrence
 Lawson, Grace Elizabeth Susan
 Leach, Elizabeth Anne
 Leksrisonpong, Chanatip
 Long, Jennifer Leigh
 Low, Ee Lin
 Lucas, James Bradley
 Lyons, Christopher Wesley
 Mabry, Jason Kennedy
 Malik, Imran Ebrahim
 Marschner, Laura Jane
 Marschner, Laura Jane
 Martin, Brian Patrick
 Matlin, Taveya Alessandra
 Matsuura, Toru
 Mattingly, Julie Scott
 McCammon, Donald Lee, II
 McKee, Michael Edward
 Meade, Anna Kathryn
 Meadows, Bethanie Gail
 Meredith, Jennifer Anne
 Miller, Elizabeth Ann
 Milner, Kevin Dennis
 Miracle, David Casey
 Monk, William Everett
 Montgomery, Gary Jason
 Moore, Krista Miel
 Moore, Thomas S.
 Morgan, Christopher Henry
 Morgan, Imhotep Oladele
 Morris, Erin Kaye
 Morris, Stephanie Ann
 Morris, Thomas Anthony, Jr.
 Mudd, Sarah Christine
 Narayan, Divya Annapoomi
 Nigmatulina, Malika Y.
 Oakes, Jennifer Lyn
 O'Nan, Michael Patton
 O'Quinn, Adam Michael
 Osman, Zuhaf Ghafar
 Parish, Michelle Marie
 Petty, Robert Anthony
 Pickett, Harck Anthony
 Poage, Keith Aubrey
 Price, Chad Ashley
 Pugh, Linda Ann
 Pullen, Andrew Douglass
 Queen, Leslie Nicole
 Raasch, Emily Sutton
 Reimel, Thomas William
 Richardson, Daniel Thomas
 Richardson, Daniel Thomas
 Riley, Christy L.
 Robinson, James Adam
 Robinson, Veronica Lynn
 Robinson, Veronica Lynn
 Rocco, Christopher Michael
 Rowlett, Katherine Christine
 Roy, Brad Allen
 Rudolph, Glenn Raymond
 Ryan, Thomas Michael, Jr.
 Savage, Mark B.
 Schneider, Jeffrey Michael
 Scott, Tamicah Ann
 Servant, Leslie Elizabeth
 Shadd, David Allen, II

Sharp, Amy Arthur
 Sharpe, Michelle Lee
 Simms, Darren Jonathan
 Sims, Katherine Lucy
 Smetanko, Bradley Christopher
 Snedeker, Jennifer Leigh
 Spencer, Jonathan William
 Springer, Matthew Tolson
 Starnes, Randall Tracy
 Stephenson, Raja Whitney
 Stephenson, Raja Whitney
 Stout, Richard David
 Strategier, Sara Witte
 Subramaniam, Nisha
 Sumpter, Theresa Marie
 Teague, Randal Cornell, Jr.
 Terry, Shemeka Leemae
 Treesh, Gabriel Mark
 Turner, Lathan Russell
 Uchita, Megumi
 Vick, Robert Gene
 Waitkus, Matthew Jeremiah
 Weinberg, Tomas Stanley
 White, Riely Macon, Jr.
 Williams, Ariana Kimberly
 Wilmes, Jeffrey Kula
 Wilson, Kevin Michael
 Wilson, Kevin Michael
 Wilson, Latham Elliott
 Wilson, Ryan Patrick
 Wilson, William Bradley
 Wyatt, Kristina Lyons
 Yahr, Tiffany Lorraine Gray
 Yeager, Erin Lee
 Zumbiel, Matt Allen
 Zurcher, Christina Harvey

Bachelor of General Studies

Frances, Danny Ray

Bachelor of Science

Allen, William Randolph
 Army, Stephen Charles, Jr.
 Bailey, Christopher O'Neil
 Bartusiewicz, Brooke A.
 Bauer, Kendra K.
 Baxter, Shelley Elizabeth
 Bowlin, Michael Lee
 Brab, William Lawrence
 Brady, Kimberly Gayle
 Browning, Tabitha Michele
 Brumm, Mike William
 Cao-Nguyen, Bao-Long
 Carroll, Jason D.
 Clayborne, Michael Louis
 Cornelius, Kyra Lynn
 Courtney, Annie Laura
 Cupp, Jason Nicholas
 Dassel, Mark Wesley
 DeLong, Matt Reid
 Drennon, Katherine Diane
 Dugan, Amy Renee'
 Eifler, John Bernard, Jr.
 Ellis, Adrienne Nicole
 Emmett, Theresa Jane
 Evans, Steven Joseph
 Fee, Douglas Wayne
 Flynn, Dustie D.

Forester, Joseph Terrell
 Fulkerson, Joseph Matthew
 Garrison, Jason Samuel
 Gonzalez, Jacob
 Goodman, Ivy Amber
 Hammers, Stephanie Jane
 Hestand, Matthew Scott
 Hopper, Rebecca Dawn
 Hughes, Kristen Michelle
 Johnson, Jaime Kirsten
 Kidney, Erin Elizabeth
 Kobraei, Kathy Bahareh
 Lewis, Bracken Clay
 Maggard, Reuben Kyle
 Mayo, Nathan B.
 McDonnell, Aoife Marie
 Miller, Jill Marie
 Mills, Angela LaShea
 Mosley, Jonathan Matthew
 Music, Erika Nicole
 Ngo, David Quang
 Nolan, Tammy
 Noplis, Charles R., II
 Patel, Shilpa Jaykrishna
 Peagler, Angela Monique
 Phelps, Tara Story
 Price, Heather Renee'
 Price, Tennille Tate
 Regenbogen, Rebecca Jo
 Roberts, Stephanie Anne
 Robertson, Elizabeth Ann
 Ross, Rebecca Ann
 Sakulpitakphon, Tanaporn
 Schapker, Heidi Therese
 Shalash, Nadia Ahed
 Sharpe, Michelle Lee
 Sloan, Adam Kristopher
 Smith, Jennifer Leigh
 Sohnlein, Bradford Raymond
 St. Clair, Katrina Marie
 Steil, Neal Jackson
 Stiff, Brandon Mark
 Struewing, Ian T.
 Sutter, Kylie Kristine
 Terrell, Angela Renee'
 Thomas, Robert Jeremy
 Thompson, Shellie Anne
 Wallace, Stacey Michelle
 Whitaker, Sherman E.
 Wolfe, Jonathan Ryan
 Womack, Benjamin C.
 Wright, Rhonda LeAnne
 Young, Whitney
 Zalewski, Lynn

**College of Business &
 Economics
 Dean: Richard W. Furst**

**Bachelor of Business
 Administration**

Aarvig, Mark Joseph
 Adamchak, Nikolai John
 Akers, John Thomas, III
 Albaugh, Jon D.
 Allen, Juancinto Levar
 Anderson, Martin Dean
 Anderson, Sonya Louise

Aronson, Chad Steven
 Babine, Danielle D.
 Baldwin, Adrian Eads
 Barber, Susan Rachel
 Bard, Corey Bruce
 Barnhorst, April Renee
 Barowsky, Julian Daniel
 Bartlett, Joseph Bartholomew II
 Bawono, Eduardus Aditya
 Bennett, Chad S.
 Bills, Pamela Joy
 Blair, Jamison Hanes
 Borden, Gathan Daniel
 Brooks, Anthony Bryan
 Brummett, Dana Corinne
 Bryant, Amy Lynette
 Bryant, Angela Marie
 Buchanan, Stephanie J.
 Buffington, Susan Marie
 Burgett, Michael Travis
 Burkart, Jill Patricia
 Burton, Vida K.
 Cahill, Christopher Michael
 Cappe, Roger Lee
 Caudill, Kyle Patrick
 Cecil, Bryan Patrick
 Chan, Chun Yuen
 Charles, Laura Ellen
 Chenault, Melissa Leigh
 Christensen, Alex Barrett
 Clements, Katherine Adele
 Cochran, Christopher R.
 Cook, Stephen Tyler
 Coomer, Shanna Robinett
 Crumbaugh, William Lauren
 Daugherty, Catherine Elizabeth
 Davis, Michael A.
 Day, Melinda Ann
 DeMoisey, Julia Cooper
 Dennison, Kimberly Michelle Morgan
 Diebold, Shannon Erica West
 Duke, Bryan Scott
 Eblen, Paul Anthony
 Eisert, Brittany Joan
 Ericksen, Steven Kyle
 Felts, Michael Edwards
 Fenison, Dustin Duane
 Fletcher, Patrick Alan
 Forbes, Corey S.
 Ford, Wendell Clay Hampton
 Fortner, Amber Nicole
 Foster, William Allen
 Gaines, Dane Ryan
 Gaisie, Philip Kweku Afran
 Gapen, Jennifer Lynn
 Gaunce, James Bradley
 Gedney, Kristen Dawn
 Geiger, Nicholas Lawrence
 Glass, Aaron Lindsey
 Goh, Seong Kheng
 Greenfield, Jason Russell
 Grimes, Gina Kelly
 Grimme, Michael Jude
 Haas, Leah Jo
 Hagedorn, Casey Elizabeth
 Hagen, Jerod Jeffrey
 Hale, Jason Richard
 Haley, Timothy R.
 Hardin, Kristalyn Dawn
 Harris, Christy Ann

