MINUTES

Meeting of the Board of Trustees
University of Kentucky
1:00 P.M.
December 13, 2005
18th Floor Patterson Office Tower

Minutes

Accompanying items:

President's Report and Action Items

PR 1	President's Report to the Trustees
PR 2	Personnel Actions
PR 3	Proposed Revisions to the Administrative Regulations
PR 4	Proposed Amendment to the Governing Regulations

Academic Affairs Committee Report

AACR 1	Candidates for Degrees
AACR 2	Change in Name of the Department of Geology
AACR 3	Change in Name of the College of Agriculture

Finance Committee Report

FCR 1	Anonymous Gift and Pledge
FCR 2	William F. Beaven Pledge
FCR 3	James R. Boyd Gift and Pledge
FCR 4	Leo P. Branstetter Estate Gift
FCR 5	Iola W. Harding Gift and Pledge
FCR 6	Sarah Scaife Foundation Gift and Pledge
FCR 7	James and Diane Stuckert Gift
FCR 8	Doris S. Bailey Trust Gift
FCR 9	Thomas W. and Janet R. Lewis Gift and Pledge
FCR 10	Kentucky Nephrology Research Trust, Inc. Gift
FCR 11	University of Kentucky Top 20 Business Plan
FCR 12	Acceptance of Interim Financial Report for the University of Kentucky for the Three Months Ended September 30, 2005
FCR 13	Authorization to Acquire Property for Bio-Medical Research Building Site
FCR 14	2005-06 Budget Revisions
FCR 15	University of Kentucky 2006-08 Capital Request Status Report
FCR 16	Patent Assignment Report
FCR 17	Capital Construction Report

Top 20 presentation

Capital Projects presentation

Minutes of the Meeting of the Board of Trustees of the University of Kentucky, Tuesday, December 13, 2005.

The Board of Trustees of the University of Kentucky met at 1:00 p.m. (Lexington time) on Tuesday, December 13, 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 1:07 p.m. and asked Ms. Pam May, Secretary, 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, Penny Brown, Jeff Dembo, Marianne Smith Edge, Rebecca A. Ellingsworth, Ann Haney, James Hardymon (Chair), Pamela May, Billy Joe Miles, Roy Moore, Phillip Patton, Steven Reed, Frank Shoop, Myra Leigh Tobin, JoEtta Wickliffe, Russ Williams, and Barbara Young. Absent from the meeting were: Dermontti Dawson, and Billy Wilcoxson. 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 1:07 p.m. and proceeded to explain that the conduct of business at the meeting would deviate from the order on the agenda. After passage of the consent items, Mr. Hardymon will call on President Todd to present FCR 11 during his president's report, although voting on acceptance of the proposal would not take place until Ms. Wickliffe gave her Finance Committee report. In addition, there would be no Investment Committee report, as there was no meeting of the group in December.

C. Consent Items

Mr. Hardymon also stated that there were some consent items on the agenda that he would handle at this time. They include the minutes of October 25, the personnel actions of PR 2, and FCR 1 through FCR 10. He called for a motion to accept the consent items. Ms. Ball so moved, and Ms. Haney seconded the motion. Comment was heard from President Todd who addressed a question about PR 2 brought to his attention by Dr. Dembo. Dr. Dembo had noticed that on the first page of PR 2, the current title of Dr. William Turner was incorrectly written. The mistake was corrected on an addendum sheet supplied to board members at the meeting. President Todd also took the opportunity to explain the reason for the change in title, stating that Vice President for University Engagement and Associate Provost for Multicultural Affairs would more accurately reflect Dr. Turner's job duties. Engagement is a very popular term used for such positions at universities due to a Kellogg

Foundation major study about the engaged university. Further, changing the word initiatives to engagement would better amplify that we are going to be a much more engaged university with the state, as well as give us better alignment with other universities. In addition, the term is more descriptive of the fact that we are now going to be engaging all of our university resources to promote diversity and diversity-related issues. Mr. Hardymon called for a vote, and the consent items passed without dissent.

The consent items follow:

Minutes	October 25, 2005
PR 2	Personnel Actions
FCR 1	Anonymous Gift and Pledge
FCR 2	William F. Beaven Pledge
FCR 3	James R. Boyd Gift and Pledge
FCR 4	Leo P. Branstetter Estate Gift
FCR 5	Iola W. Harding Gift and Pledge
FCR 6	Sarah Scaife Foundation Gift and Pledge
FCR 7	James and Diane Stuckert Gift
FCR 8	Doris S. Bailey Trust Gift
FCR 9	Thomas W. and Janet R. Lewis Gift and Pledge
FCR 10	Kentucky Nephrology Research Trust, Inc. Gift

Mr. Hardymon then called upon President Todd for his report.

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

President Todd first stated that the provost search process is moving forward. Terry S. King from Kansas State University and Kumble Subbaswamy from Indiana University were selected by the search committee and have made campus visits. He hopes to make a selection very soon and be able to close the process. He wanted to be sure to give an update to the Board at this time.

President Todd stated that he would give a brief overview and called attention to the following items in PR 1:

Rehabilitation Counseling Program Ranks 6th Internationally

President Todd said that he is pleased to announce an important ranking. UK's rehabilitation counseling program was ranked 6th out of 901 international institutions in research productivity. The ranking was the result of a study published in the fall 2005 issue of *Rehabilitation Counseling Bulletin*, the flagship journal in the field.

Patterson School Receives Top Ranking

The Patterson School of Diplomacy and International Commerce has been ranked 18th among universities in the United States with master's degree programs in international relations by the magazine *Foreign Policy*. UK is the only program in the South to be on the list. This ranking makes them solidly in the Top 20.

$5 Million Grant Received to Establish National Clearinghouse
Crystal Collins-Camargo, clinical faculty of the College of Social Work, is the principal investigator on a recently awarded $5 million, five-year grant from the U.S. Department of Health and Human Services Children's Bureau.

IHDI Receives $5.2 Million Grant from State Division of Child Care
UK's Interdisciplinary Human Development Institute, which is very heavily involved in research, received a $5 million grant to look at child care resources and improving the quality of early parent education programs.

Men's Chorus Garners National Attention
Our men's chorus was one of only 10 collegiate choirs chosen to perform at the educators' national conference in Salt Lake City. There were over 200 applications for those positions.

President Todd concluded his PR 1 report by urging board members to read the other parts of PR 1, which contain many other important news items and awards for UK personnel and students during the recent weeks.

E. Proposed Revisions to the Administrative Regulations (PR 3)

President Todd asked that the board turn its attention to PR 3, an administrative regulation change that was first brought to the Board on October 25 which clarifies the procedures for determining residence. As this is the second reading for the change, President Todd requested approval of the revision to AR III-1.1-4.

Mr. Hardymon called for a motion to pass PR 3, and Mr. Shoop so moved. Ms. Smith Edge seconded. The motion passed with no dissent.

F. Proposed Amendment to the Governing Regulations (PR 4)

President Todd stated that PR 4 is a proposed amendment to the UK Governing Regulations that brings into UK's operating parameters the standards of the Sarbanes Oxley Act. NACUBO has recommended that universities comply with the spirit of Sarbanes Oxley and issued an advisory and provision for this act that makes it unlawful for a public company officer or director to fraudulently influence, coerce, manipulate, or mislead an auditor in the performance of an audit. NACUBO recommends that this issue be addressed in an institution's code of conduct and code of ethics as a specific violation. Thus, the revision to the Ethical Principles and Code of Conduct presented in PR 4 is proposed to make our regulations compliant with the recommendations of NACUBO. The Audit Subcommittee agreed with this proposal, and it was recommended by Treasurer Henry Clay Owen. Dr. Todd requested passage of PR 4.

Mr. Hardymon asked for a motion, and Mr. Reed responded, seconded by Mr. Miles. Mr. Hardymon then gave Mr. Owen an opportunity to comment on PR 4. Mr. Owen

responded that the only comment he would make is that this would complete the university's compliance with all of the best practices that were recommended by NACUBO for colleges and universities as they relate to the provisions of Sarbanes Oxley. With the implementation of PR 4, UK should be in full compliance with all the best practices.

James Hardymon called for a vote on PR 4, and it passed without dissent.

Dr. Todd stated that he wanted to give an update on some diversity actions that have occurred since the Board of Trustees meeting in October. In the area of student recruiting and enrollment management, UK has under way a full analysis and an external review of its recruitment efforts. External consultants will present a professional market analysis for helping us with our recruiting process. We want to analyze the quality and the quantity of the scholarships that we offer. UK has the lowest relative percentage of our education dollars in general budgets for scholarships, and we need to look not only at increasing that but also at how to target the provision of a diverse and competent student body. A comprehensive analysis of student success will be conducted to determine what factors are important for student success, an effort to improve retention across the board. UK will try to close the gap for African American retention. Vice President for Institutional Equity Terry Allen conducted three diversity training workshops for the entire enrollment management staff. Over 200 members attended.

In the recruiting area, Dr. Todd has created a diversity enrollment team which combines Dr. William Turner's multicultural group's recruiting efforts with those of Admissions Director and Registrar Don Witt's group. Six of eight new positions have been filled. Fifty-five candidates have applied for the position of diversity enrollment coordinator, a joint position shared by the Turner and the Witt recruitment groups. A committee will select 10 from that group of applicants, and the position should be filled soon. We have increased the operating budget for student recruiting. We have also hired an additional 7 students of color to work in the Visitor's Center at UK, and the university has already felt an impact from this action because 500 students have visited the university in what is called the Come See for Yourself Program. The staff is now making personal calls as follow-up to those 500 students to see what their reaction is and to see if they have any remaining questions or anything we can help them with. We are looking at a new holistic review process that is being implemented to increase the parameters that we look at, so that we go beyond the ACT and the GPA to include such factors as leadership, special talent, and contributions to community diversity.

We have added three new admissions officers because that process is going to be time consuming. We will look at all applications, not just the African American ones. The University Senate has approved our revised admissions process and the criteria.

President Todd met on October 31 with approximately 40 members of the African American faculty. He stated that he plans to announce during the week of the Board meeting a task force on racial diversity and equity. Bill Turner will be asked to chair the task force, and he will be appointing members to that task force shortly thereafter.

One of the recommendations from the October 31 meeting was that the President disband the Commission on Diversity. President Todd met with that commission recently, and they felt strongly that they look at a wider range of diversity than just the African American situation. They want to continue meeting, and President Todd will allow them to continue. The Commission on Diversity has selected co-chairs. President Todd wants them to begin immediately looking at the diversity task force report that Dr. Deneese Jones prepared with input from many people across campus so that we can begin implementing its recommendations. President Todd has requested that Vice President Connie Ray and her office help monitor progress made in implementing the report.

On December 12, a contracting seminar was held for minorities, including blacks and women, to look at current building projects on campus. The presenters expected about 50 people to attend; 200 showed up. They went through in very great detail all of the opportunities to bid on various campus projects. Dr. Todd was pleased to report that BBSRB building statistics showed 21 percent of the work on that project went to minority firms. In student housing, 12.3 percent went to minority firms and women-owned companies. The Memorial Coliseum project under way has 7 percent minority and women firms, with a very large number of small firms involved. President Todd feels strongly that the support of small businesses and minority-owned businesses is a very important thing the university can do for the local community to promote and support diversity. He thanked Bob Wiseman and his group for their attention to the use of such businesses.

President Todd then spoke to the board about the Top 20 Business Plan that will be voted on in FCR 11.

Mr. Hardymon stated that to give the Top 20 plan the emphasis it needs, he decided to ask the president to discuss it extensively during this part of the meeting. A motion and the vote will come during the Finance Committee report later in the meeting. Board members were encouraged to ask questions or make comments either during the time the president is speaking or during the time when Ms. Wickliffe presents the FCR. He stated that the two board members who were not in attendance have already participated in a special session with the president.

President Todd began by recognizing the team of personnel who were instrumental in putting the Top 20 plan together. He asked each to stand and be recognized for their important part in the year-long process of preparation of the report. He called the names of Elizabeth Baker, Mark Denomme, Angie Martin, Connie Ray, Jolynn Noe, and Bill Swinford. He requested a round of applause for them, which was given by all in attendance. President Todd also thanked others: Scott Smith, Frank Butler, and Ernie Yanarella. He thanked everyone for the tremendous effort that they had made and for their excellent work.

President Todd continued, stating that there has been a lot of coverage on this plan, for which he is very appreciative. The process was initiated in a 1997 act by the governor and the legislature to challenge UK to become a Top 20 university. At that time, the community colleges were removed from the University of Kentucky, and UK was challenged to go forward and pursue this plan. President Todd feels that the implementation of the plan

is up to the UK Board, its faculty, and its staff. He stated that if we go to sleep one night and wake up the next morning and say that we are not going to pursue this, that will be it. It's really up to us. It is our responsibility to bring to the state and to the leaders of the state why it is vitally important for the state of Kentucky, not just this institution, to have a Top 20 institution and for us to strive to achieve that purpose.

At that point, he began a slide presentation, which he used throughout most of the remainder of his address.

FCR 11 is a financial document. It lays out in broad terms the numbers of faculty and students that would be involved in achieving Top 20 status and the financing modes needed in order to pursue this challenge. The Top 20 Business Plan will be followed by the Strategic Plan that will start up next semester. Preparation of the strategic plan will be different from last time. The strategic plan is what will actually put into place the needed operating principles to drive this plan to fruition.

