

AGENDA

**Meeting of the Board of Trustees
University of Kentucky
1:00 P.M.
September 11, 2007
18th Floor Patterson Office Tower**

Oath of Office

Roll Call

Schedule for Meetings of Board of Trustees – 2008

Institutional Goals for President Lee T. Todd, Jr. for Academic Year 2007-08

Approval of Minutes - (Consent)

Minutes – June 12, 2007

Resolution

Nominating Committee Report

President's Report and Action Items

- PR 1 President's Report to the Trustees
- PR 2 Personnel Actions (Consent)
- PR 3 Proposed Revision to Governing Regulation: Financial Advantage,
Solicitation of Funds, and Campus Sales
- PR 4 Proposed Revision to Governing Regulation: University Hospital
Committee
- PR 5 Appointment of Board of Directors – University of Kentucky Gluck Equine
Research Foundation, Inc.

Academic Affairs Committee Report

- AACR 1 Candidates for Degrees
- AACR 2 Candidates for Degrees – Bluegrass Community and Technical College
- AACR 3 Proposed Revision to Governing Regulation: Automatic Extension of
Probationary Periods
- AACR 4 Establishment of the Center for the Study of Violence Against Children
- AACR 5 Establishment of the Center for Clinical and Translational Science

Finance Committee Report

- FCR 1 Anonymous Gift to the Virginia T. Barrow Chair in Brain Disease Research
(Consent)
- FCR 2 Approval of Lease and Related Transactions
- FCR 3 Approval of Lease
- FCR 4 Approval of Lease
- FCR 5 Consent to Modification of Listed External Trusts
- FCR 6 Patient Care Facility Project Expansion
- FCR 7 Renovation of the Thomas Hunt Morgan Biological Sciences Building
- FCR 8 Lease/Purchase of Equipment and Information Technology Items
- FCR 9 Patent Assignment Report
- FCR 10 Capital Construction Report
- FCR 11 Authorization to Acquire Properties to Facilitate Utility Relocation
Associated with the UK HealthCare Patient Care Facility Project

Human Resources Committee Report

- HRCR 1 Proposed Revision to Governing Regulation: Group Insurance

Investment Committee Report

Student Affairs Committee Report

University Hospital Committee Report

- UHCR 1 University Hospital Committee Operating Rules Revisions

University Relations Committee Report

Other Business

Gluck Equine Research Foundation Report – Frank Shoop

Adjourn

Office of the President
September 11, 2007

1. Students Return to Campus as UK's 2007-08 Academic Year Begins

More than 27,000 students turned UK into a beehive of activity in mid-August as the 2007-08 academic year got under way. Freshmen and upperclassmen were welcomed back with K Week, dozens of events, receptions and registrations, concerts and a convocation, tours and theater, gatherings and guides, socials and spectacles. All new UK students are required to attend the New Student Induction Ceremony at Memorial Coliseum, where President Lee T. Todd, Jr., Provost Kumble Subbaswamy, our deans, and other faculty and staff commemorated the start of a new school year. Informal get-to-know-you gatherings were held before the convocation so students and parents can meet faculty, staff, administrators, veteran UK students, and UK Parent Advisory Council members.

2. UK FUSION's Volunteer Day Shows Students' Commitment to Service

It was a record-breaking day for UK FUSION (UK For Unity and Service in Our Neighborhoods), one of the largest single-day community service projects in the state, when Lexington Mayor Jim Newberry proclaimed it UK FUSION Day. The fifth annual UK FUSION broke all previous records under the leadership of UK senior Amanda Schroeder. At the end of the day, more than 1,300 students, staff, and faculty had worked over 5,000 hours of community service at 63 Lexington neighborhoods, social service agencies, and public facilities, such as parks and museums. UK volunteers stuffed envelopes, pulled weeds, mulched trees, cleaned windows, tilled gardens, painted homes, planted gardens, and organized pantries at adult day care centers, parks, neighborhood centers, museums, hospitals, nature sanctuaries, and homeless shelters throughout Fayette County.

3. UK Chandler Hospital Wins High Rankings from Two Organizations

The UK Albert B. Chandler Hospital was the only health care facility in the state to be ranked by two leading organizations as among the best in the nation. The hospital was named one of the nation's 100 Top Performance Improvement Leaders by Thomson Healthcare (formerly "Solucient"), an organization that has been identifying America's top-performing hospitals since 1993 and is well-known in the health care industry. UK is the only academic medical center in Kentucky to receive the ranking, which is based on UK Chandler Hospital's continued strong growth in financial performance, operational efficiency, and quality care for patients. For the second time in two years, UK is ranked by Thomson Healthcare among the top 15 academic medical centers in the nation for having faster and more consistent organization-wide improvement than most other

teaching hospitals. The new national ranking came on the heels of *U.S. News & World Report's* designation of UK Chandler Hospital as one of "America's Best Hospitals." Only 173 U.S. hospitals made the list of 5,462 hospitals evaluated. For the first time, three UK's programs are recognized by the magazine: gynecology (27), ear, nose and throat (41) and cancer (46).

4. Foundation's \$2.8 Million Grant Creates Public Health Systems Research Center

The Robert Wood Johnson Foundation has awarded a \$2.8 million grant to establish the UK Center for Public Health Systems Research (PHSR). The new center will catalogue and make available new research and resources that will help improve the management of health departments. It will be involved with programs to improve the communication between public health practitioners and the public health research community. The center will also work to increase the number of PHSR researchers by providing training grants to new public health faculty in the nation's schools of public health and support doctoral dissertation research by new researchers coming into the field.

5. Officials Open \$7 Million, 10,000-square-foot Cancer Center in Hazard

State and local officials announced the new \$7 million cancer center at Hazard ARH Regional Medical Center to lead the way in the early detection, diagnosis, and treatment of cancer in eastern Kentucky. The 10,000-square-foot ARH Cancer Center features a board certified radiation oncologist and a board certified medical oncologist-hematologist with a combined total of nearly 40 years experience treating all forms of cancer, a board certified radiation physicist and certified radiation therapists, and a state-of-the-art radiation therapy treatment planning system.

6. Gatton College, KSBDC Hold Forum for Businesses on 2010 Equestrian Games

The Kentucky Small Business Development Center (KSBDC), headquartered in the Gatton College of Business and Economics, sponsored a forum for business owners to gather information about the 2010 Alltech FEI World Equestrian Games and future events held at the Kentucky Horse Park. Participants heard professionals in the horse industry offer their insights regarding potential products and services expected by game attendees and participants. In addition to the KSBDC and the forum participants, the Governor's Office for Minority Empowerment and Commerce Lexington also sponsored the event.

7. Thirty-eight High School Seniors Are Named 2007 Singletary Scholars

Thirty-eight high school seniors were recently named Otis A. Singletary Scholars for fall 2007 at UK. The Singletary Scholarship is the most prestigious four-year scholarship awarded by UK. The scholarship, named for former UK President Otis A. Singletary, began in 1985 and covers the full cost of tuition, room and board, and a personal stipend for four years of undergraduate study. The scholarship is valued at

approximately \$57,000. The Fall 2007 Singletary Scholars were selected from 417 eligible candidates and include 7 National Merit Finalists, 18 valedictorians, 30 Kentucky Governor's Scholars, and 1 Governor's School for the Arts alumna. To be eligible, students must score 31 or higher on the American College Test (ACT) or 1360 combined math and critical reading scores on the Scholastic Aptitude Test (SAT), and have a minimum high school grade point average of 3.75. The selection committee also considers extracurricular activities, work and volunteer responsibilities, leadership involvement, a written essay, and a personal interview.

8. College of Pharmacy Hosts International Symposium on Microencapsulation

The UK College of Pharmacy is hosting the 16th annual International Symposium on Microencapsulation at the Lexington Convention Center this week. The event has attracted researchers from around the world to discuss their work in the use of microcapsules – tiny coated spheres that permit delayed release of medications – and nanotechnology. Researchers from academic institutions in at least 15 countries, including Italy, Israel, Korea, China, and the United Kingdom, are in attendance. The UK conference marks the first time in 12 years that the symposium has been held in the United States. In 1995, the event was hosted by the University of Texas at Austin.

9. UK Program to Stop Violence Against Women Wins \$515,000 in Grants

UK's Violence Intervention and Prevention Center has recently been awarded two grants from the federal government to support its efforts toward preventing the perpetration of violence. After an initial two-year funding cycle, the Department of Justice, Office on Violence Against Women, awarded a continuation grant of \$214,848 to provide support services to victims while engaging in campus-wide strategies to reduce violence dramatically. The second grant is a \$300,000 two-year grant from the U.S. Department of Education will expand the implementation of creative, research-driven strategies to reduce effectively the perpetration of violence.

10. College of Design's Digital Studio Project Is Featured on the Research Channel

The Resonance House, created by a UK College of Design digital design studio, was featured on the Research Channel last month. The Resonance House is a design-fabricate-assemble single-family residence located on Old Georgetown Street in downtown Lexington. The house was an ongoing project for associate professor Gregory Luhan's digital design studio classes since the concept's inception in January 2005. Students designed and digitally fabricated many components in the house including the light vortex, cabinets, flooring, and storage pieces. The goal of the "art to part" approach was to develop a prototype house for downtown living that boasts both low maintenance and high energy efficiency. The Resonance House is the first in a series of sustainable-design oriented residential projects under Luhan's direction.

11. UK Chandler Hospital's Trauma Care Wins Recognition for Quality Care

UK Chandler Hospital's trauma center has again been recognized for providing the highest level of care for adult and pediatric patients. The Committee on Trauma of the American College of Surgeons verified UK Chandler Hospital as a Level 1 center. This achievement recognizes the center's dedication to providing optimal care for injured patients. Verified trauma centers must meet criteria that ensure trauma care and institutional performance as outlined by the American College of Surgeons' Committee on Trauma. UK Chandler Hospital is one of only two Level 1 trauma centers serving the needs of Kentuckians. From July 2005 through June 2006, UK doctors and nurses treated nearly 3,000 trauma patients. This is the 5th time the Committee on Trauma has verified UK Chandler Hospital.

12. UK Theatre Department Sets Its 80th Season of Comedies and Dramas

The UK Department of Theatre will launch its 80th season of productions to be presented on the historic Guignol and Briggs Theatre stages with the contemporary comedy "Betty's Summer Vacation," by Christopher Durang. The play, which resembles a sitcom with a house full of wildly incompatible people living together, will be presented September 20-22 and 27-30 at the Briggs Theatre. William Shakespeare's "The Tempest" will come to the Guignol stage in November. In February, audiences can celebrate African-American History month with two landmark productions in repertory on the Guignol stage, "A Soldier's Play" by Charles Fuller and "for colored girls who have considered suicide when the rainbow is enuf" by Ntozake Shange. UK Theatre will top off the 2007-08 season with the winner of the James Rodgers Playwriting Competition April 10-12 and 17-19.

13. Keeneland's Concours d'Elegance Raises Funds for Kentucky Children's Hospital

The 2007 Keeneland Concours d'Elegance, a four-day event that benefits the Kentucky Children's Hospital and WUKY-FM, featured an appearance and autograph signing by Bob Tullius, the legendary Jaguar racer. As a founder and former member of the Group 44 racing team, Tullius brought Jaguar racing cars to fame and success in the 1970s. Tullius' team is credited with reintroducing Jaguar to racing and international wins. Jaguar and Tullius were reunited again at Keeneland, at the fourth annual Concours d'Elegance. The event, best known for the Saturday Concours d'Elegance, also included additional festivities mixing Kentucky art, culture, and elegance.

14. Colleges of Medicine and Pharmacy Hold White Coat Ceremonies

A class of 103 future physicians marked the beginning of their medical education at the UK College of Medicine in early during the annual White Coat Ceremony. The class of 2011 received their white coats, which are worn when seeing patients. The coats were provided by the UK Medical Alumni Association. The class consists of 43 women and 60 men. Eighty students are Kentucky residents, with 42 being from rural areas. Meanwhile, in mid-August, the UK College of Pharmacy welcomed 132 new

professional Pharm.D. students in the Class of 2011 during its formal white coat ceremony at the UK Singletary Center. The new class brings total enrollment in the nationally top 10-ranked pharmacy program to 490 – the most students in school history.

15. Patterson School's Director Assists State Department on Middle East Trip

Carey Cavanaugh, director of the Patterson School of Diplomacy and International Commerce, spent July in the Middle East and south Asia, principally in Baghdad, Iraq, and Kabul, Afghanistan, on a special project for the U.S. Department of State. His trip culminated in preparing a classified report for State Department leadership and the U.S. Senate. Throughout the spring and summer, he was active in international peace efforts. This included working in London as the United Nations Special Envoy for Georgia with European scholars and non-governmental organizations to explore possible avenues to advance peace in the Caucasus; traveling to Beijing in March at the behest of the China Institute of International Studies to help Chinese officials better understand peace mediation efforts; and joining former U.N. Secretary General Kofi Annan in Oslo, Norway at the annual Peace Mediators' Forum to speak on "Do Great Powers Make Great Mediators?" In July Cavanaugh was invited to become a founding board member of the Henry Clay Center for Statesmanship.

16. UK Libraries Preserves Oral History Interview with the Late Lady Bird Johnson

Former First Lady Lady Bird Johnson, who died this summer, shared her impressions of the relationship between President Johnson and U.S. Senator Earle C. Clements of Kentucky in an oral history interview preserved by the UK Libraries' Special Collections and Digital Programs unit. The interview, conducted Oct. 19, 1976, by Terry Birdwhistell, now associate dean of Special Collections and Digital Programs, is part of the Louie B. Nunn Center for Oral History. Among many memories, Lady Bird recalled, "I had the feeling that his (Clements') Kentucky raising went with him through life, which I consider a very good thing. I think it's sad that people leave their roots at home when they come to Washington and indeed he didn't. He kept the flavor of his region ... in a very attractive way. He really belonged to Kentucky." To listen to the interview online, go to <http://pax.uky.edu/audio/oralhist/lj1a.mp3>.

17. Paula Pope Is Elected President of the UK Alumni Association for '07-'08

The UK Alumni Association ushered in a new slate of officers recently. At the helm for the 2007-08 fiscal year are Paula Leach Pope, president; William R. Schuetze, president-elect; Scott E. Davis, treasurer; and Stan R. Key, secretary and executive director of the UK Alumni Association. Pope received degrees in education from UK in 1973 and 1975. She has been employed by UK since 1982 when she began working as the fundraiser for UK Libraries. She has served in the UK Office of Development as the director of the UK Fellows Society since 2000, and she is currently director for Campaign Services and Donor Relations. She is a Life Member of the UK Alumni Association. In 1999, she was awarded the UK Alumni Association Distinguished Service Award. She and her husband, Fred Pope, have two children, Bobby and Alison.

18. Documentary on Meth Featuring UK Researchers Wins Daytime Emmy

“A Question of Life or Meth,” a two-part series aired on the A&E Classroom channel, won the 2007 Daytime Emmy for Outstanding Special Class Special by the National Academy of Television Arts & Sciences. The series featured University of Kentucky experts Holly Hopper, Jim Cecil, and Susan Pollack. A&E first contacted UK because of its work with the Drug Endangered Child Training Network and the Kentucky Alliance for Drug Endangered Children programs, which are funded by the Appalachian Regional Commission and both housed in the UK College of Public Health. Both programs seek to increase community and professional awareness of the impact of adult drug involvement on children.

19. National Media Cites UK Health Care in Several Stories in July

In the month of July alone, UK HealthCare was featured in the country's most influential newspaper – *The New York Times* – as well as other leading publications such as *The New Yorker*, *The Washington Post*, and *O, The Oprah Magazine*. Some of the national media notices include:

- A *New York Times* story chronicling the rapid expansion of medical facilities in Grand Rapids, Michigan, that mentioned only two projects that compete for status as the nation's largest. The July 11 story said the new UK Chandler Hospital and academic medical campus of the future rivals Grand Rapid's project in scope and cost.
- A story in the July 23 issue of *The New Yorker* on neurology professor Kevin Nelson's research into near-death experiences. The story described Nelson's work to compare near-death experiences with states of consciousness, including REM sleep.
- “Get a Jump on the Silent Killer,” an article about ovarian cancer spotlighted on the cover of the July 2007 issue of *O, The Oprah Magazine*, features an interview with UK HealthCare cancer expert John van Nagell. In the article, van Nagell described the ovarian cancer screening study he has spent the last 20 years working on at UK to help increase the chances of ovarian cancer being found at an early stage.
- In light of the recent release of over-the-counter weight-loss drug Alli, the same issue of *O, The Oprah Magazine*, spotlights the timely research of UK endocrinologist James W. Anderson. The head of the UK College of Medicine Metabolic Research Group and his colleagues examined the effects of over-the-counter strength orlistat on mildly to moderately overweight individuals. Orlistat, known by the brand name Alli, works by decreasing the amount of fat absorbed by the body. The study was the first of its kind.

20. After Three Years' Evaluation, UK Wins AAHRPP Accreditation

Following a rigorous, three-year evaluation process, UK's research program has received full accreditation by the Association for the Accreditation of Human Research Protection Programs Inc. Seeking AAHRPP accreditation, which exceeds standards set

by the federal government, is voluntary. Currently, more than 3,000 active research studies, involving thousands of volunteers across the state and in the region, are under way. Volunteers are a vital part of UK studies in a myriad of areas, including social, diagnostic, and therapeutic programs for our aging population, drug and alcohol prevention projects, programs targeting children with disabilities, new teaching curricula, and clinical trials to test new drugs and devices.

21. Student Awards and Achievements

Megan G. Boehnke, Journalism and Telecommunications, took honors in the William Randolph Hearst Foundation National Writing Competition. She won third place in the Hearst Foundation's National Writing Competition and will receive a \$3,000 prize scholarship. She is the former editor in chief of the *Kentucky Kernel*. She qualified for the national finals by winning first place in an earlier editorial writing competition.

J. Russell Couch, Educational and Counseling Psychology doctoral student, earned the "Student of the Year" award from Division 51 of the American Psychological Association at the APA's 115th Annual National Convention last month in Sacramento, California. His research centers on gender and human sexuality, with an emphasis on gay, lesbian, bisexual, and transgender issues.

Christina Espinosa, Special Education and Rehabilitation, received the 2007 Student Literacy Award from the Kentucky Rehabilitation Association. She received her award at the association's annual conference at the Marriot Griffin Gate Resort in Lexington. Espinosa's paper titled "My Approach to Job Placement" focused on the person-centered approach she takes while working with individuals who live with physical, psychological, social, or cognitive impairments.

Angie Ortega, Music, will be featured on the next record from Grammy award-winning jazz musician Gordon Goodwin and the Big Phat Band. Ortega got the singing gig by winning the "Big Phat Jam" online competition presented by the band on their Web site.

Ryan Quarles, Law, has been reappointed to the Council on Postsecondary Education. Quarles, of Georgetown, has already received a bachelor's degree in agricultural economics, public service, and leadership and in political science, a master's degree in agricultural economics, and a master's degree in diplomacy from the University of Kentucky. Quarles was honored as a Truman Scholar in 2005 and as a Toyota Community Scholar in 2002 and has worked as an agriculture and interior intern for the office of U.S. Senator Mitch McConnell. He represents postsecondary students on the council.

Danielle Rose, Integrated Strategic Communications, was a recipient of the 2007 Women Leading Kentucky scholarship award.

Sean Rose, Journalism and Telecommunications, was a winner in the Roy W. Howard National Collegiate Reporting Competition. He was selected as one of nine winners of the award. This competition awards a study tour in Asia, an area of interest to the international journalist for which the competition is named. Rose travelled with the other recipients on the 13-day guided study tour of Japan and South Korea. He will be the managing editor of the *Kentucky Kernel* this fall.

Thirty-eight UK freshman student-athletes were named to the 2007 Southeastern Conference Freshman Academic Honor Roll. They were: baseball: James Paxton, Pre-Marketing, Michael Seaborn, Pre-Accounting, and Clint Tilford, Undergraduate Studies; men's basketball: Mark Coury, Pre-Management, Jodie Meeks, Undergraduate Studies, Dwight Perry, Undergraduate Studies, Michael Porter, Pre-Finance, and Perry Stevenson, Undergraduate Studies; football: A. J. Nance, Undergraduate Studies; men's golf: Derek Oldham, Pre-Finance; gymnastics: Jacque Behrendt, Pre-Physical Therapy, and Hillary Ferguson, Kinesiology; rifle: Leslie Angeli, Mathematical Economics, and Jennifer Pason, Agricultural Biotechnology; men's soccer: Barry Rice, Pre-Accounting, and Matthew Weiler, Undergraduate Studies; women's soccer: Cynthia Abbott, Geology; Julie Hull, Biology, Katlyn Fahey, Undergraduate Studies, and Ashley Stack, Undergraduate Studies; softball, Natalie Smith, Pre-Journalism, and Jennifer Young, Pre-Integrated Strategic Communication; men's swimming: Marco Iemmola, Pre-Management, Justin Max, Political Science, Eric McGinnis, Undergraduate Studies, Christopher Richard, Pre-Finance, Eric Robinson, Biology, and Kevin Ryan, Pre-Chemical Engineering; women's swimming, Casey Miller, Psychology, Christina Morgan, Pre-Nursing, Chatham Penrod, Pre-Management, and Sydney Witzky, Art Studio; women's tennis: Christine Johnston, Pre-Communication; women's track: Emily Bernhardt, English, Claire Laverty, Pre-Physical Therapy/Psychology, and Lindsay Petri, Pre-Nursing; and volleyball: Sarah Rumely, Undergraduate Studies, and BriAnne Sauer, Undergraduate Studies.

Fifty-seven UK student-athletes were named to the 2007 Southeastern Conference Spring Sports Academic Honor Roll. They were: baseball: Andrew Albers, junior, Kinesiology, Brock Baber, junior, Kinesiology Teaching, Sean Coughlin, senior, History, Collin Cowgill, junior, Communication, Antone DeJesus, junior, Communication, Greg Dombrowski, junior, Kinesiology Teaching, Tyler Howe, junior, Community and Leadership Development, Marcus Nidiffer, sophomore, Pre-Finance, Anthony Ottrando, sophomore, Pre-Communication, Troy Ragle, senior, Civil Engineering, Dan Reale, junior, Marketing, Brian Spear, junior, Economics, Thommy Warner, junior, Mechanical Engineering, and Brock Wright, sophomore, Pre-Finance; men's golf: Cale Barr, senior, Sociology, Brad Doster, senior, Finance, and Andrew Stephens, senior, Sociology; women's golf: Beth Felts, junior, Management, and Katie Johnson, senior, Biology; softball: Samantha Allen, junior, Integrated Strategic Communication, Rebecca Bishop, junior, Kinesiology, Lindsay Brogdon, junior, Marketing, Ashley Dimkich, junior, Elementary Education, Elizabeth Fadde, sophomore, Pre-Materials Engineering, Ashley Fertic, senior, Accounting, Gina Florence, junior, Kinesiology, Brooke Marnitz, senior, Management/Communication, Katie Campbell, senior, Sociology, and Jennifer Sibert, senior, Journalism; men's tennis: Bruno Agostinelli, sophomore, Kinesiology, and Kyle Virgin, sophomore, Pre-Accounting; women's tennis: Jessica Giuggioli, sophomore, Spanish, Joelle Schwenk, senior, Nutrition and Food Science, and Caroline Winebrenner, senior, Psychology; men's track: Jose Acevedo-Herrera, sophomore, Pre-Accounting, Brandon Austin, sophomore, Finance, Nathan Browning, junior, Integrated Strategic Communication, Scott Brownlee, senior, Integrated Strategic Communication, Ryan Finn, sophomore, Kinesiology, Daniel Hutson, junior, Communication, Christopher Long, junior, Secondary Education, Nicholas Reeves, senior, Marketing, Andrew Rhodenbaugh, junior, Marketing/Management, John Richardson, senior, Psychology,

Jonathan Thomas, senior, Secondary Education, and John Thompson, junior, Biology; women's track: Mary Durham, sophomore, Pre-Communication, Jackie Gordon, senior, Communication, Andrea Halasek, sophomore, Secondary Education, Rachel Kohler, senior, Marketing/Management, Andrea Miller, sophomore, Secondary Education, Lindsay Moody, sophomore, Nutrition and Food Science, Lavera Morris, junior, Kinesiology, Jennifer Smith, junior, Psychology, Maggie Tincher, junior, Kinesiology, Ashley Trimble, sophomore, Art Studio, and Catherine Weber, senior, Biology.

22. Faculty and Staff Awards and Achievements

Rodney Andrews, Center for Applied Energy Research, has been named director of the center. He had served as its interim director.

David Biagi, Architecture, has been named acting dean of the UK College of Design this summer. Biagi will serve in the position while the college continues its national search for a new dean. Biagi, who took over the dean position June 6, has served UK as director of the School of Architecture in the College of Design since August 2002.

Allan Butterfield, Biological Chemistry and Membrane Sciences, has been informed that three of his published papers are among the most often downloaded in the prestigious journals *Neurobiology of Aging* and *Free Radical Biology and Medicine*.

Joan C. Callahan, Philosophy, has been named the Distinguished Woman Philosopher of 2007 by the Society for Women in Philosophy. She will be honored for her work, achievements, contributions to the discipline of philosophy, and support of women in philosophy at the 2007 Annual Meeting of the Eastern Division of the American Philosophical Association in Baltimore, Maryland, in December 2007.

Karen Clancy, University Health Service, was awarded the Affiliates New Professional Award by the American College Health Association (ACHA) at its 2007 annual meeting in San Antonio, Texas. This award recognizes ACHA members who have provided service to the field of college health for three years or less and who have made significant contributions to their institutions and/or affiliate.

Gary Cromwell, Animal and Food Sciences, received the national New Frontiers in Animal Nutrition Award from the Federation of Animal Sciences Societies in July. This award, presented jointly by the federation and the American Feed Industry Association, acknowledges and rewards pioneering animal nutrition research that benefits mankind.

Peter A. Crooks, Pharmaceutical Sciences, was elected as an American Association of Pharmaceutical Scientists (AAPS) Member-at-Large and will serve a three-year term in the national organization. He joins Patrick J. McNamara, Pharmaceutical Sciences, who also is a member of the 2008 AAPS Executive Council.

Patrick P. DeLuca, Pharmaceutical Sciences, has been elected to serve as president-elect of the 13,000-member American Association of Pharmaceutical Scientists, based in Arlington, Virginia.

Barb Deniston, Academic Services, has been named the Lan Hewlett Outstanding Advisor of the Year by the National Association for Academic Advisors for Athletics. Deniston was chosen from a national pool of academic advisors for athletes in the country.

Rick Durham, Horticulture, was elected vice president for extension of the American Society for Horticulture Science at its annual conference in July.

Robert Farley, Patterson School of Diplomacy and International Commerce, participated in the Naval War College's Maritime Strategy Project in December 2006.

Bill Fountain, Horticulture, was elected vice president of the International Society of Arboriculture in July. Fountain's development of training and certification programs in Asia, and his many years of service, helped prepare him for this prestigious responsibility.

Rich Gates, Biosystems and Agricultural Engineering, is a lead scientist for a multi-university study on Feeding and Altering Diets for Egg Laying Hens funded by the United Egg Producers through a U.S. Department of Agriculture Natural Resources Conservation Service innovation grant. The project will be conducted on commercial egg production farms with the objective of reducing ammonia emissions by cost-effective dietary manipulations.

Steven A. Haist, Medicine, has been appointed as a member of the National Board of Medical Examiners as a Test Committee representative.

Don Hershman and Paul Vincelli, Plant Pathology, recently received national honors from the American Phytopathological Society. Hershman received the 2007 Excellence in Extension Award, and Vincelli received the Excellence in Teaching Award. They were the only recipients in these categories.

Evan Hillebrand, Patterson School of Diplomacy and International Commerce, was awarded the Central Intelligence Agency's Distinguished Career Intelligence Medal at a ceremony in Langley, Virginia on June 18. The award was presented by David Gordon, Vice-Chairman of the National Intelligence Council. After touring China this spring, Hillebrand lectured at Shanghai International Studies University on US-Chinese relations.

Marlene B. Huff, Adolescent Medicine, has been chosen as the recipient of the Maxwell J. Schleifer Distinguished Service Award for her work, life, and advocacy on behalf of people with disabilities. The award is presented by EP Foundation for Education and EP Global Communications, Inc., publisher of the peer-reviewed journal serving the special needs community, *Exceptional Parent*.

Larry Jones and Will Snell, Agricultural Economics, and Steve Isaacs, Community and Leadership Development, received an award of \$50,000 from Philip Morris to help support the Strategic Management for Emerging Agricultural Leadership program.

Nancy Jones, Theatre, traveled overseas to present her play "Molière's Women" in Paris. The production, with a cast of students from UK, was presented July 18 at the FIAP Jean Monnet Cultural Center and July 20 at the Fifth International Conference on New Directions in the Humanities at American University in Paris.

Jane M. Kirschling, Nursing, has been elected to serve a one-year term as secretary of the American Association of Colleges of Nursing.

Karen Mingst, Patterson School of Diplomacy and International Commerce, led a workshop for lecturers and researchers from International Relations schools in Vietnam during her spring sabbatical. With 30 participants from four different Vietnamese universities, including National University of Vietnam in Hanoi and Ho Chi Minh City University (formerly Saigon), Mingst taught a course called "Teaching

International Relations since the Cold War's End.” The workshop was financed by the Ford Foundation as part of a three-year effort to improve the qualifications of university-level faculty in the country.

David P. Nau, Pharmacy Practice and Science, is the new chair-elect of the Economic, Social and Administrative Sciences Section for the American Pharmacists Association's Academy of Pharmaceutical Research and Science for the 2008-09 term. Nau also has a joint faculty appointment in the UK Martin School of Public Policy and Administration.

Lisa G. O'Connor, Library and Information Science, and Diane M. Owens, Library and Information Science master's degree candidate, were co-recipients of the 2007 Emerald Research Grant Award, administered by the Business Reference and Services Section of the Reference and User Services Association (RUSA). This is one of two \$5,000 cash awards donated by Emerald Group Publishing Limited to an American Library Association member conducting research in business librarianship. The award was presented at the RUSA Awards Ceremony on June 25 in Washington, D.C.

Doug Overhults and Rich Gates, Biosystems and Agricultural Engineering, and Tony Pescatore, Animal and Food Sciences, received funding of nearly \$826,000 from the Kentucky Poultry Federation (approved through the Kentucky Agricultural Development Board) to evaluate existing poultry house energy efficiency and to conduct producer education workshops.

Valerie Perry, UK Libraries, has received the 2007 Distinguished Member Award from the Food, Agriculture, and Nutrition Division of the Special Libraries Association.

Frank Romanelli, Pharmacy, will be recognized as a Distinguished Practitioner in the National Academies of Practice in Pharmacy. The National Academies of Practice is comprised of 10 academies representing the health care practice areas of dentistry, medicine, nursing, optometry, osteopathic medicine, pharmacy, podiatric medicine, psychology, and veterinary medicine.

Melody Ryan, Pharmacy Practice and Science, is the new chair-elect of the Clinical Sciences Section for the American Pharmacists Association's Academy of Pharmaceutical Research and Science's Executive Council for the 2008-09 term.

Shannon Sampson, a visiting professor in the UK College of Education's Department of Educational Policy Studies and Evaluation, received the 2007 Distinguished Dissertation Award from the Kappa Delta Pi International Honor Society in Education. Her dissertation was titled “An Investigation of Item Fit and Functioning of an Algebra Assessment for English Language Learners.”

F. Douglas Scutchfield, Public Health, will receive the Association for Prevention Teaching and Research's Duncan W. Clark Award, presented to a senior-level person with a distinguished record of achievement in teaching, research and advocacy in the field of prevention and public health. The award will be presented at an association meeting in Austin, Texas, in February 2008.

Jianhua Shao, Graduate Center for Nutritional Sciences, has received the American Diabetes Association 2007 Thomas R. Lee Career Development Award for his study on transcriptional regulation of adiponectin gene expression.

Scott Shearer, Biosystems and Agricultural Engineering, was one of three national winners selected to receive the Precision Agriculture Award of Excellence from the Precision Agriculture Institute. Winners were chosen for leadership in precision

agriculture adoption, employee education, and responsible and innovative use of precision agriculture technology.

Daniel Blake Smith, History, is the author of an award-winning documentary, “Trail of Tears Cherokee Legacy,” that played this summer at the National Museum of the American Indian on the National Mall in Washington, D.C. Narrated by James Earl Jones, the film chronicles the ethnic cleansing and the hardships endured by the Indians of Southeast America in the 1830s. The focus of the documentary is the Cherokee Trail of Tears forced march to reservation land.

Kelly Smith, Pharmacy Practice and Science, has been selected to participate in the 2007-08 American Association of Colleges of Pharmacy's Academic Leadership Fellows Program. The program is an intensive leadership and management program designed to develop the nation's most promising individuals to become future leaders in pharmacy and in higher education.

John Snyder, Horticulture, was honored recently at the Kentucky Governor's office during a ceremony recognizing investigators who received U.S. Department of Agriculture Small Business Innovation Research matching grants. Snyder is helping develop a production regime and market for specialty bell peppers.

John Thelin, Educational Policy Studies and Evaluation, was recently appointed to the advisory and editorial board for the National Collegiate Athletics Association (NCAA) Scholarly Colloquium on College Sports. The NCAA Scholarly Colloquium on College Sports was developed to unite top scholars to study intercollegiate athletics' influence on both university and cultural life. The advisory and editorial board will exercise intellectual autonomy over all matters pertaining to the colloquium.

PR 2

Office of the President
September 11, 2007

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/executive 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 _____

PRESIDENT
AND
EXECUTIVE VICE PRESIDENT
FOR
FINANCE AND ADMINISTRATION

I. BOARD ACTION

A. RETIREMENTS

Executive Vice President for Finance and Administration

Arthur, Lillian, Certified Medical Assistant, Employee Benefits, after 33 years and 11 months of consecutive service, under AR II-1.6-1 Section III.B, effective 7/31/07.

Burdette, Rodney W., Maintenance Assistant, Employee Benefits, after 22 years and 6 months of consecutive service, under AR II-1.6-1 Section III.B, effective 5/31/07.

Wilson, James E., Electronic Technician III, Employee Benefits, after 27 years and 3 months of consecutive years, under AR II-1.6-1 Section III.B, effective 7/31/07.

Vice President for Facilities Management

Bates, Ollie R., Utility Worker, Custodial Services, Physical Plant Division, after 19 years and 9 months of consecutive service under AR-II-1.6-1 Section III.B, effective 7/31/07.

Vice President for Information Technology

Myers, Lora Sue, Administrative Staff Officer II, Computing Business Operations, Information Technology, after 30 years and 9 months of consecutive service, under AR II-1.6-1 Section III.B effective 8/1/07.

B. EARLY RETIREMENTS

Vice President for Facilities Management

Clark, Steve R., Grounds Worker II, Physical Plant Division, after 21 years and 11 months of consecutive service, under AR II-1.6-1 Section III.A.2, effective 6/8/07.

Isaacs, Conley, Supervisor I, Custodial Worker, Physical Plant Division, after 38 years and 2 months of consecutive service, under AR II-I.6-1 Section III.A.2, effective 6/1/07.

Neeley, Kathy S., Supervisor I, Custodial Worker Supervisor I, Physical Plant Division, after 23 years and 4 months of consecutive service, under AR II-1.6-1 Section III.A.2, effective 6/29/07.

Russell, Jr., Andy, Plumber III, Plumbing Services, Physical Plant Division, after 23 years and 8 months of consecutive service, under AR II-1.6-1 Section III.A.2, effective 8/31/07.

Stamper, Carol C., Human Resources Representative, Physical Plant Division, after 28 years and 5 months of consecutive service, under AR II-1.6-1 Section III.A.2, effective 6/1/07.

Office of the Treasurer

Crowe, Pamela S., Account Clerk III., Treasury Services, after 26 years and 2 months of consecutive service, under AR II-1.6-1 Section III.A.2, effective 5/25/07.

II. ADMINISTRATIVE ACTIONS

A. ADMINISTRATIVE APPOINTMENTS

Office of the Treasurer

Counts, Donna, Treasury Operations Director, Office of the Treasurer, effective 7/9/07.

Vice President for Institutional Advancement

Kluemper, Kimberly A., Corporate Partnerships Director, External Affairs, effective 8/20/07.

B. CHANGES

Office of Legal Counsel

Deaton, Marcy, from Special Projects Administrator, Office of Legal Counsel, to General Counsel Associate, Office of Legal Counsel, effective 7/1/07.

Office of the Treasurer

Goodlett-Brown, Patricia Paige, from Accountant Principal, Sponsored Projects Accounting to Accounting Manager II, Sponsored Projects Accounting, effective 6/13/07.

Vice President for Information Technology

Chen, Yan, Data Base Analyst, IT/University Computer Systems Programming to Data Base Administrator, IT/University Computer Systems Programming, effective 8/1/07.

*Special Title Series

Rankin, Jr., David W., from Programmer Systems Sr., IT/University Computer Systems
Programming to Programmer Systems Lead, IT/University Computer Systems
Programming, effective 6/1/07.

PROVOST

I. BOARD ACTION

A. ACADEMIC APPOINTMENTS

- Anderson, Kimberly W., College of Engineering, Professor (with tenure), Chemical and Materials Engineering, reappointed to the Jack and Linda Gill Science and Engineering Research Excellence Fund/Anderson, 7/1/07 through 6/30/12.
- Botto, Ronald W., College of Dentistry, Associate Professor* (with tenure), Oral Health Science, effective 8/1/07.
- Carpenter, Clyde R., College of Design, Professor (with tenure), Architecture, reappointed to the Clay P. Lancaster Endowed Professor in Historic Preservation, 7/1/07 through 6/30/09.
- Cockerell, Clay J., College of Medicine, Professor (voluntary), Pathology and Laboratory Medicine, 6/1/07 through 6/30/11.
- Davis, George A., College of Pharmacy, Associate Adjunct Professor, 7/1/07 through 6/30/11.
- de Villiers, Willem J., College of Medicine, Professor (with tenure), Internal Medicine, and joint appointment as Professor (without tenure), Microbiology, Immunology and Molecular Genetics, appointed to the Marcos Lins Andrade Endowed Chair in Gastroenterology, 7/1/07 through 6/30/10.
- Diedrichs, Carol, Libraries, Librarian I (with tenure), reappointed to the William T. Young Endowed Chair, 7/1/07 through 6/30/10.
- Figgs, Larry W., College of Public Health, Associate Professor* (without tenure), Preventive Medicine and Environmental Health, 1/1/07 through 6/30/07.
- Gambrell, Alisa C., College of Medicine, Clinical Instructor, Obstetrics and Gynecology, 7/19/07 through 6/30/08.
- Groves, Karla R., College of Medicine, Clinical Assistant Professor, Family and Community Medicine, 7/1/07 through 6/30/08.
- Guttman, Geoffrey D., College of Medicine, Associate Professor (visiting), Anatomy and Neurobiology, 8/1/07 through 6/30/08.
- Hoffman, Cary J., College of Medicine, Professor (visiting), Diagnostic Radiology, 5/15/07 through 6/30/07.
- Hunter, David G., College of Arts and Sciences, Professor (with tenure), Modern and Classical Languages, Literatures, and Cultures, and joint appointment as Professor (without tenure), History, effective 8/16/07.
- Jawahir, Ibrahim S., College of Engineering, Professor (with tenure), Mechanical Engineering, reappointed to the James F. Hardyman Chair in Engineering - Manufacturing Systems, effective 7/1/07.
- Kanungo, Shibani, College of Medicine, Assistant Professor*, Pediatrics, 10/1/07 through 6/30/08.