Hart, Michael David
 Henderson, Roman Bradley
 Hensley, Wesley Shane
 Hightower, Jeb Hamilton
 Hiles, Donald Franklin
 Hill, David Lynn
 Hollifield, Joshua Clark
 Holtzapfel, John Edward
 Hopperton, Bradley Shane
 Howard, Christina Ann Brooks
 Hsu, Joseph Francis
 Huber, Justin Daniel
 Hunt, Thomas Benjamin
 Hunter, Charles William
 Jarrell, Mark E.
 Jenkins, Brittney Dawn
 Johnson, Jeremiah Wells
 Johnson, Mario Andrae, Jr.
 Jones, Bradley Daniel
 Jones, Jason Michael
 Kavouras, Anastasia G.
 Kearney, Jeremy Adam
 Kehoe, Brendan Michael
 Kelley, Eric D.
 Kelly, Louis Duncan
 Kihlman, Nicholas Dale
 King, Erin
 Kinslow, Craig Marshall
 Kirtley, Kacy Laine
 Knarr, Thomas Michael
 Knight, Brian Joseph
 Knightly, Jill Renae
 Kopko, Llewellyn F.
 Lail, David Breault
 Lang, Jonathan David
 Larosa, Jeffrey Glen
 Larson, Chad G.
 Lee, Rudy Ray
 Lippert, Kevin John
 Little, Bryan Patrick
 London, Ann M.
 Loveless, Portia Stevenson
 Marshall, LeRoy Vance, III
 Matney, Andrea Vanessa
 McClelland, Jessica R.
 McDonald, Sarah Kathryn
 McDonough, Megan Ann Bernadine
 McGuire, Michael Keith
 McKinney, Christopher Alan
 Meehan, Thom Everett
 Messer, Darren Lee
 Miculis, Melissa Eve
 Miles, Melissa Dawn
 Miller, Daniel Herschel, III
 Miller, Eric Scott
 Miller, Robert Leo
 Miller, Scott Michael
 Mitchell, Stephanie Lee
 Mohler, Benjamin Clay
 Mullins, Frederick Stephen
 Mwamukonda, Mpoki Raphael
 Myers, Elizabeth Huff
 Nachtigal, John
 Nichols, Jennifer Nicole
 Nichols, Laura Ellen
 Nicoletta, Matthew Scott
 O'Brien, Christopher K.
 Otto, Amanda Raquel
 Palumbo, Joseph Edward
 Parker, Shelonda Renee'

Patel, Parag
 Patrick, Edgar
 Patwa, Sameer Kurban
 Peach, Bryon Christopher
 Pelfrey, Crystal Lynn
 Peters, Kevin Michael
 Peterson, Matthew Kent
 Powell, Mary LeeAnn
 Powell, Matthew Robert
 Price, Shelley Carmen
 Priel, Gary Joseph
 Priest, Brandon Dean
 Putnam, Joseph E.
 Quisenberry, Brian Lewis
 Rader, John Vincent
 Rainey, Nicholas Alan
 Ransdell, Joel W.
 Reed, David Clark, II
 Reilly, Townley Sara
 Richardson, Joseph Daniel, Jr.
 Riddle, Chesley W., III
 Ridge, Holly Anna
 Ritter, John Robert
 Robinson, Lisa Renee
 Rode, Kevin Lee
 Rode, Rebecca Ann Varney
 Rollins, James Joseph
 Root, Bryan Matthew
 Rothwell, Daniel J.
 Rueve, Mary Katherine
 Salyers, Shannon Marie
 Samaan, Jacqueline Elias
 Schadt, Brandon James
 Schloemer, John Robert, Jr.
 Schorr, Mitchell McCartney
 Shaw, Tonya Robin
 Shearer, David Conley
 Sherman, Jessica Meadows
 Sherrard, Mark Daniel
 Shields, James Brandon
 Smith, Ronnie
 Snyder, Adam Christopher
 Spurlock, Justin Doyle
 Stagner, Alison Michelle
 Stearns, Christopher Matthew
 Stocker, Chad Joseph
 Swain, Johnnie Dee, III
 Tai Wooi, Koay
 Tansey, Sarah Elizabeth
 Tatum, Julie Kathryn
 Thompson, Kathryn Lee
 Thurman, Melody Anne
 Tin, Yvonne Lam
 Toborek, Mariola Ewa
 Toh, Lilian
 Traylor, Bryan Thomas
 Tuggle, John Michael
 Turner, Laura Lee
 Underwood, Brian Scott
 Vallejos, Sarah Elizabeth
 VanHouten, Arthur Bertram, IV
 Walker, Sheryl A.
 Walker, Zachary J.
 Webb, Shana Martin
 Weinert, Amy Elizabeth
 Welton, Shannah Lynn
 Willis, Mary Rose
 Wilson, Elizabeth Pidgeon
 Wilson, William E. K.
 Wimsatt, Rebecca Ruth

Worthington, Lauren Rae
 Zaheer, Syed Azfar
 Zirkle, Jared Richard
 Zwerin, Jason Andrew

Bachelor of Science in Accounting

Bard, Corey Bruce
 Bingham, Alicia LaSha'
 Braden, James Benjamin
 Brown, Donald Forrest
 Brummett, Dana Corinne
 Cornett, Kevin Michael
 Dale, Jennifer Lynn
 Do, Lisa
 Eiland, Tony Fitzpatrick
 Elder, William Anton
 Fagerlin, Thomas Robert
 Froste, Candace
 Haas, Leah Jo
 Harrison, Nerisha L.
 Huddleston, B. Heath
 Iun, Iris Chon Fa
 Johnson, Manda Lucille
 Justice, Sabrina Lee
 Langan, Eric Christopher
 Layow, Trisha Katherine Ingram
 Loftus, Amy Diane
 London, Ann M.
 Marshall, Jennifer Noel
 Martin, John Eric
 McDermott, Teresa Clare
 Mills, April Lynn
 Mitchell, Cemal D.
 Moore, Cynthia A.
 Mulcahey, Matt Scott
 Pogue, Paul Wayland
 Polson, Sarah Faye
 Potter, Jennie Marie
 Reynolds, Elizabeth Theresa
 Rojas, Trinoh Yap
 Rueff, Matthew J.
 Schadt, Brandon James
 Schnurr, Martin Joseph, III
 Spencer, Bradford C.
 Stearnberg, Meighan Hargreaves
 Stone, Quintin Dwayne
 Strange, Jason Owen
 Tegge, David William
 Trimble, Amy Marie
 Turner, Laura Lee
 Webb, Shana Martin
 Wimsatt, Rebecca Ruth
 Ziegler, Michael Edward

Bachelor of Science in Business & Economics

Arnett, Matthew Stephen
 Braden, James Benjamin
 Brown, Jeremy Blair
 Crowe, Jason Thomas
 Hale, Jason Richard
 Hays, Benjamin Edward
 Hendricks, Elisha Carrie
 Hill, David Lynn
 Johnson, Micah Roy
 King, Erin
 Kopko, Llewellyn F.
 Miller, Eric Scott

Patel, Parag
 Patrick, Jonathan Daniel
 Stearns, Christopher Matthew
 Voelker, Ryan Edward

College of Communications & Information Studies **Dean: J. David Johnson**

Bachelor of Arts

Avery, Patrick Daniel
 Baird, Billy J.
 Baker, Brett Michael
 Bell, Phillip Scott
 Berry, Andrea Leigh
 Bingham, Vicki Lynne
 Blanco, Gloria
 Breeding, Whitney Gayle
 Brown, Melinda Roxanne
 Bullington, Alan Y.
 Butler Jr., Lynwood Odell
 Caldwell, Stephanie Lynn
 Caravello, Christina Marie
 Carruba, Mari Alissa
 Cooper, Vanessa Kendria
 Cummins, Tassica Noelle
 Curtis, Kelly Dawn
 Dunkelberger, Doshia Bowen
 Englert, Mary Carmel
 Ferguson, Virginia Dale
 Garner, Jeanine Marie
 Garrett, Brandon M.
 Garrett, Darah Jo
 Granger, Sarah Rene'
 Greeman, Omar Joshua
 Hampton, Rebecca Lynn
 Herlihy, Corey Roy
 Holcomb, Todd Joseph
 Hoover, Theresa Ann
 Hutcherson, Samantha Jo
 Jones, Paulette Jessica
 Kirtley, Andrea Cathleen
 Mace, Warren Jennings
 Mann, Krista Ann
 Mappala, Francisco Bencito
 Martin, Barbara J.
 Massie, Valerie May
 McMorrow, Erin Elizabeth
 Mills, Anthony J.
 Money, Elizabeth Brooke
 Osborne, Rebecca Gayle
 Peyton, Dana Ruth
 Robinson, Jamie Rebecca
 Ruble, Jessica Lisle
 Schwalbach, Steven Chad
 Scott, Elizabeth Rachel
 Sharp Jr., Stephen Lewis
 Sheets, Kimberly Anne
 Shields, Kelley Ann
 Snowden, Stacy M.
 Sowards, Suzanne Elizabeth
 Staber, Deana Nicole
 Stephenson, Amanda L.
 Stepteau, Cote Leah
 Sturegon, Max Daniel
 Taylor, Arleta Rayene
 Tenkman, Daniel William
 Thomas, Catherine Elizabeth

Bachelor of Science

Allison, Lyndi Ann
Bloss, Jaime Rene McGuire
Bolton, Sallie Cornette
Caudill, Lindsay Paige
Chambers, Gary Dwayn
Coleman, Elizabeth Mary
Embry, Megan Lynn
Gavin, Amy Leah
Gdowski, Daniel J.
Hafer, Margo Emily
Hayden, Brandy Michelle
Honican, Stephanie Faye
Humes, Amanda Michelle
Kern, Anna Marie
Markus, Christopher Bernard
McDaniel, Jason Nicholas
Nelson, Julie Auxier
O'Mahoney, Timothy Michael
Ownby, Jennifer Lauren
Panaretos, alexandra Maria
Poole, Lauren Elizabeth
Ray, Philip Dale
Roberts, Kari Manuel
Robinson, Jeremy Seth
Ross, Aaron Brandt
Russell, Jacquelyn Nicole
Scott, Abigail Elizabeth
Seither, Elizabeth Marie
Smith, Scott S.
Smith, Selena Anne
Sullivan, David Alan
Swanner, Natasha Courtney
Thompson, Katherine Lorene
Weber, Stephen Scott
Workman, Aaron Eugene
Youngs, Elizabeth Ann
Zimmerman, Robert James