President Todd is pleased with the progress that has been made at this institution over the past eight years, and he hopes the Board shares his pleasure in those achievements. There was no definition of exactly what Top 20 would be. There was no plan put in place when it was legislated in 1997. Had the legislators spelled out some of the things that they wanted UK to achieve, it is likely that UK would already have exceeded those goals. Enrollment has gone up 10 percent, although it has been held down somewhat in the past few years because of lack of budget. Graduation rates have performed extremely well, growing from 48 percent to 60 percent. A lot of work has gone into that, and there is still more work to do.

Research expenditures started at under $125 million and are now almost $300 million, a clear testament to the faculty and the staff of this institution. Our endowment has gone from under $200 million to its current level of around $556 million as of last month, even during a time of dot com failures, 9-11, and the Enron debacle. The way that UK's supporters have stepped up is extremely impressive. We have taken the number of endowed chairs from 22 to 95 and endowed professors from 45 to 210. To achieve this type of improvement was one of the principal reasons for passage of Bucks for Brains, to try to let us catch up with the number of endowed positions in our benchmark states like North Carolina and others, the states with institutions that are in the Top 20.

One of the points that must be made is: Why does it make a difference if Kentucky has a Top 20 institution? Kentuckians seem to know exactly "who we should play in basketball, how we should play, why we lost the [2005] North Carolina game. . . ." But people need help in the discovery of how they could benefit by having a Top 20 university in the state. President Todd remarked that he had written an op ed piece on this topic that appeared in the Louisville *Courier-Journal* and that will be published in the Lexington *Herald-Leader*.

Categories really spell it out, however. Median household income, population on Medicaid, below-poverty-level population, and populations with bachelor's degrees—these statistics are key in explaining the benefits of having a great educational institution.

Comparing state averages to averages of Top 20 states, the ones that have Top 20 universities, reveals that the Top 20 states are above the national average where it is good to be above it, and they are below the national average where it is good to be below it.

Kentucky on the other hand is just the opposite. Nineteen percent of its people on Medicaid, whereas the Top 20 states show 14 percent. If Kentucky could get to 14 percent, it would save $850 million a year on Medicaid. Looking at these categories is quite convincing. After seeing this presentation last week, Mr. Hardymon pointed out that if you chose four of these categories and if the Top 20 states were good in some and not good in others, you might think there is no correlation. But the fact that in all four of these cases the Top 20 are better than the national average leads to a conclusion that it is a good thing to be a Top 20 state, and this state needs to aspire to be so.

Legislators and other leaders around the state who have seen the Top 20 plan have appreciated that there has been a strong attempt to spell out the plan using measurement. We looked at how the AAU ranks universities, at how Lombardy Center measures things, and at how *U.S. News and World Report* compiles its statistics. We talked to our deans about what we should and should not measure, and this is what it boiled down to. We put undergraduate education first. That is really the lodestar for this university. We cannot take our eyes off the undergraduate education situation. And in looking at that domain we will measure three things:

- The entering ACT/ SAT scores will tell us: Are we attracting quality students; are we building that reputation where we get the best in the country.
- Are we maintaining our student-faculty ratio? This is one thing that has gone awry in the past few years. With strong emphasis on recruiting and little money to hire and retain good faculty, our student-faculty ratio has deteriorated. Having large quantities of research dollars does not make up for a worsening student-faculty ratio.
- We also look critically at the six-year graduation rate: the state of Kentucky is severely behind in the number of baccalaureate degree holders. Bringing people in to attend UK is only part of the equation; they have to graduate.

In graduate education we measure the number of doctorates granted and the number of post-doctorate appointments to UK because these measure the quality of research programs and whether our institution is attracting post-docs to come here to work with our scientists, writers, engineers, and performers.

Faculty recognition is measured by counting the number of citations in refereed scholarly publications. We don't measure publications alone; if nobody cites a publication it probably means that it is not the kind of publication that is going to build a reputation. The more citations an institution has, the better the view by the academic community of the quality of work. Likewise, we measure faculty awards that are awarded on a national basis.

Research is also important. It is divided into federal and nonfederal categories. Winning federal research dollars means that a scholar has competed with everybody across the nation.

The statistics we will use for ranking institutions, including UK, break these measures of success into two separate departments. President Todd presented charts displaying nine measures and four domains, on which the Top 20 team did a statistical analysis comparing UK to 88 public universities chosen because they receive over $20 million worth of federal research funds. These are research universities, and they are public. Doing an analysis for each of those yields curves.

UK is represented by the 49th position in terms of ACT scores and graduation rates. Having the chart, we know who is in front of us, and who is behind us. We know the names of all those dots. And we know what we have to work on.

In graduate education, we are 34th. When we look at faculty recognition we are 37th. We are highest in federal-nonfederal research, where UK is 35th in federal and 23rd in nonfederal amounts. The composite of these two measures is a ranking of 26.

We roll these four graphs into one, and we come out with what we call the composite rating. And as of now, we are 35th. We were 40th in 1997 when House Bill 1 was passed, so we have moved up 5 positions. The business plan shows two time lines. The line for 2012 shows our goals for overtaking the 8 dots immediately above us. The line for 2020 shows where we want to hit that curve.

Slope of the curve shows the difficulty in overtaking the next institution. The graph shows that when you start up that curve it gets a little steeper, and then that curve becomes even steeper. We can take some consolation, however, in having quantitatively stated what it takes for us to move; we can measure it every year. We will measure the numbers. Stillwater, the consulting group we used, did an excellent job of coming up with the technique for doing this measurement. They can run the numbers for us and report back to us. We can see where we stand.

To go one level deeper for each of these parameters, we have a chart showing the 6-year graduation rate. We do a gap analysis, and in 1997 we were ranked 64th with a 48 percent graduation rate. The 20th position had 68 percent. If you look at the 7-year span, the institution already in a Top 20 position moved just 4 percentage points. We have gone up 12, so we feel that we can close that gap over time.

Using the Strategic Plan, we intend to look at what to do. We have to close the gap. Choices could include to add more winter term courses, recruit better students, or to add more advising. It is our task to determine what would work best. And that is why we will be laying out operational plans using the expertise of our faculty and staff to examine that gap and see how we can close it.

Unfortunately, among our competition, nobody is sitting still. There are major states around this country that are making huge investments in research, even in the current difficult economic situation. UK has made a pretty big jump in its research dollars, about $40 million in each of 5 years. While UK went up $40 million, the 20th position university went up $60 million, so that gap has even gotten wider. But again, this is a gap we can

analyze, and we can start setting some strategies about how do we go about eliminating the gap.

Most of our benchmarks are bigger than we are. Size does make a difference because when the rankings look at research volume, they don't care that Ohio State has twice the faculty UK does. They just look at the raw numbers and how much research they do.

Several drivers became apparent as we went through this plan, we have to be bigger. The Council on Postsecondary Education (CPE) projected some time ago that UK needs to produce more baccalaureate graduates, 6,200 per year. Adding additional baccalaureate students while maintaining an acceptable student-faculty ratio requires an institution to have more faculty.

This analysis first says that we have got to increase the number of faculty and then increase enrollment. It would not be fair to the faculty in this institution for us to boost the enrollment without adding faculty first. This plan shows that we will not increase the size of our freshman class until 2008. But we plan to add 27 faculty members a year for the next 15 years to get the number of faculty we need to work our student-faculty ratio into where we want it to be.

To continue to improve the quality and the diversity of the undergraduate students, UK must improve the financial support it offers. It is not acceptable to sacrifice quality to achieve quantity. We propose that we are going to increase the number and the percentage of out of state students. We are going to do that in a targeted way, to go after quality. But we have to improve financial support to continue to pursue quality.

We must also increase the average instructional faculty salary to the benchmark median. The Strategic Plan we are operating under now, in one of the places we will fail on the current strategic plan, says that we want to get faculty salaries to 90 percent of the median. The Top 20 plan says that by 2012 we want to be at the median for our benchmarks. We are projecting a 5.5 percent increase for faculty over the first six years of this plan.

At the same time we have got to maintain competitive staff salaries and benefits. Keeping staff at such a level means we can retain and add to the expertise that is needed to make this dream a reality.

Growth targets for 2012 include: undergraduates would grow by 6,200, graduates by 750, and post docs by 375. For faculty, growth is to the level of 625; 125 of those would be research faculty, and 500 would be instructional faculty who would, in addition, do research. We want our research expenditures to grow to about $768 million.

We tried to calculate a financial gap for 2012 through 2020. If we get no state fund increases over this time period and we have a flat tuition rate increase of 4 percent, in 2012 we would need $218 million in our general fund budget to keep us on this plan.

We know that Kentucky is not a wealthy state, but we know that we can increase our annual giving. Currently, many of our scholarships come out of our general fund. If annual giving can increase scholarship endowments, or if research dollar increases are able to allow investment through overhead contributions, or if we can count on hospital and clinical services to continue producing additional revenues, that is, if by some method we can project by 2020 that contributions will furnish $21 million to our budget to offload expenses that are presently impacting the general fund, the goal is achievable.

By internal reallocation, we are projecting $2 million in savings a year throughout this plan. We will continue to cut costs wherever we can. We will be looking at efficiencies that we can generate in order to allow us to make our contributions. And we feel that by 2020 such savings will accumulate to about $30 million per year that will contribute toward our growth under this plan.

It is important to tell people when we lay out this plan that UK is picking up 40 percent of its cost. If UK received $18 million from the state (CPE has already recommended $13.7 million for us, so this is only an additional $4 million), this amount could be coupled with a reasonable (below 10 percent) tuition increase, then we could proceed with this plan. If, however, we get $10 million from the state, in order to get the same amount of usable money in our budget, we would have to have a 14 percent tuition increase. The alternative is to give up some of the ambitious numbers like pay increases. This Top 20 plan represents the first time we have really shown a quantitative relationship between the state budget and tuition.

UK's starting point [referring to the chart]: we had last year in our base this amount of money, and the state gave us $18.6 [million] additional dollars—$5 million of that to go for specific needs and only $13.6 million toward our operational budget. The line showing the current allocation carries over to become a new yellow bar for our base for the year 2007. What our plan calls for is $17.7 million in the first year of the next biennium and $18.7 million the following year. That is $4 million more this year than the CPE request and $5 million more during the second year, a total of $9 million above CPE's request. This $9 million is an important increment.

CPE's method of benchmarking does not take into consideration the economic models of the institutions that we are facing. CPE compares us, our state appropriation, and our tuition to our benchmarks' state appropriation and tuition. This methodology is used for all the universities in the state. We look fairly close to our benchmarks using these measures.

What this technique fails to take into consideration is the fact that our benchmarks, back when our endowment was around $420 million, enjoyed average endowments of $1.2 billion. And when our federal research money was $100 million, their federal research measured $250 million. The overhead from vastly more research dollars and larger endowment incomes has afforded such institutions about $100 million a year for a long time and thus enabled them to get to where they are. One crucial point to make to CPE is that UK needs an accelerator to catch up. And that is exactly what this bar shows, that we need an accelerator.

Thus, over time, the CPE budget would have to increase about 5.8 percent and our part would be $4 to $5 million above that.

That is just the operating side of the budget. On the facilities side, we must look at how many more classroom square feet we would have to have, how much additional research space would be required to support an increased student body, additional professors, and more research. The plan cannot work without the addition of expenditures for infrastructure.

For this year, we are asking the legislature to furnish capital as follows:

- To fund the rest of our pharmacy/biology building, $80 million; to provide us the rest of the authority to produce our patient care facility, $175 million. This request is asking for permission to spend our own money.
- State money will be requested for the Gatton Building at $40 million and the biomedical research building design, $7.6 million.

Those are the capital amounts we are requesting. We were treated fairly well last year in the budget. The governor and the legislature enabled us to get us started on the physical plan for the pharmacy complex. They granted us authority for the student health center and half of the authority for the patient care facility. To remain on plan will require this additional expenditure.

In addition to capital, however, we need some flexibility. The requirement to add a significant number of students (the plan is to increase our freshmen class size only in 2008) requires new dorms. We need the ability to have some control over scheduling the construction of those dorms. We currently receive less than 20 percent of our base budget – our operating expenses – from the state of Kentucky. It has been my argument that if we get less than 20 percent, we should have more flexibility in bonding and more ability to make our own decisions. We will be asking for that, some way to get increased flexibility.

Additional flexibility is desirable through the lifting of certain thresholds that are in place. In the Finance Committee meeting today, the discussion included the fact that any expenditure over $400,000 must be approved through the state. We would like to have that threshold increased because it has not been changed since the early 1990s. This threshold holds us back; we could be renovating K-Lair or the Student Center cafeteria right now, but we have to wait until the next legislative session to get approval to spend our own money for those things. Thus, we are after some flexibility. We are getting good vibes from the legislators and the administration that such requests might be granted.

This is our legislative package specifically, for capital and for legislation this time. Additional information will be available via a web page and printed publications.

It is important to understand the level of work that has gone into the Top 20 plan. It looks at UK from about every angle possible. The plan is couched in terms that legislators and business people can understand. It has been one of my concerns that universities do not speak the same language as legislators and business folks. They are used to asking for two-

year budgets and waiting to see what they get and then dealing with that. Then they wait another two years and in the meantime limp along taking what they get. Legislators, I think, say "Well, they have always survived in the past." Universities seem not to get the top swath. Perhaps legislators do not take universities as seriously as they should. But I hope that by tying our request to a cohesive plan that is long term, one that lays out all the parameters we need to fund, will help everyone to better understand our case and will help the university to receive what it needs.

