POLICIES AND PROCEDURES FOR SOLICITING, RECEIVING, RECORDING, AND ACKNOWLEDGING GIFTS AT THE UNIVERSITY OF KENTUCKY

In order to provide excellence of program which goes beyond the absolute necessities of higher education, funds must be obtained from unrestricted gifts, endowments, and gifts for specific purposes. These gifts which assist in providing the excellence desired will come from the University's alumni and other friends as well as from associations, corporations, and foundations.

To assure the University of having a continuing, active gift seeking effort, an Office of Development was established in 1965. Sensing the need for, and the value of, the involvement of persons of high caliber whose advice would serve the private gift seeking effort of the University, the Board of Trustees subsequently on April 5, 1966, established the University of Kentucky Development Council which serves in an advisory capacity to the President and, through the President, to the Board of Trustees for all private fund development for the entire University. This Council is comprised of not more than 300 members.

The University of Kentucky Development Council is headed by a Board of Directors consisting of up to 30 members. The Chairperson of the Board of Trustees, the President of the University, the Vice President for University Relations, and the Associate Vice President for Development shall serve as ex officio members of the Council's Board of Directors. The elected members of the Board of Directors shall include at least fourteen alumni and at least two members of the Board of Trustees.

The Office of Development staff seeks to perform its assignment of the development of private funds in cooperation with the Board of Trustees, the President, the chancellors of the academic sectors, the vice presidents, and the Development Council. To the extent its personnel and budgetary resources will allow, the Office of Development will assist the academic areas and their organizational units in obtaining gifts from private sources within the policies and gift priorities established by the University's Board of Trustees.

In a further effort to expand the University's private gift programs and to assure good relations with the donors of all gifts to the University, a Gift Receiving Office exists within the Office of Development. The Gift Receiving Office receives, processes, and acknowledges all gifts from private sources.

I. Office of Development Objectives

A. To encourage increased voluntary support of the University of Kentucky.

B. To process all gifts received by the University in a quick, accurate, and personal manner.

C. To establish and maintain a central source of information relative to all gifts received by the University.

II. Definition of Gifts

A. Restricted Gifts

Restricted gifts are funds available for financing current operations, but which are limited by donors and other external agencies to specific expenditure purposes, programs, or organizational units. Restricted funds shall be utilized in compliance with regulations, restrictions, or limitations imposed by donors providing such funds. Funds received in support of specific contract/grant activities which benefit the sponsor directly are not considered gifts to the University.

Restricted Gifts include:

1. Gifts for specific program objectives; and

2. Gifts designated for discretionary use by a specific organizational unit.

B. Unrestricted Gifts

Unrestricted gifts are funds available for financing current operations, but which are not limited by donors to specific expenditure purposes, programs, or organizational units.

III. Gift Seeking and Receiving Policies

A. The Board of Trustees has established a goal of attaining excellence through soliciting gifts for the University of Kentucky to include the following: gifts which are unrestricted as to use for developing excellence in the University with special reference to (a) attracting and retaining quality faculty with focus on gifts and research, program enhancements and endowment, buildings, and equipment, and (b) attracting outstanding students through gift support for scholarship, fellowship, loan, honors, and other related programs.

B. All faculty and staff are encouraged to identify and cultivate gift prospects. All efforts by University faculty and staff to solicit gifts are required by University policy to be channeled through the Office of Development.

The Associate Vice President for Development will coordinate efforts to solicit major gifts with the appropriate chancellor or vice president, or with the President.

C. A member of the faculty or staff shall not form, or assist in forming, any entity, corporate or otherwise, for the purpose of soliciting

or receiving any gift, without prior written approval. A member of the faculty or staff shall not establish any account in a banking institution into which such funds are, or may be, deposited.

D. The Office of Development staff will be responsible for coordinating the following gift-related activities:

1. Capital fund campaigns;

2. Deferred giving bequests and trusts;

3. Long-term development of individual or family relationships;

4. Personal contacts with industry for gifts (non-contract/grant);

5. Annual Giving programs; and

6. Administrative clearances, transmittal, and follow-up with private foundations or corporations for gifts (non-contract/grant).

E. The Office of Development coordinates a gift for research with the Office of Sponsored Program Development (OSPD), the Office of Sponsored Project Administration (OSPA), and other appropriate offices when the gift requires: (1) use of human subjects; (2) use of animals; (3) use of radioactive or hazardous materials; (4) allocation of University space; or (5) preparation of a detailed budget to be submitted to the donor. The Office of Development also provides a quarterly report to (OSPA) on the total amount of gifts received for research.

F. Every gift of funds received by a University office or by a faculty or staff member shall be forwarded immediately via Campus Mail, U. S. Mail, or, when cash is involved, personally delivered to the Office of Development. When a gift is received by a community college, the gift will be deposited immediately in a local bank, and a copy of the cash transmittal form will be forwarded to the Office of Development. This policy covers any gift for deposit to the University of Kentucky, University of Kentucky Research Foundation, Fund for Advancement of Education and Research in the Medical Center, University of Kentucky Athletics Association, University of Kentucky Business Partnership Foundation, University of Kentucky Center on Aging Foundation, University of Kentucky Mining Engineering Foundation, University of Kentucky Humanities Foundation, University of Kentucky Equine Research Foundation, or Tobacco and Health Research Foundation. It does not include grants/contracts relating to sponsored projects at the University.

All gifts for deposit to the University of Kentucky should be made payable to the University of Kentucky.

Whenever a gift in kind, such as a book, an art object, a vehicle, or land is contributed, the Office of Development is to be notified of the gift and its value by letter immediately.

G. The Board of Trustees has authorized the President to accept pledges and gifts in cash or kind up to the amount or value of $100,000; further, the President is authorized to accept gifts in excess of $100,000 where the President deems acceptance a matter of urgency, provided that all such pledges, and gifts, after acceptance, are reported regularly to the Board of Trustees.

The Office of Development prepares and mails official receipts and appropriate letters of appreciation for all gifts on behalf of the President and the Board of Trustees.

H. The Office of Development will deposit to an appropriate University account in the Office of Controller and Treasurer each gift of funds received in keeping with the donor's designation and normally as instructed by the person in charge of the University activity for which the gift is intended.

I. Requests by donors for information as to the balances remaining in funds they have established at the University should be forwarded to the Office of Development for an appropriate reply.

IV. Procedures for Receiving, Depositing, Acknowledging, and Reporting Gifts

A. If the gift is received in a campus office or by a University representative, the office or representative shall forward the actual check and a copy of the donor's letter stating the purpose and restrictions of the gift, if any, immediately (same day received) to the Office of Development.

The campus office or University representative shall furnish the name and number of the account to which the gift is to be deposited, the name and address of the donor, and the name and address of the person to receive an acknowledgment if different from the donor. Any additional information that will assist the Office of Development in preparing the University's letter of appreciation also should be furnished. If the gift is to be deposited into a new account, an Account Information Sheet which details the account name, the name of the proposed responsible person, and a description of the gift's purpose should be forwarded to the Office of Development. The Gift Receiving Office will obtain an account number from the Office of Controller and Treasurer, deposit the gift, and inform the department of the new account number. (Documentation must accompany the Account Information Sheet, i.e., letter from the donor defining the purpose of the account.)

1. Whenever the gift is in the amount of $100 or more, a letter of appreciation from the chairperson, director, dean or president of a college, chancellor, or vice president should be sent to the donor. A copy of this correspondence should be sent to the Office of Development.

2. If the gift is in the form of securities, the Office of Development will need to know the date the donor relinquished control of the asset. Therefore, the donor's gift envelope and a copy of all the donor's correspondence should be forwarded with the securities.

B. If a gift intended for a special purpose arrives in the Office of Development, that office will obtain from the unit for which the gift is intended the appropriate account name and number, deposit the gift, and prepare a receipt and a letter of appreciation.

C. Upon receipt of the gift and accompanying materials, the Office of Development will:

1. Complete the University's official receipt;

2. Prepare cash transmittal forms and deposit all gifts received by the University to the designated University account in the Office of Controller and Treasurer within twenty-four hours or the next working day after being received by the Office of Development. Deposits will not be made to any restricted account without the donor's letter or pledge card. All cash transmittals depositing gifts to restricted discretionary fund accounts and new donations to any restricted account must be supported with a copy of the donor's letter setting forth all restrictions except for annual giving fund or Fellows' gifts.

3. Write an appropriate letter of acceptance and appreciation;

4. Enter the gift and all relevant information on a permanent, confidential donor's gift record;

5. Mail the receipt and letter of thanks to the donor;

6. Send a copy of the receipt and a monthly report to the chief administrative officer of the University unit involved for every designated gift received; and

7. Prepare an annual report listing the names of donors of all gifts to the University. The amount of the individual's gift will not be shown in this annual report.

All gifts for research (not a sponsored project or of a contractural nature) processed by the Office of Sponsored Projects Administration will be receipted and recorded by the Office of Development as described above. (An example would be when a gift for research requires a budget and must be processed through Research Accounting.)

Although a University office handles a gift according to the procedures detailed herein, and the Office of Development subsequently accepts and deposits the gift to an income account, the University office involved must follow established policy of the Board of Trustees before expending the funds. The University office must present a request for an expenditure authorization to the Office of Planning and Budget for the approval of the Board of Trustees in order that expenditures can be processed against the gift fund.

D. The Office of Development is responsible for:

1. Determining if the funds received are gifts rather than payments for goods or services;

2. Determining that the gifts are placed in the correct fund accounts, especially in cases involving restricted discretionary accounts; and

3. Maintaining the documentation for all gifts received which includes letters, annual giving cards, copies of checks, etc., from the donors.

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POLICIES GOVERNING PRIVATE FUNDING OF ACADEMIC POSITIONS

The following policies shall govern the establishment of permanent endowment or other private funding for academic positions:

A. Prior approval by the Board of Trustees is required for the establishment and announcement of an endowment or other private funding and for an appointment made to an academic position supported by private gifts.

B. Negotiations or commitments implying the establishment of an academic position supported by private gifts will not be undertaken by any faculty member or officer of the University until a proposal for these has been approved by the appropriate chancellor or vice president.

C. Solicitation of private funds for academic positions will not be made without prior approval of the Associate Vice President for Administration for Alumni and Development and the appropriate dean, chancellor, or vice president.

D. All solicitation of gifts for support of academic positions and the handling of these gifts will be done in accordance with the Policies and Procedures for Soliciting, Receiving, Recording, and Acknowledging Gifts as set forth in the Administrative Regulations (AR II-1.2-1).

E. Three categories of privately-funded academic positions will be established: chair, professorship, and lectureship.

1. A chair will be established with a minimum gift of $1,000,000 in the University System, $400,000 in the Community College System, or the equivalent in annual contributions arranged according to agreements recommended by the President and approved by the Board of Trustees. The University may provide from University funds such supplemental amounts as are necessary to set the salary of the holder of the chair at a level commensurate with the individual's record, experience, and position in the faculty. Income from the gift will be used for both salary and other professional support of the holder of the chair, including assistance for research.

2. A professorship will be established with a minimum gift of $100,000 or the equivalent in annual contributions arranged according to agreements recommended by the President and approved by the Board of Trustees. Income from the gift will be used chiefly to supplement the salary of the holder of the professorship but will be available for other professional support, including assistance for research.

This policy in no way alters or prohibits the establishment of University Alumni Professorships on a continuing appointment basis, College Alumni Professorships on an annual appointment basis, or other such professorships associated with educational units, under terms approved by the President of the University.

3. A lectureship will be established with a contribution in the range of $10,000 to $100,000. The lectureship will be considered a temporary appointment, usually given to a visiting scholar during temporary residence at the University. Other emoluments may be provided for the visiting scholar through regular budgetary procedures, but no visiting scholar will be remunerated from two or more lectureship endowments or gift accounts.

F. Subject to the approval of the President and the Board of Trustees, positions supported with private funds will be established in the academic area of the donor's choice and will bear the donor's name or a name of the donor's selection.

G. Appointments to all academic positions funded fully or in part from private gifts will be made in accordance with the provisions concerning academic employment as set forth in the Governing Regulations and the Administrative Regulations of the University.

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	AR II-1.3-1	1
	DATE EFFECTIVE: 6/11/92	SUPERSEDES REGULATION DATED: 3/19/92

POLICY ON PAYMENT OF UNIVERSITY OF KENTUCKY EMPLOYEES

A. Payment of Regular Salary to Faculty Employees

Faculty employees on a twelve-month assignment basis in a fiscal year, and all other faculty employees in their second year of employment and each year thereafter, except their last year when retirement occurs prior to the end of the fiscal year, will be paid in twelve equal installments in the fiscal year.

Faculty employees on an assignment basis other than twelve months will be paid in their first year of employment as follows:

Eleven-Month Assignment Basis

New faculty employees on assignment for the period of August 1 through June 30 will be paid in eleven equal installments commencing with August.

New faculty employees will be paid in twelve equal installments if their month not on assignment during a fiscal year is other than July.

Ten-Month Assignment Basis

New faculty employees on a ten-month assignment basis in a fiscal year will be paid their regular salary in eleven equal installments commencing with August.

Nine-Month (or Academic Year) Assignment Basis

New faculty employees on a nine-month (or academic year) assignment basis in the fiscal year will be paid their regular salary in eleven monthly installments, commencing in August.

Exceptions to this payment basis may be approved by the Controller and Treasurer of the University of Kentucky upon recommendation of the appropriate chancellor or vice president.

Should a faculty employee on a nine-month, ten-month, or eleven-month assignment basis terminate employment prior to the completion of the assignment period, payment of earned salary or reimbursement for an overpayment will be calculated according to Section A, B, or C of AR II-1.3-2, as appropriate. Where termination of employment occurs through retirement, payment of the balance of earned salary or reimbursement for an overpayment will be made in the last month of the assignment period.

B. Payment of Regular Salary to Non-Faculty Employees

Administrative, professional, other staff, and student personnel that qualify for exemption from both the minimum wage and the overtime provisions of the Fair Labor Standards Act will be paid their regular salary on a monthly basis, July through June. Exceptions to this payment basis may be approved by the Controller and Treasurer of the University of Kentucky.

Classified, other staff, and student personnel who are subject to the minimum wage and/or the overtime provisions of the Fair Labor Standards Act will be paid biweekly on an hourly rate basis. Time records are required to be maintained in the various departments and offices for these employees and reported on the biweekly Time Report in accordance with applicable University policy.

Questions concerning the minimum wage and overtime provisions of the Fair Labor Standards Act arising in the Community College System, Lexington Campus, Medical Center, or in the Central Administration sectors should be directed to the Personnel Division serving that organizational sector.

C. Payment of Supplemental Compensation to Employees

Any supplemental compensation due University employees will be paid in accordance with applicable University policy and procedures governing such payments.

These payments will be scheduled by the Controller's Division Payroll Department.

PRORATION OF SALARY AND VACATION LEAVE FOR FACULTY MEMBERS WHOSE EMPLOYMENT TERMINATES PRIOR TO THE END OF AN ASSIGNMENT PERIOD

A. Faculty Member Employed on a Nine-Month (or Academic Year) Assignment Basis

The assignment period for a faculty member in this category is August 16 through May 15. One-ninth of annual salary is considered to be earned for each full month of service during this assignment period. A faculty member whose employment terminates prior to May 15 shall have earned one-ninth of annual salary for each full month of completed service. If termination of employment occurs at a time other than month-end, the salary for that month shall be prorated on a basis of calendar days. If earned salary is less than the amount which has been paid to the faculty member at the time of termination of employment, the faculty member shall be required to reimburse the University for the difference.

B. Faculty Member Employed on a Ten-Month Assignment Basis

The assignment period for a faculty member in this category is normally August 1 through May 31; however, with prior consultation with the affected faculty member and approval by the appropriate chancellor or vice president, the two months when the faculty member is not on regular assignment during the fiscal year may be other than June and July. One-tenth of annual salary is considered to be earned for each full month of service during the assignment period. A faculty member whose employment terminates prior to the end of the assignment period shall have earned one-tenth of annual salary for each full month of completed service. If termination of employment occurs at a time other than month-end, the faculty member's salary for that month shall be prorated on the basis of calendar days. Taking into account also Section E concerning vacation leave, if earned salary is less than the amount which has been paid to the faculty member at the time of termination of employment, the faculty member shall be required to reimburse the University for the difference.

C. Faculty Member Employed on an Eleven-Month Assignment Basis

The assignment period for a faculty member in this category is normally August 1 through June 30; however, with prior consultation with the affected faculty member and approval by the appropriate chancellor or vice president, the month when the faculty member is not on regular assignment during a fiscal year may be other than July. One-eleventh of annual salary is considered to be earned for each full month of service during an assignment period. A faculty member whose employment terminates prior to the end of an assignment period shall have earned one-eleventh of annual salary for each full month of completed service. If termination of employment occurs at a time other than month-end, the faculty member's salary for that month shall be prorated on the basis of calendar days. Taking into account also Section E concerning vacation leave, if earned salary is less than the amount which has been paid to the faculty member at the time of termination of employment, the faculty member shall be required to reimburse the University for the difference.

D. Faculty Member Employed on a Twelve-Month Assignment Basis

The assignment period for a faculty member in this category is July 1 through June 30. One-twelfth of annual salary is considered to be earned for each full month of service during this assignment period. A faculty member whose employment terminates prior to June 30 shall have earned one-twelfth of annual salary for each full month of completed service. If termination of employment occurs at a time other than month-end, the faculty member's salary for that month shall be prorated on the basis of calendar days (refer also to Section E concerning vacation leave).

E. Vacation Leave

A faculty member employed full-time on a ten-month, eleven-month, or twelve-month assignment basis is entitled to 22 working days of vacation leave with pay per assignment period. Vacation leave normally cannot be accumulated from one assignment period to another, except that a faculty member on a twelve-month assignment basis may take vacation leave either during the assignment period in which the vacation leave is earned or during the subsequent assignment period. Under unusual circumstances, provided it is in the best interest of the University and has advance approval by the appropriate chancellor or vice president, 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. A faculty member on a nine-month assignment basis has no entitlement to vacation leave.

Vacation days earned per month during an assignment period and the terminal vacation pay per day of unused vacation leave shall be calculated as follows:

Type of Assignment Period	Vacation Days Earned Per Month During an Assignment Period*	Terminal Vacation Pay Per Day of Unused Vacation Leave in an Assignment Period (APS = Assignment Period Salary)
Ten-Month	2.200	APS/217
Eleven-Month	2.000	APS/238
Twelve-Month	1.833	APS/260

* Vacation allowance earned for a period of less than one month shall be prorated on the basis of calendar days for that month.

Faculty members shall be paid for earned but unused vacation leave, up to a maximum of 22 days, at the time of termination of employment. In reverse manner, faculty members shall be required to reimburse the University for paid vacation leave used in excess of the amount earned at the time of termination of employment.

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LAND USE, FACILITIES, AND MAJOR EQUIPMENT PLANNING AND MANAGEMENT

I. Introduction

The President is responsible for directing the overall planning and management of the physical facilities of the University of Kentucky. This responsibility entails preserving and enhancing a quality physical environment which provides efficient, functional, and pleasant surroundings for fulfilling University missions and objectives. It includes providing for effective land use, thoughtful and sensitive integration of buildings and open space, orderly utility and service networks, and safe and accessible vehicular and pedestrian systems.

The President delegates authority for accomplishing portions of the University's facilities planning and management function as outlined herein. Central Administration shall focus on the planning, oversight, and coordination of the function. Staff responsibilities for facilities policy and planning are assigned primarily to the Vice President for Administration, the Associate Vice President for Business Services, the Associate Vice President for Planning and Budget, and the Controller and Treasurer.

The chancellors shall focus on day-to-day management of assigned facilities and campus areas. The Vice Chancellor for Administration for the Lexington Campus, in collaboration with the chancellors, shall be responsible for capital construction and land acquisition as well as for the planning and management activities noted below. Other responsible parties include the Assistant Vice Chancellor for Business Services for the Lexington Campus, the Coordinator of Physical Plant Services, and the Director of the Division of Design and Construction.

II. Purpose

The purpose of this Administrative Regulation is to set forth policies, practices, and associated responsibilities for the planning and management of the University's physical facilities. This regulation recognizes the need, and specifically provides, for: (1) campus development plans; (2) space requirements plans; (3) facilities plans and interim projects; (4) major equipment plans; (5) capital construction policies and procedures; (6) debt service procedures; (7) land acquisition and disposition policies and procedures; (8) facilities management policies and practices; and (9) allocation of University space.

III. Campus Development Plans

Campus development plans are the bases upon which space requirements plans, facilities plans, and equipment plans are developed. Campus development plans define a system of land acquisition and utilization, buildings/site densities, parking, vehicular and pedestrian circulation, campus services, building materials, landscaping, and signage, which is consistent with long-range goals and projected development.

Campus development plans shall be prepared for the Central Campus in Lexington and individual community college campuses. The plan for theCentral Campus shall be prepared by the Division of Design and Construction with the advice of the chancellors. The plans for the individual community college campuses shall be prepared at the direction of the Chancellor for the Community College System by the Division of Design and Construction.

These development plans shall be reviewed and amended as necessary prior to the preparation of the biennial space requirement plans, facilities plans, and equipment plans but may be amended more frequently as needed. The plans and their amendments shall be submitted to the President for approval through the Office of Business Services; these also shall be reviewed and approved by the Board of Trustees as part of the five year planning process.

IV. Space Requirements Plans

Each sector shall prepare, as part of the five year planning process, a space requirements plan which projects space in assignable square feet required for current and planned academic and support programs. The space requirements plans shall compare existing space to projected space needs and serve as a basis for the sectors' facilities plans. They shall be submitted to the President, via the Office of Planning and Budget, for approval. The Office of Planning and Budget shall, in collaboration with the Office of Business Services, develop and distribute current space data, space standards, formatting requirements, and guidelines for the development and submission of space requirements plans.

V. Land Use Plans, Facilities Plans, and Interim Projects

Land use and facilities planning is an integral part of the comprehensive planning process and is dependent upon and interacts with academic and financial planning. The primary purpose of land use and facilities planning is to project logically and systematically the physical resources required to support University missions and objectives. Land use and facilities planning is included in the five year planning process which is conducted on a biennial schedule in conjunction with the preparation of the University's biennial budget request.

Each sector shall develop as part of its five year plan, a land use plan and a facilities plan which shall include: (1) a status report on capital construction and renovation priorities proposed in the previous plan and those subsequently approved; (2) those projects including land use acquisitions and dispositions proposed for the upcoming biennium; and (3) those projects including land use acquisitions and dispositions planned for the biennium thereafter. For each project proposed for the upcoming biennium, plans shall include details such as program descriptions, scope, funding source(s), and timetables. The Division of Design and Construction shall assist the sectors with the development of this information.

The Office of Business Services shall: (1) issue guidelines for developing sector land use and facilities plans; (2) prepare plan summaries for review by the President and the Cabinet; and (3) provide these plans to the Office of Planning and Budget for inclusion in the Five Year Plan and Biennial

Budget Request. Unanticipated needs or opportunities which occur during a biennium, for which there is no legislative authority, shall be submitted to the President through the Office of Business Services as interim projects. With the approval of the President, the Vice Chancellor for Administration for the Lexington Campus shall act to obtain external approval for these interim projects.

For a detailed description of the approval process, see Attachment A: Approval Process for Capital Construction and Renovation Projects.

VI. Major Equipment Plans

Requirements for individual items of equipment equal to or exceeding $50,000 in cost, referred to as "major equipment items" in this paragraph, shall be submitted by the chancellors to the Office of Business Services for review, development of recommendations, and provision to the Office of Planning and Budget for inclusion in the University's Five Year Plan and Biennial Budget Request. Development and submission of major equipment plans shall be coordinated by the Office of Business Services, in conjunction with, the Office of Planning and Budget. Unanticipated needs or opportunities which shall occur during a biennium, for which there is no legislative authority, shall be submitted to the President through the Office of Business Services as interim items of major equipment. With the approval of the President, the Vice Chancellor for Administration for the Lexington Campus shall act to obtain external approval for these interim items of major equipment.

VII. Prioritization of Capital Construction, Renovation, and Major Equipment Items

The chancellors shall prepare and submit to the President a single prioritized list of the capital construction, renovation, and major equipment items included in the facilities and major equipment plans for the upcoming biennium. A second listing should separate the projects according to funding source -- sector funds, University funds, and state General Fund. The President, with the advice of The Cabinet, shall establish a consolidated facilities and equipment priority list for the University as a whole. The Office of Business Services shall coordinate the development and submission of the prioritized list, and shall take actions to insure University compliance with KRS 45.750 - 45.800 as regards the financing of capital construction and equipment.

VIII. Capital Construction Policies and Procedures

Individual capital projects which involve the construction, demolition, renovation, or repair of University facilities, regardless of source of funds or whether done by campus or non-campus personnel, shall be accomplished in accordance with Attachment B: Policies and Procedures for Accomplishment of Capital Construction under House Bill 622. As stated therein, the Board of Trustees shall approve all projects estimated to cost $200,000 or more. The Finance Committee of the Board and the Board of Trustees shall be kept informed of all changes to projects on a quarterly basis. The Vice Chancellor for Administration for the Lexington Campus shall be responsible for the day-to-day administration and oversight of capital construction at the University of Kentucky. The Office of Business

Services shall have the responsibility for assuring that University priorities are maintained by the Division of Design and Construction. Monthly status reports of pending and underway capital projects shall be submitted to the respective Chancellors and the Office of Business Services by the Division of Design and Construction.

IX. Debt Service Procedures

The scheduling of projects which are funded by borrowing in each fiscal year shall be consistent with the debt service authority approved by the Kentucky General Assembly regarding total debt authority and annual debt service amounts. The Office of Planning and Budget shall be responsible for developing debt service budgets. The Controller and Treasurer shall be responsible for providing information concerning estimates of annual debt service requirements and for issuing the revenue bonds or notes.

X. Land Acquisition and Disposition Policies and Procedures

The Vice Chancellor for Administration for the Lexington Campus at the request of the respective chancellors and the President shall have the administrative responsibility for all land acquisitions and dispositions, including contractual agreements. The Office of Business Services shall be kept informed of proposals which are submitted to the President for approval. Land acquisitions and dispositions shall be in the context of the approved land use plan.

Acquisition of any parcel of property which is included in a sector's campus development plan and which does not exceed $100,000 need not go beyond approval by the Board of Trustees, as specified in Attachment C: Memorandum of Agreement between the Finance and Administration Cabinet and the University of Kentucky. For any parcel of property not included in the campus development plan or which exceeds $100,000 in purchase price, the University of Kentucky Board of Trustees must submit prior notice to the Secretary of Finance and Administration for approval. For any disposition of real property, the same procedures apply except that the State Finance and Administration Cabinet must be advised in all cases where surplus property is available in order to advise state and local agencies prior to public auction. Appraisal and bid requirements as well as rulings on lease of state-owned land or lease of real property for use by the University are also itemized in Attachment C.

XI. Facilities Management Policies and Practices

The chancellors shall be responsible for the management, administration, operation, maintenance, and repair of the facilities in their respective sectors. Communication of the status of facilities management shall be accomplished through the chancellors, the Controller and Treasurer, the Office of Planning and Budget, and the Office of Business Services as follows:

A. Chancellors

The chancellors shall:

1. Prepare and submit to the President, through the Office of

Planning and Budget, annual facilities operations and maintenance budgets regarding the current fiscal year and projections for the upcoming year;

2. Assess and report annually (within 60 days of occupancy of new facilities) space assignments, room uses, and other applicable data to the Controller and Treasurer;

3. Assess and report annually the condition of their facilities to the Office of Business Services;

4. Prepare and submit quarterly reports concerning utilities to the President through the Office of Business Services; and

B. Controller and Treasurer

The Controller and Treasurer shall:

1. Maintain an inventory of physical facilities and real property;

2. Collect annual verification of space assignments, room uses, and other applicable data from the sectors to keep the physical facilities inventory current;

3. Provide the Office of Planning and Budget with an updated and coordinated building and room inventory on tape one week prior to February 1 and October 1 each year;

4. Coordinate with the Computing Center to archive each file;

5. Provide the Office of Planning and Budget established printouts from these files;

6. Provide the chancellors, the Office of Planning and Budget, the Office of Business Services, and the Division of Design and Construction monthly Plant Fund status reports;

7. Maintain an inventory of space contracted for use off campus by sector operating units and provide an annual listing to the Office of Business Services; and

8. Provide, in conjunction with the Business Office of Design and Construction/Physical Plant Division, the Capital Construction and Equipment Purchase Oversight Committee of the Legislative Research Commission with the annual Capital Construction Status Report prior to September 1 of each year in accordance with KRS 45.760(12).

C. Associate Vice President for Planning and Budget

The Associate Vice President for Planning and Budget shall:

1. Provide regular inventory analyses to the President and Cabinet along with semester utilization studies; and

2. Transmit room and building inventories to the Council on Higher Education on October 1 and February 1 of each year.

D. Associate Vice President for Business Services

The Associate Vice President for Business Services shall:

1. In collaboration with the sectors develop, install, and maintain a system for assessing and reporting the condition of sector physical facilities;

2. Establish and maintain a computerized file regarding the status of the sectors' annual facilities and major equipment plans; and

3. Prepare, review, and analyze various physical facility reports.

XII. Allocation of University Space

Responsibility for the general allocation of space as a resource at the University of Kentucky shall reside in the Office of the President. Specific space allocations shall be made to the chancellors for their program needs. New facilities shall be under the general management of the chancellor to whom these are allocated at the time of acquisition. A facility which is vacated in whole or in part for occupation of a newly constructed or acquired facility shall revert to the Office of the President at the time of the acquisition of the newly constructed or acquired facility unless prearranged otherwise. Prearrangement constitutes submitting in writing to the Office of the President justification for retaining such space at the time of funding of the new facility and receiving approval of the retention of the approved space.

University property may be rented only after it has been determined that the property cannot be used immediately for academic or associated support programs. Agencies and organizations allied with the University shall be given consideration in the allocation of available on-campus space or available real property. The rent charged for such space, except in cases approved by the Office of the President, shall be sufficient to cover all costs involved.

Relative to their allocated space, the chancellors shall have the responsibility to: (1) inform the Controller and Treasurer (Office of Space Inventory) of all space allocations, reallocations, and reassignments; (2) inform the Controller and Treasurer of space rentals at the time of the annual verification of space assignments, including both sector-allocated space which is lent to outside agencies and off-campus space contracted for occupation by sector operating units; and (3) determine that adequate space is available to accommodate research contracts and grant proposals before such proposals are submitted to sponsoring agencies. These responsibilities are described in Attachment D: Allocation of University Space.

ATTACHMENT A

APPROVAL PROCESS FOR CAPITAL CONSTRUCTION
AND RENOVATION PROJECTS

A. Projects Requiring Approval

1. Projects requiring approval by the Council on Higher Education include:

a. New construction of a scope of $200,000 or more; and

b. Repair, renovation, and maintenance projects of a scope of $200,000 or more.

2. Projects requiring approval by the Board of Trustees include all those of a scope of $200,000 or more.

3. Projects requiring approval by the President include all of those mentioned above plus those projects of a scope under $200,000 which:

a. Are in conflict with established University facilities and renovation priorities;

b. Affect governing policies such as changing the original intent of a building;

c. Affect current land use, traffic patterns, and safety issues addressed in sector campus development plans; and/or

d. Require a significant effort on the part of the Division of Design and Construction.

B. Planned Near Term Capital Construction and Renovation Projects

1. Biennially, as part of the five year planning process, the Office of Business Services shall request the sectors to submit their near term capital construction and renovation plans to include status reports on each specific project proposed in the previous biennial request, updated project descriptions, justifications, costs, sources of funds, location, and priorities.

2. The Office of Business Services shall compile the submitted projects and present these for Cabinet discussion. After Cabinet review and approval by the President, the Office of Business Services shall transmit the projects which are to be undertaken during the biennium to the Division of Design and Construction for detailed analyses.

3. The Division of Design and Construction shall prepare the information required by Central Administration and the Council on Higher Education, and forward this information to the Office of Business Services with recommendations as to technical feasibility and location of project.

4. The Office of Business Services shall review the near term project information and resolve problems with the Division of Design and Construction, the appropriate chancellor, and the President, as necessary. Following this, the Office of Business Services shall, as appropriate, facilitate and inform responsible University personnel of the submission to and approval of projects by the Board of Trustees, the Council on Higher Education, and the executive and legislative branches of state government.

C. Interim Capital Construction and Renovation Projects

1. Projects which develop outside of the biennial planning process shall be administered individually.

2. The chancellors, with the support of the Division of Design and Construction, shall prepare the information required by Central Administration and the Council on Higher Education and forward it to the Office of Business Services for approval processing.

3. The Office of Business Services shall review project requests for completeness, resolve problems in coordination with the Division of Design and Construction, and submit requests to the President for approval. With the approval of the President, the Vice Chancellor for Administration for the Lexington Campus shall act to obtain external approval for the interim projects.

4. The Office of Business Services shall facilitate and inform responsible University personnel of the submission to and approval of projects by the President, the Board of Trustees, and the Council on Higher Education.

ATTACHMENT B

POLICIES AND PROCEDURES FOR THE ACCOMPLISHMENT
OF CAPITAL CONSTRUCTION UNDER HOUSE BILL 622

A. Policies

It shall be the policy of the Board of Trustees of the University of Kentucky to:

1. Approve all capital projects undertaken by the University of Kentucky with specific prior approval for all projects estimated to cost $200,000 or more;

2. Accomplish all capital construction under House Bill 622 in strict accordance with all existing municipal, state, and federal ordinances, statutes, and regulations applicable to same, and with particular reference to the State Model Procurement Code;

3. Select the most competent architects, engineers, and related consultants for design work exclusively on the basis of merit;

4. Select Kentucky resident architects, engineers, and related consultants for all design work unless a particular project requires an expertise beyond the capabilities of consultants in the Commonwealth;

5. Accomplish all capital construction as economically as possible, but to compensate all architects, engineers, and related consultants fairly, on a lump-sum fee basis;

6. Award construction contracts on the basis of sealed bids or competitive negotiations to the lowest and best bidder or proposer; and

7. Fix responsibility for capital construction at the University of Kentucky with the President as set forth in Finance Committee Resolution 4, adopted by the Board of Trustees on June 22, 1982.

B. Procedures

1. The University shall assemble a detailed file of all architects, engineers, and related consultants who have indicated they wish to work for the University. Form 254 utilized by the U.S. General Services Administration shall be used to collect information about each firm. The University reserves the right to collect additional information that it may require on forms it may devise. All forms shall be reviewed, and the central file on qualified consultants maintained by the University of Kentucky Division of Design and Construction shall be updated annually.

2. The University shall advertise all projects for which it seeks architects and other consultants in appropriate newspapers and journals as required by law. Architectural firms (hereafter termed "consultants") wishing to respond to specific advertisements must have Form 254 referenced in section B.1. above on file with the University of Kentucky Division of Design and Construction. The consultants' responses shall be

submitted in writing to the University of Kentucky Division of Design and Construction.

3. A special committee of University personnel shall select all consultants. This selection committee shall be comprised of the following members: Vice Chancellor for Administration for the Lexington Campus, Chairman; Vice President for Administration; Director of the Division of Design and Construction; and the respective chancellor for whom a project is being constructed.

4. For projects costing less than $200,000, the selection committee may delegate to the Director of the Division of Design and Construction full responsibility for selection of consultants. For projects costing $200,000 to $1,000,000, the selection committee may delegate to the Director of the Division of Design and Construction responsibility for selection of consultants, upon consultation with the appropriate chancellor. For projects of $1,000,000 or more, the committee shall sit as a group and hear proposals from consultants who are on a "short list" selected by the Director of the Division of Design and Construction. The Director shall set forth in writing the criteria for selection of all consultants.

5. For projects costing $1,000,000 or more, the selection committee shall use, to the extent feasible, objective criteria which shall be weighted. Upon presentation of proposals to the selection committee, the committee shall score and otherwise complete a rating form on each proposer. The rating forms shall be tabulated to select the consultant who is the first choice of the committee, second choice of the committee, etc., until all consultants making proposals are placed in rank order.

6. It shall be the responsibility of the Director of the Division of Design and Construction, on advice of the Vice Chancellor for Administration for the Lexington Campus and the appropriate chancellor, to attempt to negotiate a fee with the consultant who was the first choice of the selection committee. Should the negotiations with the consultant who was the first choice of the committee be unsuccessful, then the Director shall attempt to negotiate successfully with the consultant who was second choice of the committee. The Director shall proceed sequentially until a successful negotiation has been concluded. Should none of the negotiations with the ranked consultants prove successful, the process shall be terminated and started over again.

7. In the process of selecting a consultant for a particular project, it shall be the responsibility of the consultant who is making a proposal to put together a personally selected design team which shall include mechanical engineers, electrical engineers, and other consultants. The rating of proposals by the selection committee shall be based in part on the strength of consultants who form the design team.

8. A project normally shall have three parts. The first part shall encompass the programming phase; the second part shall include the complete design phase; and the third part shall encompass the construction phase.

9. Once final plans and specifications for a project are completed and the project is ready for bidding, the Division of Design and Construction shall turn the project over to the University of Kentucky Division of Purchasing which shall advertise the project for bid in accordance with the State Model Procurement Code.

10. All bids shall be evaluated by the private consultant and the Director of the Division of Design and Construction who shall individually make recommendations in writing. The Director of the Division of Design and Construction shall transmit the contract consultant's recommendation to the Director of Purchasing.

11. The Director of Purchasing shall review all bids as well as the recommendations referenced in section B.10. above and shall make a formal recommendation to the Vice Chancellor for Administration for the Lexington Campus who shall sign and award a contract to the successful bidder. As a general rule, contracts will be awarded to the responsible bidder submitting the lowest bid and complying with all conditions of the bidding document, provided the bid is reasonable. All contract documents shall be reviewed and approved by the Legal Counsel of the University before the Vice Chancellor shall sign same.

12. All appeals from the award of contracts shall be submitted to the University's Purchasing Review Committee comprised of the University of Kentucky Legal Counsel, the Vice President for Administration, and the Assistant Vice Chancellor for Business Services for the Lexington Campus. The Committee's decision on all appeals shall be final.

13. The contract consultant for any given project shall hire and direct a resident inspector who shall supervise the work of the construction contractor when appropriate. The Division of Design and Construction also shall utilize the services of on site representatives who shall represent the interests of the University in the construction phase of a project.

14. During the construction phase of a project, the Director of the Division of Design and Construction may recommend change orders to the Vice Chancellor for Administration for the Lexington Campus. The Vice Chancellor is authorized to approve all change orders and shall notify the respective chancellor of all approved change orders on a regular basis. Additionally, the Vice Chancellor shall report these to the Finance Committee and the Board of Trustees on a quarterly basis. Change orders in sum shall not exceed the amount of funds established in the individual project contingency fund available to cover same.

15. Payments to architects, engineers, other consultants, and contractors shall be made by the Controller and Treasurer upon certification by the Director of the Division of Design and Construction that such design or construction work as supported by attached invoices has actually been accomplished.

16. All contracts, change orders, and final (total) payments to consultants or contractors shall be reported to the Board of Trustees through the Finance Committee on a quarterly basis. Any departure from a project originally approved by the Board of Trustees with reference to scope

or function shall be submitted to the Board of Trustees through the Finance Committee before a project shall proceed.

17. Responsibility for the day-to-day administration and oversight of capital construction at the University of Kentucky is assigned by the President to the Vice Chancellor for Administration for the Lexington Campus.

Attachment C

MEMORANDUM OF AGREEMENT
BETWEEN
THE FINANCE AND ADMINISTRATION CABINET AND
THE UNIVERSITY OF KENTUCKY, LEXINGTON, KENTUCKY

This Memorandum of Agreement on GENERAL POLICIES AND OPERATIONAL PROCEDURES between the Finance and Administration Cabinet and the University of Kentucky, an institution of higher education, is adopted to coordinate and explain the functions of real property administration pertaining to the University of Kentucky.

Purpose: This memorandum is to detail certain mutual understandings pertaining to implementation of House Bill 622 adopted by the 1980 General Assembly.

The Finance and Administration Cabinet, as well as the University of Kentucky, have certain functions and responsibilities to perform in relation to real property administration in the Commonwealth. These functions and responsibilities are mandated by law and by administrative regulations under statutory authorization.

To enhance coordination between the University and the Finance and Administration Cabinet, the Cabinet and the University enter upon this agreement of understanding on policies and procedures by which the parties involved can perform their responsibilities in concert. In the interest of the public trust and efficiency in government, the University of Kentucky and the Finance and Administration Cabinet agree to the following general policies and procedures regarding real property administration:

1.0 Acquisition - The governing board of the University, upon the approval of the Secretary of the Finance and Administration Cabinet, may purchase or otherwise acquire all real property determined to be needed for the University's use.

1.1 In purchasing land and/or buildings, including acquisition of easements for the use and benefit of the Commonwealth, the following procedures will be observed:

1.1.a. The University shall provide information to the Secretary of the Finance and Administration Cabinet in regard to the Master Plan for the main campus for real property acquisition, for approval. Any parcel of property which does not exceed $100,000 in price may be acquired without further approval. The University will notify the Commissioner of the Department for Facilities Management when it commences the acquisition process. The letter of notification shall include a copy of the appraisal report.

1.1.b. For any parcel of property not included in an approved Master Plan or for which the price exceeds $100,000, the University board shall submit prior notice of its intent to the Secretary of Finance and Administration. Upon approval of the acquisition proposal by the Secretary of Finance and Administration, the University will proceed to acquire the specified property and implement relocation assistance as appropriate.

1.1.c. The University will initiate the appraisal procedure to include selection of a qualified appraiser(s). Properties that will exceed $100,000 in price shall have two appraisals.

1.1.d. The amount paid for the property shall not exceed the appraised value as determined by a qualified appraiser(s).

2.0 Disposition - The governing board of the University shall sell or otherwise dispose of real property of the University which it has determined is not needed, has become unsuitable for public use, of for which some other use consistent with the public interest would be more suitable.

2.1 The following procedures will be observed in the sale of state-owned land and or buildings.

2.1.a. The University will advise the Finance and Administration Cabinet of the availability of any surplus real property prior to disposal.

2.1.b. The Finance and Administration Cabinet will advise appropriate state and/or local agencies of this availability.

2.1.c. If any state or local government agency is interested in the surplus property, the Finance and Administration Cabinet will act as intermediary for transfer of the specified property at the appraised or agreed upon price of the real property.

2.1.d. If no state or local governmental agency is interested in the surplus property, the University will proceed with appraisal(s) which will be submitted to the Finance and Administration Cabinet for review. Properties that exceed $100,000 in value will have two appraisals.

2.1.e. Unless the board deems it in the best interest of the University to proceed otherwise, all such real property shall be sold either by invitation of sealed bids or by public auction. The selling price of any interest in real property shall not be less than the amount determined by the Finance and Administration Cabinet.

2.1.f. After determination of the minimum selling price by the Finance and Administration Cabinet, the University will advise the Cabinet on what method the University intends to use in the disposition of the surplus real property and proceed accordingly.

2.2 Easements - The University will adopt procedures commensurate with those used by the Finance and Administration Cabinet in granting easements over state real property.

2.3 Demolition of Buildings - The University will adopt procedures commensurate with the Finance and Administration Cabinet when processing building demolitions.

2.4 Lease of state-owned land and/or buildings - The governing board of each University may decide that it is not in the University's best interest to sell a surplus real property holding. If it is determined, by following the steps in 2.1.a-c. above, that no state or local agencies are interested in leasing this surplus property, the University board may solicit inquiries from the private sector. Each University will adopt procedures commensurate with those used by the Finance and Administration Cabinet for leasing state property.

3.0 **Lease of Real Property** - The University may acquire real property through lease or sub-lease whenever in the judgment of the governing board it shall be necessary. The governing board shall be bound by KRS 56.800-820 regarding the leasing of property for state use. It is not the intent of this provision that the University seek the approval of the Finance and Administration Cabinet for such action.

4.0 **Reporting and Inventory** - The University will provide the essential information needed by the Finance and Administration Cabinet for real property inventory purposes.

4.1 Originals of the following shall be submitted: deeds, easements, survey plats, and title reports, from transactions transferring any interest in real property to or from the Commonwealth.

4.2 Copies of the following shall be submitted: leases or any other instruments of conveyance transferring any interest in real property.

4.3 The Finance and Administration Cabinet shall forward appropriate documents to the Secretary of State as required by law.

5.0 **Post-Audit of Transactions** - The Secretary of the Finance and Administration Cabinet may authorize post-audit review of any transaction covered by this Memorandum of Agreement.

Agreed to on behalf of the parties this 5th day of January, 1983.

University of Kentucky

Otis A. Singletary
President

For the Commonwealth of Kentucky
Finance and Administration Cabinet

Robert L. Warren
Secretary

APPROVED AS TO FORM AND LEGALITY:

Charles Wickliffe, Attorney
Finance and Administration Cabinet

COPY: University of Kentucky

ATTACHMENT D

ALLOCATION OF UNIVERSITY SPACE

I. Policy Guidelines

A. Responsibility for the allocation of space at the University of Kentucky shall reside in the Office of the President. Specific space allocations shall be made by the President to the sectors. These allocations may be made for either indefinite or fixed periods of time.

1. The Chancellor for the Lexington Campus has the responsibility for resolving all questions concerning the assignment of space allocated to the Lexington Campus.

2. The Chancellor for the Medical Center has the responsibility for resolving all questions concerning the assignment of space allocated to the Medical Center, including the University Hospital.

3. The Chancellor for the Community College System has the responsibility for resolving all questions concerning the assignment of space to the Community College System, including the Lexington Community College on the Lexington campus.

4. The Vice President for Administration has the responsibility for resolving all questions concerning the assignment of space allocated to the Central Administration.

5. The Associate Vice President for Business Services shall conduct periodic reviews of space allocation and assignment, and make recommendations to the President concerning allocation of space.

B. Responsibility for the general management (as opposed to allocation) of space in the Lexington Campus and Medical Center sectors shall reside in the offices of the respective chancellors. The Office of the Chancellor for the Community College System shall be responsible for the general management of space on the campuses of the Community College System, including the Lexington Community College on the Lexington campus. General management includes condition upkeep and rentals/leasing. Space inventory data collection shall be the responsibility of the Controller and Treasurer. The responsibility for renovation and construction unless otherwise delegated, shall be undertaken by the Division of Design and Construction or the physical plant divisions of the sectors.

1. Prior approval of the Division of Design and Construction should be obtained for any project that:

a. Changes the occupancy of a space or building;
b. Changes the means of egress from a space or building;
c. Changes the structure of a facility; and/or
d. Alters the life/fire safety systems within a facility.

2. New facilities shall come under the general management of the chancellor to whom these are allocated at the time of acquisition.

3. A facility on the Central Campus which is vacated in whole or in part for occupation of a newly constructed or acquired facility shall revert to the Office of the President at the time of acquisition of the newly constructed or acquired facility unless prearranged. Prearrangement constitutes submitting in writing to the Office of the President justification and renovation requirements for retaining such space at the time of funding of the new facility and receiving approval of the retention of the vacated space.

4. University property shall be rented only after it has been determined that the property cannot be used immediately for academic or associated support programs. Agencies and organizations allied with the University shall be given consideration in the allocation of available on-campus space or available real property. The rent charged for such space shall be sufficient to cover all costs involved.

5. Chancellors shall inform the Controller and Treasurer of decisions to contract for off-campus space for occupation by units within their sectors.

II. Procedural Guidelines

A. Space Allocations

1. All space allocations, reallocations, and reassignments shall be brought to the attention of the Office of Space Inventory in the Controller's Division.

2. The chancellors of the sectors involved shall determine that adequate space is available to accommodate research, contract, and grant proposals before such proposals are submitted to the sponsoring agencies.

B. Renovation of Space

1. All requests for renovation of space shall be evaluated in terms of the sector space requirement plans and facilities plans set forth in the Five Year Plans and Biennial Budget Requests.

2. All requests for renovation, before consideration by the Division of Design and Construction or the Physical Plant Division, shall receive the following approvals: (a) the department chairman and/or unit head; (b) the dean or administrative officer in the case of support units; and (c) the chancellor of the sector involved or the Vice President of Administration for units in Central Administration.

3. Cost estimates relative to space renovation shall be determined by the Director of the Division of Design and Construction or the Coordinator of Physical Plant Services.

C. Scheduling of Space

1. The University Registrar has the responsibility for scheduling instructional space allocated to the Lexington Campus; the Chancellor for the Medical Center has the responsibility for scheduling instructional space allocated within that sector; and the Chancellor for the Community College System has the responsibility for scheduling instructional space allocated to the community colleges, including the Lexington Community College on the Lexington Campus.

2. Scheduling of structures and/or facilities for the purpose of conferences, meetings, concerts, and other activities is the responsibility of the respective chancellor or the Vice President for Administration in the case of space allocated to units in Central Administration. The Chancellors and the Vice President for Administration shall determine the point of contact for scheduling available space and shall make such information available to operating units, individuals, and organizations.

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UNIVERSITY COMPUTING POLICIES AND PROCEDURES

I. Purpose and Intent

Computing service is a University utility having two purposes: to serve the instructional, research, and public service functions of the institution and to provide suitable information within the University for assistance in operational management, decision-making, and reporting.

The accomplishment of these general purposes can take many forms in a time in which technological advances are making computing resources available at relatively lower costs to a much larger population than ever before. The University wishes to take advantage of these advances in a responsible way and is committed to an orderly evolution of its computing capability in support of both academic and administrative functions. At present, the main instrument for effecting these purposes is a large-scale central computing facility. This fact, in conjunction with several underlying principles concerning the planned computing strategy for the University, has certain implications for short- and long-term computing policies. The underlying principles are as follows:

All computing done at the University will be for official University purposes only. Generally, such computing will be in support of the academic and administrative functions of the University but may in certain circumstances include other functions as determined by the President.

Academic computing in direct application to the University functions of instruction, research, and public service is the primary purpose of computing at the University. Administrative computing in indirect support of these functions, while necessary and important, must be secondary. The implication inherent in this principle is that, wherever academic and administrative computing coexist in a computing environment, academic computing will be given first consideration, except in extreme circumstances as determined by the President.

Disbursed or distributed computing, which has the effect of putting computing power in educational and administrative units with legitimate needs for it, will be encouraged within the constraints of economic sense and other superseding University policy.

The various University sectors should play a strong role in determining the quality and quantity of computing services in support of their major missions and functions. Each University sector should be permitted to make economic decisions involving computing and other services.

The University must take advantage of all sources of support to enhance the resource base that may be applied to computing. Research grants and contracts should recover the full costs of computing to support the work of individual projects.

The determination of priorities among acquisitions and projects in both academic and administrative areas must be the prerogative of the President.

These policies and procedures will be reviewed periodically in relation to currently appropriate conditions in funding, technology, and availability of other resourses and to special needs which may have developed since the policies and procedures were initially adopted.

II. Policy Statements

A. Academic Computing Policies

1. Instructional Computing

The University should have a significant capability for interactive and batch instructional computing with a wide variety of computer languages and processors in an environment which is easy for students to use. Such capacity may include the use of the central computer facility, additional hardware of varying capability in remote or central locations, and the use of microcomputers. The ultimate aim is to have sufficient capability to provide all undergraduate students and any interested graduate and professional students with an opportunity for instruction in and access to interactive or other appropriate computing, and to have significant state-of-the-art hardware and software for those students whose disciplines require it.

Funding for this hardware may be augmented in some situations from general institutional funds, but in most cases the funding will be provided by the academic units as the result of economic tradeoffs.

In the case of academic systems to be located in the Computing Center, physical space, operations, systems programming, and maintenance will be provided by the Computing Center. The cost of providing the service will be charged to the using academic units.

2. Research Computing

The goal in research computing is to have sufficient capacity to support existing and future computing needs of researchers in most disciplines. External sources of funding must be used to the fullest extent possible in expanding the computing resources needed. Without such funding, the University will not be able to expand significantly in research computing.

Each new grant and contract must be reviewed to determine whether computing services will be required. If so, the full cost of such computing must be included in the grant proposal as required in University of Kentucky Administrative Regulation AR II-1.0-3. The percentage of research computing costs funded from grants and contracts will be expected to increase.

3. Public Service Computing

Computing capability for the public service function of the University should be sufficient in capacity to support existing and future needs, but most of the funding must be from external sources if the capability is to expand.

Externally funded public service projects such as the Agricultural Extension programs and others will be expected to obtain additional funding for computing in the future.

4. Computing Center Support for Academic Computing

Informed observers of technological development expect expanded use of computing over the next few years in many disciplines, fields, professions, and activities. As use of computing for instruction, research, and public service grows in the University, there will be an increasing need to assist faculty and students in developing new computer applications.

The needs for computing services in instruction, research, and public service will vary within and among academic sectors and units. The determination of particular services in any given time period will depend heavily upon the priorities in programs which the sectors and units establish for themselves.

When program priorities and emphases change, changes in particular computing services will also be indicated, and various development efforts will be necessary. The Computing Center is committed to providing the following services:

Training seminars and workshops for users and prospective users in research, instruction, and service.

Aid in integrating computer-based materials into the curricula and in using computing in instructional processes.

Maintenance and development of generalized programs and libraries of programs.

Consulting services to faculty and staff.

Computing as an instructional tool in the Community College System.

Liaison programs involving student assistants and educational and administrative units.

Development of additional documentation aids.

Development emphases, such as these, can best be effected through cooperative efforts involving interested departments, individuals, and the Computing Center.

Development efforts recognize that needs for computing in instruction, research, and public service vary among units of the institution and from time to time depending upon program emphases of the units. The needs also vary between instruction and research.

5. Non-Central Academic Computing Facilities

Educational and administrative units which have their own computing equipment of whatever size or capacity must ensure that the equipment is used only to the extent and for purposes contemplated by prior authorization at the time of acquisition and that adequate consulting and tutorial support is available for student users (if any).

B. Administrative Computing Policies

1. General Policy Statement

Because of the fundamental priority of the academic over the administrative, no significant interactive, on-line administrative systems will be developed or procured for use on the general purpose central computing hardware until further notice. Present administrative systems will continue to be batch processing systems, allowing administrative processing to be done at night and on weekends when the central computer is normally lightly loaded. However, if justified, small, dedicated hardware systems using interactive computing may be procured for administrative uses in accordance with the provisions of the section entitled "Non-Central Systems Request Procedure."