College of Education **Acting Dean: Edgar L. Sagan**

Bachelor of Arts in Education

Al-Burgis, Islam Abu-Asfa
Baker, Nichole Barker
Barron, Kelly A.
Begley, Jacqueline Lee
Bertram, Brent Lee
Borths, Jennifer Ann
Boylan III, Robert Joseph
Brown, Melissa Ann
Brown, Natalie Renee
Brown, Sarah Glenna
Buchanan, Carol Jo
Buchenberger, Sarah Alice
Buckman, Jessica Paige
Cahill, Mary Kathleen
Christian, Sara Montgomery
Clark, Denise B.
Clark, Richard Mason
Cortes, Ruben David
Cotton, Analese
Courtney, Eric Lee
Cox, Tracy L.
Craft, Elizabeth Lauren
Curtsinger, William Jason
Davis, Krista Gail

DeLauter, Stephanie Elaine
Denning, Pamela Dale
Douglas, Kelly Shannon
Dreidame, Erin Miller
Eells, Carolyn Holmes
Egan, Brigid Ann
Erway, Michelle Louise
Evans, Eric Michael
Faudere, Tracie Lynn
Feder, Kara Ann
Finch, Karen Michelle
Fischer, Mark Louis
Garver, Janna Lea
Goodrich, Lawrence Duane
Gwyn, Mary-Rebecca
Hager, Cheryl Lea
Hall, Allyssa Lauren
Hammond, Jennifer Suzanne
Roseberry
Harvey, Candice Dawn
Hecker, James Matthew
Holian, Christopher Michael
Hollingsworth, Heron Simpson
Hudson, Lisa Jane Todd
Huelsenman, Christopher Alan
Jackson, Barry D.
Jacobs, Bryne Andrew
Jensen, Jenny Ann
Johnson, Kimberlee Carol
Johnston, Jessica Lynn
Korten, Heather Leigh
Kuschinsky, Nina
Lange, Timothy Brian
Lidvall, Ned Robert
Lierley, Peter Matthew
Lobaito, Cheryl Lynn
Macievic, Matthew Kenneth
Marquez, Chuck Rudy McGuire
McCormick, Ray Ann
Moore, Paula Bauscher
Noble, William Allen
O'Malley, Megan Marie
Patterson, Jennifer K.
Perry, Mark Edward
Pham, Thomas Julius
Phillips, Emilee Suzanne
Pirrman, Michael Anthony
Plummer, Angela
Porter, Kristina Lynn
Poynter, Larry Allan
Qualls, Daniel Jason
Reed, Jennifer M.
Reynolds, Terri McCall
Riggs, Stephanie Lynn
Russell, Melissa Louise
Salyer, Susan
Saunders, Lisa Lee
Schoener, Kimberly Nicole
Scott, Sara Lynn
Shaver, Susan Meade
Shibiya, Christopher
Skeen, Ann Brooke
Sorace, Tara Nicole
Starck, Kathleen Marie
Steckler, Daniel John
Steele, Traci Amanda
Stevens, Nikkita Rachelle
Stewart, Jennifer Brooke
Sundheimer, Kristin Welde
Sweazy, Marci LeAnn

Talmant, Zachary Jacob
Teitz, Kelly Elizabeth
Thomas, Laura Elizabeth
Thomas, Thomas (Tommy) Rodney, Jr.
Thornsbury, Eric Stephen
Travis, Laura Christine
Trent, Kevin Lee
Tucker, Ashley Brooke
Tucker, Julie Beth
Walker, Shannon Marie
Webb, Julie Ellen
Wells, Beth Leah
White, Edwina
Wolfe, Michelle Nicole

Bachelor of Science in Education

Blair, Gina Maria
Glasmeier, Elizabeth Ann
McDowell-Sumo, Larnetta
Rainey, Kara Anne
Speakes, James Ira

College of Engineering **Dean: Thomas W. Lester**

Bachelor of Science in Agricultural Engineering

Chin, Benedict Kee Seong
Kuwahara, Kousuke
Patel, Mita Kanu
Stevenson, Rachel Nichole
Sudduth, Megan Frances

Bachelor of Science in Chemical Engineering

Aloise, Anthony George
Jacobson, Kendon J
Vander Linden, Brett Joseph
Woolums, Christy Lynne

Bachelor of Science in Civil Engineering

Aud, Paul Gabriel
Baccino, John Eric
Caldwell, Lindsay Anne
Casey, Jason Dale
Chai, Kian Kuet
Combs, Jennifer Zoe
Crawford, Randy E.
Curry, Stephen Ray
Detjen, Aaron Joshua
Eilers, Jeffrey Richard
Gilreath, Stewart Benjamin
Gnau, Michael A.
Green, Clarence Robert
Guy, Mason Scott
Hamilton, David Aaron
Harned, Mary Elizabeth
Hing, Jason Yaw Cheuk
Hogan, Matthew John
Houchin, Christopher Todd
Hunt, Jody Grant
Lock, Jared Daniel
Mattingly, Wesley Richard

Meredith, Royce Jackson
 Miles, Daniel William
 Perkins, Vickie Carol
 Ratliff, Steven Wesley
 Richardson, James Henry
 Ritter, Christopher James
 Sawaya, Adeeb Elias
 Skaggs, Aric Lyndon
 Stull, Michael Wayne
 Tomlinson, Brian Keith
 Tucker, Joseph Lynn
 Walker, Jr. Kenneth Scott
 Wright, Jason Allen

Bachelor of Science in Computer Science

Alvarez, Daniel Fransisco
 Bowden, Benjamin Seth
 Eakle, Ryan Carrell
 Flora, Brennan Wayne
 Gao, Jing
 Haboush, Jason Anthony
 Heniser, Nicholas Jay
 Ho, Kah-Siew
 Holt, Jeremy Douglass
 Imam, Najati Robert
 Ingram, Matthew David
 Kelly, Anthony Antione
 Lio, JoAnna
 Long, Brian Mitchell
 Mahmood, Syed Farhad
 McKnight, Tiffany Ann
 Meeks, Steven N.
 Morgan, Troy Dennis
 Norris, Allen Gene
 Oleniczak, Rebecca Marie
 Padilla, Brian Robert
 Payne, Brent Michael
 Riley, Jeremy Wayne
 Schuler, Scott Michael
 Skubik-Peplaski, Stephen David
 Smith, Jonathan Russell
 Thomas, Michael Seldon
 Tyler, Zipporah
 Warren, Daniel Robert
 Wells, Catherine Lynn
 Wong, Hooi Ling
 Wyatt, William David

Bachelor of Science in Electrical Engineering

Brashear, Amanda E.
 Burke, Jonathan David
 Collett, Eric Wesley
 Crouse, Derek Todd
 Cutts, David Ross
 Damron, Robert Kevin
 El-Azzami, Bassem Abdel-Raouf
 Evely, Cris Robert
 Everett, Matthew Wayne
 Fawbush, William Jason
 Goh, Swee Yeaw
 Keith, Jr., Floyd Earl
 Kulapala, Beshan Randika
 Kumarasamy, K.Thirukumaran
 Lewis, Leslie Eugene
 Ong, Pang Leen
 Pitchford, Mark Andrew

Saeed, Gohar M.
 Saeed, Yasir Mahmood
 Schuller, William Bryce
 She, Andrew Hai Liang
 Tudor, Andrew Jay
 Wong, Key Kai
 Wright, William Lee

Bachelor of Science in Mechanical Engineering

Ball, Joshua Darnell
 Brown, Timothy Marc
 Caldwell, Jeffrey Martin
 Conn, Tara Lynn
 Cullens, Jason Allen
 Delis, Brandon William
 Estridge, Scott Ryan
 Fobare, Eric Stephen
 Goatley, Thomas Jason
 Green, Brian Patrick
 Hayden, Matthew Allen
 Hibbs, Randy Wayne
 Khor, Chin Kheng
 Kulik, Tracy C. Hodder
 Liew, Jason Chun Tchen
 Lowe, Stephen Lindley
 Marrett, Kenneth Edward
 McWaters, John Michael
 Mehta, Timothy Aaron
 Minter, Corey Scott
 Mueller, Bryan Todd
 Munich, Scott D.
 Newman, Neil Ryan
 Pace, Corey Michael
 Reeves, Christopher Michael
 Smith, Jeremy Mills
 Smith, Ryan Jeremy
 Smotherman, Charles David
 Staley, Timothy Dale
 Stigall, Shaun Ashley
 Tolbert Jr., William Thomas
 Towe, Brad Wesley
 Troutman, Michael Thomas
 Usui, Michiko

Bachelor of Science in Mining Engineering

McGuire, J.Scott

College of Fine Arts Dean: Robert Shay

Bachelor of Arts

Bond, Bonnie Susan
 Brown, Jennifer Lynn
 Browning, Mary R.
 Bruggeman, Christopher John
 Corder, Melissa Joelle
 Cross, Emily Gail
 Curtis, Kyle Patrick
 Daniels, Brian Thomas
 Greenwell, Chris L.
 Henderson, John
 Hill, Jessica Lane
 Huh, Lauren H.
 Hurliman, Phillip Wayne

Isaacs, Jennie Lorraine
 Jagers, Eric Scott
 Jamison, Star
 Jones Jr., Jay
 Knightly, Johnny Robert
 Konys, Zachary Alan
 McCormick, Sara Katherine
 McGhee, Allison D.
 Monohan, Sean
 Patel, Radhika S.
 Price, James Breck
 Rollins, Scott R.
 Schoenman, Kyung Sook
 Simpson, April Dawn
 St. Clair, Ann T.
 Taylor, Melissa Loy
 Thompson, Michael Wayne
 Tillman, Josh Anthony
 Vetter, Sarah Kathryn
 Woodall, Scott Christopher

Bachelor of Fine Arts

Beyer, Ryan Gregston
 Clouser, Grant Richard
 Gayton, Christopher Joseph Robert
 Kuster, Mary K.
 Marcum, Kristy Gail Sexton
 Moran, Molly Kathleen
 Ronk, Anthony Brian
 Thompson, Amanda Beth
 Vahlsing, Brandon Michael
 Whipple, Emily J.