President Todd closed his remarks with "I have been very pleased with the external acceptance of this on campus. As I said earlier I have spoken to nine different colleges now. I like the kind of questions I am getting. The faculty and staff will be involved in figuring out where these 625 faculty go when we hire them. There is still a lot of work to do, but I believe we have put a platform in place, Mr. Chairman, and I would like to seek approval from the Board of Trustees so that we can march forward on this plan. Thank you."

Mr. Hardymon complimented the president on his presentation and said that it represented good work. President Todd said that he was getting a lot of practice presenting it. Mr. Hardymon asked for comments from the room and called on Dr. Moore.

Dr. Moore asked the president to elaborate on phasing in the students and faculty.

President Todd stated that UK's top E&G (Education and General) priority is the business school. Getting funding for the new business school frees up a large facility in good condition with a good location on campus. Second priority is Law School, which likewise frees space upon its funding. Probably the next priority would be Chemistry/Physics. Before any of these events, completion of the pharmaceutical building makes available the pharmacy building, all of which would furnish additional faculty space. Some renovation money would be required for all of these projects.

Mr. Hardymon remarked that one of the presentations in the Finance Committee meeting explained more about immediate and approaching building projects. He asked for further questions and comments and pointed out that the motion on the Top 20 plan would come later.

He also remarked that planning and strategy and business plans are much harder than making products, and thus he compliments the president for putting together the plan. He also agreed on the university's need for flexibility, but in addition, he urged that Board members maintain their flexibility to allow needed changes in the Strategic Plan to come. This remark was based on his own experience. He urged the Board to "stay up together on this as we move on, and it will give us some tremendous guidelines as we go forward." Mr. Hardymon returned to committee reports and asked Ms. Tobin to present her report to the Academic Affairs Committee.

G. Candidates for Degrees (AACR 1)

Ms. Tobin reported that the committee met that morning with full attendance and had three action items to consider. AACR1 presented the names of candidates for degrees in December. There were 904 graduate degrees, 11 professional degrees, and 1,174 undergraduate degrees for a total of 2,089. The recommendation is that the president be authorized to confer these degrees upon these candidates subject to the successful fulfillment of their program requirements.

Mr. Hardymon accepted her motion and asked for a second, which was offered by Ms. Haney. AACR 1 passed without dissent.

H. Change in Name of the Department of Geology (AACR 2)

Ms. Tobin described the second action item as a change in the name of the Department of Geology to the Department of Earth and Environmental Sciences, effective the spring semester 2006. The committee approved the recommendation, which stated that the new name has the advantage of reflecting the more traditional geologic role of studying and understanding the earth while at the same time conveying the integral nature of its more applied environmental role. The resolution had the necessary approvals to be brought to the board, and therefore, Ms. Tobin moved approval of AACR 2.

Mr. Hardymon asked for a second, which was received from Ms. May. The motion passed without dissent.

I. Change in Name of the College of Agriculture (AACR 3)

The third action item was a change in the name of the College of Agriculture, and Ms. Tobin stated that the committee declined to bring this item to the board at this time. It has requested more information to be brought to the committee on this name change. The committee will request that and discuss it at the next Board meeting.

Mr. Hardymon suggested that the reconsideration be put on everyone's schedule for the next meeting.

Ms. Tobin continued her report by saying that she had two informational updates. The Academic Affairs Committee heard a status report from Early Childhood Education by Dr. Jennifer Grisham Grant in reference to the early childhood education program. Also, the committee heard an update on the merger of the College of Human Environmental Sciences into the College of Agriculture by Dr. Ann Vale, who is director of the School of Human Environmental Sciences. These reports were requested by the Academic Affairs Committee after the departments were relocated into the College of Education and the College of Agriculture, respectively.

Progress is being made in both areas. Ms. Tobin pointed out that the faculty-student ratio needs to be improved, and there are some continued challenges, but some very positive moves have secured research dollars and also expenditures to update some of the facilities, particularly in the early childhood education lab. The committee expects to hear from this group again in June with a more formalized report.

Mr. Hardymon asked for comments. Hearing none, he asked for the Finance Committee report from Ms. Wickliffe.

J. Gifts and Pledges (FCR 1 through 10)

Ms. Wickliffe reported that FCRs 1 through 10 were consent items. These are 10 gifts and pledges that total $3.5 million, of which $1.1 million is eligible to be matched through the 2002-04 endowment match program. Once these gifts and pledges are accepted, the university will have matched $25.6 million, or 38 percent of the $66.67 million available.

K. University of Kentucky Top 20 Business Plan (FCR 11)

Ms. Wickliffe continued by saying that FCR 11 is the University of Kentucky Top 20 business plan. She felt that the first paragraph of the plan was especially pertinent: "Let there be no doubt. The University of Kentucky intends to become a Top-20 public research university by 2012 [2020]. We will continue to work towards this goal as we have since 1997 because Kentucky's economic success demands it, and the people of Kentucky deserve it." Ms. Wickliffe moved the acceptance of FCR 11.

Mr. Hardymon asked for a second and stated humorously that he expected that everyone should second it. There were several seconds, but he recognized Ms. Haney and Mr. Williams. He asked for further comments or questions and recognized Mr. Reed.

Mr. Reed began by saying that it is great to be here and hear about the Top 20 Business Plan. He reflected on the progress that had been made by the university as far as educating students and fulfilling our mission, and he pointed out that he expected to be further amazed during the accomplishment of the Top 20 goal.

He praised the university for this plan and President Todd and his staff for the work that has been done on it. He cautioned that it is going to be very important for parents to understand that as the university delivers a better product and increases the value of the degree for its graduates, parents may be asked to pay more. If they understand this, he feels that parents would be willing to pay increased tuition.

Mr. Reed suggested that acceptance of our needs can be more palatable if the tradeoffs are known and understood. The legislature and the public need to understand that as we increase in value, we are contributing more ourselves, and the more the legislature gives us, the less these tuition increases have to be. It is very important that the people understand that they are not getting something for nothing. They are getting something for their increased tuition – increased value for their diploma. The more they give in tuition, the

less they have to give through the legislature and vice versa. The more they give to the legislature, the less they have to give for tuition.

Again, Mr. Reed expressed his pleasure that this dialog has started and in knowing that although sports will always be important at UK, we can simultaneously have serious discussions about the importance of education and that we know what we are going to do to get to our goal. This plan shows that we will not just wait on somebody else to give it to us.

Mr. Hardymon called on Dr. Moore next. Dr. Moore expressed his support for this plan, which he characterized as "a big step forward, a very positive step." He stated that the Senate Council had passed a resolution which was approved yesterday as the full Senate met in regular session and unanimously approved the following resolution:

> Senate Council moves the following: that the University Senate go on record as urging that the Top 20 Business Plan and new Strategic Plan be reconciled, and that process occur through close interaction between the University Senate and the administration.

He urged ongoing and continuing communication and stated his belief that for the success of the Strategic Plan and this Top 20 Business Plan, a faculty buy-in and input will be very crucial to the success. He encouraged teamwork and asked if Senate Council chair Ernie Yanarella or Dr. Dembo wanted to make any comments on this resolution.

Dr. Dembo deferred to Dr. Yanarella. Dr. Yanarella said that he felt Dr. Moore had stated quite well the positive spirit that enervates this particular motion. The Senate Council has been involved on numerous occasions, and the Senate Council chair office has been involved from Day 1. He told President Todd that he was very pleased to have the opportunity to have an open-door policy with the president and to be on the Top 20 Business Plan steering committee. He and others have enjoyed the complete information that has been available to them. He felt that the underlying impetus of this proposal is saying "Let's get on with this, and let's meet that challenge."

Mr. Hardymon commented on the favorable comments and discussion and asked for a vote on FCR 11, which passed without dissent. Afterward, he commented that someone had asked if he voted on the action items. He stated that although he sometimes forgets to say Aye, he will certainly put his Aye on this one.

L. Acceptance of Interim Financial Report for the University of Kentucky for the Three Months Ended September 30, 2005 (FCR 12)

Ms. Wickliffe presented FCR 12: acceptance of the interim financial report for the three months that ended September 30, 2005. She stated that through September 30, the university has realized 31 percent of the revenue estimate and expended 26 percent of the approved budget. The revenues and expenditures are consistent with the prior fiscal year and are in accordance with the present budget. The balance sheet, as usual, is strong with assets of $2.5 billion and liabilities of $552 million. The fund balances of $1.8 billion represent 75

percent equity in the total assets. Revenues ($482.2 million) and appropriated fund balances (of $27.1 million) have exceeded expenditures to date (of $432.2 million) by $77 million, creating a strong cash position in the balance sheet as of September 30.

At the end of the first three months of this budget year, financial operations are consistent with the budget plan, and the financial condition is excellent. On behalf of the finance committee, she moved the adoption of FCR 12.

Mr. Hardymon called for a second and Mr. Shoop responded. The motion passed without dissent. Mr. Hardymon remarked that it helps to have a good set of financials when you are launching a plan.

M. Authorization to Acquire Property for Bio-Medical Research Building Site (FCR 13)

Ms. Wickliffe stated that FCR 13 is the authorization to acquire property for the Bio-Medical Research Building site. By passing this FCR 13, UK will initiate condemnation proceedings for property at 128-136 Virginia Avenue, the parking lot for the Royal Lexington Apartments. The property is needed for the construction of the Bio-Medical Research Building. The Council on Postsecondary Education has recommended $7.6 million of state General Funds for the design of this facility. University officials have attempted in good faith to purchase the property from the owner. On behalf of the Finance Committee, Ms. Wickliffe moved the adoption of FCR 13.

The motion was seconded by Ms. Tobin. Mr. Hardymon called for a vote and the motion passed without dissent.

N. 2005-06 Budget Revisions (FCR 14)

Ms. Wickliffe stated that FCR 14 is a 2005-06 budget revision. The recommended budget revisions total $25.9 million, or 1.6 percent of the university's current general fund budget. The revisions include a $25 million increase in budgeted fund balances. The original budget included an estimate of $24.8 million of remaining funds from the previous year, but the fund balances as of June 30 actually came in a total of $49.9 million. The excess funds are a result of unspent funds in each area, actual tuition revenue that exceeded the budgeted amounts, and $8 million related to employee benefit reserves. On behalf of the Finance Committee, she moved the adoption of FCR 14. Her motion was seconded by Ms. Haney.

Mr. Hardymon thanked her for the second and called for additional questions. He recognized Dr. Dembo, who stated that one of the items on the list is the College of Dentistry fund salary supplements. Clinical practitioners who generate income have funds put into the Medical Center funds for advancement, and some of that is returned to those faculty as a salary supplement. Because that could affect his personal salary, he will abstain from voting on this item and every other time these adjustments are done in the future.

Mr. Hardymon thanked him and called for a vote on the motion, which passed without dissention, Dr. Dembo abstaining. He asked Ms. Wickliffe to present FCR 15.

O. University of Kentucky 2006-08 Capital Request Status Report (FCR 15)

On FCR 15, Ms. Wickliffe requested that Mr. Bob Wiseman give the same presentation to the full Board as he did in the Finance Committee meeting.

Mr. Wiseman stated that FCR 15 represents UK's request to the General Assembly for inclusion in the state's budget. It allows us to have authority for 541 projects, not all of which we will spend but in order to have flexibility we need, as Dr. Todd said earlier, to have them actually in the budget. His presentation would be an overview by offering a snapshot of the past five years plus the next five and show graphically what has been done.

He began his PowerPoint presentation.

The presentation highlighted various construction projects in the recent past as well as construction projects to come in the next five years. Graphics representing each building moved onto the screen separately, and Mr. Wiseman named each building as its graphic moved to a map of the campus. First to slide onto the screen was a building in the area of student services, the new North Dorm construction as well as the dormitories on the south end which were just finished this year. Blue buildings represent completed projects, the yellow is proposed or underway projects, and green graphics signify federal projects.

The Stuckert Career Center that was completed in 2000, and the Bernard Johnson Recreation Center was completed in 2003. Now under way is the design of the Student Health Facility which will open in February of 2008. In the area of classrooms, the Ralph Anderson Building was completed in 2001. The Koinonia Building that was renovated now has a second floor that is being looked at because that floor is shell space which may be used by our Music Department. The Plant Science Building opened in 2003.

The proposed projects include the College of Business and Economics building which produces the ability to renovate the existing building for another use. The new Law School building, which is proposed for the site along Scott Street, again frees the existing building for proposed use. And finally, one area we are looking at very seriously because of the Top 20 plan is the Chemistry-Physics building. Particularly in our undergraduate area, this is how we would accommodate the proposed increase in student growth.

On the research side, the Gluck Equine Research Center opened in 2003, and the BBSRB Building recently opened. The next major research project building is the Biological Pharmacy Complex for which we have received partial funding and for which the remaining $80 million is being sought in the current budget request. The CPST Facility which is located out at Coldstream will be substantially complete the second week of January. The Bio-Medical Building which we just dealt with in the condemnation FCR is located behind BBSRB. A digital technology facility is proposed for design near the Hardymon Building.

Scott Smith has been working with the Federal government to put an agricultural research service or research station on campus behind the Plant Science building.

In the area of support services and infrastructure, we have the Hardymon Building that was completed in 2001, the Main Building in 2004 which included classrooms and a visitors center, the IRIS Building which houses our new major information system upgrade. Our central utility plant expansion along the railroad will be expanded to support the Hospital. Charts were displayed showing all the new parking renovations and expansions in all of the university's facilities along with construction of two new ones.