*Special Title Series

- Ko, Chemyong, College of Health Sciences, Associate Professor (with tenure), Clinical Sciences, appointed to the University Professorship in Allied Health, 7/1/07 through 6/30/12.
- Luhan, Gregory A., College of Design, Associate Professor (with tenure), Architecture, appointed to the John Russell Groves-Kentucky Housing Corporation Research Fund in Affordable Housing Design, 7/1/07 through 6/30/08.
- Miller, Wallis J., College of Design, Associate Professor (with tenure), Architecture, reappointed to the Charles Parker Graves Endowed Professorship Fund, 7/1/07 through 6/30/10.
- Mourad, Walid A., College of Medicine, Clinical Professor, Pathology and Laboratory Medicine, 12/1/07 through 6/30/08.
- Nihill, Patricia, College of Dentistry, Associate Professor* (without tenure), Oral Health Practice, 7/30/07 through 6/30/08.
- Northrip, Kimberly R., College of Medicine, Clinical Assistant Professor, Pediatrics, 8/1/07 through 6/30/08.
- Ragland, Jon M., College of Medicine, Clinical Instructor, Anesthesiology, 7/1/07 through 6/30/08.
- Rankin, Stephen E., College of Engineering, Associate Professor (with tenure), Chemical and Materials Engineering, appointed to the Jack and Linda Gill Science and Engineering Research Excellence Fund, 7/1/07 through 6/30/12.
- Ravat, Dhananjay, College of Arts and Sciences, Professor (with tenure), Earth and Environmental Sciences, effective 8/16/07.
- Schmitt, Frederick A., College of Medicine, Professor (with tenure), Neurology, and joint appointments as Professor (without tenure), Behavioral Science and Professor (without tenure), Psychiatry and Professor (without tenure), Psychology, College of Arts and Sciences, appointed to the Werner F.S. Schmitt Professorship in Aging, 8/1/07 through 6/30/12.
- Seales, William Brent, College of Engineering, Associate Professor (with tenure), Computer Science, appointed to the Jack and Linda Gill Science and Engineering Research Excellence Fund, 7/1/07 through 6/30/12.
- Sum, Joey P., College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/07 through 6/30/08.
- Swetnam, Bruce A., College of Design, Associate Professor* (with tenure), Architecture, reappointed to the Kentuckiana Masonry Institute Endowed Professorship, 7/1/07 through 6/30/10.
- Weaver, Diana J., College of Nursing, Associate Professor (part-time), 7/1/07 through 6/30/08.
- Tempro, Paulette J., College of Dentistry, Associate Professor* (without tenure), Oral Health Practice, 7/1/07 through 6/30/08.
- Tracy, James W., College of Medicine, Professor (with tenure), Molecular and Cellular Biochemistry, effective 10/1/07.
- Wang, Dongfang, College of Medicine, Associate Professor (without tenure), Surgery, 6/1/07 through 6/30/08.
- Werner-Wilson, Ronald J., College of Agriculture, Professor (temporary), Family Studies, 8/1/07 through 6/30/08, and appointed to the Kathryn Louise Chellgren Endowed Professorship for Research in Family Studies, 8/1/07 through 6/30/10.

*Special Title Series

Ziliak, James, College of Business and Economics, Professor (with tenure), Economics, reappointed to the Carol Martin Gatton Chair in Micro-Economics, 7/1/07 through 6/30/12.

B. ADMINISTRATIVE APPOINTMENTS

Biagi, David M., College of Design, Associate Professor (with tenure), Architecture, appointed Director, Architecture, 7/1/07 through 6/30/11.

Calvert, Kenneth L., College of Engineering, Associate Professor (with tenure), Computer Science, appointed Chair, Computer Science, 7/1/07 through 6/30/11.

Carpenter, Clyde R., College of Design, Professor (with tenure), Architecture, appointed Chair, Historic Preservation, 7/1/07 through 6/30/09.

Carvalho, Susan, College of Arts and Sciences, Associate Professor (with tenure), Hispanic Studies, appointed Assistant Provost, International Programs, effective 8/15/07.

Hersh, Louis B., College of Medicine, Professor (with tenure), Molecular and Cellular Biochemistry, appointed Chair, Molecular and Cellular Biochemistry, 7/1/07 through 6/30/09.

Holloway, Lawrence E., College of Engineering, Professor (with tenure), Electrical and Computer Engineering, appointed Chair, Electrical and Computer Engineering, 7/1/07 through 6/30/11.

O'Dell, Kelvin B., College of Arts and Sciences, Professor, Aerospace Studies, appointed Chair, Aerospace Studies, 7/1/07 through 6/30/10.

Shearer, Scott A., College of Agriculture, Professor (with tenure), Biosystems and Agricultural Engineering, appointed Chair, Biosystems and Agricultural Engineering, 8/15/07 through 6/30/13.

Walcott, Bruce L., College of Engineering, Professor (with tenure), Electrical and Computer Engineering, appointed Director, UK Center for Manufacturing, 7/1/07 through 6/30/10.

Werner-Wilson, Ronald J., College of Agriculture, Professor (temporary), Family Studies, appointed Chair, Family Studies, 8/1/07 through 6/30/13.

Whiteside-Dickson, Ann, College of Design, Associate Professor (with tenure), Interior Design, reappointed Director, Interior Design, 7/1/07 through 6/30/09.

C. JOINT APPOINTMENTS

Davis, Gregory J., College of Medicine, Professor* (with tenure), Pathology and Laboratory Medicine, joint appointment as Professor* (without tenure), Graduate Center for Toxicology, effective 7/1/07.

Fahy, Brenda G., College of Medicine, Clinical Professor, Anesthesiology, joint appointment as Clinical Professor, Neurosurgery, 7/1/07 through 6/30/08.

Hessel, Eugene A., College of Medicine, Professor* (with tenure), Anesthesiology, and joint appointment as Professor* (without tenure), Surgery, new joint appointment as Professor* (without tenure), Neurosurgery, effective 7/1/07.

High, Walter M., College of Medicine, Associate Professor (without tenure), Physical Medicine and Rehabilitation, and joint appointment as Associate Professor

*Special Title Series

- (without tenure), Surgery, new joint appointment as Associate Professor (without tenure), Psychology, College of Arts and Sciences, 9/1/07 through 8/31/10.
- Hoyt, William, College of Business and Economics, Professor (with tenure), Economics, joint appointment as Professor (without tenure), Martin School of Public Policy and Administration, Graduate School, 7/1/06 through 6/30/12.
- Saatman, Kathryn E., College of Medicine, Associate Professor (with tenure), Physiology, joint appointment as Associate Professor (without tenure), Neurosurgery, effective 7/1/07.
- Yelowitz, Aaron, College of Business and Economics, Associate Professor (with tenure), Economics, joint appointment as Associate Professor (without tenure), Martin School of Public Policy and Administration, Graduate School, 7/1/05 through 6/30/07.

D. REAPPOINTMENTS

- Albers, Sheri L., College of Medicine, Clinical Associate Professor, Diagnostic Radiology, 7/1/07 through 7/31/07.
- Figgs, Larry W., College of Public Health, Associate Professor* (without tenure), Preventive Medicine and Environmental Health, 7/1/07 through 6/30/08.
- Hagen, Michael D., College of Medicine, Professor (part-time), Family and Community Medicine, 7/1/07 through 6/30/08.
- Hoffman, Cary J., College of Medicine, Professor (visiting), Diagnostic Radiology, 7/1/07 through 6/30/08.
- Holmes, Sharon S., College of Nursing, Associate Adjunct Professor, 7/1/07 through 6/30/08.
- Huang, George P., College of Engineering, Professor (visiting), Mechanical Engineering, 7/1/07 through 6/30/08.
- Knight, Evelyn A., College of Public Health, Associate Professor* (without tenure), Health Behavior, 7/1/07 through 6/30/08.
- Littleton, John M., College of Pharmacy, Professor (part-time), and joint appointment as Professor (part-time), Molecular and Biomedical Pharmacology, College of Medicine, 7/1/07 through 6/30/08.
- Mier, Richard J., College of Medicine, Adjunct Professor, Pediatrics, 7/1/07 through 6/30/08.

E. PROMOTIONS

- Bjork, Lars, College of Education, from Associate Professor (with tenure), Educational Leadership Studies, to Professor (with tenure), Educational Leadership Studies, effective 7/1/07.
- Crosby, Richard A., College of Public Health, from Associate Professor (with tenure), Health Behavior, to Professor (with tenure), Health Behavior, effective 7/1/07.
- Kachroo, Pradeep R., College of Agriculture, from Assistant Professor, Plant Pathology, to Associate Professor (with tenure), Plant Pathology, effective 9/1/07.
- Martin, Craig A., College of Pharmacy, from Assistant Adjunct Professor, to Associate Adjunct Professor, 7/1/07 through 6/30/08.

*Special Title Series

McLeod, Kyle R., College of Agriculture, from Assistant Professor, Animal and Food Sciences, to Associate Professor (with tenure), Animal and Food Sciences, effective 7/1/07.

F. CHANGES

Hourigan, Jon S., College of Medicine, Assistant Professor*, Surgery, from 7/15/07 through 6/30/08, to 7/23/07 through 6/30/08.

Khan, Gulam Q., College of Medicine, Clinical Assistant Professor, Neurology, and joint appointment as Clinical Assistant Professor, Pediatrics, from 1/23/07 through 6/30/07, to 7/1/07 through 6/30/08.

McDaniel, Linda, College of Business and Economics, Professor (with tenure), Accountancy, from reappointed to the Von Allmen Endowed Professorship in Accountancy, to reappointed to the Von Allmen Endowed Chair in Accountancy, 7/1/07 through 6/30/12.

Osborne, Amy B., College of Law, from Librarian II (with tenure), to Librarian II (with tenure), Libraries, effective 7/1/06.

Popkin, Jeremy, College of Arts and Sciences, Professor (with tenure), History, appointed to the T. Marshall Hahn, Jr. Professorship Fund in the College of Arts and Sciences, from 7/1/06 through 6/30/11, to 7/1/07 through 6/30/12.

Sorial, Ehab S., College of Medicine, Clinical Assistant Professor, Surgery, from 7/1/07 through 6/30/08, to 8/1/07 through 6/30/08.

Wood, Olga D., College of Law, from Librarian II (with tenure), to Librarian II (with tenure), Libraries, effective 7/1/06.

G. TERMINAL REAPPOINTMENTS

Faugere, Marie-Claude, College of Medicine, Research Professor, Internal Medicine, and joint appointment as Research Professor, Pathology and Laboratory Medicine, 7/1/07 through 6/30/08.

Huffman, Gerald P., College of Engineering, Research Professor, Chemical and Materials Engineering, and joint appointment as Research Professor, Physics and Astronomy, College of Arts and Sciences, 7/1/07 through 6/30/08.

Huggins, Frank E., College of Engineering, Research Professor, Chemical and Materials Engineering, 7/1/07 through 6/30/08.

Shah, Naresh, College of Engineering, Associate Research Professor, Chemical and Materials Engineering, 7/1/07 through 6/30/08.

H. RETIREMENTS

Bostrom, Joan J., College of Law, Staff Support Associate II, after 21 years and 9 months of consecutive service, under AR II-1.6-1, Section III.B, effective 7/31/07.

Buckland, Gillian M., Libraries, Librarian II (with tenure), after 16 years and 4 months of consecutive service, under AR II-1.6-1, Section III.B, effective 5/12/07.

*Special Title Series

- Chen, Linda H., Graduate School, Professor (with tenure), Nutritional Sciences, after 39 years and 9 months of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/07.
- Foose, Robert J., College of Fine Arts, Associate Professor (with tenure), Art, after 43 years and 4 months of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/07.
- Gairola, Chandra G., College of Medicine, Research Professor, Graduate Center for Toxicology, after 38 years of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/07.
- Hagihara, Patrick F., College of Medicine, Professor (with tenure), Surgery, after 36 years of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/07.
- Harrison, Lenn R., College of Agriculture, Professor* (with tenure), Veterinary Science, and Director, Livestock Disease Diagnostic Center, after 16 years and 1 month of consecutive service, under AR II-1.6-1, Section III.B, effective 8/31/07.
- Hayden, Thomas, College of Arts and Sciences, Professor (with tenure), Mathematics, 44 years and 4 months of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/07.
- Lu, Min-Hua, College of Agriculture, Laboratory Technician Senior, Livestock Disease Diagnostic Center, after 3 years and 10 months of consecutive service, under AR II-1.6-1, Section III.B, effective 5/11/07.
- Lucas, Bruce A., College of Medicine, Professor (with tenure), Surgery, after 33 years of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/07.
- Peel, Lula Joyce, College of Agriculture, Staff Support Associate II, Biosystems and Agricultural Engineering, after 37 years and 1 month of consecutive service, under AR II-1.6-1, Section III.B, effective 7/31/07.
- Poonacha, Kockanda B., College of Agriculture, Professor* (with tenure), Veterinary Science, after 31 years and 3 months of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/07.
- Southgate, Henry H., College of Agriculture, Research Analyst, Entomology, after 38 years and 9 months of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/07.
- TeKrony, Dennis M., College of Agriculture, Professor (with tenure), Plant and Soil Sciences, after 37 years and 4 months of consecutive service, under AR II-1.6-1, Section III.B, effective 12/31/07.
- Ulack, Richard, College of Arts and Sciences, Professor (with tenure), Geography, after 31 years and 5 months of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/07.

I. EARLY RETIREMENTS

- Armentrout, Timothy M., College of Dentistry, Clinical Associate Professor, Oral Health Practice, after 23 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 6/30/07.
- Burgett, James, Libraries, Librarian I (with tenure), after 18 years and 10 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 6/30/07.

*Special Title Series

- Fleming, Bernard, Research, Associate Administrator, Interdisciplinary Human Development, after 22 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 6/30/07.
- Grisby, V. Gale, College of Medicine, Administrative Support Associate I, Internal Medicine, after 8 years and 5 months of consecutive service, and a total of 15 years and 3 months of service, under AR II-1.6-1, Section III.A.2, effective 4/30/07.
- Haszler, Gerald R., College of Agriculture, Research Analyst, Plant and Soil Sciences, after 18 years of consecutive service of consecutive service, under AR II-1.6-1, Section III.A.2, effective 7/31/07.
- Inman, Linda, College of Agriculture, Administrative Assistant, Agricultural Economics, after 21 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 6/19/07.
- Kennedy, M. Jean, College of Medicine, Department Administrator III, Family Practice, after 21 years of consecutive service, and a total of 29 years and 4 months of service of consecutive service, under AR II-1.6-1, Section III.A.2, effective 7/31/07.
- Lach, Edythe T., College of Medicine, Assistant Director, Kentucky Cancer Control Program, McDowell Cancer Network, after 15 years and 1 month of consecutive service, and a total of 18 years of service, under AR II-1.6-1, Section III.A.2, effective 6/30/07.
- Lawson, Sharon A., Enrollment Management, Administrative Support Associate I, Student Financial Aid, after 37 years and 2 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 8/3/07.
- Stone, Janet C., College of Education, Staff Support Associate II, Kinesiology and Health Promotion, after 30 years and 1 month of consecutive service, under AR II-1.6-1, Section III.A.2, effective 8/31/07.

J. POST-RETIREMENTS APPOINTMENTS

- Carter, Mike, College of Agriculture, County Extension Agent (part-time), Cooperative Extension Service, 7/6/07 through 7/5/08.
- Cole, Henry, College of Public Health, Professor (part-time), Preventive Medicine and Environmental Health, 7/1/07 through 6/30/08.
- Crouch, Sally J., College of Engineering, Administrative Coordinator (part-time), Kentucky Transportation Center, 7/1/07 through 6/30/08.
- Dempsey-Hall, Linda L., College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.
- Dillon, Oscar W., College of Engineering, Professor (part-time), Mechanical Engineering, 7/1/07 through 6/30/08.
- Donohew, Robert L., College of Communications and Information Studies, Professor (part-time), Communication, 7/1/07 through 6/30/08.
- Duncan, George A., College of Agriculture, Professor (part-time), Biosystems and Agricultural Engineering, 7/1/07 through 6/30/08.
- Funk, James E., College of Engineering, Professor (part-time), Mechanical Engineering, 7/1/07 through 6/30/08.

- Gairola, Chandra G., College of Medicine, Professor (part-time), Graduate Center for Toxicology, 7/1/07 through 6/30/08.
- Gaither, Elizabeth Turpin, College of Medicine, Professional Administrator, Family and Community Medicine, 7/1/07 through 6/30/08.
- Getchell, Marilyn L., College of Medicine, Professor (part-time), Anatomy and Neurobiology, 7/1/07 through 6/30/08.
- Hagihara, Patrick F., College of Medicine, Professor (part-time), Surgery, 7/1/07 through 6/30/08.
- Harker, Candace, College of Agriculture, County Extension Agent (part-time), Cooperative Extension Service, 7/1/07 through 6/30/08.
- Inman, Linda, College of Agriculture, Administrative Assistant (part-time), Agricultural Economics, 6/20/07 through 1/24/08.
- Ireson, Carol L., College of Public Health, Associate Professor (part-time), Health Services Management, 7/1/07 through 6/30/08.
- Johns, John T., College of Agriculture, Professor (part-time), Animal and Food Sciences, 11/4/07 through 4/30/08.
- Jones, Larry D., College of Agriculture, Professor (part-time), Agricultural Economics, 10/8/07 through 10/7/08.
- Kennedy, M. Jean, College of Medicine, Department Administrator (part-time), Family and Community Medicine, 8/1/07 through 6/30/08.
- Knapp, Fred W., College of Agriculture, Professor (part-time), Entomology, 7/1/07 through 6/30/08.
- Kurth, Joe, College of Agriculture, Assistant Director (full-time), Cooperative Extension Service, 8/8/07 through 8/7/08, and Assistant Director (part-time), Cooperative Extension Service, 8/8/08 through 8/7/09.
- Long, Joy, College of Agriculture, Administrative Staff Officer (part-time), Agriculture Administration, 7/1/07 through 6/30/08.
- Lucas, Bruce A., College of Medicine, Professor (part-time), Surgery, 7/1/07 through 6/30/08.
- McCollum, Doris, College of Agriculture, Staff Assistant (part-time), Cooperative Extension Service, 2/1/07 through 1/31/08.
- Piecoro, John J., College of Pharmacy, Professor (part-time), 7/1/07 through 6/30/08.
- Prince, Ralph, College of Agriculture, Advisory Leadership Coordinator (part-time), Cooperative Extension Service, 10/4/07 through 10/3/08.
- Royster, Wimberly C., College of Arts and Sciences, Professor (part-time), Mathematics, 7/1/07 through 6/30/08.
- Seeley, Ellsworth C., College of Medicine, Professor (part-time), Family and Community Medicine, 7/1/07 through 6/30/08.
- Sims, Jackie, College of Medicine, Clinical Research Coordinator, Radiation Medicine, 7/1/07 through 6/30/08.
- Stivers, Wendy, College of Agriculture, Extension Specialist (part-time), Cooperative Extension Service, 7/5/07 through 6/30/08.
- Swift, Louis J., College of Arts and Sciences, Professor (part-time), Modern and Classical Languages, Literatures, and Cultures, 8/16/07 through 6/30/08.
- TeKrony, Dennis M., College of Agriculture, Professor (part-time), Plant and Soil Sciences, 1/1/08 through 6/30/08.

Trimble, Richard L., College of Agriculture, Professor (part-time), Agricultural Economics, 6/1/08 through 5/31/09.

K. PHASED RETIREMENT APPOINTMENTS

Bognar, Agnes, College of Medicine, MRI Technologist, Magnetic Resonance Imaging and Spectroscopy Center, 9/1/07 through 8/31/12.

II. ADMINISTRATIVE ACTION

A. ACADEMIC APPOINTMENTS

Ahmed, Mansoor, College of Medicine, Assistant Professor (voluntary), Internal Medicine, 6/1/07 through 6/30/11.

Alcalde, Maria C., College of Arts and Sciences, Assistant Professor, Anthropology, 8/16/07 through 6/30/09.

Amin, Rajanbhai R., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 8/1/07 through 6/30/11.

Baker, Michael S., College of Fine Arts, Instructor (temporary), Music, 8/1/07 through 6/30/08.

Banner, Rebecca M., College of Communications and Information Studies, Assistant Professor, Library and Information Science, 8/1/07 through 6/30/08.

Bartek, James M., College of Arts and Sciences, Instructor (part-time), History, 8/16/07 through 12/31/07.

Bates, Pamela S., College of Social Work, Adjunct Instructor, 7/1/07 through 6/30/08.

Bertoli, Elizangela, College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 8/1/07 through 6/30/08.

Bingham, Barry, College of Dentistry, Instructor (voluntary), Oral Health Science, 7/1/07 through 6/30/11.

Blake, Robin, College of Health Sciences, Instructor (voluntary), Rehabilitation Sciences, 7/1/07 through 6/30/11.

Borders, Emily B., College of Pharmacy, Instructor (part-time), 7/1/07 through 6/30/08.

Bottge, Karen M., College of Fine Arts, Assistant Professor, Music, 8/1/07 through 6/30/08.

Boykin, William H., College of Medicine, Assistant Professor (voluntary), Surgery, 7/1/07 through 6/30/11.

Braun, Benjamin J., College of Arts and Sciences, Assistant Professor, Mathematics, 8/16/07 through 6/30/09.

Brogden, Nicole K., College of Pharmacy, Instructor (part-time), 7/1/07 through 6/30/08.

Brown, Christia Spears, College of Arts and Sciences, Assistant Professor, Psychology, 8/16/07 through 6/30/09.

Brown, Marilyn G., College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/07 through 6/30/11.

Browning, Steven R., College of Public Health, Assistant Professor, Epidemiology, and joint appointment as Assistant Professor, Internal Medicine, College of Medicine, 8/1/06 through 6/30/07.

- Buenafe, Marites C., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 6/1/07 through 6/30/11.
- Bullock, David, College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 8/1/07 through 6/30/11.
- Burk, David L., College of Medicine, Assistant Professor (visiting), Diagnostic Radiology, 8/10/07 through 6/30/08.
- Burrill, Emily S., College of Arts and Sciences, Assistant Professor, History, 8/16/07 through 6/30/09.
- Burton, William D., College of Engineering, Instructor (part-time), Civil Engineering, 8/16/07 through 6/30/08.
- Bush, Heather M., College of Public Health, Assistant Professor, Biostatistics, and joint appointment as Assistant Professor, Statistics, College of Arts and Sciences, 8/1/06 through 6/30/07.
- Caban-Holt, Allison M., College of Medicine, Assistant Research Professor, Behavioral Science, 7/1/07 through 6/30/08.
- Calvert, Jane E., College of Arts and Sciences, Assistant Professor, History, 8/16/07 through 6/30/09.
- Carucci, Christine A., College of Fine Arts, Instructor (part-time), Music, 7/1/07 through 6/30/08.
- Caskey, Paula P., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/07 through 6/30/11.
- Chattopadhyay, Amit, College of Public Health, Assistant Professor, Epidemiology, and joint appointment as Assistant Professor, Oral Health Science, College of Dentistry, 9/18/06 through 6/30/07.
- Cho, Wonbin, College of Arts and Sciences, Assistant Professor, Political Science, 8/16/07 through 6/30/09.
- Clay, Angelique, College of Fine Arts, Assistant Professor*, Music, 7/1/07 through 6/30/08.
- Clough, Ellen R., College of Medicine, Assistant Professor (voluntary), Surgery, 6/1/07 through 6/30/11.
- Cohen, Elisia L., College of Communications and Information Studies, Assistant Professor, Communication, 8/1/07 through 6/30/08.
- Coolong, Timothy W., College of Agriculture, Assistant Extension Professor, Horticulture, 7/1/07 through 6/30/08.
- Cory, Marie L., College of Fine Arts, Instructor (part-time), Music, 7/1/07 through 6/30/08.
- Craft, Jonathan D., College of Nursing, Instructor (part-time), 8/1/07 through 6/30/08.
- Crawford, Christopher B., College of Arts and Sciences, Assistant Professor, Physics and Astronomy, 8/16/07 through 6/30/09.
- Curtis, Walter J., College of Arts and Sciences, Assistant Professor, Psychology, 8/16/07 through 6/30/09.
- D'Costa, Gina, College of Medicine, Instructor (voluntary), Internal Medicine, 7/1/07 through 6/30/11.
- DeWall, C. N., College of Arts and Sciences, Assistant Professor, Psychology, 8/16/07 through 6/30/09.
- Dingrando, Kelly J., College of Dentistry, Clinical Assistant Professor, Oral Health Science, 7/16/07 through 6/30/08.

*Special Title Series

- Dowling, Ashley P., College of Agriculture, Instructor (part-time), Entomology, 8/1/07 through 6/30/08.
- Dulin, Brian R., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 8/1/07 through 6/30/11.
- Fallahzadeh, Hossein, College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 3/12/07 through 6/30/11.
- Fatemi, Renee H., College of Arts and Sciences, Assistant Professor, Physics and Astronomy, 8/16/07 through 6/30/09.
- Felsberg, Gary J., College of Medicine, Assistant Professor (visiting), Diagnostic Radiology, 8/10/07 through 6/30/08.
- Feng, Xiaohu, College of Engineering, Instructor (part-time), Electrical and Computer Engineering, 6/7/07 through 8/6/07.
- Fite, Chad M., College of Medicine, Assistant Professor (voluntary), Pediatrics, 8/1/07 through 6/30/11.
- Fleischer, Larry, College of Pharmacy, Assistant Professor (voluntary), 4/3/07 through 6/30/11.
- Foster, Keith H., College of Dentistry, Assistant Professor*, Oral Health Practice, 7/16/07 through 6/30/08.
- Francies, Regina S., College of Communications and Information Studies, Lecturer, Communication, 8/1/07 through 6/30/08.
- Galbreath, William B., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/07 through 6/30/08.
- Geren, Jack W., College of Medicine, Assistant Professor (voluntary), Emergency Medicine, 8/1/07 through 6/30/11.
- Gressle, Elizabeth S., College of Nursing, Assistant Professor*, 7/1/07 through 6/30/08.
- Gulla, Darrin V., College of Business and Economics, Lecturer, Economics, 8/1/07 through 6/30/08.
- Han, Nancy C., College of Medicine, Assistant Professor (voluntary), Surgery, 4/1/07 through 6/30/11.
- Hana, Antoin, College of Medicine, Assistant Professor (voluntary), Pediatrics, 8/1/07 through 6/30/11.
- Hanna, Wahid T., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 7/1/07 through 6/30/11.
- Harkabus, Michael A., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 12/1/06 through 6/30/11.
- Harris, Jason P., College of Medicine, Assistant Professor (voluntary), Surgery, 7/1/07 through 6/30/11.
- Harris, John M., College of Medicine, Assistant Professor (voluntary), Surgery, 7/1/07 through 6/30/11.
- Harrison, Mary Margaret, College of Nursing, Instructor (part-time), 8/7/07 through 12/31/07.
- Hartker, Frederick W., College of Medicine, Assistant Professor (visiting), Diagnostic Radiology, 8/10/07 through 6/30/08.
- Heilig, Michael R., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 7/1/07 through 6/30/11.

*Special Title Series

- Henderson, Teresa, College of Pharmacy, Assistant Professor (voluntary), 3/17/07 through 6/30/11.
- Henly, Nancy J., College of Medicine, Assistant Professor (voluntary), Pediatrics, 3/1/07 through 6/30/11.
- Hicks, Brooke D., College of Pharmacy, Instructor (part-time), 7/1/07 through 6/30/08.
- Ho, Pui Man, College of Pharmacy, Instructor (part-time), 7/1/07 through 6/30/08.
- Horn, Shellie R., College of Health Sciences, Instructor (voluntary), Rehabilitation Sciences, 6/1/07 through 6/30/11.
- Hughes, Jessica, College of Pharmacy, Assistant Professor (voluntary), 5/1/07 through 6/30/11.
- Hyden, Jerry T., College of Pharmacy, Assistant Professor (voluntary), 5/2/07 through 6/30/11.
- Jackson, Henry S., College of Agriculture, Instructor (part-time), Landscape Architecture, 8/1/07 through 6/30/08.
- Jarrell, Brett E., College of Medicine, Assistant Professor (part-time), Emergency Medicine, 7/1/07 through 6/30/08.
- Johnson, Weston C., College of Engineering, Instructor (part-time), Electrical and Computer Engineering, 6/7/07 through 8/6/07.
- Judd, William R., College of Pharmacy, Instructor (part-time), 7/1/07 through 6/30/08.
- Kain, Mary, College of Nursing, Instructor (part-time), 8/1/07 through 6/30/08.
- Kennedy, Laura A., College of Agriculture, Assistant Professor*, Veterinary Science, 7/1/07 through 6/30/08.
- Keogh, Jill, College of Social Work, Clinical Instructor, 2/1/07 through 6/30/07.
- Knecht, Marc R., College of Arts and Sciences, Assistant Professor, Chemistry, 8/16/07 through 6/30/09.
- Knight, Jamie, College of Pharmacy, Assistant Professor (voluntary), 5/2/07 through 6/30/11.
- Koegler, Karen, College of Arts and Sciences, Instructor (part-time), Geography, 8/16/07 through 12/31/07.
- Kreis, Samuel D., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 4/19/07 through 6/30/11.
- Lafferty, Dustin, College of Arts and Sciences, Instructor (part-time), Chemistry, 8/16/07 through 12/31/07.
- Leal, Cesar A., College of Fine Arts, Instructor (part-time), Music, 7/1/07 through 6/30/08.
- Lhotka, John M., College of Agriculture, Assistant Professor, Forestry, 6/1/07 through 6/30/07.
- Lukens, Margaret F., College of Medicine, Instructor (part-time), Anesthesiology, 7/1/07 through 6/30/08.
- Maners, Toni Rae D., College of Health Sciences, Instructor (voluntary), Rehabilitation Sciences, 5/21/07 through 6/30/11.
- Marek, Christopher A., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 7/1/07 through 6/30/11.
- McCleese, Howard D., College of Fine Arts, Instructor (part-time), Music, 8/1/07 through 6/30/08.
- Meek, John R., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 7/1/07 through 6/30/11.

*Special Title Series

- Meyer, Arthur D., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 3/15/07 through 6/30/11.
- Mills, Brook, College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/07 through 6/30/11.
- Morris, Glenn T., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 8/1/07 through 6/30/11.
- Mudd, Gia, College of Nursing, Assistant Professor, 7/1/07 through 6/30/08.
- Mukhopadhyay, Partha, College of Arts and Sciences, Assistant Professor (visiting), Physics and Astronomy, 7/1/07 through 6/30/08.
- Myrup, Erik L., College of Arts and Sciences, Assistant Professor, History, 8/16/07 through 6/30/09.
- Oliver, Brett A., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 4/19/07 through 6/30/11.
- Omer, Katherine W., College of Medicine, Assistant Professor (voluntary), Pediatrics, 8/1/07 through 6/30/11.
- Parker, Brenda M., College of Pharmacy, Assistant Professor (voluntary), 7/9/07 through 6/30/11.
- Parker, Stacey L., College of Nursing, Instructor (part-time), 8/1/07 through 6/30/08.
- Parsley, Barry N., College of Medicine, Assistant Professor (voluntary), Emergency Medicine, 8/1/07 through 6/30/11.
- Pendland, Susan, College of Pharmacy, Assistant Professor (voluntary), 7/9/07 through 6/30/11.
- Plaster, Bradley R., College of Arts and Sciences, Assistant Professor, Physics and Astronomy, 8/16/07 through 6/30/09.
- Pomeranz, Stephen J., College of Medicine, Assistant Professor (voluntary), Diagnostic Radiology, 7/11/07 through 6/30/11.
- Quarles, James D., College of Medicine, Instructor (voluntary), Internal Medicine, 6/1/07 through 6/30/11.
- Reynolds, Sandra, College of Health Sciences, Assistant Professor (voluntary), Rehabilitation Sciences, 8/1/07 through 6/30/11.
- Reynolds, Stephanie D., College of Communications and Information Studies, Assistant Professor, Library and Information Science, 8/1/07 through 6/30/08.
- Richardson, Joseph W., College of Medicine, Assistant Professor (voluntary), Emergency Medicine, 8/1/07 through 6/30/11.
- Rist, Toivo E., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 8/1/07 through 6/30/11.
- Rogers, Anthony G., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 7/1/07 through 6/30/11.
- Rogers, Freddie J., College of Arts and Sciences, Instructor (part-time), History, 8/16/07 through 12/31/07.
- Rossano, Mary G., College of Agriculture, Assistant Professor, Animal and Food Sciences, 7/19/07 through 6/30/08.
- Roszell, Stephen R., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 8/1/07 through 6/30/11.
- Sandford, Jeremy, College of Business and Economics, Assistant Professor, Economics, 8/16/07 through 6/30/08.

- Schmoll, Mary K., College of Pharmacy, Instructor (part-time), 7/1/07 through 6/30/08.
- Schomberg, Kristie, College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 1/2/07 through 6/30/11.
- Shah, Meena, College of Pharmacy, Assistant Professor (voluntary), 5/30/07 through 6/30/11.
- Shea, Paul, College of Business and Economics, Assistant Professor, Economics, 8/16/07 through 6/30/08.
- Sherman, Paul M., College of Medicine, Assistant Professor (visiting), Diagnostic Radiology, 8/10/07 through 6/30/08.
- Sieenthaler, Jennifer W., College of Business and Economics, Lecturer, Accountancy, 8/16/07 through 6/30/08.
- Sims, Joyce F., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 8/1/07 through 6/30/11.
- Smith, Linnea L., College of Medicine, Assistant Professor (voluntary), Pediatrics, 7/1/07 through 6/30/11.
- Smith, Melanie R., College of Pharmacy, Instructor (part-time), 7/1/07 through 6/30/08.
- Stansbury, Joan T., College of Fine Arts, Instructor (part-time), Music, 8/1/07 through 6/30/08.
- Stevich, Bojana, College of Pharmacy, Instructor (part-time), 7/1/07 through 6/30/08.
- Stratman, Rachel C., College of Pharmacy, Instructor (part-time), 7/1/07 through 6/30/08.
- Striffling, Rhya C., College of Medicine, Clinical Assistant Professor, Pediatrics, 8/1/07 through 6/30/08.
- Stultz, Brad, College of Pharmacy, Assistant Professor (voluntary), 6/20/07 through 6/30/11.
- Suarez, Juana, College of Arts and Sciences, Assistant Professor, Hispanic Studies, 8/16/07 through 6/30/09.
- Sumandea, C. Amelia, College of Medicine, Assistant Research Professor, Internal Medicine, 8/1/07 through 6/30/08.
- Symeonidis, Haralambos, College of Arts and Sciences, Assistant Professor, Hispanic Studies, 8/16/07 through 6/30/09.
- Thompson, Lisa A., College of Pharmacy, Instructor (part-time), 7/1/07 through 6/30/08.
- Tran, Ai, College of Medicine, Instructor (voluntary), Internal Medicine, 7/1/07 through 6/30/11.
- Umberger, Gloria H., College of Medicine, Assistant Adjunct Professor, Neurology, 9/1/07 through 6/30/08.
- VanCleave, Jeffrey T., College of Communications and Information Studies, Lecturer, Communication, 8/1/07 through 6/30/08.
- Wainscott, Justin K., College of Medicine, Instructor (part-time), Anesthesiology, 7/1/07 through 6/30/08.
- Wall, Kevin S., College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/07 through 6/30/11.
- Wang, Erming, College of Medicine, Assistant Research Professor, Neurology, 8/1/07 through 6/30/08.
- Ward, Rodney, College of Pharmacy, Assistant Professor (voluntary), 4/4/07 through 6/30/11.
- Wiesner, Ann M., College of Pharmacy, Instructor (part-time), 7/1/07 through 6/30/08.

Williams-Treesh, Mary N., College of Dentistry, Assistant Professor (part-time), Oral Health Science, 7/1/07 through 6/30/08.
 Wirth, Scott M., College of Pharmacy, Instructor (part-time), 7/1/07 through 6/30/08.
 Witt, Cheryl D., College of Nursing, Instructor (part-time), 8/1/07 through 6/30/08.
 Wooster, William E., College of Medicine, Assistant Professor (voluntary), Emergency Medicine, 8/1/07 through 6/30/11.
 Wright, Raymond D., College of Medicine, Instructor (part-time), Orthopaedic Surgery, 7/1/07 through 6/30/08.
 Yackzan, Susan G., College of Nursing, Instructor (voluntary), 7/1/07 through 6/30/11.
 Yu, Jihai, College of Business and Economics, Assistant Professor, Economics, 8/16/07 through 6/30/08.
 Zarbock, Sommer D., College of Pharmacy, Instructor (part-time), 7/1/07 through 6/30/08.
 Zhou, Xiaoqin, College of Medicine, Assistant Research Professor, Surgery, 8/1/07 through 6/30/08.

B. ADMINISTRATIVE APPOINTMENTS

Biagi, David M., College of Design, Associate Professor (with tenure), Architecture, appointed Acting Dean, College of Design, 6/6/07 through 6/5/08.
 Field, Matthew Douglas, College of Engineering, Engineer Associate IV/Research, Visualization and Virtual Environments, effective 7/1/07.
 Hammock, Kristen, College of Education, Disability Program Administrator Associate, Special Education and Rehabilitation Counseling, effective 8/1/07.
 Kermode, Robert, College of Medicine, Department Administrator III, Orthopaedic Surgery, effective 7/1/07.
 Kim, Myung-Hee, College of Medicine, Scientist III, Internal Medicine, effective 7/1/07.
 Young, A. B., College of Medicine, Professor (with tenure), Surgery, appointed Acting Chair, Neurosurgery, 7/1/07 through 6/30/08.

C. JOINT APPOINTMENTS

Clifford, Timothy M., College of Pharmacy, Assistant Adjunct Professor, joint appointment as Assistant Adjunct Professor, Surgery, College of Medicine, 7/1/07 through 6/30/08.
 Law, Timothy D., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, joint appointment as Assistant Professor (voluntary), Family and Community Medicine, College of Medicine, 12/1/06 through 6/30/11.
 Lee, Kiyong, College of Public Health, Assistant Professor, Preventive Medicine and Environmental Health, joint appointment as Assistant Professor, Graduate Center for Toxicology, College of Medicine, 7/1/07 through 6/30/08.
 Lifshitz, Jonathan, College of Medicine, Assistant Professor, Anatomy and Neurobiology, joint appointment as Assistant Professor, Physical Medicine and Rehabilitation, 9/1/07 through 6/30/08.
 Loftin, Charles D., College of Pharmacy, Assistant Professor, joint appointment as Assistant Professor, Graduate Center for Toxicology, College of Medicine, 7/1/07 through 6/30/08.

Pais, Vernon M., College of Medicine, Assistant Professor*, Surgery, joint appointment as Assistant Professor*, Diagnostic Radiology, 7/1/07 through 6/30/08.

D. REAPPOINTMENTS

Abel, Mark G., College of Education, Assistant Professor, Kinesiology and Health Promotion, 7/1/07 through 6/30/08.

Ades, Harriet, College of Arts and Sciences, Instructor (part-time), Chemistry, 8/16/07 through 12/31/07.

Allen-Bryant, Kacy T., College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.

Allweiss, Pamela H., College of Public Health, Assistant Professor (part-time), Preventive Medicine and Environmental Health, and joint appointments as Assistant Professor (part-time), Family and Community Medicine, College of Medicine and Assistant Professor (part-time), Physical Medicine and Rehabilitation, College of Medicine, 7/1/07 through 6/30/08.

Arnett, Shelia M., College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/07 through 6/30/11.

Arnold, Elizabeth, College of Fine Arts, Instructor (part-time), Music, 7/1/07 through 6/30/08.

Badurdeen, F. Fazleena, College of Engineering, Assistant Professor, Mechanical Engineering, 7/1/07 through 6/30/09.

Barnes, Karen J., College of Medicine, Assistant Professor (part-time), Family and Community Medicine, 7/1/07 through 6/30/08.

Barney, Robert J., College of Agriculture, Assistant Adjunct Professor, Entomology, 7/1/07 through 6/30/08.

Baxter, Tami L., College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.

Beebe, Leslie M., College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.

Blankenship, Cary W., College of Arts and Sciences, Instructor (part-time), History, 8/16/07 through 12/31/07.

Bonzani, Renee M., College of Arts and Sciences, Instructor (part-time), Anthropology, 8/16/07 through 12/31/07.

Bouvier, Jeanne R., College of Nursing, Adjunct Instructor, 7/1/07 through 6/30/08.

Bowman, Roxanne K., College of Nursing, Instructor (part-time), 1/7/08 through 6/30/08.

Bradley, Kelly, College of Education, Assistant Professor, Educational Policy Studies and Evaluation, 7/1/07 through 6/30/08.

Browning, Steven R., College of Public Health, Assistant Professor, Epidemiology, and joint appointment as Assistant Professor, Internal Medicine, College of Medicine, 7/1/07 through 6/30/08.

Bryon, Hilary, College of Design, Lecturer, Architecture, 7/1/07 through 6/30/08.

Burke, William F., College of Arts and Sciences, Adjunct Instructor, Biology, 7/1/07 through 6/30/08.

Burns, Leslie D., College of Education, Assistant Professor, Curriculum and Instruction, 7/1/07 through 6/30/08.

Bush, Heather M., College of Public Health, Assistant Professor, Biostatistics, and joint appointment as Assistant Professor, Statistics, College of Arts and Sciences, 7/1/07 through 6/30/08.