Bachelor of Music

Hiner, Scott Christopher
 Perry, Judson Booth

Bachelor of Music in Music Education

Akers, Ryan W.
 Dale, Aaron Keith
 Halsey, Brendan Joseph
 Kite IV, William Casper
 Moses, Kellie Nicole
 Perkins, James Daniel
 Roberson, Camilla Ann
 Taylor, Susannah Pauline
 Thompson, Janece G.
 White, Jana Lynn
 Winkler, Heather Starr Combs

College of Human Environmental Sciences Dean: Retia S. Walker

Bachelor of Arts in Interior Design

Hodges, Elizabeth Southall
 Reed, Erica Shae Len

Bachelor of Science in Dietetics

Ballard, Farrah Anne
 Batshoun, Samar M.
 Crouch, Holly Nicole
 Farar, Lee Marie

Genton, Elizabeth Anne
 Gheen, Jennifer Kristin
 Hayden, Candice Danielle
 Howard, Marsha Renee
 Kind, Stacy Renee
 Lichaa, Denise
 Lovejoy, Lisa Nichole
 Lower, Monica S. Thomas
 Milliner, Michael Andrew
 Onishi, Keiko
 Powell, Michael C.
 Selkirk, Victoria Lynn
 Smith, Kristen Nicole

**Bachelor of Science in Family
 Studies**

Adams, Audrey Diane
 Ashlock-Jones, Debbie Ann
 Beaumont, Kelli Lynn
 Carson, Erica Lyn
 Congleton, Kelly Jaye
 Crowe, Merritt Stone
 Cruse, Sarah Renee
 Fox, Christina Michelle
 Gilmore, Melanie Aline
 Harrison, Kim Alicia
 Hill, John William Scott
 Ledford, Saralyn
 McCoy, Rebecca Leigh Hutton
 McDonald, Edward H.
 Nichols, Kathleen Letitia
 Powell, Anne Fitzpatrick
 Rodrian, Sarah Grace
 Siegel, Stacy Lynn
 Thomas, Tamara ZaNiea
 Tibbles, Margaret Louise
 Tracy, Erin Elizabeth

**Bachelor of Science in Family and
 Consumer Sciences Education**

Gillam, Sarah Michelle

**Bachelor of Science in Hospitality
 Management**

Carlisle, Absalom
 Flood, Bryan Daniel
 Hahn, Allison K
 Haley, Jimmy Michael
 Hall, Melody Dawn
 Hamblin, Lydia Dawn
 Harris, Casey Richard
 Kennedy, Brandie Jo
 Owomeye, Folake B.
 Reavis, Donald Grier
 Rosenberger, Cathy Ann
 Russell, April Renee
 Thompson, Melissa Nicole
 Westerfield, Leia N.

**Bachelor of Science in Human
 Nutrition**

Cole, Christina Elaine

**Bachelor of Science in
 Merchandising, Apparel & Textiles**

Blanton, Andrea Jane
 Brandsma, Kelly Ann
 Burkholder, Kelly Babson
 Clarke, Felicia Marie
 Floyd, Jayme Eileen
 Fritz, Melody Ann
 George, Allison Elizabeth
 Greenwell, Falana Marie
 Grey, Sonja A.
 Hall, Summer Elizabeth
 Hrankowsky, Melissa Campbell
 Keber, Cora Lynnette
 Key, Amanda
 Mitchell, Anne Forsythe
 Price, Kara Lane
 Richerson, Shelly Jo
 Van Winkle, Louise Claiborne
 Van Winkle, Sarah Chenault
 Watkins, Melissa Brooke

**College of Nursing
 Dean: Carolyn A. Williams**

Bachelor of Science in Nursing

Allen, Lesley Leigh
 Baker, Rachel Dorene
 Bauer, Shelley Ann Burnfin
 Brashears-Ramsey, Sandra Lynn
 Brasher, Julie Schuetz
 Caffee-Shive, Amy Nicole
 Chandler, Melissa Jean
 Chiappetta, Catherine Marina
 Crease, Margot Denise
 Crytzer, Jessica Sue
 Davis, Lori Danelle
 Day, Jamie Marie Lukas
 Eckert, Stacy Rene
 Gibson, Vicki Nelson
 Graham, Jennifer Anne
 Grizzle, Cathy Leigh
 Hawk, Jillisa Danielle
 Hayes, Amanda Moore
 Higdon, Ashley Ann
 Huntzinger, Marisa Noelle
 Kelly, Erika Marie
 Kirunchyk, Amy
 Larson, Jennifer Singleton
 Lott, Brende Lynn
 Matthews, Carrie Elizabeth
 McIntosh, Ben
 Oremus, Ruth Ann
 Palmer, Andrea Michelle
 Singleton, Heather Leora
 Sipple, Erica Kathleen
 Stickler, Frances Marie Edelen
 Stockton, Shelley Danielle
 Summers, Shannon Rae
 Tabor, Jessica Smoot
 Turpen, Emily MariBea
 Whiles, Kathryn Lea

**College of Social Work
 Dean: Kay S. Hoffman**

Bachelor of Arts in Social Work

Bowling, Cynthia A.
 Deale, Angela Rachelle Lewis
 DePaul, Melissa Dawn Roy
 Dunagan, Michele Marie
 Fisher II, Dennis Abram
 Garrand, Brian Joseph
 Gause, Tezra Monique
 Hayden, Phyllis Ann
 Horner, Vicki Lee
 Kamphake, Michael Edward
 Lainhart, Amy Jo
 Lee, Emilie Lynn
 Livesay, Laura Lee
 McClanahan, Julie M. Scollin
 Owens, Shantia A.
 Rowe, Laneshia Rae
 Slaughter, Jackie Marie
 Stovall, Teri Nichelle
 Whorley, Amanda Brooke
 Willis, Myron Chadwick
 Wilson, Teri Dawn

**Lexington Community
 College
 President: A. James Kerley**

Associate of Arts

Arnett, Sarah Elizabeth
 Ball, Justin David
 Barack, Matthew Michael
 Bellamy, Jennifer L.
 Bennett, Markus Michael
 Boggs, Michael Scott
 Brady, Kimberly Gayle
 Brown, James Steven
 Broyles, Katrinia Lachelle
 Buford, Dianna L.
 Bunton, Damon C.
 Chapleau, Shauna L
 Chastain, Tye Lars
 Cooper, Robin Dale
 Correa, Bradley R.
 Cummins, Diana Lynn
 Fleener, Leslie M.
 Fontenot, Chad E.
 Holderman, Bridget
 Horn, McKinley Chester
 Jones, April Lynn
 Kirby, Kelli Shavone
 Martin, Steven S.
 Mason, Katrina A.
 Matherly, Gayle
 McCray, Keren R.
 McKaig, Susan Nicole
 Moore, Elizabeth Denise
 Myers, Sarah Lynn
 Owens Jr., Bruce W.
 Patterson, Angela
 Reed, Amber Dawn
 Riggs, Carole C.
 Russell, Martha Kathryn
 Shryver, Sandra Gay
 Taylor, Elizabeth K.

Wagner, Dianna R.
Watts, Meghan Lyn
Willis, Beth Ellen Hardy

Associate of Science

Arnett, Sarah Elizabeth
Ball, Justin David
Bennett, Markus Michael
Boggs, Robert Keith
Buford, Dianna L.
Davenport, Tena Lee
Davis, Andrea Lynn
Fontenot, Chad E.
Gray, Kristie Denise
Kirby, Kelli Shavone
Kolenda, Christina Lynn
Martin, Steven S.
Owens Jr., Bruce W.
Patterson, Angelia
Pham, Jacqueline Trang
Shroyer, Kristen Ann
Sparrow, Cory C.
Suedkamp, Matt
Taylor, Elizabeth K.
Thomas, Christoper D.

Associate of Applied Science

Adams, Christian J.
Adanick, Aubin Munn

Alvarez, Melissa Ann
Bailey, Debra Lee
Barnett, Mason Louis
Barnett, Tanya May
Barnhart, Robert Benjamin
Bishop, Sarah Rebekah
Blackburn, Jonathan c.
Camur, Nadide Gulsen
Carter, Mai T.
Caudill Jr., Watson
Claycomb, Raricka Denee
Combs, Jacob Andrew
Cooper, Randall S.
Cordier, Jonathan Daniel
Cummins, Diana Lynn
Davis, Rochelle M.
Decker, Aaron R.
Fallis, Nicole
Feltner, April
Flaherty, William E.
Francis, Stephanie L.
Ginting, Mangsi
Harney, Brian Thomas
Hayes, Richard Allen, II
Hobson, Paul Jared
Johnson, Matthew Ray
Jones, April Lynn
Joynt, Stuart. F., IV
Long, Stacey Leigh
McKinney, Sandy
Green, Paula B.