In the area of public service, again out at Coldstream, is the Livestock Disease Diagnostic Center right along Newtown Pike. In the area of health affairs, the Mary Lou Whitney and John Hendrickson Cancer Facility in 2002, the Wethington Allied Health Building in 2001, the Mersack Building (a building we purchased across Limestone), the Gill Heart Institute, and the major project, the health care patient care facility which will be built over the next 10 years. We are also in the process of studying the movement of the Allied Health Colleges across Limestone. This is kind of the general location for medicine, dentistry, nursing, and others in that area. That will be on the agenda over the next 5 years as we talk about this.

Finally, in Athletics the football practice fields which were completed this year, the Commonwealth Stadium locker room project that was completed last summer, and the Memorial Coliseum project that is going on behind the Coliseum.

This shows a representative sampling of a lot of construction in a lot of areas in the past as well as the upcoming five years.

Mr. Hardymon thanked him for the presentation, which he felt gave a good overall picture of changes on campus. He asked Ms. Wickliffe to continue her report.

Ms. Wickliffe expressed her appreciation for the report and further stated that the Board is to be provided a status report on the biennial capital request prior to the beginning of each budgetary session of the General Assembly. The report presented reflects the projects recommended by the Council on Postsecondary Education for authorization by the '06 General Assembly. The Council recommends state funding for three projects: One is the Pharmacy Building, Phase II; the second is the Gatton Building Complex, Phase I; the third is the design of the Bio-Medical Research Building. Out of that, the Pharmacy Building would be $79.9 million, the Gatton Building would be $40.4 million, and the Bio-Medical Research Building would be $7.6 million. The Council will also recommend that the 2006 General Assembly authorize the second phase of the patient care facility, including $150 million agency bond and $25 million hospital reserves. On behalf of the Finance Committee, she moved the adoption of FCR 15.

Mr. Hardymon received a second from Mr. Reed. The motion passed without dissent.

P. Patent Assignment Report (FCR 16)

Ms. Wickliffe continued with FCR 16, the Patent Assignment Report. She stated that Dr. Baldwin gave a report on it that morning in the committee meeting. The number of patent applicants this fiscal year was two. The patents issued have been five, and the total income has been $338,105.00. On behalf of the Finance Committee, she moved adoption of FCR 16. Mr. Shoop seconded the motion.

Mr. Hardymon took the vote, which was unanimously in favor of the motion.

Q. Capital Construction Report (FCR 17)

Ms. Wickliffe continued her report: FCR 17 is the Capital Construction Report. There were two contract amendments (both within the hospital project). One was the Patient Care Facility which showed a need for an additional $6,591,154 for schematic design which was added to the existing original contract. The second was the College of Medicine Ambulatory Care Area Consulting Services - $137,500.00. There were four change orders: one to the Law School, one to the Football Practice Field, another to the Practice Field, and to Housing. Seven new contracts were initiated: the Student Health Facility; the Patient Care Facility; expansion of the Cancer Infusion Suites; expansion of Emergency Services at the Hospital; expansion of Out-Patient Radiology; expansion and upgrade of the Livestock Disease Diagnostic Center. Five contracts were completed: the BBSRB Building; Electronic Rural Access Phase II for the College of Law; the Commonwealth Stadium Locker Rooms, the new Student Housing/Dormitory Project; and the upgrade to fume hoods in Research Building #3. On behalf of the Finance Committee, she moved the adoption of FCR 17. Ms. Ball seconded the motion.

Mr. Hardymon called for a vote on the motion; there was no dissent. He requested the report of the Student Affairs Committee.

R. Student Affairs Committee Report

Ms. Smith Edge reported that the Student Affairs Committee met that morning and was updated on the proposed changes to the Governing Regulations which will impact the administrative regulations regarding the University Appeals Board (UAB) and the Student Code of Conduct. There has been a working committee comprised of Dr. Joe Fink, chair of the UAB, along with the University Legal Counsel office, the Provost Office, and the Student Affairs Office. The goal in developing these revisions includes clarifying the relationship between SGA and the university as well as consolidating within GR XI all references to the University Appeals Board and clearly defining the relevant authority of the Rules of the University Senate and the Student Code of Conduct. The Provost has been meeting with Ms. Ellingsworth and SGA and reviewing the revisions. On January 9, Dr. Smith and Mr. Greissman will present the proposed GRs to the Senate Council. The Student Affairs Committee is scheduled to meet on January 11 to review the draft. If the Student Affairs Committee approves the draft, Ms. Smith Edge then will bring it forward to the January 24

meeting of the Board for a first reading, with approval to follow at the next Board meeting. This information is an update; no action has been taken in that regard.

The committee also heard Dr. Dorothy Edwards, director of the UK Woman's Place, who gave them an update. The Woman's Place has been in operation since January 2005. It was initially funded by a $200,000 Department of Justice grant, and it exists to reduce violence against UK women. The Woman's Place provides advocacy services, primarily academic, to victims and survivors, and it also advises victims and survivors on how to file complaints through the university judicial system and through the courts. It has approximately 30 clients at this time.

From research that had been reported previously by the Center for Research on Violence Against Women, about 36 percent of UK students report being victims of violence, either sexual assault, assault, or stalking while attending UK. This percentage is comparable to the national norms, but it is also one that UK definitely needs to address.

Woman's Place measures the success of their first year in three ways. In observance of their basic goal, the reduction of violence against women, they have taken proactive initiatives. They have two full-time professional staff, and they are doing much in their first year on preventive and educational programming, having reached over 6,500 students. They have trained over 500 faculty and staff with intensive training about responding to violence against women, and they have worked with 30 victims.

The number one goal is to effect long-term and permanent changes in three areas which are increasing: the number of men and women and all students and faculty, including the Board of Trustees members, to commit ourselves to a safe campus through action; to increase the number of women who reach out to seek help; and finally to decrease the number of women who are victimized each year.

There are very active student groups involved, and these groups have pledged to prevent violence against women. SEEDS is one of them - Students Educating and Empowering to Develop Safety. EARDRUM is a student group with a mission to increase campus safety, and MAVERICK is Men Against Violence and Rape at UK. So even though the numbers are not necessarily exciting, the exciting part is that there is a very active program in place to examine this dramatic issue and to show in a year that some very positive measures have been undertaken to reduce the safety issues on campus.

Mr. Hardymon thanked Ms. Smith Edge for the report and expressed his appreciation that the committee is stepping up very actively. The committee is getting a lot more people at the university involved with the Board through these efforts and with respect to these very important subjects. He called for Ms. Young to give the Hospital Committee report.

S. University Hospital Committee Report

Ms. Young stated that the Hospital Board Committee met the previous afternoon. October was a strong month with an increase in volume and in net revenue. Income from

operations is up $9.27 million from last year. Operating margin is 13.48 percent compared to the previous year-to-date margin of 9.7 percent. This turnaround in the hospital is truly remarkable. She stated that "Dr. Karpf did caution us not to expect the growth to continue at this rate."

Growth has been sustained for over a year and is key to going forward. She felt that the Hospital will keep moving forward but not probably at this rate. Another bright spot – academic medical research is 6 percent ahead of where it was in 2005 and again, this supports the proposed business plan.

A lot of growth to come is going to be driven by research dollars, and it is the biggest growth that the Hospital has had. The building project is on schedule. Work on the Hospital garage is scheduled to start in February of 2006 with completion in June of 2007. Huguelet Drive improvements should start in April of 2006 and be completed by September 2006. The design of the bed tower is getting down to exterior design and what it is going to look like. A broad-based group will be assembled in January to give input into this design feature.

The committee had a very interesting presentation from some nurses and a doctor at the Medical Center. It was a report from the Rapid Response Swat Team Approach dealing with patients moving from ICU to the floor. At this time when we are talking about financials and building projects and moving roads and building garages etc., it is easy for us to forget that the primary mission of the hospital is taking care of patients. This report brought home the fact that the hospital, as part of the strategic initiative, is not just bricks and mortar. They are really working hard at streamlining patient care and quality safety, and patient outcome is the primary goal in any of these things that are going on.

Ms. Young stated that she has talked to Chairman Hardymon, Dr. Karpf, and Ms. Wickliffe, and her feeling was that there is so much going on in the hospital that it would be advantageous for the Board to get periodic updates from Dr. Karpf – perhaps quarterly. And also, as part of the Finance Committee meeting, she feels it would be helpful to have Sergio Melgar, CFO of the Medical Center, to give a short report at all Finance Committee meetings. These measures will tighten the oversight and keep everybody in the loop about current matters. Dollar amounts are large, and she thinks it is important for everybody to have accurate knowledge. This is the way the committee will move in the future and keep everybody feeling that they are part of the process.

Mr. Hardymon thanked her for the report and urged other Board members to attend the Hospital Committee meetings if they can find the time to work it in their schedules. He asked for new business and other business.

T. Other Business

Mr. Hardymon stated that one of the Board's team is going through a tough time. Peggy Way's mother is very ill so Peggy is with her and is very concerned. She is absent today, and our prayers are with her and her family.

He mentioned that the University Staff Senate is having a holiday reception at 3:30 p.m. in the Main Building.

He also stated that there is one other item that slipped through on the board. There is a need to amend AACR 1 Candidates for Degree to include in that list the candidates and students from the Lexington Community College and concurrently the Blue Grass Community and Technical College to make the listing complete. He asked if Ms. Tobin, would amend AACR1 to include these. Ms. Tobin replied that she would.

Mr. Hardymon asked for a second to that amendment, and Ms. Wickliffe seconded. The motion passed without dissent.

Mr. Hardymon pointed out that a handout is being distributed by Mr. Williams so that everyone has the item that Ms. Tobin mentioned in her committee meeting.

U. Meeting Adjourned

Mr. Hardymon wished the Board a Good Holiday and adjourned the meeting at 2:39 p.m.

Respectfully submitted,

Pamela R. May
Secretary, Board of Trustees

(PR 2, 3, and 4; AACR 1, 2, and 3; and FCR 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, and 17, and two PowerPoint presentations which follow are official parts of the Minutes of the meeting.)

PR 1

Office of the President
December 13, 2005

1. Rehabilitation Counseling Program Ranks 6th Internationally

Results of a study published in the fall 2005 edition of the *Rehabilitation Counseling Bulletin* rank the UK Department of Rehabilitation Counseling 6th out of 901 international institutions in research productivity. *Rehabilitation Counseling Bulletin* is considered the flagship journal in the field. This is the only national ranking of rehabilitation counseling programs based on an objective measure – the quantity of published research that professors produce annually in the six core field journals.

2. Patterson School Receives Top Ranking

The Patterson School of Diplomacy and International Commerce has been ranked 18th among universities in the United States with master's degree programs in international relations by the magazine *Foreign Policy*. UK is the only program in the South to be on the list.

3. Gill Heart Institute Studies Anti-clotting Drug

Volunteers at the Jack and Linda Gill Heart Institute were the first ever to receive a new anti-clotting therapy. The drug and its antidote are being developed for their effectiveness in preventing blood clots while at the same time providing physicians the ability to rapidly reverse the effects of the blood thinner to help safeguard patients against uncontrolled bleeding. More than 12 million patients are prescribed so-called "blood thinners" each year to prevent the formation of clots, which can block blood vessels, causing heart attacks, strokes, and other debilitating or life-threatening conditions. Blood thinners pose a risk of bleeding, particularly during surgery. The ability to stop the anti-clotting effects quickly could help protect patients from uncontrolled bleeding. The Gill Heart Institute is one of two sites participating in the Phase 1 trial and is the first site to use the anti-clotting drug and its antidote.

4. Gatton College Expands Its International Exchange Program

With the recent addition of three new international exchange programs to its list of study abroad partners, the UK Gatton College of Business and Economics launched a new Global Entrepreneurs Program. The new exchange partners are business schools at the University of Warsaw in Poland, the University of Neuchatel in Switzerland, and Korea University in Seoul, South Korea. Each university offers a unique academic and cultural environment for learning about international business. Gatton students will begin studying at these top-rated business schools in spring 2006.

5. $5 Million Grant Received to Establish National Clearinghouse

Crystal Collins-Camargo, clinical faculty of the College of Social Work, is the principal investigator on a recently awarded $5 million, five-year grant from the U.S. Department of Health and Human Services Children's Bureau to establish a national clearinghouse for granting privatization efforts in the nation's child welfare offices. The grant is part of the Children's Bureau Competitive Cooperative Agreements Awards for fiscal year 2005. The National Quality Improvement Center on the Privatization of Child Welfare will be housed within the college's Training Resource Center, a facility with a team of professional educators and consultants providing innovative training, technical assistance, assessments, consultation, evaluation, and "best practices" to human service providers and parents working to improve the well-being of children and families.

6. IHDI Receives $5.2 Million Grant from State Division of Child Care

The Interdisciplinary Human Development Institute was awarded two one-year grants totaling $5.2 million from the Kentucky Cabinet for Health and Family Services, Division of Child Care. The first award, the Child Care Resource and Referral project, will administer the statewide network of 15 community-based child care resource and referral agencies that work to improve the quality, accessibility and affordability of child care for all Kentucky families. The second contract, Quality Enhancement Initiative, is designed to increase the quality of early care and education programs and staff. Project staff will provide services such as information and technical assistance for participation in the STARS for KIDS NOW Quality Rating System, assistance in accessing KIDS NOW scholarship programs, and evaluation of the effectiveness of services provided to programs.