2. General Policy on Distributed Processing

The procurement and operation of distributed processing equipment is generally encouraged for those educational or administrative units which have made, as an economic choice, the decision that separate data processing facilities would be beneficial to their functions. Aside from the stipulations set forth in the section entitled "Non-Central Systems Request Procedure," the only restrictions placed on the development of software systems for those installations concern the use of the institutional data bases listed under the heading "Major Administrative (Class A and B) Systems." Any application which would make use of any part or all of one of these data bases must be first approved by the Vice President for Administration after recommendation by the Coordinator,

Administrative Systems Development, Office of the Special Assistant for Business and Finance.

3. System and Project Classification

Proposed new or expanded administrative computing systems and projects will be categorized into one of three classes:

Class A systems are decision support systems whose primary purpose is to provide information for University-wide decision-making. A Class A project is any programming effort or acquisition in support or development of a Class A system. The cost of these projects will be funded from a central budget established for this purpose.

Class B systems are those that supply significant information for University-wide decision making and also support significant institutional operating systems. All programming efforts and acquisitions in support of Class B systems are not necessarily Class B projects. Class B projects are those which materially enhance or protect from degradation the parts of the Class B system that contain or aid in the generation or maintenance of decision-making information. Projects to enhance local operation of a Class B system are not Class B projects. The cost of development and operation of a Class B system will be funded from a central budget established for that purpose. Costs for modifications or enhancements in support of University-wide decision-making will also be centrally funded, but costs related to the development, modification, or operation of subsystems or additions to the basic system which support purely local functions will be funded by the unit involved.

Programming efforts or acquisitions required to meet federal, state, and certain other external reporting requirements will also be considered Class B projects.

Class A and B systems, their descriptions, and the organizations responsible for each are shown in Appendix B: "Major Administrative (Class A and B) Systems."

Class C systems are those which are developed for the primary benefit of the unit involved and which contain very little or no University-wide decision-making information. A Class C project is any programming effort or acquisition in support or development of a Class C system or of an operational function of a Class B system. Costs related to a Class C project will be funded by the unit involved.

4. Special Provisions Concerning Class C Projects

Class C projects are of two types: those which have University-wide information and those which do not, as determined by the Coordinator, Administrative Systems Development. In cases where there is a central information interest, University system development standards must be followed; otherwise, these standards do not apply.

As noted above, the funding of Class C projects is the complete responsibility of the unit involved. Except for the restrictions concerning management information, general standards for system development, and cases where equipment acquisition is involved, the unit will have much flexibility in the design and operation of the system (see section entitled "Non-Central Systems Request Procedure"). Class C projects, however, cannot be open-ended. Class C projects, like all projects, must have a clearly defined plan and schedule for implementation. The unit may choose to staff the project entirely within its own organization, or it may choose to fund a position in the Computing Center. Some very minor Class C projects involving programming time only may be done by the Computing Center on a pay-as-you-go basis. See the section entitled "Computing Center Support for Administrative Systems" for a further discussion of Computing Center involvement in Class C projects.

5. Administrative Computing Priorities

The establishment and monitoring of administrative computing priorities is a process related to the classification of projects as A, B, or C and as major or minor, but is not controlled by that process. That is, a Class B major project does not necessarily have priority over a Class C minor project. The assignment of priorities is dependent upon many factors, including available resources, external agency requirements, operational efficiency, and others. Since these conditions change, there is no intrinsic hierarchy rule governing priorities.

The responsibility for establishing priorities within any sector of the University rests with the sector chancellor. The responsibility for preparing recommendations for the Vice President for Administration on institution-wide priorities for administrative data processing is charged to the Coordinator, Administrative Systems Development, who will develop the recommendations in collaboration with chancellors (and other officers, where appropriate).

6. Major Administrative Systems and Data Bases

a. Residence of Data Bases and Use of Subsets

All Class A and B data bases will reside permanently in the central Computing Center. Updates to these bases will be made only by the organizations named in Appendix B, except as delegated by those organizations and with the approval of the Coordinator, Administrative Systems Development.

Users at non-central computing facilities may use copies of portions (subsets) of those bases applicable to their own organization for approved applications to their own organizational needs. Requests for copy and use of such data base subsets must be proposed in writing to the head of the organization named in Appendix B. Approval by that person and the Coordinator, Administrative Systems Development, will be required before implementation.

b. Design of and Changes to Major Administrative Systems

Because most administrative computing systems require interrelationships with other systems to provide adequate data for management, policy, and decision-making purposes, coordination and, in some cases, integration of major institutional data bases are necessary. To coordinate and maintain such data bases and to ensure the protection and security of data, the Coordinator, Administrative Systems Development, has the responsibility for overall design, integration, and monitoring of all data processing activity concerning these bases. Since modifications to existing programs and systems affect the interrelationships among systems, all requests for changes, deletions, and additions to existing administrative systems must be proposed in writing to the Coordinator, Administrative Systems Development, and must be approved by that administrator before adoption.

7. Programming Languages and Standards

COBOL and Mark IV are the only data processing languages presently approved for administrative data processing applications. All administrative systems, whether developed in-house or acquired from an outside vendor, will be written in either of these languages. The Computing Center has published COBOL programming standards which must be adhered to by in-house programmers and outside vendors alike. Other programming languages may be added in the future.

8. Computing Center Support for Administrative Systems

The Computing Center will provide support for all administrative systems approved, purchased, or developed under the procedures detailed in the section entitled "Administrative Computing Policies and Procedures." The nature of that support is dependent upon the classification of the system and the location and control of the computing equipment on which the system runs. The types of support are explained in the following sections.

a. Programming Support

(1) Class A and B Projects and Systems

The Computing Center will provide complete developmental and maintenance programming support for Class A and B systems and projects. This support will be fully funded by central institutional accounts.

(2) Class C Projects and Systems

The Computing Center will provide programming support to approved Class C systems and projects in a variety of ways.

A Class C system user may choose to fund, on a temporary or permanent basis, positions in the Computing Center. The minimum period for such a position is one year, but a user may permanently fund a position or positions by a recurring transfer from user organization budgets. Personnel in such positions report administratively to Computing Center management, are housed in Computing Center space, and are subject to all Computing Center rules and regulations including those pertaining to programming and documentation standards. They may work only on approved Class C projects, except in the following cases:

In emergency situations, they may be assigned to an emergency project, as determined by and at the discretion of the Vice President for Administration.

On agreement of all parties concerned, they may be assigned to Class A or B projects.

These positions are periodically reviewed by the Coordinator, Administrative Systems Development, in relation to University priorities. The University reserves the right to assign any programming position to the greatest benefit of the institution, as determined by the Vice President for Administration.

Another way in which the Computing Center will support Class C projects is on a pay-as-you-go, charge-back basis if staff is available. Such projects would be programmed by regular staff programmers/analysts whose time, as well as computer time, would be charged back to the Class C user organization.

b. Data Coordination and Scheduling

The Computing Center Data Coordination section will set up and run all adequately documented production jobs from approved administrative systems. User organizations are responsible for supplying run schedules, update transactions (if any), and parameter information. The cost of running Class A and B systems will be funded from University-wide accounts. Class C running costs will be funded from user organization budgets.

c. Systems Developed Outside Institutional Policies

University units which use their own resources to develop or purchase administrative data processing systems outside the policies and procedures set forth in this document must accept complete responsibility for operating and maintaining those systems. Such systems will not normally be supported by the Computing Center as University systems. This means that data processing personnel

employed by the units for development, operation, or maintenance of such systems will have no special privileges in the use of University files or systems personnel. Computing Center programmers will not normally be used to modify or operate these systems. The Computing Center Data Coordination section will not normally schedule or run these systems.

C. Word Processing Policy

The acquisition of word processing and office automation equipment for those educational and administrative units with justified needs will be encouraged. Any equipment purchased primarily for the purpose of word processing should be capable of electronic communication to the University's central computing facility. Such a capability is necessary so that the University can build a base for future communication needs. Electronic mail, electronic filing, and fuller remote use of the University's computing facilities are the eventual aim of this policy.

D. General Policies

1. Non-Central Computing Facilities

An increasing number of educational and administrative units have been obtaining computing equipment for special purposes in accordance with the policies stated in this document. The only general rules for these non-central facilities are that the equipment be properly maintained and that all applicable construction, environmental, fire, and other physical plant regulations have been addressed before installation.

2. Relationship to Central Computing Facility

In those cases in which the non-central computing equipment is physically connectable to the central computing facility through communication links, all costs of maintaining the communication link are the responsibility of the unit owning the non-central equipment. Computing Center standards must be maintained on all communication links.

3. Service Priorities

Three major priority classes of service are provided by the central computing facility: Regular , Deferred, and Slack-time. Regular priority is for that work which has a definite requirement for fast turnaround. Deferred priority is assigned to that work which can be held temporarily in abeyance until regular work has been completed. Slack-time priority is assigned to that work which may be held in abeyance until regular and deferred jobs have been completed. A user can select the appropriate priority for the running of a job.

Deferred computing has lower charges and slower turnaround times. The purpose of the deferred and slack-time priorities is to gain a better balance in scheduling and thus improve efficiency of

operation. More time can be made available to users, and more users may be able to utilize computing services.

An upper limit exists to the amount of work that can be processed in a work day or in any twenty-four hour period. Thus, establishing orderly priorities of the work totality, even when the volume is below saturation level, is desirable. Subsequently, then, when a saturation volume is reached, those persons in charge of determining what will and what will not be processed will have a functioning method for analysis and evaluation of both existing and new projects.

The chancellor of an academic sector is charged with the responsibility for accomplishing priority assignments within that sector.

E. Computing Outside the University

1. Participation in Networks

More and more information and data processing networks are appearing, some regional and some national in scope. These may serve fields, disciplines, topics, major areas, and various combinations of units. The University will undoubtedly find participation in some of these networks advantageous, and units are encouraged to use such services when appropriate and when the needs of the University are best met.

The same procedures cover the acquisition of these services as apply to the procurement of other data processing services or equipment.

2. Inter-Institutional Cooperation

By having a strong computing facility and the accompanying resources for project and program development, the University is in a position to serve certain state-wide and inter-institutional needs for computing in higher education when called upon to do so. The intention of the University is to work cooperatively with agencies and institutions in planning such services and to provide these whenever possible.

F. Use of University Facilities by External Agencies

Except for University of Kentucky students, faculty, and staff, the use of University of Kentucky computing facilities is generally limited to federal, state, county, and municipal agencies of government, non-profit research organizations, and other educational institutions. In special cases, when other facilities are not readily available and when the service does not interfere with University work, or when high potential educational or research value to the University of Kentucky exists, an organization not included in the above may be eligible to purchase computing services from the

University. Such requests should be made in writing and addressed to the Director of University Computing.

III. Procedures

A. Academic Computing Procedures

1. Requests for Academic Computing Equipment

Requests for computing equipment for instructional, research, or public service purposes should be in the form of proposals. Such a proposal must contain a statement of academic need and, if the equipment is for instructional use, the proposal must state the numbers and classifications of students affected.

2. Review of Academic Computing Acquisition Requests

While the primary responsibility for the decision to acquire a system rests with the units affected, such decisions should be coordinated through the Director of University Computing as part of the Director's University-wide planning function. The Director of University Computing should be involved at an early stage of planning so that the acquisition can be reviewed in relation to overall institutional goals and the following criteria be considered in a timely manner:

The acquisition must be economically defensible. That is, a cost-benefit analysis must be made and evidence given to show that the cost of the system will be offset by at least equal educational benefits. It must also contain an analysis of alternative methods of achieving the same ends, such as use of the central computer or use of purchased services.

The effect of data communications between the proposed system and the central computing facility must be assessed. The assessment will be made in terms of the impact of the proposed system on the resources of the central computing facility. The decision whether or not to acquire the communication software and hardware should be based on the results of that assessment.

The justification for installation of the proposed equipment must be made in accordance with the requirements of state agencies given the power of review of such requests and the requirements of KRS 45.760. (Currently systems are reviewed for procurement by both the Council on Higher Education and the Secretary of Finance of the Commonwealth of Kentucky.)

3. Purchasing Requirements

Refer to the section entitled "Acquisition of Equipment, Software, and Services."

B. Administrative Computing Procedures

1. Project Request Procedures

As institutional units perceive the need for new or expanded administrative computing systems, they should prepare requests and forward them through the appropriate local organization and their chancellor to the Coordinator, Administrative Systems Development. The Coordinator, Administrative Systems Development, will classify the project as an A, B, or C project.

If the project is an A or B project, the Coordinator, Administrative Systems Development, will analyze the proposal with respect to the following criteria:

General reasonableness of objectives;

Estimated cost of the project;

Extent of problems the requested project would help solve;

Conformity of request to overall institutional goals;

Conformity of request to institutional and governmental regulations;

Position of request within University priority structure;

Availability of financial and personnel resources; and

Advantages of requested system over system to be replaced (if any).

If the request is acceptable according to these criteria, the Coordinator, Administrative Systems Development, will reach agreement with the chancellor on priority and general schedule. A further classification will be made as to whether the project is major or minor in terms of resources required for implementation. It will then be scheduled for implementation. The request will then be processed in accordance with the operational procedures given in the sections entitled "Major Projects" and "Minor Projects."

If the project is found to be a Class C project, the Coordinator, Administrative Systems Development, will specify the University-wide management information needed from the project, if any, and, in cases in which there is such information provided by the project, give overall standards to be followed during implementation.

2. Major Projects

Major projects are those which are estimated by the Coordinator, Administrative Systems Development, to require greater than three months elapsed development time or to cost more than $5,000 counting all resource usage including software acquisition, computer time, programmer time, and the time of other systems personnel.

a. General System Proposal

The Coordinator, Administrative Systems Development, will prepare a general system proposal which will include the following:

A functional specification of a system designed to meet the user's requirements, which specifies objectives of that system, expected growth of the system, and limits to that growth;

A plan for implementation of the system, which will include hardware requirements (if applicable) and a timetable;

A cost estimate for system implementation, including the costs of design, conversion, hardware, software, programming, operating, and maintenance; and

A comparison of costs of the proposed system with the costs of the current operating method and alternative systems or methods.

b. Study for Make-or-Buy Decision

Often it is unclear at the time of initial approval of a project for implementation whether it would be to the best advantage to the University to develop the software in house, purchase already developed software, or contract externally for its development. As a general principle, where acceptable commercial software is available to do a given project, procuring it is preferable to developing the software internally. In consultation with the requesting unit and the Computing Center analysts, the Coordinator, Administrative Systems Development, will use the following criteria in determining whether to purchase or develop software for an approved project:

Estimated cost of purchased software versus cost of internal development of software;

Experience, stability, and past performance of commercial vendors' software in comparable institutions;

Time required to install commercial software versus time to develop software in-house in terms of institutional priorities;

Conformance of commercial software to University language requirements, hardware compatibility, and programming standards; and

Cost of modifications needed to adapt commercial software to University environment, i.e., operating system conversion and interfaces with existing systems.

Based on the consideration of these criteria, the Coordinator, Administrative Systems Development, will produce a report recommending a course of action and submit it with the system proposal to the Vice President for Administration, who will notify the appropriate chancellor of the decision.

c. Internal Development Process

If the decision is to implement all or parts of the project internally, the chancellor for the affected sector will appoint a project manager who will have the responsibility and authority to coordinate the installation of the system in accordance with the following procedure.

(1) System Analysis and Design

The project manager, with advice from the Computing Center and the Coordinator, Administrative Systems Development, will create a detailed, task-oriented plan for project implementation, conversion, and parallel operations (if needed) with an appropriate timetable. This timetable will serve as the basis for the Coordinator, Administrative Systems Development, to monitor progress in implementation. In this process these parties will have the following responsibilities under the direction of the project manager.

(a) Tasks for the User

Definition of User Requirements: The user will define in detail the unit's requirements for the system, including data input, desired output, reports, and reporting frequency.

Data Gathering: The user will assemble the data elements and source documents needed for system design.

(b) Tasks for the Computing Center

System Analysis: Based on the approved system proposal and the information obtained as the result of the user tasks, the Computing Center will analyze the data flow of the

system, system inputs and outputs, file structure, and needed controls.

System Design: The Computing Center will design a system which will achieve the requirements of the user and the objectives of the system proposal.

System Design Document: The Computing Center will prepare a system design document, a specification for actual implementation and future maintenance of the system. It will include a description of the system, its inputs and outputs, its files, and all other components.

(2) System Review

The Coordinator, Administrative Systems Development, will review the plan prepared by the project manager and consult with user management before giving approval for the project to proceed to the programming stage. The Coordinator, Administrative Systems Development, may also at this time request changes involving the addition of data needed for central administration decision-making and changes in data output format. Subsequent changes to the plan will require the approval of the Coordinator, Administrative Systems Development. Such approval will be given only in exceptional circumstances. Throughout the project the Coordinator, Administrative Systems Development, will monitor the progress.

(3) Programming

In coordination with the project manager, the Computing Center has the responsibility for definition of program requirements, the actual coding, validation that the programs written meet specifications, and program documentation.

(a) Program Definition

Programmers/analysts will design programs to meet the requirements of the system as designed.

(b) Coding

Programmers/analysts will code the programs in an approved computer language.

(c) Testing

Programmers/analysts will test programs to detect any errors. Two levels of testing will take place.

Program and Production Testing: Programmers/analysts will ensure that programs work in accordance with program specifications. Test data will be created to simulate program conditions. Live production data in a parallel or test mode

will be used where possible to simulate actual operational conditions.

Acceptance Testing: Upon satisfactory completion of program and production tests, an acceptance test will be conducted by programmers/analysts using data supplied by the user. Its purpose is to validate not only the programs but also input and output procedures and system controls. At the successful end of the acceptance test, the project manager will certify in writing to the Coordinator, Administrative Systems Development, that the system meets the specifications of the system proposal.

(4) Documentation

Programmers/analysts will prepare documentation according to Computing Center standards to indicate the purpose and detail operations of each of the programs and instruct the Computing Center Data Coordination section in the sequence and controls to be used in running them. The documentation also provides the programmers/analysts who will be maintaining the system with information about its logic and operating conditions.

(5) Installation

The Computing Center has the responsibility for installation of the new system. Where conversion from a previous system is required, Computing Center programmers/analysts working with user personnel will carry out the actual conversion, making certain that data integrity is maintained. In cases where parallel operation is indicated, Computing Center personnel will operate the new system until system acceptance.

(6) Post-Installation Management Audit

The Coordinator, Administrative Systems Development, will, using the system proposal as a guideline, determine whether the system is accomplishing the objectives for which it was designed by reviewing the operations of the system and any new procedures the users have implemented. In this process the Coordinator, Administrative Systems Development, will determine the effect of the system on machine time, evaluate whether the implementation schedule was met, and prepare a report of the results of the review for the Computing Center and institutional and user management.

d. Purchased Software Implementation Process

The chancellor of the affected sector will appoint a project manager who will have responsibility and authority for coordinating the installation of the purchased software. The project manager will work with the vendor's representatives and Computing Center personnel in the installation process.

In some cases the installation of purchased software is part of a major system development project. In those cases the installation of the purchased software will be assumed under that development effort under the procedures detailed in the section entitled "Internal Development Process."

Where the installation is not part of a major development effort, requests for minor incidental programming effort needed in the installation should be directed to the Coordinator, Administrative Systems Development, for approval, priority, and scheduling.

3. Minor Projects

Programming requests and all other systems requests not defined as major projects will be reviewed by the Coordinator, Administrative Systems Development, for acceptability, assignment, and priority.

4. Non-Central Systems Request Procedure

Recent developments in data processing technology have created powerful processors and large capacity data storage in small packages and at relatively low costs. It is the intention of the University to take advantage of those developments in appropriate circumstances.

This section applies only after administrative system proposals have been classified and approved under the provisions of the section entitled "Project Request Procedure." Such approved proposals may have specifically requested hardware or by their nature may have suggested a possible need for additional computing equipment. Approval of an administrative project for implementation does not automatically ensure that suggested hardware will be acquired. The purpose in this section is to set forth the conditions under which such equipment should be procured, the review criteria, and the procedures for procurement.

a. Conditions Under Which Non-Central Systems Will Be Considered

Hardware for non-central computing will be installed when individuals responsible for departmental, division, college, sector, and University-wide administration have determined that there is an economic justification for so doing, and that resources necessary to acquire and maintain the hardware are available for both the initial and long-term obligations of the system. Ordinarily, this means that these systems will be supported from unit budgets.

b. Review Criteria

While the primary responsibility for the decision to acquire a system rests with the units affected, such decisions should be coordinated through the Coordinator, Administrative Systems

Development, as part of the Coordinator's University-wide planning function. The Coordinator, Administrative Systems Development, should be involved at an early stage of planning so that the acquisition can be considered in relation to overall institutional goals and the following criteria be considered in a timely manner:

The acquisition must be economically defensible; that is, a cost-benefit analysis must be made and evidence given to show that the cost of the system will be offset by at least equal benefits in terms of savings in personnel costs, increased services, or other applicable measures. It must also contain an analysis of alternative methods of achieving the same ends, such as use of the central computer or use of purchased services.

The system chosen must be capable of data communication in some form with the central computing facility so that information for University-wide decision-making may be taken from it if needed. An assessment will be made of the impact of the proposed system on the resources of the central computing facility. The decision whether or not to acquire the communication capability will be based on the results of that assessment.

The justification for installation of the proposed equipment must be made in accordance with the requirements of state agencies given the power of review of such requests and in accordance with KRS 45.760. (Currently systems are reviewed for procurement by both the Council on Higher Education and the Department of Finance of the Commonwealth of Kentucky.)

c. Procedure for Request of Non-Central Systems

The initiating unit is responsible for proposing the acquisition of any non-central system for administrative data processing either as part of the application proposal or subsequently.

Proposals to install non-central systems must be endorsed by deans, directors, and chancellors responsible for the unit(s) involved. Such proposals must contain the following information:

Institutional unit requesting system;

Name of system and vendor (if known);

Purchase and/or rental costs of the system;

Recurring obligations implied by acquisition of the system;

Statement of the maximum configuration of the system (i.e., a statement of all improvements to the system that may be proposed over the five-year period);

A discussion of the benefits of the system and the needs of the department in light of the costs to be incurred;

A review of alternatives to the proposed system, including such comparisons among competing vendors as may be appropriate; and

A technical description of the proposed system.

A chancellor who approves a proposal for an administrative system will forward the proposal to the Vice President for Administration for review. The following criteria will be used in such a review:

The proposed system should meet generally accepted standards of quality in administrative data processing. The vendor should have established a reputation that will ensure reasonable support and maintenance.

The proposed system should be capable of communication with the University's central computing facility if there is a possibility that University-wide administration might need access to data in the system for either management or operational purposes.

The proposed system should have a clearly defined maximum configuration beyond which it will not be expanded except upon review in keeping with these policies and procedures.

The proposed system should be permitted to have an impact upon the University-wide computing resources only to the extent contemplated by conscious decisions made at every level.

The proposed system should be consistent with policies and conventions of state agencies responsible for reviewing data processing proposals.

The Coordinator, Administrative Systems Development, will make a recommendation on the proposal to the Vice President for Administration based on the criteria listed above. The Coordinator will also evaluate the relative costs and benefits of the system and the extent to which alternative solutions have been explored and make a report of the Coordinator's findings to the officers who have endorsed the system and to the Vice President for Administration.

C. Word Processing Request Procedure

Units with justifiable needs may acquire word processing equipment from any vendor whose equipment has been listed on the University's Approved Word Processing Equipment list. A preferred vendor will be indicated on this list. It will generally be to the benefit of the requestor to choose equipment from the preferred vendor. A preferred vendor is one who has demonstrated models, lines, features, or software especially adapted or useful to University needs and who has entered into special price and service contracts with the University. Information concerning vendors and contracts can be obtained from the Coordinator, Administrative Systems Development, the Director of University Computing, or the Director of Purchasing.

Requests for word processing equipment not included on the Approved Word Processing Equipment list will be handled in the following way. The requestor will be asked to advise the vendor of the equipment of the University's policy concerning communications and minimum word processing features. If the vendor wishes to demonstrate those capabilities, the vendor can do so under the provisions specified in the section entitled "Procedure for Inclusion in Approved Word Processing Equipment List." If the vendor cannot or will not comply with these provisions, the requestor will be advised to select another vendor.

The Approved Word Processing Equipment list will be maintained by the Coordinator, Administrative Systems Development. The list will be frequently updated. The Director of University Computing and the Director of Purchasing will have the most current copy of the list at all times. Inquiries about the list should be directed to them or to the Coordinator, Administrative Systems Development.

1. Software

Word processing software may be leased or purchased for existing or new equipment not acquired primarily for word processing use. Justification for such acquisitions must be made in the same way as for any other software acquisition.

2. Procedure for Inclusion on Approved Word Processing Equipment List

To be included on the Approved Word Processing Equipment list, a vendor's equipment must have demonstrated communications capability to the University's central computers by means of the 3270 protocol. A standard test, administered by University Computing Center personnel and observed by the Coordinator, Administrative Systems Development, will be performed on each model of equipment that the vendor wishes to include on the Approved Word Processing Equipment list. The software or hardware that the vendor uses to demonstrate the capability must be standard issue, not specially developed for the purpose of the test.

In addition, each vendor must demonstrate a minimum standard word processing capability. A document itemizing the provisions of this standard is available on request from the Coordinator, Administrative Systems Development. Each model of equipment on the list, its word processing software, and its 3270 communications hardware and software must be covered under Commonwealth of Kentucky Price Contract or under a special price contract with the University of Kentucky.

While it is not a requirement for inclusion on the Approved Word Processing Equipment list, vendors will be considered more favorably if their equipment also supports some data processing capability using such standard languages as BASIC, FORTRAN, or COBOL.

3. Justification and Routing

Any educational or administrative unit wishing to acquire word processing equipment will submit to its chancellor a proposal containing the following information:

Unit name;

Date of proposal;

Description of need for word processing equipment, including volume of present activity, volume of planned activity, and type of activity (e.g., manuscript typing, power input, power output, etc.);

Configuration of proposed system, including number of terminals, number of printers and location, and special considerations; and

Account number under which equipment will be acquired.

Type of application, volume of activity, and frequency of use are the main criteria. Highest priority will be given to requests from units with a constant high volume of effort in current or planned word processing. Number and location of terminals and printers are also important concerns.

Upon approval and signature by the appropriate sector chancellor, the proposal will be forwarded to the Coordinator, Administrative Systems Development, who will make a recommendation to the Vice President for Administration.

D. Acquisition of Equipment, Software, and Services

This section applies to all acquisitions of computing hardware, software, and services not covered specifically by preceding sections. In addition, it covers the approval routing required for

such acquisitions and the state-level requirements for certain types of purchases.

1. Prior Authorization and Appropriation of Funds for Certain Equipment Purchases

In accordance with Commonwealth of Kentucky law as set forth in KRS 45.760, all purchases of computing systems with a price of $50,000 or more can be acquired only if a description of the equipment and its approximate price appears in the appropriation bill for the current biennium and in the University of Kentucky biennial budget.

The implication is that large scale computing equipment acquisitions using state funds must be planned well in advance of the acquisition and included in the biennial budget request. Equipment meeting the definition but not appearing in the appropriation bill cannot be acquired during the current biennium.

2. Internal Procedure

a. Equipment

In accordance with the specific provisions indicated in other sections of this document, justifications, proposals, and requisitions for the purchase, rental, lease, or donation of data processing equipment are to be prepared by the intended user unit(s) and forwarded to the appropriate dean or other administrator for consideration and action. If approved by the dean or other administrator, the proposal moves to the appropriate chancellor. The recommendation of the chancellor will be forwarded to the University of Kentucky Computing Center for review and approval by the Director of University Computing and, where applicable, the Coordinator, Administrative Systems Development.

All applicable procedures at the state level for the procurement of data processing equipment set forth by the Council on Higher Education and the Commonwealth of Kentucky Department of Finance must be followed.

b. Software

Any programs which are to be written by an outside source or which need substantial conversion to run on University equipment are to be considered under the section entitled "Procurement of Computing Services."

The procedure for proposal and approval of pre-coded data processing software is the same as that outlined in the section entitled "Acquisition of Data Processing Equipment."

c. Services

There may be instances in which the University or a University unit finds particular advantage in purchasing computing services from an agency, business, or institution external to the University. In such instances, the intended user(s) can make a request to the department chairman, dean, or other administrator following the established procedures for purchase, lease, rental, or other means of acquiring the service.

The request should give the justifications usually expected, such as the advantage of the service over available or currently used service, the conditions of the purchase, and the source of funding.

d. Routing and Signing of Requests

All requests for acquisition or lease/rental renewal, including advice-of-change notices to existing purchase orders, must be made on a standard requisition and be signed by the requestor, the dean or director, the appropriate chancellor, and the Director of University Computing. The Purchasing Division will not process any request that does not have these signatures.

3. External Procedure

The Purchasing Division will keep current on all state-level purchasing and approval routing requirements and advise requestors of those requirements.

IV. Planning and Reporting of Computing Activities

A. Computing and Computer Use Plan

A plan for computing and use of computers is to be employed for guidance and decision-making purposes in the University. This plan is to cover a minimum of two years, preferably more. The proposed uses of computing in the major functions are to be projected, and the requirements, including support, for priority levels of usage are to be included.

The plan is to be updated and revised at least biennially. In order that the revisions are soundly based, the needs, requests, and justifications for computing services in the performance of basic functions are reviewed by the appropriate chancellor with the proposing units of the University.

In addition, an inventory is maintained of computing and data processing equipment and the general capabilities and utilization of that equipment. Computer-related personnel and expenditures throughout the University are factors which are also included.

In this manner, requests and current usage can be reviewed in terms of capabilities of existing resources and then, when indicated, in terms of needed additional capacity and resources.

The responsibility for the periodic development of this University-wide plan is lodged with the Vice President for Administration.

B. Computing Allocations

Each chancellor should budget whatever funds are deemed necessary for computing activities. All use of the central Computing Center will be billed to the chancellor, the educational or administrative unit, or to grant accounts in accordance with the dictates of the chancellor or the unit.

The primary responsibility for the management of computing and data processing expenditures resides with the individual user and the user's unit. Computing charges incurred by an individual are the responsibility of that unit. Consequently, an over-expenditure of the authorized budgeted funding is an obligation of the unit. Although a unit is expected to treat its computing resources the same as other unit funding, the Computing Center will also provide monthly utilization reports.

C. Annual Report

An annual report on computing facilities, computing systems, and computing and data processing personnel throughout the institution is to be made to the President by the Vice President for Administration. Sector reports will be supplied by the chancellor of each sector to the Vice President for Administration by August of each year. This report should include: information on the type, capability, location, and utilization of computing facilities and computing systems and the number, location, and general assignment of computing and data processing personnel.

The report should outline all new systems and programs developed since the last report, any hardware or staff additions, and any plans for new hardware, software, or staffing. The report should also provide data on the utilization of the equipment during the previous 12-month period, the users of the equipment, and the costs involved.

APPENDIX A

GLOSSARY OF TERMS

The terms defined below appear frequently throughout the text of this document.

Non-central systems

Hardware installed in non-Computing Center sites under the administrative control of the institutional unit concerned, regardless of whether the equipment is functionally attached or capable of communicating with the central computer.

Distributed processing

A data processing environment in which data files important to all users in the environment are kept centrally accessible and may be used in whole or in part by all users, while in separate remote locations specialized functions are performed on appropriate hardware connected to the central location. The maintenance of the integrity of these major files is a central responsibility. Each remote location has a degree of autonomy concerning functions not related to central file maintenance.

Hardware

Also referred to as "data processing equipment," "computing equipment," and "data processing devices," and applies to physical devices used in electronic data processing. It includes processors, memory, magnetic storage devices and media, associated printing devices, communication equipment, terminals, and other input and output devices, such as plotters, card readers, or optical character readers whose use is associated with a data processing system. For the purpose of this policies and procedures statement, no distinction is made among "microcomputers," "minicomputers," "distributed processing equipment," or "data entry equipment" as long as the function of the equipment is for data processing. Desk-top calculators and electronic test equipment are specifically excluded from this policy.

Software

Data processing software includes any pre-coded computer programs or program packages which can be used immediately or with a minimum of conversion on data processing equipment owned, leased, or rented by the University.

Word processing

The production, storage, revision, and printing of text by the use of electronic equipment and media.

Word processing equipment

Any electronic devices, attendant software, and machinery for the input and output of text which may be edited and stored in a computer processor with on- or off-line memory capacity of more than four typewritten pages. This definition includes magnetic card and cassette storage automatic typewriters as well as stand-alone and shared-logic word processing systems. It also includes input devices designed to create magnetic media files for input to printing devices. This definition does not include standard office typewriters, such as the IBM selectric, nor does it include limited memory typewriters, such as the IBM Electronic Models 50 and 60.

APPENDIX B

MAJOR ADMINISTRATIVE (CLASS A AND B) SYSTEMS

At present, there is no Class A administrative system. The following systems are classed as B systems. A brief description of each is given along with the name of the organization responsible for the operation and maintenance of the system.

Class B Systems

Student Records

The student records data base is a collection of computer files that contains information concerning present, past, and possible future students. At this time, separate files are maintained by two large academic units. The Dean of Admissions and Registrar keeps student records for the Lexington campus, Ft. Knox, the Northern Kentucky Graduate Center, the Evening Program, and the Off-Campus Program. The Community College System keeps records for the community colleges and their extended programs. Additionally, the Colleges of Medicine and Dentistry keep separate detailed records for their students due to the special nature of scheduling requirements for those colleges.

Personnel (Including Payroll)

The personnel data base is a comprehensive collection of files concerning the employment, compensation, benefits, characteristics, and termination of all University employees. It is maintained by the Controller's Division.

Physical Facilities

The physical facilities data base is comprised of two computer files which contain information about each building and each room owned or controlled by the University. It has detailed information concerning the control, condition, age, value, occupancy, and present use of all usable building space. It is maintained by the Controller's Division.

Financial Records (Including Budget and Equipment Inventory)

The financial records data base is a collection of files which contains information about all income, expenditure, and budgeting records for all University funds. It is maintained by the Controller's Division.

University Programs (Not Yet Implemented)

The University programs data base will be a system containing information about all University academic, research, public service, and support programs. It will be maintained by the Special Assistant for Academic Affairs.

AR II—1.5

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BUDGETARY POLICIES AND PROCEDURES

I. Budgetary Policies

A. Budgetary Authority

All budgetary matters follow the general organizational structure of the University with the Board of Trustees having the ultimate and exclusive authority for the approval of all budgets. All funds within the general fund, hospital fund, auxiliary fund, and restricted fund groups are subject to this policy and may be expended only for the approved programs and objectives of the respective fund groups. No revenue shall be expended except upon the establishment of an expenditure authorization approved by the Board of Trustees. The exception to this policy is the authorization of expenditures from accounts created as a result of a contract or grant agreement between the University and an outside agency. The Board of Trustees has delegated the authority to approve such agreements and authorize expenditures to the President (Minutes of the Meeting of the Board of Trustees of the University of Kentucky, August 24, 1979, PR 7). The President must report to the Board of Trustees at its next regular meeting following the authorization of such expenditures.

B. Organizational Responsibilities

1. Central Administration is responsible for the development and implementation of University-wide budget policies and procedures, for the development and submission of the University's budget requests and Five Year Plan, and for the evaluation of the effectiveness of budget implementation and achievement of program objectives. The Office of Planning and Budget coordinates the submission and justification of the annual operating budget to the Board of Trustees and of the Biennial Budget Request and Five Year Plan to the Board of Trustees, the Council on Higher Education, and the executive and legislative branches of state government.

2. The responsibility rests with the respective chancellors for the management of sector funds, including contingencies; however, budget authority may be delegated to the deans and presidents of colleges within a sector. Although a chancellor may delegate authority for specific fund management, the ultimate responsibility remains that of the chancellor.

3. The chancellors are responsible for the following in their respective sectors:

   a. To develop and recommend plans for the effective use of sector resources;

   b. To manage the programs within allocated resources including the management of contract and grant overruns and cost-sharing (less than full cost recovery);

c. To operate within approved budget allocations;

d. To allocate funds consistent with approved sector plans and the sector budget;

e. To ensure that expenditures are consistent with established objectives;

f. To realize estimated revenue or to adjust expenditures in order not to exceed revenue available;

g. To maintain the integrity of revenue and expenditures by fund group (including provisions to ensure that revenue generated by activities in a given fund group is deposited to that same fund group);

h. To ensure that nonrecurring funds in addition to those approved in the budget process are not used for recurring purposes without approval of the President; and

i. To ensure conformity with state and University rules and regulations applicable to the expenditure of funds generally and for purchasing and payment of funds specifically.

C. General Budget and Policy Statement

1. The University shall distribute resources among the sectors and Central Administration in a manner that supports the achievement of objectives and priorities established during the planning process.

2. The budget is used to establish policies, allocate resources, foster accountability, and translate plans into action. These plans include, but are not limited to, the Five Year Plan, the Computing Plan, and the Facilities and Equipment Plan.

3. Recurring expenditures are to be supported by recurring revenue; therefore, all continuing costs such as maintenance of facilities and equipment and purchase of library books and equipment should be included in the operating budget on a recurring basis. Nonrecurring plans which are approved must have recurring costs identified and adequate recurring financial support ensured. Exceptions to this policy must be reported to, and approved by, the President and must include a plan to bring exceptions into compliance with this policy.

D. Five Year Plan and Biennial Budget Requests

1. Biennial budget requests will be based on the objectives of the programs for which units are responsible, must set forth the means to be employed in pursuing those objectives, and must describe criteria to be

applied in evaluating progress toward objectives. The biennial budget requests will contain alternatives for various levels of operations (i.e., continuation, improvement, expansion, and new).

2. Biennial budget requests will be related to specific program objectives, with a dollar value assigned to the achievement of such specific program objectives. The basic budgetary policy places emphasis on programs and the justification for the support of those programs, rather than on an incremental resource allocation. Programs proposed for consideration during the annual operating budget process will be consistent with priorities included in the biennial budget request, and the respective chancellors will provide explanation and justification for any deviation from those priorities.

E. Budget Allocations and Uses

1. Funds will be allocated based upon specific objectives agreed upon for a given fiscal year. Funds will be allocated to sectors in a lump sum without regard to the specific expenditure categories (personal services, current expenses, and capital). However, policies formulated from time to time and provisions herein may affect the use of funds within the total allocation.

2. Annual budgetary allocations shall be based on program and resource agreements reached with respect to the biennial budget requests, but will be influenced by changes in the University's request as submitted and affected by the Council on Higher Education, executive branch of state government, and state legislature. Although assumptions and priorities may change as a result of Cabinet discussions of the operating budget, actual allocations will relate to specific alternatives set forth in original agreements. The chancellors have discretion in the allocation of funds in accordance with the policies set forth in this document.

3. A contingency fund will be budgeted annually by the President.

4. Capital budgets will be submitted as part of the annual operating budget process using expenditure categories identified in the definitions section of this document.

5. Following the submission of sector capital plans, including a priority listing, and approval by Central Administration, funds shall be moved to the plant fund from the sector for approved projects by Fund Transfer Requests signed and submitted by the respective chancellors. Transfer authority rests with the chancellor if funds are provided by sources available to the sector, and with the President if funds are provided from central sources. Appropriate supporting material should be referenced in or accompany the Fund Transfer Request.

6. Physical facilities projects of over $200,000 in scope, and others funded by Central Administration, shall not be reduced or increased without Central Administration approval.

a. Chancellors shall be responsible for covering overdrafts, regardless of the initial funding source.

b. Balances remaining after plant fund accounts are closed shall be lapsed to the respective sector clearing accounts or to the Central Administration clearing account, depending upon the original funding source.

c. The chancellors shall have the option of reallocating balances to other approved projects or equipment items, or transferring the balances back to the renovation reserve for redistribution within the plant fund. If the balances are to be used for physical facilities projects or equipment which have not been approved by Central Administration, the chancellor will submit a proposed revision to the sector's plan for use of fund balances.

7. Balances remaining from physical plant job projects under $75,000 that were originally funded from restricted accounts shall be lapsed to the appropriate sources.

8. The assignment of funds into expenditure accounts and categories of expenditure is the responsibility of each sector. After approval by the President, the breakdown by account and expenditure category is the basis for the University's operating budget which must be submitted to the Board of Trustees for approval. Individual salaries will be determined according to guidelines approved by the President. Each chancellor sector is responsible for submission of necessary documents to implement the July 1 payroll for each year according to procedures set forth by the Controller and Treasurer. Each chancellor is responsible for ensuring that the annual salary authorizations submitted to the Payroll Department are the same as those specifically approved for each individual under the salary guidelines established by the President.

9. Expenditures charged to a particular account must be for the accomplishment of those objectives of the program named in that account. Expenditures will not be reduced by utilization of revenue or for any other reason except correction of an error or in the case of a refund which occurs during the fiscal year in which the expenditure occurred. Expenditure of funds from nonrecurring sources must be limited to nonrecurring purposes unless prior approval by the President has been received. Expenditure of funds within a given fiscal year must be for services rendered during that fiscal year.

F. Revenue Generation

Funds allocated in the annual operating budget to each chancellor sector will be based on estimates of revenue by source including recharges

(recharges represent expenditures of one unit in support of activities of another unit, assuming both units are included in the University operating budget). These revenue levels will be established after detailed analysis by the President's staff and are included in approved sector revenue budgets. Any changes during the year in the planned revenue amounts will require submission of a revised plan of expenditures to the President which sets forth the actions proposed to deal with the revenue changes.

G. Budget Changes

Any change in the established priorities or any requested reallocation of funds which involves an alteration in priorities must be approved in the same manner as those originally established. Any request involving additional dollars, the redistribution of funds, or the establishment of additional expenditure authority must include a statement of the program implication. Requests submitted by a chancellor should be in the context of the change or modification which would occur in the total operations of that unit.

Budgetary changes fall into one of the following two categories:

1. Fund Transfer - The redistribution of funds made available to a chancellor requires a fund transfer. Authority for processing said transfers will reside with the respective chancellors. The Office of Planning and Budget will receive a summary listing of transactions from the Controller and Treasurer on a monthly basis after posting into the accounting system (form shown in Appendix A).

2. Budget Revisions - A request for increased (or decreased) expenditure authority based on increased (decreased) revenue and/or increased (decreased) support from other units of the University (recharges) requires a budget revision. Requests which involve budgeting of increases (decreases) in revenue are evaluated in view of program needs and the changes in circumstances since the original budgeting of revenue. The vehicle for such actions is the Budget Revision Request (form shown in Appendix B).

H. Budget Savings

1. Salary savings, either actual or potential, are those funds which have accrued, or will accrue, in a given budgeted position as a result of:

a. A position being vacant for a period of time;

b. A portion of the salary of an incumbent being transferred to another fund source; or

c. A position being filled at less than the budgeted salary amount.

2. Current expense savings are those which result from underexpenditure in a particular expense category.

3. Chancellors are responsible for the management of budget savings within their respective sectors. Savings which are nonrecurring in nature should be used only for nonrecurring purposes. Savings must be used in a manner consistent with established plans and program objectives.

I. Fund Balances

The responsibility for projecting and managing fund balances generated within a sector rests with the respective chancellor. After approval of the University's audited financial report, a determination is made by the Office of Planning and Budget of the balances attributable to overrealization of revenue and underexpenditures within a sector during the year reported. Variance from budgeted amounts require the submission of proposed revisions to sector plans.

J. Budget Evaluation

Budget evaluation is the assessment of the achievement of established goals and objectives for which funds have been made available. Budget evaluation will be conducted by the Central Administration in concert with the sectors in terms of the following:

1. Effective implementation of approved plans; and

2. Accomplishment of the agreed-upon program objectives, activity indicators, and outcome indicators; and adherence to the University budget policies.

II. Procedures

A. Revenue Estimates

As part of the annual budget cycle, revenue and recharge estimates will be projected for all revenue producing units. These revenue estimates must be realistic and reviewed carefully. Information is required regarding amounts and types of support from other units within the University (recharges).

B. Budget Calendar

The budget calendar for a complete cycle reflects the earliest possible dates for internal decisions, recognizing the external actions of such agencies as the Council on Higher Education and the executive and legislative branches of state government. The budget cycle covers a two-year period during which the biennial budget request and two annual operating budgets are developed, approved, implemented, and evaluated.

C. Budget Calls

The call for budget requests within the University originates in the Office of the President and is directed to the chancellors and the Central Administration. Budget requests will be of two types:

1. Biennial budget requests are prepared in the winter and spring of each odd-numbered year and are the basis for the integrated budget request which the University of Kentucky submits to the Council on Higher Education and the executive and legislative branches of state government. The call for each biennial budget request is incorporated into the University's five-year planning cycle which occurs every two years. The first two request years in the five-year planning document constitute the University's biennial budget request; and

2. Operating budget requests are prepared each year and serve as the basis for preparation of the internal operating budget. These requests are prepared in the context of the approved biennial budget request. The call is issued at a time which takes into consideration the convenience of all units involved; however, it is based on actions of the Council on Higher Education and the executive and legislative branches of state government.

D. Budget Transfer

The procedures for processing a budget transfer are as follows:

1. The form will be prepared with all pertinent information as illustrated in Appendix A;

2. The form will bear the recommendations of the appropriate dean or director and the chancellor or chancellor's designee. For intersector transfers, the signature authority should reside with the chancellor requesting a reduction of expenditure authority;

3. The form will be forwarded from the chancellor to the Office of the Controller and Treasurer for implementation if funds are available;

4. The form will be returned to the chancellor from the Office of the Controller and Treasurer and to the initiating unit from the chancellor, bearing an approval or a notification of the insufficiency of funds; and

5. The Office of Planning and Budget will receive from the Controller and Treasurer a summary listing of all fund transfer requests implemented on a monthly basis.

E. Budget Revision

The procedures for processing a budget revision are as follows:

1. The form will be prepared with all pertinent information as illustrated in Appendix B;

2. The form should bear the recommendations of the dean or director and the chancellor or the chancellor's designee;

3. The form should be forwarded to the Office of Planning and Budget for action by the President;

4. Notification will be sent to the initiating unit of action taken on the request; and, if favorable, the date on which the Board of Trustees will be asked to consider the revision also will be indicated;

5. The revision, if approved, will be included in the budget revision recommendations to be submitted to and acted upon by the Board of Trustees; and

6. If approved, the form will be forwarded to the Office of the Controller and Treasurer for implementation, and notification of action by the Board of Trustees will be sent to the appropriate chancellor.

F. Budget Implementation

The Office of Planning and Budget will be responsible for the implementation of the annual operating budget, as approved by the Board of Trustees, into the University's accounting system.

G. Capital Outlay and Equipment Procedures

The University's annual operating budget process shall include the development and submission of an annual capital budget for capital allocations. This budget shall be prepared by the sectors within guidelines established by the Office of Business Services.

III. Definitions

A. Fund Groups

The budget policies of the University and the annual operating budget of the University cover the four major fund groups set forth below:

1. General Fund - Expenditures are supported by revenue from state appropriations, student fees, sales and services, fund balances, and those gifts and grants, endowment incomes, investment incomes, and federal and county appropriations that are not restricted as to purpose by a person or an agency external to the University.

2. Hospital Fund - Expenditures are supported by income from hospital operations and state appropriations.

3. Auxiliary Funds - Expenditures are supported by income from the respective components of auxiliary operations, including the housing and dining system.

4. Restricted Funds - Expenditures are supported by income restricted for a specific purpose by a person or an agency external to the University.

B. Capital Budgets

1. Physical Facilities

a. Capital construction and major renovation projects are those projects with a scope of $200,000 or more which (1) have approval in the current biennium by the legislature for state appropriations, debt service, or agency funding; or (2) projects of emergency nature or funded from private or federal sources. These projects require prior approval by the Board of Trustees, Council on Higher Education, and the legislature.

b. Other renovation projects are those with a scope of less than $200,000 but more than $75,000 which are included in the sectors' capital budgets.

2. Equipment

a. Major equipment items are those with a scope of $50,000 or more which have legislative approval in the current biennium or are funded from private or federal sources.

b. Other equipment items are those with a scope of less than $50,000 but more than $10,000 which are included in the sectors' capital budgets.

Appendix A

FUND TRANSFER REQUEST

Accounting Use Only
BCR ☐ BCN ☐
DATE _____

PREPARATION DATE _____

EFFECTIVE DATE _____

INSTRUCTIONS FOR PREPARATION

1. COMPLETE ALL INFORMATION REQUESTED.
2. MUST BE APPROVED AT COLLEGE DEAN/PRESIDENT AND CHANCELLOR LEVELS
3. KEEP GOLDENROD COPY. FORWARD ALL OTHER COPIES TO CHANCELLOR'S OFFICE

UNIT INFORMATION

	FROM	TO
CHANCELLOR		
COLLEGE/DIVISION		
DEPARTMENT		

ACCOUNT INFORMATION

Amount	From Account Number 43/1 – 80/2						To Account Number 43/2 – 80/2					
	FUND	FU	DEPT	PROJECT	OBJ	LINE	FUND	FU	DEPT	PROJECT	OBJ	LINE
$												

RECURRING ☐ NONRECURRING ☐

EXPLANATION

REASON FOR REQUESTED TRANSFER: _____

SIGNATURES

College Dean/President

Chancellor

80-1

Copy to Unit Preparing Request

Appendix B

Accounting Use Only

BRN ☐ BRR ☐

BUDGET REVISION REQUEST

To: Budget Office

_____ (Date)

From: _____

The requested expenditure adjustment(s) shown below are based on revised income estimates for:

_____ Account Title

INCOME

Income Account Number & Major/Minor Code	Current	Revised	Amount-Change
_____	$_____	$_____	$_____

EXPENDITURE

Account Number _____

Object Codes	Current	Revised	Amount Change
_____	$_____	$_____	$_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

_____ College Dean/President

_____ Vice President/ Chancellor

Explanation:

_____

_____

_____

_____

FOR BUDGET OFFICE USE ONLY

To: _____

The above request will be submitted to the Board of Trustees at their meeting on

_____

_____ Budget Director

To Controller:

The above request was approved by the Board of Trustees on _____ and is transmitted to you for implementation.

_____ Budget Director

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

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

I. Introduction

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

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

II. Retirement Groups and Plans

A. Group I Personnel and Plan

1. Group I Personnel

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

2. Group I Plan - Participation Requirements

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

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

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

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

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

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

3. Group I Plan - Contributions and Vesting

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

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

Contributions as a Percent of Basic Annual Salary

By the Participant	By the Institution	Total
5%	10%	15%

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

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

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

In addition to contributions based on basic annual salary, contributions also shall be applied on compensation paid to faculty members

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

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

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

4. Group I Plan - Termination of Contributions

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

a. Cessation of regular full-time employment

b. Retirement

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

B. Group II Personnel and Plan

1. Group II Personnel

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

2. Group II Plan - Participation Requirements

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

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

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

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

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

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

3. Group II Plan - Contributions and Vesting

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

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

Contributions as a Percent of Basic Annual Salary

For the Fiscal Year	By the Participant	By the University	Total
1971-72	0.5%	1.0%	1.5%
1972-73	1.2	2.0	3.2
1973-74	1.9	3.0	4.9
1974-75	2.6	4.0	6.6
1975-76	3.3	5.0	8.3
1976-77	4.0	6.0	10.0
1977-78	4.0	6.5	10.5
1978-79	4.0	7.0	11.0
1979-80	4.0	7.5	11.5
1980-81	4.0	8.0	12.0

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

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

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

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

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

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

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

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

4. Group II Plan - Termination of Contributions

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

a. Cessation of regular full-time employment

b. Retirement

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

C. Group III Personnel and Plan

1. Group III Personnel

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

2. Group III Plan - Participation Requirements

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

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

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

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

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

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

3. Group III Plan - Contributions and Vesting

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

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

Contributions as a Percent of Basic Annual Salary

For the Fiscal Year	By the Participant	By the University	Total
1972-73	1.0%	2.0%	3.0%
1973-74	2.0	4.0	6.0
1974-75	3.0	6.0	9.0
1975 and thereafter	4.0	8.0	12.0

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

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

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

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

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

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

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

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

4. Group III Plan - Termination of Contributions

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

a. Cessation of regular full-time employment

b. Retirement

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

D. Group IV Personnel and Plan

1. Group IV Personnel

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

2. Group IV Plan - Participation Requirements

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

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

3. Group IV Plan - Contributions and Vesting

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

Contributions as a Percent of Basic Annual Salary

By the Participant	By the Institution	Total
1%	2%	3%

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

Contributions as a Percent of Basic Annual Salary

By the Participant	By the Institution	Total
4%	8%	12%

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

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

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

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

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

4. Group IV Plan - Termination of Contributions

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

a. Cessation of regular full-time employment

b. Retirement

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

E. Group V Personnel and Plan

1. Group V Personnel

Eligibility of personnel for classification in Group V is conditioned upon: (a) regular full-time employment; (b) occupation in a position covered by the Federal Employees Retirement System (FERS) Act; and (c) participation rights under the FERS retirement plan.

2. Group V Plan - Participation Requirements

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

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

3. Group V Plan - Contributions and Vesting

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

Contributions as a Percent of Basic Annual Salary

By the Participant	By the Institution	Total
1%	2%	3%

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

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

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

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

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

4. Group V Plan - Termination of Contributions

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

a. Cessation of regular full-time employment

b. Retirement

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

F. President, Vice Presidents, and Chancellors

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

III. Retirement Dates

A. Retirement Prior to Age 65

Retirement prior to age 65 generally is considered as early retirement. Early retirement is authorized when the combination of the employee's age and years of regular full-time service (with a minimum of 15 years) equals or exceeds the number 75. Service needs not be continuous, and regular part-time service will be counted on a pro rata basis. Employees taking advantage of this early retirement must provide written notification through normal administrative channels to their appropriate chancellor or vice president at least three months in advance of the desired retirement date.

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

(a) Payment of supplemental retirement income shall not begin until the month in which the early retiree attains age 65;

(b) Service credit for supplemental retirement income shall not accrue after the person retires;

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

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

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

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

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

B. Normal Retirement

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

C. Mandatory Retirement

1. General

With the exceptions described in Sections III.C.2, III.C.3, and III.C.4, no mandatory retirement date is applicable to employees of the University of Kentucky.

