MINUTES

Meeting of the Board of Trustees
University of Kentucky
June 14, 2005
1:00 P.M.
18th Floor Patterson Office Tower

**Minutes**

**Accompanying materials:**

**President's Report and Action Items**

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| PR 1 | President's Report to the Trustees |
| PR 2 | Personnel Actions |
| PR 3 | Proposed Amendment to the Governing Regulations |
| PR 4 | Administrative Regulation Revision |
| PR 5 | Reappointment of Board of Directors University of Kentucky Research Foundation |
| PR 6 | Reappointment to Board of Directors of the Fund for Advancement of Education and Research in the University of Kentucky Albert B. Chandler Medical Center |
| PR 7 | Agreement between University of Kentucky and Kentucky Medical Services Foundation |
| PR 8 | Feasibility Study for Retirement Community at Coldstream |

**Special Committee for Governing Regulations**

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| SCGR 1 | Proposed Revisions to the Governing Regulations |
| | GR I, GR II, GR III, GR IV, GR V, GR VI, GR VII, GR VIII, GR IX, GR X, GR XI, GR XII, GR XIII |

**Academic Affairs Committee Report**

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|---|---|
| AACR 1 | Change of Name and Organizational Structure of the Center for Women's Health |
| AACR 2 | Change in Name of Degrees |
| AACR 3 | Change in Name of an Educational Unit |
| AACR 4 | Change in Name of a Degree |
| AACR 5 | Doctor of Physical Therapy Degree |
| AACR 6 | Master of Arts in Teaching World Languages |

## Finance Committee Report

FCR 1 Anonymous Gift to the College of Law

FCR 2 Anonymous Gift to the Pediatric Exercise Physiology Laboratory

FCR 3 Christine D. Luckett Estate Gift

FCR 4 Melvin Godby and Tim Williams Pledge

FCR 5 Kent Taylor Pledge

FCR 6 Mrs. Louisiana Wood Simpson Gift-in-Kind

FCR 7 Gifts and Pledges to the John R. Mink Chair for Pediatric Dentistry and Oral Health Research

FCR 8 David and Andrea Jacobs Pledge

FCR 9 Consol Energy, Inc. Gift-in-Kind

FCR 10 Stephen Branscum Pledge

FCR 11 Automsoft International Gift-in-Kind

FCR 12 Gifts and Pledges to the Patrick P. Deluca Pharmaceutical Technology Professorship

FCR 13 Ashwini Anand, M.D. Gift and Pledge

FCR 14 Report of Leases

FCR 15 Approval of Leases

FCR 16 Authorization to Acquire Properties for Construction of Parking Garage Associated with the Patient Care Facility Project

FCR 17 Capital Projects

FCR 18 A Resolution of the Board of Trustees of the University of Kentucky Authorizing the Issuance of Approximately $11,370,000 of University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series U, to be Dated the First Day of the Month in which the Bonds are Sold

FCR 19 Disposal of Personal Property

FCR 20 2006-08 Capital Request

FCR 21 2005-06 Operating and Capital Budget

## Student Affairs Committee Report

SACR 1 Code of Student Conduct Revision

Top 20 Business Plan presentation

2005-06 Operating and Capital Budget presentation

Minutes of the Meeting of the Board of Trustees of the University of Kentucky, Tuesday, June 14, 2005.

The Board of Trustees of the University of Kentucky met at 1:00 p.m. (Lexington time) on Tuesday, June 14, 2005, in the Board Room on the 18th Floor of Patterson Office Tower.

A. Meeting Opened

Mr. James Hardymon, Chair, called the meeting to order at 1:03 p.m. and asked the secretary of the Board, Ms. Elaine Wilson, to call the roll.

B. Roll Call

The following members of the Board of Trustees answered the call of the roll: Mira Ball, Stephen Branscum, Marianne Smith Edge, Ann Haney, James Hardymon (Chair), Michael Kennedy, Pamela May, Billy Joe Miles, Roy Moore, Phillip Patton, Steven Reed, Frank Shoop, Alice Sparks, Myra Leigh Tobin, JoEtta Wickliffe, Billy Wilcoxson, Russ Williams, Elaine Wilson, and Barbara Young. Absent from the meeting was Rachel Watts Webb. The university administration was represented by President Lee T. Todd, Jr., Interim Provost Scott Smith, Executive Vice President for Finance and Administration Frank Butler, Executive Vice President for Health Affairs Michael Karpf, Executive Vice President for Research Wendy Baldwin, and General Counsel Barbara W. Jones.

Members of the various news media were also in attendance. A quorum being present, the Chair declared the meeting officially open for the conduct of business at 1:04 p.m.

C. Consent Items

Mr. Hardymon said the Minutes, PR 2, and FCRs 1 through 14 were consent items on the agenda. He asked if there were any questions or comments about the consent items. Ms. Sparks moved approval. Her motion, seconded by Ms. Haney, carried without dissent. The consent items follow:

Minutes – May 10, 2005
PR 2 Personnel Actions
FCR 1 Anonymous Gift to the College of Law (Consent)
FCR 2 Anonymous Gift to the Pediatric Exercise Physiology Laboratory (Consent)
FCR 3 Christine D. Luckett Estate Gift (Consent)
FCR 4 Melvin Godby and Tim Williams Pledge (Consent)
FCR 5 Kent Taylor Pledge (Consent)
FCR 6 Mrs. Louisiana Wood Simpson Gift-in-Kind (Consent)
FCR 7 Gifts and Pledges to the John R. Mink Chair for Pediatric Dentistry and Oral Health Research (Consent)

FCR 8 David and Andrea Jacobs Pledge (Consent)
FCR 9 Consol Energy, Inc. Gift-in-Kind (Consent)
FCR 10 Stephen Branscum Pledge (Consent)
FCR 11 Automsoft International Gift-in-Kind (Consent)
FCR 12 Gifts and Pledges to the Patrick P. Deluca Pharmaceutical Technology Professorship (Consent)
FCR 13 Ashwini Anand, M.D. Gift and Pledge (Consent)
FCR 14 Report of Leases (Consent)

D. President's Report

President Todd recognized Mary Margaret Colliver, University Public Affairs Director, who had been on medical leave due to a serious accident crossing Limestone Street after leaving work one evening. He said it was good to have her back on campus. The Board gave Ms. Colliver a round of applause.

President Todd called attention to the following items in PR 1:

A record 6,272 students were awarded bachelors, master's, doctoral, and professional degrees at Commencement on May 8 at Rupp Arena.

Various members of the administration recently spent eight days touring more than 20 Kentucky cities as part of "The Dream Tour." A new initiative, "The Commonwealth Collaboratives" that directly engages UK faculty and student researchers in helping solve some of the state's most intractable problems, was unveiled during the tour. President Todd said the tour was delightful, and he praised Vice President Terry Mobley and his staff for their good work in orchestrating the tour.

Several university representatives accompanied Governor Ernie Fletcher to World Expo 2005 in Japan in mid-May. The university was asked to host a luncheon during Kentucky week. There were 52 Japanese men in attendance at the luncheon. President Todd praised Dr. Baldwin, Professor Eric Grulke, and Professor Kozo Saito for their great work in planning the event. Professor Everett McCorvey provided entertainment, and the audience was very touched by his Stephen Foster medley.

Kentucky moved from 33rd to 30th in national rankings of federal spending by the National Science Foundation from 2001 to 2002. UK moved from 31st to 28th in public universities and is making progress in the right direction.

Two UK students, Michael T. Davidson and Karla Conn, have received prestigious National Science Foundation Fellowships with a value of $100,000.

The College of Public Health graduated its first class of doctoral students at Commencement. President Todd read an e-mail from Dean Steve Wyatt stating

that the college has received full accreditation for five years. This is an amazing result, considering it is the first time the college has been visited by an accrediting body. The college is an amalgamation of existing services that did not cost the university any money. This is a great accomplishment in such a short period of time.

UK's research awards were up by 14.7 percent at the end of April, and at the end of May, they were up 17 percent over last year. This will be another record year in research. President Todd said that he was very proud of Dr. Baldwin and her staff for their accomplishments.

President Todd encouraged the Board to read the other good items in the report.

Report on Top 20 Business Plan

President Todd provided an update on the Top 20 Business Plan by making a slide presentation. He said that his report is an explanation of the process.

The university contracted with the Stillwater Group through a Request for Proposal process to develop a business plan. When HB 1 was passed, the university was given the mandate to become a major comprehensive research university ranked nationally in the top twenty public universities. The university was given the goal without the path to achieve it. This business plan will create the path. The university's staff is working with the Council on Postsecondary Education to assure UK is in alignment with the state's public agenda.

Meetings to discuss the objectives, design, and implementation of the business plan have already taken place. This will be a campus-wide plan. Ernie Yanarella, Chair of the Senate Council, attended three meetings in one day. His meetings involved three different groups that he had associations with on campus.

The initial phase will be to determine UK's present competitive position and the gap necessary to achieve Top 20 status. Only public institutions that have at least $20 million in annual federal funding are included in the analysis. Four domains of competitiveness have been identified: undergraduate education, graduate education, faculty recognition, and sponsored research. The multi-dimensional nature of a university of this size needs to be taken into consideration. This will give the university a way to plan for each of the initiatives, by breaking down the tasks into those four categories.

Rankings are subjective. The mandate in HB 1 did not state exactly what that one sentence meant, and the staff has been working on that definition. Data are sometimes hard to get. It takes the federal government a while to determine the numbers, but the numbers presented on research by UK can be used because they are independently verified.

The impact of UK's land grant mission and outreach is one that is difficult to measure. "The Commonwealth Collaboratives" will try to put measures there. UK will be approaching outreach differently from any university in America in an effort to figure out how to measure and gauge outreach to make sure UK is making progress.

Attaining Top 20 status is a process and is not an end in itself. Some people have suggested that this mandate be put aside, especially during these last three years with tight budget times, but the university needs to be going forward. It needs to be in the process of thinking about those institutions that it wants to emulate, working on a daily basis to get to that position. The process is very important right now, and the university is making headway.

The university marketplace is highly competitive. Other universities are on the move as well. It is a zero sum game, and for UK to move up in rankings, another university must move down. There are at least 100 universities wanting to be in the top twenty. Some changes are slow, and it takes time. These are cautions that the consultants have brought forward, although some of the university's measures tracked show good progress.

President Todd summarized the development of the business plan as follows:

Analysis of UK's current competitive position.
Identification of strategies to close the gap between UK's current position and Top 20 status.
Determination of source and amount of funds necessary for investment.
Selection of measures of public engagement.
Preparation of the long-range business plan.

He reiterated that the process is inclusive. The Stillwater Group has met with President Tom Layzell and his entire Council on Postsecondary Education (CPE) staff to talk about the process. CPE is very pleased with the openness of UK's process. He noted that the university is keeping the state abreast of the process as well.

E. Proposed Amendment to the Governing Regulations (PR 3)

President Todd reported that PR 3 involves a change in the Governing Regulations. The amended Governing Regulations were submitted to the Board at its previous meeting for consideration. In compliance with the university's regulations, the amendment has been on the table for 30 days and is now coming to the Board for final action. He recommended that PR 3 be approved. Mr. Patton moved approval. His motion, seconded by Mr. Branscum, carried without dissent. (See PR 3 at the end of the Minutes.)

F. Administrative Regulation Revision (PR 4)

President Todd said that PR 4 is a revision to the Administrative Regulations. This recommendation brings lecturers more in line with the prevailing standards within the university. He asked Interim Provost Smith to comment on the revision.

Dr. Smith explained that this is a change that requires Board action because it establishes a new academic title series of senior lecturer, and the Governing Regulations specify that this be approved by the Board of Trustees. The lecturer series, a full-time lecturer, is a solution in part to the SACS issue of excessive reliance on part-time instructors. Full-time lecturers are an important part of the faculty in the academic community, and this and other measurers, including extending full benefits to lecturers, is a way of elevating the status of that particular position. This specific action is to create a senior lecturer position and make lecturers eligible for two-year terms of appointment rather than one-year terms as now exists.

Mr. Hardymon pointed out that this recommendation was reviewed at an earlier committee meeting that morning. It was not an agenda item or a vote item at the committee meeting. Many Board members attending the meeting had quite a bit of discussion on it. He called for a motion. On motion made by Ms. Sparks, seconded by Ms. Ball and carried, PR 4 was approved. (See PR 4 at the end of the Minutes.)

G. Reappointment of Board of Directors University of Kentucky Research Foundation (PR 5)

President Todd said that PR 5 is a recommendation that the Board approve the reappointments of Trustee Pamela May for a three-year term and public member Henry Jackson for a three-year term to the Board of Directors of the University of Kentucky Research Foundation. Mr. Shoop moved approval. His motion, seconded by Ms. Haney, carried without dissent. (See PR 5 at the end of the Minutes.)

H. Reappointment to Board of Directors of The Fund for Advancement of Education and Research in the University of Kentucky Albert B. Chandler Medical Center (PR 6)

President Todd said that PR 6 is the recommendation for approval of the reappointment of Carol Farmer for a two-year term to the Board of Directors of The Fund for Advancement of Education and Research in the Chandler Medical Center. Ms. Ball moved approval. Ms. Smith Edge seconded her motion, and it carried without dissent. (See PR 6 at the end of the Minutes.)

I. Agreement between University of Kentucky and Kentucky Medical Services Foundation (PR 7)

President Todd asked Mr. Butler to comment on PR 7.

Mr. Butler reported that PR 7 is the annual review of the contract with Kentucky Medical Services Foundation, which is the group that bills and collects professional fees for physicians at the Medical Center. He noted that a summary of the revisions was in the background information and stated that there were no major changes in the agreement. These are annual adjustments to the contract.

Mr. Hardymon called for a motion of approval, and Ms. Tobin moved approval. Mr. Williams seconded her motion, and it carried without dissent. (See PR 7 at the end of the Minutes.)

J. Feasibility Study for Retirement Community at Coldstream (PR 8)

President Todd said that PR 8 is a recommendation regarding the feasibility study for the retirement community at Coldstream. He recognized Dr. Jack Blanton, who had been helping with this effort, and asked Ms. Sparks, Trustee representative on the Task Force, to make a report.

Ms. Sparks thanked Mr. Hardymon and President Todd for allowing time for the report. She said that it is a very important issue and began her report.

In the last three or four years the concept of a retirement community attached to a university has become very popular. There are now at least 50 university-related developments around the country.

In the Southeastern Conference alone, the University of Florida has opened a facility in Gainesville this past year, and Alabama has a retirement community under construction on its campus at Tuscaloosa. Louisiana State University and Vanderbilt University are also studying the possibilities.

Why are universities developing retirement communities? There are several reasons.

- The flurry of activity in college towns offers the chance for a stimulating retirement and lifelong learning opportunities not easily found in traditional retirement settings.

- Attracting affluent alumni and friends of the university back to campus offers opportunity for cementing relations with these important groups and providing an enhanced means of fundraising.

- For land grant institutions, the development of a retirement community provides an additional way to meet the university's service obligations to the general public.

- For research institutions, the health and well-being of the residents of a "different kind" of retirement community offers an opportunity for geriatric research. Such a facility at Coldstream can enhance UK's national reputation as a research Center on Aging.

- And for all colleges and universities, senior citizens can enrich the lives and learning opportunities for students and faculty when they are integrated into university life.

Last September Dr. Blanton, who is chair of the Task Force, made a presentation to this Board at Dr. Todd's request, asking the Board to approve the mailing of a request for proposal inviting developer-operators to submit proposals for a retirement community on Coldstream Farm.

To refresh the Board's memory a little bit, there are 192 acres of Coldstream west of the bounded area for the research park undesignated for future use. We are not trying to develop any part of Coldstream that could be used for research facilities. Currently, the College of Agriculture has its dairy herd and its poultry facility on this 192 acre tract. The poultry facility will remain where it is, and the dairy herd will be relocated in collaboration with the dairy program at Eastern Kentucky University. The retirement community will likely take up 80 to 100 acres.

The concept that is envisioned for Coldstream is a Continuous Care Retirement Community. It will include patio homes and apartments for independent living and apartments for assisted living, and it will provide single rooms for skilled nursing care, including rooms for patients with various forms of dementia, including Alzheimer's. The number of units and the pricing schedule for each at this time is undetermined because these numbers will be established with finality following extensive research by the developer-operator.

Further, the concept for this facility contemplates what is known as Life Care Contract. This concept is new to Kentucky, with only one retirement facility in Louisville offering such a contract. The plan for Coldstream is that residents with the standard contract could move from independent, to assisted, to nursing home care without an increase in price. The front-end purchase price of the contract will be established actuarially to provide for the increased cost as residents move along the continuum from independent living to skilled nursing care.

In addition, the operator will offer a 50 percent return or a 95 percent return of the resident's initial purchase price to the resident's estate at the time of his or her death if the resident pays a premium on the front end for such a remittance. There will be a monthly fee to cover maintenance, cleaning, lawn care, a limited number of meals, transportation, etc. The fee will, of course, be subject to inflationary increases, which everyone can understand. The resident at no time will have an equity interest in the property, just as the developer-operator will have no equity interest in the property. Title will always remain with the university.

The university sent out its request for proposal (RFP) in late January to a large number of retirement home developers and operators. Only two responses were received, and the Task Force believes that the low response rate is attributable to the fact that it wisely noted preference would be given to those who had experience developing retirement communities in conjunction with universities, and the fact that UK is putting no money into this endeavor. That is really important. The development and operating costs will be entirely borne by the developer-operator, which was one of President Todd's requirements.

One of the two proposals received was from The Praxeis company out of Jacksonville, Florida. Praxeis is the developer and operator of the facility built in conjunction with the University of Florida at Gainesville known as Oak Hammock. The other proposal was a joint venture between CRSA, Memphis, Tennessee, and Miller-Valentine, Dayton, Ohio. CRSA has been responsible for the development at Pennsylvania State University and the facility presently under construction at Tuscaloosa, Alabama known as Capstone Village.

President Todd named an evaluation committee to review the two proposals and select the firm to proceed with the development at Coldstream. On behalf of Dr. Blanton and the Board, Ms. Sparks thanked the members of the committee for their time and effort. Other members of the committee are:

Jack Blanton, who serves as a special assistant to the President
Professor Greg Brock, Department of Family Studies
Frank Butler, Executive Vice President for Finance and Administration
Stan Key, Director for Alumni Affairs
Dr. Sam Matheny, Chair of the Department of Family Medicine
John Park, Executive Director for Coldstream
Jean Peaval, retired professor representing the Association of Retired Faculty
Bob Wiseman, Associate Vice President for Facilities Management
Dean Allan Vestal, College of Law

The following staff members also represented the university:

Bill Harris, Director of Purchasing
Naomi Emmons, Central Purchasing Manager
Marc Mathews, Controller
T. Lynn Williamson, Legal Office

This group reviewed each of the proposals in detail. They followed up with getting recommendations from various sources. A team of four visited the facility in Gainesville. Ms. Sparks reported she had the opportunity to go to Tuscaloosa and see their facility under construction.

The Board action that the President is bringing today is one of two actions that the Board will be asked to consider, providing this project is approved.

The first objective of the developer will be to conduct a series of studies to determine the feasibility of the project. This will include demographic studies, market studies, legal reviews, sales efforts, etc. to establish the degree of certainty for success of the project. A memorandum of agreement between UK and the developer will encompass the first phase as noted in the Board action.

If, at the conclusion of these initial studies by the developer, Praxeis is persuaded of the feasibility of this development, the Board will be asked to enter into a long-term ground lease of no more than 50 years with a non-profit corporation that will be formed to oversee the development and issue tax-free bonds to provide funds necessary to construct the facility. The total cost of the facility is estimated to be in the $90 million to $100 million range with construction costs in the $75 million to $80 million range. It is expected that the project will provide for an estimated 400 residents with an annual operating budget of approximately $15 million. It is expected that no fewer than 100 persons will be employed at the site.

The independent nonprofit foundation that will be formed will in turn sublease the acreage for the site to Praxeis. The reasons for the independent foundation are several: (a) to build a wall between this board and the foundation so as to protect the university from any liability that might result from the development; (b) to serve as the legal instrumentality for the issuance of tax-free bonds, and (c) to oversee the development and operation of the facility. It is really important that someone is working with the developer so it is the university's community, too, and not just the developer's.

Membership on the Foundation Board will consists of persons not affiliated with the university but who are good, close friends of UK with an interest in the retirement community. The Foundation Board will also have persons affiliated with the university, but they will be in a minority. This arrangement gives the Foundation Board the independence it needs for legal separation from UK, yet it allows for the desired ties with the university. The Board will play a key role in decisions relating to the construction and operation of the retirement community. In effect, it will oversee the development and operation of the facility and have a key role in determining most policy matters of governance pertaining to the retirement village.

The Praxeis company is anticipating, and in fact expecting, close ties with the university. The retirement village would provide transportation to campus and back to the retirement community throughout the day to such university events as musical concerts, art exhibitions, athletic competitions, drama events, special lecturers, and scheduled classes. It is expected that the residents of the retirement community will have a great deal to contribute that will enrich lives of students and faculty on campus and vice versa. This is what makes Coldstream unique and what has attracted the Praxeis company to UK.

There will be an economic return to the university through the foundation. Terms will be worked out to provide a lease fee for the acreage the project eventually takes up. Also, there will be a return to the university based on the number of living units and the occupancy rate. These sums will be determined and presented to the UK Board when the Task Force returns with the second and final phase of the contract and ground lease once it is quite certain the project will go forward.

As for the timetable, there is very likely a four-year time line between today and move-in. In August 2009 the Task force would expect the first residents to move into the Coldstream Continuous Care Retirement Community. The average age of the resident population is estimated to be 78, and it is expected that the minimum age for eligibility to be between 62 and 65.

Ms. Sparks said, in her opinion, this is one of the most exciting issues presented to the Board in her six-year tenure. She said that she appreciated President Todd's interest in bringing this to the Board, and she certainly hoped the Board would approve it. She said that she or Dr. Blanton would be happy to answer any questions.

Mr. Wilcoxson said that he was the one that made the initial motion to approve the project, and he still approves of the project. He said his main concern is the placement of the facility on the Coldstream property. The location recommended appears to be on an expensive piece of property at Coldstream. He asked if anyone had looked into whether the recommended property is the most expensive property there that could possibly generate income for the university in the future.

Dr. Blanton displayed a map of the Coldstream property. He agreed with Mr. Wilcoxson that it is probably the most valuable piece of property there; however, it is very likely the project will go there. He reported that a housing development had started, and the value of that land today is estimated to be in the $50,000 range per acre. The problem is that the LFUCG Planning Commission said the only thing that they would consider at this time for this property is residential. There is, of course, a longtime horizon, and no one knows what will happen in the future.

Dr. Blanton said, in his opinion, the nursing home facility would be comparable to residential property. When you take all of the facts into consideration, this is a pretty good decision for that property. Obviously, if the university could get commercial zoning out there, it would have a higher value. The Planning Commission said that as they look at the comprehensive land use plan for the community, it is just not in the cards at this time. That is not looking into the future.

Dr. Blanton explained that the recommendation before the Board today is to have the Praxeis company study this acreage and show exactly where everything will be, such as how many units will be built of each type, the charges for those units, and any other pertinent kind of facts. That would then be a part of the lease agreement that would go from the Board to the independent foundation. He explained that there will be one more opportunity for the Board to consider this project; however, the Board must act in good

faith. By this he means that if Praxeis comes back and says this is feasible, then to pull the rug out from under them would not be a good thing to do.

Mr. Wilcoxson said that he did not want to pull the rug out from under them, but he did want the Board to make the right decision on placing the facility and the value because the Board is using a pro forma on what this entity is going to generate for the university. There are no guarantees whatsoever, and the Board should make sure that what property is left will have some valuable use in the future.

Dr. Blanton agreed that it is pro forma and there are no guarantees. He said he could not agree more about the property having some valuable use in the future. He reiterated that there would be one more full review of this project when it comes back to the Board. He said he did not know how long that would take. If the Board comes to some different conclusions, then feel free to do so, but the Board is acting in good faith with the Praxeis company.

Mr. Miles said he had a lot of respect for Ted Bates, a former Board member, and Mr. Bates has opposed this retirement facility since the beginning of the research park. He asked how the Board decided that this property could never be used as a research park.

Dr. Blanton said that he did not think the Board had decided that it would not be a research park. When the Board established the boundaries of the research park, it saw that as its potential growth to the foreseeable future, but again, nobody can predict the future. Some day it might be needed for a research park, but in the meantime, it would not be making any return to the university in terms of its economy.

Mr. Patton asked for clarification regarding Dr. Blanton being told that it is doubtful the university could use it to build research buildings.

Dr. Blanton said that unless the political fortunes and public fortunes of the community change, that is exactly right.

Mr. Wilcoxson pointed out that few people would have thought that every council member would have voted to close Rose Street. He is just saying that there is a possibility.

Ms. Ball stated that she understood that the Board is just approving a feasibility study, and the Praxeis company will pay for the study.

Dr. Blanton concurred with Ms. Ball's understanding.

Mr. Harydmon called for a vote on PR 8, and Mr. Williams moved approval. Dr. Moore seconded the motion, and it carried without dissent. (See PR 8 at the end of the Minutes.)

K. Proposed Revisions to the Governing Regulations (SCGR 1)

Ms. Ball, Chair of the Special Committee for the Governing Regulations, said that the proposed revisions to the Governing Regulations were discussed at the last Board meeting, and they are on the agenda this time for approval. She moved approval of SCGR 1. Mr. Shoop seconded her motion, and it carried without dissent. (See SCGR 1 at the end of the Minutes.)

Mr. Hardymon asked Ms. Ball to give her report on The Fund for Advancement of Education and Research in the University of Kentucky Medical Center, which is under other business at the end of the agenda.

Ms. Ball reported that The Fund Board met on June 6 to review the financial statements, to appropriate balances, and to approve the 2005-06 Operating Budget. The Fund is in excellent condition and continues to grow each year. The past audit showed that it grew by $1.1 million, and the balance for the nine months is exactly $11,400,000.

Mr. Hardymon reminded the Board of the annual reports for various boards and affiliated corporations of the university that are available at this time of year. According to the regulations, the Board is to receive these annual reports. He noted that a report was given at the last Board meeting, and by spreading the reports out over several meetings, it will avoid having all of the reports at the September meeting.

L. Change of Name and Organizational Structure of the Center for Women's Health (AACR 1)

Ms. Sparks, Chair of the Academic Affairs Committee, said that AACR 1 is the change of name and organizational structure of the Center for Women's Health. The most significant part of this change is that the administrative oversight has been transferred to the dean of the College of Medicine.

This recommendation has gone through the proper channels within the university and received approval. The Interim Provost supports it as does the Academic Affairs Committee. She moved the adoption of AACR 1. Ms. May seconded her motion, and it carried without dissent. (See AACR 1 at the end of the Minutes.)

Mr. Hardymon pointed out that the AACRs are very important items and involve a lot of work to get to the Board. He said that each item would be acted on individually.

M. Change in Name of Degrees (AACR 2)

Ms. Sparks said that AACR 2 is the recommendation that the Board of Trustees approve a change in the name of the Bachelor of Science in Family Studies with a major in Early Childhood to Bachelor of Science in Education with a major in Interdisciplinary Early Childhood Education and the Master of Science in Family Studies with a major in Early Childhood to Master of Science in Education with a major in Interdisciplinary

Early Childhood Education, effective this fall. These changes are necessary due to the move of the Early Childhood program from the Department of Family Studies in the College of Agriculture to the Department of Special Education and Rehabilitation Counseling in the College of Education.

This recommendation has also gone through the proper channels within the university and received approval. The Interim Provost approves the recommendation, and on behalf of the Academic Affairs Committee, she moved acceptance of AACR 2. Ms. Ball seconded her motion, and it carried without dissent. (See AACR 2 at the end of the Minutes.)

N. Change in Name of an Educational Unit (AACR 3)

Ms. Sparks noted that the AACRs are discussed at length in the Academic Affairs Committee meetings, and a lot of the Board members attend the meetings. AACR 3 is a change in the name of an educational unit in the College of Medicine's Department of Family Practice and Community Medicine to the Department of Family and Community Medicine. This is a result of the American Board of Family Practice changing its name to the American Board of Family Medicine. That board has changed the word practice to medicine, and the university wants to be consistent with national organizations and with the academic family medicine departments throughout the country.

This recommendation has gone through the proper channels within the university and received approval. On behalf of Academic Affairs Committee, she moved approval of AACR 3. Mr. Shoop seconded her motion, and it carried without dissent. (See AACR 3 at the end of the Minutes.)

O. Change in Name of a Degree (AACR 4)

Ms. Sparks said that AACR 4 recommends that the Board approve a change in the name of the College of Health Sciences' Bachelor of Health Science degree in Health Services Management to Bachelor of Health Science Degree in Clinical Leadership and Management. This program has been inactive since the 2001-02 academic year. It was recently moved to the College of Public Health, which in its first year received full accreditation for five years. On behalf of the Academic Affairs Committee, she moved approval of AACR 4. Ms. Haney seconded the motion, and it carried without dissent. (See AACR 4 at the end of the Minutes.)

P. Doctor of Physical Therapy Degree (AACR 5)

Ms. Sparks said that AACR 5 is asking that the Board approve the establishment of a Doctor of Physical Therapy (DPT) Degree program in the College of Health Sciences. The University of Kentucky physical therapy faculty members have carefully considered the national trend and designed a DPT program utilizing its existing strengths and curriculum offerings to provide an efficient and effective program for the Commonwealth and for future students. On behalf of the committee, she moved

approval. Ms. Tobin seconded the motion, and it carried without dissent. (See AACR 5 at the end of the Minutes.)

Q. Master of Arts in Teaching World Languages (AACR 6)

Ms. Sparks said that AACR 6 is very important and very innovative in establishing a Master of Arts in Teaching World Languages degree program in the College of Arts and Sciences. The program provides for certification of teachers in French, German, Latin, Russian, and Spanish, making it the only program in the state that will offer certification in Latin and Russian. The committee discussed the significance of this program at length, especially in the K through 12 schools. On behalf of the committee, she moved approval of AACR 6. Ms. Haney seconded her motion, and it carried. (See AACR 6 at the end of the Minutes.)

R. Finance Committee Report

Ms. Wickliffe, Chair of the Finance Committee, reminded the Board that FCRs 1 through 14 were consent items. She called particular attention to FCR 10 whereby a fellow trustee, Steve Branscum, has made a sizable contribution to the Capital Projects Gift Fund in the UK Athletics Association.

Ms. Wickliffe noted that the gifts and pledges in FCR 1 through 13 total $3,402,771, and of that amount $1,811,432 is eligible for the matching grant.

FCR 14 included three renewals of leases and three new leases. It was a consent item because the leases are under $30,000.

S. Approval of Leases (FCR 15)

Ms. Wickliffe said that FCR 15 is recommending the approval of leases that are in excess of $30,000 in value: five renewals and three new leases. On behalf of the Finance Committee, she moved the adoption of FCR 15.

Mr. Hardymon pointed out that a lease had been added to FCR 15 since the agenda book had been mailed, and the revised copy was distributed at the Finance Committee meeting. He asked that a copy be given to those who did not receive it.

Ms. Tobin seconded Ms. Wickliffe's motion, and it carried without dissent. (See FCR 15 at the end of the Minutes.)

T. Authorization to Acquire Properties for Construction of Parking Garage Associated with the Patient Care Facility Project (FCR 16)

Ms. Wickliffe said that FCR 16 is the authorization to acquire properties for construction of a parking garage associated with the patient care facility. An acquisition through condemnation proceedings is requested for certain properties through the

Eminent Domain Act of Kentucky. The committee discussed the item very thoroughly. On behalf of the committee, she moved the adoption of FCR 16. Ms. Sparks seconded her motion, and it carried without dissent. (See FCR 16 at the end of the Minutes.)

U. Capital Projects (FCR 17)

Ms. Wickliffe said that FCR 17 refers to capital projects. The recommendation is for the Board to approve initiation of ten projects. Nine of the ten have been authorized by the General Assembly as part of HB 267. The university will request interim authorization from the Council on Postsecondary Education and the Capital Projects and Bond Oversight Committee for the design of the Agricultural Research Service facility upon approval by the Board at this meeting. On behalf of the Finance Committee, she moved the adoption of FCR 17. Mr. Branscum seconded the motion, and it carried without dissent. (See FCR 17 at the end of the Minutes.)

V. A Resolution of the Board of Trustees of the University of Kentucky Authorizing the Issuance of Approximately $11,370,000 of University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series U, to be Dated the First Day of the Month in which the Bonds are Sold (FCR 18)

Ms. Wickliffe reminded the Board that FCR 18 had been before the Board previously. There now needs to be a resolution authorizing the issuance of approximately $11,370,000 of consolidated educational buildings revenue bonds. These will be series U, and they will be dated the first day of the month in which they are sold. The proposed date is August 3. The coupon rate should be about 3.96 percent, but the exact percentage will not be known until they are sold. The bonds do have a callable date in 10 years, and there is no premium on these. On behalf of the Finance Committee, she moved the adoption of FCR 18. Ms. Ball seconded her motion, and it carried without dissent. (See FCR 18 at the end of the Minutes.)

W. Disposal of Personal Property (FCR 19)

Ms. Wickliffe said that FCR 19 is the disposal of personal property. The Board is requested each year to authorize the routine disposition of property having a value of less than $10,000. On behalf of the Finance Committee, she moved the adoption of FCR 19. Ms. Tobin seconded the motion, and it carried without dissent. (See FCR 19 at the end of the Minutes.)

X. 2006-08 Capital Request (FCR 20)

Ms. Wickliffe said that FCR 20 is the 2006-08 Capital Request. The Board is required to approve that this request be submitted to the Council on Postsecondary Education. The request must include all capital projects which may be initiated during the upcoming biennial as well as the major equipment purchases and leases. The General Assembly must authorize capital projects costing $400,000 or more, equipment costing $100,000 or more, and leases valued at $200,000 or more. The request includes 553

capital projects, equipment, and leases with an estimated cost of $3 billion. She noted that the items are in priority listing, and President Todd will be going before the General Assembly to talk about them. On behalf of the Finance Committee, she moved the adoption of FCR 20.

President Todd mentioned a brochure that had been distributed at the Finance Committee meeting. There are two purposes for the brochure: to help in presenting the university's top ten priorities to the legislators and to help the Board know the university's priorities when talking to potential legislators. He expressed appreciation to the staff for putting the brochure together and encouraged the Board to review it.

Ms. Haney seconded Ms. Wickliffe's motion, and it passed without dissent. (See FCR 20 at the end of the Minutes.)

Y. 2005-06 Operating and Capital Budget (FCR 21)

President Todd made a PowerPoint presentation on the 2005-06 Operating and Capital Budget. He said that this is an item that is vitally important to the institution. He asked the Board to take the time to read Dr. Yanarella's comment on the budget process which notes some of the accomplishments that have been made. President Todd said that he appreciated Dr. Yanarella's input as well as the input from David Ellis, Chair of the Staff Senate, and Rachel Watts, President of the Student Government Association. He noted that Rachel Watts got married on Saturday night, and her last name is Webb now. He wished her well.

President Todd called attention to the accomplishments that had taken place since 2000. He said that he would not go through them individually because Ms. Angie Martin had gone through them in the Finance Committee meeting. He did, however, note the growth in student enrollment, the improvements in graduation rates, the growth in graduates, the growth in research, and the growth in the medical complex. Given the budget issues between 2000 and the present day, the administration has navigated the waters well. He said he was extremely proud of the faculty, staff, and students for the accomplishments made during that period of difficult times.

When the budget was put together, the administration focused on the faculty and staff, students, and infrastructure. The faculty and staff have had an average 1.3 percent salary increase over the last three years. This budget includes a 4 percent merit salary increase pool as well as money for equity adjustments for staff and a fighting fund for retaining top faculty. The university will also cover most of the health insurance cost which it has tried to do for the last four years. For students, the university has more scholarship funds. Program improvements and classroom improvements are funded in this budget. And on the infrastructure, more money has been put into the IRIS project on campus because the university is woefully inadequate with computing resources. President Todd reported that the project is going very well, and he expressed appreciation to Dr. Phyllis Nash for her leadership in this effort.

The administration projects that this year's freshman class enrollment will decrease from 4,000 to 3,800. Given the lack of ability to expand the faculty at this point in time, that number is being held down, but there has still been substantial growth since 2000.

President Todd said that it is important to note that there have been increases in tuition, but it is also pleasing to note that the university has not closed out accessibility for students from underserved areas. There has been an increase in enrollment from 70 of the 120 Kentucky counties. There has been an increase in enrollment from 19 of the 29 underserved counties. There has been increased enrollment in 32 of the 55 Appalachia counties, and there has been increased enrollment in Pell Grant eligible students. It is up 17 percent, which may be surprising to many people.

The university has held the undergraduate resident population constant, and it is the only university in the state to do that. Other universities have grown with out-of-state students. It is not only the growth that the university has had, but it is the categorical growth that the university has been able to maintain. The administration is pleased with this result.

The size of the freshman class has increased by approximately 1,000 students from the year 2000 to 2004. There have been significant increases in the Governor's Scholars, from 98 to over 300. Valedictorians have doubled in number. The number of students with AP credit is an indicator of the seriousness of those students, and that number has almost doubled since 2000. President Todd said that he had been told that this year's incoming freshman class will be better than any previous class.

The first and second year retention rate has been good. To bring in 1,000 more students and keep retention constant is a good accomplishment because it takes more advising. It takes time from the faculty to nurture some of the new students and to deal with the sheer volume.

UK's graduation rate is the highest in the state. It needs to be a little higher, but it has increased 4.5 percentage points over this time period. With the incoming quality of students, this number should increase.

External grants and contracts have increased 17 percent this year. Federal budgets are not going up 17 percent, especially the NIH budget, which is one that was growing until this year. This is an indication of where the university has more fire power in place. Being more aggressive, hiring a consultant in Washington, and increasing the university's emphasis have paid off. UK is dependent on NIH funding, and that budget is watched very carefully from a federal level.

The university is meeting a lot of the Strategic Plan goals; however, faculty salaries are still low. UK's goal is to get to 90 percent of the benchmarks. There needs to be a 4 to 5 percent annual salary increase the next two years to meet that objective. Hopefully with state support, tuition, and continuing to look for resources internally, we

can fund salary increases. That is a top objective for the administration in order to move up this list.

Hospital revenues are projected to increase from about $300 million in FY2001 to $466 million in FY2006. State appropriation has been reduced as a percentage of the budget to below 19 percent. In absolute dollars, state appropriation is up, but given the growth of the other areas of the university, the percentage is down. Research, athletics, and affiliated corporations have gone up a great deal, both in terms of percentage and absolute dollars. Many people across the state just assume that 50 percent of the money comes from state government. It is important to let people across the state know how many resources are brought into the university in addition to state funding.

The budget can be detailed as follows:

| | |
|---|---|
| Undesignated General Funds | |
| State appropriation | $314,302,600 |
| Tuition | 169,817,800 |
| Other income | 45,419,900 |
| | $529,540,300 |
| Designated General Funds | |
| University Hospital | $466,060,100 |
| Research, Athletics, and Other Affiliated Corporations | 314,144,800 |
| Non-Government Gifts, Grants, and Contracts | 166,209,400 |
| Fees | 47,196,000 |
| Other | 141,707,000 |
| | $1,135,317,300 |
| TOTAL | $1,664,857,600 |

The university looks at the change in revenues and change in expenses when building the budget. The additional state appropriation that is undesignated is $13 million. That amount can be used for salary increases and some operating expenses. UK did get an initial $5.5 million that was earmarked by the state.

As a result of the 12.5 percent tuition increase and an increase in income from investments, the total additional funding is $38 million.

Unfortunately, UK's needs are higher than the available additional funding. The funding needs include salary increases, benefits, and additional scholarship funding.

Even with increased funding for scholarships, UK still has the lowest percentage of its budget in scholarships as compared to its benchmarks. The percentage has almost doubled since 2001. The percentage went from 2.6 to 5.2, and it is making a difference.

Needed program improvements include the IRIS project and other investments that were in the Futures Committee report. There has been a lot of overtime in the Police Department that has not been budgeted, and it is now in the budget. Buildings will now be insured at replacement value. The needs exceed the sources by approximately $2.9 million. The deans and the operating units know this, and the administration will keep watch on this throughout the year.

Ms. Martin pointed out at the Finance Committee meeting that whenever UK takes a hit, the colleges take a disproportionately lower hit, and the rest of the university takes a higher hit. The administration will continue to focus on protecting academics as much as possible.

President Todd said that he is very pleased with the capital projects, especially the new dormitories. UK received $40 million for the Biological Pharmaceutical Complex, which was a lot of work on the administration's behalf with the legislature because the BBSRB was jointly funded (60 percent state, 40 percent university). UK is paying $3.2 million for debt service out of Dr. Baldwin's budget every year for this research building. Other universities ranked higher than UK have had their research buildings paid for externally for 50 years. The state should be paying for the research buildings at least for a period of time until UK can get up to a level of competitiveness. The patient care facility is among the approved capital projects, and this will make a dramatic difference in Kentucky and in the campus.

President Todd said he is pleased with Phase I of the $8.5 million animal diagnostic lab. The chairman and members of the Gluck Equine Board are also very pleased. It was a joint effort with Interim Provost Smith's team to get that earmarked. A second phase is needed to make it the best diagnostic center in the world for livestock and equine.

The student health facility is also in the capital project plans.

The Top 20 mandate is a challenge, and work is being done to determine what it will take to get there. Recruiting and retaining faculty is still an issue. The administration feels that it has been able to position the budget strategically to help retain faculty.

UK still needs to increase its enrollment because we are the smallest of our benchmarks. Being bigger allows you to be more aggressive, but we cannot do it until we really get clarity on the budget going forward.

The administration is trying to keep the balance between affordability and tuition. Last year UK was the fourth best value in the country. We think we are doing a good job of keeping UK affordable. Another $500,000 has been put into need-based scholarships to add to the existing $1,000,000.

The administration is already in the middle of the budget cycle for 2006-07. That session starts in January, and we are putting that information together now. Post-retirement benefits are a tough issue. It is difficult because of the growth in the expense of health care, but it is also difficult with the accounting regulations changing to where you have to recognize this liability on your balance sheet. Committees have been working on this issue. UK will have to make some tough decisions as will many other universities. Many businesses are already beginning to make those decisions because it is hard to take on a liability where you do not see where the pricing is going to go long-term. The administration will be coming back to the Board with resolutions of that problem.

President Todd concluded his presentation by stating that this is a great budget. It is the first time UK has had an increase in state funds since he became president. The university has a debt that it owes to the students that will be graduating in 2020. If Kentucky does not have a top research university, the state will be picking up the crumbs of the new economy, getting the jobs that nobody else wants, and getting the jobs that are just a few years away from going to China. That is the issue. The state must be innovative and make new things here. In order to come up with new ideas, there must be research.

President Todd said from the Dream Tour he learned that the state no doubt has a great athletic I.Q. Everybody in every small town knows exactly why UK needs a top basketball or football team playing on ESPN, CBS, etc. They do not have a research I.Q.

It is UK's responsibility to drive that research I.Q. to the point where there are not questions like those printed in the *Paducah Sun* newspaper editorial chastising UK's president for having had the audacity for having mentioned Kentucky should have a tax increase for education. The editorial board said that it is the president's job to explain to this person out there on a tractor why he should pay more taxes in order for UK to have more funding. President Todd said that people need to be reminded that the tractor today has an air conditioned cabin, and it can be driven with one finger with the hydraulic system that was designed in a research laboratory some years ago. The farmer is spreading fertilizer using the satellite system that his granddaddy did not have when he was putting equal amounts of fertilizer all over the land and either burning crops up or under nourishing some of them.

President Todd said that one real mark of leadership is that you have to sometimes take people to where they need to go whether they know it or not. That is what the state faces. Kentucky needs a top research university. It would be nice if everybody would vote in favor of a tax increase for education. UK is the greatest protector of HB 1, and everyone needs to be pushing that agenda. There was a quid pro quo in HB 1. It stated that the legislative action was going to take the community colleges away from the University of Kentucky, and UK should go forth and become a Top 20 institution. Well quid happened, and the community colleges are gone. We are still waiting and making sure the pro quo happens.

There was cash around for Bucks for Brains for two years for two funding sessions. Fortunately, the legislature bonded it the third time. Three budget cycles, however, will not make a Top 20 institution. Many people can get amnesia, and they do not remember that UK really made the biggest sacrifice for HB 1. It had the promise of the biggest upside. This point has to be hammered and hammered because nobody else is going to carry that for us from an educational institution point of view. UK needs the Council on Postsecondary Education to be as big an advocate as they are a regulator for higher education in this state.

President Todd asked for the Board's support and confidence in the budget. Some tough decisions have been made. This institution is strapped in many measures because of enrollment, because of pressures, and because of some lack of funding. He said that it is working, and he is proud of the accomplishments. All the teams, including the faculty and the staff, have built the budget from a base level, and it will allow the university to keep on its mission.

Mr. Hardymon asked the Board for any comments or questions.

Ms. Wickliffe pointed out that the budget is actually $1,664,857,600. That is a lot of money, and it is a big responsibility for the Board. She encouraged the Board to go through the budget. She said that she had been through it, and there is a wealth of information in it. In reviewing the budget document, it made her stop and think. She said that she wanted to just highlight a few things that President Todd had said. He brought to the Board's attention again that UK is to become a Top 20 public research university by 2020, and that is a lot of responsibility. There is a lot that the people of the Commonwealth are depending upon from the Board. This fall is when the first graders, who will be graduating in 2020, will start school. It is up to the Board to make a place for them to come and have a much better Commonwealth. She said that she would be remiss in her responsibility if she did not bring to the Board's attention that this budget reflects a $12.2 million decrease in the fund balances. On behalf of the Finance Committee, Ms. Wickliffe moved the adoption of FCR 21. Ms. Smith Edge seconded the motion, and it carried without dissent. (See FCR 21 at the end of the Minutes.)

Z. Investment Committee Report

Mr. Wilcoxson, Chair of the Investment Committee, had some bad news to report. The pooled endowment investments had a market value at the end of March of $532 million compared to $503 million in June 2004. The bottom line is, however, that the pooled endowment investments only returned about 5.1 percent during that fiscal year. A bad quarter also ended in March. There was a loss of about 1.8 percent compared to the blended market index of a minus 1 percent for the quarter, and basically that is due to asset allocation.

UK is heavier into the equity market than into any other investments. The equity market did not perform that well during the quarter. Everyone knows that there are peaks and valleys in this kind of business. UK is kind of down in a valley right now, but it will

be alright. UK had a 17.5 percent return last year. It has a 5.1 percent return this year. The committee, the staff, and the consultants continue to do their due diligence and will make the best decisions during the oversight of the endowments. He said he would be pleased to answer any questions.

AA. Student Affairs Committee Report

Ms. Smith Edge, Chair of the Student Affairs Committee, said that the committee brings forth an action item that has not been on the Board agenda for over 30 years. The Student Affairs Committee is recommending that the Board of Trustees approve the revision to the *Code of Student Conduct*. She noted that the Board had received a draft via e-mail in May. The *Code of Student Conduct* is the document in which the Board states the rules, procedures, rights, and responsibilities governing non-academic relationships between the university and students.

Currently, the university operates with a *Code of Student Conduct* that was originally developed in the late 1960s and early 1970s period, which was definitely a different period of time for student unrest than it is today. Over the years, the Code has been changed in a piecemeal fashion, often in response to situations or incidents that did not fit the process or parameters outlined within the Code.

This revision has really been a five-year process. Aggressively, in fall 2002, the Student Code Committee began this review. The Student Code Committee consists of UK students, faculty, and staff that have evaluated the *Code of Student Conduct.*

Ms. Smith Edge reported that there were four meetings of the Student Code Committee from September 2004 through February 2005. Following these meetings, the proposal was presented in mid February to the Student Affairs' President's Roundtable which includes key student organization leaders. During March there were editorials and articles about the proposal in the Kernel. During the month of April, the proposal was placed on the UK web site. There was a broadcast e-mail to all students, faculty, and staff informing them of proposed changes and requesting feedback. The proposal was presented to the Student Government Senate as well as to another student code committee meeting.

In May the initial proposal was presented to the Student Affairs Committee of the Board of Trustees and sent to the Board. The Student Affairs Committee, along with the staff of student affairs, had a detailed meeting to review the draft.

Ms. Smith Edge gave a quick overview of the significant revisions. First of all, it is a student friendly document and geared toward being student friendly. One of the positives is that it really has simplified the disciplinary process. It removes all legal counsel from the process, and any student disciplinary issues are handled by a hearing officer if the student does not admit guilt and/or does not agree with the sanctions recommended by the Dean of Student's Office.

Another revision is the expansion and clarification of university authority. Formerly, sidewalks or streets across from the university were not within the university's realm of jurisdiction for student conduct issues. At this point, university property is defined as all property owned or leased and operated exclusively by the university as well as public sidewalks and streets that are continuous to or in the immediate vicinity of such properties.

The disciplinary regulations also apply to behavior that occurs not only on university property but may also apply to off-campus behavior that is negative to the character and welfare of the university. But this is defined to include any activity sponsored, conducted, or authorized by the university or a registered organization. It also covers conduct that (1) poses a serious threat to the safety, security, or well-being of any member of the university community, (2) involves academic work or the forgery or misuse of any university document, and (3) any conduct that is considered as disorderly or would cause substantial destruction to property belonging to the university or members of the university community. These violations are very well defined, and the committee did talk about this extensively.

Ms. Smith Edge thanked Dr. Pat Terrell, Vice President of Student Affairs, and her staff, especially Victor Hazard, Associate Vice President for Student Affairs and Dean of Students, and Tony Blanton, Associate Dean of Students, as well as Barbara Jones and T. Lynn Williamson, who are in the Legal Office, for moving this item forward. On behalf of the Student Affairs Committee, Ms. Smith Edge moved that the Board of Trustees approve the revision to the *Code of Student Conduct* effective July 1, 2005. Mr. Branscum seconded her motion, and it carried without dissent. (See SACR 1 at the end of the Minutes.)

Mr. Hardymon thanked Ms. Smith Edge and the committee for their work.

BB. University Hospital Committee report

Ms. Young, Chair of the University Hospital Committee, reported that the committee met on the afternoon of June 13. She provided an overview of the meeting to the members of the Board.

The hospital continues to operate at a very high level, a level that is above budget in terms of revenue and at a level that can support proposed expansion. Sergio Melgar presented the April financials at the meeting. Hospital April net patient year-to-date revenue is up $53.15 million or 19 percent, above the previous year-to-date 2004 amount. This is driven both by in- and out-patient revenue. Total operating expenses increased to 18.73 percent, or $52.58 million, compared to last year-to-date April. Income from operations is up $9.6 million over last year's. The year-to-date operating margin is 7.0 percent compared to 5.3 percent at previous year-to-date. Anything over 5 percent is considered very, very good. April was a little weaker than the previous month. Total revenue over expenses was pretty flat in spite of the continued high occupancy and activity rate. Several factors contributed to this, including the fact that the hospital was

feeding back into the college different patient mix and lower reimbursement rate. There does not seem to be any trend, just a normal ebb and flow of business, but it is being tracked closely. The figures for May point to the busiest month in the hospital's history.

The committee also discussed the hospital bed tower expansion. It is now in the very busy planning stages, still deciding on structure, shape, design, location needs, etc. Ellerbe and Becket has been chosen as the architectural firm for the project. They are already working on campus. Ellerbe and Becket is a Minneapolis-based firm, and the firm has designed many of the buildings at the Mayo Clinic.

Ms. Young reported that the City Council unanimously signed off on the closing of Rose Street and the rerouting of Virginia Avenue. The targeted completion date for the Phase I bed tower garage is fiscal year 2010. The garage design is on schedule, and the property acquisition for the garage is near completion. There is only one property in question, and Mr. Murray Clark seems to think that is going to go through.

CC. Executive Committee Report

Mr. Hardymon, Chair of the Executive Committee, reported that the committee has an annual, definite function. That is for the evaluation of the president's performance and for analyzing and suggesting the amount of bonus, per his contract, to the Board. Mr. Hardymon said that he and President Todd had gone over the evaluation materials with the Executive Committee. He reported that the positives were much greater than any negatives. The negatives were items put under the needs-improvement category, and President Todd is interested in working with the Board on those items. The *Herald-Leader* did a good job of covering the committee's meeting. Their story was very thorough and very accurate. The committee has completed its task for this particular project. On behalf of the Executive Committee, he moved that the Board approve the $100,000 maximum bonus allowed by contract for President Todd for his work in 2004-05. Ms. Sparks seconded his motion, and it carried without dissent.

Mr. Hardymon thanked President Todd for the way he had gone through the process with him. He said that it gives a good base for starting next year, and he is looking forward to that opportunity.

Mr. Hardymon reported that President Todd's contract expires June 30, 2006; therefore, it is appropriate at this time for the Executive Committee to recommend to the Board that the Board begin the process of reviewing President Todd's contract.

Mr. Patton made the motion that the process to review the contact begin. He urged Mr. Hardymon, as the Chairman of the Board and because of his experience in the area of hiring CEOs, etc., to start the process of reviewing the President's contract. Ms. May seconded his motion, and it carried without dissent.

Mr. Hardymon assured the members of the Board that he would keep them informed as he moves through the process. It will be the Board's contract to approve, and that is the way it will be handled.

Ms. May asked about the timeframe.

Since President Todd's contract expires June 30, 2006, Mr. Hardymon said that he does not think the Board can wait much longer. He said that he hopes to bring the subject before the Board in September.

DD. The University of Kentucky Research Foundation Report

Mr. Patton reported that the University of Kentucky Research Foundation Board met May 3. He noted that Pam May is the other Trustee member who serves on that Board and then gave his report.

At the May 3 meeting, President Todd reported on the continued research momentum of the university. UK has jumped from 31st to 28th among all public universities. The Commonwealth rose from 33rd to 30th in state rankings. Kentucky has received $191 million in federal awards, with 132 million of that being UK awards.

Dr. Todd also reported on the new $74 million Biomedical Biological Science Research Building. It is the first of its kind in Kentucky and encourages collaborative research. Dr. Todd is working closely with the Governor and the Legislature, proposing that future research buildings be funded with economic development bonds as these projects are so critical to the state's economic development.

The Research Foundation Board was briefed on the new Bluegrass Angel Venture Fund and committed $500,000 to the fund with $1 million being raised from private sources. This venture capital fund will promote the university's technology transfer program and the economic growth.

Dr. Baldwin reported on project awards through April, which were $235 million. She expects awards for 2004-05 to reach $275 million. She advised that there were eleven new license and copyright agreements during the year.

The Research Foundation Board approved the budget for the 2005-06 fiscal year.

Mr. Patton concluded his remarks by reporting that the Board plans to meet again in about six months and continue its focus on research and related economic development.

EE. Resolutions

Mr. Hardymon said that there were three resolutions to be read. He asked President Todd to read the first resolution.

President Todd said the first resolution is in honor of Provost Mike Nietzel. He apologized to the Board and to Dr. Nietzel for not realizing that Dr. Nietzel would not be in town for this Board meeting. He said that he and his staff presented a nice, leaded crystal award recognizing all of the areas of Dr. Nietzel's service to the university to him prior to his departure from the university. President Todd then read the following resolution to be included in the Minutes of this meeting:

> WHEREAS, Michael T. Nietzel has been a member of the faculty of the University of Kentucky since 1973, serving the Department of Psychology in the College of Arts and Sciences, the Graduate School, and the entire university, and
>
> WHEREAS, Professor Nietzel's academic expertise is internationally recognized and honored as indicated by his selection as a Fellow in both the American Psychological Society and the American Psychological Association, and
>
> WHEREAS, Professor Nietzel has been a leader in every academic environment at UK where he has served, including as Director of the Clinical Psychology Doctoral Program for 10 years, chair of the Department of Psychology for 6 years, Dean of the Graduate School for 4 years, and Acting Provost and Provost for 4 years, and
>
> WHEREAS, as the university's principal academic leader, Provost Nietzel has presided over the reorganization of all academic areas of the university, and he has chosen a large number of the university's current academic administrators, including nine new deans and one vice president, and
>
> WHEREAS, Provost Nietzel has guided the establishment of a new UK college, the College of Public Health; initiated UK's first Winter Intersession; developed a four-year graduation contract for students; expanded the UK Honors Program; and cultivated private gifts leading to the establishment of the Tracy Farmer Center for the Environment and the Chellgren Center for Undergraduate Excellence, and
>
> WHEREAS, Provost Nietzel has been chosen as the next president of Southwest Missouri State University,
>
> NOW, THEREFORE, BE IT RESOLVED that the University of Kentucky Board of Trustees thanks Michael T. Nietzel for his exemplary service and outstanding academic contributions to the University of Kentucky and offers its sincerest wishes to him in his new appointment as president of Southwest Missouri State University.

Mr. Shoop moved approval of the resolution. Ms. Sparks seconded his motion, and it passed without dissent.

Mr. Hardymon said that Dr. Nietzel is a great guy and will do well. He called on Dr. Roy Moore to read the next resolution.

Dr. Moore said the second resolution is for Professor Michael Kennedy. Before presenting the resolution, he said he would like to express his personal thanks to Michael because he really has been a mentor to him. Being a faculty Trustee is obviously a tough job, and he has found that out over the past year. Having been on the Board for three years, Michael certainly deserves everyone's thanks. Dr. Moore pointed out that he had heard nothing but very positive comments from other Board members about their work with Michael as well. He said that Michael is more committed to the undergraduate mission of the institution and the teaching than anyone he knows. This resolution is a resolution of the University of Kentucky Board of Trustees honoring Michael Kennedy.

> WHEREAS, Michael Kennedy, an associate professor in the Department of Geography in the College of Arts and Sciences, was elected as a faculty representative to the University of Kentucky Board of Trustees in July 2002, and,
>
> WHEREAS, Professor Kennedy serves as a member of the Board's Executive Committee, Academic Affairs Committee, and Nominating Committee, and
>
> WHEREAS, Professor Kennedy has also served the University of Kentucky in many other capacities, including as a member of the University Senate and the University Senate Council, and
>
> WHEREAS, Professor Kennedy has been an effective and persuasive voice for the interests of the faculty on all issues that have come before this body,
>
> NOW THEREFORE BE IT RESOLVED that the University of Kentucky Board of Trustees sincerely thanks Professor Michael Kennedy for his service on this board and for his service to students, faculty, and the university community as an able and respected faculty member and wishes for him continued success and happiness in his academic career.

Dr. Moore ended his comments by saying, "Add him to the list of distinguished faculty trustees who have served on this Board."

Ms. Sparks moved adoption of the resolution. Her motion was seconded by Ms. Haney and passed without dissent.

Professor Kennedy expressed appreciation for the resolution. He said that, speaking as a Trustee, it has been a great three years for him and a wonderful experience getting to know and work with all of members of the Board. Speaking as a faculty member, he really appreciates and now understands the dedication and effort that trustees put forth toward making the university a better place.

Professor Kennedy recognized his successor, Dr. Jeff Dembo, and asked the Board to give a warm welcome to him. Dr. Dembo received a round of applause.

Professor Kennedy said that he is approaching geriatric status; however, he does plan to be around the university for some time to come. If he can aid the Board as individuals or as a Board in any way, please be in touch with him. His office is very close, and he would look forward to seeing them.

Ms. Haney said the third resolution of the University of Kentucky Board of Trustees is honoring Rachel Lee Watts Webb. She moved the following resolution be approved:

> WHEREAS, Rachel Lee Watts Webb of Shelbyville, a graduate of Shelby County High School, who has served two terms as President of the University of Kentucky Student Government Association and two terms as a voting member of the UK Board of Trustees, and
>
> WHEREAS, Ms. Webb graduated in May 2005 from UK with a 4.0 grade point average receiving a Bachelor of Arts degree with a major in Integrated Strategic Communications from the College of Communications and Information Studies and a minor in sociology, and
>
> WHEREAS, Ms. Webb gave a memorable and wonderfully instructive address at the University of Kentucky's 2005 Commencement as the representative of the graduating class, and
>
> WHEREAS, Ms. Webb has been a faithful, attentive, and well-spoken representative on the UK Board of Trustees, serving as a member of the board's Student Affairs and University Relations committees, and
>
> WHEREAS, Ms. Webb was an active member of many student organizations, including Alpha Delta Pi Sorority, UK Panhellenic Executive Council, and such other student programs as the Campus Crusade for Christ: The Rock; Emerging Leaders Institute; Phi Eta Sigma Honor Society; and the National Society for Collegiate Scholars,
>
> NOW, THEREFORE, BE IT RESOLVED that the University of Kentucky Board of Trustees extends its utmost gratitude and best wishes for a happy and successful life to Rachel Lee Watts Webb.

Ms. Smith Edge seconded the motion, and it carried without dissent.

Mr. Hardymon said that Rachel is an outstanding member of the Board. She is well spoken, and there will be a great place for her.

President Todd reminded the Board that there would be a bus out in front of the Main Building for those wishing to tour Smith Hall, one of UK's newest dorms. He announced that a ribbon cutting ceremony will be held August 18 at 10 a.m. for all the dorms on the south campus and asked the members to note that information on their calendars.

FF. Oath of Office

Barbara Jones, General Counsel, administered the Oath of Office to the following member to be effective July 1, 2005:

Jeffrey B. Dembo, elected by the faculty to replace Michael Kennedy, for a term ending June 30, 2008.

GG. Meeting adjourned

With no further business to come before the Board, Mr. Hardymon adjourned the meeting at 2:50 p.m.

Respectfully submitted,

Elaine Wilson
Secretary, Board of Trustees

(PR 2, 3, 4, 5, 6, 7, and 8; SCGR 1; AACR 1, 2, 3, 4, 5, and 6; FCR 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, and 21; and SACR 1 which follow are official parts of the Minutes of the meeting. The presentations for the Top 20 Business Plan and 2005-06 Operating and Capital Budget are available at the end of the Minutes.)

# PR 1

Office of the President
June 14, 2005

1. Record 6,272 Graduates Receive Degrees at 138th University of Kentucky Commencement

A record 6,272 students were awarded bachelors, master's, doctoral, and professional degrees at the University of Kentucky's 138th Commencement, on May 8 at Rupp Arena. The graduates heard UK graduate Constantine W. "Deno" Curris, former president of Murray State University and Clemson University and current president of the American Association of State Colleges and Universities, sound a warning about threats to American democracy from an apathetic electorate and religious influences on state decisions. About 5,200 friends and relatives of the graduates attended the ceremony.

2. UK President Todd Takes Message Across Kentucky in 'Dream Tour'

UK President Lee T. Todd Jr. spent eight days in late May and early June in a bus touring more than 20 Kentucky cities as part of "The Dream Tour," an excursion highlighting how UK's research and community engagement benefit Kentucky. Todd unveiled a new initiative – "The Commonwealth Collaboratives" – that directly engages UK faculty and student researchers in helping solve some of the state's most intractable problems. The "Commonwealth Collaboratives" will provide incentives to senior professors working in several critical areas where the university is conducting research with the idea of measuring UK's progress in addressing conditions. Each year, the university – under the direction of the senior professors – will report to the people of Kentucky on the progress of each Collaborative. The tour went into all six of Kentucky's congressional districts and included stops in Covington, Louisville, Owensboro, Henderson, Paducah, Ashland, Paintsville, Hazard, and Somerset, along with other cities. During each tour stop, Todd and UK deans and faculty members met with prospective students, alumni, elected officials, and community leaders to discuss what UK is already doing and what more it can do to work with their communities and the entire state.

3. Todd, UK Officials Join Governor Fletcher on Trip to Japan's World Expo 2005

President Todd and several university representatives accompanied Kentucky Governor Ernie Fletcher to the World Expo 2005 in Japan in mid-May. Highlighting the increasingly active role UK plays in improving industry and the state's economy, Todd and Fletcher focused on the close economic partnership that exists between the Commonwealth and Japan. Todd noted UK's close partnership with Toyota Motor Manufacturing in practical research, as well as other efforts that encourage close ties between Kentucky and Toyota corporations. Traveling with Todd were Wendy Baldwin, UK's executive vice president for research; John Parks, associate vice president for research and economic development and director of UK's Coldstream Research Campus; Eric Grulke, College of Engineering associate dean for research;

and Kozo Saito, a UK mechanical engineering professor who works closely with Toyota on paint technology issues. Saito has a joint patent with Toyota for an invention – the Vortecone Scrubber – that has significantly improved overspray capture during the vehicle painting process, while using much less energy than conventional scrubbers. The World Expo is the first worldwide exposition in the 21st century. Fifteen million visitors are expected to attend the expo, which runs until September 25. During Kentucky Week, May 16-22, UK and state government officials, along with Commerce Lexington economic development representatives, Georgetown College, and the City of Georgetown, will act as host for Japanese business executives, international tour operators, and others.

4. Kentucky, UK Both Improve Standings in Attracting National Science Foundation Grants

Kentucky moved from 33rd to 30th in national rankings of federal spending by the National Science Foundation from 2001 to 2002. In that same time, UK moved from 60th to 57th among all research universities, and from 31st to 28th in public universities. The most recent rankings examine federal research grants and contracts awarded. Kentucky received a total of $191 million in federal awards, $132 million, or 69 percent, of which were federal awards to UK, according to the NSF rankings. Last year, UK received $238 million in all state, federal, and private research grants and contracts and is 14 percent above that this year, officials said.

5. Provost Teaching Awards Announced

In late April, seven faculty members were presented 2005 Provost Teaching Awards by Provost Michael T. Nietzel, who praised the faculty members for their excellence in one of the highest professional callings in the world. Tenured faculty winners ($5,000) are John Christopher, associate professor, Physics; and Robin Cooper, associate professor, Biology. Non-tenured faculty winners ($3,500) are Anna Secor, assistant professor, Geography; and Irina Voro, assistant professor, Music. Teaching assistants winners ($1,000) are Rynetta Davis, English; Erin Kenny, Anthropology; and Allison Tabor, Educational Policy Studies and Evaluation.

6. UK Student, Grad Win National Science Foundation Graduate Fellowships

UK civil engineering graduating senior Michael T. Davidson received a National Science Foundation Graduate Fellowship with a value exceeding $100,000. Davidson, of Pendleton, will receive a three-year stipend of $30,000, along with tuition and a $10,500 cost of education allowance under the fellowship. He won the fellowship on his proposal to study how bridges react to impacts from barges, trucks and terrorist attacks. Davidson wants to help design software to help bridge designers. At UK, Davidson's instructors included civil engineering professor Issam Harik, who encouraged him to seek the NSF fellowship. He said he became interested in bridge design while working a cooperative education assignment with the U.S. Army Corps of Engineers during a semester in his sophomore year. He received his bachelor's degree in civil engineering at UK's 138th Commencement on Sunday, May 8. Meanwhile, a former UK student, Karla Conn, received an NSF Graduate Fellowship in the current year's program. A 2003 graduate in electrical and computer engineering, Conn is attending graduate school at Vanderbilt University.

7. UK Partners in Statewide Initiative to Promote Kentucky's Biotechnology Industry

President Todd and Executive Vice President for Research Wendy Baldwin will lead a UK delegation to BIO 2005, in Philadelphia, June 19-22, to promote UK biotech research, industry partnerships, the Center for Pharmaceutical Science and Technology, and Coldstream Research Campus. The UK delegation will work with others from Kentucky at the BioKentucky booth in the exhibit hall, featuring 1,450 biotech organizations, and meet with invited guests during a Kentucky reception. Phyllotech, a new UK biotech startup producing environmentally friendly topical fungicides, will present a poster during the innovation corridor session. Approximately 80 percent of the U.S. pharmaceutical industry is located within a 50-mile radius of Philadelphia. The Biotechnology Industry Organization represents the world's leading biotech executives, scientists, policymakers, and journalists. President Todd will also host a reception for UK alumni in the area.

8. College of Education Hosts First Kentucky Literacy Research Symposium

Kentucky's first literacy research symposium brought to this state several of the foremost thinkers and researchers in the field of literacy research. Over the course of two days in late April at Spindletop Hall, national literacy specialists, researchers, teachers, and educational leaders from across the state addressed several pressing issues regarding Kentucky literacy: family literacy, No Child Left Behind, and Closing the Achievement Gap. Janice F. Almasi, The Carol Lee Robertson Endowed Professor for Literacy at the UK College of Education, was host of the event. Before the research presentations on Friday morning, Almasi presented Carol Lee Robertson the first annual Friend of Literacy award. Robertson, a College of Education student and benefactor, established the endowed professorship in literacy at the College of Education. Among the guest speakers at the Kentucky Literacy Research Symposium were Cheryl Brown Henderson and Linda Brown Thompson, daughters of the famed plaintiff, Rev. Oliver Brown, from the landmark Supreme Court decision, Brown v. Board of Education of Topeka, Kansas. Other speakers included Flora Rodriguez-Brown, Geneva Gay, Kaye Lowe, Brenda Logan, Anne McGill-Franzen, Felicia Cummings-Smith, and Laura Westberg. The Collaborative Center for Literacy Development, The Carol Lee Robertson Endowment for Literacy, and the President's Commission on Diversity sponsored the symposium.

9. First Doctoral Graduates of the New College of Public Health Celebrate

The UK College of Public Health graduated its first-ever class of doctoral students on Sunday, May 8. The 12 students receiving doctoral degrees will pursue careers in public health education, research, and service. In these roles, they will strive to enhance the health status and quality of life for individuals, families, and communities in Kentucky and beyond. The College of Public Health was officially named a college on May 4, 2004, by the UK Board of Trustees. Previously the School of Public Health, it was established at UK in 1998. The Doctorate of Public Health is a terminal professional degree and requires a minimum of 63 semester hours of course work beyond the master's degree. The Doctor of Public Health candidate must have a Master of Public Health, a Master of Science in Public Health, or an equivalent degree before entering the program.