7. UK Hosts Web Conference, "Best Practices in Recruiting and Retaining Diverse Faculty"

A Web conference to address the issue of campus diversity, "Best Practices in Recruiting and Retaining Diverse Faculty," was held Oct. 25 at UK. The conference was led by one of the nation's experts in the field, Charmaine P. Clowney, director of Diversity and Equal Opportunity in the Pennsylvania State System of Higher Education. The agenda for the Web conference, sponsored by the Research Challenge Trust Fund (RCTF) Endowment Match Program Diversity Plan, included an overview of equal opportunity law, current topics related to the diversity issue, and practical applications of diversity tools such as forming a search committee, campus visits, and best-practices summary.

8. UK Leads the Nation in Direct Digital Radiography

UK and Swissray, a maker of Direct Digital X-Ray, have completed what is thought to be the first of its kind training program in Direct Digital Radiography. The three-day intensive training program was designed to educate radiology technologists from across the country on using the cutting-edge technology as the profession begins to follow UK's lead.

9. Men's Chorus Garners National Attention

The UK Men's Chorus, directed by Jefferson Johnson, has been invited to perform at the national convention for the Music Educators National Conference (MENC) in Salt Lake City, Utah, in April 2006. UK Men's Chorus was chosen through a highly selective audition process. Hundreds of school choirs from across the country submitted audition tapes to their state panels. Only 200 tapes were forwarded to the national panel for consideration in the semi-finals. Only 35 winners were chosen to perform at the conference. UK is one of only 10 collegiate choirs chosen in the nation.

10. KGS Sets Up Display at Kentucky Science Teachers Association Conference

Hundreds of science teachers from around Kentucky who attended the annual Kentucky Science Teachers Association conference in early November visited the Kentucky Geological Survey to see educational displays and receive free geologic publications, including copies of fact sheets on coal, water, industrial minerals, meteorites, and other topics; geologic maps; data on the KGS online services; and posters.

11. UK Education Students Flood National Conference

The UK College of Education had the most students presenting research at the Midwestern Educational Research Association's annual conference in Columbus, Ohio, in October. Eleven graduate students from the Department of Educational and Counseling Psychology presented 12 different research projects on various subjects. These subjects included student cheating, educator supply and demand, a review of research concerning the quality of math instruction, and factors that impact the integration of technology into the science classroom.

12. More Than Half of Staff Employees Respond to Work-Life Survey

With UK's endeavor to become a Top-20 research institution, the UK Work-Life Advisory Council assessed that is was imperative to take a benchmark reading of the work-life culture as perceived by all employees at UK. In all, more than 5,100 staff employees – well over 50 percent of those eligible – took time to voice opinions on a variety of work-life issues. (Faculty will be surveyed in the spring.) The high return rate among staff members far exceeded expectations. Organizers believe the success of the return rate is due to the close collaboration and partnership among the Office of Work-Life, Human Resources, Office of Institutional Effectiveness, and many others across campus. There was also a massive and well-organized communication plan that included going to meetings in hard-to-reach areas so that every staff person had an opportunity to speak out on this comprehensive culture, work environment, and dependent care survey.

13. Student Awards and Achievements

The School of Journalism and Telecommunications has announced four recipients of the John D. Chaplin Scholarship. This year's recipients are freshmen Marc K. Blevins of Lexington,

a graduate of Lafayette High School; Jeff Graf of Bardstown, a graduate of Bardstown High School; Jessica Partington of Boston, a graduate of Nelson County High School; and Renee Storc of Martinsville, W.Va., a graduate of Magnolia High School. The Chaplin Scholarship, named for a popular Lexington radio talk show host, was established in 1998 and endowed by his cousin John McWhorter Chaplin in 2005.

Dustyn N. Bowman and Megan M. Powell each received a James C. Bowling scholarship, awarded in conjunction with the annual James C. Bowling Executive-in-Residence Lecture Series in the School of Journalism and Telecommunications. The $1,000 scholarship is given to recipients to assist with their senior year studies and career preparation.

Amanda Duckworth, a senior journalism major, is the recipient of the first Joe Hirsch Scholarship. The Hirsch Scholarship will pay full tuition for the 2005-06 academic year and includes an internship. Financial support for the scholarship is being provided by the National Thoroughbred Racing Association, Daily Racing Form, and other industry groups. The scholarship honors long-time racing reporter and columnist Joe Hirsch, who retired in November 2003 after a 55-year career that included 49 years with the Daily Racing Form. Duckworth, a resident of Collierville, Tenn., graduated from Collierville High School. At UK, she has written for the The Kentucky Kernel and Tidings, the UK Honors Program newsletter. A longtime horse lover, Duckworth volunteers at the Kentucky Horse Park, working in the Hall of Champions, and is a member of the UK Horse Racing Club.

Vitesh "Victor" Enaker, of Mt. Sterling, is the recipient of a Commonwealth Incentive Award scholarship for his graduate studies at UK. Enaker is a doctoral student in the UK Department of Kinesiology and Health Promotion. He received his undergraduate degree at Transylvania University in exercise science and his master's in kinesiology and health promotion at UK. The Commonwealth Incentive Award provides in-state tuition for up to nine credit hours plus cost-of-education support.

UK senior golfer Matt Kohn fired a career-low seven-under-par 65 in the third and final round to take home the individual title at the 2005 Gary Koch Intercollegiate at Old Memorial Golf Course. The University of Florida held off hard-charging Kentucky by three strokes to win the tournament title.

UK senior Robby Martin recently was awarded the E. Allen James Outstanding Undergraduate Award by the Delta Sigma Phi Fraternity Headquarters, based on his leadership and involvement in his fraternity. Martin is a member of the Theta Mu chapter of Delta Sigma Phi at UK and currently serves as the chapter vice president.

School of Music doctoral student Brian Mason and professor James Campbell were featured soloists with the Lexington Philharmonic Orchestra at its "MasterClassics" series concert Nov. 11. Mason and Campbell served as two of the three percussion soloists in Russell Peck's "The Glory and the Grandeur." Joining the UK duo to perform as a trio on this percussion concerto was Brady Harrison, the principal timpanist of the orchestra.

Laura Moore-Lamminen, a counseling psychology major, and Tiffany Martinez, a school psychology major, presented their paper, "Evaluating Continuous Improvement Infrastructures: A multi-state, multi-agency approach," at the joint conference of the American Evaluation Association and Canadian Evaluation Association in Toronto, Ontario, Canada. In addition, the Kentucky Psychological Association's Ethics Committee named Moore-Lamminen a student representative.

Students in the College of Communications and Information Studies received scholarship recognition, including Hillary Schiffer, recipient of the Sam Abell Photojournalism Scholarship;

Mari Stansbury, recipient of the Bill Billiter Scholarship; R. Faith Purcell, recipient of the Hallie Day Blackburn Scholarship; Victoria M. Hammel, recipient of the Williena Broyles Scholarship; Marc Blevins, Jeff Graf, Jessica Partington, and Renee Storc, recipients of John D. Chaplin Scholarships; Jennifer Spence, named Department of Communication Outstanding Senior; Sarah Riley, recipient of the R. Lewis Donohew Fellowship; Evelyn Hensley, recipient of the Clarence E. and Edna Horn Johnson Scholarship; Amanda Duckworth, recipient of the Joe Hirsch Scholarship; Rita DaVega, recipient of the Shirley Rose Scholarship; Wenli Yuan, recipient of the Sypher Memorial Scholarship; and Rungrat Chaisamrej, recipient of the Bruce Westley Scholarship.

Janet Zydney, a post-doctoral fellow, received a two-year grant from the Department of Education, Office of Special Programs, for a total of $400,000 which will fund the research and development of a software program to help children that have learning difficulties in mathematics.

14. Faculty and Staff Awards and Achievements

Rodney Andrews, Center for Applied Energy Research, and Mainak Majumder, Nitin Chopra and Bruce J. Hinds, Chemical and Materials Engineering, were published in the Nov. 3 issue of *Nature*. They report that membranes composed of man-made carbon nanotubes permit a fluid flow nearly 10,000 to 100,000 times faster than conventional fluid flow theory would predict because of the nanotubes' nearly friction-free surface. They found that the flow dynamics of carbon nanotube membranes with pores measuring seven nanometers in diameter permit a fluid flow exceeding the flows predicted by conventional hydrodynamic predictions.

Karen Badger, Social Work, will present "Preparing Educators and Students for Indirect Trauma Exposure in Healthcare Professions" at the 25th Lilly Conference on College Teaching at Miami University, Ohio.

The UK College of Communications and Information Studies recently honored members of its faculty and staff, including Aaron Boyson, Communication, for Teaching Excellence; Scott Johnson, Communications and Information Studies, for the Outstanding Staff Award; Chike Anyaegbunam, Integrated Strategic Communications, for Research Excellence; Seth Noar, Communication, for Research Excellence; and Enid Waldhart, Communication, for the Faculty Community Service Award.

Ronald Bruzina, Philosophy, was recognized for his work *Edmund Husserl and Eugen Fink: Beginnings and Ends in Phenomenology, 1928-1938* with the 2005 Ballard Prize for best new book in phenomenology in the past two years.

Tracy Campbell, history and UK Libraries, was a guest on "The Bob Edwards Show" on XM 133 Satellite Radio on Nov. 7.

Dr. Baretta R. Casey, Medicine, a longtime physician and health education advocate, has been named director of the Center for Rural Health in Hazard.

Don Colliver, Biosystems and Agricultural Engineering, heads a team that has been recognized by the U.S. Green Building Council for development of the "Advanced Energy Design Guide for Small Office Buildings."

Stephen Dobson, Entomology, co-authored the article "Wolbachia Establishment and Invasion in Aedes Aegypti Laboratory Population" that appeared in the October 14 issue of *Science* magazine, an international publication. Aedes aegypti is a mosquito species. Co-authors are Zhiyong Xi of Johns Hopkins, and Cynthia Khoo, a UK doctoral student in entomology.

Dr. Dennis E. Doherty, Medicine, recently won his second prestigious Telly Award for the CD-ROM "Academy for Healthcare COPD Exchange." The Telly Awards honor outstanding local, regional, and cable television commercials and programs, as well as video and film productions. The award-winning interactive CD-ROM will be used to educate physicians and medical students about Chronic Obstructive Pulmonary Disease.

Dr. James E. Ferguson, Obstetrics and Gynecology, has been named secretary of the American Gynecological and Obstetrical Society, the premier professional society for obstetricians and gynecologists.

Ari Geertsema, Center for Applied Energy Research, at the invitation of the U.S. Department of Energy, presented a paper titled "Indirect Liquefaction for the Next Ten Years—USA Perspective" at the Third U.S.-China Clean Fuels from Coal Energy Conference in Beijing. He also made a presentation at Pacific Northwest National Laboratory, Richland, Wash., titled "Coal-to-Liquid Fuels: Technology Status, Economics and Development Needs."

Tom Guskey, Education, was recently awarded the 2005 Thiel College Distinguished Alumnus Award. This award, given annually to a graduate who has made a truly outstanding contribution to his or her chosen field, is the highest award bestowed by the Thiel College Board of Trustees and Alumni Association. He was also inducted into the Thiel College Athletic Hall of Fame.

Kay Hoffman, Social Work, presented a paper, "The Interface between Undergraduate Education and Doctoral Education in Social Work" at the Baccalaureate Program Director's Annual Conference in Austin, Texas.

Dr. Ardis D. Hoven, Medicine, recently was elected to the Board of Trustees of the American Medical Association on the first ballot. She is also the past president of the Kentucky Medical Association.

An essay by Erik Reece, English, is featured as the cover story on the December issue of *Harper's Magazine*. "Jesus without the Miracles" is based on his questioning the Southern Baptist beliefs taught in his upbringing while looking at Thomas Jefferson's Bible and the Gospel of Thomas, which strip out all of the miracles in the Bible and focus on the teachings of Jesus. Reece was also recently named a co-winner of the John B. Oakes Award for Distinguished Environmental Journalism for his essay "Death of Mountain." The judges recognized Reece's essay for its strong narrative, reported over a period of a year, in which he watched the mountain and the species that inhabited it disappear through strip mining. Reece received $5,000 for the award.

Edward Romond, Internal Medicine, was published in the *New England Journal of Medicine* for his study on Herceptin and Breast Cancer.

David Royse, Social Work, presented "Learning from the Mistakes of Others: Insights for Better Teaching from an Academic Ombud" at the 25th Lilly Conference on College Teaching at Miami University, Ohio.

Diane Snow, Anatomy and Neurobiology, has been named to the Beckman Foundation Advisory Board, a prestigious advisory board that gives undergraduate students the opportunity to perform research nationwide. She will serve in 2006.

Ginny Sprang, Social Work, chaired the International Society of Traumatic Stress Studies' Special Interest Group on Terrorism and Bioterrorism Related Trauma in Toronto, Canada. Sprang also was a co-author on the article "Educating Health Professionals to Respond to Bioterrorism" published recently in *Public Health Reports*. Her co-authors were William Paul McKinney and Gina Wesley, University of Louisville, and Adewale Troutman, Louisville Metro Health Department.

Ginny Sprang and Jim Clark, Social Work, co-authored along with doctoral student, Stephanie Bass, the article "Predicting the Severity of Child Maltreatment Using Multidimensional Assessment and Measurement Approaches" recently published in *Child Abuse and Neglect: An International Journal.* Sprang also was a co-author on the article "Educating Health Professionals to Respond to Bioterrorism" published recently in *Public Health Reports.*

Jennifer Swanberg, Social Work, and her research on flexible scheduling by employers was featured prominently in the Nov. 17 edition of *The Wall Street Journal.* Swanberg and Krista Drescher-Burke worked with Marcie Pitt-Catsouphes, of Boston College, to analyze the changes workers are seeing in flexible scheduling in today's workplace. *The Wall Street Journal* piece, titled "Fairer Flextime: Employers Try New Policies for Alternative Schedules," is featured in Sue Shellenbarger's Work and Family column.