2. Executives

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

3. Tenured Faculty

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

4. Law Enforcement Officers

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

D. Disability Retirement

1. Prior to Normal Retirement Date

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

2. Subsequent to Normal Retirement Date

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

3. In Conjunction with Long Term Disability Plan

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

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

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

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

IV. Retirement Benefits

A. Benefits Through Retirement Plan Carriers

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

B. Minimum Annual Retirement Benefit and University Supplemental Retirement Income

1. Group I Personnel

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

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

plus

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

or

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

Age	Percentage
51	1
52	2
53	3
54	4
55	5

In no event shall the applicable percentage exceed 20% plus 1% for each year of eligible service. Any service credit allowed for years of part-time employment shall be computed on an appropriate fractional basis.

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

Fixed Annual Supplemental Retirement Benefit	=	Computed[1] Minimum Annual Retirement Benefit	-	Computed[2] Annual Retirement Benefit from the Funded Plan Accumulations

[1]Computed as explained above in this section

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

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

2. Group II Personnel

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

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

3. Group III Personnel

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

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

4. Group IV Personnel

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

Fixed Annual Supplemental Retirement Income	=	Computed[1] Minimum Annual Retirement Benefit	-	Computed[2] Annual Benefit from the Funded Plan Accumulations	-	Computed[3] Annual Benefit from Civil Service Retirement

[1]Computed as explained in Section IV.B.1.

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

[3]Computed on the basis of assumption in Section IV.B.6.b.

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

If an employee eligible for Civil Service retirement benefits elects to retire at an age earlier than the normal University retirement age of 65, all retirement benefits will be calculated on the age attained at retirement rather than age 65. Any University supplemental retirement benefit due the employee will be deferred until the employee attains age 65.

The policy described herein applies to retirements which become effective on or after January 1, 1974. Employees whose service is in part with the University of Kentucky and in part with the U.S. Veterans Administration are not covered under the Group IV Plan.

5. Group V Personnel

Employees covered under the Group V plan do not have minimum annual retirement benefit rights.

6. Assumptions in Computation of Supplemental Retirement Income

In determining whether participation in the Civil Service and/or the funded retirement plan(s) has produced the minimum annual retirement benefit described in Sections IV.B.1 through IV.B.4, the following assumptions shall be used:

a. Assumptions Applicable to Calculation of Benefit from the Funded Plan

(1) That all retirement contributions, both from the employee and the University, were invested in a TIAA annuity contract (regardless of the percentages actually allocated to the authorized retirement plan carriers), and

(2) That the retiring employee elected the single life annuity option the value of which is computed on the basis of the employee's age at time of normal retirement (regardless of the option(s) actually elected).

b. Assumption Applicable to Calculation of Benefit from Civil Service

That the retiring employee elected the single life annuity option (regardless of the option(s) actually elected).

7. Periods of Service

As used in this retirement plan, "period of service" means the number of years of full-time employment plus credit allowed for part-time employment plus periods in an approved leave of absence status. Periods of service and eligible service shall be computed to the nearest half year.

The term "eligible service" means the number of years of full-time employment plus credit allowed for part-time employment plus periods in an approved leave of absence status plus periods in an approved disability

status occurring prior to the retirement date. Eligible service also includes service that is derived from Staff Personnel Policy and Procedure regulations that govern utilization of temporary disability leave in conjunction with retirement under this Administrative Regulation.

Only years of continuous service immediately preceding retirement shall be counted in computing periods of eligible service, except where a leave of absence approved by the Board of Trustees or its Executive Committee is of record. When an approved leave is for employment other than by the University, and when the absence is in excess of one year, years of absence in excess of one shall not be counted in determining supplemental retirement income, except by specific agreement at the time the leave is taken or in exceptional instances upon recommendation of the President and approval of the Board of Trustees. The period during which an employee receives benefits under the University's Total Disability Program will be included in the total period of service factor used in the computation of benefits under the non-funded retirement program.

An employee who has had a break in continuous service with the University and, except for the required minimum of fifteen years of continuous service at retirement, otherwise qualifies for retirement benefits may count total service at the University in order to establish a minimum annual retirement benefit, provided total service is equal to at least fifteen years. In any event, the last re-employment date must have preceded the establishment of the funded retirement plan for the group of employees, in which the retiring employee is or was eligible to participate.

8. Retirement Age

The retirement age required under each of the various subsections of Section III may be modified by the provisions of Staff Personnel Policy and Procedure regulations that govern utilization of temporary disability leave in conjunction with retirement age.

C. Retirement Benefits Offset(s)

Any University employee who, at the time of retirement, is eligible for payments by the University under provisions of the unfunded retirement plan or under provisions for supplemental retirement income associated with the funded retirement plan, shall have any continuing benefits that are payable after retirement under the Workers' Compensation Laws or Unemployment Compensation Laws deducted from the University benefit payment. It is intended that the employee receive the total amount of the greatest single benefit but in no event receive any combination of benefits that will exceed the greatest single benefit.

Reduction in University benefit rates as a result of Workers' Compensation payments and/or Unemployment Compensation payments will be adjusted in the event that all or any portion of such payments are discontinued.

D. Benefits in Case of Death Before Retirement

In the event of a University employee's death prior to the commencement of retirement benefits, an income or lump-sum benefit will be paid by the retirement plan carrier to the participant's designated beneficiary or beneficiaries according to policy established by the carrier.

V. Survivorship Option

A. Employees eligible for supplemental retirement income pursuant to Section II.F. or IV.B. may elect a spouse survivor option as to such benefits.

B. The election may be filed at any time prior to the month in which the employee attains age 65, or thereafter at any time prior to retirement.

C. If the survivor option is elected supplemental retirement income will be reduced to an amount which is the actuarial equivalent (as determined by TIAA at the time of retirement) of a joint and two-thirds benefit to the surviving spouse payable for life.

D. Election of this option is revocable prior to the beginning of the month in which the employee attains age 65 unless, at an earlier date, benefits have been paid or accrued pursuant to said election. In all other cases the election is irrevocable.

E. Election of this option may not be exercised posthumously.

F. Survivor benefits pursuant to the provisions of this section are not payable, even though an election has been filed prior to retirement, unless the employee has (1) attained normal retirement age or (2) has been granted disability retirement pursuant to Section III.D.1.

VI. Contributions During Leave of Absence With Pay

During the participant's leave of absence with pay (whether full or partial salary), the University will continue contributions toward retirement benefits, as provided for in Section II, at the same percentage rate on the basic salary as was in effect during the participant's last monthly pay period prior to the leave of absence, if the participant elects to continue contributions in a like manner.

VII. Employment Beyond Retirement

Employees who have elected to retire from University service under any of the provisions hereof shall not be eligible for reemployment except to perform duties for which fee schedules have been approved or upon the specific prior action of the Board of Trustees granting approval of the appointment.

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UNIVERSITY COMPUTING POLICIES AND PROCEDURES

I. Purpose and Intent

Computing service is a University utility having two purposes: to serve the instructional, research, and public service functions of the institution and to provide suitable information within the University for assistance in operational management, decision-making, and reporting.

The accomplishment of these general purposes can take many forms in a time in which technological advances are making computing resources available at relatively lower costs to a much larger population than ever before. The University wishes to take advantage of these advances in a responsible way and is committed to an orderly evolution of its computing capability in support of both academic and administrative functions. At present, the main instrument for effecting these purposes is a large-scale central computing facility. This fact, in conjunction with several underlying principles concerning the planned computing strategy for the University, has certain implications for short- and long-term computing policies. The underlying principles are as follows:

All computing done at the University will be for official University purposes only. Generally, such computing will be in support of the academic and administrative functions of the University but may in certain circumstances include other functions as determined by the President.

Academic computing in direct application to the University functions of instruction, research, and public service is the primary purpose of computing at the University. Administrative computing in indirect support of these functions, while necessary and important, must be secondary. The implication inherent in this principle is that, wherever academic and administrative computing coexist in a computing environment, academic computing will be given first consideration, except in extreme circumstances as determined by the President.

Disbursed or distributed computing, which has the effect of puting computing power in educational and administrative units with legitimate needs for it, will be encouraged within the constraints of economic sense and other superseding University policy.

The various University sectors should play a strong role in determining the quality and quantity of computing services in support of their major missions and functions. Each University sector should be permitted to make economic decisions involving computing and other services.

The University must take advantage of all sources of support to enhance the resource base that may be applied to

computing. Research grants and contracts should recover the full costs of computing to support the work of individual projects.

The determination of priorities among acquisitions and projects in both academic and administrative areas must be the prerogative of the President.

These policies and procedures will be reviewed periodically in relation to currently appropriate conditions in funding, technology, and availability of other resources and to special needs which may have developed since the policies and procedures were initially adopted.

II. Policy Statements

A. Academic Computing Policies

1. Instructional Computing

The University should have a significant capability for interactive and batch instructional computing with a wide variety of computer languages and processors in an environment which is easy for students to use. Such capacity may include the use of the central computer facility, additional hardware of varying capability in remote or central locations, and the use of microcomputers. The ultimate aim is to have sufficient capability to provide all undergraduate students and any interested graduate and professional students with an opportunity for instruction in and access to interactive or other appropriate computing, and to have significant state-of-the-art hardware and software for those students whose disciplines require it.

Funding for this hardware may be augmented in some situations from general institutional funds, but in most cases the funding will be provided by the academic units as the result of economic tradeoffs.

In the case of academic systems to be located in the Computing Center, physical space, operations, systems programming, and maintenance will be provided by the Computing Center. The cost of providing the service will be charged to the using academic units.

2. Research Computing

The goal in research computing is to have sufficient capacity to support existing and future computing needs of researchers in most disciplines. External sources of funding must be used to the fullest extent possible in expanding the computing resources needed. Without such funding, the University will not be able to expand significantly in research computing.

Each new grant and contract must be reviewed to determine whether computing services will be required. If so, the full cost of such computing must be included in the grant proposal as required in University of Kentucky Administrative Regulation AR II-1.0-3. The percentage of research computing costs funded from grants and contracts will be expected to increase.

3. Public Service Computing

Computing capability for the public service function of the University should be sufficient in capacity to support existing and future needs, but most of the funding must be from external sources if the capability is to expand.

Externally funded public service projects such as the Agricultural Extension programs and others will be expected to obtain additional funding for computing in the future.

4. Computing Center Support for Academic Computing

Informed observers of technological development expect expanded use of computing over the next few years in many disciplines, fields, professions, and activities. As use of computing for instruction, research, and public service grows in the University, there will be an increasing need to assist faculty and students in developing new computer applications.

The needs for computing services in instruction, research, and public service will vary within and among academic sectors and units. The determination of particular services in any given time period will depend heavily upon the priorities in programs which the sectors and units establish for themselves.

When program priorities and emphases change, changes in particular computing services will also be indicated, and various development efforts will be necessary. The Computing Center is committed to providing the following services:

Training seminars and workshops for users and prospective users in research, instruction, and service.

Aid in integrating computer-based materials into the curricula and in using computing in instructional processes.

Maintenance and development of generalized programs and libraries of programs.

Consulting services to faculty and staff.

Computing as an instructional tool in the Community College System.

Liaison programs involving student assistants and educational and administrative units.

Development of additional documentation aids.

Development emphases, such as these, can best be effected through cooperative efforts involving interested departments, individuals, and the Computing Center.

Development efforts recognize that needs for computing in instruction, research, and public service vary among units of the institution and from time to time depending upon program emphases of the units. The needs also vary between instruction and research.

5. Non-Central Academic Computing Facilities

Educational and administrative units which have their own computing equipment of whatever size or capacity must ensure that the equipment is used only to the extent and for purposes contemplated by prior authorization at the time of acquisition and that adequate consulting and tutorial support is available for student users (if any).

B. Administrative Computing Policies

1. General Policy Statement

Because of the fundamental priority of the academic over the administrative, only highest priority interactive, on-line administrative systems as determined by the President will be developed or procured for use on the general purpose central computing hardware. When possible, administrative systems will continue to be batch processing systems, allowing administrative processing to be done at night and on weekends when the central computer is normally lightly loaded. However, if justified, small, dedicated hardware systems using interactive computing may be procured for administrative uses in accordance with the provisions of the section entitled "Non-Central Systems Request Procedure."

2. General Policy on Distributed Processing

The procurement and operation of distributed processing equipment is generally encouraged for those educational or administrative units which have made, as an economic choice, the decision that separate data processing facilities would be beneficial to their functions. Aside from the stipulations set forth in the section entitled "Non-Central Systems Request Procedure," the only restrictions placed on the development of software systems for those installations concern the use of the institutional data bases listed under the heading "Major Administrative (Class A and B) Systems." Any application which would make use of any part or all of one of these data bases must be first approved by the Vice President for Administration after recommendation by the Associate Vice President for Information Systems Planning and Policy and Director of the University Computing Center (hereinafter identified as the Associate Vice President-Director).

3. System and Project Classification

Proposed new or expanded administrative computing systems and projects will be categorized into one of three classes:

> Class A systems are decision support systems whose primary purpose is to provide information for University-wide decision-making. A Class A project is any programming effort or acquisition in support or development of a Class A system.

The cost of these projects will be funded from a central budget established for this purpose.

Class B systems are those that supply significant information for University-wide decision making and also support significant institutional operating systems. All programming efforts and acquisitions in support of Class B systems are not necessarily Class B projects. Class B projects are those which materially enhance or protect from degradation the parts of the Class B system that contain or aid in the generation or maintenance of decision-making information. Projects to enhance local operation of a Class B system are not Class B projects. The cost of development and operation of a Class B system will be funded from a central budget established for that purpose. Costs for modifications or enhancements in support of University-wide decision-making will also be centrally funded, but costs related to the development, modification, or operation of subsystems or additions to the basic system which support purely local functions will be funded by the unit involved.

Programming efforts or acquisitions required to meet federal, state, and certain other external reporting requirements will also be considered Class B projects.

Class A and B systems, their descriptions, and the organizations responsible for each are shown in Appendix B: "Major Administrative (Class A and B) Systems."

Class C systems are those which are developed for the primary benefit of the unit involved and which contain very little or no University-wide decision-making information. A Class C project is any programming effort or acquisition in support or development of a Class C system or of an operational function of a Class B system. Costs related to a Class C project will be funded by the unit involved.

4. Special Provisions Concerning Class C Projects

Class C projects are of two types: those which have University-wide information and those which do not, as determined by the Associate Vice President-Director. In cases where there is a central information interest, University system development standards must be followed; otherwise, these standards do not apply.

As noted above, the funding of Class C projects is the complete responsibility of the unit involved. Except for the restrictions concerning management information, general standards for system development, and cases where equipment acquisition is involved, the unit will have much flexibility in the design and operation of the system (see section entitled "Non-Central Systems Request Procedure"). Class C projects, however, cannot be open-ended. Class C projects, like all projects, must have a clearly defined plan and schedule for implementation. The unit may choose to staff the project entirely within its own organization, or it may choose to fund a

position in the Computing Center. Some very minor Class C projects involving programming time only may be done by the Computing Center on a pay-as-you-go basis. See the section entitled "Computing Center Support for Administrative Systems" for a further discussion of Computing Center involvement in Class C projects.

5. Administrative Computing Priorities

The establishment and monitoring of administrative computing priorities is a process related to the classification of projects as A, B, or C and as major or minor, but is not controlled by that process. That is, a Class B major project does not necessarily have priority over a Class C minor project. The assignment of priorities is dependent upon many factors, including available resources, external agency requirements, operational efficiency, and others. Since these conditions change, there is no intrinsic hierarchy rule governing priorities.

The responsibility for establishing priorities within any sector of the University rests with the sector chancellor. The responsibility for preparing recommendations for the Vice President for Administration on institution-wide priorities for administrative data processing is charged to the Associate Vice President-Director who will develop the recommendations in collaboration with the chancellors (and other officers, where appropriate).

6. Major Administrative Systems and Data Bases

a. Residence of Data Bases and Use of Subsets

All Class A and B data bases will reside permanently in the central Computing Center. Updates to these bases will be made only by the organizations named in Appendix B, except as delegated by those organizations and with the approval of the Associate Vice President-Director.

Users at non-central computing facilities may use copies of portions (subsets) of those bases applicable to their own organization for approved applications to their own organizational needs. Requests for copy and use of such data base subsets must be proposed in writing to the head of the organization named in Appendix B. Approval by that person and the Associate Vice President-Director will be required before implementation.

b. Design of and Changes to Major Administrative Systems

Because most administrative computing systems require interrelationships with other systems to provide adequate data for management, policy, and decision-making purposes, coordination and, in some cases, integration of major institutional data bases are necessary. To coordinate and maintain such data bases and to ensure the protection and security of data, the Associate Vice President-Director has the responsibility for overall design, integration, and monitoring of all data processing activity concerning these bases. Since modifications to existing programs and systems affect the interrelationships among systems, All requests for changes, deletions, and additions to existing administrative systems must be proposed in writing to the Associate Vice President-Director and must be approved by that administrator before adoption.

7. Programming Languages and Standards

COBOL and Mark IV are the only data processing languages presently approved for administrative data processing applications. All administrative systems, whether developed in-house or acquired from an outside vendor, will be written in either of these languages. The Computing Center has published COBOL programming standards which must be adhered to by in-house programmers and outside vendors alike. Other programming languages may be added in the future.

8. Computing Center Support for Administrative Systems

The Computing Center will provide support for all administrative systems approved, purchased, or developed under the procedures detailed in the section entitled "Administrative Computing Policies and Procedures." The nature of that support is dependent upon the classification of the system and the location and control of the computing equipment on which the system runs. The types of support are explained in the following sections.

a. Programming Support

(1) Class A and B Projects and Systems

The Computing Center will provide complete developmental and maintenance programming support for Class A and B systems and projects. This support will be fully funded by central institutional accounts.

(2) Class C Projects and Systems

The Computing Center will provide programming support to approved Class C systems and projects in a variety of ways.

A Class C system user may choose to fund, on a temporary or permanent basis, positions in the Computing Center. The minimum period for such a position is one year, but a user may permanently fund a position or positions by a recurring transfer from user organization budgets. Personnel in such positions report administratively to Computing Center management, are housed in Computing Center space, and are subject to all Computing Center rules and regulations including those pertaining to programming and documentation standards. They may work only on approved Class C projects, except in the following cases:

In emergency situations, they may be assigned to an emergency project, as determined by and at the discretion of the Vice President for Administration.

On agreement of all parties concerned, they may be assigned to Class A or B projects.

These positions are periodically reviewed by the Associate Vice President-Director in relation to University priorities. The University reserves the right to assign any programming position to the greatest benefit of the institution, as determined by the Vice President for Administration.

Another way in which the Computing Center will support Class C projects is on a pay-as-you-go, charge-back basis if staff is available. Such projects would be programmed by regular staff programmers/analysts whose time, as well as computer time, would be charged back to the Class C user organization.

b. Data Coordination and Scheduling

The Computing Center Data Coordination section will set up and run all adequately documented production jobs from approved administrative systems. User organizations are responsible for supplying run schedules, update transactions (if any), and parameter information. The cost of running Class A and B systems will be funded from University-wide accounts. Class C running costs will be funded from user organization budgets.

c. Systems Developed Outside Institutional Policies

University units which use their own resources to develop or purchase administrative data processing systems outside the policies and procedures set forth in this document must accept complete responsibility for operating and maintaining those systems. Such systems will not normally be supported by the Computing Center as University systems. This means that data processing personnel employed by the units for development, operation, or maintenance of such systems will have no special privileges in the use of University files or systems personnel. Computing Center programmers will not normally be used to modify or operate these systems. The Computing Center Data Coordination section will not normally schedule or run these systems.

C. Word Processing Policy

The acquisition of word processing and office automation equipment for those educational and administrative units with justified needs will be encouraged. Any equipment purchased primarily for the purpose of word processing should be capable of electronic communication to the University's central computing facility. Such a capability is necessary so that the University can build a base for future communication needs. Electronic mail, electronic filing, and fuller remote use of the University's computing facilities are the eventual aim of this policy.

D. General Policies

1. Non-Central Computing Facilities

An increasing number of educational and administrative units have been obtaining computing equipment for special purposes in accordance with the policies stated in this document. The only general rules for these non-central facilities are that the equipment be properly maintained and that all applicable construction, environmental, fire, and other physical plant regulations have been addressed before installation.

2. Relationship to Central Computing Facility

In those cases in which the non-central computing equipment is physically connectable to the central computing facility through communication links, all costs of maintaining the communication link are the responsibility of the unit owning the non-central equipment. Computing Center standards must be maintained on all communication links.

3. Service Priorities

Three major priority classes of service are provided by the central computing facility: Regular, Deferred, and Slack-time. Regular priority is for that work which has a definite requirement for fast turnaround. Deferred priority is assigned to that work which can be held temporarily in abeyance until regular work has been completed. Slack-time priority is assigned to that work which may be held in abeyance until regular and deferred jobs have been completed. A user can select the appropriate priority for the running of a job.

Deferred computing has lower charges and slower turnaround times. The purpose of the deferred and slack-time priorities is to gain a better balance in scheduling and thus improve efficiency of operation. More time can be made available to users, and more users may be able to utilize computing services.

An upper limit exists to the amount of work that can be processed in a work day or in any twenty-four hour period. Thus, establishing orderly priorities of the work totality, even when the volume is below saturation level, is desirable. Subsequently, then, when a saturation volume is reached, those persons in charge of determining what will and what will not be processed will have a functioning method for analysis and evaluation of both existing and new projects.

The chancellor of an academic sector is charged with the responsibility for accomplishing priority assignments within that sector.

E. Computing Outside the University

1. Participation in Networks

More and more information and data processing networks are appearing, some regional and some national in scope. These may serve fields, disciplines, topics, major areas, and various combinations of units. The University will undoubtedly find participation in some of these networks advantageous, and units are encouraged to use such services when appropriate and when the needs of the University are best met.

The same procedures cover the acquisition of these services as apply to the procurement of other data processing services or equipment.

2. Inter-Institutional Cooperation

By having a strong computing facility and the accompanying resources for project and program development, the University is in a position to serve certain state-wide and inter-institutional needs for computing in higher education when called upon to do so. The intention of the University is to work cooperatively with agencies and institutions in planning such services and to provide these whenever possible.

F. Use of University Facilities by External Agencies

Except for University of Kentucky students, faculty, and staff, the use of University of Kentucky computing facilities is generally limited to federal, state, county, and municipal agencies of government, non-profit research organizations, and other educational institutions. In special cases, when other facilities are not readily available and when the service does not interfere with University work, or when high potential educational or research value to the University of Kentucky exists, an organization not included in the above may be eligible to purchase computing services from the University. Such requests should be made in writing and addressed to the Associate Vice President-Director.

III. Procedures

A. Academic Computing Procedures

1. Requests for Academic Computing Equipment

Requests for computing equipment for instructional, research, or public service purposes should be in the form of proposals. Such a proposal must contain a statement of academic need and, if the equipment is for instructional use, the proposal must state the numbers and classifications of students affected.

2. Review of Academic Computing Acquisition Requests

While the primary responsibility for the decision to acquire a system rests with the units affected, such decisions should be coordinated through the Associate Vice President-Director as part of the Associate Vice President-Director's University-wide planning function. The Associate Vice President-Director should be involved at an early stage of planning so that the acquisition can be reviewed in relation to overall institutional goals and the following criteria be considered in a timely manner:

The acquisition must be economically defensible. That is, a cost-benefit analysis must be made and evidence given to show that the cost of the system will be offset by at least equal educational benefits. It must also contain an analysis of alternative methods of achieving the same ends, such as use of the central computer or use of purchased services.

The effect of data communications between the proposed system and the central computing facility must be assessed. The assessment will be made in terms of the impact of the proposed

system on the resources of the central computing facility. The decision whether or not to acquire the communication software and hardware should be based on the results of that assessment.

The justification for installation of the proposed equipment must be made in accordance with the requirements of state agencies given the power of review of such requests and the requirements of KRS 45.76017. (Currently systems are reviewed for procurement by both the Council on Higher Education and the Secretary of Finance of the Commonwealth of Kentucky.)

3. Purchasing Requirements

Refer to the section entitled "Acquisition of Equipment, Software, and Services."

B. Administrative Computing Procedures

1. Project Request Procedures

As institutional units perceive the need for new or expanded administrative computing systems, they should prepare requests and forward them through the appropriate local organization and their chancellor to the Associate Vice President-Director. The Associate Vice President-Director will classify the project as an A, B, or C project.

If the project is an A or B project, the Associate Vice President-Director will analyze the proposal with respect to the following criteria:

General reasonableness of objectives;

Estimated cost of the project;

Extent of problems the requested project would help solve;

Conformity of request to overall institutional goals;

Conformity of request to institutional and governmental regulations;

Position of request within University priority structure;

Availability of financial and personnel resources; and

Advantages of requested system over system to be replaced (if any).

If the request is acceptable according to these criteria, the Associate Vice President-Director will reach agreement with the chancellor on priority and general schedule. A further classification will be made as to whether the project is major or minor in terms of resources required for

implementation. It will then be scheduled for implementation. The request will then be processed in accordance with the operational procedures given in the sections entitled "Major Projects" and "Minor Projects."

If the project is found to be a Class C project, the Associate Vice President-Director will specify the University-wide management information needed from the project, if any, and, in cases in which there is such information provided by the project, give overall standards to be followed during implementation.

2. Major Projects

Major projects are those which are estimated by the Associate Vice President-Director to require greater than three months elapsed development time or to cost more than $5,000 counting all resource usage including software acquisition, computer time, programmer time, and the time of other systems personnel.

a. General System Proposal

The Associate Vice President-Director will prepare a general system proposal which will include the following:

A functional specification of a system designed to meet the user's requirements, which specifies objectives of that system, expected growth of the system, and limits to that growth;

A plan for implementation of the system, which will include hardware requirements (if applicable) and a timetable;

A cost estimate for system implementation, including the costs of design, conversion, hardware, software, programming, operating, and maintenance; and

A comparison of costs of the proposed system with the costs of the current operating method and alternative systems or methods.

b. Study for Make-or-Buy Decision

Often it is unclear at the time of initial approval of a project for implementation whether it would be to the best advantage to the University to develop the software in house, purchase already developed software, or contract externally for its development. As a general principle, where acceptable commercial software is available to do a given project, procuring it is preferable to developing the software internally. In consultation with the requesting unit and the Computing Center analysts, the Associate Vice President-Director will use the following criteria in determining whether to purchase or develop software for an approved project:

Estimated cost of purchased software versus cost of internal development of software;

Experience, stability, and past performance of commercial vendors' software in comparable institutions;

Time required to install commercial software versus time to develop software in-house in terms of institutional priorities;

Conformance of commercial software to University language requirements, hardware compatibility, and programming standards; and

Cost of modifications needed to adapt commercial software to University environment, i.e., operating system conversion and interfaces with existing systems.

Based on the consideration of these criteria, the Associate Vice President-Director will produce a report recommending a course of action and submit it with the system proposal to the Vice President for Administration, who will notify the appropriate chancellor of the decision.

c. Internal Development Process

If the decision is to implement all or parts of the project internally, the chancellor for the affected sector or the appropriate officer within Central Administration will appoint a project manager who will have the responsibility and authority to coordinate the installation of the system in accordance with the following procedure.

(1) System Analysis and Design

The project manager, with advice from the Computing Center and the Associate Vice President-Director, will create a detailed, task-oriented plan for project implementation, conversion, and parallel operations (if needed) with an appropriate timetable. This timetable will serve as the basis for the Associate Vice President-Director to monitor progress in implementation. In this process these parties will have the following responsibilities under the direction of the project manager:

(a) Tasks for the User

Definition of User Requirements: The user will define in detail the unit's requirements for the system, including data input, desired output, reports, and reporting frequency.

Data Gathering: The user will assemble the data elements and source documents needed for system design.

(b) Tasks for the Computing Center

System Analysis: Based on the approved system proposal and the information obtained as the result of the user tasks, the Computing Center will analyze the data flow of the system, system inputs and outputs, file structure, and needed controls.

System Design: The Computing Center will design a system which will achieve the requirements of the user and the objectives of the system proposal.

System Design Document: The Computing Center will prepare a system design document, a specification for actual implementation and future maintenance of the system. It will include a description of the system, its inputs and outputs, its files, and all other components.

(2) System Review

The Associate Vice President-Director will review the plan prepared by the project manager and consult with user management before giving approval for the project to proceed to the programming stage. The Associate Vice President-Director may also at this time request changes involving the addition of data needed for central administration decision-making and changes in data output format. Subsequent changes to the plan will require the approval of the Associate Vice President-Director. Such approval will be given only in exceptional circumstances. Throughout the project the Associate Vice President-Director will monitor the progress.

(3) Programming

In coordination with the project manager, the Computing Center has the responsibility for definition of program requirements, the actual coding, validation that the programs written meet specifications, and program documentation.

(a) Program Definition

Programmers/analysts will design programs to meet the requirements of the system as designed.

(b) Coding

Programmers/analysts will code the programs in an approved computer language.

(c) Testing

Programmers/analysts will test programs to detect any errors. Two levels of testing will take place.

Program and Production Testing: Programmers/analysts will ensure that programs work in accordance with program specifications. Test data will be created to simulate program conditions. Live production data in a parallel or test mode will be used where possible to simulate actual operational conditions.

Acceptance Testing: Upon satisfactory completion of program and production tests, an acceptance test will be conducted by programmers/analysts using data supplied by the user. Its purpose is to validate not only the programs but also input and output procedures and

system controls. At the successful end of the acceptance test, the project manager will certify in writing to the Associate Vice President-Director that the system meets the specifications of the system proposal.

(4) Documentation

Programmers/analysts will prepare documentation according to Computing Center standards to indicate the purpose and detail operations of each of the programs and instruct the Computing Center Data Coordination section in the sequence and controls to be used in running them. The documentation also provides the programmers/analysts who will be maintaining the system with information about its logic and operating conditions.

(5) Installation

The Computing Center has the responsibility for installation of the new system. Where conversion from a previous system is required, Computing Center programmers/analysts working with user personnel will carry out the actual conversion, making certain that data integrity is maintained. In cases where parallel operation is indicated, Computing Center personnel will operate the new system until system acceptance.

(6) Post-Installation Management Audit

The Associate Vice President-Director will, using the system proposal as a guideline, determine whether the system is accomplishing the objectives for which it was designed by reviewing the operations of the system and any new procedures the users have implemented. In this process the Associate Vice President-Director will determine the effect of the system on machine time, evaluate whether the implementation schedule was met, and prepare a report of the results of the review for the Computing Center and institutional and user management.

d. Purchased Software Implementation Process

The chancellor of the affected sector or the appropriate officer within Central Administration will appoint a project manager who will have responsibility and authority for coordinating the installation of the purchased software. The project manager will work with the vendor's representatives and Computing Center personnel in the installation process.

In some cases the installation of purchased software is part of a major system development project. In those cases the installation of the purchased software will be assumed under that development effort under the procedures detailed in the section entitled "Internal Development Process."

Where the installation is not part of a major development effort, requests for minor incidental programming effort needed in the installation should be directed to the Associate Vice President-Director for approval, priority, and scheduling.

3. Minor Projects

Programming requests and all other systems requests not defined as major projects will be reviewed by the Associate Vice President-Director for acceptability, assignment, and priority.

4. Non-Central Systems Request Procedure

Recent developments in data processing technology have created powerful processors and large capacity data storage in small packages and at relatively low costs. It is the intention of the University to take advantage of those developments in appropriate circumstances.

This section applies only after administrative system proposals have been classified and approved under the provisions of the section entitled "Project Request Procedure." Such approved proposals may have specifically requested hardware or by their nature may have suggested a possible need for additional computing equipment. Approval of an administrative project for implementation does not automatically ensure that suggested hardware will be acquired. The purpose in this section is to set forth the conditions under which such equipment should be procured, the review criteria, and the procedures for procurement.

a. Conditions Under Which Non-Central Systems Will Be Considered

Hardware for non-central computing will be installed when individuals responsible for departmental, division, college, sector, and University-wide administration have determined that there is an economic justification for so doing, and that resources necessary to acquire and maintain the hardware are available for both the initial and long-term obligations of the system. Ordinarily, this means that these systems will be supported from unit budgets.

b. Review Criteria

While the primary responsibility for the decision to acquire a system rests with the units affected, such decisions should be coordinated through the Associate Vice President-Director as part of the Associate Vice President-Director's University-wide planning function. The Associate Vice President-Director should be involved at an early stage of planning so that the acquisition can be considered in relation to overall institutional goals and the following criteria be considered in a timely manner:

> The acquisition must be economically defensible; that is, a cost-benefit analysis must be made and evidence given to show that the cost of the system will be offset by at least equal benefits in terms of savings in personnel costs, increased services, or other applicable measures. It must also contain an analysis of alternative methods of achieving the same ends, such as use of the central computer or use of purchased services.

The system chosen must be capable of data communication in some form with the central computing facility so that information for University-wide decision-making may be taken from it if needed. An assessment will be made of the impact of the proposed system on the resources of the central computing facility. The decision whether or not to acquire the communication capability will be based on the results of that assessment.

The justification for installation of the proposed equipment must be made in accordance with the requirements of state agencies given the power of review of such requests and in accordance with KRS 45.760. (Currently systems are reviewed for procurement by both the Council on Higher Education and the Department of Finance of the Commonwealth of Kentucky.)

c. Procedure for Request of Non-Central Systems

The initiating unit is responsible for proposing the acquisition of any non-central system for administrative data processing either as part of the application proposal or subsequently.

Proposals to install non-central systems must be endorsed by deans, directors, and chancellors responsible for the unit(s) involved. Such proposals must contain the following information:

Institutional unit requesting system;

Name of system and vendor (if known);

Purchase and/or rental costs of the system;

Recurring obligations implied by acquisition of the system;

Statement of the maximum configuration of the system (i.e., a statement of all improvements to the system that may be proposed over the five-year period);

A discussion of the benefits of the system and the needs of the department in light of the costs to be incurred;

A review of alternatives to the proposed system, including such comparisons among competing vendors as may be appropriate; and

A technical description of the proposed system.

A chancellor who approves a proposal for an administrative system will forward the proposal to the Associate Vice President-Director for review. The following criteria will be used in such a review:

The proposed system should meet generally accepted standards of quality in administrative data processing. The vendor should have established a reputation that will ensure reasonable support and maintenance.

The proposed system should be capable of communication with the University's central computing facility if there is a possibility that University-wide administration might need access to data in the system for either management or operational purposes.

The proposed system should have a clearly defined maximum configuration beyond which it will not be expanded except upon review in keeping with these policies and procedures.

The proposed system should be permitted to have an impact upon the University-wide computing resources only to the extent contemplated by conscious decisions made at every level.

The proposed system should be consistent with policies and conventions of state agencies responsible for reviewing data processing proposals.

The Associate Vice President-Director will review all proposals based on the criteria listed above. The Associate Vice President-Director also will evaluate the relative costs and benefits of each system and the extent to which alternative solutions have been explored and make a report of the finding to the officers who have endorsed the system and to the Vice President for Administration.

C. Word Processing Request Procedure

Units with justifiable needs may acquire word processing equipment from any vendor whose equipment has been listed on the University's Approved Word Processing Equipment list. A preferred vendor will be indicated on this list. It will generally be to the benefit of the requestor to choose equipment from the preferred vendor. A preferred vendor is one who has demonstrated models, lines, features, or software especially adapted or useful to University needs and who has entered into special price and service contracts with the University. Information concerning vendors and contracts can be obtained from the Administrator of University Administrative and Management Information Systems, the Associate Vice President-Director, or the Director of Purchasing.

Requests for word processing equipment not included on the Approved Word Processing Equipment list will be handled in the following way. The requestor will be asked to advise the vendor of the equipment of the University's policy concerning communications and minimum word processing features. If the vendor wishes to demonstrate those capabilities, the vendor can do so under the provisions specified in the section entitled "Procedure for Inclusion in Approved Word Processing Equipment List." If the vendor cannot or will not comply with these provisions, the requestor will be advised to select another vendor.

The Approved Word Processing Equipment list will be maintained by the Administrator of University Administrative and Management Information Systems. The list will be frequently updated. The Associate Vice President-Director and the Director of Purchasing will have the most current copy of the list at all times. Inquiries about the list should be directed to them or to the Administrator of University Administrative and Management Information Systems.

1. Software

Word processing software may be leased or purchased for existing or new equipment not acquired primarily for word processing use. Justification for such acquisitions must be made in the same way as for any other software acquisition.

2. Procedure for Inclusion on Approved Word Processing Equipment List

To be included on the Approved Word Processing Equipment list, a vendor's equipment must have demonstrated communications capability to the University's central computers by means of the 3270 protocol. A standard test, administered by University Computing Center personnel and observed by the Administrator of University Administrative and Management Information Systems, will be performed on each model of equipment that the vendor wishes to include on the Approved Word Processing Equipment list. The software or hardware that the vendor uses to demonstrate the capability must be standard issue, not specially developed for the purpose of the test.

In addition, each vendor must demonstrate a minimum standard word processing capability. A document itemizing the provisions of this standard is available on request from the Administrator of University Administrative and Management Information Systems. Each model of equipment on the list, its word processing software, and its 3270 communications hardware and software must be covered under Commonwealth of Kentucky Price Contract or under a special price contract with the University of Kentucky.

While it is not a requirement for inclusion on the Approved Word Processing Equipment list, vendors will be considered more favorably if their equipment also supports some data processing capability using such standard languages as BASIC, FORTRAN, or COBOL.

3. Justification and Routing

Any educational or administrative unit wishing to acquire word processing equipment will submit to its chancellor a proposal containing the following information:

Unit name;

Date of proposal;

Description of need for word processing equipment, including volume of present activity, volume of planned activity, and type of activity (e.g., manuscript typing, power input, power output, etc.);

Configuration of proposed system, including number of terminals, number of printers and location, and special considerations; and

Account number under which equipment will be acquired.

Type of application, volume of activity, and frequency of use are the main criteria. Highest priority will be given to requests from units with a constant high volume of effort in current or planned word processing. Number and location of terminals and printers are also important concerns.

Upon approval and signature by the appropriate sector chancellor, the proposal will be forwarded to the Associate Vice President-Director for final review and evaluation.

D. Acquisition of Equipment, Software, and Services

This section applies to all acquisitions of computing hardware, software, and services not covered specifically by preceding sections. In addition, it covers the approval routing required for such acquisitions and the state-level requirements for certain types of purchases.

1. Prior Authorization and Appropriation of Funds for Certain Equipment Purchases

In accordance with Commonwealth of Kentucky law as set forth in KRS 45.760, all purchases of computing systems with a price of $50,000 or more can be acquired only if a description of the equipment and its approximate price appears in the appropriation bill for the current biennium and in the University of Kentucky biennial budget.

The implication is that large scale computing equipment acquisitions using state funds must be planned well in advance of the acquisition and included in the biennial budget request. Equipment meeting the definition but not appearing in the appropriation bill cannot be acquired during the current biennium.

2. Internal Procedure

a. Equipment

In accordance with the specific provisions indicated in other sections of this document, justifications, proposals, and requisitions for the purchase, rental, lease, or donation of data processing equipment are to be prepared by the intended user unit(s) and forwarded to the appropriate dean or other administrator for consideration and action. If approved by the dean or other administrator, the proposal moves to the appropriate chancellor. The recommendation of the chancellor will be forwarded directly to the Associate Vice President-Director for final review and evaluation.

All applicable procedures at the state level for the procurement of data processing equipment set forth by the Council on Higher Education and the Commonwealth of Kentucky Department of Finance must be followed.

b. Software

Any programs which are to be written by an outside source or which need substantial conversion to run on University equipment are to be considered under the section entitled "Procurement of Computing Services."

The procedure for proposal and approval of pre-coded data processing software is the same as that outlined in the section entitled "Acquisition of Data Processing Equipment."

c. Services

There may be instances in which the University or a University unit finds particular advantage in purchasing computing services from an agency, business, or institution external to the University. In such instances, the intended user(s) can make a request to the department chairman, dean, or other administrator following the established procedures for purchase, lease, rental, or other means of acquiring the service.

The request should give the justifications usually expected, such as the advantage of the service over available or currently used service, the conditions of the purchase, and the source of funding.

d. Routing and Signing of Requests

All requests for acquisition or lease/rental renewal, including advice-of-change notices to existing purchase orders, must be made on a standard requisition and be signed by the requestor, the dean or director, the appropriate chancellor, and the Associate Vice President-Director. The Purchasing Division will not process any request that does not have these signatures.

3. External Procedure

The Purchasing Division will keep current on all state-level purchasing and approval routing requirements and advise requestors of those requirements.

IV. Planning and Reporting of Computing Activities

A. Computing and Computer Use Plan

A plan for computing and use of computers is to be employed for guidance and decision-making purposes in the University. This plan is to cover a minimum of two years, preferably more. The proposed uses of computing in the major functions are to be projected, and the requirements, including support, for priority levels of usage are to be included.

The plan is to be updated and revised at least biennially. In order that the revisions are soundly based, the needs, requests, and justifications for computing services in the performance of basic functions are reviewed by the appropriate chancellor with the proposing units of the University.

In addition, an inventory is maintained of computing and data processing equipment and the general capabilities and utilization of that equipment. Computer-related personnel and expenditures throughout the University are factors which are also included.

In this manner, requests and current usage can be reviewed in terms of capabilities of existing resources and then, when indicated, in terms of needed additional capacity and resources.

The responsibility for the periodic development of this University-wide plan is lodged with the Vice President for Administration.

B. Computing Allocations

Each chancellor should budget whatever funds are deemed necessary for computing activities. All use of the central Computing Center will be billed to the chancellor, the educational or administrative unit, or to grant accounts in accordance with the dictates of the chancellor or the unit.

The primary responsibility for the management of computing and data processing expenditures resides with the individual user and the user's unit. Computing charges incurred by an individual are the responsibility of that unit. Consequently, an over-expenditure of the authorized budgeted funding is an obligation of the unit. Although a unit is expected to treat its computing resources the same as other unit funding, the Computing Center will also provide monthly utilization reports.

C. Annual Report

An annual report on computing facilities, computing systems, and computing and data processing personnel throughout the institution is to be made to the President by the Vice President for Administration. Sector reports will be supplied by the chancellor of each sector to the Vice President for Administration by August of each year. This report should include: information on the type, capability, location, and utilization of computing facilities and computing systems and the number, location, and general assignment of computing and data processing personnel.

The report should outline all new systems and programs developed since the last report, any hardware or staff additions, and any plans for new hardware, software, or staffing. The report should also provide data on the utilization of the equipment during the previous 12-month period, the users of the equipment, and the costs involved.

APPENDIX A

GLOSSARY OF TERMS

The terms defined below appear frequently throughout the text of this document.

Non-central systems

Hardware installed in non-Computing Center sites under the administrative control of the institutional unit concerned, regardless of whether the equipment is functionally attached or capable of communicating with the central computer.

Distributed processing

A data processing environment in which data files important to all users in the environment are kept centrally accessible and may be used in whole or in part by all users, while in separate remote locations specialized functions are performed on appropriate hardware connected to the central location. The maintenance of the integrity of these major files is a central responsibility. Each remote location has a degree of autonomy concerning functions not related to central file maintenance.

Hardware

Also referred to as "data processing equipment," "computing equipment," and "data processing devices," and applies to physical devices used in electronic data processing. It includes processors, memory, magnetic storage devices and media, associated printing devices, communication equipment, terminals, and other input and output devices, such as plotters, card readers, or optical character readers whose use is associated with a data processing system. For the purpose of this policies and procedures statement, no distinction is made among "microcomputers," "minicomputers," "distributed processing equipment," or "data entry equipment" as long as the function of the equipment is for data processing. Desk-top calculators and electronic test equipment are specifically excluded from this policy.

Software

Data processing software includes any pre-coded computer programs or program packages which can be used immediately or with a minimum of conversion on data processing equipment owned, leased, or rented by the University.

Word processing

The production, storage, revision, and printing of text by the use of electronic equipment and media.

Word processing equipment

Any electronic devices, attendant software, and machinery for the input and output of text which may be edited and stored in a computer processor with on- or off-line memory capacity of more than four typewritten pages. This definition includes magnetic card and cassette storage automatic typewriters as well as stand-alone and shared-logic word processing systems. It also includes input devices designed to create magnetic media files for input to printing devices. This definition does not include standard office typewriters, such as the IBM Selectric, nor does it include limited memory typewriters, such as the IBM Electronic Models 50 and 60.

APPENDIX B

MAJOR ADMINISTRATIVE (CLASS A AND B) SYSTEMS

At present, there is no Class A administrative system. The following systems are classed as B systems. A brief description of each is given along with the name of the organization responsible for the operation and maintenance of the system.

Class B Systems

Student Records

The student records data base is a collection of computer files that contains information concerning present, past, and possible future students. At this time, separate files are maintained by two large academic units. The University Registrar keeps student records for the Lexington campus, Ft. Knox, the Northern Kentucky Graduate Center, the Evening Program, and the Off-Campus Program. The Community College System keeps records for the community colleges and their extended programs. Additionally, the Colleges of Medicine and Dentistry keep separate detailed records for their students due to the special nature of scheduling requirements for those colleges.

Personnel (Including Payroll)

The personnel data base is a comprehensive collection of files concerning the employment, compensation, benefits, characteristics, and termination of all University employees. It is maintained by the Controller's Division.

Physical Facilities

The physical facilities data base is comprised of two computer files which contain information about each building and each room owned or controlled by the University. It has detailed information concerning the control, condition, age, value, occupancy, and present use of all usable building space. It is maintained by the Controller's Division.

Financial Records (Including Budget and Equipment Inventory)

The financial records data base is a collection of files which contains information about all income, expenditure, and budgeting records for all University funds. It is maintained by the Controller's Division.

University Programs (Not Yet Implemented)

The University programs data base will be a system containing information about all University academic, research, public service, and support programs.

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POLICIES AND PROCEDURES FOR ESTABLISHING BRANCH LIBRARIES AND EDUCATIONAL UNIT LIBRARY COLLECTIONS IN THE UNIVERSITY OF KENTUCKY UNIVERSITY SYSTEM

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POLICIES AND PROCEDURES FOR ESTABLISHING BRANCH LIBRARIES AND EDUCATIONAL UNIT LIBRARY COLLECTIONS IN THE UNIVERSITY OF KENTUCKY UNIVERSITY SYSTEM

I. Purpose and Intent

Branch libraries are units of the University of Kentucky University System Libraries, physically distinct from the King Library and the Medical Center Library, having two purposes: to provide subject-oriented collections of informational resources for an identified group of primary users and to extend the instructional, research, and public service support functions of the King Library and the Medical Center Library.

The intent in establishing a branch library is to meet a demonstrable need for access to materials and services which are not, or cannot be, provided by King Library or the Medical Center Library and a demonstrated need to have library support in close proximity to the educational unit.

Future developments in the form of published literature, in library techniques, and in the rapid transmission of printed materials through new electronic devices should minimize the necessity for outlying collections of library materials. The University wishes to take advantage of these advances in a responsible way and is committed to an orderly development of the University System Libraries (compressed of the King Library, the Medical Center Library, and their branches). This fact, in conjunction with the underlying principles of sound library development, has implications for branch library and educational unit library collection planning policies. The underlying principles are as follows:

> The primary mission of the University System Libraries is to provide bibliographical, physical, and intellectual access to recorded information, in whatever form, to support the present and anticipate educational, research, and service functions of the University of Kentucky.
>
> Scholarly needs and interdisciplinary approaches to learning are generally best served by access to a wide range of resources, including the literature of a special subject and all subjects of peripheral interest.
>
> Accessibility of all institutional-owned library resources for all users must be a prime consideration. This implies physical access for extended hours and bibliographic access through a centralized union catalog.

Every duplicated title limits funds for other titles to be added to the collection; therefore, duplicating titles invariably diminishes the breadth of the collection. Conversely, pooling of material of overlapping subject fields makes possible expansion of available resources.

Coordination, cooperation, and communication is difficult to achieve in a system with a proliferating number of outlying facilities.

The various academic disciplines should play a strong role in determining the scope and quality of the collections of the University System Libraries and the quantity of services provided in support of the Libraries' major missions and functions.

The University System Libraries are committed to fiscal responsibility in cost-effective utilization of staff and equipment. A high percentage of the personnel and equipment budgets must not be spent in providing for outlying facilities in less than adequate fashion.

Educational unit library collections are small libraries, sometimes called reading rooms or resource centers, supported by University funds but not affiliated with the University System Libraries. Materials in these libraries are defined as those working tools that faculty must consult on a daily or very frequent basis in support of their teaching and research.

II. Policy Statements

A. General Policies

1. Branch Libraries

The University has a policy of not further decentralizing library facilities on the Lexington campus unless special services are needed by a program that the King Library or the Medical Center Library cannot provide or provide as well as a branch library. A decision on establishing a branch library is reached only after a present and long-range study of available resources and user needs.

2. Educational Unit Library Collections Independent of the University System Libraries

If justified, small collections (limited to dictionaries, textbooks, workbooks, handbooks, and other working tools regularly used by faculty) may be procured for educational unit use in accordance with the provisions of Section IV, entitled Procedures for Establishing an Independent Educational Unit Library Collection.

B. Administrative and Organizational Policies

1. Management of Resources

The responsibility for the management of all University System Libraries resources shall rest with the University System Libraries administration. Library services are most efficiently utilized when all library resources are considered part of one system, with consistent policies for collection development, user access, accounting, systems analysis, and the like. Centralized planning and direction facilitate the most effective use of future financial resources allocated for library services.

2. Administrative Structure

Ordinarily, any branch library should be administratively part of the King Library or the Medical Center Library. Branch library personnel should report to the administration of the King Library (directly or through one of its branches) or the Medical Center Library. This relationship should be defined in job descriptions and outlined on organization charts.

Designing, developing, and administering library programs and adequate collections to meet changing user expectations and demands requires continuing professional growth of librarians charged with these responsibilities. The most effective means of assuring this growth is by participation within a central group.

3. Financial Support

Implicit with the creation of a branch library is a commitment to funding its development, ongoing services, and growth while maintaining adequate support levels for library services required by the total University community. Continuing book and personnel budgets are imperative for a branch library, with additional book funds initially provided for necessary with additional book funds initially provided for necessary duplication as well as enrichment of the existing collection.

C. Operational Policies

1. Statement of Purpose

Written statements of purpose, including goals and objectives, are necessary guides for a branch library's operation. These should state the educational unit's goals and the branch library's role within this context. These statements should be determined carefully, described clearly, and updated regularly.

2. Collection Development

Coordination of the branch library's materials selection policy with the University System Libraries' selection policy assures the most effective use of the University's collection development resources by preventing unnecessary duplication of materials and by preventing gaps in subject coverage within the library collections.

3. Technical Processing

In most cases, centralized acquisition and processing of library materials proves to be most economical. All holdings of a library should be listed in the union catalog located at the King Library and at other access points to the University's library collections.

4. Services

Branch libraries are expected to maintain the same standards of service as the University System Libraries with respect to hours of service, assistance to users, and accessibility to and utilization of informational materials by the total University community.

5. Staff

The branch library's staff is a primary link between user needs and the branch library's collections. Competent and adequate staffing is necessary to ensure the proper development and use of the branch library's collection.

6. Physical Quarters

Physical quarters designed to provide specialized branch library needs are essential to a successful branch library operation. Criteria to be met include: space for present and future growth in terms of collection, equipment, and patron use; accessibility to primary users; noise control; temperature and humidity control; collection security; and an interior conducive to study.

D. Review Policy

A formal, structured review and evaluation of each branch library and independent educational unit library collection shall be scheduled every five years. If justified reasons arise, a review at other than the regular period may be initiated by the chief administrative officer of the educational unit, by the appropriate chancellor, or by the Director of Libraries or the Director of the Medical Center Library.

III. Procedures for Establishing a Branch Library

A. Needs Analysis

To determine whether it is in the best interest of the University to establish a branch library, a needs analysis must be made. This analysis accounts for primary clientele requirements as well as those of the entire academic community and includes supporting data concerning the following points.

1. Description of Proposed Branch Library

A description of proposed branch library services shall include:

a. Its primary clientele and their information needs.

b. Geographical location of the proposed branch library in relation to primary clientele and to the total community of users.

c. Collection development, administrative organization, and operation plans including projections of maximum size.

d. User services to be provided, including hours of access and on-site staffing requirements.

e. Access to union catalogs, specialized information systems, and delivery services including interlibrary loan.

f. Space and equipment requirements, including growth projections to meet changing needs.

g. Total development and operating costs, including long-range projections to meet growth needs.

2. Description of Existing Library Services

A description of existing library services shall include:

a. Informational needs of the total University community defining both general and special requirements.

b. Geographical location of present library facilities in relation to user locations.

c. Collection development policies and physical organization of the collection, including cross-disciplinary needs of the academic community and collection growth projections.

d. User services, including hours of access and on-site staffing requirements.

e. Union catalogs, delivery systems, interinstitutional networking participation, and specialized information systems.

f. Space and equipment requirements, including growth projections to meet changing needs.

3. Comparative Analysis of Existing and Proposed Library Services

A comparative analysis of proposed branch library services and existing library services shall be provided using each of the factors identified in points one and two. Note shall be made of the following:

a. Restrictions on user access to collections and services such as geographical location, transportation facilities, delivery service for library materials, hours of service, staffing assistance, and special use privileges for a defined group of clientele.

b. Collection development and arrangement requirements, including the cost of duplicating existing library resources and developing new subject collections.

c. Space and equipment requirements, including the cost of establishing and maintaining new facilities in fiscal terms and in use of existing space presently used in meeting other academic needs.

d. Financial support requirements, including long-range projections to meet growth needs. An educational unit may choose to fund a position or positions and all or part of the book budget by a recurring transfer from user organization budgets to the King Library or the Medical Center Library. Personnel in such positions report administratively to the administration of the King Library or the Medical Center Library. This decision should be reflected in a review of the University's long-range projections for financial support of its library program.

B. Proposal Approval

A proposal to create a branch library must have the approval of the chief administrative officer of the initiating educational unit, the dean of the college, and any other appropriate councils or bodies. The proposal shall be forwarded by the appropriate dean or administrative officer to the Director of Libraries or the Director of the Medical Center Library. The Director shall supply a statement of administrative feasibility with a recommendation to the appropriate chancellor who shall make the final decision.