*Special Title Series

- Byers, Matthew E., College of Agriculture, Assistant Adjunct Professor, Biosystems and Agricultural Engineering, 7/1/07 through 6/30/08.
- Calderhead, William J., College of Education, Assistant Professor, Special Education and Rehabilitation Counseling, 7/1/07 through 6/30/08.
- Carrigan, Dennis P., College of Communications and Information Studies, Assistant Professor*, Library and Information Science, 7/1/07 through 6/30/08.
- Cerel, Julie A., College of Social Work, Assistant Professor, 7/1/07 through 6/30/08.
- Chattopadhyay, Amit, College of Public Health, Assistant Professor, Epidemiology, and joint appointment as Assistant Professor, Oral Health Science, College of Dentistry, 7/1/07 through 6/30/08.
- Chinn, Jessika, College of Pharmacy, Assistant Professor (voluntary), 7/1/07 through 6/30/11.
- Clements, Linda, College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.
- Clements, Steve, College of Education, Lecturer, Educational Policy Studies and Evaluation, 7/1/07 through 6/30/08.
- Collins-Camargo, Crystal E., College of Social Work, Clinical Assistant Professor, 7/1/07 through 6/30/08.
- Cook, Patricia G., College of Social Work, Assistant Professor, 7/1/07 through 6/30/08.
- Costich, Julia F., College of Public Health, Assistant Professor*, Health Services Management, 7/1/07 through 6/30/08.
- Cothran, Valerie E., College of Medicine, Clinical Assistant Professor, Family and Community Medicine, 7/1/07 through 6/30/08.
- Crabtree, Carole, College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.
- Craig, Carlton D., College of Social Work, Assistant Professor, 7/1/07 through 6/30/08.
- Cruz-Morgado, Luciano E., College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 8/16/07 through 12/31/07.
- Dailey, Raleigh K., College of Fine Arts, Lecturer, Music, 7/1/07 through 6/30/08.
- Davenport, Daniel L., College of Business and Economics, Assistant Professor (visiting), Management, and joint appointment as Assistant Professor (visiting), Surgery, College of Medicine, 7/1/07 through 6/30/08.
- Dorfling, Johannes, College of Medicine, Clinical Assistant Professor, Anesthesiology, 7/1/07 through 6/30/08.
- Drumm, Jennifer, College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.
- Erwin, Heather, College of Education, Assistant Professor, Kinesiology and Health Promotion, 7/15/07 through 6/30/08.
- Feld, Hartley C., College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.
- Flaherty, Christopher W., College of Social Work, Assistant Professor, 7/1/07 through 6/30/08.
- Fray, Lorelei L., College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.
- Gibbs, William, College of Arts and Sciences, Instructor (part-time), History, 8/16/07 through 12/31/07.
- Glixon, Beth, College of Fine Arts, Instructor (part-time), Music, 7/1/07 through 6/30/08.
- Goan, Melanie, College of Arts and Sciences, Instructor (part-time), History, 8/16/07 through 12/31/07.

*Special Title Series

- Godlaski, Theodore M., College of Social Work, Clinical Assistant Professor, and joint appointment as Clinical Assistant Professor, Psychiatry, College of Medicine, 7/1/07 through 6/30/08.
- Graves, Jacquelyn A., College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.
- Gustashaw, William E., College of Education, Assistant Professor*, Special Education and Rehabilitation Counseling, 7/1/07 through 6/30/08.
- Hammond, Angela D., College of Fine Arts, Instructor (part-time), Music, 6/7/07 through 8/2/07.
- Hampton, Debra C., College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.
- Hardesty, Peggy J., College of Nursing, Adjunct Instructor, 7/1/07 through 6/30/08.
- Harley, John P., College of Nursing, Assistant Professor (part-time), 7/1/07 through 6/30/08.
- Heiser, Regina M., College of Nursing, Adjunct Instructor, 7/1/07 through 6/30/08.
- Hensley, Hunter C., College of Fine Arts, Instructor (part-time), Music, 7/1/07 through 6/30/08.
- Hood, James, College of Arts and Sciences, Instructor (part-time), History, 8/16/07 through 12/31/07.
- Howard, Patricia A., College of Arts and Sciences, Instructor (part-time), Anthropology, 8/16/07 through 12/31/07.
- Howell, Penny B., College of Education, Assistant Professor, Curriculum and Instruction, 8/16/07 through 6/30/08.
- Jacobs-Lawson, Joy M., College of Public Health, Assistant Professor, Gerontology, and joint appointments as Assistant Professor, Health Behavior and Assistant Professor, Psychology, College of Arts and Sciences, 7/1/07 through 6/30/08.
- Jung, Lee Ann, College of Education, Assistant Professor, Special Education and Rehabilitation Counseling, 7/1/07 through 6/30/08.
- Karp, Margaret B., College of Fine Arts, Instructor (part-time), Music, 7/1/07 through 6/30/08.
- Kinnaird, Sally W., College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.
- LaCroix, David D., College of Arts and Sciences, Assistant Professor (visiting), English, 8/16/07 through 6/30/08.
- Leech, Janie W., College of Arts and Sciences, Instructor (part-time), Geography, 8/16/07 through 12/31/07.
- Leonard, Andrew J., College of Fine Arts, Instructor (part-time), Music, 7/1/07 through 6/30/08.
- Love, Keisha M., College of Education, Assistant Professor, Educational and Counseling Psychology, 7/1/07 through 6/30/08.
- Lyons, Thomas G., College of Pharmacy, Assistant Professor (voluntary), 6/15/07 through 6/30/11.
- Maginnis, M. Abbot, College of Engineering, Lecturer, UK Center for Manufacturing, 7/1/07 through 6/30/08.
- Marksberry, Phillip W., College of Engineering, Lecturer, UK Center for Manufacturing, 7/1/07 through 6/30/08.
- McComb, Neil G., College of Design, Instructor (part-time), Architecture, 7/1/07 through 6/30/08.

*Special Title Series

- McCrary, Nancye, College of Education, Assistant Professor, Curriculum and Instruction, 7/1/07 through 6/30/08.
- Merriman, Scott, College of Arts and Sciences, Instructor (part-time), History, 8/16/07 through 12/31/07.
- Miller, Angela D., College of Education, Assistant Professor, Educational and Counseling Psychology, 7/1/07 through 6/30/08.
- Miller, Christopher M., College of Pharmacy, Clinical Assistant Professor, 7/1/07 through 6/30/08.
- Mills, Beth K., College of Social Work, Clinical Instructor, 7/1/07 through 6/30/08.
- Missall, Kristen, College of Education, Assistant Professor, Educational and Counseling Psychology, 7/1/07 through 6/30/08.
- Mohr, Margaret J., College of Education, Assistant Professor, Curriculum and Instruction, 7/1/07 through 6/30/08.
- Nilsson, Nina L., College of Education, Assistant Professor, Curriculum and Instruction, 7/1/07 through 6/30/08.
- O'Connor, Lisa O., College of Communications and Information Studies, Assistant Professor, Library and Information Science, 7/1/07 through 6/30/08.
- Olsen, Karl P., College of Fine Arts, Instructor (part-time), Music, 7/1/07 through 6/30/08.
- Osland, Lisa, College of Fine Arts, Instructor (part-time), Music, 7/1/07 through 6/30/08.
- Patterson, John A., College of Medicine, Assistant Professor (part-time), Family and Community Medicine, 7/1/07 through 6/30/08.
- Pena, Luis R., College of Medicine, Assistant Professor*, Internal Medicine, 7/1/07 through 6/30/08.
- Pike, Charles L., College of Engineering, Adjunct Instructor, Computer Science, 7/1/07 through 6/30/08.
- Pita Parra, Laura M., College of Fine Arts, Instructor (part-time), Music, 6/7/07 through 8/2/07.
- PolICASTRI, Anne, College of Pharmacy, Clinical Assistant Professor, 7/1/07 through 6/30/08.
- Poole, Patrick K., College of Engineering, Assistant Professor (part-time), Mechanical Engineering, 7/1/07 through 6/30/08.
- Puerto, Jose J., College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 8/16/07 through 12/31/07.
- Ramsey, Deanna, College of Business and Economics, Instructor (part-time), Accountancy, 8/16/06 through 6/30/07.
- Rintamaa, Margaret, College of Education, Assistant Research Professor, Curriculum and Instruction, 7/1/07 through 6/30/08.
- Roberts, Kitty R., College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.
- Robinson, Deirdra L., College of Social Work, Clinical Instructor, 7/1/07 through 6/30/08.
- Rogozinski, Zbigniew S., College of Medicine, Assistant Professor (part-time), Anesthesiology, 7/1/07 through 6/30/08.
- Rose, Donna M., College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.
- Ross, John, College of Pharmacy, Assistant Professor (voluntary), 7/9/07 through 6/30/11.
- Schuller, Juawanna L., College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.
- Sedlacek, John D., College of Agriculture, Assistant Adjunct Professor, Entomology, 7/1/07 through 6/30/08.

*Special Title Series

Smoot, Richard C., College of Arts and Sciences, Instructor (part-time), History, 8/16/07 through 12/31/07.

Sossou, Marie A., College of Social Work, Assistant Professor, 7/1/07 through 6/30/08.

Spencer, Michael G., College of Design, Assistant Professor (temporary), Historic Preservation, 7/1/07 through 6/30/08.

Stefaniak, Karen A., College of Nursing, Adjunct Instructor, 7/1/07 through 6/30/08.

Susman, David T., College of Arts and Sciences, Clinical Assistant Professor, Psychology, and joint appointment as Clinical Assistant Professor, Psychiatry, College of Medicine, 7/1/07 through 6/30/09.

Swan, Kathleen, College of Education, Assistant Professor, Curriculum and Instruction, 7/1/07 through 6/30/08.

Tyler, Kenneth M., College of Education, Assistant Professor, Educational and Counseling Psychology, 7/1/07 through 6/30/08.

Venugopal, Nithya, College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/07 through 6/30/08.

Watson, Adria M., College of Nursing, Instructor (part-time), 1/7/08 through 6/30/08.

Watson, Mark, College of Arts and Sciences, Assistant Professor, Chemistry, 7/1/07 through 6/30/09.

Webster, Thomas C., College of Agriculture, Assistant Adjunct Professor, Entomology, 7/1/07 through 6/30/08.

Weeks, Pamela L., College of Social Work, Clinical Assistant Professor, 7/1/07 through 6/30/08.

Wells, Raymond D., College of Medicine, Assistant Professor (part-time), Family and Community Medicine, 7/1/07 through 6/30/08.

White, Jennifer S., College of Pharmacy, Assistant Professor (voluntary), 7/1/07 through 6/30/11.

Woods, Dorothy K., College of Arts and Sciences, Instructor (part-time), History, 8/16/07 through 12/31/07.

Yang, Ruigang, College of Engineering, Assistant Professor, Computer Science, 7/1/07 through 6/30/09.

Yarberry, Tara, College of Nursing, Instructor (part-time), 7/1/07 through 6/30/08.

Yi, Kwan, College of Communications and Information Studies, Assistant Professor, Library and Information Science, 7/1/07 through 6/30/08.

Zielke, Judy, College of Nursing, Clinical Instructor, 7/1/07 through 6/30/08.

E. PROMOTIONS WITHOUT TENURE

Dorfling, Johannes, College of Medicine, from Clinical Instructor, Anesthesiology, to Clinical Assistant Professor, Anesthesiology, 5/1/07 through 6/30/07.

Marksbury, Tom, College of Arts and Sciences, from Lecturer, English, to Senior Lecturer, English, 7/1/07 through 6/30/08.

F. CHANGES

Arevalo, Oscar A., College of Dentistry, from Assistant Professor, Oral Health Science, and joint appointment as Assistant Professor, Epidemiology, College of Public Health,

- to Assistant Professor*, Oral Health Science, and joint appointment as Assistant Professor*, Epidemiology, College of Public Health, 7/1/07 through 6/30/08.
- Ashford, Kristin B., College of Nursing, from Lecturer, to Assistant Professor, 8/1/07 through 6/30/08.
- Breazeale, Dan, College of Arts and Sciences, Professor (with tenure), Philosophy, appointed Acting Chair, Philosophy, from 1/1/08 through 6/30/08, to 7/1/07 through 6/30/08.
- Challman, Donald J., Research, from Administrative Staff Officer II, Center for Applied Energy Research, to Policy, Management and Budget Director/Associate/General Manager, Center for Applied Energy Research, effective 7/1/07.
- Chendil, Damodaran, College of Health Sciences, from Assistant Research Professor, Clinical Sciences, to Assistant Professor, Clinical Sciences, 7/1/07 through 6/30/08.
- Crutchfield, Barbara K., College of Medicine, from Assistant Professor (part-time), Ophthalmology and Visual Sciences, to Clinical Assistant Professor, Ophthalmology and Visual Sciences, 9/1/07 through 6/30/08.
- Curd, Philip R., College of Public Health, from Clinical Assistant Professor, Preventive Medicine and Environmental Health, and joint appointment as Clinical Assistant Professor, Family and Community Medicine, College of Medicine, to Assistant Professor (part-time), Preventive Medicine and Environmental Health, and joint appointment as Assistant Professor (part-time), Family and Community Medicine, College of Medicine, 7/1/07 through 6/30/08.
- Davis, Rebecca J., College of Business and Economics, from Instructor (part-time), Management, to Lecturer, Management, 8/1/07 through 6/30/08.
- Diamond, Scott E., College of Medicine, from Assistant Professor, Physiology, to Assistant Adjunct Professor, Physiology, 8/1/07 through 6/30/08.
- Gedaly, Roberto, College of Medicine, from Clinical Assistant Professor, Surgery, to Assistant Professor*, Surgery, 8/1/07 through 6/30/08.
- Grisby, Cassandra, College of Medicine, from Staff Technician II, Family Practice-Hazard, to Clinical Systems Coordinator Senior, Family Practice-Hazard, effective 7/8/07.
- Grondin, Richard C., College of Medicine, from Assistant Research Professor, Anatomy and Neurobiology, to Assistant Professor, Anatomy and Neurobiology, 9/1/07 through 6/30/08.
- Groves, Karla R., College of Medicine, from Clinical Assistant Professor, Family and Community Medicine, to Clinical Assistant Professor, Family and Community Medicine, 8/1/07 through 6/30/08.
- Hall, Arlie, College of Engineering, from Lecturer, UK Center for Manufacturing, to Assistant Professor (part-time), UK Center for Manufacturing, 9/1/07 through 6/30/08.
- Hardin-Pierce, Melanie G., College of Nursing, from Clinical Assistant Professor, to Assistant Professor*, 8/1/07 through 6/30/08.
- Harrison, Ron N., Research, from Disability Program Administrator III, Human Development Institute, to Disability Program Director, Human Development Institute, effective 7/1/07.
- Harwood, James D., College of Agriculture, from Instructor (temporary), Entomology, to Assistant Professor, Entomology, 9/1/07 through 6/30/08.

- Heaton, Karen L., College of Nursing, from Instructor (part-time), to Assistant Professor, 7/1/07 through 6/30/08.
- Jaracz, Patricia Sanderson, College of Medicine, from Development Assistant IV, Development, to Development Director Associate Senior/Markey Cancer Foundation, Markey Cancer Center, effective 7/16/07.
- Jessa, Peace N., College of Public Health, from Assistant Professor, Preventive Medicine and Environmental Health, and joint appointment as Assistant Professor, Family and Community Medicine, College of Medicine, to Assistant Professor (part-time), Preventive Medicine and Environmental Health, and joint appointment as Assistant Professor (part-time), Family and Community Medicine, College of Medicine, 7/1/07 through 6/30/08.
- McCann, Richard O., College of Medicine, from Assistant Professor, Molecular and Cellular Biochemistry, to Assistant Research Professor, Molecular and Cellular Biochemistry, 7/1/07 through 6/30/08.
- Millman, Richard S., College of Arts and Sciences, Professor (with tenure), Mathematics, from appointed Acting Chair, Educational Leadership Studies, College of Education, to appointed Acting Chair, Curriculum and Instruction, College of Education, 7/1/07 through 6/30/08.
- Moncman, Carole L., College of Medicine, from Assistant Professor, Molecular and Cellular Biochemistry, to Assistant Research Professor, Molecular and Cellular Biochemistry, 7/1/07 through 6/30/08.
- Parkin, Sean, College of Arts and Sciences, from Assistant Adjunct Professor, Chemistry, to Adjunct Instructor, Chemistry, 8/16/07 through 12/31/07.
- Poore, Marian L., College of Arts and Sciences, from Instructor (part-time), Chemistry, to Adjunct Instructor, Chemistry, 8/16/07 through 12/31/07.
- Prince, Tonya, Enrollment Management, from Technical Administrator II, Undergraduate Admissions and Registrar Office, to Admissions/Registrar Director Associate, Undergraduate Admissions and Registrar Office, effective 8/12/07.
- Russell, Carabeth W., College of Medicine, Instructor (part-time), Internal Medicine, from 7/1/07 through 6/30/08, to 7/18/07 through 6/30/08.
- Scott, Leslie K., College of Nursing, from Clinical Assistant Professor, to Assistant Professor*, 8/1/07 through 6/30/08.
- Sheppard-Jones, Kathleen A., Research, from Disability Program Administrator II, Human Development Institute, to Disability Program Administrator III, Human Development Institute, effective 7/1/07.
- Tindall, Michele S., College of Medicine, from Assistant Research Professor, Behavioral Science, to Assistant Professor, College of Social Work, 4/1/07 through 6/30/08.
- Vaishnav, Anand G., College of Medicine, from Assistant Professor, Neurology, to Assistant Professor*, Neurology, 8/1/07 through 6/30/08.
- Webb, Angela K., College of Medicine, Instructor (part-time), Internal Medicine, from 7/1/07 through 6/30/08, to 7/22/07 through 6/30/08.
- Whiting, Jason B., College of Agriculture, from Assistant Professor, Family Studies, to Assistant Professor (temporary), Family Studies, 7/1/07 through 7/31/07.

G. TERMINAL REAPPOINTMENTS

- Ali, Mohamed H., College of Engineering, Lecturer, Mechanical Engineering, 7/1/07 through 6/30/08.
- Hall, Arlie, College of Engineering, Lecturer, UK Center for Manufacturing, 7/1/07 through 8/31/07.
- Herrin, David W., College of Engineering, Assistant Research Professor, Mechanical Engineering, 7/1/07 through 6/30/08.
- Keen, Debby L., College of Engineering, Lecturer, Computer Science, 7/1/07 through 6/30/08.
- Li, Tianxiang, College of Engineering, Assistant Research Professor, Mechanical Engineering, 7/1/07 through 6/30/08.
- McKenzie, Ryan N., College of Engineering, Lecturer, Computer Science, 7/1/07 through 6/30/08.
- Piwowarski, Paul, College of Engineering, Lecturer, Computer Science, 7/1/07 through 6/30/08.
- Salazar, Abraham J., College of Engineering, Assistant Research Professor, Mechanical Engineering, 7/1/07 through 6/30/08.
- Whitlock, Tammy, College of Arts and Sciences, Lecturer, History, 7/1/07 through 6/30/08.
- Zhu, Jun, College of Pharmacy, Assistant Research Professor, 7/1/07 through 8/30/07.

H. LEAVES OF ABSENCE

- Brunn, Stanley, College of Arts and Sciences, Professor (with tenure), Geography, Scholarly fellowship leave, 7/1/07 through 12/31/07.
- Crystal, Ralph, College of Education, Professor (with tenure), Special Education and Rehabilitation Counseling, from Sabbatical leave at full salary, 8/16/07 through 12/31/07, to Sabbatical leave at full salary, 1/1/08 through 6/30/08.
- Eastwood, Bruce, College of Arts and Sciences, Professor (with tenure), History, leave without pay, 7/1/07 through 12/31/07.
- Hislop, Peter, College of Arts and Sciences, Professor (with tenure), Mathematics, from Sabbatical leave at two-thirds salary, 7/1/07 through 6/30/08, to Sabbatical leave at full salary, 7/1/07 through 12/31/07.
- Maehr, David S., College of Agriculture, Professor (with tenure), Forestry, Sabbatical leave at full salary, 11/1/07 through 4/30/08.
- Marshall, Robert C., College of Health Sciences, Professor (with tenure), Rehabilitation Sciences, and joint appointment as Professor (without tenure), Physical Medicine and Rehabilitation, College of Medicine, Sabbatical leave at full salary, 1/1/08 through 6/30/08.
- Osborne, Amy B., College of Law, Librarian II (with tenure), Sabbatical leave at full salary, 1/1/09 through 6/30/09.
- Plaster, Bradley R., College of Arts and Sciences, Assistant Professor, Physics and Astronomy, Leave without pay, 8/16/07 through 6/30/08.

Ryan, Leland F., College of Communications and Information Studies, Associate Professor* (with tenure), Journalism and Telecommunications, Sabbatical leave at full salary, 1/1/08 through 6/30/08.

Ryder, Rebecca J., Libraries, Librarian I (with tenure), Sabbatical leave at full salary, 4/1/08 through 6/30/08.

Shaw, Margaret M., Libraries, Librarian I (with tenure), Sabbatical leave at full salary, 1/1/08 through 6/30/08.

Superson, Anita, College of Arts and Sciences, Associate Professor (with tenure), Philosophy, Leave without pay, 1/1/08 through 6/30/08.

Taylor, Lucian, College of Education, Associate Professor* (with tenure), Kinesiology and Health Promotion, Sabbatical leave at full salary, 1/1/08 through 6/30/08.

Temple, Debbie, College of Agriculture, County Extension Agent, Cooperative Extension Service, Educational leave at full salary, 9/3/07 through 11/30/07 and 2/1/08 through 4/30/08.

Wasilkowski, Grzegorz W., College of Engineering, Professor (with tenure), Computer Science, Sabbatical leave at full salary, 7/1/08 through 12/31/08.

Zook, Matthew, College of Arts and Sciences, Associate Professor (with tenure), Geography, Scholarly fellowship leave, 7/1/07 through 6/30/08.

I. RESIGNATIONS

Akers, Wendell S., College of Pharmacy, Associate Professor* (with tenure), Pharmacy Practice and Science, effective 7/31/07.

Albers, Sheri L., College of Medicine, Clinical Associate Professor, Diagnostic Radiology, effective 7/31/07.

Atallah, Joseph N., College of Medicine, Clinical Assistant Professor, Anesthesiology, effective 8/10/07.

Bashinsky, Alice L., College of Medicine, Clinical Assistant Professor, Ophthalmology, effective 7/27/07.

Brickell, Jean, College of Health Sciences, Associate Professor* (with tenure), Clinical Sciences, effective 12/31/04.

Cole, John S., College of Medicine, Clinical Instructor, Surgery, effective from 6/30/07 to 6/19/07.

Cooper, Amy L., College of Medicine, Clinical Instructor, Obstetrics and Gynecology, effective 6/30/07.

Cothran, Valerie E., College of Medicine, Clinical Assistant Professor, Family and Community Medicine, effective 8/10/07.

Crandall, James D., College of Medicine, Clinical Assistant Professor, Ophthalmology, effective 7/30/07.

Daniels, Judith A., College of Nursing, Clinical Assistant Professor, effective 6/30/07.

Elkhairi, Dalia S., College of Medicine, Clinical Assistant Professor, Obstetrics and Gynecology, effective 8/16/07.

Holt, Shannon L., College of Medicine, Clinical Instructor, Obstetrics and Gynecology, effective from 6/30/07 to 6/28/07.

Jahania, Mohammed S., College of Medicine, Clinical Assistant Professor, Surgery, effective 6/25/07.

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- Johnson, Jody M., College of Medicine, Clinical Instructor, Surgery, effective 6/30/07.
- Kendall, Constance L., College of Arts and Sciences, Assistant Professor, English, effective 6/30/07.
- Lingireddy, Srinivasa, College of Engineering, Associate Professor (with tenure), Civil Engineering, effective 6/30/07.
- McAllister, C. K., College of Medicine, Clinical Professor, Internal Medicine, effective 6/30/07.
- Norikane, Joey H., College of Agriculture, Assistant Professor, Biosystems and Agricultural Engineering, effective 6/30/07.
- Nychka, John A., College of Engineering, Assistant Professor, Chemical and Materials Engineering, effective 6/30/07.
- Patterson, Donald E., College of Medicine, Clinical Assistant Professor, Surgery, effective 6/30/07.
- Pu, Lee L., College of Medicine, Associate Professor* (with tenure), Surgery, effective from 7/31/07 to 6/30/07.
- Werner, Heinrich A., College of Medicine, Associate Professor* (with tenure), Pediatrics, effective 7/15/07.

*Special Title Series

EXECUTIVE VICE PRESIDENT FOR HEALTH AFFAIRS

I. BOARD ACTION

A. ADMINISTRATIVE APPOINTMENTS

Billimoria, Amy, University Hospital, Clinical Staff Pharmacist, Pharmacy Services, effective 5/25/07.
 Norton, Jeffrey, University Hospital, Quality, Safety and Patient Rights, Director Associate, Center for enterprise, Quality and Safety, effective 5/29/07.
 Torbey, Aref, University Hospital, Clinical Staff Pharmacist, Pharmacy Services, effective 5/30/07.
 Turner, Amanda, University Hospital, Clinical Staff Pharmacist, Pharmacy Services, effective 5/22/07

B. EARLY RETIREMENTS

Bentley, Maquies, Staff Support Associate II, Laboratory Services, after 27 years and 2 months of consecutive service, under AR II-1-6-1, Section III.A.2, effective 7/31/07.
 Clark, Marjorie D., Custodial Worker II, Support Services, after 17 years and 11 months of consecutive service, under AR II-1-6-1, Section III.A.2, effective 7/31/07.
 Drake, Elizabeth F., Custodial Worker II, Support Services, after 30 years and 3 months of consecutive service, under AR II-1-6-1, Section III.A.2, effective 5/28/07.
 Ferrell, Sherian, Clinical Nurse, Pediatric Intensive Care Unit, after 25 years and 5 months of Consecutive service, under AR II-1-6-1, Section III.A.2, effective 6/25/07.
 House, Valerie, Clinical Nurse, Critical Care Services, after 23 years and 11 months of consecutive service, under AR II-1-6-1, Section III.A.2, effective 7/10/07.
 Kane, Mary, Child Life Specialist, Children's Hospital, after 17 years and 7 months of consecutive service, under AR II-1-6-1, Section III.A.2, effective 7/8/07.
 Neal, Linda D., Clinical Nurse, Critical Care Services, after 16 years and 10 months of consecutive service, under AR II-1-6-1, Section III.A.2, effective 5/12/07.
 Saylor, Martha, Nuclear Medical Technologist Supervisor, Diagnostic Radiology, after 24 years and 9 months of consecutive service, under AR II-1-6-1, Section III.A.2, effective 6/8/07.
 Walter, C. Kay, Service Line Manager, Operating Room Administration, after 24 years and 2 months of consecutive service, under AR II-1-6-1, Section III.A.2, effective 7/20/07.

C. RETIREMENTS

Narmore, Delitha A., Licensed Practical Nurse, Hospital Marketing, after 15 years and 1 month of consecutive service, under AR II-1.6-1, Section III.B, effective 4/28/07.

*Special Title Series

II. ADMINISTRATIVE ACTIONS

A. ADMINISTRATIVE APPOINTMENTS

Dunnigan, Tamara, University Hospital, Technical Project Specialist III, UK Healthcare Information Technology Services, effective 8/5/07.

B. CHANGES

Conley, Kevin, University Hospital, from Radiology Operations Manager, Diagnostic Radiology, to Clinical Operations Manager, Diagnostic Radiology, effective 5/13/07.

Molina, Katerina, University Hospital, from Financial Analyst, Fiscal Planning and Analysis, to Senior Budget Analyst, Fiscal Planning and Analysis, effective 8/5/07.

Nicholls, Benjamin P., University Hospital, from Information Technology Manager I, College of Nursing, to Technical Project Specialist III, Healthcare Enterprise Information Services, effective 7/1/07.

Pennington, Ryan, University Hospital, from Master Technologist, Diagnostic Radiology, to Clinical Operations Manager, Diagnostic Radiology, effective 6/10/07.

Visvanathan, Ramya, University Hospital, from Financial Analyst, Fiscal Planning and Analysis, to Senior Budget Analyst, Fiscal Planning and Analysis, effective 8/5/07.

PR 3

Office of the President
September 11, 2007

Members, Board of Trustees:

PROPOSED REVISION TO GOVERNING REGULATION: FINANCIAL ADVANTAGE, SOLICITATION OF FUNDS, AND CAMPUS SALES

Recommendation: that the attached proposed revision of Governing Regulation I (GR I), which was received for preliminary consideration as PR 7 by the Board of Trustees on June 12, be approved. The proposed revision relates to: (1) faculty and staff employee interest in contracts between the university and a business; (2) charitable organizations that seek approval for conducting on-campus solicitations from faculty and staff; and (3) solicitations for subscriptions, sales of merchandise, publications, and services on university property.

Background: (1) The 2007 Kentucky General Assembly enacted Senate Bill 130, which permits the governing board of each public postsecondary education institution to adopt regulations establishing the conditions under which, and the procedures whereby, the board may approve a specific instance of an employee having an interest in a contract between the institution and a private business. Prior to the enactment of Senate Bill 130, university employees were strictly prohibited from having an interest in a contract with the university for any item of supply, equipment, or service, or from having any interest, directly or indirectly, in any purchase made by the university. Below are the major components of the procedure and criteria for approval of a contractual relationship:

Procedure - An employee seeking approval of a contractual relationship must apply in writing to the University Ethics Committee and fully disclose all aspects of his or her relationship with the contracting company or business. The Committee makes a recommendation to the President, who forwards to the Board the Committee's recommendation along with his or her own recommendation. Action taken by the Board must be in open session, by affirmative vote. The action item shall fully disclose the nature of the conflict, and the reasons for the action.

Criteria - In recommending approval of a contractual relationship, the Ethics Committee must determine: (a) the relationship is in the best interest of the university; (b) the employee has taken whatever actions are necessary to avoid any conflict of interest or any appearance of a conflict of interest; (c) if the

conflict is subject to the provision of KRS Chapter 45A, the employee's contract shall be the lowest price bid or otherwise provide the best value to the university; (d) the employee's interest in the contract does not present a conflict with the employee performing the duties of his or her job; and, (e) the nature of the contract and the nature of the employee's interest in the contract or business shall be fully disclosed to the university community by communications that are as broad as possible.

The revision amends section GR I.D.2(l) to provide the procedures and criteria whereby an employee may seek approval for having an interest in a contract between the institution and a private business.

(2) In June 2005, the Board of Trustees approved a substantial overhaul of the university's Governing Regulations. A campus-wide committee chaired by Dr. Phyllis Nash and a Special Committee of the Board were charged with reviewing and recommending changes in all of the university's Governing Regulations. As part of the overhaul, two sections of the Governing Regulations, which are necessary for the orderly operations of the university, were inadvertently omitted from the Governing Regulations: "Solicitation of Funds" and "Sales of Goods."

The revision adds those sections back into the Governing Regulations as sections GR I.M and GR I.N. Proposed additions are underlined; proposed deletions are lined through.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PART I

THE UNIVERSITY OF KENTUCKY (DEFINITION)

A. Statutory Definition

1. The term University of Kentucky refers to the institution described in the Kentucky Revised Statutes (KRS) in Chapter 164. KRS 164.100 states that the University of Kentucky is hereby recognized as established and maintained. The legislation states that the University of Kentucky is the institution that was founded under the land grant of 1862 by the United States Congress under the corporate designation and title of “Agricultural and Mechanical College of Kentucky.” Further, KRS 164.100 provides that the University shall be maintained by the state with such endowment, incomes, buildings, and equipment as will enable it to do work such as is done in other institutions of corresponding rank, both undergraduate and postgraduate, while embracing instruction as well as research.
2. Legislation in KRS 164.120* states that that the colleges, schools, divisions, department, bureaus and offices that are now established and maintained or that in the future may be established by the Board of Trustees shall constitute the University of Kentucky. The legislation also notes that the branches of learning required by the Land Grant Act of Congress approved July 2, 1862, shall be integral and indispensable courses of instruction at the University.
3. Through KRS 164.125, the legislation provides that the University of Kentucky shall be the principal state institution for the conduct of statewide research and statewide service programs and shall be the primary institution authorized to expend State General Fund appropriations on research and service programs of a statewide nature financed principally by state funds. Further, this legislation states that (a) the University's

* The dates of establishment of the colleges listed in the statute are: *Arts and Sciences* (1908), *Agriculture* (1908), *Law* (1908), *Education* (1925), *Graduate* (1912), *Engineering* (1918, as the merger of the College of Civil Engineering, the College of Mechanical Engineering, and the College of Mines and Metals), and Commerce (1925, renamed the College of Business and Economics February 18, 1966; renamed the *Gatton College of Business and Economics*, 1996). In accordance with this statute, the following colleges have been subsequently established by the Board of Trustees: *Pharmacy* (July 1, 1947), *Medicine* (June 1, 1954), *Dentistry* (May 28, 1956), *Nursing* (May 28, 1956), Architecture (separated from Engineering as a School July 1, 1964; raised to a college May 5, 1970; renamed *Design*, October 29, 2002), Allied Health Personnel (as a separate school January 1, 1966; raised to a college, May 5, 1970, renamed Allied Health Professions, January 20, 1967; renamed *Health Sciences*, April 30, 2002), *Public Health* (May 4, 2004), Home Economics (separated from the College of Agriculture, 1916; merged back into College of Agriculture, 1917; separated from Agriculture as a school July 1, 1967; raised to a college May 5, 1970; renamed Human Environmental Sciences, January 22, 1991; merged into the College of Agriculture July 1, 2003 as a *School of Human Environmental Sciences*), Library Science (separated from Arts and Sciences as a school April 2, 1968; raised to a college May 5, 1970; renamed Library and Information Science, April 6, 1982; merged with Communications and renamed *Communications and Information Studies*, June 22, 1993), Social Professions (separated from Arts and Sciences as a school June 24, 1968; raised to a college May 5, 1970; renamed *Social Work*, May 6, 1980), Communications (May 4, 1976; renamed *Communications and Information Studies*, June 22, 1993), and *Fine Arts* (separated from Arts and Sciences May 4, 1976).

research and service programs of a statewide nature, as noted in KRS 164.125, shall be programs requiring the establishment and operation of facilities or centers outside of the primary service area of the institution; (b) in carrying out its statewide mission, the University of Kentucky shall conduct statewide research and provide statewide services including, but not limited to, agricultural research and extension services, industrial and scientific research, industrial technology extension services to Kentucky employers, and research related to the doctoral, professional, and post-doctoral programs offered within the University; (c) the University may establish and operate centers and utilize state appropriations and other resources to carry out the necessary research and service activities throughout the state; and (d) the University may enter into joint research and service activities with other universities in order to accomplish its statewide mission. The legislation specifically notes that nothing contained in KRS 164.125(2) shall limit the authority of the Council on Postsecondary Education to establish instructional programs that are consistent with the strategic agenda.

B. University Programs and Requirements

1. The University of Kentucky shall provide:

- (a) Upon approval of the Council on Postsecondary Education, baccalaureate programs of instruction;
- (b) Upon approval of the Council on Postsecondary Education, master degree programs, specialist degree programs above the master's degree level, and joint doctoral programs in cooperation with other public postsecondary educational institutions in the state;
- (c) Upon approval of the Council on Postsecondary Education, doctoral and post-doctoral programs and professional instruction including law, medicine, dentistry, education, architecture, engineering and social professions. (KRS 164.125)

2. The Board of Trustees is an independent agency and an instrumentality of the Commonwealth of Kentucky with exclusive jurisdiction, power over and control of appointments and terminations, qualifications, salaries and compensation, as well as promotions, relations and retirement benefits of all employees of the University.

C. Vision, Mission and Values

The University of Kentucky Board of Trustees adopted the following amended Vision, Mission and Values Statement on January 23, 2007.

1. Vision

The University of Kentucky will be one of the nation's 20 best public research universities, an institution recognized world-wide for excellence in teaching, research, and service and a catalyst for intellectual, social, cultural, and economic development.

2. Mission

The University of Kentucky is a public, research-extensive, land grant university dedicated to improving people's lives through excellence in teaching, research, health care, cultural enrichment, and economic development.

The University of Kentucky:

- facilitates learning, informed by scholarship and research;
- expands knowledge through research, scholarship and creative activity; and
- serves a global community by disseminating, sharing and applying knowledge.

The University, as the flagship institution, plays a critical leadership role for the Commonwealth by contributing to the economic development and quality of life within Kentucky's borders and beyond. The University nurtures a diverse community characterized by fairness and equal opportunity.

3. Values

The values of the University guide its decisions and the behavior of its community. Its core values are:

- integrity;
- academic excellence and academic freedom;
- mutual respect and human dignity;
- embracing diversity
- personal and institutional responsibility and accountability;
- shared governance;
- a sense of community;
- sensitivity to work-life concerns;
- civic responsibility; and
- service to society

D. Ethical Principles and Code of Conduct

The Board of Trustees adopted the document, Ethical Principles and Code of Conduct, on January 27, 2004.

1. Ethical Principles

(a) The University of Kentucky Ethical Principles and Code of Conduct are intended to document expectations of responsibility and integrity. Exemplary ethical conduct is critically important in our relationships with colleagues, trustees, students, volunteers, contractors, and the

public. This statement reflects the values of the University approved by the Board of Trustees on January 27, 2004.

(b) The following core values guide our decisions and behavior:

- integrity
- academic excellence and freedom
- mutual respect and human dignity
- diversity of thought, culture, gender, and ethnicity
- personal and institutional responsibility and accountability
- shared governance
- a sense of community
- sensitivity to work-life concerns
- civic responsibility

(c) Each member of the University must endeavor to:

- promote the best interests of the University of Kentucky
- foster the Vision, Mission, and Values of the University
- preserve the public's respect and confidence in the University of Kentucky
- exhibit personal integrity, honesty, and responsibility in all actions
- provide an environment of mutual respect, impartiality, and collaboration
- maintain confidentiality in all matters deemed confidential
- assure independence of judgment free from conflicting interests
- ensure that relationships that constitute or could be perceived as conflicts of interest are fully and properly disclosed and University guidelines are followed
- comply with the policies and procedures of the University of Kentucky and applicable state and federal laws and regulations
- demonstrate stewardship of University property and resources

2. Code of Conduct

Those acting on behalf of the University of Kentucky have a duty to conduct themselves in a manner that will maintain the public's trust in the integrity of the University and to act compatibly with their obligation to the University. The Code of Conduct establishes guidelines for professional conduct for University members, including trustees, executive officers, faculty, staff, and other individuals employed by the University, those using University resources or facilities, and volunteers and representatives acting as agents of the University (collectively "University members"). The conduct of students is addressed in the *Student Rights and Responsibilities*.

The Code of Conduct is intended as a general guide to determine what conduct is expected and to help individuals to determine behaviors that should be avoided. Employees are strongly urged to consult with their supervisor to review and evaluate specific situations. In addition to the Code, University members are generally subject to all University codes, regulations, and policies and state and federal law. Violations of this code will be subject to appropriate penalties.

While this Code of Conduct provides overall guidance and in some instances interpretation, additional guidance is found in other official University policy documents, such as the *Governing Regulations*, *Administrative Regulations*, *Human Resources Policies*, *University Senate Rules*, and *Business Procedures Manual*.

(a) Nondiscrimination Policy

Equal opportunities shall be provided for all persons throughout the University in recruitment, appointment, promotion, payment, training, and other employment and education practices without regard for economic or social status and will not discriminate on the basis of race, color, ethnic origin, national origin, creed, religion, political belief, sex, sexual orientation, marital status, or age. The University does not discriminate on the basis of uniform service, veteran status, or physical or mental disability when an individual otherwise meets the minimum qualifications for application or participation. All University members are expected to comply with the institution's nondiscrimination policy. The President is responsible for the development of an affirmative action plan by which full implementation of this policy shall be effected in the University. (See *Human Resources Policy and Procedures Number 2.0*)

(b) Confidentiality of Information

University members are entrusted with personal and institutional information that should be treated with confidentiality and used only for conducting University business. Respect for individual and institutional privacy requires the exercise of care and judgment. Unless required or permitted by law or University regulations, personal and official information provided by and about faculty, staff and students must not be given to third parties without the consent of the individuals concerned. When doubt exists regarding the confidentiality of information, University members should presume information is confidential until determined otherwise.

(c) Use of the University's Name

University members have a public association with the University, but are also private citizens, thus care must be taken to appropriately differentiate between the two roles. University members may not use or allow the use of the name of the University or identify themselves as employees of the University of Kentucky in the public promotion or advertising of commercial products without prior written approval. Individuals writing or speaking publicly in a professional or expert capacity may identify themselves by their relationship with the University, but if so identified then in all instances where the individual might give even the appearance of speaking on behalf of the University, care must be taken to emphasize that any views expressed are their own and are not representative of the University of Kentucky. University members are

encouraged to contribute to public debate as citizens. In instances where University members comment publicly as part of their official University duties, they should do so using University stationery and e-mail accounts; when commenting as citizens, University members must use personal stationery and personal e-mail accounts.

(d) University Resources

University members should be responsible stewards of University resources. University members are entrusted with protecting the property, equipment, and other assets of the University and exercising responsible, ethical behavior when using the University's resources. University assets are intended for University activities. Limited personal use of fixed University resources, such as computers and telephones, which does not result in a charge to the University is permitted as long as the use does not interfere with assigned job duties. In some instances, a University member may use University equipment outside of the realm of his or her professional duties when the goals of the individual and the University coincide. Any such use must have the prior, written approval from the dean or appropriate administrator where the resources are located, and must provide that the University will be reimbursed for the full cost of the use of the equipment. Such use must not interfere with the University of Kentucky's uses, and must occur outside of the University member's regular employment assignment. The Office of the University Legal Counsel can provide an appropriate form of agreement.