William Thomas, Geological Sciences, was recently quoted in a story posted on MSNBC.com after a story about the origins of petroleum was published in *LiveScience*. Thomas is president of the Geological Society of America, the oldest professional association for geologists in North America, and is working with other members of the organization to improve ways to educate the public about geology. Some of these projects include Internet publications and Internet journal databases.

Bernie Vonderheide, former UK Public Relations director and the voice of a halftime UK basketball and football radio program called "Campus Scene," was presented the 2005 Lifetime Achievement Award in Public Relations on Nov. 4. The award was presented to Vonderheide as part of the James C. Bowling Executive-in-Residence Lecture Series sponsored by the UK School of Journalism and Telecommunications Alumni Association.

Chang-Guo Zhan, Pharmacy, had the winning presentation during the Fifth Symposium on Emerging Technologies in Computational Chemistry sponsored by the Computers in Chemistry Division of the American Chemical Society. Zhan's presentation was titled, "First-principles electronic structure approach for molecular structures, properties, and reactivity in solution: Towards chemical accuracy."

15. Faculty Research Activities

Michael Bardo, Psychology, Drug Abuse Prevention: A Lifecourse Perspective IV Project 1, $28,000.

Michael Bardo, Psychology, Drug Abuse Prevention: A Lifecourse Perspective IV Project 1, $3,000.

Michael Bardo, Psychology, Drug Abuse Prevention: A Lifecourse Perspective IV Project 1, $1,100.

Michael Bardo, Psychology, Drug Abuse Prevention: A Lifecourse Perspective IV Project 1, $56,332.

Michael Bardo, Psychology, Minority Supplement-Drug Abuse Prevention: A Lifecourse Perspective IV.

Michael Bardo, Psychology, Drug Abuse Prevention: A Lifecourse Perspective IV Project 1, $40,357.

Michael Bardo, Psychology, Minority Supplement-Drug Abuse Prevention: A Lifecourse Perspective IV.

Michael Bardo, Psychology, Drug Abuse Prevention: A Lifecourse Perspective IV Project 1, $24,800.

Michael Bardo, Psychology, Minority Supplement-Drug Abuse Prevention: A Lifecourse Perspective IV.

Michael Bardo, Psychology, Drug Abuse Prevention: A Lifecourse Perspective IV Project 1, $50,728.

Michael Bardo, Psychology, Minority Supplement-Drug Abuse Prevention: A Lifecourse Perspective IV.

Joseph Berger, Neurology, CNS Viral Dynamics and Cellular Immunity During AIDS, $10,989.

Joseph Berger, Neurology, CNS Viral Dynamics and Cellular Immunity During AIDS, $5,106.

Peter Blackburn, Ophthalmology, A Randomized, Double-Masked, Parallel Group, Multi-Center Dose-Finding Comparison of the Safety and Efficacy of ASI-001A 0.5 pg/day.

Peter Blackburn, Ophthalmology, A Randomized, Double-Masked, Parallel Group, Multi-Center Dose-Finding Comparison of the Safety and Efficacy of ASI-001A 0.5 pg/day.

Antonio Bosch, Internal Medicine, A Pilot Phase 2, Randomize, Multi-Center, Open-Label, Parallel-Group Study of the Effect of Prevacid IV and Oral Prevacid SoluTab in Prevention of Recurrent Bleeding from Peptic Ulcers.

Antonio Bosch, Int Med - Gastro, A Pilot Phase 2, Randomize, Multi-Center, Open-Label, Parallel-Group Study of the Effect of Prevacid IV and Oral Prevacid SoluTab in Prevention of Recurrent Bleeding from Peptic Ulcers.

Crystal Collins-Camargo, Social Work, National Quality Improvement Center on the Privatization of Child Welfare Services, $29,394.

Crystal Collins-Camargo, Social Work, National Quality Improvement Center on the Privatization of Child Welfare Services, $32,500.

Crystal Collins-Camargo, Social Work, National Quality Improvement Center on the Privatization of Child Welfare Services, $2,000.

Crystal Collins-Camargo, Social Work, National Quality Improvement Center on the Privatization of Child Welfare Services, $16,000.

Crystal Collins-Camargo, Social Work, National Quality Improvement Center on the Privatization of Child Welfare Services, $79,067.

Crystal Collins-Camargo, Social Work, National Quality Improvement Center on the Privatization of Child Welfare Services, $162,039.

Crystal Collins-Camargo, Social Work, National Quality Improvement Center on the Privatization of Child Welfare Services, $256,207.

Crystal Collins-Camargo, Social Work, National Quality Improvement Center on the Privatization of Child Welfare Services, $4,000.

Crystal Collins-Camargo, Social Work, National Quality Improvement Center on the Privatization of Child Welfare Services, $56,900.

Crystal Collins-Camargo, Social Work, National Quality Improvement Center on the Privatization of Child Welfare Services, $8,314.

Crystal Collins-Camargo, Social Work, National Quality Improvement Center on the Privatization of Child Welfare Services, $6,000.

Crystal Collins-Camargo, Social Work, National Quality Improvement Center on the Privatization of Child Welfare Services, $205,853.

Crystal Collins-Camargo, Social Work, National Quality Improvement Center on the Privatization of Child Welfare Services, $36,000.

Crystal Collins-Camargo, Social Work, National Quality Improvement Center on the Privatization of Child Welfare Services, $5,726.

Terence Delahanty, 4-H Central Operations, Positive Youth Development State and Local Collaboration Demonstration Project, $59,221.

Terence Delahanty, 4-H Central Operations, Positive Youth Development State and Local Collaboration Demonstration Project, $1,034.

Terence Delahanty, 4-H Central Operations, Positive Youth Development State and Local Collaboration Demonstration Project, $42,062.

Terence Delahanty, 4-H Central Operations, Positive Youth Development State and Local Collaboration Demonstration Project, $16,083.

Terence Delahanty, 4-H Central Operations, Positive Youth Development State and Local Collaboration Demonstration Project, $1,600.

Linda Dwoskin, Pharmaceutical Technology, Drug Abuse Prevention: A Lifecourse Perspective IV-Project 1, $27,104.

Linda Dwoskin, Pharmaceutical Technology, Drug Abuse Prevention: A Lifecourse Perspective IV-Project 1, $1,500.

Linda Dwoskin, Pharmaceutical Technology, Drug Abuse Prevention: A Lifecourse Perspective IV-Project 1, $47,701.

Linda Dwoskin, Pharmaceutical Technology, Drug Abuse Prevention: A Lifecourse Perspective IV-Project 1, $11,300.

Paul Eakin, Mathematics, Kentucky Early Mathematics Testing Program, $25,000.

Paul Eakin, Mathematics, Kentucky Early Mathematics Testing Program.

Richard Gates, Biosystems and Agricultural Engineering, Kentucky Rural Energy Supply Program.

Paul Goodrum, Civil Engineering, Document How Technology Replaces Experience, $23,101.

Paul Goodrum, Civil Engineering, Document How Technology Replaces Experience, $35,300.

Paul Goodrum, Civil Engineering, Document How Technology Replaces Experience, $10,000.

Paul Goodrum, Civil Engineering, Document How Technology Replaces Experience, $10,400.

Paul Goodrum, Civil Engineering, Document How Technology Replaces Experience, $19,000.

Eric Grulke, Chemical and Materials Engineering, Self-Assembled Coatings for Military Optical Applications, $14,241.

Eric Grulke, Chemical and Materials Engineering, Self-Assembled Coatings for Military Optical Applications, $3,934.

Eric Grulke, Chemical and Materials Engineering, Self-Assembled Coatings for Military Optical Applications, $26,825.

Jane Hayes, RCTF-Computer Science, Use of Information Retrieval and Data Mining Techniques for Requirements Traceability, $13,450.

Jane Hayes, RCTF-Computer Science, Use of Information Retrieval and Data Mining Techniques for Requirements Traceability, $3,044.

Jane Hayes, RCTF-Computer Science, Use of Information Retrieval and Data Mining Techniques for Requirements Traceability, $22,796.

Jane Hayes, RCTF-Computer Science, Use of Information Retrieval and Data Mining Techniques for Requirements Traceability, $3,000.

Jane Hayes, RCTF-Computer Science, Use of Information Retrieval and Data Mining Techniques for Requirements Traceability, $7,710.

J. Heath, Electrical and Computer Engineering, Systemic Approach to SOC Evaluation and Verification, $18,697.

J. Heath, Electrical and Computer Engineering, Systemic Approach to SOC Evaluation and Verification, $8,656.

Michael Jay, Pharmaceutical Technology, Development of Improved DTPA for Radionuclide Chelation, $258,279.

Michael Jay, Pharmaceutical Technology, Development of Improved DTPA for Radionuclide Chelation, $557,836.

Thomas Johnston, Surgery - Transplant, A 24-month, Multicenter, Randomized, Open Label Non-Inferiority Study of Efficacy and Safety Comparing Concentration Controlled Certican in Two Doses (1.5 and 3.0mg/day starting doses) with Reduced Neoral versus 1.44 Myfortic with Standard Dose Neoral.

Thomas Kelly, Behavioral Science, Drug Abuse Prevention: A Lifecourse Perspective IV-Project 2, $46,882.

Thomas Kelly, Behavioral Science, Drug Abuse Prevention: A Lifecourse Perspective IV-Project 2, $176,374.

Thomas Kelly, Behavioral Science, Drug Abuse Prevention: A Lifecourse Perspective IV-Project 2, $98,532.

Thomas Kelly, Behavioral Science, Drug Abuse Prevention: A Lifecourse Perspective IV-Project 2, $1,500.

Carl Leukefeld, Center on Drug and Alcohol Research, Central States Criminal Justice Drug Abuse Center (CJ-DATS), $31,888.

Carl Leukefeld, Center on Drug and Alcohol Research, Central States Criminal Justice Drug Abuse Center (CJ-DATS), $6,085.

Carl Leukefeld, Center on Drug and Alcohol Research, Central States Criminal Justice Drug Abuse Center (CJ-DATS), $17,582.

Donald Lynam, Psychology, Drug Abuse Prevention: A Lifecourse Perspective IV-Project 3, $46,620.

Donald Lynam, Psychology, Drug Abuse Prevention: A Lifecourse Perspective IV-Project 3, $95,041.

Donald Lynam, Psychology, Drug Abuse Prevention: A Lifecourse Perspective IV-Project 3, $3,500.

Donald Lynam, Psychology, , Drug Abuse Prevention: A Lifecourse Perspective IV-Project 3, $17,322.

Kevin McDonagh, Internal Medicine - Hematology/Oncology, A Randomized Open-label Study of 400 mg Versus 800 mg of Gleevac/Gilvac (imatinab mesylate) in patients with newly Diagnosed, Previously Untreated Chronic Myeloid Leukemia in Chronic Phase (CML-CP) using Molecular Endpoints, $1.

Kevin McDonagh, Internal Medicine - Hematology/Oncology, A Randomized Open-label Study of 400 mg Versus 800 mg of Gleevac/Gilvac (imatinab mesylate) in patients with newly Diagnosed, Previously Untreated Chronic Myeloid Leukemia in Chronic Phase (CML-CP) using Molecular Endpoints, $1.

Russell Mumper, Pharmaceutical Science and Technology, cGMP Manufacture of Freeze-Dried Black Rasberry Gel, $11,076.

Russell Mumper, Pharmaceutical Science and Technology, cGMP Manufacture of Freeze-Dried Black Rasberry Gel, $23,924.

Russell Mumper, Pharmaceutical Science and Technology, Phase I: Development of HPLC Method for Freeze Dried Black Raspberry Gel, $2,000.

Russell Mumper, Pharmaceutical Science and Technology, Phase I: Development of HPLC Method for Freeze Dried Black Raspberry Gel, $10,000.

Russell Mumper, Pharmaceutical Science and Technology, Phase I: Development of HPLC Method for Freeze Dried Black Raspberry Gel, $5,678.

Lloyd Murdock Jr., Plant and Soil Sciences, Indirect Benefit of No-Till Wheat: Enhanced Yield of Rotational No-Till Corn and Soybeans.

Lloyd Murdock Jr., Plant and Soil Sciences, Indirect Benefit of No-Till Wheat: Enhanced Yield of Rotational No-Till Corn and Soybeans, $1,000.

Lloyd Murdock Jr., Plant and Soil Sciences, Indirect Benefit of No-Till Wheat: Enhanced Yield of Rotational No-Till Corn and Soybeans, $2,000.

Lloyd Murdock Jr., Plant and Soil Sciences, Indirect Benefit of No-Till Wheat: Enhanced Yield of Rotational No-Till Corn and Soybeans, $1,000.

Lloyd Murdock Jr., Plant and Soil Sciences, Indirect Benefit of No-Till Wheat: Enhanced Yield of Rotational No-Till Corn and Soybeans.

Brian Murphy, Graduate Medical Education, Plague Vaccine: Identifying Immunogenic Yersinia Pestis Surface Proteins that are Expressed, $63,000.

Brian Murphy, Graduate Medical Education, Plague Vaccine: Identifying Immunogenic Yersinia Pestis Surface Proteins that are Expressed, $29,169.

Bruce O'hara, Biological Sciences, DEPSCoR:Indentification of Genes that Influence Sleep and Wake Using a Novel High- Throughput, Piezoelectric Technology, $30,841.