Guy, Russell E.
Hale, Wanda Maria
Metzger, Matthew Todd
Passovoy, Amy Jo
Patrick, Paul Richard
Perkins, Phillip
Redden, Matthew Shane
Robayo, Adriana Castano
Romines, Shawn
Rose, Ott Jr.
Royse, Donnie L.
Ryland, Vanessa Gentry
Scully, Karen M.
Seaborn, D. Elizabeth
Simpson, Robert Vaughn
Smith, Stevi Marie
Spalding, J. Scott
Spalding, Melissa Ann
Stith, Eric David
Taylor, Nick
Thornton, Nicholas Denver
Tillery, Alvin A.
Tucker, David S.
Varner, David A.
Vaughan, Herild
Wallace, Joy L.
Warren, Karen Ann
Wilson, Deborah Gayle
Wintz III, Joseph W.

AACR 2

Office of the President
December 11, 2001

Members, Board of Trustees:

CHANGE IN NAME OF AN EDUCATIONAL UNIT

Recommendation: that the Board of Trustees approve the change in the name of the Department of Microbiology and Immunology to the Department of Microbiology, Immunology and Molecular Genetics.

Background: The proposed name change is recommended to better reflect the research and teaching mission of the department.

The proposed change has been approved by the faculty in the Department and the Academic Council for the Medical Center; reviewed and recommended by the Senate Committee on Academic Organization and Structure and the Senate Council; and approved by the University Senate. The Provost of the University supports this recommendation.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 1

Office of the President
December 11, 2001

Members, Board of Trustees:

ACCEPTANCE OF INTERIM FINANCIAL REPORT FOR THE
UNIVERSITY OF KENTUCKY FOR THREE MONTHS ENDED
SEPTEMBER 30, 2001

Recommendation: that the Board of Trustees accept the University of Kentucky consolidated financial report for the three months ended September 30, 2001.

Background: The consolidated financial report includes the financial activities of the University of Kentucky and its affiliated corporations, consisting of the University of Kentucky Research Foundation, The Fund for Advancement of Education and Research in the University of Kentucky Medical Center, University of Kentucky Athletic Association, University of Kentucky Mining Engineering Foundation, University of Kentucky Business Partnership Foundation, University of Kentucky Humanities Foundation, University of Kentucky Equine Research Foundation, University of Kentucky Center on Aging Foundation, and Health Care Collection Service.

As of September 30, 2001, the University had realized income of \$360,350,000 representing 28% of the 2001-02 estimate of \$1,288,215,000. Expenditures and commitments total \$330,708,000 or 26% of the approved budget of \$1,288,215,000.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 2

Office of the President
December 11, 2001

Members, Board of Trustees:

APPOINTMENT OF INDEPENDENT AUDITORS

Recommendation: that the Board of Trustees engage the firm of Deloitte & Touche, Certified Public Accountants, to perform the independent audits of the University of Kentucky and Affiliated Corporations for the fiscal years ending June 30, 2002-2005, for an annual fee, including expenses, of \$215,500 for the first year, adjusted by the change in the Consumer Price Index (CPI) for each of the following years. Exhibit I, Scope of Audit, provides a summary of work listing the entities and programs to be audited and other reports required.

Background: KRS 164A.570 and 164A.610 require the University of Kentucky to engage a qualified firm of certified public accountants experienced in the auditing of institutions of higher education to conduct an annual examination of the financial statements for the purpose of submitting an independent opinion, preparing a report of findings and recommendations concerning internal accounting controls and procedures and compliance with KRS 164A.555 to 164A.630 (House Bill 622).

The University of Kentucky received proposals from four of the Big Five accounting firms, all of which were highly qualified to serve as the independent auditors. Deloitte & Touche proposed the lowest cost for each of the four years.

Deloitte & Touche has served as external auditor for the previous six fiscal years, beginning in 1995-96, and has performed in a highly satisfactory manner. The extensive Scope of Audit and related reports require an audit firm with a large staff, extensive resources and professional capabilities. Deloitte & Touche is a national accounting firm and has demonstrated the ability to perform the external audit in a highly competent manner.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

EXHIBIT 1

SCOPE OF AUDIT

The Certified Public Accountants will make an examination of the accounting records and financial data of the following entities of the University of Kentucky:

University of Kentucky (consolidated and unconsolidated)

Its affiliated corporations –

University of Kentucky Research Foundation, including a separate audit
Kentucky Technology, Inc. and subsidiaries, a consolidated
subsidiary of UKRF

University of Kentucky Athletic Association

The Fund for Advancement of Education and Research in the
University of Kentucky Medical Center

Health Care Collection Service, Inc.

University of Kentucky Mining Engineering Foundation, Inc.

University of Kentucky Business Partnership Foundation, Inc.

University of Kentucky Equine Research Foundation, Inc.

University of Kentucky Humanities Foundation, Inc.

University of Kentucky Center on Aging Foundation, Inc.

The Certified Public Accountants will also audit and issue opinions on the separate financial statements of the following units of the University:

University of Kentucky Hospital, including a separate audit of Kentucky
Healthcare Enterprises, Inc. and subsidiaries, a consolidated
subsidiary of the Hospital

University of Kentucky Housing and Dining System

University of Kentucky Tobacco and Health Research Institute

WUKY-FM Radio

Lexington Community College

The Certified Public Accountants will issue an opinion on the Annual Financial Report to the Corporation for Public Broadcasting for radio station WUKY.

The Certified Public Accountants will audit the financial statements of the following entities which are related to the University but are not included in the consolidated financial statements:

University of Kentucky Alumni Association

University of Kentucky Hospital Auxiliary

University of Kentucky Credit Union (as of and for the years ended December 31, 2002
- 2005)

EXHIBIT 1, Continued

The Certified Public Accountants will audit the combined statement of revenues and expenditures of the University of Kentucky Intercollegiate Athletics Program, conducted in accordance with the auditing standards and guidelines as identified in the *NCAA Financial Audit Guide*. The review of the related booster organizations will be limited to the minimum scope as defined in the NCAA audit guide.

Examination of the financial statements of these entities and programs will be made in accordance with generally accepted auditing standards and the standards for financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, and the provisions of the Office of Management and Budget (OMB) Circular A-133, *Audits of Institutions of Higher Education and Other Non-Profit Institutions*. The objective of such an examination is to enable the Certified Public Accountants to express an independent opinion as to whether the financial statements are fairly presented, in all material respects, in conformity with generally accepted accounting principles.

As a part of the examination, the Certified Public Accountants will make a study and evaluation of the University's system of internal accounting control to the extent they consider necessary to evaluate the system as required by generally accepted auditing standards and *Governmental Auditing Standards*. Under these standards, the purpose of such evaluation is to establish a basis for reliance on the system of internal accounting control in determining the nature, timing, and extent of other auditing procedures that are necessary for the auditor in planning and performing the examination of the financial statements.

In addition to the examination of the basic financial statements, the Certified Public Accountants will issue the following letter reports:

Letter report expressing an opinion as to the University's compliance with KRS 164A.555 to 164A.630 based upon the minimum audit scope as established by the Finance and Administration Cabinet Secretary of the Commonwealth of Kentucky.

Letter report to the Secretary of Finance and Administration Cabinet regarding the financial data and information provided by the University on Forms AFR 80 to 126.

Letter report to the Auditor of Public Accounts reporting the results of an audit of events subsequent to the date of the report on the University's financial statements.

Letter report to the Auditor of Public Accounts representing that the firm is in compliance with the generally accepted auditing standards and the Government Auditing Standards concerning continuing education requirements, independence and peer review.

EXHIBIT 1, Continued

Letter report on the compliance of the University to the contract agreement between the University of Kentucky and Kentucky Medical Services Foundation.

In accordance with OMB Circular A-133 Audit of Federally Sponsored Programs including research and other programs, Basic Education Opportunity Grant Program (Pell Grants), National Direct Student Loan, College Work Study, Supplemental Educational Opportunity Grant Programs, and Health Profession Student Loan Programs, the Certified Public Accountants will prepare the following separate written reports:

- Report on Schedule of Expenditures of Federal Awards
- Report on Compliance and on Internal Control Over Financial Reporting
- Report on Compliance and Internal Control Over Compliance Applicable to Major Federal Award Program

The Certified Public Accountants will also prepare:

- Reports of estimated bond arbitrage liability for each Consolidated Educational Building Revenue Bond, Housing and Dining Revenue Bond, Library Bond and Hospital Bond issue.
- Federal, state and local income tax returns for Kentucky Technology, Inc. and subsidiaries and Kentucky Healthcare Enterprises, Inc. and subsidiaries.

Furthermore, the Certified Public Accountants agree to comply with the requirements to be set forth in a letter from the Auditor of Public Accounts of the Commonwealth of Kentucky to Dr. Lee T. Todd, Jr. This letter has not yet been received by Dr. Todd, however, the University does not expect the requirements to differ from those listed in this Scope of Audit. If the scope changes significantly, the Certified Public Accountants and the University will mutually revise the estimated fee to reflect additional services required to meet the requirements of the letter.

FCR 3

Office of the President
December 11, 2001

Members, Board of Trustees:

DISPOSITION OF SURPLUS PROPERTY

Recommendation: that the Board of Trustees approve the disposal of surplus property as listed on Attachment I.