(e) Sexual Harassment

To foster an environment of respect for the dignity and worth of all members of the University community, the University is committed to maintain a work-learning environment free of sexual harassment. The policy of the University of Kentucky, approved by the Board of Trustees, prohibits sexual harassment of or by students, faculty, and staff and assures that complaints of sexual harassment will be treated and investigated with full regard for the University's due process requirements. The University policy and procedures on sexual harassment can be found in *Administrative Regulation II-1.1-9*.

(f) Personal Relationships

The quality of decisions may be affected when those making decisions have personal relationships with those who are the subjects and possible beneficiaries of these decisions. The critical concern is that personal relationships, whether positive or negative, should not inappropriately or unfairly affect decisions. Conflicts of interest may arise when people are involved in making decisions affecting any members of their families, relatives, or those with whom they have or have had intimate relationships. Decisions affecting present or former business partners should also be avoided. Individuals with personal relationships should excuse themselves from such decision-making. In many cases, potential conflicts can be managed by candid but discreet disclosure of those relationships.

The University strongly urges those individuals in positions of authority not to engage in conduct of an amorous or sexual nature with a person they are, or are likely in the future to be, in a position of evaluating. The existence of a power differential may restrict the less powerful individual's freedom to participate willingly in the relationship. If one of the parties in an apparently welcomed amorous or sexual relationship has the responsibility for evaluating the performance of the other person, the relationship must be reported to the dean, department chair or supervisor so that suitable arrangements can be made for an objective evaluation of the student or employee (*Administrative Regulation II-1.1-9*).

(g) Employment of Relatives

In order to assure independence of judgment that is free from conflicting interest and to avoid relationships that could be perceived as conflicts of interest, no relative of the President shall be employed in a position at the University. Similarly, no relative of the Provost, or any executive vice president, vice president, or any associate provost or associate vice president shall be employed in a position in that officer's administrative area. The Board of Trustees on a stated temporary basis may permit waiver of the above regulation, not to exceed two years, when it is otherwise impractical to fill a position with another 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 employee of the University may be appointed to any position in the University over which the related employee exercises supervisory or line authority. Employment of relatives within the same department or division shall be approved specifically by the Provost or executive vice president, as appropriate (*Governing Regulation X-1*). The University shall employ no relative of a member of the Board of Trustees. 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.

(h) Intellectual Property

University members should be responsible stewards of University resources. 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 or staff 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. The traditional products of scholarly activity which have customarily been considered the unrestricted property of the originator, such as journal articles, textbooks, reviews and monographs, and which have been created without involving a material use of University resources, shall be the unrestricted property of the author (*Administrative Regulation II-1.1-3*).

(i) Conflict of Commitment

Decisions and the judgment upon which the decisions are based must be independent from conflicting interests and must hold the best interest of the University of Kentucky foremost.

Conflicts of commitment relate to an individual's distribution of effort between University appointment and outside activities. The University of Kentucky permits external employment or self-employment in an employee's profession or specialty (with the exception of employees participating in a practice plan) where there is not a conflict of interest or commitment. Faculty and professional administrative employees are expected to devote their primary professional loyalty, time, and energy to University of Kentucky teaching, research and service endeavors; activities outside the University must be conducted without detracting from these primary commitments. A conflict of commitment generally occurs when the pursuit of outside activities interferes with obligations to students, to colleagues and to the missions of the University. These conflicts may become apparent in regular performance reviews, in connection with annual salary decisions and scheduled reviews incident to promotion, reappointment or tenure decisions and should be addressed by the appropriate department head. The University policy and procedures on outside consulting can be found in *Administrative Regulation II-1.1-1*.

A staff employee may be employed outside the University when the employment does not constitute a conflict with University interests and when the hours of outside employment do not coincide or conflict with hours of scheduled work or affect the employee's ability to perform satisfactorily. A staff employee may also perform outside employment while on vacation, holiday, or special leave as long as the outside employment does not constitute a conflict of interest. Adherence with this policy is the responsibility of the staff employee who seeks outside employment; however, it is recommended the employee advise his or her department head of the outside employment.

(j) Conflict of Interest

The public's respect and confidence in the University of Kentucky must be preserved. Confidence in the University of Kentucky is put at risk when the conduct of University members does, or may reasonably appear to, involve a conflict between private interests and obligations to the University. All University members shall avoid conduct that might in any way lead members of the general public to conclude that he or she is using an official position to further professional or private interests or the interests of any members of his or her family. In conducting or participating in any transaction, full disclosure of any real or perceived conflict with personal interests and removal from further participation in such matters is required.

Administrative Regulation II-4.0-4 Conflict of Interest and Financial Disclosure Policy – Research sets forth specific relationships and activities that pose a potential conflict of interest for faculty, staff, and students involved in research and related activities. The University recognizes that actual or potential conflicts of interest may occur in the normal conduct of research and other activities. A conflict of interest can also arise if an employee's professional judgment is or may appear to be influenced by personal interests. It is essential that potential conflicts be disclosed and reviewed by the University. After disclosure, the University can make an informed judgment about a particular activity and require appropriate oversight, limitations, or prohibitions in accord with this policy. It is important to remember that each relationship is different, and many factors often will need to be considered to determine whether a conflict of interest exists.

(k) Auditing Services

To effectively discharge their fiduciary and administrative responsibilities, the University's administration and the Board of Trustees are assisted by internal and external (independent) auditing services. These services provide independent, objective assurances and consulting services with respect to evaluating risk management, control, and governance processes. It is a violation of University policy to mislead or give false information to or intentionally omit material facts from internal or external (independent) auditor(s).

(l) Financial Advantage

Members of the University community must exhibit personal integrity, honesty and responsibility in all actions. Official position or office shall not be used to obtain financial gain or benefits for oneself or members of one's family or business associates. Any action that creates the appearance of impropriety should be avoided. Except as specifically approved by the Board, purchases and contracts shall not be made with an employee of the University of Kentucky for any item of supply, equipment, or service, nor may an employee have any interest, directly or indirectly, in any purchase made by the University of Kentucky (*Business Procedures Manual B.2.C*). An indirect interest may be defined as a real or perceived use of a university position or office with respect to a purchase or contract, leading to financial or other benefits to the individual or a member of his or her family. An indirect interest includes situations where a business owned or controlled by a family member does business with the University area where the employee is assigned.

An employee seeking approval under this section shall first make an application to the University Ethics Committee by submitting in writing a full disclosure of all aspects of his or her relationship with the contracting company or business. The Ethics Committee shall make a recommendation to the President, who shall forward to the Board the Committee's recommendation together with his or her recommendation. In recommending approval of a contractual relationship, the Committee shall determine that:

- (i) the contractual relationship is in the best interest of the University;
- (ii) the employee has taken whatever actions are necessary to avoid any conflict of interest or any appearance of a conflict of interest;
- (iii) if the conflict is subject to the provision of KRS Chapter 45A, the employee's contract shall be the lowest price bid or otherwise provides the best value to the University;
- (iv) the employee's interest in the contract does not present a conflict with the employee performing his or her job; and,

(v) the nature of the contract and the nature of the employee's interest in the contract or business shall be fully disclosed to the University community by as broad communications as feasibly possible.

Action taken by the Board shall be in open session, by affirmative vote. The action item shall fully disclose the nature of the conflict, and the reasons for the action.

(m) Acceptance of Gifts or Benefits

University members' decisions and actions should be based on the best interest of the University. No member should accept any type of reward, monetary or non-monetary, if there is an explicit or implicit assumption that influence has been exchanged for the favor. When no favor is asked for or gained, gifts of nominal value or moderate acts of hospitality, such as meals, in relation to one's position with the University may be accepted. The following guidelines should be observed:

- Gifts or acts of hospitality valued up to \$50 annually from any one source need not be reported
- Gifts or acts of hospitality valued between \$50 to \$200 should be reported to the supervisor prior to acceptance
- Acts of professionally related hospitality above \$200 must be specifically justified and reported through the chain of command. Written approval for acceptance must be provided by the Provost or executive vice president, in advance.
- Individuals may not accept gifts valued above \$200. These gifts or benefits acknowledged and accepted on behalf of the University should be directed to the Executive Vice President for Finance and Administration, where they can be acknowledged and accepted on behalf of the University.

(n) Clarifications and Reporting Violations

Like all policies, this policy could not possibly cover all possible situations. When any doubt about the propriety of an action exists, the University's policy requires a full and frank disclosure to an appropriate individual with sufficient authority to address the matter. For interpretation, counsel or advice regarding this policy, contact the Office of Legal Counsel.

3. University members are expected to report violations of this policy to an appropriate individual. The University will not tolerate any retaliation against a University member who makes a good faith report of a violation.

E. Kentucky Ethics Statutes

1. Unless specifically approved by the Board, No employee of the University shall be directly or indirectly interested in any contract with the University for the sale of property, materials, supplies, equipment, or services, with the exception of compensation to the two (2)

faculty members and the one (1) staff employee who are members of the Board of Trustees. (KRS 164.131)

2. No member of a board of trustees shall have an interest in any contract with a state university unless such contract shall have been subjected to competitive bidding in compliance with KRS Chapter 45A, unless such trustee shall have been the lowest bidder and unless such trustee shall have first notified in writing the remaining members of the board, and to the newspaper having the largest circulation in the county in which the state university is located, of his intention to bid on such contract. (KRS 45A.340 (7))

F. Diversity

The University is committed to diversity as a vital characteristic of an optimal education and workplace. The University maintains a firm conviction that it must strengthen the diversity of its communities, support free expression, reasoned discourse and diversity of ideas; and take into account a wide range of considerations, including but not limited to, ethnicity, race, disability, and sex, when making personnel and policy decisions. The University is committed to periodically evaluating progress made toward diversity and to communicating the results of such evaluations. Based upon these assessments, the University will give diversity factors consideration to ensure achievement of its mission of instruction, research and service and gain the broadest benefits for the University community.

G. Shared Governance

The diverse expertise collectively available to the University in its faculty, administration, staff employees, and students is a valuable resource. The University as a whole will be able to function at maximum effectiveness where there is an environment in which the sharing of this expertise is valued and promoted. If this expertise is shared, it will enable policy-makers at every level of the organization to make better decisions. To achieve this objective in an environment of shared governance, faculty bodies and administrators will reciprocally solicit and utilize the expertise of the other as each makes decisions in their respective areas of policy-making authority. Through these empowering processes of shared governance, the administration, faculty members, staff employees and students all share the responsibility of attainment of the University's goals.

H. Civic Responsibility of the Individual

In their roles as citizens, staff employees and 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. (Also see D., above.) When staff employees or faculty members speak or write as citizens, they should indicate that they are not speaking for the University.

I. Order of Communication and Reports

All University faculty members and staff employees shall have full rights of communication with administrative officers of the University and the Board of Trustees through established administrative channels. Official recommendations and communications from any faculty member or staff employee shall be sent by the individual to the individual's immediate supervisor. When requested, the supervisor shall transmit such recommendations or communications, with the supervisor's own comments and recommendations to that supervisor's own immediate supervisor.

All faculty members and staff employees shall be entitled to appeal any decision affecting terms of their employment by the University through regularly established channels.

When a supervisory decision or reporting relationship involves a conflict of interest, the next higher-level administrative officer shall designate an alternative officer for the purpose of the decision or reporting.

This regulation shall in no way limit the President in communicating with faculty members or staff employees, nor shall it prevent communication between faculty members, staff employees, or administrative officers, and the Board of Trustees for purposes other than the submission of official recommendations and communications.

J. Use of University Facilities

Kentucky Revised Statutes 164.160 and 164.200, respectively, grant to the Board of Trustees the power to receive, hold, and administer on behalf of the University, all types of property and to establish proper regulations for the government of same.

By virtue of the above, University of Kentucky facilities shall be used only for educational, cultural or charitable purposes, or other purposes as determined by the President or by the administrative officer to whom the President has delegated this responsibility in accordance with these *Governing Regulations*, *Administrative Regulations*, and *University Senate Rules*.

K. Political Activity

The University cannot endorse, support or promote any political candidate or any partisan political activity. Therefore, University facilities shall not be used for conventions, rallies, or any campaign activities that would further the interests of a political party* or of a candidate or candidates for public office. The facilities of the University may be used for public forums to which all legally qualified candidates for a public office are invited to speak provided that all such candidates are given equal access and opportunity to speak.

*"Political party" is defined as a voluntary association of persons formed and organized for the purpose of nominating or electing candidates for public office. This definition includes, but is not limited to, the meaning of "political party" as defined in KRS 119.010.

University facilities may be used by registered student organizations for meetings with a candidate or candidates for public office when meetings are open in attendance to students, faculty members, and staff employees of the University.

In accordance with the Constitution of the Commonwealth of Kentucky, the decisions of the United States Supreme Court, and the opinions of the Office of the Attorney General to the Commonwealth of Kentucky, University facilities shall not be used to advance or inhibit religion.

L. Smoke-Free Policy

Kentucky Revised Statute 61.165 requires the Board of Trustees to adopt a written policy related to smoking in buildings owned, operated, or under the jurisdiction of the University. Smoking is generally prohibited in all University owned, operated, leased or controlled buildings, and enclosed walkways or bridges. Smoking is also prohibited within a reasonable distance from building entrances, exits, air intake ducts, and windows. The President is delegated authority to promulgate an appropriate *Administrative Regulation*.

M. Solicitation of Funds

Various charitable organizations desire, from time to time, to conduct on-campus solicitations of contributions from faculty and staff. These charitable solicitations are generally carried out: (1) through use of University mail service; (2) through use of University email systems; and, (3) through access to the payroll deduction system. The University does not intend to convert its mail service, its email systems, or its payroll process into either a limited or unlimited public forum, but prefers to maintain its systems as a non-public forum.

The following criteria will be applied by the President in determining which, if any, charitable organizations will be permitted to engage in the on-campus solicitation of faculty and staff:

1. Whether the charity maintains an affirmative action plan;

2. In cases where access to the payroll deduction is involved, whether the charity can demonstrate that at least 30 percent of the on-campus, University employees have given to the charity in four out of five years or that 30 percent of the on-campus, University employees intend to give to the charity in the current year;

3. In cases of federated or "umbrella" charities, whether the charity provides a health or human service in Fayette County or the University and the extent of such service in the local area;

4. Whether the charity maintains a local office or service center;

5. Whether the charity maintains a reasonable ratio (not more than 15 percent for administration and fund raising) of administrative expenses to program expenses;

6. In the case of federated or "umbrella" charities, whether the charity makes it a practice to submit to an annual review by local citizens of financial and program activity;

7. Whether the charity maintains, from year to year, an active board of local volunteers;

8. In the case of federated or "umbrella" charities, whether the federated charity requires its recipient agencies to maintain operational standards in order to maintain their status as recipients;

9. Require an annual audit and that the charity receives an unqualified audit opinion;

10. Whether the charity is a non-profit organization; and,

11. Whether the charity provides services on an annual basis to employees and students of the University.

N. Campus Sales

Solicitations for subscriptions, sales of merchandise of any kind whatsoever, publications, or services upon University property other than by the regularly authorized stores, food service places, departments, or divisions of the University are prohibited except upon written permission of the Dean of Students.

Any person violating these provisions shall be subject, upon proper notice, to eviction from the University property.

PR 4

Office of the President
September 11, 2007

Members, Board of Trustees:

PROPOSED REVISION TO GOVERNING REGULATION: UNIVERSITY HOSPITAL COMMITTEE

Recommendation: that the Board of Trustees receive the attached revision of Governing Regulation (GR) II.A.6(i) relating to the University Hospital Committee for preliminary consideration. The proposed revision expands the scope of the committee's oversight to allow for governance of more than one hospital and oversight of all clinical operations of the university.

Background: The Board of Trustee established the University Hospital Committee as a standing committee on June 14, 2005. The university now operates more than one hospital, UK Chandler Hospital and UK HealthCare Good Samaritan Hospital. In order to assure continuity in operations, the scope of the committee's oversight should be expanded to allow for additional hospitals and other aspects of the university's health care delivery system. The Operating Rules of the Committee have been revised to accommodate governance for more than one hospital and oversight of all clinical operations of the university. The name of the committee should be changed to the "University Health Care Committee" to reflect its expanded scope.

A revised copy of GR II.A.6(i) is attached. Proposed additions are underlined; proposed deletions are lined through.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PART II

GOVERNANCE OF THE UNIVERSITY OF KENTUCKY

The governance of the University of Kentucky is vested by law in the Board of Trustees (KRS 164.131). Within the limits set by the State Constitution and the federal and state laws,* the Board of Trustees is the final authority in all matters affecting the institution and exercises jurisdiction over the institution's financial, educational, and other policies and its relation with the state and federal governments.

These *Governing Regulations* describe the composition, powers, and duties of the Board of Trustees of the University of Kentucky, as defined by Kentucky Revised Statutes, and establish policies and procedures for the performance of its functions. In these *Governing Regulations*, the Board of Trustees delegates certain responsibilities to the President, the University Senate, the Staff Senate, the Student Government Association, the Graduate Faculty, and the faculties of educational units in order to provide for the responsible and efficient administration of the University and the accomplishment of its goals.

As the chief administrative officer of the University, the President is authorized by the Board of Trustees to promulgate the *Administrative Regulations* including the *Human Resources Policy and Procedures Administrative Regulation*, to provide interpretation and implementation of these *Governing Regulations*, and of the *Minutes of the Board of Trustees*, and to delineate policies within the sphere of delegated responsibility. Chief administrative officers are authorized to establish unit policies and procedures attendant to their delegated administrative responsibilities.

At an institution-wide level, the University Senate, as a primary educational policy-forming agency of the University, establishes the broad academic policies of the University. Within the limits set by the Board of Trustees and the University Senate, the Graduate Faculty is delegated jurisdiction over programs leading to graduate degrees and has the responsibility to safeguard, promote and assist in the development of research in all fields. Within the limits set by the institution-wide policies of the Board of Trustees, the University Senate, and the Graduate Faculty, the respective faculties exercise the governance role of policy-making responsibility for the instructional, research and service programs of their educational units. The University Senate, the Graduate Faculty, and the faculties of educational units are authorized to issue rules concerning the policy and procedure-making responsibilities that are attendant to their delegated educational policy-making role.

Where appropriate, the rules and regulations appearing in the *Administrative Regulations*, *Human Resources Policy and Procedures Administrative Regulations* and *University Senate Rules* should refer to the source or sources in these *Governing Regulations* or *Minutes of the Board of Trustees*.

* The Council on Postsecondary Education in Kentucky (KRS 164.020) has powers and duties that relate to the governance of the University of Kentucky. These powers and duties are listed in the Appendix to these regulations.

A. Board of Trustees

1. Definition

The Board of Trustees is a body corporate, under the name of Board of Trustees of the University of Kentucky, with the usual corporate powers, and possesses all the immunities, rights, privileges, and franchises usually attaching to the governing bodies of educational institutions. It may receive, hold, and administer, on behalf of the University, subject to the conditions attached, all revenues accruing from endowments, appropriations, allotments, grants or bequests, and all types of property. (KRS 164.160)

2. Membership

The Board of Trustees of the University of Kentucky consists of sixteen members appointed by the Governor, two (2) University faculty members who shall have the right to vote on all matters except that of faculty compensation, one (1) University staff employee, and one (1) University student.

(a) Appointed Members

The Governor shall make the appointments so as to reflect proportional representation on the Board of the two leading political parties of the Commonwealth based on the state's voter registration and to reflect no less than proportional representation of the minority racial composition of the Commonwealth. Appointments to fill vacancies shall be made for any unexpired terms in the same manner as provided for the original appointments. (KRS 164.131)

The terms of the appointed members shall be for six (6) years and until their successors are appointed and qualified. Three (3) of the appointments shall be graduates of the University and may include one (1) graduate of the institution who may reside outside the Commonwealth; three (3) shall be representative of agricultural interests; and ten (10) shall be other distinguished citizens representative of the learned professions. Each graduate member is appointed by the Governor from a list of three (3) names submitted by the alumni of the University according to a method prescribed by the Board of Trustees, upon recommendation of the UK Alumni Association, pursuant to KRS 164.131(2)(a); KRS 164.140. The prescribed methods are published in the *Minutes of the Meetings of the Board of Trustees* (May 6, 2003).

(b) Elected Members

The number of faculty members, staff employees, and student members elected to the Board of Trustees shall not exceed four (4). (KRS 164.131)

(i) The two (2) faculty members representing the University shall be members of the faculty of the rank of assistant professor or above, elected by secret ballot by faculty members of the rank of assistant professor or above.

In accordance with KRS 164.131(3), faculty members eligible to vote and eligible to serve as elected members of the Board of Trustees shall be those regular, full-time employees conferred with a faculty title and a rank at the level of assistant professor (or its equivalent, librarian III) or above, whose primary assignments, i.e., more than fifty percent (50%), are in instruction, research, and/or public services, as defined in *Human Resources Policy and Procedure Administrative Regulation Number 4.0: Employee Status*.

The faculty members shall serve for terms of three (3) years and until their successors are elected and qualified. They are eligible for re-election but are ineligible to continue to serve as members of the Board of Trustees if they cease to be members of the faculty. Elections to fill vacancies for any unexpired terms shall be held in the same manner as for the original elections.

The authority to develop procedures for the election of faculty members to serve as members of the Board of Trustees, in accordance with the provisions of KRS 164.131(3), is hereby delegated to the University Senate.

(ii) The staff employee representing the University shall be a regular, full-time staff employee as defined in the *Human Resources Policy and Procedure Administrative Regulation Number 4.0: Employee Status*, excluding the President, Provost, executive vice presidents, vice presidents, and academic deans. The staff trustee shall represent all University staff employees.

The staff member shall serve a term of three (3) years and until a successor is elected and qualified. The staff member shall be eligible for reelection, but is ineligible to continue to serve as a member of the Board of Trustees if the staff employee ceases to be an employee of the University. Elections to fill vacancies shall be for any unexpired term and shall be held in the same manner as provided for the original election.

The staff trustee shall be elected by secret ballot by the regular, full-time staff employees, including the President, Provost, executive vice presidents, vice presidents and academic deans.

The authority to develop procedures for the election of a staff employee to serve as a member of the Board of Trustees, in accordance with the provisions of KRS 164.131(4) is hereby delegated to the Staff Senate.

(iii) The student member shall be the President of the Student Government Association during the appropriate academic year and may be an out-of-state resident. If the student member does not maintain the position as President or status as a full-time student at any time during that academic year, a special election shall be held to select a full-time student. The authority to develop procedures for the election of a student of the University to serve as a member of the Board of Trustees, in accordance with the provisions of KRS 164.131(5), is hereby delegated to the Student Government Association.

(c) Non-voting members

Pursuant to KRS 164.170 and 164.131(1)(e), the Board of Trustees may from time to time designate persons as nonvoting honorary members of the Board of Trustees, with responsibilities and privileges as it may deem appropriate, except for the power to vote.

3. Meetings

The Board of Trustees shall meet at least quarterly. Special meetings may be called by the Chair or by any three (3) members upon giving ten (10) days' written notice to each member of the Board of Trustees. The business to be transacted at special meetings shall be specified in the notice of the meeting. All meetings are to be held on the campus of the University unless otherwise specified by a majority vote of the Board of Trustees. A majority of the voting members of the Board of Trustees constitutes a quorum. (KRS 164.170)

The Board of Trustees may adjourn any regular or called meeting to any date that it may set for such adjournment. Any meeting of the Board of Trustees, if a quorum is not present, may be adjourned by the members attending to a time when a quorum shall be present.

The meetings of the Board of Trustees shall be open to the public. The Board of Trustees is required to arrange for a stenographic transcript of each of its meetings to be prepared and filed, to send an agenda for each of the meetings to each member of the Board of Trustees, and to make a copy of the agenda available to the press. (KRS 164.170) The Board of Trustees and its committees shall operate in compliance with the provisions of the Open Meetings Law. (KRS 61.800-KRS 61.850)

All necessary expenses incurred by the Trustees in traveling to and from and while attending meetings of the Board of Trustees are designated to be paid out of the funds of the University. (KRS 164.170)

4. Conflicts of Interests of Board Membership

No employee of the University shall be directly or indirectly interested in any contract with the University for the sale of property, materials, supplies, equipment, or services, with the exception of compensation to the two (2) faculty members and the one (1) staff employee who are members of the Board of Trustees. (KRS 164.131)

No member of a board of trustees shall have an interest in any contract with a state university unless such contract shall have been subjected to competitive bidding in compliance with KRS Chapter 45A, unless such trustee shall have been the lowest bidder and unless such trustee shall have first notified in writing the remaining members of the board, and to the newspaper having the largest circulation in the county in which the state university is located, of his intention to bid on such contract. (KRS 45A.340(7))

No member of the Board of Trustees may be held to be a public officer by reason of membership on the Board except as provided in KRS 45A.335 for the purpose of KRS 45A.340. (KRS 164.150)

5. Officers

The Chair, Vice Chair, Secretary, and Assistant Secretary of the Board of Trustees shall be elected annually at the first fall meeting of the Board of Trustees. (KRS 164.180) The Chair of the Board of Trustees shall be limited to no more than four (4) consecutive terms as Chair. In the absence of the Chair, the Vice Chair presides at meetings of the Board of Trustees and of the Executive Committee.

The Secretary keeps the minutes of all meetings, issues notices of meetings, and provides for the publication and distribution of the minutes in accordance with instructions from the Board of Trustees. The Secretary is responsible for the maintenance of an official revised copy of these *Governing Regulations* and for the publication of revisions. The Assistant Secretary is empowered to perform the duties of the Secretary when the Secretary is not present. The Assistant Secretary need not be a member of the Board of Trustees.

6. Standing and Special Committees

The purpose of standing and special committees is to assist the Board of Trustees in its oversight role by gathering information, discussing, and providing advice on policy proposals prior to their coming before the entire Board of Trustees. Membership of standing committees shall include at least five (5) members of the Board of Trustees including the committee chair.

(a) Executive Committee

The Board of Trustees annually elects an Executive Committee of five (5) members that has the powers that the Board of Trustees delegates to it as prescribed in KRS 164.190. This election shall be held at the first fall meeting of the Board of Trustees. Vacancies may be filled at any meeting of the Board of Trustees. The Chair of the Board of Trustees shall be one (1) of the five (5) members and shall also serve as Chair of the Executive Committee. In general, the Executive Committee exercises oversight of the financial and business interests of the University and possesses the same powers as the Board of Trustees during the periods between meetings of the full Board of Trustees.

Meetings may be held as necessary at the call of the Chair. The Secretary of the Board of Trustees is the *ex officio* Secretary of the Executive Committee. The President shall attend all meetings.

The Executive Committee is required to submit to the Board of Trustees at each meeting, for the latter's consideration and approval, a complete record of the proceedings of the Executive Committee. The authority of the Board of Trustees to amend the action of the Executive Committee does not extend to the rejection of any valid or authenticated expenditure of money

by the Executive Committee (KRS 164.190). The Executive Committee shall serve as a hearing panel in the event of a faculty member, staff employee, or student appeal coming to the Board of Trustees. The Executive Committee shall also serve as a hearing committee in the event of a community member or group desiring to address the Board of Trustees. (AR II-1.0-4)

The Executive Committee shall serve as the performance review committee for the President, setting and reviewing goals each fiscal year. The Executive Committee shall involve the entire Board of Trustees in this evaluation and shall also solicit input from the executive committees or executive councils of the University Senate, Staff Senate, and Student Government Association.

(b) Academic Affairs Committee

(i) The Academic Affairs Committee reviews recommendations on policy matters pertaining to the academic mission of the University in instruction, research, and public service as well as to policy matters concerning academic freedom, tenure, and shared governance.

(ii) The Committee reviews academic program proposals from the President to ensure that a) the academic programs are consistent with the University's mission; b) resources are available to achieve academic priorities as set forth in the strategic plan; c) academic programs are appropriate for its student needs; and d) the University has a system in place for assessing the effectiveness of its academic programs.

(iii) The Committee reviews new program proposals and changes in the academic units or in the academic organization to ensure these proposals or changes will effectively carry out the academic mission.

(iv) The Committee reviews the list of candidates for academic degrees approved by the faculty of the University through the University Senate for submission to the Board of Trustees.

(v) The Committee provides needed information to the Board of Trustees.

(c) Student Affairs Committee

This committee reviews recommendations regarding revisions of the *Code of Student Conduct*. The Committee reviews recommendations concerning the general welfare of students and the adoption of rules, procedures, rights, and responsibilities governing non-academic relationships between the University and its students.

(d) Human Resources Committee

This committee reviews recommendations to the Board of Trustees regarding policies pertaining to employee benefits, rights and privileges requiring Board of Trustees approval.

(e) University Relations Committee

This committee reviews recommendations relating to the economic, social, and public policy environments within which the University operates that directly affect the University. The Committee reviews policies or policy proposals regarding marketing and development as well as public, governmental, and alumni relations.

(f) Investment Committee

Under delegation from the Board of Trustees, and consistent with KRS 164A.550 through 164A.630, the Investment Committee is responsible for review and oversight of the endowment investment programs of the University and its affiliated corporations. These responsibilities include: formulating and reviewing investment policies; appointing, monitoring and evaluating investment managers and consultants; and reviewing and approving plans for the general management of the endowment funds of the University.

The Investment Committee Chair reports to the Board of Trustees after each meeting of the committee on the performance results of endowment investments. Policies of the committee are implemented by the Office of the Treasurer in carrying out the day-to-day operations of the University's endowment funds.

(g) Finance Committee and Audit Subcommittee

This committee ensures the financial stability and long-term economic health of the University by monitoring the financial operations of the University and its affiliated corporations and making appropriate recommendations to the Board of Trustees to ensure achievement of the University's mission. Consistent with KRS 164A.550 through 164A.630, the committee maintains oversight responsibility for the financial management of the University in the areas of accounting, auditing, payroll, purchasing, capital construction, real property, and affiliated corporations. The Committee shall oversee the budgets of the University by reviewing and recommending to the Board of Trustees on the annual operating budgets. The Committee shall ensure that accurate and complete financial records are maintained by reviewing and recommending to the Board of Trustees on annual financial reports and related recommendations from the Audit Subcommittee, interim financial reports, long-term debt obligation gifts to the University, capital projects of \$600,000 or more, leases over \$200,000 per year, disposition of property, sale of assets, and financial transactions not provided for in the annual operating budget.

The Audit Subcommittee recommends to the Finance Committee on the appointment of the external auditors, receives and reviews the annual reports from the external auditors, and makes recommendations to the Finance Committee concerning these reports.

(h) Nominating Committee

This committee nominates officers of the Board of Trustees and members of the Executive Committee. The Committee reviews and recommends the appointment of trustees to the boards and committees of the University and its affiliated entities.

(i) University Health Care ~~Hospital~~ Committee

This Committee shall serve as a governing body to operate the University Hospitals in accordance with the standards established by Tthe Joint Commission, formerly 'Joint Commission on Accreditation of Healthcare Organizations', on ~~Accreditation of Health Care Organizations (JCAHO)~~ and to oversee the University's clinical enterprise. This responsibility includes management oversight for the development of policies, rules, and regulations for the governance of the University Hospitals and clinical enterprise. Policies of the Committee are implemented by the Executive Vice President for Health Affairs in carrying out the day-to-day operations of the University Hospitals and clinical enterprise.

The membership of the Committee shall include five members from the Board of Trustees. Each member shall be appointed by the Chair of the Board of Trustees acting upon recommendation of the President of the University. The initial Board of Trustee member appointments to the University Health Care ~~Hospital~~ Committee shall be for staggered terms in the following manner: two members for three years, two members for four years and one member for five years. Any Board member appointed thereafter shall serve for three years and may be reappointed for an additional three years. Any vacancy occurring before the expiration of the term of the appointment shall be filled for the unexpired term. A quorum of the Committee members must be present in order to conduct business.

The University Health Care ~~Hospital~~ Committee may create sub-committees and shall create committee rules to guide their governance consistent with Tthe Joint Commission—on ~~Accreditation of Health Care Organizations (JCAHO)~~.

(j) Special Committees

Special committees may be established and appointed at any time by the Chair of the Board of Trustees and with such charge as the Board of Trustees Chair may determine. Special committees shall carry out their duties as specified and report to the Board of Trustees. Such committees shall function until discharged. Membership shall include trustees and may also include persons who are not Board of Trustees members.

7. Powers and Responsibilities

The powers and responsibilities of the Board of Trustees include the following:

(a) Establish proper regulations for the governance of the University and the physical training, military or otherwise, of the students. The Board may authorize the suspension and dismissal of students for neglect or violation of the regulations or for other conduct prejudicial to the character and welfare of the University. (KRS 164.200)

(b) Determine the colleges, schools, divisions, departments, bureaus, and offices which shall comprise the University within the scope of the Acts of Congress approved July 2, 1862, and Acts supplementary thereto, and the relation which each division shall sustain to each other division and to the whole. It may devise, allot, and arrange the distribution of divisions with the designation appropriate for each, and devise the means required for their effective instruction, administration, and governance. (KRS 164.210)

(c) Appoint a President, professors, assistants, tutors and other personnel and determine the compensation, duties, and official relations of each and in making such appointments no preference may be shown to any religious denomination.[†] The Board is required to provide compensation for all positions created and filled by the Board of Trustees. The Board may provide for employee retirement benefits and such other employee benefits as are related to the respective employments and services furnished. Retirement plans may include, but without limitation, the retirement ages, the benefits of employees including group insurance, annuities, establishment of a trust fund or funds, and, the amounts to be paid or contributed by employees and the amounts to be paid or contributed by the University of Kentucky, and other appropriate terms and provisions with respect thereto. (KRS 164.220)

(d) Suspend or remove any of the officers, teachers, professors, or agents that it is authorized to appoint, except that no President, professor, or teacher may be removed except for incompetence, neglect of or refusal to perform duties, or for immoral conduct, and then only after ten (10) days' notice in writing stating the nature of the charges preferred, and after the individual has been given an opportunity to make defense before the Board of Trustees by counsel or otherwise and to introduce testimony which shall be heard and determined by the Board of Trustees. (KRS 164.230)

(e) Grant degrees to graduates of the University, prescribe conditions for the award of honorary degrees, and confer such honorary degrees, upon the recommendation of the faculty of the University, as it deems proper. (KRS 164.240)

(f) Make a full report to the General Assembly, within the first month of each even-numbered year regular session, of the condition and operation of the University since the date of the previous report, with such recommendations concerning the University as are deemed necessary. (KRS 164.250)

(g) Acquire additional lands or other property or material for the purpose of expanding its plant and extending its usefulness. When unable to contract with the owner of land or other property or material necessary for the purposes of the University, it may acquire the same by condemnation proceedings in the manner provided in KRS 416.010 to 416.080. (KRS 164.260)

* See Parts I.D.2.(c)(1) and X.A.

(h) Dispose of real estate held by the Commonwealth for the use or benefit of the University or the Kentucky Agricultural Experiment Station as authorized in KRS 164.270 and KRS 45.360.

8. Order of Business

The order of business at meetings of the Board of Trustees normally is as follows:

- Call to Order
- Roll Call
- Reading and Approval of Minutes with Necessary Modifications
- Report of the President
- Consideration of President's Recommendations for Action
- Consideration of President's Discussion Items
- Reports of Committees
- Other Business
- Adjournment

The most recent version of *Robert's Rules of Order* shall be observed in conducting the business of the Board of Trustees except as these may be modified by regulations adopted by the Board of Trustees.

PR 5

Office of the President
September 11, 2007

Members, Board of Trustees:

APPOINTMENT OF BOARD OF DIRECTORS
UNIVERSITY OF KENTUCKY GLUCK EQUINE RESEARCH FOUNDATION, INC.

Recommendation: that approval be given to the appointment of Sam Bowie and Naoya Yoshida to the Board of Directors of the University of Kentucky Gluck Equine Research Foundation for four-year terms, ending December 31, 2010.

Background: The Nominating Committee of the University of Kentucky Gluck Equine Research Foundation, which includes the Dean of the College of Agriculture, recommended these appointments to the Provost. These recommended appointments require approval by the Board of Trustees in accordance with the Articles of Incorporation and By-Laws for the University of Kentucky Gluck Equine Research Foundation approved by the Board of Trustees at its meeting on September 18, 1984.

Biographies of the nominees are attached.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

Biographies for Board of Directors
University of Kentucky Gluck Equine Research Foundation, Inc.

Sam Bowie was an All-American basketball player for University of Kentucky and later was drafted by the Portland Trailblazers. He played in the NBA for 11 years before retiring due to chronic leg problems. Mr. Bowie bought his first standardbred racers just after he signed with the Trailblazers and has been involved in harness racing ever since. His wife, Heidi, is involved in the saddlebred industry.

Naoya Yoshida has been immersed in the horse industry since childhood. After growing up at the Yoshida Stud Farm in Hokkaido, Japan, he obtained his degree as a veterinary surgeon in 1993, specializing in equine gynecology and obstetrics. He then spent three years working at Kildangan Stud in Ireland before coming to the United States to practice veterinary medicine in Lexington. He currently owns and manages Winchester Farm and races thoroughbreds in the United States, Europe, and Japan.

AACR 1

Office of the President
September 11, 2007

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 elected faculty of the University Senate and the Academic Affairs Committee of the Board of Trustees.

Background: Each individual whose name appears on the attached list completed the work leading toward the degree for which application was made at the close of the 2007 Summer Session.

For details on degree candidate listings, please contact

Jacquie Hager
Registrar's Office
Room 10 Funkhouser Building
University of Kentucky
Lexington, KY 40506-0057
859-257-7157

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

AACR 2

Office of the President
September 11, 2007

Members, Board of Trustees:

CANDIDATES FOR DEGREES
BLUEGRASS COMMUNITY AND TECHNICAL COLLEGE

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 Kentucky Community and Technical College System (KCTCS) Board and the University of Kentucky Registrar that the individual has satisfactorily completed all requirements for the degree for which application has been made and as approved by the elected faculty of the University Senate and the Academic Affairs Committee of the Board of Trustees.

Background: On July 1, 2004, a Memorandum of Agreement among the University of Kentucky, the Kentucky Community and Technical College System, and Lexington Community College (LCC) pursuant to House Joint Resolution 214 was approved. The agreement states that LCC students who were or are officially enrolled on or before September 2004 in associate degree programs approved by the UK Board of Trustees and who complete the associate degree program on or before August 31, 2010 shall have their degrees conferred by the UK Board of Trustees.