Bruce O'hara, Biological Sciences, State EPSCoR, $50,000. Bruce O'hara, Biological Sciences, DEPSCoR: Indentification of Genes that Influence Sleep and Wake Using a Novel High- Throughput, Piezoelectric Technology, $5,000.

Bruce O'hara, Biological Sciences, DEPSCoR: Indentification of Genes that Influence Sleep and Wake Using a Novel High- Throughput, Piezoelectric Technology, $5,100.

Bruce O'hara, Biological Sciences, DEPSCoR: Indentification of Genes that Influence Sleep and Wake Using a Novel High- Throughput, Piezoelectric Technology, $22,000.

Bruce O'hara, Biological Sciences, DEPSCoR: Indentification of Genes that Influence Sleep and Wake Using a Novel High- Throughput, Piezoelectric Technology, $44,325.

Donald Perrier, Pharmacy Practice and Science, Performance Measurement System, $25,200.

Donald Perrier, Pharmacy Practice and Science, Performance Measurement System, $464,730.

Donald Perrier, Pharmacy Practice and Science, Performance Measurement System, $124,310.

Donald Perrier, Pharmacy Practice and Science, Performance Measurement System, $11,000.

Donald Perrier, Pharmacy Practice and Science, Performance Measurement System, $159,703.

David Pollack, Program for Archaeological Research, Archaeological Field School in the Red River Gorge, $6,927.

David Pollack, Program for Archaeological Research, Archaeological Field School in the Red River Gorge, $1,000.

David Pollack, Program for Archaeological Research, Archaeological Field School in the Red River Gorge, $211.

Arthur Radun, Electrical and Computer Engineering, Solid State Power Controller Development Support, $17,253.

Arthur Radun, Electrical and Computer Engineering, Solid State Power Controller Development Support, $43,165.

Michael Reed, International Programs, Technical Assistance to Romanian Agriculture

John Rinehart, Internal Medicine - Hematology/Oncology, Randomized Phase III Trail of Leukine vs Newpogen in Patients Receiving Cisplatin and Gemcitabine for Reionally Advanced or Metastatic Urothelial Cancer, $1.

John Rinehart, Internal Medicine - Hematology/Oncology, Randomized Phase III Trail of Leukine vs Newpogen in Patients Receiving Cisplatin and Gemcitabine for Reionally Advanced or Metastatic Urothelial Cancer, $1.

John Rinehart, Internal Medicine - Hematology/Oncology, Randomized Phase III Trail of Leukine vs Newpogen in Patients Receiving Cisplatin and Gemcitabine for Reionally Advanced or Metastatic Urothelial Cancer, $1.

John Rinehart, Internal Medicine - Hematology/Oncology, Randomized Phase III Trail of Leukine vs Newpogen in Patients Receiving Cisplatin and Gemcitabine for Reionally Advanced or Metastatic Urothelial Cancer, $1.

Kozo Saito, Mechanical Engineering, Carbon Nanotube Synthesis and Application, $34,176.

Kozo Saito, Mechanical Engineering, Carbon Nanotube Synthesis and Application, $15,824.

Brian Rinker, Surgery - Plastic, Cryopreservation of Composite Tissue Transplants, $20,000.

F. Scutchfield, Health Services Management, Joint Learning Contract with Kettering Foundation, $120,000.

Gregory Smith, Psychology, Longitudinal and Experiemental Analysis of Positive Urgency.

Sean Stocker, Physiology, Forebrain Neurohumoral Integration in Heart Failure.

Michael Stottman, Ky Archaeological Survey, Building Blocks of History Archaeology Education Program - Riverside, the Farnsley-Moreman Landing, $530.

Michael Stottman, Ky Archaeological Survey, Building Blocks of History Archaeology Education Program - Riverside, the Farnsley-Moreman Landing, $37,146.

Saratha Van Doren, Plant and Soil Sciences, Physiological Basis for Yield Reduction in No-Till Wheat, $1,488.

Saratha Van Doren, Plant and Soil Sciences, Physiological Basis for Yield Reduction in No-Till Wheat, $500.

Saratha Van Doren, Plant and Soil Sciences, Physiological Basis for Yield Reduction in No-Till Wheat, $6,512.

D. Vansanford, Plant and Soil Sciences, Soft Red Winter Wheat Breeding and Variety Development for Kentucky, $4,245.

D. Vansanford, Plant and Soil Sciences, Soft Red Winter Wheat Breeding and Variety Development for Kentucky, $5,000.

D. Vansanford, Plant and Soil Sciences, Soft Red Winter Wheat Breeding and Variety Development for Kentucky, $24,500.

PR 2

Office of the President
December 13, 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.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

PRESIDENT
AND
EXECUTIVE VICE PRESIDENT
FOR
FINANCE AND ADMINISTRATION

I. BOARD ACTION

A. CHANGE

Office of the President

Turner, William H., change in title from Vice President for University Initiatives/ Associate Provost for Multicultural Affairs to Vice President for University Engagement and Associate Provost for Multicultural Affairs, effective 12/15/05.

B. RETIREMENTS

Office of the Treasurer

Stinnett, Roberta T., Account Clerk III, General Accounting, Office of the Treasurer, after 50 years and 2 months of consecutive service, under AR II-1.6-1 Section III.B, effective 10/31/05.

Vice President for Facilities Management

Byrd, Ida J., Executive Housestaff, Physical Plant Division, after 21 years and 4 months of consecutive service and 21 years and 10 months of total service, under AR II-1.6-1 Section III.B, effective 1/2/06.

Byrd, Lina T., Staff Support Associate I, Auxiliary Services, after 16 years and 1 month of consecutive service, under AR II-1.6-1 Section III.B, effective 1/3/06.

C. EARLY RETIREMENTS

Vice President for Facilities Management

Estill, Birdie L., Custodial Worker, Housing, Auxiliary Services, after 29 years and 1 month of consecutive service under AR II-1.6-1 Section III.A.2, effective 10/4/05.

Mosley, Lowell, B., Custodial Worker, Supervisor I, Athletics, after 15 years and 1 month of consecutive service under AR II-1.6-1 Section III.A.2, effective 9/30/05.

II. ADMINISTRATIVE ACTION

A. ADMINISTRATIVE APPOINTMENT

Office of the Controller

Dials, Lora, Accounting Manager II, Benefits Accounting, effective 11/11/05.

*Special Title series

PROVOST

I. BOARD ACTION

A. ACADEMIC APPOINTMENTS

Balasuriya, Udeni B., College of Agriculture, Associate Professor (with tenure), Veterinary Science, effective 8/29/05.

Callison, James W., College of Law, Professor (temporary), 8/15/05 through 6/30/06.

Chung, Chen, College of Business and Economics, Professor (with tenure), Management, reappointed to the Carol Martin Gatton Professorship in Management, 7/1/05 through 6/30/07.

Crystal, Ralph, College of Education, Professor (with tenure), Special Education and Rehabilitation Counseling, reappointed to the Wallace Charles Hill Professorship in Rehabilitation Counseling in the Department of Special Education and Rehabilitation Counseling, 8/16/05 through 6/30/09.

Dorfling, Johannes, College of Medicine, Clinical Instructor, Anesthesiology, 1/7/06 through 6/30/06.

Duffy, Michelle, College of Business and Economics, Associate Professor (with tenure), Management, appointed to the Carol Martin Gatton Professorship in Management, 7/1/05 through 6/30/07.

Ferraris, Victor A., College of Medicine, Professor* (with tenure), Surgery, reappointed to the Tyler Gill Professorship in Vascular Surgery, 10/1/05 through 6/30/10.

Garen, John E., College of Business and Economics, Professor (with tenure), Economics, reappointed to the Carol Martin Gatton Professorship in Economics, 7/1/05 through 6/30/07.

Garner, Kamara E., College of Medicine, Clinical Assistant Professor, Family and Community Medicine, 11/1/05 through 6/30/06.

Gibson, James, College of Design, Instructor (temporary), Architecture, reappointed to the AIA Kentucky Endowed Professorship, 8/16/05 through 6/30/06.

Houff, Sidney A., College of Medicine, Clinical Professor, Neurology, 11/14/05 through 6/30/06.

Hulse, David, College of Business and Economics, Associate Professor (with tenure), Accountancy, reappointed to the Deloitte-Touche Professorship of Accountancy, 7/1/05 through 6/30/07.

May, Frank W., College of Pharmacy, Clinical Professor, 7/1/05 through 6/30/06.

Moliterno, David J., College of Medicine, Professor (with tenure), Internal Medicine, appointed to the Jeff Gill Professorship in Cardiology, 12/1/05 through 6/30/10.

Mukherjee, Debabrata, College of Medicine, Associate Professor* (with tenure), Internal Medicine, appointed to the Gill Foundation Professorship in Interventional Cardiology, 12/1/05 through 6/30/10.

---

*Special Title series

Muralidhar, Krishnamurty, College of Business and Economics, Professor (with tenure), Management, reappointed to the Carol Martin Gatton Professorship in Management, 7/1/05 through 6/30/07.

Noland, Melody, College of Education, Professor (with tenure), Kinesiology and Health Promotion, and joint appointment as Professor (without tenure), Health Behavior, College of Public Health, reappointed to the George & Betty Blanda Professorship in Education, 7/1/06 through 6/30/10.

Pakath, Ram, College of Business and Economics, Associate Professor (with tenure), Management, reappointed to the Carol Martin Gatton Professorship in Management, 7/1/05 through 6/30/07.

Pope, Thomas, College of Business and Economics, Associate Professor (with tenure), Accountancy, reappointed to the Ernst & Young Professorship of Accounting, 7/1/05 through 6/30/07.

Rao, Rakesh N., College of Medicine, Clinical Assistant Professor, Pediatrics, 11/1/05 through 6/30/06.

Rotondi, Michael, College of Design, Professor (visiting), Architecture, reappointed to the Brown-Forman Visiting Chair in Urban Design, 8/16/05 through 6/30/06.

Santhanam, Radhika, College of Business and Economics, Professor (with tenure), Management, reappointed to the Carol Martin Gatton Professorship in Management, 7/1/05 through 6/30/07.

Scott, Frank, College of Business and Economics, Professor (with tenure), Economics, reappointed to the Carol Martin Gatton Professorship in Economics, 7/1/05 through 6/30/07.

Shaw, Jason, College of Business and Economics, Associate Professor (with tenure), Management, reappointed to the Clark Materials Professorship Endowment, 7/1/05 through 6/30/07.

Skees, Jerry R., College of Agriculture, Professor (with tenure), Agricultural Economics, reappointed to the H. Bruce Price Professorship, 7/1/05 through 6/30/08.

Terhune, Margaret H., College of Medicine, Associate Professor (voluntary), Internal Medicine, 11/1/05 through 6/30/06.

Vail, Ann, College of Agriculture, Professor (temporary), Family Studies, 8/29/05 through 6/30/06.

B. ADMINISTRATIVE APPOINTMENTS

Vail, Ann, College of Agriculture, Professor (temporary), Family Studies, appointed Director, School of Human Environmental Sciences, and Assistant Director of Family and Consumer Science, effective 8/29/05.

C. JOINT APPOINTMENTS

Ambati, Jayakrishna, College of Medicine, Associate Professor (with tenure), Ophthalmology and Visual Sciences, joint appointment as Associate Professor (without tenure), Physiology, effective 3/1/05.

---

*Special Title series

Hosey, Robert G., College of Medicine, Associate Professor* (with tenure), Family and Community Medicine, and joint appointment as Associate Professor* (without tenure), Surgery, new joint appointment as Associate Professor* (without tenure), Orthopaedic Surgery, effective 11/1/04.

D. REAPPOINTMENTS

Albers, Dale, College of Arts and Sciences, Professor (visiting), Sociology, 8/16/05 through 5/15/06.

Bullard, Steven H., College of Agriculture, Professor (temporary), Forestry, 7/1/05 through 6/30/06.

Hoyle, Rick H., College of Arts and Sciences, Adjunct Professor, Psychology, 7/1/06 through 6/30/08.

Wheeler, Eileen F., College of Agriculture, Associate Adjunct Professor, Biosystems and Agricultural Engineering, 7/1/05 through 6/30/06.

E. TENURE

Steinhubl, Steven R., College of Medicine, from Associate Professor* (without tenure), Internal Medicine, to Associate Professor* (with tenure), Internal Medicine, effective 7/1/05.

F. CHANGES

Nadel, Alan M., College of Arts and Sciences, from Professor (temporary), English, to Professor (with tenure), English, effective 8/16/06.

G. RETIREMENTS

Clark, Judy, College of Medicine, Clinical Research Protocol Coordinator, Markey Cancer Center, after 14 years and 7 months of consecutive service, and a total of 15 years of service, under AR II-1.6-1, Section III.B, effective 7/6/05.

Dallerba-Ricci, Maria G., College of Design, Professor (with tenure), Architecture, after 34 years and 4 months of consecutive service, under AR II-1.6-1, Section III.B, effective 12/31/05.

Phillips, Bobby, College of Agriculture, Camp Maintenance Supervisor, 4-H Youth Development, after 35 years and 10 months of consecutive service, under AR II-1.6-1, Section III.B, effective 5/31/05.

Rogers, Sally O., College of Nursing, Staff Support Associate I, Administration, after 14 years and 10 months of consecutive service, and a total of 15 years of service, under AR II-1.6-1, Section III.B, effective 10/31/05.