IV. Procedures for Establishing an Independent Educational Unit Library Collection

A. Documentation of Need

An educational unit proposing to establish an independent educational unit library collection shall prepare a documentation of need for such a collection, including supporting data parallel to that required for the establishment of a branch library.

B. Materials Purchased

Materials purchased for independent educational unit library collections shall be limited to dictionaries, textbooks, workbooks, handbooks, and other working tools used by faculty on a daily or very frequent basis in support of teaching and research.

C. Financial Support Statement

A statement covering financial support is a vital part of a proposal to establish an independent educational unit library collection. University educational units which use their own resources to establish independent educational unit library collections outside the established University System Libraries must accept complete responsibility for operating and maintaining these collections. The University System Libraries normally shall not provide technical services or personnel in support of these collections.

D. Inclusion in Union Catalog

In order to effectively utilize the University's informational resources, records of books purchased for independent educational unit library collections shall be supplied to the University System Libraries for inclusion in the King Library Union Catalog.

E. Proposal Approval

A proposal to create an independent educational unit library collection must have the approval of the chief administrative officer of the initiating educational unit, the dean of the college, and any other appropriate councils or bodies. The proposal shall be forwarded by the appropriate dean or administrative officer to the Director of Libraries or the Director of the Medical Center Library.

The Director shall evaluate the relative costs and benefits of the proposed independent educational unit library collection and the extent to which alternative solutions have been explored. The Director shall forward a report of findings and a recommendation on the proposal to the appropriate chancellor for review in terms of the policies, criteria, and procedures in this Administrative Regulation. The appropriate chancellor

shall make the final decision concerning the creation of an independent educational unit library collection.

V. Procedures for Reviewing and Evaluating Branch Libraries and Independent Educational Unit Library Collections

A. Needs Analysis

To determine whether it is in the best interest of the University to maintain, to improve, or to close a branch library or an independent educational unit library collection, a needs analysis must be made.

1. The Director of Libraries or the Director of the Medical Center Library shall be responsible for conducting the analysis of a branch library.

2. The chief administrative officer of the educational unit shall be responsible for conducting the analysis of the unit's independent library collection.

3. The analysis shall include supporting data parallel to that required for the establishment of a branch library.

B. Review Recommendations Approval

1. Branch Libraries

The Director of Libraries or the Director of the Medical Center Library shall forward review recommendations to the appropriate dean of the college or the chief administrative officer of the educational unit. The dean or chief administrative officer shall supply an advisory statement to the appropriate chancellor or vice president. The chancellor or vice president shall determine whether it is in the best interest of the University to maintain, to improve, or to close a branch library.

2. Independent Educational Unit Library Collections

The dean of the college or the chief administrative officer of the educational unit shall forward review recommendations to the Director of Libraries or the Director of the Medical Center Library. The Director shall supply an advisory statement to the appropriate chancellor or vice president. The chancellor or vice president shall determine whether it is in the best interest of the University to maintain, to improve, or to close an independent educational unit library collection.

POLICIES AND PROCEDURES RELATIVE TO POSTDOCTORAL SCHOLARS, POSTDOCTORAL FELLOWS, AND VISITING SCHOLARS

A system to identify and keep an account of postdoctoral scholars, postdoctoral fellows, and visiting scholars pursuing advanced studies, research, and specialized training in the University serves the interests of both the individuals and the University. It defines their status, privileges, and benefits. It enables an assessment of the University's contribution to their training and scholarly activities in terms of faculty time and use of office and laboratory space, equipment, and library facilities. Furthermore, the identification of postdoctoral personnel makes it possible for the University to recognize them by awarding Certificates of Postdoctoral Study. For these reasons, the following policies and procedures have been developed for the appointment of postdoctoral scholars and fellows and for the accommodation of visiting scholars in the University.

I. Jurisdiction

All individuals appointed as a postdoctoral scholar or fellow shall be under the jurisdiction of the Vice President for Research and Graduate Studies. Individuals whose experience and training exceed that of learner or apprentice shall be considered as visiting scholars and are under the jurisdiction of the Chancellor for the Lexington Campus, the Chancellor for the Medical Center, or the Vice President for Research and Graduate Studies, as appropriate.

Certain matters may be delegated by the Vice President for Research and Graduate Studies and the Chancellors to appropriate college deans.

II. Definitions of Postdoctoral Scholar, Postdoctoral Fellow, and Visiting Scholar

A. A postdoctoral scholar is an individual who has an earned doctoral degree and is pursuing an individualized program of advanced training in research, in teaching or other important aspects of academic work, or in any combination of these activities for which the University has assumed a measure of responsibility. Although participation in the program provides advanced training, service is required as a condition of appointment with salary. A postdoctoral scholar has status both as a non-regular academic staff employee and as a postdoctoral student.

B. A postdoctoral fellow is an individual who has an earned doctoral degree and is a recipient of a fellowship or training award. Through such an award, a postdoctoral fellow receives a stipend or living allowance (not considered as salary) from grant funds provided specifically for a particular field of study or training. No service to the University is required as a condition of receiving the stipend, although service may be rendered incidentally as part of the training or fellowship program. A postdoctoral fellow has status as a postdoctoral student but not as an employee.

B. A visiting scholar is an individual who is pursuing an independent program of research at the University, or is participating in an existing research program, ordinarily while on leave from another professional position. Such an individual is excluded from classification as a postdoctoral scholar or fellow by virtue of the individual's advanced training and experience beyond that of an apprentice or learner. A visiting scholar need not have been awarded a doctoral degree, but is comparable in experience to the resident faculty. A visiting scholar has status as temporary academic staff.

III. Eligibility for Appointment as a Postdoctoral Scholar or Postdoctoral Fellow

A. Postdoctoral scholars and fellows include those persons who have been awarded an earned doctoral degree and are pursuing a program of advanced training and research/scholarship which has been approved by a department or research unit, the appropriate dean, and the Vice President for Research and Graduate Studies. The pertinent department or research unit shall have the responsibility for describing and evaluating the academic credentials of the candidate and the substance of the proposed program.

B. Persons who do not qualify for participation in the University's postdoctoral program include:

1. Those who are students or degree candidates in the same department or research unit, unless otherwise approved by the Vice President for Research and Graduate Studies; and

2. Those who previously have served as a postdoctoral scholar or fellow for three years at this University (exclusive of internship or residency training) or for five years total at several institutions in programs of postdoctoral training in the same field as their proposed additional program of training. These individuals are presumed to have advanced beyond the apprentice role appropriate to the postdoctoral scholar or fellow title, but they may be eligible for appointment as visiting scholars or possibly to be considered for appointment in one of the faculty title series.

However, since both domestic and foreign predoctoral programs vary in standards and some prior postdoctoral activities provide more specialized and advanced training than others, variation from this exclusion may be justified by special circumstances. Exceptions to this exclusion may be granted by the Vice President for Research and Graduate Studies upon receipt of a recommendation endorsed by the department chairman or research unit director and the dean of the appropriate college.

IV. Appointments

A. Postdoctoral Scholar or Postdoctoral Fellow

Appointment as a postdoctoral scholar or postdoctoral fellow requires recommendations by the appropriate department chairman or research unit director and the dean of the pertinent college and approval of the

individual's Notice of Appointment form by the Dean of the Graduate School and the Vice President for Research and Graduate Studies. Applications on forms provided by the Office of the Vice President for Research and Graduate Studies shall be made at the time of initiation of the individual's program of training and research. A resident faculty member shall be designated to monitor and evaluate the program undertaken. Department chairmen and directors of research units shall be responsible for seeing that all individuals presently in the status of postdoctoral scholar or fellow and all future appointees, with approval of the appropriate college dean, shall register promptly in the Graduate School. Principal investigators on research projects who extend offers to potential postdoctoral scholars or fellows shall inform the candidates of the regulations and benefits associated with the pertinent type of postdoctoral appointment and alert the candidates to the necessity for formal registration in the Graduate School. The Vice President for Research and Graduate Studies shall be notified of any changes in the duration of the program from dates included on the initial application form for appointment as postdoctoral scholar or fellow. As noted previously, appointment as a postdoctoral scholar or fellow in a given field at the University shall be limited to three years, unless an exclusion endorsed by the appropriate department chairman or research unit director and college dean is approved by the Vice President for Research and Graduate Studies.

B. Visiting Scholar

At the request of the department or research unit with which the visiting scholar will be chiefly associated and on recommendation of the pertinent dean, the appropriate Chancellor or the Vice President for Research and Graduate Studies may provide the individual with a letter of appointment to a temporary academic staff position as visiting scholar. The designation "visiting" in the position title indicates that the individual has a temporary appointment for a term not to exceed one year, subject to renewal in exceptional cases if approved by the appropriate Chancellor or Vice President for Research and Graduate Studies. An appointment as visiting scholar normally is without salary from the University.

V. Compliance of Work Assignment or Training Activities With Purpose of Grant or Contract

Where a postdoctoral position or a visiting scholar position is funded through a grant or contract from an extramural source, it shall be the responsibility of the nominating department or research unit to ensure that the work assignment or training activities of the postdoctoral scholar or fellow falls within the purpose of the grant or contract.

VI. Benefits

A. Postdoctoral Scholars

Postdoctoral scholars, in view of their classification as both students and salaried academic staff, will be eligible for certain benefits but will not be eligible for participation in the University of Kentucky Retirement Plan. They are responsible for all fees except that for basic life

insurance. Fees will be those currently in force and are subject to change as these may be modified from time to time under the provisions of the contracts as negotiated between the University and various insurance companies. Specifically, they are eligible:

1. For an identification card, indicating clearly the recipient's status as a postdoctoral scholar, issued without fee by the Employee Benefits Office to each individual enrolled as a full-time postdoctoral scholar after a copy of a signed Postdoctoral Scholar Notice of Appointment form or other appropriate documentation of eligibility of the individual has been received from the Office of the Vice President for Research and Graduate Studies. This ID card will enable the recipient to have access to library facilities, recreational facilities, and check-cashing services on campus, and to make purchases with a discount at campus bookstores.

2. To enroll in one of the University of Kentucky employee health plans.

3. To use the Student Health Service by paying the semester health fee (although ineligible to use the student group health insurance plan).

4. To pay the Student Activity Fee each semester which will provide for the following: a Student Identification Card, access to tickets for home football and basketball games and to major concerts sponsored by the Student Activities Board, and admission to Lexington Philharmonic concerts. A valid student identification card also permits the use of library facilities, recreational facilities, and check-cashing service on campus.

5. For coverage by University's basic life insurance program.

6. To enroll in the University's optional life insurance program.

7. To purchase group accident insurance.

8. For coverage under the University's Long Term Disability Plan.

9. For coverage by provisions of Kentucky Workers' Compensation Act.

10. For coverage under the University's Blood Donor Program.

11. For an entitlement to ten working days of vacation leave with pay the first year and to fifteen working days of such leave each year of employment thereafter; however, vacation leave cannot be accumulated from one year to another. Vacation leave is earned at the rate of 0.833 day per month during the first year and 1.25 days per month during each year thereafter. In case of resignation or termination of appointment before the end of a year, there will be an entitlement to terminal vacation pay for unused earned vacation leave within the current year or, if days of vacation taken exceed those earned, a requirement of reimbursement to the University for the number of days of vacation leave used in excess of those earned.

12. For temporary disability leave in accordance with Staff Personnel Policy and Procedure Number 82.0.

13. For holiday leave with pay in accordance with Staff Personnel Policy and Procedure Number 83.0 and the President's Official Holiday Announcement.

14. To apply for an A parking permit.

15. To participate in the voluntary tax-shelter plans offered by the University of Kentucky.

16. To apply for membership in the University of Kentucky Faculty Club.

17. To apply for membership in the Spindletop Hall Faculty, Staff, and Alumni Club.

B. Postdoctoral Fellows

Postdoctoral fellows, in view their status as postdoctoral students but not salaried employees, shall be eligible for certain benefits under stated conditions. They shall be responsible for all fees except those for basic life insurance coverage. Fees will be those currently in force and are subject to change as these may be modified from time to time under the provisions of the contracts as negotiated between the University and various insurance companies. Specifically, postdoctoral fellows are eligible:

1. For an identification card, indicating clearly the recipient's status as a postdoctoral fellow, issued without fee by the Employee Benefits Office to each individual appointed as a full-time postdoctoral scholar after a copy of a signed Postdoctoral Fellow Notice of Appointment form or other appropriate documentation of eligibility of the individual has been received from the Office of the Vice President for Research and Graduate Studies. This ID card will enable the recipient to have access to library facilities, recreational facilities, and check-cashing services on campus, and to make purchases with a discount at campus bookstores.

2. To enroll in one of the University of Kentucky employee health plans.

3. To use the Student Health Service by paying the semester health fee (although ineligible to use the student group health insurance plan).

4. To pay the Student Activity Fee each semester which will provide for the following: a Student Identification Card, access to tickets for home football and basketball games and to major concerts sponsored by the Student Activities Board, and admission to Lexington Philharmonic concerts. A valid student identification card also permits the use of library facilities, recreational facilities, and check-cashing service on campus.

5. For coverage by the University's basic life insurance program.

6. To enroll in the University's optional life insurance program.

7. For coverage under the University's Blood Donor Program.

8. To apply for an A parking permit.

9. To apply for membership in the University of Kentucky Faculty Club.

C. Visiting Scholars

In view of their status as temporary academic staff, visiting scholars shall be eligible for certain benefits under stated conditions. They shall be responsible for all fees, which shall be those in force and are subject to change from time to time under the provisions of the contracts which are negotiated between the University and various insurance companies. Specifically, they are eligible:

1. For an identification card, indicating clearly the recipient's status as visiting scholar, issued without fee by the Employee Benefits Office to each individual appointed as a research scholar after that Office has received a copy of the letter confirming the appointment of the individual as such by the appropriate Chancellor or the Vice President for Research and Graduate Studies. This ID card will enable the recipient to have access to office and laboratory facilities as assigned, library facilities, and check-cashing services on campus, and to make purchases with a discount at campus bookstores.

2. To apply for an A parking permit.

3. To enroll in one of the University of Kentucky employee health plans.

4. To apply for membership in the University of Kentucky Faculty Club.

5. To apply for membership in the Spindletop Hall Faculty, Staff, and Alumni Club.

VIII. Certificate of Postdoctoral Study

Upon satisfactory completion of a postdoctoral program of study as certified by the sponsoring resident faculty member, each postdoctoral scholar or fellow will be issued a certificate signed by the chairman of the department or director of the research unit with which the individual was primarily associated and by the Vice President for Research and Graduate Studies or the Vice President's designee. This certificate will indicate the field or fields of postdoctoral study, the name of the resident faculty member, and the period for which the postdoctoral scholar was appointed.

UNIVERSITY OF KENTUCKY

BENEFITS CHART
FOR
POSTDOCTORAL SCHOLARS (PDS), POSTDOCTORAL FELLOWS (PDF), AND VISITING SCHOLARS

	PDS	PDF	VS
ELIGIBILITY FOR			
Insurance			
Basic Life	Y	Y	N
Optional Life*	Y	Y	N
ADB Insurance*	Y	N**	N**
Health Coverage	Y	Y	Y
Health Plan Credit	Y	Y	N
Student Health Service*	Y	Y	N
Tax Shelters			
Retirement Plans	N	N	N
Voluntary Plans*	Y	N**	N**
Health Coverage - 125 Plan	Y	N**	N**
Statutory Benefits			
Workers' Compensation	Y	N**	N**
Other Benefits			
Long Term Disability	Y	N	N
Blood Donor Program	Y	Y	N
Leaves			
Vacation	Y	N	N
Temporary Disability Leave	Y	N	N
Holiday Leave	Y	N	N
Other Entitlements			
Faculty Club Membership*	Y	Y	Y
Spindletop Hall Membership*	Y	N	Y
ID Card	Y	Y	Y
Student Activities*	Y	Y	N
Parking Permit*	Y	Y	Y

Y - Yes
N - No

* Indicates that participation in this program area is at individual's expense.

** Assumes that no employee/employer relationship exists. If such does exist, the individual should contact the Employee Benefits Office.

POLICY ON ETHICAL STANDARDS AND MISCONDUCT IN RESEARCH

Preamble

Any compromise of the ethical standards required for conducting academic research cannot be condoned. Breaches in such standards are rare; these must be dealt with promptly and fairly by all parties in order to preserve the integrity of the research community.

Definition

Research "misconduct", as used herein, is defined as plagiarism; fabrication or intentional falsification of data, research procedures or data analysis; or other deliberate misrepresentation in proposing, conducting, reporting, or reviewing research. It does not include honest error or honest differences in interpretations or judgments of data. In cases of allegations involving activities submitted to or supported by a federal agency, the definition for misconduct specified in the agency's regulations will apply.

Process

A. Concerns about potential misconduct should be communicated immediately to the senior administrator of the area in which the incident(s) occurred, i.e. the dean of the college or school, the Director of University Libraries, the Associate Vice President for Research and Graduate Studies in the case of most research centers and institutes, or the community college president in the case of community colleges. Concerns may also be reported to the Office of the Vice President for Research and Graduate Studies which will refer them to the most appropriate administrator. Allegations of misconduct should be submitted in writing to the appropriate senior administrator so that a systematic inquiry can be undertaken. The confidentiality will be protected to the greatest extent possible for those who in good faith report apparent misconduct.

B. After consultation with the appropriate chancellor/vice president and the Vice President for Research and Graduate Studies, the senior administrator shall conduct a preliminary inquiry into the circumstances of the allegations and determine whether there are sufficient grounds to indicate that they have validity. In conducting the inquiry, the senior administrator shall consult with the accused and provide the accused with the opportunity to respond to the allegations. The senior administrator shall complete this initial inquiry within 30 days, if possible, but no later than 60 calendar days. The senior administrator will prepare a written report summarizing the findings of the inquiry. Documentation of the inquiry must be maintained for three years after completion of the inquiry.

C. If findings from the inquiry by the senior administrator provide sufficient basis for conducting an investigation, the senior administrator will request the appropriate chancellor or vice president to initiate an

investigation as soon as possible but no later than 30 calendar days after the completion of the inquiry. In consultation with the Vice President for Research and Graduate Studies, the appropriate chancellor/vice president shall appoint an investigative body to conduct a formal examination and evaluation of all relevant facts to determine whether misconduct has taken place. The accused will be given the opportunity to propose prospective members and to comment on the membership of the investigative body. The investigative body should include at least three tenured faculty members and a representative of the appropriate chancellor/vice president's office or the Office of Vice President for Research and Graduate Studies. Other members may be appointed to obtain necessary expertise. Precautions against real or apparent conflicts of interest will be taken in appointing the investigative body.

D. At the time the investigative body is appointed, the appropriate chancellor/vice president shall inform in writing the individual(s) about whom allegations have been made and any involved collaborators that an investigation is to be conducted and shall present to them a statement of the allegations. This statement shall include information on the nature of the allegations and the focus of the investigation and shall inform those being investigated of the opportunity to defend their conduct and provide comments and other relevant information to the investigative body. The same individuals shall be informed of their right to be represented by an attorney in preparing and/or giving their response in this and all subsequent phases of the investigation.

E. The appropriate chancellor/vice president shall inform the University's Legal Counsel and the administrative officer of the organizational unit of each individual under investigation and of any other organizational unit in which the event may have occurred that an investigation is under way.

F. If the research is supported by an extramural funding agency, the Vice President for Research and Graduate Studies is responsible for ensuring compliance with the applicable agency's reporting requirements. The appropriate chancellor/vice president shall keep the Vice President for Research and Graduate Studies informed of any developments which must be reported to the agency.

G. The investigative body shall conduct a formal examination and evaluation of all relevant facts to determine if the allegations of misconduct are valid. The investigative body shall use advice of the Legal Counsel on procedures and other matters pertaining to the investigation. The investigative body may call witnesses, examine research data (both published and unpublished), and seek expert counsel both inside and outside the University to aid in the investigation. The investigative body will prepare a summary of each interview conducted, and a copy shall be provided to the interviewed party for comment or revision. The investigative body will keep the appropriate chancellor/vice president apprised of the investigation.

Interim administrative actions, as appropriate to the allegations, may be taken prior to the completion of the investigation if such actions are necessary to protect the welfare of human or animal subjects of research or to prevent the inappropriate use of funds.

H. At the completion of the investigation, the investigative body shall submit its findings and recommendations in writing to the appropriate chancellor/vice president who will provide a copy to the individual(s) being investigated. All those being investigated shall be afforded the opportunity to comment upon the report and have such comments included in the formal record of the investigation. The appropriate chancellor/vice president shall provide the person(s) who raised the allegation with those portions of the report that address their role and opinions in the investigation, and their comments, if any, shall be included in the formal record as well.

The investigative body shall complete its investigation including submission of the final report in the shortest feasible period of time but no later than 120 calendar days. If the investigative body is unable to complete the investigation in 120 days, a request for extension which includes an explanation for the delay must be submitted to and approved by the appropriate chancellor/vice president.

All parties involved in the investigation shall strive to maintain confidentiality of information.

As required, the Vice President for Research and Graduate Studies will inform the agency sponsoring the research of the findings of the investigation.

The appropriate chancellor/vice president shall maintain documentation of the investigation's findings for at least three years after completion of the investigation and, if applicable, of the acceptance final report by the sponsoring agency.

I. If the investigative body's findings fail to confirm an instance of misconduct, all participants in the investigation, the senior administrator, and the Vice President for Research and Graduate Studies shall be so informed in writing by the appropriate chancellor/vice president.

If the investigative body has reason to believe that unfounded charges may have been brought with malicious or dishonest intent, the investigative body should recommend consideration of appropriate administrative action.

J. If the investigative body finds that the allegations are substantiated and that misconduct has occurred, the following actions shall be taken by the appropriate chancellor/vice president after consultation with the Vice President for Research and Graduate Studies and the senior administrator:

1. Publishers and editors of journals shall be informed if manuscripts emanating from fraudulent research have been submitted or published; and,

2. Appropriate administrative action consistent with the University of Kentucky Governing Regulations and Administrative Regulations and staff and student policy manuals should be taken against those faculty, staff, postdoctoral scholars, graduate students, and undergraduate students directly involved in the misconduct.

K. If required by a funding agency, the Vice President for Research and Graduate Studies will submit written assurance that the institution is in compliance with the agency's requirements for handling allegations of misconduct.

WAR1:61

DIRECTOR - SCHOOL OF MUSIC
105 FINE ARTS BUILDING
CAMPUS 00221

INSTITUTIONAL ANIMAL CARE AND USE POLICY

Preamble

The University of Kentucky recognizes the importance of the use of animals in its research and teaching programs. Animals are vital both for understanding basic biological processes and in developing diagnostic, therapeutic, and preventive approaches for human and animal diseases. It is the policy of the University that all animals used in teaching and research must be provided humane care and treatment.

The University is committed to maintaining the highest possible standards for the care and use of animals in research and teaching. The University endorses as its own the United States Government's "Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training." The University, including its investigators, researchers, teachers, students, and staff, accepts responsibility for determining that research and teaching involving the use of animals fulfill these responsibilities.

Applicability of Federal Guidelines and Regulations

It is University policy that all procedures and practices for the procurement, housing, care, and use of animals conform to the Public Health Service Policy on Humane Care and Use of Laboratory Animals, the Guide for the Care and Use of Laboratory Animals, and all regulations issued by the United States Department of Agriculture implementing the Animal Welfare Act (P.L. 89-544) as amended. The policy applies to all animal-related research, teaching, and testing regardless of the funding source.

The University has established procedures, involving an Institutional Animal Care and Use Committee (AR III-4.0-5), to assure responsible review of animal use, facilities, and treatment procedures, as well as animal-related research and teaching practices.

Responsible Units

I. Office of the Vice President for Research and Graduate Studies

The Vice President for Research and Graduate Studies is the institutional official responsible for assuring compliance with the University of Kentucky animal care policy and all governmental regulations. The Institutional Animal Care and Use Committee (IACUC) and both the Director of the Division of Laboratory Animal Resources and the University Veterinarian report to Office of the Vice President for Research and Graduate Studies. This office also is responsible for the development and maintenance of institutional records and submission of reports relating to the University's animal care and use program.

II. Division of Laboratory Animal Resources (DLAR)

This unit is administratively responsible to the Vice President for Research and Graduate Studies. It is responsible for obtaining all laboratory animals and for providing humane care and facilities, plus proper veterinary care and preventive medicine, for laboratory animals required for research and instruction. A variety of other support services is available to assist researchers as well.

III. Office of the University Veterinarian

This office is administratively responsible to the Vice President for Research and Graduate Studies and oversees University-wide compliance with all applicable governmental laws, rules, regulations, and guidelines relating to the use of animals in research and teaching activities. This office serves the University as a resource on issues and questions related to animal care and use and coordinates the educational programs and occupational health programs for faculty, staff, and students involved with animals in their research and instructional activities. The University Veterinarian monitors all animal-related activities at the University and serves to inform, coordinate, and facilitate interaction among the DLAR, the IACUC, faculty, and staff. The University Veterinarian serves as executive secretary of the IACUC.

POLICY STATEMENT ON THE COMMUNITY COLLEGE SYSTEM
(APPROVED BY THE BOARD OF TRUSTEES)

Kentucky's public higher education administered by the University of Kentucky will consist of two systems under a President and a Board of Trustees--(1) the University System and (2) the Community College System. The Community College System shall be headed by a Chancellor for the Community College System who shall be directly responsible to the President and shall serve as the chief executive officer concerned primarily with the operation and programs of the Community College System.

The separateness of these two systems is distinguished by their respective roles. The inter-relatedness is distinguished by the shared top administrative authority which coordinates available resources for optimum use without duplication. Each system shall bear primary responsibility and accountability for its administration, policy, personnel, programs, and finances to the President and the Board of Trustees and not to subordinate administrative units of the other, unless specifically directed by the President.

The paternal role of the University of Kentucky in the development of the Community College System has been vital and effective in the genesis of a new educational concept in Kentucky. The present policy is a reflection of the philosophy that the Community College System is, in development, function, and enrollment, a valid component and not an addendum of the University's total effort to serve the higher educational needs of the citizens of Kentucky.

Cooperation rather than authority is deemed necessary to provide the flexibility and responsiveness essential for a viable and evolving comprehensive Community College System under the University umbrella. The relationships between the two systems shall be that of mutual liaison and interchange with common supportive services available to both. The community colleges, as they strive to fulfill their statutory functions, are to be administratively free to meet changing challenges with an internally determined and responsive flexibility.

I. Role of the Community College System

The community colleges have roles aligned both with the task of higher education in the Commonwealth and with the educational and cultural contributions to be made to the citizens of the communities in which they are located. Following are the tasks of the community colleges:

A. To provide two years of lower division programs applicable to a baccalaureate degree. These programs are designed to enable the student to transfer to four-year institutions in the Commonwealth and elsewhere for upper division work.

B. To provide two-year non-baccalaureate programs leading to the granting of associate degrees or appropriate certificates in occupational areas.

C. To provide programs of adult education and service oriented to community interests, both occupational and cultural.

II. Administrative Structure of the University of Kentucky

The University of Kentucky consists of two systems under a President and Board of Trustees. The first of these, the University System, is composed of the University of Kentucky at Lexington and its state-wide research and service elements. The administrative structure in this system is not changed by the organization of the Community College System.

The Community College System consists of the thirteen community colleges now in operation and all other community colleges that may be added to the system in the future. A Chancellor for the Community College System heads the Community College System reporting to the President of the University and the Board of Trustees. Each of the community colleges is headed by a chief administrative officer, reporting to the Chancellor for the Community College System. Each of the community colleges has a nine-member local Advisory Board which provides advice to the chief administrative officer of the community college, the Chancellor for the Community College System, the President, and the Board of Trustees of the University of Kentucky. The counsel of the local Advisory Boards is sought primarily on matters of the two-year occupational programs and local community educational needs. The faculty of each community college is administratively responsible to the chief administrative officer of the respective community college. Community college faculty maintain informal academic liaison with faculty in the parallel subject matter areas at the University of Kentucky at Lexington.

III. Faculty of the Community College System

The responsibilities of the faculty in the Community College System differ somewhat from those in the University System. Teaching and community service functions are paramount in the community colleges. Standards of competence and performance for the functions to be performed are equally as high in the Community College System as in the University System. Faculty at the community colleges are expected to remain up-dated professionally for their teaching and service tasks.

IV. Admission Requirements of the Community College System

Admission to the community colleges and to the University of Kentucky at Lexington is and should be separate. The Community College System has the responsibility to set up and administer its own admission requirements, subject to the approval of the President and the Board of Trustees of the University of Kentucky. Its admission requirements must be such as to allow the flexibility needed to serve the wide range of students in transfer, occupational, and continuing education programs. Courses offered both in the University System and in the Community College System shall carry the same identification and description. Grades, credits, quality points, and academic status from courses taken in the Community College System shall be

transferred when the community college student enrolls in the University System. The applicability of any courses offered in the Community College System which are not offered in the University System towards satisfying the requirements for a University degree shall be determined by the dean of the college in which the student enrolls, which is the same basis used to determine the applicability of courses from any other institution. Steps are taken to assure that students enrolling in lower division degree work at the community colleges with declared plans for later transfer to curricula at the University will receive the benefit of information from the University in those areas in planning their lower division work at the community colleges. The community colleges also will see that those students who intend to transfer to another college or university receive the benefit of counsel in planning their lower division work at the community colleges.

V. Facilities at the Community Colleges

The facilities needed for the community colleges are in substantial contrast to those needed by the University at Lexington. Students commute, thus eliminating the need for dormitory facilities. Technical facilities and equipment should be provided at the community colleges commensurate with the requirements for the programs offered in occupational areas, such as nursing or engineering technology. Laboratory facilities at the community colleges are limited to those laboratories necessary for undergraduate teaching. Library facilities also are designed to support the lower division teaching effort.

VI. Students in the Community College System

The community colleges attract students with a wide range of background and abilities. The markedly lower cost to the student and the student's family makes it possible for many more of the Commonwealth's citizens to participate in higher education.

Many students coming to the community colleges have not identified their educational and career goals. Others have financial, academic, and personal problems that need to be resolved. The community colleges are attempting to meet the needs of this heterogenous student body by giving particular attention to guidance and counseling programs.

Some students enrolling in the community colleges need additional assistance in the basic skills required to be successful in either baccalaureate or occupational programs. The community colleges are unique in higher education in their acceptance of this role in providing developmental work for those students who need it.

Many high school graduates in the state have needs for education oriented to the development of technical abilities usable in the communities in which they live. The expectation is that these needs can be partially met by enrollment in the occupational, collegiate-based curricula of the community colleges.

A significant portion of the enrollment in the community colleges comes from both part-time and full-time students drawn from the adult population of the

communities, satisfying needs and interests in cultural improvement as well as the development of technical capabilities.

The enrollment of substantial numbers of students in the community colleges for lower division programs in baccalaureate degree work is a promising development. Common lower division requirements, offered both in the University System and in the Community College System for a large number of University degree programs, make a broader range of upper division programs of the University of Kentucky open to transfers from lower division programs in the community colleges without loss of credit or time in meeting requirements for a baccalaureate degree.

The students served by the community colleges have wide-ranging needs. These colleges are developing transfer, occupational, and community service programs that are making it possible for their students to meet those needs.

VII. A Policy for Expansion

Frequently the question of adding new locations to the present system of community colleges arises. Future expansion of the present Community College System must be well planned, orderly, and deliberate if the Community College System is to obtain its maximum effectiveness. No expansion should be attempted until provision is made to adequately support existing community colleges and to provide the necessary budgetary support to begin an institution. Any such decision should be rendered only after the Community College System studies the situation in question and has recommended this action. It is now obvious that the improved, and improving, highways make it possible for students to commute greater distances and thus a more systematic plan for expansion will better employ the Commonwealth's financial resources and better serve prospective students.

The development of a master plan for future growth, including detailed criteria, should occur prior to the establishment of any additional community colleges.

Additional community colleges should be established only when:

A. A thorough feasibility study has been made of the community's higher educational needs and the existing capacity it has to meet those needs. A minimum student enrollment of 350 at the opening of the college and a potential of 500 by the end of a five-year period is a desirable standard. The secondary schools in the area to be served by the proposed institution should have at least 1,000 students graduating annually. The immediate surrounding community must be large enough to provide a strong nucleus of the total enrollment, support for scholarships, and employment for graduates, particularly in the two-year occupational programs.

B. Adequate financial support has been assured. A study of the feasibility of establishing a community college should include an evaluation of the prospects of the basic economy of the area and its future development. Even though the location of a community college may enhance the economic growth of an area, it is necessary that the potential for growth and development must be present. It should be noted, however, that

community college education may be most urgently needed in communities that have a declining economy, and this opportunity should not be denied to those who need it most.

C. The community itself demonstrates a desire for the rather unique functions and programs of a comprehensive community college. Contributions and commitments (such as providing land, faculty housing, etc.) that demonstrate support for the college should be considered. The degree of support already provided for other educational and cultural institutions provides significant evidence in this regard since it is an indication of the continuing local interest that is an essential factor in the long-range development and operation of a community college.

D. There is a demonstrated need for higher education. Careful consideration must be given to educational opportunities available at other higher educational institutions (both two-year and four-year) in the area. Relationships with other institutions of higher education represent an important matter for policy consideration.

E. The college is in easy commuting distance for those whom it is intended to serve. Experience indicates that about 25 to 30 miles represents a realistic limit of the primary commuting area for a college. The boundaries of a commuting area are usually defined in terms of a maximum one-way travel time of forty-five minutes.

F. Adequate building(s), parking, and ultimate growth space has been provided. The minimum size for a non-metropolitan site should be usable acreage of not less than 100 to insure adequate potential for growth and ready, safe accessibility to site from existing highways.

Prior to opening a new community college to student enrollment, the "key" staff members (administrators and faculty) should be employed with an adequate period of time to study the educational needs of the people of the area in order to plan an educational program to meet these needs. The chief administrative officer should be on the scene at least a year prior to initial student enrollment.

VIII. Community College Rationale

The University of Kentucky Community College System represents a strong effort to meet public higher educational needs in the Commonwealth. The basic philosophical assumptions upon which such a system rests are:

A. The community college is unsurpassed in effectiveness and economy as a means of extending educational opportunity beyond high school.

B. Perhaps the most sacred tenet of American educational philosophy is that each individual should be provided with the opportunity for an education to the limit of the individual's capacity. The community college is a valuable instrument by which this end can be realized. Many students academically able and anxious to graduate from college cannot afford four years of living away from home while attending college.

C. The community college must be comprehensive in nature--designed for a variety of functions. This includes far more than the freshman-sophomore transfer programs.

D. The community college, in the true sense of the term, must be responsive to the local needs and special conditions.

E. The community college is a functioning part of a coordinated state plan or pattern for higher education.

F. A local Advisory Board for each community college helps reflect the area's needs and opinions.

Large numbers of publicly supported community colleges have been established in the past few years. Kentucky's pattern of development of community colleges has been somewhat unique. In most other states, the community colleges have not been so closely tied to a state university. The development of the University of Kentucky's community colleges has been a slow but rewarding process.

With the changes which have been made legislatively in the University of Kentucky's community colleges and their expansion to meet the needs of the Commonwealth, it appears appropriate to reaffirm and revise a Policy Statement made jointly by the President and the Board of Trustees which spells out the administrative structure which effectively integrates these units into a system and at the same time defines their roles in relation to the remainder of the University.

POLICIES AND PROCEDURES ON APPOINTMENT, PROMOTION, GRANTING OF TENURE, AND TERMINATION OF APPOINTMENT APPLICABLE TO FACULTY IN THE UNIVERSITY OF KENTUCKY COMMUNITY COLLEGE SYSTEM

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POLICIES AND PROCEDURES ON APPOINTMENT, PROMOTION, GRANTING OF TENURE, AND TERMINATION OF APPOINTMENT APPLICABLE TO FACULTY IN THE UNIVERSITY OF KENTUCKY COMMUNITY COLLEGE SYSTEM

The University of Kentucky Community College System and its program can be no greater than the quality and performance of its faculty. The following procedures and criteria offer minimum standards and requirements that should be exceeded in most, if not all, cases. These have been developed solely for the purpose of improving the comprehensive community college program by continually upgrading the quality and performance of the faculty.

In conducting procedures for appointment, promotion, granting of tenure, and termination of appointment affecting faculty not assigned to a division, the dean for academic affairs shall handle those procedural steps which are assigned to a division chairman throughout this administrative regulation.

I. Academic Ranks

Academic ranks in the Community College System shall include Instructor in the Community College System, Assistant Professor in the Community College System, Associate Professor in the Community College System, Professor in the Community College System, and other ranks that are equivalent to these recognized ranks. Hereafter in this administrative regulation these ranks for the Community College System are referred to in abbreviated form as Instructor, Assistant Professor, Associate Professor, and Professor.

The academic ranks of assistant professor, associate professor, and professor or their equivalent in the University System also may be used for community college faculty with equivalent criteria. For faculty members in the regular title series, procedures for appointment, promotion, granting of tenure, and termination of appointment as defined for faculty in the University System shall apply.

II. Appointments

All recommendations for appointment to the Community College System faculty must be supported by a file containing a complete vita of the candidate and letters of recommendation from at least three qualified persons outside the Community College System. All recommendations for appointment to the Community College System faculty and staff must originate with the appropriate administrative officer after due consultation with at least the appropriate tenured faculty members where possible. Established criteria shall form the basis for judgment at all steps of the appointment process.

In view of the Supreme Court's ruling in the University of Pennsylvania vs. EEOC, the University of Kentucky is unable to assure that the written judgments of persons consulted in connection with appointments, promotions, and/or tenure decisions can be maintained in confidence. Thus, writers of such judgments should not be given assurances of confidentiality.

The precise terms and conditions concerning each appointment shall be stated in writing on an official appointment record.

A. Instructors and Assistant Professors

The presidents of the community colleges are delegated authority to make appointments, reappointments, and terminal reappointments to the ranks of instructor and assistant professor without reference to the Community College System Advisory Committee on Appointment, Promotion, and Tenure. These actions are reported by the president to the Chancellor for the Community College System.

B. Associate Professors and Professors

Recommendations for appointment to the ranks of associate professor or professor, with or without tenure, must be forwarded to the Community College System Advisory Committee on Appointment, Promotion, and Tenure through the Chancellor for the Community College System. The Advisory Committee will make its recommendation back to the Chancellor for the Community College System, who will add a recommendation and forward the complete file to the President of the University. The President's recommendation will be given final action by the Board of Trustees.

C. Visiting Professors

The designation "visiting" before an academic title indicates that the holder of the title has a limited temporary appointment for an academic year, semester, or summer term. The visiting title used should be appropriate to the appointee's home base position, i.e., visiting professor, visiting associate professor, visiting assistant professor, or visiting instructor. Where professorial rank or title does not appear to be suitable, the title "visiting lecturer" should be used. A visiting appointment may be full-time or part-time, salaried or unsalaried. The appointment is by definition a temporary one and the visitor is not eligible for staff benefits, except that those with salaried full-time appointments are eligible for Blue Cross-Blue Shield coverage. The visiting title does not include eligibility for membership in the Senate of the Community College System. Membership, with or without voting privileges, may be extended to a visiting appointee by the faculties of the community college and the division to which the appointee is assigned.

D. Part-Time Faculty

Occasionally, a person who otherwise would be a voluntary faculty member can give a substantial fraction of time to a college and that college may need and desire the individual's extensive participation in its program. In such cases, the individual may be paid a salary and be classified as a part-time faculty member. Part-time faculty are not eligible for the usual staff benefits nor for membership in the Senate of the Community College System. Membership, with or without voting privileges, may be extended to a part-time faculty member by the faculties of the community college and the division to which the individual is assigned.

E. Emeritus Professors

Upon retirement, tenured faculty members will retain their titles with

the designation "emeritus".

Personnel with emeritus status are entitled to the following rights and privileges: to be included in faculty lists in University and Community College System bulletins and, upon request, to be provided mailboxes by their college; to be assigned office and/or laboratory space and furnished supplies for creative work (upon request, and subject to their availability and to the approval of the concerned academic unit); to have faculty library privileges; to be eligible to apply for Research Committee grants and publication subsidies; to receive University identification cards; to attend, without voting privileges, meetings of the Community College Senate; to participate, upon invitation, as a non-voting member of a division or college faculty; to hold membership in the University of Kentucky Federal Credit Union; to use University recreation facilities upon presentation of suitable identification; to purchase athletic tickets with previous priority status; to make purchases at the University Book Store at employee discount rates; to participate in academic processions; to be appointed to represent the University and the Community College System at academic ceremonies at other institutions; to receive notices of University and Community College events; and to take part generally with the faculties in all social and ceremonial functions of the University and the Community College System.

F. Voluntary Faculty

Voluntary faculty members are those who have an official faculty appointment in a college for which no stipend or salary is received and who devote only a part of their time to a program. Usually such faculty members are engaged in private practice or business, but they may hold full-time positions with other institutions and agencies. Voluntary faculty are not eligible for tenure, for usual benefits available to full-time faculty, or for membership in the Senate of the Community College System. Faculty membership, with or without voting privileges, may be extended by an education unit to one of its voluntary faculty.

III. Promotions

The president, after consultation with the division chairman, is responsible for initiating the promotion process by inviting a faculty member to prepare a vita and appropriate supporting materials. With the assistance of the faculty member and the division chairman, the president is responsible for gathering documentary materials and submitting the promotion file. The president has the responsibility for insuring that each promotion file is complete and contains the advice of the division chairman and also the individual written opinions of the tenured faculty members of the appropriate division. Each president shall appoint a college advisory committee to advise the president, as requested, on recommendations to appoint or promote.

In view of the Supreme Court's ruling in the University of Pennsylvania vs. EEOC, the University of Kentucky is unable to assure that the written judgments of persons consulted in connection with appointments, promotions, and/or tenure decisions can be maintained in confidence. Thus, writers of such judgments should not be given assurances of confidentiality.

A. Promotions from Instructor to Assistant Professor

The president of the college has been delegated authority to approve or disapprove promotions from instructor to assistant professor. An approved action will be communicated through the Chancellor for the Community College System to the President of the University who will report it to the Board of Trustees. In case of disapproval of such a promotion, the president of the college will inform the faculty member in writing and also notify the division chairman.

B. Promotions to Associate Professor or Professor

Proposals for promotion to associate professor or professor initially will follow the process described in the introductory paragraph of Section III. In each case, the president of the college will either approve the proposal and forward an affirmative recommendation to the Chancellor for the Community College System or disapprove and stop the proposal and then inform the faculty member in writing and also notify the division chairman. If the Chancellor receives the promotion file containing the president's recommendation, the Chancellor will obtain a related recommendation from the Community College System Advisory Committee on Appointment, Promotion, and Tenure and then will either approve the proposal and forward an affirmative recommendation to the President of the University or disapprove and stop the proposal and notify the president of the college. If the President receives the Chancellor's recommendation, the President will either approve the proposal for promotion and make an affirmative recommendation to the Board of Trustees for final action or disapprove and stop the proposal and inform the Chancellor who, in turn, will notify the president of the college of such action. In a case where the Board of Trustees takes final action, the President, through the Chancellor, will inform the president of the college about the Board's action. The president, in turn, will notify the faculty member in writing and also inform the division chairman.

C. Failure to Support Administrative Action for Promotion

Whenever a recommendation to promote is disapproved by either the Chancellor for the Community College System or the President of the University, this fact must be reported back to the president of the college with supporting reasons, and an opportunity provided for a thorough discussion among the concerned parties. The president of the college will initiate the discussion with the faculty member; the division chairman may be included in such a discussion at the request of the president or the faculty member. Any related appeals through administrative channels and/or the Community College System Senate Advisory Committee on Privilege and Tenure must be initiated in writing by the faculty member within 60 days after being notified in writing by the president of the college of the disapproval of a recommendation to promote.

D. Review Periods

An individual shall not remain as an instructor in the Community College System for more than three years. If after that period promotion to a higher rank cannot be justified, the individual's appointment at the University shall not be renewed. Non-tenured appointments at the assistant

professor or associate professor level shall not exceed seven years including previous full-time service at the rank of instructor or higher at other institutions of higher learning, except that no more than three years of previous service may be counted against this seven year probationary period. Reviews shall follow the usual procedures for promotion and must be completed in time for the individual to be notified of the result in accordance with the Governing Regulations (Part X.B.4). Assistant professors must either be promoted at the end of the probationary period or shall not have their appointments renewed.

IV. Tenure in the Community College System

Tenure for faculty of the University of Kentucky Community College System when granted by the Board of Trustees in accordance with the Governing Regulations shall be in the Community College System and not at the individual educational unit of the Community College System.

A. Types of Appointment

Full-time appointments shall be of three kinds: (1) non-tenured appointments, (2) tenured appointments, and (3) post-retirement appointments.

B. Appointment Records

The precise terms and conditions 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 officials and the appointee at least three months before the renewed appointment begins when possible, or at the earliest date feasible in view of budget considerations.

C. Review Periods

Full-time non-tenured appointments may be for one year or for other stated periods, subject to renewal, but the total non-tenured or probationary period shall not exceed seven years, including previous full-time service with the rank of instructor or higher in other institutions of higher learning. A faculty member with more than three years in the academic profession, who is called from another institution and appointed at the rank of associate professor or below, may be required to serve in a probationary status for a period not to exceed four years, even though the individual's total probationary period in the academic profession is extended beyond seven years. However, in any case where a period of prior service of a faculty member involves significantly different institutional objectives or significantly different professional activity, all or part of the period of prior service may be eliminated from consideration in determining the non-tenured period at the University of Kentucky. Except as provided in Part X.C.7 of the Governing Regulations, time spent on leave of absence shall count as probationary period service unless the Community College System in granting the leave and the individual in accepting it agree to the contrary. Individuals initially appointed at the rank of full professor may be given non-tenured status for a period not to exceed one year.

The applicability of prior service to the probationary period of a faculty member in the University of Kentucky Community College System shall be reviewed initially by the prospective faculty member and the concerned division chairman and president. This review should occur either before and/or during the interviewing of the applicant and prior to the appointment of the applicant as a faculty member. The following questions shall be examined and serve as guidelines in making and considering requests for waiver or elimination of prior service: (1) Did the institution of prior service have similar expectations regarding formal criteria for promotion as those which prevail for the University of Kentucky Community College System? (2) Were the measurable achievements of the faculty member at the institution of prior service such that these would be counted as part of the achievements to be evaluated by the University of Kentucky Community College System in consideration for promotion and tenure? (3) Did the faculty member utilize the same knowledge and skills and have the same career goals at the institution of prior service which the faculty member will be applying at the University of Kentucky Community College System? and (4) Does employment in the University of Kentucky Community College System involve a change of career and, therefore, a change in the expectations which should be placed upon measurable achievements within a particular period of time? In any case of prior service involving significantly different institutional objectives or significantly different professional activity, a request that all or part of the prior service be eliminated from consideration in determining the probationary period at the University of Kentucky may be initiated by the prospective faculty member, the division chairman, or the president. After seeking the advice of the College Advisory Committee on Appointment, Promotion, and Tenure, the president shall forward the request with the president's recommendation to the Chancellor for the Community College System who shall approve or disapprove the request.

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

A tenured associate professor concerning whom a recommendation for promotion has not been forthcoming for six years must be considered for promotion, and a recommendation by the president, either affirmative or negative, shall be made to the Chancellor for the Community College System during the seventh year. If the recommendation of the president is negative, the Chancellor will advise the concerned faculty member of this decision to not recommend promotion and will give the faculty member an opportunity to submit a promotion file to the Community College System Advisory Committee on Appointment, Promotion, and Tenure for evaluation. Within thirty days of notification by the Chancellor, the concerned individual shall reply in writing to the Chancellor either accepting or declining this opportunity for an evaluation of the individual's file by the Advisory Committee on Appointment, Promotion, and Tenure. In the case of acceptance, the Advisory Committee will review and evaluate the file and

recommend to the Chancellor in the usual manner. In case of declination, the provision of another opportunity for consideration of the individual's promotion by the Advisory Committee shall not be mandatory until six more years have passed.

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

Part-time, visiting, or temporary short-term appointments with explicit terminal dates of one academic year or less terminate at the expiration of the term without notice. For those employed year-to-year on a fiscal or academic year basis, notification of non-renewal of appointment at the end of the first year of service shall be given not later than March 1 if the appointment expires at the end of that year or three months in advance if the one-year appointment terminates during the academic year. Notification of non-renewal of appointment at the end of the second year of service shall be given no later than December 15 if the appointment expires at the end of the year or six months in advance if the appointment expires during the year. Notification of non-renewal of appointment after more than two years of service shall be given at least twelve months before expiration of the appointment.

In cases where a division chairman's advice for reappointment for a specific term is rejected by the president and a terminal reappointment is offered instead, the following procedure will be employed. If the tenured members of the division faculty and the division chairman reaffirm their advice and so request by majority vote, the Chancellor for the Community College System will refer the matter to the Community College System Advisory Committee for Appointment, Promotion, and Tenure (or an ad hoc advisory committee especially formed for the purpose). The committee in its deliberation will address itself to the potential of the individual as a faculty member in a comprehensive community college and the likelihood of an eventual tenured appointment, and will submit a written recommendation to the Chancellor. After considering the committee's report, the Chancellor will make a recommendation to the President whose decision will be final.

It is University policy not to provide written reasons in cases of non-renewal of appointment. However, in any such case upon the faculty member's request, the president of the college may meet with the faculty member and discuss informally the circumstances surrounding the non-renewal. If the faculty member is not satisfied with this conference, the faculty member may further request a related conference with the Chancellor for the Community College System. Any related appeals through administrative channels and/or the Community College System Senate Advisory Committee on Privilege and Tenure must be initiated in writing by the faculty member within 60 days after being notified in writing by the president about non-renewal of appointment.

E. Termination of Appointment

1. 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, in accordance with KRS 164.230, be only for

reasons of incompetency, neglect of or refusal to perform duties, or for immoral conduct.

In the instance of termination because of a financial emergency, the faculty member may have the issues reviewed by the Advisory Committee on Privilege and Tenure of the Senate of the Community College System with the right of appeal to the President and the Board of Trustees. The faculty member shall be given notice as soon as possible and never less than twelve months' notice. The released member's place shall not be filled by a replacement within a period of two years, unless the released faculty member has been offered reappointment and a reasonable time within which to accept or decline it.

2. Procedures

Dismissal of a faculty member with continuous tenure or of a non-tenured member before the end of a specified term of appointment shall be preceded by discussions between the faculty member and an appropriate administrative officer or officers looking toward a mutual settlement. In the event of failure to arrive at an agreed upon settlement, the Chancellor for the Community College System shall be responsible for the preparation of a reasonably particularized statement of charges which shall be furnished to the faculty member and the Advisory Committee on Privilege and Tenure of the Senate of the Community College System. The committee shall make an informal investigation for the purpose of attempting to effect an adjustment and, in the case of failure, to 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 individual concerned shall have the right to be heard initially by the Hearing Committee (Privilege and Tenure) of the Senate of the Community College System.

The faculty member shall be informed in writing by the President regarding specific charges at least twenty days prior to the hearing. At least seven days prior to the hearing, the faculty member must 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 tribunal shall evaluate all available evidence and rest its recommendation upon the evidence in the record.

The committee, in consultation with the President and the faculty member, will exercise its judgment as to whether the hearing should be public or private. During the proceedings the faculty member will be permitted to have an academic adviser and counsel of personal choice. At the request of either party or the hearing committee, a representative of a responsible educational organization shall be permitted to attend the proceedings as an observer. A full stenographic record of the hearing or hearings will be taken and made available to the parties concerned. The burden of proof that adequate cause exists rests 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 the institution or Community College System and may include that of qualified faculty members from comparable institutions of higher education.

Upon the conclusion of the hearing, the committee 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 rejects the report, the President shall provide reasons in writing to the committee and to the faculty member and provide an opportunity for response before transmitting the case to the Board of Trustees.

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

3. Suspensions

Until the final decision upon termination of an appointment has been reached, the faculty member will 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 that individual's status through the hearing procedures, the President will consult with the Advisory Committee on Privilege and Tenure of the Senate of the Community College System. Salary will continue 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 violative of academic freedom, they must present their allegations in writing to the Advisory Committee on Privilege and Tenure of the Senate of the Community College System within 60 days after being notified in writing by the presidents of the decisions not to reappoint. Allegations so presented shall be given preliminary considerations by the Advisory Committee on Privilege and Tenure, which shall seek to settle the matter by informal methods. The faculty members' statements of allegations shall be accompanied by statements that they agree to the presentation, for the consideration of the committee, of such reasons and evidence as the Community College System 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 Section E.2 shall be applied, except that the faculty members making the complaints are responsible for stating the grounds upon which they base their allegations, and the burden of proof shall rest upon them. If prima facie cases are

established via these procedures in favor of the faculty members, it becomes incumbent upon the persons who made the decisions not to reappoint to come forward with evidence in support of those decisions.

G. Resignation

Notice of resignation should be given early enough to obviate serious inconvenience to the Community College System. 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 not less than three months if their rank is instructor or assistant professor, and not less than four months if their rank is higher, before the end of their duties during an academic year (exclusive of a summer session) or thirty days after receiving notification of the terms of their appointments for the coming year, whichever date occurs later. However, they may properly request a waiver of this requirement in cases of hardship or in situations where they would otherwise be denied substantial professional advancement.

H. Administrative Personnel

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

I. Opportunities for Hearings

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

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

J. Change of Assignment

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

V. Criteria for Evaluation of Faculty for Appointment and Promotion

A. Areas of Activity

Four areas of activity are important in the evaluation of faculty for appointment and promotion: (1) teaching performance; (2) student guidance-advisory activities; (3) continuing education and community service as related to the program of the college; and (4) professional activities, educational leadership, and service.

Since all appointments and promotions will be made on the basis of merit, a detailed statement on each of these areas will serve as a guide to review committees evaluating the expectations and accomplishments of a faculty member.