Following the passage of that agreement, the Lexington Community College name has been changed to the Bluegrass Community and Technical College.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

KCTCS/UK Candidates Applying for Credentials 2/1/2007 - 4/25/2007
Bluegrass Community and Technical College (formerly Lexington Community College)

Associate in Arts – KCTCS/UK

Adams, Daphne	Business	Associate in Arts
Alaidin, Parahita	Humanities	Associate in Arts
Anderson, Deborah	Business	Associate in Arts
Baize, Jared	Humanities	Associate in Arts
Barrieu, Julien	Humanities	Associate in Arts
Blackford, Juanita	Humanities	Associate in Arts
Blaine, John	Social & Behavioral Science	Associate in Arts
Blankenship, Pamela	Humanities	Associate in Arts
Branham, Lynda	Humanities	Associate in Arts
Brown, Reagan	Social & Behavioral Science	Associate in Arts
Buckman, Joseph	Humanities	Associate in Arts
Byers, Amy	Humanities	Associate in Arts
Carothers, Katie	Business	Associate in Arts
Conatser, Jeri	Humanities	Associate in Arts
Cooper, Kevin	Humanities	Associate in Arts
Cowherd, Felicia	Social & Behavioral Science	Associate in Arts
Curtis, Falon	Humanities	Associate in Arts
Douglass, Porter	Humanities	Associate in Arts
Durrett, Dwaine	Social & Behavioral Science	Associate in Arts
Farrell, Christopher	Business	Associate in Arts
Fields, Karen	Humanities	Associate in Arts
Fugate, Sandra	Social & Behavioral Science	Associate in Arts
Gallardo, Judica	Humanities	Associate in Arts
Gentry, Tony	Humanities	Associate in Arts
Geurin-leslie, Janice	Humanities	Associate in Arts

KCTCS/UK Candidates Applying for Credentials 2/1/2007 - 4/25/2007

Gibbs, Thomas	Humanities	Associate in Arts
Gordin, Rachel	Humanities	Associate in Arts
Gray, Andrew	Humanities	Associate in Arts
Groves, Tiffany	Humanities	Associate in Arts
Harris, Keyona	Humanities	Associate in Arts
Hayes, China	Social & Behavioral Science	Associate in Arts
Heisten, Brittany	Humanities	Associate in Arts
Helton, Carrie	Social & Behavioral Science	Associate in Arts
Holt, Lesia	Humanities	Associate in Arts
Hull, Rebecca	Humanities	Associate in Arts
Hunter, Erin	Business	Associate in Arts
Ingram, Reeshemah	Social & Behavioral Science	Associate in Arts
Isaacs, Gregory	Social & Behavioral Science	Associate in Arts
Jackson, Cassie	Humanities	Associate in Arts
Jones III, Ernest	Humanities	Associate in Arts
Keyes, Jamie	Humanities	Associate in Arts
Kidd, Michelle	Social & Behavioral Science	Associate in Arts
Kono, Momoe	Humanities	Associate in Arts
Lay, Stephanie	Humanities	Associate in Arts
Lee, Reginald	Humanities	Associate in Arts
Leen, Adam	Business	Associate in Arts
Leonard, Erin	Business	Associate in Arts
Lewis, Kahlilah	Business	Associate in Arts
Loveland, Jacob	Humanities	Associate in Arts
Lyle, Andrea	Social & Behavioral Science	Associate in Arts
Mams, Ashley	Humanities	Associate in Arts
Marsee, Gregory	Humanities	Associate in Arts
Masters, Sarah	Humanities	Associate in Arts
Matthews, Craig	Humanities	Associate in Arts
McCloud, Amanda	Social & Behavioral Science	Associate in Arts

KCTCS/UK Candidates Applying for Credentials 2/1/2007 - 4/25/2007

Miller, Chanda	Humanities	Associate in Arts
Miraztchijiska, Aelita	Business	Associate in Arts
Morton, Ariel	Social & Behavioral Science	Associate in Arts
Murray, John	Humanities	Associate in Arts
Napier, Sherri	Humanities	Associate in Arts
Nichol, Karen	Humanities	Associate in Arts
Nolan, Christopher	Humanities	Associate in Arts
Noorazar Sadr, Nasim	Humanities	Associate in Arts
Norton, Grace	Humanities	Associate in Arts
Parker, Matthew	Humanities	Associate in Arts
Parks, Benjamin	Humanities	Associate in Arts
Phan, Crystal	Business	Associate in Arts
Pierce, Matt	Humanities	Associate in Arts
Preston, Crystal	Humanities	Associate in Arts
Remilien, Nahomie	Business	Associate in Arts
Reynolds, Chase	Humanities	Associate in Arts
Riggs, Michael	Humanities	Associate in Arts
Roby, Alecia	Humanities	Associate in Arts
Rogers, Cheryl	Humanities	Associate in Arts
Rollins, Steve	Humanities	Associate in Arts
Ruffing, Zachary	Humanities	Associate in Arts
Sanchez, Heidi	Humanities	Associate in Arts
Sandlin, James	Humanities	Associate in Arts
Shahi, Manoj	Business	Associate in Arts
Shelby, Denise	Business	Associate in Arts
Sisk, Kelly	Humanities	Associate in Arts
Smith, Maria	Social & Behavioral Science	Associate in Arts
Snapp, Andrea	Humanities	Associate in Arts
Stevens, Jacob	Business	Associate in Arts
Stidham, Lisa	Business	Associate in Arts

KCTCS/UK Candidates Applying for Credentials 2/1/2007 - 4/25/2007

Stinson, Emily	Humanities	Associate in Arts
Straney, Meagan	Social & Behavioral Science	Associate in Arts
Stuecker, Allison	Humanities	Associate in Arts
Stupnicki, Jennifer	Humanities	Associate in Arts
Tabor, Missy	Business	Associate in Arts
Taylor, Daniel	Humanities	Associate in Arts
Thompson, Joshua	Humanities	Associate in Arts
Thompson, Shacarla	Humanities	Associate in Arts
Torrez, Esmilza	Humanities	Associate in Arts
Walls, Brittney	Social & Behavioral Science	Associate in Arts
Webb, Kyffin	Business	Associate in Arts
Webster, Jenifer	Social & Behavioral Science	Associate in Arts
Wells, Matthew	Humanities	Associate in Arts
White, Bryan	Humanities	Associate in Arts
White, Christa	Humanities	Associate in Arts
Whiteside, Brent	Humanities	Associate in Arts
Williams, Christopher	Humanities	Associate in Arts
Woods, Royale	Humanities	Associate in Arts
Woosley, Hallie	Business	Associate in Arts
Wyatt, Kirk	Humanities	Associate in Arts

Total KCTCS/UK AA: 105**Associate in Science – KCTCS/UK**

Abbott, Tiffany	Life & Natural Sciences	Associate in Science
Assibey-Mensah, Selina	Life & Natural Sciences	Associate in Science
Bates, Jennifer	Allied Health	Associate in Science
Biddle, Mollie	Life & Natural Sciences	Associate in Science

KCTCS/UK Candidates Applying for Credentials 2/1/2007 - 4/25/2007

Burgess, Will	Engineering Technology	Associate in Science
Cross, Keri	Life & Natural Sciences	Associate in Science
Doss, Mark	Life & Natural Sciences	Associate in Science
Durrun, Megan	Life & Natural Sciences	Associate in Science
Ellinor, Brian	Life & Natural Sciences	Associate in Science
Emmerich, Lindsay	Life & Natural Sciences	Associate in Science
Fields, Karen	Life & Natural Sciences	Associate in Science
Fusilier, Scott	Life & Natural Sciences	Associate in Science
Fyffe, Courtney	Allied Health	Associate in Science
Gallardo, Judica	Life & Natural Sciences	Associate in Science
Gillette, Christinne	Life & Natural Sciences	Associate in Science
Gilvin, Cynthia	Life & Natural Sciences	Associate in Science
Hatter, James	Life & Natural Sciences	Associate in Science
Hurter, John	Life & Natural Sciences	Associate in Science
Jones, Lorissa	Life & Natural Sciences	Associate in Science
Keyes, Jamie	Allied Health	Associate in Science
Lange, Margaret	Allied Health	Associate in Science
Lewis, Earl	Life & Natural Sciences	Associate in Science
Maines, Donna	Life & Natural Sciences	Associate in Science
Mams, Ashley	Life & Natural Sciences	Associate in Science
McDermott, Anita	Life & Natural Sciences	Associate in Science
McGinnis, Kristen	Life & Natural Sciences	Associate in Science
Monroe, Bethany	Allied Health	Associate in Science
Moorman, Ebonee	Allied Health	Associate in Science
Morgan, Dale	Business	Associate in Science
Mosley, Jason	Life & Natural Sciences	Associate in Science
Preston, Crystal	Life & Natural Sciences	Associate in Science
Rayburn, Ryan	Life & Natural Sciences	Associate in Science
Rieger, Philip	Life & Natural Sciences	Associate in Science
Ruffing, Zachary	Life & Natural Sciences	Associate in Science

KCTCS/UK Candidates Applying for Credentials 2/1/2007 - 4/25/2007

Scott, David	Life & Natural Sciences	Associate in Science
Short, Jerry	Life & Natural Sciences	Associate in Science
Short, Megan	Life & Natural Sciences	Associate in Science
Short, Tina	Life & Natural Sciences	Associate in Science
Sisk, Kelly	Life & Natural Sciences	Associate in Science
Sweeton, Amanda	Life & Natural Sciences	Associate in Science
Turner, Roy	Life & Natural Sciences	Associate in Science
Von Schlutter, Jessica	Life & Natural Sciences	Associate in Science
Watts, Kolby	Life & Natural Sciences	Associate in Science
Whiteside, Brent	Engineering Technology	Associate in Science
Willoughby, Stephanie	Life & Natural Sciences	Associate in Science
Yacobi, Patrick	Life & Natural Sciences	Associate in Science

Total KCTCS/UK AS: 46**Associate in Applied Science – KCTCS/UK**

Abell, Samantha	Allied Health	Dental Hygiene
Adams-Morton, Nycoe	Allied Health	Nursing
Akers, Nicole	Allied Health	Radiography
Alford, Kari	Allied Health	Radiography
Andreotta, Sarah	Business	Business Technology
Anson, Jason	Business	Computer Information
Arlinghaus, Lisa	Allied Health	Dental Hygiene
Arlinghaus, Ryan	Engineering Technology	Architectural Technology
Asher, Heather	Business	Business Technology
Baggerman, Melanie	Social & Behavioral Science	Early Childhood Administration
Banks, Jacqueline	Business	Information Management & Design
Barnett, Crystal	Business	Business Technology

KCTCS/UK Candidates Applying for Credentials 2/1/2007 - 4/25/2007

Bogliole, Andrea	Allied Health	Dental Laboratory
Botaka, Bob	Business	Computer Information
Bounds, Walter	Business	Business Technology
Bourland, Wanda	Allied Health	Nursing
Bowen, Rebecca	Allied Health	Nursing
Bowman, Chelsea	Allied Health	Radiography
Boyles, Payton	Allied Health	Nursing
Brown, Jennifer	Allied Health	Radiography
Brown, Rebecca	Business	Business Technology
Burns, Jessica	Engineering Technology	Environmental Science
Chamberlain, Janai	Allied Health	Nursing
Champagne, Washeema	Allied Health	Nursing
Chancellor, Matthew	Business	Computer Information
Chapman, David	Allied Health	Nursing
Clark, Christopher	Allied Health	Nursing
Clark, Stephanie	Business	Computer Information
Cobb, Sandra	Business	Business Technology
Colaella, Diana	Allied Health	Respiratory Care
Conatser, Ashley	Business	Business Technology
Crowe, Sherry	Allied Health	Nuclear Medicine
Curry, Adam	Business	Business Technology
Curtis, Brandi	Allied Health	Radiography
Curtis, Renee	Allied Health	Dental Laboratory
Dance, Ryan	Business	Business Technology
Daugherty, Dona	Allied Health	Radiography
Davenport, Sara	Business	Business Technology
Davis, Kathleen	Business	Business Technology
Dennis, Pamela	Business	Business Technology
Dienhart, Chuhui	Allied Health	Nursing
Djigbenou, Moise	Engineering Technology	Engineering Technology

KCTCS/UK Candidates Applying for Credentials 2/1/2007 - 4/25/2007

Doiron, Robyn	Allied Health	Nursing
Dresel, Devin	Allied Health	Radiography
Duffee, Ernest	Business	Information Management & Design
Eizenstat, Justin	Allied Health	Nuclear Medicine
Elliott, William	Allied Health	Nursing
Embs, Stephanie	Business	Business Technology
Feldkamp, Patricia	Allied Health	Nursing
Flynn, Juliana	Allied Health	Surgical Technology
Foltyn, Jennifer	Allied Health	Nursing
Fox, Kelly	Business	Information Management
Gabbard, Shannon	Business	Business Technology
Gainey, Susan	Allied Health	Nursing
Gilvin, Cynthia	Allied Health	Radiography
Goins, Robert	Business	Business Technology
Gomes, Joseph	Business	Business Technology
Gordin, Rachel	Allied Health	Nuclear Medicine
Gosney, Rachel	Business	Business Technology
Grady, Laura	Allied Health	Radiography
Gragg, Matthew	Business	Information Management & Design
Graves, Stephanie	Allied Health	Nursing
Gribbins, Christopher	Business	Business Technology
Grinshteyn, Elvira	Allied Health	Dental Laboratory
Grizzle, Jenna	Allied Health	Radiography
Guess, Chelsea	Allied Health	Dental Laboratory
Hall, Janice	Social & Behavioral Science	Early Childhood Administration
Hamilton, April	Allied Health	Nursing
Hanna, Julie	Business	Business Technology
Hansford, Gary	Business	Computer Information
Hartsock, DeRhonda	Allied Health	Radiography
Hayden, Brooke	Business	Business Technology

KCTCS/UK Candidates Applying for Credentials 2/1/2007 - 4/25/2007

Henry, Owen	Business	Information Management & Design
Hess, Angela	Allied Health	Dental Hygiene
Howard, Jessica	Allied Health	Dental Hygiene
Hurst, James	Business	Information Management & Design
Isaac, Rae	Allied Health	Nursing
Jackson, Bobbie	Business	Business Technology
Johnson, Debra	Allied Health	Nursing
Johnson, Felicia	Social & Behavioral Science	Early Childhood Administration
Jones, Diana	Business	Business Technology
Jones, Kari	Business	Information Management & Design
Jones, Stephanie	Allied Health	Nursing
Kathman, Troy	Engineering Technology	Architectural Technology
Key, James	Business	Information Management & Design
Kourdeltchouk, Inna	Allied Health	Dental Hygiene
Krebs, Jennifer	Allied Health	Dental Hygiene
Kreke, Aaron	Engineering Technology	Architectural Technology
Kyle, Amy	Business	Business Technology
Latimer, Kerstin	Allied Health	Dental Hygiene
Lee, Patrick	Business	Business Technology
Ligon, Abigail	Allied Health	Respiratory Care
Lumpkins, Suz-Ann	Allied Health	Respiratory Care
Macon, Tasha	Business	Information Management & Design
Magness, Holli	Allied Health	Dental Hygiene
Maifeld, Monica	Allied Health	Nuclear Medicine
Makarova, Oksana	Allied Health	Dental Laboratory
Mangiaracini, Peter	Allied Health	Radiography
Marshall, Michelle	Business	Information Management & Design
Matteson, Ana	Allied Health	Radiography
McDaniel, Lauren	Allied Health	Respiratory Care
McNutt, Patrick	Engineering Technology	Architectural Technology

KCTCS/UK Candidates Applying for Credentials 2/1/2007 - 4/25/2007

Meadows, Melody	Allied Health	Nursing
Meredith, Mandy	Allied Health	Radiography
Mihalik, Gwen	Allied Health	Nursing
Milam, Elizabeth	Allied Health	Respiratory Care
Miller, Crystal	Business	Information Management & Design
Miller, Jeffrey	Business	Information Management & Design
Miraztchijsky, Alexander	Allied Health	Nursing
Mitchell, Shannon	Allied Health	Nuclear Medicine
Mlejnek, Shannon	Allied Health	Nursing
Molloy, Kimberly	Allied Health	Nursing
Moreno, Jessica	Allied Health	Dental Laboratory
Mueller, Nicole	Allied Health	Nursing
Murray, Barbara	Allied Health	Nuclear Medicine
Neurohr, Kelli	Allied Health	Radiography
Newman, Christy	Allied Health	Nursing
Oldham, Bonita	Social & Behavioral Science	Early Childhood Administration
Oram, Ashley	Allied Health	Radiography
Patterson, Kelly	Allied Health	Nursing
Payne, Joseph	Allied Health	Nursing
Pelfrey, April	Business	Business Technology
Penrod, Nathaneal	Business	Information Management & Design
Phelps, Katherine	Allied Health	Dental Hygiene
Powell, Kimberly	Business	Computer Information
Praska, Whitney	Business	Information Management & Design
Price, Jennifer	Allied Health	Nursing
Pritchett, Amy	Allied Health	Radiography
Quinn, Beverly	Business	Information Management & Design
Rader, Amy	Allied Health	Radiography
Rains, Shannon	Allied Health	Radiography
Rike, Beatrice	Allied Health	Nursing

KCTCS/UK Candidates Applying for Credentials 2/1/2007 - 4/25/2007

Robertson, Cassandra	Allied Health	Nursing
Robinson, Kelli	Allied Health	Radiography
Rose, Aaron	Business	Business Technology
Rowe, Roba	Allied Health	Nursing
Rudder, Patricia	Allied Health	Dental Laboratory
Sandefur, Julia	Allied Health	Nursing
Schmidt, Steven	Business	Business Technology
Schultz, Holly	Allied Health	Nursing
Sears, Dane	Business	Computer Information
Shepard, Mitchell	Engineering Technology	Architectural Technology
Sherburne, Elizabeth	Allied Health	Radiography
Short, Tina	Allied Health	Radiography
Singleton, Sherene	Allied Health	Dental Hygiene
Smith, Bonnie	Business	Information Management & Design
Smith, Elinor	Allied Health	Nursing
Smith, Timothy	Business	Information Management & Design
Souligne, Nikki	Allied Health	Nursing
Spoonamore, Tinsley	Allied Health	Dental Hygiene
Spradling, Adam	Business	Information Management & Design
Stapleton, Lora	Allied Health	Nursing
Stevens, Erin	Allied Health	Nursing
Sylvester, Christine	Allied Health	Nursing
Taylor, Seth	Business	Computer Information
Terrell, Jeanna	Allied Health	Nursing
Thomas, Laura	Allied Health	Respiratory Care
Wallace, Jennifer	Allied Health	Dental Hygiene
Wallace, Tiffany	Allied Health	Dental Laboratory
Wang, Qing	Allied Health	Nursing
Washburn, Jessica	Allied Health	Nursing
White, Wayne	Business	Computer Information

KCTCS/UK Candidates Applying for Credentials 2/1/2007 - 4/25/2007

Wigginton, Steven	Business	Business Technology
Wilson, Elizabeth	Allied Health	Nursing
Zavala, Carlos	Business	Business Technology

Total KCTCS/UK AAS: 165

***Grand Total
KCTCS/UK Candidates: 316***

AACR 3

Office of the President
September 11, 2007

Members, Board of Trustees:

PROPOSED REVISION TO GOVERNING REGULATION: AUTOMATIC EXTENSION OF PROBATIONARY PERIODS

Recommendation: that the attached revision of Governing Regulation X (GR X) relating to employment, which was received for preliminary consideration as AACR 5 by the Board of Trustees on June 12, 2007, be approved. The revision implements an automatic one-year extension of the probationary period for regular, special, extension, and librarian title series faculty who become the parent of a child or children by birth, adoption, or guardianship, or who assume significant responsibilities for the care of a relative or domestic partner.

Background: In fall 2005 the Sloan Foundation published a report on family-friendly policies in higher education. The report found that 86 percent of Research I institutions offer a formal policy extending the probationary period upon the birth or adoption of a child. During summer 2005 Princeton University announced that it was implementing a new policy which would automatically extend the probationary period for faculty upon the birth or adoption of a child. Princeton's prior policy had functioned as most policies do: on a request-only basis. An institutional study revealed that most faculty members do not take advantage of the policy, fearing that the extension of time will be held against them during their tenure and promotion review. Other internal studies performed by Research I institutions (University of California System, University of Michigan) revealed similar findings. Thus, Princeton concluded that to make the policy as effective and universal as possible it must be granted automatically. Furthermore, the American Association of University Professors (AAUP) recommends that the extension policy should be in the form of a clear entitlement under institutional policies, rather than in the form of an individually negotiated agreement or informal practice.

At present, the University of Kentucky does not offer a policy to extend automatically the probationary period upon the birth or adoption of a child, yet both the university's Top 20 Business Plan and the Strategic Plan state that the university must recruit and retain the most talented faculty. Providing competitive benefits to faculty is a key to accomplishing the university's goals. Implementing a policy to extend the probationary period automatically, not only for the birth or adoption of a child, but also for assuming significant care responsibilities for a relative or domestic partner will provide the university with a competitive advantage among Research I institutions. The

implementation costs are relatively low, and the potential benefits are significant: more competitive recruiting, higher faculty morale, and stronger tenure/promotion dossiers.

The attached revision adds a new subsection, GR X.B.1(c), entitled “Automatic Extension of Probationary Periods,” and revises subsection GR X.B.1(b) to include an automatic extension of the probationary period as one of the factors that permit a faculty member’s probationary period to exceed seven (7) years.

The addition of an automatic extension of the probationary period has been endorsed by the University Senate, faculty, and the deans of the colleges. The revision is intended to become effective for the academic year 2007-08.

A revised copy of GR X is attached. Proposed additions are underlined; proposed deletions are lined through.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PART X

REGULATIONS AFFECTING EMPLOYMENT

A. General

1. 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 disability 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 of Trustees 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 the Provost, or any associate provost, executive vice president, vice president, or associate vice president shall be employed in a position in that officer's administrative area. Waiver of the above regulation may be permitted by the Board of Trustees. All changes in position and/or rank related to this waiver shall be approved 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 employee exercises supervisory or line authority. Employment of relatives within the same department or division shall be approved specifically by the Provost or appropriate executive vice president or vice president. "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 these *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.

2. Intellectual Property

As a general policy, all intellectual property conceived, first reduced to practice, written, or otherwise produced by faculty members, staff employees, or students of the University using University funds, facilities, or other resources shall be owned and controlled by the University. Any faculty member, staff employee, or student 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 shall exert no ownership claim of such works. A Standing Committee on Intellectual Property appointed by the President shall administer the policy and oversee implementation of the procedures, both as detailed in the *Administrative Regulation* on intellectual property (AR II-1.1-3).

3. Representation and Attendance at Meetings

In order that the University may be properly represented at the various gatherings or functions to which it is invited from time to time to participate, the President selects faculty members or staff employees to represent the institution.

In addition, employees are urged to become members and to participate in meetings of international, national, regional, and state and local organizations and associations related to their University employment.

Funds may be available to defray the expenses in whole or in part of those who are authorized to attend meetings by the President or other appropriate administrative officers.

4. 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).

5. Social Security

All employees 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 Treasurer a completed Treasury Form W-4 with the employee's social security number and other information necessary for withholding appropriate contributions.

6. Group Insurance

Regular full-time faculty members and staff employees 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 (1), two (2), or three (3) times the employee's basic annual salary, up to the maximum amount contained in the University's contract with the insurer. 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 faculty members and staff employees are encouraged to participate in the University's basic health and other insurance programs that also may include coverage for dependents.

7. Workers' Compensation

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

8. Employee Disability Program

Regular full-time faculty members and staff employees, 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 (1) 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. Supplemental Long Term Disability coverage may be offered at the employee's expense.

B. Employment of Faculty

1. Appointment of Faculty

(a) Types of Faculty Appointments

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

(i) There are two types of non-tenured appointments.

a. 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 lecturer, research, clinical, adjunct, visiting, or voluntary title series or (2) on a part-time or temporary basis in a title series. An appointment on a temporary basis involves an individual who has assigned duties and responsibilities that shall be completed within one (1) year or less.

b. 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, extension, or librarian title series. 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.

(ii) 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 (2) 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 or by the Provost if the appointments are with educational units in different colleges. The constituent appointments relating to a joint appointment may be processed simultaneously or at different times; however, each appointment, reappointment or promotion, shall 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. When an individual under consideration for appointment to an administrative position is also to be considered for a faculty appointment, recommendations of committees on the two respective appoints shall be developed independently on their respective merits, in accordance with the respective established appointment procedures.

(iii) Post-retirement appointments are of two (2) types.

a. One type is that in which retired faculty members may be appointed to perform duties for which fee schedules have been established and approved by the Provost.

b. 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 (1) 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).

(b) Probationary Periods

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 title series. Such non-tenured appointments may be for one (1) year or for other stated periods, subject to renewal. The total non-tenure period, however, shall not exceed seven (7) years unless one of the following provisions applies: AR II-1.1-12 (Family Medical Leave); ~~GR X.C.7.~~ GR X.B.3(b) (Leave for Duration of an Election or Term of Office); ~~GR X.C.5.d.~~ GR X.B.2(d)(v) (Educational Leave); GR X.B.1(c) (Automatic Delay of Probationary Periods); 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 (1) year. An individual shall not remain at the rank of instructor in the University for more than three (3) years. If after that period, promotion to a higher rank cannot be justified, the individual's appointment with the University shall not be renewed.

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

Probationary periods (or maximum non-tenure periods) are not applicable in cases where faculty members are appointed (1) in the lecturer, 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.

(c) Automatic Delay of Probationary Periods

A probationary regular, special, extension, or librarian title series faculty member who becomes the parent of a child or children by birth, adoption, or guardianship, or who assumes significant responsibilities for the care of a relative (see GR X.A.1) or domestic partner shall automatically be granted a one-year delay of the probationary period by the dean of the respective college. The event or circumstances providing the basis for a delay related to significant care responsibilities must be clearly beyond those experienced by most probationary faculty. This provision is available to all probationary non-tenured faculty upon their official start date and up until the anniversary of their official start date in the year in which their tenure review is scheduled to occur.

A faculty member who qualifies for an automatic delay of the probationary period, shall submit to his or her department chair a signed and completed Faculty Tenure Delay Form (TDF) and supporting documentation, if required. A faculty member may waive the automatic delay only by completing the waiver section of the TDF. Upon receipt of the TDF, the chair shall prepare and submit to the dean and the Provost a revised Notice of Academic Appointment reflecting the change

in probationary dates, along with the completed TDF and supporting documentation. Notifications of all delays shall be made by the faculty member to his or her department chair as soon as possible after the qualifying event or circumstances (i.e., birth, adoption, guardianship, or assumption of significant care responsibilities), but in no case later than six (6) months from the time of the qualifying event or circumstances or no later than the last day of the fifth year of the probationary period; whichever comes first. The chair, dean, or Provost may require the faculty member to provide documentation supporting the qualifying event or circumstances.

The automatic delay shall not be granted more than two (2) times within the probationary period of a faculty member. The faculty member shall be reviewed for tenure under the same academic standards as a candidate who has not extended the probationary period and shall not be penalized or adversely affected by the delay of the probationary period. A delay of the probationary period in no way limits the right of the University to terminate a probationary appointment prior to the time of the mandatory review for probation and tenure, should circumstances warrant such action.

(de) 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 (3) 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 Provost to ensure compliance with this regulation.

(ed) Notification of Non-Renewal of Appointment: Non-Tenured Appointments

Part-time, visiting, or temporary faculty appointments have explicit one (1) year or less terminal dates that 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 (3) 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 (6) months in advance if the appointment expires during the year. Notification of non-renewal of appointment after more than two (2) years of service shall be given at least twelve (12) months before expiration of appointment. Non-renewal decisions concerning regular, full-time faculty members shall be reported to the Board of Trustees.

Any related appeal(s) to the Provost concerning procedural matters or privilege and/or to the University Senate Advisory Committee on Privilege and Tenure concerning procedural matters, privilege, or allegations of violation of academic freedom must be initiated in writing by the concerned faculty member within sixty (60) days after being notified in writing by the dean about non-renewal of appointment.

(fe) Termination of Appointment

(i) 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 University Senate Advisory Committee on Privilege and Tenure with the right of appeal to the President and the Board of Trustees for the University faculty member. The faculty member shall be given notice as soon as possible and never less than twelve (12) months notice. The released faculty member's position shall not be filled by a replacement within a period of two (2) years unless the released faculty member has been offered reappointment and given a reasonable time within which to accept or decline it.

(ii) 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 Provost shall be responsible for the preparation of a reasonably detailed statement of charges which shall be furnished to the faculty member and the University Senate Advisory Committee on Privilege and Tenure. The committee shall make an informal investigation for the purpose of attempting to affect a resolution and, in the case of failure, shall recommend to the President whether, in its opinion, dismissal proceedings should be undertaken. Its opinion shall not be binding upon the President.

If the President initiates dismissal proceedings, the concerned individual shall have the right to be heard initially by the University Senate Hearing Panel (Privilege and Tenure).

The faculty member shall be informed in writing by the President regarding specific charges at least twenty (20) days prior to the hearing. At least seven (7) 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 Panel shall evaluate all available evidence and base its recommendation upon the evidence in the record.

The Hearing Panel, in consultation with the President 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 Panel, 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 Panel shall report to the President 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 accepts a report with a decision adverse to the faculty member, the President shall provide an opportunity for response by the faculty member before transmitting the case to the Board of Trustees and provide reasons in writing to the Hearing Panel and to the faculty member.

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 of Trustees shall either sustain the recommendations of the Hearing Panel and the President or return the proceedings to the President and the committee with specific objections. The Hearing Panel 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 Panel's reconsideration.

(iii) 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 University Senate Advisory Committee on Privilege and Tenure. Salary shall be continued during the period of suspension.

(g) 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 violating academic freedom, or that they were given less advance notice than required in these *Governing Regulations*, they must present their allegations in writing to the University Senate Advisory Committee on Privilege and Tenure within sixty (60) days after being notified in writing by their respective deans of the decisions not to reappoint. Allegations so presented shall be given preliminary consideration by the University Senate Advisory Committee on Privilege and Tenure, which shall attempt to settle the matter by informal methods. The allegations shall be accompanied by statements that aggrieved faculty members 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 *GR X.B.e.ii* 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, or who provided insufficient notice, to present evidence in support of those decisions.

(hg) Resignation

Notice of resignation should be given early enough to reduce 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 (3) months if their rank is instructor or assistant professor, and no less than four (4) months if their rank is higher, before the end of their duties during the academic year (exclusive of a summer session) or thirty (30) days after receiving notification of the terms of their appointments for the coming year, whichever date occurs later. However, they may request in writing a waiver of this requirement in cases of hardship or in situations where they would otherwise be denied substantial professional advancement. Resignations of regular, full-time faculty members shall be reported to the Board of Trustees.

(ih) Administrative Personnel

Administrative personnel who hold academic rank are subject to the foregoing regulations in their capacity as faculty members. Those administrative personnel (holding academic rank) 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.

(ji) Change of Assignment

When it is in the best interests of the institution, and if the professional status of a faculty member 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.

2. Conditions of Employment

(a) Terms of Assignment

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

(b) Vacation Leave

All full-time faculty members on a ten-month, eleven-month, or twelve-month assignment basis shall be entitled to twenty-two (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 faculty member shall be in actual attendance at least until after Commencement and until all reports have been made, and at least three (3) days prior to the first day of registration for the fall semester, unless for special reason 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 Provost, 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 twenty-two (22) days at the end of employment.

(c) Professional Practices

(i) General Policies

During their annual assignment period (whether academic year, ten months, eleven months, or twelve months) faculty 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 faculty member 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 instruction, research, and service. Conditions under which such employment may be undertaken are as follows:

a. Such employment shall not interfere with the fundamental responsibility of the faculty member to meet regularly assigned duties and inherent obligations to instruction, research, and service, 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.

b. Such employment requires prior approval in writing by the appropriate University official.

c. All proposals to undertake outside employment shall be made in writing to the chairs whose recommendations shall be forwarded to the respective deans and thence, unless specified otherwise in the *Administrative Regulations* (AR II-1.1-1), to the Provost 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 Provost who shall transmit quarterly to the President 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 shall be specific. Approvals shall not be granted for blanket authorizations to consult or to engage in professional practice.

d. Such employment shall be governed by time limitations stated in the *Administrative Regulations* (AR II-1.1-1) and the provisions of Ethical Principles and Code of Conduct (GR I-D).

e. 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 with the proviso that an adverse decision can be appealed to the Executive Committee of the Board of Trustees.

(ii) Service Plans (AR II-7)

Documents detailing the administration Services Plans approved by the Board of Trustees appear as a part of the *Administrative Regulations* II-7.0.

(d) Leaves of Absence

(i) Sabbatical Leave

The purpose of sabbatical leave is to provide opportunities for study, research, creative effort, improvement of instructional or public service 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 librarian III) or higher, are eligible for sabbatical leaves after six (6) years of continuous service in the rank of instructor

(or librarian III) or higher at the University, or for sabbatical leaves under a different option after three (3) years of continuous service. All such sabbatical leaves shall be approved by the President or the President's designee.

After six (6) years of continuous eligible service, a faculty member may apply for one (1) year's sabbatical leave (academic year for appointees on academic year, ten-month, or eleven-month assignments) at one-half salary or six (6) months' sabbatical leave (academic semester for appointees on academic year, ten-month, or eleven-month assignments) at full salary. After three (3) years of continuous eligible service, an appointee may apply for six (6) months' sabbatical 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 (6) 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 shall be made in writing by the dean, and be approved by the Provost. The request or agreement shall 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 (1) full year at full salary.

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 (1) or two (2) 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 shall promote the purpose of the leave and is approved by the President or the President's designee.

For those on one-year sabbatical 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 such arrangements pursuant to this paragraph must be approved by the President or the President's designee.

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 sabbatical leave, will continue service at the University for at least one (1) academic year.

(ii) Temporary Disability Leave

Temporary Disability Leave (TDL) may be granted to faculty members by the Provost. Eligible faculty members who are totally disabled are entitled to six (6) months' TDL with pay. TDL with pay for more than six (6) months requires approval by the Board of Trustees.

(iii) Leaves With Pay

Upon the recommendation of the appropriate administrative officers and approval of the Provost, a faculty member may be granted leave of absence with pay for a period not to exceed thirty (30) 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 (30) days require approval of the Board of Trustees.

(iv) Leaves Without Pay

Upon the recommendation of the appropriate administrative officers and approval of the Provost, a member of the faculty 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. 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, etc. In no case shall the leave of absence without pay be considered as an interruption of continuous service.

(v) Educational Leave

To pursue an advanced degree at the University of Kentucky in accordance with these *Governing Regulations*, Part X.C.6, 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 and approved by the Provost, 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.

(vi) 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 and approved by the Provost, 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 apply toward eligibility for sabbatical leave and count as probationary period service unless the University in granting the leave and the individual accepting it agree to the contrary.

3. Miscellaneous

(a) Faculty Members as Candidates for Degrees

Faculty members 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 (2) full-time, consecutive resident semesters preceding the qualifying examination or during the two semesters of full-time dissertation study immediately following the qualifying examination.

(b) 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, instruction, research, service, and publication and to protect members of the faculty against influences, from inside or outside the University, which would restrict them in the exercise of these freedoms in their areas of scholarly interest. Faculty members 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.

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 shall not count as probationary service unless agreed to otherwise.

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

C. Employment of Staff Employees

1. The *Human Resources Policy and Procedures Administrative Regulations* are

applicable to staff employees. The *Human Resources Policy and Procedures Administrative Regulations* are promulgated by the President pursuant to delegation of the Board of Trustees.

2. Post-Retirement Employment

(a) A 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 staff 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 (1) year.

(b) A retiree may be employed as a temporary employee to perform duties for which fee schedules have been established and approved by the Provost or the Executive Vice President for Finance and Administration.

3. Emeritus ranks for retired staff employees and the rights of holders of emeritus titles are established by the President after consultation with the Staff Senate Executive Committee.

D. Opportunity for Hearing

In no case shall an appointment of a postdoctoral scholar, postdoctoral fellow, resident, clinical fellow, teaching assistant, or research assistant be terminated before the end of the period of appointment without the individual being provided an opportunity to be heard before the University Senate Advisory Committee on Privilege and Tenure. Such employees who have established a *prima facie* case to the satisfaction of the committee that a consideration violating academic freedom significantly contributed to the individual's termination, shall be given a written statement of reasons by those responsible for the termination and an opportunity to be heard by the University Senate Hearing Panel of the Privilege and Tenure Committee.

E. Matters Affecting Faculty and Staff

The *Human Resources Policy and Procedures Administrative Regulations* on Benefits are applicable to faculty members and staff employees. All other *Human Resources Policy and Procedures Administrative Regulations* are applicable to faculty members to the extent that there are no other applicable policies for faculty members on the subject matter.

AACR 4

Office of the President
September 11, 2007

Members, Board of Trustees:

ESTABLISHMENT OF THE
CENTER FOR THE STUDY OF VIOLENCE AGAINST CHILDREN

Recommendation: that the Board of Trustees approve the establishment of the Center for the Study of Violence Against Children in the College of Social Work, effective immediately.

Background: The Center for the Study of Violence Against Children is dedicated to the enhancement of the health and well-being of children and their families through research, service, and dissemination of information about child abuse and trauma. The center's primary mission is to develop, assimilate, and disseminate knowledge and best practices that will contribute to reducing and ending violence against children and the effects of that violence across the life cycle.

This translational research center combines clinical practice, research, and training on child and family violence. The center completes a translational research agenda by: (1) using clinical practice with children and families experiencing violence to generate research questions regarding assessment and interventions to improve safety and health/mental health; (2) conducting funded research with children and family members experiencing violence and related problems; (3) disseminating research to clinical and social service practice communities; (4) disseminating findings to the broader scientific community; and (5) consulting, advising, and collaborating with federal and state agencies and policy makers. The center is a coordinated partnership between the College of Social Work and the Department of Psychiatry in the College of Medicine.

The proposal has been endorsed by the faculty and administrators participating in the units, and the provost supports this recommendation.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

AACR 5

Office of the President
September 11, 2007

Members, Board of Trustees:

ESTABLISHMENT OF THE
CENTER FOR CLINICAL AND TRANSLATIONAL SCIENCE

Recommendation: that the Board of Trustees approve the establishment of the Center for Clinical and Translational Science that will report to the provost, effective immediately.

Background: Clinical and translational science is essential to progress in the translation of basic biomedical science to clinical practice and also to the development of new basic science hypotheses from clinical observations. This bi-directional flow—from the bench to the bedside and from the bedside back to the bench—is needed to enhance the continuum of scientific investigation and clinical practice and to increase the efficiency and speed of the delivery of therapeutic interventions to improve the health and well being of our citizenry. The Center for Clinical and Translational Science is necessary to enhance the ability of individual clinical and translational scientists to access services, identify research partners, and connect with industry and government agencies in the process. The highly regulated environment of clinical research necessitates the aggregation and integration of resources and expertise along the continuum of clinical and translational science in order to facilitate the conduct of this research.

Community engagement through research partners across the Commonwealth of Kentucky is another key component in the continuum of clinical and translational research to ensure that issues of critical importance to Kentucky receive priority attention as we seek to address health issues and health disparities. Improvements in health and well-being contribute significantly to budgetary health and economic progress for the Commonwealth. Organizing clinical and translational science into an interdisciplinary center is a critical component to foster this growth.

Additionally, the center will allow the university to compete for extramural funds critical to further development in clinical and translational science.

The proposal has been endorsed by administrators, faculty, and staff across the university. The provost of the university supports this recommendation.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 1

Office of the President
September 11, 2007

Members, Board of Trustees:

ANONYMOUS GIFT TO THE VIRGINIA T. BARROW
CHAIR IN BRAIN DISEASE RESEARCH

Recommendation: that the Board of Trustees accept a gift of \$1,107,721 from an anonymous donor to the Virginia T. Barrow Chair in Brain Disease Research in the College of Medicine's Department of Neurosurgery.

Background: The donor, who wishes to remain anonymous, is very interested in the brain disease and brain tumor research being done by Dr. Byron Young, Department of Neurosurgery, and his colleagues.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 2

Office of the President
September 11, 2007

Members, Board of Trustees:

APPROVAL OF LEASE AND RELATED TRANSACTIONS

Recommendation: that the Board of Trustees authorize and affirm the executive vice president for finance and administration's negotiation and execution of a lease between the University of Kentucky (College of Pharmacy) and Coldstream Laboratories, Inc., for space located at 1575 McGrathiana Parkway, Lexington, Kentucky, effective approximately May 1, 2007 through April 30, 2017, with an option for one (1) ten-year renewal for the use of the 21,249 square foot building located on Coldstream Lot number 26 at an annual rate of \$509,340.00; that the Board of Trustees authorize and/or affirm the executive vice president for finance and administration's negotiation and execution of leases for all equipment formerly used by the Center for Pharmaceutical Sciences and Technology with rental rates based upon current fair market value; and that the Board of Trustees authorize and/or affirm a transfer of up to \$6,500,000 to the University of Kentucky Research Foundation, to be used as paid-in capital in Coldstream Laboratories, Inc. (CLI). CLI will be authorized to use the capital for start-up and operational expenses necessary to pursue its role in pharmaceutical manufacturing at Coldstream.

Background: The university, with state assistance, agreed to construct a new facility at Coldstream for a substantial expansion of the College of Pharmacy's Center for Pharmaceutical Science and Technology (CPST). The university budgeted appropriate funding for the substantial expenses associated with opening this facility, equipping it, and staffing, acknowledging that it would require substantial support until such time as it becomes self-sustaining. Based upon advice of counsel and with the concurrence of the College of Pharmacy, the university determined that this expansion of the former CPST could best be developed and run by a separate entity. As a result, CLI has been formed to expand and commercialize pharmaceutical manufacturing, research, and development in the Coldstream facilities. To take full advantage of the manufacturing capabilities and commercial potential of the new building on the Coldstream campus, CLI requires the financial support that the university anticipated providing this operation. Working with CLI also provides educational opportunities for the College of Pharmacy and unique educational opportunities for its students, as well as unique collaborative opportunities for research projects.

CLI will seek to develop and expand the pharmaceutical manufacturing program and make it commercially viable, while maintaining a relationship with the College of Pharmacy via

Educational Affiliation Agreements or other similar agreements that will enable the college to continue its goal of training students in this particular area of pharmacy. CLI will continue and expand upon the University of Kentucky's goal of transferring appropriate technology and programs to the public sector and at such time advancing the university's goal of assisting economic development efforts.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 3

Office of the President
September 11, 2007

Members, Board of Trustees:

APPROVAL OF LEASE

Recommendation: that the executive vice president for finance and administration be authorized to negotiate and execute the following:

A revision of the Lease between the University of Kentucky and Lexington-Fayette Urban County Government (LFUCG) for Lot 31 in the UK Coldstream Research Campus, approved by the Board of Trustees on September 12, 2006. Lot 31 acreage has been increased from 11.5 acres to approximately 12.97 acres in order to accommodate the addition of a cul-de-sac.

Background: Because of the strategic location of the UK Coldstream Research Campus, the Lexington-Fayette Urban County Government is proposing to lease Lot 31A (and a right of first refusal on adjacent Lot 31B) as the site for the Lexington Regional Public Safety Complex.