10. Clinical Trials Show Drug Is Effective in Blocking Breast Cancer Recurrence

Results from two clinical trials show that patients with early-stage breast cancer who received trastuzumab (Herceptin®) in combination with chemotherapy had a 52 percent decrease in risk for breast cancer recurrence, compared with patients who received the same chemotherapy without the drug. The difference is statistically highly significant. Edward Romond, associate professor of medicine at the UK College of Medicine and UK Markey Cancer Center, is principal investigator on the study and chairs the National Surgical Adjuvant Breast and Bowel Project (NSABP). The clinical trials were sponsored by the National Cancer Institute, part of the National Institutes of Health, and conducted by a network of researchers led by NSABP and the North Central Cancer Treatment Group (NCCTG), in collaboration with the Cancer and Leukemia Group B, the Eastern Cooperative Oncology Group, and the Southwest Oncology Group. Genentech Inc., which manufactures trastuzumab as Herceptin®, provided the drug for the trials under a Cooperative Research and Development Agreement with NCI. Information from more than 3,300 patients enrolled in the studies was used for analysis. An estimated 211,240 women will be diagnosed with breast cancer in the United States in 2005. An estimated 40,110 deaths from female breast cancer will occur in 2005 in the United States, accounting for about 15 percent of all cancer-related deaths in women in the nation.

11. UK's Research Awards Climb by 14.7 Percent

Awards received through UKRF for July 2004 through April 2005 total $235,448,333, a 14.7 percent increase over the same period last year. Federal awards have increased from $121.8 million to almost $125.5 million (a 3 percent increase).

12. Pharmaceutical Sciences Professor Receives Major Grant

Russell Mumper, associate professor in the College of Pharmacy's Department of Pharmaceutical Sciences, was awarded $1,614,753 from the NIH to develop HIV vaccines by using recombinant proteins attached to nanoparticles. Working with these nanoparticles, Mumpher's team will perform in-vitro and activation studies in mouse and human dendritic cells, and then carry out animal experiments to determine the immune responses of the nanoparticle-based formulations. Currently, there is no effective vaccine for HIV.

13. Coldstream Research Campus Road Named after Nicholas J. Pisacano

An access road to the new American Board of Family Medicine headquarters at Coldstream Research Campus will be named in honor of its founder and first executive director, the late Nicholas Pisacano. He was on the UK Board of Trustees from 1987 to 1990 and served UK in various positions, including professor, assistant dean for the College of Arts and Sciences, director of continuing medical education at the UK medical center, and assistant to the vice president of the medical center. Pisacano's advocacy for the family practice of medicine as a certified discipline was recognized in 1969 with the founding of the American Board of Family Practice. He died in 1990.

14. KGS Plans New Online Mapping Service

The Geospatial Analysis Section of the Kentucky Geological Survey is developing a Web site that will allow users to create highly customized geologic maps for any project area in the state. Users can then view related information, including well data, geotechnical and hazards data, related publications, photographs and illustrations, and a variety of other descriptions about Kentucky geology. A prototype site is expected to be released to the public soon.

15. School of Music Inducts Four into Lampert Music Hall of Fame

The College of Fine Arts School of Music inducted four new members into the Carl A. Lampert Music Hall of Fame in mid-April. The inductees were Timothy S. Brophy, currently a professor at the University of Florida, who was the first elementary music teacher to be honored at the Disney American Teacher Awards; Phyllis Jenness, a former UK professor of vocal studies, who was the founding director of The Lexington Singers; Jacqueline Roberts who toured with John Jacob Niles and the singer for whom he wrote numerous songs to perform; and Lucien Stark, former UK faculty who is considered an expert on the music of Johannes Brahms and has written two outstanding works on Brahms titled *A Guide to the Solo Songs of Johannes Brahms* and *Brahms's Vocal Duets and Quartets with Piano*.

16. Historic Preservation Students and Faculty Assist Effort in Lexington Community

A number of Historic Preservation students and faculty in the College of Design's School of Architecture celebrated the completion of a historic preservation project in the Fayette County community of Uttingertown on May 15. The restored Union Benevolent Society Lodge #28 located on Uttingertown Lane hosted an open house in honor of completion of the preservation project, as part of the "Take Pride in the Bluegrass" celebration recognizing historic preservation and tourism in the Bluegrass.

17. Center for Rural Health Wins Special Johnson & Johnson Leadership Award

The UK Center for Rural Health has been awarded the Johnson & Johnson Community Health Care Leadership Award for Rural Health along with a $50,000 grant. The center, based in Hazard, was presented the award during an early May ceremony at The Mayflower Hotel in Washington, D.C. Through a combination of grant funding and support resources, the Johnson & Johnson Community Health Care Program aids outstanding community-based organizations that assist medically underserved populations. Grant funds will be used to expand upon the groundwork laid by the Southeast Kentucky Community Access Program (SKYCAP), a lay health worker program administered by the Center from 2000 to 2004. In those four years of activity, SKYCAP provided case management services to more than 8,600 underserved residents of Harlan, Knott, Leslie, and Perry counties and referral services to more than 4,800 others, resulting in a 26 percent decline in the number of hospitalizations reported by its clients.

18. UK Brings Professional Sports Marketers to Campus for Eighth Academy

For the eighth year, the annual UK Sports Marketing Academy explored the concepts of marketing of sports and marketing through sports in a sophisticated, yet down-to-earth forum in early May on UK's campus. The academy, which offers professional certification to attendees in a three-year intensive program, was presented through a partnership between UK's Center for Sports Marketing within the Gatton College of Business and Economics, UK Athletics, and Host Communications. The academy attracts sports marketing professionals, athletic directors, and assistant athletic directors from companies, colleges, and even high schools. They attend sessions focusing on everything from how sports teams can market and license mascots and logos, to how companies can partner with sports teams to attract fans as customers.

19. Rural Health's Bailey-Stumbo Building Wins Architectural Award

The architectural design of the UK Center for Rural Health Bailey-Stumbo Building was honored during the recent Kentuckiana Masonry Institute's annual architectural awards luncheon. Omni Architects of Lexington won a Brick Award of Merit on April 15 for its design of the 57,000-square-foot Hazard facility, which houses the Center for Rural Health's academic, community outreach, and research programs; the UK Family Medical and Family Dental clinics; and Hazard Community and Technical College's allied health program. The interior of the four-story building is organized along a "Main Street" corridor that runs the full length of each floor with full-height glass windows on each end. Large two-story bay windows with balconies are used on the front of the facility to provide visual links to the surrounding mountains, and vibrant color is used throughout to accentuate corridors and public spaces.

20. Nineteen Are Inducted into UK Alumni Association Hall of Distinguished Alumni

The UK Alumni Association inducted 19 members into its Hall of Distinguished Alumni in mid-May. The Hall of Distinguished Alumni was established in 1965 in celebration of the university's centennial year. Every five years, the association recognizes a select group of outstanding alumni and honors them with induction into the prestigious Hall of Distinguished Alumni. The honor acknowledges UK alumni at the pinnacle of success in professional endeavors and community leadership. The 2005 inductees are: Trudy Webb Banta, William Bass III, Dermontti Dawson, William L. Fouse, Virginia G. Fox, Joel C. Gordon, William R. Grant, Angelo B. Henderson, G. Samuel Hurst, Robert G. Lawson, Earnest O. Robbins, Howard Schnellenberger, William R. Sims, Marcia K. Stanhope, Joseph G. Teague, Lee T. Todd, Jr., Douglas J. Von Allmen, Emery A. Wilson, and George C. Wright.

21. Medicine's Class of 2008 Hosts Sixth Annual Hispanic Health Fair

The UK College of Medicine Class of 2008 hosted the sixth annual Hispanic Health Fair on Sunday, June 5, at E. S. Good Barn Field, located near the intersection of Farm Road and University Drive, adjacent to UK Commonwealth Stadium. The free event included vision screenings, blood pressure checks, body mass index tests, diabetes screenings, physical therapy screenings, breast and pelvic exams for women, an ask-a-doc booth, and informational booths about health and financial assistance. There also was music and food from Moe's Southwest

Grill, games for kids, prizes, and a soccer tournament. The annual Hispanic Health Fair began six years ago with the UK College of Medicine Class of 2003, and each year the event is planned and orchestrated by first-year medical students. Volunteers include medical, dental, nursing, physician assistant, and physical therapy students from UK and local health care providers.

22. Leadership Studies to Host Symposium on International Education Reform

The College of Education's Department of Leadership Studies will host a Summer Symposium on International Perspectives on Educational Reform, July 18-29. This symposium resulted from efforts by the Institute for Educational Research to initiate bi-lateral agreements with research universities, including the University of Jyväskylä, Finland's flagship research university. Doctoral students from Finland will attend as well as Jukka Alava, director of the Institute for Leadership at the partner university. In addition, three doctoral students from Ecuador will attend as well as students from East China Normal University in Shanghai, Peoples Republic of China. This is a groundbreaking initiative developed last year by a number of international universities and contributes to the COE's efforts to increase international doctoral instruction and research.

23. Walk Against Child Abuse Sets Records for Attendance and Funds Raised

Student organizations at the College of Education and throughout UK led the annual Walk Against Child Abuse to its most successful fund-raising drive yet for the Center for Women, Children, and Families. In terms of both numbers of participants and dollars raised, the annual Walk hosted by the college set new benchmarks. Nearly 200 participants gathered outside the Bernard "Skeeter" Johnson Student Activities Center, and more than $1,800 was raised in support of the center.

24. Student Awards and Achievements

Gwendoline Ayuninjam, Education doctoral student, is the first UK student to be named a Holmes Scholar by the Holmes Partnership. The Holmes Scholars are a select group of graduate students preparing for careers as educational leaders or professors. Ayuninjam has interests in international education, especially with the experience of international students in America. She is also the UK representative involved in the Teacher Education Model Programs, a statewide consortium of institutions of higher education.

Jessica Cunningham, Madison Gates, Katrina Hutchinson, Kenneth Royal, Jennifer Eli, and G. T. Lineberry, Education graduate students, participated in the annual Graduate Student Education Research Conference in Cincinnati, co-sponsored by the UK College of Education, U of L, and the University of Cincinnati.

Tierra Freeman and Chris Mueller, Educational Psychology doctoral students, have received student travel awards from the American Educational Research Association Special Interest Group in Motivation this year. Chris and Tierra are two of nine students from all over the country to receive this award. Only the University of Kentucky and James Madison University had two students receiving awards.

Katrina Hutchinson, Educational Policy Studies and Evaluation doctoral student, and Laura Lammenen, Counseling Psychology graduate student, have been accepted to participate in

an exchange program the UK College of Education established with the University of Jyväskylä, Finland's primary research institution.

Matt Middleton, Education, was one of four students chosen as voting delegates from Kentucky at the 2005 National Education Association Student Leadership Conference and Representative Assembly this summer in Los Angeles.

Regina R. Washington, Public Health doctoral student, received the 2005 National Rural Health Association/John Snow Inc. Student Achievement Award. The award honors outstanding graduate students at the association's annual conference.

The UK College of Pharmacy's chapter of the American Pharmacists Association (APhA) won top honors among student chapters during the association's annual meeting in Orlando, Fla. The college's chapter of the APhA Academy of Student Pharmacists was named Chapter of the Year during an awards ceremony April 4. Seventy-seven colleges from across the United States and Puerto Rico competed for the award.

25. Faculty and Staff Awards and Achievements

Dinah Anderson, Social Work, presented for the Lexington Network with Dr. Joanne Melish in a public address at the Lexington Public Library Auditorium in late April. The topic was "Slavery and Its Connection to Reparations: 1865 to the Present."

Patty Cook, Social Work, co-authored "Organizational Learning: A Cross-National Pilot-test of Effectiveness in Children's Services," slated to be published in *Evaluation and Program Planning* later this year.

Crystal Collins-Camargo, Social Work, presented "Adventures in Partnership: Using Learning Laboratories to Enhance Frontline Supervision in Public Child Welfare" and co-presented "Enhancing Supervisory Practice in Child Welfare: Partnerships for Professional Development and Positive Outcomes" and "Program Start Up: Building the Path Together and Successful First Steps" at the Office of Child Abuse and Neglect State Liaison Officers Meeting in Boston in mid-April.

Robert Geneve, Horticulture, recently was selected as a Fellow of the American Society for Horticultural Science. The ASHS is the premier international professional society for horticulture.

Thomas R. Guskey, Educational Policy Studies and Evaluation, has been chosen by the Board of Trustees of Thiel College to receive the 2005 Distinguished Alumnus Award, the highest award given by the college's alumni association in recognition of professional and civic contributions. It will be presented at a special ceremony in October. In addition, Guskey has recently published articles in the *Phi Delta Kappan, Principal Leadership*, and the *Journal of Staff Development*. The Chinese translation of his book, *Evaluating Professional Developmen,t* was recently released by the China Light Industry Press in Beijing, and his most recent book, *Benjamin S. Bloom: Portraits of an Educator*, will be coming out this fall.

Kay Hoffman, Social Work, presented "Professional Social Work Education in the Research University: The Promise and The Challenge" at the University of Southern California School of Social Work in early March.

Nick Lawrence, producer and host of the "Curtains@8!" program on WUKY-FM, was recognized by the Polish government for a broadcast series on Krakow.

Joey Norikane, Biosystems and Agricultural Engineering, has been selected to participate in the Summer Faculty Research Opportunities program of the National Aeronautics and Space

Administration (NASA). Norikane will work with NASA colleagues at the Space Life Sciences lab of the Kennedy Space Center on a project studying the use of plants in bio-regenerative life support systems.

Melanie Otis, Social Work, and Diane Loeffler, Social Work doctoral student, co-authored "Changing Youths' Attitudes Toward Difference: A Community-Based Model That Works," in *Social Work with Groups*, 28 (3).

Mary Secret, Social Work, had the article "Parenting in the Workplace: A Child Care Option for Consideration," accepted for publication in the *Journal of Applied Behavioral Science*.

Marie Antoinette Sossou, Social Work, authored "Comments on the resource dimension of conflicts in Sub-Saharan Africa" to be published later this year in *Regional Development Dialogue*.

Suzanne Springate, Markey Cancer Center, has been named the Leukemia and Lymphoma Society's Bluegrass Woman of the Year 2005. Springate raised more than $4,000 for the society at their 5th Annual Bourbon Tasting at Taylor Made farm. She was awarded woman of the year for her fund-raising efforts and dedication toward finding a cure for leukemia, lymphoma, Hodgkin's disease, and myeloma in Kentucky.

Kathy Swan, Curriculum and Instruction, was a recipient of a 2005 National Technology Leadership Initiative fellowship in social studies education. The fellowships are sponsored by the Society for Information Technology and Teacher Education (SITE). SITE has been collaborating with four teacher education associations representing content areas of mathematics, science, English language arts, and social studies education through the National Technology Leadership Initiative.

26. Faculty Research Activities

Kenneth Agent, Kentucky Transportation Center, $100,000, Safety Belt and Child Safety Seat Survey.

Kenneth Agent, Kentucky Transportation Center, $50,000, Identification and Analysis of Crash Locations RS-05-01.

James Anderson, Internal Medicine, Effects of Olibra and a Meal Replacement (MR) on Appetite and Body Weight in Pairs of Overweight and Obese Adolescents and Parents.

Patsy Anderson, Kentucky Transportation Center, $100,000, FHWA/LTAP Technology Transfer to Local Agencies.

Robert Anderson, Horticulture, $51,000, KSTC R&D Voucher: Evaluation of Strawberry Growth and Yield in a Controlled Environment Growth Room.

Francisco Andrade, Physiology, $72,324, Aging of the Intrinsic Laryngeal Muscles.

Rodney Andrews, Center for Applied Energy Research, $79,045, Continued Development of Pitch/Nanotube Foam and Fiber Composites – CPCPC.

Rodney Andrews, Center for Applied Energy Research, $50,390, Mild Coal Extraction for Production of Anode Coke – CPCPC.

John Armitstead, PCS Central Services, $37,195, Scope A - Bioterrorism Training for Hospital and Community-based Pharmacists.

Susanne Arnold, Internal Medicine, Phase 1 Dose Escalation Study of TTI-237 Administered Intravenously Once Weekly.

Ashutosh Barve, Internal Medicine, A Randomized, Double-blind, Placebo-controlled, Multi-center, Phase III Study of Rosuvastatin (CRESTOR) 20 mg in the Primary Prevention of Cardiovascular Events Among Subjects with Low Levels of LDL-cholesterol and Elevated Levels of C-Reactive Protein.

J. Brill, Physics and Astronomy, $19,568, Electro-optic Studies of Charge Density Wave Conductors.

Eugene Bruce, Center for Biomedical Engineering, $30,661, KSEF R&D Excellence: Novel Analyses of Human Electroencephalograms for Detection of Brain Injury.

Terry Bunn, Kentucky Injury Prevention and Research Center, $16,666, Occupational Safety and Health.

Baretta Casey, Family Practice and Community Medicine, $7,800, Meeting Information Needs of Referrals Electronically.

Richard Charnigo Jr., Biostatistics, $5,709, Statistical Consulting.

Michael Cibull, Pathology and Laboratory Medicine, $21,763, Ovarian Tissue Bank.

John Connolly, Computational Sciences, $1,500,000, State EPSCoR.

Robin Cooper, Biological Sciences, $5,000, REU: Presynaptic Direct Structure-Function Analysis.

Julia Costich, Health Services Management, $35,000, National Study of Rural Medicaid Disease Management.

Mark Crocker, Center for Applied Energy Research, $49,997, KSEF R&D Excellence: Development of COS Adsorbents and Hydrolysis Catalysts for Clean Hydrogen Production.

Richard Crosby, Health Behavior, Partner Notification to Identify and Diagnose Asymptomatic Genital Herpes Infection.

Phillip Desimone, McDowell Cancer Network, 02-GI-68IS-BM Clinical Protocol CA225006: A Phase III Randomized, Open-label Multi-center Study of Irinotecan and Celtuximab vs. Irinotecan as Second-line Treatment in Patients With Metastic, EGFR-Positive.

Willem De Villiers, Internal Medicine, $4,000, GI Fellowship Program.

Patricia Dillon, Entomology, $25,000, Scope D: Sudden Oak Death Nursery Survey.

Rebecca Dutch, RCTF-Biochemistry, $206,040, Membrane Fusion Promoted by the Human Metapneumovirus Fusion Protein.

Zongming Fei, RCTF-Computer Science, $33,145, KSEF R&D Excellence: Multimedia Streaming Using Overlay Networks.

Michael Fried, Molecular and Cellular Biochemistry, Cooperative Interactions in DNA Repair.

Dayong Gao, Mechanical Engineering, $100,618, A Novel Frozen Storage System for Cord Blood Stem Cells.

Richard Gates, Biosystems and Agricultural Engineering, $92,121, Monitoring Ammonia Emissions.

Said Ghabrial, Plant Pathology, $10,000, Incidence, Epidemiology, and Resistance to Major Virus Diseases in Soybeans in Kentucky.

Richard Greenberg, Internal Medicine, Phase IIIB/IV, Open-Label, Multi-Center Trial to Evaluate the Safety, Tolerability, and Efficacy of HIV-1 Infected Subjects Switching Their Current Protease-inhibitor Therapies for a Fosamprenavir Therapy Over 48 Weeks.

Richard Greenberg, Internal Medicine, An Exploratory Study of the Effect of Atazanavir (ATV) I50L Mutation on Subsequent Treatment Response.

Liya Gu, Graduate Center for Toxicology, $251,300, DNA Mismatch Repair Deficiency and Leukemia Relapse.

Carol Hanley, Tracy Farmer Center for the Environment, $19,500, Kentucky University Partnership for Environmental Education.

J. Hartman, Plant Pathology, $50,000, Sudden Oak Death Kentucky Forest Survey.

Jimmy Henning, Agricultural Programs, $99,395, Scope C: Rural Health Bioterrorism and Emergency Preparedness.

David Hildebrand, Plant and Soil Sciences, $109,555, Epoxy Fatty Acid Accumulation in Seed Oil.

David Hildebrand, Plant and Soil Sciences, $20,000, Development of Higher Oil Soybeans.

James Hilt, Chemical and Materials Engineering, $49,882, KSEF R&D Excellence: Novel Method for Synthesis and Integration of Intelligent Polymer Networks with X, Y, and Z Special.

Patricia Howard, Emergency Services, $7,000, Alcohol Screening and Brief Intervention Pilot Project 2005.

Gerald Janecek, Classics, $40,000, Moscow Conceptualism: The Artistic and Literary Movement of the Late Soviet Period.

Michael Jay, Pharmaceutical Technology, $56,700, SaberMate HPLC Assay and Dissolution Assay Development.

Tae Ji, RCTF-Biological Chemistry, $299,950, Intermolecular Activation of GPCR.

Jeffrey Jones, Center for Prevention Research, $15,000, Integrating the Medical Home, Schools, and Mental Health for Rural and Urban Low-income Children and Youth.

Jane Joseph, Anatomy and Neurobiology, $220,950, Neuroimaging of Shape Similarity in Object Recognition.

Douglass Kalika, Chemical and Materials Engineering, $36,335, KSEF R&D Excellence: Novel Polymeric Membrane Materials for the Purification of Synthesis Gas.

Michael Kalinski, Civil Engineering, $26,540, KSEF R&D Excellence: Predicting Settlement in Mine Spoil Valley Fills in Eastern Kentucky.

Edward Kasarskis, Neurology, $1,841,793, Early Treatment of ALS with Nutrition and NIPPV.

Mahesh Kudrimoti, Radiation Medicine, A Phase 3 Study to Evaluate the Efficacy and Safety of Weekly Doses of Palifermin (Recombinant Human Keratinocyte Growth Factor, rHuKGF) for the Reduction of Oral Mucositis in Subjects with Advanced Head and Neck Cancer Receiving Radiotherapy.

Daniel Lau, Electrical and Computer Engineering, $250,000, Anti-sniper Infrared Targeting System, Phase II.

Guangxiang Luo, Microbiology and Immunology, $22,095, Molecular Dissection of Hepatitis C Virus Replicase.

David Mannino, Internal Medicine, $189,000, Impacts of Spirometry Screening in a Large HMO Cohort in the Southern California Region.

James Matthews, Animal and Food Sciences, $45,750, Alteration of System X-AG Glutamate, CNT Nucleoside, and VGLUT Synaptic Vesicle Glutamate Transport Capacities by Ergopeptides.

James Matthews, Animal and Food Sciences, $20,000, Understanding How Chlortetracycline Improves the Carcass Quality of Finishing Beef Cattle Project (CTC Project).

Karen McDowell, Veterinary Science, $43,625, Effects of Herbicides Plateau and Cimarron on Pregnancy Maintenance in Broodmares.

Madhusudan Menon, Computational Sciences, $6,000, REU: ITR: Large Scale Quantum Mechanical Simulations of Nanomechanics.

David Mohney, Design, $50,000, Urban Design Studies FY04-05.

James Morris, Chemical and Materials Engineering, $49,306, KSEF R&D Excellence: Processing of Ultra-fine Grain CC AA 3003 Aluminum Alloy and its Formability Improvement.

Russell Mumper, RCTF-Clinical Pharmaceutical Science, $286,555, Nanoparticle HIV Protein Vaccines for Cellular Responses.

Kenneth Muse Jr., Obstetrics and Gynecology, A Multi-center, Double-blind, Double-dummy, Randomized, Placebo-controlled Study Comparing a 2.2mg 17 beta-estradiol/0.69 mg Levonorgestrel Combination Transdermal Patch with a Placebo Patch in Postmenopausal Women to Determine the Lowest Effective Dose.

Peter Nagy, RCTF-1-Plant Sciences-PlantPath, $307,616, Acquisition of a Laser Scanning Confocal Microscope for Plant Science Research.

Lottie Naugle, Center for Entrepreneurship, Carry-forward Funds: Small Business Development Center: Kentucky Small Business Development Centers Program.

David Nister, Center for Visualization and Virtual Environments, $291,050, UrbanScape: Making a Foreign City as Familiar as the Soldier's Backyard.

John Obrycki, Entomology, $25,000, Monitor Gypsy Moth Populations for Slow the Spread Program.

Lindell Ormsbee, Kentucky Water Resources Institute, Assessment of Water Quality Trends in the Upper Cumberland River Basin.

Carrie Oser, Behavioral Science, $24,704, Physicians Assessment Project.

Lynn Penn, Chemical and Materials Engineering, $32,484, KSEF R&D Excellence: Materials Systems for the Removal of Steroidal Estrogens from Surface Waters.

Jay Perman, Medicine, $192,088, General Clinical Research Center - Bioinformatics Account.

Jay Perman, Medicine, $334,599, General Clinical Research Center - Core Laboratories.

Jay Perman, Medicine, $300,933, General Clinical Research Center-Patient Care Scope.

Jay Perman, Medicine, $90,573, General Clinical Research Center-RSA Supplement.

Jay Perman, Medicine, $336,471, General Clinical Research Center-Nurses and Bionutrition.

Jay Perman, Medicine, $20,000, CReFF - Estrogen Deficiency, Hyperhomocyst (e)inemia and Stroke in Women.

Jay Perman, Medicine, $20,000, CReFF - Insulin Sensitivity in Lean and Obese Adolescents.

Jay Perman, Medicine, $1,755,056, General Clinical Research Center.

Robert Perry, Microbiology, Immunology and Molecular Genetics, $98,744, Antimicrobials Against the Plague Yersiniabactin System.

David Pollack, Kentucky Archaeological Survey, $10,000, Archaeological Survey of 1,024 Acres Owned by Livingston County Fiscal Court-Newmans Bluff & Bissel Tracts.

David Pollack, Kentucky Archaeological Survey, $3,000, Big Bone Lick State Park, Boone County, Kentucky Archaeological Assessment and Monitoring of Heavy Use Area.

David Pollack, Kentucky Archaeological Survey, $84,387, Proposal for Additional Archaeological Excavations at the Portland Wharf Site (15JF418).

David Pollack, Kentucky Archaeological Survey, $12,000, Archaeological Survey of the HLCF Tract (Bruce Smith Tract) on the Red River, Wolfe County.

Michael Reid, Physiology, $135,037, Redox Signaling in Skeletal Muscle Biology.

Lynne Rieske-Kinney, Entomology, $6,503, Oriental Chestnut Gall Wasp Associates in Eastern North America.

James Rinehart, Administration and Supervision, $6,000, SAELP Leadership Conference Support.

Harold Rowe, Geology, $26,793, Reconstructing Late Quaternar Paleohydrology of the Lower Ohio Valley.

Arman Sabet, Neurology, Pilot Trial of Rituximab in Myasthenia Gravis.

Kozo Saito, Mechanical Engineering, $98,500, Infrared NDT and Inspection Technologies for 2005 - Phase I.

Boutzos Sawaya, General Clinical Research Center, $50,000, Mentored Medical and Dental Student Award.

Michael Sharkey, Entomology, $9,250, Scope A: Large-scale Phylogeny of Hymenoptera (REU Supplement).

Vijay Singh, Electrical and Computer Engineering, $49,992, KSEF R&D Excellence: High Surface Area Nanoporous TiO2, SnO2 and Intelligent Polymer Network Films for Gas Sensing.

Michael Singleton, Kentucky Injury Prevention and Research Center, $44,461, Technical Assistance for KASPER.

Eric Smart, Pediatrics, $110,153, Mechanism of Diabetes-associated Hypertension.

Jimmy Smart, OISTL/Engineering Distance Learning, $25,000, Purification and Recovery of Radiologically Contaminated Metals II.

Daret St. Clair, Graduate Center for Toxicology, $249,136, Mechanism of MnSOD Expression in Normal and Tumor Cells.

Marcia Stanhope, Nursing Instruction, $77,200, Hope Center Health Care Clinic.

Timothy Stombaugh, Biosystems and Agricultural Engineering, $4,600, Using GPS and Spatial Technologies in Agriculture.

Susan Straley, Microbiology, Immunology and Molecular Genetics, $165,263, New Vaccine Candidate for Pneumonic Plague.

Patrick Sullivan, Spinal Cord and Brain Injury Research Center, Oxidative Stress and the Ketogenic Diet.

Jennifer Swanberg, Social Work, $9,000, I'm a Kid Too! Funded by the Society for Arts in Healthcare and Johnson & Johnson.

Alice Thornton, Internal Medicine, $502,956, Bluegrass Care Clinic, Provide Outpatient Early Intervention Services to Persons Living with HIV/AIDS (PLWHA).

Thomas Tobin, Veterinary Science, $39,009, Synthesis of Ergovaline for Experimental Uses.

Patrick Trader, Program for Archaeological Research, $41,794, Phase II Archaeological Testing for 15SC271, Georgetown Northwest Bypass, Scott County, Kentucky, Item No. 7-102.00.

Patrick Trader, Anthropology Museum, $28,081, Phase II Archaeological Evaluation of Site 15FA279 Bluegrass Airport Runway 4-22 Improvement Project, Fayette County, Kentucky.

Mary Vore, Graduate Center for Toxicology, $30,816, Environmental Toxicology/Short Term Research.

James Walker, Center on Drug and Alcohol Research, $19,999, Brain Injury Guidelines.

Craig Wood, Agricultural Communications, $199,997, ECOP/CSREES E-eXtension-Supplement.

Jerold Woodward, Microbiology, Immunology and Molecular Genetics, $79,944, Nano-particle HIV Protein Vaccines for Cellular Responses.

Edward Woolery, Geology, $47,498, High-Resolution Geophysical and Geological Investigations of Lower Wabash Valley Fault System Neotectonics.

Stephen Wyatt, Epidemiology, $25,000, Statewide Strategic Plan for Public Health Education and Research.

Dong-Sheng Yang, Chemistry, $99,259, KSEF R&D Excellence: Laser Spectroscopic Characterization of Transition Metal-Aromatic Compounds.

Jun Zhang, Computer Science, $31,191, KSEF R&D Excellence: Support Vector Machine Approach To Matrix Condition Number Prediction.

Hongyan Zhu, Plant and Soil Sciences, $100,000, Assessing RNAi as a Reverse Tool for Genetic Analysis of NBS-LRR Gene Function in Medicago Truncatula.

Matthew Zook, RCTF-Geography, $59,539, Connecting Cyberspace to Place: Understanding the Evolution of Transactions and Value Chains in Electronic Commerce.

# PR 2

Office of the President
June 14, 2005

Members, Board of Trustees:

PERSONNEL ACTIONS

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

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

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

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# PRESIDENT
# AND
# EXECUTIVE VICE PRESIDENT
# FOR
# FINANCE AND ADMINISTRATION

## I. BOARD ACTION

### A. RETIREMENTS

Vice President for Facilities Management

Bishop, Charles, Building Operator II, Physical Plant Department, after 7 years and 7 months of consecutive service under AR II-1.6-1 Section III.B, effective 4/29/05.

Vice President for Institutional Advancement

Allen, Mary, Associate Director Government Relations, External Affairs, after 31 years and 6 months consecutive service under AR II-1.6-1 Section III.B, effective 6/3/05.

### B. EARLY RETIREMENTS

Executive Vice President for Finance and Administration

Goetz, Bernard A., former Government Relations Director, after 24 years and 11 months of consecutive service, under AR II-1.6-1 Section III.A.2, effective 6/30/05.

Vice President for Facilities Management

Jones, Sarah Ann, Custodial Worker I, Physical Plant Department, under AR II-1.6-1 Section III.A.2, effective 5/9/05.

Linton, William, Jr., Custodial Worker, Supervisor I, Auxiliary Services/Housing, under AR II-1.6-1 Section III.A.2, effective 4/29/05.

## II. ADMINISTRATIVE ACTION

### A. CHANGES

Associate Vice President for Campus Services

Poore, Lee, from Senior Safety Specialist, Occupational Health and Safety Department to Director, Occupational Health and Safety, Occupational Health and Safety Department, effective 5/15/05.

Executive Vice President for Finance and Administration

Allen, Terry, from Associate Vice President for Employment Equity to Associate Vice President for Institutional Equity, Office of Institutional Equity, effective 6/1/05.

Bender, Patty, from Assistant Vice President for Affirmative Action/Equal Opportunity to Assistant Vice President for Equal Opportunity, Office of Institutional Equity, effective 6/1/05.

## PROVOST

## I. BOARD ACTION

### A. ACADEMIC APPOINTMENTS

Adhami, Talal, College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.

Anthony, John, College of Arts and Sciences, Professor (with tenure), Chemistry, reappointed to the Jack & Linda Gill Arts & Sciences Research Excellence Fund Professorship, 7/1/05 through 6/30/08.

Bashinsky, Alice L., College of Medicine, Clinical Assistant Professor, Ophthalmology and Visual Sciences, 9/1/05 through 6/30/06.

Bernard, Philip A., College of Medicine, Assistant Professor*, Pediatrics, 7/1/05 through 6/30/06.

Branscum, Adam J., College of Public Health, Assistant Professor, Biostatistics, and joint appointment as Assistant Professor, Statistics, College of Arts and Sciences, 8/1/05 through 6/30/06.

Cassidy, Ryan C., College of Medicine, Clinical Instructor, Orthopaedic Surgery, 8/1/05 through 6/30/06.

Chang, Phillip K., College of Medicine, Clinical Assistant Professor, Surgery, 7/1/05 through 6/30/06.

Crandall, James D., College of Medicine, Clinical Assistant Professor, Ophthalmology and Visual Sciences, 8/15/05 through 6/30/06.

Daunert, Sylvia, College of Arts and Sciences, Professor (with tenure), Chemistry, reappointed to the Jack & Linda Gill Arts & Sciences Research Excellence Fund Professorship, 7/1/05 through 6/30/08.

Eckhardt, Erik, College of Medicine, Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.

Frazier, Susan K., College of Nursing, Associate Professor (with tenure), effective 7/1/05.

Gerber, Eric W., College of Medicine, Clinical Instructor, Surgery, 7/1/05 through 6/30/06.

Gilliam, Misha R., College of Medicine, Clinical Assistant Professor, Internal Medicine, 8/1/05 through 6/30/06.

Harris, Cynthia L., College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.

Hassmiller, Susan B., College of Nursing, Professor (voluntary), 5/15/05 through 6/30/06.

Hermann, Allen M., College of Engineering, Professor (visiting), Electrical and Computer Engineering, 6/1/05 through 5/31/06.

Honaker, Rick Q., College of Engineering, Associate Professor (with tenure), Mining Engineering, appointed to the Mining Engineering Endowed Professorship, 7/1/05 through 6/30/08.

Houchin, Angela D., College of Medicine, Clinical Instructor, Pediatrics, 7/1/05 through 6/30/06.

Johnson, Carrie, College of Pharmacy, Clinical Assistant Professor, 11/15/04 through 6/30/05.

Kee, Bryan K., College of Medicine, Clinical Instructor, Internal Medicine, 7/1/05 through 6/30/06.

Lane, Jennifer R., College of Fine Arts, Associate Professor* (with tenure), Music, effective 8/1/05.

Lommel, Karen, College of Medicine, Assistant Professor*, Psychiatry, and joint appointment as Assistant Professor*, Pediatrics, 7/1/05 through 6/30/06.

Maybody, Majid, College of Medicine, Clinical Assistant Professor, Diagnostic Radiology, 8/1/05 through 6/30/06.

McCoun, Kenneth T., College of Medicine, Clinical Instructor, Anesthesiology, 7/1/05 through 6/30/06.

McDonald, John M., College of Medicine, Clinical Instructor, Obstetrics and Gynecology, 7/1/05 through 6/30/06.

Milbrandt, Todd A., College of Medicine, Clinical Assistant Professor, Orthopaedic Surgery, 7/1/05 through 6/30/06.

Millward, Peter A., College of Medicine, Assistant Professor*, Pathology and Laboratory Medicine, 7/1/05 through 6/30/06.

Moore, David J., College of Medicine, Clinical Assistant Professor, Family Practice and Community Medicine, 7/1/05 through 6/30/06.

Murphy, Brian S., College of Medicine, Assistant Research Professor, Internal Medicine, 7/1/05 through 6/30/06.

Nair, Sonia, College of Medicine, Clinical Assistant Professor, Internal Medicine, 8/1/05 through 6/30/06.

Rice, Angela Y., College of Medicine, Clinical Assistant Professor, Family Practice and Community Medicine, 8/1/05 through 6/30/06.

Romano, Carol A., College of Nursing, Professor (voluntary), 5/15/05 through 6/30/06.

Ryou, Chongsuk, College of Medicine, Assistant Professor, Microbiology, Immunology and Molecular Genetics, 11/1/05 through 6/30/06.

Seebold, Kenneth W., College of Agriculture, Assistant Extension Professor, Plant Pathology, 3/21/05 through 6/30/05.

Shinn, Jennifer B., College of Medicine, Assistant Professor*, Surgery, 7/1/05 through 6/30/06.

Singh, Amarpreet D., College of Medicine, Clinical Instructor, Ophthalmology and Visual Sciences, 7/7/05 through 6/30/06.

Spears, Carol, College of Medicine, Clinical Instructor, Surgery, 7/1/05 through 6/30/06.

Temprano, Katherine K., College of Medicine, Clinical Assistant Professor, Internal Medicine, 8/15/05 through 6/30/06.

Williams, Brian A., College of Medicine, Clinical Assistant Professor, Radiation Medicine, 7/1/05 through 6/30/06.

Yancey, Andrea E., College of Medicine, Clinical Instructor, Surgery, 7/1/05 through 6/30/06.

Yang, Hsin-Sheng, College of Medicine, Assistant Professor, Graduate Center for Toxicology, 7/1/05 through 6/30/06.

Zgoda, Michael A., College of Medicine, Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.

## B. ADMINISTRATIVE APPOINTMENTS

Goldstein, Beth, College of Education, Associate Professor (with tenure), Educational Policy Studies and Evaluation, and joint appointment as Associate Professor (without tenure), Anthropology, College of Arts and Sciences, appointed Chair, Educational Policy Studies and Evaluation, 7/1/05 through 6/30/09.

Lane, Derek R., College of Communications and Information Studies, Associate Professor (with tenure), Communication, appointed Associate Dean for Graduate Programs, College of Communications and Information Studies, 7/1/05 through 6/30/09.

## C. JOINT APPOINTMENTS

Clasey, Jody, College of Education, Associate Professor (with tenure), Kinesiology and Health Promotion, joint appointment as Associate Professor (without tenure), Physical Medicine and Rehabilitation, College of Medicine, effective 7/1/05.

Hansen, Wendy F., College of Medicine, Associate Professor* (with tenure), Obstetrics and Gynecology, joint appointment as Associate Professor* (without tenure), Diagnostic Radiology, effective 6/1/05.

Nixon, Sara Jo, College of Arts and Sciences, Professor (with tenure), Psychology, joint appointment as Professor (without tenure), Behavioral Science, College of Medicine, effective 7/1/05.

Novak, Michael J., College of Dentistry, Professor (with tenure), Oral Health Practice, joint appointment as Professor (without tenure), Obstetrics and Gynecology, College of Medicine, effective 5/1/05.

Watkins, John, College of Public Health, Associate Professor (with tenure), Gerontology, and joint appointment as Associate Professor (without tenure), Geography, College of Arts and Sciences, new joint appointment as Associate Professor (without tenure), Health Behavior, effective 1/1/05.

## D. REAPPOINTMENTS

Andersen, Anders H., College of Medicine, Associate Research Professor, Anatomy and Neurobiology, 7/1/05 through 6/30/06.

Andrade, Francisco H., College of Medicine, Associate Professor (without tenure), Physiology, 7/1/05 through 6/30/06.

Bard, James W., College of Medicine, Professor (part-time), Internal Medicine, 7/1/05 through 6/30/06.

Bennett, Charles H., College of Medicine, Adjunct Professor, Physiology, 7/1/05 through 6/30/06.

Branch, Leslie B., College of Medicine, Professor (part-time), Internal Medicine, 7/1/05 through 6/30/06.

Brown, Randy A., College of Medicine, Associate Professor* (without tenure), Internal Medicine, 7/1/05 through 6/30/06.

Cambi, Franca, College of Medicine, Associate Professor (without tenure), Neurology, and joint appointment as Associate Professor (without tenure), Anatomy and Neurobiology, 7/1/05 through 6/30/06.

Carey, Karen, College of Education, Professor (visiting), Educational Policy Studies and Evaluation, 7/1/05 through 6/30/06.

Chasen, Craig A., College of Medicine, Clinical Associate Professor, Internal Medicine, 7/1/05 through 6/30/06.

Cobb, James C., College of Arts and Sciences, Associate Adjunct Professor, Geology, 7/1/05 through 6/30/07.

Collins, Robert W., College of Medicine, Clinical Associate Professor, Internal Medicine, 7/1/05 through 6/30/06.

Conner, William T., College of Medicine, Clinical Professor, Surgery, 7/1/05 through 6/30/06.

Davis, Robert T., College of Medicine, Clinical Associate Professor, Internal Medicine, 7/1/05 through 6/30/06.

deBeer, Maria C., College of Medicine, Associate Research Professor, Physiology, 7/1/05 through 6/30/06.

Donnelly, Michael, College of Medicine, Research Professor, Surgery, 7/1/05 through 6/30/06.

Gairola, Chandra G., College of Medicine, Research Professor, Graduate Center for Toxicology, 7/1/05 through 6/30/06.

Getchell, Marilyn L., College of Medicine, Research Professor, Anatomy and Neurobiology, 7/1/05 through 6/30/06.

Gibson, Jacqueline S., College of Medicine, Clinical Professor, Internal Medicine, 7/1/05 through 6/30/06.

Henry, Robert G., College of Dentistry, Associate Professor (part-time), Oral Health Science, 7/1/05 through 6/30/06.

Hoven, Ardis D., College of Medicine, Clinical Professor, Internal Medicine, 7/1/05 through 6/30/06.

Hower, James C., College of Arts and Sciences, Adjunct Professor, Geology, 7/1/05 through 6/30/07.

Kaplan, Alan L., College of Dentistry, Associate Adjunct Professor, Oral Health Science, 7/1/05 through 6/30/06.

Karpf, Michael, College of Medicine, Clinical Professor, Internal Medicine, 7/1/05 through 6/30/06.

Knight, Judson M., College of Dentistry, Associate Professor (part-time), Oral Health Science, 7/1/05 through 6/30/06.

LeVine, Harry, College of Medicine, Associate Professor (without tenure), Molecular and Cellular Biochemistry, 7/1/05 through 6/30/06.

Lewis, Carolyn K., College of Nursing, Clinical Associate Professor, 7/1/05 through 6/30/06.

Mannino, David M., College of Medicine, Clinical Associate Professor, Internal Medicine, 7/1/05 through 6/30/06.

Mazzoleni, Alberto, College of Medicine, Professor (part-time), Internal Medicine, 7/1/05 through 6/30/06.

McClure, Rick R., College of Medicine, Clinical Associate Professor, Internal Medicine, 7/1/05 through 6/30/06.
McCormick, Malkanthie I., College of Medicine, Clinical Associate Professor, Internal Medicine, 7/1/05 through 6/30/06.
McMahon, Douglas G., College of Medicine, Adjunct Professor, Physiology, 7/1/05 through 6/30/06.
Meek, Robin R., College of Medicine, Associate Professor (part-time), Internal Medicine, 7/1/05 through 6/30/06.
Miller, Beth A., College of Medicine, Clinical Associate Professor, Internal Medicine, 7/1/05 through 6/30/06.
Miller, Ralph E., College of Medicine, Clinical Professor, Internal Medicine, 7/1/05 through 6/30/06.
Moreno, Pedro R., College of Medicine, Associate Professor (part-time), Internal Medicine, 7/1/05 through 6/30/06.
Nath, Avindra, College of Medicine, Adjunct Professor, Neurology, 7/1/05 through 6/30/06.
Novak, Karen F., College of Dentistry, Associate Professor (without tenure), Oral Health Practice, 7/1/05 through 6/30/06.
O'Hara, Bruce, College of Arts and Sciences, Associate Professor (without tenure), Biology, 7/1/05 through 6/30/07.
Pittman, Anne M., College of Medicine, Clinical Associate Professor, Internal Medicine, 7/1/05 through 6/30/06.
Popham, Julia A., College of Medicine, Clinical Associate Professor, Internal Medicine, 7/1/05 through 6/30/06.
Pritchett, Charles E., College of Dentistry, Associate Professor (part-time), Oral Health Science, 7/1/05 through 6/30/06.
Rayens, Mary K., College of Nursing, Associate Research Professor, 7/1/05 through 6/30/06.
Robertson, William C., College of Medicine, Clinical Professor, Neurology, and joint appointment as Clinical Professor, Pediatrics, 7/1/05 through 6/30/06.
Ryan, Stephen J., College of Medicine, Clinical Associate Professor, Neurology, 7/1/05 through 6/30/06.
Saatman, Kathryn E., College of Medicine, Associate Professor (without tenure), Physiology, 7/1/05 through 6/30/06.
Sawyer, Donald T., College of Arts and Sciences, Adjunct Professor, Chemistry, 7/1/05 through 6/30/08.
Smith, Samuel R., College of Agriculture, Associate Professor (temporary), Plant and Soil Sciences, 7/1/05 through 6/30/06.
Spires, Stephen M., College of Medicine, Clinical Associate Professor, Surgery, 7/1/05 through 6/30/06.
Stansbury, C. M., College of Dentistry, Associate Professor (part-time), Oral Health Science, 7/1/05 through 6/30/06.
Steinhubl, Steven R., College of Medicine, Associate Professor* (without tenure), Internal Medicine, 7/1/05 through 6/30/06.
Stigers, Jenny L., College of Dentistry, Associate Professor (part-time), Oral Health Science, 7/1/05 through 6/30/06.

Thompson, James R., College of Dentistry, Associate Professor (part-time), Oral Health Science, 7/1/05 through 6/30/06.

Toney, Dale E., College of Medicine, Clinical Associate Professor, Internal Medicine, 7/1/05 through 6/30/06.

Tsai, Chung-Jyi, College of Medicine, Clinical Associate Professor, Internal Medicine, 7/1/05 through 6/30/06.

Turner, Erwin G., College of Dentistry, Clinical Professor, Oral Health Science, 7/1/05 through 6/30/06.

Ufomata, Dickson P., College of Dentistry, Associate Professor (part-time), Oral Health Practice, 7/1/05 through 6/30/06.

Weaver, Diana J., College of Nursing, Associate Professor (part-time), 7/1/05 through 6/30/06.

Whayne, Thomas F., College of Medicine, Clinical Professor, Internal Medicine, 7/1/05 through 6/30/06.

Winter, Trevor A., College of Medicine, Associate Professor* (without tenure), Internal Medicine, 7/1/05 through 6/30/06.

Wong, Isaac, College of Medicine, Associate Professor (without tenure), Molecular and Cellular Biochemistry, 7/1/05 through 6/30/06.

Xu, Fadi, College of Medicine, Associate Adjunct Professor, Physiology, 7/1/05 through 6/30/06.

Yoneda, Justine M., College of Medicine, Associate Professor (part-time), Radiation Medicine, 7/1/05 through 6/30/06.

Zhang, Zhiming, College of Medicine, Associate Research Professor, Anatomy and Neurobiology, 7/1/05 through 6/30/06.

## E. PROMOTIONS

Brown, Tamara, College of Arts and Sciences, from Assistant Professor, Psychology, and joint appointment as Assistant Professor, Behavioral Science, College of Medicine, to Associate Professor (with tenure), Psychology, and joint appointment as Associate Professor (without tenure), Behavioral Science, College of Medicine, effective 7/1/05.

Bruce-Keller, Annadora J., College of Medicine, from Assistant Professor, Anatomy and Neurobiology, to Associate Professor (with tenure), Anatomy and Neurobiology, effective 7/1/05.

Bullock, Kevin D., College of Agriculture, from Associate Extension Professor (with tenure), Animal and Food Science, to Extension Professor (with tenure), Animal and Food Science, effective 7/1/05.

Cappe, Yvonne, College of Communications and Information Studies, from Assistant Professor*, Journalism and Telecommunications, to Associate Professor* (with tenure), Journalism and Telecommunications, effective 7/1/05.

Durham, Richard E., College of Agriculture, from Assistant Extension Professor, Horticulture, to Associate Extension Professor (with tenure), Horticulture, effective 7/1/05.

Dwyer, Roberta M., College of Agriculture, from Associate Professor (with tenure), Veterinary Science, to Professor (with tenure), Veterinary Science, effective 7/1/05.

Finney, L. N., College of Arts and Sciences, from Associate Professor (with tenure), English, to Professor (with tenure), English, effective 7/1/05.

Geddes, James W., College of Medicine, from Associate Professor (with tenure), Anatomy and Neurobiology, to Professor (with tenure), Anatomy and Neurobiology, effective 7/1/05.

Gerson, Kenneth L., College of Medicine, from Associate Professor (part-time), Pediatrics, to Professor (part-time), Pediatrics, 7/1/05 through 6/30/06.

Goldsmith, Judith A., College of Engineering, from Associate Professor (with tenure), Computer Science, to Professor (with tenure), Computer Science, effective 7/1/05.

Gorbounov, Vassili, College of Arts and Sciences, from Associate Professor (with tenure), Mathematics, to Professor (with tenure), Mathematics, effective 7/1/05.

Greenwood, Martha F., College of Medicine, from Associate Professor (with tenure), Pediatrics, to Professor* (with tenure), Pediatrics, effective 7/1/05.

Hahn, Ellen J., College of Nursing, from Associate Professor (with tenure), and joint appointment as Associate Professor (without tenure), Health Behavior, College of Public Health, to Professor (with tenure), and joint appointment as Professor (without tenure), Health Behavior, College of Public Health, effective 7/1/05.

Humphries, Roger L., College of Medicine, from Assistant Professor*, Emergency Medicine, to Clinical Associate Professor, Emergency Medicine, 7/1/05 through 6/30/06.

Keller, Jeffrey N., College of Medicine, from Assistant Professor, Anatomy and Neurobiology, to Associate Professor (with tenure), Anatomy and Neurobiology, effective 7/1/05.

Knapp, Pamela E., College of Medicine, from Associate Professor (with tenure), Anatomy and Neurobiology, to Professor (with tenure), Anatomy and Neurobiology, effective 7/1/05.

Litzelfelner, Pat, College of Social Work, from Assistant Professor, to Associate Professor (without tenure), 7/1/04 through 6/30/05.

Maloney, Doreen M., College of Fine Arts, from Assistant Professor, Art, to Associate Professor (with tenure), Art, effective 7/1/05.

Manivannan, Dakshnamoorthy, College of Engineering, from Assistant Professor, Computer Science, to Associate Professor (with tenure), Computer Science, effective 7/1/05.

Montross, Michael D., College of Agriculture, from Assistant Professor, Biosystems and Agricultural Engineering, to Associate Professor (with tenure), Biosystems and Agricultural Engineering, effective 7/1/05.

Nagel, Uwe, College of Arts and Sciences, from Assistant Professor, Mathematics, to Associate Professor (with tenure), Mathematics, effective 7/1/05.

Osborne, Paul B., College of Dentistry, from Assistant Professor*, Oral Health Practice, to Associate Professor* (with tenure), Oral Health Practice, effective 7/1/05.

Pearce, Kevin A., College of Medicine, from Associate Professor* (with tenure), Family Practice and Community Medicine, and joint appointments as Associate Professor* (without tenure), Preventive Medicine and Environmental Health,

College of Public Health and Associate Professor* (without tenure), Epidemiology, College of Public Health, to Professor* (with tenure), Family Practice and Community Medicine, and joint appointments as Professor* (without tenure), Preventive Medicine and Environmental Health, College of Public Health and Professor* (without tenure), Epidemiology, College of Public Health, effective 7/1/05.

Pierce, Yolanda, College of Arts and Sciences, from Assistant Professor, English, to Associate Professor (with tenure), English, effective 7/1/05.

Rivkin-Fish, Michele, College of Arts and Sciences, from Assistant Professor, Anthropology, to Associate Professor (with tenure), Anthropology, effective 7/1/05.

Secor, Anna, College of Arts and Sciences, from Assistant Professor, Geography, to Associate Professor (with tenure), Geography, effective 7/1/05.

Silverstein, David L., College of Engineering, from Assistant Professor*, Chemical and Materials Engineering, to Associate Professor* (with tenure), Chemical and Materials Engineering, effective 7/1/05.

Steltenkamp, Carol L., College of Medicine, from Clinical Assistant Professor, Pediatrics, to Clinical Associate Professor, Pediatrics, 7/1/05 through 6/30/06.

Tunberg, Jennifer, College of Arts and Sciences, from Assistant Professor, Modern and Classical Languages, Literatures and Cultures, to Associate Professor (with tenure), Modern and Classical Languages, Literatures and Cultures, effective 7/1/05.

Velasco, Sherry, College of Arts and Sciences, from Associate Professor (with tenure), Hispanic Studies, to Professor (with tenure), Hispanic Studies, effective 7/1/05.

Vorobieva, Irina V., College of Fine Arts, from Assistant Professor*, Music, to Associate Professor* (with tenure), Music, effective 7/1/05.

Wyatt, Stephen W., College of Public Health, from Associate Professor* (with tenure), Preventive Medicine and Environmental Health, and joint appointment as Associate Professor* (without tenure), Family Practice and Community Medicine, College of Medicine, to Professor* (with tenure), Preventive Medicine and Environmental Health, and joint appointment as Associate Professor* (without tenure), Family Practice and Community Medicine, College of Medicine, effective 7/1/05.

Xie, Gong Y., College of Medicine, from Clinical Associate Professor, Internal Medicine, to Clinical Professor, Internal Medicine, 7/1/05 through 6/30/06.

Yurek, David M., College of Medicine, from Associate Research Professor, Surgery, and joint appointment as Associate Research Professor, Anatomy and Neurobiology, to Research Professor, Surgery, and joint appointment as Associate Research Professor, Anatomy and Neurobiology, 7/1/05 through 6/30/06.

## F. CHANGES

Jouridine, Linda A., College of Agriculture, from Associate Extension Professor (with tenure), Family and Consumer Science, and joint appointment as Associate Extension Professor (without tenure), Kentucky School of Public Health, College of Medicine, to Associate Extension Professor (with tenure), Health Behavior,

College of Public Health, and joint appointment as Associate Extension Professor (without tenure), Family and Consumer Science, College of Agriculture, effective 5/1/05.

Tucker, Thomas C., College of Public Health, from Associate Professor* (with tenure), Health Services Management, and joint appointment as Associate Professor* (without tenure), Preventive Medicine and Environmental Health, to Associate Professor* (with tenure), Epidemiology, and joint appointments as Associate Professor* (without tenure), Preventive Medicine and Environmental Health and Associate Professor* (without tenure), Health Services Management, effective 7/1/04.

## G. TERMINAL REAPPOINTMENTS

DeMoll, Louis E., College of Arts and Sciences, Associate Professor, Chemistry, and joint appointment as Associate Professor, Microbiology, Immunology and Molecular Genetics, College of Medicine, 7/1/05 through 6/30/06.

Kesavalu, Lakshmyya, College of Dentistry, Associate Research Professor, Oral Health Science, 7/1/05 through 6/30/06.

Knight, Evelyn A., College of Public Health, Associate Research Professor, Health Behavior, 7/1/05 through 6/30/06.

## H. RETIREMENTS

Bobbitt, Frances, College of Medicine, QA and Control Reg Program Assistant, Markey Cancer Center, after 9 years and 7 months of consecutive service, under AR II-1.6-1, Section III.B, effective 4/27/05.

Burns, Phyllis, Undergraduate Education, Staff Support Associate II, Admissions, after 16 years and 8 months of consecutive service, under AR II-1.6-1, Section III.B, effective 4/22/05.

Chi, In Soon, Libraries, Librarian IV, after 20 years and 11 months of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/05.

Cohen, Gail, College of Medicine, Clinical Research Assistant, Center on Aging, after 10 years and 9 months of consecutive service, under AR II-1.6-1, Section III.B, effective 2/28/05.

Freehling, William, College of Arts and Sciences, Professor (with tenure), History, after 10 years and 10 months of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/05.

Furst, Richard W., College of Business and Economics, Professor (with tenure), Management, after 24 years of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/05.

Herring, George, College of Arts and Sciences, Professor (with tenure), History, after 36 years of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/05.

Okazaki, Kenji, College of Engineering, Professor (with tenure), Chemical and Materials Engineering, after 20 years and 10 months of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/05.

Reucroft, Philip J., College of Engineering, Professor (with tenure), Chemical and Materials Engineering, after 35 years and 7 months of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/05.

## I. EARLY RETIREMENTS

Allen, Sandra, College of Arts and Sciences, Staff Support Associate II, Mathematics, after 26 years and 3 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 5/20/05.

Amerson, Ann B., College of Pharmacy, Professor* (with tenure), after 34 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 6/30/05.

Caudill, Phyllis, College of Agriculture, Program Assistant, Family and Consumer Science, after 20 years and 1 month of consecutive service, under AR II-1.6-1, Section III.A.2, effective 3/31/05.

Emberton, Catherine, College of Agriculture, Extension Secretary, Cooperative Extension Service, after 36 years and 5 months, effective 6/30/05.

Ensminger, Glenda Sue, College of Agriculture, Staff Support Associate II, Extension Administration, after 19 years and 2 months of consecutive service, and 35 years and 9 months of total service, under AR II-1.6-1, Section III.A.2, effective 6/30/05.

Frank, Daniel, College of Arts and Sciences, Professor (with tenure), Philosophy, after 23 years and 10 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 6/30/05.

Harker, Candace, College of Agriculture, County Extension Agent, Cooperative Extension Service, after 20 years and 2 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 6/30/05.

Henegar, Alice Woodford, College of Agriculture, 4-H Youth Development Agent, Extension Field Programs, after 16 years and 7 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 6/27/05.

Hillard, Rita L., Undergraduate Education, Staff Support Associate I, Admissions, after 22 years and 9 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 5/31/05.

Hunter, A. Elizabeth, College of Medicine, Nurse Clinician, Pediatrics, after 24 years and 8 months of consecutive service, and 32 years and 8 months of total service, under AR II-1.6-1, Section III.A.2, effective 6/30/05.

Meckier, Jerome, College of Arts and Sciences, Professor (with tenure), English, after 34 years and 10 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 6/30/05.

Werner, Mary, Libraries, Library Technician, after 21 years and 6 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 4/29/05.

### J. PHASED RETIREMENT APPOINTMENTS

Flesher, James W., College of Medicine, Professor (with tenure), Molecular and Biomedical Pharmacology, and joint appointment as Professor (without tenure), Toxicology, Graduate School, 7/1/05 through 6/30/10.

## II. ADMINISTRATIVE ACTION

### A. ACADEMIC APPOINTMENTS

Bean, James R., College of Health Sciences, Instructor (voluntary), Clinical Sciences, 7/1/04 through 6/30/06.

Chalmers, Stephen J., College of Medicine, Instructor (part-time), Internal Medicine, 7/1/05 through 6/30/06.

Chamberlin, Barbara K., College of Social Work, Instructor (part-time), 8/16/05 through 6/30/06.

Chumbler, Richard A., College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/05 through 6/30/06.

Cole, Darby, College of Medicine, Assistant Professor (voluntary), Family Practice and Community Medicine, 5/1/05 through 6/30/06.

Cole, Jennifer E., College of Social Work, Instructor (part-time), 8/16/05 through 6/30/06.

Conard, Dennis W., College of Medicine, Assistant Professor (part-time), Emergency Medicine, 5/1/05 through 6/30/05.

Curtsinger, Alison S., College of Medicine, Instructor (part-time), Internal Medicine, 7/1/05 through 6/30/06.

Deep, Kristy S., College of Medicine, Instructor (part-time), Internal Medicine, 7/1/05 through 6/30/06.

Donohue, Steven, College of Health Sciences, Instructor (voluntary), Clinical Sciences, 1/1/05 through 6/30/06.

Elskus, Adria, College of Arts and Sciences, Assistant Adjunct Professor, Biology, 1/1/05 through 12/31/07.

Fain, William G., College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/05 through 6/30/06.

Fawns, Tina D., College of Medicine, Assistant Professor (voluntary), Family Practice and Community Medicine, 5/1/05 through 6/30/06.

Francis, James M., College of Medicine, Instructor (part-time), Internal Medicine, 7/1/05 through 6/30/06.

Glueck, Dehra A., College of Medicine, Assistant Professor (part-time), Psychiatry, and joint appointment as Assistant Professor (part-time), Pediatrics, 8/1/05 through 6/30/06.

Greene, David A., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 4/1/05 through 6/30/06.

Holloway, James M., College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/05 through 6/30/06.

Hopkins, Denise, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/05 through 5/15/05.

Johnston, Andrea K., College of Medicine, Instructor (part-time), Internal Medicine, 7/1/05 through 6/30/06.

Kaibas, Aaron J., College of Medicine, Instructor (part-time), Internal Medicine, 7/1/05 through 6/30/06.

Kronmann, Karl C., College of Medicine, Instructor (part-time), Internal Medicine, 7/1/05 through 6/30/06.

Lair, John S., College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/05 through 6/30/06.

Lay, Larry T., College of Medicine, Instructor (part-time), Anesthesiology, 7/1/05 through 6/30/06.

Love, Keisha M., College of Education, Assistant Professor, Educational and Counseling Psychology, 8/1/05 through 6/30/06.

Loy, Carroll R., College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/05 through 6/30/06.

Lyon, Sarah M., College of Arts and Sciences, Assistant Professor, Anthropology, 8/16/05 through 6/30/07.

Mayes, Jerry G., College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/05 through 6/30/06.

Melahn, William L., College of Medicine, Assistant Professor (voluntary), Family Practice and Community Medicine, 4/1/05 through 6/30/06.

Peshkopia, Ridvan, College of Arts and Sciences, Instructor (part-time), Political Science, 8/16/05 through 12/31/05.

Risher, Richard L., College of Medicine, Assistant Professor (voluntary), Family Practice and Community Medicine, 5/1/05 through 6/30/06.

Rowe, Melinda G., College of Public Health, Assistant Professor (voluntary), Preventive Medicine and Environmental Health, 4/1/05 through 6/30/06.

Schoenfeld, Jene' L., College of Arts and Sciences, Assistant Professor, English, 8/16/05 through 6/30/07.

Seyfred, Jill, College of Social Work, Instructor (part-time), 1/15/05 through 6/30/05.

Shelton, David G., College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/05 through 6/30/06.

Shultz, William T., College of Medicine, Assistant Professor (voluntary), Emergency Medicine, 5/1/05 through 6/30/06.

Soares, Neelkamal S., College of Medicine, Assistant Professor (part-time), Pediatrics, 6/1/05 through 6/30/05.

Tackett, Angela S., College of Medicine, Clinical Instructor, Internal Medicine, 7/1/05 through 6/30/06.

Thomas, Eric R., College of Medicine, Instructor (part-time), Ophthalmology and Visual Sciences, 7/7/05 through 6/30/06.

Thompson, David W., College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/05 through 6/30/06.

Tingle, Charles W., College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/05 through 6/30/06.

Tingle-Settle, Emily, College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/05 through 6/30/06.

Tutunovic, Svetlana, College of Health Sciences, Instructor (voluntary), Clinical Sciences, 1/1/05 through 6/30/06.

Violette, Jeffrey M., College of Medicine, Assistant Professor (voluntary), Emergency Medicine, 5/1/05 through 6/30/06.

Vonsick, William J., College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/05 through 6/30/06.

Ward, Leigh K., College of Dentistry, Assistant Professor (voluntary), Oral Health Practice, 6/1/05 through 6/30/06.

Whitney, Laura K., College of Medicine, Clinical Instructor, Pediatrics, 7/1/05 through 6/30/06.

Wilson, Jack T., College of Dentistry, Instructor (voluntary), Oral Health Science, 6/1/05 through 6/30/06.

Yoo, Chan Y., College of Communications and Information Studies, Assistant Professor, Journalism and Telecommunications, 8/16/05 through 6/30/06.

Zwick, Matthew D., College of Medicine, Assistant Professor (voluntary), Diagnostic Radiology, 4/1/05 through 6/30/06.

## B. JOINT APPOINTMENTS

Gray, John I., College of Dentistry, Assistant Professor (voluntary), Oral Health Practice, joint appointment as Assistant Professor (voluntary), Surgery, College of Medicine, 4/1/05 through 6/30/06.

Hall, Lisa R., College of Medicine, Assistant Professor (voluntary), Family Practice and Community Medicine, joint appointment as Assistant Professor (voluntary), Pediatrics, 9/1/04 through 6/30/06.

Jacobs-Lawson, Joy M., College of Public Health, Assistant Professor, Gerontology, and joint appointment as Assistant Professor, Psychology, College of Arts and Sciences, new joint appointment as Assistant Professor, Health Behavior, 1/1/05 through 6/30/05.

Kim, Sujin, College of Communications and Information Studies, Assistant Professor, Library and Information Science, joint appointment as Assistant Professor, Pathology and Laboratory Medicine, College of Medicine, 5/1/05 through 6/30/06.

## C. REAPPOINTMENTS

Abolins, Liga, College of Arts and Sciences, Lecturer, English, 7/1/05 through 6/30/06.

Adams, Robert J., College of Engineering, Assistant Professor, Electrical and Computer Engineering, 7/1/05 through 6/30/07.

Adams, Ruth E., College of Fine Arts, Assistant Professor, Art, 7/1/05 through 6/30/06.

Al-Sabbagh, Mohanad, College of Dentistry, Assistant Professor*, Oral Health Practice, 7/1/05 through 6/30/06.

Allaire, Gloria, College of Arts and Sciences, Lecturer, Modern and Classical Languages, Literatures and Cultures, 7/1/05 through 6/30/06.

Allweiss, Pamela H., College of Public Health, Assistant Professor (part-time), Preventive Medicine and Environmental Health, and joint appointments as Assistant Professor (part-time), Family Practice and Community Medicine, College of Medicine and Assistant Professor (part-time), Physical Medicine and Rehabilitation, College of Medicine, 7/1/05 through 8/31/05.

Arsenescu, Razvan I., College of Medicine, Assistant Professor*, Internal Medicine, 7/1/05 through 6/30/06.

Arvin, Rachael, College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/05 through 6/30/06.

Atwood, Katharine A., College of Public Health, Assistant Professor (part-time), Health Behavior, 7/1/05 through 6/30/06.

Barnes, Karen J., College of Medicine, Assistant Professor (part-time), Family Practice and Community Medicine, 7/1/05 through 6/30/06.

Barve, Ashutosh, College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.

Bathke, Arne, College of Arts and Sciences, Assistant Professor, Statistics, 7/1/05 through 6/30/07.

Bausch, Margaret, College of Education, Assistant Professor, Special Education and Rehabilitation Counseling, 7/1/05 through 6/30/06.

Bebensee, George, College of Arts and Sciences, Lecturer, English, 7/1/05 through 6/30/06.

Beighle, Aaron E., College of Education, Assistant Professor, Kinesiology and Health Promotion, 7/1/05 through 6/30/06.

Bensalem, Meriem K., College of Medicine, Assistant Professor*, Neurology, 7/1/05 through 6/30/06.

Beshear, Diedra D., College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.

Bigham, Alacia L., College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.

Bitson, Troy B., College of Arts and Sciences, Lecturer, Psychology, 7/1/05 through 6/30/06.

Black-Parker, Kimberly, College of Communications and Information Studies, Assistant Professor, Library and Information Science, 7/1/05 through 6/30/06.

Bosch, Antonio, College of Medicine, Assistant Professor*, Internal Medicine, 7/1/05 through 6/30/06.

Bouneva, Iliana, College of Medicine, Assistant Professor*, Internal Medicine, 7/1/05 through 6/30/06.

Bouvier, Jeanne R., College of Nursing, Adjunct Instructor, 7/1/05 through 6/30/06.

Bradley, Kelly, College of Education, Assistant Professor, Educational Policy Studies and Evaluation, 7/1/05 through 6/30/06.

Brandewie, Deborah J., College of Medicine, Assistant Professor (part-time), Internal Medicine, 7/1/05 through 6/30/06.

Brown, Stephen A., College of Medicine, Assistant Research Professor, Internal Medicine, 7/1/05 through 6/30/06.

Browne Ferrigno, Tricia, College of Education, Assistant Professor, Educational Leadership Studies, 7/1/05 through 6/30/06.

Bruce, April P., College of Social Work, Instructor (part-time), 8/1/05 through 6/30/06.

Brueckner, Jennifer K., College of Medicine, Assistant Professor*, Anatomy and Neurobiology, 7/1/05 through 6/30/06.
Bruemmer, Dennis C., College of Medicine, Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.
Bryan, Valerie L., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Buch, Ketan P., College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.
Burt, John B., College of Dentistry, Clinical Assistant Professor, Oral Health Science, 7/1/05 through 6/30/06.
Byron, Raymond J., College of Dentistry, Assistant Professor*, Oral Health Practice, 7/1/05 through 6/30/06.
Calderhead, William J., College of Education, Assistant Professor, Special Education and Rehabilitation Counseling, 7/1/05 through 6/30/06.
Campbell, F. Diane, College of Arts and Sciences, Lecturer, English, 7/1/05 through 6/30/06.
Campbell, Kenneth S., College of Medicine, Assistant Professor, Physiology, 7/1/05 through 6/30/06.
Cantrell, Susan, College of Education, Assistant Professor, Curriculum and Instruction, 7/1/05 through 6/30/06.
Capilouto, Gilson J., College of Health Sciences, Assistant Professor, Rehabilitation Sciences, 7/1/05 through 6/30/06.
Carter, Michael, College of Arts and Sciences, Lecturer, English, 7/1/05 through 6/30/06.
Carver, Janette B., Libraries, Librarian IV, 7/1/05 through 6/30/06.
Chen, Jinhui, College of Medicine, Assistant Professor, Anatomy and Neurobiology, 7/1/05 through 6/30/06.
Chen, Mei, College of Engineering, Assistant Professor, Civil Engineering, 7/1/05 through 6/30/07.
Chen-Izu, Ye, College of Medicine, Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.
Cheves, Elizabeth P., College of Nursing, Clinical Instructor, 7/1/05 through 6/30/06.
Christiansen, David C., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Chung, Misook L., College of Nursing, Assistant Research Professor, 7/1/05 through 6/30/06.
Clark, Stephen, College of Arts and Sciences, Lecturer, Statistics, 7/1/05 through 6/30/06.
Clements, John H., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/05 through 6/30/06.
Coleman, Phyllis, College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Collins-Camargo, Crystal E., College of Social Work, Clinical Assistant Professor, 7/1/05 through 6/30/06.
Congleton, Mary, Libraries, Librarian III, 7/1/05 through 6/30/06.
Cook, Patricia G., College of Social Work, Assistant Professor, 7/1/05 through 6/30/06.
Cooper, Gregory E., College of Medicine, Assistant Professor (part-time), Neurology, 7/1/05 through 6/30/06.
Craig, Carlton D., College of Social Work, Assistant Professor, 7/1/05 through 6/30/06.
Crocker, Lina, College of Arts and Sciences, Lecturer, English, 7/1/05 through 6/30/06.