Background: Kentucky Revised Statute 164A.575 requires that the Board of Trustees approve the disposition of surplus property. Administrative Regulation II-1.3-3, approved by the Board of Trustees on August 16, 1994 establishes the policies and procedures for the disposition of surplus property. In accordance with AR II-1.3-3, the Board of Trustees must be provided with a description of the property, the reason for disposition and the method of disposition. Attachment I includes the required information for the requested disposition of the surplus property.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

UNIVERSITY OF KENTUCKY
REQUEST FOR DISPOSITION OF PERSONAL PROPERTY

Description	One AB Dick Color Offset Duplicator, Model 360CM. One Challenge Paper Cutter, Model 420 One Datsun Electric Forklift One Seybold Paper Cutter, Model CLB-S One Admiral Camera, Model 31S One Carlson Sharpshooter Densitometer One Halm Jet Envelop Press, Model JP-WO One Bell and Howell Baumfolder Paper Folder, Model 433 One Bouorg Stitcher, Model AGR Two ITEK Offset Presses, Model 3985 One Silvermaster Platemaker, Model 5P890 One Harris Multibinder Collator, Model SL 309G One Linotype Linotronic Recorder, Model LTC One AB Dick Offset Press, Model 9850 One O & M Paper Folder Two General Binding Corporation Punch and Binding Machines, Model 111PM-2 One Douthitt Corporation Press Plate Vacuum System, Model 3545 One Linotype Rip-50 Imaging System, Model 50 One Glunz and Jenson Film Processor, Model JL720 One Foster and Gallo Bi-axis Plate Line-up Table, Model 30-430 One Cheshire Labeling System, Model 568 One Bell and Howell Mail Inserter, Model 19
Reason for Disposition	Effective January 31, 2002 the Printing Services Department will cease operations and the property will become surplus to the needs of that department. The property has been made available to other University departments but no suitable use has been identified. Almost all the property is fully depreciated and the Vice President for Fiscal Affairs and Information Technology and the Senior Vice President for Administration recommend sale of the property to prevent further depreciation and loss of value.
Method of Disposition	Public Auction

FCR 4

Office of the President
December 11, 2001

Members, Board of Trustees:

CAPITAL CONSTRUCTION REPORT

Recommendation: that the capital construction report for the three months ending September 30, 2001, be accepted. This report refers only to projects that had activity within this quarter.

Background: Under House Bill 622 enacted in the 1982 session of the Kentucky General Assembly, the University is authorized to enter into architectural, engineering, and related consultant contracts for the purpose of accomplishing capital construction at the University of Kentucky.

NOTE: This FCR contains additional documentation. To obtain a complete copy, please contact

Pam Lowery
Capital Project Management
225 Peterson Service Building
UK Campus 0005
859-257-5911

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 5

Office of the President
December 11, 2001

Members, Board of Trustees:

PATENT ASSIGNMENT REPORT

Recommendation: that the patent assignment report for the period June 30 through November 30, 2001, be accepted.

Background: FCR 5, dated March 4, 1997, authorized that all future copyright and patent filings and prosecutions be conducted by the University of Kentucky Research Foundation (UKRF), and that the Vice President for Research and Graduate Studies or his designee be authorized to execute any needed documents to obtain appropriate patent or copyright protection. Quarterly reports on patent and copyright applications are to be submitted to the Finance Committee of the Board.

Action Taken: ☒ Approved ☐ Disapproved ☐ Other _____

PATENT ASSIGNMENT
QUARTERLY FOR THE PERIOD June 1 through November 30, 2001

Patents

The following assignments on behalf of the Board of Trustees to the University of Kentucky Research Foundation have been executed:

1. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "NOVEL LONG ACTING, REVERSIBLE VETERINARY SEDATIVE & ANALGESIC AND METHOD OF USE." Inventor: Thomas Tobin. This invention is a veterinary composition comprising a guanidine derivative, *e.g.*, guanabenz or guanabenz acetate which produces a rapid acting and long lasting sedative and analgesic effect in a subject animal that is selectively reversible. The use of guanabenz in the horse provides a safe, effective, long lasting and rapidly reversible sedative and analgesic which can be used on the standing animal. Methods of use of the compositions of the invention are also provided.
2. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "BICYCLIC TERPENES AND SYNTHESIS THEREOF." Inventors: H. Peter Spielmann and Joseph Chappell. This invention discloses thirteen-membered rings containing terpenoid analog compounds synthesized from analinogeranylpyrophosphate using 5-*epi*-aristolochene synthase as a reaction catalyst. The method provides a generalized procedure for making high-ordered ring structures having various substituent groups. The products can be used in assays for 5-*epi*-aristolochene synthase activity, and as precursors and intermediates for biologically active substances.
3. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "MIXING AND DISPERSION OF NANOTUBES BY GAS OR VAPOR EXPANSION." Inventors: Francis J. Derbyshire, Rodney Andrews and Bouchra Safadi. This invention provides novel methods and compositions for coating target surfaces with non-entangled multi-wall carbon nanotubes. In one aspect, the methods and compositions of the invention comprise dispersion of non-entangled multi-wall carbon nanotubes in solvent, and application of the non-entangled multi-wall carbon nanotube/solvent mixture to a surface by spraying. In another aspect, the methods and compositions of the invention comprise dispersion of non-entangled multi-wall carbon nanotubes in solvent, and applying the nanotube/solvent mixture to a suitable matrix by spraying to form a surface coating which is substantially contiguous with the surface of the matrix. The compositions of the invention are substantially free of metal oxides and sulfur, and do not require harsh oxidative treatments.
4. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "POLYMETHYLMETHACRYLATE AUGMENTED WITH CARBON NANOTUBES." Inventors: David A. Pienkowski and Rodney Andrews. This

invention provides an augmented synthetic resin. The resin includes carbon nanotubes dispersed in a polymethylmethacrylate matrix. The invention also provides a method of preparing this synthetic resin including the mixing and disaggregation of the carbon nanotubes.

5. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled “MOLECULAR FUNCTIONALIZATION OF CARBON NANOTUBES AND USE AS SUBSTRATES FOR NEURONAL GROWTH.” Inventors: Robert C. Haddon, Mark P. Mattson and Apparao M. Rao. This invention discloses a cell and substrate system and nerve regeneration implant including a carbon nanotube and a neuron growing on the carbon nanotube. Both unfunctionalized carbon nanotubes and carbon nanotubes functionalized with a neuronal growth promoting agent may be utilized in the invention. A method is also disclosed for promoting neuronal growth.
6. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled “METHOD OF PREPARING A COMPOSITE POLYMER AND SILICA-BASED MEMBRANE.” Inventors: Dibakar Bhattacharyya, Stephen M. Ritchie, Leonidas G. Bachas, Jamie A. Hestekin and Subhas K. Sikdar. This invention provides a method for preparing a chemically activated or polyamino acid functionalized membrane and includes the steps of permeating a silica-based membrane with a solution of silane and a solvent so as to react methoxy groups of the silane with silanol groups of the membrane to incorporate epoxide groups and attaching a polyamino acid to the membrane by reacting a terminal amine group of the polyamino acid with one of the epoxide groups on the membrane.
7. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled “PREPARING AND REGENERATING A COMPOSITE POLYMER AND SILICA-BASED MEMBRANE.” Inventors: Dibakar Bhattacharyya, Stephen M. Ritchie, Leonidas G. Bachas, Jamie A. Hestekin and Subhas K. Sikdar. This invention discloses a method for preparing and regenerating a chemically activated or polyamino acid functionalized membrane including the steps of permeating the silica-based membrane with a solution of silane and a solvent so as to react methoxy groups of the silane with silanol groups of the membrane to incorporate epoxide groups and attaching a polyamino acid to the membrane by reacting a terminal amine group of the polyamino acid with one of the epoxide groups on the membrane. The membrane is regenerated after metal entrapment by utilizing helix-coil properties of polyamino acids.
8. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled “IODO-NONOXYNOL-9-DERIVATIVES AND METHODS FOR THEIR USE.” Inventors: George Digenis, Philip T. Fowler, Kazuya Matsumoto and Gustavo F. Doncel. This invention provides mono- and di- iodinated nonoxynol - 9- derivatives and methods for their use as anti-spermicidal and to reduce or prevent transmission of sexually transmitted diseases.

9. U.S. Patent Serial Number: (to be assigned), filed (to be filed), "AGMATINE AND AGMATINE ANALOGS IN THE TREATMENT OF EPILEPSY, SEIZURE AND ELECTROCONVULSIVE DISORDERS." Inventor: Peter A. Crooks, Aimee K. Bence and David R. Worthen. This invention provides pharmaceutical preparations containing agmatine, congeners, analogs or derivatives thereof for use in preventing or treating epilepsy, seizures and other electroconvulsive disorders. Embodiments include administering an effective amount of agmatine, and agmatine analog or a pharmaceutically acceptable salt thereof to a human subject in need of treatment or prevention of epilepsy, seizure or other electroconvulsive disorder to treat, reduce, or prevent the disorder in the subject.

FCR 6

Office of the President
December 11, 2001

Members, Board of Trustees:

APPROVAL OF LEASE

Recommendation: that the Senior Vice President for Administration be authorized to negotiate and execute the following:

A new lease between the University of Kentucky (School of Public Health) and South Creek Properties, 175 East Main Street, Suite 350, Lexington, Kentucky, for space located at 2365 Harrodsburg Road, Lexington, Kentucky, effective December 15, 2001 through June 30, 2002, for the use of 2,447 square feet of office space, at an annual rate of \$40,375.50.

Background: FCR 5, dated October 5, 1985, authorized the President or his designated representative to enter into leases and easements not exceeding \$30,000 in value and required that all leases in excess of \$30,000 be approved by the Board of Trustees.

Action Taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 7

Office of the President
December 11, 2001

Members, Board of Trustees:

APPROVAL OF A LEASE TO THE WESLEY FOUNDATION, INC.