The university will submit to the LFUCG Planning Commission a plan to subdivide and replat Lots 23, 24, 31A, and 31B, allowing the university flexibility in attracting prospective tenants for single-use facilities. This subdivision will require the addition of a cul-de-sac in order to reach Lots 24 and 31B. The proposed Lexington Regional Public Safety Complex will be a two-story structure, approximately 50,000 square feet, fronting McGrathiana Parkway. The term of the lease is expected to be 100 years with a one-time payment of \$815,850 (previously \$735,000).

Project Description: Lexington Regional Public Safety Complex

This site will serve as the Incident Command Post during events of community-wide impact, whether related to disaster response/relief or major events such as Alltech/FEI World Equestrian Games in 2010. The complex will house the following operational components:

Regional Emergency Operations Center
E911 Communications Center
Commtech Tactical Vehicle Facility

The complex will ultimately be a 24/7/365 operation, staffed initially by the Division of Environmental and Emergency Management (DEEM) and certain staff of Fire, Police, and E911. Eventually, staffing will include all E911 communications staff, with a total of approximately 50 public safety staff routinely on site at any give time. During major response mode, an additional 50 representatives of other cooperating public safety agencies may be on site for short periods of time.

Project Significance: The Central Kentucky region currently has no permanent Incident Command Post. The present temporary location is not sufficient to hold response team participants and has to be manually set up in the police station each time there is a major manmade or natural disaster. Lexington-Fayette County needs a new permanent facility to comply more fully with Homeland Security standards and provide the best possible service to the community during major events.

Proposed Site: University of Kentucky Coldstream Research Campus, Lot 31 (7.77 acres, with a right of first refusal on adjacent 5.20 acres)

- Well located geographically for Lexington-Fayette County public safety operations
- Proximity to interstate access for regional response capability for surrounding counties
- Backup site for State of Kentucky Emergency Operations Center (EOC)
- Facility would serve an 11-county area
- Proximity to World Equestrian Games Site/Kentucky Horse Park

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 4

Office of the President
September 11, 2007

Members, Board of Trustees:

APPROVAL OF LEASE

Recommendation: that the Board of Trustees authorize the Executive Vice President for Finance and Administration to negotiate and execute:

A new lease between the University of Kentucky (Division of Information Technology and UK HealthCare) and Lexington Holding Two, LLC, 2600 Philmont Avenue, Suite 215, Huntingdon Valley, PA 19006 for space located within the Coldstream Research Campus, in the Lexhold International Center for Technological Innovation, Building B for the use of approximately 70,500 square feet of data center space, at an annual rate not to exceed \$2,000,000.

Background: At its June 14, 2005 meeting the Board of Trustees amended the Governing Regulations (SCGR 1) to require all leases in excess of \$100,000 be approved by the Board of Trustees. The President or his designated representative is authorized to enter into leases and easements not exceeding \$100,000 in value.

The new comprehensive data center located at Coldstream Research Park would house the main campus data center (currently located in McVey Hall) and the data center at the Chandler Medical Center. Relocating the campus data center will allow the university to reassign quickly approximately 33,000 square feet of space in the core of campus for classrooms and faculty offices.

This comprehensive data center - supporting research, administrative, and health care functions - would be capable of offering substantial technological services. The computational research facilities also could support infrastructure needs for new economy businesses locating at Coldstream.

The lease would be funded by the university and UK HealthCare.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 5

Office of the President
September 11, 2007

Members, Board of Trustees:

CONSENT TO MODIFICATION OF LISTED EXTERNAL TRUSTS

Recommendation: that the Board of Trustees approve and authorize the treasurer to execute consents, which will be attached as exhibits to petitions to be filed pursuant to KRS 386.454 by the trustees indicated below, in the applicable district courts, consenting to modification of the applicable trusts to allow the trustees to utilize a “total return” investment and distribution method for the following external trusts:

Trust:

Barth Foundation Trust
George Warrick Salary Supplement Trust
L. H. May Trust
William S. & Elizabeth M. Morgan Professorship Trust

Trustee:

Stockyards Bank
National City
BB&T
National City

Background: Stockyards Bank, National City, and BB&T currently serve as trustees of the above external trusts of which the University of Kentucky is an income beneficiary. Currently, under the terms of the applicable trusts, distributions to the university from these trusts are restricted to income only. The Kentucky Principal and Income Act, enacted by the 2004 General Assembly, became effective January 1, 2005. This act allows trustees to petition the District Court, subject to the consent of the beneficiary, to manage trusts using a “total return” investment and distribution method. A total return method is desirable as it allows trustees more discretion in making prudent investment decisions to maximize the total return of the trust and related distributions to the beneficiary. Future distributions to the university, subject to court approval and trustee discretion, could be based on an annual spending rate between 3 percent and 5 percent consistent with the spending policy for the university's endowments.

Stockyards Bank, National City, and BB&T, with the approval of the Board of Trustees, will file a petition for each external trust requesting authority to manage the trusts under a total return and distribution method. The consents of the university, executed by the treasurer, will be filed with the trustee's petitions in the applicable district court.

On September 20, 2005, the Board of Trustees approved a similar action for the filing of twelve petitions in Fayette District Court by Bank One Trust Company, N.A. requesting authority to manage the twelve external trusts under a total return and distribution

method. Eleven of the twelve petitions were filed and approved by the Fayette District Court in January 2006. J. P. Morgan (successor to Bank One) plans to file the remaining petition for the Herman Lee and Nell Stuart Donovan Memorial Trust soon, upon receiving the consent of Eastern Kentucky University, which is the co-income beneficiary.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 6

Office of the President
September 11, 2007

Members, Board of Trustees:

PATIENT CARE FACILITY PROJECT EXPANSION

Recommendation: that the Board of Trustees approve initiation of the design and other actions necessary to expand the patient care facility project by adding two shelled patient bed floors.

Background: UK HealthCare's growth has exceeded the aggressive projections used to design the new Patient Care Facility when the project was initiated in 2004. UK HealthCare has grown from a relatively small academic medical center with 4,969 discharges during the first quarter of 2004 to a medium-sized medical center with 6,834 discharges during the fourth quarter of 2006. The number of discharges in July 2007 is up about 10 percent over July 2006 and continues to exceed projections. With the addition of UK HealthCare Good Samaritan hospital, the UK HealthCare system is among the largest 25 percent of teaching hospitals in the United States.

This growth has had a significant impact on the Patient Care Facility project. The original plan for a 473 replacement bed facility has been expanded to a 630 bed facility. As previously reported to the Board of Trustees, the project has changed over the past two years to reflect this growth. These changes include designing a second tower and adding two floors to the new parking structure. The Board is now asked to approve the addition of two shelled patient bed floors. Initially shelling the two floors will allow UK HealthCare to later fit-up the floors to meet changing conditions and needs.

The university currently has legislative expenditure authorization up to \$450 million in university funds and university-funded bonds for the new facility (Phase 1A). At its June 2007 meeting, the Board of Trustees approved the 2008-2010 Capital Plan, which requests an additional \$250 million in authority from the 2008 General Assembly (Phase 1B). The initial \$450 million authorization was a Phase 1A authority whereby a building of over 1,000,000 square feet would be constructed with a significant portion of it to be shelled space. The university has always planned to seek additional legislative authority in the 2008 General Assembly for Phase 1B to fit out these initially shelled spaces. The timing of these various fit-out projects is expected to take a number of years to complete and is dependent on available hospital reserves and overall hospital revenue strength. The university will not issue or accept any bids prior to July 1, 2008 (anticipated date of receipt of additional authority), which would exceed the current \$450 million. This

additional two-floor decision simply increases the initial amount of shelled space to be constructed in the first phase of the project.

The current and requested authorizations will be sufficient to cover the addition of the two-shelled patient floors at a cost of \$14.75 million as well as allow for the ongoing fit-out of other shelled spaces over the coming years.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 7

Office of the President
September 11, 2007

Members, Board of Trustees:

RENOVATION OF THE THOMAS HUNT MORGAN BIOLOGICAL SCIENCES BUILDING

Recommendation: that the Board of Trustees approve the renovation of the Thomas Hunt Morgan Biological Sciences Building including upgrade of the fume hoods and teaching and research labs.

Background: This project will upgrade the fume hood exhaust and air supply systems within the Thomas Hunt Morgan Biological Sciences Building. This upgrade is necessary to minimize risks to human health and safety and to meet the needs of contemporary research and biology instruction. Additionally, the university will perform needed renovations and upgrades of teaching and research labs to accommodate eight new biology faculty members. Contingent upon approval by the Board of Trustees, the university will request that the Council on Postsecondary Education and the Capital Projects and Bond Oversight Committee allow the university to use existing legislative authority for renovation of the fume hood system to include the general teaching and research lab renovations. The cost will not exceed the authorized scope of \$3,188,000. The project will be funded with university reserves.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 8

Office of the President
September 11, 2007

Members, Board of Trustees:

LEASE/PURCHASE OF EQUIPMENT AND INFORMATION TECHNOLOGY ITEMS

Recommendation: that the Board of Trustees delegate to the executive vice president for finance and administration the responsibility for managing university debt related to the lease/purchase of equipment and information technology items costing less than \$200,000.

Background: At its September 2005 meeting, the Board of Trustees adopted the University of Kentucky's Debt Policy. According to that policy, debt in the form of capitalized lease obligations shall be approved by the Board. Delegation of the management of debt obligations related to equipment and information technology items costing less than \$200,000 to the executive vice president for finance and administration will allow the university to make decisions about such items in an efficient and timely manner. The university's Debt Committee will assess the impact of these purchases on the university's debt capacity.

Acquisitions of major equipment and information technology items costing \$200,000 or more where the method of procurement involves debt in the form of capitalized lease obligations will be submitted to the Board for approval.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 9

Office of the President
September 11, 2007

Members, Board of Trustees:

PATENT ASSIGNMENT REPORT

Recommendation: that the Board of Trustees accept the patent assignment report for the period ending August 1, 2007.

Background: At its March 4, 1997 meeting, the Board of Trustees authorized the University of Kentucky Research Foundation to conduct all future copyright and patent filings and prosecutions. 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 MARCH 19, 2007 THROUGH AUGUST 1, 2007

Patents

The following assignments on behalf of the Board of Trustees of the University of Kentucky Research Foundation have been executed:

- 1. U.S. Patent Application Serial Number: (to be assigned)**
Filed: January 27, 2007
Title: “Vectors and Methods for Cancer Cell Specific Gene Expression”
Inventors: Drs. David Kaetzel and Susan Kraner (Pharmacology)
Technical Description: The invention relates to the fields of gene delivery vectors and gene therapy. More specifically, the invention relates to vectors useful in gene therapy for human tumor or cancer cells.
Summary: Traditional cancer therapies are toxic to both cancer and normal tissues. Genetic therapies are being developed to avoid toxicity to normal tissues. Currently, these genetic therapies are not efficient enough to replace the traditional therapies. Drs. David Kaetzel and Susan Kraner have developed an efficient method of implementing gene therapy in liver, lung, bone, brain, and placental cancers.
- 2. U.S. Patent Application Serial Number: (to be assigned)**
Filed: February 16, 2007
Title: “CCR3 Inhibition for Ocular Angiogenesis and Macular Degeneration”
Inventor: Dr. Jayakrishna Ambati (Ophthalmology)
Technical Description: The method relates to compositions and methods for the treatment or prevention of ocular neovascularization by reducing macrophage infiltration into the eye.
Summary: Age-related macular degeneration (AMD) is one of the leading causes of blindness. Blindness in AMD is caused by an overgrowth of blood vessels in the eye, or neovascularization. Dr. Ambati has developed a novel treatment to inhibit or prevent neovascularization, and the resulting blindness. The treatment involves the therapeutic application of drugs that block the action of the CCR3 receptor, a naturally occurring protein.
- 3. U.S. Patent Application Serial Number: (to be assigned)**
Filed: March 13, 2007
Title: “Withanolide Compounds as Inhibitors of Fibrosis and Identification of Molecular Targets for Anti-Fibrotic Drug Development”
Inventors: Drs. Royce Mohan and Paola Bargagna-Mohan (Ophthalmology)
Technical Description: The invention relates to methods of screening compounds for treating fibrosis and to methods for treating fibrosis.
Summary: Fibrosis occurs during tissue repair and is a serious complication after surgery. It also can occur during cancerous growth, endometriosis, liver

damage, and other common disorders. No effective treatment exists for the prevention of fibrosis. The inventors have developed a method of screening a large number of drugs to identify those useful in preventing the development of fibrosis.

4. U.S. Patent Application Serial Number: (to be assigned)

Filed: April 24, 2007

Title: "Method of Improving Cheese Quality"

Inventors: Drs. Donal O' Callaghan, Colm O' Donnell (Outside Inventors), Manuel Castillo and Fred Payne (Biosystems and Agricultural Engineering).

Technical Description: The invention relates to the cheese-making art and, more particularly, to a method of improving the quality of cheese produced from a curd and whey mixture.

Summary: Syneresis is the step in cheese making in which whey is removed from the curd grains. Current methods of controlling syneresis are achieved by estimating proper temperature, stirring, and time. Because they are estimates, there is an unwanted variability in the quality of the resulting cheese. The inventors have developed a better method of controlling syneresis that involves using color data from the curd mixture.

5. U.S. Patent Application Serial Number: (to be assigned)

Filed: March 20, 2007

Title: "Trans-Excision-Splicing Ribozyme and Methods of Use"

Inventors: Drs. Stephen Testa and Michael Bell (Chemistry)

Technical Description: This invention relates to the field of genetic therapeutics. More particularly, it relates to a trans-excision-splicing ribozyme having adaptable sequence recognition specificity that provides a powerful tool for genetic therapies.

Summary: All life processes, both normal and abnormal, rely on the production of cellular proteins. The production of proteins can be regulated by manipulating RNA, which encodes protein sequences. Scientists have begun attempting to regulate disease processes by manipulating RNA. Drs. Testa and Bell have developed a new method of manipulating RNA that may prove useful in treating disease processes.

6. U.S. Patent Application Serial Number: (to be assigned)

Filed: May 2, 2007

Title: "New Technique and Program Code Constituting Use of Local-Global Solution Modes for Sparse Direct Representations of Wave-like Phenomena"

Inventor: Dr. Robert J. Adams (Electrical and Computer Engineering)

Technical Description: The invention relates to computerized techniques for determining solutions for electromagnetic (EM) scattering from surfaces of structures/objects such as those encountered when designing systems for the transmission and receipt of EM radiation/waves. The invention also relates to computerized techniques for determining solutions for other types of wave phenomena, such as acoustic, scattering from surfaces of structures/objects. More

particularly, the novel technique is directed to assist in performing modeling, design, and analysis of wave phenomena – in an effort to characterize associated fields – as is done in the design and implementation of whole system and modular approaches used in connection with characterizing transmission and/or receipt of radiation/wave phenomena.

Summary: The analysis of waves is necessary in the development of many devices, including acoustic devices, antennae, medical imaging devices, and microwaves. Dr. Adams has developed an improved method of analyzing waves that will assist in the development and improvement of such devices.

7. U.S. Patent Application Serial Number: (to be assigned)

Filed: May 11, 2007

Title: “Bis-Quaternary Ammonium Cyclophane Compounds That Interact with Nicotinic Acetylcholine Receptors”

Inventors: Drs. Peter Crooks, Linda P. Dwoskin, Guangrong Zheng, Sangeetha Sumithran, Zhenfa Zhang (Pharmaceutical Sciences), Davis Allen and Paul Lockman (Outside Inventors)

Technical Description: This invention relates to bis-quaternary ammonium cyclophane compounds that interact with nicotinic acetylcholine receptors, and to methods of using the compounds to treat central nervous system diseases.

Summary: Neurons affected by nicotine play an important role in the neural circuitry relevant to many neurological diseases, including myasthenia gravis, Parkinson's disease, Alzheimer's disease, schizophrenia, eating disorders, and drug addiction. Blocking the activity of neurons sensitive to nicotine is sometimes therapeutic. The inventors have produced compounds that block the activity of nicotine-sensitive neurons. The compounds of this invention should be useful in the treatment of a wide variety of diseases related to the action of nicotine.

8. U.S. Patent Application Serial Number: (to be assigned)

Filed: May 15, 2007

Title: “Toll-like Receptor (TLR) Stimulation for Ocular Angiogenesis and Macular Degeneration”

Inventor: Dr. Jayakrishna Ambati (Ophthalmology)

Technical Description: The invention relates to the suppression of ocular angiogenesis by stimulation of toll-like receptor action.

Summary: Age-related macular degeneration (AMD) is one of the leading causes of blindness. Blindness in AMD is caused by an over-growth of blood vessels in the eye, or neovascularization. Dr. Ambati has developed a novel treatment to inhibit or prevent neovascularization, and the resulting blindness. The treatment involves the therapeutic application of drugs that stimulate the action of the toll-like receptor, a naturally occurring protein.

9. U.S. Patent Application Serial Number: (to be assigned)

Filed: June 6, 2007

Title: “Compositions and Methods Useful for Treating Circulatory and Hypovolemic Shock”

Inventors: Dr. Pete Oeltgen and Meera Govindaswami (Toxicology)

Technical Description: This invention relates to a method of treating hypovolemic and circulatory shock.

Summary: Shock, which refers to a reduction in blood flow and pressure, can deprive vital organs and tissues of oxygen, leading to bodily injury or death. Common causes of shock are blood loss (circulatory) and dehydration (hypovolemic). The inventors have discovered a novel way to prevent shock and its resulting injury by administering a therapeutic dose of the peptide Deltorphin-E to an at-risk patient.

10. U.S. Patent Application Serial Number: (to be assigned)

Filed: June 15, 2007

Title: "Mono Quaternary Ammonium Salts and Methods for Modulating Nicotinic Acetylcholine Receptors"

Inventors: Drs. Peter Crooks, Linda P. Dwoskin, Guangrong Zheng, Sangeetha Sumithran and Zhenfa Zhang (Pharmaceutical Sciences)

Technical Description: This invention relates to mono quaternary ammonium salts and their use in modulating nicotinic acetylcholine receptors.

Summary: Neurons affected by nicotine play an important role in the neural circuitry relevant to many neurological diseases, including myasthenia gravis, Parkinson's disease, Alzheimer's disease, schizophrenia, eating disorders, and drug addiction. Blocking the activity of neurons sensitive to nicotine is sometimes therapeutic. The inventors have produced compounds that block the activity of nicotine-sensitive neurons. The compounds of this invention should be useful in the treatment of a wide variety of diseases related to the action of nicotine.

11. U.S. Patent Application Serial Number: (to be assigned)

Filed: June 15, 2007

Title: "Transdermal Delivery of Naltrexone Hydrochloride, Naltrexol Hydrochloride, or Bis(hydroxyl-methyl) Propionyl-3-O Ester Naltrexone Using Microneedles"

Inventors: Drs. Audra Lynn Stinchcomb, Stan Lee Banks and Raghotham Reddy Pinninti (Pharmaceutical Sciences).

Technical Description: The invention relates to the transdermal delivery of naltrexone hydrochloride, naltrexol hydrochloride, or bis(hydroxyl-methyl) propionyl-3-o ester naltrexone using microneedles.

Summary: Naltrexone and naltrexone derivatives are useful for treating alcohol and narcotic addiction. However, oral naltrexone treatment is subject to adverse side effects, and other methods require surgical implants of naltrexone-releasing devices. The inventors have developed a method of using microneedles to facilitate transdermal delivery of therapeutically effective amounts of naltrexone and naltrexone derivatives for treatment of narcotic dependence, alcohol abuse, and alcoholism.

12. U.S. Patent Application Serial Number: (to be assigned)

Filed: July 9, 2007

Title: “Nucleic Acids Encoding *Sarcocystis Neurona*”

Inventor: Dr. Daniel Howe (Veterinary Science)

Technical Description: This invention relates to the nucleic acid sequences of *Sarcocystis Neurona*.

Summary: *Sarcocystis Neurona* is a parasite that causes encephalitis in horses. Current methods of detecting *Sarcocystis Neurona* infection are not sensitive. Dr. Howe has discovered nucleic acid sequences that are useful in the detection and prevention of *Sarcocystis Neurona* infection in horses.

13. U.S. Patent Application Serial Number: (to be assigned)

Filed: July 24, 2007

Title: “Inhibitors of Plant Peptide Deformylase for Use as Broad-Spectrum Herbicides and Methods for Identifying the Same”

Inventors: Dr. Robert Houtz, Lynette Dirk and Mark Williams (Horticulture)

Technical Description: The invention relates to a method of identifying herbicides and to the use of inhibitors of plant peptide deformylase as broad spectrum herbicides.

Summary: Chemicals that target plant peptide deformylase are lethal to plants, suggesting that herbicides can be developed that target this protein. The inventors have identified inhibitors of plant peptide deformylase that are useful as broad-spectrum herbicides. In addition, the inventors have described a method of identifying additional inhibitors of plant peptide deformylase.

Patent Activities

Fiscal Year 2006-07

Number of Patent Applications	36
Number of Patents Issued	21
Patent Income	\$1,802,905

Fiscal Year to Date

July 1, 2007 to August 1, 2007

Number of Patent Applications	2
Number of Patents Issued	1
Patent Income	\$87,481

FCR 10

Office of the President
September 11, 2007

Members, Board of Trustees:

CAPITAL CONSTRUCTION REPORT

Recommendation: that the capital construction report for the three months ending June 30, 2007 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.

For the period April 1, 2007 thru June 30, 2007:

There were six new contracts this quarter:

Project 2239.32	Patient Care Facility - Hospital – Central Utilities Plant Expansion Messer Construction, Co., \$9,474,000
Project 2248.0	Replace Steam and Condensate Pipe Lagco, Inc., \$1,725,900
Project 2252.0	Upgrade Cancer Center Radiologic Facility BSA Lifestructures, Inc., \$ 535,000
Project 2255.0	Renovate 3 rd Floor Little Library Woodford Builders, \$1,208,000
Project 2262.0	Lease Purchase Hospital Dining Facilities and Equipment (Cafeteria Renovation) Denham Blythe, \$513,450
Project 2264.0	Construct Law School Building Robert A.M. Stern Architects, \$500,000

One contract was completed:

Project 2238.1	Construct Horticultural Research and Education Facility Nexus Corporation, \$295,129
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Four amendments were as follows:

- | | |
|----------------|--|
| Project 2227.0 | Fit-Up 4 th Floor in BBSRB |
| | - Extension of contract administration services (+) \$ 21,525 |
| Project 2228.0 | Construct Student Health Facility |
| | - Creation of reimbursable service allowance for construction document archiving (+) \$ 10,000 |
| Project 2235.0 | Construct Biological Pharmaceutical Complex Building |
| | - Design services for addition of an additional research floor and a new utility tunnel. (+) \$220,700 |
| Project 2251.0 | Renovate – Expand Boone Faculty Center |
| | - Addition of reimbursable services (+) \$2,611 |

Six change orders greater than \$25,000 were as follows:

- | | |
|-----------------|--|
| Project 2196.0 | Memorial Coliseum Expansion |
| | - Allowance liquidation (-) \$200,000 |
| Project 2228.0 | Construct Student Health Facility |
| | - Provide additional drilling to hit rock bearing that was deeper than specified (+) \$49,508 |
| Project 2236.0 | Expand Emergency Services – Hospital |
| | - Deletion of Phase 3, 4 and 5 due to scope revision (-) \$434,218.87 |
| Project 2239.0 | Construct Patient Care Facility |
| | - Transfer of a portion of infrastructure from Bid Pack 4A to Bid Pack 3B to accommodate the project schedule (+) \$91,344 |
| | - Relocation of the existing direct buried steam lines found to be in conflict with the new utility tunnel (+) \$65,296 |
| Project 2239.31 | Patient Care Facility – Hospital – Cooling Plant # 1 Modifications |
| | - Clean existing condenser water piping due to excess interior build-up (+) \$31,273 |

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

CAPITAL CONSTRUCTION CONTRACTS QUARTERLY ACTIVITY REPORT

This report contains capital projects that have a dollar scope value of \$600,000 and above. The projects are listed in alphabetical order and contain the project number, the dollar scope, a brief description of the project work and information pertaining to the primary consultant's contract and the primary contractor's contract. This information includes:

Consultant: This section contains the name of the consultant, the contract number, the original contract amount, the total number of amendments, the cumulative amendment amount, the revised contract amount, and a notes section. The notes section will describe, in bold face type, all amendments to the consultant's contract for the current quarter.

Contractor: This section contains the name of the contractor, the contract number, the original construction contract amount, the total number of change orders, the cumulative change order amount, the revised contract amount, information on the low, high and number of bids, the percent of the contract completed, and a section for notes. The notes section will describe, in bold face type, all change orders greater than \$25,000 for the current quarter.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY REPORT

Glossary

Amendment: refers to modifications or changes to the Consultant's contract with the University, usually the result of changes in the program or scope of a project caused by unforeseen conditions or at the request of the University.

Change Order: refers to modifications or changes to the Contractor's contract with the University, usually the result of conditions not anticipated by the contract documents, plans and/or specifications for the work.

Consultant: the entity, usually an architectural or engineering firm, with whom the University contracts and who has primary responsibility for providing services to design and to administer the contract for construction of a construction project. The prime consultant frequently employs the services of one or more sub-consultants in fulfilling its contractual obligation.

Contract administration: refers to the activities of the consultant during the construction phase of the project in which they verify that construction is in compliance with the requirements of the contract between the University and the contractor.

General Contractor: the entity, usually a general contractor but occasionally a trade contractor, with whom the University contracts and who has primary responsibility for completion the construction of a project. This "prime" contractor usually employs the services of various subcontractors (trade contractors) and vendors in fulfilling its contractual obligations.

Feasibility Study: refers to investigation, usually commissioned through an outside consultant, to advise the University of the merits of an anticipated construction project, and to evaluate and comment on matters such as need, probable cost, preliminary program issues, and so forth.

Gross square feet: the total area of the project, generally measured from the outside of exterior walls for all floors of the project, including mechanical spaces.

H.B.C.: refers to the Commonwealth of Kentucky Department of Housing, Buildings and Construction, the state agency having responsibility for review and approval of University construction projects to assure compliance with applicable building codes.

Penthouse: refers generally to the enclosure around roof mounted mechanical spaces in a project. Not considered occupied (or net assignable) space.

Percent complete: as used in the report refers to the expenditure to date divided by the total amount of the construction contract for the work.

Net assignable square feet: the usable area of the project excluding corridors, rest rooms, storage areas, mechanical spaces, etc.

Phase: The various stages of design and construction of a capital project, including:

- **Programming phase:** refers to the initial planning phase of a project, during which the University (with or without participation by a consultant) defines in detail the needs and requirements of a project. This program becomes the basis for consultant selection, fee negotiation, and design of the project.
- **Schematic design (S/D or Phase 1):** refers to the first formal phase of design by the consultant, in which a general design solution to project programmatic requirements is developed.
- **Design development (D/D or Phase 2):** refers to the second formal phase of design by the consultant, during which the schematic design is expanded to identify solutions to design issues in broad terms, sufficient to insure the stated programmatic needs can be met.
- **Construction document phase (C/D or Phase 3):** refers to the final phase of the design process in which the details and specific project requirements are identified and incorporated in a final set of biddable construction documents.
- **Bidding phase:** refers to the stage of a project during which proposals for construction are solicited, culminating in the award of one or more contracts for construction.
- **Construction phase (or Phase 5):** refers to the actual construction of the project by contractors.

Scope: The total estimated value of a capital project on completion, including all design, construction and administrative costs as well as the cost of capitalized furnishings and equipment.

Substantial Completion: refers to the time during construction, certified by the consultant, when the work is sufficiently complete for the University to occupy the facility for its intended use without significant interruption. Upon certification of substantial completion, the University assumes operational and maintenance responsibility and insurance liability for the project and the warranty period begins for most elements of the construction. Some work generally remains, including correction of minor punchlist items, before the work is certified finally complete.

Trade Contractor: Sub-contractors, or individual bid package contractors, who practice a specific, trade (electrical, painting, structural steel, for example)

Major Projects
Capital Project Management Division
July 31, 2007

Construct Biological Pharmaceutical Complex Building

Project Description:

Phase I of the Biological Sciences/Pharmaceutical Complex, was authorized by the 2005 General Assembly and funded in 2006 at \$40,000,000. Phase II was funded at \$92,792,000 and together these phases will complete the 279,000 gross square foot facility that includes some "shell space" to allow for the growing research needs. This "shell space" will be fitted out for research laboratories at a later date as university funds and/or grant dollars become available. This new building will provide the college with a state-of-the-art facility that will also allow the college to expand enrollment to address the shortage of pharmacists in Kentucky. The College of Pharmacy will relocate to this new facility and vacate their existing space. In addition to the current Pharmacy Building, college faculty members are housed in 10 buildings on and off campus. Consolidation of the research and teaching expertise of the eighth ranked College of Pharmacy in the U.S. will further strengthen the instruction of students and research collaboration among faculty. The vacated Pharmacy Building will be reassigned to the Department of Biology to provide needed expansion space for classrooms, research, and faculty to meet the needs of the growing student enrollment in UK's largest department. The project is expected to be complete by October 2009.

Project Status:

The Construction Manager continued site activities of Bid Packages #1 and #1A including surveying, utility relocations, and excavation. Construction Bid Package #3 was awarded for Structural Steel. Bids for Bid Package #2, Concrete Foundations were received and in budget. The last phase of design, Contract Documents, will continue through October 2007. Additional Bid Packages BP#4 through BP#6 will be advertised during this same period.

Construct Law School Building

Project Description:

The new College of Law building will provide additional and reconfigured classrooms, teaching technology, and study spaces to support modern teaching techniques, collaborative learning, distance education, and a comprehensive and innovative law school curriculum. Also to these ends, the building will alleviate the College's critical current and future needs for a single integrated facility housing the College's faculty, library, legal clinic, student activities, outreach programs, and administration. The building consists of approximately 200,000 GSF located on Scott Street. Construction financing for the building will be sought from the General Assembly in the 2010 session.

Project Status:

Robert A.M. Stern Architects of New York City were selected to provide programming and conceptual design services. The design team, along with owner representatives, visited peer sites to learn lessons from other completed projects. An interim design charrette was conducted on July 19th. A subsequent conceptual design presentation is scheduled for August 2nd. The final presentation documents are scheduled to be submitted in late August 2007.

Construct Patient Care Facility

Project Description:

The Hospital's present patient bed tower is approximately 40 years old. Although the space served patients well, the infrastructure is aging, and the facility can not accommodate present anticipated technology. This project will provide the site location evaluation, building programming, planning, and design services for a new bed tower. The project design team is lead by GBBN with major sub consultants including AM Kinney, Ellerbe-Becket, Staggs and Fisher, Affiliated Engineers, THP Limited as well as a number of specialty consultants. This project will construct a new hospital addition to include patient beds, patient diagnostic and treatment areas, support areas, support facilities, medical equipment and infrastructure. this project also includes the replacement of the hospital parking garage and a connecting bridge to clear the site for the new hospital addition as well as land acquisition and utility relocation costs.

PCF – Parking Garage (GMP # 2):

Project Description:

This package will construct a seven level parking structure that will have an approximate 1,600-car capacity. The new garage will be located on the west side of Limestone Street, between Conn. Terrace and Transcript Avenue. This structure will replace the existing Medical Center parking garage that must be demolished in order to tie the new Patient Care Facility to the existing Medical Center. A future pedestrian bridge will connect the new structure to the Patient Care Facility and the design has allowed for the future addition of approximately 15,000 square feet of retail space fronting Limestone. The garage is currently scheduled to open to temporary occupancy in late Fall with full occupancy by March 2008.

Project Status:

The first thirty-seven (of 42) elevated slab pours have been made and major foundation and below grade concrete has been placed. Forming and pouring of remaining elevated slabs will progress as curing times allow the relocation of forms and mechanical rough in. During the curing times, the next level columns will be formed and poured in anticipation of deck forming. Construction of the masonry wall partitions is complete on the lower and ground levels and will continue to follow two floors below concrete placement. This process will repeat for several months with an anticipated one pour per week. Exterior masonry began in April, and site work and site concrete began in June. The first three levels will be occupied in November 2007 as the remainder of the structure is completed. In August, work will begin on the installation of the new traffic signals at the Transcript and Conn. Terrace intersections of Limestone. These will allow traffic to flow into and out of the structure when it is occupied in November.

BP 3.2 CUP Expansion:

Project Description:

The project includes an 18,000 square foot addition to the existing CUP on Press Avenue. The expansion will include provisions for two new 125,000 lb/hr boilers and additional chillers. The structure will include an enlarged cold well and basement in the cooling section. The boilers and supporting equipment will be installed under this project.

Project Status:

Messer Construction was awarded a lump sum contract for this work in early May. The construction of the addition to the CUP is well underway. Excavation of the cold well and installation of piping were completed during the month of July. The continued processing of submittals and foundation work will be the major activities during the month of August. The project is scheduled to complete on November 15, 2008.

PCF – Infrastructure (BP #3B):

Project Description:

This project is the utility enabling work for the Patient Care Facility. This package includes sanitary sewer, electrical duct banks, storm culverts and tunnels outside the footprint of the new structure.

Project Status:

Work continues on temporary and permanent duct banks for electrical and communication utilities. The first section of utility tunnel has been poured and approximately half of the tunnel has been excavated. Utilities are being relocated as they are encountered. In August, cable, phone, communications, and electrical services will be rerouted in order to intercept and remove portions of existing under ground pathways and tie in new duct banks.

PCF – Building (BP #'s 4, 5 & 6):

Project Description:

This project includes:

- (BP #4) The demolition of the existing Parking Structure #4. The work will involve the start of all deep foundations up to the grade of the excavation.
- (BP #5) The construction of the new 1,022,000 gross square feet building's structural frame, fireproofing, exterior wall enclosure for all new building spaces, windows, exterior doors and roofs. Also included will be all exterior site improvements, civil design for roadways, drainage systems, landscaping, hardscape surfaces and walks.
- (BP #6) The interior fit-out partitions, interior finishes, doors and frames, ceilings, mechanical systems, electrical systems, technology systems, medical equipment and fire protection for approximately 490,000

occupiable square feet; and 532,000 square feet of shell space. The work also will include drawings and specifications for signage, interior furnishings and lighting.

Project Status:

- Mass Excavation and Foundations (BP# 4A & 4):

The Mass Excavation and Foundations Package, which includes the demolition of the existing parking garage, were released for bidding in mid-July. A Pre Bid meeting was held on July 25, 2007. The bid opening is scheduled for August 28th with final contractor questions due August 21st.

- Core and Shell (BP # 5):

Fifty percent construction documents for the Core and Shell of the PCF were released on July 20, 2007 and the 50% CD estimate is scheduled during August. Users were given plans for intermediate review during the first two weeks of August, and written comments are due the third week August. The bidding of the work is currently scheduled for May 2008, and the award of the various packages will occur during May and June of 2008.

- Fit Up (BP # 6):

During July, the project team continued to evaluate the value engineering options for BP 6. The documents are now moving into the CD phase. The decision to break the final CDs into several packages for maximum bidding flexibility was made. Decisions as to what elements of the PCF will be included in Phase 1A will be considered in detail during August. Final decisions as to what elements will be bid as part of BP 6 in 1A remain under consideration by the project team with a final decision to be made nearer the bidding date. Fifty percent Construction Documents are to be published in October 2007.

Construct Student Health Facility

Project Description:

University Health Services will be an outpatient clinic to house University Health Services for students with support spaces and some administrative offices. This project will create additional space by constructing a new building of 72,714 gross square feet. The site will be in the courtyard framed by the Wethington Building, Warren Wright Medical Plaza and the Sanders Brown Center on Aging.

Project Status:

Construction continues to make steady progress. Structural steel erection is completed, with miscellaneous steel work in progress. Interior block masonry work is progressing at the stairwells. Concrete slabs have been poured at all floors. HVAC ductwork is proceeding in the basement and 1st floor. Metal stud layout work has begun on the 2nd and 3rd floors. Curtain wall framing has begun. The sidewalk at the south end of Sanders-Brown has been closed to facilitate utility work in that area. Access between Sanders-Brown and the Kentucky Clinic remains open to pedestrian traffic. Site utility work continues to progress. The project schedule has slipped approximately 21 days as a result of conflicts with the above ceiling infrastructure. Coordination efforts are being finalized to resolve the conflicts. The Construction Manager is exploring ways to regain the lost time.

Expand Emergency Services - Hospital

Project Description:

This renovation project consists of approximately 8,500 sq. ft. of ground floor space in the Critical Care Center. Materials Management and Purchasing offices will be relocated to expand patient care services in the Emergency Department. The renovation will provide additional Emergency Department acute care bays, nursing and support spaces, and the replacement of the 2 existing air handler units in the mechanical room.

Project Status:

The certificates of occupancy have been received for all patient care areas. Punch list items in the mechanical room are currently being completed. Training for the new air-handling units was completed on July 24th.

Expand & Upgrade Livestock Disease Diagnostic Lab

Project Description:

New space is needed for more than one veterinary pathologist to perform animal postmortem examinations in addition to renovation of current necropsy space. New space is also needed to add molecular biology/special procedures capabilities to the laboratory. New technology in the form of an alkaline hydrolysis digester is needed to replace an aging incinerator. The LDDC is an office and laboratory

building with net assignable space of 3,860 square feet for offices and 28,100 square feet of laboratories and support space. It is proposed to add 6,300 and 1,200 square feet (net) of new laboratory and office space, respectively. An existing necropsy laboratory and support space will be renovated (2,000 square feet net). An aging incinerator is the present means of carcass disposal. An alkaline hydrolysis digester will be installed for carcass disposal after renovating 2,000 square feet (net) of space to contain the digester.

Project Status:

No change in status from previous month. The initial phase of the project was approved and funded by General Assembly in the amount of \$8,500,000. The remainder funding (Phase II) of \$13,500,000 was vetoed. Restoration of funding is a top priority in the General Assembly of 2008.

4th Floor Fit-up BBSRB

Project Description:

This project will fit-up approximately 32,750 square feet in the currently "shelled space" on the fourth floor of the BBSRB Building. The fit-up will include wet bench laboratory space, support space, and dry computational labs. The University has received a federal grant award of \$3,685,000 from the National Center for Research Resources Extramural Research Facilities Improvement Program. The space will primarily be utilized by Pharmacology. The final construction cost estimate is \$7,618,000, and the project scope has been revised to \$9,663,925.

Project Status:

The contractor is nearing completion of contract work. Substantial completion would have been achieved at the end of June 2007 but has been extended as a result of additional changes to support specific research. This change order has been processed to customize the fit-up of generic space to accommodate specific requirements of occupants scheduled to move to this floor.

Fit-Up Gill Building Ground Floor - Hospital

Project Description:

Champlin-Haupt/ Kohrs Lonnemann Heil are the consultant's designing to a \$1,550,000 construction budget. This Project encompasses renovations to 5,000 square feet of existing Ground Floor Shell Space within the Gill Heart Institute to accommodate the creation of a new Cardiology Center, including Cardiology Diagnostics and Clinical Research Programs. The scope of work shall include, but not be limited to the following: Cardiology Diagnostic Suite that shall consist of: Waiting room, Interview, Reception, Nurse Station, Prep/Recovery, Patient Toilet/Dress, Soiled Workroom, MRI/CT Control, CT Exam, MRI Exam (1.5T), MRI Equipment (1.5T), Storage, and Cardiology Reading. The Clinical Research Suite shall consist of: Clinical Research Offices, MRI Control, MRI Exam (3.0T), MRI Equipment (3.0T), Clinical Research Workroom, and Staff Toilet

Project Status:

The University opened bids on June 22, 2007. All bids came in higher than the budgeted amount and consultant estimates. The University and Consultants met with the three lowest bidders to generate a list of value engineering ideas that would not jeopardize the program. The University agreed on the items that would be accepted in the post-bid addendum, which was transmitted on Monday, July 23rd. Revised base bids will be delivered in August.

Lease Purchase Hospital Dining Facilities and Equipment (Cafeteria Renovation):

Project Description:

This project consists of renovations to existing University Hospital dining facilities (cafeteria and cafe). The project is located on the first floor of the hospital. The renovation will meet the requirements of the private vendor who will manage the dining facilities. Facility is in need of updating for aesthetics, patron flow, utility upgrade and new equipment. The project will include new finishes and serving equipment

Project Status:

Framing, mechanical and electrical rough-ins were completed during the month of July. Painting and other finishes began in late July and will continue the first two weeks of August. The installation of food service equipment is scheduled for the weeks of August 6th and 13th. The project is on schedule and will be completed the first week of September 2007.