Cross, Tammy N., College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.

Cunningham, Larry L., College of Dentistry, Assistant Professor, Oral Health Science, and joint appointment as Assistant Professor, Surgery, College of Medicine, 7/1/05 through 6/30/06.

Curl-Nagy, Deborah J., College of Social Work, Clinical Instructor, 7/1/05 through 6/30/06.

D'Orazio, Sarah E., College of Medicine, Assistant Professor, Microbiology, Immunology and Molecular Genetics, 7/1/05 through 6/30/06.

D'Souza, Nympha B., College of Medicine, Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.

Daniels, Judith A., College of Nursing, Clinical Instructor, 7/1/05 through 6/30/06.

Danner, Deborah D., College of Public Health, Assistant Research Professor, Preventive Medicine and Environmental Health, and joint appointment as Assistant Research Professor, Family Practice and Community Medicine, College of Medicine, 7/1/05 through 6/30/06.

Darbee, Joan C., College of Health Sciences, Assistant Professor, Rehabilitation Sciences, 7/1/05 through 6/30/06.

Darrat, Suleiman, College of Arts and Sciences, Lecturer, Modern and Classical Languages, Literatures and Cultures, 7/1/05 through 6/30/06.

Davis, Renee M., College of Medicine, Clinical Instructor, Family Practice and Community Medicine, 7/1/05 through 6/30/06.

Davis, Wyvonna K., College of Social Work, Instructor (part-time), 1/15/05 through 6/30/05.

Dean, Melvin W., College of Dentistry, Assistant Professor (part-time), Oral Health Science, 7/1/05 through 6/30/06.

Demann, Eric T., College of Dentistry, Clinical Assistant Professor, Oral Health Science, 7/1/05 through 6/30/06.

DeSimone, Christopher P., College of Medicine, Clinical Instructor, Obstetrics and Gynecology, 7/1/05 through 6/30/06.

Diamond, Scott E., College of Medicine, Assistant Professor, Physiology, 7/1/05 through 6/30/06.

Dinger, James S., College of Arts and Sciences, Assistant Adjunct Professor, Geology, 7/1/05 through 6/30/07.

Doolen, Andrew, College of Arts and Sciences, Assistant Professor, English, 7/1/05 through 6/30/07.

Doyle, Ann S., Libraries, Librarian III, 7/1/05 through 6/30/06.

Drahovzal, James A., College of Arts and Sciences, Assistant Adjunct Professor, Geology, 7/1/05 through 6/30/07.

Eble, Cortland F., College of Arts and Sciences, Assistant Adjunct Professor, Geology, 7/1/05 through 6/30/07.

Ely, Gretchen E., College of Social Work, Assistant Professor, 7/1/05 through 6/30/06.

Emert, Gordon, College of Education, Assistant Professor, Curriculum and Instruction, 7/1/05 through 6/30/06.

Erwin, Anne B., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.

Escalante, David A., College of Medicine, Assistant Professor (part-time), Internal Medicine, 7/1/05 through 6/30/06.

Evans, Julie L., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Feddock, Christopher A., College of Medicine, Assistant Professor*, Internal Medicine, and joint appointment as Instructor*, Pediatrics, 7/1/05 through 6/30/06.
Fisher, R. S., College of Arts and Sciences, Assistant Adjunct Professor, Geology, 7/1/05 through 6/30/07.
Fleming-Phillips, Barbara, College of Medicine, Assistant Professor (part-time), Internal Medicine, 7/1/05 through 6/30/06.
Floyd, Sondra R., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Fraley, Christian S., College of Dentistry, Clinical Assistant Professor, Oral Health Science, 7/1/05 through 6/30/06.
Frazer, Robert Q., College of Dentistry, Assistant Professor*, Oral Health Practice, 7/1/05 through 6/30/06.
Fults, Janna, College of Arts and Sciences, Lecturer, Modern and Classical Languages, Literatures and Cultures, 7/1/05 through 6/30/06.
Gardiner, James R., College of Medicine, Clinical Instructor, Orthopaedic Surgery, 7/1/05 through 6/30/06.
Geurin, Danni L., College of Social Work, Clinical Instructor, 7/1/05 through 6/30/06.
Gilman, Richard, College of Education, Assistant Professor, Educational and Counseling Psychology, 7/1/05 through 6/30/06.
Godlaski, Theodore M., College of Social Work, Clinical Assistant Professor, 7/1/05 through 6/30/06.
Gold, Brian T., College of Medicine, Assistant Professor, Anatomy and Neurobiology, 7/1/05 through 6/30/06.
Gong, Ming C., College of Medicine, Assistant Professor, Physiology, 7/1/05 through 11/30/05.
Goodrum, Paul M., College of Engineering, Assistant Professor, Civil Engineering, 7/1/05 through 6/30/07.
Gordy, Carrie M., College of Nursing, Clinical Assistant Professor, 7/1/05 through 6/30/06.
Gore, David R., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/05 through 6/30/06.
Gorton, William T., College of Agriculture, Assistant Adjunct Professor, Agricultural Economics, 7/1/05 through 6/30/06.
Graham, Uschi M., College of Arts and Sciences, Assistant Adjunct Professor, Geology, 7/1/05 through 6/30/07.
Green, Sharon F., College of Medicine, Clinical Instructor, Internal Medicine, 7/1/05 through 6/30/06.
Grondin, Richard C., College of Medicine, Assistant Research Professor, Anatomy and Neurobiology, 7/1/05 through 6/30/06.
Gross, Janet C., College of Nursing, Assistant Professor (part-time), 7/1/05 through 6/30/06.
Groves, Chris G., College of Arts and Sciences, Assistant Adjunct Professor, Geology, 7/1/05 through 6/30/07.
Gu, Liya, College of Medicine, Assistant Professor, Graduate Center for Toxicology, and joint appointment as Assistant Professor, Pathology and Laboratory Medicine, 7/1/05 through 6/30/06.

Guo, Zhenheng, College of Medicine, Assistant Research Professor, Physiology, 7/1/05 through 6/30/06.
Hakim, Azam J., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/05 through 6/30/06.
Hall, Julia J., College of Nursing, Lecturer, 7/1/05 through 6/30/06.
Handke, Michael, College of Arts and Sciences, Lecturer, Geology, 7/1/05 through 6/30/06.
Hardin, Albert A., College of Fine Arts, Assistant Professor, Theatre, 7/1/05 through 6/30/06.
Hardin-Pierce, Melanie G., College of Nursing, Clinical Assistant Professor, 7/1/05 through 6/30/06.
Harley, John P., College of Nursing, Assistant Professor (part-time), 7/1/05 through 6/30/06.
Hassan, Humaira, College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.
Hastings, J. Todd, College of Engineering, Assistant Professor, Electrical and Computer Engineering, 7/1/05 through 6/30/07.
Haubenreich, James E., College of Dentistry, Assistant Professor*, Oral Health Practice, 7/1/05 through 6/30/06.
Haven, Robert W., College of Fine Arts, Assistant Professor, Theatre, 7/1/05 through 6/30/06.
Hawthorne, Colette W., College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.
Hayden, Arthur C., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Hazle, Charles, College of Health Sciences, Assistant Professor*, Rehabilitation Sciences, 7/1/05 through 6/30/06.
Hazlette, Margaret A., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Heiser, Regina M., College of Nursing, Adjunct Instructor, 7/1/05 through 6/30/06.
Herren, Michael C., College of Dentistry, Assistant Professor*, Oral Health Practice, 7/1/05 through 6/30/06.
Hinds, Bruce J., College of Engineering, Assistant Professor, Chemical and Materials Engineering, and joint appointment as Assistant Professor, Chemistry, College of Arts and Sciences, 7/1/05 through 6/30/07.
Hoch, Eeva K., Libraries, Librarian IV, 7/1/05 through 6/30/06.
Hoellein, Andrew R., College of Medicine, Assistant Professor*, Internal Medicine, 7/1/05 through 6/30/06.
Holmes, Stephen, College of Arts and Sciences, Assistant Professor, Chemistry, 7/1/05 through 6/30/07.
Hong, Stephanie, College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Howard, Dianna S., College of Medicine, Assistant Professor*, Internal Medicine, 7/1/05 through 6/30/06.
Howell, Penny B., College of Education, Assistant Professor, Curriculum and Instruction, 7/1/05 through 6/30/06.
Huhn, Jeniffer L., College of Medicine, Assistant Professor*, Radiation Medicine, 7/1/05 through 6/30/06.
Hunn, Vanessa L., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.

Inoue, Masamichi, College of Arts and Sciences, Assistant Professor, Modern and Classical Languages, Literatures and Cultures, 7/1/05 through 6/30/07.
Izu, Leighton T., College of Medicine, Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.
Jensen, Lynne A., College of Nursing, Clinical Assistant Professor, 7/1/05 through 6/30/06.
Johnson, Jeffrey T., College of Dentistry, Assistant Professor*, Oral Health Science, 7/1/05 through 6/30/06.
Joseph, Jane E., College of Medicine, Assistant Professor, Anatomy and Neurobiology, 7/1/05 through 6/30/06.
Joyce, Jennifer M., College of Medicine, Assistant Professor*, Family Practice and Community Medicine, 7/1/05 through 9/30/05.
Jung, Lee Ann, College of Education, Assistant Professor, Special Education and Rehabilitation Counseling, 7/1/05 through 6/30/06.
Kalinski, Michael E., College of Engineering, Assistant Professor, Civil Engineering, 7/1/05 through 6/30/07.
Kiefer, John D., College of Arts and Sciences, Assistant Adjunct Professor, Geology, 7/1/05 through 6/30/07.
Killip, Shersten, College of Medicine, Assistant Professor*, Family Practice and Community Medicine, 7/1/05 through 6/30/06.
Kim, Sujin, College of Communications and Information Studies, Assistant Professor, Library and Information Science, 7/1/05 through 6/30/06.
Kitzman, Patrick H., College of Health Sciences, Assistant Professor, Rehabilitation Sciences, 7/1/05 through 1/31/06.
Kloha, Nancy R., College of Nursing, Clinical Instructor, 7/1/05 through 6/30/06.
Knoeppel, Robert C., College of Education, Assistant Professor, Educational Leadership Studies, 7/1/05 through 6/30/06.
Koch, Alvaro G., College of Medicine, Assistant Professor*, Internal Medicine, 7/1/05 through 6/30/06.
Krampe, Kristina, College of Education, Assistant Research Professor, Special Education and Rehabilitation Counseling, 7/1/05 through 6/30/06.
Lankster, Florence M., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Lau, Daniel L., College of Engineering, Assistant Professor, Electrical and Computer Engineering, 7/1/05 through 6/30/07.
Lazzari, Lori W., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Lee, Chad D., College of Agriculture, Assistant Extension Professor, Plant and Soil Sciences, 7/1/05 through 6/30/06.
Lemmerman, Keith J., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/05 through 6/30/06.
Lester, Harold D., College of Dentistry, Assistant Adjunct Professor, Oral Health Science, 7/1/05 through 6/30/06.
Lewis, Cheryl B., College of Nursing, Clinical Instructor, 7/1/05 through 6/30/06.
Lewis, William D., College of Medicine, Assistant Professor (part-time), Diagnostic Radiology, 7/1/05 through 6/30/06.
Lin, Yi-Ling, College of Dentistry, Assistant Professor, Oral Health Science, 7/1/05 through 6/30/06.

Liu, Chaoyuan, College of Arts and Sciences, Lecturer, Mathematics, 7/1/05 through 6/30/06.
Lockard, Anthony S., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Lott, Alan C., College of Education, Assistant Research Professor, Special Education and Rehabilitation Counseling, 7/1/05 through 6/30/06.
Lott, Kimberly H., College of Education, Assistant Research Professor, Special Education and Rehabilitation Counseling, 7/1/05 through 6/30/06.
Madaleno, James A., College of Health Sciences, Assistant Adjunct Professor, Rehabilitation Sciences, 7/1/05 through 6/30/06.
Maggard, Stacie K., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/05 through 6/30/06.
Manley, Daniel B., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/05 through 6/30/06.
Markowitz, Mary, College of Education, Assistant Professor, Curriculum and Instruction, 7/1/05 through 6/30/06.
Marksbury, Tom, College of Arts and Sciences, Lecturer, English, 7/1/05 through 6/30/06.
Mattingly, Michelle L., College of Medicine, Clinical Assistant Professor, Neurology, 7/1/05 through 6/30/06.
McCarthy, John J., College of Medicine, Assistant Research Professor, Physiology, 7/1/05 through 6/30/06.
McCrary, Nancye, College of Education, Assistant Research Professor, Special Education and Rehabilitation Counseling, 7/1/05 through 6/30/06.
McFalls, Christina L., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
McGavran, Mary Beth D., College of Arts and Sciences, Lecturer, Psychology, 7/1/05 through 6/30/06.
McNall, Rebecca, College of Education, Assistant Professor, Curriculum and Instruction, 7/1/05 through 6/30/06.
Meek, Donna K., College of Dentistry, Clinical Assistant Professor, Oral Health Science, 7/1/05 through 12/31/05.
Miller, Kim, College of Education, Assistant Professor, Kinesiology and Health Promotion, and joint appointment as Assistant Professor, Health Behavior, College of Public Health, 7/1/05 through 6/30/06.
Mills, Beth K., College of Social Work, Clinical Instructor, 7/1/05 through 6/30/06.
Missall, Kristen, College of Education, Assistant Professor, Educational and Counseling Psychology, 7/1/05 through 6/30/06.
Moylan, Jennifer S., College of Medicine, Assistant Research Professor, Physiology, 7/1/05 through 6/30/06.
Mullen, Nancy K., College of Medicine, Assistant Professor (part-time), Internal Medicine, 7/1/05 through 6/30/06.
Mulligan-Messmer, Barbara B., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Newell, Christopher S., College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.
Oaks, Jan, College of Arts and Sciences, Lecturer, English, 7/1/05 through 6/30/06.

Olson, Anne D., College of Health Sciences, Assistant Professor*, Rehabilitation Sciences, 7/1/05 through 6/30/06.
Orren, David K., College of Medicine, Assistant Professor, Graduate Center for Toxicology, 7/1/05 through 9/30/05.
Oz, Helieh S., College of Medicine, Assistant Research Professor, Internal Medicine, 7/1/05 through 6/30/06.
Parlanti, Sherry M., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/05 through 6/30/06.
Parmley, Lloyd E., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/05 through 6/30/06.
Parrott, Mark L., College of Medicine, Clinical Assistant Professor, Pediatrics, 7/1/05 through 6/30/06.
Paz, Yanira, College of Arts and Sciences, Assistant Professor, Hispanic Studies, 7/1/05 through 6/30/07.
Pena, Luis R., College of Medicine, Assistant Professor*, Internal Medicine, 7/1/05 through 6/30/06.
Pierce, Heather H., College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.
Platt, Phyllis A., College of Social Work, Instructor (part-time), 8/16/05 through 6/30/06.
Plummer, Patricia A., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Rabchevsky, Alexander G., College of Medicine, Assistant Professor, Physiology, 7/1/05 through 6/30/06.
Randazzo, Kirk, College of Arts and Sciences, Assistant Professor, Political Science, 7/1/05 through 6/30/07.
Reece, Erik, College of Arts and Sciences, Lecturer, English, 7/1/05 through 6/30/06.
Reese, Daniel P., College of Medicine, Clinical Assistant Professor, Anesthesiology, 7/1/05 through 6/30/06.
Reid, Caroline E., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Roberts, Kittye R., College of Nursing, Instructor (part-time), 7/1/05 through 6/30/06.
Robinson, Deirdra L., College of Social Work, Clinical Instructor, 7/1/05 through 6/30/06.
Rodenberg, Richard E., College of Medicine, Assistant Professor*, Family Practice and Community Medicine, and joint appointment as Assistant Professor*, Surgery, 7/1/05 through 6/30/06.
Rosenblum, William J., College of Medicine, Assistant Professor*, Orthopaedic Surgery, 7/1/05 through 6/30/06.
Sabet, Arman, College of Medicine, Assistant Professor*, Neurology, 7/1/05 through 6/30/06.
Sanders, Scott G., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Sargent, Charles G., College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.
Sauer, Jeorg H., College of Arts and Sciences, Lecturer, Modern and Classical Languages, Literatures and Cultures, 7/1/05 through 6/30/06.
Scherbenske, James, College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.

Schwarze, Steven R., College of Medicine, Assistant Professor, Molecular and Cellular Biochemistry, 7/1/05 through 6/30/06.
Scott, Leslie K., College of Nursing, Clinical Assistant Professor, 7/1/05 through 6/30/06.
Seals, Paula B., College of Medicine, Clinical Instructor, Internal Medicine, and joint appointment as Clinical Instructor, Pediatrics, 7/1/05 through 6/30/06.
Sedlacek, John D., College of Agriculture, Assistant Adjunct Professor, Entomology, 7/1/05 through 6/30/06.
Seebold, Kenneth W., College of Agriculture, Assistant Extension Professor, Plant Pathology, 7/1/05 through 6/30/06.
Selby, Lisbeth A., College of Medicine, Assistant Professor*, Internal Medicine, 7/1/05 through 6/30/06.
Short, Gwendolyn S., College of Nursing, Clinical Instructor, 7/1/05 through 6/30/06.
Slone, Kenneth M., College of Medicine, Assistant Professor (part-time), Family Practice and Community Medicine, 7/1/05 through 6/30/06.
Soares, Neelkamal S., College of Medicine, Assistant Professor (part-time), Pediatrics, 7/1/05 through 6/30/06.
Sossou, Marie A., College of Social Work, Assistant Professor, 7/1/05 through 6/30/06.
St. Omer, Ingrid L., College of Engineering, Assistant Professor, Electrical and Computer Engineering, 7/1/05 through 6/30/07.
Staggs-Neel, Mary J., Libraries, Librarian III, 7/1/05 through 6/30/06.
Stamatiadis, Anne Marie, College of Arts and Sciences, Lecturer, English, 7/1/05 through 6/30/06.
Stefaniak, Karen A., College of Nursing, Adjunct Instructor, 7/1/05 through 6/30/06.
Stein, Pam S., College of Medicine, Assistant Professor*, Anatomy and Neurobiology, and joint appointment as Assistant Professor*, Oral Health Practice, College of Dentistry, 7/1/05 through 6/30/06.
Stevenson, J. Erin, College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Stone, Daria N., College of Dentistry, Clinical Assistant Professor, Oral Health Science, 7/1/05 through 6/30/06.
Strobel, Gunnar G., College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.
Stumpf, Elizabeth S., College of Medicine, Assistant Research Professor, Physiology, 7/1/05 through 6/30/06.
Subramanian, Kumar, College of Dentistry, Assistant Professor*, Oral Health Practice, 7/1/05 through 6/30/06.
Sullivan, Jennifer, College of Dentistry, Clinical Assistant Professor, Oral Health Practice, 7/1/05 through 6/30/06.
Sullivan, Patrick G., College of Medicine, Assistant Professor, Anatomy and Neurobiology, 7/1/05 through 6/30/06.
Swan, Kathleen, College of Education, Assistant Professor, Curriculum and Instruction, 7/1/05 through 6/30/06.
Swanberg, Jennifer E., College of Social Work, Assistant Professor, 7/1/05 through 6/30/06.
Tannock, Lisa R., College of Medicine, Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.

Theiss, B. L., College of Dentistry, Clinical Assistant Professor, Oral Health Practice, 7/1/05 through 6/30/06.
Thomas, Brian N., College of Agriculture, Instructor (part-time), Agricultural Economics, 8/24/05 through 12/31/05.
Thompson, John A., College of Dentistry, Assistant Professor (part-time), Oral Health Science, 7/1/05 through 6/30/06.
Tolbert, Thomas R., College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.
Tran, Paulo E., College of Dentistry, Assistant Professor (part-time), Oral Health Science, 7/1/05 through 6/30/06.
Tri, Mary, College of Arts and Sciences, Lecturer, English, 7/1/05 through 6/30/06.
Truitt, Robert, College of Medicine, Clinical Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.
Turkington, Alice, College of Arts and Sciences, Assistant Professor, Geography, 7/1/05 through 6/30/07.
Tyas, Suzanne L., College of Public Health, Assistant Professor, Gerontology, 7/1/05 through 6/30/06.
Tyler, Kenneth M., College of Education, Assistant Professor, Educational and Counseling Psychology, 7/1/05 through 6/30/06.
Umberger, Brian, College of Education, Assistant Professor, Kinesiology and Health Promotion, 7/1/05 through 6/30/06.
Van Dyke, Eileen, College of Health Sciences, Assistant Professor*, Clinical Sciences, 7/1/05 through 4/4/06.
Wahle, John P., College of Dentistry, Assistant Professor (part-time), Oral Health Science, 7/1/05 through 6/30/06.
Walker, Lee, College of Arts and Sciences, Assistant Professor, Political Science, 7/1/05 through 6/30/07.
Wang, Zhenming, College of Arts and Sciences, Assistant Adjunct Professor, Geology, 7/1/05 through 6/30/07.
Ward, Brock R., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/05 through 6/30/06.
Webster, Keith J., College of Health Sciences, Assistant Adjunct Professor, Rehabilitation Sciences, 7/1/05 through 6/30/06.
Webster, Thomas C., College of Agriculture, Assistant Adjunct Professor, Entomology, 7/1/05 through 6/30/06.
Weeks, Pamela L., College of Social Work, Clinical Assistant Professor, 7/1/05 through 6/30/06.
Wegel, Christina, College of Arts and Sciences, Lecturer, Modern and Classical Languages, Literatures and Cultures, 7/1/05 through 6/30/06.
Wehrman, Paul T., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/05 through 6/30/06.
Weisenfluh, Gerald A., College of Arts and Sciences, Assistant Adjunct Professor, Geology, 7/1/05 through 6/30/07.
Wells, Donald G., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/05 through 6/30/06.

Wheeler, Rebecca T., College of Dentistry, Assistant Professor (part-time), Oral Health Science, 7/1/05 through 6/30/06.
White, Jacqueline R., College of Communications and Information Studies, Assistant Professor*, Library and Information Science, 7/1/05 through 6/30/06.
Wiemann, Alfred H., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/05 through 6/30/06.
Wilkinson, Alan D., College of Dentistry, Assistant Professor (part-time), Oral Health Science, 7/1/05 through 6/30/06.
Wilson, Melinda E., College of Medicine, Assistant Professor, Physiology, 7/1/05 through 6/30/06.
Wojtowicz, Geralyn M., College of Health Sciences, Assistant Professor*, Rehabilitation Sciences, 7/1/05 through 6/30/06.
Woolery, Edward, College of Arts and Sciences, Assistant Professor, Geology, 7/1/05 through 6/30/07.
Wrightson, Alan S., College of Medicine, Assistant Professor*, Family Practice and Community Medicine, 7/1/05 through 8/22/05.
Xun, Chang-Qing, College of Medicine, Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.
Yang, Fuqian, College of Engineering, Assistant Professor, Chemical and Materials Engineering, 7/1/05 through 6/30/07.
Yang, Ruigang, College of Engineering, Assistant Professor, Computer Science, 7/1/05 through 6/30/07.
Yepes, Juan F., College of Dentistry, Assistant Professor, Oral Health Practice, 7/1/05 through 6/30/06.
Yi, Kwan, College of Communications and Information Studies, Assistant Professor, Library and Information Science, 7/1/05 through 6/30/06.
Yuan, Ling, College of Agriculture, Assistant Professor, Plant and Soil Sciences, 7/1/05 through 6/30/06.
Zhai, Tongguang, College of Engineering, Assistant Professor, Chemical and Materials Engineering, 7/1/05 through 6/30/07.
Ziada, Khaled M., College of Medicine, Assistant Professor*, Internal Medicine, 7/1/05 through 6/30/06.
Zielke, Judy, College of Nursing, Clinical Instructor, 7/1/05 through 6/30/06.
Zimmerman, Suzanne K., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.
Zook, Matthew, College of Arts and Sciences, Assistant Professor, Geography, 7/1/05 through 6/30/07.
Zurn, Christopher, College of Arts and Sciences, Assistant Professor, Philosophy, 7/1/05 through 6/30/06.

## D. PROMOTIONS WITHOUT TENURE

Hiestand, David M., College of Medicine, from Instructor (part-time), Pediatrics, to Assistant Professor, Internal Medicine, 7/1/05 through 6/30/06.
Klimkina, Oksana, College of Medicine, from Instructor (part-time), Anesthesiology, to Clinical Assistant Professor, Anesthesiology, 7/1/05 through 6/30/06.

Pollock, Richard A., College of Medicine, from Instructor (visiting), Surgery, to Clinical Assistant Professor, Surgery, 7/1/05 through 6/30/06.

## E. CHANGES

Absher, Kimberly J., College of Medicine, from Clinical Assistant Professor, Pathology and Laboratory Medicine, to Assistant Professor (part-time), Pathology and Laboratory Medicine, 10/1/05 through 6/30/06.

Allweiss, Pamela H., College of Public Health, from Assistant Professor*, Preventive Medicine and Environmental Health, and joint appointments as Assistant Professor*, Family Practice and Community Medicine, College of Medicine and Assistant Professor*, Physical Medicine and Rehabilitation, College of Medicine, to Assistant Professor (part-time), Preventive Medicine and Environmental Health, and joint appointments as Assistant Professor (part-time), Family Practice and Community Medicine, College of Medicine and Assistant Professor (part-time), Physical Medicine and Rehabilitation, College of Medicine, 1/3/05 through 6/30/05.

Arosarena, Oneida A., College of Medicine, from Assistant Professor*, Surgery, to Clinical Assistant Professor, Surgery, 7/1/05 through 6/30/06.

Caballero, Ramon L., College of Medicine, from Assistant Professor (visiting), Surgery, to Assistant Professor (voluntary), Surgery, 7/1/05 through 6/30/06.

Camp, Phillip C., College of Medicine, from Assistant Professor*, Surgery, to Clinical Assistant Professor, Surgery, 7/1/05 through 6/30/06.

Dolloff, Paul A., College of Engineering, from Assistant Professor (part-time), Electrical and Computer Engineering, to Assistant Adjunct Professor, Electrical and Computer Engineering, 5/16/05 through 5/15/08.

Edwards, Kim, College of Arts and Sciences, from Assistant Professor (temporary), English, to Assistant Professor, English, 7/1/05 through 6/30/07.

Landers, Cheri D., College of Medicine, from Assistant Professor*, Pediatrics, to Clinical Assistant Professor, Pediatrics, 7/1/05 through 6/30/06.

McDonald, Julianna, College of Arts and Sciences, from Instructor (part-time), Anthropology, to Lecturer, Anthropology, 7/1/05 through 6/30/06.

Schrepferman, Christopher G., College of Medicine, from Assistant Professor (visiting), Surgery, to Assistant Professor (part-time), Surgery, 7/1/05 through 6/30/06.

Wu, Shengqing, College of Arts and Sciences, from Instructor (visiting), Modern and Classical Languages, Literatures and Cultures, to Assistant Professor (visiting), Modern and Classical Languages, Literatures and Cultures, 7/1/05 through 6/30/06.

## F. TERMINAL REAPPOINTMENTS

Apparsundaram, Subramaniam, College of Medicine, Assistant Professor, Anatomy and Neurobiology, 7/1/05 through 6/30/06.

Brown, Elinor, College of Education, Assistant Professor, Curriculum and Instruction, 7/1/05 through 6/30/06.

Camp, Phillip C., College of Medicine, Clinical Assistant Professor, Surgery, 7/1/05 through 6/30/06.

Cecil, James C., College of Dentistry, Assistant Research Professor, Oral Health Science, 7/1/05 through 6/30/06.

Costich, Julia F., College of Public Health, Assistant Research Professor, Health Services Management, 7/1/05 through 6/30/06.

Danaher, Robert J., College of Dentistry, Assistant Research Professor, Oral Health Practice, and joint appointment as Assistant Research Professor, Microbiology, Immunology and Molecular Genetics, College of Medicine, 7/1/05 through 6/30/06.

DeShea, Lise, College of Education, Assistant Professor, Educational and Counseling Psychology, 7/1/05 through 6/30/06.

Gibler, Douglas, College of Arts and Sciences, Assistant Professor, Political Science, 7/1/05 through 6/30/06.

Gong, Ming C., College of Medicine, Assistant Professor, Physiology, 12/1/05 through 11/30/06.

Hagerman, Ellen C., College of Health Sciences, Clinical Assistant Professor, Rehabilitation Sciences, 7/1/05 through 6/30/06.

Houchens, Bridget E., College of Health Sciences, Clinical Assistant Professor, Rehabilitation Sciences, 7/1/05 through 6/30/06.

Houp, George, College of Arts and Sciences, Lecturer, English, 7/1/05 through 6/30/06.

Jones, Jeffery A., College of Public Health, Assistant Research Professor, Health Behavior, 7/1/05 through 6/30/06.

Joyce, Jennifer M., College of Medicine, Assistant Professor*, Family Practice and Community Medicine, 10/1/05 through 9/30/06.

King, Victoria L., College of Medicine, Assistant Research Professor, Internal Medicine, 7/1/05 through 6/30/06.

Li, Mengtao, College of Dentistry, Assistant Research Professor, Oral Health Science, 7/1/05 through 6/30/06.

Mendiondo, Marta S., College of Public Health, Assistant Research Professor, Biostatistics, 7/1/05 through 6/30/06.

Miller, Richard T., College of Medicine, Assistant Professor, Graduate Center for Toxicology, 7/1/05 through 6/30/06.

Orren, David K., College of Medicine, Assistant Professor, Graduate Center for Toxicology, 10/1/05 through 9/30/06.

Shirley, Sharlee M., College of Dentistry, Assistant Research Professor, Oral Health Science, 7/1/05 through 6/30/06.

Talwar, Reena M., College of Dentistry, Clinical Assistant Professor, Oral Health Science, 7/1/05 through 7/2/05.

White, Carol R., College of Medicine, Assistant Research Professor, Internal Medicine, 7/1/05 through 6/30/06.

Wrightson, Alan S., College of Medicine, Assistant Professor*, Family Practice and Community Medicine, 8/23/05 through 8/22/06.

Zhong, Li, College of Medicine, Assistant Research Professor, Internal Medicine, 7/1/05 through 6/30/06.

## G. LEAVES OF ABSENCE

Boosalis, Maria G., College of Health Sciences, Associate Professor (with tenure), Clinical Sciences, and joint appointment as Associate Professor (without tenure), Internal Medicine, College of Medicine, Sabbatical leave at full salary, 7/1/05 through 12/31/05.

Fulbrook, Denise, College of Arts and Sciences, from Leave without pay, 7/1/05 through 6/30/06, to Leave without pay, 1/1/06 through 12/31/06.

Fults, Janna, College of Arts and Sciences, Lecturer, Modern and Classical Languages, Literatures and Cultures, Leave without pay, 7/1/05 through 6/30/06.

Holsinger, James W., College of Medicine, Professor (with tenure), Internal Medicine, joint appointments as Professor (without tenure), Anatomy and Neurobiology, Professor (without tenure), Surgery, and Professor (without tenure), Health Services, Miscellaneous leave without pay, 7/1/05 through 6/30/06.

Huston, Roger L., Office of the Provost, Planning/Budget Director, Provost Budget Office, Leave at partial salary, 7/1/05 through 6/30/06.

Mutersbaugh, Tad, College of Arts and Sciences, Associate Professor (with tenure), Geography, Scholarly fellowship leave, 7/1/05 through 6/30/06.

Popkin, Jeremy, College of Arts and Sciences, Professor (with tenure), History, to change from Leave without pay, 7/1/05 through 12/31/05, Scholarly fellowship leave, 1/1/06 through 6/30/06, and Sabbatical leave at full salary, 7/1/06 through 12/31/06, to Scholarly fellowship leave, 7/1/05 through 6/30/06, and Sabbatical leave at full salary, 7/1/06 through 12/31/06.

Rivkin-Fish, Michele, College of Arts and Sciences, Associate Professor (with tenure), Anthropology, Sabbatical leave at full salary, 7/1/05 through 12/31/05.

Shepherd, Deborah L., College of Agriculture, County Extension Agent, Educational leave at half salary, 8/1/05 through 7/31/06.

Staten, Ruth R., College of Nursing, Associate Professor* (with tenure), Sabbatical leave at full salary, 7/1/05 through 12/31/05.

Superson, Anita, College of Arts and Sciences, Associate Professor (with tenure), Philosophy, Scholarly fellowship leave, 7/1/05 through 6/30/06.

Vorobieva, Irina V., College of Fine Arts, Assistant Professor*, Music, Sabbatical leave at half salary, 7/1/05 through 6/30/06.

## EXECUTIVE VICE PRESIDENT FOR HEALTH AFFAIRS

### I. BOARD ACTION

#### A. ADMINISTRATIVE APPOINTMENTS

University Hospital

Andrews, Charity, University Hospital, Clinical Staff Pharmacist, Pharmacy, effective 5/2/05.
Droste, Sally, University Hospital, Clinical Staff Pharmacist, Pharmacy, effective 5/2/05.
Lehner, Rachelle, University Hospital, Director of Staff Education, Staff Education, effective 6/8/05.

#### B. LEAVE OF ABSENCE

University Hospital

Birdwhistell, Mark, Associate Hospital Director, Hospital Administration, leave of absence without pay 7/1/05 through 6/30/06.

#### C. EARLY RETIREMENTS

University Hospital

Dickey, Carol, University Hospital, Nurse Division Director, Staff Education/Patient Satisfaction, after 31 years and 2 months of consecutive service, effective 5/13/05.
Oldham, Jean, University Hospital, Pharmacy Technician Lead, Pharmacy, after 31 years and 2 months of consecutive service, effective 4/22/05.
Sims, Priscilla A., University Hospital, Medical Chief Technician, Clinical Laboratory, after 40 years and 5 months of consecutive service, effective 7/25/05.

### II. ADMINISTRATIVE ACTION

#### A. CHANGES

University Hospital

Edwards, Earnest, Medical Information Services, Information Technology Manager I/Hospital to Lead Systems Analyst Programmer, Medical Center Information Services, effective 5/1/05.

## EXECUTIVE VICE PRESIDENT FOR RESEARCH

### I. ADMINISTRATIVE ACTION

#### A. ADMINISTRATIVE APPOINTMENTS

Center for Applied Energy Research

Patil, Datta, Center for Applied Energy Research, Engineering Associate III/Research, effective 5/15/05.

Quian, Dali, Center for Applied Energy Research, Engineering Associate III/Research, effective 5/15/05.

# PR 3

Office of the President
June 14, 2005

Members, Board of Trustees:

PROPOSED AMENDMENT TO THE GOVERNING REGULATIONS

Recommendation: that the attached proposed amendment, establishing the University Hospital Committee, to the Governing Regulations of the University of Kentucky (GR Part II, A, 5, h), which was received for preliminary consideration as a part of FCR 32 by the Board of Trustees on May 10, 2005 be approved.

Background: The Board of Trustees authorized the creation of the University Hospital Affiliated Corporation in 1986 in order to establish a governing body for the University Hospital, as required by the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) and for the possibility of separating hospital operations into a separate 501(c)(3) corporation. The corporation never acquired assets, conducted operations, or obtained a determination letter that it qualified as a 501(c)(3) corporation from the Internal Revenue Service. However, its board has served as the governing body of the University Hospital, functioning as a de facto committee of the Board of Trustees. Moreover, the corporation has filed annual reports with the Kentucky Secretary of State and continues in good standing.

The need for the corporation no longer exits because there are no plans to operate the University Hospital as a separate entity. In addition, the need for the corporation to serve as a governing body of the University Hospital for JCAHO purposes can be met by establishing a Standing Committee of the Board of Trustees to be called the University Hospital Committee with all the powers required of a governing body by JCAHO, utilizing committee operational rules.

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Action taken: ☑ Approved ☐ Disapproved ☐ Other _____

PROPOSED GOVERNING REGULATION AMENDMENT PART II
5. STANDING COMMITTEES

h. UNIVERSITY HOSPITAL

Shall serve as a governing body to operate the University Hospital in accordance with the Joint Commission on Accreditation of Health Care Organizations (JCAHO). This responsibility includes: management oversight for the development of policies, rules, and regulations for the governance of the University Hospital. Policies of the Committee are implemented by the Executive Vice President for Health Affairs in carrying out the day-to-day operations of the University Hospital.

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

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

The University Hospital Committee Chair shall report regularly to the Board.

# PR 4

Office of the President
June 14, 2005

Members, Board of Trustees:

ADMINISTRATIVE REGULATION REVISION

Recommendation: that the Board of Trustees approve the attached revision of AR II-1.01, Section II.A., Policies and Procedures on Appointment, Promotion, Granting of Tenure, and Termination of Appointment Applicable to Faculty in the University System.

Background: In its 1992 reaccredidation report, the Southern Association of Colleges and Schools cited UK for its overdependence upon part-time faculty for the delivery of instruction in the lower-division of undergraduate education. Furthermore, in the mid 1990's the Kentucky Council on Higher Education directed the university to make greater progress in reaching a goal, mandated by the Kentucky legislature, of having at least fifty percent of lower-division instruction taught by full-time faculty. These external pressures prompted the central administration to reevaluate UK's use of full-time lecturer faculty. In 1998 the Administrative Regulations were revised and extended regular full-time benefits to lecturer faculty.

The proposed AR revision brings lecturers more in line with prevailing standards and recognition within the university.

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Action taken: ☑ Approved ☐ Disapproved ☐ Other _____

S. Lecturers

Lecturer faculty are professionally qualified teachers hired for a fixed term. Lecturer faculty do not have the same responsibilities and professional obligations of faculty in Regular, Special, Extension or Librarian Title Series. Lecturer appointments shall not be made when appointment as an instructor or assistant professor is appropriate.

Lecturer faculty are appointed or reappointed by final action of the Provost upon recommendation of the department chairperson and the dean without reference to an Academic Area Advisory Committee. Initial appointments at the rank of Lecturer shall not exceed a term of one year. A faculty person at the rank of Lecturer may be reappointed for one or more additional terms for a period of no more than two years per term appointment. Senior Lecturers may be appointed to an initial term not to exceed two years and reappointed for additional terms of no more than two years per term appointment. The maximum number or percentage of lecturers in a department must be based on the written approval of the tenured and tenure-track faculty of that department. The assignment period for lecturer faculty may be on a nine-month, ten-month, eleven-month, or twelve-month basis.

Notification of non-renewal of appointment at the end of the first year of service shall be given no 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 after the first year of service shall be given at least one year before the expiration of the appointment. Any such notification of non-renewal of appointment shall be made in writing by the dean.

Consideration for promotion (without tenure) from Lecturer to Senior Lecturer by final action of the Provost without reference to an Area Committee may occur after a minimum of five years of continuous service as a full-time Lecturer. Pursuant to GR VII.A.6, departmental criteria and procedures for appointment, reappointment, promotion, and merit review shall be established by those academic departments that employ full-time Lecturer faculty and submitted to the dean of the college for approval.

Lecturer faculty are not eligible for tenure, sabbatical leave or membership in the Graduate Faculty. Lecturers are eligible for faculty membership with voting privileges in the college faculty and the University Senate, subject to the approval of the tenured and tenure-track members of the faculty in the college to which they have been assigned. They are also eligible for faculty membership with or without voting privileges in the department to which they have been assigned, subject to the approval of the tenured and tenure-track members of the faculty in that department. If a lecturer is subsequently appointed in the Regular, Special, Extension or Librarian Title Series, time spent as a lecturer shall not count toward eligibility for sabbatical leave nor as a part of the individual's probationary period.

Lecturers are eligible for the same university retirement, health care, and life insurance plans as are Regular, Special, Extension or Librarian Title Series faculty. Similarly, sick leave may be granted by the Provost.

# PR 5

Office of the President
June 14, 2005

Members, Board of Trustees:

REAPPOINTMENT OF BOARD OF DIRECTORS
UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION

Recommendation: that the Board of Trustees approve the reappointment of Pamela May (trustee member) for a three-year term ending June 30, 2008 and the reappointment of Henry Jackson (public member) for a three-year term ending June 30, 2008 to the Board of Directors of the University of Kentucky Research Foundation (UKRF).

Background: In accordance with the bylaws, members of the Board of Directors of the University of Kentucky Research Foundation are appointed by the Board of Trustees to serve three-year terms. The Nominating Committee of the UKRF Board has recommended and the UKRF Board of Directors has endorsed the reappointments of Pamela May and Henry Jackson.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# PR 6

Office of the President
June 14, 2005

Members, Board of Trustees:

REAPPOINTMENT TO BOARD OF DIRECTORS
OF THE FUND FOR ADVANCEMENT OF EDUCATION AND RESEARCH IN THE
UNIVERSITY OF KENTUCKY ALBERT B. CHANDLER MEDICAL CENTER

Recommendation: that approval be given to the reappointment of Carol Farmer for a two-year term ending June 30, 2007 to the Board of Directors of The FUND for Advancement of Education and Research in the University of Kentucky Albert B. Chandler Medical Center.

Background: The Articles of Incorporation of The Fund for Advancement of Education and Research in the University of Kentucky Albert B. Chandler Medical Center require two-year term Board of Director appointments by the Board of Trustees of the University Kentucky.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# PR 7

Office of the President

Members, Board of Trustees:

AGREEMENT BETWEEN UNIVERSITY OF KENTUCKY
AND KENTUCKY MEDICAL SERVICES FOUNDATION

Recommendation: that the Board of Trustees approve the attached agreement between the Board of Trustees of the University of Kentucky and Kentucky Medical Services Foundation, Inc. (KMSF) which was negotiated pursuant to the "Board of Trustees Resolution Regarding Medical Practice Plan" adopted on June 20, 1978 and later amended; and that the Board of Trustees authorize the President to negotiate and execute renewals of this agreement in future years unless the terms of the agreement are significantly modified in such a manner that the President or KMSF determine that Board of Trustees approval is necessary.

Background: The Board action on June 20, 1978 provided that:

> The President is authorized to negotiate and execute a contract subject to approval of the Board of Trustees, with an appropriately qualified organizational entity for carrying out necessary functions and assuming the responsibilities involved in the administration of income for professional services under the plan.

Kentucky Medical Services Foundation, Inc. meets the "criteria" specified under Section 3A for the appropriately qualified organization. The attached agreement conforms to the provisions of the June 20, 1978 Board resolution and specifically satisfies the "conditions" set forth in Section 3B.

The attached agreement contains the following modifications to the 2004-2005 agreement:

- Revision of Section8A to clarify the Dean of the College of Medicine, in his official capacity, is the University official having discretion over the use of the Academic Enrichment Fund.
- Revision of Section 6D to establish new reimbursement rates for Pathology & Laboratory Medicine services under the agreement.
- The addition of paragraph E in Section 5 to provide for the University making the SAP accounting system to KMSF for a one-time fee of $300,000.

- The addition of paragraph C in Section 19 to allow KMSF to provide fiduciary management of professional fees generated by the College of Public Health.
- Updates for organizational changes and other matters.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

THIS AGREEMENT made and entered into this first day of May 2005 by and between the BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY, a statutory body corporate existing pursuant to Section 164.100 et seq. of the Kentucky Revised Statutes (hereinafter referred to as the University) and KENTUCKY MEDICAL SERVICES FOUNDATION, INC., a non-stock, non-profit corporation formed pursuant to Chapter 273 of the Kentucky Revised Statutes (hereinafter referred to as Foundation).

WITNESSETH:

Section 1. RECITALS

A. Foundation is organized for the purposes stated in its Articles of Incorporation as a non-stock, non-profit corporation and will use and apply the whole or any part of its income and principal exclusively for charitable, scientific, or educational purposes at or for the benefit of, the University of Kentucky Medical Center.

B. University faculty in the clinical departments or units of the College of Medicine have heretofore executed agreements with Foundation and University, known as "Practice Agreements and Assignments" whereby said faculty have assigned to Foundation their professionally generated clinical income.

C. The recruitment and retention of the members of the medical faculty of the University will be improved by permitting the said members to supplement, by income from the practice of medicine, the salaries provided by the University.

D. The University recognizes that the medical practice activities of its faculty members can be conducted in a more efficient and economical manner if those faculty members

who produce income are permitted, through the medium of Foundation, to exercise a larger voice in the expenditure of the funds so produced.

E. The University has heretofore established, a "geographic full-time medical service plan", the said geographic full-time plan having been adopted on June 20, 1978, as amended on March 3, 1980, September 15, 1981, June 19, 1984 and June 13, 1995; said action is hereby incorporated by reference as if set out in full herein.

F. The aforementioned action of University's Board of Trustees authorized the University's President to negotiate and execute a contract, subject to the approval of said Board, with an appropriately qualified entity for carrying out necessary functions and assuming the responsibilities involved in the administration of income for professional services under the plan.

NOW THEREFORE, the parties hereto agree as follows:

Section 2. DEFINITIONS

A. "The Plan" means the geographic full-time medical service plan for the University of Kentucky College of Medicine established by action of the Board of Trustees of said University dated June 20, 1978, as amended on March 3, 1980, September 15, 1981, June 19, 1984 and June 13, 1995.

B. "Clinical Income" means the following income attributable to members of the Plan: (1) all compensation, income and payments (direct or in kind and whether characterized as fees, retainers, or otherwise) for professional services rendered or to be rendered, including, but not limited to those relating to the diagnosis, treatment or evaluation of patients or others and consultation; (2) all payments whether direct or in kind (excluding actual travel costs) for providing advice, consultation, serving on boards or committees, overseeing, supervising or other participation with any person or entity involved with (a) health or medical care, (b)

evaluation or care of patients, (c) drugs, (d) therapy of any kind, (e) accident or disease prevention, (f) health or medical care facilities, (g) programs involving health or medical care or (h) health or medical care of any other type; (3) witness fees and payments relating to depositions, testimony or other evaluations in the capacity of a witness; and (4) all other income which relates to or would not exist but for the professional education, experience, or training of members of the Plan. The Dean has the authority to approve exceptions to clinical income and is required to document the nature of the exception and the reason. Provided, however, that nothing contained herein shall be deemed to include in the term "clinical income" any item excluded therefrom by paragraph II, B of the plan.

C. "Practice Agreements" means those documents, denominated Practice Agreements and Assignments heretofore executed by certain members of University's faculty, the University, and Foundation.

D. "University" as used herein, whenever approvals or consents are necessary, shall mean the approval or consent of the President, unless the President determines that approval by the Board of Trustees is necessary.

Section 3. NATURE OF THE AGREEMENT

Pursuant to Paragraph III, A. of the aforementioned action of University's Board of Trustees dated June 20, 1978, as amended on March 3, 1980, September 15, 1981, June 19, 1984 and June 13, 1995, University hereby recognizes Foundation as an "appropriately qualified organizational entity" as described therein for carrying out necessary functions and assuming the responsibilities involved in the administration of income for professional services under University's "geographic full-time medical services plan".

Section 4. BILLING AND COLLECTION

Foundation agrees that it will accept, pursuant to practice agreements, the assignment of all clinical income by participants in the plan and, in accordance with such assignment, agrees to bill for professional services to parties determined to be responsible for payment for such services .

Section 5. PAYMENTS TO UNIVERSITY

A. In accord with paragraph II, D. 2 of the plan, the parties recognize that Foundation must reimburse University for actual expenses incurred by it which are attendant to the production of clinical income.

B. Foundation agrees to pay to University, as reimbursement for the expenses attendant to the production of clinical income, University's actual annual costs, as determined by clinical department or unit expenditures as reimbursement of direct clinic personnel expenses and other current operating expenses, in direct support of the operation of the Kentucky Clinics.

Payments hereunder shall be in the following manner:

The University will submit statements of actual expenditures for each month by the 15th day of the succeeding month. Foundation will reimburse the University of Kentucky by the 24th day of that month.

C. In addition to the above, Foundation agrees that it will make an unrestricted grant to the University of an amount which is not less than the plan component of income for each member as described in paragraph II, C., 2 of the plan. Said grant will be paid in monthly installments.

D. Foundation agrees that it will make an unrestricted grant to the University for non clinic expenses as reasonably submitted by the clinical departments such as other department personnel and current department operating expenses as indicated on such submissions.

Payments hereunder shall be made in the following manner:

University will submit statements of actual expenditures for each month by the 15th day of the succeeding month. Foundation will make a grant to the University of Kentucky by the 24th day of that month.

E. The University will make available to KMSF the SAP accounting system. It is understood that the University is a service provider in relation to the provision of the SAP system, and the KMSF's participation in the SAP accounting system will not be construed to cause any KMSF funds to become UK or Commonwealth of Kentucky funds. KMSF's use of the SAP accounting system shall not alter or limit KMSF's control of the expenditure of its funds, or grant UK any additional rights with respect thereto. It is further understood that all costs to KMSF associated with the implementation and provision of SAP, as well as ongoing support and maintenance of the system, will be included in a one-time fee of $300,000. Any consumables (paper supplies, etc) requested and utilized by KMSF will be an additional cost.

Section 6. REIMBURSEMENT OF FOUNDATION

A. The parties recognize that University receives certain services from Foundation, for which it is due reimbursement as specified herein below.

B. University agrees to pay to Foundation on behalf of members of the Department of Diagnostic Radiology for the provision of x-ray interpretation services to the University Health Service during the period July 1, 2005 - June 30, 2006 a sum not to exceed Twenty One

Thousand Seven Hundred Ninety Five ($21,795.00) Dollars, for a maximum of 2,250 examinations. For any interpretations beyond this amount, a fee of $10 per examination will be paid to Diagnostic Radiology. This reconciliation of "excess" examinations, if any, will occur within 30 days after the end of the fiscal year.

C. University agrees to pay to Foundation on behalf of the applicable department of the College of Medicine, for provision of specified physical examinations to certain University employees, a fee for each examination.

D. University agrees to pay Foundation on behalf of clinical faculty members of the Department of Pathology and Laboratory Medicine, for provision of pathology services to the University Health Service, a fee of $6.60 per patient for pap smears, whether normal or abnormal, for the professional component. All other pathology professional services are to be reimbursed at 50% of the usual and customary charge for each service rendered.

E. University will make payment to Foundation quarterly, on the last calendar day of each quarter beginning September 30, 2005, for services as described in paragraph B hereinabove. University will make payment to Foundation monthly, within 30 days of invoice date each month beginning July 31, 2005, for services described in paragraphs C and D.

F. University agrees to share in the costs of the salary and benefits and other related expenses for a Compliance Analyst III to be an employee of Foundation, such sharing to be established by agreement between the UK Compliance Officer and the KMSF Compliance Officer.

Section 7. COST SETTLEMENTS

A. The parties recognize that the provision of medical services in the current competitive environment may at times require a joint effort on the part of the University and University Hospital and Foundation in the formation of new delivery systems. These efforts may

at times require the sharing of cost between the parties. Formulas for the sharing will be developed and mutually agreed to by the parties, which may result in payment by the University to the Foundation, or by the Foundation to the University.

Examples of such joint efforts include but are not limited to:

1. The operation of the UK Health Care Plans, including the UK-HMO.
2. The operation of certain marketing efforts.
3. Payment to the Fund for Advancement of Education and Research for the Medical Center for services rendered to clinical departments or units of the College of Medicine by members of practice plans of the Colleges of Health Sciences, Dentistry, Nursing, or Pharmacy.

B. The parties also agree that data exchanges between the computer systems, regardless of mode, of the University and Foundation will be payable at cost by the receiving party, or offset by an exchange of data deemed by both parties to be payment-in-kind.

C. Foundation may acquire by purchase, lease, or other means real and/or personal property to be utilized in the production of clinical income resulting from teaching, research and service functions performed by the members of the clinical departments. Acquisition of said real and/or personal property must be authorized by the Board of Directors of Foundation.

Section 8. ACADEMIC ENRICHMENT FUND

A. Consonant with Section II, D. 3 of the plan adopted by University's Board of Trustees on June 20, 1978, as amended on March 3, 1980, September 15, 1981, June 19, 1984 and June 13, 1995, Foundation agrees that it will pay to The Fund for Advancement of Education and Research in the University of Kentucky Medical Center (hereinafter Fund), an amount equal to two (2%) percent of the actual clinical income collected by said Foundation. The Fund will

deposit said payments in an account maintained for the purpose of providing an academic enrichment fund to be used by the Dean of the College of Medicine in support of the programs of said College and for related purposes at his sole discretion. Amounts due hereunder will be computed by Foundation on a monthly basis as income is received and remitted to the Fund within twenty-five (25) days after the close of each monthly accounting period.

B. Foundation further agrees that it will deposit, in an account maintained by Foundation, on the same basis as provided in subsection A. herein above, an additional amount equal to eight percent (8%) of the actual clinical income collected by said Foundation, said funds to be used by the Dean of the College of Medicine for the enrichment of the programs of the College and for related purposes at his sole discretion.

C. Foundation further agrees that it will deposit in an account maintained by Foundation any payments obtained by intergovernmental transfers related to supplemental payments to the College of Medicine under State Medicaid Programs. Upon receipt of such payments, any funds previously expended by the Dean to qualify for supplemental payments under this paragraph (as documented by the Dean to the Foundation by memorandum in advance of the funds transfer) will be transferred to the account described in Subsection B. The remainder of the funds will be designated to be used by the Dean of the College of Medicine for the further development of clinical programs of the College and for related purposes. The Dean is responsible for developing a process by which these funds may be expended in accordance with applicable state and federal laws and regulations. These funds will not be subject to the charges identified in Section 17A. Foundation agrees that funds deposited in this account shall be invested consistent with the University policy for investment of short-term funds and any investment income derived from balances attributed to this fund shall be credited to said account.

Section 9. PARTICULAR COVENANTS OF THE FOUNDATION

A. Foundation's Articles of Incorporation, as filed with the Secretary of State of the Commonwealth of Kentucky on June 19, 1978, as amended have been inspected by the University as a condition precedent to University's entry into this agreement. Foundation covenants that it will not, absent the written agreement of the University, amend or otherwise alter said Articles or adopt any by-law or other operating practice which would effectively alter the character of said Foundation.

B. Foundation covenants it will not engage in the practice of medicine, nor will it without the written consent of the University solicit, administer, receive, perform, or accept any gift, grant, devise or bequest with or from any governmental unit, entity, or subdivision or any person, corporation, partnership, association or other entity whatsoever except as specifically permitted herein or as necessary for normal business operations. Provided, however, that nothing contained herein shall be construed to prohibit the Foundation (subject to the approval of the Dean of the College of Medicine) from negotiating and executing contracts providing exclusively for professional services by faculty who have executed practice agreements.

C. Foundation covenants that it will not without the written consent of the University merge with any other corporation or convey all or substantially all of its assets to any other corporation, partnership, or other entity except as specifically provided herein and that, in the event of its dissolution its Board of Directors shall cause its assets to be applied and distributed as follows: (a) all liabilities and obligations of the corporation shall be paid, satisfied and discharged, or adequate provisions shall be made therefore; (b) assets held by the corporation upon a condition which occurs by reason of the dissolution, shall be returned, transferred or conveyed in accordance with such requirements; and (c) all of the remaining assets of the corporation shall be transferred or conveyed to the Board of Trustees of the University of

Kentucky, or its successor, to be used for medical education and research, if said University or its successor, shall qualify as a public corporation and an instrumentality of the State of Kentucky or as an exempt organization under Section 501(c) (3) of the Internal Revenue Code of 1954, as amended; and if said University or its successor shall not so qualify, then to some other organization or organizations organized and operated exclusively for charitable, educational, or scientific purposes in the field of medicine as shall at the time qualify as an exempt organization or organizations under Section 501(c) (3) of the Internal Revenue Code of 1954, as amended.

Section 10. MEMBERSHIP AND BENEFITS

A. University agrees that it will assist the Foundation to enforce the terms of the Practice Agreements entered into by members of University's clinical departments of its College of Medicine by requiring adherence to said agreements as a condition of continued employment as a member of University's faculty.

B. University agrees that it will require, as a condition of employment as a member of University's faculty in a clinical department or unit that members of its faculty execute Practice Agreements and Assignments in the form of same which may be modified by mutual agreement of the parties hereto from time to time.

C. Foundation agrees that it will not, absent the written consent of University, bill for, collect or administer any item of income for any person or entity not holding membership in the plan, nor will it permit persons not members of the plan to serve as voting members on its Board of Directors, nor will it provide any benefit or other thing of value to any person or entity not a member of the plan except (1) termination benefits to former members as provided by action of Foundation's Board of Directors; (2) incidental benefits indirectly accruing to

employees of the Medical Center by virtue of Foundation's activities; (3) students and House Staff of University; (4) payment to nurses incident to their recruitment to the University Medical Center; (5) education and technical training costs of persons involved in patient care activities; (6) education and technical training costs of persons indirectly involved in patient care activities if approved on a case by case basis by the Dean of the College of Medicine or the EVPHA for the Medical Center; (7) to persons who engage the services of the Foundation pursuant to the provisions of Section 22 - Additional Activities; (8) to persons whose employment is authorized by Section 11.B.; (9) payments in the ordinary course of its business or (10) benefits or other things of value approved or ratified by the Foundation's Board of Directors but which do not violate any express prohibition in any other section of this Agreement.

D. In certain contractual relationships for the provisions of patient care services it may be necessary or advantageous to present a unified billing, incorporating charges from a University patient care organizational entity(ies) and faculty physicians. In such cases, the Foundation is authorized to bill and collect on behalf of the University patient care organizational entity(ies) provided a proposed unified billing arrangement has been developed and agreed to by the parties and has been reviewed by University legal counsel.

Examples of such unified billing include but are not limited to:

1. Charges for hospital and physician services under the terms of agreements with insurance companies or managed care plans for transplantation services, or other services reimbursed on a negotiated global rate basis.

2. University of Kentucky Health Care Plans.

E. Foundation shall assume responsibility for the costs of drugs and supplies to be used in the patient care programs in the clinics and is hereby authorized to bill, collect, and deposit in Foundation accounts revenue from these non ancillary items.

F. Foundation agrees that it will strictly enforce the terms of its Practice Agreements and Assignments, report promptly to University in the event any individual fails or refuses to abide thereby and join with University in any appropriate action, in law or equity, necessary to secure compliance therewith.

Section 11. PERSONNEL

The parties recognize that the Foundation must employ various individuals to carry out its functions hereunder; however, the parties also recognize, and hereby declare their intention to adhere to, those provisions of the plan adopted by University's Board of Trustees on June 20, 1978, as amended on March 3, 1980, September 15, 1981, June 19, 1984 and June 13, 1995, particularly those portions which provide that University must retain responsibility and authority for the appointment of faculty and house staff, the determination of institutional staffing patterns and the maintenance of balance among programs and their component activities.

Accordingly, with respect to employment of personnel by Foundation, the parties agree as follows:

A. Foundation staff

The Foundation may employ an executive director and such assistants, including secretarial and clerical personnel as may be determined by its Board of Directors to be necessary or appropriate to permit said Foundation to bill and collect professional fee income, to administer its funds in accord with the terms of the geographic full-time plan, and to fulfill any other authorized activities of Foundation.

The Foundation is authorized to house computer equipment as may be required to communicate with its central computer and house sufficient employees in the Kentucky Clinic Buildings and other facilities used by University physicians for the purpose of providing billing and financial information to patients of University physicians who are members of the plan and other activities as mutually agreed. In addition, Foundation is also authorized to utilize designated storage space in the basement of the Kentucky Clinic Building for information necessary to the billing function.

B. Other personnel

During the term of this contract Foundation agrees that, except as otherwise approved by the EVPHA for the Medical Center and the Dean of the College of Medicine, it will not have any employees other than the employees authorized in Section 11. A. to perform services in University's patient care or college programs. Provided, however, that this provision shall not be construed to prohibit specific agreements between the parties whereby Foundation will employ personnel for service duties which generate income, provided, however, that such professionals may be employed only upon the recommendation and approval of the Dean of the College of Medicine and approval of same by the EVPHA for the Medical Center, with payment of salary and related costs to be from income produced by such professional activity.

C. Equal opportunity-affirmative action

The Foundation agrees that it will not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin, age, handicap or disability. The Foundation agrees that it will take affirmative action to ensure that applicants are employed and employees are treated during employment, without regard to their race, color, religion, sex, national origin, age, handicap, or disability. Such action shall include, but not be limited to the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising;

layoff or termination; rates of pay or other compensation; and selection for training. The Foundation agrees that it will, in all solicitations or advertisements for employees, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, age, handicap, or disability. The Foundation agrees that it will indemnify and save harmless the University, the Board of Trustees of the University, including the individual members thereof, officers, agents and employees of the University, by reason of any action by law or equity or by reason of any administrative proceeding initiated by any person arising out of any such employment action or practice of the Foundation, including the payment of attorney fees and other costs of such action or proceeding.

Section 12. USE OF UNIVERSITY FACILITIES

The parties recognize that paragraphs III, B. 4, b, d, g and i of the "geographic full-time plan" adopted by University's Board of Trustees on June 20, 1978, as amended on March 3, 1980, September 15, 1981, June 19, 1984 and June 13, 1995, require that institutional control be maintained with respect to direction and supervision of institutional activities and programs, assignment and use of space in institutional facilities, determination of goals, objectives and priorities and the maintenance of balance among programs and their component activities.

Accordingly, Foundation and University agree that University will provide space within the University Hospital, Kentucky Clinic and other space officially designated for the conduct of the patient care operations.

With respect to any other facilities that University may from time to time provide to Foundation (other than Leader Avenue or Gazette Avenue property), Foundation shall be deemed a licensee without any property right whatsoever in said premises or facilities and shall, upon demand of University, vacate same. All rights of Foundation with respect to 134, 136, 138,

144, 148, and 150 Leader Avenue and any other property it may now or hereafter lease or use on Leader Avenue or Gazette Avenue shall be governed, to the extent applicable, by the separate agreement dated April 20, 2001 and any other agreement(s) executed in the future by the parties hereto. In the event of any conflict between such separate agreement(s) and this agreement such separate agreement(s) shall govern and control whether relating to Leader Avenue property or Gazette Avenue property, the existing Foundation office building, parking lots or any other matter.

Section 13. MEDICAL RECORDS

The parties agree that all medical records relating to the care of patients in University facilities or as a part of University programs, are and shall remain the property of University and that Foundation has no right or property interest therein, provided, however, that nothing herein shall be construed to limit access to said records by members of University's faculty, staff, and students pursuant to existing University procedures. Further, the University agrees to provide or make available to Foundation such information and data from patient records and program data maintained by University as may be necessary for Foundation to perform its billing and collection functions herein provided, including such information and data as may be necess ary to meet the requirements of third-party or other payers as the basis for payment for services.

Section 14. INSPECTION AND AUDIT

A. Foundation agrees that, in accord with paragraph II, B. 1, of the action of University's Board of Trustees dated June 20, 1978, as amended on March 3, 1980, September 15, 1981, June 19, 1984 and June 13, 1995, its books and accounts are open at all reasonable times to inspection and audit by appropriately designated University representatives.

B. The parties agree that the University's Internal Auditors may conduct an audit of Foundation's operations and accounts for the period ending June 30, 2005 and such other audits, including audits to determine compliance with this agreement, the terms of the action of University's Board of Trustees on June 20, 1978, as amended on March 3, 1980, September 15, 1981, June 19, 1984 and June 13, 1995, the terms of the departmental agreements referred to in Section 20 hereof, as may be deemed necessary or advisable by the University of Kentucky Controller and Treasurer, and that Foundation's agents and employees will cooperate to the fullest extent possible with University's auditors designated to conduct same. Further, the parties agree that a firm of Certified Public Accountants, mutually agreeable to the parties, will be employed by the Foundation to perform an independent audit of the Foundation's books, records and accounts for the year ended June 30, 2005.

C. The Parties agree that Foundation will be furnished information by University sufficient for Foundation to verify the nature and detail of expenditure of funds paid to University under the provisions of Section 5 B. hereinabove.

Foundation agrees that it will furnish to University the following reports.

Annually

Audited Financial Statements to include:

- Opinion of Independent Certified Public Accountants
- Balance Sheet
- Statement of Changes in Fund Balances
- Statement of Current Revenues and Expenditures
- Supplementary Schedules

Quarterly

Financial Statements to include:

- Balance Sheet
- Statement of Operations
- Gross Billings
- Collections
- Financial Allowances
- Bad Debts
- Aging Trial Balance of Accounts Receivable upon request of University Treasurer, by:

Patient liability
Third party payer
Reports of Delinquent Account Activity upon written request of University Treasurer to include:
Referrals
Collections

Section 15. DEFAULT

A. In the event of any failure of Foundation to pay any sum due to University hereunder within thirty (30) days after written notice of such default shall have been mailed to Foundation, or any failure to perform any other of the terms, conditions or covenants of this agreement to be observed or performed by Foundation for more than thirty (30) days after written notice of such default shall have been mailed to Foundation, or if Foundation shall become bankrupt or insolvent, or file any debtor proceedings, or take or have taken against Foundation in any court pursuant to any statute either of the United States or of any State a petition in bankruptcy or insolvency or for reorganization or for the appointment of a receiver or trustee of all or a portion of Foundation's property, or if Foundation makes an assignment for the benefit of creditors, or petitions for or enters into an arrangement therewith, then University may terminate this agreement. Provided however, that should any default occur which cannot reasonably be corrected within such thirty (30) day period then Foundation shall have such additional time to correct said default as may be reasonably necessary if Foundation promptly initiates, and expeditiously carries out, appropriate action to correct such default.

B. University may at its election terminate this agreement with respect to any department without termination of the entire agreement for the same reasons and in the same manner as provided hereinabove.

Section 16. PROFESSIONAL LIABILITY

Nothing contained herein shall be construed to provide that any member of University's clinical faculty, house staff or student body is acting as an agent of Foundation when providing care to patients in University facilities or as a part of an approved University program. University agrees that, when so acting, said faculty, house staff and students shall be considered agents of said University and that payment of claims or judgments may be made on their behalf from the fund provided pursuant to KRS 164.941 or other University funds.

Section 17. MANAGEMENT AND INVESTMENT POLICIES

A. The parties recognize and agree that the reimbursement of University costs incurred attendant to the production of clinical income and the provision of a sum equal to ten (10%) percent (which sum is the ten (10%) percent described in Sections 8A. and B.) of Foundation's gross clinical income received for the purpose of providing an academic enrichment fund for University's College of Medicine constitute the second and third charges, respectively, upon Foundation's gross income, the first charge being Foundation's ordinary and necessary expenses incurred for costs of administration and in billing and collecting said income and providing for the central administration of Foundation. The fourth charge being other expenses which are incurred by the Foundation.

B. Foundation agrees that funds deposited in a separate account pursuant to Section 8B., Academic Enrichment Fund shall be invested consistent with the University Policy for investment of short term funds.

Foundation shall be entitled to the investment income derived from said account, provided however investment income derived from balances attributed to the academic enrichment fund identified in subparagraph A. and Section 8B. hereinabove shall be credited to said account.

C. Foundation agrees that it shall maintain a separate account pursuant to its contributing for self-insurance identified in Section 18B. to be invested consistent with the University's policy for investment of endowed funds with all income to be accumulated in said separate account. The investment plan of Foundation for said separate account is subject to the approval of the University's Treasurer.

D. Notwithstanding anything contained herein to the contrary, the Dean of the College of Medicine may waive or reduce the charges referred to in Section 8 hereinabove (and elsewhere herein by reference to Section 8) relative to such clinical income as he may from time to time determine.

Section 18. PROVISION OF PROFESSIONAL LIABILITY INSURANCE

A. Under the professional liability insurance program, Foundation agrees that it will pay the University, as reimbursement, for the physicians' pro rata share of the malpractice contributions as determined by the Medical Malpractice Claims Committee, of the costs of the following: (i) payments required pursuant to KRS 164.941 in one (1) lump sum payment within five (5) working days of receipt of amount due; (ii) costs of claims administration in twelve (12) equal installments, the first said installment being due and payable on July 31, 2005 and monthly thereafter until June 30, 2006; and (iii) the physicians' pro rata share of the costs of excess commercial insurance within five (5) working days of receipt of amount due.

B. In addition, Foundation has agreed that between July 1, 2005 and June 30, 2006, if required by the Medical Malpractice Claims Committee, it will cause to be deposited in a separate account within the Foundation the physicians' pro rata share of the malpractice contributions as determined by the Medical Malpractice Claims Committee of the additional

contributions for self insurance, said account together with interest accruing thereto to be held solely for the purpose of payment of legal fees, settlements, judgments arising for liabilities defined in KRS 164.941(3) and for lump sum payments referenced in previous paragraph 18A. No monies in said account shall be expended for any other purpose than as provided in this Section without the written agreement of University, nor shall such monies be encumbered, pledged or otherwise hypothecated. The monies in said account shall be invested only as provided in Section 17 hereof. Payment to the separate account may be in equal installments, provided that the full pro rata share of the malpractice contributions as determined by the Medical Malpractice Claims Committee shall be deposited by June 30, 2006.

C. In sum, Foundation agrees to pay in both assessments and contributions of the pro rata share of the malpractice contributions as determined by the Medical Malpractice Claims Committee of the total program costs of 2005-2006 as determined by KRS 164.941 and the Medical Malpractice Claims Committee.