Recommendation: that the Board of Trustees authorize the Senior Vice President for Administration to execute a lease for University property at 536 Columbia Avenue to the Wesley Foundation, Inc. for the sum of One Dollar (\$1.00) per year for a period of fifteen (15) years.

Background: In addition to consideration of One Dollar (\$1.00) a year, the Wesley Foundation agrees to construct parking lot improvements on the property at 536 Columbia Avenue to accommodate its patrons (which include students of the University of Kentucky). The lease includes the usual requirements of day-to-day maintenance of the premises, insurance by the Wesley Foundation and indemnification of the University.

The lease also contains a special provision concerning future plans of the Wesley Foundation to provide housing accommodations on its property at 507 Columbia to accommodate at least 32 students enrolled at the University.

Action Taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 8

Office of the President
December 11, 2001

Members, Board of Trustees:

2001-02 Budget Revisions

Recommendation: that the following revisions to the 2001-02 budget be authorized and approved.

	<u>Approved Budget</u>	<u>Revised Budget</u>	<u>Change</u>
A. <u>GENERAL FUND</u>			
1. Income Estimates			
Student Fees			
General			
Regular-Lexington			
Community College	\$ 9,526,500	\$ 10,027,300	\$ 500,800
Self-Supporting			
Noncredit Fees	8,382,100	8,472,600	90,500
Mandatory Registration Fees	5,258,900	5,642,500	383,600
Other Fees	2,131,300	2,193,800	62,500
County Appropriations	8,270,600	8,925,100	654,500
Gifts, Grants, Contracts			
The Fund for Advancement of			
Education and Research in			
The Medical Center	6,528,200	6,543,200	15,000
Nongovernmental Grants and			
Contracts	80,720,900	80,727,000	6,100
Gifts, Donations and Pledges	14,625,700	15,171,100	545,400
Sales and Services			
Departmental Sales			
and Services	28,702,900	29,146,200	443,300
			<u>\$ 2,701,700</u>
2. Expenditures			
Medical Center			
College of Allied Health			
Department of Health			
Services	639,600	622,100	(17,500)
College of Dentistry			
Office of the Dean	797,600	817,600	20,000
Office of Administrative			
Affairs	1,312,300	1,367,300	55,000
Office of Student Affairs	283,900	288,900	5,000
Patient Care	2,073,100	2,088,100	15,000
College of Medicine			
Dean's Office	2,363,200	2,059,600	(303,600)
Diagnostic Radiology	2,831,800	2,791,800	(40,000)

A. GENERAL FUND (continued)

2. Expenditures (continued)

Medical Center (continued)

College of Medicine (continued)

	<u>Approved Budget</u>	<u>Revised Budget</u>	<u>Change</u>
Internal Medicine	13,316,500	13,323,500	7,000
Obstetrics and Gynecology	6,582,700	6,584,200	1,500
Pathology and Laboratory			
Medicine	3,806,200	3,846,700	40,500
Radiation Medicine	\$2,006,900	\$2,012,900	\$ 6,000
Research Challenge Trust Fund			
Research and Graduate			
Programs	1,462,400	1,469,200	6,800
Center for Cancer Prevention,			
Education, Research and			
Patient Care	2,481,000	2,666,500	185,500
Administration and Support			
Chancellor/Other Support			
Services			
Parking and Security	996,500	971,500	(25,000)
Provost			
Agricultural Cooperative			
Extension Service			
Field Programs	26,411,600	27,066,100	654,500
College of Engineering			
Transportation Center	310,000	395,300	85,300
Lexington Community College			
General Instruction	10,368,400	11,252,800	884,400
Student Services	1,638,700	1,698,700	60,000
Scholarships	225,900	307,400	81,500
Chief Academic Office			
Program Reserve	353,800	897,600	543,800
Research			
Academic Affairs			
Center for Applied			
Energy Research	4,567,000	4,917,000	350,000
Academic Support			
General Academic Support	2,297,000	2,383,000	86,000
			<u>\$2,701,700</u>

3. Comments - The increase in regular student fees is due to enrollment growth in Fall 2001 in Lexington Community College and will support general instruction. The increase in noncredit fees will support a certification program in the College of Medicine, a Shadowing program in the College of Dentistry, the 2001 Governor's Safety Summit program and an Aviation program, both in the College of Engineering. The mandatory registration fee increase will support programs at Lexington Community College. Increases in other fees will support programs in the College of Dentistry and Lexington Community College. The decrease in other fees is due to the Physician Assistant program moving to a graduate level degree in the College of Allied Health.

A. GENERAL FUND (continued)

3. Comments (continued)

The county appropriation increase will support field programs in the Agricultural Cooperative Extension Service.

The increase in the Medical Center Fund will support programs in the College of Dentistry. The increase in nongovernmental grants and contracts will support contract agreements in the College of Medicine. The decrease in nongovernmental grants and contracts is due to the discontinuation of the Locum Tenens program and the reduction of a contract in the College of Medicine with Central Baptist Hospital. The increase in gifts, donations and pledges will support Distance Learning activities, academic programs in Research, the College of Medicine, and the Center for Cancer Prevention, Education, Research and Patient Care. The decrease in gifts, donations and pledges is due to a decline in revenue from the Justice Cabinet for the Medical Examiner's program in the College of Medicine.

Programs to be supported by increased departmental sales and services include editorial services in the College of Dentistry, analytical and consulting services in the Center for Applied Energy Research, increased activities in the College of Medicine, Lexington Community College, the Transportation Center in the College of Engineering, and Scholarship programs in the Provost area. Decreases in departmental sales and services is due to the cancellation of a contract in the College of Allied Health, the discontinuation of the Locum Tenens program in the College of Medicine, a decrease in the Investigative Radiology program in the College of Medicine, and a decrease in the parking program at the Medical Center.

	<u>Approved Budget</u>	<u>Revised Budget</u>	<u>Change</u>
B. <u>RESTRICTED FUNDS</u>			
1. Income Estimates	\$ 98,604,600	\$ 99,167,900	\$ 563,300
2. Expenditures			
Administration			
Office of the President	42,600	92,600	50,000
Provost			
Agricultural Cooperative Extension Service			
Assistant Director -			
Agriculture Programs	231,100	171,100	(60,000)
Horticulture	600,800	540,800	(60,000)
Libraries	2,692,800	3,326,100	633,300
			<u>\$ 563,300</u>

3. Comments - Income restricted for the purposes indicated above will fund the proposed additional program activities.

	<u>Approved Budget</u>	<u>Revised Budget</u>	<u>Change</u>
C. <u>AUXILIARY FUND</u>			
1. Income Estimate	\$ 41,122,900	\$ 41,133,600	\$ 10,700
2. Expenditures			
Medical Center			
College of Medicine			
Anatomy and Neurobiology	-0-	10,700	10,700
3. <u>Comments</u> - The increase in auxiliary enterprises is due to a new service center program in the College of Medicine.			
D. <u>AFFILIATED CORPORATIONS</u>			
1. Income Estimates	\$207,717,000	\$207,709,900	\$ (7,100)
2. Expenditure			
Mining Engineering Foundation	101,800	94,700	(7,100)
3. <u>Comments</u> - The budgets of the affiliated corporations are included in the University Operating Budget to provide the Board of Trustees with a consolidated operating budget consistent with submissions to the Governor, the Legislature and the Council on Postsecondary Education. The affiliated corporation budgets contained in the original operating budget document are in some instances tentative subject to the approval of the respective affiliated corporation boards. The revision for the Mining Engineering Foundation represents the budget as subsequently approved by the affiliated corporation board.			

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 9

Office of the President
December 11, 2001

Members, Board of Trustees:

LEXINGTON COMMUNITY COLLEGE
SUPPORT FEE APPROVAL
FOR THE SPRING 2002 AND SUMMER 2002 SEMESTERS

Recommendation: that the Board of Trustees approve a Support Fee of \$65 per semester to be assessed to full-time students and a Support Fee of \$6 per credit hour be assessed to part-time students at Lexington Community College for the spring 2002 and summer 2002 semesters pending a determination of state appropriated funds available to support Lexington Community College's operation during the 2002-04 biennium.

Background: As a comprehensive community college, Lexington Community College (LCC) has an open admissions policy which has resulted in significant enrollment growth over the past several years. State support per student at Lexington Community College is approximately 54 percent that provided to its benchmark institutions and is about 87 percent of that of the Kentucky Community and Technical College System (KCTCS). Resident student tuition has been held constant for several years in order to bring it more in line with that of other KCTCS schools. The Council on Postsecondary Education's state appropriation per student equity funding has not adequately dealt with the disparity of state fund per student at LCC compared to other public institutions in Kentucky.

The enrollment growth resulting from open access has put tremendous pressures on the LCC operating budget with the new tuition generated by the new students providing most of the financial relief to cover the cost of new enrollments. LCC continues to be faced with a high percentage of classes taught by part-time faculty and this situation will increase as enrollments continue to grow.

LCC estimates a significant budget deficit for fiscal year 2002; the Support Fee is proposed as an interim funding measure pending a thorough review of LCC's tuition policies and actions by the 2002 General Assembly regarding state appropriation to Lexington Community College. Lexington Community College is a line item appropriation separate from the appropriation to the University of Kentucky.

Action Taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 10

Office of the President
December 11, 2001

Members, Board of Trustees:

PROFESSORSHIP NAME CHANGE

Recommendation: that the Board of Trustees approve changing the name of the United States Surgical Professorship in Minimally Invasive Surgery to the Commonwealth Professorship of Minimally Invasive Surgery.