Memorial Coliseum Expansion

Project Description:

The basketball practice facility consists of the addition of men's and women's basketball offices, practice facility, weight training, medical support, locker/shower, facilities ticket office, administrative offices, and minor renovation of existing locker rooms. The estimated total cost of the facility is \$30 million, consisting of the \$2.5 million for design plus \$27.5 million for construction. This project involves the design of a 92,300 square foot Basketball Practice Facility to enhance the University's ability to attract top student athletes. The new facility will alleviate scheduling problems at Memorial Coliseum and will provide amenities in line with other NCAA basketball facilities in the country. The practice facility will be connected to Memorial Coliseum, which is located near the intersection of Lexington Avenue and the Avenue of Champions, and will renovate 7,700 square feet to support volleyball, gymnastics, offices and ticketing. Sherman-Carter-Barnhart, Inc. is the prime architect for the project. They are working in conjunction with HNTB as the design architect, Staggs and Fisher as the M/E/P engineers, and the Structural Design Group as the structural engineer. Fuller, Mossbarger, Scott and May perform geotechnical and survey work for the project.

Project Status:

The renovated space has been accepted as substantially complete and the users are moving into the spaces. The contractor is completing punchlist work and warranty work.

Renovate 3rd Floor Lucille Little Library

Project Description:

This project addresses life safety and ADA concerns in the Little Library in addition to providing permanent instructional and research space for Kentucky's only accredited Library and Information Science program which places graduates in industry, research, non-profit, and government organization. This project includes final renovations to provide new classrooms, student facilities, faculty offices, and a student technology center for the School of Library and Information Sciences. Approximately, 20,380 gross square feet is being renovated in all phases.

Project Status:

Walls are complete on the third floor and on the lower level. Mechanical systems are ongoing. Hangers for the sprinkler piping are being installed and sprinkler piping is being cut and threaded to begin installation as soon as sprinkler plan approval is issued.

Renovate Central Vivarium

Project Description:

The project will involve the purchase of a new Primate Cage Wash unit to be installed in a renovated cage wash area within the existing DLAR facility.

Project Status:

Design documents were approximately 50% complete at the end of July. The new autoclave has been selected, and purchasing is in the process of taking quotes. Bid documents for the construction work will be complete by early September.

Renovate - Expand Boone Center

Project Description:

The Boone Faculty Center was built in 1986 and has only received minor maintenance repairs in the interim. This project will renovate the original 19,561 square feet of the Boone Faculty Center on the Lexington Campus and construct an addition of approximately 3,300 square feet. The center as constructed is able to host small to medium size meetings, functions, luncheons and dinners, but due to space constraints it is unable to accommodate the numerous larger scale conferences and symposia that university departments frequently host. These departments then contract with local hotels and the convention center. Since the center is to operate and be maintained on a self supporting basis the inability to reasonably host the 300 to 400 attendee events causes a loss of potential campus dollars to off campus sites, that if able to be captured could help defray the annual operating expenses of the center. The project is expected to be completed by February 2008.

Project Status:

Bids for kitchen equipment and kitchen hood systems were opened and awarded. Structural steel framing for the building addition at the courtyard is complete. Rough-in of electrical conduit for power and data

systems as well as underground plumbing is in progress. Drywall is being installed as other work allows. Excavation for the patio grill areas and associated piers and footings is in progress.

Replace Steam and Condensate Pipe

Project Description:

This project will replace central steam and condensate piping systems. The Central Utilities Systems of the University of Kentucky have proven to be very economical to maintain and operate. It reduces the construction cost of new building by eliminating redundancy in buildings and reduces the operations cost of new and existing buildings by providing reliable and low cost energy alternatives at central locations. The Central Steam and Condensate system on the University of Kentucky Campus is an extensive layout of underground piping, tunnels, and steam pits. A large portion of this system has deteriorated through corrosion, and much of it is beyond design life expectancy. Condensate returns and steam lines need to be improved. Most of the direct bury steam lines consist of Class A conduit systems, which have deteriorated and corroded to the point that increased loads on the central heating system have been experienced. Repairing these steam and condensate lines will improve the ability of the campus heating system to deliver steam to all campus buildings.

Project Status:

Excavation and removal of the existing piping continued through July. Steam pipe installation began in late July and will continue through completion. Steam pit #3 at the southeast of the Gatton College was completed as well as the demolition of the steam pit at the southwest of Gatton. Restoration of landscaping and completion of project is scheduled for November 2007.

Student Housing - Supporting Utility Plant Upgrades (Boiler/Chilled Water)

Project Description:

This project includes expanding the Virginia Ave. CUP to accommodate future expansion in steam and chilled water capacity. The project was established in support of the Student Housing Project.

Project Status:

The funds from this project are scheduled to be expended for the purchase the 125,000 lb/hr boiler with emissions controls for installation in the expanded CUP. The purchase order for the boiler has been issued and the production of the boiler is underway and delivery of the unit is scheduled for mid-November 2007.

Renovate Cancer Center Radiologic Facility

Project Description:

The University of Kentucky Hospital needs to significantly upgrade and improve the current clinical space in the Lower Level of University Hospital. This will include therapy rooms, clinic exam areas, infusion space, office, education, and support space for the clinical practice. Given that the clinic will need to continue operations during the project, it is anticipated that areas will be taken down, or phased, during the construction. Surge space to allow the phasing has been identified. The addition will be located along the west side of the Markey Cancer Center/Ben F. Roach Cancer Care Facility, while the renovation will occur in existing research space on the on the Lower Level of the same building. Development of Radiation Medicine clinical areas is essential to growth of cancer programs supportive of the strategic plans for UK HealthCare. Current facilities are split between the Lower Level of the hospital and the Roach Building. Several initial facility studies have been completed that identified expansion and renovation of the areas of the Lower Level of the Roach Building to respond to immediate needs and is consistent with the Ambulatory Master Plan

Project Status:

A mid-Phase 1/Phase 2 combined review meeting was held in July, and the Phase One/Phase Two combined documents were delivered in late July. The phase review will be held in early August. The project is progressing on schedule.

Upgrade Surgical Services

Project Description:

Stengel-Hill/CMTA are the consultant's designing to a \$3,369,450 construction budget. This project will renovate existing space to develop a Same Day Surgery Intake Unit; will relocate surgical offices adjacent to the operating rooms in the Critical Care Center to expand the Post Anesthesia Care Unit; will develop a Pre-op, PACU, and waiting space in the main hospital building dedicated to pediatric patients; and will

renovate the 1st floor surgical waiting area. The current layout and size of unit causes numerous inefficiencies in the department. The amount of PACU beds is too few based on industry standards. This renovation will allow for improved operational efficiencies of the operating rooms and will provide for an improved patient experience with the development of the same day surgery intake unit. This space is connected to the Hospital's central chilled water and steam systems.

Project Status:

Work in Phase III, PACU Annex, began on Thursday, June 21 and has 60-day duration for a scheduled completion date of Aug 19th. The studs, drywall, conduit, plumbing and HVAC rough-ins are 100%; ceiling grid installation, dry-wall finishing, light installation and pulling of the electrical and communications wiring began July 23, 2007, and flooring installation began on July 30th.

ARS - Agriculture Project

Project Description:

The Forage Animal Production Research Laboratory will serve the Forage Animal Production Research Unit for the USDA - ARS on the campus of the University of Kentucky. The mission of the FAPRU is to improve productivity, profitability, competitiveness and environmental sustainability of forage based enterprises within the transition zone of the Eastern and Midwestern United States. Multidisciplinary teams to work to identify, evaluate, and manipulate genetic and physiological factors, using for the enhancement of food animal and equine health and performance in forage based enterprises as well as to improve forage plant persistence, quality, and production. Three to four story building with approximately 65,000 gross square feet for research labs, equipment and support rooms, offices and conferences rooms. The program also includes approximately 12,000 gross square feet for greenhouses and head house.

Project Status:

No change this past month. Project implementation is contingent on Federal appropriations.

Construct Gatton Building Project

Project Description:

The proposed Gatton College Complex will include a state of the art Classroom component which will enable the Gatton College to provide the type of "world ready" business education demanded by today's students and business leaders. The Classrooms will include tiered and flat smart classrooms furnished with computer/video and projection systems as well as smaller break-out rooms that will permit high impact peer-to-peer learning. This complex also will house the business research and study library as well as the Undergraduate and Graduate Advising Centers. The complex will contain signature spaces including a large auditorium, trading floor, innovative laboratories to support action learning, creative problem-solving and leadership development. The building also will house the Von Allmen Center for Entrepreneurship and E-Commerce Laboratory. The Faculty/Administration component will consist of office space for faculty, staff, and graduate assistants. The Outreach component will host nationally competitive professional and life-long learning experiences, and house the College's economic development related service centers including the Center for Business and Economic Research, Kentucky Small Business Development Center and the Center for a Sustainable Aluminum Industry. The program is currently projected at approximately 214,000 GSF of new space. The proposed site is located off Martin Luther King Blvd. and Euclid Avenue, moving UK's Business and Economics efforts closer to downtown Lexington and the business community.

Project Status:

Kohn, Pederson and Fox of New York were selected to provide programming and conceptual design services to be completed in December 2007. If funding and appropriate authorizations are obtained, a solicitation will be issued in July 2008 for submittals for Prime architectural firms to take the project through the traditional design phases. It is anticipated that Kohn, Pederson and Fox will be added to the Prime Firm's overall design team. Construction is contingent on project funding from the 2008 General Assembly.

Expand Chemistry Physics Building

Project Description:

To accommodate expanding enrollment, an additional organic chemistry teaching lab must be provided for fall 2008. This additional lab will be created via a major renovation of six adjoining rooms in the Chemistry Physics Building totaling approximately 2,300 net square feet. The dividing walls will be

removed to create one large open room, and all finishes will be replaced. New bench casework will be installed with 20 instructional fume hoods spaced along the benches; five additional hoods will be located on a side wall. Each student workstation will be provided with water, cup sink, certain lab gases, electrical power, and some storage space. Wall cabinets, safety stations, and high quality lighting will be installed. The building's ventilation capacity will be upgraded by installing a new AHU to accommodate this hood-intensive room, as well as additional future lab work planned.

Project Status:

The University is finalizing fee negotiations with BHDP Architects.

Fit-up Education Space in Health Science Bldg

Project Description:

This project will fit-up approximately 4,000 net square feet of shelled education space in the basement of the Health Science Building. The building, constructed in 2002, is approximately 210,000 gross square feet, and is in good condition. The building consists of classrooms, class labs, student spaces, patient clinic, research labs, faculty offices, administrative offices, and support space. The fit-up space will include the latest in technology for an auditorium/classroom. The room will seat approximately 165 students. The space was originally designed and shelled for this use.

Project Status:

Lucas/Schwering Architects were selected to provide architectural design services for the fit-up of the classroom in the basement of the Health Science Building. We are currently in fee negotiations with the design firm. The project is scheduled to be completed in August 2008.

Renovate Hospital Nursing Units - Hospital (NICU)

Project Description:

The project is for renovation of the existing nursing units in the University Hospital to upgrade the facilities to provide better care with newer space and technology. The existing nursing units are outdated and need upgrading. The project provides for the renovation of the Third floor CCC Nursery area. The renovated space will provide for the relocation of the Newborn Nursery and for the installation of eight level II NICU beds and eight level III NICU beds. The Project will involve the relocation of walls, Med gas headwalls, utilities, etc. and systems to make these functions operational.

Project Status:

A meeting was held on July 20th to review the 50% construction documents. The construction documents will be complete near the middle of August 2007. This project was initially established as a Physical Plant Division project and was transferred to the Capital Project Management Division in early July 2007 due to the need for a larger scope.

Renovate King Library South

Project Description:

This project is for the renovation of the 2nd and 3rd floors of the M. I. King Library, 1962 addition, to accommodate the relocation of the Chemistry Library, Physics Library and a computer lab, all currently housed in the Chemistry-Physics Building, as well as the Math Library, currently housed in the lower level of the Patterson Office Tower. The majority of the renovation will occur on the 3rd floor of the M. I. King Library, with a smaller area on the 2nd floor and minor work on the 4th floor. An existing elevator, located inside the south entrance vestibule, is to be replaced with new components within the existing elevator shaft. All staff areas are to include hard wired computer outlets and wireless capability throughout.

Project Status:

The request for consultant services was posted to the CPMD website in late July. Consultant submittals should be received by mid-August, with the shortlist selection and consultant interviews/selection occurring by the end of August.

Renovate Vivarium in Central DLAR Facility

Project Description:

This project will renovate the cage washing area, install a robotic cage washing system, and upgrade spaces to animal procedure rooms in the vivarium in the Combs Building. The Combs Cancer Research building is approximately 75,800 gross square feet. The building was constructed in 1987 and is in good condition.

The facility consists of research labs, offices, lab support areas, animal care areas, and animal care support space.

Project Status:

Investigative work to determine the cause of the exhaust air deficiency affecting EF-6 has been completed. The consultant and DLAR will be meeting to determine the appropriate course of action. This issue is preventing the certification and use of a biological safety cabinet located in Room MA55 that was installed as part of this project. All other project issues are completed.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct Biological Pharmaceutical Complex Building

Project Number: 2235.00

Scope: \$132,792,000

Project Description:

Phase I of the Biological Sciences/Pharmaceutical Complex, was authorized by the 2005 General Assembly and funded in 2006 at \$40,000,000. Phase II was funded at \$92,792,000 and together these phases will complete the 279,000 gross square foot facility that includes some "shell space" to allow for the growing research needs. This "shell space" will be fitted out for research laboratories at a later date as university funds and/or grant dollars become available. This new building will provide the college with a state-of-the-art facility that will also allow the college to expand enrollment to address the shortage of pharmacists in Kentucky. The College of Pharmacy will relocate to this new facility and vacate their existing space. In addition to the current Pharmacy Building, college faculty members are housed in 10 buildings on and off campus. Consolidation of the research and teaching expertise of the eighth ranked College of Pharmacy in the U.S. will further strengthen the instruction of students and research collaboration among faculty. The vacated Pharmacy Building will be reassigned to the Department of Biology to provide needed expansion space for classrooms, research, and faculty to meet the needs of the growing student enrollment in UK's largest department. The project is expected to be complete by October 2009.

Consultant: EOP Architects

Contract # A061150/A071060

Total Amendments to Date: 1

Original Contract Amount: \$10,585,020

Cumulative Amendment Amount: \$220,700

Revised Contract Amount: \$10,805,720

Describe all amendments :

Amendment #1, 5/8/07, an increase of \$220,700, was approved for additional design services to provide an additional research floor as well as a new utility tunnel. This amendment also provides for wind tunnel testing as well as a specialized lighting consultant.

Contractor: Messer Construction Co. (Construction Manager At-Risk) Note: This is a 'CM-At-Risk' contract.
The amount will be increased as subcontracts are bid and added. *Messer's contract was awarded by RFP process.
Contract % complete was calculated using the estimated \$107 Million Construction Budget.

Contract # 4500007696

Original Contract Amount: \$10,574,805

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount: \$10,574,805

High Bid:

Contract Percent Complete: 1.28%

Number of Bids:

Describe all change orders greater than \$25,000.00:

No change orders greater than \$25,000 this quarter.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct Horticultural Research and Education Facility

Project Number: 2238.10

Project Description:

Scope: \$860,000

Expanded plant science technology will be a major contribution to economic expansion in the Commonwealth. The Horticultural Research and Education Center at South Farm is the key component in the Statewide plan to develop research/extension infrastructure in support of new and existing horticultural industries. The programs through this facility will explore, develop, evaluate, demonstrate, and communicate horticultural crop opportunities through innovative research and educational programs that enhance diversification, profitability, and sustainability of Kentucky farms and landscapes. It will become UK's most visible commitment to enhancing the viability of nontraditional enterprises and family farms. The scope of this project is not yet clearly defined. It will follow and supplement the intent of Project #2154.0 - South Farm Improvements. These projects will serve to develop a horticulture research facility on the South Farm. Included in the scope are greenhouse and headhouse facilities, research laboratories, storage building for equipment and pesticides, environmental rooms, etc.

Consultant: UK College of Ag In-House Design

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

Contractor: Nexus Corporation

Contract # 4500007159

Original Contract Amount:

\$294,318

Total Change Orders to Date: 1

Cumulative Change Order Amount:

\$811

Low Bid: \$294,318

Revised Contract Amount:

\$295,129

High Bid: \$389,889

Contract Percent Complete:

100%

Number of Bids: 3

Describe all change orders greater than \$25,000.00:

No change orders greater than \$25,000 this quarter.

Construct Law School Building - Design Only

Project Number: 2264.00

Project Description:

Scope: \$500,000

The new College of Law building will provide additional and reconfigured classrooms, teaching technology, and study spaces to support modern teaching techniques, collaborative learning, distance education, and a comprehensive and innovative law school curriculum. Also to these ends, the building will alleviate the College's critical current and future needs for a single integrated facility housing the College's faculty, library, legal clinic, student activities, outreach programs, and administration. The building consists of approximately 200,000 GSF located on Scott Street. Construction financing for the building will be sought from the General Assembly in the 2010 session.

Consultant: Robert A.M. Stern Architects

Contract # A071140

Original Contract Amount:

\$500,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

\$500,000

No amendments this quarter.

Contractor: No construction contract awarded to date.

Contract #

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

Describe all change orders greater than \$25,000.00:

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct Patient Care Facility

Project Number: 2239.0

Scope: \$450,000,000

Project Description:

This project will construct a new hospital addition to include patient beds, patient diagnostic and treatment areas, support areas, support facilities, medical equipment and infrastructure. The project also includes the replacement of the hospital parking garage and a connecting bridge as well as land acquisition and utility costs.

Consultant: GBBN, Inc.

Contract #	A061080	Original Contract Amount:	\$30,400,226
Total Amendments to Date:		Cumulative Amendment Amount:	\$5,148,931
Describe all Amendments:		Revised Contract Amount:	\$35,549,157

Amendment # 1, 9/12/06, was approved for \$299,044 for additional design services required to design two additional floors for the parking garage. This amendment also provides for additional survey services associated with the rerouting of the ductbank; the addition of 12 receptor sources to be studied as part of the existing wind study; and the need for additional storm water modeling to review the impact on the new Patient Care Facility during heavy rain storm events. **Amendment # 2**, 2/13/07, was approved for additional design services associated with increased scope including but not limited to increased renovation of areas in the existing hospital (all phases); development of early bid packages for infrastructure and site utility packages and temporary emergency department access; development of an additional bed wing (all phases); development of partial cafeteria (all phases); design of fitup for two additional floors (shell only - all phases); design of a redundant communications feed (all phases); additional design services associated with security systems; development of design of Phase 1B air handlers (thru DD's) and

additional design of costs associated with relocation and installation of above ground and underground fuel tanks (all phases). Also included is additional reimbursable services for added geotechnical rock investigation; additional site survey and added construction testing. **No amendments this quarter.**

Contractor: Turner Construction Co.

Note: This is a 'CM-At-Risk' contract. The amount will be increased as sub-contracts are bid and added. *Turner's contract was awarded by RFP process. Contract % was complete was calculated using the estimated \$300 Million Construction Budget

Contract #	4500007616	Original Contract Amount:	\$49,928,145
Total Change Orders to Date:	2	Cumulative Change Order Amount:	\$210,455
Low Bid:		Revised Contract Amount:	\$50,138,600
High Bid:		Contract % complete:	2.39%
Number of Bids:			

Describe all change orders greater than \$25,000.00:

Change Order #1, 6/4/07, was approved for an increase of \$91,344 to facilitate the procurement strategy and meet the project timeline. A portion of select infrastructure was transferred from Bid Pack 4A to the earlier Bid Pack 3B. **Change Order #2**, 5/31/07, was approved for an increase of \$65,296 to relocate the existing direct buried steam lines and pressurized drain found to be in conflict with the new tunnel. Since the lines must be moved they will be relocated into the new tunnel to make the lines accessible for maintenance.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

PCF - Hospital - GMP # 2 - Parking Garage

Project Number: 2239.20

Project Description:

Scope: \$32,766,968

GMP#2. This is a portion of the larger Patient Care Facility Project (2239.0). This package will construct a seven level parking structure that will have an approximate 1,600 car capacity. The new garage will be located on the west side of Limestone Street, between Conn Terrace and Transcript Avenue. This structure will replace the existing Med Center parking garage that must be demolished in order to tie the new Patient Care Facility to the existing Medical Center. A future pedestrian bridge will connect the new structure to the Patient Care Facility and the design has allowed for the future addition of approximately 15,000 square feet of retail space fronting Limestone.

Consultant: GBBN, Inc.

See project 2239.0

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

Contractor: Gilbane Building Company (GMP #2)

Contract # 4500001350

Original Contract Amount:

\$32,766,968

Total Change Orders to Date: 3 (time ext. only)

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

\$32,766,968

High Bid:

Contract Percent Complete:

51%

Number of Bids:

Describe all change orders greater than \$25,000.00:

No change orders greater than \$25,000 this quarter.

PCF - Hospital - Cooling Plant # 1 Modifications

Project Number: 2239.31

Project Description:

Scope: \$12,850,000

This is a portion of the larger Patient Care Facility Project (2239.0). This package will provide the University the ability to meet the utility requirements of the new Patient Care Facility. The Central Utility Plant on Press Avenue will be expanded with a new boiler; Chillier Plant No. 1 on University Drive will be renovated with new chillers; new emergency generators will be added to Chillier Plant No. 3 to serve the Patient Care Facility; critical steam and chilled water lines will be replaced and upsized in order to provide the capacity that will be required to service Phase 1A of the Patient Bed Tower.

Consultant: GBBN, Inc.

See project 2239.0

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

Contractor: Messer Construction Co.

Contract # 4500005952

Original Contract Amount:

\$4,252,000

Total Change Orders to Date: 13

Cumulative Change Order Amount:

\$156,658

Low Bid: \$4,252,000

Revised Contract Amount:

\$4,408,658

High Bid: \$4,464,000

Contract Percent Complete:

99%

Number of Bids: 3

Describe all change orders greater than \$25,000.00:

Change Order # 1, 1/8/07, was approved for an increase of \$25,295 to provide for the delivery of 4 chillers from storage to the jobsite. **Change Order # 7, 5/8/07,** was approved for an increase of \$31,273 to clean existing condenser water piping due to excess interior buildup. This will prevent clogged strainers and equipment upon start up.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

PCF- Hospital - CUP Expansion

Project Number: 2239.32

Scope: \$13,150,000

Project Description:

This is a portion of the larger Patient Care Facility Project (2239.0). The project includes an 18,000 square foot addition to the existing Central Utilities Plant on Press Avenue. The expansion will include provisions for two new 125,000 lb/hr boilers and additional chillers. The structure will include an enlarged cold well and basement in the cooling section. The boilers and supporting equipment will be installed under this project. Chiller purchases are not contemplated at this time.

Consultant: GBBN Inc.

See project 2239.0

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

Contractor: Messer Construction Co.

Contract # 4500008954

Original Contract Amount:

\$9,474,000

Total Change Orders to Date: 1

Cumulative Change Order Amount:

\$7,460

Low Bid: \$9,474,000

Revised Contract Amount:

\$9,481,460

High Bid: \$10,400,000

Contract Percent Complete:

6%

Number of Bids: 2

Describe all change orders greater than \$25,000.00:

No change orders greater than \$25,000 this quarter.

Construct Student Health Facility

Project Number: 2228.00

Scope: \$24,000,000

Project Description:

University Health Services will be an outpatient clinic with support spaces and some administrative offices. This project will create additional space by constructing a new building of 72,714 gross square feet. The site will be in the courtyard framed by the Wethington Building, Warren Wright Medical Plaza and the Sanders Brown Center on Aging.

Consultant: Omni Architects

Contract # A061070

Original Contract Amount:

\$1,332,600

Total Amendments to Date: 1

Cumulative Amendment Amount:

\$77,203

Describe all amendments :

Revised Contract Amount:

\$1,409,803

Amendment #1, 5/11/2006, an increase of \$77,203.00, was approved for additional programming and design services required for revisions to the BSA study, for adding a high pressure steam line through the Student Health Facility connecting inside the existing AAH Tunnel and to provide more thorough survey and geotechnical reports than originally anticipated. **Amendment #2, 5/8/2007**, an increase of \$10,000, was approved to provide an allowance for reimbursable services related to scanning and uploading submittal documents for construction document archival.

Contractor: Turner Construction Company (Construction Manager-At-Risk)

Note: This is a 'CM-At-Risk' contract. The amount will be increased as subcontracts are bid and added.

*Turner's contract was awarded by RFP process.

Contract # 4500004856

Original Contract Amount:

\$19,454,490

Total Change Orders to Date: 9

Cumulative Change Order Amount:

\$97,613

Low Bid:

Revised Contract Amount:

\$19,552,103

High Bid:

Contract Percent Complete:

35%

Number of Bids:

Describe all change orders greater than \$25,000.00:

Change Order # 3, 4/24/07, was approved for an increase of \$49,508 to provide additional drilling as required to hit bearing rock that was deeper than specified.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Expand Emergency Services - Hospital

Project Number: 2236.00

Scope: \$4,316,000

Project Description:

This renovation project consists of renovating approximately 18,400 square feet of ground floor space in the Critical Care Center. Materials Management and Purchasing Offices will be relocated to expand patient care services in the Emergency Department. The renovation will provide a new and separate Pediatrics Emergency area to include an exterior entrance, waiting room triage and support spaces; additional Emergency Department acute care bays, nursing space and support space; provide a new digital radiology room for exclusive use by the Emergency Department.

Consultant: GBBN, Inc.

Contract # A061090

Total Amendments to Date: 2

Original Contract Amount: \$265,000

Cumulative Amendment Amount: \$105,452

Describe all amendments :

Revised Contract Amount: \$370,452

Amendment #1, 11/08/05, was approved for \$87,500.00 for additional design services to design replacement air handlers, exhaust fans and return fans on the ground floor. It has been determined that the condition and capacity of the existing fans are inadequate to serve the renovated space. **Amendment #2**, 7/13/06, was approved for \$17,952.00 for additional design services for redesigning the Greeter/Security desk; revised electrical drawings due to additional patient monitoring equipment; revised finishes schedule due to requested changes by the Pediatric Department and commissioning of new Air Handling Units. **No amendments this quarter.**

Contractor: Eubank & Steele Construction

Contract # 4500003852

Total Change Orders to Date: 48

Low Bid: \$3,594,750

High Bid: \$3,821,000

Number of Bids: 3

Original Contract Amount: \$3,594,750

Cumulative Change Order Amount: -\$279,512

Revised Contract Amount: \$3,315,238

Contract Percent Complete: 99%

Describe all change orders greater than \$25,000.00:

Change Order #50, 6/19/07, was approved for a decrease of \$434,218.87 to delete Phases 3, 4 and 5 from project documents. The scope of work was revised due to the construction schedule of the new Patient Care Facility running parallel.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Expand & Upgrade Livestock Disease Diagnostic Lab

Project Number: 2234.00

Project Description:

Scope: \$8,500,000

New space is needed for more than one veterinary pathologist to perform animal postmortem examinations in addition to renovation of current necropsy space. New space is also needed to add molecular biology/special procedures capabilities to the laboratory. New technology in the form of an alkaline hydrolysis digester is needed to replace an aging incinerator. The Livestock Disease Diagnostic Lab is an office and laboratory building with net assignable space of 3,860 square feet for offices and 28,100 square feet of laboratories and support space. It is proposed to add 6,300 and 1,200 square feet (net) of new laboratory and office space, respectively. An existing necropsy laboratory and support space will be renovated (2,000 square feet net).

Consultant: CMW, Inc.

Contract # A061100

Original Contract Amount: \$648,000

Total Amendments to Date: 1

Cumulative Amendment Amount: \$90,000

Describe all amendments :

Revised Contract Amount: \$738,000

Amendment # 1, 12/12/06, was approved for \$90,000 to provide additional design services to accommodate a phased implementation consistent with the legislative budget action. Includes the additional design to study the new tissue digester effluent impact of the LFUCG Town Branch Wastewater Treatment Plant. **No amendments this quarter.**

Contractor: No construction contract awarded to date.

Contract #

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

Describe all change orders greater than \$25,000.00:

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Fit-Up 4th Floor in BBSRB

Project Number: 2227.00

Project Description:

Scope: \$9,663,925

This project will fit-up approximately 32,750 square feet in the currently "shelled space" on the fourth floor of the BBSRB Building. The fit-up will include wet bench laboratory space, support space, and dry computational labs. The University has received a federal grant award of \$3,685,000 from the National Center for Research Resources Extramural Research Facilities Improvement Program. The space will primarily be utilized by Pharmacology.

Consultant: A.M. Kinney

Contract # A051120

Original Contract Amount: \$415,000

Total Amendments to Date: 3

Cumulative Amendment Amount: \$113,525

Describe all amendments :

Revised Contract Amount: \$528,525

Amendment #1, 04/11/2006, an increase of \$24,000, was approved for additional design services required for development of the Organic Synthesis Laboratory space in the southwest corner of the Fourth Floor Wet Lab area of the BBSRB. **Amendment # 2**, 2/13/07, an increase of \$68,000 was approved to extend construction phase services as well as provide vibration testing services and design services to renovate the 4th floor to accommodate SCoBIRC labs.

Amendment # 3, 6/12/07, an increase of \$21,525 was approved to extend construction administration services due to increased duration of construction.

Contractor: WS Construction

Contract # 4500001420

Original Contract Amount: \$5,342,000

Total Change Orders to Date: 19

Cumulative Change Order Amount: \$312,482

Low Bid: \$5,342,000

Revised Contract Amount: \$5,654,482

High Bid: \$5,657,000

Contract Percent Complete: 97%

Number of Bids: 4

Describe all change orders greater than \$25,000.00:

Change Order # 11, 10/16/06, was approved for \$27,365.10 for the provision of power for lights and receptacles in the penthouse. The power provisions were not defined in the panel schedules, but should be installed as part of the project scope. **Change Order # 12**, 11/29/06, was approved for \$206,837.85 for an addition of an organic synthesis laboratory to provide an isolated lab space and control chemical fumes. **No change orders greater than \$25,000 this quarter.**

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Fit-Up Gill Building Ground Floor - Hospital

Project Number: 2253.00

Scope: \$6,500,000

Project Description:

Champlin-Haupt/ Kohrs Lonnemann Heil are the consultant's designing to a \$1,550,000 construction budget. This Project encompasses renovations to 5,000 square feet of existing Ground Floor Shell Space within the Gill Heart Institute to accommodate the creation of a new Cardiology Center, including Cardiology Diagnostics and Clinical Research Programs. The scope of work shall include, but not be limited to the following: Cardiology Diagnostic Suite that shall consist of: Waiting room, Interview, Reception, Nurse Station, Prep/Recovery, Patient Toilet/Dress, Soiled Workroom, MRI/CT Control, CT Exam, MRI Exam (1.5T), MRI Equipment (1.5T), Storage, and Cardiology Reading. The Clinical Research Suite shall consist of: Clinical Research Offices, MRI Control, MRI Exam (3.0T), MRI Equipment (3.0T), Clinical Research Workroom, and Staff Toilet.

Consultant: Champlin/Haupt

Contract # A071100

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:	\$155,000
Cumulative Amendment Amount:	
Revised Contract Amount:	\$155,000

Contractor: No construction contract awarded to date.

Contract #

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

Describe all change orders greater than \$25,000.00:

Original Contract Amount:	
Cumulative Change Order Amount:	
Revised Contract Amount:	
Contract Percent Complete:	

Lease Purchase Hospital Dining Facilities and Equipment (Cafeteria Renovation)

Project Number: 2262.00

Scope: \$1,100,000

Project Description:

This project consists of renovations to existing University Hospital dining facilities (cafeteria and cafe). The project is located on the first floor of the hospital and will meet the requirements of the private vendor who will manage the dining facilities. Facility is in need of updating for aesthetics, patron flow, utility upgrade and new equipment. The project will include new finishes and serving equipment.

Consultant: L2M

Contract # A071000FF

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:	\$47,500
Cumulative Amendment Amount:	
Revised Contract Amount:	\$47,500

Contractor: Denham Blythe Company

Contract # 4500009493

Total Change Orders to Date: 3

Low Bid: \$513,450

High Bid: \$520,250

Number of Bids: 4

Describe all change orders greater than \$25,000.00:

No change orders greater than \$25,000 this quarter.

Original Contract Amount:	\$513,450
Cumulative Change Order Amount:	\$6,251
Revised Contract Amount:	\$519,701
Contract Percent Complete:	23%

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Memorial Coliseum Expansion

Project Number: 2196.00

Scope: \$30,000,000

Project Description:

This project consists of the addition of men's and women's basketball offices, practice facility, weight training, medical support, locker/shower, facilities ticket office, administrative offices, and minor renovation of existing locker rooms. The estimated total cost of the facility is \$30 million, consisting of the \$2.5 million for design plus \$27.5 million for construction. This project involves the design of a 92,300 square foot Basketball Practice Facility to enhance the University's ability to attract top student athletes. The new facility will alleviate scheduling problems at Memorial Coliseum and will provide amenities in line with other NCAA basketball facilities in the country. The practice facility will be connected to Memorial Coliseum, which is located near the intersection of Lexington Avenue and the Avenue of Champions, and will renovate 7,700 square feet to support volleyball, gymnastics, offices and ticketing.

Consultant: Sherman-Carter-Barnhart/HNTB

Contract # A041080

Original Contract Amount: \$2,000,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$2,000,000

No amendments this quarter.

Contractor: Messer Construction (Construction Manager-At-Risk)

Note: This is a 'CM-At-Risk' contract. The amount will be increased as subcontracts are bid and added.

*Messer's contract was awarded by RFP process.

Contract # 4500000169

Original Contract Amount: \$25,250,566

Total Change Orders to Date: 202

Cumulative Change Order Amount: \$494,292

Low Bid:

Revised Contract Amount: \$25,744,858

High Bid:

Contract Percent Complete: 98%

Number of Bids:

Describe all change orders greater than \$25,000.00:

Change Order #27, 03/16/06, was approved for \$65,940.07, to adjust contract amount for actual length of drilled piers over the base length included in the base bid. **Change Order #33**, 03/31/06, was approved for -\$25,240.75 to adjust contract amount after receiving donation from Harrod Concrete & Stone. **Change Order #31**, 04/04/2006, was approved for -\$52,052.66, to delete the cost of finish hardware for Aluminum Doors from the Doors, Frames and Hardware bid as it was already included in another trade contractor's scope of work. **Change Order #32**, 04/04/2006, was approved for \$293,576.97, to provide a flexible security control system to facilitate frequent changes due to turnover of student athletes. Revision primarily consists of replacement of conventional mechanical hardware with stand alone electronic access control hardware. **Change order #75**, 08/23/2006, was approved for \$26,773.54 to install additional light fixtures in the men and women's basketball locker rooms to provide even illumination in these locations. **Change order #88**, 09/22/2006, was approved for \$26,384.92, to provide engraved pavers at front entrance. Donor brick pavers will acknowledge donations to the UK MCE Building Fund. **Change Order # 101**, 11/16/06, was approved for a decrease of \$39,115.30 to provide for the deletion of ductwork cleaning. The project work site was kept in such a condition that duct cleaning is unnecessary. **Change Order # 201**, 05/7/07, was approved for a decrease of \$200,000 for liquidation of all excess allowance funds.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate 3rd Floor Little Library

Project Number: 2255.00

Project Description:

Scope: \$1,900,000

This project addresses life safety and ADA concerns in the Little Library in addition to providing permanent instructional and research space for Kentucky's only accredited Library and Information Science program which places graduates in industry, research, nonprofit, and government organizations. This project includes final renovations to provide new classrooms, student facilities, faculty offices, and a student technology center for the School of Library and Information Sciences. Approximately, 20,380 gross square feet is being renovated in all phases.

Consultant: Pearson & Peters Architects PLC

Contract # A071120

Original Contract Amount: \$112,875

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$112,875

No amendments this quarter.

Contractor: Woodford Builders

Contract # 4500009455

Original Contract Amount: \$1,208,000

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid: \$1,208,000

Revised Contract Amount: \$1,208,000

High Bid: \$1,241,225

Contract Percent Complete: 5%

Number of Bids: 3

Describe all change orders greater than \$25,000.00:

No change orders greater than \$25,000 this quarter.

Renovate Central Vivarium

Project Number: 2261.00

Project Description:

Scope: \$650,000

The project will involve the purchase of a new Primate Cage Wash unit to be installed in a renovated cage wash area within the existing DLAR facility.

Consultant: BHDP

Contract # A071000C

Original Contract Amount: \$43,500

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$43,500

No amendments this quarter.

Contractor: No construction contract awarded to date.

Contract #

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

Describe all change orders greater than \$25,000.00:

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate - Expand Boone Center

Project Number: 2251.00

Scope: \$6,000,000

Project Description:

The Boone Faculty Center was built in 1986 and has only received minor maintenance repairs in the interim. This project will renovate the original 19,561 square feet of the Boone Faculty Center on the Lexington Campus and construct an addition of approximately 3,300 square feet. The center as constructed is able to host small to medium size meetings, functions, luncheons and dinners, but due to space constraints it is unable to accommodate the numerous larger scale conferences and symposia that university departments frequently host. These departments then contract with local hotels and the convention center. Since the center is to operate and be maintained on a self supporting basis the inability to reasonably host the 300 to 400 attendee events causes a loss of potential campus dollars to off campus sites, that if able to be captured could help defray the annual operating expenses of the center. The project is expected to be completed by February 2008.

Consultant: EOP Architects

Contract # A071070

Total Amendments to Date: 1

Original Contract Amount: \$275,000

Cumulative Amendment Amount: \$2,611

Describe all amendments :

Revised Contract Amount: \$277,611

Amendment #1, 6/12/07, an increase of \$2,611 was approved to provide for reimbursable expenses for state filing fees and document duplication beyond the contracted agreement.

Contractor: Jarboe Construction

Contract # 4500007653

Total Change Orders to Date: 8

Low Bid: \$4,515,000

High Bid: \$4,724,000

Number of Bids: 2

Original Contract Amount: \$4,515,000

Cumulative Change Order Amount: \$19,279

Revised Contract Amount: \$4,534,279

Contract Percent Complete: 3%

Describe all change orders greater than \$25,000.00:

No change orders greater than \$25,000 this quarter.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Replace Steam and Condensate Piping - Multiple Projects**(04-2006)**

Project Number: 2248.00

Project Description:

Scope: \$3,223,900

This project will replace central steam and condensate piping systems. The Central Utilities Systems of the University of Kentucky have proven to be very economical to maintain and operate. It reduces the construction cost of new building by eliminating redundancy in buildings and reduces the operations cost of new and existing buildings by providing reliable and low cost energy alternatives at central locations. The Central Steam and Condensate system on the University of Kentucky Campus is an extensive layout of underground piping, tunnels, and steam pits. A large portion of this system has deteriorated through corrosion, and much of it is beyond design life expectancy. Condensate returns and steam lines need to be improved. Most of the direct bury steam lines consist of Class A conduit systems, which have deteriorated and corroded to the point that increased loads on the central heating system have been experienced. Repairing these steam and condensate lines will improve the ability of the campus heating system to deliver steam to all campus buildings.

Consultant: Staggs & Fisher

Contract # A071080

Original Contract Amount: \$276,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$276,000

No amendments this quarter.**Contractor:** Lagco, Inc.

Contract # 4500009203

Original Contract Amount: \$1,725,900

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid: \$1,725,900

Revised Contract Amount: \$1,725,900

High Bid: \$2,632,930

Contract Percent Complete: 12%

Number of Bids: 4

Describe all change orders greater than \$25,000.00:**No change orders greater than \$25,000 this quarter.**

Student Housing - Supporting Utility Plant Upgrades

Project Number: 2153.30

Project Description:

Scope: \$1,275,000

This project includes expanding the Virginia Avenue Central Utility Plant to accommodate future expansion in steam and chilled water capacity. The project was established in support of the Student Housing Project.

Consultant: AM Kinney

Contract # A041000GG

Original Contract Amount: \$26,315

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$26,315

No amendments this quarter.**Contractor:** English Boiler & Tube Inc.

*English Boiler's contract was awarded by RFP process.

Contract # X500192

Original Contract Amount: \$245,155

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount: \$245,155

High Bid:

Contract Percent Complete: 98%

Number of Bids:

Describe all change orders greater than \$25,000.00:**No change orders greater than \$25,000.00 this quarter.**

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Upgrade Cancer Center Radiologic Facility - Hospital

Project Number: 2252.00

Project Description:

Scope: \$6,000,000

The University of Kentucky Hospital needs to significantly upgrade and improve the current clinical space in the Lower Level of University Hospital. This will include therapy rooms, clinic exam areas, infusion space, office, education, and support space for the clinical practice. Given that the clinic will need to continue operations during the project, it is anticipated that areas will be taken down, or phased, during the construction. Surge space to allow the phasing has been identified. The addition will be located along the west side of the Markey Cancer Center/Ben F. Roach Cancer Care Facility, while the renovation will occur in existing research space on the on the Lower Level of the same building. Development of Radiation Medicine clinical areas is essential to growth of cancer programs supportive of the strategic plans for UK HealthCare. Current facilities are split between the Lower Level of the hospital and the Roach Building. Several initial facility studies have been completed that identified expansion and renovation of the areas of the Lower Level of the Roach Building to respond to immediate needs and is consistent with the Ambulatory Master Plan.