Section 19. ADMINISTRATION OF DEPARTMENTAL FUNDS

A. Foundation, after making provision for (1) the costs of its administration and costs relating to billing and collection; (2) reimbursement of University expenses pursuant to Section 5 hereof; (3) the College of Medicine Academic Enrichment Fund pursuant to Section 8 hereof; (4) provision of professional liability insurance pursuant to Section 18 hereof; (5) provision of payment of actual expenses incurred by it which are attendant to the production of clinical income; (6) such reserves as are reasonably determined by the Foundation's Board of Directors; and (7) other obligations which are agreed to by the Foundation and are made pursuant to any agreement with, at the written request of, approved, or ratified in writing by the University of Kentucky, agrees that it will maintain its accounts in such a manner that income attributable to

the professional clinical activities of each of the following departments or divisions shall be shown separately on books maintained by the Foundation from any other fund or funds held by said Foundation:

Anesthesiology
Clinical Program Units
Diagnostic Radiology
Emergency Medicine
Family Practice and Community Medicine
Kentucky Clinic Hazard
Kentucky Clinic South
Internal Medicine
Neurology
Obstetrics and Gynecology
Ophthalmology
Orthopaedic Surgery
Pathology and Laboratory Medicine
Pediatrics
Psychiatry
Radiation Medicine
Physical Medicine and Rehabilitation
Surgery

B. Thereafter, Foundation agrees that it will expend the funds maintained by it in the aforementioned accounts only in accord with the departmental or divisional agreement relating to each department or division. Said departmental agreements are recognized as a material portion of this agreement. Therefore the parties agree that University shall retain custody of all funds accruing to the account of departments for which an approved departmental agreement has not been executed. Said departmental or divisional agreements may be amended from time to time, as provided in said agreements, with the approval of the Dean of the College of Medicine and/or the EVPHA for the Medical Center. The Dean and the EVPHA have the authority to approve or disapprove all departmental or divisional agreements as deemed necessary.

C. Notwithstanding anything contained in this or any other agreement to the contrary, the Foundation is hereby granted the right and shall be permitted (in addition to the matters contemplated by this Agreement) but not obligated to (a) enter into and perform its obligations under such agreement(s), as the Foundation determines appropriate, with the University's College of Public Health of any physician(s) or other provider(s) now or hereafter assigned to the University's College of Public Health and (b) bill for , collect, administer and distribute funds pursuant o the terms of any existing or future agreement(s) either (i) with the University's College of Public Health or any physician(s) or other provider(s) now or hereafter assigned to the University's College of Public Health or (ii) relating to services provided or supervised by any physician(s) or other provider(s) now or hereafter assigned to the University's College of Public Health.

Section 20. NOTICES

All notices, demands and requests hereunder shall be in writing and shall be given by United States Registered or Certified Mail or by messenger delivery, in the case of University to:

Dean of the College of Medicine
MN-150
University Medical Center
800 Rose Street
Lexington, Kentucky 40536-0084

In the case of Foundation to:

Bobby Rogers, Executive Director
Kentucky Medical Services Foundation, Inc.
138 Leader Avenue
Lexington, Kentucky 40508

Each party may from time to time change its address for purposes of notice by giving to the other party notice of such change of address. Any notice, demand or request given by United

States Registered or Certified Mail, as provided herein, shall be deemed served on the date it is deposited in the United States mails properly addressed and with postage fully prepaid.

Section 21. RECORDS ACCESS

Pursuant to Public Law 96-499, Section 952, the Foundation agrees to make available upon written request from the Secretary of Health and Human Resources, the Comptroller General, or the Department of Human Services of the State of Kentucky or any of their duly authorized representatives, access to this contract and all other service agreements written or oral entered into or renewed since December 5, 1980, and access to books, documents, and records necessary to verify costs of services provided by such arrangements exceeding $10,000 in a 12-month period. Access will be permitted until four years have expired after completion of services furnished, and in accordance with the applicable federal regulations.

If the Foundation carries out any of the duties under this contract through a sub-contract with a related organization, with a value or cost of $10,000 or more over a 12-month period, such sub-contract shall contain a clause to the effect that until the expiration of four years after the furnishing of such services pursuant to the subcontract, the related organization shall make available, upon written request from the Secretary or Comptroller General, or any of their duly authorized representatives, the sub-contract, books, documents and records of such organization that are necessary to verify the nature and extent of such costs.

Section 22. ADDITIONAL ACTIVITIES

The University recognizes that in the changing health care delivery environment, the future condition of the University of Kentucky Medical Center and the University of Kentucky College of Medicine will depend on adjusting to those changes. The Foundation recognizes that

it can assist the University to make these adjustments and that it should do so when such assistance can be provided without having a material negative impact on the Foundation's primary duty to bill and collect on behalf of faculty members who have executed practice agreements and assignments. Thus, subject only to the limitation that the Foundation not engage in the practice of medicine or duplicate other activities of the University of Kentucky Medical Center, the Foundation with the prior written approval of the University shall be entitled and is authorized to engage in and pay for the expenses of business activities of any and/or all types, (directly or indirectly, as an owner, investor or through a wholly or partly owned subsidiary, pursuant to a contract and/or joint venture and/or in any other manner) including but not limited to the provision of administrative services, a Management Services Organization (MSO), and other services to individuals and entities within and/or outside the Plan. It is also authorized with prior written approval of the University to incur obligations in connection therewith, as contemplated by or authorized pursuant to this Agreement. The University shall determine whether duplication of activities exists and a means for resolution of same.

Section 23. CORPORATE COMPLIANCE

Foundation affirms that is it is not excluded from participation, and is not otherwise ineligible to participate in a "Federal health care program" as defined in 42 U.S.C. section 1320a-7b(f) or in any other state or federal government payment program. In the event that Foundation is excluded from participation, or becomes otherwise ineligible to participate in any such program, during the term of this agreement, Foundation will notify the University of Kentucky Chandler Medical Center, hereinafter "UKCMC", Office of Compliance, A301 KY Clinic, Lexington, Kentucky 40536 in writing, by certified mail within 48 hours after said event, and upon the occurrence of any such event, whether or not appropriate notice is given, the

University of Kentucky, shall have the right to terminate this Agreement upon written notice if such matter is not cured within a reasonable timeframe as determined at the sole discretion of the University.

Additionally, Foundation affirms that it is aware that UKCMC operates in accordance with a corporate compliance program, employs a Corporate Compliance Officer and operates a 24 hour, seven day a week compliance Comply-line. Foundation has been informed that a copy of the UKCMC compliance plan is on file in the purchasing office and that it is encouraged to review the plan during normal business hours. It is understood that should Foundation be found to have violated the UKCMC compliance plan, UKCMC can, at its sole discretion, terminate this Agreement upon written notice if such matter is not cured within a reasonable timeframe as determined at the sole discretion of the University. Foundation recognizes that it is under an affirmative obligation to immediately report to UKCMC's Corporate Compliance Officer through the comply-line 1-877-898-6072, in writing, or directly (859) 323-6044 any actions by an agent or employee of UKCMC which Foundation believes, in good faith, violates an ethical, professional or legal standard.

Nothing in this Agreement contemplates or requires that any party act in violation of federal or state law. Nonetheless, should any term or condition set forth in this Agreement later be creditably alleged, suspected or determined to be illegal, the parties agree to immediately cease the questioned activity and negotiate modification to the effected portion of the Agreement for a thirty (30) day period. If at the end of this period, no compromise can be reached, the Agreement will terminate.

Section 24. NO THIRD-PARTY BENEFICIARIES

This Agreement shall not confer any right, remedy or benefit upon any employee of the University or the Foundation or any other person or entity other than the University and the Foundation.

Section 25. BUSINESS ASSOCIATE AGREEMENT

In the event Foundation or University in the opinion of either party's counsel are determined to be business associates under the Health Insurance Portability and Accountability Act of 1996 ("HIPAA") or any of its regulations, the parties agree to timely enter into the appropriate business associate agreements.

Section 26. TERM

The term of this agreement shall begin on July 1, 2005 and end on June 30, 2006.

IN WITNESS WHEREOF, the parties hereto have executed this agreement, pursuant to proper authorization of their respective governing boards, as of the day and year first above written.

BOARD OF TRUSTEES OF
THE UNIVERSITY OF KENTUCKY

BY: _____
Lee T. Todd, Jr.
President
University of Kentucky

ATTEST: _____

KENTUCKY MEDICAL SERVICES
FOUNDATION, INC.

BY: _____
Robert M. Mentzer, Jr., M.D.
President

ATTEST: _____

RECOMMENDED BY:

_____
Michael Karpf, MD
Executive Vice President for Health Affairs

_____
Jay A. Perman, MD
Dean, College of Medicine and
Vice President for Clinical Affairs

# PR 8

Office of the President
June 14, 2005

Members, Board of Trustees:

FEASIBILITY STUDY FOR RETIREMENT COMMUNITY AT COLDSTREAM

Recommendation: that the Board of Trustees authorize the President to negotiate and execute a Memorandum of Agreement between the University and The Praxeis Group for a feasibility study for the development and operation of a continuous care retirement community at Coldstream and that the Board of Trustees sanction the creation of a 501(c)(3) non-profit corporation that will eventually oversee the Coldstream retirement community.

Background: At its September 21, 2004 meeting, the Board heard a presentation by Dr. Jack Blanton concerning the interest in exploring the feasibility of development of a continuous care retirement community at Coldstream. A Request for Proposal (RFP) was issued by the university, and two major corporations submitted proposals indicating an interest in exploring the feasibility of such a concept. An evaluation committee determined that the company best fitting the requirements of the RFP was The Praxeis Group, a Jacksonville, Florida company that has developed a retirement community in conjunction with the University of Florida.

(1) The Memorandum of Agreement would authorize The Praxeis Group to undertake a feasibility study. The total cost of the study would be borne by The Praxeis Group.

(2) If the feasibility study is positive for development of a continuous care retirement community at Coldstream, the 501(c)(3) organization would seek approval of the Board of a lease for the appropriate acreage at Coldstream. The 501(c)(3) organization would contract with The Praxeis Group for the development and operation of the continuous care retirement community. In addition, the 501(c)(3) organization would issue bonds for financing the project.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# SCGR 1

Office of the President
June 14, 2005

Members, Board of Trustees:

PROPOSED REVISIONS TO THE GOVERNING REGULATIONS

Recommendation: that the attached proposed revisions to the Governing Regulations of the University of Kentucky (GR Part I through XIII), which were received for preliminary consideration by the Board of Trustees on May 10, 2005, be approved.

Each Board member received a notebook that contained the proposed revisions prior to the May 10, 2005 meeting. Proposed additions were in blue and underlined; proposed deletions were in red and a line ran through deleted language.

Background: Over two years ago, President Lee Todd appointed a campus-wide committee, chaired by Dr. Phyllis Nash, to review and recommend changes in the Governing Regulations. The initial impetus was the reorganization of the university from the Chancellor Model to a Provost Model. In addition, revisions are needed to reflect the changed relationship between UK and Lexington Community College. Finally, isolated revisions to the Governing Regulations over time have resulted in a disorganized and confusing document.

After a review of proposed revisions of the Governing Regulations, President Todd approved the draft Governing Regulations and forwarded them to the Board for consideration. Chair James Hardymon appointed a Special Committee of the Board to review the proposed Governing Regulations and make a recommendation to the full Board. Mira Ball chaired the committee, consisting of Roy Moore, Frank Shoop, Russ Williams, and Barbara Young. After careful review and some further revision, the special committee presents to the board members the proposed revisions. The committee believes these revised Governing Regulations formally implement the Provost Model of the University, clarify the UK-LCC-Kentucky Community and Technical College System relationship, comply with state and federal laws, and give the board and the university community a better organized and more readable document for governance of the University.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# PART I

# THE UNIVERSITY OF KENTUCKY (DEFINITION)

## A. Statutory Definition

1. The term University of Kentucky refers to the institution described in the Kentucky Revised Statutes (KRS) in Chapter 164. KRS 164.100 states that the University of Kentucky is hereby recognized as established and maintained. The legislation states that the University of Kentucky is the institution that was founded under the land grant of 1862 by the United States Congress under the corporate designation and title of "Agricultural and Mechanical College of Kentucky." Further, KRS 164.100 provides that the University shall be maintained by the state with such endowment, incomes, buildings, and equipment as will enable it to do work such as is done in other institutions of corresponding rank, both undergraduate and postgraduate, while embracing instruction as well as research.

2. Legislation in KRS 164.120* states that that the colleges, schools, divisions, department, bureaus and offices that are now established and maintained or that in the future may be established by the Board of Trustees shall constitute the University of Kentucky. The legislation also notes that the branches of learning required by the Land Grant Act of Congress approved July 2, 1862, shall be integral and indispensable courses of instruction at the University.

3. Through KRS 164.125, the legislation provides that the University of Kentucky shall be the principal state institution for the conduct of statewide research and statewide service programs and shall be the primary institution authorized to expend State General Fund appropriations on research and service programs of a statewide nature financed principally by state funds. Further, this legislation states that (a) the University's research and service

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

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

B. University Programs and Requirements

1. The University of Kentucky shall provide:

(a) Upon approval of the Council on Postsecondary Education, baccalaureate programs of instruction;

(b) Upon approval of the Council on Postsecondary Education, master degree programs, specialist degree programs above the master's degree level, and joint doctoral programs in cooperation with other public postsecondary educational institutions in the state;

(c) Upon approval of the Council on Postsecondary Education, doctoral and post-doctoral programs and professional instruction including law, medicine, dentistry, education, architecture, engineering and social professions. (KRS 164.125)

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

C. Vision, Mission and Values

The University of Kentucky Board of Trustees adopted the following Vision, Mission and Values Statement on April 1, 2003.

1. Vision

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

2. Mission

The University of Kentucky is a public research-extensive, land grant university dedicated to enriching people's lives through excellence in instruction, research, and service.

The University of Kentucky:

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

The University, as the flagship institution, plays a critical leadership role for the Commonwealth by promoting human and economic development that improves lives within Kentucky's borders and beyond. The University models a diverse community characterized by fairness and social justice.

3. Values

The values of the University guide our decisions and behavior. Our core values are:

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

D. Ethical Principles and Code of Conduct

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

1. Ethical Principles

(a) The University of Kentucky Ethical Principles and Code of Conduct are intended to document expectations of responsibility and integrity. Exemplary ethical conduct is critically important in our relationships with colleagues, trustees, students, volunteers, contractors, and the public. This statement reflects the values of the University approved by the Board of Trustees on January 27, 2004.

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

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

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

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

2. Code of Conduct

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

The Code of Conduct is intended as a general guide to determine what conduct is expected and to help individuals to determine behaviors that should be avoided. Employees are strongly urged to consult with their supervisor to review and evaluate specific situations. In addition to the

Code, University members are generally subject to all University codes, regulations, and policies and state and federal law. Violations of this code will be subject to appropriate penalties.

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

(a) Nondiscrimination Policy

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

(b) Confidentiality of Information

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

(c) Use of the University's Name

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

stationery and e-mail accounts; when commenting as citizens, University members must use personal stationery and personal e-mail accounts.

(d) University Resources

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

(e) Sexual Harassment

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

(f) Personal Relationships

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

The University strongly urges those individuals in positions of authority not to engage in conduct of an amorous or sexual nature with a person they are, or are likely in the future to be, in a position of evaluating. The existence of a power differential may restrict the less powerful individual's freedom to participate willingly in the relationship. If one of the parties in an

apparently welcomed amorous or sexual relationship has the responsibility for evaluating the performance of the other person, the relationship must be reported to the dean, department chair or supervisor so that suitable arrangements can be made for an objective evaluation of the student or employee (*Administrative Regulation II-1.1-9*).

(g) Employment of Relatives

In order to assure independence of judgment that is free from conflicting interest and to avoid relationships that could be perceived as conflicts of interest, no relative of the President shall be employed in a position at the University. Similarly, no relative of the Provost, or any executive vice president, vice president, or any associate provost or associate vice president shall be employed in a position in that officer's administrative area. The Board of Trustees on a stated temporary basis may permit waiver of the above regulation, not to exceed two years, when it is otherwise impractical to fill a position with another fully qualified person. The same individual shall not be eligible for reappointment under the terms of this exception unless approval is given by the Board of Trustees. No relative of any employee of the University may be appointed to any position in the University over which the related employee exercises supervisory or line authority. Employment of relatives within the same department or division shall be approved specifically by the Provost or senior vice president, as appropriate (*Governing Regulation X-1*). The University shall employ no relative of a member of the Board of Trustees. Members of the Board of Trustees, except those elected to the Board as faculty, staff, or student representatives, and relatives of any member of the Board of Trustees are ineligible for employment at the University.

(h) Intellectual Property

University members should be responsible stewards of University resources. All intellectual property conceived, first reduced to practice, written, or otherwise produced by faculty, staff, or students of the University of Kentucky using University funds, facilities, or other resources shall be owned and controlled by the University. Any member of the faculty or staff of the University who produces such intellectual property using University funds, facilities, or other resources shall assign personal rights to the property to the University, or it's designate. The traditional products of scholarly activity which have customarily been considered the unrestricted property of the originator, such as journal articles, textbooks, reviews and monographs, and which have been created without involving a material use of University resources, shall be the unrestricted property of the author (*Administrative Regulation II-1.1-3*).

(i) Conflict of Commitment

Decisions and the judgment upon which the decisions are based must be independent from conflicting interests and must hold the best interest of the University of Kentucky foremost. Conflicts of commitment relate to an individual's distribution of effort between University appointment and outside activities. The University of Kentucky permits external employment or self-employment in an employee's profession or specialty (with the exception of employees participating in a practice plan) where there is not a conflict of interest or commitment. Faculty

and professional administrative employees are expected to devote their primary professional loyalty, time, and energy to University of Kentucky teaching, research and service endeavors; activities outside the University must be conducted without detracting from these primary commitments. A conflict of commitment generally occurs when the pursuit of outside activities interferes with obligations to students, to colleagues and to the missions of the University. These conflicts may become apparent in regular performance reviews, in connection with annual salary decisions and scheduled reviews incident to promotion, reappointment or tenure decisions and should be addressed by the appropriate department head. The University policy and procedures on outside consulting can be found in *Administrative Regulation II-1.1-1*.

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

(j) Conflict of Interest

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

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

(k) Financial Advantage

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

(l) Acceptance of Gifts or Benefits

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

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

(m) Clarifications and Reporting Violations

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

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

E. Kentucky Ethics Statutes

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

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

F. Diversity

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

G. Shared Governance

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

H. Civic Responsibility of the Individual

In their roles as citizens, staff employees and faculty members have the same freedoms as other citizens, without institutional censorship or discipline, although they should be mindful that accuracy, forthrightness, and dignity befit their association with the University. (Also see D.,

above.) When staff employees or faculty members speak or write as citizens, they should indicate that they are not speaking for the University.

I. Order of Communication and Reports

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

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

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

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

J. Use of University Facilities

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

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

K. Political Activity

The University cannot endorse, support or promote any political candidate or any partisan political activity. Therefore, University facilities shall not be used for conventions, rallies, or any campaign activities that would further the interests of a political party* or of a candidate or candidates for public office. The facilities of the University may be used for public forums to

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

which all legally qualified candidates for a public office are invited to speak provided that all such candidates are given equal access and opportunity to speak.

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

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

# PART II

# GOVERNANCE OF THE UNIVERSITY OF KENTUCKY

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

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

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

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

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

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

## A. Board of Trustees

### 1. Definition

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

### 2. Membership

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

#### (a) Appointed Members

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

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

#### (b) Elected Members

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

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

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

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

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

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

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

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

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

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

(c) Non-voting members

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

2. Meetings

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

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

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

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

3. Conflicts of Interests of Board Membership

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

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

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

4. Officers

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

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

5. Standing and Special Committees

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

(a) Executive Committee

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

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

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

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

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

(b) Academic Affairs Committee

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

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

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

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

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

(c) Student Affairs Committee

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

(d) Human Resources Committee

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

(e) University Relations Committee

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

(f) Investment Committee

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

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

(g) Finance Committee and Audit Subcommittee

This committee ensures the financial stability and long-term economic health of the University by monitoring the financial operations of the University and its affiliated corporations and making appropriate recommendations to the Board of Trustees to ensure achievement of the University's mission. Consistent with KRS 164A.550 through 164A.630, the committee maintains oversight responsibility for the financial management of the University in the areas of accounting, auditing, payroll, purchasing, capital construction, real property, and affiliated corporations. The Committee shall oversee the budgets of the University by reviewing and recommending to the Board of Trustees on the annual operating budgets. The Committee shall ensure that accurate and complete financial records are maintained by reviewing and recommending to the Board of Trustees on annual financial reports and related recommendations from the Audit Subcommittee, interim financial reports, capital construction reports, long-term debt obligation gifts to the University of $400,000 or more, leases over $100,000 per year, disposition of property, sale of assets, and financial transactions not provided for in the annual operating budget.

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

(h) Nominating Committee

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

(i) Special Committees

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

6. Powers and Responsibilities

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

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

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

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

(d) Suspend or remove any of the officers, teachers, professors, or agents that it is authorized to appoint, except that no President, professor, or teacher may be removed except for incompetence, neglect of or refusal to perform duties, or for immoral conduct, and then only after ten (10) days' notice in writing stating the nature of the charges preferred, and after the

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

individual has been given an opportunity to make defense before the Board of Trustees by counsel or otherwise and to introduce testimony which shall be heard and determined by the Board of Trustees. (KRS 164.230)

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

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

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

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

7. Order of Business

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

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

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

# PART III

## THE PRESIDENT OF THE UNIVERSITY

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

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

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

All administrative officers, including but not limited to the Provost, vice presidents, deans, directors and other subordinate officers, shall be subject to the supervision and direction of the President.

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

The President is Chair of the University Senate and an *ex officio* member of the Staff Senate and of the various college faculties. The President may call meetings of the University Senate, the Staff Senate, the University Assembly, or any college faculty. The President may be asked to address a meeting of the University Senate, the Staff Senate, or a college faculty.

The President is responsible for fostering and promoting instruction, research, and service as the primary functions of the University. In this connection the President may make policy recommendations to the Board of Trustees and the University Senate, which are recognized as

the primary educational policy-forming agencies of the University. The President must, of necessity, in the day-to-day direction of University affairs, interpret existing policies and, when necessary, establish new policy with respect to academic, administrative and financial matters. While responsible for the enforcement of the *Governing Regulations* of the Board of Trustees and the *University Senate Rules*, the President also shall provide for the application of these rules and regulations to individual cases. Under extraordinary circumstances, and with written justification to the University Senate through the University Senate Council, the President may suspend a rule of the University Senate in a particular case; however, under no circumstance may the President suspend rules concerning admission and the number of credits and quality points required for graduation.

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

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

The Board of Trustees delegates to the President the responsibility for the development and enforcement of regulations for the control of motor vehicle traffic and parking on University property. University property is defined as all real property owned or occupied and exclusively operated by the University.

In the event of a vacancy in the Office of President or disability of the President, the Provost shall exercise the functions of the President in the absence of the appointment of an interim President by the Board of Trustees. If the Board of Trustees finds it desirable to appoint an interim President, it shall seek advice from a committee composed of representatives of Board of Trustees members, faculty members, staff employees, and students.

# PART IV

# THE UNIVERSITY SENATE

## A. Membership

The University Senate shall be composed of both elected and ex officio members.

The ninety-four (94) elected faculty shall be full-time faculty elected from and by the respective college faculties. The elected faculty representatives of the University Senate have the authority assigned to "the faculty of the University" under KRS 164.240 to recommend to the Board of Trustees the conferral of earned degrees from the University and the conditions for and award of honorary degrees. The University Senate membership, composed of both elected and *ex officio* members, is authorized to perform all other functions delegated by the Board of Trustees to the University Senate.

The University student body shall be represented by the student senators, one elected from and by the full-time student body of each college. The one elected emeritus faculty member shall be elected by and represent the University of Kentucky Association of Emeriti Faculty. The procedures for election of representatives to the University Senate and University Senate Council shall be prescribed in the *University Senate Rules*.

In even numbered academic years, the *ex officio* voting members of the University Senate shall be composed of the following: Provost, Executive Vice President for Research, Associate Provost for Undergraduate Education, student member of the Board of Trustees, two (2) faculty members of the Board of Trustees, Dean of Libraries, and deans of the Colleges of Communications and Information Studies, Dentistry, Design, Education, Engineering, Health Sciences, Law, and Social Work. In odd numbered academic years, the *ex officio* voting members shall be the following: Provost, student member of the Board of Trustees, two (2) faculty members of the Board of Trustees, Associate Provost for Academic Affairs, Dean of the Graduate School, Associate Provost for Undergraduate Education, and deans of the Colleges of Agriculture, Arts and Sciences, Business and Economics, Fine Arts, Medicine, Nursing, Public Health, and Pharmacy. The University Senate may recommend to the Board of Trustees changes to the above list of *ex officio* voting members and determines *ex officio* nonvoting membership, as necessary.

## B. Officers, Committees and Councils of the University Senate

The University Senate is authorized to develop *University Senate Rules* for the conduct of its functions, copies of these rules being furnished to the President and the Board of Trustees. It may perform its functions directly, through the Senate Council*, through standing or special

* Members and officers of the University Senate Council shall remain voting members of the University Senate until

committees which it may appoint or authorize for appointment, or through delegation of authority and responsibility to the faculties of the Graduate School, or the faculties of the colleges, schools, departments, centers and institutes. The University Senate Council shall appoint standing or special committees of the University Senate, responsible to the University Senate, unless the University Senate has authorized other methods of appointment.

The President is the Chair of the University Senate and shall be the presiding officer except as the President may delegate this function to the University Senate Council Chair. As its Chair, the President may be called upon by the University Senate to address or represent the University Senate or to transmit its recommendations. The President, as Chair of the University Senate, may establish and appoint academic committees to advise the President in this capacity.

The University Senate may establish University Senate committees that are responsible, in an advisory capacity, to the President or other administrative officer(s) or administrative unit(s). These committees are also responsible for reporting upon issues that bear upon the functions of the University Senate and for making recommendations for action. These University Senate advisory committees shall be appointed by the President, as the University Senate Chair, from nominations made by the University Senate Council.

A member of the University Faculty (not necessarily a member of the University Senate), appointed by the University Senate Council, shall serve as parliamentarian. The two (2) sergeants-at-arms, appointed by the University Senate Council, shall be members of the University Faculty and/or a staff employee. The University Senate shall hold regular monthly meetings during the academic year when classes are in session and, after adequate notice by its Secretary, special meetings on the call of the President or the University Senate Council or on the written request of ten (10) members.

Any University employee or student may attend a meeting of the University Senate as a visitor and request the privilege of the floor.

C. University Senate Functions

The University Senate is not assigned any management or administrative functions. The University Senate functions include the following:

1. Determine the broad academic policies of the University, including the similar academic policies that may be made necessary by governmental or accreditation agencies, and make rules to implement these policies.

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the end of their terms on the University Senate Council. They shall not be counted as a part of the quota of the educational unit that they have represented nor of the maximum faculty membership of the University Senate after the expiration of their elected University Senate memberships.

2. Approve all new academic programs and make final academic decisions on recommendations to changes of these programs.

3. Make final decisions for the University on curricula, courses, certificates and diplomas offered at the University and on the termination of academic programs.

4. Adopt policies for the University academic calendar and establish the annual calendar upon recommendation by the University Registrar.

5. Recommend to the President and Provost on the establishment, alteration, abolition, and reporting relationships of educational units in the University.

6. Advise the President or the President's designated officer on the planning for physical facilities, personnel and other resources when these may affect the attainment of educational objectives of the University.

7. Advise the President or the President's designated officer, through appropriate committees, on criteria, policies and procedures for performance review, appointments, reappointments, promotions, granting of tenure, and benefits to faculty in the University.

8. Determine the conditions for admission and for degrees, other than honorary degrees, in the University, pursuant to KRS 164.240.

9. Recommend to the Board of Trustees all candidates that have been approved for degrees in the University, pursuant to KRS 164.240.

10. Address the President or, through the President, the Board of Trustees, regarding any University matter.

# PART V

# THE STAFF SENATE

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

## A. Membership

The Staff Senate shall be composed of elected, appointed, and *ex officio* membership.

The Staff Senate shall consist of no more than one hundred seventy-five (175) senators. Senators shall be regular, full-time staff employees elected from and by their respective areas in accordance with the *By-Laws of the University of Kentucky Staff Senate*, unless they are at-large senators or *ex officio* members appointed in accordance with the *By-Laws of the University of Kentucky Staff Senate.*

The procedures for election of senators to the Staff Senate and its Executive Committee shall be prescribed in the *By-Laws of the University of Kentucky Staff Senate.* Staff employees eligible to vote for senators shall be regular, full-time staff employees of the University as defined in *Human Resources Policy and Procedures Administrative Regulation 4.0.* Staff employees eligible to vote shall also be eligible to stand for election as senator upon completion of one year of continuous employment by April 1.

## B. Voting

Each Senator shall have one vote. No absentee ballots or voting by proxy shall be permitted. *Ex officio* members shall be non-voting members of the Staff Senate.

## C. Councils and Committees

The Staff Senate is authorized to develop by-laws for the conduct of its functions, copies of these by-laws being furnished to the President and the Board of Trustees.

Every Senator shall have reasonable release time from work to perform Senatorial duties.

The Staff Senate shall meet regularly as specified in the *By-Laws of the University of Kentucky Staff Senate*.

The Staff Senate shall have officers and standing committees as specified in the *By-Laws of the University of Kentucky Staff Senate* to facilitate the functioning of the Senate.

Advisory committees will also be created as specified in the *By-Laws of the University of Kentucky Staff Senate* to provide advice to the President and the Staff Representative to the Board of Trustees. The Staff Senate shall have no management or administrative functions either in itself or through the instrumentality of its committees.

The Senate is authorized to develop rules for the conduct of its functions, copies of these rules being furnished to the President and the Board of Trustees. The Staff Senate may address the President, or through the Staff Trustee, the Board of Trustees, regarding any matter affecting staff of the University.

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

# PART VI

## THE UNIVERSITY ASSEMBLY

The University Assembly shall consist of all faculty members of the University, including emeritus faculty, all staff employees, including retired staff employees, and all students. It shall meet in special session on the call of the President or the University Senate. The President or the President's authorized representative shall preside. The Secretary of the University Senate shall be Secretary of the Assembly and shall be responsible for adequate notice of meetings, including a statement of subject or subjects to be discussed.

The Assembly may express its views on any matter affecting the University to the University Senate, Staff Senate, Student Government Association, and the President or, through the President, to the Board of Trustees.

# PART VII

# UNIVERSITY ORGANIZATION

For the purpose of administering the various programs of the University, there shall be established educational and administrative units within the University. All units of the University shall be established, altered, or abolished only on vote of the Board of Trustees. For matters having to do with the organization of the University as it affects academic policies, the Board relies upon the advice of the University Senate along with that of the President. It relies upon the advice of the President concerning administrative organization and powers and responsibilities of the officers of the University. Any existing or proposed unit that has as its primary mission the performance of educational activities in instruction, research, and service shall be defined as an educational unit if at least one full-time (tenured or tenurable) faculty appointment or its time equivalent is assigned to perform instruction, research, and service in that unit. This assignment provision excludes solely administrative assignments such as the chief administrative officer of the unit. An educational unit is subject to the University Senate review and the periodic review processes.

Any unit not meeting the definition of an educational unit is defined as an administrative unit.

The educational and administrative organization of the University shall be such as to minimize duplication of effort and to enable the University to operate as a single, closely integrated institution.

## A. Educational Unit

### 1. Definitions of Educational Units and Their Chief Administrative Officers

Departments, schools, colleges, graduate centers, multidisciplinary research centers and institutes, and interdisciplinary instructional programs are the basic educational units of the University that deliver instruction, research, and service including extension activities.

Major educational units of the University are the colleges, the Libraries, and the Graduate School. For purposes of these *Governing Regulations,* the Libraries is equivalent to a college.

Schools are administratively responsible to a college, and departments are directly responsible to a college or sometimes directly to a school within their college.

Some instructional programs draw faculty exclusively from one department, school, or college whereas interdisciplinary instructional programs, such as the Honors Program, draw faculty from different departments, schools, and colleges.

A graduate center is an interdisciplinary educational unit that delivers graduate education degree programs, is equivalent to a department, and is located administratively in the Graduate School unless the administrative responsibility specifically has been delegated otherwise.

A multidisciplinary research center or institute is an educational unit established to provide multidisciplinary programs, which are primarily research in nature. Such an educational unit is administratively responsible to the Executive Vice President for Research unless the administrative responsibility specifically has been delegated otherwise.

The chief administrative officer of a major educational unit is a dean. The chief administrative officer of a graduate center, school or multidisciplinary research center or institute is a director. The chief administrative officer of a department or an interdisciplinary instructional program is a chair.

2. Academic Ranks

Academic ranks in the University consist of instructor, assistant professor, associate professor, professor, or the equivalent to these recognized in the librarian title series of librarian IV, librarian III, librarian II and librarian I, respectively.

The President establishes academic title series, the ranks within each series, and a description of the qualifications for each after consultation with appropriate administrative and faculty groups, including the University Senate Council. Emeritus ranks for retired faculty members and the rights of holders of emeritus titles are established by the President after consultation with the University Senate Council.

The establishment of new academic title series or ranks and major changes in criteria for ranks shall have the approval of the Board of Trustees.

3. The Graduate Faculty

(a) Membership

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

Graduate Faculty members must possess the following qualifications:

A doctoral degree or its equivalent in scholarly reputation;

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

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

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

The Dean of the Graduate School confers membership in the Graduate Faculty. The appointments are made following review by the Graduate Council of the qualifications of the persons proposed for membership by the college deans, department chairpersons, and directors of graduate study, upon the recommendation of the Graduate Faculty of the respective graduate program.

Associate and other classes of members in the Graduate Faculty may be appointed by the Dean of the Graduate School, with appropriate duties and privileges, as provided by the *Rules of the Graduate School* and approved by the University Senate.

(b) Officers, Committees and Councils

The Graduate Faculty may perform its functions directly, through the Graduate Council, or through standing or special committees which it may appoint or authorize for appointment, or through delegation to college, school, departmental or center graduate program faculties. Councils of the Graduate School may be appointed by the Dean of the Graduate School or elected, as prescribed by the *Rules of the Graduate School* and approved by the University Senate. Copies of minutes of Graduate Faculty meetings and of meetings of Graduate Faculty committees and councils shall be made available to all members of the Graduate Faculty.

(c) Graduate Faculty Functions

Within the limits established by the *Governing Regulations* and the *University Senate Rules*, the Graduate Faculty shall have jurisdiction over all programs leading to graduate degrees and within those limits shall establish *Rules of the Graduate Faculty* necessary for the performance of its educational policymaking functions. Copies of these rules shall be made available to Graduate Faculty members and filed with the Graduate Faculty Dean, the Provost, and the University Senate Council. It is the responsibility of the Graduate Faculty to safeguard, promote, and assist in the development of research in all fields. The Graduate Faculty shall make recommendations to the University Senate on academic matters that require University Senate approval. The Graduate Faculty may make recommendations on other matters to the University Senate, to college or department faculties, to the President or other administrative officers.

The Graduate Council shall have the authority and responsibilities delegated to it by the Dean of the Graduate School, the Graduate Faculty, and the University Senate.

4. Faculties of Colleges

(a) Membership

The membership of the faculty of a college shall consist of its dean, associate and/or assistant deans, and regular full-time faculty having the rank of assistant professor, associate professor or professor in the regular, special title, or extension series or librarian III, II or I in the librarian title series. Membership, with or without voting privileges, also may be extended or withdrawn by the above college faculty to any other person assigned to the college for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one college; in this instance, one assignment shall be designated primary by the Provost (Part X.B.1).

(b) Officers, Committees and Councils

The faculty shall hold regularly scheduled meetings at which the dean shall preside except as the dean may delegate that function. In addition, it shall meet in special session on the call of the President, the Provost, the dean of the college, or at the request of a prescribed number of its voting membership. Each college faculty shall establish the quorum for the transaction of business. Copies of minutes of college faculty meetings and of meetings of college faculty committees and councils shall be made available to all members of the faculty of the college.

The faculty of each college shall establish its own rules, including a committee or council structure, necessary for the performance of the faculty's functions in educational policy-making. After approval of these rules by the Provost for consistency with these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules* and *Rules of the Graduate Faculty*, copies of the rules and a description of the committee or council structure shall be made available to members and filed with the dean of the college, the Provost and the University Senate Council.

(c) College Faculty Functions

Within the limits established by these *Governing Regulations, Administrative Regulations, Rules of the University Senate*, and *Rules of the Graduate Faculty* of the University, the faculty of a college shall determine the educational policies of that college, including primary responsibility for the development of policies on such matters as academic requirements, curricula, course offerings, undergraduate, graduate and research programs, professional programs, and service functions, to the extent that the responsibility has not been delegated to a school or department faculty.

In consultation with the college faculty, the Dean shall establish procedures used at the level of the college concerning: (1) recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint; (2) the faculty performance evaluations; and (3) faculty input in the evaluation of the performance of school directors and department chairs during the interval

between periodic reviews. It shall make recommendations to the University Senate or Graduate Faculty on such matters as require the final approval of those bodies, and it may make recommendations on other matters to the University Senate, the Graduate Faculty, school/department faculties within the college, the President, or to other administrative officials. The academic or scholastic requirements of a college may exceed, but not be lower than, those established by the University Senate or the Graduate Faculty. The University Senate must approve any such differences in standards.

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

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

5. Faculties of Schools

(a) Membership

The membership of a faculty of a school shall consist of the dean of its college of which it is an administrative unit, the director who is the chief administrative officer of the school, and the members of the faculty of the college who have been assigned regular, full-time duties in the school. (The faculty of a college is defined in Part VII.A.4 of these regulations.) Membership, with or without voting privileges, also may be extended or withdrawn by the above faculty of the school to any other person assigned to the school for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one school; in this instance, one assignment shall be designated primary by the Provost. (Part X.B.1)

(b) Officers, Committees and Councils

The faculty of a school shall hold regularly scheduled meetings at which the school director shall preside, except as the director may delegate this function. In addition, it shall hold special meetings on the call of the dean of the college, the director of the school, or by a prescribed number of its voting faculty. The school director shall preside over school faculty meetings, except as the director may delegate this function. Copies of the minutes of school faculty meetings and meetings of committees and councils of the school faculty shall be made available to all members of the faculty of the school.

The faculty shall establish its own rules and determine its own committee structure that are necessary for its functions in educational policy making and shall prescribe the quorum necessary for the transaction of business. After approval of these rules by the dean of the college and by the Provost for consistency with University regulations and with these *Governing Regulations,* the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate*

*Faculty,* and college faculty rules, copies of the school faculty's rules and a description of its committee structure shall be made available to its members, and a copy shall be filed with the director of the school, the dean of the college of which it is a unit, with the Provost, and with the University Senate Council.

(c) School Faculty Functions

Within the limits established by these *Governing Regulations*, the *University Senate Rules*, *Rules of the Graduate Faculty*, and the rules of the faculty of the college of which it is a unit, the faculty of a school shall determine the educational policies of the school, including primary responsibility for the development of policies on such matters as academic requirements, curricula, course offerings, undergraduate, graduate and research programs, professional programs, and service functions, to the extent that this responsibility has not been delegated to a department faculty. It shall be responsible for functions and duties assigned to it by the faculty of the college. For these purposes, it shall make recommendations to the faculty of the college on matters that require the approval of that body. It may make recommendations on other matters to the University Senate, the Graduate Faculty, the college faculty, and the faculties within the school, and the dean or other administrative officers. The academic or scholastic requirements of a school may exceed, but not be lower than, those established by the college faculty. The University Senate must approve any such differences in standards.

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

6. Faculties of Departments

(a) Membership

The membership of a faculty of a department shall consist of a chair and the regular, full-time members of the department who are members of the faculty of the school and/or college of which the department is a part. (The faculties of a college and a school are defined in Parts VII.A.4 and VII.A.5, respectively.) Membership, with or without voting privileges, also may be extended or withdrawn by the above department faculty to any person assigned to the department for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one department; in this instance, one assignment shall be designated as primary by the Provost (Part X.B.1).

(b) Officers and Committees

The department faculty shall hold regularly scheduled meetings, at which the department chair shall preside except as the chair may delegate this function. In addition, it shall hold special meetings on the call of the dean of the college, the chair of the department, or by a prescribed number of its voting faculty. The department chair shall be an *ex officio* member of all departmental committees. Copies of minutes of departmental faculty meetings and of meetings

of department committees shall be made available to all members of the faculty of the department.

The department faculty shall establish rules, procedures and a committee structure concerning educational policy matters over which it has jurisdiction and responsibility, and shall establish its quorum for the transaction of business. These proposed rules, procedures and committee structure shall be submitted to the director of the school (if appropriate), the dean of the college, and the Provost for approval for consistency with these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, rules of the college and (if appropriate) rules of the school faculty. Copies of the approved rules, procedures and committee structure shall be made available to the members of the departmental faculty and shall be filed with the director of the school, (if appropriate) the dean of the college of which the department is a unit, the Provost, and the University Senate Council.

(c) Department Faculty Functions

Within the limits established by these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, or the rules of the faculties of the school or college of which the department is a part, the department faculty has jurisdiction over matters concerning its educational policies.

The department faculty has primary responsibility for the development of policies on such matters as academic requirements, courses of study, course offerings, graduate and research programs, and service functions. Jointly with the department chair, the department faculty shall establish procedures to be used within the department concerning (1) recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, and the granting of tenure and decisions not to reappoint; (2) the faculty performance evaluations and (3) preparation of budget requests. The procedures in (1) and (2) above shall include consultation with directors of multidisciplinary research centers and institutes for those faculty members who are or shall be associated with such centers or institutes. The department faculty may develop statements describing the evidences of activity in instruction, research and service that are appropriate to their field(s) for use in guiding evaluations for promotion and tenure. If developed and approved by the department faculty, those statements must be submitted by the chair of the department to the dean for review and final approval before the statements are made operative in the department. Revisions to a department's statements, upon approval of the department faculty, must also be submitted by the department chair to the dean for review and final approval.

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

7. Faculty of Multidisciplinary Research Centers and Institutes

(a) Faculty Membership and Functions

The faculty of a multidisciplinary research center or institute that is responsible for establishing the educational policies of the unit shall consist of: (1) a director who also shall be a faculty member of a department, school, or college; (2) faculty members with recurring, formally assigned instructional, research, and/or service duties in the unit. In addition, membership, with or without voting privileges, may be extended and withdrawn by the above center or institute faculty to any other person assigned to the unit for administrative, instructional, research, extension, clinical or librarian work.

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

(b) Officers and Committees

A multidisciplinary research center or institute shall be administratively responsible to the Executive Vice President for Research unless specifically designated to another chief academic officer. A faculty advisory committee shall be appointed for each research center or institute by the officer to whom the unit is administratively responsible.

8. Student Participation

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

B. Administrative Organization of Educational Units

1. Definition

The administrative organization of the University is determined by the educational organization of the University and the instruction, research, service, and other functions of the University. Each administrative officer, other than the President, is responsible to the President, directly or through one or more superior officers, for the efficient operation of the organizational unit or functions for which the administrative officer is responsible. The duties of administrative officers reporting directly to the President shall be those delegated by the President and described in the *Administrative Regulations*. Each administrative officer is expected to recommend to the appropriate next superior officer the administrative organization necessary to carry out assigned duties. The positions of deans, directors, and chairs of educational units, with descriptions of major duties assigned, are described in these *Governing Regulations*. The Board of Trustees must approve major changes in administrative organization.

Each administrative officer is authorized to establish and enforce such policies and procedures as are attendant to delegated administrative duties and to establish administrative and/or advisory committees to aid in the performance of assigned functions.

2. Dean of the Graduate School

The Dean of the Graduate School is chair of the Graduate Faculty and of the Graduate Council and serves as an ex-officio member of all committees of the Graduate School. Under the broad direction of the President and the Provost, the Dean provides general planning, guidance, review, and coordination for all of the University's endeavors in graduate education. The Dean appoints regular and associate members of the Graduate Faculty. The Dean recommends to the Provost on the following actions affecting faculty members who are or may be involved in research or graduate programs: initial appointments of associate professors and professors; promotions of assistant professors and associate professors; and granting of tenure. The Dean also recommends on budgets as these may affect graduate education and shall have the same authority and responsibilities as those of a dean of a college in the administration of educational units that might be transferred to or developed under the Office of the Dean of the Graduate School.

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

3. Deans of the Colleges

A dean is the chief administrative officer of a college and is responsible for the enforcement of these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty,* and the rules of the college faculty. The dean is authorized to establish and enforce such policies and procedures as are attendant to the administrative management of the operations of the college.

The dean is the chair of the college faculty and an *ex officio* member of all college committees. The dean is charged with overseeing the educational work of the college and its efficient conduct and management in all matters not specifically charged elsewhere. The dean is responsible for the implementation of the curricula of the college, for ensuring through the faculty the quality of instruction given therein, for the assignment of duties to all personnel, and for the service provided by the faculty of the college, individually and as a whole. The dean shall review faculty performance evaluations submitted by the department chairs and shall be responsible for recommendations on salaries, salary changes, appointments, reappointments, terminal appointments, post-retirement appointments, promotions, and granting of tenure and decisions not to reappoint for members of the college or for ultimate action thereon when such authority has been delegated by the President or the Provost.

The dean shall submit the budget request for the college and administer the budget when it is approved. The President or Provost may delegate further administrative responsibilities to the dean. These responsibilities may vary from college to college.

In connection with the above administrative functions, the dean shall seek the advice of the faculty of the college: 1) individually, 2) as a whole, 3) through the elected college faculty

council, or 4) through the faculty advisory committees. In addition to the roles and responsibilities described above, the dean of a college without departments shall have any other roles and responsibilities which are delegated to a department chair as set forth in Part VII.B.6. Staff employees shall be consulted, when appropriate, in the development of administrative policies and decisions that directly affect staff employees.

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

4. Directors of Schools

The director of a school serves as chair of the faculty of the school in the performance of its assigned functions and is an *ex officio* member of all committees of the school.

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

In connection with the above administrative functions, the director shall seek the advice of the faculty of the school: (1) individually, (2) as a whole, (3) through the elected school faculty council, or (4) through faculty advisory committees. In addition to the roles and responsibilities described above, the director of a school without departments shall have any other roles and responsibilities which are delegated to a department chair as set forth in Part VII.B.5. Staff employees shall be consulted by the school director (or associate director), when appropriate, in the development of administrative policies and decisions that directly affect staff employees.

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

5. Chairs of Departments

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

The department chair is responsible for recommendations on the appointment of new faculty members of the department, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint.

Procedures used in preparing recommendations shall be those established by the University, the college, and the department faculty. At a minimum, the procedures must include consultation with all tenured members of the department, with the directors of any multidisciplinary research centers, graduate centers or institutes with which the affected individuals are or will be associated, and with all full-time non-tenured faculty members (except for temporary faculty or those appointed in the research title series, clinical title series, or visiting series) with the actual or equivalent rank of assistant professor or higher who have been members of the department for two (2) years, except as noted below. Faculty members with appointments in the clinical title series, however, shall be consulted on a departmental or divisional basis as appropriate about appointment or promotion of individuals to academic ranks equal to or below their own in the clinical title series, but not be consulted on matters relating to appointment, retention, promotion, or tenure of faculty in the regular or special title series. All recommendations on matters listed above, excluding reappointments and post-retirement appointments, shall include the written judgment of each consulted member of the department and of each director of pertinent multidisciplinary research centers and institutes, along with the recommendation of the chair.

The following exceptions may be made: (1) faculty members on approved leave of absence or with a primary administrative, service, or other assignment outside the department may, but are not required to, provide written judgments on all recommendations; (2) faculty members need not be consulted on recommendations for promotion affecting members with equivalent or higher rank, except that all faculty members with tenure shall be consulted on recommendations for granting of tenure; (3) faculty members without tenure need not be consulted on recommendations for granting of tenure; (4) the right to make recommendations on temporary appointments and/or appointments at the assistant professor level or below may be delegated, with these appointments to be reviewed by the tenured faculty of the department during the second semester of the first year of appointment; and (5) in a large and diverse department, upon prior recommendation by the department faculty and approval of the dean and the Provost, consultation with faculty members may be restricted to those associated with the concerned, previously-defined academic division or program area in the department.

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

The department chair submits the budget request for the department and administers the budget after its approval. The chair also is responsible for making recommendations on salaries, salary changes, and distribution of effort.

In connection with the above major administrative functions, the chair shall seek the advice of members of the department, individually or as a group, or of advisory committees that the chair may appoint. Staff employees shall be consulted, when appropriate, by the chair, in the development of administrative policies and on decisions that directly affect staff employees.

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

6. Directors of Multidisciplinary Research Centers and Institutes

The administrative officer of a multidisciplinary research center or institute is a director, who also shall be a faculty member in a department, school, or college. The director of a multidisciplinary research center or institute is charged with the planning, implementation, coordination, and efficient management of the program and activities of the center or institute. The director shall have the same responsibilities as those of a department chair relative to faculty members and staff employees with assigned duties in the center or institute. The director shall provide recommendations and advice to appropriate educational unit administrators concerning space, financial, and other resources, as well as the identification of faculty members for assignment of duties in the center or institute. The director shall submit the core budget request for the center or institute and administer this budget after its approval. In addition, the director may have other responsibilities delegated by the Executive Vice President for Research or other academic administrator to whom the center or institute is administratively responsible.

In connection with the above major administrative functions, the director shall seek the advice of the faculty members of the center or institute, individually or as a group, or of advisory committees that may be appointed by the director of the center or institute or by the administrator to whom the center or institute is administratively responsible. The director shall speak for the center or institute and be an *ex officio* member of all of its committees and shall transmit the recommendations of the consulted faculty along with the director's recommendation, if these recommendations are different. Staff employees shall be consulted, when appropriate, by the director, in the development of administrative policies and on decisions that directly affect staff employees.

7. Director/Chair of Interdisciplinary Instructional Programs

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

The director/chair shall be responsible to the dean(s) of the college(s) in which the program is located and advise the dean(s) on personnel and other needs of the program in connection with budget planning. For these administrative purposes, the director/chair shall rely upon the advice of a committee drawn from faculty members participating in the courses composing the curriculum and shall transmit the recommendations of the consulted faculty along with the director/chair's recommendation, if these recommendations are different. Staff employees shall be consulted by the director/chair, when appropriate, in the development of administrative policies and on decisions that directly affect staff employees.

# PART VIII

# UNIVERSITY APPOINTMENTS

## A. Administrative Appointments

### 1. Regular Appointments

The President is appointed by the Board of Trustees with the advice of a joint committee of the Board of Trustees, University Faculty, staff employees, student body, and alumni. The committee shall consist of six (6) members of the Board of Trustees, at least one (1) of whom shall be from among the three (3) alumni trustees, appointed by the Chair of the Board of Trustees; three (3) regular full-time faculty members, selected by a procedure determined by the University Senate; one (1) regular full-time staff employee appointed by the Chair of the Board of Trustees from a list of three (3) staff employees selected by a procedure determined by the Staff Senate; two (2) full-time students, one (1) undergraduate and one (1) graduate or professional student, appointed by the Chair of the Board of Trustees from a list of three (3) undergraduate students and three (3) graduate or professional students selected by a procedure determined by the Student Government Association; and one (1) member of the alumni appointed by the Chair of the Board of Trustees from a list of three (3) alumni selected by the Board of Directors or the Executive Committee of the University of Kentucky Alumni Association. The committee shall provide opportunity for discussion among representatives of administration, University Faculty, staff employees, student body, alumni groups, and prospective presidential candidates.

The Provost, executive vice presidents, vice presidents, chief administrative officers of educational units (deans, directors, and chairs), and every administrative and professional employee of the University who is to report directly to the President or whose position is at Level 50 or above in the Administrative and Professional Classification System shall be appointed by the Board of Trustees, acting upon recommendation of the President. Except in the cases of those individuals who report directly to the President, a recommendation from an appointee's superior officer shall be obtained prior to recommending an appointment or reappointment by the Board of Trustees. Staff employees, other than those described above may be appointed by the President, Provost, or appropriate executive vice president or vice president. The President shall report all appointments at Levels 47 through 49 in the Administrative and Professional Classification System to the Board of Trustees. The President, Provost, or the appropriate executive vice president or vice president may delegate the power to appoint personnel whose appointments are not made by the Board of Trustees to other appropriate administrative officers.

If the Board of Trustees does not accept the recommendation of the President with respect to an appointment, it shall call upon the President to make another recommendation. Likewise, the President may refuse to approve a recommendation, but, in each such case, the President shall

ask for a new recommendation from the same or a new search committee. The same principle shall apply at all levels of the administrative organization.

2. Acting Appointments

When vacancies occur in administrative positions other than the presidency, the President or the Provost or the appropriate executive vice president or vice president may appoint acting officers to fill the positions until it is possible to make regular appointments by the established procedure. When the officer is one who does not report directly to the President, the President or the Provost, or an executive vice president or a vice president, as appropriate, shall request a recommendation from that officer's superior. Acting appointments shall be for a maximum term of one (1) year; however, reappointments may be made after a satisfactory review. All appointments of acting officers shall be reported to the Board of Trustees. With the approval of the next higher administrative level, a regular administrative officer may designate a temporary officer to service in an acting capacity for a period not to exceed four (4) months while the regular officer is away from campus on University business or approved leave.

If the officer administers a college, center, school, or department, the Provost also shall request a recommendation on matters of acting appointment or acting reappointment from a committee which includes faculty members from that unit.

In the selection of an acting Provost, the President shall request a recommendation from a committee which includes faculty members and also recommendations from the University Senate Council.

The search processes for an acting provost or chief administrative officers of colleges, schools, departments and centers shall include the participation of staff employees of the unit, and shall provide for the participation of other affected groups as appropriate.

3. Search Committees

Recommendations on the appointment of a Provost or of the chief administrative officers of all educational units of the University shall be made after advice from search committees.

When vacancies in administrative positions are anticipated, search committees shall be appointed sufficiently in advance of the vacancy to avoid the appointment of an acting administrator. When unanticipated vacancies occur, search committees shall be appointed as soon as the established procedures for appointment can be carried out. The selection of faculty members for membership on search committees for administrative appointments above the level of dean shall be made after consultation with the University Senate Council.

Recommendations of the search committee shall be transmitted to the President through the established administrative channels, along with the recommendation of the administrative officer responsible for the appointment. Recommendations on the appointment or reappointment of a chair of an academic department or division, or for the dean of a college or the director of a

school that does not contain departments or divisions, shall be accompanied by written statements from at least the tenured members of the college, school, department or division.

Search committees for deans of colleges shall be appointed by the Provost after consultation with the University Senate Council, and either the faculty or elected faculty council of the college.

Search committees for directors of schools shall be appointed by the deans of the colleges after consultation with the appropriate bodies as these bodies are identified in the rules of the respective school faculty.

Search committees for chairs of academic departments shall be appointed by the deans of the colleges after consultation with (1) the associate dean or director of the school within the college if the department is in such a school; (2) the faculty of the department; and (3) the Dean of the Graduate School if the department is involved in a graduate program.

Search committees for directors of interdisciplinary research centers or institutes or interdisciplinary instructional programs shall be appointed, after consultation with the appropriate bodies, by the Executive Vice President for Research, or other officer to whom administrative responsibility has been delegated.

The search processes for a provost or for chief administrative officers of colleges, schools, departments and centers shall include the participation of staff employees of the unit and shall provide for the participation of other affected groups, as appropriate.

4. Terms of Chairs and Directors

(a) Department Chairs

The term of a department chair's appointment shall be four (4) years, except in the Colleges of Agriculture, Dentistry, Medicine, Nursing, and Pharmacy where it shall be six (6) years. Ordinarily, a department faculty member will be asked to serve as chair for only one (1) term. A chair may be reappointed, however, when the faculty advisory committee appointed to review the work of the department (AR II-1.0-6) finds that the particular circumstances and needs of the department make such a reappointment desirable. Reappointment beyond the second term may occur under exceptional circumstances when it is deemed to be in the best interests of the University. This practice may vary from discipline to discipline.

(b) Chairs of Interdisciplinary Instruction Programs

Insofar as applicable, the rules for the appointment and reappointment of a department chair shall apply also to the appointment and reappointment of a chair of an interdisciplinary instructional program.

(c) Directors of Multidisciplinary Research Centers and Institutes

The director of a multidisciplinary research center or institute shall be appointed for a term of six (6) years. A director may be reappointed, however, when an ad hoc committee appointed to review and evaluate the center or institute (AR II-1.0-6) finds that the particular circumstances and needs of the center or institute make such a reappointment desirable.

B. Academic Appointments, Reappointments, Promotions, and Granting of Tenure

All appointments and promotions of faculty members to positions which involve (1) an actual or equivalent academic rank of associate professor or professor, (2) tenure, or (3) an initial salary above $100,000 shall be made by the Board of Trustees, acting upon recommendation of the President. Appointments and promotions of faculty members to positions which involve an actual or equivalent academic rank below associate professor and an initial salary not exceeding $100,000 shall be made by the President who shall report such actions to the Board of Trustees. The President may delegate the authority to make appointments and promotions that do not require approval by the Board of Trustees. The President, following consultation with the University Senate Council, shall establish such review systems as are appropriate to assist the President, or other appropriate administrative officers designated by the President, in making informed judgments concerning academic appointments, reappointments, promotions, and granting of tenure.

# PART IX

# REVIEWS OF EDUCATIONAL UNITS AND THEIR CHIEF ADMINISTRATIVE OFFICERS

The work of each educational unit in the University* and of the unit's chief administrative officer shall be reviewed at regular intervals by an ad hoc committee. The review periods shall normally be from five (5) to seven (7) years, except (1) for educational units where the review period shall depend upon the term of office of the chair, the reviews being made so that the results are available when decisions to appoint or reappoint chairs are to be made, and (2) for units headed by acting administrators, where the review period shall be one year. A review of the work of any educational unit at other than the regular interval may be initiated by the chief administrative officer of the unit, by an administrative officer responsible for the unit, or by the President. Ordinarily such a review shall be initiated if requested by a majority of the faculty members of the unit, unless the administrative officer to whom the unit reports provides written justification for not initiating the review.

Procedures for appointment of review committees and for conduct of reviews, which have been established by the President after consultation with appropriate administrative and faculty groups including the University Senate Council, are described in the *Administrative Regulations* (AR II-1.0-6). Such review committees shall be formed principally from faculty personnel, shall normally include members internal and external to the unit being reviewed, and may include members external to the University.

*Includes departments, schools, graduate centers, colleges, interdisciplinary instructional programs, and multidisciplinary research centers and institutes.

# PART X

# REGULATIONS AFFECTING EMPLOYMENT

## A. General

### 1. Merit as the Basis for Appointment

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

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

No relative of the President shall be employed in a position at the University. Similarly, no relative of the Provost, or any associate provost, executive vice president, vice president, or associate vice president shall be employed in a position in that officer's administrative area. Waiver of the above regulation may be permitted by the Board of Trustees. All changes in position and/or rank related to this waiver shall be approved by the Board of Trustees. No relative of any administrative officer of the University, or of any member of the University Faculty, may be appointed to any position in the University over which the related officer or staff employee exercises supervisory or line authority. Employment of relatives within the same department or division shall be approved specifically by the Provost or appropriate executive vice president or vice president. "Relatives," as used above, include parents and children, husbands and wives, brothers and sisters, brothers- and sisters-in-law, mothers- and fathers-in-law, uncles, aunts, nieces and nephews, sons- and daughters-in-law, and step-relatives in the same relationships. The employment of relatives of University employees, as described in this paragraph, whose relationship was not a violation of this section of these *Governing Regulations* prior to its amendment on April 10, 1984, does not constitute a violation of the amended policy provided the relatives are regular employees of the University and remain in the University employment positions which they held on April 10, 1984. However, the transfer of any such employees described in this paragraph (whose employment relationship was not a violation of

policy prior to its amendment on April 10, 1984) to any other regular University position shall require approval of the President.

2. Intellectual Property

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

3. Representation and Attendance at Meetings

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

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

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

4. Retirement

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

5. Social Security

All employees except those in Civil Service are covered by the Old-Age and Survivors Insurance of the National Social Security Program and are thus eligible for benefits in accordance with the

governing legislation. Each eligible employee of the University must, if the employee has not previously done so, secure a Social Security card and supply to the Office of the Treasurer a completed Treasury Form W-4 with the employee's social security number and other information necessary for withholding appropriate contributions.

6. Group Insurance

Regular full-time faculty members and staff employees who are employed by the University are insured under the Basic Life Insurance Program. This insurance may be increased optionally to a total of one (1), two (2), or three (3) times the employee's basic annual salary, up to the maximum amount contained in the University's contract with the insurer. The premium for the basic insurance is paid by the University, whereas that for the optional increase in insurance is paid by the employee.

In addition, all regular full-time faculty members and staff employees are encouraged to participate in the University's basic health and other insurance programs that also may include coverage for dependents.

7. Workers' Compensation

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

8. Employee Disability Program

Regular full-time faculty members and staff employees, other than those covered by Civil Service or the Federal Employee Retirement System, are covered by the Long Term Disability Program. Coverage commences after the completion of one (1) year of employment unless the eligible employee, at the time of hire, satisfies the exception condition as outlined in the plan document in which case there is immediate coverage. This program provides income protection through a Long Term Disability Plan and, in some cases, supplemental benefits by the University. The University pays the full cost of this program.

B. Employment of Faculty

1. Appointment of Faculty

(a) Types of Faculty Appointments

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

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

a. One type of non-tenured appointment is that in which a faculty member is

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

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

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

The term "joint appointment" shall apply in any case in which an individual holds two (2) or more intra-University faculty appointments. In such an instance, one of the appointments shall be designated as the primary appointment by the dean of the college if the individual's appointments are associated with educational units in the same college or by the Provost if the appointments are with educational units in different colleges. The constituent appointments relating to a joint appointment may be processed simultaneously or at different times; however, each appointment, reappointment or promotion, shall be processed independently and considered on its own merits. An individual's academic rank, though usually the same, may differ in the constituent appointments. The possibility of tenure applies only to the primary appointment. In case of termination of the non-primary appointment(s) leaving only the primary appointment for a full-time faculty member, the individual's assignment associated with the primary appointment shall become full-time. When an individual under consideration for appointment to an administrative position is also to be considered for a faculty appointment, recommendations of committees on the two respective appoints shall be developed independently on their respective merits, in accordance with the respective established appointment procedures.

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

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

b. A second type of post-retirement appointment may be used in a very limited number of cases, when it is essential to a University program or office or when it is otherwise impossible practicably to fill a position with a fully qualified person. Such a part-time or full-time appointment is restricted to former employees who have elected to retire, requires specific prior approval by the Board of Trustees, and is made for a period not to exceed one (1) year.

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

(b) Probationary Periods

Probationary periods are applicable to non-tenured appointments of faculty members on a full-time year-to-year basis in the regular, special title, extension, or librarian title series. Such non-tenured appointments may be for one (1) year or for other stated periods, subject to renewal. The total non-tenure period, however, shall not exceed seven (7) years unless one of the following provisions applies: AR II-1.1-12 (Family Medical Leave); GR X.C.7. (Leave for Duration of an Election or Term of Office); GR X.C.5.d. (Educational Leave); or for other leaves of absence where the University, in granting the leave, and the individual, in accepting it, agree that time spent on the leave of absence shall not count as probationary period service. Except as provided in Part X.C.5.d. and X.C.7., time spent on leave of absence shall count as probationary period service unless the University in granting the leave and the individual in accepting it agree to the contrary. An individual initially appointed to the rank of full professor may be given non-tenure status for a period not to exceed one (1) year. An individual shall not remain at the rank of instructor in the University for more than three (3) years. If after that period, promotion to a higher rank cannot be justified, the individual's appointment with the University shall not be renewed.

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

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

(c) Appointment Record

The precise terms and conditions, excepting salary, covering each appointment shall be stated in writing on an official appointment record. Notice of reappointment shall be in the possession of the appropriate administrative officers and the appointee at least three (3) months before the renewed appointment begins, when possible, or at the earliest date feasible in view of budget considerations. It shall be the responsibility of the Provost to ensure compliance with this regulation.

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

Part-time, visiting, or temporary faculty appointments have explicit one (1) year or less terminal dates that terminate at the expiration of the term without notice.

For those employed year-to-year on a fiscal or academic year basis, notification of non-renewal of appointment at the end of the first year of service shall be given not later than March 1 if the

appointment expires at the end of that year or three (3) months in advance if the one-year appointment terminates during the academic year. Notification of non-renewal of appointment at the end of the second year of service shall be given no later than December 15 if the appointment expires at the end of the year or six (6) months in advance if the appointment expires during the year. Notification of non-renewal of appointment after more than two (2) years of service shall be given at least twelve (12) months before expiration of appointment. Non-renewal decisions concerning regular, full-time faculty members shall be reported to the Board of Trustees.

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

(e) Termination of Appointment

(i) Reasons for Termination

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

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

(ii) Procedure

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

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

The faculty member shall be informed in writing by the President regarding specific charges at least twenty (20) days prior to the hearing. At least seven (7) days prior to the hearing, the faculty member shall answer the charges in writing. The faculty member may waive the hearing. If the faculty member waives the hearing but denies the charges or asserts that the charges do not support a finding of adequate cause, the Hearing Panel shall evaluate all available evidence and base its recommendation upon the evidence in the record.

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

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

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

(iii) Suspension

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

(f) Academic Freedom of Non-Tenured Faculty

If faculty members on non-tenured appointments or faculty members on post-retirement appointments allege that decisions not to reappoint them were caused by considerations violating academic freedom, or that they were given less advance notice than required in these *Governing Regulations*, they must present their allegations in writing to the University Senate Advisory Committee on Privilege and Tenure within sixty (60) days after being notified in writing by their respective deans of the decisions not to reappoint. Allegations so presented shall be given preliminary consideration by the University Senate Advisory Committee on Privilege and Tenure, which shall attempt to settle the matter by informal methods. The allegations shall be accompanied by statements that aggrieved faculty members agree to the presentation, for the consideration of the committee, of such reasons and evidence as the University may allege in support of its decisions. If the difficulty is unresolved at this stage and if the committee so recommends, the procedures set forth in GR X.B.5.b shall be applied, except that the faculty members making the complaints are responsible for stating the grounds upon which they base their allegations and the burden of proof shall rest upon them. If *prima facie* cases are established via these procedures in favor of the faculty members, it becomes incumbent upon the persons who made the decisions not to reappoint, or who provided insufficient notice, to present evidence in support of those decisions.

(g) Resignation

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

(h) Administrative Personnel

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

(i) Change of Assignment

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

member is not seriously jeopardized thereby, a change in the duties assigned to an individual may be made without such a change of assignment being regarded as a violation of the individual's tenure rights.

2. Conditions of Employment

(a) Terms of Assignment

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

(b) Vacation Leave

All full-time faculty members on a ten-month, eleven-month, or twelve-month assignment basis shall be entitled to twenty-two (22) working days of vacation leave with pay per assignment period. With prior administrative approval, faculty members may take vacation leave at appropriate times during the period in which they are eligible to take such leave; however, each faculty member shall be in actual attendance at least until after Commencement and until all reports have been made, and at least three (3) days prior to the first day of registration for the fall semester, unless for special reason leave is approved. Vacation leave normally cannot be accumulated from one assignment period to another, except that a faculty member on a twelve-month assignment basis may take vacation leave either during the assignment period in which the vacation leave is earned or during the subsequent assignment period. Under unusual circumstances, provided it is in the best interest of the University and has advance approval by the Provost, a faculty member on a ten-month or an eleven-month assignment basis also may take unused vacation leave during the assignment period following that in which the vacation leave was earned. Pay for unused vacation leave shall be limited to a maximum of twenty-two (22) days at the end of employment.

(c) Professional Practices

(i) General Policies

During their annual assignment period (whether academic year, ten months, eleven months, or twelve months) faculty members are expected to serve the University full-time. It is expected that they will be interested primarily in the work of their particular educational unit, giving their chief effort to the promotion of its needs.

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

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

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

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

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

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

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

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

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

(ii) Service Plans (AR II-7)

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

(f) Leaves of Absence

(i) Sabbatical Leave

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

Faculty members who have full-time non-tenured or tenured appointments in the regular, special title, extension, or librarian series with the rank of assistant professor (or librarian III) or higher, are eligible for sabbatical leaves after six (6) years of continuous service in the rank of instructor (or librarian III) or higher at the University, or for sabbatical leaves under a different option after three (3) years of continuous service. All such sabbatical leaves shall be approved by the President or the President's designee.

After six (6) years of continuous eligible service, a faculty member may apply for one (1) year's sabbatical leave (academic year for appointees on academic year, ten-month, or eleven-month assignments) at one-half salary or six (6) months' sabbatical leave (academic semester for appointees on academic year, ten-month, or eleven-month assignments) at full salary. After three (3) years of continuous eligible service, an appointee may apply for six (6) months' sabbatical leave (academic semester for appointees on academic year, ten-month, or eleven-month assignments) at one-half salary. Normally "continuous service" is interrupted by a sabbatical leave; that is, no service prior to a sabbatical leave may be credited toward eligibility for future sabbatical leave. However, in the event that it becomes necessary for an individual to postpone a sabbatical leave at the request of and/or for the benefit of the University or one of its educational units, the period of postponement shall be counted as part of the six (6) years of service necessary for the individual to again become eligible for sabbatical leave. The request for and/or agreement that the sabbatical leave be postponed shall be made in writing by the dean, and be approved by the Provost. The request or agreement shall specify the period of postponement and the reason for it. In no case shall cumulative sabbatical leave be granted for a single period longer than one (1) full year at full salary.

Sabbatical leave shall not be used as a means of augmenting personal income. A recipient may not accept gainful employment during a sabbatical leave (for an individual on an academic year assignment basis, this does not include the period of May 16 through August 15; for an individual on a ten-month or eleven-month assignment basis, this does not include the period of vacation and the one (1) or two (2) months outside the assignment period each fiscal year; for an individual on a twelve-month assignment basis, this does not include the one-month vacation period) except as follows:

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

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

In neither of the above instances shall a recipient's total income attributable to a sabbatical leave project exceed the individual's regular academic salary. Sabbatical leave shall be granted with the understanding that the recipient, following the sabbatical leave, will continue service at the University for at least one (1) academic year.