1. Teaching Performance

The primary function of a faculty member in a community college is to provide instruction of superior quality. Markedly superior teaching is recognized as a distinct value and must be used as evidence for appointment and promotion of faculty. Objective evidence of the quality of teaching must be obtained and considered. Such evidence should consist of reports by colleagues, evaluation by students, and, if available, evaluation by graduates of the college. Evidence of superior teaching also can be demonstrated by competence in the following:

a. Course objectives should be clearly defined. The relationship to prerequisites and courses which follow should be well conceived, and the relationship of the course to the field of study in general should be articulated.

b. The organization of the course should be in the form of an outline and assignments which reflect a logical and imaginative approach to the subject.

c. The content should be kept up to date and should be consistent with the level at which the course is offered in the curriculum. A faculty member should establish the proper level of instruction in the course. The capacity and background of the students are not irrelevant in this regard, but the objectives of the course and its usefulness in preparing students for more advanced work should not be compromised. The level of instruction should not make undue concessions to the limitations of students but should not be so advanced that by not being comprehended the course fails to fulfill its purpose.

d. The faculty member should be aware of and, where appropriate, use newer educational media in teaching.

e. The faculty member should teach in such a manner that the students work to the level of their abilities, i.e., enrichment of opportunity for students to achieve at significantly different levels.

f. The faculty member should be skillful in evaluating the effectiveness of one's teaching. The faculty member also should have the

ability to devise and use valid instruments for evaluation which are pertinent to the learning experiences provided by the course.

g. The faculty member should be effective in presentation and interpretation of subject matter. Effective techniques of instruction vary with individuals but certain standards of performance have general applicability.

(1) The faculty member should be poised and always in command of one's self and one's classroom situation.

(2) The faculty member's presentations should always be organized in a manner conducive to learning and should always reflect thorough preparation.

(3) The faculty member's manner of presentation and substance of presentation should hold the attention and interest of students.

(4) The faculty member should establish with the class a rapport that is conducive to sustained and enthusiastic pursuit of the subject.

(5) The faculty member should gain the respect of students for knowledge of the subject and ability to communicate and stimulate interest in the subject.

(6) The faculty member should establish a reputation as a teacher who is fair and thorough in evaluation and as a person who is interested in the progress of students.

h. The faculty member should carry an appropriate share of the total instructional load of a division in a community college and should contribute to the maintenance of a vigorous tone in the division's instructional program.

(1) There is a quantitative, as well as a qualitative, dimension to instruction. Consideration should be given to a person who teaches a variety of courses, or to the faculty member who can teach effectively a large number of students.

(2) The tone of an instructional program is obviously an intangible property. A poor tone, however, is easy to discern; disinterested students, lack of rapport between the faculty member and students, and casual presentations in class are some of the more apparent characteristics. A most telling indication of "tone" is an atmosphere in which the student feels that the instructor and the student are working together on the problem as contrasted to an atmosphere in which there is a cold war between the two parties. As it is difficult to measure the contribution of each faculty member to a division, each individual must be evaluated, in part, by the general tone which prevails.

(3) The faculty member should have the respect of colleagues as a teacher.

2. Student Guidance-Advising Activities

The community colleges strive to project a student-centered image by emphasizing as one of their functions the comprehensive attempt to meet the needs of students who vary widely in academic potential and academic interest. Academic advising is probably a more important function in the community colleges than in four-year institutions due to the heterogeneity of the student body, the variety and complexity of decisions which the students must make, and the need for developmental programs to prepare students for entering two-year programs.

a. Faculty members in community colleges must be concerned with the opportunities to serve as advisers to students. For effective contributions as a student adviser the faculty member should: (1) demonstrate an interest in counseling or working with students as an adviser; (2) demonstrate the ability to deal effectively with students in a one-to-one relationship; (3) demonstrate a willingness to learn the fundamentals of advisory responsibility; (4) have the knowledge and ability to refer students to other resource persons in finding solutions to specific problems; and (5) develop a rapport with students which causes them to seek counsel and advisement.

b. Faculty members in community colleges have responsibility for extending the teacher-student relationship beyond the classroom in a way that is conducive to the maturing of the intellect and emotions of the student. This responsibility involves more than formal advising.

3. Continuing Education and Community Service as Related to the Program of the College

The community colleges have responsibility for service across the broad spectrum of the community to meet those needs not met by formal degree programs. All faculty members in a community college share this responsibility, and it is recognized that while the specific roles and responsibilities of individual faculty members in this area will vary, continuing education and/or community service will be reflected in the overall responsibility and evaluation of a faculty member's contribution to the college.

Continuing education and community service as extensions of the faculty member's role as a teacher in a community college might include planning or directing such activities as: (1)short non-credit courses, (2) forums and community meetings, (3) concerts and lectures, (4) exhibits, (5) recreational activities, and (6) professional assistance. (See AR II-5.0-3)

4. Professional Activities, Educational Leadership, and Service

The demonstration and evaluation of the professional activities, educational leadership, and service of a faculty member shall be based upon evidence of: professional growth and development in areas of primary assignment; effective participation in activities appropriate to the formation of educational policy and faculty organization; effective performance of administrative duties where applicable; recognition of

educational leadership; and appropriate support of and participation in student activities, including sponsorship of student organizations.

B. Balance of Intellectual Attainment

A major consideration in any appointment or promotion which carries tenure must be superior achievement in the various activities discussed in the preceding paragraphs. While the proportion of these activities may vary in terms of the individual's assignments and specialty, it must be recognized that superior intellectual attainment is evidenced by both the quality of the individual's teaching and the quality of the individual's community service, student guidance-advising, and professional activities. Ideally, individuals selected for the tenure ranks should demonstrate superiority in all of the major criteria discussed here, and while special circumstances may cause the weight of emphasis to vary on each, care must be taken to insure that outstanding performance in a single activity does not obliterate the other factors that should be considered in evaluating superior achievement.

C. General Criteria for Ranks

Although it would be impossible to specify the exact criteria for judging an appointment or promotion to any one particular rank, a few general statements are made as guides to review committees.

1. Instructor in the Community College System

The title Instructor in the Community College System designates a person whose services are contracted primarily for teaching, advising, and community service. The individual should have an understanding of and a belief in the purposes of a community college.

In the pre-baccalaureate program, it is expected that the individual shall have at least a master's degree in the subject area in which the individual will teach.

In technical programs where an academic degree is not available, two years of occupational experience, professional preparation in the field, or registration or certification by a recognized agency may be presented in lieu of educational attainment. In technical programs where an academic degree is available, it is expected that the individual shall have at least a bachelor's and preferably a master's degree where appropriate.

2. Assistant Professor in the Community College System

Appointment or promotion to the rank of Assistant Professor in the Community College System will be made when it has been determined by colleagues, the division chairman, and the president that the individual has a current capability for good teaching, good student relations, and community college service and that the individual has demonstrated a genuine concern in fulfilling the purposes of a community college.

The evaluation of the individual's performance should be determined by the use of current objective evaluative instruments.

3. Associate Professor in the Community College System

The promotion to Associate Professor in the Community College System will be made only after an indication of continuous improvement and contribution as a faculty member. The individual shall have demonstrated definite leadership in assigned areas of activity and in the overall development of the program of the college. The individual also shall have earned recognition for educational leadership.

4. Professor in the Community College System

A promotion to the rank of Professor in the Community College System should be an indication that the individual is an outstanding, mature faculty member who has been recognized for leadership in the college and the System and who has demonstrated excellence in assigned areas of activity, in professional development, and in the total program of the college. It should always be stressed that this rank is a recognition of quality and depth of performance and achievement rather than length of service.

VI. Appointment, Promotion, and Tenure of Librarians

A. Appointments

1. Librarian IV and Librarian III

The presidents of the community colleges are delegated authority to make appointments to the ranks of Librarian IV and Librarian III. These actions are reported by the president to the Chancellor for the Community College System.

2. Librarian II and Librarian I

Recommendations for appointment to the ranks of Librarian II and Librarian I, with or without tenure, must originate with the president of the college and be forwarded to the Community College System Advisory Committee on Appointment, Promotion, and Tenure through the Chancellor for the Community College System. The Advisory Committee will make its recommendations back to the Chancellor who will add a recommendation and forward the file to the President of the University. The President's recommendation will be given final action by the Board of Trustees.

B. Promotions

1. Promotion from Librarian IV to Librarian III

The president of the college has been delegated authority to approve or disapprove promotions from Librarian IV to Librarian III. An approved promotion will be communicated through the Chancellor for the Community College System to the President who will report it to the Board of Trustees. In case of disapproval of such a promotion, the president will inform the librarian in writing and also notify the dean for academic affairs.

2. Promotion to Librarian II or Librarian I

Proposals for promotion to Librarian II or Librarian I initially will follow a process parallel to that described in the introductory paragraph of Section III. In each case, the president of the college will either approve the proposal and forward an affirmative recommendation to the Chancellor for the Community College System or disapprove and stop the proposal and then inform the librarian in writing and also notify the dean for academic affairs. If the Chancellor receives the promotion file containing the president's recommendation, the Chancellor will obtain a related recommendation from the Community College System Advisory Committee on Appointment, Promotion, and Tenure and then will either approve the proposal and forward an affirmative recommendation to the President of the University or disapprove and stop the proposal and notify the president of the college. If the President of the University receives the Chancellor's recommendation, the President will either approve the proposal for promotion and make an affirmative recommendation to the Board of Trustees for final action or disapprove and stop the proposal and inform the Chancellor who, in turn, will notify the president of the college of such action. In a case where the Board of Trustees takes final action, the President, through the Chancellor, will inform the president of the college about the Board's action. The president, in turn, will notify the librarian and also inform the dean for academic affairs.

3. Failure to Support Administrative Action for Promotion

Whenever a recommendation to promote is disapproved by either the Chancellor for the Community College System or the President of the University, this fact must be reported back to the president of the college with supporting reasons, and an opportunity provided for a thorough discussion among the concerned parties. The president will initiate the discussion with the faculty member; the division chairman may be included in such a discussion at the request of the president or the faculty member. Any related appeals through administrative channels and/or the Community College System Senate Advisory Committee on Privilege and Tenure must be initiated in writing by the faculty member within 60 days after being notified in writing by the president of the college of the disapproval of a recommendation to promote.

C. Review Periods

An individual shall not remain at the rank of Librarian IV in the Community College System for more than three years. If after that period promotion to a higher rank cannot be justified, the individual's appointment at the University shall not be renewed. Non-tenured appointments at the Librarian III or Librarian II levels shall not exceed seven years, including previous full-time service at the rank of Librarian IV or higher at other institutions of higher learning, except that no more than three years of previous service may be counted against this seven-year probationary period. Reviews shall follow the usual procedures for recommendation to promote and must be completed in time for the individual to be notified of the result in accordance with the Governing Regulations (Part X.B.4). Individuals at the rank of Librarian II must either be promoted at the end of the probationary period or shall not have their appointments renewed.

D. Tenure

1. Types of Appointment

Full-time librarian appointments shall be of three kinds: (a) non-tenured appointments, (b) tenured appointments, and (c) post-retirement appointments.

2. Review Periods

Full-time non-tenured librarian appointments may be for one year or for other stated periods, subject to renewal, but the total non-tenured or probationary period shall not exceed seven years, including previous full-time service as a professional librarian with the rank of Librarian IV or higher in other institutions of higher learning. An individual with more than three years in the academic profession, who is called from another institution and appointed at the rank of Librarian II or below, may be required to serve in a probationary status for a period not to exceed four years, even though the individual's total probationary period in the academic profession is extended beyond seven years. However, in any case where a period of prior service of a librarian involves significantly different institutional objectives or significantly different professional activity, all or part of the period of prior service may be eliminated from consideration in determining the probationary period at the University of Kentucky. Except as provided in Part X.C.7 of the Governing Regulations, time spent on leave of absence shall count as probationary period service, unless the Community College System in granting the leave and the individual in accepting it, agree to the contrary. Individuals initially appointed at the rank of Librarian I may be given non-tenured status for a period not to exceed one year.

The applicability of prior service to the probationary period of a librarian in the Community College System of the University of Kentucky shall be considered in the same manner as that for a regular faculty member as explained in detail in Section IV.C of this document.

3. Appointment Records

The precise terms and conditions covering each librarian appointment shall be stated in writing on an official appointment record. Notice of reappointment shall be in the possession of the appropriate administrative officials and the appointee at least three months before the renewed appointment begins when possible, or at the earliest date feasible in view of budget considerations.

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

Part-time, visiting, or temporary short-term librarian appointments with explicit terminal dates of one academic year or less terminate at the expiration of the term without notice. For those employed year-to-year on a fiscal or academic year basis, notification of non-renewal of appointment at the end of the first year of service shall be given not later than March 1 if the appointment expires at the end of that year or

three months in advance if the one-year appointment terminates during the academic year. Notification of non-renewal of appointment at the end of the second year of service shall be given no later than December 15 if the appointment expires at the end of the year or six months in advance if the appointment expires during the year. Notification of non-renewal of appointment after more than two years of service shall be given at least twelve months before expiration of the appointment.

E. Criteria for Ranks

1. All librarians shall have earned an A.B. or B.S. degree, or its equivalent, and a graduate (fifth year) degree in Library Science. Relevant experience or a master's degree in a field other than Library Science may be substituted for the degree in Library Science.

2. Persons appointed to the rank of Librarian III shall, in addition, have had at least three years of successful experience. Graduate study above the degree in Library Science may be substituted for a part or all of the three years of practical experience.

3. Appointees to the rank of Librarian II or Librarian I shall, in addition, have had not less than five years of successful experience. Additional experience may be required if such training is appropriate to the position. They shall also have demonstrated subject specialization and have exhibited educational leadership appropriate to the position. A master's degree or a doctorate in a subject field may be taken as evidence of subject specialization.

F. Conditions of Employment

1. Appointees to the various ranks of librarians are eligible for sabbatical leave in accordance with stated University sabbatical leave policies, for participation in the University Retirement System on the same basis as faculty members of equivalent rank, and for other appropriate benefits and privileges available to faculty members of equivalent rank.

2. Librarians are eligible for membership in the Senate of the Community College System.

VII. Community College System Advisory Committee on Appointment, Promotion, and Tenure

A. Purpose

The Community College System Advisory Committee on Appointment, Promotion, and Tenure is established for the purpose of providing the President and the Chancellor for the Community College System with a systematic and broad base of advisement from both faculty and administration on matters of appointment, promotion, and tenure.

B. Composition

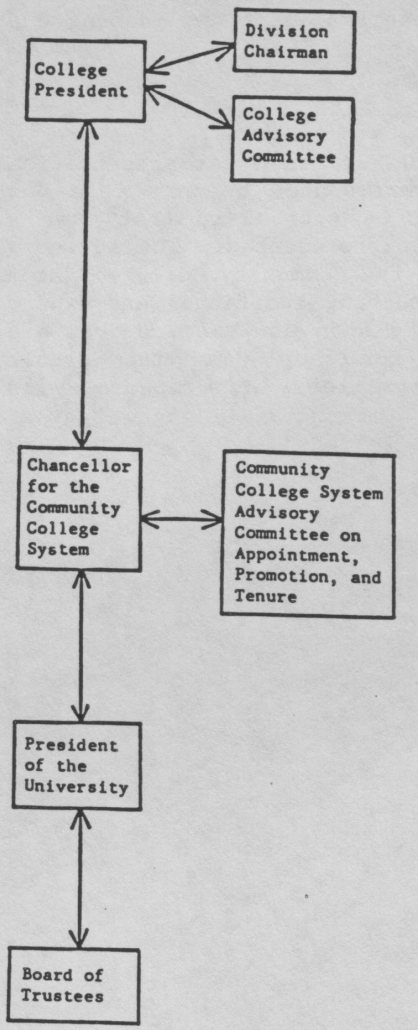
The membership of the Advisory Committee will consist of no fewer than seven members appointed by the President from a list of candidates provided

by the Community College Council. The list shall include at least twice as many names as there are vacancies. Members will have tenure in the Community College System and will serve two-year terms, which will be staggered to insure continuity of membership, the President designating the chairman of the committee.

C. Selection of Committee Members

The membership of the committee should have as broad a representation as possible. No community college shall be represented by more than one person, and membership on the committee shall be rotated so that over a period of years all community colleges shall be represented. The Advisory Committee may recommend that the Chancellor for the Community College System appoint an ad hoc committee to handle cases requiring additional and expert advice. Ad hoc committees will be discharged as soon as their reports are submitted to the Advisory Committee. The Advisory Committee should acknowledge the advice of the ad hoc committee in preparing its recommendations to the Chancellor for the Community College System.

PROCEDURAL FLOW CHART FOR PROMOTION AND GRANTING OF TENURE IN THE COMMUNITY COLLEGE SYSTEM



The College President:

a. Initiates the proposal.
b. Supervises the gathering of the vita with the required letters and supporting materials.
c. Secures the advice of the Division Chairman.
d. Secures the advice of the college's Advisory Committee on Appointment, Promotion, and Tenure.
e. Approves or disapproves the proposal at the level of instructor to assistant professor. Notifies the individual.
f. Forwards to the Chancellor recommendations for approval at the levels of assistant professor to associate professor and of associate professor to professor. Notifies the individual if the proposal is disapproved.
g. See footnote (*).

The Chancellor:

a. Reviews proposal for completeness.
b. Secures the advice of the System's Advisory Committee on Appointment, Promotion, and Tenure.
c. Forwards recommendations for approval to the President of the University.
d. Notifies the College President if the proposal is disapproved. The College President shall notify the individual.
e. See footnote (*).

The President of the University:

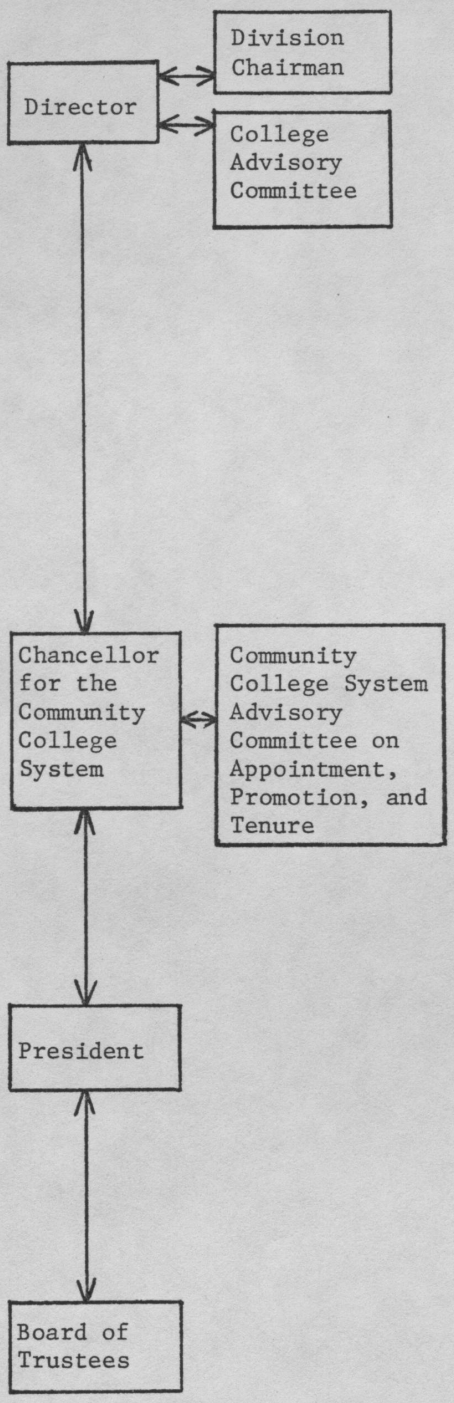
a. Reviews the proposals.
b. Submits recommendations for approval to the Board of Trustees for final action.
c. Notifies the Chancellor if the proposal is disapproved. The Chancellor shall notify the College President who shall notify the individual.

The Board of Trustees:

a. Takes final action.
b. President of the University notifies Chancellor of action taken.
c. Chancellor notifies College President of action taken.
d. College President notifies individual of action taken.

* The roles of the College President and the Chancellor in a case of a tenured associate professor concerning whom a recommendation for promotion has not been forwarded for six years is described in detail in the fourth paragraph of Section IV.C of this document.

PROCEDURAL FLOW CHART FOR
PROMOTION AND GRANTING OF TENURE
IN THE COMMUNITY COLLEGE SYSTEM



The Director:

a. Initiates the proposal.
b. Supervises the gathering of the vita with the required letters and supporting materials.
c. Secures the advice of the Division Chairman.
d. Secures the advice of the college's Advisory Committee on Appointment, Promotion, and Tenure.
e. Approves or disapproves the proposal at the level of instructor to assistant professor. Notifies the individual.
f. Forwards to the Chancellor recommendations for approval at the levels of assistant professor to associate professor and of associate professor to professor. Notifies the individual if the proposal is disapproved.
g. See footnote (*).

The Chancellor:

a. Reviews proposal for completeness.
b. Secures the advice of the System's Advisory Committee on Appointment, Promotion, and Tenure.
c. Forwards recommendations for approval to the President.
d. Notifies the Director if the proposal is disapproved. The Director shall notify the individual.
e. See Footnote (*).
f. Maintains documentation files of all recommendations and actions.

The President:

a. Reviews the proposals.
b. Submits recommendations for approval to the Board of Trustees for final action.
c. Notifies the Chancellor if the proposal is disapproved. The Chancellor shall notify the Director who shall notify the individual.

The Board of Trustees:

a. Takes final action.
b. President notifies Chancellor of action taken.
c. Chancellor notifies Director of action taken.
d. Director notifies individual of action taken.

* The roles of the director and the Chancellor in a case of a tenured associate professor concerning whom a recommendation for promotion has not been forwarded for six years is described in detail in the fourth paragraph of Section IV.C of this document.

POLICY STATEMENT ON THE ACCOUNTING AND MEASUREMENT OF CONTINUING EDUCATION AND COMMUNITY SERVICE ACTIVITIES IN THE UNIVERSITY OF KENTUCKY COMMUNITY COLLEGE SYSTEM

The commitment of the University of Kentucky Community College System to continuing education and community service is confirmed by action of the University of Kentucky Board of Trustees and the state legislature. The policy statement adopted by the Board of Trustees in 1964 and revised in 1971 outlines the three functions of the Community College System which include as one function "to provide programs of adult education and service oriented to community interests, both occupational and cultural." In addition, KRS 164.580 requires that each community college shall provide "within a two-year college curriculum, courses in general education, including adult education, not necessarily intended for transfer or technically oriented."

Community college programs and services are closely linked to local community needs. Commitment to public service and community involvement distinguishes the community college from other forms of higher education. In response to this mission the University of Kentucky Community College System defines continuing education and community service as follows:

Continuing Education - Any structured educational activity (not resulting in academic credit) sponsored by the college for the personal and professional development of individuals. In its broadest sense, continuing education encompasses all ages, educational levels, and topics. The college structures specific learning activities which may be targeted to a particular age group, at a defined level and scope of instruction, and taught by a knowledgeable instructor(s). Participants enroll for a specific offering whether short course, workshop, special training program or other structured learning activity.

Community Service - Any public service that contributes to community development and to the quality of life for a community's citizens. Representative activities include professional consultation and leadership, economic development assistance, testing and assessment services, cultural events, and use of campus facilities.

This regulation provides a systematic process for the orderly recognition and reporting of continuing education and community service activities. This policy statement is consistent with the Criteria for Accreditation of the Commission on Colleges of the Southern Association of Colleges and Schools and the Commission on Colleges' publication, The Continuing Education Unit: Criteria and Guidelines.

CONTINUING EDUCATION

I. Measurement of Continuing Education - (CEU's)

The continuing education unit (CEU) serves as the vehicle to measure and report continuing education activities. One CEU represents ten (10) contact hours of participation in an organized continuing education experience under responsible sponsorship, capable direction, and qualified instruction. Individual CEU's require that a permanent transcript of each enrollee's participation be maintained by the Student Affairs Office. Institutional CEU's, although not a matter of a student's permanent record, serve as a means of measuring and reporting learner participation in continuing education.

II. Types of Continuing Education

A. Occupational and Professional Development

These programs award individual CEU's by meeting seven basic criteria. The CEU's shall be assigned to programs in advance and awarded to individual participants who meet the standards which have been predetermined for satisfactory completion. The awarding of CEU's is not a participant's option. If an activity awards CEU's, all participants who successfully complete the activity receive a certificate. An individual transcript of the activity will be generated and maintained by the Student Affairs Office and be available upon request. There will be no co-mingling of academic credit and CEU activities.

1. Occupational and professional development programs awarding individual CEU's shall meet the following criteria:

a. The noncredit activity is planned in response to an identified educational need for a specific target population.

b. There is a clear, concise written statement of objectives or competencies shared with learners prior to and during the activity.

c. There is qualified instructional personnel involved in a systematic and sequential process of fulfilling purposes as stated in learning objectives.

d. The content and instructional methodologies are consistent with outcomes, are sequences, and are structured to provide opportunity for the learner to participate and receive feedback.

e. Satisfactory completion requirements, including awarding partial credit, are established by the course coordinator and others responsible for the program, and are communicated to participants prior to their participation. Completion standards may be based on a demonstration of learning, predetermined attendance, or a combination of performance and attendance. Only those who meet standards earn CEU's.

f. Any assessment or measurement of an individual's performance is predetermined during planning and is measurable, observable,

clearly stated, and focused on the learner's expected level of performance. Results of formal assessments should be entered on the participant's CEU transcript with a copy maintained in the program file.

g. Evaluative procedures are utilized to measure the quality of the administration and operation of the continuing education activity. During the course of planning, a process is established to evaluate major aspects of the continuing education experience, such as, organizational input; the design, content, content level, and operation; and the extent to which intended learning outcomes were achieved.

2. Categories of Occupational and Professional Development:

a. Job specific/related training and education which is designed to improve one's skills.

b. Continuing professional education/development which improves skills and knowledge for one's profession and may even be required for certification or licensure within one's field.

c. Company-specific per-employment and basic skills education which differs from personal development basic skills or employability education in that participants will apply this education in a specific job with a specific company that has participated in planning the educational experience.

d. Classes for small business owners/potential owners.

B. Personal and Community Development activities are educational programs which are organized to provide enrichment to individuals in subjects of social awareness or personal interest, for which institutional CEU's are recorded.

1. Personal and community development educational activities award institutional CEU's and shall meet the following criteria:

a. The activity is a planned educational experience of a continuing education nature for a diversified population (general public).

b. The activity is a planned educational event and is sponsored by the academic or administrative unit of the institution best qualified to affect the quality of the program content and to select and approve the resource personnel utilized.

c. Registration or certification of attendance is required for institutional reporting use.

2. Individuals who participate in such activities shall register but no individual CEU's shall be awarded and no individual transcript of their involvement shall be maintained by the college. The determination of institutional CEU's for these activities shall be made by means of a registration list. A file of program materials used in the activity will be maintained in the Office of Continuing Education and Community Services.

3. Categories of Personal and Community Development:

a. Programs which explore public issues (social, political, health, economic, educational, or environmental).

b. Leisure interest programs which may relate to a hobby, craft, or area of personal or cultural enrichment.

c. Programs designed for an age-specific audience such as youth or senior adults (e.g., Elderhostels).

d. Basic skills programs not undertaken specifically for one's job but for one's personal development. Representative activities might include:

(1) Adult Basic Education (ABE).

(2) General Educational Development (GED) preparation classes/tutorials.

(3) Refresher/Remedial.

(4) Literacy instruction (reading, math, computer, communications).

(5) Employability skills.

COMMUNITY SERVICE

I. Community service activities do not meet the criteria for awarding the individual or institutional CEU, yet require significant staff effort and institutional commitment.

II. Community service activities shall be reported semiannually to the Community College System in the Community Service Report.

III. Representative community service activities include:

A. Testing and Assessment (excludes academic placement testing and advising).

B. Consultations.

C. Cultural events, science exhibits, career fairs, etc.

D. Use of campus facilities by groups external to the college.

E. Speakers' Bureau.

F. Community leadership (in instances where a college employee serves as an official representative of the college).

G. Economic Development Assistance.

ADMINISTRATION OF CONTINUING EDUCATION AND COMMUNITY SERVICES

I. Program Unit: Each community college shall establish an identifiable unit for continuing education activities and shall designate one professional staff member with responsibility for the continuing education and community service programs. This unit must establish a budget for the continuing education and community services activities. The unit administrator shall provide the Office of Student Affairs required information to generate and maintain the transcripts for individuals receiving CEU's.

II. Mission Statement: Each community college should have a written mission statement outlining the functions, structure, processes, and philosophies of the continuing education unit which guide the operation.

III. Relationship to Academic Units: It shall be the responsibility of the unit administrator to work with the division chairpersons and other administrative personnel to develop an annual plan for continuing education and community service activities as related to the program of the college. Each division and administrative unit shall prepare an annual plan for continuing education and community service activities during the spring of each year. This plan may be modified as needed throughout the academic year.

CONTINUING EDUCATION AND COMMUNITY SERVICE RECORDS

I. Transcript Files: Individuals who participate in programs classified under Occupational and Professional Development shall have individual cumulative records of their involvement maintained by the college. To comply with the Criteria for Accreditation, transcripts for programs in which individual CEU's are awarded shall be maintained (housed or maintained by staff) in the Office of Student Affairs of each community college. As with all student records, the institution should have a written policy on the retention and release of permanent CEU transcripts. Likewise, the institution should establish in writing provisions for the permanent maintenance of CEU transcripts in the event of the institution's demise.

II. Program Files:

A. A program file for Occupational and Professional (individual CEU) activities shall be maintained in the Office of Continuing Education and Community Services. These records should contain:

1. Description of the program, including target group, contact hours, subject matter, etc.;

2. Objectives/competencies of activity;

3. Documentation of faculty qualifications (or where this documentation is maintained);

4. A list of the participants, including certification of completion of course requirements;

5. Results of activity evaluation process.

B. A program file for Personal and Community Development (institutional CEU) activities shall be maintained in the Office of Continuing Education and Community Services.

These records shall contain:

1. Description of the program;

2. Documentation of faculty qualification (or where this documentation is maintained);

3. A list of participants;

4. Total contact hours involved.

III. Community Service Files: For community service programs, the Office of Continuing Education and Community Services shall maintain records of these activities. Records should include activity description, list of faculty/staff involved, headcount of participants and total contact hours involved.

CERTIFICATES FOR CONTINUING EDUCATION

Individuals participating in Occupational and Professional Development programs for which individual CEU's are awarded shall be presented a certificate upon satisfactory completion of the program. The title of the program, date(s), contact hours of instruction, and the number of individual CEU's awarded shall be recorded on the certificate. The college may choose to award certificates of participation for those persons enrolled in Personal and Community Development programs; however, the face of these certificates bear no awarding of CEU's.

REPORTS OF CONTINUING EDUCATION AND COMMUNITY SERVICE

A report of all continuing education and community services activities, including individual and institutional CEU's awarded, shall be sent to the Community College System Office twice yearly on January 15 and July 15. The format of the report forms shall be provided by the Community College System Office.

WAR1:36

POLICY AND PROCEDURAL GUIDELINES FOR THE MANAGEMENT AND USE OF FACILITIES IN THE UNIVERSITY OF KENTUCKY COMMUNITY COLLEGE SYSTEM

For the purpose of management and use of facilities at the various community colleges comprising the University of Kentucky Community College System, the following policy guidelines are set forth.

This policy covers the facilities of the 14 community colleges located apart from the Lexington Campus and, in addition, those specifically designated for use by the Lexington Community College and the central administrative offices of the Community College System on the Lexington Campus.

I. Definitions

For the purpose of this Policy Statement the following terms are defined:

A. Facilities - Buildings and grounds owned by the Commonwealth of Kentucky and assigned to the various community colleges within the Community College System.

B. Community College Units and Groups - Budgeted units within the Community College System, recognized student organizations, and college affiliated organizations.

C. Non-Community College Groups - Those groups which are neither included in Section I.B nor co-sponsored by a college's community service program. For the purpose of this Administrative Regulation, University of Kentucky units and groups outside the Community College System are included here.

II. Policy Guidelines for the Management of Facilities in the Community College System

A. The responsibility for management and allocation of space within the Community College System will be in the Office of the Chancellor for the Community College System. This responsibility has been delegated by the President pursuant to AR I-1.0-1, Section II.B.3.f.

B. In order to promote operational efficiency and to provide administrative flexibility within the Community College System, the Chancellor, except as noted in Section II.K, hereby delegates this function to the president of each college.

C. The Community College System's facilities shall be used only for educational, cultural, or charitable purposes, or other purposes as determined by the Chancellor for the Community College System or the

president in accordance with the regulations of the Board of Trustees and the Rules of the Senate of the Community College System.

D. Community college facilities shall not be used to further the interests of a political party or be used to advance or inhibit religion as specified in Part XII.D of the University of Kentucky Governing Regulations.

E. Non-community college groups or agencies may apply for the use of community college facilities when the program to be presented is of an educational, cultural, or charitable nature, or relates to other purposes consistent with the role of the community college and is approved by the president. In all cases, however, the use of such facilities shall be in compliance with Part XII.D of the University of Kentucky Governing Regulations.

F. Community college facilities shall be made available to community college units and groups and non-community college groups only after it has been determined that the facility has not been scheduled and is not otherwise expected to be used for academic or community service functions.

G. Non-community college groups which charge a registration or admission fee for the program and those groups which are not co-sponsored by the college as part of the college's community service program, with the exception of cases covered in Sections II.H and II.I, shall be charged a fee for the use of the facility sufficient to cover all costs involved. Auxiliary enterprise operations shall be charged a fee for space occupied.

H. There shall be no charge to the State's universities for the use of community college facilities provided these are used for educational purposes during normal operation times. A fee shall be charged for the use of facilities outside of the normal operational periods established by the college and for other than educational purposes.

I. There shall be no charge to non-community college groups or agencies presenting charitable programs during normal operational periods where the sole sponsors and promoters are Kentucky groups or agencies and the total net proceeds are given to Kentucky charities.

J. When community college facilities are used by a non-community college group, a memorandum of agreement between the group and the community college shall be negotiated in advance stating the conditions and charge for the use of the facility and setting forth the responsibilities of the group and the community college.

K. A memorandum of agreement normally shall not exceed one semester or an equivalent time period. An agreement for a longer period of time must be approved by the Chancellor for the Community College System.

L. Except as noted in Section II.K, the president is hereby delegated the responsibility of entering into a memorandum of agreement with a non-community college group for the use of a community college's facility.

M. The use of a community college's name by a non-community college group in a manner which is inconsistent with the role of the community

colleges as stated in Part I.B of the University of Kentucky Governing Regulations is prohibited without prior approval by the University of Kentucky Board of Trustees.

N. Each community college shall designate one or more unrestricted areas to be available to community college units or groups for the purpose of conducting any lawful demonstration, meeting, or assembly without having to reserve such areas in advance.

O. Solicitations by any community college unit or group, or any non-community college group, for subscriptions, sales of merchandise of any kind whatsoever, publications, or services upon community college property (other than by the regularly authorized stores, eating places, or vending operations of a community college) are prohibited except upon written permission of the president.

III. Procedural Guidelines for the Management and Use of Facilities in the Community College System

A. All requests for the use of facilities by community college units and groups and non-community college groups shall be forwarded to the president or the president's designee at each college.

B. All requests shall be in writing and received by the president or the president's designee at least 48 hours prior to the scheduled event.

C. All applications from community college units and groups and non-community college groups will be considered in order of receipt. Scheduled academic activities and community service functions shall have priority for the use of a community college facility.

D. The best interest of the community college may make it necessary occasionally to cancel an event. When such a cancellation becomes necessary, the unit or group holding the reservation shall be given notice as far in advance as possible.

E. A memorandum of agreement for use of a facility by a non-community college group will be signed by the president of the college entering into the agreement and a representative of the non-community college group using the facility.

F. Charges for the use of facilities by non-community college groups shall be developed individually by each community college and shall be sufficient to cover all costs involved.

G. Any organization or group using a community college facility shall take proper care of the facility and its equipment and shall be financially responsible for any damage thereto during use resulting from abuse or neglect.

H. Funds collected from the non-community college groups for the use of facilities shall be deposited in an appropriate college general fund income account.

COMMUNITY COLLEGE BOARDS OF STUDENT PUBLICATIONS

I. Responsibility for Student Publications

Jurisdiction over campus-wide student publications of a community college shall be vested in a Board of Student Publications reporting to the president or the president's designee. By jurisdiction is meant the responsibility for the fiscal management, the editorial policies, and the general operation of the student publications. A campus-wide student publication is defined as a publication which meets all of the following three criteria: (a) any enrolled student is eligible to participate in its publication, (b) it is published for a campus-wide audience, and (c) it is supported in whole or in part by University funds.

II. Composition of the Board of Student Publications

Membership on a Community College Board of Student Publications will include, but is not limited to, the advisers and editors of student publications and representatives from the faculty, staff, and student body. One or more members-at-large may be appointed from the alumni, professional journalists, or public-at-large. Members of the Board will be appointed by the president.

III. The Role of the Board of Student Publications

A. Consistent with the general philosophy of providing a free and responsible press on the community college campus and consistent with Section 2.5 (Right to a Free Student Press) of the Community College Code of Student Conduct, the Board of Student Publications shall be responsible for the development and promulgation of a statement of policy for the guidance of the editorial staffs of publications under the Board's jurisdiction. This statement will deal with operational, editorial, and financial policies of student publications and shall be submitted by the president to the Community College System Office for approval.

B. The Board of Student Publications shall be available for immediate consultation with the editor and/or adviser; its role shall be one of policy interpretation and not one of censorship.

C. The Board of Student Publications shall advise and consult with the student publications advisers and editors regarding financial management of the publications under the Board's jurisdiction. The Board shall approve budget proposals to be made to the president.

D. If, after thorough investigation which shall include affording the editor an opportunity to present personal views, the Board should conclude that an editor has violated the Board's policies or has otherwise failed to perform appropriate duties as editor, the Board is authorized to take one or more of the following actions in reference to the student's status as editor: counsel, warn, reprimand, suspend for a specified period of time, or dismiss.

NON-RESIDENT FEE COMMITTEES FOR INSTITUTIONS IN THE UNIVERSITY OF KENTUCKY COMMUNITY COLLEGE SYSTEM

A Non-Resident Fee Committee shall be established at each community college in the University of Kentucky Community College System in accordance with the Council on Higher Education's "Policy on Classification of Students for Fee Assessment Purposes at State-Supported Institutions of Higher Education," which became effective July 1, 1975. The Non-Resident Fee Committee at each institution in the Community College System shall consider changes in residency status based on guidelines for classification of students for fee assessment purposes which were established by the Council in its 1975 policy statement.

Application for change of residency classification by a student enrolled in a community college shall be made in writing to the institution's admissions officer for initial consideration. The decision of the admissions officer, if adverse to the applicant, may be appealed to the institution's Non-Resident Fee Committee. The applicant shall be notified in writing as to the Committee's decision on the applicant's appeal. If the applicant considers the decision by the Committee to be unsatisfactory, the applicant may request that a copy of the applicant's file be submitted by the institution's admissions officer to the Executive Director of the Council on Higher Education for referral to the Council's Committee on Residency Review for its recommendation to the institution.

The Chancellor for the Community College System has been authorized by the Board of Trustees (May 3, 1983) to make final decisions regarding the residency status of students enrolled in institutions in the University of Kentucky Community College System, provided the students' cases have been reviewed and recommended on by the Council's Committee on Residency Review.

The Non-Resident Fee Committee at each institution in the Community College System shall be appointed by and report to the president of the institution. The Committee shall be comprised of six faculty and/or staff members and two students. The chairperson shall be designated by the president. The faculty and/or staff members normally shall have staggered three-year appointments; the student members shall have one-year appointments.

Each Non-Resident Fee Committee shall have authority to adopt by-laws, establish procedural rules, and schedule meetings. A quorum shall consist of five members and a majority of the quorum shall be necessary for Committee action.

At each institution the admissions officer shall provide professional and secretarial support for the Non-Resident Fee Committee, including but not

limited to recording and preserving the minutes of Committee meetings, processing applications on appeal, and presenting applications at Committee meetings.

The University of Kentucky Office of Legal Counsel shall advise each Non-Resident Fee Committee on legal matters, including but not limited to interpretation of Council guidelines, procedural questions, and applicable laws, cases, and regulations.

The Non-Resident Fee Committee at each institution shall submit an annual report to the president of the community college.

PHYSICIANS' SERVICES PLAN
(APPROVED BY THE BOARD OF TRUSTEES)

ARTICLE I. NAME OF THE PLAN

The Plan shall be known as the PHYSICIANS' SERVICES PLAN of the University of Kentucky Medical Center.

ARTICLE II. SCOPE OF THE PLAN

The Plan establishes policies and general procedures relating to compensation for services rendered by participating physicians, regardless of speciality, with full-time faculty appointments in the College of Medicine. This Plan is applicable to compensation derived from salary and from the Medical Services Account, both of which are established by the University Board of Trustees. The Plan is applicable to all services of such faculty members incident to the care of patients and to all other activities which are a part of the Medical Center program. Income from publications and honoraria for lectures or other activities which are not a part of the Medical Center program are excluded from the Plan, but remain subject to policies and regulations of the Board of Trustees.

ARTICLE III. PURPOSE OF THE PLAN

The purpose of the Plan is to facilitate proper functioning of the teaching, research, and service programs of the Medical Center, consistent with the integrity and responsibilities of the University. With this purpose paramount in consideration, the operation of the Plan will be evaluated periodically with the underlying principles hereinafter set forth as guides.

ARTICLE IV. DEFINITIONS

A. The "FUND" as used herein means The Fund for Advancement of Education and Research in the University of Kentucky Medical Center, a non-profit corporation organized in 1959 under the laws of Kentucky to promote, advance, and support the educational, research, and other purposes of the University of Kentucky Medical Center. The "BOARD OF DIRECTORS OF THE FUND" means the Board of Directors of The Fund for Advancement of Education and Research in the University of Kentucky Medical Center, which Board consists of five members, including the Chancellor for the Medical Center, the Vice Chancellor for Clinical Professional Services who is also the Dean of the College of Medicine, the Chairman of the Executive Committee of the Board of Trustees of the University, and two members appointed by the Board of Trustees of the University.

B. The "FACULTY ADVISORY COMMITTEE OF THE FUND" as herein used means that Committee of The Fund for Advancement of Education and Research in the University of Kentucky Medical Center appointed by the Board of Directors of The Fund pursuant to Article X of this Plan.

C. The "FACULTY ADVISORY COMMITTEE OF THE COLLEGE OF MEDICINE" as herein used means that Committee of the College of Medicine appointed by the Dean of the College of Medicine as provided in Article IX of this Plan.

D. The "CLINICAL DEPARTMENTS" as herein used means the following departments of the College of Medicine: Anesthesiology, Diagnostic Radiology, Emergency Medicine, Family Practice, Medicine, Neurology, Obstetrics and Gynecology, Opthamology, Pathology, Pediatrics, Preventive Medicine and Environmental Health, Psychiatry, Radiation Medicine, Rehabilitation Medicine, and Surgery, and any other departments that in the future may be established and designated as clinical by the Board of Trustees of the University. "BASIC SCIENCE DEPARTMENTS" as herein used means any of the other academic departments of the College of Medicine not specifically included in this definition of clinical departments.

E. The "MEDICAL SERVICES ACCOUNT" as herein used means that separate depository account to be established as provided in Article VII of this Plan.

F. The "BOARD OF TRUSTEES" as herein used means the Board of Trustees of the University which by law is the governing board of the institution.

ARTICLE V. UNDERLYING PRINCIPLES

A. Medical care will be provided in the Medical Center because it is essential to the teaching and research programs and to the proper use of the facilities and skills in the Center to reinforce health care resources in local communities throughout the Commonwealth.

B. The kinds and volume of medical care provided by the Medical Center will be determined by the needs of the teaching, research, and service programs of the Center.

C. Medical Center patient care facilities will be used exclusively for activities which are part of the Center's teaching, research, and service programs and separated areas will not be provided for private clinics or pavilions. All patients admitted to the Medical Center will receive care on an equal basis as part of the teaching and research programs, irrespective of ability to pay or source of payment.

D. An optimal teaching environment will imbue students with understanding, sympathy, and respect for the patient as a person and will cultivate attitudes which are consistent with the highest ideals of the medical profession. To develop in students the ability to relate to patients differing widely in personality and environmental factors requires that teaching patients not be drawn from a single segment of society but rather that they represent a cross-section of the population. Moreover, optimal use of the Center's facilities in serving the needs of research activities requires absence of arbitrary restriction by social

classification of patients. Such restrictions also would impair the value and usefulness to the people and physicians of the Commonwealth of the medical care resources available in the Center to reinforce resources available in local communities. In drawing teaching patients from all segments of the population, it will be the intent of the Medical Center to follow to the fullest extent possible the principle of strengthening the relationships between patients and their physicians by accepting patients upon referral of, and returning patients with appropriate reports to, physicians having responsibility for ongoing care, not precluding appropriate acceptance of patients requiring emergency care or upon referral of health and welfare agencies or the University Health Service.

E. For a significant proportion of the patients admitted under policies in existence, it should be possible to obtain, either from the patient or some third-party agency on behalf of the patient, payment of all or part of the cost of hospital services. Where payment for such services is obtainable, the Medical Center and the faculty members participating in this Plan will make appropriate charges to cover the cost of providing these services.

F. Where payment is obtainable for hospital services, frequently payment will be obtainable for medical services rendered by physicians who are full-time members of the College of Medicine faculty and, with few exceptions, payment by or on behalf of patients for the medical services they receive is deemed proper and appropriate. Income derived from such services is incidental to the purposes for which patients are admitted to the Medical Center and in this sense is properly considered a "by-product" from the operation of the programs for which the Center exists.

G. The professional interests of full-time members of the clinical faculty of the College of Medicine should be concentrated in academic medicine. Arrangements creating financial incentives for full-time faculty members which would tend inappropriately to divert or dilute their concentration on teaching, research, and program responsibilities are not consistent with the mission of the Medical Center.

H. Each full-time member of the clinical faculty can rightfully expect:

1. The facilities, material, and support needed for teaching and research;

2. Ample opportunity to maintain and develop clinical skills; and

3. Compensation for work on a basis which recognizes the faculty member's responsibilities, competence, and productive effort and which is reasonably in line with compensation which the faculty member could obtain elsewhere in academic medicine.

Success in attracting and holding an outstanding clinical faculty will depend on meeting these expectations.

I. Assurance that the level of compensation for full-time members of the clinical faculty is competitive with other good medical teaching centers and adequate to attract and maintain a strong, competent faculty is basically the responsibility of the University. Responsibility should rest with the University not only for ensuring that initial and subsequent levels of remuneration are adequate, but also for ensuring that such levels are not excessive. Through budgetary and related actions, the University should, to the extent possible and permissible, assure the faculty member that the faculty member's total remuneration from all sources will be in accord with a predetermined level which is fixed consistent with adequacy and which is periodically reviewed.

J. Payments received for physicians' services rendered by members of the full-time faculty of the College of Medicine in this Plan should be used only for remuneration of such faculty, in such manner and in such amounts as determined by the Board of Trustees, and for such other purposes in the Medical Center as may be recommended by representatives of the full-time faculty of the College of Medicine in this Plan.

K. With respect to each member of the full-time clinical faculty of the College of Medicine in this Plan, the amount of total compensation will be established by the Board of Trustees in the operating budgets of the Medical Center. The manner and extent to which compensation from the Medical Services Account is combined with other compensation will be reviewed and approved annually by the Chancellor for the Medical Center with periodic reporting to the Board of Trustees with the objective of providing stability of total compensation without impinging on the freedom of faculty members to apportion their time and efforts among teaching, research, and patient care activities as determined by their interests and program responsibilities.

ARTICLE VI. SETTING OF CHARGES FOR PHYSICIANS' SERVICES

Standard schedules of charges for physicians' services, as developed from time to time by the various clinical departments of the College of Medicine, subject to review by the Faculty Advisory Committee and approval by the Dean of the College of Medicine, will be the general basis for assessing such charges to patients. However, the amount of charges to any individual patient may be adjusted as determined by the physician rendering the services, if variation from standard charges is deemed by the physician to be warranted by the circumstances.

ARTICLE VII. BILLING AND COLLECTION OF CHARGES FOR PHYSICIANS' SERVICES

Charges for services rendered by the full-time members of the faculty of the College of Medicine in this Plan will be billed by the Medical Center in a manner naming the physician rendering the service. Billing of charges from the Medical Center for physicians' services will be coordinated with billing for hospital services. Collection of all amounts so billed will be handled by the Medical Center, with undesignated receipts from or on behalf of individual patients being applied on a prorated basis to payment of hospital charges and to payment of charges for physicians' services. Major problems relating to collection from patients of charges for physicians' services

will be handled in a manner that is subject to the concurrence of the physicians rendering the services to the patients. Any payments, other than compensation as established by the Board of Trustees, which are received by full-time faculty members for professional services within the scope of the Plan shall be transmitted on a current basis to the Medical Center for inclusion with other funds collected for physicians' services.

All funds collected or received by the Medical Center for services rendered by full-time members of the faculty of the College of Medicine in this Plan shall be so collected and received by the Medical Center as Trustee for The Fund for the Advancement of Education and Research in the University of Kentucky Medical Center. Such funds shall be segregated upon receipt and shall be paid over by the Medical Center to the Fund by depositing the same in a separate account of the Fund in such depository as may be designated. Such separate account shall be designated and known as the Medical Services Account of the Fund.

ARTICLE VIII. USE OF FUNDS DEPOSITED IN THE MEDICAL SERVICES ACCOUNT

As a standing policy, The Fund for the Advancement of Education and Research in the University of Kentucky Medical Center will use and expend all monies and funds deposited in the Medical Services Account to the extent available for the following purposes:

A. Compensation to members of the full-time clinical faculty of the College of Medicine in this Plan in such amounts as may be necessary to provide the difference between other University compensation and the total compensation as established by the Board of Trustees in the operating budget of the Medical Center. The operating budget will show the amounts to be paid from the Medical Services Account, which amounts are dependent upon the availability of funds.

B. Such other purposes in the Medical Center as from time to time may be recommended to the Board of Directors of the Fund by the Faculty Advisory Committee of the Fund provided, however, that such funds may not at any time be used for payment to members of the full-time faculty of the College of Medicine in this Plan of income in excess of the total compensation established for the individual members thereof by the Board of Trustees in the operating budget of the Medical Center.

ARTICLE IX. THE FACULTY ADVISORY COMMITTEE OF THE COLLEGE OF MEDICINE

The Dean of the College of Medicine shall appoint a Faculty Advisory Committee of the College of Medicine, which Committee shall consist of the chairmen of the clinical departments as defined in Article IV herein, the chairman of one of the basic science departments of the College, and such other faculty members as the Dean deems desirable. The Dean shall serve ex officio as Chairman of the Committee. The Committee shall meet at least quarterly and shall review the operation of this Plan, including matters relating to the applicability of the Plan to sources of income, standard schedules of charges for physicians' services as developed by the clinical departments, and any other aspects of the operation of the Plan. This Committee shall make such recommendations as it may deem appropriate to the

Dean of the College of Medicine with respect to the modification of the policies and procedures provided by this Plan or utilized in its operation.

ARTICLE X. THE FACULTY ADVISORY COMMITTEE OF THE FUND

The Board of Directors of the Fund will establish within the organizational structure of the Fund a Faculty Advisory Committee, which shall consist of all the members of the Faculty Advisory Committee of the College of Medicine. The chairmen of the clinical departments and the chairman of the basic science department shall be the only voting members of this Committee of the Fund except that the Dean of the College of Medicine shall vote upon motions on which the other voting members of the Committee are equally divided. It shall be the duty of the Faculty Advisory Committee of the Fund to make recommendations from time to time to the Board of Directors of the Fund on the use of monies in the Medical Services Account of the Fund, specifically with respect to use of such monies pursuant to subparagraph B of Article VIII of this Plan and within the purposes authorized by the Articles of Incorporation of the Fund. In the performance of its duty the Committee shall review the status of the Medical Services Account, for which reviews the Fund shall provide summary statements of deposits, expenditures, and commitments by major categories.

ARTICLE XI. LIMITATIONS ON MEDICAL PRACTICE BY FACULTY MEMBERS

As a condition of employment, physicians who are full-time faculty members in the College of Medicine in this Plan shall not maintain offices or engage in the practice of medicine outside of the approved programs of the Medical Center except in infrequent and special circumstances as in emergencies and in other situations where provision of service is required by professional ethics.

ARTICLE XII. EFFECTIVE DATE

Upon approval by the Board of Trustees of the University of Kentucky, the Physicians' Services Plan will be effective as of September 20, 1960. Subsequent modifications or amendments of the Plan will be effective upon approval of the Board of Trustees or as of such date as may be specified by the Board of Trustees.

PROVISIONS FOR SUPPLEMENTAL COMPENSATION UNDER THE PHYSICIANS' SERVICE PLAN (APPROVED BY THE BOARD OF TRUSTEES)

I. UNDERLYING CONSIDERATIONS

The factors and considerations which underlie the provisions herein include the following:

A. The problem of a deteriorating competitive position in retaining and attracting faculty in clinical fields is acute and pressures are expected to become more intense in the years immediately ahead.

B. Budgetary restrictions upon the University and the prospects for the foreseeable future make it essential that income from professional fees and other sources be increased to provide support for faculty compensation necessary for the maintenance and development of participating clinical departments and faculty to meet the growing program requirements they face.

C. Third-party payment programs, the principal source of payment for professional fees, are increasingly requiring not only direct involvement in the care of patients on the part of faculty, but full documentation of this as a condition for payment of professional fees for services of faculty physicians. These requirements are often difficult to fulfill in a teaching setting; in the absence of special effort there will be loss of potential income of significant amounts.

D. A major and essential requirement for achieving increased financial support from the source of professional fees is a high level of interest and effort toward this objective on the part of full-time faculty members who provide the services and meet the requirements that make professional fee income realizable. Such interest and effort are important factors in attracting an increasing proportion of paying patients, which is essential for the support of the University Hospital as well as for improvement in professional fee income.

E. A method is needed for giving more specific recognition of and incentive for performance in the clinical departments which produces increased income from professional activities.

F. Provision for such recognition and incentive can be accomplished by modifications within the existing Physicians' Services Plan, and it is the consensus that such modification should allocate funds for supplemental compensation among participating clinical departments for the purpose of recognizing faculty performance.