Consultant: BSA Lifestructures

Contract # AO71130

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount: \$535,000

Cumulative Amendment Amount:

Revised Contract Amount: \$535,000

Contractor: No construction contract awarded to date.

Contract #

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

Describe all change orders greater than \$25,000.00:

Original Contract Amount:

Cumulative Change Order Amount:

Revised Contract Amount:

Contract Percent Complete:

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Upgrade Surgical Services

Project Number: 2231.00

Project Description:

Scope: \$4,500,000

This project will renovate existing space to develop a Same Day Surgery Intake Unit; will relocate surgical offices adjacent to the operating rooms in the Critical Care Center to expand the Post Anesthesia Care Unit; will develop a Pre-op, PACU, and waiting space in the main hospital building dedicated to pediatric patients; and will renovate the 1st floor surgical waiting area. The current layout and size of unit causes numerous inefficiencies in the department. The amount of PACU beds is too few based on industry standards. This renovation will allow for improved operational efficiencies of the operating rooms and will provide for an improved patient experience with the development of the same day surgery intake unit. This space is connected to the Hospital's central chilled water and steam systems (coal or gas fired boilers/chillers).

Consultant: Stengel Hill Architects

Contract # A061140

Original Contract Amount:

\$324,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

\$324,000

No amendments this quarter.

Contractor: Woodford Builders

Contract # 450000004839

Original Contract Amount:

\$3,328,150

Total Change Orders to Date: 20

Cumulative Change Order Amount:

\$44,607

Low Bid: \$3,280,000

Revised Contract Amount:

\$3,372,757

High Bid: \$4,199,700

Contract Percent Complete:

85%

Number of Bids: 5

Describe all change orders greater than \$25,000.00:

No changes orders greater than \$25,000.00 this quarter.

FCR 11

Office of the President
September 11, 2007

Members, Board of Trustees:

AUTHORIZATION TO ACQUIRE PROPERTIES TO
FACILITATE UTILITY RELOCATION ASSOCIATED WITH THE
UK HEALTHCARE PATIENT CARE FACILITY PROJECT

Recommendation: that the Board of Trustees, acting pursuant to its statutory authority as stated in Kentucky Revised Statutes (KRS)164.260 and the Eminent Domain Act of Kentucky, authorize the Executive Vice President for Finance and Administration or his designee to negotiate the acquisition of certain real properties (or interests therein), fronting on the west side of Limestone Street between Waller Avenue and Conn Terrace as well as Woodland Avenue at Euclid Avenue, for a purchase price not to exceed the properties' (or interests therein) fair market values as based on independent appraisals or through condemnation proceedings. The impacted properties include 102 Conn Terrace, 1033 through 1201 South Limestone, and 401-405 Woodland Avenue, Lexington, Kentucky.

Background: Electrical work associated with the UK HealthCare Patient Care Facility Project requires the elimination of existing distribution routes and the creation of new distribution and transmission routes. The new electrical service requires easements from the owners of each individual property in the impacted areas and is essential to the construction of the Patient Care Facility. University officials, on behalf of Kentucky Utilities, are acting in good faith to acquire these easements from the owners. In certain cases, the university may need to acquire the properties in fee simple.

Accordingly, in view of the fact that these properties are crucial to this project and the proposed schedule for construction, should university officials be unable to amicably resolve the issues and contract for the easements of the affected properties, it is in the university's best interest to proceed with condemnation.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

HRCR 1

Office of the President
September 11, 2007

Members, Board of Trustees:

PROPOSED REVISION TO GOVERNING REGULATION:
GROUP INSURANCE

Recommendation: that the attached proposed amendment to Governing Regulation X (GR X) relating to employment, which was received for preliminary consideration as HRCR 3 by the Board of Trustees on June 12, 2007, be approved. The revision amends the section of the regulation regarding group life insurance to conform to the university's current employee benefits structure.

Background: Beginning with 2007-08 fiscal year, the optional life insurance offered by the university to its employees increased from one (1), two (2), or three (3) times salary to up to five (5) times salary under the terms of the university's contract with the insurer. The attached revision to GR X.A.6 is intended to bring the GR into accordance with the new life insurance benefit. The revision also makes the GR's language less specific, so that the GR does not require revision each time the amount of optional life insurance changes.

A revised copy of GR X is attached. Proposed additions are underlined; proposed deletions are lined through.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PART X

REGULATIONS AFFECTING EMPLOYMENT

A. General

1. 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 disability 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 of Trustees 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 the Provost, or any associate provost, executive vice president, vice president, or associate vice president shall be employed in a position in that officer's administrative area. Waiver of the above regulation may be permitted by the Board of Trustees. All changes in position and/or rank related to this waiver shall be approved 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 employee exercises supervisory or line authority. Employment of relatives within the same department or division shall be approved specifically by the Provost or appropriate executive vice president or vice president. "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 these *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.

2. Intellectual Property

As a general policy, all intellectual property conceived, first reduced to practice, written, or otherwise produced by faculty members, staff employees, or students of the University using University funds, facilities, or other resources shall be owned and controlled by the University. Any faculty member, staff employee, or student 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 shall exert no ownership claim of such works. A Standing Committee on Intellectual Property appointed by the President shall administer the policy and oversee implementation of the procedures, both as detailed in the *Administrative Regulation* on intellectual property (AR II-1.1-3).

3. Representation and Attendance at Meetings

In order that the University may be properly represented at the various gatherings or functions to which it is invited from time to time to participate, the President selects faculty members or staff employees to represent the institution.

In addition, employees are urged to become members and to participate in meetings of international, national, regional, and state and local organizations and associations related to their University employment.

Funds may be available to defray the expenses in whole or in part of those who are authorized to attend meetings by the President or other appropriate administrative officers.

4. 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).

5. Social Security

All employees 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 Treasurer a completed Treasury Form W-4 with the employee's social security number and other information necessary for withholding appropriate contributions.

6. Group Insurance

Regular full-time faculty members and staff employees 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 (1), two (2), or three (3) times the employee's basic annual salary, in accordance with and~~ up to the maximum amount contained in the University's contract with the insurer. 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 faculty members and staff employees are encouraged to participate in the University's basic health and other insurance programs that also may include coverage for dependents.

7. Workers' Compensation

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

8. Employee Disability Program

Regular full-time faculty members and staff employees, 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 (1) 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. Supplemental Long Term Disability coverage may be offered at the employee's expense.

B. Employment of Faculty

1. Appointment of Faculty

(a) Types of Faculty Appointments

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

(i) There are two types of non-tenured appointments.

a. 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 lecturer, research, clinical, adjunct, visiting, or voluntary title series or (2) on a part-time or temporary basis in a title series. An appointment on a temporary basis involves an individual who has assigned duties and responsibilities that shall be completed within one (1) year or less.

b. 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, extension, or librarian title series. 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.

(ii) 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 (2) 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 or by the Provost if the appointments are with educational units in different colleges. The constituent appointments relating to a joint appointment may be processed simultaneously or at different times; however, each appointment, reappointment or promotion, shall 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. When an individual under consideration for appointment to an administrative position is also to be considered for a faculty appointment, recommendations of committees on the two respective appoints shall be developed independently on their respective merits, in accordance with the respective established appointment procedures.

(iii) Post-retirement appointments are of two (2) types.

a. One type is that in which retired faculty members may be appointed to perform duties for which fee schedules have been established and approved by the Provost.

b. 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 (1) 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).

(b) Probationary Periods

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 title series. Such non-tenured appointments may be for one (1) year or for other stated periods, subject to renewal. The total non-tenure period, however, shall not exceed seven (7) 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 PartX.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 (1) year. An individual shall not remain at the rank of instructor in the University for more than three (3) years. If after that period, promotion to a higher rank cannot be justified, the individual's appointment with the University shall not be renewed.

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

Probationary periods (or maximum non-tenure periods) are not applicable in cases where faculty members are appointed (1) in the lecturer, 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.

(c) 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 (3) 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 Provost to ensure compliance with this regulation.

(d) Notification of Non-Renewal of Appointment: Non-Tenured Appointments

Part-time, visiting, or temporary faculty appointments have explicit one (1) year or less terminal dates that 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 (3) 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 (6) months in advance if the appointment expires during the year. Notification of non-renewal of appointment after more than two (2) years of service shall be given at least twelve (12) months before expiration of appointment. Non-renewal decisions concerning regular, full-time faculty members shall be reported to the Board of Trustees.

Any related appeal(s) to the Provost concerning procedural matters or privilege and/or to the University Senate Advisory Committee on Privilege and Tenure concerning procedural matters, privilege, or allegations of violation of academic freedom must be initiated in writing by the concerned faculty member within sixty (60) days after being notified in writing by the dean about non-renewal of appointment.

(e) Termination of Appointment

(i) 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 University Senate Advisory Committee on Privilege and Tenure with the right of appeal to the President and the Board of Trustees for the University faculty member. The faculty member shall be given notice as soon as possible and never less than twelve (12) months notice. The released faculty member's position shall not be filled by a replacement within a period of two (2) years unless the released faculty member has been offered reappointment and given a reasonable time within which to accept or decline it.

(ii) 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 Provost shall be responsible for the preparation of a reasonably detailed statement of charges which shall be furnished to the faculty member and the University Senate Advisory Committee on Privilege and Tenure. The committee shall make an informal investigation for the purpose of attempting to affect a resolution and, in the case of failure, shall recommend to the President whether, in its opinion, dismissal proceedings should be undertaken. Its opinion shall not be binding upon the President.

If the President initiates dismissal proceedings, the concerned individual shall have the right to

be heard initially by the University Senate Hearing Panel (Privilege and Tenure).

The faculty member shall be informed in writing by the President regarding specific charges at least twenty (20) days prior to the hearing. At least seven (7) 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 Panel shall evaluate all available evidence and base its recommendation upon the evidence in the record.

The Hearing Panel, in consultation with the President 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 Panel, 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 Panel shall report to the President 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 accepts a report with a decision adverse to the faculty member, the President shall provide an opportunity for response by the faculty member before transmitting the case to the Board of Trustees and provide reasons in writing to the Hearing Panel and to the faculty member.

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 of Trustees shall either sustain the recommendations of the Hearing Panel and the President or return the proceedings to the President and the committee with specific objections. The Hearing Panel 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 Panel's reconsideration.

(iii) 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 University Senate Advisory

Committee on Privilege and Tenure. Salary shall be continued during the period of suspension.

(f) 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 violating academic freedom, or that they were given less advance notice than required in these *Governing Regulations*, they must present their allegations in writing to the University Senate Advisory Committee on Privilege and Tenure within sixty (60) days after being notified in writing by their respective deans of the decisions not to reappoint. Allegations so presented shall be given preliminary consideration by the University Senate Advisory Committee on Privilege and Tenure, which shall attempt to settle the matter by informal methods. The allegations shall be accompanied by statements that aggrieved faculty members 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 *GR X.B.e.ii* 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, or who provided insufficient notice, to present evidence in support of those decisions.

(g) Resignation

Notice of resignation should be given early enough to reduce 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 (3) months if their rank is instructor or assistant professor, and no less than four (4) months if their rank is higher, before the end of their duties during the academic year (exclusive of a summer session) or thirty (30) days after receiving notification of the terms of their appointments for the coming year, whichever date occurs later. However, they may request in writing a waiver of this requirement in cases of hardship or in situations where they would otherwise be denied substantial professional advancement. Resignations of regular, full-time faculty members shall be reported to the Board of Trustees.

(h) Administrative Personnel

Administrative personnel who hold academic rank are subject to the foregoing regulations in their capacity as faculty members. Those administrative personnel (holding academic rank) 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.

(i) Change of Assignment

When it is in the best interests of the institution, and if the professional status of a faculty member 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.

2. Conditions of Employment

(a) Terms of Assignment

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

(b) Vacation Leave

All full-time faculty members on a ten-month, eleven-month, or twelve-month assignment basis shall be entitled to twenty-two (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 faculty member shall be in actual attendance at least until after Commencement and until all reports have been made, and at least three (3) days prior to the first day of registration for the fall semester, unless for special reason 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 Provost, 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 twenty-two (22) days at the end of employment.

(c) Professional Practices

(i) General Policies

During their annual assignment period (whether academic year, ten months, eleven months, or twelve months) faculty 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 faculty member 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 instruction, research, and service. Conditions under which such employment may be undertaken are as follows:

a. Such employment shall not interfere with the fundamental responsibility of the faculty member to meet regularly assigned duties and inherent obligations to instruction, research, and service, 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.

b. Such employment requires prior approval in writing by the appropriate University official.

c. All proposals to undertake outside employment shall be made in writing to the chairs whose recommendations shall be forwarded to the respective deans and thence, unless specified otherwise in the *Administrative Regulations* (AR II-1.1-1), to the Provost 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 Provost who shall transmit quarterly to the President 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 shall be specific. Approvals shall not be granted for blanket authorizations to consult or to engage in professional practice.

d. Such employment shall be governed by time limitations stated in the *Administrative Regulations* (AR II-1.1-1) and the provisions of Ethical Principles and Code of Conduct (GR I-D).

e. 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 with the proviso that an adverse decision can be appealed to the Executive Committee of the Board of Trustees.

(ii) Service Plans (AR II-7)

Documents detailing the administration Services Plans approved by the Board of Trustees appear as a part of the *Administrative Regulations* II-7.0.

(d) Leaves of Absence

(i) Sabbatical Leave

The purpose of sabbatical leave is to provide opportunities for study, research, creative effort, improvement of instructional or public service 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 librarian III) or higher, are eligible for sabbatical leaves after six (6) years of continuous service in the rank of instructor (or librarian III) or higher at the University, or for sabbatical leaves under a different option after three (3) years of continuous service. All such sabbatical leaves shall be approved by the President or the President's designee.

After six (6) years of continuous eligible service, a faculty member may apply for one (1) year's sabbatical leave (academic year for appointees on academic year, ten-month, or eleven-month assignments) at one-half salary or six (6) months' sabbatical leave (academic semester for appointees on academic year, ten-month, or eleven-month assignments) at full salary. After three (3) years of continuous eligible service, an appointee may apply for six (6) months' sabbatical 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 (6) 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 shall be made in writing by the dean, and be approved by the Provost. The request or agreement shall 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 (1) full year at full salary.

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 (1) or two (2) 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 shall promote the purpose of the leave and is approved by the President or the President's designee.

For those on one-year sabbatical 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 such arrangements pursuant to this paragraph must be approved by the President or the President's designee.

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 sabbatical leave, will continue service at the University for at least one (1) academic year.

(ii) Temporary Disability Leave

Temporary Disability Leave (TDL) may be granted to faculty members by the Provost. Eligible faculty members who are totally disabled are entitled to six (6) months' TDL with pay. TDL with pay for more than six (6) months requires approval by the Board of Trustees.

(iii) Leaves with Pay

Upon the recommendation of the appropriate administrative officers and approval of the Provost, a faculty member may be granted leave of absence with pay for a period not to exceed thirty (30) 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 (30) days require approval of the Board of Trustees.

(iv) Leaves without Pay

Upon the recommendation of the appropriate administrative officers and approval of the Provost, a member of the faculty 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. 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, etc. In no case shall the leave of absence without pay be considered as an interruption of continuous service.

(v) Educational Leave

To pursue an advanced degree at the University of Kentucky in accordance with these *Governing Regulations*, Part X.C.6, 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 and approved by the Provost, 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.

(vi) 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 and approved by the Provost, 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 apply toward eligibility for sabbatical leave and count as probationary period service unless the University in granting the leave and the individual accepting it agree to the contrary.

3. Miscellaneous

(a) Faculty Members as Candidates for Degrees

Faculty members 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 (2) full-time, consecutive resident semesters preceding the qualifying examination or during the two semesters of full-time dissertation study immediately following the qualifying examination.

(b) 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, instruction, research, service, and publication and to protect members of the faculty against influences, from inside or outside the University, which would restrict them in the exercise of these freedoms in their areas of scholarly interest. Faculty members 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.

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 shall not count as probationary service unless agreed to otherwise.

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

C. Employment of Staff Employees

1. The *Human Resources Policy and Procedures Administrative Regulations* are applicable to staff employees. The *Human Resources Policy and Procedures Administrative Regulations* are promulgated by the President pursuant to delegation of the Board of Trustees.

2. Post-Retirement Employment

(a) A 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 staff 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 (1) year.

(b) A retiree may be employed as a temporary employee to perform duties for which fee schedules have been established and approved by the Provost or the Executive Vice President for Finance and Administration.

3. Emeritus ranks for retired staff employees and the rights of holders of emeritus titles are established by the President after consultation with the Staff Senate Executive Committee.

D. Opportunity for Hearing

In no case shall an appointment of a postdoctoral scholar, postdoctoral fellow, resident, clinical fellow, teaching assistant, or research assistant be terminated before the end of the period of appointment without the individual being provided an opportunity to be heard before the University Senate Advisory Committee on Privilege and Tenure. Such employees who have established a *prima facie* case to the satisfaction of the committee that a consideration violating academic freedom significantly contributed to the individual's termination, shall be given a written statement of reasons by those responsible for the termination and an opportunity to be heard by the University Senate Hearing Panel of the Privilege and Tenure Committee.

E. Matters Affecting Faculty and Staff

The *Human Resources Policy and Procedures Administrative Regulations* on Benefits are applicable to faculty members and staff employees. All other *Human Resources Policy and Procedures Administrative Regulations* are applicable to faculty members to the extent that there are no other applicable policies for faculty members on the subject matter.

UHCR 1

Office of the President
September 11, 2007

Members, Board of Trustees:

UNIVERSITY HOSPITAL COMMITTEE OPERATING RULES REVISIONS

Recommendation: that the Board of Trustees approve the newly revised, and hereto attached, Operating Rules for the University Hospital Committee, now, pending Governing Regulation revision, to be known as the University Health Care Committee of the University of Kentucky Board of Trustees.

Background: The Governing Regulation establishing the University Hospital Committee allows the committee to enact its own operating rules. In September 2005, the committee adopted operating rules modeled on the bylaws of the old Hospital Corporation. The university now, with the addition of UK HealthCare Good Samaritan Hospital, operates more than one hospital. In order to assure continuity in operations, the scope of the committee's oversight should be expanded to other aspects of the university's health care delivery system. The Operating Rules of the committee have been revised to accommodate governance for more than one hospital, which include additional advisory members of the committee to represent each hospital, and oversight of all health care clinical operations of the university. Pending revisions to the applicable Governing Regulations, the committee will be renamed the University Health Care Committee. The new Operating Rules will better enable this committee to meet its governance responsibilities for the university hospitals and health care activities.

A revised copy of the Operating Rules is attached. Proposed additions are underlined; proposed deletions are lined through.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

**OPERATING RULES
OF THE
UNIVERSITY HEALTH CARE –UNIVERSITY HOSPITAL
COMMITTEE**

**ARTICLE I
PURPOSES**

- 1.1. Purposes: —The purposes of the University Health Care University Hospital Committee (Committee) are, through sound oversight and governance, to:
- 1.1.1. Provide management oversight for the development and implementation of policies, rules, and regulations for the governance of the University Hospital of Kentucky clinical enterprise, which is commonly referred to as UKHealthCare. The clinical enterprise shall consist of include the University Hospitals, the College of Medicine, contracted or other relationships with the faculty practice organization of the College of Medicine and all patient care programs conducted by any of the same.
 - 1.1.2. Provide optimal settings and facilities for conducting exemplary inpatient and outpatient patient care services for the citizens of the state and region and as required to support the educational and research missions of the Colleges of the Medical Center.
 - 1.1.3. Provide access to clinical facilities of the Hospitals for the teaching and research programs ~~of the Colleges of the Medical Center of the University of Kentucky.~~
 - 1.1.4. Support scientific advancement and health maintenance.
 - 1.1.5. Develop and coordinate a model educational environment for the training of health science students and residents and to promote the advancement of scientific learning and research.
 - 1.1.6. Attract and retain high quality faculty and staff to teach, conduct research, and provide patient care.
 - 1.1.7. Enhance the development of superior patient care in a group practice setting within the academic environment of the medicalhealth care programs ~~MedicalCenter of the University of Kentucky.~~
 - 1.1.8. Ensure adherence to all legal, regulatory and ethical standards applicable to the University Hospitals and the clinical enterprise.
 - 1.1.9. Serve, through its general grant of power by the University Board of Trustees as the Governing bBody of the Hospitals and to exercise all the powers of a Governing bBody as required by the Joint Commission ~~on the Accreditation of~~

Healthcare Organizations (JCAHO), as the same now exist, or shall be amended, from time to time.

ARTICLE II MEMBERSHIP

- 2.1. Members: The affairs of the University Hospitals and the clinical enterprise shall be conducted and managed by the Members. The Members shall provide the University Hospitals and clinical enterprise with the direction necessary to be successful and to insure that the Hospitals and clinical enterprise ~~are~~ managed in support of the mission of the University of Kentucky. As used herein, Members shall mean the five voting members.
- 2.2. Appointment: The Members shall be Trustees and shall be appointed by the Chair of the Board of Trustees of the University of Kentucky acting upon recommendation of the President.
- 2.3. Number: The number of voting Members composing such Committee shall be five (5) members.
- 2.4. Advisory Members: In addition to the voting Members, there shall be at least seven (7) non-voting Advisory Members ~~appointed by the Board of Trustees of the University of Kentucky~~ for the purpose of providing support and advice to the Board. The ex officio Advisory Members shall consist of the individuals holding the following positions: ~~(1) Executive Vice President for Health Affairs (EVPHA); (2) Associate Vice President for Medical Center Operations, who shall be denominated the Chief Executive Officer of the University of Kentucky Chandler Hospital (UK Chandler Hospital); (3) Dean, College of Medicine;~~(4) a representative appointed by the President of the University of Kentucky; ~~(5) and the Chief Medical Officer of the University Hospitals. -Hospital~~In addition, for each University Hospital, there shall be the three Designated Hospital Officials, as appointed by the Executive Vice President for Health Affairs, and as otherwise set forth in Section 7.3 herein, who shall serve as ex officio Advisory Members. -The President of the University of Kentucky shall also appoint one (1) Advisory Member to the University Health Care Committee.
- 2.5. Community Advisory Members: In addition to the voting Members and the Advisory Members listed in paragraph 2.4, above, the Committee may, from time to time, have the Chair of the University Board of Trustees appoint, upon recommendation of the University President, non-voting Community Advisory Members to assist it in its functions by providing specialized advice and support. Said Community Advisory Members shall be selected on the basis of their expertise in such areas as finance, construction, management and government. The maximum number of Community Advisory Members authorized at any one time shall be five (5).
- 2.6. Term: Members and Advisory Members and Community Advisory Members shall hold office for the terms specified below.

2.6.1. Each voting Trustee Member shall hold office for the term for which he/she is appointed so long as he remains a member of the Board of Trustees as provided for in the Governing Regulations. The initial appointments shall be staggered terms in the following manner: two ~~members~~ Members for three years, two ~~members~~ Members for four years and one ~~Member~~ Member for five years. Any Board member appointed thereafter shall serve for three years and may be reappointed for an additional three years. Any vacancy occurring before the expiration of the term of the appointment shall be filled for the unexpired term. The term remaining on any Trustee's University Board of Trustees appointment shall not be a limiting factor upon future appointments to this Committee.

2.6.2. Each Advisory Member shall hold office for his/her term as follows:

- A. ~~Executive Vice President for Health Affairs, Associate Vice President for Medical Center Operations, Dean of the College of Medicine, Chief Medical Officer, and Chief Nursing Officer and the~~ such Designated Hospital Officials ~~administrators of each the University Hospitals~~ will hold office so long as they occupy the positions indicated or hold said appointment.
- B. The representative appointed by the President of the University of Kentucky will hold office until such time as the appointment is rescinded by the President of the University.
- C. The President of the Medical Staff of UK Chandler Hospital, who shall be the medical staff representative Designated Hospital Official for UK Chandler Hospital, shall hold office for as long as that person holds said office of President.
- D. Community Advisory Members shall hold office for such term as specified in their appointment. However, while appointments as Community Advisory Members may be renewed by the ~~committee~~ Committee, no single term of appointment shall exceed three (3) years.

ARTICLE III POWERS

- 3.1. Governing Body: As a means of accomplishing the foregoing purposes, the ~~University Hospital~~ Committee shall have the powers to function and act as a ~~Governing b~~ Body under ~~the Joint Commission ACHC~~ without need to consult the University Board of Trustees, as well as such other powers as the Board of Trustees shall so grant.
- 3.2. Policies, Rules, and Regulations: ~~The University Hospital~~ Committee shall provide management oversight for the development of policies, rules, and regulations for the operations of the University Hospitals and clinical enterprise.
- 3.3. Budget: ~~The University Hospital~~ Committee shall review and approve ~~recommend to the EVPHA on~~ the annual, biennial, and other planned operating and capital budgets for the

University Hospitals and clinical enterprise presented by the EVPHA and recommend same to the University Board of Trustees.

- 3.4. Planning: The ~~University Hospital~~ Committee shall participate in the long term planning for the University Hospitals and clinical enterprise.

3.5. Contracts, Loans

3.5.1. Contracts: The Members may authorize any officer or officers, agent or agents, to enter into any contract and to execute and deliver any instrument in the name of or on behalf of the University Hospitals or clinical enterprise, and such authority may be general or confined to specific instances.

3.5.2. Loans: No loan shall be contracted on behalf of any of the University Hospitals or clinical enterprise and no evidence of any indebtedness shall be issued in its name except on the authorization of the Board of Trustees of the University.

ARTICLE IV CONFLICT OF INTEREST AND PROHIBITIONS

- 4.1. Net Earnings: The Committee shall operate in a manner to assure that no part of the net earnings of any of the University Hospitals or clinical enterprise shall ~~inure~~^{insure} to the benefit of any University Trustee, Committee Member, or any private individual, except that reasonable compensation may be paid for services rendered to enable the University Hospitals and clinical enterprise to provide the services for which they have it has been organized or otherwise affecting one or more of their its purposes, and no Trustee, Committee Member or any private individual shall be entitled to share in the distribution of any of the University Hospitals' or clinical enterprise's assets.

- 4.2. Conflicts of Interest: The University Hospitals, clinical enterprise and this Committee shall not act under any conflict of interest. The Committee shall comply with the University Code of Ethics and the Clinical Enterprise Code of Conduct, as both have been adopted by the Board of Trustees, or may be amended, from time to time. In addition, the Committee may enact such other rules prohibiting conflicts of interest as it deems appropriate. No Committee Member shall be entitled to vote on or deliberate about any matter in which he or she shall have a financial interest.

ARTICLE V MEETINGS

- 5.1. Regular Meetings: The ~~University Hospital~~ Committee shall meet the day before each University of Kentucky Board of Trustees regularly scheduled meeting, and, at such other times as the Committee Chair deems necessary to assure adequate oversight and administration of the University Hospitals and clinical enterprise. It shall have a meeting in May which is designated as its annual meeting for approval of the budget, election of officers and subcommittee appointments.

- 5.2. Special Meetings: Special meetings may be called at any time by the Chair of the Committee, or by a majority of the ~~M~~members of the Committee.
- 5.3. Notice: Seven days' notice shall be given of any meeting of the Committee or any Subcommittee, thereof, except that the Chair may call an emergency meeting with 24 hours' notice.
- 5.4. Quorum: A quorum for the transaction of business at all meetings of the Committee or any Subcommittee, thereof, shall consist of a majority of the Trustee Members of the Committee.
- 5.5. Manner of Acting: Each Member shall be entitled to one vote at each meeting and must be present in person to vote except as allowed in any specific instance by a majority vote of the Members present. In the event a quorum is present, a majority vote of those present shall constitute the act of the Committee except as herein otherwise specifically provided. This subparagraph shall apply to any Subcommittees, as well.
- 5.6. Records: The Committee shall maintain records of its proceedings and of any meetings of subcommittees.
- 5.7. Reports: The Committee shall make a report to the University Board of Trustees at each regularly scheduled meeting, thereof, in such format as said Board shall prescribe.

ARTICLE VI OFFICERS OF THE COMMITTEE

- 6.1. Officers: The officers of the Committee shall consist of a Chair, Vice Chair, and a Secretary elected by the Committee from its voting ~~members~~Members. In addition, the Committee may designate one or more Assistant Secretaries from among employees of ~~the Hospital or the University~~ to assist it in maintaining records, preparing reports and administration.
- 6.2. Election and Term: The Committee shall elect officers from its voting ~~membership~~Membership for one-year terms.
- 6.3. Duties of Officers
 - 6.3.1. Chair: The Chair shall preside at all meetings, shall sign all documents required to be signed for the Committee, shall serve as an ex-officio member of all subcommittees, and shall have such other duties as may be prescribed by the Committee.
 - 6.3.2. Vice Chair: In the Chair's absence, the Vice Chair shall perform all the duties of the Chair and shall have such other duties as may be prescribed by the Committee.
 - 6.3.3. Secretary: The Secretary shall maintain minutes of all meetings of the Committee, shall attest to all documents required to be signed for the Committee,

shall issue proper notices of all meetings of the Committee, and shall perform such other duties as may be prescribed by the Committee. Duly appointed Assistant Secretaries may perform such functions, as requested.

ARTICLE VII GOVERNANCE STRUCTURE AND RESPONSIBILITIES

- 7.1. Board of Trustees: Except as set forth in Kentucky Revised Statute (KRS) 164.131 and the Governing Regulation Part II establishing the same, and unless said statute and Governing Regulation ~~are~~ amended, the authority of the Committee is subordinate to the Board of Trustees of the University of Kentucky.
- 7.2. Executive Vice President for Health Affairs (EVPHA): The EVPHA shall represent the University's interests in matters before the Committee.
- ~~7.3.~~ Designated Hospital Officials: ~~aA. — Associate Vice President for Medical Center Operations: The Associate Vice President for Medical Center Operations shall manage the University UK Chandler Hospital, which is the University's major academic medical center, report to the EVPHA consistent with the University's Administrative Rules and Regulations and represent the University UK Chandler Hospital before the Committee. The Associate Vice President for Medical Center Operations has the responsibility for carrying out the Committee's directives to achieve quality of care~~ The three (3) Designated Hospital Officials of each the other University Hospital are the University employees or appointees designated to operate the same by the Executive Vice President of Health Affairs. The three (3) Designated Hospital Officials shall consist of an executive representative, a nursing officer, and a medical staff representative from each University Hospital. They shall represent their respective hospitals before the Committee, and the Designated Hospital Official executive representatives, shall be responsible for carrying out the Committee's directives to achieve quality of care at the respective facilities.— The medical staff representative is selected by the medical staff and appointed to the Committee by the EVPHA.
- ~~7.3.7.4.~~ Enumerated Duties and Responsibilities: ~~The Committee has, as its primary role, the assurance of quality of care. In addition to this role, and as a supplement to the powers and responsibilities set forth in Article I and elsewhere in these Operating Rules, the Hospital Committee shall, as a committee of the whole, have the duties and responsibilities and perform the functions listed as functions of potential Authorized Subcommittees as described—authorized in subparagraphs 7.45.1 through 7.45.6, below (hereafter, Authorized Subcommittees). At least annually the Hospital Committee shall make a determination of which, if any, of the Authorized Subcommittees will be appointed, based upon the needs of the University Hospitals and clinical enterprise. Those Authorized Subcommittees deemed necessary shall then have their composition determined by the and Members and appointed from the membership of the University Hospital Committee. The Authorized Subcommittees so established shall meet at the call of the subcommittee chair and shall be subject to the same notice, meeting and record keeping requirements of the University Hospital Committee. The Authorized Subcommittees and their functions are as follows:~~ The Committee has, as its primary role, the assurance of quality of care. In addition to this role, and as a supplement to the powers and responsibilities set forth in Article I and elsewhere in these Operating Rules, the Hospital Committee shall, as a committee of the whole, have the duties and responsibilities and perform the functions listed as functions of potential Authorized Subcommittees as described—authorized in subparagraphs 7.45.1 through 7.45.6, below (hereafter, Authorized Subcommittees). At least annually the Hospital Committee shall make a determination of which, if any, of the Authorized Subcommittees will be appointed, based upon the needs of the University Hospitals and clinical enterprise. Those Authorized Subcommittees deemed necessary shall then have their composition determined by the and Members and appointed from the membership of the University Hospital Committee. The Authorized Subcommittees so established shall meet at the call of the subcommittee chair and shall be subject to the same notice, meeting and record keeping requirements of the University Hospital Committee. The Authorized Subcommittees and their functions are as follows:

~~7.3.1.~~7.4.1. Quality and Safety of Care: The Quality and Safety of Care Subcommittee, subordinate to and, in addition to, the ~~Hospital~~ University Hospital Committee, shall be responsible for all matters involving quality and safety of patient care including, but not limited to, patient flow, standard of treatment and services; provision of essential services in a timely manner; use of outside services; quality, sufficiency of staffing; adequacy of space, equipment and other resources; policies and procedures for care treatment and services; patient education; quality measurement, assessment and improvement; and development of clinical practice guidelines.

~~7.3.2.~~7.4.2. Planning: The Planning Subcommittee shall have oversight of and approve all short-term and long-term planning, including the strategic plan.

~~7.3.3.~~7.4.3. Finance: The Finance Subcommittee shall review and recommend ~~to the~~ University Hospital Committee the annual operating and capital budget.

~~7.3.4.~~7.4.4. Audit: The Audit Subcommittee shall have oversight responsibility for the financial operation of the University Hospitals and clinical enterprise. It shall receive reports from any outside auditors and direct such action, as appropriate.

~~7.4.5.~~ 7.4.5 Compensation: ~~The Compensation Subcommittee shall conduct a review, at least annually of performance and compensation of Executive Management.~~Compliance: The Compliance Subcommittee shall have oversight responsibility of the ~~several~~ University Hospitals' and clinical enterprise's adherence to laws, rules, regulations and ethical standards. It shall review the Compliance Plan, at least annually. ~~The University Hospital Committee also may appoint such ad hoc subcommittees as it deems appropriate.~~

7.4.6. Clinical Faculty and Healthcare Professional: The Clinical Faculty and Healthcare Professional Subcommittee shall have oversight responsibility of the faculty and other healthcare professions that deliver healthcare services within the clinical enterprise. As such, this subcommittee shall have oversight for and serve as the liaison with the faculty practice plan and faculty practice organization of the College of Medicine.

The Committee also may appoint such ad hoc subcommittees as it deems appropriate.

~~7.4.~~7.5. Medical Staff Executive Committee: The Medical Staff Executive Committee (MSEC) is the chief executive committee of the medical staff of each University Hospital authorized by this University Hospital Committee and established in the Medical Staff By-Laws of the respective Hospital. Its functions and responsibilities are set forth in said Medical Staff By-Laws and in Article VIII of these Operating Rules. The MSEC is the liaison between the members of the that Hospital's medical staff and this University Hospital Committee.

~~7.5.~~7.6. Executive Committee of Management: The Committee authorizes the Executive Vice President for Health Affairs (EVPHA) to establish a Management Executive Committee (-hereafter, the Executive Committee) consisting of key staff, as chosen by

said EVPHA, to assist in the management of the University Hospitals and clinical enterprise. Activities of the Executive Committee shall be reported to the Committee at its meetings, and otherwise, as requested.

~~7.6-7.7.~~ Management Committees: The management of each University Hospital, ~~together with the EVPHA~~, shall have the authority to establish such management committees as it needs to assure the safe and efficient delivery of high quality healthcare to its patients and the citizens of the Commonwealth.

ARTICLE VIII

THE MEDICAL STAFF AT UNIVERSITY HOSPITALS

8.1. Organization, Appointments, Reappointments, and Corrective Action

8.1.1. Authority for the development of relationships between the medical staff and the University Hospitals and for the development of quality assurance systems will be vested in the ~~University Hospital~~ Committee. The Medical Staff Executive Committee (MSEC) of each hospital is the committee of the its Medical Staff that functions as the principal liaison between Medical Staff, ~~that Hospital's~~ Administration, and the ~~University Hospital~~ Committee.

8.1.2. The ~~University Hospital~~ Committee shall establish, appoint and maintain medical staffs at the University Hospitals comprised of qualified physicians, dentists, and other credentialed healthcare providers and shall encourage its organization into a responsible administrative unit, the medical staff. The medical staff at each hospital shall be governed by ~~its~~ the Medical Staff Executive Committee. The Medical Staff Executive Committee shall recommend medical staff bylaws, rules and regulations for the governance of the medical and dental practice in ~~that~~ the Hospital, as well as governance of the practice of any other healthcare providers permitted to practice in ~~that~~ hospital. When approved by the ~~University Hospital~~ Committee, such bylaws, rules and regulations shall be binding upon both the medical staff and the Medical Staff Executive Committee of the respective Hospital.

8.1.3. The ~~University Hospital~~ Committee shall consider recommendations of the Medical Staff Executive Committee of each Hospital for appointment to ~~its~~ the Medical Staff, consistent with the educational, research, patient care, and community service goals of ~~that~~ the Hospital, of physicians, and dentists who meet the qualifications for membership as set forth in the Hospital's Medical Staff Bylaws. Each member of the respective Medical Staff shall have appropriate authority and responsibility for the care of their patients, subject to such limitations as are contained in these Operating Rules ~~bylaws~~ and the respective Medical Staff Bylaws, respective Rules and Regulations of the Medical Staff and subject further to any limitation attached to their appointment or clinical privileges.

- 8.1.4. All applications for Medical Staff membership and clinical privileges at any University Hospital shall be in writing and addressed to the ~~University Hospital~~ Committee through the ~~Chief Medical Officer Associate Vice President for Medical Center Operations, if to UK Chandler Hospital, or from its Designated Hospital Administrator, if to any other University Hospital,~~ from the Medical Staff Executive Committee of that Hospital. The applications shall include detailed information concerning the applicant's qualifications, education and training, professional competence and experience, physical and mental health status, ethical character, ability to work with others, and any additional qualifications as required for a specific staff category to which an applicant seeks appointment and privileges.
- 8.1.5. At its next regular meeting, following receipt of the application from the ~~Associate Vice President for Medical Center Operations or the Designated Hospital Administrator, as the case may be~~ Chief Medical Officer, the ~~University Hospital~~ Committee shall act upon the application. The Chief Medical Officer shall notify the applicant in writing of the ~~University Hospital~~ Committee's approval, or disapproval of the application, including the recommended delineation of privileges or any changes in clinical privileges differing from those recommended.
- 8.1.6. Upon receipt of the action of the ~~University Hospital~~ Committee on any application, the Chief Medical Officer also shall send a copy of said written notification to the ~~appropriate Associate Vice President for Medical Center Operations or Designated Hospital Official, as the case may be,~~ the respective Medical Staff Executive Committee, and the chair of the department concerned (Chief of Clinical Service).
- 8.1.7. All actions of the ~~University Hospital~~ Committee shall be effective when taken, including the delineation of clinical privileges.

8.2. Medical Care and Its Evaluation

- 8.2.1. The Committee shall, in the exercise of its discretion, grant to the Medical Staff of the respective Hospital the responsibility for providing appropriate professional care to ~~that~~ the Hospital's patients.
- 8.2.2. The Medical Staff of each University Hospital shall conduct a continuing review and appraisal of the quality of professional care rendered in ~~that~~ the Hospital, and shall report such activities and their results to the ~~University Hospital~~ Committee as specified by its respective ~~the~~ Medical Staff Executive Committee.
- 8.2.3. The Medical Staff Executive Committee of each University Hospital shall make recommendations to the ~~University Hospital~~ Committee concerning: (1) appointments, reappointments, and ~~of~~ Medical Staff terminations ~~status~~, (2) granting of clinical privileges to Medical Staff members and health professional affiliates, (3) disciplinary actions, (4) all matters relating to professional

competency, and (5) such specific matters as may be referred to it by the Committee.

- 8.2.4. All corrective actions shall be consistent with the grounds, criteria, and hearing procedures outlined in the Medical Staff Bylaws.

ARTICLE IX HOSPITAL AUXILIARY

- 9.1. Organization: There may be organized ~~one or more~~ Hospital Auxiliaries~~y~~ to render service to the University Hospitals and ~~their~~^{its} patients. Membership shall be open to all interested in contributing their time and talents to serve the ~~respective~~ hHospital. There shall be formal bylaws, approved by ~~the University Hospital~~ Committee, which set forth the purpose, membership, methods of assignment, election of officers, duties of officers, and committees of the organization.

ARTICLE X AMENDMENTS

- 10.1. Process: Except as herein provided, these Operating Rules~~Bylaws~~ may be amended, altered, or repealed only by the consent and approval of a majority of the ~~M~~members of the entire Committee. No amendment or other change in the Operating Rules~~Bylaws~~ shall be effective unless and until it has been approved by the Board of Trustees of the University of Kentucky.

ARTICLE XI FISCAL YEAR

- 11.1. The fiscal year of the University Hospitals and clinical enterprise shall commence on July 1.