(ii) Temporary Disability Leave

Temporary Disability Leave (TDL) may be granted to faculty members by the Provost. Eligible faculty members who are totally disabled are entitled to six (6) months' TDL with pay after which the Long Term Disability Plan, for which the University pays the full cost, becomes operative. TDL with pay for more than six (6) months requires approval by the Board of Trustees.

(iii) Leaves With Pay

Upon the recommendation of the appropriate administrative officers and approval of the Provost, a faculty member may be granted leave of absence with pay for a period not to exceed thirty (30) days for the purpose of permitting an appointee to attend a professional meeting, serve temporarily with an outside agency, serve in the military forces of the United States, or for other good cause. Such leaves of absence with pay for more than thirty (30) days require approval of the Board of Trustees.

(iv) Leaves Without Pay

Upon the recommendation of the appropriate administrative officers and approval of the Provost, a member of the faculty may be given a leave of absence without pay. Ordinarily such leave shall not be granted for a period in excess of one year (12 months). However, such leave may be extended on application and approval by the appropriate administrative officers. The best interests of the University shall be a major consideration in granting an extension of any such leave. Leaves of absence without pay are not normally credited toward eligibility for sabbatical leave. However, exception may be made when the leave enhances the value of the individual to the University, e.g., a leave to accept a fellowship or a grant, service for professional organizations, etc. In no case shall the leave of absence without pay be considered as an interruption of continuous service.

(v) Educational Leave

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

(vi) Scholarly Fellowship Leave

To accept a scholarly fellowship which allows a faculty member to pursue a program of research, and which the funding agency will not process through the University, faculty members may request leave with partial pay. If such leave is recommended by the dean and approved by the Provost, the faculty member shall be entitled to normal faculty benefits and privileges during the period of temporary change in status. Time spent on scholarly fellowship leave shall apply toward eligibility for sabbatical leave and count as probationary period service unless the University in granting the leave and the individual accepting it agree to the contrary.

3. Miscellaneous

(a) Faculty Members as Candidates for Degrees

Faculty members having a rank higher than that of instructor may not be considered as candidates for degrees in the discipline in which they are employed and hold academic rank. Faculty members pursuing degrees above the master's degree at the University of Kentucky may not hold more than a half-time work assignment either during the two (2) full-time, consecutive resident semesters preceding the qualifying examination or during the two semesters of full-time dissertation study immediately following the qualifying examination.

(b) Faculty Members as Scholars and Citizens

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

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

requested leave is limited to a reasonable period of time. The terms of a leave of absence for this purpose shall be set forth in writing. The leave shall not affect unfavorably the tenure status of a faculty member, except that the time spent on such leave from academic duties shall not count as probationary service unless agreed to otherwise.

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

C. Employment of Staff Employees

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

2. Post-Retirement Employment

(a) A post-retirement appointment may be used in a very limited number of cases, when it is essential to a University program or office or when it is otherwise impossible practicably to fill a position with a fully qualified person. Such a part-time or full-time appointment is restricted to former staff employees who have elected to retire, requires specific prior approval by the Board of Trustees, and is made for a period not to exceed one (1) year.

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

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

D. Opportunity for Hearing

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

E. Matters Effecting Faculty and Staff

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

# PART XI

# STUDENT AFFAIRS

## A. Student Government Association

The University of Kentucky Student Government Association is recognized by the Board of Trustees, administration, and the University Senate as the official student body authority in University matters to ensure a maximum of self-government and to create mutual respect and liaison between students and the faculty and administration. It shall provide services to the students, faculty, and administration of the University and represent student opinion to the faculty, administration, and Board of Trustees. It may have responsibilities delegated to it by the President, the Office of the Vice President for Student Affairs and/or the University Senate.

The President of the Student Government Association shall be considered to be the President of the student body of the University specified in KRS 164.130.

The Student Government Association shall be representative of the student body of the University. It is authorized to develop rules for its composition and procedures which are consistent with rules and regulations of the University. Copies of these rules shall be made available to all members of the student body of the University, the Secretary of the University Senate, the Associate Provost for Academic Affairs, Vice President for Student Affairs, the President, and the Secretary of the Board of Trustees.

For purposes of budget and other matters relating to finance, the Student Government Association is responsible to an administrative officer designated by the President.

The Student Government Association shall adhere to all rules and regulations adopted by the Board of Trustees.

## B. Student-University Relationships

The non-academic relationships between University students and the University are covered in the document entitled, *Student Rights and Responsibilities. Part I. Code of Student Conduct: Rules, Procedures, Rights and Responsibilities Governing Non-Academic Relationships*, which has been adopted by the Board of Trustees and may be amended only by that body.

The academic relationships between University students and the University are incorporated in the document entitled, *Student Rights and Responsibilities. Part II. Selected Rules of the University Senate Governing Academic Relationships*. The rules in Part II have been adopted by the University Senate and may be amended only by that body.

Copies of the document, *Student Rights and Responsibilities: Parts I and II*, shall be made available to all students. Registration by the student constitutes acceptance of these student-

University relationships. In no case, however, shall this preclude legitimate efforts to obtain amendments to this basic document covering these relationships.

C. Lexington Community College Students

The relationship between students at Lexington Community College and the University of Kentucky is defined in the "Memorandum of Agreement Among the University of Kentucky, the Kentucky Community and Technical College System, and Lexington Community College Pursuant to House Joint Resolution 214."

1. For non-academic matters, the Agreement, effective July 1, 2004, provides as follows:

(a) On July 1, 2004, and through June 30, 2006, Lexington Community College students shall have the responsibilities, services, privileges, and rights accorded to them before HJR 214.

(b) After June 30, 2006, Lexington Community College students shall be able to choose from certain University of Kentucky services on an individual basis without obligation to purchase any other or all services. Appropriate charges for the selected service(s) shall apply.

2. For academic matters, the Agreement provides as follows:

(a) Effective July 1, 2004, the Kentucky Community and Technical College System shall be responsible for academic and student support services for LCC students, except for services mutually agreed to by KCTCS and University of Kentucky.

(b) Effective July 1, 2005, LCC students shall come under the KCTCS Student Code of Conduct for academic matters.

(c) LCC students, enrolled on or before September 1, 2004, in associate degree programs approved by the UK Board of Trustees who complete the associate degree program on or before August 31, 2010, shall have their degrees conferred by the UK Board of Trustees. The degrees for all other students enrolled in LCC programs shall be awarded by the KCTCS Board of Regents.

# PART XII

## UNIVERSITY OF KENTUCKY DEVELOPMENT COUNCIL

The University of Kentucky Development Council shall serve in an advisory capacity to the President and, through the President, to the Board of Trustees on matters relating to private fund development for the entire University. The University of Kentucky Development Council shall consist of not more than three hundred (300) members.

Membership of the University of Kentucky Development Council includes individuals appointed by the President and five (5) *ex officio* members: the Chair of the Board of Trustees, the President, the Vice President for Institutional Advancement, the chief development officer, and the Chair of the Student Development Council. The appointed membership may include alumni, non-alumni, residents and non-residents of Kentucky. Qualifications for appointed members are: (1) positions of leadership in a regional, state or national community or a profession; and (2) willingness to support the University's role as a leading public university committed to excellence and nationally recognized for the quality of its instruction, research, service, and graduates.

The University of Kentucky Development Council shall be managed by a Board of Directors consisting of the *ex officio* members of the University of Kentucky Development Council and up to twenty-six (26) members elected by the Development Council.

The elected members of the Board of Directors of the University of Kentucky Development Council shall include at least fourteen (14) alumni and at least two (2) members of the Board of Trustees.

# PART XIII

# UNIVERSITY REGULATIONS

## A. *Governing Regulations*

These *Governing Regulations* describe the composition, powers and duties of the Board of Trustees and establish policies and procedures for the performance of the Board of Trustees functions. These *Governing Regulations* contain policies established by the Board of Trustees for the governance of the University. These *Governing Regulations* delineate the duties of the President and responsibilities of the University Senate, Staff Senate, Student Government Association, the educational units and their administrative officers. The Board of Trustees makes final approval of these *Governing Regulations.*

## B. *Administrative Regulations*

1. The *Administrative Regulations* provide interpretation and implementation of University-wide policies set forth by the Board of Trustees in these Governing Regulations and the *Minutes of the Board of Trustees. Administrative Regulations* promote the responsible and efficient administration of the University and the accomplishment of its goals. The President makes final approval of the *Administrative Regulations* unless Board of Trustee approval is appropriate.

### 2. University Employees

The *Human Resources Policy and Procedure Administrative Regulations* define University employees and interpretation implementations of University policies concerning their employment.

The *Human Resources Policy and Procedures Administrative Regulations* are available on line on the University's web site at www.uky.edu/HR/policies/.

### 3. Business Procedures

The Business Procedures Manual of Administrative Policies and Procedures includes information related to the purchasing of goods and services, payroll activities, accounting for financial transactions, presents policy statements to aid in decision-making and procedure steps for implementation, and assists all University departments in handling their daily business transactions.

The *Business Procedures Manual* is available on line on the University's web site at www.uky.edu/Regs/BPM/.

C. Amendments of these *Governing Regulations*

These *Governing Regulations* may be amended at any meeting of the Board of Trustees provided at least one (1) month has elapsed between proposal of the amendment(s) and final passage. The President, or the University Senate, the Staff Senate, or the Student Government Association, through the President, may recommend amendments to these *Governing Regulations* to the Board of Trustees.

The President, the University Senate, the Staff Senate, and the Student Government Association, as appropriate, shall have an opportunity to recommend on all amendments before final action by the Board of Trustees.

As the basic law of the University, these *Governing Regulations* supersede any previously approved rules or regulations in conflict therewith. Matters not specifically covered in these *Governing Regulations*, the *Administrative Regulations*, including the *Human Resources Policy and Procedures Administrative Regulations*, *University Senate Rules*, and the *By-Laws of the University of Kentucky Staff Senate* and the *Business Procedures* are governed by administrative interpretation.

# AACR 1

Office of the President
June 14, 2005

Members, Board of Trustees:

CHANGE OF NAME AND ORGANIZATIONAL STRUCTURE OF THE CENTER FOR WOMEN'S HEALTH

Recommendation: that the Board of Trustees approve a change in the name of the Center for Women's Health to Center for the Advancement of Women's Health and transfer of administrative oversight to the Dean, College of Medicine, effective July 1, 2005.

Background: The Women's Health Center was established in October 2000 to advance the health, well-being, and self-esteem of women in Kentucky. The Center worked with faculty from various academic departments in the Medical Center and reported to the Chancellor of the Medical Center.

The Center for the Advancement of Women's Health incorporates five areas of emphasis including research, education, clinical services, community outreach, and leadership. The Center's mission is to create new knowledge towards the understanding and improvement of women's health through clinical and basic research initiatives; train primary care practitioners in gender-specific medicine and sensitize all health practitioners to understand and respond to the health care concerns and needs of women; provide gender-specific diagnostic, treatment and preventive health care services in a coordinated, comprehensive, and compassionate manner; share women's health resource and information with consumers, communities, health care professionals, educators, and policy makers; and enhance the professional development of women at all academic levels within the University of Kentucky Chandler Medical Center, and increase recruitment, retention, promotion, and advancement of women faculty.

The proposal has been reviewed and recommended by the Senate Committee on Academic Organization and Structure and the Senate Council; and recommended for approval by the University Senate. The Interim Provost of the university supports this recommendation.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# AACR 2

Office of the President
June 14, 2005

Members, Board of Trustees:

CHANGE IN NAME OF DEGREES

Recommendation: that the Board of Trustees approve a change in the name of the Bachelor of Science in Family Studies with a major in Early Childhood to Bachelor of Science in Education with a major in Interdisciplinary Early Childhood Education and the Master of Science in Family Studies with a major in Early Childhood to Master of Science in Education with a major in Interdisciplinary Early Childhood Education, effective in the fall 2005 semester.

Background: The proposed program revisions are necessary due to the move of the early childhood program from the Department of Family Studies in the College of Agriculture to the Department of Special Education and Rehabilitation Counseling in the College of Education.

These program revisions have the approval of the Undergraduate Council, Graduate Council, Senate Council, and University Senate. The Interim Provost of the university supports this recommendation.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# AACR 3

Office of the President
June 14, 2005

Members, Board of Trustees:

CHANGE IN NAME OF AN EDUCATIONAL UNIT

Recommendation: that the Board of Trustees approve a change in the name of the College of Medicine's Department of Family Practice and Community Medicine to the Department of Family and Community Medicine, effective in the fall 2005 semester.

Background: The family medicine organizations have agreed on a change in nomenclature to drop the term "family practice" in order to emphasize the content and scholarly activity of family medicine. A formal recommendation from the academic organizations of family medicine to complete this process has ensured. The Future of Family Medicine Project, published in the *Annals of Family Medicine*, also made a strong recommendation that this name change be implemented.

As a result, the American Board of Family Practice has changed its name to the American Board of Family Medicine, the Association of Family Practice Residence Directors has done likewise and only three departments in the country are left that are continuing to use the term "family practice" in their title. The proposed change is requested to be consistent with national organizations and with the academic family medicine departments throughout the country.

The proposal has been approved by the department faculty, the Faculty Council, and the Curriculum Committee of the College of Medicine; reviewed and recommended by the Senate Committee on Academic Organization and Structure; and recommended by the Senate Council on behalf of the University Senate. The Interim Provost of the university supports this recommendation.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# AACR 4

Office of the President
June 14, 2005

Members, Board of Trustees:

CHANGE IN NAME OF A DEGREE

Recommendation: that the Board of Trustees approve a change in the name of the College of Health Sciences' Bachelor of Health Science degree in Health Services Management to Bachelor of Health Science Degree in Clinical Leadership and Management, effective in the fall 2005 semester.

Background: The Department of Health Services Management, formerly located in the College of Health Sciences, but recently moved to the College of Public Health, administered the Health Services Management baccalaureate degree program. The Bachelor of Health Science degree in Health Services Management was a two-year, full-time program that admitted approximately 24 full-time students per year. Enrollment was suspended in the 2001-02 academic year. The proposed revision is part of an agreement that the College of Health Sciences would maintain the degree program. The revised program will be geared to associate degree health care professionals who have a minimum of one year's post-degree work experience in a health care setting and who are interested in enrolling in a baccalaureate degree program focusing on clinical leadership and management education and training. While these health care professionals have sufficient training in their individual health disciplines, most are without formal academic education and training in clinical leadership and management. Classes will be offered to accommodate working students. Distance learning sites will be developed to provide interested students with an opportunity to enroll in the program.

Students who graduate from the Clinical Leadership and Management Program will be able to assume greater responsibilities in their current jobs, be more qualified for job promotions, or be able to continue their studies at a graduate level. This program will help provide more educated allied health care professionals for Kentucky communities and their patients, in turn, will be better served.

This proposal has the approval of the Undergraduate Council, Senate Council, and University Senate. The Interim Provost of the university supports this recommendation.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# AACR 5

Office of the President
June 14, 2005

Members, Board of Trustees:

DOCTOR OF PHYSICAL THERAPY DEGREE

Recommendation: that the Board of Trustees approve the establishment of a Doctor of Physical Therapy (DPT) degree program in the College of Health Sciences.

Background: The profession of physical therapy has been undergoing a significant shift in the locus of the professional educational programs during the last ten years. Increasingly the programs have been enhanced to award the DPT with more than half of the accredited programs now being DPT in orientation. The impetus for this process is multifactorial and includes physical therapists providing direct access to patients. This necessitates the aforementioned enhanced curricular requirements in differential diagnosis, pharmacology, gerontology, administration, public health, and prevention/wellness domains. The University of Kentucky Physical Therapy faculty members have carefully considered the national trends and have designed a DPT program utilizing existing strengths and curricular offerings to provide an efficient and effective program for the Commonwealth and for future students.

The DPT is a professional degree designed to create the clinician or practitioner of physical therapy. Professional DPT programs will more appropriately reflect the scope, depth, and breadth required for current and future practice; will provide a strong educational background that should better enable the graduates to successfully enter clinical practice to examine, evaluate, prognose, and intervene in the management of impairments, functional limitations, and disabilities of all body systems; will facilitate consumer awareness and recognition of the expected clinical role for physical therapist; will facilitate professional interactions and enhance research opportunities; and will enable the clinicians to better provide care and to advocate for and represent patient needs to external parties.

This program has the approval of the Graduate Council and Senate Council and has completed the forty-five day review by the Council on Postsecondary Education. The Interim Provost of the university supports this recommendation.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# AACR 6

Office of the President
June 14, 2005

Members, Board of Trustees:

MASTER OF ARTS IN TEACHING WORLD LANGUAGES

Recommendation: that the Board of Trustees approve the establishment of a Master of Arts in Teaching World Languages degree program in the College of Arts and Sciences.

Background: It is generally acknowledged that certified teachers are in short supply nationwide in a number of subject areas. This shortage is particularly acute in the area of world languages as globalization in its various forms has heightened awareness of the importance of this general subject area in P-12 curriculum. While world languages are not currently considered part of the academic core curriculum in Kentucky schools, there is a statewide mandate that as of 2003-04 all college-bound high school students are expected to have completed two years of a world language successfully as a condition of their admission to Kentucky's public postsecondary institutions. This mandate has exacerbated an already existing shortage of teachers in this subject area. To help meet the critical need for more world language teachers in Kentucky schools, the Department of Modern and Classical Languages, Literatures and Cultures, in cooperation with the Department of Hispanic Studies and the Department of Curriculum and Instruction, proposes the new degree program. The proposed program is also in keeping with the prioritization of international studies and teacher preparation as areas for future development in the current strategic plan.

The proposed program will be centered in the College of Arts and Sciences rather than the College of Education though faculty in the College of Education will continue to teach a number of the courses that are required of students enrolled in the program. This shift reflects a greater emphasis on content-based courses in the curriculum as well as the fact expertise in world language education and second language acquisition is already concentrated in the two language departments and the Program in Linguistics. The program initially provides for certification of teachers in French, German, Latin, Russian, and Spanish, making it the only program in the state that will offer certification in Latin and Russian.

This program has the approval of the Graduate Council and Senate Council and has completed the forty-five day review by the Council on Postsecondary Education. The Interim Provost of the university supports this recommendation.

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Action taken: ☑ Approved ☐ Disapproved ☐ Other _____

# FCR 1

Office of the President
June 14, 2005

Members, Board of Trustees:

ANONYMOUS GIFT TO THE COLLEGE OF LAW

Recommendation: that the Board of Trustees accept a pledge of $1,000,000 from an anonymous donor to create and endow a Fellowship Endowment Fund in the College of Law and submit this pledge for matching funds from Kentucky's Endowment Match Program. Council on Postsecondary Education guidelines require that the Board of Trustees acknowledge its responsibility for UK's participation in the program and for all university endowment funds.

Background: The anonymous donor wishes to establish a fellowship endowment for law students with a preference for students from specific Eastern Kentucky counties.

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Action taken: ☑ Approved q Disapproved q Other_____

# FCR 2

Office of the President
June 14, 2005

Members, Board of Trustees:

ANONYMOUS GIFT TO THE PEDIATRIC EXERCISE PHYSIOLOGY LABORATORY

Recommendation: that the Board of Trustees accept a gift of $75,000 from an anonymous donor to add to the existing Pediatric Exercise Physiology Laboratory endowment in the Department of Kinesiology and Health Promotions in the College of Education and submit this gift for matching funds from Kentucky's Endowment Match Program. Council on Postsecondary Education guidelines require that the Board of Trustees acknowledge its responsibility for UK's participation in the program and for all university endowment funds.

Background: The Pediatrics Exercise Physiology (PEP) Laboratory is conducting a pioneering research project to better understand and prevent childhood obesity. The research project is identifying more effective methods to combat the national problem of childhood obesity.

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Action taken: ☑ Approved q Disapproved q Other_____

# FCR 3

Office of the President
June 14, 2005

Members, Board of Trustees:

CHRISTINE D. LUCKETT ESTATE GIFT

Recommendation: that the Board of Trustees accept a gift of $400,000 from the Christine D. Luckett Estate to create and endow the James E. and Christine D. Luckett Endowment Fund in the Gatton College of Business and Economics and submit this gift for matching funds from Kentucky's Endowment Match Program. Council on Postsecondary Education guidelines require that the Board of Trustees acknowledge its responsibility for UK's participation in the program and for all university endowment funds.

Background: James E. Luckett, a 1932 graduate of the College of Commerce, was Commissioner of Revenue under five Kentucky governors. Mr. and Mrs. Luckett created a two-life charitable remainder trust in 1987. After Mr. Luckett's death in April, 1993, Mrs. Luckett continued to receive payments from the trust until her death in May, 2004. The university is receiving the remainder of the trust from the Estate of Christine Luckett. The Dean of the Gatton College of Business and Economics wishes to create an endowment for graduate fellowships and research support in the college.

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Action taken: ☑ Approved q Disapproved q Other_____

# FCR 4

Office of the President
June 14, 2005

Members, Board of Trustees:

MELVIN GODBY AND TIM WILLIAMS PLEDGE

Recommendation: that the Board of Trustees accept a pledge of $250,000 from Melvin Godby and Tim Williams of Somerset, Kentucky, to the Capital Projects Gift Fund in the UK Athletics Association. This pledge will be used for construction of the basketball practice facility.

Background: Melvin Godby and Tim Williams are the owners of Somerset Food Service. The $27.5 million basketball practice facility will provide practice courts, training room, weight room, and film room for the men's and women's basketball programs in addition to administrative offices.

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Action taken: ☑ Approved q Disapproved q Other_____

# FCR 6

Office of the President
June 14, 2005

Members, Board of Trustees:

MRS. LOUISIANA WOOD SIMPSON GIFT-IN-KIND

Recommendation: that the Board of Trustees accept the gift-in-kind of the Josephine Clay Collection, valued at $225,590, from Mrs. Louisiana Wood Simpson of Lexington, Kentucky, to the University of Kentucky Libraries.

Background: Mrs. Louisiana Wood Simpson is the great, great granddaughter of Henry Clay. The Josephine Clay Collection includes more than two hundred items associated with Henry Clay and other members of the Clay family. The focus of the collection reflects Clay's interest in raising livestock, particularly thoroughbred horses, and the family's racing and breeding activities following Henry Clay's death in 1852. The material includes correspondence, notes, legal documents, funeral notices, broadsides, family mementos, and letters written by Henry Clay, Edward Everett, Ulysses S. Grant, and Abraham Lincoln.

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Action taken: ☑ Approved q Disapproved q Other_____

# FCR 7

Office of the President
June 14, 2005

Members, Board of Trustees:

GIFTS AND PLEDGES TO THE JOHN R. MINK CHAIR FOR PEDIATRIC DENTISTRY AND ORAL HEALTH RESEARCH

Recommendation: that the Board of Trustees accept gifts of $124,298 and pledges of $92,733 from multiple donors to add to the existing John R. Mink Chair for Pediatric Dentistry and Oral Health Research in the College of Dentistry and submit these gifts and pledges for matching funds from Kentucky's Endowment Match Program. Council on Postsecondary Education guidelines require that the Board of Trustees acknowledge its responsibility for UK's participation in the program and for all university endowment funds.

Background: Dr. Elizabeth Barr has assumed a leadership role in working with other College of Dentistry graduates to endow this chair in honor of Dr. John R. Mink, an outstanding practitioner of Pediatric Dentistry and a founding faculty member of the College of Dentistry.

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Action taken: ☑ Approved q Disapproved q Other_____

# FCR 8

Office of the President
June 14, 2005

Members, Board of Trustees:

DAVID AND ANDREA JACOBS PLEDGE

Recommendation: that the Board of Trustees accept a pledge of $150,000 from David and Andrea Jacobs of Stamping Ground, Kentucky, to the Capital Projects Gift Fund in the UK Athletics Association. This pledge will be used for construction of the basketball practice facility.

Background: David Jacobs owned an employment staffing agency in Central Kentucky and Andrea Jacobs is a retired school teacher. The $27.5 million basketball practice facility will provide practice courts, training room, weight room, and film room for the men's and women's basketball programs in addition to administrative offices.

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Action taken: ☑ Approved q Disapproved q Other_____

# FCR 9

Office of the President
June 14, 2005

Members, Board of Trustees:

CONSOL ENERGY, INC. GIFT-IN-KIND

Recommendation: that the Board of Trustees accept a gift-in-kind valued at $115,750 from CONSOL Energy, Inc. of Pittsburgh, Pennsylvania, to the Department of Special Collections and Digital Programs in the University of Kentucky Libraries.

Background: The CONSOL Energy collection contains approximately 1,660 maps, as well as records, ledgers, data books, core samples, and photographs concerning the mining of coal in Eastern and particularly Western Kentucky from the early 1900s to the 1990s. Due to the nature of the coal business during the last half-century, many older and smaller companies have been absorbed by CONSOL Energy, Inc. Consequently, the collection contains records pertaining to more than fifty other companies.

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Action taken: ☑ Approved q Disapproved q Other_____

# FCR 10

Office of the President
June 14, 2005

Members, Board of Trustees:

STEPHEN BRANSCUM PLEDGE

Recommendation: that the Board of Trustees accept a pledge of $100,000 from Stephen Branscum of Russell Springs, Kentucky, to the Capital Projects Gift Fund in the UK Athletics Association. This pledge will be used for construction of the basketball practice facility.

Background: Mr. Branscum, owner of Branscum Construction Company, is a member of the Board of Trustees. The $27.5 million basketball practice facility will provide practice courts, training room, weight room, and film room for the men's and women's basketball programs in addition to administrative offices.

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Action taken: ☑ Approved q Disapproved q Other_____

# FCR 11

Office of the President
June 14, 2005

Members, Board of Trustees:

AUTOMSOFT INTERNATIONAL GIFT-IN-KIND

Recommendation: that the Board of Trustees accept a $500,000 gift-in-kind of software from Automsoft International of Princeton, New Jersey, to enhance research and education in the College of Pharmacy.

Background: Automsoft is a leading global provider of advanced manufacturing intelligence systems for process industries across a range of sectors, utilizing advanced database software to collect and store, consolidate, and analyze production data. The College of Pharmacy will use the Automsoft software, *RAPID-Pharma*, to analyze data during the production of pharmaceutical products. The University of Kentucky is the only university that Automsoft International has chosen to receive this product because of the College of Pharmacy's extensive expertise in industrial pharmaceutical technology and manufacturing and the economic potential of the new manufacturing facility at the Coldstream Research Campus.

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Action taken: ☑ Approved q Disapproved q Other_____

# FCR 12

Office of the President
June 14, 2005

Members, Board of Trustees:

GIFTS AND PLEDGES TO THE PATRICK P. DELUCA PHARMACEUTICAL TECHNOLOGY PROFESSORSHIP

Recommendation: that the Board of Trustees accept gifts of $60,900 from multiple donors and pledges of $8,500 to add to the existing Patrick P. DeLuca Pharmaceutical Technology Professorship in the College of Pharmacy and submit these gifts and pledges for matching funds from Kentucky's Endowment Match Program. Council on Postsecondary Education guidelines require that the Board of Trustees acknowledge its responsibility for UK's participation in the program and for all university endowment funds.

Background: Dr. Michelle DeLuca Fraley of Lexington, Kentucky, has made a pledge of $2,000 to add to her previous gifts to the fund. Dr. Fraley is the daughter of Dr. Patrick DeLuca. U.S. WorldMeds, a corporation based in Louisville, Kentucky, has made a pledge of $6,000 to add to the company's previous gifts to the fund.

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Action taken: ☑ Approved q Disapproved q Other_____

# FCR 13

Office of the President
June 14, 2005

Members, Board of Trustees:

ASHWINI ANAND, M.D. GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of $10,000 and a pledge of $40,000 from Ashwini Anand, M.D. of London, Kentucky, to create and endow the Ashwini Anand, M.D. Professorship in Cardiology in the College of Medicine Division of Cardiovascular Medicine and submit this gift and pledge for matching funds from Kentucky's Endowment Match Program. Council on Postsecondary Education guidelines require that the Board of Trustees acknowledge its responsibility for UK's participation in the program and for all university endowment funds.

Background: Dr. Anand has been a physician in London, Kentucky, for many years and operates the Heart Clinic, which serves a patient base of more than 19,000. He has recently joined the Gill Heart Institute Directors Council.

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Action taken: ☑ Approved q Disapproved q Other_____

# FCR 14

Office of the President
June 14, 2005

Members, Board of Trustees:

REPORT OF LEASES

Recommendation: that the Board of Trustees accept the report of the following lease agreements in accordance with Board Policy:

The renewal of a lease between the University of Kentucky (Cooperative Extension Service) and Harvey and Molly Ershig, 502 Norris Lane, Henderson, Kentucky, for space at 409 South Green Street, Henderson, Kentucky, for the use of 1,050 square feet of office space, effective July 1, 2005 through June 30, 2006, at an annual rate of $9,975.00, be accepted and made a matter of record.

The renewal of a lease between the University of Kentucky (Small Business Development) and Betty Krausman, 349 Eastern Circle, Radcliffe, Kentucky, for space at 1105 Juliana Court, Elizabethtown, Kentucky, for the use of 1,000 square feet of office space, effective July 1, 2005 through June 30, 2007, at an annual rate of $10,000.00, be accepted and made a matter of record.

The renewal of a lease between the University of Kentucky (Farm Analysis) and Christian County Agricultural Extension Foundation, Inc., 2850 Pembroke Road, Hopkinsville, Kentucky, for space at 2850 Pembroke Road, Hopkinsville, Kentucky, for the use of 2,070 square feet of office space, effective July 1, 2005 through June 30 2007, at an annual rate of $22,770.00, be accepted and made a matter of record.

A new lease between the University of Kentucky (Behavioral Science) and John L. Pellegrini, 47 Hayes Street, Whitesburg, Kentucky, for space at 298-A Main Street, Whitesburg, Kentucky, for the use of 650 square feet of office space, effective May 1, 2005 through June 30, 2006, at an annual rate of $4,200.00, be accepted and made a matter of record.

A new lease between the University of Kentucky (Agronomy Department) and Jeff Switzer, 7368 Old Danville Road, Nicholasville, Kentucky, for space at 7368 Old Danville Road, Nicholasville, Kentucky, for the use of one-half acre of land for research, effective May 1, 2005 through September 30, 2005, at a monthly rate of $100.00, be accepted and made a matter of record.

A new lease between the University of Kentucky (College of Pharmacy, CSPT) and Kentucky Technology, Inc., 1500 Bull Lea Road, Lexington, Kentucky, for space at 1500 Bull Lea Road, Suite 202, Lexington, Kentucky, for the use of 2,945 square feet of office/lab space, effective April 26, 2005 through April 25, 2006, at an annual rate of $29,400.00, be accepted and made a matter of record.

Background: At its October 5, 1985 meeting, the Board of Trustees authorized the President or his designated representative to enter into leases and easements not exceeding $30,000 in value and required that all leases entered into under this authority be reported to the Board.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# FCR 15

Office of the President
June 14, 2005

Members, Board of Trustees:

APPROVAL OF LEASES

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

The renewal of a lease between the University of Kentucky (Psychiatry Department) and Blazer Parkway Venture, LLC, c/o Harman Investment Properties, 3470 Blazer Parkway, Lexington, Kentucky, for space located at 3470 Blazer Parkway, Lexington, Kentucky, effective July 1, 2005 through June 30, 2010, for the use of 24,636 square feet of office/clinic space, at an annual rate of $412,653.00.

The renewal of a lease between the University of Kentucky (Cancer Information Services) and Southcreek Park Partnership, 175 East Main Street, Lexington, Kentucky, for space located at 2365 Harrodsburg Road, Building "A", Lexington, Kentucky, effective July 1, 2005 through June 30, 2008, for the use of 6,558 square feet of office space, at an annual rate of $99,943.92.

The renewal of a lease between the University of Kentucky (Markey Cancer Center) and Southcreek Park Partnership, 175 East Main Street, Lexington, Kentucky, for space located at 2365 Harrodsburg Road, Building "B", Lexington, Kentucky, effective July 1, 2005 through June 30, 2008, for the use of 4,683 square feet of office/storage space, at an annual rate of $74,509.50.

The renewal of a lease between the University of Kentucky (Behavioral Science) and Norma W. Curless, c/o Harman Investment Properties, 3470 Blazer Parkway, Lexington, Kentucky, for space located at 465 East High Street, Lexington, Kentucky, effective July 1, 2005 through June 30, 2007, for the use of 3,229 square feet of office space, at an annual rate of $41,269.75.

The renewal of a lease between the University of Kentucky (University Extension, Japanese Saturday School) and Board of Education of Fayette County, Kentucky, 701 East Main Street, Lexington, Kentucky, for space located in the Tates Creek Middle and Elementary School, 1105 Centre Parkway, Lexington, Kentucky, effective July 1, 2005 through June 30, 2006, for the use of 10,100 square feet office/classroom space, at an annual rate of $32,000.00.

A new lease between the University of Kentucky (Children's Hospital Development) and Imperial-Waller LLC, 343 Waller Avenue, Lexington, Kentucky, for space located at 343 Waller Avenue, Suite 201, Lexington, Kentucky, effective June 1, 2005 through June 30, 2007, for the use of 2,650 square feet of office space, at an annual rate of $36,972.50.

A new lease between the University of Kentucky (Auxiliary Services, Surplus Property Store) and Keith National Corporation, 1690 Ring Road, Elizabethtown, Kentucky, for space located at 771 West Main Street, Lexington, Kentucky, effective March 15, 2005 through June 30, 2009, for the use of 17,102 square feet of office/surplus store space, at an annual rate of $92,894.80.

A new lease between the University of Kentucky (Hospital) and 2347 Sterlington Road, LLC, 2333 Alumni Park Plaza, Lexington, Kentucky for space located at 2347 Sterlington Road, Lexington, Kentucky, effective August 15, 2005 through June 30, 2010, for the use of 6,644 square feet of office space, at an annual rate of $108,961.60.

Background: At its October 5, 1985 meeting, the Board of Trustees authorized the President or his designated representative to enter into leases and easements not exceeding $30,000 in value and required that all leases in excess of $30,000 be approved by the Board of Trustees.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# FCR 16

Office of the President
June 14, 2005

Members, Board of Trustees:

AUTHORIZATION TO ACQUIRE PROPERTIES FOR CONSTRUCTION OF PARKING GARAGE ASSOCIATED WITH THE PATIENT CARE FACILITY PROJECT

Recommendation: that the Board, acting pursuant to its statutory authority under Section 164.260 of the Kentucky Revised Statutes and the Eminent Domain Act of Kentucky, authorize and direct the acquisition through condemnation proceedings of certain properties essential to the project. See attached list.

Background: These properties are essential to the construction of the parking garage associated with the Patient Care Facility Project. University officials have, over a period of several months, attempted in good faith to acquire these properties from the owners.

University officials met with the owners and discussed in detail the need for these properties. In addition, the university has obtained at least two appraisals on each of the properties. KRS 164A.575(6) provides that "The amount paid shall not exceed the appraised value as determined by a qualified appraiser or the value set by the eminent domain procedure." University officials have told the owners that the university could not pay more than the maximum appraised fair market value. Offers have been made based on these appraisals, but the owners have not been willing to sell at the appraised value.

The owners were told that if the university could not contract for the properties, the Board would be requested to authorize condemnation. Accordingly, in view of the fact that these properties are crucial to this project and the proposed schedule for construction, the university administration recommends that the university proceed with condemnation.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# Patient Care Facility Project
**(Property Acquisition Appraisals)**

| OWNER | PROPERTY | APPRAISAL |
|---|---|---|
| Francie Fresh<br>2186 Bahama Rd.<br>Lexington, Ky. 40509 | 923-927 S. Limestone | $632,500 |

NOTE: This action by the Board includes condemnation of any and all tenants' interest in the above properties.

# FCR 17

Office of the President
June 14, 2005

Members, Board of Trustees:

CAPITAL PROJECTS

Recommendation: that the Board of Trustees approve initiation of the following capital projects:

| | Title | Fund Source | Scope |
|---|---|---|---|
| 1. | Expand and Upgrade Livestock Disease Diagnostic Center – Phase I | State Bonds | $8,500,000 |
| 2. | Construct Agricultural Research Service – Design | Federal Funds | $3,000,000 |
| 3. | Renovate Vivarium in Central Division of Laboratory Animal Resources (DLAR) | Federal Funds<br>Agency Funds | $700,000<br>1,600,000<br>$2,300,000 |
| 4. | Renovate Practice Instruction Space in Pharmacy | Agency Funds | $3,200,000 |
| 5. | Renovate Research Space in Medical Center I | Agency Funds | $1,500,000 |
| 6. | Construct Horticultural Research and Education Facility | Agency Funds | $1,600,000 |
| 7. | Renovate College of Medicine Administrative Offices | Agency Funds | $1,200,000 |
| 8. | Expand Outpatient Radiology – Hospital | Agency Funds | $2,000,000 |
| 9. | Seal Commonwealth Stadium Concrete | Private Gifts | $2,500,000 |
| 10. | Replace Scoreboards for Memorial Coliseum and Hagan Stadium | Agency Funds | $1,500,000 |

Background: All the projects, except Construct Agricultural Research Service – Design (ARS), have been authorized by the 2005 General Assembly as part of House Bill 267. Contingent upon approval by the Board of Trustees, the ARS design project will be submitted for authorization to the Council on Postsecondary Education and the Capital Projects and Bond Oversight Committee in September. A brief description of each project is attached.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

**University of Kentucky**
**Project Descriptions**
**June 14, 2005**

**1. Expand and Upgrade Livestock Disease Diagnostic Center – Phase I**

19,000 gross sq. ft. State Bonds $8,500,000

In Phase I, the Livestock Disease Diagnostic Center will be expanded by 12,500 gross square feet for new laboratory and office space. The project also will include the renovation of approximately 6,500 gross square feet of laboratory space including space to accommodate increased large animal necropsy loads, a waste digester and enhanced biosecurity of entry, storage and disposal of carcasses. This project will enable the Center to meet the increasing demands from Kentucky farmers and the equine industry for improved and expanded services.

**2. Construct Agricultural Research Service – Design**

75,500 gross sq. ft. Federal Funds $3,000,000

This project will involve the design of a new Agricultural Research Service Facility which is expected to consist of approximately 55,500 gross square feet of laboratory and office space. The facility will be constructed on University-owned property adjacent to the Agricultural Plant Science Building which is expected to be leased to the federal government. This facility will include enhanced laboratory space and office space as well as a new 20,000 gross square feet greenhouse facility. The facility will house multidisciplinary, cross-institutional research teams consisting of Agricultural Research Service and University scientists with support staff.

**3. Renovate Vivarium in Central Division of Laboratory Animal Resources (DLAR) Facility**

8,400 gross sq. ft.

| | |
|---|---|
| Federal Funds | $700,000 |
| Agency Funds | $1,600,000 |
| Total | $2,300,000 |

This project will renovate approximately 8,400 square feet of vivarium space in the Central Animal Care Facility located in the basement of the Combs Cancer Research Facility. The building was constructed in 1987, is approximately 15,600 gross square feet, and is in good condition. The facility consists of animal care areas and support space. The project space has not had a major renovation since the building was constructed. The building's current use will not change as a result of this project.

**University of Kentucky**
**Project Descriptions**
**June 14, 2005**

**4. Renovate Practice Instruction Space in Pharmacy**

25,000 gross sq. ft. Agency Funds $3,200,000

Currently, classrooms and teaching laboratories are neither large enough for the increased class size required to address the pharmacist shortage in Kentucky nor adequately configured to appropriately use the contemporary teaching methodologies required in today's classrooms. Modern classrooms and teaching labs must allow students to work in teams and simulate real-world work environments. This project will renovate approximately 25,000 square feet of teaching laboratories and classroom instruction space to current standards as well as reconfigure the spaces to modern state-of-the-art pharmacy teaching classrooms and class labs. The teaching labs will be configured into patient interview rooms, formulation rooms, and model retail pharmacies. These virtual work environments give students the best possible learning opportunities for patient interaction and real life scenarios. The renovation will also include upgrades to all mechanical, electrical, plumbing, communications, fire sprinklers, and security systems plus upgrades for code and ADA deficiencies. The initial phase of the renovation is expected to cost approximately $500,000 with the completed renovation not to exceed the authorized scope of $3,200,000.

**5. Renovate Research Space in Med Center I**

7,500 gross sq. ft. Agency Funds $1,500,000

This project will renovate approximately 7,500 square feet of research space in the Willard Medical Education Building (Medical Science Wing). This renovation is necessary to upgrade research space recently vacated due to the completion of BBSRB. This work will include upgrades to the fire sprinklers, electrical, plumbing, HVAC and communication systems. The labs will receive new casework, fume hoods, and other furnishings along with new finishes on the walls, floors and ceilings. The renovation of this research space will enhance the University's research efforts and facilitate the recruitment of additional researchers. The initial phase of the renovation is expected to cost approximately $750,000 with the completed renovation not to exceed the authorized scope of $1,500,000.

**6. Construct Horticultural Research and Education Facility**

20,500 gross sq. ft. Agency Funds $1,600,000

Plant Sciences has been identified as one of the University's strongest research and graduate programs. This project involves the expansion and enhancement of research and extension programs in new crop opportunities. The proposed project will provide quantity and quality greenhouse space, office and support facilities that will accommodate research and extension programs designed for potential farm income enhancement. It is envisioned that this construction will blend in with existing facilities already in place at the University's South Farm. New horticultural crop opportunities and expanded plant sciences technology will be a major contribution to economic expansion in the Commonwealth.

**University of Kentucky**
**Project Descriptions**
**June 14, 2005**

**7. Renovate COM Administrative Offices**

5,000 gross sq. ft. Agency Funds $1,200,000

This project will renovate the College of Medicine's administrative offices in the Williard Medical Sciences Building. The renovation will involve approximately 5,000 square feet of office and office support space. The work will include upgrades to finishes including floors, ceilings and walls. The work will also include upgrades to electrical, plumbing, mechanical, and communication systems. Other deficiencies will be addressed including asbestos abatement and accessibility. The initial phase of the renovation is expected to cost approximately $500,000 with the completed renovation not to exceed the authorized scope of $1,200,000.

**8. Expand Outpatient Radiology – Hospital**

5,700 gross sq. ft. Agency Funds $2,000,000

This project will expand and renovate the existing outpatient Radiology Clinic located in the Kentucky Clinic and will involve approximately 1,350 square feet of space for an MRI. This expansion is needed to provide additional clinic space and expanded services for the overcrowded outpatient Radiology Department services.

**9. Seal Commonwealth Stadium Concrete**

Private Gifts $2,500,000

The project involves the sealing of the Commonwealth Stadium Concrete. The stadium concrete was last sealed in 1988-89. The planned maintenance schedule recommends sealing the concrete every ten years. This project is needed to maintain the functionality and long-term maintenance of the stadium. The source of funding is by transfer of $2,500,000 from the Intercollegiate Athletics Quasi-Endowment. Funds in the Intercollegiate Athletics Quasi-Endowment have been generated by private gifts. The University of Kentucky Athletic Association Board of Directors approved this requested transfer at their September 15, 2004 meeting.

**10. Replace Scoreboards for Memorial Coliseum and Hagan Stadium**

Agency Funds $1,500,000

The project involves the replacement of the scoreboards in Memorial Coliseum and Hagan Stadium. These updates are necessary to remain competitive and address equity issues at all athletic facilities. This project will be funded by the UK Athletics multimedia rights holder pursuant to the contract. The University of Kentucky Athletics Association Board of Directors approved this project at their September 15, 2004 meeting.

# FCR 18

Office of the President
June 14, 2005

Members, Board of Trustees:

A RESOLUTION OF THE BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY AUTHORIZING THE ISSUANCE OF APPROXIMATELY $11,370,000 OF UNIVERSITY OF KENTUCKY CONSOLIDATED EDUCATIONAL BUILDINGS REVENUE BONDS, SERIES U, TO BE DATED THE FIRST DAY OF THE MONTH IN WHICH THE BONDS ARE SOLD

Recommendation: that the Board of Trustees approve a Resolution authorizing the issuance of approximately $11,370,000 of University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series U, to be dated the first day of the month in which the Series U Bonds are sold.

The Resolution approves the issuance of approximately $11,370,000 of Series U Bonds for the purpose of financing the following educational building projects; (a) completion of the construction of Parking Structures Number 6 and Number 7 and (b) certain University infrastructure projects, including (i) replacement of the central facilities management project, (ii) replacement of certain steam and condensate pipe, (iii) improvements to central heating facilities and (iv) replacement of certain high voltage wiring, together constituting the Series U Project upon the campus of the University in Fayette County in the Commonwealth of Kentucky, which project will, when completed, become part of the University of Kentucky Consolidated Educational Buildings Project of the University (the "Series U Project").

The Resolution also approves the offering for sale of the Series U Bonds upon the advice of the Financial Advisor, Seasongood & Mayer on a date to be determined by the Treasurer of the University, upon the advice of said Financial Advisor. The Resolution further authorizes the acceptance of the bid for the sale of the Series U Bonds by the Treasurer. The exact principal amount of Series U Bonds to be sold will be determined on the date of sale as the amount required to (i) pay the budgeted costs of the Series U Project, (ii) make the required deposit in the debt service reserve fund, and (iii) pay the costs of issuing the Series U Bonds.

Background: The 2003 General Assembly authorized the issuance of a pool of revenue bonds to finance projects approved by the Council on Postsecondary Education (CPE). The CPE approved the construction projects listed above.

The University presently has outstanding nine series of University of Kentucky Consolidated Educational Buildings Project Revenue Bonds, Series E, J, L (Third Series); G, H, I (Third Series); K (Third Series); M (Second Series); N (Second Series); O (Second Series); P, Q, and R (Second Series); S and T (the "Outstanding Bonds") all secured by a pledge of the Revenues (registration fees) and by a statutory mortgage lien against all of the buildings of the Project. The Bond Resolution approves the appointment of the J.P. Morgan Trust Company, National Association, Louisville, Kentucky, as Trustee, Bond Registrar, Transfer Agent, Payee Bank and Depository Bank, with respect to these Bonds, provides for the execution of the appropriate parity certification establishing that the "coverage" of projected income of the Project over debt service requirements will meet the 1.25 test necessary to establish that the Series U Bonds will rank on a parity with the Outstanding Bonds.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

RESOLUTION AUTHORIZING THE ISSUANCE

OF

APPROXIMATELY
$11,370,000

OF

UNIVERSITY OF KENTUCKY
CONSOLIDATED EDUCATIONAL BUILDINGS REVENUE BONDS,
SERIES U
(TO BE DATED THE FIRST DAY OF THE MONTH IN WHICH THE BONDS ARE SOLD),
OF THE BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY

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ACCEPTANCE BY J.P. MORGAN TRUST COMPANY, NATIONAL ASSOCIATION, LOUISVILLE, KENTUCKY AS BOND REGISTRAR, TRANSFER AGENT, PAYEE BANK AND TRUSTEE ....29

RESOLUTION

A RESOLUTION OF THE BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY AUTHORIZING THE ISSUANCE OF APPROXIMATELY $11,370,000 OF UNIVERSITY OF KENTUCKY CONSOLIDATED EDUCATIONAL BUILDINGS REVENUE BONDS, SERIES U, TO BE DATED THE FIRST DAY OF THE MONTH IN WHICH THE BONDS ARE SOLD.

WHEREAS, the Board of Trustees of the University of Kentucky, by Resolution entitled:

"A RESOLUTION OF THE BOARD OF TRUSTEES OF UNIVERSITY OF KENTUCKY, A STATE SUPPORTED INSTITUTION OF HIGHER LEARNING OF THE COMMONWEALTH OF KENTUCKY, CREATING AND ESTABLISHING A CONSOLIDATED EDUCATIONAL BUILDINGS PROJECT OF SAID UNIVERSITY OF KENTUCKY; CREATING AND ESTABLISHING AN ISSUE OF CONSOLIDATED EDUCATIONAL BUILDINGS REVENUE BONDS OF THE BOARD OF TRUSTEES OF SAID UNIVERSITY OF KENTUCKY; PROVIDING FOR THE ISSUANCE OF SUCH BONDS FROM TIME TO TIME; AND PROVIDING FOR THE PAYMENT OF THE PRINCIPAL OF AND INTEREST ON SAID BONDS FROM REVENUES IN SUCH MANNER AS NOT TO CONSTITUTE INDEBTEDNESS OF THE BOARD, THE UNIVERSITY, OR THE COMMONWEALTH."

heretofore adopted on September 20, 1960 (the "Basic Resolution" or "Resolution"), has created and established an issue of University of Kentucky Consolidated Educational Buildings Revenue Bonds of the Board of Trustees of the University of Kentucky (the "Bonds"); and

WHEREAS, the Basic Resolution authorizes the issuance by said Board of said Bonds in one or more Series pursuant to a new resolution authorizing each such Series; and

WHEREAS, the Board has previously authorized, sold, issued, and has outstanding prior issues of Bonds designated "University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series E, J, L (Third Series); G, H, I (Third Series); K (Third Series); M (Second Series); N (Second Series); O (Second Series); P, Q, and R (Second Series); S and T" (all such other Series of Bonds heretofore issued having been retired or defeased); and has determined that the Board is in compliance with the conditions set forth in Section 7.10 of the Basic Resolution relative to the issuance of the Series U Bonds (authorized herein) on a basis of parity and equality as to security and source of payment with such outstanding Bonds of Series E, J, L (Third Series); G, H, I (Third Series); K (Third Series); M (Second Series); N (Second Series); O (Second Series); P, Q, and R (Second Series); S and T; and

WHEREAS, the Board has determined that it is in the best interests of the Board to authorize at this time an additional series of Bonds to be designated "University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series U," ranking on a parity with said outstanding Series of Bonds;

NOW, THEREFORE, the Board of Trustees of the University of Kentucky hereby resolves as follows:

## ARTICLE I

## DEFINITIONS AND AUTHORITY

Section 1.1. Series U Resolution. This Resolution (the "Series U Resolution") is adopted in accordance with Article II, Section 2.03, of the Basic Resolution.

Section 1.2. Definitions.

A. All terms which are defined in Article I of the Basic Resolution shall have the same meanings, respectively, in this Series U Resolution as such terms are given in said Article of the Basic Resolution.

B. In this Series U Resolution, unless the context shall indicate otherwise, the following terms shall have the following respective meanings:

"Agent Member" means a member of, or participant in, the Securities Depository.

"Basic Resolution" or "Resolution" means the original Resolution adopted on September 20, 1960, creating and establishing the Consolidated Educational Buildings Project and creating, establishing, and authorizing the issuance of Consolidated Educational Buildings Revenue Bonds of the Board of Trustees of the University of Kentucky.

"Board" means the Board of Trustees of the University of Kentucky, and shall include the Executive Committee of the Board acting pursuant to authorization of and/or with ratification by said Board of Trustees.

"Bond Register" means the books and records maintained by the Bond Registrar as to the registered ownership and transfers of ownership of the Series U Bonds, from time to time.

"Bond Registrar," "Registrar," "Payee Bank" or "Transfer Agent" means J.P. Morgan Trust Company, National Association, Louisville, Kentucky, which shall constitute the Bond Registrar, Transfer Agent and Payee Bank, with respect to the Series U Bonds authorized herein, which Bank shall have the duties and responsibilities of (a) issuing semiannual checks in payment of interest requirements to the Series U Bonds, (b) payment of the principal as same matures upon surrender of the Series U Bonds, (c) authenticating, issuing, and delivering the Series U Bonds to the Original Purchasers of same in accordance with the sale of the Series U Bonds, at the direction of the Board, (d) maintaining the Bond Register, (e) handling exchanges, cancellations, reissuance, redemption, and all appurtenant duties of a Bond Registrar and Transfer Agent with respect to the Series U Bonds, as hereinafter set out, and (f) serving as depository of all funds in connection with the Series U Bonds and Outstanding Bonds.

"Book-Entry Form" means, with respect to the Series U Bonds, a form or system, as applicable, under which (i) the ownership of beneficial interests in the Series U Bonds and bond service charges may be transferred only through a book entry, and (ii) physical Series U Bond certificates in fully registered form are registered only in the name of a Securities Depository or its nominee as owner, with the physical Series U Bond certificates in the custody of a Securities Depository.

"Code" means the Internal Revenue Code of 1986, as amended.

"Continuing Disclosure Agreement" means the Continuing Disclosure Agreement dated as of the first day of the month in which the Series U Bonds are sold, between the University and the Trustee.

"Debt Service Reserve" means the portion of the Bond Fund in excess of the aggregate principal, interest, and Bond Fund Charges of Outstanding Bonds for the ensuing year, which excess portion shall constitute the "Debt Service Reserve" created and provided for in Section 4.05(3) of the Basic Resolution.

"Finance Cabinet" means the Finance and Administration Cabinet of the Commonwealth of Kentucky or its successor by whatever name designated.

"Financial Advisor" means Seasongood & Mayer, LLC, 300 Mercantile Library Building, 414 Walnut St., Cincinnati, Ohio 45202-3910.

"Interest Payment Date" means May 1, and November 1 of each year, commencing the first May 1 or November 1 that is at least three months after the dated date of the Series U Bonds.

"Memorandum of Instructions" means the Memorandum of Instructions Regarding Rebate delivered to the Board and the Trustee at the time of the issuance and delivery of the Series U Bonds as the same may be amended or supplemented in accordance with its terms.

"Original Purchasers" or "Purchasers" means the original purchasers of the Series U Bonds at the public sale, including all members of the approved purchasing syndicate or group.

"Outstanding Bonds" means all bonds outstanding against and payable from the revenues of the Project, including (a) the Bonds of Series E, J, L (Third Series); G, H, I (Third Series); K (Third Series); M (Second Series); N (Second Series); O (Second Series); P, Q, and R (Second Series); S and T; plus (b) the Series U Bonds, and (c) any and all future Bonds ranking on a parity therewith.

"Project" means the University of Kentucky Consolidated Educational Buildings Project, consisting of all educational buildings and necessary appurtenances on the campus of the University of Kentucky in Lexington, Kentucky, and all such buildings hereafter erected on such campus and elsewhere in Fayette County, Kentucky.

"Record Date" means with respect to any interest payment date, the close of business on April 15 or October 15, as the case may be, next preceding such Interest Payment Date, whether or not such April 15 or October 15 is a business day.

"Required Current Debt Service Reserve Accumulation" means the amount required at any given time to have been accumulated toward the goal of the "Required Debt Service Reserve," based on Outstanding Bonds, including the additional amounts required to have been deposited in each year to date (and scheduled to continue for a period of four years) in such Reserve as a result of the issuance of one or more additional Series of Bonds, until the total Required Debt Service Reserve is accumulated.

"Required Debt Service Reserve" means the amount required to be accumulated and maintained in the Debt Service Reserve portion of the Bond Fund, which required amount is an

amount equal to 100% of the maximum Aggregate Principal, Interest, and Bond Fund Charges falling due on Outstanding Bonds in any twelve month period.

"Secretary" means the Secretary of the Finance and Administration Cabinet of the Commonwealth of Kentucky, and each and every officer of the Commonwealth who may hereafter be authorized to exercise powers and authority similar to those vested by law in said Secretary; and each and every Deputy Secretary or other similar officer authorized by law to exercise the powers and authority presently vested by law in the Secretary.

"Securities Depository" means any securities depository that is a "clearing corporation" within the meaning of the New York Uniform Commercial Code and a "clearing agency" registered pursuant to the provisions of Section 17A of the Securities Exchange Act, operating and maintaining, with its participants or otherwise, a Book-Entry System to record ownership of beneficial interests in bonds and bond service charges, and to effect transfers of bonds in Book-Entry Form, and means, initially, The Depository Trust Company (a limited purpose trust company), New York, New York.

"Securities Depository Nominee" means any nominee of a Securities Depository and initially means Cede & Co., New York, New York, as nominee of The Depository Trust Company.

"Series U Bonds" or "These Bonds" means the Bonds authorized by Article II of this Series U Resolution.

"Series U Project" means (a) completion of the construction of Parking Structures Number 6 and Number 7 and (b) certain University infrastructure projects, including (i) replacement of the central facilities management project, (ii) replacement of certain steam and condensate pipe, (iii) improvements to central heating facilities and (iv) replacement of certain high voltage wiring, which Project is located in Fayette County, Kentucky.

"Series U Resolution" or "This Resolution" means this Resolution authorizing the Series U Bonds.

"Trustee" or "Trustee-Registrar" means J.P. Morgan Trust Company, National Association, Louisville, Kentucky, as more fully defined under "Bond Registrar."

"University" means the University of Kentucky, a body corporate, as an educational institution and agency and a political subdivision of the Commonwealth of Kentucky.

Section 1.3. Statutory Authority. This Series U Resolution is adopted pursuant to the provisions of Section 162.340, et seq., and 58.010 through 58.140 of the Kentucky Revised Statutes (the "Enabling Acts") and the Basic Resolution.

(End of Article I)

## ARTICLE II

## AUTHORIZATION OF SERIES U BONDS

Section 2.1. Series U Bonds Authorized. Pursuant to the provisions of the Basic Resolution, there is hereby authorized to be issued by the Board of Trustees of the University of Kentucky, in its corporate capacity, a Series of Bonds in the aggregate principal amount of approximately ELEVEN MILLION THREE HUNDRED SEVENTY THOUSAND DOLLARS ($11,370,000). Such Bonds shall be designated "University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series U." Said Series U Bonds are hereby declared to have been authorized under the Basic Resolution and in conformity with the provisions of Section 7.10 of the Basic Resolution. The exact principal amount of the Series U Bonds to be issued may be increased or decreased by up to $1,370,000. The exact principal amount shall be established at the time of sale of the Series U Bonds as the amount required to fund the purpose of the issue set forth in Section 2.2 hereof.

Section 2.2. Purpose of Issue. Said Series U Bonds are being issued for the purpose of (a) paying the costs (to the extent not otherwise provided from other funds, including projected investment income from the investment of the net proceeds of the Series U Bonds until expended) of establishing and constructing the Series U Project, as defined herein, upon property of the University in Fayette County, Kentucky, which Series U Project will, when constructed and established, become and constitute part of the Consolidated Educational Buildings Project of the University, and (b) funding the Required Debt Service Reserve, and (c) paying the costs of issuance of the Series U Bonds.

Section 2.3. Date and Maturities of Bonds. Except as set out in Section 2.5 hereof, the Series U Bonds shall be dated the first day of the month in which the Series U Bonds are sold, and bear interest payable on each Interest Payment Date (May 1 and November 1 of each year). The Series U Bonds shall be numbered consecutively from R-1 upward, or in such other manner as shall be determined by the Trustee-Registrar, and shall be scheduled to become due and payable on May 1 of the respective years and in the principal amounts (subject to such adjustment to maturity amounts as may be approved by the Chairman of the Board upon acceptance of the bid for the Series U Bonds in order to provide for an appropriate balance of principal and interest), as follows:

| Maturity Date May 1 | Principal Amount | Maturity Date May 1 | Principal Amount |
|---|---|---|---|
| 2006 | $405,000 | 2016 | $555,000 |
| 2007 | 415,000 | 2017 | 580,000 |
| 2008 | 425,000 | 2018 | 600,000 |
| 2009 | 435,000 | 2019 | 625,000 |
| 2010 | 450,000 | 2020 | 655,000 |
| 2011 | 465,000 | 2021 | 685,000 |
| 2012 | 480,000 | 2022 | 710,000 |
| 2013 | 495,000 | 2023 | 745,000 |
| 2014 | 515,000 | 2024 | 780,000 |
| 2015 | 535,000 | 2025 | 815,000 |

Section 2.4. Series U Bonds to be Issued as Fully Registered Bonds. The Series U Bonds shall be issued only in fully registered form, without coupons, in the denomination of $5,000 or any authorized multiple thereof within a single maturity.

Section 2.5. Interest Payment Dates. Each Series U Bond shall bear interest from the Interest Payment Date to which interest has been paid next preceding the date on which such Series U Bond is authenticated by the Registrar, unless such Series U Bond is authenticated on an Interest Payment Date to which interest has been paid, in which event it shall bear interest from such date, or if such Series U Bond is authenticated prior to the first Interest Payment Date, such Series U Bonds shall bear interest from their original dated date. Interest on the Series U Bonds shall be payable, commencing the first May 1 or November 1 that is at least three months after the dated date of the Series U Bonds.

Section 2.6. Registered Owners. The Person in whose name any Bond is registered on the Bond Register at the Record Date with respect to an Interest Payment Date shall be entitled to receive the interest payable on such Interest Payment Date (unless such Bond shall have been called for redemption on a redemption date which is prior to such Interest Payment Date) notwithstanding the cancellation of such Bond upon any registration of transfer or exchange thereof subsequent to such Record Date and prior to such Interest Payment Date, except in the event of default.

Section 2.7. Payment of Interest and Principal of Bonds. The principal of (redemption price, if redeemed prior to maturity) and interest on the Series U Bonds shall be payable in lawful money of the United States of America as same respectively become due. The principal of each Series U Bond is payable up on surrender of same at the main office of the Payee Bank and Bond Registrar. Interest on the Series U Bonds shall be paid by check mailed by the Payee Bank on or before each Interest Payment Date to the owners of the Bonds shown on the Bond Register as of the end of business on the Record Date, at the respective addresses appearing on the Bond Register.

So long as any of the Series U Bonds remain outstanding, the Registrar shall keep at its principal office a Bond Register showing and recording a register of the owners of the Series U Bonds and shall provide for the registration and transfer of such Bonds in accordance with the terms of this Resolution, subject to such reasonable regulations as the Registrar may prescribe.

Section 2.8. Execution of Bonds; Authentication by Trustee-Registrar; Transferability; Temporary Bond. The Series U Bonds shall be executed on behalf of the Board with the reproduced facsimile signature of the Chairman of the Board, and the facsimile of the Corporate Seal of the Board shall be imprinted thereon and attested by the reproduced facsimile signature of the Secretary of the Board; and said officials, by the execution of appropriate certifications, shall adopt as and for their own proper signatures, their respective facsimile signatures on such Bonds; provided the Authentication Certificate of Trustee on each printed Bond must be executed by the manual signature of the Trustee (not necessarily the same authorized officer of the Trustee on each Bond) on each Bond before such Bond shall be valid, as set out in Section 2.13 below.

Pending the preparation of definitive Bonds, the Series U Bonds may be delivered in the form of one or more temporary Bonds, which may be printed, lithographed, typewritten, mimeographed or otherwise reproduced, in any denomination, substantially of the tenor of the definitive Bonds in lieu of which they are delivered, in registered form, and with such appropriate insertion, omissions, substitutions and other appropriate and necessary variations as the Board may determine, as evidenced by the execution of such temporary Bonds.

Until exchanged for Series U Bonds in definitive form, such temporary Bonds shall be entitled to the benefit and security of this Resolution. The Board shall, without unreasonable delay, cause to have prepared, executed and delivered printed Bonds to the Original Purchasers and/or their designees, and thereupon, upon the presentation and surrender of the temporary Bonds, such printed Bonds shall be delivered to the Original Purchasers and/or their designees in exchange therefore. Such exchange shall be made without the making of any charge therefore to any owner of the Series U Bonds.

Arrangements shall be made for the printing of sufficient Bond Certificates to enable the Trustee-Registrar to maintain an adequate reserve supply of such Bond Certificates as same are sold, exchanged, and/or otherwise surrendered in the future. Notwithstanding anything contained herein, the Trustee-Registrar shall have the right to order the preparation or printing of additional Bond Certificates which, in the sole discretion of the Trustee-Registrar, shall be necessary to maintain adequate reserves of such Bond Certificates to properly effect the continuing transfers of ownership of Bond Certificates. No further action regarding the authorization of additional Bond Certificates shall be required by the Board, and the expenses incidental thereto shall be borne by the Board as additional annual requirements of the Series U Bonds, the same as interest thereon.

If the University determines not to issue the Series U Bonds in Book-Entry Form, at least five business days prior to the payment of the purchase price for the Bonds (the "Closing Date") each of the Original Purchasers shall furnish to the Registrar the name, address, social security number or taxpayer identification number of each party to whom the Bonds shall have been resold and in whose name the respective Bonds are to be registered, and the principal amounts and maturities thereof. The Trustee-Registrar shall then issue and deliver to each respective Purchaser on the Closing Date fully registered printed Bond Certificates for each registered owner so designated, in substantially the same for as that set out in Section 2.15 hereof.

Subject to the provisions hereof for Series U Bonds issued in Book-Entry Form, Series U Bonds shall be exchangeable and transferable upon the presentation and surrender thereof at the office of the Trustee-Registrar, duly endorsed for transfer or accompanied by an assignment duly executed by the registered owner and/or his authorized representative, for a Bond or Bonds of the

same maturity and interest rate and in the denomination of $5,000 and/or a multiple thereof within a single maturity, in an aggregate principal amount or amounts equal to the unpaid principal amount of the Bond and/or Bonds presented for exchange. The Trustee-Registrar shall be and is hereby authorized to (authenticate and) deliver the exchange Bond in accordance with the provisions of this Section. Each exchange Bond delivered in accordance with this Section shall constitute an original contractual obligation of the Board and shall be entitled to the benefit and security of this Resolution to the same extent as the Bond or Bonds in lieu of which such exchange Bond is delivered.

In the event of non-payment of interest or of one or more principal maturities on a scheduled Interest Payment Date, and for 30 days thereafter, a new record date for such interest payment or for such maturity or maturities ("Special Record Date") will be established by the Trustee-Registrar if and when funds for the payment of such interest shall have received from the Board. Notice of the Special Record Date and of the Special Payment Date of the past due interest shall be sent at least five (5) business days prior to the Special Record Date by United States mail, first class postage prepaid, to the address of each owner of the Bonds, as shown on the Bond Register, of such maturity or maturities appearing on the books of the Trustee-Register at the close of business on the last business day next preceding the date of mailing of such notice.

Section 2.9. Provisions as to Prior Redemption.

(a) Redemption Prior to Maturity. The Series U Bonds maturing on and after May 1, 2016, shall be subject to redemption by the Board prior to maturity, in whole or in part, in the inverse order of their maturities (less than all of a single maturity to be selected by lot), on any date, on or after May 1, 2015, at a redemption price equal to the principal amount of the Series U Bonds called for redemption, plus unpaid interest accrued to the date of redemption, without premium.

(b) Redemption of Less Than All of a Single Bond. In the event that a Bond subject to redemption is in a denomination larger than $5,000, a portion of such Bond may be redeemed, but only in a principal amount equal to $5,000 or any integral multiple thereof, if the Bond is one of the maturities or amounts or part of the maturities or amounts called for redemption. Upon surrender of any Bond for redemption in part, the Trustee-Registrar shall (authenticate and) deliver an exchange Bond or Bonds in an aggregate principal amount equal to the unredeemed portion of the Bond so surrendered.

(c) Notice of Redemption. The Trustee-Registrar shall give notice of any redemption by sending at least one such notice by United States mail, first class, postage prepaid, not less than 30 and not more than 60 days prior to the date fixed for redemption to the registered owner of each Series U Bond to be redeemed in whole or in part, at the address shown on the Bond Register as of the date of mailing of such notice. The Trustee-Registrar may furnish one other form of such notice more than 60 days prior to the date fixed for redemption, provided at least one such notice shall be sent not less than 30 nor more than 60 days prior to such date. Such notice shall state the redemption date, the Redemption Price, the accrued interest payable on the redemption date, the place at which the Bonds are to be surrendered for payment, and, if less than all of the Bonds outstanding are to be redeemed, an identification of the Bonds or portions thereof to be redeemed. Any notice mailed as provided in this Section shall be conclusively presumed to have been duly given, whether or not the Bondowner receives such notice.

Prior to each redemption date, the Trustee-Registrar shall make provision, to the extent funds are then available therefore, for the payment of the Redemption Price of the Bonds to be redeemed on such date by setting aside and holding in trust an amount sufficient to pay such Redemption Price. Upon presentation and surrender of any such Bond at the main corporate trust office of the Trustee-Registrar on or after the date fixed for redemption, the Trustee-Registrar shall pay the Redemption Price on such Bond (including accrued interest) from the funds set aside for such purpose.

All of said Bonds as to which the Board reserves and exercises the right of redemption and as to which notice as aforesaid shall have been given, and for the retirement of which, upon the terms aforesaid, funds are duly provided, will cease to bear interest on the redemption date.

The required notice shall be deemed to have been given upon the Board furnishing Notice of Redemption to the Trustee-Registrar and upon the Trustee-Registrar acknowledging that it has instructions to send such notice and that it will do so at the proper time, even if the time for furnishing such notice has not yet arrived.

Section 2.10. Transferability. Title to any Series U Bond shall be transferable only upon the presentation and surrender of same at the main office of the Trustee-Registrar, duly endorsed for transfer or accompanied by an assignment duly executed by the registered owner or his authorized representative, such transfer to be made on such books and endorsed on the Bond by the Registrar.

Section 2.11. Designation of Trustee, Bond Registrar, Transfer Agent, and Payee Bank. For the purpose of securing the payment of both the principal of and interest on all of the Series U Bonds, and to secure for the benefit of all the owners thereof the faithful performance of the covenants and provisions contained in the Resolution in the manner and to the extent permitted and provided in this Series U Resolution and in Section 162.340, et seq., and 58.010 through 58.140 of the Kentucky Revised Statutes, J.P. Morgan Trust Company, National Association, Louisville, Kentucky, successor to Bank One Trust Company, NA, which was successor to First Security National Bank & Trust Company, is hereby designated as Trustee, Bond Registrar, Transfer Agent, and Payee Bank under the Basic Resolution and this Series U Resolution for the owners of all of said Series U Bonds, with the powers and duties set forth in the Basic Resolution and in this Series U Resolution and with no liability in connection with any action or omission to act under the Basic Resolution or under this Series U Resolution except for its own negligence or willful breach of trust. Execution of the Authentication Certificate of the Trustee-Registrar on the respective Series U Bonds, shall conclusively establish the acceptance by the Trustee-Registrar of the trusts and provisions with respect thereto as set forth in this Resolution. Acceptance of the duties of Trustee-Registrar shall also be evidenced by the execution of the appropriate form of Acceptance immediately following the end of this Series U Resolution.