II. APPLICABLE PROVISIONS

Pursuant to the above considerations, the following provisions are adopted:

A. Supplemental compensation will be determined on a semi-annual basis and established by approval action of the Board of Trustees upon supplementary operating budgets of the College of Medicine covering six month periods. The appropriation of funds for expenditures projected in such a budget will be equal in amount to additional income to the University provided by a grant from income derived from professional fees of participating physicians by the Board of Directors of THE FUND to the University specifically for the purpose of financing the supplementary operating budget. Such a grant will be in addition to that made by THE FUND in support of clinical salaries provided in the basic operating budget of the College of Medicine.

B. FUND grants for the purpose of supplemental compensation will constitute non-recurring funds, and approval of the supplementary operating budget based thereon will not constitute an increase in the budget base of the College of Medicine. Supplemental compensation payable to participating individuals in accordance with approved supplementary operating budgets will be distributed in the months of March and September of each year, based on equity determinations on January 1 and July 1 of each year, provided, however, that such individuals must continue in the employment of the University through the first day of March and September respectively to be eligible to receive the supplemental compensation payable at such times and no rights to receive such supplemental compensation shall vest in individuals prior to such dates.

C. THE FUND budget will be projected each year recognizing as income such factors as the collection experience with participating physicians bills, anticipated patient day equivalents of service, and schedule of charges. The amount of the grant to the University by THE FUND for the purpose of supplemental compensation will be determined as of January 1 and June 30 by the Board of Directors, and will be the amount by which payments received in the Medical Services Account since the prior semi-annual date are in excess of the sum of (1) pro rata requirements for coverage of THE FUND grant in support of salaries provided in the basic operating budget, (2) requirements for coverage of other expenditures which have been budgeted or are reserved in the Medical Services Account pursuant to recommendations by the Physicians' Services Plan Faculty Advisory Committee, and (3) requirements for maintenance of a reserve against monthly fluctuations in payments to the account; provided, however, that the total amount of such grant for purposes of supplemental compensation by THE FUND shall not exceed 25 percent of the aggregate amount of the clinical faculty salary payments made since the prior semi-annual date to participating individuals in clinical faculty positions, whose duties include provision of professional services to patients, in clinical departments of the College of Medicine. This percentage limitation is subject to adjustment in future years by revisions of the Plan as may be found necessary to maintain competitive levels of total compensation for faculty positions in participating clinical departments as determined by periodic comparisons with prevailing levels of total compensation for comparable faculty positions in institutions selected

for benchmark purposes utilizing a similar practice plan when such information is available.

D. The supplementary operating budget for the College of Medicine will be prepared and submitted, in accordance with University budgetary procedures, immediately following the determination of the amount of THE FUND grant to the University for supplemental compensation. The amount of supplemental compensation for a participating department chairman will be determined by the dean.

E. The amount of supplemental compensation provided for any individual faculty member in the supplementary budget for a semi-annual period, when annualized, shall not exceed 50 percent of the regular salary of the individual. Because supplemental compensation is not considered as a part of basic salary, no deductions will be made for TIAA or CREF and there will be no University contributions to TIAA or CREF for the supplemental compensation.

F. In the preparation of the supplementary operating budget, the Dean of the College of Medicine will allocate 70 percent of the total amount of THE FUND grant generated by participating faculty for supplemental compensation among the clinical departments or faculty on the basis of available data to measure the performance of the respective departments or faculty in producing income including, but not limited to, professional fee income. Such allocations will be the basis for departmental budget submittals in which the distribution of supplemental compensation among participating faculty members of the respective departments is to be made by the department chairman, based on the chairman's determination and judgment of relative performance and contributions to the program of the department. If the amount of allocation to a department is in excess of the amount which can be or is used by the department for salary supplementation, up to 50 percent of the amount of such excess, subject to the approval of the Dean, may be added to the current balance outstanding in the incidental account for the department, to be available for expenditure in accordance with policies and procedures applicable to such accounts. The residual 50 percent or more of such excess shall be added to amount available for budgeting by the Dean of the College of Medicine under the provisions of Paragraph II.G, herein.

G. The budget for the remaining 30 percent of the amount of the grant will be prepared by the Dean of the College of Medicine with the funds available being devoted, in accordance with the Dean's discretion, to (1) providing supplemental compensation for participating faculty members in clinical departments where appropriate recognition of performance and contribution to the patient care program is not possible within formula allocations to departments, and (2) supplementing the position pool for additions to faculty in clinical departments with funds to be used only after other funds available for the position pool have been fully committed. Commitments made for additional faculty in clinical departments based upon allocations for this purpose by the Dean, in accordance with the foregoing provisions, shall be included in the basic operation budget of the College of Medicine and financed by the basic grant of THE FUND to the University for the fiscal year following such allocation. In recognition of this commitment, the Dean may authorize chairmen of participating clinical

departments to recruit for filling duly-approved faculty positions based upon the Dean's use of funds allocated to supplement the position pool, provided, however, that the effective date of any full-time faculty appointment shall not be prior to July 1 of the fiscal year following such allocation. Since such positions will not require funding until the following year, funds in the current year earmarked for the position may be spent, in the Dean's discretion, for nonrecurring items which do not increase the budget base.

H. The allocations among participating departments of the amount representing 70 percent of THE FUND grant for supplemental compensation will be determined as follows:

1. The amount of payments to the Medical Services Account received, in the six-month period upon which THE FUND grant for supplemental compensation is based, from the combined sources of the Physicians Accounts Office or its equivalent and the University Hospital, plus the amount of income for professional services of faculty members accruing to the institution in the six-month period from other sources, including grants and contracts, will be determined in aggregate for all clinical departments of the College of Medicine and separately for each such department.

2. The amount determined for each participating department, expressed as a percentage of the amount determined for all departments in aggregate, will be the basis for dividing among departments the funds available for distribution, and the amount to be allocated to the respective departments will be calculated accordingly.

I. Data on the factors to be utilized in determining departmental allocations will be submitted by the Dean of the College of Medicine for review by the Physicians' Services Plan Faculty Advisory Committee prior to preparation of the supplementary operating budget. Upon recommendation of the Committee, adjustments in the factors used may be made by the Dean if deemed necessary to avoid inequities due to limitations of available data. Computations of the amount of allocations for individual participating departments will be provided to the chairmen of the departments, respectively.

J. Following adoption of the provisions herein, recommendations may be made by the Faculty Advisory Committee from time to time for modifications deemed to be appropriate and desirable, with the understanding that at the end of the first year the entire plan for supplemental compensations will be critically reviewed and appropriate changes made.

DENTISTS' SERVICES PLAN
(APPROVED BY THE BOARD OF TRUSTEES)

ARTICLE I. NAME OF THE PLAN

The Plan shall be known as the DENTISTS' SERVICES PLAN of the University of Kentucky Medical Center.

ARTICLE II. SCOPE OF THE PLAN

The Plan establishes policies and general procedures relating to compensation for services rendered by all dentists, regardless of specialty, with full-time faculty appointments in the College of Dentistry. This Plan is applicable to compensation derived from salary and from the Dental Services Account both of which are established by the University Board of Trustees. The Plan is applicable to all services of such faculty members incident to the care of patients and to all other activities which are a part of the Medical Center program. Income from publications and honoraria for lectures or other activities which are not a part of the Medical Center program are excluded from the Plan, but remain subject to policies and regulations of the Board of Trustees.

ARTICLE III. PURPOSE OF THE PLAN

The purpose of the Plan is to facilitate proper functioning of the teaching, research, and service programs of the Medical Center, consistent with the integrity and responsibilities of the University. With this purpose paramount in consideration, the operation of the Plan will be evaluated periodically with the underlying principles hereinafter set forth as guides.

ARTICLE IV. DEFINITIONS

A. The "FUND" as used herein means the Fund for Advancement of Education and Research in the University of Kentucky Medical Center, a non-profit corporation organized in 1959 under the laws of Kentucky to promote, advance, and support the educational, research, and other purposes of the University of Kentucky Medical Center. The "BOARD OF DIRECTORS OF THE FUND" means the Board of Directors of the Fund for Advancement of Education and Research in the University of Kentucky Medical Center, which Board consists of five members, including the Chancellor for the Medical Center, the Vice Chancellor for Clinical Professional Services who is also the Dean of the College of Medicine, the Chairman of the Executive Committee of the Board of Trustees of the University, and two members appointed by the Board of Trustees of the University.

B. The "DENTAL FACULTY ADVISORY COMMITTEE OF THE FUND" as herein used means that Committee of the Fund for Advancement of Education and

Research in the University of Kentucky Medical Center appointed by the Board of Directors of the The Fund pursuant to Article X of this Plan.

C. The "FACULTY ADVISORY COMMITTEE OF THE COLLEGE OF DENTISTRY" as herein used means that Committee of the College of Dentistry appointed by the Dean of the College of Dentistry as provided in Article IX of this Plan.

D. The "CLINICAL DEPARTMENTS" as herein used mean the following departments of the College of Dentistry: Community Dentistry, Endodontics, Oral and Maxillofacial Surgery, Oral Biology, Oral Diagnosis and Oral Medicine, Oral Pathology, Orthodontics, Pediatric Dentistry, Periodontics, Prosthodontics, Restorative Dentistry, and any other departments that in the future may be established and designated as clinical by the Board of Trustees of the University. "BASIC SCIENCE DEPARTMENTS" as herein used mean any of the other academic departments of the College of Dentistry not specifically included in this definition of Clinical Departments.

E. The "DENTAL SERVICES ACCOUNT" as herein used means that separate depository account to be established as provided in Article VII of this Plan.

F. The "BOARD OF TRUSTEES" as herein used means the Board of Trustees of the University which by law is the governing board of the institution.

ARTICLE V. UNDERLYING PRINCIPLES

A. Dental care will be provided in the Medical Center because it is essential to the teaching and research programs and to the proper use of the facilities and skills in the Center to reinforce health care resources in local communities throughout the Commonwealth.

B. The kinds and volume of dental care provided by the Medical Center will be determined by the needs of the teaching, research, and service programs of the Center. Income derived from the provision of such care is incidental to the purposes of these programs and in this sense is properly considered a "by-product" of their operation.

C. Medical Center patient care facilities will be used exclusively for activities which are part of the Center's teaching, research, and service programs and separated areas will not be provided for private clinics or pavilions. All patients admitted to the Medical Center will receive care as part of the teaching and research program.

D. An optimal teaching environment will imbue students with understanding, sympathy, and respect for the patient as a person and will cultivate attitudes which are consistent with the highest ideals of the dental profession. To develop in students the ability to relate to patients differing widely in personality and environmental factors requires that teaching patients not be drawn from a single segment of society but rather that they represent a cross-section of the population. Moreover, optimal use of the Center's facilities in serving the needs of research activities requires absence of arbitrary restriction by social classification of patients. Such restrictions also would impair the value and usefulness to the people and dentists of the Commonwealth of the dental care resources

available in the Center to reinforce resources available in local communities. In drawing teaching patients from all segments of the population, it will be the intent of the Medical Center to follow to the fullest extent possible the principle of strengthening the relationships between patients and their dentists.

E. The professional interests of full-time members of the clinical faculty of the College of Dentistry should be concentrated in academic dentistry. Arrangements creating financial incentives for full-time faculty members which would tend inappropriately to divert or dilute their concentration on teaching, research, and program responsibilities are not consistent with the mission of the Medical Center.

F. Each full-time member of the clinical faculty can rightfully expect:

1. The facilities, material, and support needed for teaching and research;

2. Opportunity to maintain and develop clinical skills; and

3. Compensation for work on a basis which recognizes the faculty member's responsibilities, competence, and productive effort and which is reasonably in line with compensation which the faculty member could obtain elsewhere in academic dentistry.

Success in attracting and holding an outstanding clinical faculty will depend on meeting these expectations.

G. Assurance that the level of compensation for full-time members of the clinical faculty is competitive with other good teaching centers and adequate to attract and maintain a strong, competent faculty is basically the responsibility of the University. Responsibility should rest with the University not only for ensuring that initial and subsequent levels of remuneration are adequate, but also for ensuring that such levels are not excessive. Through budgetary and related actions, the University should, to the extent possible and permissible, assure the faculty member that the faculty member's total remuneration from all sources will be in accord with 0 predetermined level which is fixed consistent with adequacy and which is periodically reviewed.

H. Payments received for dentists' services rendered by members of the full-time faculty of the College of Dentistry should be used only for remuneration of such faculty, in such manner and in such amounts as determined by the Board of Trustees, and for such other purposes in the Medical Center as may be recommended by representatives of the full-time faculty of the College of Dentistry.

I. With respect to each member of the full-time clinical faculty of the College of Dentistry, the amount of total compensation will be established by the Board of Trustees in the operating budgets of the Medical Center. The manner and extent to which compensation from the Dental Services Account is combined with other compensation will be reviewed and approved annually by the Chancellor for the Medical Center with periodic

reporting to the Board of Trustees with the objective of providing stability of total compensation without impinging on the freedom of faculty members to apportion their time and efforts among teaching, research, and patient care activities as determined by their interests and program responsibilities.

ARTICLE VI. SETTING OF CHARGES FOR DENTISTS' SERVICES

Standard schedules of charges for dentists' services, as developed from time to time by the various clinical departments of the College of Dentistry, subject to review by the Faculty Advisory Committee of the College of Dentistry and approval by the Dean of the College of Dentistry, will be the general basis for assessing such charges to patients. However, the amount of charges to any individual patient may be adjusted as determined by the dentist rendering the services, if variation from standard charges is deemed by the dentist to be warranted by the circumstances.

ARTICLE VII. BILLING AND COLLECTION OF CHARGES FOR DENTISTS' SERVICES

Charges for dental services rendered by the full-time members of the faculty of the College of Dentistry will be billed by the Medical Center for payment at the time services are provided or subsequently, with such charges and billings being appropriately coordinated with charges and billings for other services to patients. Collection of all amounts so billed will be handled by the Medical Center. Amounts collected for combined charges for dental services and undesignated receipts from or on behalf of individual patients who receive dental services will be applied on appropriate bases of proration to payment for dentists' services and to payment for other services. Major problems relating to collection from patients of charges for dentists' services will be handled in a manner that is subject to the concurrence of the dentists rendering the services to the patients. Any payments, other than compensation as established by the Board of Trustees, which are received by full-time faculty members for professional services within the scope of the Plan shall be transmitted on a current basis to the Medical Center for inclusion with other funds collected for dentists' services.

All funds collected or received by the Medical Center for dentists' services rendered by members of the faculty of the College of Dentistry shall be so collected and received by the Medical Center as Trustee for the Fund for Advancement of Education and Research in the University of Kentucky Medical Center. Such funds shall be segregated upon receipt and shall be paid over by the Medical Center to the Fund by depositing the same in a separate account of the Fund in such depository as may be designated. Such separate account shall be designated and known as the Dental Services Account of the Fund.

ARTICLE VIII. USE OF FUNDS DEPOSITED IN THE DENTAL SERVICES ACCOUNT

As a standing policy, The Fund for Advancement of Education and Research in the University of Kentucky Medical Center will use and expend all monies and funds deposited in the Dental Services Account to the extent available for the following purposes:

A. Compensation to members of the clinical faculty of the College of Dentistry in such amounts as may be necessary to provide the difference between other University compensation and the total compensation as established by the Board of Trustees in the operating budget of the Medical Center. The operating budget will show the amounts to be paid from the Dental Services Account, which amounts are dependent upon the availability of funds.

B. Such other purposes in the Medical Center as from time to time may be recommended to the Board of Directors of the Fund by the Dental Faculty Advisory Committee of the Fund provided, however, that such funds may not at any time be used for payment to members of the faculty of the College of Dentistry of income in excess of the total compensation established for the individual members thereof by the Board of Trustees in the operating budget of the Medical Center.

ARTICLE IX. THE FACULTY ADVISORY COMMITTEE OF THE COLLEGE OF DENTISTRY

The Dean of the College of Dentistry shall appoint a Faculty Advisory Committee of the College of Dentistry, which Committee shall consist of the chairmen of all clinical departments of the College, a member of one of the basic science departments of the College, and such other faculty members as the Dean deems desirable. The Dean shall serve ex officio as Chairman of the Committee. The Committee shall meet periodically and shall review the operation of this Plan, including matters relating to the applicability of the Plan to sources of income, standard schedules of charges for dentists' services as developed by the clinical departments, and any other aspects of the operation of the Plan. This Committee shall make such recommendations as it may deem appropriate to the Dean of the College of Dentistry with respect to the modification of the policies and procedures provided by this Plan or utilized in its operation.

ARTICLE X. THE FACULTY ADVISORY COMMITTEE OF THE FUND

The Board of Directors of the Fund will establish within the organizational structure of the Fund a Dental Faculty Advisory Committee, which shall consist of all the members of the Faculty Advisory Committee of the College of Dentistry. It shall be the duty of the Dental Faculty Advisory Committee of the Fund to make recommendations from time to time to the Board of Directors of the Fund on the use of monies in the Dental Services Account of the Fund, specifically with respect to use of such monies pursuant to subparagraph B of Article VIII of this Plan and within the purposes authorized by the Articles of Incorporation of the Fund. In the performance of its duty the Committee shall review the status of the Dental Services Account, for which reviews the Fund shall provide summary statements of deposits, expenditures, and commitments by major categories.

ARTICLE XI. LIMITATIONS ON DENTAL PRACTICE BY FACULTY MEMBERS

As a condition of employment, dentists who are full-time faculty members in the College of Dentistry will not maintain offices or engage in the practice of dentistry outside of the approved programs of the Medical Center except in infrequent and special circumstances as in emergencies and in other situations where provision of service is required by professional ethics.

ARTICLE XII. EFFECTIVE DATE

Upon approval by the Board of Trustees of the University of Kentucky, the Dentists' Services Plan will be effective as of September 15, 1964. Subsequent modifications or amendments of the Plan will be effective upon approval of the Board of Trustees or as of such date as may be specified by the Board of Trustees.

PROVISIONS FOR FACULTY SALARY SUPPLEMENTAL COMPENSATION UNDER THE DENTISTS' SERVICES PLAN (APPROVED BY THE BOARD OF TRUSTEES)

I. Objectives

The specific objectives of the proposed salary supplementation plan include the following:

A. To increase faculty income over and beyond that available through State support to the College of Dentistry in an effort to remain competitive with other institutions;

B. To increase faculty incentive to participate in income-producing activities which will be beneficial to the College of Dentistry, the University of Kentucky, and the State; and

C. To maintain primary emphasis on the teaching and research programs of the College of Dentistry.

II. Basis

The proposal is based on a system allowing the Dean and department chairmen to reward faculty members for unusual productivity and effort. The rewards will be derived from income generated by faculty activity but will not necessarily be directly related to the fiscal productivity of each individual. The system should allow maintenance of departmental balance without overcompensation for one segment of activity to the exclusion of other equally important commitments.

III. Applicable Provisions

A. Supplemental compensation will be determined on a semi-annual basis and established by approval of the Board of Trustees upon supplementary operating budgets of the College of Dentistry, covering six-month periods. The appropriation of funds for expenditures projected in such a budget will be equal in amount to additional income to the University provided by a grant by the Board of Directors of THE FUND to the University specifically for the purpose of financing the supplementary operating budget. Such a grant will be in addition to that made by THE FUND in support of clinical salaries provided in the basic operating budget of the College of Dentistry.

B. FUND grants for the purpose of supplemental compensation will constitute non-recurring funds, and approval of the supplementary operating budget based thereon will not constitute an increase in the budget base of the College of Dentistry. Payments to individuals in accordance with an

approved supplementary operating budget will be made by the University for the semi-annual period covered by such a budget and will be paid in a separate check from regular salary payments.

C. The amount of the grant to the University by THE FUND for the purpose of supplemental compensation will be determined as of January 1 and June 30 by the Board of Directors and will be the amount by which payments received in the Dental Services Account since the prior semi-annual date are in excess of the sum of (1) pro rata requirements for coverage of THE FUND grant in support of salaries provided in the basic operating budget; and (2) requirements for coverage of other expenditures which have been budgeted or are reserved in the Dental Services Account pursuant to recommendations by the Faculty Advisory Committee of the Dentists' Services Plan.

D. The supplementary operating budget for the College of Dentistry will be prepared and submitted, in accordance with University budgetary procedures, immediately following the determination of the amount of THE FUND grant to the University for supplemental compensation.

E. In preparation of the supplementary operating budget, the Dean of the College of Dentistry will allocate 70 percent of the total amount of THE FUND grant for supplemental compensation among the clinical departments on the basis of available data to measure the performance of the respective departments in producing income including, but not limited to, professional fee income. Such allocations will be the basis for departmental budget submittals in which the distribution of supplemental compensation among faculty members in each of the respective departments is to be made by the department chairman, based on the department chairman's determination and judgment of relative performance and contributions to the program of the department. The amount of supplemental compensation for department chairmen will be determined by the Dean.

F. The budget for the remaining 30 percent of the amount of the grant shall be prepared by the Dean of the College of Dentistry with the funds available being devoted, in accordance with the Dean's discretion, to (1) providing supplemental compensation for faculty members in clinical departments where appropriate recognition of performance and contribution to the patient care program is not possible within formula allocations to departments, and (2) supplementing the position pool for additions to faculty, staff, and operating expenses in clinical departments.

G. The allocations among departments of the amount representing 70 percent of THE FUND grant for supplemental compensation will be determined as follows:

1. The amount of payments to the Dental Services Account, received in the six-month period upon which THE FUND grant for supplemental compensation is based, sources, which include grants and contracts, will be determined in aggregate for all clinical departments of the College of Dentistry and separately for each such department.

2. The amount determined for each department, expressed as a percentage of the amount determined for all departments in aggregate, will be the basis for dividing among departments the funds available for

distribution, and the amount to be allocated to the respective departments will be calculated accordingly.

H. Data on the factors to be utilized in determining departmental allocations will be submitted by the Dean of the College of Dentistry for review by the Faculty Advisory Committee of the Dentists' Services Plan prior to preparation of the supplementary operating budget. Upon recommendation of the Committee, adjustments in the factors used may be made by the Dean if deemed necessary to avoid inequities due to limitations of available data. Computations of the amount of allocations for individual departments will be provided to the chairmen of the departments, respectively.

I. Compensation initially budgeted as supplemental and on a non-recurring basis may be converted to a recurring or guaranteed basis, with TIAA-CREF contributions attaching thereto, in the basic operating budget by inclusion of provision for such purpose in the basic FUND grant to the University for support of salaries in the basic operating budget of the College of Dentistry. Salaries for positions filled and financed from the position pool will receive first priority for conversion and inclusion in the basic operating budget in the use of any increase provided in the basic FUND grant to the University for the fiscal year following establishment of such position. In recognition of this commitment with respect to the position pool, the Dean of the College of Dentistry may authorize chairmen of clinical departments to recruit and enter into agreements for filling duly-approved positions on a continuing basis where initial financing is from funds provided to the Dean for supplementing the position pool under an approved supplementary operating budget.

J. Following adoption of the provisions herein, recommendations may be made by the Faculty Advisory Committee from time to time for modifications deemed to be appropriate and desirable.

GRIEVANCE PROCEDURE FOR HOUSE OFFICERS

I. Policy

It is the intention of the University to deal fairly with House Officers; i.e., those individuals with a recognized professional degree in one of the health professions engaged in postgraduate training; Pharm. D. and hospital chaplain residents; clinical psychology interns; and rational behavior therapy fellows in training in University Hospital or affiliated health care settings.

In the normal course of working together on a day-to-day basis, problems in connection with the working relationship can be expected to arise. In most cases, the problem can and should be resolved at the first level of supervision. However, when a mutually satisfactory solution cannot be worked out at the first level, the house officer should be given an opportunity to appeal the decision without fear of prejudice.

The procedure outlined herein is designed to provide a method of dealing with house officer grievances in a prompt and equitable manner without placing an unreasonable burden on the University's resources and personnel. The proceedings are informal in nature. Procedural due process in this context does not require many of the features of the formal judicial proceedings employed by courts-of-law, such as public hearing, representation by counsel, cross-examination of witnesses, and adherence to rules of evidence. Thus, emphasis is placed on a method of getting at the facts, assuring that these are reported accurately to the proper authority, and providing a decision which is fair to all concerned.

II. Grievance Procedure

A. Stage I

1. The aggrieved house officer shall state any personal complaint to the house officer program director of the department to which the house officer is assigned.

2. The program director may request that the complaint be stated in writing; the house officer shall be obligated to comply with the request.

3. The complaint shall be reported by the program director to the department chairman.

4. Every effort shall be made by the program director to deal with the complaint on its merits without undue delay. However, the program director shall be allowed up to three (3) working days

(Saturdays, Sundays, and holidays excluded) to resolve the matter satisfactorily. The decision of the house staff program director shall be termed an answer for the aggrieved house officer.

5. The program director's answer shall be in writing.

6. A copy of the answer shall be forwarded to the department chairman.

B. Stage II

1. If the aggrieved house officer is not satisfied with the answer of the house officer program director or if the answer is not received from the director within the time allowance stated in Stage I, the house officer may appeal directly to the department chairman.

2. The appeal shall be made within three (3) working days (Saturdays, Sundays, and holidays excluded) after expiration of the director's time allowance as stated in Stage I.

3. The department chairman may request that the appeal be stated in writing; the house officer shall be obligated to comply with the request.

4. The decision of the department chairman shall be given in writing to the house officer within five (5) working days (Saturdays, Sundays, and holidays excluded) after receipt of the appeal.

5. Copies of the appeal and the decision shall be forwarded to the appropriate dean, as well as to the appropriate house officer program director.

C. Stage III

1. If the aggrieved house officer is not satisfied with the decision of the department chairman, or if the decision is not received within the time allowance outlined in Stage II, the house officer may appeal to the dean of the college.

2. The appeal shall be made within three (3) working days (Saturdays, Sundays, and holidays excluded) after receiving the decision or, if no decision is received, within three (3) working days (Saturdays, Sundays, and holidays excluded) after expiration of the time allowance of the department chairman as stated in Stage II.

3. The dean may request that the appeal be stated in writing; the house officer shall be obligated to comply with the request.

4. The dean or the dean's designee shall investigate the appeal and shall forward a decision in writing to the house officer

within five (5) working days (Saturdays, Sundays, and holidays excluded) after receipt of the appeal.

5. Copies of the appeal and the decision shall be forwarded to the Clinical Board of the University Hospital, as well as to the appropriate department chairman and house officer program director.

D. Stage IV

1. If the aggrieved house officer is not satisfied with the decision of the dean and if the stated grievance is one of the following:

a. A charge of unfair termination of residency;

b. A charge of discriminatory act in violation of University fair employment rules and regulations;

c. A charge of violation of pertinent basic University policies, including the policy that sexual harassment of students, faculty, and staff is prohibited;

d. A charge of violation of the Code of Professional Behavior; the house officer may, during the next three (3) working days (Saturdays, Sundays, and holidays excluded) request a formal hearing before a grievance hearing committee.

2. The Clinical Board of University Hospital shall appoint a grievance hearing committee and shall designate a chairman.

3. The committee shall be composed of at least three (3) impartial members who are members of units outside the department of the house officer and are either department chairmen or residency program directors.

4. The committee shall investigate the grievance, accumulate and study the facts in the case, conduct necessary hearings, and submit a written report of its findings and recommendations for disposition to the Clinical Board of the University Hospital within a period of ten (10) working days (Saturdays, Sundays, and holidays excluded) after notification of committee appointment, unless extended for cause.

5. The house officer may have a spokesman of personal choice (including legal counsel) to represent the house officer at a scheduled hearing. At the hearing, the house officer or the house officer's spokesman (counsel) shall not be permitted to confront and cross-examine other individuals but shall be furnished, in advance of the hearing, a list of those persons scheduled to appear before the committee.

6. The Clinical Board of the University Hospital, upon reviewing the committee's recommendation, shall render a final decision and so notify the house officer in writing.

7. A copy of the committee's report of findings and recommendations, together with a copy of the final decision of the Clinical Board of the University Hospital shall be forwarded to the residency program director, the appropriate dean, and, for confidential filing in the house officer's personnel folder by, the Associate Dean for Clinical Affairs. In any case involving sexual harassment, copies of the committee's report and the Clinical Board's final decision also shall be forwarded to the Affirmative Action Officer.

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HEALTH SCIENCES STUDENT PROFESSIONAL BEHAVIOR CODE

A. Introduction

The Introduction to the University's Code of Student Conduct states: "The Code does not cover decisions of the faculty of a professional school as to character, moral or ethical, required of a student for purposes of awarding a degree or certificate, or for continuation as a candidate for such degree or certificate...."

This document, the Health Sciences Student Professional Behavior Code, hereafter denoted as HSSPBC, provides the standards and procedures to be used in the health sciences colleges of the Medical Center where questions of character, to be defined in terms of professional conduct, arise regarding a student enrolled in courses or programs, including clinical programs, in any of the colleges of the Medical Center.

The HSSPBC shall be uniformly applicable to all colleges of the Medical Center. The HSSPBC shall be applicable to all students enrolled in colleges of the Medical Center, including graduate students enrolled in the courses or programs offered by the colleges, and students licensed to practice.

B. Standards

Upon graduation or licensure, the health sciences student will be expected to adhere to accepted standards of professional practice.

Character, moral or ethical, is an important component of professional behavior and of the overall assessment of the performance of each health sciences student. A student's continued enrollment depends in part on the student's ability to adhere to recognized standards of professional practice and conduct. The standards are drawn from the duly legislated practice acts of the professions that have educational programs in the Medical Center.

Violation of one or more of the standards shall be sufficient grounds for the dean of a Medical Center college to initiate a review of the appropriateness of the student's continuing enrollment in courses or programs of the College.

Unprofessional conduct of a student includes conduct leading to, or associated with, one or more of the following in a context or manner which is relevant to professional practice when such conduct occurs at any site which is the subject of a clinical affiliation agreement or at any site where the student is engaged in a course or other learning experience for credit toward graduation or upon University property as that term is defined in the University's Code of Student Conduct:

1. Conviction for a felony;

2. Abuse of a controlled substance or drug;

3. Misappropriation or illegal use of drugs or other pharmacologically active agents;

4. Chronic or persistent abuse of alcohol;

5. Any condition or behavior which may endanger clients, patients, or the public, including failure to carry out the appropriate or assigned duties where lack of doing so may endanger the health or well-being of a patient or client;

6. Behavior or action which deceives, defrauds, or harms the public and/or profession;

7. Falsifying or, through negligence, making incorrect entries or failing to make essential entries in health records;

8. Deliberate deception of a patient or client through failure of the student to identify student status;

9. Failure to maintain client or patient confidentiality;

10. Obtaining any fee by fraud or misrepresentation;

11. Removal or suspension from any clinical setting by appropriate administrative authority for unprofessional conduct; or

12. Commission of any act which has the effect of bringing the student, the University, or the student's intended profession into disrepute, including, but not limited to, any departure from or failure to conform to the standards of acceptable and prevailing professional practice with the state and any departure from or failure to conform to the principles or code of ethics recognized by the licensing, certifying, or professional association or agency of the student's intended profession.

C. Sanctions

Sanctions which may be imposed by a dean for violation of the standards are:

1. Written warning;

2. Probation with specific conditions;

3. Suspension from a college of the Medical Center or suspension from that college's courses or programs for a definite period;

4. Dismissal from a college of the Medical Center for an indefinite period; the conditions for readmission shall be specified at the

time of dismissal; readmission to the college or to the courses or programs of the college from which the student has been dismissed shall be only with the specified approval of the Chancellor for the Medical Center;

5. Termination as a student and/or candidate for professional degree or certificate in a college of the Medical Center without possibility of readmission to that college.

D. Jurisdiction

A student enrolled in a course or program in a college of the Medical Center shall be held to the Health Sciences Student Professional Behavior Code, the Code of Student Conduct, and Selected Rules of the University Senate of the University of Kentucky. If a violation of the Code of Student Conduct and also one or both of the other above referenced codes or rules allegedly has been committed in the same set of circumstances or facts, the dean of the college in which the student is enrolled and the Dean of Students of the University of Kentucky shall consult. (In cases involving a graduate student, the dean of the college also shall consult the Dean of the Graduate School.) They shall determine whether the Dean of Students, the dean of the college, and/or the Dean of the Graduate School will investigate and pursue the case in accordance with the appropriate procedure(s) and authorities.

A decision taken by a dean under the HSSPBC shall not preclude or be precluded by any action for which the student may be liable for the same or a related offense under the Code of Student Conduct, Selected Rules of the University Senate of the University of Kentucky, or behavioral standards which may have been established in any specific course.

E. Notifications by Dean to the Student

When a dean of a college, after investigation into an alleged violation of the standards, believes a student has committed a violation of the standards, the dean shall:

1. Notify the student in writing at a meeting or by certified mail that the student is charged with the violation of one or more of the standards; and

2. Notify the student in writing of the student's rights:

   a. The student has the right to waive the rights to a hearing and an appeal.

   b. The student has the right to a hearing before an impartial committee of faculty and students from the student's college, which hearing shall be conducted in accordance with the procedure described herein. A request from the student for a

hearing must be communicated in writing to the dean of the college and received within five (5) working days of the student's receipt of notification of the charge.

c. The student shall not be compelled to give testimony which might tend to be incriminating. Refusal to do so shall not be considered evidence of guilt.

d. The student shall receive a written statement of the conclusions and recommendation reached by the Hearing Committee.

e. The student shall have the right to appeal the decision of the dean to the Chancellor for the Medical Center.

F. Hearing Procedure

If the student has requested a hearing:

1. The dean shall form an impartial ad hoc Hearing Committee with representation from the following groups:

   a. Two college faculty members whose teaching occurs in a patient care setting, appointed by the dean;

   b. One representative of the college's full-time tenured faculty, who has no current academic or supervisory relationship with the student, chosen and appointed by the dean; and

   c. Two students within 12 months of completing professional degree requirements and in good standing, selected by the college's Student Advisory Council.

2. The dean shall designate one of the above described representatives to be the Chairperson of the Hearing Committee. The Chairperson shall:

   a. Be a voting member of the Committee; and

   b. Convene the Committee within 15 calendar days of the dean's receiving the student's written request for a hearing.

3 A quorum shall be all five members of the Committee.

4. The Hearing Committee shall establish procedural rules for the hearing which will ensure the orderly conduct of its functions. The Hearing Committee shall maintain a record of its proceedings.

5. The hearing may be open or closed, according to the student's choice, which shall be specified in the student's request for a hearing (refer to Section E.2.b).

6. The student may have an advisor of the student's own choice who may advise the student and speak on the student's behalf; however, neither the student nor the student's advisor may examine any witnesses or committee members unless permitted by the Chairperson.

7. The student shall be able to hear all witnesses. Any questions the student may wish to ask of witnesses shall be furnished to the Chairperson, to be asked by the Chairperson, at the Chairperson's discretion.

8. The student shall enjoy all other rights specified at the time of notification of charges, cited above.

G. Hearing Committee Report

The Hearing Committee, after concluding the hearing and taking evidence, shall reconvene in executive session with Committee members only, to review the evidence, to make findings, and to determine whether or not a violation of the standards has occurred. The Hearing Committee shall recommend an appropriate sanction to the dean if it concludes a violation has occurred. If the Committee determines that insufficient evidence exists to conclude that a violation of the standards has occurred, it shall so notify the dean. The Committee's summary of findings, including its determination of whether or not a violation of the standards has occurred, and any recommended sanction shall be communicated in writing to the dean.

H. Decision of the Dean

The dean shall not reverse the determination of the Committee as to whether or not a violation of the standards occurred. The dean shall take any recommendation of a sanction by the Hearing Committee under advisement. The dean may impose a sanction which is less than, the same as, or greater than that recommended by the Committee. The student shall be notified in writing by certified mail of the dean's decision, which shall be final unless appealed by the student.

I. Appeal

A student has the right to appeal a decision of the dean, unless waived, to the Chancellor for the Medical Center within 15 calendar days of the date of student's receipt of written notification of the dean's decision. An appeal may be based on one or more of the following grounds only:

1. Error of fact;

2. Lack of adherence to due process as established by this Code; or

3. Student's belief that the sanction is too severe.

The Chancellor shall review the dean's decision on only those grounds which are cited in the appeal and for which written documentation is submitted with the student's written request for an appeal.

The Chancellor's decision, which shall be made within 15 calendar days of the receipt of request for an appeal, shall be final.

The Chancellor's decision shall be recorded in writing and made a part of the student's permanent record. The Chancellor shall notify the student by certified mail, with a copy to the dean of the college.

J. Amendment of the Health Sciences Student Professional Behavior Code

As an Administrative Regulation, supplementary to the Governing Regulations of the University of Kentucky, amendment of the Health Sciences Student Professional Behavior Code shall be recommended by the Chancellor for the Medical Center, after consultation with Medical Center deans and other administrators, to the President with final approval of all amendments to be made by the Board of Trustees.

ENROLLMENT OF RESIDENTS AND CLINICAL FELLOWS

A system to identify and to keep an account of residents and clinical fellows pursuing advanced studies and specialist training in the University serves the interests of both the individuals concerned and the University. On the one hand, it provides recognition to such persons and defines their status and privileges; on the other hand, it enables the University to assess its contribution to their training program in terms of equipment, library facilities, faculty time, and space. For these reasons, the following procedures have been developed for the enrollment of residents and clinical fellows.

I. Jurisdiction

Residents and clinical fellows working within the Medical Center under the auspices of the Medical Center colleges and departments shall be under the jurisdiction of the Chancellor for the Medical Center. Certain matters may be delegated by the Chancellor for the Medical Center to appropriate college deans.

II. Definitions of Resident and Clinical Fellow

A. Resident -- An individual with a recognized professional degree in one of the health professions who is engaged in postgraduate training, in the individual's field, in University Hospital or one of its affiliated medical facilities.

B. Clinical Fellow -- An individual with a doctorate in one of the health professions, who is engaged in advanced training and research in University Hospital or one of its affiliated medical facilities. The training program is designed specifically for the needs of the trainee, and may or may not include assignments similar or identical to others in the trainee's field.

III. Eligibility for Enrollment as Resident or Clinical Fellow

A. Satisfactory completion of prerequisite requirements as approved by the college, and possession of a professional degree or its equivalent applicable to the program in question, such as the M.D., D.M.D., or Pharm.D., Master of Hospital Administration, Master of Divinity, or Ph.D. in Nursing or D.N.S.

B. Pursuit of any program of postgraduate clinical education in which the Medical Center staff assumes responsibility and which takes place in University Hospital or in one of its affiliated medical facilities. Each resident or fellow is under the supervision of an academic department in the Medical Center. This department, subject to the policies of the appropriate college, has the responsibility for the content, length, and evaluation of the training and research experience of the individual.

C. Not included in this category are individuals with the M.D., D.M.D., or other doctoral degrees who are engaged in training and/or research in the basic sciences departments or who are pursuing full-time research in clinical departments without clinical responsibilities. However, residents and clinical fellows may be assigned for training and/or research in basic sciences departments on a full-time basis as part of their approved program.

IV. Appointment

Residents and clinical fellows shall be appointed by the Director of the Office of House Staff Affairs in the College of Medicine after each individual's application for enrollment has received the approval of the proper departmental chairman or head of a research unit and of the Chancellor for the Medical Center. Applications shall be made on forms which are available at the Office of House Staff Affairs in the College of Medicine.

V. Other Policies

Residents and clinical fellows are classified as both students and staff and as such are subject to certain other University policies including but not limited to the Grievance Procedure for House Officers (AR II-7.0-5), Health Sciences Student Professional Behavior Code (AR II-7.0-6), Bylaws and Rules and Regulations of the Medical Staff, and the Behavior Standards in Patient Care.

VI. Benefits

Residents and clinical fellows, in view of their classification as both students and staff, will be eligible for certain benefits but will not be eligible for participation in the University of Kentucky Retirement Plan. They are responsible for all fees except that for basic life insurance. Fees will be those currently in force and are subject to change as these are modified from time to time under the provisions of the contracts as negotiated between the University and various insurance companies. Specifically, they are eligible:

A. For an identification card, indicating clearly the recipient's status as a resident or clinical fellow, issued without fee by the Employee Benefits Office to each individual after a signed appointment form or other appropriate documentation of eligibility of the individual has been received from the Office of House Staff Affairs in the College of Medicine. This ID card will enable the recipient to have access to library facilities, recreational facilities, and check-cashing services on campus, and to make purchases with a discount at campus bookstores.

B. To enroll in one of the University of Kentucky employee health plans.

C. To use the Student Health Service by paying the semester health fee (although ineligible to use student group health insurance plan).

D. To pay the Student Activity Fee which will provide the following: Student Identification Card, access to tickets for all University-sponsored

events available to students (including athletic events), library privileges, and access to check-cashing service on campus.

E. For coverage by University's basic life insurance program.

F. To enroll in the University's optional life insurance program.

G. To purchase group accident insurance.

H. For coverage under the University's Long Term Disability Plan.

I. For coverage by provisions of Kentucky Worker's Compensation Act.

J. For coverage under the University's Blood Donor Program.

K. To apply for an A parking permit.

L. To participate in the voluntary tax-shelter plans offered by the University of Kentucky.

M. To apply for membership in the University of Kentucky Faculty Club.

N. To apply for membership in the Spindletop Hall Faculty, Staff, and Alumni Club.

O. For an entitlement to two calendar weeks of vacation leave with pay the first year and to three calendar weeks of such leave for each year of employment thereafter. However, vacation leave cannot be accumulated from one year to another.

P. For holiday leave with pay in accordance with University Hospital policies.

Q. For certain benefits which are available to University Hospital House Staff because of their responsibilities for patient care and services during nights and weekends. These benefits are specified in the House Staff brochure and are provided for the convenience of the employer and employee.

BOARD OF STUDENT MEDIA

I. Responsibility for Student Media

Jurisdiction over campuswide student media shall be vested in a Board of Student Media reporting directly to the Vice Chancellor for Student Affairs. By jurisdiction is meant the responsibility for the financial management, the editorial policies, and the general operation of student media. A campuswide student medium is defined as a medium which meets all of the following three criteria: (a) any full-time student is eligible to participate in its production, (b) it is produced for a campuswide audience, and (c) it is supported by University funds. (Presently the only such campuswide media are the Kentuckian and WRFL-FM.

II. Composition of the Board of Student Media

The Board of Student Media shall consist of nine voting members.

A. Three student members of the Board shall be appointed by the Chancellor for the Lexington Campus according to the following process: The President of the Student Government Association will submit nominations to the Vice Chancellor for Student Affairs. The Chancellor for the Lexington Campus, in consultation with the Vice Chancellor, will make final appointment of the members. Student members of the Board will serve for one year, subject to reappointment.

B. Two faculty members of the Board shall be appointed by the Chancellor from a panel recommended by the Senate Council. One of the faculty members should, if possible, be a member of the faculty of the School of Journalism. Terms will be for two years, except for initial staggered terms to provide for continuity of membership.

C. One member-at-large of the Board shall be appointed by the Chancellor. The term will be for two years. The member may be appointed from the faculty, administration, alumni, professional journalists, or public-at-large.

D. Following initial appointment to the Board, member vacancies occurring prior to completion of terms shall be filled through appointments by the Chancellor for the Lexington Campus, following the same procedures as for initial appointments of such members. In case of excessive absences at Board meetings, members will be dropped from the Board by the Chancellor on recommendation of Board membership.

E. The Student Media Adviser, the editor of the Kentuckian and the general manager of WRFL-FM shall serve as ex officio voting members of the Board.

F. The Board shall have a Chairman to be appointed by the Chancellor for the Lexington Campus, with a term in office of one year, subject to reappointment. The Board membership shall elect a secretary, with a term in office of one year, subject to reelection.

G. The quorum for transaction of business shall be six voting members.

III. The Role of the Board of Student Media

A. Consistent with the general philosophy of providing a free and responsible press on the University of Kentucky campus and consistent with Section 2.5 (Right to a Free Student Press) of the Code of Student Conduct, the Board of Student Media shall be responsible for the development and promulgation of a statement of policy for the guidance of the editorial staffs of media under the Board's jurisdiction. This statement will deal with operational, editorial, and financial policies of student media.

B. The Board of Student Media shall appoint the editors of the Kentuckian, the general manager and program director of WRFL, and the managers of other media under its jurisdiction.

C. The Board of Student Media shall be available for immediate consultation with the student managers and/or adviser; its role shall be one of policy interpretation and not one of censorship.

D. The Board of Student Media shall advise and consult with the Student Media Adviser and student media managers regarding financial management of the media under the Board's jurisdiction. The Board shall approve budget proposals to be made to the Chancellor for the Lexington Campus.

E. If, after thorough investigation which shall include affording the editor/general manager/program director an opportunity to present personal views, the Board should conclude that a student manager has violated the Board's policies or has otherwise failed to perform appropriate duties as editor/general manager/program director, the Board is authorized to take one or more of the following actions in reference to the student's status as student manager: counsel, warning, reprimand, suspension for a specified period of time, dismissal.

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PROCEDURES RELATING TO ETHICAL STANDARDS IN THE CONDUCT OF RESEARCH IN THE LEXINGTON CAMPUS AND MEDICAL CENTER SECTORS

An underlying principle of all research is the quest for truth. The credibility of such research must be above reproach if the public trust is to be maintained. Any compromise of the ethical standards required for conducting academic research cannot be condoned. While breaches in such standards are rare, these must be dealt with promptly and fairly by all parties in order to preserve the integrity of the research community.

"Misconduct", as used herein, is defined as: (1) fraudulent or improper practice in conducting research or reporting the results of research, including intentional falsification or fabrication of data, plagiarism, or intentional misrepresentation of data collection and analysis; (2) material failure to comply with federal or University requirements affecting specific aspects of the conduct of research, e.g., the protection of human subjects and the welfare of laboratory animals; or (3) serious misappropriation of research funds, including but not limited to diversion of such funds to personal or non-University use. The term "serious misappropriation" as used herein is not contemplated to include minor deviations within budget categories.

A. Allegations of misconduct should be reported immediately in writing to the dean of the college in which the incident occurred and in which the accused is employed. All such allegations shall be signed. The confidentiality of those who in good faith report apparent misconduct will be protected to the extent possible.

B. After consultation with the appropriate chancellor, the dean shall conduct a preliminary inquiry (which shall include informal consultation with the accused) into the circumstances of the allegations and determine whether there are sufficient grounds to indicate that these have validity. The dean shall attempt to complete this initial inquiry within 30 days.

C. If the dean finds sufficient evidence to suggest that the allegations may be true, and after consultation with the Vice Chancellor for Research and the Dean of the Graduate School and also the appropriate chancellor, the dean shall appoint an appropriate investigative body to conduct a formal examination and evaluation of all relevant facts to determine whether misconduct has taken place. The appointment of this investigative body shall be left to the discretion of the dean, subject to the approval of the Vice Chancellor for Research and Dean of the Graduate School.

D. At the time the investigative body is appointed, the dean shall inform in writing the individual(s) about whom allegations have been made and any involved collaborators that an investigation is to be conducted and shall present to them a statement of the allegations. This statement shall include information on the nature of the allegations and the focus of the investigation and shall inform those being investigated of the opportunity to defend their conduct and provide comments and other relevant information to the investigative body. The same individuals shall be informed of their right to be represented by an attorney in preparing and/or giving their response in this and all subsequent phases of the investigation.

E. The dean shall inform the University's Legal Counsel and the chairman of the department of each individual under investigation and of any other department in which the event may have occurred that an investigation is under way. The dean also shall inform the agency sponsoring the research if such action is required by the agency.

F. The investigative body shall conduct a formal examination and evaluation of all relevant facts to determine if the allegations of misconduct are valid. The investigative body shall use advice of the Legal Counsel on procedures and other matters pertaining to the investigation. The investigative body may call witnesses, examine research data (both published and unpublished), and seek expert counsel both inside and outside the University to aid in the scientific audit.

The investigative body shall attempt to complete its investigation within 120 days. All parties involved in the investigation shall strive to maintain confidentiality of information.

Interim administrative actions, as appropriate to the allegations, may be taken prior to the completion of the investigation if such actions are necessary to protect the welfare of human or animal subjects of research or to prevent the inappropriate use of funds.

G. Having completed its investigation, the investigative body shall submit its findings and recommendations in writing to the dean.

H. If the investigative body's findings fail to confirm an instance of misconduct, all participants in the investigation, the appropriate chancellor, and the Vice Chancellor for Research and Dean of the Graduate School shall be so informed in writing by the dean.

If the investigative body has reason to believe that unfounded charges may have been brought with malicious or dishonest intent, the investigative body should recommend consideration of appropriate administrative action.

I. If the investigative body finds that the allegations are substantiated and that misconduct has occurred, the following actions shall be taken by the dean after consultation with the Vice Chancellor for Research and Dean of the Graduate School and also the appropriate chancellor:

1. The agency sponsoring the research shall be informed of the findings of the investigation;

2. Publishers and editors of journals shall be informed if manuscripts emanating from fraudulent research have been submitted or published; and

3. Appropriate administrative action consistent with the University of Kentucky Governing Regulations and Administrative Regulations should be taken against those faculty and postdoctoral scholars directly involved in the misconduct. If staff personnel are involved, sanctions shall be consistent with the policies set forth in the Staff Personnel Policy and Procedure Manual. If graduate students are involved, sanctions shall be consistent with the policies set forth in the University of Kentucky Governing Regulations and Administrative Regulations, Rules of the University Senate, and/or Students Rights and Responsibilities. Part I. Code of Student Conduct, as determined applicable. If undergraduate students are involved, sanctions shall be consistent with the policies set forth in the Staff Personnel Policy and Procedure Manual, Rules of the University Senate, and/or Student Rights and Responsibilities. Part I. Code of Student Conduct, as determined applicable.

BOARD OF STUDENT PUBLICATIONS

I. Responsibility for Student Publications

Jurisdiction over campus-wide student publications shall be vested in a Board of Student Publications reporting directly to the Vice Chancellor for Student Affairs for the Lexington Campus. By jurisdiction is meant the responsibility for the fiscal management, the editorial policies, and the general operation of the student publications. A campus-wide student publication is defined as a publication which meets all of the following three criteria: (a) any full-time student is eligible to participate in its publication, (b) it is published for a campus-wide audience, and (c) it is supported by University funds. (Presently the only such campus-wide publication is the Kentuckian.)

II. Composition of the Board of Student Publications

The Board of Student Publications shall consist of eight voting members.

A. Three student members of the Board shall be appointed by the Chancellor for the Lexington Campus according to the following process: the President of the Student Government Association, the current Board of Student Publications, and the Dean of Students will submit nominations to the Vice Chancellor for Student Affairs for the Lexington Campus. The Chancellor for the Lexington Campus, in consultation with the Vice Chancellor, will make final appointment of the members. Student members of the Board will serve for one year, subject to reappointment.

B. Two faculty members of the Board shall be appointed by the Chancellor for the Lexington Campus from a panel recommended by the Senate Council. One of the faculty members should, if possible, be a member of the Journalism faculty. Terms of appointment will be for two years, except for initial staggered terms to provide for continuity of membership.

C. One member-at-large of the Board shall be appointed by the Chancellor for the Lexington Campus. The term of appointment will be for two years. The member may be appointed from the faculty, administration, alumni, professional journalists, or public-at-large.

D. Following initial appointments to the Board, member vacancies occurring prior to completion of terms shall be filled by appointment by the Chancellor for the Lexington Campus, following the same procedures as for initial appointments of such members. In case of excessive absences at Board meetings, members shall be dropped from

the Board by the Chancellor on recommendation of the Board's membership.

E. The Student Publications Advisor and the Editor of the Kentuckian shall serve as ex officio, voting members of the Board.

F. The Board shall have a chairperson to be appointed by the Chancellor for the Lexington Campus, with a term in office of one year, subject to reappointment. The Board membership shall elect a secretary, with a term in office of one year, subject to reelection.

G. The quorum for transaction of business shall be five voting members.

III. The Role of the Board of Student Publications

A. Consistent with the general philosophy of providing a free and responsible press on the University of Kentucky campus and consistent with Section 2.5 (Right to a Free Student Press) of the Code of Student Conduct, the Board of Student Publications shall be responsible for the development and promulgation of a statement of policy for the guidance of the editorial staffs of publications under the Board's jurisdiction. This statement will deal with operational, editorial, and financial policies of student publications.

B. The Board of Student Publications shall appoint the editors of the Kentuckian and other publications under its jurisdiction.

C. The Board of Student Publications shall be available for immediate consultation with an editor and/or an advisor; its role shall be one of policy interpretation and not one of censorship.

D. The Board of Student Publications shall advise and consult with the Student Publications Advisor and editors regarding financial management of the publications under the Board's jurisdiction. The Board shall approve budget proposals to be made to the Chancellor for the Lexington Campus.

E. If, after thorough investigation which shall include affording an editor an opportunity to present personal views, the Board should conclude that an editor has violated the Board's policies or has otherwise failed to perform appropriate duties as editor, the Board is authorized to take one or more of the following actions in reference to the student's status as editor: counsel, warning, reprimand, suspension for a specified period of time, or dismissal.

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REGULATIONS GOVERNING THE USE OF MEMORIAL COLISEUM

A. The Office of the Director of Athletics, through delegation by the Vice President for Administration, shall be responsible for approval of applications for use of Memorial Coliseum, except for those pertaining to the swimming pool and its auxiliary rooms.

B. While Memorial Coliseum is used largely in terms of the needs of the athletics and physical education programs, it is also designed to serve as an auditorium, music hall, conference center, et cetera. Therefore, no unit or organization has priority for the use of the Coliseum facilities except that approved athletics and physical education schedules will be observed.

C. University units and groups, including registered student organizations, may use the Coliseum provided their needs cannot be adequately met in another facility. However, each event must be significantly related to the purposes or curricula of the University and, if sponsored by a registered student organization, have the approval of the faculty advisor and the Dean of Students. During the academic year the Student Activities Board shall have exclusive right to use the Coliseum for the purpose of producing and promoting concerts with the sole exception of those sponsored by the Central Kentucky Concert and Lecture Series. The Student Activities Board is granted this right provided the net proceeds from such events are used to support other cultural and entertainment programs open to the campus community.

D. When the Coliseum is used by a University unit or group for an event involving no admission fee, there will be no charge other than the cost of setting up special facilities. For an event for which an admission fee is charged, a contract between the University sponsoring group and the University will be negotiated in advance and the charge involved for use of the Coliseum will conform to a schedule established by the Vice President for Administration.