Background: The Board of Trustees accepted in December, 1998, a \$140,000 gift and a pledge of \$2,260,008 from United States Surgical Corporation of Norwalk, Connecticut, to establish a Center for Minimally Invasive Surgery in the College of Medicine's Department of Surgery and to establish two professorships in minimally invasive surgery. The two professorships were subsequently combined into one professorship to enable the Center to provide more income to recruit and retain talented faculty in this highly specialized area.

Initially, the professorship was named to honor United States Surgical, but the company has no desire to have the professorship named in its honor and has given permission to the University to give it a different name. The Center for Minimally Invasive Surgery requests that the professorship be called the Commonwealth Professorship of Minimally Invasive Surgery to recognize the state for its contribution of matching funds through the Research Challenge Trust Fund.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 11

Office of the President
December 11, 2001

Members, Board of Trustees:

JAMES P. GRAY II GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$20,000 and a pledge of \$80,000 by James P. Gray II of Lexington, Kentucky, to create and endow the James P. Gray II Cultural Endowment Fund in the Gaines Center for the Humanities.

Background: Mr. Gray is executive vice president of the James N. Gray Company, a Lexington-based construction, architecture and engineering firm. His commitment provides funds for an annual trip for the Senior Gaines Fellows to a U.S. city to visit art museums and special art exhibits to enhance the students' appreciation of the arts. The Gaines Center for the Humanities was established in 1984 and offers exceptional study and research opportunities for undergraduates accepted into the program. The \$80,000 pledge will be paid in four annual installments beginning in 2002.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 12

Office of the President
December 11, 2001

Members, Board of Trustees:

PHILIP MORRIS, INC., GIFT

Recommendation: that the Board of Trustees accept a gift of \$401,600 from Philip Morris, Inc., of Richmond, Virginia, to the College of Agriculture.

Background: Philip Morris has been a major supporter of the College of Agriculture for many years and has contributed significantly to the success of the college's research, instruction and service programs. This gift is for undergraduate scholarships, graduate fellowships, the leadership development program and tobacco research.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 13

Office of the President
December 11, 2001

Members, Board of Trustees:

JOHN H. CLARK ESTATE GIFT

Recommendation: that the Board of Trustees accept a gift of \$1,889,139 from the estate of John H. Clark to the University of Kentucky Equine Research Foundation for the Department of Veterinary Science in the College of Agriculture to be used to benefit the health of thoroughbred horses.

Background: Mr. Clark was a longtime resident of Lexington, Kentucky, and intimately involved in the thoroughbred horse industry until his death in 1996. Through his contact with members of the Board of Directors of the Equine Research Foundation, especially through his friendship with Albert Clay of Mount Sterling, he was motivated to provide for the ongoing work of the Department of Veterinary Science through a testamentary gift.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 14

Office of the President
December 11, 2001

Members, Board of Trustees:

SCOTT S. SMITH PLEDGE

Recommendation: that the Board of Trustees accept a pledge of \$313,060 from Scott S. Smith of Atlanta, Georgia, to create and endow the Scott Smith Endowed Basketball Scholarship in the Department of Athletics.

Background: Mr. Smith is a 1990 graduate of the Gatton College of Business and Economics. His endowment will support one basketball scholarship each year. As a result of his gift, Mr. Smith will receive two floor-level seats in Rupp Arena. The pledge will be paid before December 31, 2001.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 15

Office of the President
December 11, 2001

Members, Board of Trustees:

SEAN S. SMITH PLEDGE

Recommendation: that the Board of Trustees accept a pledge of \$313,060 from Sean S. Smith of Atlanta, Georgia, to create and endow the Sean Smith Endowed Basketball Scholarship in the Department of Athletics.

Background: Mr. Smith is a 1990 graduate of the Gatton College of Business and Economics. His endowment will support one basketball scholarship each year. As a result of his gift, Mr. Smith will receive two floor-level seats in Rupp Arena. The pledge will be paid before December 31, 2001.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 16

Office of the President
December 11, 2001

Members, Board of Trustees:

KENNETH E. NUTTER AND ROBERT W. NUTTER PLEDGE

Recommendation: that the Board of Trustees accept a pledge of \$328,651 from Kenneth E. Nutter and Robert W. Nutter, both of Beavercreek, Ohio, to create and endow the Nutter Family Endowed Basketball Scholarship in the Department of Athletics.

Background: The Nutters are both graduates of the Gatton College of Business and Economics. With their late father, Ervin J. Nutter, they have been major UK benefactors. The basketball pledge will support one basketball scholarship each year. As a result of their pledge, the Nutters will receive floor-level seats in Rupp Arena. The pledge will be fulfilled with payments in December, 2002, and January, 2003.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 17

Office of the President
December 11, 2001

Members, Board of Trustees:

WYETH-AYERST PHARMACEUTICALS, INC. GIFT

Recommendation: that the Board of Trustees accept a gift of \$120,000 from Wyeth-Ayerst Pharmaceuticals, Inc. of Philadelphia, Pennsylvania, to support residency education programs in the College of Pharmacy.

Background: Wyeth-Ayerst Pharmaceuticals is a worldwide corporation with a long history of pioneering pharmaceuticals in bio-technological development of new drugs to enhance health care worldwide. The company has developed and markets innovative vaccines for women's health, gastrointestinal disease, infectious disease, neurosciences, transplantation and immunology, musculoskeletal diseases, hemophilia, cardiovascular disease, oncology and others. The gift will be used to assist in the training of pharmacy residents.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 18

Office of the President
December 11, 2001

Members, Board of Trustees:

LEXMARK INTERNATIONAL, INC.,
AND LEXMARK EMPLOYEES GIFTS AND PLEDGES

Recommendation: that the Board of Trustees accept gifts and pledges totaling \$100,000 from Lexmark International, Inc., of Lexington, Kentucky, and its employees to create and endow the Lexmark Graduate Fellowship Fund.

Background: Lexmark International challenged its employees to contribute to the University of Kentucky to create an endowed fellowship fund that would be matched by the state's Research Challenge Trust Fund (RCTF). Sixty-seven employees gave \$17,508 and 12 employees pledged \$7,050 for a total commitment of \$24,558. Lexmark has stated that it will contribute an amount that will bring the total company and employee commitment to \$100,000. Lexmark will fulfill its pledge by the end of March, 2002. If no other Lexmark employee gifts or pledges are received by March, the Lexmark pledge will be \$75,442. When matched by the RCTF, the fellowship fund will total \$200,000. Lexmark will designate at a later date the academic disciplines to benefit from the fellowships. The 12 Lexmark employee pledges will be paid within five years.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 19

Office of the President
December 11, 2001

Members, Board of Trustees:

NORTHERN KENTUCKY UK ALUMNI CLUB GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$10,000 and a pledge of \$40,000 from the Northern Kentucky UK Alumni Club to establish and endow the Northern Kentucky UK Alumni Club Fellowship Fund in the Graduate School.

Background: The Northern Kentucky UK Alumni Club is one of the most generous UK alumni clubs. Since 1995, the club has contributed in excess of \$200,000 to fund undergraduate scholarships for students from the counties included in the Northern Kentucky Club's region – Boone, Campbell, Gallatin, Grant and Kenton Counties.

The fellowship will be awarded to students in master's or doctoral programs at UK. Preference will be given to residents of the counties in the Northern Kentucky club region. The club approved the gift and pledge at an October 10, 2001 meeting. The pledge will be paid in annual installments of \$10,000 beginning in 2002 with the last payment due in November, 2005. The \$50,000 commitment is eligible for matching funds from the state's Research Challenge Trust Fund.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 20

Office of the President
December 11, 2001

Members, Board of Trustees:

ASHFORD STUD GIFT

Recommendation: that the Board of Trustees accept a gift of \$135,000 from Ashford Stud of Versailles, Kentucky, for the William T. Young Library Endowment to support the library collection for the benefit of research and graduate programs of the University.

Background: Ashford Stud is a horse farm in Woodford County. The donor has requested that the gift be matched by the state's Research Challenge Trust Fund. Many horse farms have made gifts and pledges to the library endowment, which is named for Lexington horseman William T. Young, the library's primary benefactor.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 21

Office of the President
December 11, 2001

Members, Board of Trustees:

ANN SCOTT AND RALPH E. MASON GIFT

Recommendation: that the Board of Trustees accept a gift of \$100,000 from Ann Scott and Ralph E. Mason of Maysville, Kentucky, to establish and endow the Ann Scott and Ralph E. Mason Endowed Research Fund in Opera Studies in the College of Fine Arts' School of Music.

Background: Mrs. Mason is a 1944 graduate of the UK School of Music. After a successful singing and teaching career, she and her husband returned to their native Maysville and have been generous supporters of the School of Music. This is their fifth major gift in recent years. The opera studies research fund will support activities that will enhance research in the opera program. The gift is contingent on matching funds being received from the state's Research Challenge Trust Fund.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 22

Office of the President
December 11, 2001

Members, Board of Trustees:

DR. LEE T. TODD, JR. GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$10,000 and a pledge of \$70,000 from Dr. Lee T. Todd, Jr. of Lexington, Kentucky, to create and endow the DataBeam Professorship in Electrical and Computer Engineering in the College of Engineering.

Background: Dr. Todd is president of the University of Kentucky. He received his Bachelor of Science Degree in electrical engineering from UK in 1968. He earned his master's, advanced electrical engineering and doctoral degrees from the Massachusetts Institute of Technology. He returned to UK in 1974 where he taught electrical engineering and conducted research for nine years. Dr. Todd founded two companies, DataBeam Corp. in 1976 and Projectron, Inc., in 1981. Immediately before coming to UK as president, Dr. Todd was senior vice president of Lotus Development Co., a subsidiary of IBM. His gift and pledge, made in November, 2001, are eligible for matching funds from the state's Research Challenge Trust Fund. The pledge will be fulfilled by December, 2005.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____