Section 2.12. Security for Series U Bonds; Statutory Mortgage Lien; Revenue Pledge. For the protection of the holders and owners of the Bonds secured by the Basic Resolution and this Resolution, a statutory mortgage lien upon the Project and properties connected therewith and belonging thereto, on a parity with Outstanding Bonds, is granted and created by and pursuant to Sections 162.350 and 162.200 of the Kentucky Revised Statutes, which said statutory mortgage lien is hereby recognized and declared to be valid and binding as provided by law, and shall take effect immediately upon the delivery of any and all of the Series U Bonds, ranking on a parity with the Outstanding Bonds.

All of the Series U Bonds are payable only from the Gross Revenues derived from the operation of the Project, ranking on a parity with the Outstanding Bonds, and the Series U Bonds shall not and do not constitute an indebtedness of the University or of its Board of Trustees or of the University or of its Board of Trustees or of the Commonwealth of Kentucky within the meaning of any provisions or limitations of the Constitution of the Commonwealth of Kentucky.

Section 2.13. Authentication of Bonds. No Series U Bond shall be valid or obligatory for any purpose or be entitled to any security or benefit of this Resolution unless and until such Bond has been duly authenticated by the Trustee-Registrar by the execution of the Authentication Certificate of Trustee-Registrar appearing on such Bond. Such Certificate appearing on any Bond shall be deemed to have been duly executed by the Trustee-Registrar if manually signed by an authorized officer of the Trustee-Registrar.

It shall not be required that the same officer of the Trustee-Registrar sign such Certificate on all of the Series U Bonds.

Section 2.14. Securities Depository; Ownership of Bonds. Except as provided in paragraph (c) below, the Series U Bonds shall be registered in the name of the Securities Depository or the Securities Depository Nominee, and ownership thereof shall be maintained in Book-Entry Form by the Securities Depository for the account of the Agent Members of the Securities Depository. Initially, the Series U Bonds shall be registered in the name of Cede & Co., as the nominee of The Depository Trust Company. Except as provided in paragraph (c) below, the Series U Bonds may be transferred, in whole but not in part, only to the Securities Depository or the Securities Depository Nominee, or to a successor Securities Depository selected or approved by the Board or to a nominee of such successor Securities Depository. As to any Series U Bond, the person in whose name such Series U Bond shall be registered shall be the absolute owner thereof for all purposes, and payment of or on account of the principal of and premium, if any, and interest on any such Series U Bond shall be made only to or upon the order of the registered owner thereof or his legal representative.

(a) Neither the Board nor the Trustee shall have any responsibility or obligation with respect to:

(i) the accuracy of the records of the Securities Depository or any Agent Member with respect to any beneficial ownership interest in the Series U Bonds;

(ii) the delivery to any Agent Member, any beneficial owner of the Series U Bonds or any other person, other than the Securities Depository, of any notice with respect to the Series U Bonds or the Bond Resolution: or

(iii) the payment to any Agent Member, any beneficial owner of the Series U Bonds or any other person, other than the Securities Depository, of any amount with respect to the principal of, premium, if any, or interest on the Series U Bonds.

So long as any Series U Bonds are registered in Book-Entry Form, the Board and the Trustee may treat the Securities Depository as, and deem the Securities Depository to be, the absolute owner of such Series U Bonds for all purposes whatsoever, including without limitation:

(A) the payment of principal of, premium, if any, and interest on the Series U Bonds;

(B) giving notices of redemption and other matters with respect to the Series U Bonds;

(C) registering transfers with respect to the Series U Bonds;

(D) the selection of Series U Bonds for redemption;

(E) for purposes of obtaining consents under the Bond Resolution; and

(F) notwithstanding the definition of the terms "bondholder" or "holder" or "owner" in the Bond Resolution as referencing the registered owners of the Series U Bonds, the Trustee shall be entitled to rely upon written instructions from a majority of the beneficial owners of the Series U Bonds with reference to consent, if any, required from the owners of the Series U Bonds pursuant to the terms of the Bond Resolution.

(b) If at any time the Securities Depository notifies the Board that it is unwilling or unable to continue as Securities Depository with respect to the Series U Bonds, or if at any time the Securities Depository shall no longer be registered or in good standing under the Securities Exchange Act or other applicable statute or regulation and a successor Securities Depository is not appointed by the Board within 90 days after the Board receives notice or becomes aware of such condition, as the case may be, then this Section shall no longer be applicable, and the Board shall execute and the Trustee shall authenticate and deliver certificates representing the Series U Bonds to the owners of the Series U Bonds as otherwise provided in this Article II.

(c) Payment of the principal of, premium, if any, and interest on any Series U Bonds not registered in Book-Entry Form shall be made as provided in Section 2.7 hereof.

(d) The principal of, premium, if any, and interest on the Series U Bonds registered in Book-Entry Form in the name of the Securities Depository or the Securities Depository Nominee shall be payable by wire transfer from the Trustee to the Securities Depository or the Securities Depository Nominee, as the case may be.

Section 2.15. Form of Bonds. The aforesaid authorized issue of Series U Bonds shall be in substantially the following form:

UNITED STATES OF AMERICA
COMMONWEALTH OF KENTUCKY
UNIVERSITY OF KENTUCKY
CONSOLIDATED EDUCATIONAL BUILDINGS REVENUE BOND
SERIES U

NUMBER R-____ PRINCIPAL AMOUNT $_____

| DATE OF ORIGINAL ISSUE | MATURITY DATE | INTEREST RATE | CUSIP |
|---|---|---|---|
| | May 1, ____ | ___% | |

REGISTERED OWNER:

PRINCIPAL AMOUNT:

The Board of Trustees of the University of Kentucky (the "Board"), a body corporate, as an educational institution and agency and a political subdivision of the Commonwealth of Kentucky, for value received, hereby promises to pay to the Registered Owner, identified above, or his or its registered assigns, solely from the special fund hereinafter identified, upon presentation and surrender of this Bond, the Principal Amount set out above on the Maturity Date specified above and to pay interest on said sum at the per annum Interest Rate specified above, from the interest payment date to which interest has been paid next preceding the date on which this Bond is authenticated, unless this Bond is authenticated on an interest payment date to which interest has been paid, in which event this Bond shall bear interest from such date, or if this Bond is authenticated prior to the first interest payment date, this Bond shall bear interest from the date of original issue set out above, commencing _____, and semiannually thereafter on November 1 and May 1 of each year until payment of the Principal Amount, except as the provisions hereinafter set forth with regard to redemption prior to maturity may be and become applicable. The principal of and redemption price, if any, on this Bond are payable in lawful money of the United States of America at the main office of J.P. Morgan Trust Company, National Association, Louisville, Kentucky (the "Trustee," "Bond Registrar," and "Payee Bank"). All interest on this Bond shall be payable by check or draft mailed by the Trustee-Registrar to the registered owner hereof at the address shown on the registration books kept by the Trustee.

This Bond is one of a duly authorized issue of $_____ principal amount of Bonds (said Bonds being hereinafter sometimes collectively referred to as "the Bonds," "these Bonds" or "the Series U Bonds"), issued in full compliance with the Constitution and Statutes of the Commonwealth of Kentucky, including Sections 162.340 to 162.380, and 58.010 through 58.140 of the Kentucky Revised Statutes, now in full force and effect, and under and pursuant to the Resolution adopted by the Board on September 20, 1960 (the "Basic Resolution"), and the Resolution adopted on June 14, 2005, authorizing the Series U Bonds (the "Series U Resolution"), issuable as fully registered Bonds in the denominations of $5,000 and any authorized multiple thereof within the same maturity, for the purpose of financing (a) the costs (to the extent not otherwise provided) of establishing and erecting certain educational buildings and necessary appurtenances (the "Series U Project"), upon the property of the University in Fayette County, Kentucky, which Series U Project buildings and appurtenant facilities will, when erected and acquired, become part of the Consolidated Educational Buildings Project of said University (the "Project"), (b) the amount necessary to fully fund the Required Debt Service Reserve, and (c) the costs of issuance of the Series U Bonds. Copies of the Basic Resolution and the Series U Resolution are on file at the office of the Trustee.

As provided in the Series U Resolution, these Series U Bonds, together with the outstanding Bonds of Series E, J, L (Third Series); G, H, I (Third Series); K (Third Series); M (Second Series); N (Second Series); O (Second Series); P, Q, and R (Second Series); S and T, and any additional Parity Bonds which may hereafter be issued and outstanding under the terms of the Basic Resolution and subsequent Series Resolutions (hereinafter all references to said outstanding Bonds and any additional Parity Bonds shall be collectively referred to as "Outstanding Bonds"), are and will be available from and constitute a first charge and lien up on the Revenues (as defined in the Basic Resolution) to be derived by the University from the operation of its Consolidated Educational Buildings Project. The fee imposed upon and collected from all students enrolled in the University at the Lexington Campus as an incident to registration at the beginning of each semester of the regular academic year and each summer session, including fees imposed for part-time students, night school and extension courses, is designated as the source of Revenues of the Project. Such fees are known as the Student Registration Fees, and the Board has covenanted on behalf of the University that such fees will be fixed (and, if necessary, revised and increased from time to time) at such rates as may be required to pay the interest on and principal of the Bonds as they respectively mature, to provide reserves therefore, and to pay the operating costs of the Project to the extent that such costs are not otherwise provided. All collections of the Student Registration Fees are to be set aside, as received, into the Consolidated Educational Buildings Project Revenue Fund (the "Revenue Fund") and are made subject to a first pledge, lien, and charge for the security and source of payment of Outstanding Bonds.

The Basic Resolution provides for the creation of a special account designated "Consolidated Educational Buildings Project Bond and Interest Sinking Fund" (the "Bond Fund") and for the deposit from the Revenue Fund to the credit of the Bond Fund of a fixed amount of the gross Revenues of the Project sufficient to pay interest on Outstanding Bonds as the same become due, to pay or retire the principal of Outstanding Bonds at or prior to the maturity thereof, and to provide a reserve for such purpose, which Bond Fund is pledged to and charged with the payment of said principal and interest.

The aggregate principal amount of Bonds which may be issued under the Basic Resolution is not limited except as provided in such Basic Resolution, and all Bonds issued and to be issued under the Basic Resolution are and will be equally secured by the pledges and covenants made therein, except as otherwise expressly provided or permitted the Basic Resolution.

As further security for these Series U Bonds, a statutory mortgage lien, which is hereby recognized as valid and binding on the Project and properties connected therewith and belonging thereto, on a parity with Outstanding Bonds, is created and granted to and in favor of the owner(s) of these Series U Bonds, pursuant to Sections 162.350 and 162.200 of the Kentucky Revised Statutes, which said statutory mortgage lien shall take effect immediately upon the delivery of any and all of the Series U Bonds, and the Project shall remain subject to such statutory mortgage lien until the payment in full of the principal of and interest on Outstanding Bonds, including the Series U Bonds.

Outstanding Bonds are payable only from the gross Revenues derived from the operation of the Project, a sufficient amount of which Revenues will be annually set aside into the Bond Fund, and this Bond does not constitute an indebtedness of the University of Kentucky, its Board, or the Commonwealth of Kentucky within the meaning of any provisions or limitations of the Constitution of the Commonwealth of Kentucky.

This Bond is transferable by the registered owner hereof in person or by his attorney duly authorized in writing at the main office of the Trustee-Registrar, but only in the manner, subject to the limitations provided in the Series U Resolution, and up on surrender and cancellation of this Bond, duly endorsed for transfer or accompanied by an assignment duly executed by the registered owner or his authorized representative. Upon such transfer being effected, a new fully registered Bond or Bonds of the same series and the same maturity of authorized denomination, fir the same aggregate principal amount, and the same interest rate, will be issued to the transferee in exchange therefore.

The Board and the Trustee-Registrar may deem and treat the registered owner hereof as the absolute owner hereof for the purpose of receiving payment of or on account of principal hereof and redemption price, if any, hereon, and interest due hereon, and for all other purposes, and neither the Board or the Trustee-Registrar shall be affected by any notice to the contrary.

The owner of this Bond shall have no right to enforce the provisions of the Basic Resolution or the Series U Resolution, to institute action to enforce the covenants therein, to take any action with respect to any default under such resolutions, or to institute, appear in, or defend any suit or other proceedings with respect thereto, except as provided in such Resolutions. The Basic Resolution provides for fixing, charging, and collection fees for the services of the Project, which fees will be sufficient to pay the principal of and interest on Outstanding Bonds as the same become due, to provide a reserve for such purpose, and also to pay the cost of operation and maintenance of the Project to the extent that same are not otherwise provided.

Reference is made to such Basic Resolution and Series U Resolution (a) pursuant to which J.P. Morgan Trust Company, National Association, Louisville, Kentucky, successor to Bank One Trust Company, NA, has been designated as Trustee and Bond Registrar, Payee Bank, and Transfer Agent for the owners of the Series U Bonds, (b) for the provisions, among others, with respect to the custody and application of the proceeds of the Series U Bonds, (c) the rights, duties, and obligations of the Board and of the Trustee, and (d) the rights of the owners of these Series U Bonds; and by the acceptance of this Bond, the registered owner hereof assents to all of the provisions of said resolutions.

The Series U Bonds maturing on and after May 1, 2016, shall be subject to redemption by the Board prior to maturity, in whole or in part, in the inverse order of their maturities (less than all of a single maturity to be selected by lot), on any date, on or after May 1, 2015, at a redemption price equal to the principal amount of the Series U Bonds called for redemption, plus unpaid interest accrued to the date of redemption, without premium.

[Insert mandatory sinking fund redemption provisions, if any.]

In the event that a Bond subject to redemption is in a denomination larger than $5,000, a portion of such Bond may be redeemed, but only in a principal amount equal to $5,000 or an integral multiple thereof. Upon surrender of any Bond for redemption in part, the Trustee-Registrar, in accordance with the Series U Resolution, shall authenticate and deliver an exchange Bond or Bonds in an aggregate principal amount equal to the unredeemed portion of the bond so surrendered.

The Trustee-Registrar shall give notice of any redemption by sending such notice by United States mail, first class, postage prepaid, not less than 30 and not more than 60 days prior to the date fixed for redemption, to the registered owner of this Bond at the address shown on the Bond Register as of the date of mailing of such notice.

This Bond is exempt from taxation (except inheritance taxes) by the Commonwealth of Kentucky and all of its political subdivisions.

It is hereby certified, recited, and declared that all acts, conditions, and things required to exist, to happen, and to be performed precedent to and in the issuance of this Bond, do exist, have happened, and have been performed in due time, form, and manner as required by law, and that the amount of this Bond, together with all other obligations of the Board and of said University of Kentucky, does not violate any provision or exceed any limit prescribed by the Constitution or Statutes of Kentucky; that the Project will be continuously operated, and that a sufficient portion of the gross Revenues therefrom has been pledged to and will be set aside into the Bond Fund (created in the Basic Resolution) for the payment of the principal of and interest on this Bond and Outstanding Bonds which by their terms and the terms of the Basic Resolution, the Series U Resolution, and all previous Series Resolutions, are payable from the Bond Fund as and when the same will respectively become due.

IN TESTIMONY WHEREOF, the Board of Trustees of the University of Kentucky has caused this Bond to be executed on its behalf by the reproduced facsimile signature of its Chairman, and the facsimile of its corporate seal to be imprinted hereon, and attested by the reproduced facsimile signature of its Secretary, dated as of the Date of Original Issue set forth above; provided, however, that this Bond shall not be valid or obligatory for any purpose or be entitled to any security or benefit under the Series U Resolution pursuant to which it was authorized until the Authentication Certificate of Trustee-Registrar printed hereon shall have been executed by the manual signature of a duly authorized representative of the Trustee-Registrar.

**UNIVERSITY OF KENTUCKY**
Lexington, Kentucky

By: _____
Chairman, Board of Trustees

Attest:

By: _____
Secretary, Board of Trustees

(Facsimile Seal of Board of Trustees)

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(FORM OF AUTHENTICATION CERTIFICATE OF TRUSTEE-REGISTRAR)

THE AUTHENTICATION DATE OF THIS BOND IS: _____

AUTHENTICATION CERTIFICATE OF TRUSTEE-REGISTRAR

This is to certify that this Bond is one of the Bonds referred to in the within Bond and in the Series U Resolution authorizing same. Printed on the reverse hereof is the complete text of the opinion of Bond Counsel, Peck, Shaffer & Williams LLP, Covington, Kentucky, a signed original of which is one file with the undersigned, delivered and dated as of the date of the original delivery and payment for the Bonds.

**J.P. MORGAN TRUST COMPANY, NATIONAL ASSOCIATION**, Louisville, Kentucky, Trustee and Bond Registrar

By: _____
Authorized Signer

(FORM OF ASSIGNMENT)

ASSIGNMENT

For value received, the undersigned hereby sells, assigns and transfer unto the within Series U Bond and hereby irrevocably constitutes and appoints attorney to transfer the within Series U Bond on the books kept for registration and transfer of said Series U Bond, with full power of substitution in the premises.

Dated: _____

_____

(Signature must correspond with name of Registered Owner as it appears on the front of this Bond in every particular, without alteration, enlargement or any change whatsoever.)

Social Security Number or other identifying number: _____

Signature Guaranteed By:

_____

Notice: Signatures must be guaranteed by a member firm of the New York Stock Exchange or a commercial bank or trust company.

(End of Article II)

## ARTICLE III

## PUBLIC SALE OF SERIES U BONDS; COMPLIANCE WITH PARITY REQUIREMENTS; THE SERIES U CONSTRUCTION ACCOUNT; DISPOSITION OF PROCEEDS OF SERIES U BONDS

Section 3.1. Advertisement of Series U Bonds for Sale. The Series U Bonds shall be offered publicly for sale upon the basis of sealed, competitive bids at such time as the Treasurer, upon advice of the Financial Advisor, shall designate.

The Treasurer of the Board is hereby authorized and directed to cause an appropriate form or forms of a Notice of Sale of Bonds to be published in *The Lexington Herald Leader*, a legal newspaper published in the City of Lexington, Kentucky, which will afford local notice of the sale, *The Courier Journal*, a legal newspaper published in the City of Louisville, Kentucky, which will afford statewide notice of the sale, and, to the extent required by law, in *The Bond Buyer*, a financial journal published in the City of New York, New York, which is a publication having general circulation among bond buyers; and said newspapers and financial journal are hereby declared to be qualified to publish such notice for the Board within the meaning and provisions of KRS Chapter 424. Such notice shall be published in said newspapers and financial journal at least once not less than seven nor more than twenty-one days prior to the scheduled date of sale of the Series U Bonds.

The forms of Notice of Bond Sale, Official Terms and Conditions of Sale of Bonds, Bid Form and Official Statement, shall be in such form as approved by Bond Counsel, by the Financial Advisors, by the General Counsel of the University and by the Treasurer of the University.

Bidders shall be advised that Seasongood & Mayer, LLC, Cincinnati, Ohio, has been employed as Financial Advisor in connection with the issuance of these Series U Bonds, that their fee for services rendered with respect to the sale of the Series U Bonds is contingent upon the issuance and delivery of the Series U Bonds, and that they may submit a bid for the purchase of the Series U Bonds at the time of the advertised public sale of the Series U Bonds, either individually or as the member of a syndicate organized to submit a bid for the purchase of the Series U Bonds.

Upon the date and at the respective hour set forth for the opening and consideration of purchase bids, as provided in the instruments hereinabove approved, the sealed bids theretofore received by the Treasurer and shall be publicly opened and publicly read by the Treasurer. If there shall be one or more bids which conform in all respects to the prescribed terms and conditions, such bids shall be compared, and the Treasurer, upon the advice of the Financial Advisor, is authorized to accept the best of such bids, as measured in terms of the lowest interest cost to the Board, as calculated in the manner prescribed in the Official Terms and Conditions of Sale of Bonds. Calculations shall be performed as are necessary to determine the exact amount of Series U Bonds that are required to be issued in order to (i) pay the budgeted costs of the Project, (ii) fund the Required Debt Service Reserve, and (iii) pay the costs of issuing the Series U Bonds and the final principal amount and maturities of the Series U Bonds shall thereupon be established, as prescribed in the Official Terms and Conditions of Sale of Bonds.

Section 3.2. Compliance with Parity Requirements of Basic Resolution. In accordance with the requirements of Section 7.10 of the Basic Resolution, it is hereby certified, covenanted, and declared:

(a) That at the present time, and at the time of issuance of the Series U Bonds, there is and will be no deficiency in amounts required by the Basic Resolution or any Series Resolution to be paid into the Bond Fund;

(b) That prior to the issuance of the Series U Bonds, there will have been procured and filed with the Trustee a statement by the Treasurer of the Board to the effect that the average of the annual revenues from the Project for the two fiscal years immediately preceding the issuance of the Series U Bonds, was equal to not less than 1.25 times the maximum Aggregate Principal, Interest and Bond Fund Charges in any succeeding twelve month period ending May 1 on the Outstanding Bonds and on the Series U Bonds proposed to be issued. For the purposes of such computation, such certification of the Treasurer shall make an adjustment in the amount of the annual Revenues to reflect any increases or decreases in the pledged Revenues (the student registration fees) which at that time shall have been determined by the Board and made effective for future services of the Project.

Accordingly, based on the foregoing compliance with the requirements of the Basic Resolution, it is hereby found and declared that the Series U Bonds shall rank and be payable on a parity with the Outstanding Bonds on a first lien basis from the gross revenues of the Project and further secured by a first statutory mortgage lien on the Project buildings.

Section 3.3. The Series U Construction Account; Disposition of Proceeds of Series U Bonds. There is hereby established in the Treasury of the Commonwealth a Construction Account to be designated "University of Kentucky Consolidated Educational Buildings Project Bond Proceeds Series U Construction Account" (the "Series U Construction Account").

Immediately upon the issuance, sale, and delivery of the Series U Bonds, the entire amount received from the Original Purchasers of the Series U Bonds shall be deposited in the Treasury of the Commonwealth for immediate credit and/or transfer as follows:

(a) To the Bond Fund, all amounts received as collected accrued interest for the period from the date of the Series U Bonds, to the date of delivery, for application to the payment of interest next becoming due on the Series U Bonds.

(b) To the Debt Service Reserve Fund, the amount necessary to fully fund the Required Debt Service Reserve.

(c) To the "University of Kentucky Consolidated Educational Buildings Series U Bonds Cost of Issuance Account," hereby created and to be maintained on deposit with the Trustee, such appropriate amount as shall be directed by the Treasurer of the Board, to be held and disbursed upon written authorization of the Board or its designee. The Trustee shall apply funds in such account for the purpose of meeting issuance expenses, rating agency fees, and other necessary costs (to the extent not payable by the Financial Advisor) of preparing, issuing, advertising, and selling the Bonds. After payment in full of such issuance expenses, based upon the certification of the Board, through its Treasurer, all amounts remaining in such Account shall be transferred to and deposited in the Bond Fund and applied toward the payment of interest requirements falling due on the Bonds on the next Interest Payment Date.

(d) The balance of the proceeds of the Series U Bonds shall be deposited in the Series U Construction Account.

Such balance in the Construction Account shall be disbursed from such Account by the Treasurer of the Commonwealth according to such inspection, audit, and disbursement procedures as may from time to time be provided by law, for the purpose of paying the costs (to the extent not otherwise provided) of establishing and constructing the Series U Project buildings and appurtenances as identified in Section 2.2 of this Series U Resolution in accordance with the approved plans and specifications therefore and to reimburse the University or the Commonwealth for any payments which may have been made from other available resources in anticipation of the issuance of the Series U Bonds, and only upon certification of the Architects or Engineers having supervision of construction (or of the Secretary with respect to reimbursements sought by the Commonwealth), as to each disbursement for construction costs, that the amount thereof has been duly earned by and is payable to (and has not previously been paid to) the designated party or parties, for materials, services, and/or labor furnished pursuant to proper contract duly awarded therefore.

Amounts on deposit in the Construction Account shall be invested and reinvested from time to time by the State Treasurer upon direction to the State Treasurer by the Treasurer of the University, in direct obligations of the United States Government or of agencies of the United States Government, or obligations which are fully guaranteed by the United States Government, or in negotiable or non-negotiable Certificates of Deposit issued by any bank, trust company or national banking association (including the Trustee) whose deposits are insured by the Federal Deposit Insurance Corporation, provided such Certificates of Deposit, to the extent that same shall exceed the amount insured by the Federal Deposit Insurance Corporation, must be continuously secured by a valid pledge of direct obligations of or obligations guaranteed by the United States Government having a market value (exclusive of accrued interest) at all times equal to at least 100% of the principal amount of said Certificates of Deposit, which Certificates shall be lodged with the State Treasurer as custodian, or in investments permitted by KRS 42.500(6). The Investments shall be made upon the determination of the University Treasurer, upon advice from said Architects or Engineers (or of the Secretary) that moneys on deposit in the Construction Account are not immediately required for construction purposes and any investments made from the Construction Account shall be selected in contemplation of the anticipated schedule of disbursements prepared by the University Treasurer. All such investments shall be reconverted into cash as and when cash is required to pay costs for which the Construction Account is established.

Any balance remaining in said Construction Account after the establishment and construction of said Series U Project buildings and appurtenances and the payment of all costs in connection therewith shall be deposited in the Bond Fund and (a) credited to the Debt Service Reserve established in and by Section 405(3) of the Basic Resolution if and to the extent that such Debt Service Reserve contains less than the amount of the Required Debt Service Reserve, and/or (b) either applied as a credit against the next deposit required to be made into the Bond Fund, or used to purchase Series U Bonds in the open market at a purchase price not exceeding par plus accrued interest, as may be directed by the Board; provided, however, that if proceedings are then pending or imminently contemplated for the establishment and/or construction of one or more additional educational buildings, which are or will be financed by the issuance of additional Series Bonds pursuant to the Basic Resolution, and which building or buildings constitute or will constitute a part of the Consolidated Educational Buildings Project, any such unexpended balance may be taken into account in determining the amount of Bonds to

be authorized therefore, or may otherwise be applied to the proper costs thereof, in which event such unexpended balance may, upon authority of the Board, be transferred to the Series Construction Account thereof; and provided further, that if the Board has made a contribution to the Construction Account, any surplus to the extent of such contribution shall be transferred back to the Board.

(End of Article III)

## ARTICLE IV

## COMPLIANCE WITH FEDERAL ARBITRAGE REQUIREMENTS; THE REVENUE FUND; DEBT SERVICE RESERVE FUND

Section 4.1. Compliance with Requirements of Internal Revenue Code. In order to assure purchasers of the Series U Bonds that interest thereon will continue to be exempt from all Federal and Kentucky income taxation (subject to certain exceptions set out below), the Board covenants to and with the owners of Series U Bonds that (1) the Board will take all actions necessary to comply with the provisions of the Code, (2) the Board will take no actions which will violate any of the provisions of the Code, or would cause the Series U Bonds to become "private activity bonds" within the meaning of the Code, and (3) none of the proceeds of the Series U Bonds will be used for any purpose which would cause the interest on the Series U Bonds to become subject to Federal income taxation.

Neither the University nor the Trustee shall take any action at any time which will cause the interest on the Bonds to become subject to Federal income taxation, and, without limiting the foregoing, it is covenanted for the benefit of the owners of such Bonds that no use of the proceeds of the Series U Bonds will be made at any time which, if such use had been reasonably expected on the date of issue of such bonds, would have caused them to be "arbitrage bonds." This covenant shall impose an obligation to comply with the requirements of Section 148 of the Code, and the applicable regulations thereunder. The word "proceeds" as used herein shall have the meaning which it has under such section of the Code and such regulations and shall include all moneys on deposit in all Funds provided for herein and all Funds established in connection with the Project and the Bonds. Without limiting the generality of the foregoing, in no event shall moneys be deposited in any accounts created hereunder or invested pursuant to the provisions hereof if such deposit or investment shall cause any Bond to be an "arbitrage bond" within the meaning of Section 148 of the Code.

The Board certifies that on the basis of the facts, expectations, and circumstances (including covenants of the Board) in existence on the date of adoption of this Series U Resolution it is not expected that the proceeds of the Series U Bonds will be used in a manner that will cause such obligations to be "arbitrage bonds." The Chairman and the Treasurer of the Board are hereby jointly and severally designated and charged by the Board and the University with the responsibility for issuing the Series U Bonds and are hereby designated as the officers of the Board and the University to execute (by either of them) the ("no arbitrage") certification required by Section 1.103-13(a)(2)(ii) and any other provisions of the Treasury Regulations, and such certification shall set forth such facts, expectations and circumstances, which may be in brief and summary terms, and shall state that to the best of his knowledge and belief that are no other facts, expectations, or circumstances that would materially change such expectation that the proceeds of the issue of Bonds herein authorized will not be used in a manner that would cause same to be "arbitrage bonds." If, under any valid provisions of law hereafter enacted, the interest paid by the Board on the Bonds should excludable from the gross income of a recipient thereof for Federal income tax purposes without regard to compliance with the provisions of Section 148 of the Code, then the University shall not be required to comply with such provisions of the Code.

Without limiting the generality of the foregoing, the Board agrees that there shall be paid from time to time all amounts required to be rebated to the United States pursuant to Section 148(f) of the Code and any temporary, proposed or final Treasury Regulations as may be

applicable to the Series U Bonds from time to time. This covenant shall survive payment in full or defeasance of the Series U Bonds. The Board specifically covenants to pay or cause to be paid to the United States, the Rebate Amount, at the times and in the amounts described in the Memorandum of Instructions. The Trustee, by execution of its Acceptance attached hereto, agrees to comply with all instructions of the Board given in accordance with the Memorandum of Instructions.

The Board reserves the right to amend the Resolution authorizing these Series U Bonds without obtaining the consent of the owners of the Bonds (i) to whatever extent shall, in the opinion of Bond Counsel, be deemed necessary to assure that interest on the Series U Bonds shall be exempt from Federal income taxation, and (ii) to whatever extent shall be permissible (without jeopardizing such tax exemption or the security of the owners of the Series U Bonds) to eliminate or reduce any restrictions concerning the Project, the investment of the proceeds of the Series U Bonds, or the application of such proceedings or of the revenues of the Project. The purchasers of the Series U Bonds are deemed to have relied fully upon these covenants and undertakings on the part of the Board as part of the consideration for the purchase of the Series U Bonds. To the extent that the Board obtains an opinion of nationally recognized bond counsel to the effect that non-compliance with any of the covenants contained in this Resolution or referred to in this Resolution would not subject interest on the Series U Bonds to Federal income taxes or Kentucky income taxes, the Board shall not be required to comply with such covenants or requirements.

This Resolution is adopted in contemplation that Bond Counsel will render an opinion as to exemption of principal of the Bonds from Kentucky ad valorem taxation and as to exemption of interest on the Series U Bonds from Federal and Kentucky income taxation, based on the assumption by bond Counsel that the Board complies with covenants made by the Board with respect to compliance with the provisions of the Code and based on the assumption of compliance by the Board with requirements as to any required rebate (and reports with reference thereto) to the United States of America of certain investment earnings on the proceeds of the Series U Bonds. The Board has been advised that, based on the foregoing assumption of compliance, Bond Counsel is of the opinion that the Series U Bonds are not "arbitrage bonds" within the meaning of Section 148 of the Code.

Section 4.2. The Revenue Fund; Transfer to the Bond Fund and the Debt Service Reserve Fund to Provide for the Additional Requirements of the Series U Bonds.

(1) From and after the issuance and delivery of the Series U Bonds, the Treasurer, conforming to the provisions of Section 4.05(2) of the Basic Resolution, shall transfer from the Revenue Fund and deposit to the credit of the Bond Fund from time to time such sums as are required to pay (a) interest falling due on each November 1 with respect to the Series U Bonds, and (b) interest and principal, if any, falling due on each May 1 with respect to the Series U Bonds; and such transfers and deposits into the Bond Fund shall be in addition to the transfers and deposits required to be made from time to time for payment of the interest on and principal of the Outstanding Bonds.

(2) Conforming to the requirements of Section 4.05(2) of the Basic Resolution, if, whenever, and so long as the amount on deposit in the Debt Service Reserve (as part of the Bond Fund) shall be less than the Required Current Debt Service Reserve Accumulation or the Required Debt Service Reserve (as defined herein), with respect to Outstanding Bonds for any future year ending May 1, the Treasurer shall transfer from the first available funds in the

Revenue Fund and deposit in the Bond Fund, whatever additional amounts over and above all deposits otherwise required to be made into the Bond Fund, as set out in the foregoing paragraph (1) of this Section, shall be required in order to restore and maintain the Required Current Debt Service Reserve Accumulation or the Required Debt Service Reserve in the Debt Service Reserve portion of the Bond Fund.

(3) It is further determined by the Board that in calculating the amount of the required annual payments to be made by the Board into the Bond Fund to meet the principal and interest requirements of All (Outstanding) Bonds, the Board shall (whenever and so long as the Required Current Debt Service Reserve Accumulation or the Required Debt Service Reserve has been accumulated and is being maintained), take credit for the investment income derived from the investment of funds in the Bond Fund, including funds in the Debt Service Reserve; provided, further, however, that the Board, in compliance with the arbitrage requirements of the Internal Revenue Code of 1986, as amended, represents that amounts on deposit in the Bond Fund will be used within thirteen (13) months from the date of deposit for the payment of principal of and interest on the Outstanding Bonds; and the Bond Fund will annually be depleted through such application, for current debt service requirements on the Outstanding Bonds, except for an amount equal to not more than the greater of (a) one-twelfth (1/12) of the debt service requirements of the Outstanding Bonds for the then ensuing year, or (b) one year's earnings on the Bond Fund.

Section 4.3. Adjustments in the Debt Service Reserve. It is hereby determined that it is necessary (a) in order to comply with the parity requirements of the Basic Resolution, and (b) for the marketability of the Series U Bonds, that the Debt Service Reserve shall continue to be maintained and, when necessary, accumulated and/or restored, in an amount equal to the "Maximum Aggregate Principal, Interest and Bond Fund Charges" (as defined in the Basic Resolution) with respect to all Outstanding Bonds for any future year ending May 1 (the "Required Debt Service Reserve").

The Debt Service Reserve shall not (except where the amount on deposit therein shall exceed the Required Debt Service Reserve) be used for any purpose except to make the payments required to be made from the Bond Fund when there are insufficient funds available in the Bond Fund for such purposes.

(End of Article IV)

## ARTICLE V

## MISCELLANEOUS CONCLUDING PROVISIONS

Section 5.1. All Provisions of Basic Resolution and Various Series Resolutions Are Hereby Readopted, Ratified and Confirmed. The Board hereby readopts, ratifies and confirms all previous Resolutions relating to the Project, including the Basic Resolution adopted on September 20, 1960, and each of the various Series Resolutions relating to the Outstanding Bonds.

Section 5.2. Ratification of Previous Appointment of Trustee to Serve as Registrar, Transfer Agent and Payee Bank. J.P. Morgan Trust Company, National Association, Louisville, Kentucky, successor to Bank One Trust Company, NA, which was successor to First Security National Bank & Trust Company, the Trustee in all previous Series Resolutions, which was designated in all Series Resolutions beginning with the Series J Resolution, to serve also as Bond Registrar, Transfer Agent and Payee Bank with respect to the Bonds authorized by such Resolutions, is also designated to serve in all capacities referred to above with respect to the Series U Bonds.

Its duties as Registrar, Transfer Agent and Payee Bank with respect to the Series U Bonds shall be the same as its duties in such capacities with respect to the applicable Outstanding Bonds.

The Trustee Bank shall indicate its acceptance of its respective duties and capacities by signing its Acceptance at the conclusion of this Resolution.

Section 5.3. Replacement by Board of Registrar, Transfer Agent, Payee Bank and Depository Bank. The Board shall have the right at any time to replace the Registrar, Transfer Agent, Payee Bank, and/or Depository Bank by observing the same procedure as that required by the Basic Resolution and/or the respective Series Resolutions for replacement of the Trustee.

Section 5.4. Compliance With SEC Rule 15c2-12. The Board of Trustees hereby agrees, to comply with the provisions of Rule 15c2-12, as amended and interpreted from time to time (the "Rule"), promulgated by the Securities and Exchange Commission (the "Commission") pursuant to the Securities Exchange Act of 1934. In order to comply with the Rule, the Continuing Disclosure Agreement is hereby authorized and approved, substantially in the form presented or described to the Board, with such modifications and additions as may be approved by the officer of the University executing the same. The Chairman and the Secretary of the Board and the Treasurer and the Controller of the University are each separately authorized to execute and deliver the Continuing Disclosure Agreement.

Section 5.5. Resolution Contractual With Bondowners. The Basic Resolution and this Series U Resolution shall, from and after the issuance and delivery of the Series U Bonds, constitute a contract between the Board of the University and the owners of the Series U Bonds as shall be outstanding hereunder.

Section 5.6. Provisions in Conflict are Repealed. All resolutions or parts thereof in conflict with the provisions of this Series U Resolution are hereby rescinded to the extent of such conflict.

Section 5.7. Copy to be Filed with Trustee. A certified copy of this Series U Resolution shall be filed with the Trustee, and this Series U Resolution shall take effect immediately upon its adoption and the filing of the certified copy thereof with the Trustee, as provided in the Basic Resolution.

(End of Article V)

Adopted June 14, 2005.

_____

Chairman, Board of Trustees
University of Kentucky

(SEAL)

Attest:

_____

Secretary, Board of Trustees

## CERTIFICATION

The undersigned, Secretary of the Board of Trustees of the University of Kentucky, Lexington, Kentucky, hereby certifies that the foregoing is a true copy of a Resolution adopted by the Board of Trustees of said University at a meeting held on June 14, 2005, as recorded in the official Minute Book of said Board of Trustees, which is in my custody and under my control, that said meeting was held in accordance with all applicable requirements of Kentucky law, including KRS 61.810, 61.815, 61.820, and 61.825, that a quorum was present at said meeting, and that the aforesaid Resolution is of record in the office of the Board, has not been modified, amended, or rescinded, and is in full force and effect at this date.

WITNESS my signature and the Seal of said Board this 14th day of June, 2005.

_____

Secretary, Board of Trustees
University of Kentucky

(SEAL)

**ACCEPTANCE BY J.P. MORGAN TRUST COMPANY, NATIONAL ASSOCIATION, LOUISVILLE, KENTUCKY, AS BOND REGISTRAR, TRANSFER AGENT, PAYEE BANK AND TRUSTEE**

The undersigned, J.P. Morgan Trust Company, National Association, Louisville, Kentucky, having heretofore been appointed as and having served as Trustee, hereby agrees to the provisions of the foregoing Resolution to the extent that there are contained therein provisions as to the additional rights and duties of the undersigned as Bond Registrar, Transfer Agent, Payee Bank, and Trustee.

Dated this ____ day of _____, 2005.

**J.P. MORGAN TRUST COMPANY, NATIONAL ASSOCIATION**
Louisville, Kentucky

By: _____

Title: _____

30723\1

# FCR 19

Office of the President
June 14, 2005

Members, Board of Trustees:

DISPOSAL OF PERSONAL PROPERTY

Recommendation: that the Board of Trustees approve a plan for fiscal year 2005-2006 authorizing routine disposition of personal property having a value of less than $10,000 per item to include equipment and machinery, vehicles, library books and materials, livestock and recyclable materials, and the methods of disposal as listed on Attachment I, .

Background: Kentucky Revised Statute 164A.575 requires that the Board of Trustees approve disposition of equipment and other property. Administrative Regulation II-1.3-3, approved by the Board of Trustees on August 16, 1994 establishes the policies and procedures including required approvals for the disposition of personal property. This plan will provide an efficient and timely process for the disposition of property having a value of less than $10,000 in accordance with Administrative Regulation II-1.3-3. Dispositions of personal property having a value greater than $10,000 will be approved by the Board of Trustees on a case by case basis.

Included in the 2005-06 disposition plan is the allowable transfer of surplus equipment to governmental units in support of specific established programs, such as the Lexington-Urban County Government's Dell TechKnow Program.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

ATTACHMENT I

ANTICIPATED DISPOSAL OF PROPERTY 2005-2006

A. Equipment and Machinery
   Method of Disposal
   Public Auction
   Internet Auction
   Sealed Bid
   Fixed Price
   Retail Outlet
   Transfers to Other State Agencies or Governmental Units, Educational Institutions, or not-for-profit organizations
   Reason for Disposal
   Equipment and machinery surplus to the needs of the University due to depreciation, obsolescence, program changes or termination.

B. Vehicles
   Method of Disposal
   Public Auction
   Fixed Price
   Internet Auction
   Reason for Disposal
   Vehicles of excessive age and/or mileage or in need of major repairs.

C. Library Books and Materials
   Method of Disposal
   Public Auction
   Sealed Bid
   Fixed Price
   Reason for Disposal
   Library books and materials that are obsolete or outdated.

D. Livestock
   Method of Disposal
   Public Auction
   Sealed Bid
   Fixed Price
   Reason for Disposal
   Livestock surplus to the needs of the College of Agriculture or otherwise unsuitable for use (completion of research projects, carcass data requirements, normal culling of herds).

E. Recyclable Materials
   Method of Disposal
   Price Contracts
   Fixed Price

Reason for Disposal

To comply with regulations for proper and timely disposition of waste products and recyclable materials (as directed by the Office of Environmental Health and Safety).

# FCR 20

Office of the President
June 14, 2005

Members, Board of Trustees:

2006-08 CAPITAL REQUEST

Recommendation: that the Board of Trustees approve the 2006-08 Capital Request for submission to the Council on Postsecondary Education, and that the Board authorize the President to adjust the request, as needed, in response to the Council's capital recommendations for the public postsecondary education institutions.

Background: The 2006-08 Capital Request is a result of a comprehensive capital planning process guided by the University's 2003-2006 Strategic Plan, *The Dream and the Challenge*. The request is consistent with the Campus Physical Development Plan, a 50-year growth plan aligned with the goals of House Bill 1. Separate requests are included for the University and the University Hospital. The request includes all capital and information technology projects estimated to cost $400,000 or more; equipment estimated to cost $100,000 or more; and leases valued at $200,000 or more, regardless of fund source. A summary of the request, which lists 553 capital projects, equipment and information technology projects at an estimated cost of $3 billion, is attached. Brief descriptions of the top 25 projects also are provided.

---

Action taken: ☑ Approved ☐ Disapproved ☐ Other _____

**University of Kentucky**
**2006-08 Capital Request**
**Select Project Descriptions**

## 1. Construct Biological/Pharmaceutical Complex - Phase II

| | | |
|---|---|---|
| 242,000 gross sq. ft. | State Bonds | $79,892,000 |

This is Phase II of the Biological –Pharmaceutical Complex. Phase I, authorized in 2004-06, will construct the shelled building and Phase II will complete the facility through fit-up of the shelled space. This new building will provide the College of Pharmacy with a state-of-the-art teaching and research facility.

Research conducted in this new facility will address health problems that disproportionately affect Kentuckians - including cancer, heart disease, diabetes, and lung disease - by focusing on drug discovery. The new facility also will enable the College to increase the enrollment in both the professional degree program and the graduate program by thirty percent.

## 2. Construct Patient Care Facility - Phase II

| | | |
|---|---|---|
| 745,000 gross sq. ft. | Agency Bonds | $150,000,000 |
| | Agency Funds | 25,000,000 |
| | Total | $175,000,000 |

This is Phase II of the most significant upcoming capital project for the University Hospital. The facility will have inpatient beds, possibly including intensive care beds, ancillary support services and a new Emergency Department.

## 3. Construct Gatton Building Complex

| | | |
|---|---|---|
| 252,500 gross sq. ft. | State Bonds | $62,235,000 |
| | Private Gifts | 38,837,000 |
| | Total | $101,072,000 |

The complex will consist of three buildings connected by common areas. The Classroom Building will consist of tiered and flat classrooms furnished with high technology, computer/video and projection systems, and classroom labs. The building will also house the Business Information Center, the Library, and the Undergraduate and Graduate Advising centers.

The Faculty/Administration Building will consist of office space for faculty, teaching assistants, and administration. The Business Outreach Building will consist of the College's service units, the Professional Development Center, E-Commerce Lab, Von Allmen Center for Entrepreneurship, Center for Labor, research labs, and a large auditorium.

The purpose of this building is to accommodate the College's enrollment increases and expanding research and service programs, including the Research Challenge Trust Fund research labs. The current Business and Economic Complex will be used to accommodate research and educational needs in high priority social science programs.

**4. Construct Law School Building**

| | | |
|---|---|---|
| 213,000 gross sq. ft. | State Bonds | $70,161,000 |
| | Private Gifts | 14,920,000 |
| | Total | $85,081,000 |

The current College of Law building is quantitatively and qualitatively insufficient to support the education program. The Association of American Law Schools has informed the University that future AALS accreditation evaluations will "pay particular attention" to solving physical facility problems at the College. For example, the College has special functional requirements for teaching courtroom space and for secure clinical areas to ensure client confidentiality. The new facility will provide additional and reconfigured classrooms to support modern teaching techniques, as well as additional space for the library, faculty and administrative offices, student activities, and the clinic.

**5. Construct Bio-Medical Research Building**

| | | |
|---|---|---|
| 200,000 gross sq. ft. | State Bonds | $95,000,000 |

This new facility will house the University's biomedical and bioterrorism research. The facility will contain a wet-bench research laboratory, lab support space, and administrative offices. This building will house 70 faculty, 220 postdoctoral fellows and research associates, and 70 graduate students.

**6. Construct Medicine/Dentistry Building**

| | | |
|---|---|---|
| 500,000 gross sq. ft. | State Bonds | $202,410,000 |

This new College of Medicine and College of Dentistry Building will house classrooms, faculty and administrative offices, student support and study spaces, meeting rooms, student lounges, student locker rooms, food service, student recreational space, research labs, lab support spaces, and the Medical Center Library.

**University of Kentucky**
**2006-08 Capital Request**
**Select Project Descriptions, *continued***

**7. Construct Digital Technologies Building**

| | | |
|---|---|---|
| 120,000 gross sq. ft. | State Bonds | $47,161,000 |
| | Private Gifts | 6,410,000 |
| | Total | $53,571,000 |

This project will construct a new facility for the Department of Computer Science and the Department of Electrical and Computer Engineering to accommodate emerging technologies in high-speed computing, digital signals and nanotechnology.

**8. Expand Chemistry Physics Building**

| | | |
|---|---|---|
| 167,500 gross sq. ft. | State Bonds | $77,059,000 |

This project will construct new wings on the west and south sides of the building and will include a roof top astronomical observatory. The expansion will better accommodate the expanding research needs of the Department of Physics and Astronomy and the Department of Chemistry by providing additional and more up-to-date research laboratories. The astronomical observatory will provide over 800 astronomy students per semester a more complete educational experience and will be available for community and public school use.

**9. Expand and Upgrade the Livestock Disease Diagnostic Center – Phase II**

| | | |
|---|---|---|
| 22,000 gross sq. ft. | State Bonds | $13,500,000 |

This is Phase II of the Livestock Disease Diagnostic Center. The 2005 General Assembly provided $8.5 million of state bonds for Phase I. The completed facility will provide additional space for animal postmortem examinations to accommodate increased large animal necropsy loads. New space also is needed to add molecular biology/special procedures capabilities to the laboratory. Enhanced biosecurity of entry, storage, and disposal of carcasses is essential. Finally, dedicated space is needed for equine and bovine reproductive diagnosis.

**10. Improve Life Safety Project Pool**

| | | |
|---|---|---|
| | State Bonds | $4,650,000 |

This project will involve various measures in existing buildings, including modifications to space, equipment and building systems, and materials for the purpose of minimizing risks to human health and safety.

**11. Research Equipment Replacement Program**

| | | |
|---|---|---|
| | State Bonds | $25,000,000 |

It is critical that the University periodically replace existing and acquire new equipment as part of the infrastructure necessary to pursue programs of research that benefit Kentuckians.

**University of Kentucky**
**2006-08 Capital Request**
**Select Project Descriptions, *continued***

### 12. Upgrade/Modify Coldstream Facilities

| | | |
|---|---|---|
| Various | State Bonds | $10,000,000 |

The Coldstream Research Campus anticipates that its University-owned facilities (roofs, roads, grounds, utilities, or other infrastructure elements) will require upgrading/modification to meet the needs of the Research Campus's constituents. In order for Coldstream to be successful as a research and economic development enterprise, the University must have the flexibility to enter into contractual arrangements with commercial and private corporations desiring to locate at Coldstream in a timely manner.

### 13. Renovate Lab & Support Space in Med Science

| | | |
|---|---|---|
| 30,769 gross sq. ft. | State Bonds | $9,500,000 |

This project will renovate the Medical Sciences Building. The work will include upgrades to labs, lab support spaces, corridors, restrooms, classrooms, and offices. The work will also include upgrades to the electrical, plumbing, mechanical, and communication systems. Other deficiencies will be addressed including emergency eyewash/showers and asbestos abatement.

### 14. Expand Bio-safety Laboratory in Med Science

| | | |
|---|---|---|
| 17,486 gross sq. ft. | State Bonds | $25,500,000 |

This project will renovate the sixth floor of the Medical Sciences Building into Bio-Safety Level-3 laboratories for infectious disease research. In addition to laboratories, the project includes support space such as an autoclave facility, animal rooms, and staff changing and decontamination areas.

### 15. Expand Memorial Coliseum

| | | |
|---|---|---|
| 101,581 gross sq. ft. | Agency Bonds | $20,500,000 |

Agency bonds will be requested to finance the construction of the 101,581 gross square foot Basketball Practice Facility project while gifts and pledges are received over a number of years. The construction of the facility was authorized by the 2005 General Assembly.

### 16. Expand Pence Hall

| | | |
|---|---|---|
| 20,000 gross sq. ft. | State Bonds | $2,510,000 |
| | Private Gifts | 4,300,000 |
| | Total | $6,810,000 |

This project will construct an addition to Pence Hall that will include class labs (studios), faculty offices, and student support spaces. The new space will be used to consolidate the College of Design.

**University of Kentucky**
**2006-08 Capital Request**
**Select Project Descriptions, *continued***

**17. Construct Research Building**

| | | |
|---|---|---|
| 200,000 gross sq. ft. | State Bonds | $95,000,000 |

This project involves construction of a new research building to further the University's research activities related to the goals of House Bill 1.

**18. Renovate Blazer Hall Cafeteria**

| | | |
|---|---|---|
| 9,900 gross sq. ft. | Agency Bonds | $3,010,000 |

This project will complete the renovation of dining space in Blazer Hall.

**19. Construct Psychology Building**

| | | |
|---|---|---|
| 72,000 gross sq. ft. | State Bonds | $29,651,000 |

This project will construct a new Psychology Building that will include classrooms, class labs, offices, research space, and support space.

**20. Finance/Renovate Coldstream Center Building**

| | | |
|---|---|---|
| 163,380 gross sq. ft. | Agency Bonds | $20,000,000 |

The Coldstream Research Campus anticipates that renovations will be needed to fit-up/renovate spaces for commercial occupants leasing portions of the facility. The related debt service will be incorporated into the lease rates. The project includes long-term financing of the purchase of the facility.

**21. Renovate Vivarium in Central DLAR Facility**

| | | |
|---|---|---|
| 8,400 gross sq. ft. | State Bonds | $1,730,000 |
| | Federal Funds | 700,000 |
| | Total | $2,430,000 |

This project will renovate the cage washing area, install a robotic cage washing system, and upgrade spaces to animal procedure rooms in the vivarium in the central DLAR facility.

**22. Renovate Sections of Funkhouser**

| | | |
|---|---|---|
| 70,289 gross sq. ft. | State Bonds | $20,059,000 |

This project will renovate sections of the Funkhouser Building into a centralized student services facility that will provide students with one-stop service for all of their administrative needs. This also will provide opportunities for the University to improve enrollment procedures while minimizing the staffing needed for these operations.

**University of Kentucky**
**2006-08 Capital Request**
**Select Project Descriptions, *continued***

### 23. Install HVAC in Keeneland Hall

78,480 gross sq. ft. Agency Bonds $7,013,000

This project will install a center HVAC system in Keeneland Hall, which was constructed in 1954.

### 24. Renovate Running Track

Agency Bonds $2,500,000

This project will renovate the running track surface and upgrade the running track bleachers.

### 25. Construct Hagan Baseball Stadium Clubhouse

10,000 gross sq. ft. Agency Bonds $4,000,000

The project would construct a new baseball stadium clubhouse that includes a locker/shower/player lounge, and coaches' and support staff offices. The project also includes construction of an attached, indoor fielding/hitting area. The facility would be located adjacent to the current Baseball playing field.