E. Non-University groups or agencies may apply for the use of the Coliseum when the program to be presented is of an educational, cultural, or charitable nature, or relates to other purposes approved by the Director of Athletics and the President. In all cases, however, the use of the Coliseum shall be in compliance with Part XII.D of the University of Kentucky Governing Regulations.

F. When the Coliseum is used by a non-University group or agency, a contract between the group or agency shall be negotiated in advance stating the charge for use of the Coliseum and setting forth the responsibilities of the group or agency and of the University. The charge for use of the Coliseum will conform to a schedule established by the Vice President for Administration.

G. Any unit or agency using the Coliseum, whether University or non-University, shall take proper care of the building and its equipment and shall be financially responsible for any damage thereto during use resulting from abuse or neglect.

H. Memorial Coliseum is dedicated to the memory of Kentuckians who died in World War II, and no program that is out of keeping with the memorial spirit shall be held in the building.

I. Applications for use of the Coliseum shall be made in writing in advance on forms which are available in the Office of the Director of Athletics.

POLICIES AND PROCEDURES FOR ESTABLISHING BRANCH LIBRARIES AND EDUCATIONAL UNIT LIBRARY COLLECTIONS IN THE UNIVERSITY OF KENTUCKY UNIVERSITY SYSTEM

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POLICIES AND PROCEDURES FOR ESTABLISHING BRANCH LIBRARIES AND EDUCATIONAL UNIT LIBRARY COLLECTIONS IN THE UNIVERSITY OF KENTUCKY UNIVERSITY SYSTEM

I. Purpose and Intent

Branch libraries are units of the University of Kentucky University System Libraries, physically distinct from the King Library and the Medical Center Library, having two purposes: to provide subject-oriented collections of informational resources for an identified group of primary users and to extend the instructional, research, and public service support functions of the King Library and the Medical Center Library.

The intent in establishing a branch library is to meet a demonstrable need for access to materials and services which are not, or cannot be, provided by King Library or the Medical Center Library and a demonstrated need to have library support in close proximity to the educational unit.

Future developments in the form of published literature, in library techniques, and in the rapid transmission of printed materials through new electronic devices should minimize the necessity for outlying collections of library materials. The University wishes to take advantage of these advances in a responsible way and is committed to an orderly development of the University System Libraries (comprised of the King Library, the Medical Center Library, and their branches). This fact, in conjunction with the underlying principles of sound library development, has implications for branch library and educational unit library collection planning policies. The underlying principles are as follows:

> The primary mission of the University System Libraries is to provide bibliographical, physical, and intellectual access to recorded information, in whatever form, to support the present and anticipated educational, research, and service functions of the University of Kentucky.
>
> Scholarly needs and interdisciplinary approaches to learning are generally best served by access to a wide range of resources, including the literature of a special subject and all subjects of peripheral interest.
>
> Accessibility of all institutional-owned library resources for all users must be a prime consideration. This implies physical access for extended hours and bibliographic access through a centralized union catalog.

Every duplicated title limits funds for other titles to be added to the collection; therefore, duplicating titles invariably diminishes the breadth of the collection. Conversely, pooling of material of overlapping subject fields makes possible expansion of available resources.

Coordination, cooperation, and communication is difficult to achieve in a system with a proliferating number of outlying facilities.

The various academic disciplines should play a strong role in determining the scope and quality of the collections of the University System Libraries and the quantity of services provided in support of the Libraries' major missions and functions.

The University System Libraries are committed to fiscal responsibility in cost-effective utilization of staff and equipment. A high percentage of the personnel and equipment budgets must not be spent in providing for outlying facilities in less than adequate fashion.

Educational unit library collections are small libraries, sometimes called reading rooms or resource centers, supported by University funds but not affiliated with the University System Libraries. Materials in these libraries are defined as those working tools that faculty must consult on a daily or very frequent basis in support of their teaching and research.

II. Policy Statements

A. General Policies

1. Branch Libraries

The University has a policy of not further decentralizing library facilities on the Lexington campus unless special services are needed by a program that the King Library or the Medical Center Library cannot provide or provide as well as a branch library. A decision on establishing a branch library is reached only after a present and long-range study of available resources and user needs.

2. Educational Unit Library Collections Independent of the University System Libraries

If justified, small collections (limited to dictionaries, textbooks, workbooks, handbooks, and other working tools regularly used by faculty) may be procured for educational unit use in accordance with the provisions of Section IV, entitled Procedures for Establishing an Independent Educational Unit Library Collection.

B. Administrative and Organizational Policies

1. Management of Resources

The responsibility for the management of all University System Libraries resources shall rest with the University System Libraries administration. Library services are most efficiently utilized when all library resources are considered part of one system, with consistent policies for collection development, user access, accounting, systems analysis, and the like. Centralized planning and direction facilitate the most effective use of future financial resources allocated for library services.

2. Administrative Structure

Ordinarily, any branch library should be administratively part of the King Library or the Medical Center Library. Branch library personnel should report to the administration of the King Library (directly or through one of its branches) or the Medical Center Library. This relationship should be defined in job descriptions and outlined on organization charts.

Designing, developing, and administering library programs and adequate collections to meet changing user expectations and demands requires continuing professional growth of librarians charged with these responsibilities. The most effective means of assuring this growth is by participation within a central group.

3. Financial Support

Implicit with the creation of a branch library is a commitment to funding its development, ongoing services, and growth while maintaining adequate support levels for library services required by the total University community. Continuing book and personnel budgets are imperative for a branch library, with additional book funds initially provided for necessary duplication as well as enrichment of the existing collection.

C. Operational Policies

1. Statement of Purpose

Written statements of purpose, including goals and objectives, are necessary guides for a branch library's operation. These should state the educational unit's goals and the branch library's role within this context. These statements should be determined carefully, described clearly, and updated regularly.

2. Collection Development

Coordination of the branch library's materials selection policy with the University System Libraries' selection policy assures the most effective use of the University's collection development resources by preventing unnecessary duplication of materials and by preventing gaps in subject coverage within the library collections.

3. Technical Processing

In most cases, centralized acquisition and processing of library materials proves to be most economical. All holdings of a library should be listed in the union catalog located at the King Library and at other access points to the University's library collections.

4. Services

Branch libraries are expected to maintain the same standards of service as the University System Libraries with respect to hours of service, assistance to users, and accessibility to and utilization of informational materials by the total University community.

5. Staff

The branch library's staff is a primary link between user needs and the branch library's collections. Competent and adequate staffing is necessary to ensure the proper development and use of the branch library's collection.

6. Physical Quarters

Physical quarters designed to provide specialized branch library needs are essential to a successful branch library operation. Criteria to be met include: space for present and future growth in terms of collection, equipment, and patron use; accessibility to primary users; noise control; temperature and humidity control; collection security; and an interior conducive to study.

D. Review Policy

A formal, structured review and evaluation of each branch library and independent educational unit library collection shall be scheduled every five years. If justified reasons arise, a review at other than the regular period may be initiated by the chief administrative officer of the educational unit, by the appropriate chancellor, or by the Director of Libraries or the Director of the Medical Center Library.

III. Procedures for Establishing a Branch Library

A. Needs Analysis

To deterine whether it is in the best interest of the University to establish a branch library, a needs analysis must be made. This analysis accounts for primary clientele requirements as well as those of the entire academic community and includes supporting data concerning the following points.

1. Description of Proposed Branch Library

A description of proposed branch library services shall include:

a. Its primary clientele and their information needs.

b. Geographical location of the proposed branch library in relation to primary clientele and to the total community of users.

c. Collection development, administrative organization, and operation plans including projections of maximum size.

d. User services to be provided, including hours of access and on-site staffing requirements.

e. Access to union catalogs, specialized information systems, and delivery services including interlibrary loan.

f. Space and equipment requirements, including growth projections to meet changing needs.

g. Total development and operating costs, including long-range projections to meet growth needs.

2. Description of Existing Library Services

A description of existing library services shall include:

a. Informational needs of the total University community defining both general and special requirements.

b. Geographical location of present library facilities in relation to user locations.

c. Collection development policies and physical organization of the collection, including

cross-disciplinary needs of the academic community and collection growth projections.

d. User services, including hours of access and on-site staffing requirements.

e. Union catalogs, delivery systems, interinstitutional networking participation, and specialized information systems.

f. Space and equipment requirements, including growth projections to meet changing needs.

3. Comparative Analysis of Existing and Proposed Library Services

A comparative analysis of proposed branch library services and existing library services shall be provided using each of the factors identified in points one and two. Note shall be made of the following:

a. Restrictions on user access to collections and services such as geographical location, transportation facilities, delivery service for library materials, hours of service, staffing assistance, and special use privileges for a defined group of clientele.

b. Collection development and arrangement requirements, including the cost of duplicating existing library resources and developing new subject collections.

c. Space and equipment requirements, including the cost of establishing and maintaining new facilities in fiscal terms and in use of existing space presently used in meeting other academic needs.

d. Financial support requirements, including long-range projections to meet growth needs. An educational unit may choose to fund a position or positions and all or part of the book budget by a recurring transfer from user organization budgets to the King Library or the Medical Center Library. Personnel in such positions report administratively to the administration of the King Library or the Medical Center Library. This decision should be reflected in a review of the University's long-range projections for financial support of its library program.

B. Proposal Approval

A proposal to create a branch library must have the approval of the chief administrative officer of the initiating educational unit, the dean of the college, and any other appropriate councils or bodies. The proposal shall be forwarded by the appropriate dean or administrative officer to the

Director of Libraries or the Director of the Medical Center Library. The Director shall supply a statement of administrative feasibility with a recommendation to the appropriate chancellor who shall make the final decision.

IV. Procedures for Establishing an Independent Educational Unit Library Collection

A. Documentation of Need

An educational unit proposing to establish an independent educational unit library collection shall prepare a documentation of need for such a collection, including supporting data parallel to that required for the establishment of a branch library.

B. Materials Purchased

Materials purchased for independent educational unit library collections shall be limited to dictionaries, textbooks, workbooks, handbooks, and other working tools used by faculty on a daily or very frequent basis in support of teaching and research.

C. Financial Support Statement

A statement covering financial support is a vital part of a proposal to establish an independent educational unit library collection. University educational units which use their own resources to establish independent educational unit library collections outside the established University System Libraries must accept complete responsibility for operating and maintaining these collections. The University System Libraries normally shall not provide technical services or personnel in support of these collections.

D. Inclusion in Union Catalog

In order to effectively utilize the University's informational resources, records of books purchased for independent educational unit library collections shall be supplied to the University System Libraries for inclusion in the King Library Union Catalog.

E. Proposal Approval

A proposal to create an independent educational unit library collection must have the approval of the chief administrative officer of the initiating educational unit, the dean of the college, and any other appropriate councils or bodies. The proposal shall be forwarded by the appropriate dean or administrative officer to the Director of Libraries or the Director of the Medical Center Library.

The Director shall evaluate the relative costs and benefits of the proposed independent educational unit library coolection and the extent to which alternative solutions have been explored. The Director shall forward a report of findings and a recommendation on the proposal to the appropriate chancellor for review in terms of the policies, criteria, and procedures in this Administrative Regulation. The appropriate chancellor shall make the final decision concerning the creation of an independent educational unit library collection.

V. Procedures for Reviewing and Evaluating Branch Libraries and Independent Educational Unit Library Collections

A. Needs Analysis

To determine whether it is in the best interest of the University to maintain, to improve, or to close a branch library or an independent educational unit library collection, a needs analysis must be made.

1. The Director of Libraries or the Director of the Medical Center Library shall be responsible for conducting the analysis of a branch library.

2. The chief administrative officer of the educational unit shall be responsible for conducting the analysis of the unit's independent library collection.

3. The analysis shall include supporting data parallel to that required for the establishment of a branch library.

B. Review Recommendations Approval

1. Branch Libraries

The Director of Libraries or the Director of the Medical Center Library shall forward review recommendations to the appropriate dean of the college or the chief administrative officer of the educational unit. The dean or chief administrative officer shall supply an advisory statement to the appropriate chancellor. The appropriate chancellor shall determine whether it is in the best interest of the University to maintain, to improve, or to close a branch library.

2. Independent Educational Unit Library Collections

The dean of the college or the chief administrative officer of the educational unit shall forward review recommendations to the Director of Libraries or the Director of the Medical Center Library. The Director shall supply an advisory statement to the appropriate chancellor. The appropriate chancellor shall determine whether it is in the best interest of the University to maintain, to improve, or to close an independent educational unit library collection.

RESIDENCE HALL ADMINISTRATIVE BOARD AND PROCEDURES FOR THE DETERMINATION OF ISSUES ARISING OUT OF CONTRACTUAL ARRANGEMENTS RELATING TO STUDENT HOUSING

Students residing in housing provided by the University have entered into contracts with the institution for the provision of room and/or meals. These contracts provide for termination, under certain conditions, by the University. In some cases a question arises as to whether a student has, in fact, done some act which constitutes a breach of that student's contract with the University. The following procedures have been developed to establish a systematic and equitable means for the internal adjudication of University-student contractual disputes prior to formal court determination.

I. Residence Hall Administrative Board

The Residence Hall Administrative Board has been created for the purpose of conducting hearings and making recommendations regarding questions arising under the Residence Halls Rental Agreement of the University of Kentucky.

A. Jurisdiction

The Board shall have jurisdiction in all cases wherein a controversy has arisen as to whether a student residing in University Residence Halls has in fact breached the contractual obligations contained in the Residence Halls Rental Agreement and/or in cases where a student claims the existence of substantial mitigating circumstances in connection with a breach of the agreement which would otherwise result in termination of that student's occupancy of a room in the residence halls.

B. Composition

The Board shall be composed of three persons who are full-time employees of the University appointed by the Chancellor for the Lexington Campus. No person who has made a prior determination regarding the case to be heard shall sit as a member of the Board.

II. Procedures

A. Hearings

1. All hearings by the Board shall be in closed session, except that a student who appears before the Board may, at that student's request, be accompanied by an advisor.

2. If a student is alleged to have breached the Rental Agreement, the student shall be informed of the manner in which this

was done and shall have the opportunity to present evidence to show that the contract was not, in fact, breached.

3. In addition, if the Board determines that a student has violated the terms of the Rental Agreement, the student shall be permitted to present evidence of mitigating circumstances relating to said violation.

B. Evidence

1. The Board shall not be bound by formal rules of evidence as these are applied in the courts.

2. The chairperson of the Board shall rule on any questions which may arise regarding the materiality or relevance of evidence sought to be presented by any person.

III. Disposition

A. If a majority of the Board finds that the student has not committed an act constituting a breach of the Rental Agreement, no further action shall be taken regarding the termination of said contract on account of the violation or violations alleged.

B. If a majority of the Board finds from a preponderance of the evidence that a student has, in fact, committed an act or acts constituting a breach of the Rental Agreement, the Board shall recommend to the Vice Chancellor for Administration for the Lexington Campus that the Rental Agreement with the student be revoked unless the Board specifically finds substantial mitigating circumstances.

C. If a majority of the Board finds substantial mitigating circumstances in connection with a breach of the Rental Agreement, the Board shall make such other recommendations as it deems necessary and desirable to the appropriate University officials.

RULES AND ADDITIONAL CRITERIA FOR REGISTRATION OF STUDENT ORGANIZATIONS

In conformity with Article III of the Code of Student Conduct: Rules, Procedures, Rights and Responsibilities Governing Non-Academic Relationships, the following rules and criteria for registration of student organizations are established and published:

A. Copies of all local and/or national constitutions and/or by-laws governing the organization must be submitted along with the completed application form.

B. The organization shall not discriminate against any person due to race, color, sex, or religious affiliation or belief, except when the express and legitimate purposes of the organization require limitation as to sex or religious affiliation or belief.

C. The organization must adopt a name which is neither the same as nor deceptively similar to the name of an existing registered student organization, the University, or any division or department of the University.

D. The organization must be non-profit in nature. It may not use its position as a registered organization to solicit or advertise for commercial purposes.

E. The purposes of the organization must not be inconsistent with the purposes of the University as defined in "A Statement of University Purpose and Mission" approved by the Board of Trustees on June 18, 1991. An excerpt from that statement follows:

> As the Commonwealth's only comprehensive land-grant University with a state-wide mission, the University of Kentucky exists to ensure the citizens of the Commonwealth and, by extension, the nation and the world the finest opportunities for education and the greatest benefits of knowledge.
>
> The University creates, preserves, and disseminates knowledge. It seeks to provide an optimal environment for teaching, learning, and research. The University aspires to develop a community of scholars that promotes cultural understanding, ethical behavior, civic virtue, and international citizenship. All efforts of the University are intended to address the needs of society and, by so doing, improve the human condition.
>
> In fulfilling its mission through its University and Community College Systems, the University of Kentucky has three interrelated functions: instruction, research, and public service. These activities enable the University to achieve its goals of:

* Responding to the educational needs of individuals from the Commonwealth of Kentucky, in addition to those from the nation and the world, by offering excellent programs in undergraduate, graduate, and professional education.

* Advancing the frontiers of knowledge by conducting programs of basic and applied research which seek solutions to human, resource, and environmental problems and further the human good.

* Improving the well being of citizens of the Commonwealth of Kentucky, as well as all humanity, through application of the knowledge, abilities, and skills of members of the University community.

* Providing the Commonwealth of Kentucky with a comprehensive university recognized nationally for its quality of teaching, research, service and graduates and internationally for specific areas of strength.

F. Although this section is not a comprehensive definition of the function and activities of members of an organization, the following functions and activities must be reserved to members:

1. Holding any office in the organization;

2. Presiding, officiating, voting, making, or seconding motions at any meeting of the organization. Guests may attend and, as a member of the audience, speak at meetings of the organization when the program and procedures permit; and

3. Acting as a public spokesperson for the organization.

G. The elected officers of the organization shall be students.

H. Only members of the student body, faculty, and/or staff of the University of Kentucky may serve at stations or distribute materials on the campus on behalf of the organization.

I. An affirmative statement shall be signed by students, faculty, and/or staff seeking registration for the organization and certifying that the organization is in compliance with, and will continue to comply with, Article III of the Code of Student Conduct, with the "Rules and Additional Criteria for Registration of Student Organizations" (AR II-8.3-1), and with the "Regulations Governing the Use of University Facilities by Registered Student Organizations" (AR II-8.3-2).

REGULATIONS GOVERNING THE USE OF UNIVERSITY FACILITIES BY REGISTERED STUDENT ORGANIZATIONS

In conformity with Article III of the Code of Student Conduct: Rules, Procedures, Rights and Responsibilities Governing Non-Academic Relationships, the following regulations regarding the use of University facilities by registered student organizations are established and published.

A. Use of University Facilities

1. Designated University facilities may be reserved for use by registered student organizations during periods of instruction for meetings and other non-commercial events related to the purposes of the organizations.

2. In instances where non-University persons have been invited to speak or perform, where outdoor facilities are being requested, or where the capacity of the facility being requested is in excess of 100 persons, the reservations shall be made on forms provided for that purpose. The form will show the organization's name, the name of the individual seeking the reservation, the general nature of the event, its date and time, the facility requested, the names of non-University persons invited to speak or perform, any special arrangements needed, and information required by the University officials responsible for the facility requested. (A list of University facilities and the persons responsible for these facilities may be found in AR II-8.3-4. Specific procedures and regulations regarding the facilities may be obtained from the person responsible for reserving the facility.)

3. Reservations submitted under the provisions of Section A.2 above shall be made at least 48 hours in advance to permit proper scheduling and preparation for the event, except in unusual circumstances as determined by the Vice Chancellor for Student Affairs for the Lexington Campus.

4. Reservations will be granted in order of application. Considerations of format, room size, and equitable distribution of special facilities may require adjustments.

5. University facilities may be reserved for use by a registered student organization only through officers designated on the application for registration or a member specifically authorized on the application.

6. A registered student organization, its officers, and any individual applying to reserve facilities on behalf of the organization are responsible for the condition of the facilities. The facilities must be used in a manner which is in compliance with Article III of the Code of Student Conduct, "Regulations Governing the Use of University Facilities by Registered Student Organizations" (AR II-8.3-2), "Policy of the University of Kentucky Governing Speakers from Off Campus" (AR II-1.0-2), and any other policies or regulations governing the particular facilities used.

7. Facilities reserved for use by a registered student organization may not be used by any other organization during the period of the reservation.

B. Open Discussion Area

The area west of the Alumni Gymnasium between Limestone Street and the Alumni Gymnasium is designated an open discussion area. In this area, any registered student organization may for a period not to exceed two hours conduct an open discussion or other program without complying with the reservation format stated above. None of the provisions of Sections A.2, A.3, and A.4 shall apply to the use of this open discussion area.

1. The registered student organization signed up for this area will be responsible for seeing that discussions and/or programs held there do not violate the Code of Student Conduct.

2. A registered student organization wishing to use the open discussion area must sign up for the area at least one-half hour prior to the time it wishes to use the area. If the request is for a time when the Student Center is closed, special arrangements must be made through the Office of the Director of the Student Center. All requests for the use of the open discussion area and the amplification equipment are to be made through the Office of the Director of the Student Center.

3. A registered student organization may sign up for the open discussion area for a second period not to exceed two hours if no other request for the use of the area has been received 30 minutes prior to the expiration of the original time period.

4. Discussions and/or programs must begin within 15 minutes after the assigned starting time. Failure to do so will forfeit the use of the area if another registered student organization wishes to use the area at that time. The provisions of Section B.2 regarding deadline for the signing up does not apply under this section.

5. The volume and direction of sound amplification equipment used in the open discussion area will be adjusted by the staff of the Student Center to reach no further than the audience present.

6. No registered student organization may sign up for the open discussion area more than 48 hours prior to the time it wishes to use the area.

C. Fund Raising on the Campus by Registered Student Organizations

Registered student organizations are permitted to use University facilities for fund raising when the specific use of the funds is non-commercial in purpose and when regulations governing the facilities requested allow for the charging of admission or other collection of money.

D. Posters, Handbills, and Notices

1. Non-commercial announcements may be posted on behalf of registered student organizations. Under no circumstances are announcements to be posted on any painted surface, in any classroom, or on any tree or shrub. Announcements shall indicate the name of the registered student organization on whose behalf the announcement is posted and the date posted. It shall be the responsibility of the registered student organization to remove all such announcements within three days following the program, event, or election to which the announcements are related.

2. No poster, handbill, or any other form of announcement may be posted in such a manner as to cause damage. No announcement may be written or painted upon any building, sidewalk, or other natural feature of the campus.

3. Members of the student body, faculty, and/or staff of the University may distribute on behalf of registered student organizations free-of-charge non-commercial announcements, statements, or materials at any reasonable outdoor area on the campus. Such distribution shall be consistent with the orderly conduct of University affairs, the maintenance of University property, and the free flow of traffic and persons. Efforts must be made to avoid litter. Distribution by means of accosting individuals or by hawking or shouting is prohibited. Announcements or statements shall indicate the name of the registered student organization on whose behalf the distribution is made.

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REGULATIONS GOVERNING THE USE OF MEMORIAL HALL AND ADJACENT AMPHITHEATER

A. The Office of the Dean of Students, through delegation by the Chancellor for the Lexington Campus, shall be responsible for approval of applications for use of Memorial Hall and the adjacent amphitheater.

B. Applications for use of Memorial Hall and the amphitheater will be considered in order of receipt. These two facilities shall not be approved for use for simultaneously occurring events except when the activities are obviously non-interfering with each other.

C. University units and groups, including registered student organizations, may use Memorial Hall provided their needs cannot be satisfied adequately in another facility. However, each event must be significantly related to the purposes or curricula of the University and, if a student affair, have the approval of the faculty advisor and the Dean of Students. For events involving no admission fee, there will be no charge other than the cost of setting up special facilities. When an admission charge for an event is involved, a contract between the sponsoring group and the University shall be negotiated in advance.

D. No unit or organization of the University shall have any priority with respect to the use of Memorial Hall except that scheduled academic activities including the use of the pipe organ normally will be given preference between 8:00 a.m. and 5:00 p.m. Requests for regular academic scheduling should be received at least 90 days before the start of a regular academic session.

E. Non-University groups or agencies may apply for the use of Memorial Hall when the program to be presented is of an educational, cultural, or charitable nature, or relates to other purposes approved by the Dean of Students and the President. In all cases, however, the use of Memorial Hall shall be in compliance with PART XII.E of the University of Kentucky Governing Regulations.

F. When Memorial Hall is used by a non-University group, a contract between the group and the University will be negotiated in advance stating the charge for use and setting forth the responsibilities of the group and of the University. Charges for use shall conform to a schedule established by the Vice President for Administration.

G. The best interests of the University may make it necessary occasionally to give priority to or cancel one event in favor of another. When such a cancellation becomes necessary, the unit or group holding the reservation shall be given notice as far in advance as possible.

H. Any unit or organization using Memorial Hall shall take proper care of the building and its equipment and shall be financially responsible for any damage thereto during use resulting from abuse or neglect.

I. Memorial Hall is dedicated to the memory of Kentuckians who died in World War I, and no program that is out of keeping with the memorial spirit shall be held in the building.

J. Applications for use of Memorial Hall or the amphitheater shall be made in writing in advance on forms which are available in the Office of the Director, Student Center.

REGULATIONS GOVERNING TIME, PLACE, AND MANNER OF MEETINGS, DEMONSTRATIONS, AND OTHER ASSEMBLIES

The University of Kentucky recognizes and confirms the right of all members of the University community to free expression, assembly, and advocacy. In order to facilitate the effective use and enjoyment of the facilities of the campus at Lexington for the exercise of such rights and in order to minimize conflict between the form of their exercise and the rights of others in the effective use of University facilities, the following regulations are herewith established.

A. Planned or spontaneous demonstrations, meetings, or assemblies may be conducted in those appropriate areas of the campus which are regularly available to the public, provided such demonstrations, meetings, or other assemblies:

1. Are conducted in a lawful and orderly manner;

2. Do not prohibit vehicular or pedestrian traffic;

3. Do not interfere with classes, other scheduled meetings, events, and ceremonies or with other educational processes of the University; and

4. Are conducted only with specific authorization when held in (a) University buildings, (b) University stadia or amphitheaters, (c) residential areas of the campus, or (d) other areas available by reservation only.

B. Reservation of appropriate University grounds, areas, facilities, or other University property for the purpose of conducting a demonstration, meeting, or other assembly will be granted, subject to the restrictions contained in Section A, to the following described University organizations, groups, and individuals:

1. Registered student organizations, in accordance with the "Regulations Governing the Use of University Facilities by Registered Student Organizations", on file and available at the Dean of Students Office;

2. Members of the University faculty and staff, for extracurricular events related to their University duties; and

3. Official alumni groups and similar University-related organizations, and colleges, schools, departments, and other units of the University, for events directly related to their purposes and in keeping with the University's role as an educational institution.

The individual responsible for reserving a particular facility or area, or that individual's designee, must be present when the facility or area is being utilized pursuant to the reservation.

C. The following designations and accompanying regulations pertain to the use of specific categories of University facilities and areas for the purpose of conducting any demonstration, meeting, or assembly. All areas must be utilized in a lawful and orderly manner, and are subject to those restrictions contained in Section A.

1. Designated Unrestricted Areas. No reservation is required for utilization of the designated unrestricted areas listed below. However, in unusual circumstances, reservation of a designated unrestricted area may be granted by the Vice Chancellor for Student Affairs for the Lexington Campus at the Vice Chancellor's discretion.

a. Free Speech Area. The Free Speech Area is located west of the Student Center and Alumni Gymnasium and bounded by those two buildings, Administration Drive, Limestone Street, and Euclid Avenue.

The Free Speech Area is available 24 hours per day when the University is officially in session and shall be made available to organizations and groups as defined above, as well as to individual members of the University community. Sound amplification will be provided upon request during established operating hours of the Student Center, subject to 30 minutes prior notice necessary for proper hook-up and adjustment. The volume and direction of sound amplification equipment is under the supervision of the Director of the Student Center.

b. Student Center Patio. The Student Center Patio is available during the established operating hours of the Student Center and when not previously scheduled by the Student Activities Board. Sound amplification will be provided upon request, subject to 30 minutes prior notice necessary for proper hook-up and adjustment. The volume and direction of sound amplification equipment is under the supervision of the Director of the Student Center.

2. Restricted Areas. The following restricted areas may be utilized on a reservation-only basis:

a. Indoor facilities;

b. Intramural fields and other recreational areas;

c. Stadia and amphitheaters;

d. Parking lots;

e. Residential areas of the campus; and

f. Administration lawn.

A list of available University facilities and the offices responsible for reserving such facilities is appended hereto. Necessary forms for completion and specific procedures and regulations regarding the use of such facilities may differ from building to building or area to area; appropriate forms may be obtained from the person designated as responsible for reserving the specific facility or area listed.

3. Prohibited Areas. No unauthorized demonstration, meeting, or other assembly shall take place within or upon the following prohibited areas:

a. Chandler Medical Center and its adjacent grounds, sidewalks, and parking areas;

b. Maxwell Place and its adjacent grounds, sidewalks, and parking areas; and

c. All streets and driveways utilized for vehicular traffic.

D. Use or continued use of the above areas and facilities, as well as other areas and facilities not designated above, for demonstrations, meetings, or other assemblies and gatherings shall be subject to the "rule of reason" -- i.e., subject to the judgment that the manner of use of the area is what could be expected of a reasonably prudent person. Thus, the use or continued use of any such areas may be denied if, for example, the activity blocks doorways, causes noise which interferes with classroom, office, or other University activity, or presents an imminent threat of physical violence or destruction of property.

The responsibility for making such a determination and decision rests with the Dean of Students or the Dean's designated representative. If the Dean or the Dean's designated representative believes that an area or facility is being improperly used or believes the users of the area are acting imprudently, the Dean shall:

1. Warn the offending group or individuals that continued misuse will not be permitted;

2. Recommend alternative locations or means of expression;

3. Instruct the offending individuals or the assembled group to vacate the area;

4. Cite individuals or groups for violation of University regulations;

5. Request assistance of law enforcement officials; or

6. Any combination of D.1, D.2, D.3, D.4, and D.5.

Failure to comply with the directions of the Dean of Students or the Dean's designated representative may result in charges of violation of the Code of Student Conduct, or of other University regulations in the case of

non-student members of the University community, being placed by the Dean against offending parties. Those failing to comply also are reminded that they may be found in violation of the law if so determined by a law enforcement official on the scene.

E. Where numbers in excess of 20 are involved, authorized organizations, individuals, or groups as provided under Section B may engage in parades and marches upon University property, provided a designated representative of the sponsoring organization, individuals, or group meets with the Dean of Students and the Director of Public Safety, or their authorized representatives, at least one hour prior to the commencement of the parade or march. This meeting shall be for the purpose of agreeing upon an appropriate route which will not interfere with, impede, or otherwise disrupt the normal functions and processes of the University, or otherwise interfere with the rights of others in their effective use of University facilities and property.

F. Other than that being utilized for University-authorized and scheduled academic activities or other University-sponsored activities and with the further exception of those provisions for use of sound amplification equipment in designated areas specified in Section C, the use of amplified sound equipment except bullhorns in any area of the University campus is prohibited unless a specific, written exception has been granted by the Dean of Students Office.

APPENDIX

UNIVERSITY FACILITIES AND RESPONSIBILITY FOR RESERVATION THEREOF

FACILITY	RESPONSIBLE OFFICE
Agricultural Science Auditorium	Management Operations Office
Alumni Gymnasium	Director, Campus Recreation
Amphitheatre	Director, Student Center
Buell Armory	ROTC Office
Carnahan House Conference Center	Conferences and Institutes Office
Center for the Arts Concert Hall Reception Room Recital Hall	Office of the Director
Chemistry-Physics Building Auditorium	Office of University Registrar
Classrooms	Office of University Registrar
College of Business and Economics Building Auditorium	Office of University Registrar
College of Law Courtroom	Dean, College of Law
Complex Commons	Assistant Director of Programming for the Office of Residence Life
Guignol Theatre	Department of Theatre
Laboratory Theatre	Department of Theatre
Medical Center Auditorium	Office of Communications
Memorial Hall and Amphitheatre	Director, Student Center
Open Areas	Director, Student Center
Parking Lots and Parking Structures	Director, Student Center

Patterson Office Tower- 1st Floor Conference Rooms	Office of University Registrar
Patterson Office Tower 18th Floor	Vice President for Administration President's Office
Seaton Building	Director, Campus Recreation
Soccer Field	Director, Campus Recreation
Student Center	Director, Student Center
Taylor Education Building Auditorium	Associate Dean of Education

UNIVERSITY OF KENTUCKY ALUMNI ASSOCIATION FACILITIES

Alumni House	Director, Alumni Association

UNIVERSITY OF KENTUCKY ATHLETIC ASSOCIATION FACILITIES

Commonwealth Stadium Memorial Coliseum Shively Sports Center	Director, Administrative Services

Patterson Office Tower 18th Floor	Vice Chancellor for Administration Lexington Campus 110 Administration Building 257-6344
Seaton Building	Director, Campus Recreation 135 Seaton Building 257-2898
Soccer Field	Director, Campus Recreation 135 Seaton Building 257-2898
Student Center	Director, Student Center 209 Student Center 257-5781
Taylor Education Building Auditorium	Office of the University Registrar 8 Administration Annex 257-4201 or 257-1695

UNIVERSITY OF KENTUCKY ALUMNI ASSOCIATION FACILITIES

Alumni House	Director, Alumni Association 400 Rose Street 257-7162

UNIVERSITY OF KENTUCKY ATHLETIC ASSOCIATION FACILITIES

Commonwealth Stadium Memorial Coliseum Shively Sports Center	Director, Athletics Association 6 Memorial Coliseum 257-2881

Part III
Administrative Committees

AR III—1.0

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UNIVERSITY APPEALS BOARD

The University Appeals Board shall have appellate jurisdiction over decisions of the University Judicial Board and over decisions of faculty members on matters of University academic offenses.

The composition, appointment of members, jurisdiction, authority, procedures, and other matters relating to the University Appeals Board are detailed in Parts 1.61 through 1.67 of Student Rights and Responsibilities - Part I - Code of Student Conduct and in Section VI, Parts 5.1 through [5.24] 5.2.4, of the Rules of the University Senate.

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STUDENT CODE COMMITTEE

Responsibility for proposing revisions to the Code of Student Conduct is delegated by the Board of Trustees, through Article VII (Amendment) of Student Rights and Responsibilities -Part I - Code of Student Conduct, to a committee consisting of students, faculty, and administrators. The exact composition, chairperson, and procedures of the committee are determined by the President of the University.

The Student Code Committee shall accept and review recommendations from students, faculty, and administrators regarding revisions of the Code of Student Conduct. The Committee shall prepare proposed revisions and forward these to the President for presentation to the Board of Trustees for its consideration.

Nothing included above, however, shall be construed as a limitation upon the President to propose changes without reference to the Committee.

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PRIOR SERVICE ADVISORY COMMITTEE

The Prior Service Advisory Committee provides the Chancellor for the Lexington Campus and/or the Chancellor for the Medical Center with a systematic and broad base of advisement on any request that all or part of a period of prior service at another institution be waived or eliminated from consideration in determining the probationary period of a non-tenured faculty member in the University System of the University of Kentucky. The membership of this Committee shall consist of no fewer than seven members, preferably at least one from each area associated with an Academic Area Advisory Committee, appointed to staggered two-year terms by the President from a list of candidates provided by the Senate Council. The list shall include at least twice as many names as there are vacancies. Members of the Committee, the chairperson of which shall be designated by the President, shall be current or former members of Academic Area Advisory Committees or other faculty members who are broadly knowledgeable about the University and its regulations.

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ADVISORY COUNCIL TO THE SANDERS-BROWN CENTER ON AGING

The Advisory Council to the Sanders-Brown Center on Aging shall advise the Vice President for Research and Graduate Studies on the Center's program and its administration. Under applicable circumstances, the Advisory Council also recommends to the Vice President for Research and Graduate Studies on the appointment of the Director to serve as the Center's chief administrative officer.

The Chancellor for the Lexington Campus, the Chancellor for the Medical Center, the Vice President for Research and Graduate Studies, and the Vice Chancellor for Clinical Professional Services for the Medical Center and Dean of the College of Medicine shall serve as permanent members of the Advisory Council to the Sanders-Brown Center on Aging. Additionally, representatives from colleges and University areas which are or may be involved significantly with gerontology (such as the College of Arts and Sciences, College of Human Environmental Sciences, College of Social Work, and Community College System) shall be appointed by the President of the University of Kentucky to serve as members of the Advisory Council for staggered three-year terms. The Vice President for Research and Graduate Studies shall serve as chairperson of the Advisory Council.

The Advisory Council to the Sanders-Brown Center on Aging shall hold regular quarterly meetings. Special meetings of the Council may be called by the chairperson or upon written request of at least three members of the Council. Notice of each meeting shall be given by the Council's chairperson.

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BOARD OF DIRECTORS OF THE INSTITUTE FOR MINING AND MINERALS RESEARCH

The Institute for Mining and Minerals Research (IMMR) is a multidisciplinary organized research unit designed to address research, education, and service functions related to the mining and mineral resources area. Because the mining and mineral resources area covers a very broad range of disciplinary fields, a major aspect of the Institute's activity is the identification of significant topics for consideration and the coordination of the appropriate University of Kentucky faculty and research staff.

To assist the University in this unique activity, a Board of Directors of IMMR has been charged as follows:

1. To re-examine the mission and goals for IMMR periodically and, as appropriate, recommend changes in these;

2. To define the research and service objectives of IMMR; and

3. To recommend strategies and operational procedures for the achievement of the goals and objectives of IMMR.

Matters which should be addressed by the Board of Directors of IMMR include the identification of research and service areas from the broad range of mining and mineral resources, including technical and policy topics which are appropriate for university-type programs and, importantly, which can be addressed by University of Kentucky faculty and research staff. Assistance in the implementation of procedures to expedite and facilitate interaction with the private sector is essential. In addition, from time to time, the President of the University or the Vice President for Research and Graduate Studies may request the Board's consideration of special problems and/or proposals.

The Board of Directors of IMMR is appointed by the President of the University of Kentucky and reports to the Vice President for Research and Graduate Studies. The Board shall be comprised of individuals from industry, state government, and the University of Kentucky administration and faculty appointed for staggered three-year terms. The Associate Vice President for Research and Graduate Studies, through whom IMMR reports, shall serve as an ex officio member of the Board. The chairperson of the Board shall be designated by the President.

The Board of Directors of IMMR is responsible for reports as requested by the President of the University or the Vice President for Research and Graduate Studies.

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COMMITTEE ON NAMING UNIVERSITY BUILDINGS

The Committee on Naming University Buildings shall provide advice in matters related to naming University buildings. Committee membership shall be comprised of individuals from the faculty and staff who normally shall have staggered three-year appointments. The Committee is appointed by the President of the University, who also designates the chairperson and ex officio members of the Committee.

The specific charge to the Committee on Naming University Buildings is to solicit, receive, and consider proposed names for University buildings, in accordance with the guidelines and procedures outlined in AR II-1.1-6, and to forward specific recommendations regarding names for University buildings to the appropriate chancellor who subsequently shall recommend to the President.

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UNIVERSITY COMPUTING ADVISORY COMMITTEE

The University Computing Advisory Committee shall provide advice and make recommendations relative to broad University-wide computing policy planning and coordination. The Committee is appointed by the President and reports to the Vice President for Administration. Committee membership shall be composed of individuals from the faculty, staff, and administration and shall include representatives from each of the major sectors of the University. The chairperson and ex officio members shall be designated by the President. The Committee members other than those with ex officio status normally shall have staggered three-year appointments.

The specific charge to the Committee is to provide advice and make recommendations on the following:

1. Policies for University-wide computing including the differentiation between University-wide and sector roles;

2. Plans for University-wide computing; and

3. Policies and plans for University-wide communications.

The Committee's computing advisory role includes advising on hardware, software, and word processing. However, the role of the Committee does not extend to advising on specific equipment acquisitions nor to sector decisions or priorities.

In addition, the Vice President for Administration may request the Committee's consideration of special problems and proposals. The Committee is responsible for reports as requested by the Vice President for Administration.

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COMMENCEMENT COMMITTEE

The Commencement Committee shall be advisory in all matters related to the University's commencement exercises. The Committee's responsibilities shall include participation in the planning and execution of the commencement ceremony and periodic review of the ceremony and related events. The Committee is appointed by the President and reports to the Vice President for Administration or other administrator designated by the President. Committee membership shall be comprised of individuals from the faculty, staff, administration, and student body. The chairperson and ex officio members shall be designated by the President. Committee members other than those with ex officio or student status normally shall have staggered three-year appointments.

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NON-RESIDENT FEE COMMITTEE FOR THE LEXINGTON CAMPUS, MEDICAL CENTER, AND RESEARCH AND GRADUATE STUDIES OF THE UNIVERSITY OF KENTUCKY

The Non-Resident Fee Committee for the Lexington Campus, Medical Center, and Research and Graduate Studies of the University of Kentucky shall consider changes in residency status based on guidelines for classification of students for fee assessment purposes at state-supported institutions of higher education, as adopted by the Council on Higher Education, July 1, 1987.

Application for change of residency classification by a student enrolled in a program of the Lexington Campus, Medical Center, or Research or Graduate Studies at the University of Kentucky shall be made in writing to the University Registrar for initial consideration. The decision of the University Registrar, if adverse to the applicant, may be appealed to the Non-Resident Fee Committee for its decision. The applicant shall be notified in writing as to the Committee's decision on the applicant's appeal. If the applicant considers the decision by the Committee to be unsatisfactory, the applicant may request that a copy of the applicant's file be submitted by the University Registrar to the Executive Director of the Council on Higher Education for referral to the Council's Committee on Residency Review for its recommendation to the University.

The Chancellor for the Lexington Campus, the Chancellor for the Medical Center, and the Vice President for Research and Graduate Studies have been authorized to make final decisions regarding the residency status of students in their respective academic sectors, provided the students' cases have been reviewed and recommended on by the Council's Committee on Residency Review.

The Non-Resident Fee Committee is appointed by the President of the University of Kentucky and reports to the Vice President for Administration. The Committee shall be comprised of six faculty and/or staff members and two students. The chairperson shall be designated by the President. The faculty and/or staff members normally shall have staggered three-year appointments; the student members shall have one-year appointments.

The Non-Resident Fee Committee shall have authority to adopt by-laws, establish procedural rules, and schedule meetings. A quorum shall consist of five members and a majority of the quorum shall be necessary for Committee action.

The University Registrar shall provide professional and secretarial support for the Non-Resident Fee Committee, including but not limited to recording and preserving the minutes of Committee meetings, processing applications on appeal, and presenting the applications at Committee meetings.

The Office of Legal Counsel shall advise the Non-Resident Fee Committee on legal matters, including but not limited to interpretation of Council guidelines, procedural questions, and applicable laws, cases, and regulations, and shall have a representative in attendance at Committee meetings in an advisory capacity.

The Non-Resident Fee Committee shall submit an annual report on its activities to the Vice President for Administration.

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THE SULLIVAN AWARDS COMMITTEE

The Sullivan Awards Committee is responsible for selecting and recommending to the President recipients of the Algernon Sydney Sullivan Awards.

The membership of the Committee will be constituted from members of the faculty who normally will be appointed for staggered three-year terms. One representative of the Office of Development and one representative of the Office of Alumni Affairs will be ex officio members of the Committee. A person designated by the President shall serve as chairperson.

In carrying out its responsibilities the Committee shall report directly to the Office of the Vice President for University Relations and will consult as necessary with the Office of the Dean of Students, the Office of the University Registrar, the appropriate deans of the colleges in determining the eligibility of student graduates, the Chancellor for the Community College System regarding nominations from the faculties of community colleges, and with others as appropriate for the non-student award. The Committee will follow stipulations of eligibility, qualifications, and the making of awards established in the memorandum of agreement with the New York Southern Society as follows:

> "The Award may be made to three persons each year but not more than three, that is to say, to not more than one man and one woman of the graduating class of the Institution for that year, and one other person who is not a student of the Institution, who need not be a graduate of any College or University, but who shall have some interest in, association with or relation to said Institution, official or otherwise, of a nature to make this form of recognition by said Institution obviously appropriate and insure his or her proper appreciation of the same."
>
> "In the selection of the recipients nothing shall be considered except the possession of such characteristics of heart, mind, and conduct as evince a spirit of love for and helpfulness to other men and women. If in any year the Faculty shall be of the opinion that no member of the graduating class has displayed the required qualities so conspicuously as to merit the Award, no Award shall be made to students for that year, for it is intended and desired that the Award shall be a real distinction to be conferred only upon those who conspicuously deserve it, not merely in comparison with their fellow students, but by the possession, judged by an absolute standard, of the qualities before mentioned. The same basis in judgment shall control in the cases of other persons who are not students of the Institution."

> "The Institution shall keep a record of the awards made, the names of the recipients, the dates of Awards, and the grounds on which they are in each instance made, and shall annually give to the Society a copy of the record of that year."

In the exercise of its responsibilities the Committee will establish a calendar for its work, undertake necessary announcements and solicitation of nominations from the University faculty and deans, presidents and advisers of all student organizations and dormitories, and, for the non-student award only, faculties of the community colleges through their directors. The Committee will establish practices of screening guaranteeing the protection of individual records. It will maintain a record of those receiving the awards and will submit appropriate materials to the University Archives on a regular basis.

It will be the specific responsibility of the chairperson to oversee the selection process, to secure the medallions and certificates, to have these engraved, and to submit these in advance along with recommended citations to the Office of the Vice President for University Relations. The chairperson may be asked to prepare reports required by the New York Southern Society, to undertake regular appraisal of the processes of selection, and to perform such other duties as may be necessary to the purpose of the Committee.

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	7/1/83	AR III-9.0-2 8/16/76

UNIVERSITY COMMITTEE ON PRESS, RADIO, AND TELEVISION

The University Committee on Press, Radio, and Television serves both the University of Kentucky and the University of Kentucky Athletics Association. The Committee, which is appointed by the President of the University, shall be comprised of members from the faculty, staff, and administration. The chairperson and ex officio members shall be designated by the President. Members other than those with ex officio status normally shall have staggered three-year appointments.

The Committee provides advice and counsel to the Director of Athletics and the University of Kentucky Athletics Association Board of Directors in matters dealing with contracting broadcast and/or publishing rights for University of Kentucky athletic events. On these matters, the Committee works with University Purchasing to develop bid invitations, evaluates bids, and makes recommendations with regard to acceptance or rejection of bids.

The Committee further provides advice and counsel on media-related matters of the University of Kentucky brought to it by the Vice President for University Relations. In this area, the Committee reports to the Vice President for University Relations and is responsible for an annual report and, on request, special reports to the Vice President for University Relations.

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	DATE EFFECTIVE: 3/19/92	SUPERSEDES REGULATION DATED: 7/5/88

EMPLOYEE BENEFITS COMMITTEE

The Employee Benefits Committee shall serve as an advisory committee in matters relating to the University's employee benefit programs. Included in the programs are retirement, group and individual insurances, and related benefits that are provided for employees by virtue of their University employment. The Committee is appointed by the President of the University of Kentucky and reports to the President through the Vice President for Administration. Committee membership shall be comprised of individuals from the faculty, staff, and administration. The chairperson and ex officio members shall be designated by the President. The Committee members other than those with ex officio status normally shall have staggered three-year appointments. One of the faculty members on the Committee shall be designated to serve as liaison between the Committee and the University Senate Council.

The Committee may, in carrying out this responsibility, act upon its own initiative and/or at the direction of the President or the Vice President for Administration and forward recommendations that revise, modify, add to, or delete from the existing employee benefit programs.

The Committee is responsible for an annual report and, on request, special reports to the Vice President for Administration.

WAR1:25

UNIVERSITY COMPUTING ADVISORY COMMITTEE

The University Computing Advisory Committee (UCAC) is appointed by the President and advises the Vice President for Information Systems on computing and information systems needs for the University. The University Computing Advisory Committee serves as a forum for the exchange of information regarding University-wide computing and data communication needs and interests. The Committee offers advice and recommendations to the Vice President for Information Systems relative to broad, University-wide computing policies, procedures, and directions. In addition, at the request of the President or the President's designee, the Committee may be asked to consider specific computing-related problems and/or proposals. The UCAC will be organized into three standing subcommittees to specifically address the areas of research, instruction, and administrative computing. The entire committee, for which the Vice President for Information Systems shall serve as chairperson (ex officio), shall meet at least once each academic semester. The Associate Vice President for Computing and the Director of Communications each shall serve as ex-officio members of all three committees.

Membership on the UCAC should broadly reflect the diverse nature of the University, with appropriate representation from faculty, staff, and students as well as the major academic and administrative divisions of the University.

Research Computing Subcommittee

(7) Faculty
(1) Director, Center for Computational Sciences (ex officio)
(2) Vice Chancellors for Research and Graduate Studies (ex officio)
(1) Graduate student (to be nominated by the Dean of the Graduate School)
(1) Director, Academic Computing Services (ex officio)

Instruction Computing Subcommittee

(7) Faculty
(1) Dean of Undergraduate Studies, Lexington Campus (ex officio)
(1) Vice Chancellor for Academic Affairs, Medical Center (ex officio)
(1) Vice Chancellor for Academic Affairs, Community College System (ex officio)
(1) Undergraduate student (to be nominated by the Student Government Association)
(1) Director, Academic Computing Services (ex officio)

Administrative Computing Subcommittee

(3) Representatives, Financial Systems
(3) Representatives, Human Resources Systems
(3) Representatives, Student Systems
(2) Representatives, Physical Facilities
(3) Representatives, Chancellor sectors (one from each sector)
(1) Director, Information Resource Management (ex officio)

The chairperson for each subcommittee shall be designated by the President. Appointment terms shall be staggered and normally for three years, except that the appointments of students shall be for one year and those of the ex officio members are continuous. Reappointments are permitted.

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	DATE EFFECTIVE: 3/19/92	SUPERSEDES REGULATION DATED: 10/15/88

UNIVERSITY RESEARCH ADVISORY COMMITTEE

The University Research Advisory Committee shall advise the Chancellors for the Lexington Campus and the Medical Center and the Vice President for Research and Graduate Studies on matters pertaining to research and research development. Generally, the Committee shall review and advise regarding the following:

1. Institutional research policies, objectives, priorities, and planning;
2. Resource allocation pertaining to research;
3. Research activity related to graduate education;
4. Enhancement of research capacity focusing on the promotion of excellence in research and the generation of funds to support it; and
5. Stimulation of research collaborations and relationships with industry.

The Committee shall be appointed by the President upon recommendations of the Chancellors for the Lexington Campus and the Medical Center and the Vice President for Research and Graduate Studies. The Vice President for Research and Graduate Studies shall serve as the Committee Chairperson. The Chancellors for the Lexington Campus and the Medical Center and the Dean of the Graduate School shall serve as ex officio members.

The Committee shall have two working subcommittees. One subcommittee shall include: the Associate Deans for Research in colleges of the Lexington Campus sector; at least seven individuals representing the research faculty in the Lexington Campus sector and the institutes, centers, and graduate programs within Research and Graduate Studies, all of whom have significant experience and current involvement in research; and a Vice Chancellor for Research and Graduate Studies who shall serve as the chairperson. Membership of the other subcommittee shall include: the Associate Deans for Research in the Colleges of Dentistry, Medicine, Nursing, and Pharmacy; at least seven individuals representing the research faculty in the Medical Center sector and the institutes, centers, and graduate programs within Research and Graduate Studies, all of whom have significant experience and current involvement in research; and a Vice Chancellor for Research and Graduate Studies who shall serve as the chairperson. Faculty members normally shall have staggered three-year appointments.

The Committee shall be responsible for an annual report and, upon request, for special reports to the Chancellors for the Lexington Campus and the Medical Center and the Vice President for Research and Graduate Studies.

WAR1:42

ADMINISTRATIVE ADVISORY COMMITTEE
of
THE TOBACCO AND HEALTH RESEARCH INSTITUTE

The objectives of the Tobacco and Health Research Institute are to conduct, coordinate, and provide overall administration for the interdisciplinary research in the area of tobacco and its relationship to health. This research is supported through a special Kentucky Tobacco Research Tax.

The Administrative Advisory Committee of the Tobacco and Health Research Institute shall provide advice and make such recommendations as are necessary to formulate administrative judgments on the effectiveness of the operations of, and the research programs undertaken by, the interdisciplinary Institute. The Committee is appointed by the President of the University of Kentucky and reports to the Vice President for Research and Graduate Studies. Committee membership shall be representative broadly of the administrators whose colleges and departments currently, or in the future are expected to, participate in the research programs of the Institute. The Committee is a standing committee. The chairperson and ex officio members are designated by the President.

The specific charge to the Committee is to formulate recommendations and provide advice on the following:

(1) Range of activities undertaken by the Institute;

(2) Priorities for, extension of, or contraction of the Institute's research programs;

(3) Interaction of the Institute's on-campus and off-campus activities, and effectiveness thereof; and

(4) Criteria and procedures for periodic assessment of the overall effectiveness of the Institute's operations and programs.

In addition, the Vice President for Research and Graduate Studies may, from time-to-time, request the Committee's consideration of special problems and proposals. The Committee is responsible for reports as requested by the Vice President for Research and Graduate Studies.

TECHNICAL ADVISORY COMMITTEE OF THE TOBACCO AND HEALTH RESEARCH INSTITUTE

The objectives of the Tobacco and Health Research Institute are to conduct, coordinate, and provide overall administration for the interdisciplinary research in the area of tobacco and its relationship to health. This research is supported through a special Kentucky Tobacco Research Tax, other dedicated funding, and various grants and contracts. Revenue from the first is to be used in scientific research to "prove or disprove charges against tobacco products and to preserve and strengthen the tobacco industry and tobacco program in the Commonwealth." To be funded, a proposal for funds from such dedicated sources first must have scientific approval by the appropriate Technical Advisory Committee (peer review). Research proposals based on the Kentucky Tobacco Research Tax fund then must be approved by a group of Technical Consultants to the Kentucky Tobacco Research Board and finally, as required by law, formally approved by the Kentucky Tobacco Research Board, whose members are appointed by the Governor of the Commonwealth.