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 1 | Construct Biological/Pharmaceutical Complex Phase II | 79,892,000 | - | 79,892,000 | - | - | - | - |
| 2 | Construct Patient Care Facility Phase II | 175,000,000 | - | - | 25,000,000 | 150,000,000 | - | - |
| 3 | Construct Gatton Building Complex | 101,072,000 | - | 62,235,000 | - | - | - | 38,837,000 |
| 4 | Construct Law School Building | 85,081,000 | - | 70,161,000 | - | - | - | 14,920,000 |
| 5 | Construct Bio-Medical Research Building | 95,000,000 | - | 95,000,000 | - | - | - | - |
| 6 | Construct Medicine/Dentistry Building | 202,410,000 | - | 202,410,000 | - | - | - | - |
| 7 | Construct Digital Technologies Building | 53,571,000 | - | 47,161,000 | - | - | - | 6,410,000 |
| 8 | Expand Chemistry Physics Building | 77,059,000 | - | 77,059,000 | - | - | - | - |
| 9 | Expand & Upgrade LDDC - Phase II | 13,500,000 | - | 13,500,000 | - | - | - | - |
| 10 | Improve Life Safety Project Pool | 4,650,000 | - | 4,650,000 | - | - | - | - |
| 11 | Research Equipment Replacement Program | 25,000,000 | - | 25,000,000 | - | - | - | - |
| 12 | Upgrade/Modify Coldstream Facilities | 10,000,000 | - | 10,000,000 | - | - | - | - |
| 13 | Renovate Lab & Support Space in Med Science | 9,500,000 | - | 9,500,000 | - | - | - | - |
| 14 | Expand Bio-safety Laboratory in Med Science | 25,500,000 | - | 21,500,000 | - | - | 4,000,000 | - |
| 15 | Expand Memorial Coliseum | 20,500,000 | - | - | - | 20,500,000 | - | - |
| 16 | Expand Pence Hall | 6,810,000 | - | 2,510,000 | - | - | - | 4,300,000 |
| 17 | Construct Research Building | 95,000,000 | - | 95,000,000 | - | - | - | - |
| 18 | Renovate Blazer Hall Cafeteria | 3,010,000 | - | - | - | 3,010,000 | - | - |
| 19 | Construct Psychology Building | 29,651,000 | - | 29,651,000 | - | - | - | - |
| 20 | Finance/Renovate Coldstream Center Building | 20,000,000 | - | 20,000,000 | - | - | - | - |
| 21 | Renovate Vivarium in Central DLAR Facility | 2,430,000 | - | - | 1,730,000 | - | 700,000 | - |
| 22 | Renovate Sections of Funkhouser | 20,059,000 | - | 20,059,000 | - | - | - | - |
| 23 | Install HVAC in Keeneland Hall | 7,013,000 | - | - | - | 7,013,000 | - | - |
| 24 | Renovate Running Track | 2,500,000 | - | - | - | 2,500,000 | - | - |
| 25 | Construct Hagan Baseball Stadium Clubhouse | 4,000,000 | - | - | - | 4,000,000 | - | - |
| 26 | Renovate Façade - Agriculture Building North | 6,100,000 | - | 6,100,000 | - | - | - | - |
| 27 | Upgrade Pharm. Fume Hoods I - Life Safety | 5,040,000 | - | 5,040,000 | - | - | - | - |
| 28 | Construct Environ. Sciences Facilities | 44,793,000 | - | 44,793,000 | - | - | - | - |
| 29 | Renovate 3rd Floor Little Library | 2,513,000 | - | 2,513,000 | - | - | - | - |
| 30 | Renovate Lab for Coating and Surface Inspection | 8,000,000 | - | - | 8,000,000 | - | - | - |
| 31 | Upgrade Elevator Controls in Nursing Building | 740,000 | 740,000 | - | - | - | - | - |
| 32 | Upgrade Fume Hoods TH Morgan - Life Safety | 3,188,000 | - | 3,188,000 | - | - | - | - |
| 33 | Upgrade HVAC - CAER Ph. III - Life Safety | 910,000 | 910,000 | - | - | - | - | - |
| 34 | Improve IAQ - Phase I - Life Safety | 500,000 | 500,000 | - | - | - | - | - |
| 35 | Abate Asbestos LC II - Life Safety | 500,000 | 500,000 | - | - | - | - | - |
| 36 | Renovate Complex Commons | 10,400,000 | - | - | - | 10,400,000 | - | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 37 | Renovate Student Center Food Court | 1,643,000 | - | - | - | 1,643,000 | - | - |
| 38 | Renovate K-Lair Building | 4,650,000 | - | - | - | 4,650,000 | - | - |
| 39 | Renovate SECAT Building at Coldstream | 2,000,000 | - | 2,000,000 | - | - | - | - |
| 40 | Renovate PSC Building | 750,000 | - | - | 750,000 | - | - | - |
| 41 | Renovate COM Administrative Offices | 1,200,000 | - | 1,200,000 | - | - | - | - |
| 42 | Construct University Student Center | 88,776,000 | - | 87,156,000 | 1,620,000 | - | - | - |
| 43 | Construct University Press Facility | 2,950,000 | - | - | - | 2,950,000 | - | - |
| 44 | Lease/Purchase ERP System - Phase II | 20,000,000 | - | - | 20,000,000 | - | - | - |
| 45 | Seal/Waterproof Commonwealth Stadium Concrete | 2,500,000 | - | - | - | - | - | 2,500,000 |
| 46 | Install Scoreboards Memorial Col./Hagan Stadium | 1,500,000 | - | - | 1,500,000 | - | - | - |
| 47 | Improve Accessibility Project Pool | 437,000 | 437,000 | - | - | - | - | - |
| 48 | Purchase Pharmaceutical Analysis System | 200,000 | 200,000 | - | - | - | - | - |
| 49 | Expand Kastle Hall Vivarium | 4,505,000 | - | 4,505,000 | - | - | - | - |
| 50 | Extend Virginia Avenue | 4,000,000 | - | - | 4,000,000 | - | - | - |
| 51 | Purchase PET Scanner | 1,500,000 | - | 1,500,000 | - | - | - | - |
| 52 | Upgrade the Vivarium in Sanders Brown Building | 6,720,000 | - | - | 3,360,000 | - | 3,360,000 | - |
| 53 | Lease Purchase High Performance Research Computing | 6,500,000 | - | - | 6,500,000 | - | - | - |
| 54 | Expand Cancer Infusion Suites | 1,964,000 | - | - | 1,964,000 | - | - | - |
| 55 | Replace Memorial Coliseum Playing Surface | 725,000 | - | - | - | - | - | 725,000 |
| 56 | Renovate King Library South - 1930 Section | 17,901,000 | - | 17,901,000 | - | - | - | - |
| 57 | Renovate DLAR Quarantine Facility at Spindletop | 2,720,000 | - | 2,720,000 | - | - | - | - |
| 58 | Expand/Renovate Art Museum in Singletary Center | 23,966,000 | - | 23,966,000 | - | - | - | - |
| 59 | Expand Ophthalmology Clinic | 3,100,000 | - | - | 3,100,000 | - | - | - |
| 60 | Paint Commonwealth Stadium Steel | 750,000 | - | - | 750,000 | - | - | - |
| 61 | Renovate Labs in Pharmacy Building | 4,000,000 | - | 2,000,000 | - | - | 2,000,000 | - |
| 62 | Expand KGS Well Sample & Core Repository | 4,310,000 | - | 4,310,000 | - | - | - | - |
| 63 | Lease Purchase Large Scale Computing | 3,500,000 | - | - | 3,500,000 | - | - | - |
| 64 | Expand Outpatient Radiology | 2,000,000 | - | - | 2,000,000 | - | - | - |
| 65 | Renovate Soccer/Softball Facilities | 1,400,000 | - | - | 1,400,000 | - | - | - |
| 66 | Renovate Practice Instruction Space in Pharmacy | 4,310,000 | - | 3,310,000 | - | - | - | 1,000,000 |
| 67 | Upgrade Pilot-scale Mineral Processing Facility | 600,000 | 600,000 | - | - | - | - | - |
| 68 | Lease Purchase Enterprise Storage System | 1,200,000 | - | - | 1,200,000 | - | - | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 69 | Renovate Hospital Nursing Units | 2,000,000 | - | - | 2,000,000 | - | - | - |
| 70 | Construct Track and Field Facility | 7,139,000 | - | - | - | - | - | 7,139,000 |
| 71 | Renovate Outpatient Clinic in Kentucky Clinic | 2,930,000 | - | - | - | 2,930,000 | - | - |
| 72 | Expand CAER Laboratories | 4,450,000 | - | 4,450,000 | - | - | - | - |
| 73 | Lease Purchase UPS System | 941,000 | - | - | 941,000 | - | - | - |
| 74 | Renovate Hospital Cafeteria | 631,000 | - | - | 631,000 | - | - | - |
| 75 | Renovate Memorial Coliseum | 4,731,000 | - | - | 4,731,000 | - | - | - |
| 76 | Renov. Graduate Edu. & Research Space in Nursing | 1,700,000 | - | 1,700,000 | - | - | - | - |
| 77 | Purchase Hydrocarbon Analysis System | 120,000 | 120,000 | - | - | - | - | - |
| 78 | Lease Purchase Campus Infrastructure Upgrade | 3,500,000 | - | - | 3,500,000 | - | - | - |
| 79 | Fit Up Gill Bldg. Ground Floor | 1,250,000 | - | - | 1,250,000 | - | - | - |
| 80 | Construct Commonwealth Stadium Suite Addition | 2,300,000 | - | - | 2,300,000 | - | - | - |
| 81 | Renovate Koinonia House | 2,715,000 | - | 2,715,000 | - | - | - | - |
| 82 | Lab Security Systems Project Pool | 500,000 | 500,000 | - | - | - | - | - |
| 83 | Upgrade Clinical Services | 2,000,000 | - | - | 2,000,000 | - | - | - |
| 84 | Construct Horticulture Research & Ed. Facilities | 1,600,000 | - | - | 1,600,000 | - | - | - |
| 85 | Purchase High Res. Optical Microscope | 110,000 | 110,000 | - | - | - | - | - |
| 86 | Install Emergency Generator Computing Facility | 500,000 | 500,000 | - | - | - | - | - |
| 87 | Upgrade Outpatient Services | 2,000,000 | - | - | 2,000,000 | - | - | - |
| 88 | Renovate Bowman Hall | 10,089,000 | - | 10,089,000 | - | - | - | - |
| 89 | Purchase Environmental Scanning Probe Microscope | 480,000 | 480,000 | - | - | - | - | - |
| 90 | Acquire Land | 15,000,000 | - | - | 15,000,000 | - | - | - |
| 91 | Upgrade Hospital Data Network | 826,000 | - | - | 826,000 | - | - | - |
| 92 | Renovate Reynolds Building | 15,525,000 | - | 15,525,000 | - | - | - | - |
| 93 | Purchase Laser Ablation Sampling Sys. | 200,000 | 200,000 | - | - | - | - | - |
| 94 | Replace Air Handling Units Central Computing Fac | 600,000 | 600,000 | - | - | - | - | - |
| 95 | Replace Hospital Mainframe Computer | 800,000 | - | - | 800,000 | - | - | - |
| 96 | Purchase Pharmaceutical Development Instrument | 183,000 | 183,000 | - | - | - | - | - |
| 97 | Purchase FTIR Microscope with mapping | 105,000 | 105,000 | - | - | - | - | - |
| 98 | Construct New Housing | 71,420,000 | - | - | - | 71,420,000 | - | - |
| 99 | Expand Hospital Data Storage | 600,000 | - | - | 600,000 | - | - | - |
| 100 | Purchase Common Romm Package | 250,000 | 250,000 | - | - | - | - | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 101 | Purchase Hi-resolution FTIR Imaging System | 160,000 | 160,000 | - | - | - | - | - |
| 102 | Lease Purchase Data Warehouse | 600,000 | - | - | 600,000 | - | - | - |
| 103 | Expand Kentucky Clinic Network | 800,000 | - | - | 800,000 | - | - | - |
| 104 | Renovate Taylor Education Building | 52,405,000 | - | 52,405,000 | - | - | - | - |
| 105 | Purchase ESCA-X-ray Photoelectron Micro. | 400,000 | 400,000 | - | - | - | - | - |
| 106 | Construct Parking Structure - Central Campus | 25,139,000 | - | - | - | 25,139,000 | - | - |
| 107 | Install Perioperative Information Management System | 1,200,000 | - | - | 1,200,000 | - | - | - |
| 108 | Purchase Open MRI Unit | 800,000 | 800,000 | - | - | - | - | - |
| 109 | Purchase MRI Equipment | 2,000,000 | - | 2,000,000 | - | - | - | - |
| 110 | Construct Parking Structure - North Campus | 25,304,000 | - | - | - | 25,304,000 | - | - |
| 111 | Install Fetal Monitoring Information System | 1,200,000 | - | - | 1,200,000 | - | - | - |
| 112 | Purchase Microscope | 165,000 | 165,000 | - | - | - | - | - |
| 113 | Lease Purchase Tape Library | 500,000 | - | - | 500,000 | - | - | - |
| 114 | Implement Medication Bar Coding System | 1,750,000 | - | - | 1,750,000 | - | - | - |
| 115 | Expand Grehan Journalism Building | 15,782,000 | - | 15,782,000 | - | - | - | - |
| 116 | Construct New Alumni Center | 17,344,000 | - | - | - | - | - | 17,344,000 |
| 117 | Upgrade PACS System | 2,000,000 | - | - | 2,000,000 | - | - | - |
| 118 | Purchase Upgraded Integrated Library System | 700,000 | 700,000 | - | - | - | - | - |
| 119 | Renovate Central Computing Facility | 2,811,000 | - | 2,811,000 | - | - | - | - |
| 120 | Replace Radiology Information System (QuadRIS replacement) | 2,000,000 | - | - | 2,000,000 | - | - | - |
| 121 | Expand Animal Science Research Center - Phase II | 23,184,000 | - | 23,184,000 | - | - | - | - |
| 122 | Lease Purchase Fire Suppression Upgrade | 1,000,000 | - | - | 1,000,000 | - | - | - |
| 123 | Implement On-Site Digital Radiology Archive | 700,000 | - | - | 700,000 | - | - | - |
| 124 | Renovate Slone Building | 9,089,000 | - | 9,089,000 | - | - | - | - |
| 125 | Purchase Police Communications Equipment | 600,000 | 600,000 | - | - | - | - | - |
| 126 | Implement PACS System in Hospital O.R. | 800,000 | - | - | 800,000 | - | - | - |
| 127 | Purchase Electron Spin Resonance Instr. | 320,000 | 320,000 | - | - | - | - | - |
| 128 | Lease Purchase Network Security Hardware | 1,500,000 | - | - | 1,500,000 | - | - | - |
| 129 | Implement Automated Bed Management System | 1,000,000 | - | - | 1,000,000 | - | - | - |
| 130 | Fit-Up Education Space in Health Science Bldg. | 1,000,000 | - | 1,000,000 | - | - | - | - |
| 131 | Replace Steam and Condensate Pipe | 5,500,000 | - | 5,500,000 | - | - | - | - |
| 132 | Upgrade Global Ventilation Controls - Hospital | 3,000,000 | - | - | 3,000,000 | - | - | - |
| 133 | Purchase High Res Transmission Electron Microscope | 2,500,000 | - | - | - | - | 2,500,000 | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 134 | Lease Purchase Telephone Switch Convergence | 12,000,000 | - | - | 12,000,000 | - | - | - |
| 135 | Expand Surgical Services - Hospital | 4,545,000 | - | - | 4,545,000 | - | - | - |
| 136 | Purchase Digital Media Distribution System | 186,000 | 186,000 | - | - | - | - | - |
| 137 | Lease Purchase Unix Cluster | 600,000 | - | - | 600,000 | - | - | - |
| 138 | Purchase/Lease Ambulance | 180,000 | - | - | 180,000 | - | - | - |
| 139 | Purchase Studio Recording Equipment | 113,000 | 113,000 | - | - | - | - | - |
| 140 | Purchase Garbage Truck Front Loader | 175,000 | 175,000 | - | - | - | - | - |
| 141 | Create Universal Nursing Unit - Hospital | 1,180,000 | - | - | 1,180,000 | - | - | - |
| 142 | Renovate College of Public Health Building | 6,057,000 | - | 6,057,000 | - | - | - | - |
| 143 | Lease Purchase Video Switch Expansion | 250,000 | - | - | 250,000 | - | - | - |
| 144 | Construct Facilities Support Bldg - Hospital | 14,728,000 | - | - | 14,728,000 | - | - | - |
| 145 | Purchase Scanning Electron Microscope | 700,000 | 350,000 | - | - | - | 350,000 | - |
| 146 | Replace Law Building Marble Facade | 930,000 | 930,000 | - | - | - | - | - |
| 147 | Purchase Angiography Unit | 1,740,000 | - | - | 1,740,000 | - | - | - |
| 148 | Purchase Integrated Imaging System | 130,000 | 130,000 | - | - | - | - | - |
| 149 | Replace Central Facilities Management System | 3,500,000 | - | 3,500,000 | - | - | - | - |
| 150 | Purchase Angiography Unit | 1,276,000 | - | - | 1,276,000 | - | - | - |
| 151 | Purchase DNA Microarray Facility | 300,000 | 300,000 | - | - | - | - | - |
| 152 | Replace Chemistry Physics Ductwork | 2,200,000 | - | 2,200,000 | - | - | - | - |
| 153 | Upgrade Outpt Surgical Suite - Hospital | 2,500,000 | - | - | 2,500,000 | - | - | - |
| 154 | Purchase Three Ultrasound Units | 450,000 | 450,000 | - | - | - | - | - |
| 155 | Replace Central Fire Alarm System | 2,500,000 | - | 2,500,000 | - | - | - | - |
| 156 | Purchase Gamma Knife | 2,330,000 | - | - | 2,330,000 | - | - | - |
| 157 | Purchase Focused Ion Beam Machine (FIB) | 500,000 | 250,000 | - | - | - | 250,000 | - |
| 158 | Improve Central Heating Plant | 4,860,000 | - | 4,860,000 | - | - | - | - |
| 159 | Modify Nursing Unit XI - Hospital | 1,390,000 | - | - | 1,390,000 | - | - | - |
| 160 | Purchase Network Infrastructure Restructuring | 160,000 | 160,000 | - | - | - | - | - |
| 161 | Purchase Cardiac Cath. Image Mgmt. Sys. | 957,000 | - | - | 957,000 | - | - | - |
| 162 | Construct Multi-Care Clinic Building | 28,452,000 | - | - | 28,452,000 | - | - | - |
| 163 | Improve Storm Sewer Funkhouser | 1,225,000 | - | 1,225,000 | - | - | - | - |
| 164 | Modify Nursing Unit XII - Hospital | 4,806,000 | - | - | 4,806,000 | - | - | - |
| 165 | Purchase GIS Remote Sensing Teaching Lab | 160,000 | 160,000 | - | - | - | - | - |
| 166 | Install Chilled Water Pipe-Clg 2 to Pit | 1,500,000 | - | 1,500,000 | - | - | - | - |
| 167 | Purchase Radiation Therapy Unit Upgrade | 400,000 | - | - | 400,000 | - | - | - |
| 168 | Purchase 500 MHz NMR Spectrometers | 1,000,000 | - | 1,000,000 | - | - | - | - |
| 169 | Install Cooling Secondary Pumping | 2,800,000 | - | 2,800,000 | - | - | - | - |
| 170 | Construct Imaging Facility - Hospital | 10,079,000 | - | - | 10,079,000 | - | - | - |
| 171 | Purchase Automated DNA Sequencer | 130,000 | 130,000 | - | - | - | - | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 172 | Replace Cooling Plant Chillers | 6,000,000 | - | 6,000,000 | - | - | - | - |
| 173 | Purchase Biplane Angiography | 1,160,000 | - | - | 1,160,000 | - | - | - |
| 174 | Purchase Redundant Disk Server System | 170,000 | 170,000 | - | - | - | - | - |
| 175 | Replace Master Clock and Bell System | 1,750,000 | - | 1,750,000 | - | - | - | - |
| 176 | Upgrade Cancer Ctr Radiologic Svcs - Hospital | 6,000,000 | - | - | 6,000,000 | - | - | - |
| 177 | Purchase High Resolution Laser System | 350,000 | 350,000 | - | - | - | - | - |
| 178 | Repair Concrete Phase I General Campus | 750,000 | 750,000 | - | - | - | - | - |
| 179 | Purchase Nuclear Medicine Camera | 1,000,000 | - | - | 1,000,000 | - | - | - |
| 180 | Renovate Imaging Center in Ky Clinic | 4,590,000 | - | - | - | 4,590,000 | - | - |
| 181 | Repair Blacktop Phase I General Campus | 750,000 | 750,000 | - | - | - | - | - |
| 182 | Construct Cancer Urgent Treatment Fac - Hospital | 12,728,000 | - | - | 12,728,000 | - | - | - |
| 183 | Purchase Confocal Microscope | 250,000 | 250,000 | - | - | - | - | - |
| 184 | Upgrade Electrical Substation | 4,500,000 | - | 4,500,000 | - | - | - | - |
| 185 | Purchase Epilepsy Monitoring System | 500,000 | - | - | 500,000 | - | - | - |
| 186 | Purchase Cryoprobe for a 600 MHz NMR | 200,000 | 200,000 | - | - | - | - | - |
| 187 | Install Chilled Water Pipe To South Campus | 6,000,000 | - | 6,000,000 | - | - | - | - |
| 188 | Upgrade Surgical Suite - Hospital | 2,945,000 | - | - | 2,945,000 | - | - | - |
| 189 | Purchase HPLC | 145,000 | 145,000 | - | - | - | - | - |
| 190 | Install Chilled Water Additions General Campus | 1,100,000 | - | 1,100,000 | - | - | - | - |
| 191 | Purchase Open MRI Unit | 1,000,000 | - | - | 1,000,000 | - | - | - |
| 192 | Purchase Facscan for Flow Cytometry | 140,000 | 140,000 | - | - | - | - | - |
| 193 | Replace High Voltage Wiring | 775,000 | 775,000 | - | - | - | - | - |
| 194 | Construct Radiation Medicine Facility - Hospital | 6,069,000 | - | - | 6,069,000 | - | - | - |
| 195 | Purchase Fluorescent Cell Sorter | 200,000 | 200,000 | - | - | - | - | - |
| 196 | Replace McVey Hall HVAC | 3,520,000 | - | 3,520,000 | - | - | - | - |
| 197 | Purchase Radiology Information System | 800,000 | - | - | 800,000 | - | - | - |
| 198 | Purchase Laser Photoelectron System | 280,000 | 280,000 | - | - | - | - | - |
| 199 | Replace Mathews Building HVAC | 1,438,000 | - | 1,438,000 | - | - | - | - |
| 200 | Upgrade Transport Systems V - Hospital | 800,000 | - | - | 800,000 | - | - | - |
| 201 | Purchase Dedicated Supercomputer | 330,000 | 330,000 | - | - | - | - | - |
| 202 | Replace HVAC Slone Building | 2,917,000 | - | 2,917,000 | - | - | - | - |
| 203 | Purchase RIS (Quadris) Upgrade | 500,000 | - | - | 500,000 | - | - | - |
| 204 | Purchase Gas-Source Isotope-Ratio Mass Spect | 100,000 | 100,000 | - | - | - | - | - |
| 205 | Replace HVAC Kastle Hall | 3,100,000 | - | 3,100,000 | - | - | - | - |
| 206 | Expand Operating Room Suites - Hospital | 3,559,000 | - | - | 3,559,000 | - | - | - |
| 207 | Purchase Physiology Workstation | 101,000 | 101,000 | - | - | - | - | - |
| 208 | Replace Fine Arts HVAC | 4,500,000 | - | 4,500,000 | - | - | - | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 209 | Purchase C-Arm X-Ray Unit | 275,000 | - | - | 275,000 | - | - | - |
| 210 | Purchase DNA Sequencer | 135,000 | 135,000 | - | - | - | - | - |
| 211 | Replace Three Elevators MI King South | 1,130,000 | - | 1,130,000 | - | - | - | - |
| 212 | Purchase C-Arm X-Ray Unit | 440,000 | - | - | 440,000 | - | - | - |
| 213 | Purchase Ultra High Vacuum System | 250,000 | 250,000 | - | - | - | - | - |
| 214 | Renovate Barker Hall | 7,605,000 | - | 7,605,000 | - | - | - | - |
| 215 | Upgrade Building/Site IV - Hospital | 800,000 | - | - | 800,000 | - | - | - |
| 216 | Add Centralized Emergency Generator | 5,542,000 | - | 5,542,000 | - | - | - | - |
| 217 | Purchase Cardiac Ultrasound | 1.600.000 | - | - | 1.600.000 | - | - | - |
| 218 | Purchase 300 MHz Console | 300,000 | 300,000 | - | - | - | - | - |
| 219 | Expand Plant Capacity Infrastructure | 25,500,000 | - | 25,500,000 | - | - | - | - |
| 220 | Upgrade HVAC II - Hospital | 3,500,000 | - | - | 3,500,000 | - | - | - |
| 221 | Renovate Imaging Center, I | 706,000 | - | - | 706,000 | - | - | - |
| 222 | Purchase CR PAC Server | 275,000 | - | - | 275,000 | - | - | - |
| 223 | Purchase Shared Desktop Environment | 250,000 | 250,000 | - | - | - | - | - |
| 224 | Replace Holmes Elevator | 740,000 | - | - | - | 740,000 | - | - |
| 225 | Construct Radiation Med Facility II - Hospital | 2,955,000 | - | - | 2,955,000 | - | - | - |
| 226 | Construct Library Depository Facility | 6,415,000 | - | 2,915,000 | - | - | 3,500,000 | - |
| 227 | Lease Purchase UK/UofL/Frankfort Research Network | 6,000,000 | - | - | 6,000,000 | - | - | - |
| 228 | Purchase Electrophysiology Lab | 5,800,000 | - | - | 5,800,000 | - | - | - |
| 229 | Purchase Thermal Ionization Mass Spectrometer | 650,000 | 650,000 | - | - | - | - | - |
| 230 | Lease Purchase ERP System | 40,000,000 | - | - | 40,000,000 | - | - | - |
| 231 | Upgrade Utility Systems VI - Hospital | 1,500,000 | - | - | 1,500,000 | - | - | - |
| 232 | Purchase DNA Sequencer | 125,000 | 125,000 | - | - | - | - | - |
| 233 | Replace Steam Line MC Htg - Hosp Drive Pit 2 | 2,114,000 | - | 2,114,000 | - | - | - | - |
| 234 | Purchase EMG Unit | 250,000 | - | - | 250,000 | - | - | - |
| 235 | Renovate Research Labs in Med Center, III | 2,000,000 | - | 2,000,000 | - | - | - | - |
| 236 | Replace Steam Line Lime Tunnel - Main Gate Pit | 3,100,000 | - | 3,100,000 | - | - | - | - |
| 237 | Purchase Filmless Radiation System | 150,000 | - | - | 150,000 | - | - | - |
| 238 | Purchase DNA Chip Analysis System | 160,000 | 160,000 | - | - | - | - | - |
| 239 | Replace Steam Line Lime Tunnel - POT Tunnel | 1,060,000 | - | 1,060,000 | - | - | - | - |
| 240 | Replace AHU I - Hospital | 16,165,000 | - | - | 16,165,000 | - | - | - |
| 241 | Renovate Research Labs in Med Center, I | 1,500,000 | - | 1,500,000 | - | - | - | - |
| 242 | Install Steam Line BBSRB - Old Main Gate Pit | 6,865,000 | - | 6,865,000 | - | - | - | - |
| 243 | Purchase Scanning Dosimetry System | 100,000 | - | - | 100,000 | - | - | - |
| 244 | Purchase HPLC Mass Spectrometer | 400,000 | 400,000 | - | - | - | - | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 245 | Replace Steam Line Main Gate Pit-Anderson Pit | 2,750,000 | - | 2,750,000 | - | - | - | - |
| 246 | Replace AHU I - Roach | 1,200,000 | - | - | 1,200,000 | - | - | - |
| 247 | Renovate Imaging Center, II | 1,257,000 | - | - | 1,257,000 | - | - | - |
| 248 | Replace Steam Line Kastle -Chem/Phys Pit 28 | 775,000 | 775,000 | | - | - | - | - |
| 249 | Purchase MC Treatment Planning | 150,000 | - | - | 150,000 | - | - | - |
| 250 | Purchase Two Digital Radiology Units | 1,100,000 | - | 1,100,000 | - | - | - | - |
| 251 | Install Pollution Controls | 1,900,000 | - | 1,900,000 | - | - | - | - |
| 252 | Replace AHU II - Roach | 1,200,000 | - | - | 1,200,000 | - | - | - |
| 253 | Renovate Research Labs in Med Center, IV | 2,500,000 | - | 2,500,000 | - | - | - | - |
| 254 | Capital Renewal Maintenance Pool Phase 1 | 31,607,000 | - | 31,607,000 | - | - | - | - |
| 255 | Purchase Pneumatic Tube System Upgrade | 750,000 | - | - | 750,000 | - | - | - |
| 256 | Purchase Phospho/Fluoro Imager | 150,000 | 150,000 | - | - | - | - | - |
| 257 | Construct Police & Parking and Transportation Bldg | 10,426,000 | - | - | 10,426,000 | - | - | - |
| 258 | Construct Cancer Hospice Facility - Hospital | 5,145,000 | - | - | 5,145,000 | - | - | - |
| 259 | Renovate Research Labs in Med. Center, II | 1,800,000 | - | 1,800,000 | - | - | - | - |
| 260 | Construct Cancer Education Facility - Hospital | 2,000,000 | - | - | 2,000,000 | - | - | - |
| 261 | Purchase Encapsulator | 151,000 | 151,000 | - | - | - | - | - |
| 262 | Improve Exterior Lighting, Phase I | 1,200,000 | - | 1,200,000 | - | - | - | - |
| 263 | Purchase Peds TE Echo Unit | 200,000 | - | - | 200,000 | - | - | - |
| 264 | Renovate Research Space in Med Center, I | 3,000,000 | - | 3,000,000 | - | - | - | - |
| 265 | Improve Oswald Building, Capital Renewal | 1,600,000 | - | 1,600,000 | - | - | - | - |
| 266 | Construct Cancer Infusion Suites - Hospital | 10,688,000 | - | - | 10,688,000 | - | - | - |
| 267 | Purchase DNA Sequencer/Genetic Analyzer | 110,000 | 110,000 | - | - | - | - | - |
| 268 | Improve Spindletop Hall Facilities, Capital Renewal | 2,450,000 | - | | 2,450,000 | - | - | - |
| 269 | Purchase External Systems Monitoring | 100,000 | 100,000 | - | - | - | - | - |
| 270 | Install Steam Line – Taylor Bldg to Transportation Bldg | 6,725,000 | - | 6,725,000 | - | - | - | - |
| 271 | Construct Remote Cancer Clinic - Hospital | 12,880,000 | - | - | 12,880,000 | - | - | - |
| 272 | Purchase Nucleic Acid Workstation | 150,000 | 150,000 | - | - | - | - | - |
| 273 | Install Steam Line Blazer to Singletary Center | 5,275,000 | - | 5,275,000 | - | - | - | - |
| 274 | Purchase Angiography Unit | 2,000,000 | - | - | 2,000,000 | - | - | - |
| 275 | Purchase X-Ray Laue Unit-Single Crystal | 150,000 | 150,000 | - | - | - | - | - |
| 276 | Renovate Parking Structure #3 | 2,500,000 | - | 2,500,000 | - | - | - | - |
| 277 | Construct Physicians Svcs Facilities - Hospital | 2,000,000 | - | - | 2,000,000 | - | - | - |
| 278 | Purchase CT Scanners | 650,000 | 650,000 | - | - | - | - | - |
| 279 | Replace Agr North primary electrical service | 1,000,000 | - | - | 1,000,000 | - | - | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 280 | Upgrade Information Systems Svcs - Hospital | 4,206,000 | - | - | 4,206,000 | - | - | - |
| 281 | Purchase Flow Cytometer | 108,000 | 108,000 | - | - | - | - | - |
| 282 | Construct Alumni Roundabouts | 2,630,000 | - | - | 2,630,000 | - | - | - |
| 283 | Purchase Digital Radiographic Unit | 1,800,000 | - | - | 1,800,000 | - | - | - |
| 284 | Purchase Helium Liquefier and Recovery System | 500,000 | 500,000 | - | - | - | - | - |
| 285 | Replace Apartment Housing | 142,382,000 | - | - | - | 142,382,000 | - | - |
| 286 | Upgrade Diagnostic Radiology - Hospital | 3,530,000 | - | - | 3,530,000 | - | - | - |
| 287 | Purchase Oxymax Open Circuit Calorimeter | 130,000 | 130,000 | - | - | - | - | - |
| 288 | Upgrade Bldg. Entrances Safety & Security | 1,100,000 | - | 1,100,000 | - | - | - | - |
| 289 | Purchase Nuclear Medicine Upgrade | 900,000 | - | - | 900,000 | - | - | - |
| 290 | Purchase Inductive Coupled Spec Sys | 120,000 | 120,000 | - | - | - | - | - |
| 291 | Upgrade Fume Hood in Sanders Brown-Life Safety | 2,600,000 | - | 2,600,000 | - | - | - | - |
| 292 | Renovate Dietetics - Hospital | 6,000,000 | - | - | 6,000,000 | - | - | - |
| 293 | Purchase Analytical Biosensor | 295,000 | 295,000 | - | - | - | - | - |
| 294 | Purchase Web Imaging Product | 500,000 | - | - | 500,000 | - | - | - |
| 295 | Purchase DNA Sequencer/Genetic Analyzer | 121,000 | 121,000 | - | - | - | - | - |
| 296 | Upgrade Communications Services | 1,126,000 | - | - | 1,126,000 | - | - | - |
| 297 | Purchase Automated Nucleic Acid Extraction & PCR | 150,000 | 150,000 | - | - | - | - | - |
| 298 | Purchase Interoperative CT | 1,100,000 | - | - | 1,100,000 | - | - | - |
| 299 | Purchase Laser Based Total Image Analysis System | 113,000 | 113,000 | - | - | - | - | - |
| 300 | Construct Business Facility II - Hospital | 14,082,000 | - | - | 14,082,000 | - | - | - |
| 301 | Renovate Faculty Office Space in Med. Center | 742,000 | 742,000 | - | - | - | - | - |
| 302 | Purchase Adult Echocardiology Unit | 200,000 | - | - | 200,000 | - | - | - |
| 303 | Purchase Mass Spectrometer | 200,000 | 200,000 | - | - | - | - | - |
| 304 | Construct Outpt Care Fac II - Hospital | 11,157,000 | - | - | 11,157,000 | - | - | - |
| 305 | Renovate Erikson Hall | 7,465,000 | - | 7,465,000 | - | - | - | - |
| 306 | Purchase Adult Echocardiology Unit | 200,000 | - | - | 200,000 | - | - | - |
| 307 | Purchase MRI Scanners | 3,600,000 | - | 3,600,000 | - | - | - | - |
| 308 | Construct Outpt Diag/Treat Fac II - Hospital | 24,271,000 | - | - | 24,271,000 | - | - | - |
| 309 | Purchase Confocal Microscope | 600,000 | 600,000 | - | - | - | - | - |
| 310 | Purchase Peds Echocardiology Probe | 200,000 | - | - | 200,000 | - | - | - |
| 311 | Expand West Kentucky Research & Education Ctr. | 4,000,000 | - | 4,000,000 | - | - | - | - |
| 312 | Construct Bldg Connectors III - Hospital | 3,059,000 | - | - | 3,059,000 | - | - | - |
| 313 | Purchase Fluorescence Activ. Cell Sorter | 220,000 | 220,000 | - | - | - | - | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 314 | Purchase Diagnostic Radiology Unit | 330,000 | - | - | 330,000 | - | - | - |
| 315 | Purchase Ultrasound Units | 150,000 | 150,000 | - | - | - | - | - |
| 316 | Construct Primary Care Ctr II - Hospital | 17,237,000 | - | - | 17,237,000 | - | - | - |
| 317 | Purchase HPLC/Mass Spectrophotometer System | 300,000 | 300,000 | - | - | - | - | - |
| 318 | Purchase Digital Enhancement | 1,085,000 | - | - | 1,085,000 | - | - | - |
| 319 | Purchase Two Digital Radiology Units | 1,100,000 | - | 1,100,000 | - | - | - | - |
| 320 | Construct Patient Care Fac II | 15,909,000 | - | - | 15,909,000 | - | - | - |
| 321 | Renovate Bradley Hall | 6,391,000 | - | 6,391,000 | - | - | - | - |
| 322 | Purchase Digital Imaging | 957,000 | - | - | 957,000 | - | - | - |
| 323 | Purchase Laser Capture Microdissection System | 126,000 | 126,000 | - | - | - | - | - |
| 324 | Upgrade Nutrition Services II - Hospital | 1,278,000 | - | - | 1,278,000 | - | - | - |
| 325 | Purchase Liquid Filling/Stoppering Line | 351,000 | 351,000 | - | - | - | - | - |
| 326 | Purchase EKG Unit | 440,000 | - | - | 440,000 | - | - | - |
| 327 | Purchase Four PACS Workstations | 480,000 | 480,000 | - | - | - | - | - |
| 328 | Upgrade Support Services II - Hospital | 1,000,000 | - | - | 1,000,000 | - | - | - |
| 329 | Purchase Plant/Microbial Growth Chamber | 100,000 | 100,000 | - | - | - | - | - |
| 330 | Purchase EKG Unit | 400,000 | - | - | 400,000 | - | - | - |
| 331 | Construct Gluck Equine Research Center - Phase II | 39,407,000 | - | 37,907,000 | - | - | - | 1,500,000 |
| 332 | Expand Data Systems III - Hospital | 700,000 | - | - | 700,000 | - | - | - |
| 333 | Purchase Semi-Solid Manufacturing Equip. | 211,000 | 211,000 | - | - | - | - | - |
| 334 | Lease Purchase Equipment Pool | 5,030,000 | - | - | 5,030,000 | - | - | - |
| 335 | Purchase Confocal Microscope | 500,000 | 500,000 | - | - | - | - | - |
| 336 | Implement Land Use Plan IV - Hospital | 2,500,000 | - | - | 2,500,000 | - | - | - |
| 337 | Purchase Two Mammography Units | 900,000 | 900,000 | - | - | - | - | - |
| 338 | Purchase Endoscopic Ultrasound | 440,000 | - | - | 440,000 | - | - | - |
| 339 | Purchase LCMS Instrument System | 225,000 | 225,000 | - | - | - | - | - |
| 340 | Upgrade Diagnostic Services XII - Hospital | 1,000,000 | - | - | 1,000,000 | - | - | - |
| 341 | Purchase Terminal Sterilizing Autoclave | 221,000 | 221,000 | - | - | - | - | - |
| 342 | Purchase Endoscopic Video System | 300,000 | - | - | 300,000 | - | - | - |
| 343 | Expand Lafferty Hall | 6,765,000 | - | 6,765,000 | - | - | - | - |
| 344 | Construct Outpatient Svs. III - Hospital | 10,775,000 | - | - | 10,775,000 | - | - | - |
| 345 | Purchase Breast Ultrasound Unit | 120,000 | 120,000 | - | - | - | - | - |
| 346 | Purchase Endoscopic Video Ultrasound | 275,000 | - | - | 275,000 | - | - | - |
| 347 | Purchase Transmission Elec. Microscope | 250,000 | 250,000 | - | - | - | - | - |
| 348 | Upgrade Diagnostic Serv XI - Hospital | 1,500,000 | - | - | 1,500,000 | - | - | - |
| 349 | Purchase Plot Combine | 130,000 | 130,000 | - | - | - | - | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 350 | Purchase Intracardiac Laser | 550,000 | - | - | 550,000 | - | - | - |
| 351 | Purchase Ovarian Cancer Ultrasound | 150,000 | 150,000 | - | - | - | - | - |
| 352 | Renovate Medical Records Suite I - Hospital | 700,000 | - | - | 700,000 | - | - | - |
| 353 | Purchase Plant/Microbial Growth Chamber | 100,000 | 100,000 | - | - | - | - | - |
| 354 | Purchase Intracardiac Laser | 500,000 | - | - | 500,000 | - | - | - |
| 355 | Construct HES Facility | 23,285,000 | - | 23,285,000 | - | - | - | - |
| 356 | Implement Energy Performance Contracting | - | - | - | - | - | - | - |
| 357 | Purchase Digital Radiology Unit | 550,000 | 550,000 | - | - | - | - | - |
| 358 | Purchase Image Guided Surgery System | 600,000 | - | - | 600,000 | - | - | - |
| 359 | Purchase Quadrapole Mass Spec. | 360,000 | 360,000 | - | - | - | - | - |
| 360 | Purchase Laboratory Analyzer | 500,000 | - | - | 500,000 | - | - | - |
| 361 | Purchase Two Pacs Workstations | 240,000 | 240,000 | - | - | - | - | - |
| 362 | Purchase OB Ultrasound | 350,000 | - | - | 350,000 | - | - | - |
| 363 | Purchase Combustion Analyzer Systems | 115,000 | 115,000 | - | - | - | - | - |
| 364 | Purchase Patient System Enterprise | 4,640,000 | - | - | 4,640,000 | - | - | - |
| 365 | Purchase Radiology Information Center | 300,000 | 300,000 | - | - | - | - | - |
| 366 | Purchase QuadRIS Upgrade | 300,000 | - | - | 300,000 | - | - | - |
| 367 | Construct UK Paducah Engineering Research Center | 1,230,000 | - | 1,230,000 | - | - | - | - |
| 368 | Purchase Mobile Fluoroscopic Unit | 250,000 | - | - | 250,000 | - | - | - |
| 369 | Purchase Plot Combine | 125,000 | 125,000 | - | - | - | - | - |
| 370 | Purchase Rad. Med. Software/System | 350,000 | - | - | 350,000 | - | - | - |
| 371 | Purchase Plant/Microbial Growth Chamber | 100,000 | 100,000 | - | - | - | - | - |
| 372 | Purchase C-Arm X-Ray Unit | 350,000 | - | - | 350,000 | - | - | - |
| 373 | Purchase DNA Chip Analysis System | 160,000 | 160,000 | - | - | - | - | - |
| 374 | Purchase Washer | 350,000 | - | - | 350,000 | - | - | - |
| 375 | Purchase Dual Photon Confocal Microscope | 300,000 | 300,000 | - | - | - | - | - |
| 376 | Purchase Mobile Radiology Unit | 250,000 | - | - | 250,000 | - | - | - |
| 377 | Purchase Bioinformatics Analysis Equipment | 150,000 | 150,000 | - | - | - | - | - |
| 378 | Purchase Vascular Ultrasound | 900,000 | - | - | 900,000 | - | - | - |
| 379 | Construct KY Transportation Center Building | 28,122,000 | - | 22,122,000 | 2,000,000 | - | 2,500,000 | 1,500,000 |
| 380 | Purchase MRI Upgrade | 500,000 | - | - | 500,000 | - | - | - |
| 381 | Purchase Forage Harvester System | 150,000 | 150,000 | - | - | - | - | - |
| 382 | Purchase Vascular Ultrasound | 300,000 | - | - | 300,000 | - | - | - |
| 383 | Purchase 3-D Ultrasound Machine | 200,000 | 200,000 | - | - | - | - | - |
| 384 | Purchase Upgrade for Servers | 800,000 | - | - | 800,000 | - | - | - |
| 385 | Purchase Plot Combine w/Weighing System | 135,000 | 135,000 | - | - | - | - | - |
| 386 | Purchase Upgrade - HIS Computing Facil. | 2,900,000 | - | - | 2,900,000 | - | - | - |
| 387 | Purchase Confocal Microscope | 346,000 | 346,000 | - | - | - | - | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 388 | Purchase Surgical C-Arm(ISS)System | 650,000 | - | - | 650,000 | - | - | - |
| 389 | Purchase 2D-Electrophoresis Set-up | 238,000 | 238,000 | - | - | - | - | - |
| 390 | Purchase Radiographic Unit | 350,000 | - | - | 350,000 | - | - | - |
| 391 | Construct University Conference Center | 24,233,000 | - | - | 24,233,000 | - | - | - |
| 392 | Purchase Radiographic Unit | 400,000 | - | - | 400,000 | - | - | - |
| 393 | Purchase Transmission Elec. Microscope | 375,000 | 375,000 | - | - | - | - | - |
| 394 | Purchase Radiology Ultrasound | 440,000 | - | - | 440,000 | - | - | - |
| 395 | Purchase DNA Sequencer | 420,000 | 420,000 | - | - | - | - | - |
| 396 | Purchase Ultrasound Image Management | 800,000 | - | - | 800,000 | - | - | - |
| 397 | Purchase Fluorescent Scope and Auto | 120,000 | 120,000 | - | - | - | - | - |
| 398 | Purchase Laboratory Analyzer | 200,000 | - | - | 200,000 | - | - | - |
| 399 | Purchase High Resolution Phosphor Imager | 235,000 | 235,000 | - | - | - | - | - |
| 400 | Purchase Genetic Analyzer | 200,000 | - | - | 200,000 | - | - | - |
| 401 | Purchase Axiovision | 100,000 | 100,000 | - | - | - | - | - |
| 402 | Purchase HDR Brachy Therapy System | 350,000 | - | - | 350,000 | - | - | - |
| 403 | Upgrade Sound and Lighting for Singletary Center | 1,000,000 | - | 1,000,000 | - | - | - | - |
| 404 | Purchase Interoperative MRI | 1,500,000 | - | - | 1,500,000 | - | - | - |
| 405 | Purchase Neuroangiography Unit | 1,800,000 | - | - | 1,800,000 | - | - | - |
| 406 | Purchase Camera for Transmission/Scanning | 105,000 | 105,000 | - | - | - | - | - |
| 407 | Purchase Magneoencephalogy Unit | 2,100,000 | - | - | 2,100,000 | - | - | - |
| 408 | Purchase Ultrasound Units | 840,000 | - | - | 840,000 | - | - | - |
| 409 | Purchase Digital Radiology | 1,020,000 | - | - | 1,020,000 | - | - | - |
| 410 | Purchase Ultracentrifuge | 110,000 | 110,000 | - | - | - | - | - |
| 411 | Purchase Digital Radiology | 4,060,000 | - | - | 4,060,000 | - | - | - |
| 412 | Renovate Dentistry Class Lab | 1,475,000 | - | 1,475,000 | - | - | - | - |
| 413 | Purchase Fluoroscopy Unit | 550,000 | - | - | 550,000 | - | - | - |
| 414 | Purchase Gen. Rad./Fluoroscopic Unit | 500,000 | - | - | 500,000 | - | - | - |
| 415 | Purchase Confocal Microscope | 300,000 | 300,000 | - | - | - | - | - |
| 416 | Purchase Linear Accelerator | 2,050,000 | - | - | 2,050,000 | - | - | - |
| 417 | Purchase Mass Spectrometer | 450,000 | 450,000 | - | - | - | - | - |
| 418 | Purchase Portal Imaging System | 200,000 | - | - | 200,000 | - | - | - |
| 419 | Purchase Robotics Pipetter System | 104,000 | 104,000 | - | - | - | - | - |
| 420 | Purchase CT Scanner | 1,000,000 | - | - | 1,000,000 | - | - | - |
| 421 | Purchase DNA Sequencer Machine | 125,000 | 125,000 | - | - | - | - | - |
| 422 | Purchase MR Monitoring Equipment | 100,000 | - | - | 100,000 | - | - | - |
| 423 | Renovate King Library South - 1962 Section | 21,744,000 | - | 21,744,000 | - | - | - | - |
| 424 | Purchase Portal Imaging System | 250,000 | - | - | 250,000 | - | - | - |
| 425 | Purchase Mouse PET Scanner | 385,000 | 385,000 | - | - | - | - | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 426 | Purchase Gen. Rad./Fluoroscopic Unit | 550,000 | - | - | 550,000 | - | - | - |
| 427 | Purchase Real Time PCR Machine | 165,000 | 165,000 | - | - | - | - | - |
| 428 | Purchase Digital Orbitor Camera | 275,000 | - | - | 275,000 | - | - | - |
| 429 | Purchase Genesis Workstation | 425,000 | 425,000 | - | - | - | - | - |
| 430 | Purchase CT Simulator | 1,200,000 | - | - | 1,200,000 | - | - | - |
| 431 | Purchase DNA Sequencer | 420,000 | 420,000 | - | - | - | - | - |
| 432 | Purchase Accelerator | 1,600,000 | - | - | 1,600,000 | - | - | - |
| 433 | Purchase Microscope with Imaging | 135,000 | 135,000 | - | - | - | - | - |
| 434 | Purchase Teleradiology | 200,000 | - | - | 200,000 | - | - | - |
| 435 | Purchase SPECT System | 1,000,000 | - | - | 1,000,000 | - | - | - |
| 436 | Purchase ORCA Robot-on-Rail | 100,000 | 100,000 | - | - | - | - | - |
| 437 | Purchase Mobile MRI | 1,500,000 | - | - | 1,500,000 | - | - | - |
| 438 | Purchase Behav. Monitor. & Analysis Sys. | 165,000 | 165,000 | - | - | - | - | - |
| 439 | Purchase CR Readers | 750,000 | - | - | 750,000 | - | - | - |
| 440 | Purchase Information & Decision Management Station | 100,000 | 100,000 | - | - | - | - | - |
| 441 | Purchase CR Reader | 300,000 | - | - | 300,000 | - | - | - |
| 442 | Purchase Chain Reaction Analyzer | 150,000 | 150,000 | - | - | - | - | - |
| 443 | Purchase ATL Ultrasound | 220,000 | - | - | 220,000 | - | - | - |
| 444 | Purchase Digital Nanochip Enzyme Sequencing Machine | 500,000 | 500,000 | - | - | - | - | - |
| 445 | Purchase CT Scanner | 1,914,000 | - | - | 1,914,000 | - | - | - |
| 446 | Purchase Nanochip System | 350,000 | 350,000 | - | - | - | - | - |
| 447 | Purchase CT Simulator | 1,160,000 | - | - | 1,160,000 | - | - | - |
| 448 | Purchase Compressed Video-Hazard | 141,000 | 141,000 | - | - | - | - | - |
| 449 | Purchase CT/PET Simulator | 2,000,000 | - | - | 2,000,000 | - | - | - |
| 450 | Purchase Multiplex QPRC System | 100,000 | 100,000 | - | - | - | - | - |
| 451 | Purchase CT/PET Simulator | 4,000,000 | - | - | 4,000,000 | - | - | - |
| 452 | Purchase Electron Microscope | 355,000 | 355,000 | - | - | - | - | - |
| 453 | Purchase Clinical System Enterprise | 5,800,000 | - | - | 5,800,000 | - | - | - |
| 454 | Purchase RevPrep Orbit Workstation | 100,000 | 100,000 | - | - | - | - | - |
| 455 | Purchase Computing Infrastructure Update | 2,500,000 | - | - | 2,500,000 | - | - | - |
| 456 | Purchase Data Storage Facility Upgrade | 750,000 | - | - | 750,000 | - | - | - |
| 457 | Purchase MegaPix2 | 300,000 | 300,000 | - | - | - | - | - |
| 458 | Purchase Dig. Medical Record Expansion | 4,640,000 | - | - | 4,640,000 | - | - | - |
| 459 | Purchase GelPix | 300,000 | 300,000 | - | - | - | - | - |
| 460 | Purchase Intraoperative Radiation Therapy | 1,300,000 | - | - | 1,300,000 | - | - | - |
| 461 | Purchase Typhoon Variable Mode Imager | 118,000 | 118,000 | - | - | - | - | - |
| 462 | Purchase Managed Care Enterprise | 1,160,000 | - | - | 1,160,000 | - | - | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 463 | Renovate Clinical Teaching Space in Nursing | 1,220,000 | - | - | 1,220,000 | - | - | - |
| 464 | Purchase Minimally Invasive Room | 1,700,000 | - | - | 1,700,000 | - | - | - |
| 465 | Purchase OR Periop. IS Doc.Syst. Upgrade | 150,000 | - | - | 150,000 | - | - | - |
| 466 | Purchase Flow Cytometry Lab Equipment | 425,000 | 425,000 | - | - | - | - | - |
| 467 | Purchase Steam Autoclave | 450,000 | - | - | 450,000 | - | - | - |
| 468 | Renovate Research Space in Med Science | 12,400,000 | - | 12,400,000 | - | - | - | - |
| 469 | Purchase Sterrad Sterilizer | 450,000 | - | - | 450,000 | - | - | - |
| 470 | Renovate Cooper House | 960,000 | - | 960,000 | - | - | - | - |
| 471 | Purchase Surgical Laser | 500,000 | - | - | 500,000 | - | - | - |
| 472 | Purchase Inverted Scope | 110,000 | 110,000 | - | - | - | - | - |
| 473 | Purchase Surgical Microscope | 500,000 | - | - | 500,000 | - | - | - |
| 474 | Purchase Laser Confocal Microscope | 312,000 | 312,000 | - | - | - | - | - |
| 475 | Purchase Data Storage Equip & Software I | 500,000 | - | - | 500,000 | - | - | - |
| 476 | Purchase Multiphoton Scanning Microscope | 300,000 | 300,000 | - | - | - | - | - |
| 477 | Purchase Telecommunications Equipment I | 250,000 | - | - | 250,000 | - | - | - |
| 478 | Purchase Open MRI Unit | 1,000,000 | - | 1,000,000 | - | - | - | - |
| 479 | Purchase PACS Data Storage Equip & Software | 500,000 | - | - | 500,000 | - | - | - |
| 480 | Purchase Patient Classification Equipment | 260,000 | 260,000 | - | - | - | - | - |
| 481 | Purchase IS Security Equipment I | 150,000 | - | - | 150,000 | - | - | - |
| 482 | Purchase Sequence Detection System | 110,000 | 110,000 | - | - | - | - | - |
| 483 | Purchase Data Center Printers I | 350,000 | - | - | 350,000 | - | - | - |
| 484 | Purchase Data Storage Equip & Software II | 250,000 | - | - | 250,000 | - | - | - |
| 485 | Purchase Ultracentrifuge | 117,000 | 117,000 | - | - | - | - | - |
| 486 | Purchase Telecommunications Equipment II | 200,000 | - | - | 200,000 | - | - | - |
| 487 | Purchase X-ray Defractometer | 700,000 | 700,000 | - | - | - | - | - |
| 488 | Purchase Mainframe Computer | 400,000 | - | - | 400,000 | - | - | - |
| 489 | Purchase Compact Shelving for Med Center Library | 550,000 | 550,000 | - | - | - | - | - |
| 490 | Purchase IS Security Equipment II | 150,000 | - | - | 150,000 | - | - | - |
| 491 | Purchase Fiber Channel Network System | 200,000 | 200,000 | - | - | - | - | - |
| 492 | Purchase Data Center Printers II | 300,000 | - | - | 300,000 | - | - | - |
| 493 | Purchase Linear Ion Trap Mass Spectrometer | 280,000 | 280,000 | - | - | - | - | - |
| 494 | Purchase Knowledge-based Transcription | 450,000 | - | - | 450,000 | - | - | - |
| 495 | Purchase 800 MHz Resolution Laser System | 2,600,000 | - | 2,600,000 | - | - | - | - |
| 496 | Purchase Knowledge-based Charting System | 400,000 | - | - | 400,000 | - | - | - |
| 497 | Purchase Mass Spectrometer | 125,000 | 125,000 | - | - | - | - | - |
| 498 | Purchase Consumer Web Interaction System | 400,000 | - | - | 400,000 | - | - | - |
| 499 | Construct Environmental Institute | 17,392,000 | - | 17,392,000 | - | - | - | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 500 | Purchase Data Storage Equip & Software III | 150,000 | - | - | 150,000 | - | - | - |
| 501 | Expand/Renovate CPST Facility | 3,500,000 | - | 3,500,000 | - | - | - | - |
| 502 | Purchase Telecommunications Equipment III | 150,000 | - | - | 150,000 | - | - | - |
| 503 | Renovate Carnahan House | 4,000,000 | - | - | - | 4,000,000 | - | - |
| 504 | Purchase Luminex System | 100,000 | 100,000 | - | - | - | - | - |
| 505 | Purchase Oxymax Integrated Metabolism System | 160,000 | 160,000 | - | - | - | - | - |
| 506 | Purchase Elemental Analysis System | 200,000 | 200,000 | - | - | - | - | - |
| 507 | Purchase Reactive Ion Etching | 180,000 | 180,000 | - | - | - | - | - |
| 508 | Purchase Focused Ion Milling/Patterning | 400,000 | 400,000 | - | - | - | - | - |
| 509 | Purchase Multi-Scanning Probe Microscope | 200,000 | 200,000 | - | - | - | - | - |
| 510 | Purchase Field-Emission SEM w/e-beam | 420,000 | 420,000 | - | - | - | - | - |
| 511 | Purchase Laser Digitizer | 125,000 | 125,000 | - | - | - | - | - |
| 512 | Purchase Stereolithography Printer/SLA | 350,000 | 350,000 | - | - | - | - | - |
| 513 | Purchase Z810 Z-Corp Machine | 200,000 | 200,000 | - | - | - | - | - |
| 514 | Purchase Sinterstation Hi Q SLS System | 250,000 | 250,000 | - | - | - | - | - |
| 515 | Purchase 4-Axis Machining Center | 125,000 | 125,000 | - | - | - | - | - |
| 516 | Purchase Blow Molding Machine | 150,000 | 150,000 | - | - | - | - | - |
| 517 | Purchase High Temp Tension/Torsion Testing Machine | 500,000 | 500,000 | - | - | - | - | - |
| 518 | Purchase Compact Shelving-Fine Arts Library | 500,000 | 500,000 | - | - | - | - | - |
| 519 | Purchase High Resolution Imaging System | 132,000 | 132,000 | - | - | - | - | - |
| 520 | Purchase Laser Capture Microdissection System | 242,000 | 242,000 | - | - | - | - | - |
| 521 | Purchase HPLC-Tandem Mass Spectrophotometer | 275,000 | 275,000 | - | - | - | - | - |
| 522 | Purchase Laboratory Environ. Monitoring System | 112,000 | 112,000 | - | - | - | - | - |
| 523 | Purchase 7T Small Animal High-Field MR Imager | 1,500,000 | - | 1,500,000 | - | - | - | - |
| 524 | Purchase PET/CT Scanner | 2,100,000 | - | 2,100,000 | - | - | - | - |
| 525 | Purchase Small Animal Scanner | 1,200,000 | - | 1,200,000 | - | - | - | - |
| 526 | Purchase Gradient Insert | 200,000 | 200,000 | - | - | - | - | - |
| 527 | Purchase Spectroscopy Package | 150,000 | 150,000 | - | - | - | - | - |
| 528 | Purchase Plot Combine with Weighing System | 220,000 | 220,000 | - | - | - | - | - |
| 529 | Purchase HPLC System | 120,000 | 120,000 | - | - | - | - | - |
| 530 | Purchase Transmission Elec. Microscope | 375,000 | 375,000 | - | - | - | - | - |
| 531 | Purchase Growth Chamber | 150,000 | 150,000 | - | - | - | - | - |
| 532 | Purchase ICP/AES/Mass Spectrometer | 150,000 | 150,000 | - | - | - | - | - |

## University of Kentucky
## 2006-2008 Capital Request

| Priority | Title | Scope | Proposed Fund Source | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | State General Funds | State Bonds | Agency Funds | Agency Bonds | Federal Funds | Other Funds (Private) |
| 533 | Purchase Robotic Platform | 120,000 | 120,000 | - | - | - | - | - |
| 534 | Purchase MSQ Mass Spectrometric Detector | 120,000 | 120,000 | - | - | - | - | - |
| 535 | Purchase Peds Echocardiology Unit | 200,000 | - | - | 200,000 | - | - | - |
| 536 | Purchase Upgrade for Scanner System | 500,000 | 500,000 | - | - | - | - | - |
| 537 | Purchase Comm. Infrastructure in Young Library | 1,014,000 | - | 1,014,000 | - | - | - | - |
| 538 | Construct Data Center | 20,000,000 | - | 20,000,000 | - | - | - | - |
| 539 | Expand Arboretum Visitor Center | 2,870,000 | - | - | - | - | - | 2,870,000 |
| 540 | Install Med. Center Chilled Water Loop | 700,000 | 700,000 | - | - | - | - | - |
| 541 | Lease Purchase UPS Upgrade for Communications | 800,000 | - | - | 800,000 | - | - | - |
| 542 | Upgrade Critical Care Center HVAC - Hospital | 7,649,000 | - | - | 7,649,000 | - | - | - |
| 543 | Renovate-Expand Boone Faculty Center | 6,200,000 | - | - | - | - | - | 6,200,000 |
| 544 | Renovate Central Vivarium | 3,000,000 | - | 1,500,000 | - | - | 1,500,000 | - |
| 545 | Expand Ambulatory Care Facilities | 20,000,000 | - | - | - | 20,000,000 | - | - |
| 546 | Upgrade Surgical Services | 4,500,000 | - | - | 4,500,000 | - | - | - |
| 547 | Replace Air Handling Units in Research # 1 | 1,935,000 | - | 1,935,000 | - | - | - | - |
| 548 | Purchase Biomek FX Liquid Handling Robot | 300,000 | 300,000 | | | | | |
| 549 | Upgrade Transport Systems - Med Ctr Campus | 1,000,000 | - | - | 1,000,000 | - | - | - |
| 550 | Upgrade AHUs - Med Ctr Campus | 2,000,000 | - | 2,000,000 | - | - | - | - |
| 551 | Expand Emergency Services | 6,100,000 | - | - | 6,100,000 | - | - | - |
| 552 | Purchase Two CT Scanners | 1,300,000 | - | 1,300,000 | - | - | - | - |
| 553 | Purchase Dentistry Patient Management System - Phase II | 3,000,000 | - | - | 3,000,000 | - | - | - |
| | **2006-2008 Total** | **2,981,644,000** | **51,511,000** | **1,637,680,000** | **663,377,000** | **503,171,000** | **20,660,000** | **105,245,000** |

# FCR 21

Office of the President
June 14, 2005

Members, Board of Trustees:

2005-06 OPERATING AND CAPITAL BUDGET

Recommendation: that the 2005-06 Operating and Capital Budget, including the authorization set forth in the letter of transmittal, be approved and ordered recorded as an integral part of the university's financial system with the necessary fiscal control being exercised for the collection and appropriation of income and for the expenditure of departmental appropriations in accordance with authorized fiscal policies and procedures and be accepted as a basis of maximum expenditures for fiscal year 2005-06.

Background: The 2005-06 Operating and Capital Budget of the University of Kentucky, including its affiliated corporations and the university hospital, is presented in detail as a separately bound document.

Please see
http://www.uky.edu/OPBPA/Budget/opgoal.html
to examine the document referred to in the
Background paragraph.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# SACR 1

Office of the President
June 14, 2005

Members, Board of Trustees:

CODE OF STUDENT CONDUCT REVISION

Recommendation: that the Board of Trustees approve the attached revision to the *Code of Student Conduct*, effective July 1, 2005.

Background: The *Code of Student Conduct* is the document in which the Board states the rules, procedures, rights, and responsibilities governing non-academic relationships between the University and students. The Code defines prohibited behavior and specifies the procedural due process to which students and organizations are entitled in the disciplinary process. The Code also specifies the sanctions that may be imposed when a student or an organization is found responsible for a violation.

The University of Kentucky currently operates with a *Code of Student Conduct* that was originally developed in the late 1960's/early 1970's period of student unrest. Over the years, the Code has been changed in a piecemeal fashion, often in response to situations or incidents that did not fit the process or parameters outlined within the Code.

Since the current Code's adoption, there has not been a complete review of the student discipline process at the University. In Fall 2002, the Student Code Committee began this review. The current Student Code Committee, consisting of UK students, faculty, and staff, evaluated the *Code of Student Conduct* and concluded that while it has served the University well over the past 30+ years, improvements were needed in a number of areas.

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Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

# CODE OF STUDENT CONDUCT

## Rules, Procedures, Rights and Responsibilities Governing Non-Academic Relationships

## ARTICLE I - UNIVERSITY RIGHTS OF STUDENTS

### *Introduction*

The University of Kentucky is an academic community in which all students, faculty, and staff share responsibility for its growth and continued welfare. As an academic community, the University strives to: 1) facilitate learning, informed by scholarship and research; 2) expand knowledge through research, scholarship and creative activity; and 3) serve a global community by disseminating, sharing and applying knowledge. Decisions and behavior in the community should be guided by the University's core values including: integrity; academic excellence and freedom; mutual respect and human dignity; diversity of thought, culture, gender and ethnicity; shared governance; a sense of community; sensitivity to work-life concerns; and civic responsibility. As members of this community, students can expect to be afforded certain basic rights and can also expect to be held accountable for certain basic responsibilities.

### *Right of Admission and Access*

1. An applicant for admission to the University shall not be discriminated against because of race, color, religion, sex, marital status, sexual orientation, national origin, age or beliefs. Moreover, no otherwise qualified person with a disability will be denied admission solely because of the person's disability.

2. An applicant for, or a recipient of, University financial aid, a University grant-in-aid, or a University scholarship, shall not be discriminated against because of race, color, religion, sex, marital status, sexual orientation, national origin, age or beliefs. Moreover, no otherwise qualified person with a disability will be denied financial aid solely because of the person's disability.

3. The University may delineate the purpose for which students may use certain facilities and shall make the facilities available on a fair and equitable basis. However, the University may restrict its facilities and services when their use would interfere with normal University operations.

4. The University will use its influence to secure equal access for all students to public facilities in the local community.

### *Freedom from Discrimination/Harassment*

5. All students shall be free from discrimination on the basis of race, color, religion, sex, marital status, sexual orientation, national origin, age, beliefs or disability.

6. All students shall be free from sexual harassment by University faculty, staff, and students. Sexual harassment—a form of sex discrimination—includes unwelcome sexual advances, requests for sexual favors, or other verbal or physical actions of a sexual nature when submission to such conduct is made explicitly or implicitly a term or condition of the student's status in a course, program or activity; or is used as a basis for academic or other decisions affecting such student; or when such conduct has the purpose or effect of substantially interfering with the student's academic performance, or creates an intimidating, hostile, or offensive academic environment.

### *Rights within University Judicial Processes*

7. A student shall be guaranteed the following rights in all proceedings of a University hearing agency:

a. The student shall have the right to a fair and impartial hearing in all proceedings of any hearing agency.

b. The student shall not be compelled to give testimony and refusal to do so shall not be considered evidence of responsibility for an alleged violation.
c. The student shall be informed in writing of the reasons for appearance before any hearing agency and given sufficient time to prepare for the appearance.
d. The student shall be entitled to receive, upon written request, a copy of all rules and procedures governing the hearing agency at least 72 hours prior to appearance before the agency.
e. The student shall have the right to hear and question all witnesses and present witnesses of the student' s choice.
f. The student may choose an advisor, as outlined in Article II, Sections 22 and 23 of the *Code*, to assist in all processes of the University Disciplinary Hearing Process.
g. The student may request that any member of a hearing agency be disqualified on the ground of personal bias.
h. The student shall have access to the record of every hearing agency hearing in which the student is the accused.

***Right to Privacy***

8. A student shall be free from searches and seizures of person and possessions while on University property unless said search and seizure is conducted in accordance with state and federal laws. In cases of imminent danger or when there are reasonable grounds upon which to believe it is necessary to conduct a search immediately in order to protect life or property, searches may be conducted in the presence of the Dean of Students or another University official acting as the Dean' s authorized representative.

9. Student records will be maintained in accordance with the Family Educational Rights and Privacy Act of 1974 and the guidelines for implementation (see Part V of this publication).

10. A student's disciplinary record shall be kept separate and confidential unless the student consents in writing to have it revealed. However, the Dean of Students may disclose the student's disciplinary record without the student's consent if legal compulsion or the safety of people or property is involved, or if the information is required by authorized University personnel for official use at the University. In these circumstances, only the information pertinent to the inquiry may be revealed. The Dean may also act without the student's consent to have a statement of disciplinary suspension or disciplinary expulsion entered on the student's academic record for the duration of the disciplinary sanction, which would prohibit the student from registering. Written notice of this action shall be sent to the student.

11. A student' s test data and record in the Counseling Center shall be kept in the Center, separate and confidential, unless the student consents in writing to have it revealed to a designated person and/or for a designated purpose. Without such release, no information will be revealed except to an appropriate authority and then only when there is a clear and imminent danger to an individual or others, and such information will be limited to that which is directly pertinent to the reduction of that danger.

12. University Health Service medical, surgical and mental health records and information are strictly confidential and are not released to anyone without the student' s knowledge and signed authorization. Student Mental Health records are maintained separately in a confidential file. If it becomes apparent in the course of treatment that the student is likely to cause injury to self or others, pertinent information to this extent may be revealed for protection of the student or others.

13. Official records and information maintained by the Dean of Students Office are treated in a confidential manner. A student has the right to view his/her own disciplinary records. Disciplinary and judicial records and the information contained therein will not be released except with the written authorization of the student, or as noted in Article I, Section 10 of this *Code*.

Directory information about a student (as defined in Part V of this publication) is released at the discretion of numerous University departments upon receipt of a specific request for such information.

Directory information about a student will not be released if the student has filed a request, in writing, with the Registrar of the University, stating the information is to be withheld.

14. A student's character and ability shall be evaluated only by those with personal knowledge of the student. Records containing such evaluations shall indicate when the evaluation was made, by whom, and the position of the individual. Upon a student's request to an individual faculty member or administrator, that student should be informed of all inquiries about that student directed to the faculty member or administrator and that judgments have been or will be given.

15. If presented with a subpoena to produce information about specific students and/or campus organizations, the recipient shall immediately notify the University Legal Counsel and forward to that office a copy of the subpoena. The University Legal Counsel shall immediately notify the students or student organizations involved or use his/her best effort to do so, and forward to them a copy of the subpoena by certified mail, addressed to their last known address.

16. Information about a student's or a student organization's political or social views or beliefs that faculty, staff or administrators acquire in the course of their work as instructors, advisers, counselors or supervisors is to be kept confidential. A student may waive the protection of this section by granting express permission to the relevant faculty, staff or administrator.

***Right of Free Expression***

17. A student has the right to engage in discussion, to exchange thought and opinion, to speak, write, or print freely on any subject, and to join associations in accordance with the guarantees of federal or state constitutions. The freedom of expression includes the right to picket or demonstrate for a cause, subject to the following conditions:

a. the student must act in an orderly and peaceful manner;
b. the student must not in any way interfere with the proper functioning of the University;
c. the student must obey the University's "Regulations Governing Time, Place and Manner of Meetings, Demonstrations, and Other Assemblies" (See Part III of this publication).

***Right to a Free Student Press***

18. Student publications must be free to deal openly, fearlessly and responsibly with issues of interest and importance to the academic community. Student publications shall avoid such practices as the use of libel, undocumented allegations, obscenity, attacks on personal integrity, deliberate deception of its readers, unnecessary harassment and innuendo, and other violations of individual rights. The editors shall have the right of editorial freedom without the prior approval of copy and will be protected against dismissal or suspension or other retribution, except for violations of policies established by the Board of Student Media. Such policies shall be in accordance with the guarantees contained herein.

***Right of Student Access to Meetings of Registered Student Organizations***

19. The University affirms the right of all students, including members of the student press, to attend meetings of registered student organizations that receive the majority of their regular operating budgets from allocations of student fees money and/or University allocations.

Exceptions to the foregoing right include:

a. deliberations of election boards and selection committees;
b. proposed or pending litigation;
c. discussions or hearings which might lead to the appointment, discipline or dismissal of an individual employee, member or student.

***Grievances***

20. All student grievances involving rights stated herein shall be reported to the Dean of Students within 30 days of their occurrence. Grievances reported after this period or which otherwise come to the attention of the Dean may be acted upon according to the Dean's determination of the circumstances.

21. The Dean of Students or an authorized designee shall investigate each student grievance to determine whether it has merit. If the Dean decides that it does, the Dean shall use moral suasion, negotiation, personal appeal and the prestige of the Dean's office to settle the case to the Deans' satisfaction and that of the student. If the Dean is unable to satisfy the grievance to the satisfaction of the student or when the Dean has notified the student that the grievance does not contain merit, the student has the right to appeal within 30 days to the University Appeals Board.

22. The Dean of Students shall have broad investigatory powers in the nonacademic cases and the Dean shall receive prompt and full cooperation from students, student organizations, faculty and administrators. The Dean may recommend policies or practices that should be terminated, modified, or initiated to the Student Government Association, the Senate Council, deans, department heads or other appropriate persons.

## ARTICLE II: THE UNIVERSITY DISCIPLINARY SYSTEM

***Introduction***

The University is empowered by Kentucky Law K.R.S. 164.200 to establish a disciplinary system to govern the campus. The statute provides:

"The Board of Trustees may establish proper regulations for the government of the University and the physical training, military or otherwise, of the students. It may authorize the suspension and dismissal of students for neglect or violation of the regulations, or for other conduct prejudicial to the character and welfare of the University."

By this publication of the rules governing student conduct, the University recognizes that students have the right to know the circumstances and manner in which this disciplinary power will be exercised and advises students that disciplinary rules shall be enforced.

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. Similarly, the *Code* does not cover decisions of the University Administration that are made concerning a contractual agreement between the University and a student. Therefore, such decisions are not subject to review within the procedures established in the *Code* unless specifically stated within the *Code*.

***Authority for Student Discipline***

1. Ultimate authority for student discipline is vested in the University of Kentucky Board of Trustees. Disciplinary authority may be delegated to University administrators, faculty members, committees, and organizations, as set forth in this *Code*, and in other appropriate policies, rules, or regulations adopted by the Board.

2. Pursuant to the provisions of K.R.S. 164.200, 164.210 and 164.220 and this Code, the Board of Trustees delegates the responsibility for student discipline to the President of the University.

***Purpose of the Disciplinary System***

3. Pursuit of a college education provides an opportunity for exploration of new ideas, experimentation, self-examination, formation of new friendships and development of ideals and directions. An academic

community is a place where the free exchange of ideas and concepts can take place among faculty, staff and students in an atmosphere that allows for debate and disagreement on contemporary issues.

In order to protect our community, certain standards of behavior are expected of all members of the University community, including students. In general, the University of Kentucky expects students to: maintain standards of personal integrity that are in harmony with the educational goals of the institution; observe national, state and local laws, as well as University regulations; and respect the rights, privileges, and property of other people.

The University disciplinary process is a learning experience that can result in personal growth as well as an understanding of the responsibilities that accompany participation in an academic community. By formulating a general code of conduct and regulations, the University reaffirms for students the rights, protections, guarantees and responsibilities that are outlined in Article I of this *Code*.

***Interpretation of Regulations***

4. The purpose of publishing disciplinary regulations is to give students general notice of behavior that is expected and behavior that is prohibited by the University. This *Code* is not written with the specificity of a criminal statute and is not intended to be interpreted with the specificity of a criminal statute.

***Inherent Authority***

5. The disciplinary regulations outlined in this *Code* apply to behavior that occurs on University property, as defined in Article II, Section 10a., and may also apply to off-campus behavior that is prejudicial to the character and welfare of the University, as follows :

a. any activity sponsored, conducted or authorized by the University or a registered organization (see Article II, Section 32);
b. conduct that poses a possible serious threat to the safety, security or well-being of any member of the University community;
c. conduct that involves academic work or the forgery, alteration, or misuse of any University document, record, key, electronic device or identification;
d. conduct that is considered disorderly and/or causes substantial destruction to property belonging to the University or members of the University community.

***Disciplinary Action while Criminal Charges Are Pending***

6. Students may be simultaneously accountable to both civil authorities and to the University for acts that constitute violations of law and of this *Code*. Disciplinary action at the University shall normally proceed during ongoing criminal proceedings and shall not be subject to challenge on the ground that criminal charges involving the same incident are pending or have been resolved in any manner.

***Standards of Classroom Behavior***

7. The primary responsibility for managing the classroom environment rests with the faculty. Students who engage in any prohibited or unlawful acts that result in disruption of a class may be directed by the faculty member to leave the class for the remainder of the class period. Longer suspensions, or dismissal from a class due to disruptive behavior, must be preceded by a disciplinary hearing as set forth in Article II, Section 24 of this *Code*.

***Prohibited Conduct***

8. Punishable disciplinary offenses include, but are not limited to, the following:

a. Interference, coercion or disruption that impedes, impairs or disrupts University missions, processes or functions or interferes with the rights of others. The following, while not intended to be exclusive, illustrate the offenses encompassed herein: occupation of any University building or property, or part thereof, without authorization by the University; blocking the entrance or exit of any University building or corridor or room therein; setting fire to, or by any other means, damaging any University building or property or the property of others on University premises; any possession or display of, or attempt, or threat to use firearms, explosive or other weapons upon University property without University authorization; prevention of the convening, continuation or orderly conduct of any University class or activity or of any lawful meeting or assembly upon University property; blocking normal pedestrian or vehicular traffic on University property; and failure to vacate premises when ordered to do so by a University official.

b. Use, possession, or distribution of narcotic or dangerous drugs, except as expressly permitted by law.

c. Disorderly, abusive, drunken, violent or excessively noisy behavior or expression.

d. The threat or commission of physical violence against self or other persons.

e. The commission of acts or the implementation of programs or activities that constitute a violation of local, state or federal law.

f. Failure to comply with directions of University officials acting in the performance of their duties.

g. Falsifying, altering or forging any official University records or documents, employing official University documents or records for purposes of misrepresentation, or causing any official University documents or records to be falsified by means of any misrepresentation.

h. Hazing by any action taken or situation created, intentionally or recklessly, whether on or off University premises, to produce mental or physical discomfort, embarrassment, harassment, or ridicule. Such abusive activities and situations may include, but are not limited to the following: illegal or harmful use and/or forced consumption of food, alcohol or drugs; paddling in any form; creation of fatigue; personal servitude; physical and/or psychological shocks; wearing apparel which is conspicuous and not normally in good taste; engaging in public stunts and buffoonery; degrading or humiliating games and activities; sleep or food deprivation; any meetings which unreasonably interfere with scholastic activities; and/or any other activities which are not consistent with the regulations and policies of the University of Kentucky.

i. Knowingly passing a worthless check or money order to the University or to a member of the University community acting in an official capacity; recurring financial over-obligation and nonpayment of debts to the University.

j. Theft of property or services; knowingly possessing stolen property.

k. Possessing a deadly weapon without authorization of the Dean of Students.

l. Defacing, disfiguring, damaging or destroying public or private property.

m. Giving false testimony or other evidence at any official hearing of the University or giving false information to any faculty or staff members acting in the performance of their duties.

n. Bribing any University employee or student officials.

o. Harassing anyone present on University property.

p. Providing information to individuals involved in organized gambling activities concerning intercollegiate athletics competition; or participating in any gambling activity that involves intercollegiate athletics or amateur athletics, through a bookmaker, a parlay card or any other method employed by organized gambling.

q. Violation of conditions imposed in connection with one or more of the sanctions enumerated in Article II, Section 11 of this *Code*.

r. Violation of other published University regulations or policies. Such regulations or policies include, but are not limited to, policies regarding computer use, alcohol, hazing, entry and use of University facilities as well as regulations governing student organizations and residence halls.

9. Attempts to commit acts prohibited by this *Code* or assisting in the commission of such acts may be punished to the same extent as completed violations.

***Definitions***

10. When used in this *Code*:

a. "University property" is defined as all property owned, or leased to, and operated exclusively by the University, public sidewalks and streets that are contiguous to or in the immediate vicinity of such property, and all such property leased to or operated by student and non-student organizations that are under the control and regulation of the Board of Trustees of the University of Kentucky.

b. "Group" means a number of persons who are associated with each other and operate as an organization, but who have not complied with University requirements for registration as an organization.

c. "Organization" means a number of persons who have complied with University requirements for registration.

d. "Student" means any person who is admitted, registered or enrolled in any University program or course.

***Sanctions***

11. All disciplinary sanctions imposed upon students are cumulative in nature and will be recorded in the student' s disciplinary record. Sanctions that may be imposed in accordance with this *Code* include:

a. *Disciplinary Warning*: notice, oral or written, that continuation or repetition of prohibited conduct may be cause for additional disciplinary action. A student may be given a warning for infractions deemed by the hearing officer to be minor in nature.

b. *Disciplinary Reprimand*: a written reprimand for violation of specified regulations, including a warning that continuation or repetition of prohibited conduct may be cause for additional disciplinary action, without loss of good standing with the University. A violation of the terms of disciplinary reprimand, or subsequent misconduct after discipline, is grounds for further disciplinary action, including disciplinary probation, social suspension, disciplinary suspension, or disciplinary expulsion.

c. *Disciplinary Probation*: exclusion from participation in specified privileges or extracurricular institutional activities for a specified period of time. Additional sanctions or restrictions may also be imposed. A student on disciplinary probation is not in good standing with the University. A violation of the terms of disciplinary probation, or subsequent misconduct, is grounds for further disciplinary action, including social suspension, disciplinary suspension, or disciplinary expulsion.

d. *Social Suspension*: exclusion from University premises, as well as exclusion from participation in all privileges and extracurricular institutional activities, except for attendance in classes in which officially enrolled and defined privileges which are necessary and required, for a specified period of time. Additional sanctions or restrictions may also be imposed. A violation of the terms of social suspension, or subsequent misconduct, is grounds for further disciplinary action, including disciplinary suspension or disciplinary expulsion.

e. *Disciplinary Suspension*: exclusion from University premises, as well as participation in all privileges or extracurricular institutional activities, for a stated period of time at the end of which the student may apply for readmission to the University. While under disciplinary suspension, the student is not entitled to attend classes, use University facilities, participate in University activities, or be employed by the University. Special conditions may be stipulated for a student to be reinstated at the conclusion of the period of suspension. A violation of the terms of disciplinary suspension, or subsequent misconduct, is grounds for disciplinary expulsion.

f. *Disciplinary Expulsion*: permanent termination of student status, and exclusion from University premises, privileges and activities.

g. *Other Sanctions*: other sanctions or conditions may be imposed instead of or in addition to those specified in sections 11(a) through 11(f). Examples include, but are not limited to termination of residence hall contract, restriction of access to specific areas of campus, monetary penalty, monetary reimbursement, public or community service, research projects, compulsory attendance at education programs, compulsory psychiatric/psychological evaluation and counseling, such as alcohol and drug counseling.

***Temporary Sanctions***

12. Whenever there is evidence that the continued presence of a student at the University poses a substantial and immediate threat to him/herself or to others, or to the stability and continuance of normal University functions, the Vice President for Student Affairs or authorized representative may impose such temporary sanctions as the Vice President considers necessary, including exclusion from campus property. The temporary sanctions shall become effective immediately without prior notice. Upon taking such action, the Vice President shall immediately notify the University Appeals Board (see Part II, Section 6.5).

13. A student may appeal the decision of the Vice President for Student Affairs to the University Appeals Board in writing within seven (7) class days. Temporary sanctions will remain in effect during any appeal. If requested in the written appeal, a student shall be given an opportunity to appear personally before the University Appeals Board within 72 hours in order to discuss the following issues only:

a. the reliability of the information concerning the student' s conduct, including the matter of his or her identity.
b. whether the conduct and surrounding circumstances reasonably indicate that the continued presence of the student on University premises poses a substantial and immediate threat to himself or herself or to others or the stability and continuance of normal University functions.

A student under temporary sanction shall be given an opportunity for a prompt disciplinary hearing within the University Disciplinary System.

***Referrals***

14. Any person may refer a student or a student group or organization suspected of violating this *Code* to the Dean of Students Office.

15. Those persons referring cases are normally expected to serve as the complainant and to present a written account of the incident, including relevant evidence to the Dean of Students Office. The complainant may request the assistance of an advisor, as outlined in Article II, Sections 22 and 23 of this *Code*. In cases that are referred to the University Disciplinary System, the Dean of Students or authorized designee shall serve as an additional complainant.

16. Once an alleged violation of this *Code* has been referred to the Dean of Students Office, the Dean or authorized designee shall investigate the allegation. If the Dean or authorized designee determines that evidence exists to prove the allegation, the Dean of Students Office shall notify and charge the accused

student with a specific violation of this *Code* and request that the student schedule an informational meeting with the Dean or authorized designee.

***Informational Meetings and the Counseling Process***

17. A student accused of violations of this *Code* is subject to an informational meeting with the Dean of Students or authorized designee. The procedural protections outlined in Article I, Section 7 of this *Code* shall be explained to the accused student during an informational meeting. Also, the accused student shall state whether s/he is "responsible" or "not responsible" for the alleged violation during the informational meeting.

18. When a student accepts responsibility for an alleged violation, the Dean or authorized designee shall counsel the student and outline proposed disciplinary action as defined in Article II, Section 11 of this *Code*. Information obtained from the student during this counseling process is confidential and inadmissible in any disciplinary hearing of the University except in cases where the student withdraws from the counseling process or refuses to comply with the conditions of the counseling process.

19. When a student denies responsibility for an alleged violation or withdraws from or refuses to comply with the conditions of the counseling process, the Dean or authorized designee shall forward the reports and evidence concerning the case to a disciplinary hearing officer. Once the information has been forwarded to a hearing officer, the accused student has entered the University Disciplinary Hearing Process. The Dean of Students Office is then responsible for furnishing testimony as requested by the Disciplinary Hearing Officer, keeping the records for the Disciplinary Hearing Officer, serving as a complainant as appropriate and aiding the student in complying with any sanction decreed by the Disciplinary Hearing Officer.

20. When a student fails to respond to proper notification of an informational meeting or counseling session or fails to attend a scheduled meeting within the specified period, the Dean of Students or authorized designee may:

a. place a hold on the student' s ability to register, receive transcripts, transfer credits, be readmitted to the University, or receive the graduation diploma which certifies the degree earned until the informational meeting, counseling session or disciplinary hearing has taken place, and;
b. deem that the student has denied responsibility for the pending charges and refer the matter to a disciplinary hearing officer to conduct a disciplinary hearing.

***Disciplinary Hearing Officers***

21. The President of the University shall annually appoint no fewer than three disciplinary hearing officers from among the faculty, staff, and retirees of the University. Disciplinary hearing officers shall have sole authority to determine the issue of responsibility in those cases referred. Similarly, disciplinary hearing officers shall have sole authority to impose sanctions upon students found responsible for violations through the University Disciplinary Hearing Process.

***Advisors***

22. A complainant and an accused student may each be assisted by one advisor. The role of the advisor shall be limited to providing advice to the complainant or accused student. Even if accompanied by an advisor, an accused student shall personally respond to inquiries from the Disciplinary Hearing Officer.

23. In consideration of the limited role of an advisor, and of the compelling interest of the University to expeditiously conclude the matter, a disciplinary hearing shall not, as a general practice, be delayed due to the unavailability of an advisor.

***University Disciplinary Hearing Process***

24. The purpose of the University Disciplinary Hearing Process is to provide a fair evaluation of an accused student' s responsibility for violating University regulations. Formal legal rules of evidence shall not be applied, nor shall minor deviations from prescribed procedures necessarily invalidate a decision, unless significant prejudice to an accused student or the University may result.