The Technical Advisory Committee of the Tobacco and Health Research Institute shall advise the Director of the Tobacco and Health Research Institute on matters of technical policy and serve as a review board for the consideration of research proposals. The Committee shall be comprised of several technically qualified University faculty members appointed, after consultation with the Chancellor for the Lexington Campus and the Chancellor for the Medical Center, by the Vice President for Research and Graduate Studies normally to serve staggered three-year terms. The chairperson and ex officio members of the Committee shall be designated by the Vice President for Research and Graduate Studies.

The Committee shall meet at the request of either the Committee chairperson or the Director of the Tobacco and Health Research Institute.

The specific charge to the Technical Advisory Committee of the Tobacco and Health Research Institute is to (a) advise the Director of the Tobacco and Health Research Institute on formats for project proposals and criteria for acceptance of research proposals, and (b) review research project proposals in accordance with internally developed procedures and make recommendations regarding the funding of proposed projects. Committee members are expected to represent investigators in their respective program areas and generally reflect the investigators' views in Committee deliberations.

The Committee is responsible for an annual report and, on request, special reports to the Vice President for Research and Graduate Studies through the Director of the Tobacco and Health Research Institute.

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INTELLECTUAL PROPERTIES COMMITTEE

The Intellectual Properties Committee (IPC) shall advise and make determination on matters related to the implementation of the Administrative Regulation (AR II-1.1-3) entitled "Intellectual Properties Policy and Procedures," which has been approved by the Board of Trustees. This standing committee is appointed by and reports to the Vice President for Research and Graduate Studies. Committee membership shall be comprised of members of the faculty and staff chosen to provide broad technical expertise across various disciplines. The Director of Intellectual Properties Development shall be an ex officio voting member of the Committee. Additional members may be chosen on an ad hoc basis by the Committee's Chairperson if further expertise is needed in the consideration of a particular intellectual property matter. The Chairperson and any additional ex officio members shall be designated by the Vice President for Research and Graduate Studies. Committee members other than those with ex officio status shall be appointed initially to approximately equally distributed terms of one, two, and three years; thereafter, members will be appointed for a term of three years.

The IPC shall be responsible for the following:

1. Determining the legal interests of the University and its staff, faculty, and students in any intellectual property matter, except traditional scholarly works as defined in Section V.A of AR II-1.1-3, in accord with the Intellectual Properties Policy and Procedures as approved by the Board of Trustees, and making related recommendations to the President of the University through the Vice President for Research and Graduate Studies;

2. Advising the Executive Director of UKRF and the Vice President for Research and Graduate Studies about the identification of various intellectual properties and the implementation of the University's broad policy covering all aspects of such properties; and

3. Advising the President, through the Vice President for Research and Graduate Studies, in the general aspects of the application of the intellectual properties policy and procedures statement on a University-wide basis and with respect to the needs for revision in this statement.

The Committee shall be responsible for an annual report and, on request, special reports to the Chancellor for the Lexington Campus and the Chancellor for the Medical Center through the Vice President for Research and Graduate Studies.

WAR1:34

INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE

Preamble

The University of Kentucky recognizes the importance of the use of animals in its research and teaching programs. Animals are vital both for understanding basic biological processes and in developing diagnostic, therapeutic, and preventive approaches for human and animal diseases. It is the policy of the University that all animals used in teaching and research must be provided humane care and treatment.

I. Institutional Animal Care and Use Committee Responsibilities

The Institutional Animal Care and Use Committee (IACUC) is concerned with the procurement, housing, humane and appropriate care, use, and proper disposition of animals involved in the teaching and research activities of all units within the University. The IACUC reports to the Vice President for Research and Graduate Studies who serves as the President's representative charged with the responsibility for oversight of the University's animal care and use policy (AR II-4.0-3). Both regular and non-voting ex officio members of the IACUC are appointed by the President.

In the discharge of its responsibilities, the IACUC shall carry out all of those duties specifically assigned to it in governmental regulations and policies.

In addition to the above-noted mandated duties, which are perceived as minimum standards, the IACUC shall review all aspects of the University's animal program including short-term and long-term goals and the University's regulations and procedures pertaining to animal care and use. Appropriate recommendations shall be made to the Vice President for Research and Graduate Studies.

II. Committee Structure/Composition

The Institutional Animal Care and Use Committee (IACUC) shall be comprised of an Executive Committee and three Subcommittees (Lexington Campus, Medical Center, and College of Agriculture). Not more than three persons from the same department shall be a member of the committee. All regular and non-voting ex officio members of the IACUC are appointed by the President.

The IACUC shall be composed of a minimum of five members. These shall include, but not be limited to, the chairperson, the University Veterinarian, the Director of the Division of Laboratory Animal Resources, a member whose primary concerns are in a non-scientific area, and an individual who is not affiliated with the University of Kentucky other than as a member of the IACUC and who is not a member of the immediate family of a person affiliated with the University. At least one of the committee members shall be a Doctor of Veterinary Medicine with training and experience in laboratory

science and medicine, and one shall be a practicing scientist experienced in research involving animals.

III. Executive Committee and Subcommittees

A. Executive Committee

The Executive Committee monitors and reviews all ongoing activities for continuing compliance with all applicable requirements concerning humane care, use, and treatment of animals at the University of Kentucky and advises and/or assists the IACUC relative to accomplishing IACUC responsibilities.

B. Subcommittees

The three subcommittees function to help the IACUC meet its responsibilities to comply with all requirements of proper animal care and use in their respective areas.

The subcommittees conduct protocol reviews, assist investigators to incorporate modifications required for protocol approval and recommend full IACUC review and action when cases cannot be resolved at the subcommittee level. The subcommittees also are responsible for conducting inspections of facilities and reviews of programs in their respective areas.

In addition to its responsibilities held in common with the other subcommittees, the College of Agriculture subcommittee oversees the use of all agricultural animals used in research and teaching. The use of agricultural animals shall be in compliance with the Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching. The Dean of the College of Agriculture is the principal administrator responsible for all animals used in the College's program.

MEDICAL AND NON-MEDICAL INSTITUTIONAL REVIEW BOARDS

The University's Medical and Non-Medical Institutional Review Boards have institutional responsibility for:

1. Assurance of protection of human subjects involved in research or related activities;

2. Assurance that the University fulfills its contractual obligations relative to the protection of human subjects; and

3. Maintenance of policies and procedures for protection of human subjects which are, at a minimum, in accord with regulations of federal granting agencies and the University's approved General Institutional Assurance.

The Boards have the authority to review, approve, disapprove, or require changes in appropriate activities involving human subjects.

The Boards are appointed annually by the President after consultation with various administrators. The membership composition of each of the Boards is kept consistent with federal regulations. Chairpersons, ex officio members, and lay members of each of the Boards are designated by the President. Board members with other than ex officio status normally shall have staggered three-year appointments. Each of the Boards reports to the President through the Vice President for Research and Graduate Studies.

Any undertaking in which a University faculty member, staff member, or student investigates and/or collects data on human subjects for research or related activities may be construed as "involving human subjects". It is the responsibility of each investigator to seek review by the appropriate Board of any proposed study involving human subjects prior to initiation of the project.

The specific responsibilities of the University's Medical and Non-Medical Institutional Review Boards are to:

1. Review all research (or related activity) proposals involving human subjects, originating from their respective units;

2. Recommend appropriate action on these proposals within the guidelines set forth in the University's approved General Institutional Assurance;

3. Consult periodically, and at least annually, through a continuation review process, with each investigator to ascertain the progress of the investigator's research or related activity;

4. Advise appropriate University officials of current federal regulations or proposed changes in federal regulations pertaining to the protection of human subjects, and advise on University policy development and regulation changes which will best insure the safety and health of human investigative subjects; and

5. Recommend to the President on membership composition of the respective Boards through the Vice President for Research and Graduate Studies.

Meetings of the Boards may be regularly scheduled or held upon call of the respective chairpersons. Copies of the University's approved General Institutional Assurance are available in the Research Subjects Office.

COMMITTEE ON RESEARCH AND POLICY OF THE KENTUCKY WATER RESOURCES RESEARCH INSTITUTE

The primary role of the Kentucky Water Resources Research Institute (Water Resources Institute) is to coordinate university research in the broad area of water resources throughout the Commonwealth of Kentucky. The Institute administers the Title I Annual Allotment Program, makes recommendations on proposals submitted for the Title I Matching Grants Program, and provides a liaison between Kentucky water resources officials and University faculty.

The Administrative Advisory Committee of the Kentucky Water Resources Institute is appointed by the Vice President for Research and Graduate Studies of the University of Kentucky to formulate recommendations and give advice to the Director of the Kentucky Water Resources Institute. The membership of the Administrative Advisory Committee shall be comprised as follows:

Seven faculty representatives from the University of Kentucky;

Two faculty representatives from the University of Louisville;

One faculty representative each from up to four other participating state-supported universities;

The Associate Vice President for Research and Graduate Studies (ex officio);

The Director of the Water Resources Research Institute (ex officio); and

The Director of the Kentucky Geological Survey (ex officio), who provides a liaison between the University Advisory Council and the State Advisory Council, the latter Council consisting of the leading water resources officials throughout the Commonwealth of Kentucky.

The chairperson of the Committee shall be designated by the Vice President for Research and Graduate Studies. Committee members other than those with ex officio status normally shall have staggered three-year appointments.

The specific charge of this Administrative Advisory Committee is to:

A. Formulate recommendations and provide advice to the Director on proposals submitted to the Institute in competition for the Title I Annual Allotment Program. Proposal evaluation is based on scientific and technical merit of the proposed research, the competence of the faculty investigators, and relevancy of the research to Kentucky and regional water resource problems;

B. Make recommendations to the Director on the "Kentucky Water Resources Institute Plan," submitted to the Institute by leading water

resources officials throughout the Commonwealth. The "Plan" is circulated to all university faculty throughout Kentucky to identify to them the most significant water resources problems of Kentucky and the region;

C. Advise the Director on methods for improving the liaison between university faculty and Kentucky water resources officials, in an effort to direct faculty research to vital Kentucky water resources problems; and

D. Provide advice to the Director on Institute policies and procedures.

The Committee shall be responsible for an annual report and, on request, special reports to the Vice President for Research and Graduate Studies through the Associate Vice President for Research and Graduate Studies.

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UNIVERSITY COMMITTEE ON PRESS, RADIO, AND TELEVISION

The University Committee on Press, Radio, and Television serves both the University of Kentucky and the University of Kentucky Athletics Association. The Committee, which is appointed by the President of the University, shall be comprised of members from the faculty, staff, and administration. The chairperson and ex officio members shall be designated by the President. Members other than those with ex officio status normally shall have staggered three-year appointments.

The Committee provides advice and counsel to the Director of Athletics and the University of Kentucky Athletics Association Board of Directors in matters dealing with contracting broadcast and/or publishing rights for University of Kentucky athletic events. On these matters, the Committee works with University Purchasing to develop bid invitations, evaluates bids, and makes recommendations with regard to acceptance or rejection of bids.

The Committee further provides advice and counsel on media-related matters of the University of Kentucky brought to it by the Vice President for University Relations. In this area, the Committee reports to the Vice President for University Relations and is responsible for an annual report and, on request, special reports to the Vice President for University Relations.

WAR1:26

STUDENT HEALTH ADVISORY COMMITTEE

The charge, function, membership, appointment procedure, and requirements for meetings and reports of the Student Health Advisory Committee are as follows:

I. Charge and Functions

The Student Health Advisory Committee (SHAC) shall:

A. Represent students as consumers of health care;

B. Voice student opinion on health needs, health services, and policies and procedures affecting student health;

C. Provide liaison in such matters between the students and the University;

D. Assist the University Health Service in informing students about health services and programs available to them, both on and off campus;

E. Obtain student opinion concerning health needs, health care, and health care financing;

F. Forward student suggestions and problems to the appropriate offices and work with these offices toward satisfactory solutions;

G. Work toward the development of such new programs as it deems necessary or advisable;

H. Monitor and evaluate the health fee program and the student group insurance plan and be a source of recommendations for change in either program; and

I. Assist in the recruitment, interviewing, and selection of key administrative and professional personnel in the University Health Service ("key administrative and professional personnel" shall be defined in a written mutual agreement between SHAC and the Director of the University Health Service).

II. Composition

SHAC shall be composed of voting student members and nonvoting *ex officio* members. Students of any school or department of the University shall be eligible for membership. Criteria for membership shall be promulgated by SHAC. Recruiting shall stress the need for a broad base of students to represent the entire spectrum of the student community. The President of the Student Government

Association shall nominate for membership in SHAC two students, who shall provide liaison between SHAC and the Student Government Association. All SHAC student members shall be appointed by the President of the University upon written recommendation of SHAC. The officers shall be a chairperson, an assistant chairperson, and a secretary-treasurer who shall be elected by SHAC at its March meeting.

In addition to the student membership, the President of the University shall appoint ex officio , nonvoting members of SHAC. These shall include the Director and the Administrator of the University Health Service, the Chancellor for the Medical Center or the Chancellor's representative, and the Vice Chancellor for Student Affairs for the Lexington Campus.

III. Meetings

The student members of the Committee shall meet at least monthly during the school year and at least once per semester with the ex officio members of the Committee. SHAC shall invite the President of the University to install the new SHAC officers. The agenda of regular meetings shall be distributed in advance to the members. The agenda also shall be publicized on campus, to encourage students to attend meetings and to present suggestions or complaints. Any interested person in the University community may attend regularly scheduled SHAC meetings.

IV. Reporting

SHAC shall report regularly to the President through the Office of the Chancellor for the Medical Center. Copies of such reports, as well as copies of the minutes, shall be submitted to all regular and ex officio members of SHAC.

COMMITTEE ON HUMAN SAFETY AND ENVIRONMENTAL HEALTH

The Committee on Human Safety and Environmental Health is a technical advisory and policy-making committee on matters related to the procurement, safe use, and disposition of radioactive materials and hazardous materials by organizational units within the University of Kentucky. The Committee is appointed by the President of the University of Kentucky and reports to the Chancellor for the Medical Center. The Committee shall be composed of appointed members and ex officio members from the faculty, staff, and administration. The chairman and ex officio members shall be designated by the President. The Committee members, other than those with ex officio status, normally shall have staggered three-year appointments.

The specific responsibilities of the Committee are to:

1. Establish policies for the chemical, biological, and radiological safety programs that will provide adequate protection for the safety and health of University personnel and the community at large;

2. Regulate the use of radioactive materials, other sources of ionizing radiation, and hazardous materials to ensure compliance with the governmental regulations;

3. Advise and recommend on policies and actions pertaining to biohazards;

4. Ensure that all individuals who work with, or work in the vicinity of, radioactive and hazardous materials have sufficient training and experience to enable them to perform their duties safely and in accordance with regulations and the conditions of the license;

5. Review and approve the radiological and hazardous materials aspects involved in the safe use, procurement, and disposition of materials upon all the property of the University;

6. Review and make appropriate recommendations on proposed research grants involving the use of biological hazardous materials;

7. Certify to the National Institutes of Health and appropriate University officials on applications for research support, and annually thereafter, that facilities, procedures, and practices, training, and expertise of personnel involved in recombinant DNA research have been reviewed and approved;

8. Review technical overexposure incidents and University rules or required procedures in accordance with 902 KAR 100;

9. Promote the use of radioactive materials and ionizing radiation as research tools for investigations within the University;

10. Advise the President of the University and the Chancellor for the Medical Center on all matters relating to licensure of the University by governmental agencies and to procurement of all radioactive and hazardous materials to be used within the University; and

11. Evaluate and recommend biological, environmental, and institutional safety standards for nuclear magnetic resonance and microwave radiation equipment.

The Committee shall be responsible for an annual report and, on request, special reports to the Chancellor for the Medical Center.

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MEDICAL CENTER RESEARCH ADVISORY COMMITTEE

The Medical Center Research Advisory Committee shall advise the Chancellor for the Medical Center and the Vice Chancellor for Research and Dean of the Graduate School on matters pertaining to research and research development. Generally, the Committee shall review and advise regarding the following:

1. Institutional research policies, objectives, priorities, and planning;

2. Resource allocation pertaining to research including, but not limited to, the UKRF/UKMC research fund budget and non-recurring funds;

3. Research activity related to graduate education;

4. Enhancement of research capacity focusing on fund generation and excellence in new research; and

5. Stimulation and coordination of Medical Center relationships with industry.

The Committee shall be appointed by the Chancellor for the Medical Center. The Vice Chancellor for Research and Dean of the Graduate School, or this administrator's designee, shall serve as the Committee's chairperson. Committee membership shall include the Associate Dean for Research and Graduate Studies for the Medical Center, the Associate Dean for Research and Basic Sciences in the College of Medicine, the Associate Deans for Research and Graduate Study in the Colleges of Pharmacy and Nursing, and seven individuals from the research faculty who have significant experience and current involvement in research. The research faculty members shall have staggered three-year appointments.

The Vice Chancellor for Research and Dean of the Graduate School, with the advice of the Committee, shall develop the agenda for meetings. Minutes of meetings shall be submitted to the Chancellor for the Medical Center, the Special Assistant for Budget and Finance for the Medical Center, and the Vice Chancellor for Academic Affairs for the Medical Center. The Committee also shall submit an annual report and, on request, special reports to the Chancellor for the Medical Center.

ADMINISTRATIVE ADVISORY COMMITTEE of THE TOBACCO AND HEALTH RESEARCH INSTITUTE

The objectives of the Tobacco and Health Research Institute are to conduct, coordinate, and provide overall administration for the interdisciplinary research in the area of tobacco and its relationship to health. This research is supported through a special Kentucky Tobacco Research Tax.

The Administrative Advisory Committee of the Tobacco and Health Research Institute shall provide advice and make such recommendations as are necessary to formulate administrative judgments on the effectiveness of the operations of, and the research programs undertaken by, the interdisciplinary Institute. The Committee is appointed by the President of the University of Kentucky and reports to the Vice Chancellor for Research and Dean of the Graduate School. Committee membership shall be representative broadly of the administrators whose colleges and departments currently, or in the future are expected to, participate in the research programs of the Institute. The Committee is a standing committee. The chairperson and ex officio members are designated by the President.

The specific charge to the Committee is to formulate recommendations and provide advice on the following:

(1) Range of activities undertaken by the Institute;

(2) Priorities for, extension of, or contraction of the Institute's research programs;

(3) Interaction of the Institute's on-campus and off-campus activities, and effectiveness thereof; and

(4) Criteria and procedures for periodic assessment of the overall effectiveness of the Institute's operations and programs.

In addition, the Vice Chancellor for Research and Dean of the Graduate School may, from time-to-time, request the Committee's consideration of special problems and proposals. The Committee is responsible for reports as requested by the Vice Chancellor for Research and Dean of the Graduate School.

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TECHNICAL ADVISORY COMMITTEE OF THE TOBACCO AND HEALTH RESEARCH INSTITUTE

The objectives of the Tobacco and Health Research Institute are to conduct, coordinate, and provide overall administration for the interdisciplinary research in the area of tobacco and its relationship to health. This research is supported through a special Kentucky Tobacco Research Tax and a smaller federal appropriation for like purposes. Revenue from the latter is to be used in scientific research to "prove or disprove charges against tobacco products and to preserve and strengthen the tobacco industry and tobacco program in the Commonwealth." To be funded, a proposal for funds from either source first must have scientific approval by the appropriate Technical Advisory Committee (peer review). Research proposals based on the Kentucky Tobacco Research Tax fund then must be approved by a group of Technical Consultants to the Kentucky Tobacco Research Board and finally, as required by law, formally approved by the Kentucky Tobacco Research Board, whose members are appointed by the Governor of the Commonwealth.

The Technical Advisory Committee of the Tobacco and Health Research Institute shall advise the Director of the Tobacco and Health Research Institute on matters of technical policy and serve as a review board for the consideration of research proposals. The Committee shall be comprised of several technically qualified University faculty members appointed, after consultation with the Chancellor for the Medical Center, by the Chancellor for the Lexington Campus normally to serve staggered three-year terms. The chairperson and ex officio members of the Committee shall be designated by the Chancellor for the Lexington Campus.

The Committee shall meet at the request of either the Committee chairperson or the Director of the Tobacco and Health Research Institute.

The specific charge to the Technical Advisory Committee of the Tobacco and Health Research Institute is to (a) advise the Director of the Tobacco and Health Research Institute on formats for project proposals and criteria for acceptance of research proposals, and (b) review research project proposals in accordance with internally developed procedures and make recommendations regarding the funding of proposed projects. Committee members are expected to represent investigators in their respective program areas and generally reflect the investigators' views in Committee deliberations.

The Committee is responsible for an annual report and, on request, special reports to the Vice Chancellor for Research and Dean of the Graduate School through the Director of the Tobacco and Health Research Institute.

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JOINT UK-UKRF COMMITTEE ON PATENTS

The Joint UK-UKRF Committee on Patents shall advise and make determinations on matters related to the implementation of the Patent Policy Statement (AR II-1.1-3) adopted jointly by the Board of Trustees of the University of Kentucky and the Board of Directors of the University of Kentucky Research Foundation. The Committee is appointed by the President of the University of Kentucky and reports to the Vice Chancellor for Research and Dean of the Graduate School. Committee membership shall be comprised of individuals from the teaching and research faculty. The chairperson and ex officio member(s) shall be designated by the President. Committee members other than those with ex officio status shall have staggered three-year appointments.

The Joint UK-UKRF Committee on Patents shall be responsible for the following:

1. Determining the interests of the University and the staff member(s) in each patentable idea, discovery, or invention and make related recommendations to the President of the University through the Chancellor for the Lexington Campus and the Chancellor for the Medical Center;

2. Advising the Executive Director of the University of Kentucky Research Foundation in areas such as the identification of inventors, patent searches, and filing of patent applications; and

3. Advising the President of the University, through the Chancellor for the Lexington Campus and the Chancellor for the Medical Center, in the general aspects of the application of the patent policy on a University-wide basis and with respect to needs for revision in this procedure.

The Committee shall be responsible for an annual report and, on request, special reports to the Chancellor for the Lexington Campus and the Chancellor for the Medical Center through the Vice Chancellor for Research and Dean of the Graduate School.

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LEXINGTON CAMPUS RESEARCH ADVISORY COMMITTEE

The Lexington Campus Research Advisory Committee shall advise the Chancellor for the Lexington Campus and the Vice Chancellor for Research and Dean of the Graduate School on matters pertaining to research and research development. Generally, the Committee shall review and advise regarding the following:

1. Institutional research policies, objectives, priorities, and planning;

2. Resource allocation pertaining to research, including but not limited to the University of Kentucky Research Foundation/Lexington Campus research fund budget and nonrecurring funds;

3. Research activity related to graduate education; and

4. Enhancement of research capacity focusing on the generation of funds and the promotion of excellence in new research.

The Committee shall be appointed by the Chancellor for the Lexington Campus. The Vice Chancellor for Research and Dean of the Graduate School, or the Vice Chancellor-Dean's designee, shall serve as the Committee's chairperson. Committee membership shall be comprised of the Graduate School Associate Dean for Research, Associate Deans for Research in four colleges of the Lexington Campus, and at least three individuals from the research faculty who have significant research experience. Members shall be appointed for staggered terms of three years.

The Committee shall be responsible for an annual report and, upon request, for special reports to the Chancellor for the Lexington Campus through the Vice Chancellor for Research and Dean of the Graduate School.

INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE

I. Institutional Animal Care and Use Committee

The Institutional Animal Care and Use Committee (IACUC) is concerned with the procurement, housing, humane care, use and disposition of animals involved in the teaching and research activities of the departments, schools, colleges, and research institutes and centers of the University. The IACUC shall report to the Vice Chancellor for Research and Dean of the Graduate School who shall serve as the President's representative charged with the responsibility for oversight of the University Animal Care and Use Program.

In the discharge of its responsibilities, the Institutional Animal Care and Use Committee shall:

A. Review at least annually the University's program for humane care and use of animals to assure that University and other standards are met;

B. Inspect at least annually all of the University's animal facilities, including satellite facilities;

C. Review and approve, require modifications in (to secure approval), or withhold approval of protocols of proposed studies and courses involving the use of animals to assure compliance with public law, government regulations, and University standards for humane animal care, use, and treatment;

D. Review and approve, require modifications in (to secure approval), or withhold approval of proposed significant changes regarding the care and use of animals in ongoing activities;

E. Exercise the authority to suspend any previously approved activity involving animals if the IACUC determines that the activity is not being conducted in accordance with approved protocol, public law and regulations, and University policy and standards for humane animal care and use and, when appropriate, to assure proposed facilities and procedures to be used meet all applicable requirements for safe handling of carcinogenic, toxic, infectious, or radioactive materials when used with animals (such reviews may be coordinated with other appropriate committees or designated agents);

F. Review any aspect of the University's animal program pertaining to animal care and use and make appropriate recommendations to the Vice Chancellor for Research and Dean of the Graduate School;

G. Strive to keep informed of current and pending legislation, federal and state regulations and standards, and accreditation requirements affecting the use of animals in teaching and research, and aid in the dissemination of this information to users of animals throughout the University;

H. Review University regulations and procedures to implement University policy governing the care and use of animals in teaching and research;

I. Review and advise the Director of the Division of Laboratory Animal Resources on authentication of the reports on care and use of animals that are required of the University by regulatory authorities, accrediting bodies, and grant-awarding agencies;

J. Review and assist in the development of the short-range and long-range goals of the University of Kentucky Division of Laboratory Animal Resources; these goals shall deal specifically with the following points:

(1) Scope of animal care and services to be provided;

(2) Projection of animal care resources required to include funds, personnel, facilities, and equipment;

(3) Suggestion of a time schedule for attainment of specific short-term and long-term goals;

(4) Use and coordination of the total University Animal Care and Use Program; and

(5) Maintenance of a quality animal care and use program.

K. Consult with the Subcommittees on Animal Care and Use in areas of their responsibilities and concerns; and

L. Utilize the Subcommittees on Animal Care and Use, when appropriate, for accomplishing the responsibilities of the Institutional Committee.

II. Committee Structure and Procedures

The Institutional Animal Care and Use Committee shall be comprised of an Executive Committee and three Subcommittees (Lexington Campus, Medical Center, and College of Agriculture). The Executive Committee shall be composed of at least five members. These shall include, but not necessarily be limited to, the chairperson, the Director of the Division of Laboratory Animal Resources, the three subcommittee chairpersons all of whom are experienced in research involving animals, a member whose primary concerns are in a non-scientific area, and an individual who is not affiliated with the University of Kentucky other than as a member of the IACUC and who is not a member of the immediate family of a person affiliated with the University. At least one of the Committee members shall be a Doctor of

Veterinary Medicine with training or experience in laboratory science and medicine. Each Subcommittee shall be composed of at least seven (7) members. The Director of the Division of Laboratory Animal Resources shall be a member of all Subcommittees. All regular and ex officio members of the IACUC shall be appointed by the President of the University. In the discharge of Subcommittee responsibilities, the Subcommittees shall consult with members of the Executive Committee, administrators, and active animal users in departments, schools, colleges, and research institutes and centers. Within its area of expertise and responsibility each Subcommittee shall:

A. Review and approve, specify required modifications in (to secure approval), or recommend to the IACUC the denial of approval of protocols of proposed studies and courses involving the use of animals to assure compliance with public law, government regulations, and University standards for humane animal care, use, and treatment;

B. Assist investigators to incorporate modifications required for protocol approval and refer for IACUC review and action such cases which cannot be resolved at the Subcommittee level;

C. Review and approve, specify required modifications in (to secure approval), or recommend to the IACUC denial of approval for proposed significant changes regarding the care and use of animals in ongoing activities;

D. Review ongoing activities for continuing compliance with all applicable requirements concerning humane animal care, use, and treatment and recommend to the IACUC suspension of any activity found not to be in such compliance;

E. Formulate policy and procedural recommendations;

F. Assist the Executive Committee with data collection and dissemination in the appropriate disciplinary areas;

G. Review annually the scope, quality, and procedural implementation of the Division of Laboratory Animal Resources and advise the Executive Committee of their findings and evaluations; and

H. Advise and/or assist the Executive Committee when necessary to accomplish that Committee's responsibilities.

In addition to its responsibilities held in common with the other Subcommittees (refer to preceding paragraph), the College of Agriculture Subcommittee on Animal Care and Use annually shall review the use of all animals used in the research and educational programs of the College of Agriculture to ensure the animals' proper care and humane treatment in accordance with the guidelines established by the Laboratory Animal Welfare Act 1966 and Amendments, the most recent edition of the PHS Guide for the Care and Use of Laboratory Animals, and accepted agricultural practice.

ADDENDUM

COLLEGE OF AGRICULTURE SUBCOMMITTEE ON ANIMAL CARE AND USE

The Vice Chancellor for Research and Dean of the Graduate School is administratively responsible for laboratory animal care with oversight responsibilities by the Institutional Animal Care and Use Committee and its Subcommittees. The Division of Laboratory Animal Resources is responsible to the Vice Chancellor for Research and Dean of the Graduate School and has overall responsibility for laboratory animal care services. The Associate Dean for Research in the College of Agriculture is the principal administrator in charge of all animals used in the College's programs.

The College of Agriculture Subcommittee of the Institutional Animal Care and Use Committee functions similarly to the other Subcommittees with oversight responsibilities for laboratory animal care in the College of Agriculture and, through the Institutional Committee, reports to the Vice Chancellor for Research and Dean of the Graduate School.

The College shall designate appropriately qualified faculty and staff within the established organizational structure for direct supervision of and required daily care for all animals. The acquisition of laboratory animals shall be coordinated through the Division of Laboratory Animal Resources (DLAR), and DLAR will provide periodic training, supervision, and evaluation of designated laboratory animal care personnel in the College of Agriculture. The Associate Dean for Research in the College of Agriculture and the Director of DLAR will coordinate these activities. Problems which may arise and cannot be resolved at this level shall be referred to the Vice Chancellor for Research and Dean of the Graduate School.

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MEDICAL AND NON-MEDICAL INSTITUTIONAL REVIEW BOARDS

The University's Medical and Non-Medical Institutional Review Boards have institutional responsibility for:

1. Assurance of protection of human subjects involved in research or related activities;

2. Assurance that the University fulfills its contractual obligations relative to the protection of human subjects; and

3. Maintenance of policies and procedures for protection of human subjects which are, at a minimum, in accord with regulations of federal granting agencies and the University's approved General Institutional Assurance.

The Medical Institutional Review Board reviews research emanating from the Medical Center and the affiliated Veterans Administration Medical Center. The Non-Medical Institutional Review Board reviews research originating from the Lexington Campus and the Community College System. The Boards have the authority to review, approve, disapprove, or require changes in appropriate activities involving human subjects.

The Boards are appointed annually by the President after consultation with various administrators. The membership composition of each of the Boards is kept consistent with federal regulations. Chairpersons, ex officio members, and lay members of each of the Boards are designated by the President. Board members with other than ex officio status normally shall have staggered three-year appointments. Each of the Boards reports to the President through the Vice Chancellor for Research and Dean of the Graduate School.

Any undertaking in which a University faculty member, staff member, or student investigates and/or collects data on human subjects for research or related activities may be construed as "involving human subjects". It is the responsibility of each investigator to seek review by the appropriate Board of any proposed study involving human subjects prior to initiation of the project.

The specific responsibilities of the University's Medical and Non-Medical Institutional Review Boards are to:

1. Review all research (or related activity) proposals involving human subjects, originating from their respective units;

2. Recommend appropriate action on these proposals within the guidelines set forth in the University's approved General Institutional Assurance;

3. Consult periodically, and at least annually, through a continuation review process, with each investigator to ascertain the progress of the investigator's research or related activity;

4. Advise appropriate University officials of current federal regulations or proposed changes in federal regulations pertaining to the protection of human subjects, and advise on University policy development and regulation changes which will best insure the safety and health of human investigative subjects; and

5. Recommend to the President on membership composition of the respective Boards through the Vice Chancellor for Research and Dean of the Graduate School.

Meetings of the Boards may be regularly scheduled or held upon call of the respective chairpersons. Copies of the University's approved General Institutional Assurance are available in the Office for the Institutional Review Boards.

THE UNIVERSITY PRESS OF KENTUCKY EDITORIAL BOARD

The University Press of Kentucky is the book publishing facility for thirteen colleges and universities within the Commonwealth of Kentucky: Bellarmine College, Berea College, Centre College of Kentucky, Eastern Kentucky University, Georgetown College, Kentucky State University, Morehead State University, Murray State University, Northern Kentucky State University, Transylvania University, the University of Kentucky, the University of Louisville, and Western Kentucky University. The Filson Club and the Kentucky Historical Society are associate members of the consortium, which also encompasses the University of Kentucky's fourteen community colleges. Organized in 1969 as the successor to the University of Kentucky Press, which was established in 1943, the University Press of Kentucky functions in much the same way as any other publishing house, although unlike commercial publishers it operates on a nonprofit basis and the emphasis is upon scholarly books.

The editorial, production, and sales offices of the Press are located on the campus of the University of Kentucky at Lexington; however, the editorial policy and the publishing program of the Press are periodically reviewed by a statewide Editorial Board consisting of representatives from each of the member institutions. It is one of the largest cooperative scholarly publishing establishments in the United States.

The statewide Editorial Board of the Press consists of one representative from the Press Committee of each participating institution with three additional members from the University of Kentucky Press Committee and one other member chosen from the laity of Kentucky to represent the Commonwealth at large. The chairperson of the University of Kentucky Press Committee is chairperson, ex officio, of the Editorial Board. The Director of the Press serves as the permanent nonvoting secretary of the Editorial Board. Appointments to the Editorial Board normally will be for three years; members may be reappointed by their respective institutions.

The Editorial Board will meet no less than four times during each year; alternate board members may be appointed by the Press Committee to attend these meetings and participate in the deliberations of the Board in the unavoidable absence of the regular members.

The duties of the Editorial Board are several: it reviews the policies and procedures of the Press and makes appropriate policy recommendations to the President of the University of Kentucky through the secretary, gives its considered attention to the publishing programs of the Press, and votes on all manuscripts recommended to it for publication by the Director of the Press; no work of any kind can be accepted for publication by the University Press of Kentucky without first having been approved by the Editorial Board.

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COMMITTEE ON RESEARCH AND POLICY OF THE KENTUCKY WATER RESOURCES RESEARCH INSTITUTE

The primary role of the Kentucky Water Resources Research Institute (Water Resources Institute) is to coordinate university research in the broad area of water resources throughout the Commonwealth of Kentucky. The Institute administers the Title I Annual Allotment Program, makes recommendations on proposals submitted for the Title I Matching Grants Program, and provides a liaison between Kentucky water resources officials and university faculty.

The Administrative Advistory Committee of the Kentucky Water Resources Institute is appointed by the Chancellor for the Lexington Campus of the University of Kentucky to formulate recommendations and give advice to the Director of the Kentucky Water Resources Institute. The membership of the Administrative Advisory Committee shall be comprised as follows:

Seven faculty representatives from the University of Kentucky;

Two faculty representatives from the University of Louisville;

One faculty representative each from up to four other participating state-supported universities;

The Vice Chancellor for Research and Dean of the Graduate School of the University of Kentucky (ex officio);

The Director of the Water Resources Research Institute (ex officio); and

The Director of the Kentucky Geological Survey (ex officio), who provides a liaison betwen the University Advisory Council and the State Advisory Council, the latter Council consisting of the leading water resources officials throughout the Commonwealth of Kentucky.

The chairperson of the Committee shall be designated by the Chancellor for the Lexington Campus. Committee members other than those with ex officio status normally shall have staggered three-year appointments.

The specific charge of this Administrative Advisory Committee is to:

A. Formulate recommendations and provide advice to the Director on proposals submitted to the Institute in competition for the Title I Annual Allotment Program. Proposal evaluation is based

on scientific and technical merit of the proposed research, the competence of the faculty investigators, and relevancy of the research to Kentucky and regional water resource problems;

B. Make recommendations to the Director on the "Kentucky Water Resources Institute Plan," submitted to the Institute by leading water resources officials throughout the Commonwealth. The "Plan" is circulated to all university faculty throughout Kentucky to identify to them the most significant water resources problems of Kentucky and the region;

C. Advise the Director on methods for improving the liaison between university faculty and Kentucky water resources officials, in an effort to direct faculty research to vital Kentucky water resources problems; and

D. Provide advice to the Director on Institute policies and procedures.

The Committee shall be responsible for an annual report and, on request, special reports to the Chancellor for the Lexington Campus through the Dean of the Graduate School and Coordinator of Research.

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THE UNIVERSITY PRESS OF KENTUCKY EDITORIAL BOARD

The University Press of Kentucky is the book publishing facility for thirteen colleges and universities within the Commonwealth of Kentucky: Bellarmine College, Berea College, Centre College of Kentucky, Eastern Kentucky University, Georgetown College, Kentucky State University, Morehead State University, Murray State University, Northern Kentucky State University, Transylvania University, the University of Kentucky, the University of Louisville, and Western Kentucky University. The Filson Club and the Kentucky Historical Society are associate members of the consortium, which also encompasses the University of Kentucky's thirteen community colleges. Organized in 1969 as the successor to the University of Kentucky Press, which was established in 1943, the University Press of Kentucky functions in much the same way as any other publishing house, although unlike commercial publishers it operates on a nonprofit basis and the emphasis is upon scholarly books.

The editorial, production, and sales offices of the Press are located on the campus of the University of Kentucky at Lexington; however, the editorial policy and the publishing program of the Press are periodically reviewed by a statewide Editorial Board consisting of representatives from each of the member institutions. It is one of the largest cooperative scholarly publishing establishments in the United States.

The statewide Editorial Board of the Press consists of one representative from the Press Committee of each participating institution with three additional members from the University of Kentucky Press Committee and one other member chosen from the laity of Kentucky to represent the Commonwealth at large. The chairperson of the University of Kentucky Press Committee is chairperson, ex officio, of the Editorial Board. The Director of the Press serves as the permanent nonvoting secretary of the Editorial Board. Appointments to the Editorial Board normally will be for three years; members may be reappointed by their respective institutions.

The Editorial Board will meet no less than four times during each year; alternate board members may be appointed by the Press Committee to attend these meetings and participate in the deliberations of the Board in the unavoidable absence of the regular members.

The duties of the Editorial Board are several: it reviews the policies and procedures of the Press and makes appropriate policy recommendations to the President of the University of Kentucky through the secretary, gives its considered attention to the publishing programs of the Press, and votes on all manuscripts

recommended to it for publication by the Director of the Press; no work of any kind can be accepted for publication by the University Press of Kentucky without first having been approved by the Editorial Board.

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COMMITTEE ON RESEARCH AND POLICY OF THE KENTUCKY WATER RESOURCES RESEARCH INSTITUTE

The primary role of the Kentucky Water Resources Research Institute (Water Resources Institute) is to coordinate university research in the broad area of water resources throughout the Commonwealth of Kentucky. The Institute administers the Title I Annual Allotment Program, makes recommendations on proposals submitted for the Title I Matching Grants Program, and provides a liaison between Kentucky water resources officials and university faculty.

The Administrative Advistory Committee of the Kentucky Water Resources Institute is appointed by the Chancellor for the Lexington Campus of the University of Kentucky to formulate recommendations and give advice to the Director of the Kentucky Water Resources Institute. The membership of the Administrative Advisory Committee shall be comprised as follows:

Seven faculty representatives from the University of Kentucky;

Two faculty representatives from the University of Louisville;

One faculty representative each from Murray State University and Western Kentucky University;

The Vice Chancellor for Research and Dean of the Graduate School of the University of Kentucky (ex officio);

The Director of the Water Resources Research Institute (ex officio); and

The Director of the Kentucky Geological Survey (ex officio), who provides a liaison betwen the University Advisory Council and the State Advisory Council, the latter Council consisting of the leading water resources officials throughout the Commonwealth of Kentucky.

The chairperson of the Committee shall be designated by the Chancellor for the Lexington Campus. Committee members other than those with ex officio status normally shall have staggered three-year appointments.

The specific charge of this Administrative Advisory Committee is to:

A. Formulate recommendations and provide advice to the Director on proposals submitted to the Institute in competition for the Title I Annual Allotment Program. Proposal evaluation is based

on scientific and technical merit of the proposed research, the competence of the faculty investigators, and relevancy of the research to Kentucky and regional water resource problems;

B. Make recommendations to the Director on the "Kentucky Water Resources Institute Plan," submitted to the Institute by leading water resources officials throughout the Commonwealth. The "Plan" is circulated to all university faculty throughout Kentucky to identify to them the most significant water resources problems of Kentucky and the region;

C. Advise the Director on methods for improving the liaison between university faculty and Kentucky water resources officials, in an effort to direct faculty research to vital Kentucky water resources problems; and

D. Provide advice to the Director on Institute policies and procedures.

The Committee shall be responsible for an annual report and, on request, special reports to the Chancellor for the Lexington Campus through the Dean of the Graduate School and Coordinator of Research.

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HEIDELBERG SCHOLARSHIP COMMITTEE

The Heidelberg Scholarship Committee is concerned with the University's participation in the reciprocal scholarship program with the University of Heidelberg and makes recommendations through the Vice Chancellor for Student Affairs for the Lexington Campus to the Chancellor for the Lexington Campus regarding the best-qualified University of Kentucky candidate for the scholarship. In addition, the Committee or its chairperson shall assist, as needed, in clarifying the status of the University of Heidelberg's scholarship recipient to University of Kentucky admissions officers.

The Committee is appointed, after consultation with the Chancellor for the Medical Center, by the Chancellor for the Lexington Campus of the University of Kentucky and reports to the Chancellor for the Lexington Campus through the Vice Chancellor for Student Affairs for the Lexington Campus. Committee membership shall be comprised of faculty, staff, and administrators and shall have staggered three-year appointments. The chairperson shall be designated by the Chancellor for the Lexington Campus.

In carrying out its responsiblity, the Committee each year shall publicize the scholarship, advise and screen candidates, forward the Committee's recommendation to the Chancellor for the Lexington Campus, and aid the recipient of the scholarship in preparing for study abroad. Screening of candidates and selection of the recipient of the Heidelberg Scholarship shall be on the basis of the following criteria: academic excellence; maturity, open-mindedness and adaptability; readiness to learn from studying abroad; and ability to communicate in German.

The Committee is responsible for an annual report and, on request, special reports to the Chancellor for the Lexington Campus through the Vice Chancellor for Student Affairs for the Lexington Campus.

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ADVISORY COMMITTEE ON WOMEN'S INTERCOLLEGIATE ATHLETICS

The Advisory Committee on Women's Intercollegiate Athletics is appointed by the Chancellor for the Lexington Campus. Committee membership shall be comprised of individuals from the faculty, staff, administration, and student body of the University of Kentucky. The chairperson and ex officio members of the Committee shall be designated by the Chancellor for the Lexington Campus. Committee members other than those with student or ex officio status normally shall have staggered three-year appointments.

The specific responsibilities of the Advisory Committee on Women's Intercollegiate Athletics are to:

1. Serve in an advisory capacity to the Director of Athletics;

2. Serve in an advisory capacity to the Chancellor for the Lexington Campus on matters which the Chancellor refers to the Committee;

3. Submit an annual report to the Chancellor for the Lexington Campus and the Director of Athletics; and

4. Conduct studies necessary to carry out the Committee's functions of advising the Chancellor for the Lexington Campus and the Director of Athletics and preparing its annual report. Specific areas in which the Committee should advise and report are:

   a. Allocation of resources for women's sports programs, including budget, facilities, and equipment;

   b. Program priorities within women's intercollegiate sports programs, including assessment of student interest;

   c. Policies and priorities for external fund-raising;

   d. Representation and membership in athletic conferences for women's intercollegiate programs; and

   e. Other matters directly related to the growth and support of women's intercollegiate sports programs.

In addition, the Chancellor for the Lexington Campus or the Director of Athletics may, from time to time, request the Committee's consideration of special problems and proposals.

The Committee is responsible for reports in addition to the Committee's annual report as requested by the Chancellor for the Lexington Campus or the Director of Athletics.

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ADVISORY COMMITTEE FOR THE DONOVAN TRUST

The Advisory Committee for the Donovan Trust is appointed by the President of the University of Kentucky to make recommendations to the President, through the Vice President for Administration, regarding the use of investment income from the Herman Lee and Nell Stuart Donovan Memorial Endowment. The membership of the Committee may be comprised of individuals from the faculty, staff, administration, and student body. The chairperson and ex officio members shall be designated by the President. The Committee members other than those with student or ex officio status normally shall have staggered three-year appointments.

The Advisory Committee each year shall solicit, receive, and consider proposals related to the use of investment income from the Donovan trust fund and forward to the President, through the Vice Chancellor for Administration for the Lexington Campus, specific recommendations regarding the use of income generated by the trust fund principal in the preceding fiscal years. Recommendations regarding the use of investment income shall be in accordance with the following trust provisions contained in the will of Herman Lee Donovan: (a) that investment income be used for the promotion and creation of an atmosphere and environment of culture, refinement, and gentility to encourage the growth of students into gentle men and women whose education may reflect the influence of such an atmosphere and environment; (b) that investment income be used to enrich educational opportunities by providing increased stimulus to students to cultivate and develop into men and women with an appreciation of the qualities of beauty and loveliness; and (c) that no part of the investment income be spent for ordinary recurring expenses of operation and maintenance. Dr. Donovan's will contains the request that the investment income be spent for what are so frequently thought of as institutional luxuries such as beautiful books, musical programs, beautiful pictures or paintings, flowers or shrubs, or any other acquisitions or productions that the President may consider appropriate for promoting appreciation of the lovely and beautiful in the environment in which students live and study.

The Committee is responsibile for an annual report and, on request, special reports to the Vice President for Administration.

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UNIVERSITY CAMPUS SAFETY COMMITTEE

The University Campus Safety Committee shall be concerned with matters related to safety within the University of Kentucky. The Committee is appointed, after consultation with the other chancellors, by the Chancellor for the Lexington Campus and reports to the Vice Chancellor for Administration for the Lexington Campus. Committee membership shall be comprised of individuals from the faculty, staff, administration, and student body. The chairperson and ex officio members shall be designated by the Chancellor for the Lexington Campus. Committee members other than those with student or ex officio status normally shall have staggered three-year appointments.

The Committee is charged with the responsibility of:

A. Reviewing accident experience and allied safety problems of the University and submitting suggestions to correct hazardous conditions; and

B. Recommending new policies and/or changes in existing policies necessary to reduce or eliminate injuries and occupational illnesses of faculty, staff, and students.

The Committee shall meet at the call of the chairperson, but not less than once each year. The Committee shall be responsible for an annual report and, on request, special reports to the Vice Chancellor for Administration for the Lexington Campus.

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PARKING AND TRAFFIC CONTROL COMMITTEE

The Parking and Traffic Control Committee shall act in an advisory capacity in matters related to campus parking and traffic control. The Committee is appointed by the President of the University of Kentucky and reports to the Vice President for University Relations. Committee membership shall be comprised of individuals from the faculty, staff, administration, and student body. The chairperson and ex officio members shall be designated by the President. The Committee members other than those with student or ex officio status normally shall have staggered three-year appointments.

The Parking and Traffic Control Committee is charged with the responsibility of:

A. Formulating and recommending new policies and procedures on parking and traffic control;

B. Reviewing and recommending, where appropriate, changes in existing parking and traffic regulations;

C. Reviewing and recommending, where appropriate, standard procedures for dealing with violators of University parking regulations; and

D. Recommending long-range plans for parking and control for the University.

The Committee is responsible for an annual report and, on request, special reports to the Vice President for University Relations.

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PARKING VIOLATION APPEALS COMMITTEE

The Parking Violation Appeals Committee shall consider appeals of parking citations issued for violation of University parking regulations. The Committee is appointed by the President of the University of Kentucky and reports to the Vice President for University Relations or an administrator designated by the Vice President. Committee membership shall be comprised of individuals from the faculty, staff, administration, and student body. The chairperson and ex officio members shall be designated by the President. The Committee members other than those with student and ex officio status normally shall have staggered three-year appointments.

The specific charges to the Parking Violations Appeals Committee for faculty, staff, students, and visitors are to:

A. Review at regularly scheduled intervals all written and oral appeals of parking citations submitted by faculty, staff, or students of the University or visitors to the University;

B. Sustain or deny such appeals through interpretation of the parking rules and regulations as set forth in the Motor Vehicle, Traffic and Parking Regulations as established by the Board of Trustees of the University, and give notification of the action taken to each appellant; and

C. Recommend to the Parking and Traffic Control Committee, when appropriate, changes in the current parking and traffic regulations based on experience and knowledge gained through the functions of the Appeals Committee.

The Committee is responsible for an annual report and, on request, special reports to the Vice President for University Relations.

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STUDENT ADVISORY COMMITTEE ON THE UNIVERSITY OF KENTUCKY HOUSING AND DINING SYSTEM

The role, composition, appointment procedures, and requirements for meetings and reports of the Student Advisory Committee on the University of Kentucky Housing and Dining System are as follows:

I. Role

The Student Advisory Committee on the University of Kentucky Housing and Dining System shall advise the Vice Chancellor for Administration for the Lexington Campus on matters relating to the University of Kentucky Housing and Dining System. The Committee shall provide input and advice on topics such as menu and price changes, student contract rate adjustments, facilities management, and other aspects of the Housing and Dining System.

II. Composition and Appointment Procedures

The Committee shall be composed of voting student members and nonvoting ex officio administrative staff members.

There shall be eight student members: four nominated by the President of the Student Government Association and four nominated by the Dean of Students. All appointments of student members shall be made by the Chancellor for the Lexington Campus for a period of one year, subject to reappointment. A chairperson and a secretary shall be elected by the Committee at its first meeting after September 1 each year.

The Chancellor for the Lexington Campus also shall appoint ex officio administrative staff members including the following: Director of Auxiliary Services, Director of Housing, and Director of Food Services.

III. Meetings

The Committee shall meet at least once per semester and, upon request of the Vice Chancellor for Administration for the Lexington Campus, hold special meetings. The agenda of regular meetings shall be distributed in advance to the members of the Committee. The agenda also shall be publicized on campus to encourage students to attend meetings and to present suggestions or complaints. Any interested person in the University Community may attend regular or special meetings of the Committee.

IV. Reporting

The Committee shall report regularly to the Chancellor for the Lexington Campus through the Vice Chancellor for Administration for the Lexington Campus. Copies of such reports, as well as copies of minutes of meetings, shall be submitted to all student and ex officio members of the Committee.

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BOARD OF STUDENT MEDIA

The charge for the Board of Student Media is provided in AR II-8.0-1.

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COMMITTEE ON INTERNATIONAL STUDENTS

The Committee on International Students is appointed by the Chancellor for the Lexington Campus of the University of Kentucky to advise and, at the Chancellor's request, assist the Director of the International Student Office in efforts to integrate foreign students into the campus and larger community. The Committee also shall consider any special problems and proposals relative to international students which are referred to it by the Vice Chancellor for Student Affairs for the Lexington Campus who is administratively responsible for the International Student Office and nonacademic student affairs.

The Committee reports to the Vice Chancellor for Student Affairs for the Lexington Campus. Committee membership shall be comprised of individuals from the faculty, staff, administration, and student body. The chairperson and ex officio members shall be designated by the Chancellor for the Lexington Campus. The Committee members other than those with student or ex officio status normally shall have staggered three-year appointments.

In carrying out its responsibilities, the Committee shall consult with and make recommendations to all units of the University which are involved in the problems of foreign students such as admissions offices, the Housing Office, and the academic units. The Committee, in accordance with criteria and guidelines proposed by the Committee and approved by both the Vice Chancellor for Student Affairs for the Lexington Campus and the Chancellor for the Lexington Campus, also shall recommend to the Director of the International Student Office on recipients of University scholarships for international students.

Other concerns or matters on which the Committee may advise or make recommendations shall include, but not necessarily be limited to, the following:

A. The establishment of the organizational responsibility and operations of the International Student Office;

B. The number, preparation, and origin of foreign students at the University, and related admissions policies and procedures;

C. The general welfare of foreign students and their integration into the University and larger community;

D. The assistantships, loans, and non-scholarship awards for foreign students; and

E. The systematic involvement of foreign students in communicating knowledge regarding their countries and cultures to other students, faculty, and the community.

The Committee is responsible for an annual report and, on request, special reports to the Vice Chancellor for Student Affairs for the Lexington Campus.

COMMITTEE ON STUDENT FINANCIAL AID

The Committee on Student Financial Aid shall serve as an advisory and policy-recommending body in matters relating to student financial aid. In addition, the Committee is charged with the specific responsibility of making recommendations to the Director of Student Financial Aid on the approval of athletic grants-in-aid and on all dismissals of student athletes from grants-in-aid. Although the Committee may offer specific advice to the Director of Student Financial Aid and other administrative officers, it is generally accountable to the Vice Chancellor for Student Affairs for the Lexington Campus.

The Committee is appointed by the President of the University of Kentucky and reports to the Vice Chancellor for Student Affairs for the Lexington Campus. Committee membership shall be comprised of individuals from the faculty, staff, administration, and student body. The chairperson and ex officio members shall be designated by the President. The committee members other than those with student or ex officio status normally shall have staggered three-year appointments.

The Committee is responsibile for an annual report and, on request, special reports to the Vice Chancellor for Student Affairs for the Lexington Campus.

EQUAL OPPORTUNITY PANEL

The Equal Opportunity Panel shall provide advice on all University-wide matters of equal opportunity. The Panel is appointed by the President of the University of Kentucky and reports to the Vice President for Administration. Panel membership shall be comprised of individuals from the faculty, staff, administration, and student body. The chairperson and ex officio members shall be designated by the President. The Panel members other than those with student or ex officio status normally shall have staggered three-year appointments.

The specific responsibilities of the Equal Opportunity Panel are to:

1. Review and assess affirmative action plans that insure equal opportunity throughout the University;

2. Facilitate the development and implementation of affirmative action programs in all University affairs; and

3. Design general ways that can assist University administrators and supervisors in exercising their responsibilities for the performance of functions to assure equal opportunity. These officers have operational responsibilities for the achievement of the University's goals for equal opportunity in academic, auxiliary, supporting, and other aspects of institutional operation.

The Equal Opportunity Panel shall meet at regular intervals during the academic year or at the call of the chairperson. The Panel shall be responsible for an annual report and, on request, special reports to the Vice President for Administration.

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