25. The following procedural guidelines, along with the rights outlined in Article I, Section 7, shall be applicable in hearings conducted by a University hearing officer:

a. The Dean of Students Office shall give the accused student written notice of the date, time and place of the hearing as well as the specific charge against the student. An accused student shall be given reasonable access to the case file, which will be retained in the Dean of Students Office.
b. An accused student who fails to appear after proper notice shall be deemed to have denied responsibility for the alleged violation. A hearing may be conducted in the student' s absence, if necessary.
c. The hearing will be closed to the public unless the accused student or the complainant(s) requests that the hearing be open by filing a written request with the Disciplinary Hearing Officer at least 24 hours prior to the time set for the hearing. The hearing will remain closed to the public unless both the accused and the complainant(s) agree to an open hearing. If both parties agree to an open hearing, the Disciplinary Hearing Officer shall admit to the hearing, in addition to those admitted to a closed hearing, one properly identified member of any established newspaper, magazine, television station or radio station requesting admission as well as up to four persons who have been invited by the accused student, up to four persons who have been invited by the complainant(s) and up to four persons invited by the Disciplinary Hearing Officer.
d. The Disciplinary Hearing Officer shall exercise control over the proceedings to avoid needless consumption of time and to achieve orderly completion of the hearing. Any person, including the accused student, who disrupts the hearing may be excluded by the Disciplinary Hearing Officer.
e. A record of the hearing shall be made.
f. Both the accused student and the complainant shall have the right to call relevant and necessary witnesses. The accused student and the complainant (not the advisors) shall also be given an opportunity to ask relevant questions of those witnesses who testify at the hearing.
g. Witnesses shall be asked to affirm that their testimony is truthful and may be subject to charges of violating this *Code* by intentionally providing false information to the University.
h. Prospective witnesses, other than the complainant and the respondent, may be excluded from the hearing during the testimony of other witnesses.
i. The Disciplinary Hearing Officer may ask questions of the parties and all witnesses.
j. The charges against the accused must be established by a preponderance of the evidence (i.e. more likely than not).
k. When a student is found responsible for a violation of the *Code*, the hearing shall conclude with a supplemental proceeding to determine the sanction that should be imposed. Both the accused and the complainant may submit relevant evidence or make relevant statements regarding the appropriateness of a specific sanction. The past disciplinary record of the accused student shall only be supplied to the Disciplinary Hearing Officer during the supplemental proceeding.

***Appeals***

26. A student who is found responsible for a violation of this *Code* and is sanctioned with social suspension, disciplinary suspension, or expulsion may appeal in writing to the Chair of the University Appeals Board (see Part II, Section 6.5). The written appeal shall be submitted to the Chair or postmarked, if mailed to the Chair, within seven (7) class days of the receipt of the decision rendered by the Disciplinary Hearing Officer.

27. The written appeal shall clearly state the reason for appeal. Acceptable reasons for an appeal are an assertion and evidence that:

a. Due process rights have been violated through the University Disciplinary Hearing Process;
b. The sanction is inappropriate for the infraction for which the student was found responsible; or
c. There is information that was unavailable at the time of the original hearing which would alter the determination of responsibility, or which would alter the sanction.

28. The University Appeals Board shall render a prompt decision after receipt of the appeal. The University Appeals Board may uphold the decision of the Hearing Officer or modify the decision by reducing or increasing the level of sanctions imposed and/or modifying any terms and conditions of the initial sanctions. The imposition of sanctions shall be deferred during the review unless, in the discretion of the Vice President for Student Affairs or authorized designee, the continued presence of the student on the campus poses a substantial threat to him/herself or to others, or to the stability and continuance of normal University functions.

***Disciplinary Files and Records***

29. The record of disciplinary actions shall be maintained by the Dean of Students Office.

30. The file of a student found responsible for any violations of this *Code* shall normally be retained as a disciplinary record for seven years following the incident or five years after the last semester enrolled, whichever is longer. If a student transfers to another institution, the record shall be shared with the new institution upon request and if released by the student.

***Revocation of Degrees***

31. The University reserves the right to revoke an awarded degree for unknown fraud in receipt of the degree, or for unknown serious disciplinary violations committed by a student prior to the student's graduation.

***Student Groups and Organizations***

32. The registration of any student organization shall be at the discretion of a designated member of the Student Affairs staff and shall be dependent upon the completion of the required application form and compliance with the rules and additional criteria the staff member may set forth. Such criteria shall be established and published by the designated staff member and made uniform for all similar types of organizations. The designated staff member may limit an organization's registration to a fixed period of time. The length may be determined at the staff member's discretion.

33. A student group or organization may be charged with violations of this *Code* as outlined in Article II, Sections 8 and 9, whether the alleged violations occurred on or off University property.

34. A student group or an organization and its officers may be held collectively and individually responsible when violations of the *Code* by those associated with the group or organization have received the consent or encouragement of the group or organization or the group's or organization's leaders or officers.

35. The officers or leaders or any identifiable spokesperson for a student group or organization may be directed by the Dean of Students or authorized representative to take appropriate action designed to prevent or end violations of this *Code* by the group or organization. Failure to make reasonable efforts to comply with such directive shall be considered a violation of this *Code*, both by the officers, leaders or spokesperson for the group or organization and by the group or organization itself.

36. No specific procedures for adjudicating the commission of violations by a student group or organization are established other than the Dean of Students may impose sanctions for group or organization misconduct up to and including revocation or denial of registration, as well as other appropriate sanctions. A student group or organization may appeal the denial or revocation of registration to the University Appeals Board as outlined in Section 26 of this *Code*.

***University Residential Facilities***

37. The rules and regulations for University student residences are contained or provided for in the written rental agreement between the student and the University as well as in the *Residence Hall Rules of Conduct.*

38. A compilation of all rules established under the rental agreement and currently in effect shall be made readily available on request to all residents of the University building to which such rules apply and shall be posted in the University building to which such rules apply.

39. The Director of Residence Life or an authorized representative shall investigate alleged violations of the rules that are outlined in the rental agreement. Disposition of such cases shall be made in accordance with established and published procedures that have been approved by the Vice President for Student Affairs. In cases where the alleged rental agreement violation would also constitute a violation of the provisions of this *Code*, the Director of Residence Life may hear and/or refer the case to the Dean of Students Office.

***Financial Delinquency***

40. The University expects the student to be financially responsible and not be delinquent in financial obligations to the University or to any department or division thereof, including room and board payments to registered fraternal student organizations. Such obligations shall not include fines and penalties assessed against the student by other than University officers.

41. An office or a department of the University, with previous approval of the Executive Vice President for Finance and Administration, shall notify a student twice of any unmet financial obligation owed to it exceeding $20.00. If not paid within 60 days, from date due, the office or department shall notify the Registrar' s Office that the student is delinquent.

42. Once notified, the Registrar shall not allow the student to register, transfer credits, be readmitted to the University, or receive the graduation diploma which certifies the degree earned until the office or department declaring the delinquency notifies the Registrar that the obligation has been met or until the statute of limitations on collection applies.

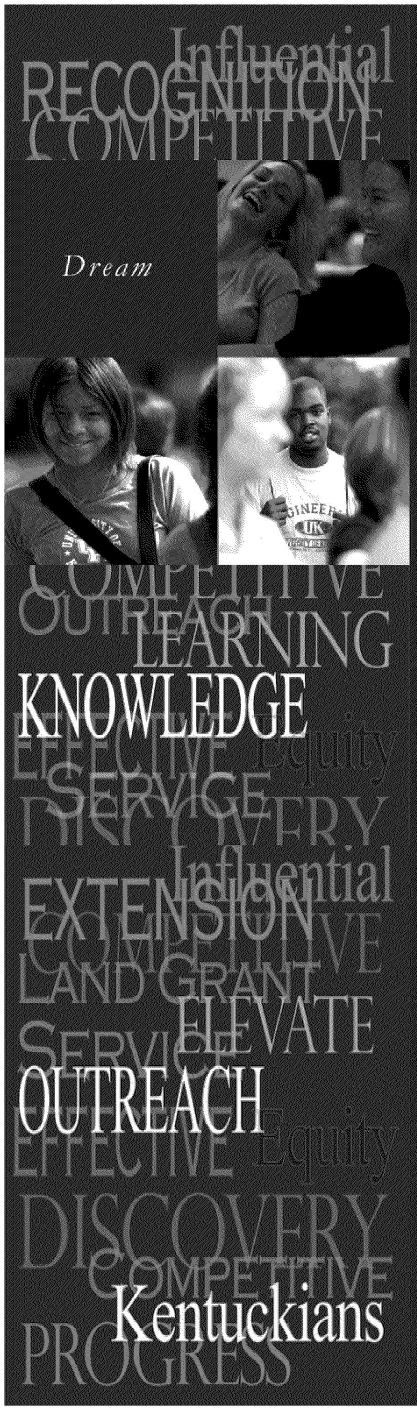
43. If there is a dispute as to whether or not a student is legally liable for a financial obligation asserted by the University, and the student challenges such obligation through either timely administrative (Executive Vice President for Finance and Administration) or legal means, then the sanctions of Section 42 with respect to registration shall not apply until final resolution of the dispute.

***Amendment***

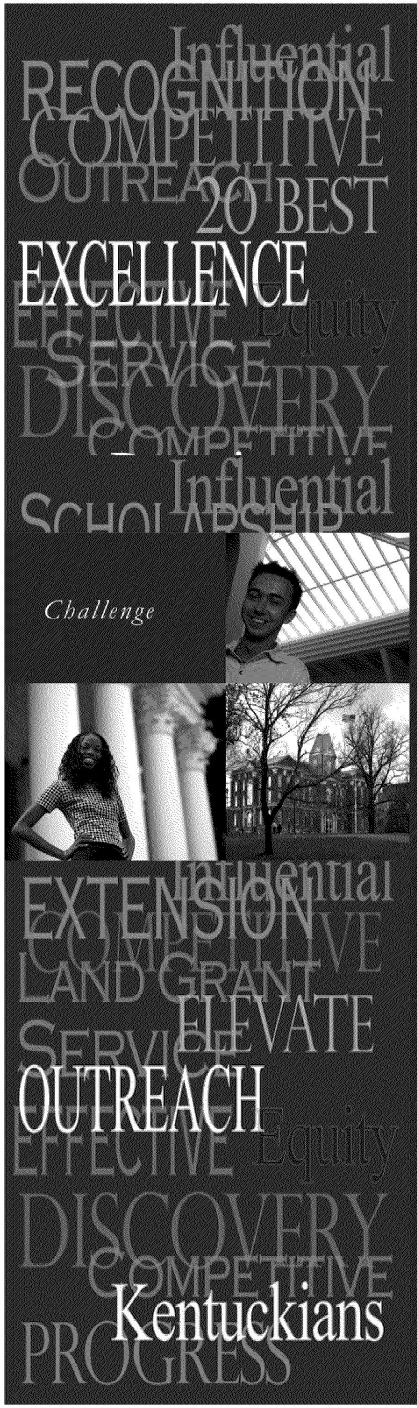
44. The *Code of Student Conduct* shall be amended only by the Board of Trustees. Responsibility for proposing revisions to the *Code of Student Conduct* is delegated to a committee consisting of students, faculty and administrators. The exact composition and procedure of the committee shall be determined by the President of the University.

45. The 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 them to the President for approval and, after approval, for presentation to the Board of Trustees for its consideration.

46. Nothing included above shall be construed as a limitation upon the President to propose changes without reference to the Committee.

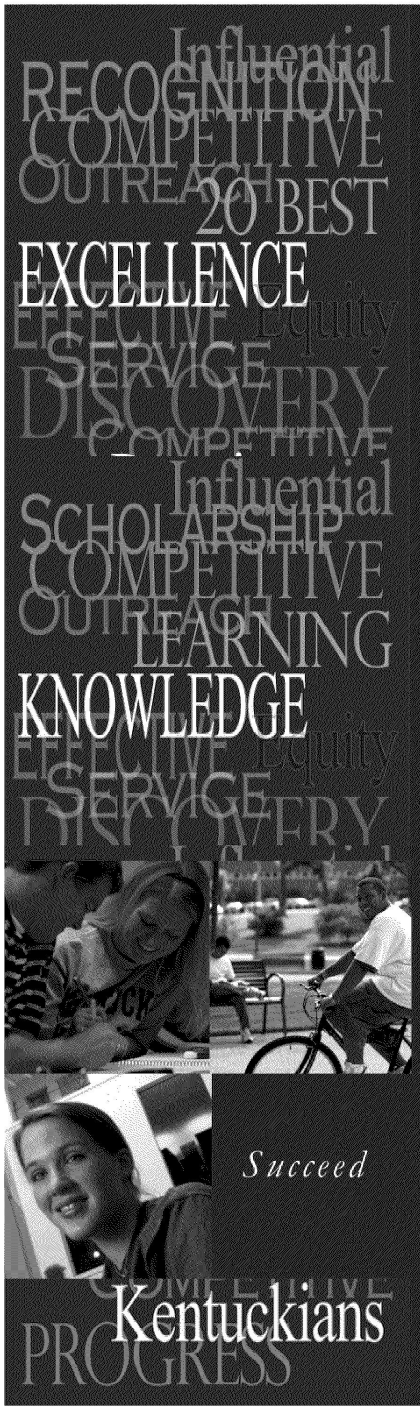



# The University of Kentucky's Top 20 Business Plan



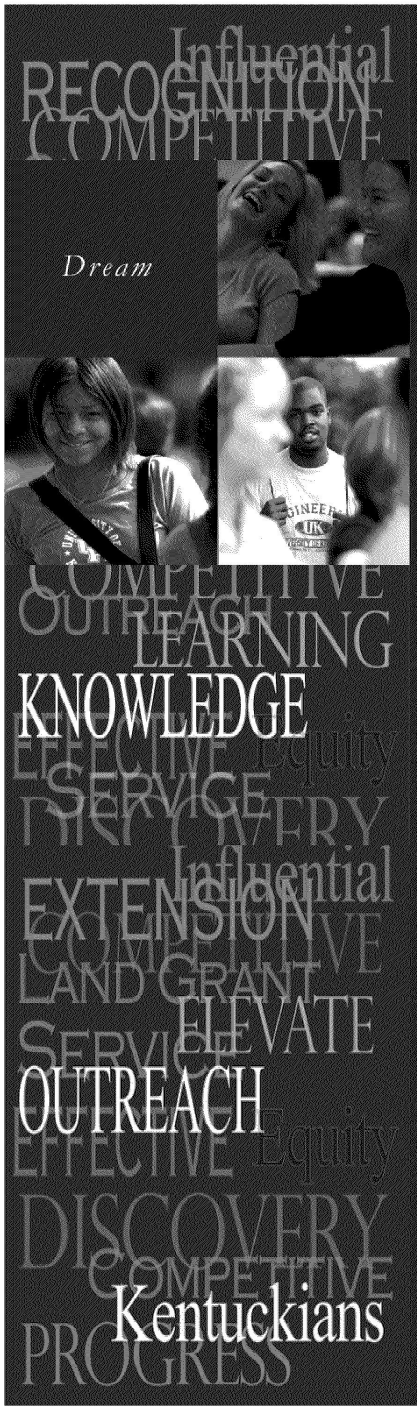

# *The Top 20 Business Plan*

- Contracted with the Stillwater Group to develop a business plan to implement the goals of UK's Top 20 Task Force.
- The Top 20 mandate originated with the Kentucky Postsecondary Education Improvement Act of 1997: "A major comprehensive research institution ranked nationally in the top twenty public universities at the University of Kentucky."
- The University will work with the Council on Postsecondary Education to assure the Top 20 Business Plan corresponds with the state's public agenda.



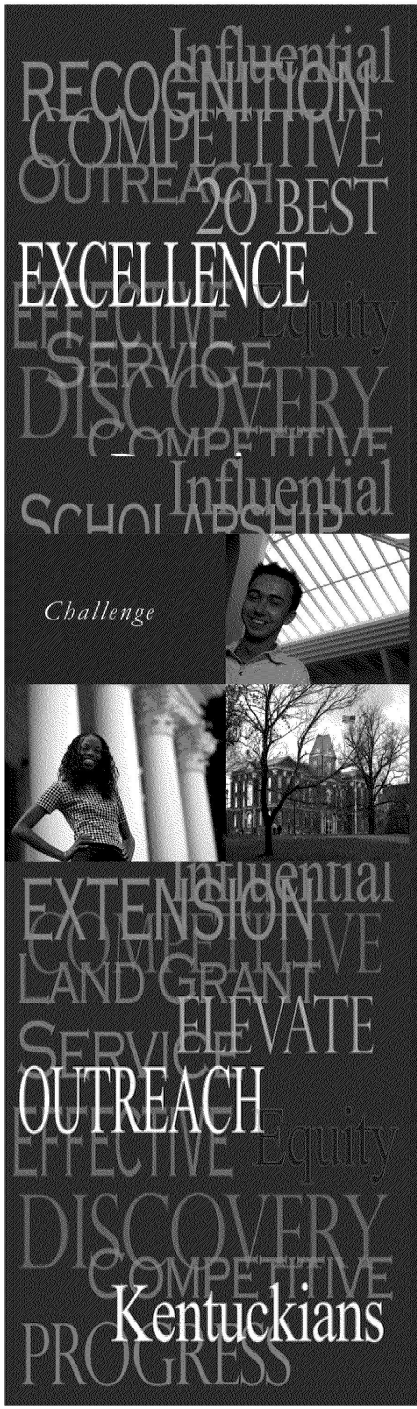

# *Process and Involvement*

- Initial series of meetings to discuss the objectives, design, and implementation of the Business Plan:
  - Top 20 Business Plan Steering Committee
  - Faculty Senate
  - Provost
  - Executive Vice Presidents
  - Deans' Council
  - Treasurer
  - Controller
  - Council on Postsecondary Education staff
- Meetings scheduled:
  - Vice President for Institutional Advancement
  - Vice President for Student Affairs
  - Dean of the Graduate School
  - Director of Undergraduate Admissions and University Registrar



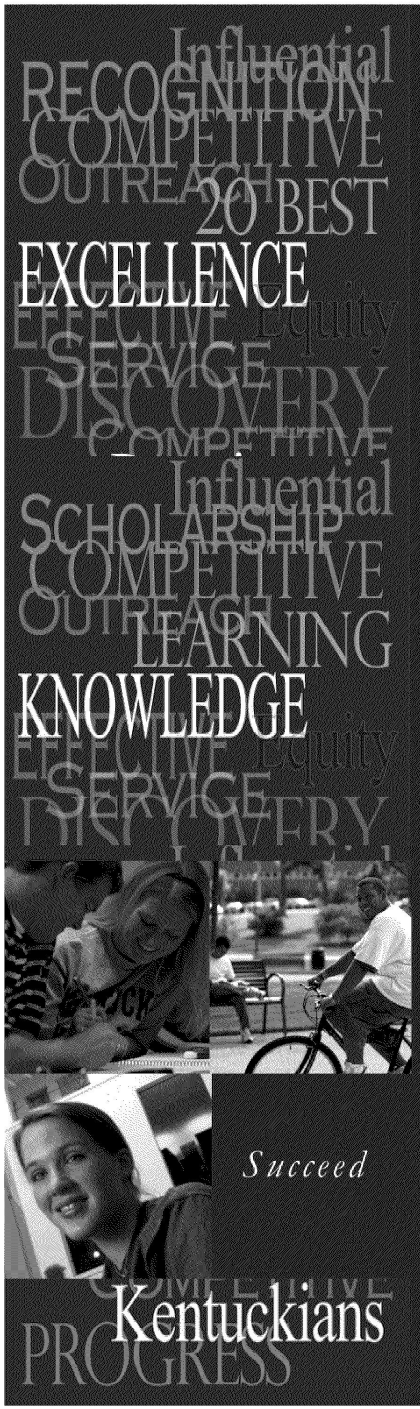

# *UK's Competitiveness*

- Initial phase - determination of UK's current competitive position and the improvement necessary to achieve Top 20 status.
- Only those public universities with at least $20 million in annual federal research are included in the analysis.
- Four domains of competitiveness have been identified:
  - undergraduate studies
  - graduate education
  - faculty recognition
  - sponsored research
- These domains reflect the multi-dimensional nature of UK's effort to become a Top 20 university.



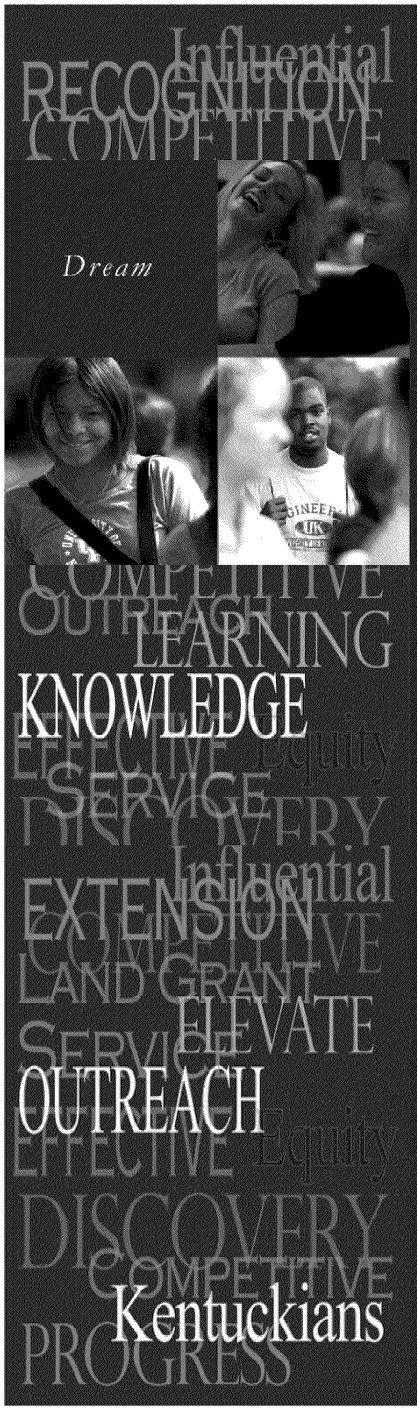

# *Cautions*

- Rankings are inherently subjective
- Data are imperfect (but are the best available)
- Impact of land-grant mission and outreach is difficult to measure
- Top 20 status is not an end in itself - what matters is the way UK chooses to define and make progress toward that goal




# *The Public University Market:*

- Is highly competitive - many other universities have established ambitious goals similar to UK's
- Is essentially zero-sum - for every university that moves up in the rankings, one or more universities drop
- Changes slowly, especially at the top of the rankings




# *Business Plan Development*

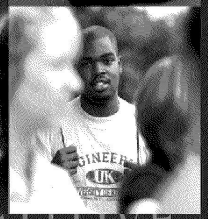
- Analysis of UK's current competitive position
- Identification of strategies to close the gap between UK's current position and Top 20 status
- Determination of source and amount of funds necessary for investment
- Selection of measures of public engagement
- Preparation of the long-range Business Plan

Influential
RECOGNITION
COMPETITIVE

*Dream*







COMPETITIVE
OUTREACH
LEARNING
KNOWLEDGE
EFFECTIVE Equity
SERVICE
DISCOVERY
Influential
EXTENSION
COMPETITIVE
LAND GRANT
ELEVATE
SERVICE
OUTREACH
EFFECTIVE Equity
DISCOVERY
COMPETITIVE
Kentuckians
PROGRESS

"With little material reward or outside recognition, the faculty of this institution has weathered tight budgets and significant enrollment increases with a remarkable record of continued quality instruction and documented student satisfaction. The 2005-06 budget offers hope and promise for a new day and brighter future for this University and the Commonwealth.

This coming year's budget is built upon the tripod of investment, planning, and modernization. With additional financial resources, the University can more fully invest in its people and its teaching research, and outreach programs; with enhanced funding, the University can plan in a meaningful way for distant, lofty goals; with needed resources, the University can truly modernize its infrastructure and bring it into the twenty-first century. We faculty look to the governor, the state legislature, and the Council of Postsecondary Education to further this formula for sustained growth and long-term social and economic development in the years to come. A flagship university and its dedicated employees deserve nothing less."

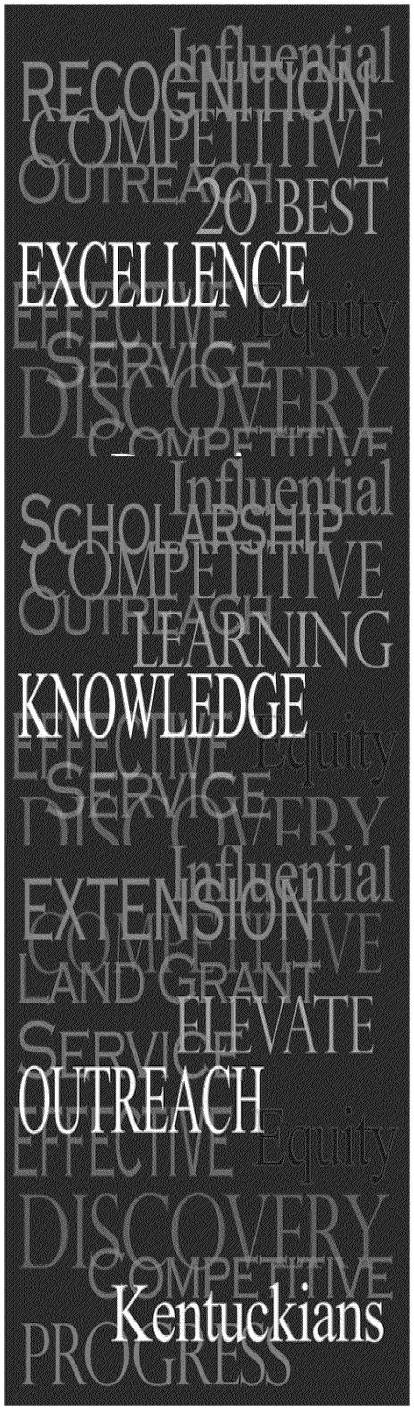
**Ernie Yanarella - Chair, University Senate Council**

"Despite remarkable barriers, the University of Kentucky has made remarkable strides in the quality and quantity of students who choose to further there education here. Staff recognize the challenges faced by the University and appreciate efforts to keep commitments in post-retirement benefits in an environment of soaring health care costs. To continue moving forward means attracting and retaining the high caliber staff who help our institution operate and grow as an educational leader for the Commonwealth and the nation.."

**David Ellis - Chair, Staff Senate**

"This budget clearly demonstrates this University's priorities - our students, faculty, and staff. I am particularly pleased to see that over two-thirds of the money generated by the tuition increase will go toward scholarships. We must continue to attract and retain the kind of people who will make our classrooms and services Top 20 caliber."

**Rachel Watts - Student Member, Board of Trustees**



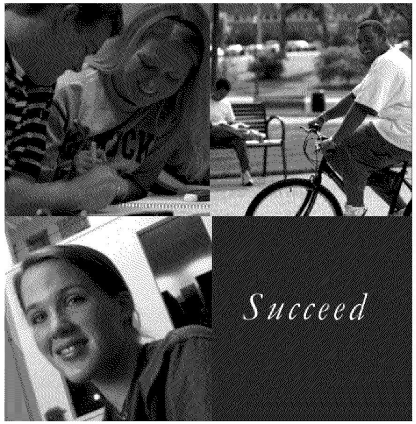

# *Operating & Capital Budget*

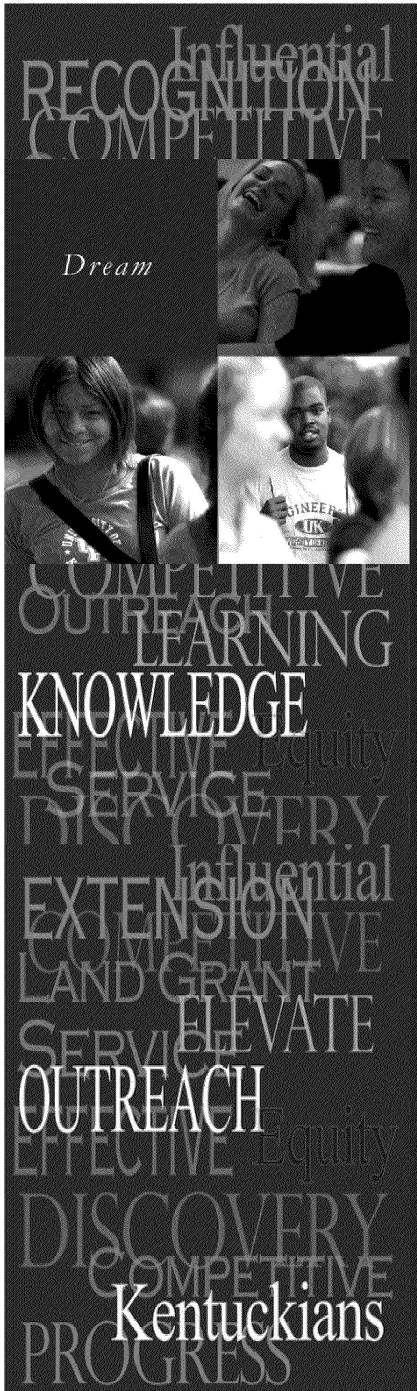
# *2005-2006*





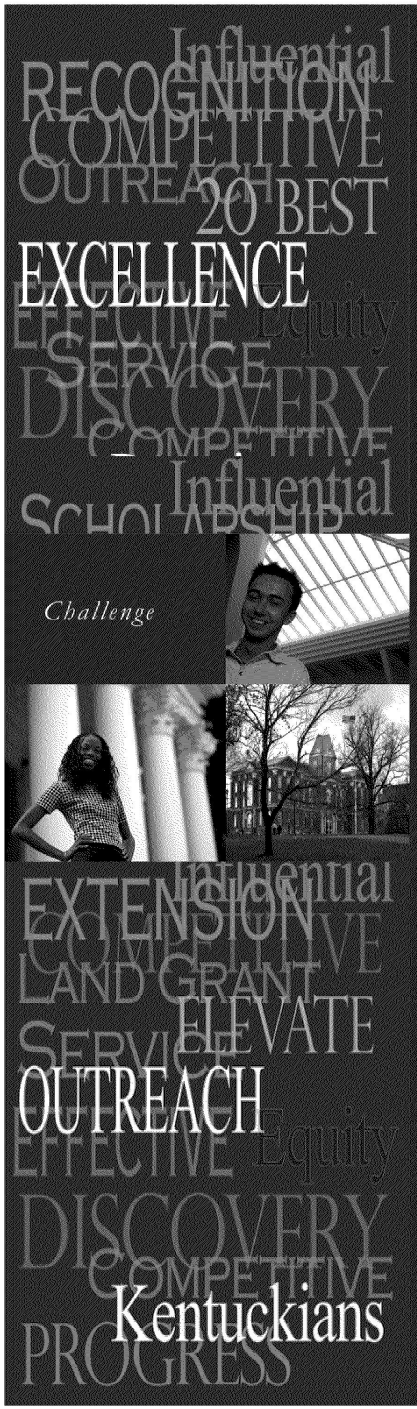







# *Accomplishments Since 2000*

- Enrollment has increased by 2,698 students (11.3 percent)
- First-year student class increased by 872 students (30 percent)
- Governor's Scholars and Governor's School for the Arts students have more than tripled to 303 students
- Six-year graduation rate increased by over four percentage points to 59.6 percent, the highest of all public universities in Kentucky
- Total number of degrees awarded annually increased by 369 to 5,247 (7.6 percent)
- UK researchers brought in a record $238.3 million of outside funding for grants and contracts, an increase of 37 percent
- Market value of endowments increased to $532.4 million




# *2005-2006 Budget Investments*

In Our Faculty and Staff:

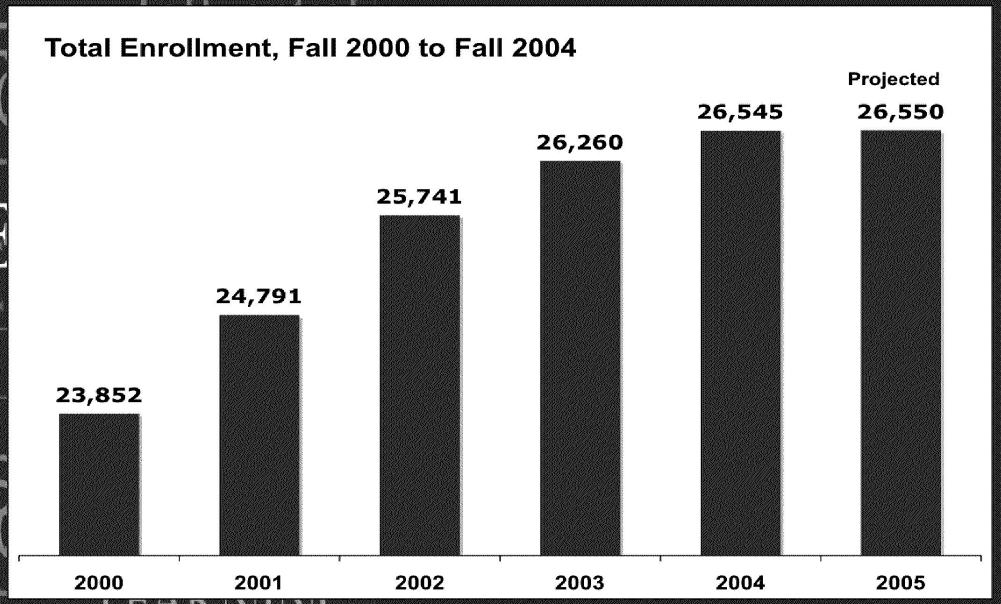
- Fund a four percent merit salary increase pool
- Cover most of the increase in health insurance costs

In Our Students:

- Provide more scholarships
- Fund program improvements

In Our Infrastructure:

- Fund implementation of administrative computing system (IRIS)



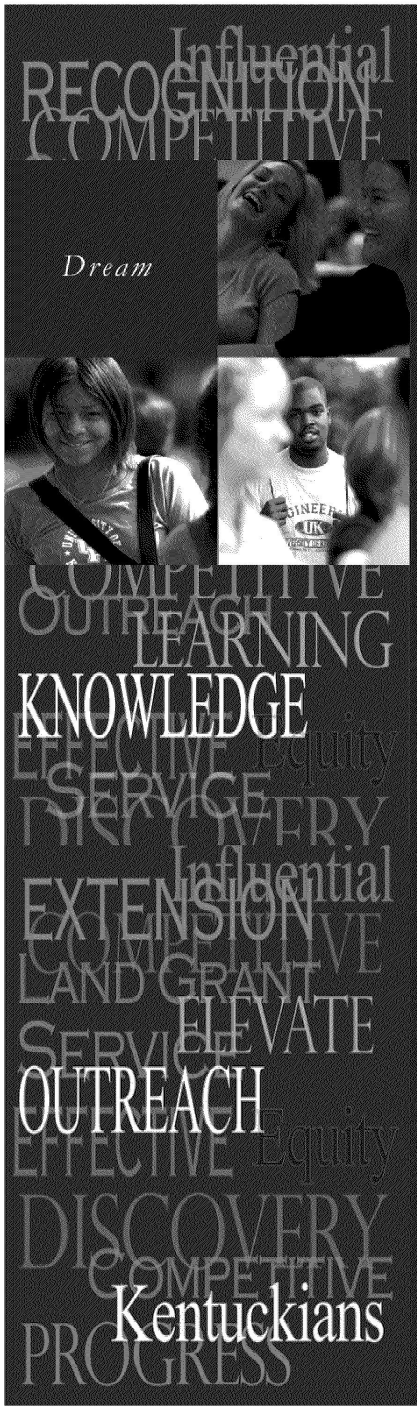

# *Expanding Student Enrollment*

Since 2000, UK has increased enrollment:

- from 70 Kentucky counties
- from 19 of the Council on Postsecondary Education's 29 “underserved” counties
- from 32 of Kentucky's 55 Appalachian counties
- among Pell Grant eligible students

UK is the only Kentucky university where Kentuckians' share of the undergraduate population has remained steady since 1998 (84.3 percent)






# *Improving Student Quality*

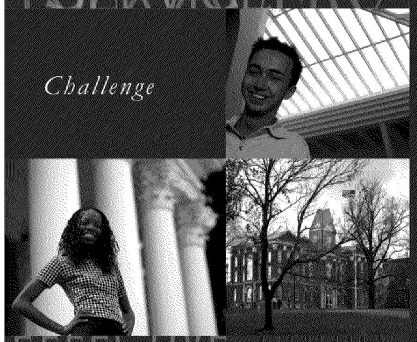
**First-Year Students, Fall 2000 to Fall 2004**

| Year | Students | Governors Scholars and Governors School for the Arts | Valedictorians | Entering with AP Credit |
|---|---|---|---|---|
| 2004 | 3,961 | 303 | 157 | 944 |
| 2003 | 3,688 | 318 | 145 | 857 |
| 2002 | 3,718 | 272 | 148 | 728 |
| 2001 | 3,037 | 125 | 125 | 577 |
| 2000 | 2,928 | 98 | 86 | 502 |

# Increasing Student Success

**Change in Retention Rates, 2000 to 2004**
**Kentucky Public Institutions**

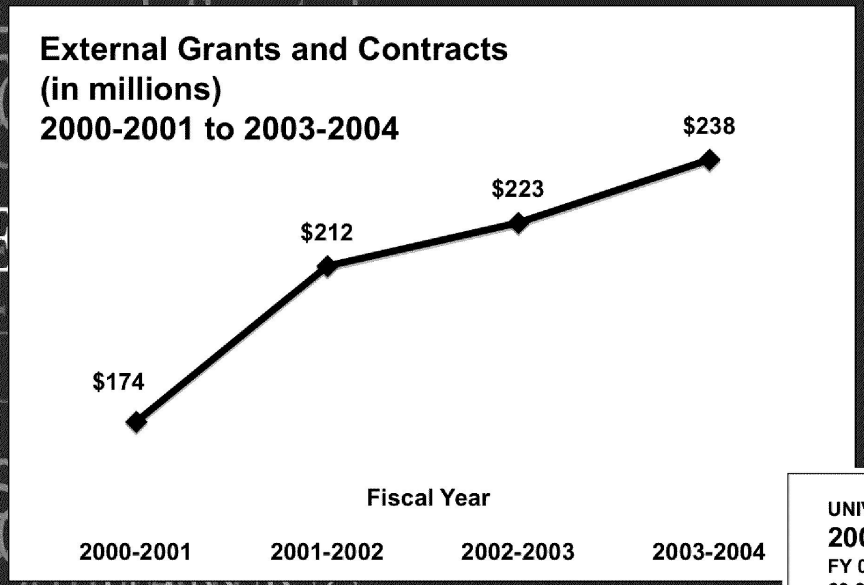
| | 2000 | 2004 |
|---|---|---|
| **University of Kentucky** | **88.0%** | **87.6%** |
| University of Louisville | 78.7% | 81.3% |
| Murray State University | 77.7% | 77.8% |
| Western Kentucky University | 76.8% | 75.1% |
| Eastern Kentucky University | 72.9% | 73.7% |
| Morehead State University | 71.1% | 71.9% |
| Kentucky State University | 69.8% | 68.0% |
| Northern Kentucky University | 68.2% | 67.3% |
| KCTCS | 54.9% | 56.5% |
| Total Postsecondary System | 69.1% | 69.1% |

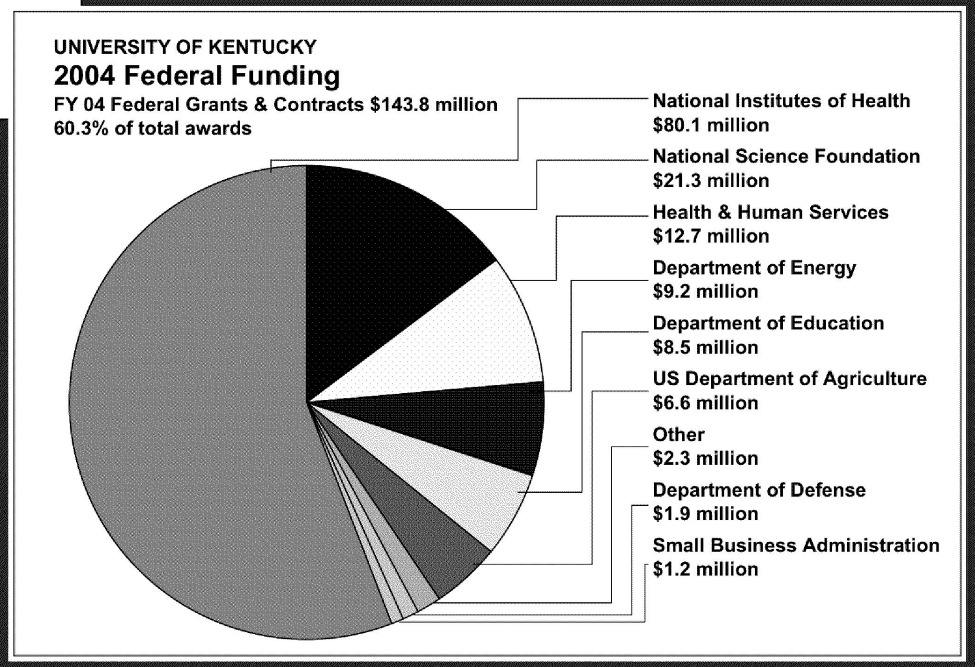



**Change in Graduation Rates, 2000 to 2004**
**Kentucky Public Institutions**

| | 2000 | 2004 |
|---|---|---|
| **University of Kentucky** | **55.3%** | **59.6%** |
| Murray State University | 46.3% | 57.3% |
| Western Kentucky University | 41.5% | 44.5% |
| Northern Kentucky University | 35.4% | 39.5% |
| Morehead State University | 38.6% | 37.9% |
| Eastern Kentucky University | 30.0% | 33.8% |
| University of Louisville | 30.8% | 33.3% |
| Kentucky State University | 31.2% | 29.5% |
| Total University System | 39.8% | 44.3% |

# *Strengthening Research*

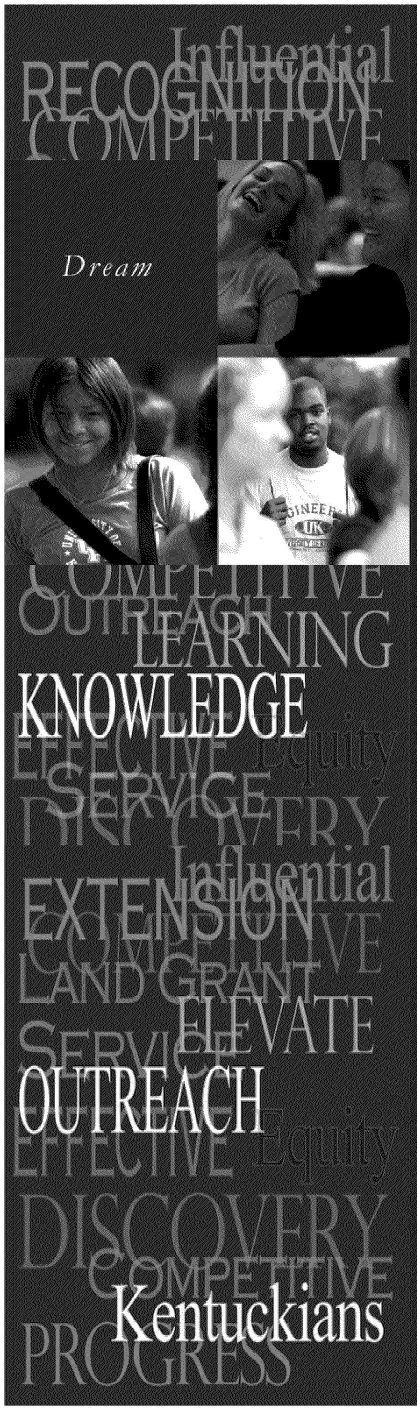




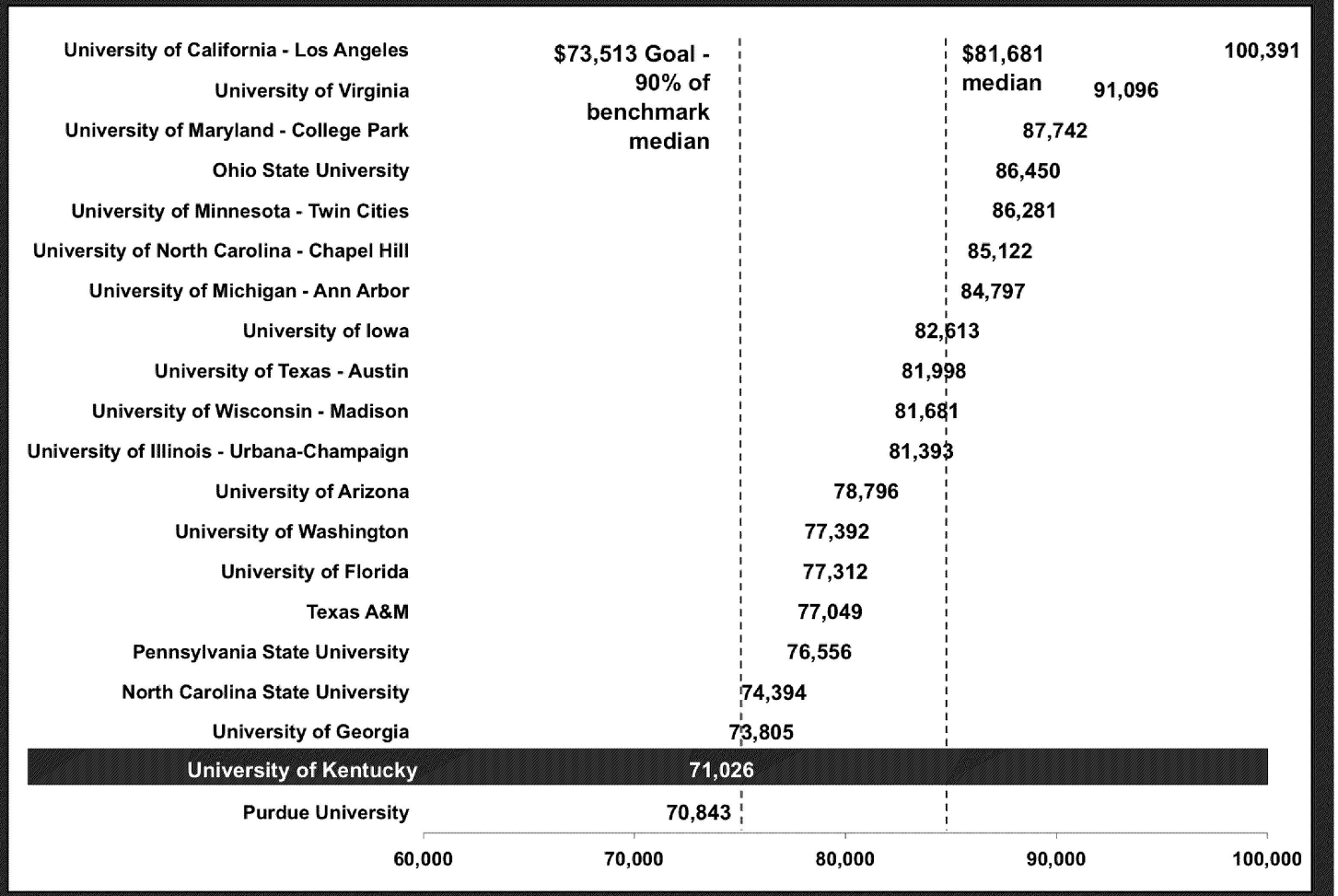


- Since 2000, UK has increased the number of Endowed Chairs and Professorships from 193 to 296, an increase of 53.4 percent

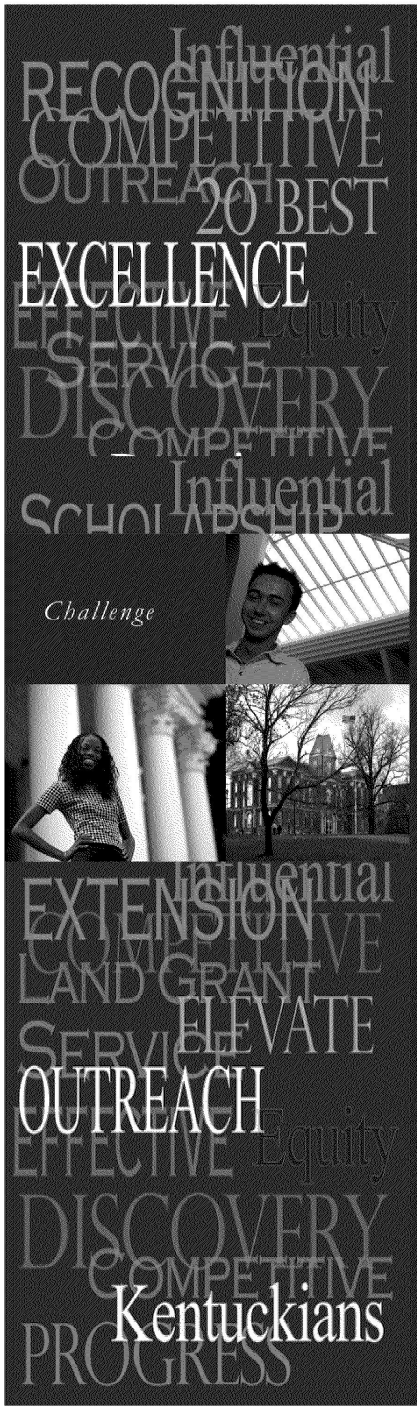



# *Greatest Challenge*

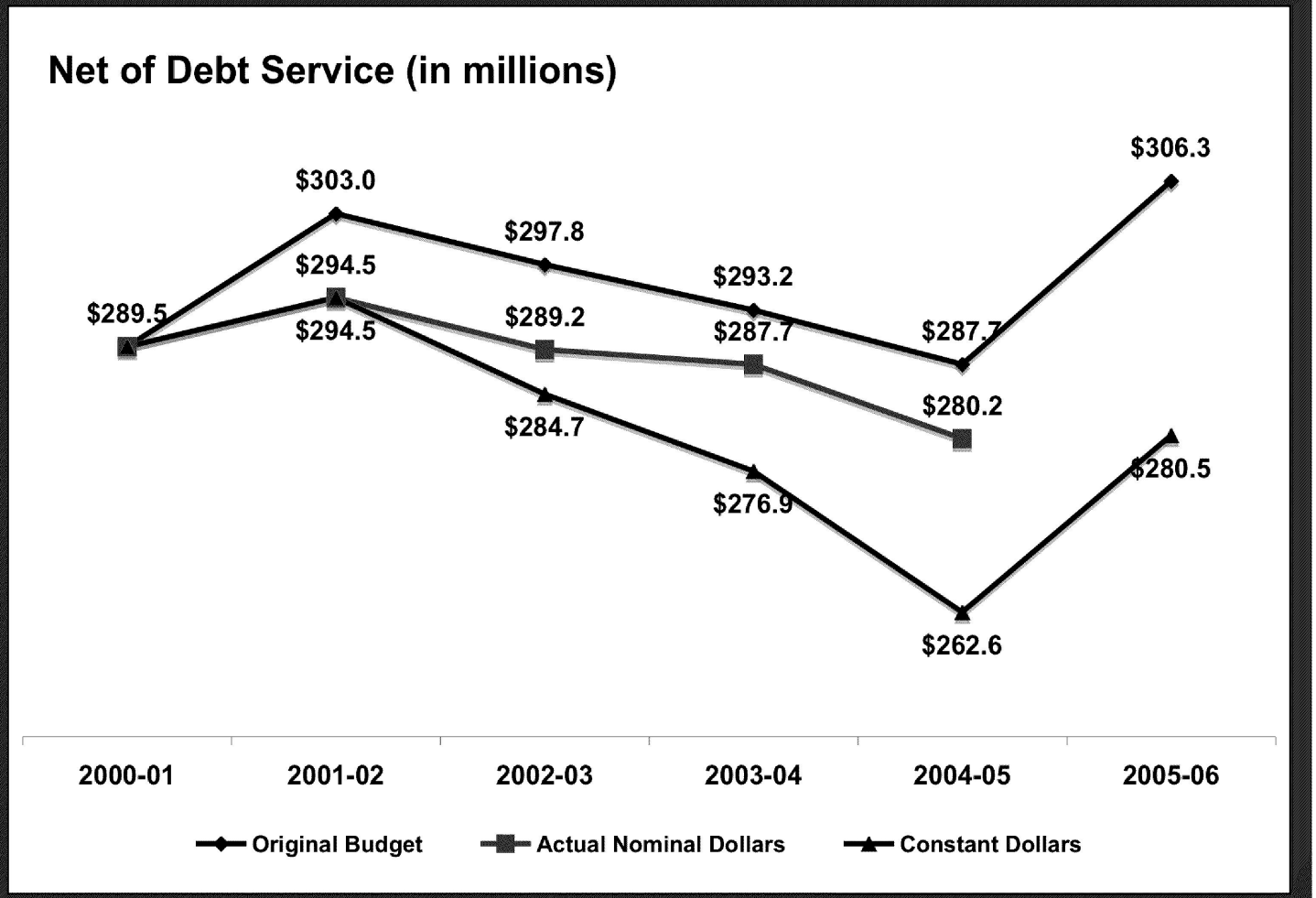
## Average Faculty Salary (All-Ranks), 2004-2005




Source: Office of Institutional Research, Planning, & Effectiveness

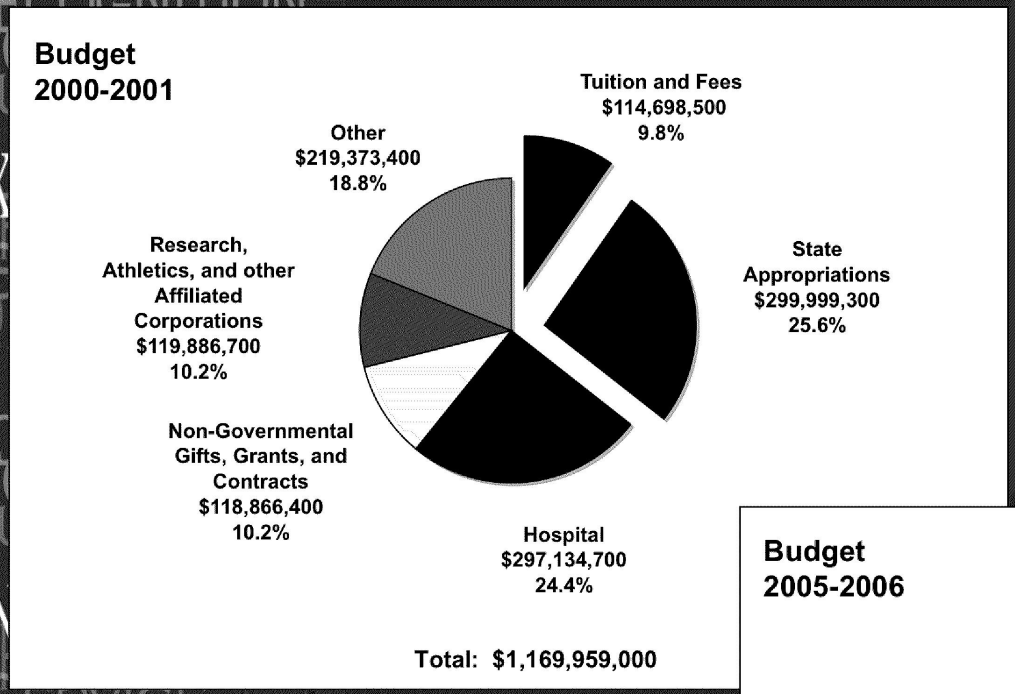


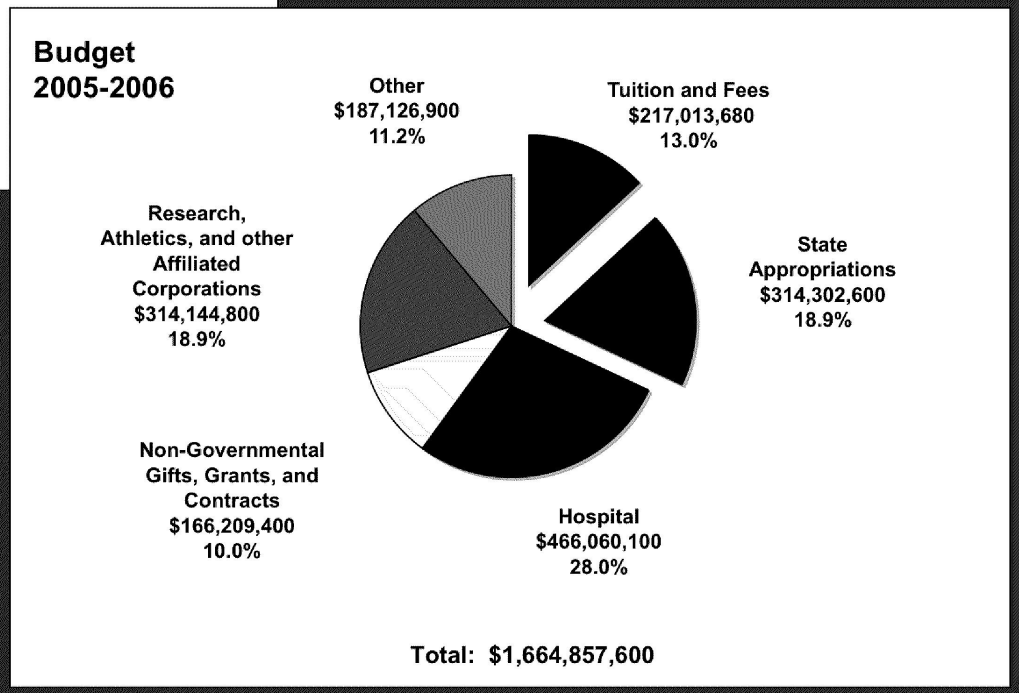

# *State Appropriations*




Source: US Bureau of Labor Statistics - CPI-U

# UK's Changing Budget







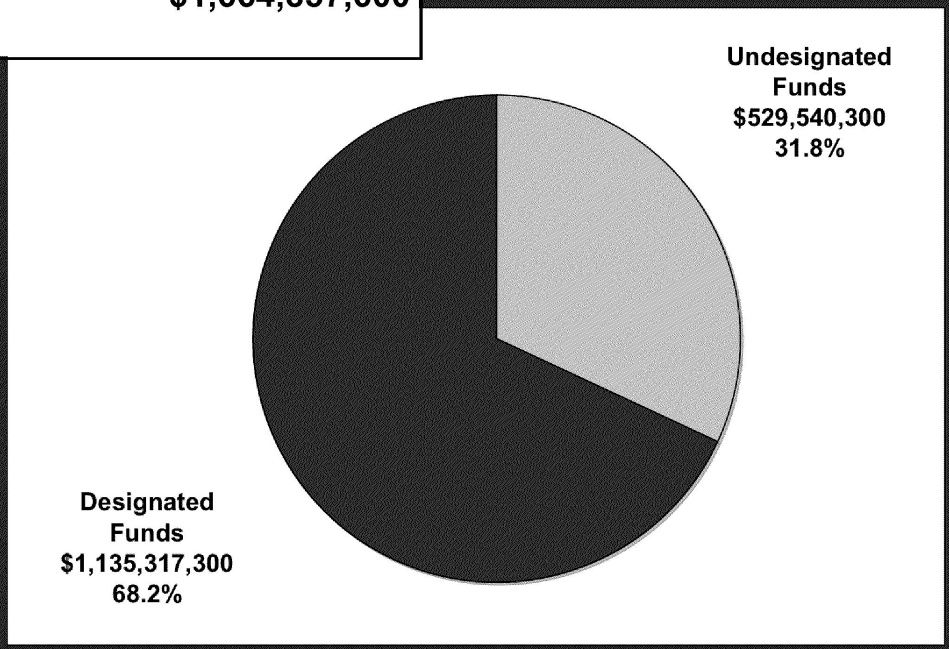

*Succeed*

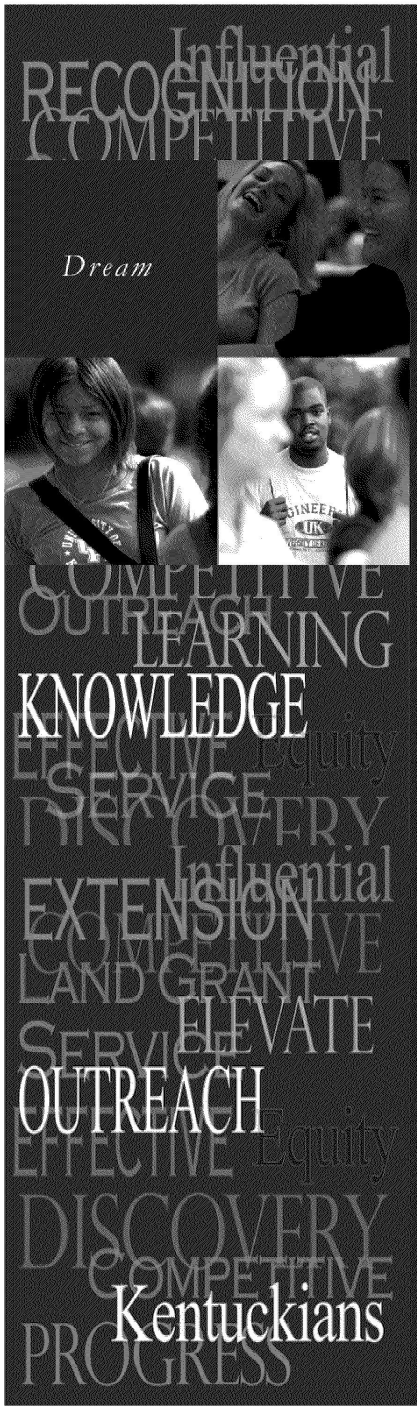
Kentuckians

# *UK's 2005-2006 Budget*

| **Undesignated General Funds for Educational and General Activities** | |
|---|---|
| State Appropriation | $314,302,600 |
| Tuition | 169,817,800 |
| Other | 45,419,900 |
| **Total** | **$529,540,300** |
| | |
| **Designated General Funds** | |
| University Hospital | $466,060,100 |
| Research, Athletics, and Other Affiliated Corporations | 314,144,800 |
| Non-Governmental Gifts, Grants, and Contracts | 166,209,400 |
| Fees | 47,196,000 |
| Other | 141,707,000 |
| **Total** | **$1,135,317,300** |
| | |
| **TOTAL** | **$1,664,857,600** |



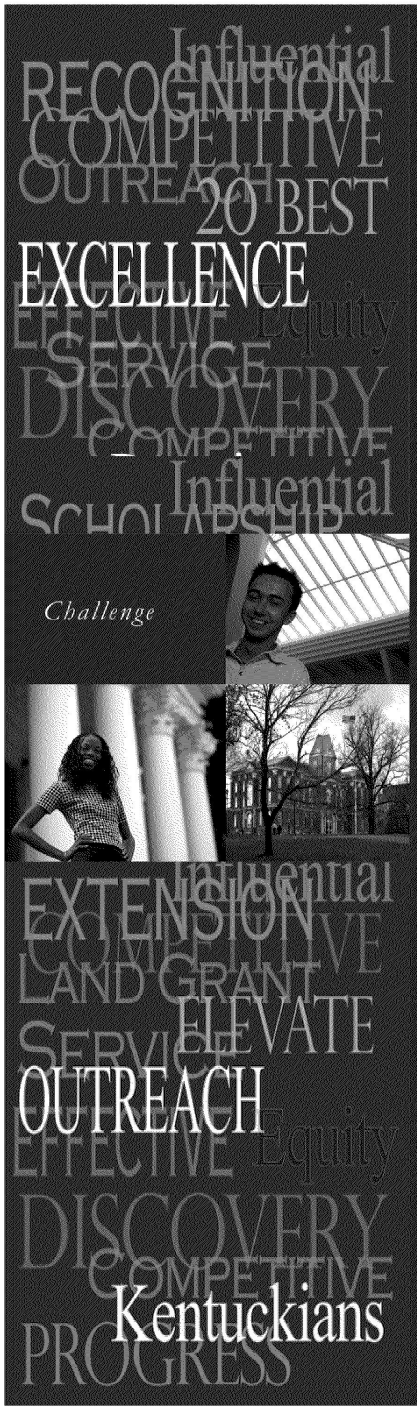






# *2005-2006 Budget Highlights*

## Undesignated General Funds for Educational and General Activities

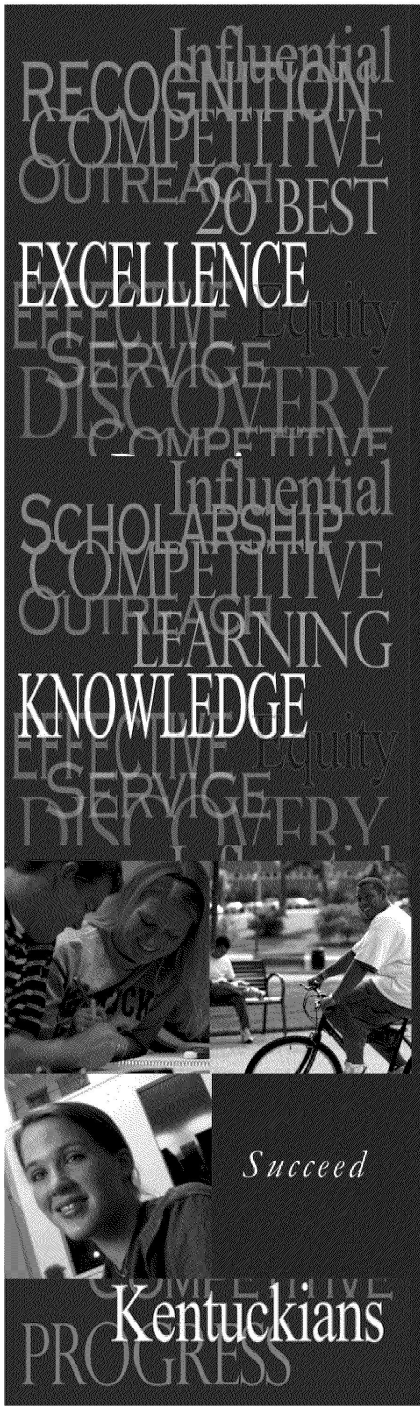
| | | |
|---|---|---|
| **FUNDING SOURCES** | | |
| Additional State Appropriation | | $ 13,248,100 |
| Earmarked State Appropriations: | | |
| County Extension Agents | 1,000,000 | |
| Kentucky Health Care Infrastructure | 175,000 | |
| Collaborative Center for Literacy Development/Reading Recovery Teacher Training Program | 600,000 | |
| West Liberty Regional Technology Center | 750,000 | |
| Maintenance and Operations and Utilities | 2,887,900 | 5,412,900 |
| Tuition Revenue | | 15,794,000 |
| Other net income from investments | | 3,833,000 |
| | | $ 38,288,000 |
| **FUNDING NEEDS** | | |
| Salaries (four percent salary increase pool and additional funds for retention and equity) | | $ 15,007,200 |
| Benefits (including health insurance) | | 2,489,500 |
| Scholarships | | 11,604,100 |
| Dedicated Tuition Differential | | 1,334,000 |
| Earmarked State Appropriations | | 5,412,900 |
| Program Improvements, including the Integrated Resource Information System (IRIS) | | 3,603,400 |
| Academic and Public Safety Improvements | | 1,760,800 |
| | | $ 41,211,900 |
| **INTERNAL REALLOCATION / RESERVES** | | $ 2,923,900 |




# *2005-2006 Budget Highlights, cont.*

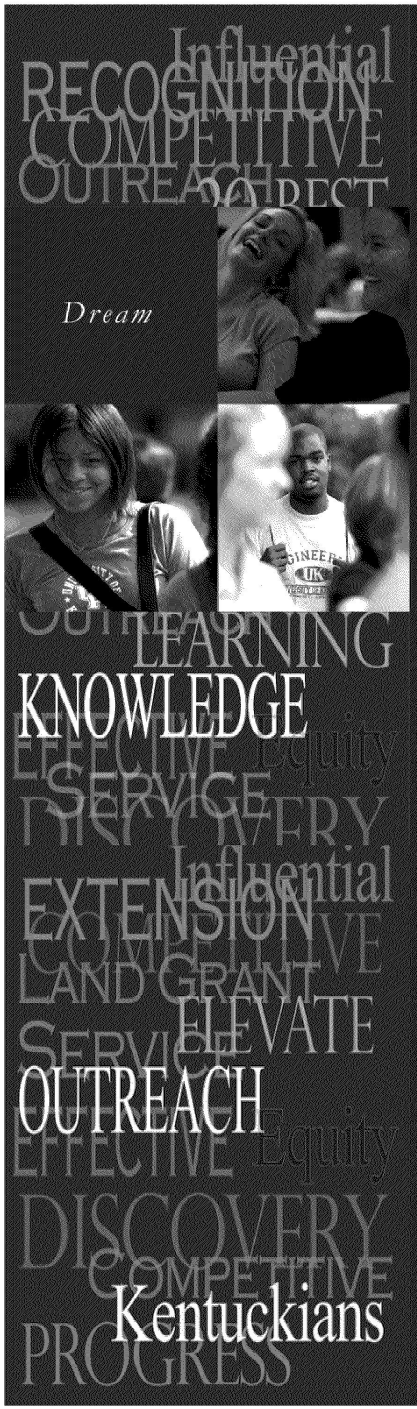
Capital Projects:

- Biological Pharmaceutical Complex - Phase I
- University Hospital Patient Care Facility - Phase I
- Livestock Disease Diagnostic Center - Phase I
- Student Health Facility




# *Challenges*

- Top 20 Mandate
- Recruiting and Retaining Faculty
- Enrollment
- Affordability / Tuition Rates
- 2006-08 Budget Cycle
  - Operating Budget
  - Capital Projects
- Post-Retirement Benefits




"The General Assembly has mandated that UK become a Top 20 public research university by 2020. Over the next 15 years, we will continue to build the kind of university our youngest Kentuckians deserve. Together we will dream. We will challenge. We will succeed." *- Lee T. Todd, Jr.*