Walker, Retia S., College of Agriculture, Professor* (with tenure), Family Studies, after 11 years and 1 month of consecutive service, under AR II-1.6-1, Section III.B, 9/30/05.

---

*Special Title series

White, Virginia, College of Agriculture, Lab Technician Sr., Veterinary Science, after 39 years and 9 months of consecutive service, under AR II-1.6-1, Section III.B, effective 10/11/05.

H. EARLY RETIREMENTS

Clark, Marianne B., College of Pharmacy, Staff Support Associate II, Pharmaceutical Sciences, after 29 years and 1 month of consecutive service, under AR II-1.6-1, Section III.A.2, effective 6/30/05.

Clayton, Regina, College of Health Sciences, Administrative Support Associate I, Dean's Office, after 20 years and 11 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 9/30/05.

Ferretti, Gerald A., College of Dentistry, Professor (with tenure), Oral Health Science, after 25 years and 4 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 11/3/05.

Foster, Gary, College of Medicine, Staff Support Associate II, Internal Medicine, after 14 years and 8 months of consecutive service, and a total of 15 years of service, under AR II-1.6-1, Section III.A.2, effective 11/30/05.

Gallicchio, Vincent S., College of Health Sciences, Professor (with tenure), Clinical Sciences, and joint appointments as Professor (without tenure), Internal Medicine, College of Medicine and Associate Professor (without tenure), Radiation Medicine, College of Medicine, after 19 years and 1 month of consecutive service, under AR II-1.6-1, Section III.A.2, effective 9/5/05.

Kemp, Thomas, College of Agriculture, Professor (with tenure), Horticulture, after 35 years and 4 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 10/31/05.

Kifer, Edward W., College of Education, Professor (with tenure), Educational Policy Studies and Evaluation, after 33 years and 4 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 12/31/05.

Krieger, Jennifer, College of Medicine, Director Associate, Center on Drug and Alcohol Research, after 29 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 9/30/05.

Madison, Cecil R., Libraries, Library Technician, Library Administration, after 37 years and 1 month of consecutive service, under AR II-1.6-1, Section III.A.2, effective 12/30/05.

Stinnett, Nancy, College of Medicine, Administrative Support Associate I, Internal Medicine, after 31 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 2/3/06.

Stivers, Judy M., Student Affairs, Assistant Nursing Director, University Health Service, after 30 years and 8 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 9/5/05.

Thomas, Margaret, College of Dentistry, Staff Support Associate II, Kentucky Clinic Dentistry, after 12 years and 8 months of consecutive service, and

---

*Special Title series

a total of 26 years and 2 months of service, under AR II-1.6-1, Section III.A.2, effective 9/23/05.

Tomes, Letha J., College of Agriculture, Research Specialist, Plant and Soil Sciences, after 24 years and 9 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 1/3/06.

I. POST-RETIREMENTS APPOINTMENTS

Dye, Naewanna, College of Agriculture, Lab Technician (part-time), Plant and Soil Sciences, 1/3/06 through 6/30/06.

Mays, Bobbie Jo, College of Agriculture, Account Clerk (part-time), Agriculture Business Office, 1/1/06 through 3/31/06.

Tutt, Charles, College of Agriculture, Agricultural Research Specialist (part-time), Plant and Soil Sciences, 1/1/06 through 12/30/06.

J. PHASED-RETIREMENT APPOINTMENTS

Miller, Frank C., College of Medicine, Professor (with tenure), Obstetrics and Gynecology, 12/1/05 through 11/30/10.

Porter, William H., College of Medicine, Professor* (with tenure), Pathology and Laboratory Medicine, and joint appointment as Professor* (without tenure), Clinical Sciences, College of Health Sciences, 12/1/05 through 11/30/10.

II. ADMINISTRATIVE ACTION

A. ACADEMIC APPOINTMENTS

Allen, Michael L., College of Agriculture, Instructor (part-time), Nutrition and Food Science, 1/25/05 through 6/30/05.

Appel, James E., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 11/1/05 through 6/30/06.

Bailey, George, College of Dentistry, Clinical Assistant Professor, Oral Health Science, 11/11/05 through 6/30/06.

Bernstein, Charles M., College of Medicine, Instructor (voluntary), Internal Medicine, 7/1/05 through 6/30/06.

Bischoff, Elisha A., College of Pharmacy, Assistant Professor (voluntary), 9/7/05 through 6/30/06.

Bohannon, Brent M., College of Design, Instructor (part-time), Architecture, 8/16/05 through 6/30/06.

Bosley, Eric L., College of Health Sciences, Instructor (voluntary), Clinical Sciences, 9/1/05 through 6/30/06.

Brandewie, Ted, College of Business and Economics, Instructor (part-time), Management, 8/16/05 through 6/30/06.

Chadwell, Helen R., College of Health Sciences, Instructor (voluntary), Clinical Sciences, 7/1/05 through 6/30/06.

---

*Special Title series

Chandler, Wanda, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/05 through 5/15/06.
Cook, Shannon M., College of Medicine, Assistant Professor (voluntary), Psychiatry, 9/1/05 through 6/30/06.
Cooke-Jackson, Angela F., College of Communications and Information Studies, Instructor (part-time), Communication, 7/1/05 through 6/30/06.
Cushing, Tamara L., College of Agriculture, Assistant Professor, Forestry, 8/8/05 through 8/7/06.
Davidson, Brad, College of Health Sciences, Instructor (voluntary), Rehabilitation Sciences, 10/1/05 through 6/30/06.
DeArth-Pendley, Gina M., College of Education, Instructor (part-time), Educational and Counseling Psychology, 8/1/05 through 12/31/05.
Duperret, Donald, College of Medicine, Assistant Professor (part-time), Diagnostic Radiology, 11/1/05 through 6/30/06.
Fei, Songlin, College of Agriculture, Assistant Professor, Forestry, 8/15/05 through 8/14/06.
Flaherty, Christopher W., College of Social Work, Assistant Professor, 8/15/05 through 6/30/06.
Gregg, Timothy, College of Medicine, Instructor (voluntary), Internal Medicine, 7/1/05 through 6/30/06.
Gu, Qihai, College of Medicine, Assistant Research Professor, Physiology, 11/1/05 through 6/30/06.
Gutgsell, Terence L., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 11/1/05 through 6/30/06.
Huberfeld, Nicole L., College of Law, Assistant Professor, 7/1/05 through 6/30/07.
Humphrey, Wendy, College of Dentistry, Clinical Assistant Professor, Oral Health Science, 1/1/06 through 6/30/06.
Jin, Ying, College of Medicine, Assistant Research Professor, Physiology, 11/1/05 through 6/30/06.
Jo, Misung, College of Medicine, Assistant Research Professor, Obstetrics and Gynecology, 11/1/05 through 6/30/06.
Jones, Kenneth R., College of Agriculture, Assistant Extension Professor, Community and Leadership Development, 1/18/05 through 6/30/06.
Jones, Shelley M., College of Pharmacy, Clinical Assistant Professor, 7/1/05 through 6/30/06.
Joshi, Preeti R., College of Agriculture, Lecturer, Merchandising, Apparel & Textiles, 8/15/05 through 6/30/06.
Kankipati, Varudhini, College of Agriculture, Instructor (part-time), Family Studies, 12/19/04 through 1/15/05.
Keedy, David L., College of Health Sciences, Instructor (voluntary), Clinical Sciences, 7/1/05 through 6/30/06.
Kimbrough, Andrew M., College of Fine Arts, Assistant Professor, Theatre, 7/1/05 through 6/30/06.
Krause, Alison E., College of Medicine, Instructor (voluntary), Internal Medicine, 7/1/05 through 6/30/06.

---

*Special Title series

McCreary, Paul B., College of Pharmacy, Assistant Professor (voluntary), 9/1/05 through 6/30/06.

Mowery, Robyn L., College of Agriculture, Assistant Professor, Family Studies, 8/16/05 through 6/30/06.

Ong, Vivian C., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 10/1/05 through 6/30/06.

P'Simer, Sheila K., College of Health Sciences, Instructor (voluntary), Clinical Sciences, 7/1/05 through 6/30/06.

Puzzello, Daniela, College of Business and Economics, Assistant Professor, Economics, and joint appointment as Assistant Professor, Mathematics, College of Arts and Sciences, 8/16/05 through 6/30/06.

Reichbach, Gwendolyn M., College of Agriculture, Instructor (part-time), Family Studies, 8/16/05 through 6/30/06.

Ryoti, Don, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/05 through 12/31/05.

Sampers, Jackie, College of Education, Assistant Research Professor, Special Education and Rehabilitation Counseling, 8/16/05 through 6/30/06.

Schaeffer, Cameron S., College of Medicine, Assistant Professor (voluntary), Pediatrics, 7/1/05 through 6/30/06.

Scott, Ruth A., College of Agriculture, Lecturer, Family Studies, 8/16/05 through 6/30/06.

Smith, Benjamin S., College of Health Sciences, Instructor (voluntary), Clinical Sciences, 6/1/05 through 6/30/06.

Steinmetz, David R., College of Fine Arts, Assistant Professor, Theatre, 7/1/05 through 6/30/06.

Uttenreither, Deborah A., College of Fine Arts, Lecturer, Theatre, 8/1/05 through 6/30/06.

Vaske, Raymond J., College of Design, Instructor (part-time), Architecture, 8/16/05 through 6/30/06.

Visona, Monica B., College of Fine Arts, Assistant Professor, Art, 7/1/05 through 6/30/06.

Wang, Shuxia, Graduate School, Assistant Professor, Nutritional Sciences, 10/1/05 through 6/30/06.

Wells, David L., College of Dentistry, Assistant Professor (voluntary), Oral Health Science, 11/1/05 through 6/30/06.

B. ADMINISTRATIVE APPOINTMENTS

Dyk, Patricia H., College of Agriculture, Associate Professor (with tenure), Community and Leadership Development, and joint appointment as Associate Professor (without tenure), Sociology, College of Arts and Sciences, appointed Interim Chair, Family Studies, 5/1/05 through 4/30/06.

Hannemann, Jen, College of Engineering, Engineer Associate IV/Research, Center for Visualization and Virtual Environments, effective 10/10/05.

---

*Special Title series

Johnson, Darren L., College of Medicine, Professor (with tenure), Orthopaedic Surgery, and joint appointment as Professor (without tenure), Rehabilitation Sciences, College of Health Sciences, appointed Interim Chair, Department of Orthopaedic Surgery, 11/1/05 through 10/31/06.

C. JOINT APPOINTMENTS

King, Kyle J., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, joint appointment as Assistant Professor (voluntary), Family and Community Medicine, College of Medicine, 11/1/05 through 6/30/06.

Swanberg, Jennifer E., College of Social Work, Assistant Professor, joint appointment as Assistant Professor, Behavioral Science, College of Medicine, 8/16/05 through 6/30/06.

Umberger, Brian, College of Education, Assistant Professor, Kinesiology and Health Promotion, joint appointment as Assistant Professor, Biomedical Engineering, Graduate School, 1/1/06 through 6/30/06.

D. REAPPOINTMENTS

Barton, Christopher D., College of Agriculture, Assistant Professor, Forestry, 7/1/05 through 6/30/06.

Bradford, Kay P., College of Agriculture, Assistant Professor, Family Studies, 7/1/05 through 6/30/06.

Burk, Charles, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 8/16/05 through 12/31/05.

Byers, Matthew E., College of Agriculture, Assistant Adjunct Professor, Biosystems and Agricultural Engineering, 7/1/05 through 6/30/06.

Cardi, W J., College of Law, Assistant Professor, 7/1/05 through 6/30/06.

Carey, Daniel I., College of Agriculture, Assistant Adjunct Professor, Biosystems and Agricultural Engineering, 7/1/05 through 6/30/06.

Carter, Janis, College of Education, Assistant Professor (part-time, visiting), Curriculum and Instruction, 9/1/05 through 6/30/06.

Castillo, Manuel, College of Agriculture, Assistant Research Professor, Biosystems and Agricultural Engineering, 7/1/05 through 6/30/06.

Cook-Newell, Margaret E., College of Agriculture, Lecturer, Nutrition and Food Science, 8/16/05 through 5/15/06.

Devine, Carol L., College of Agriculture, Instructor (part-time), Family Studies, 8/16/05 through 5/15/06.

Gardner, Melissa E., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 1/1/06 through 6/30/06.

Ham, Seonok, College of Agriculture, Assistant Professor, Nutrition and Food Science, 7/1/05 through 6/30/06.

Heflin, Colleen, Graduate School, Assistant Professor, Martin School of Public Policy and Administration, 7/1/05 through 6/30/06.

---

*Special Title series

Hodges, Robert, College of Arts and Sciences, Instructor (part-time), History, 8/16/05 through 12/31/05.

Horstmeier, Robin L., College of Agriculture, Assistant Professor, Community and Leadership Development, 7/1/05 through 6/30/06.

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

Hunter, Pauline L., College of Agriculture, Instructor (part-time), Nutrition and Food Science, 7/1/05 through 6/30/06.

Kwon, Seok-Woo, Graduate School, Assistant Professor, Martin School of Public Policy and Administration, and joint appointment as Assistant Professor, College of Pharmacy, 7/1/05 through 6/30/06.

Lin, Elizabeth G., College of Pharmacy, Lecturer, 7/1/05 through 6/30/06.

Mao, Catherine D., Graduate School, Assistant Professor, Nutritional Sciences, 7/1/05 through 6/30/06.

Marton, James, Graduate School, Assistant Professor, Martin School of Public Policy and Administration, 7/1/05 through 6/30/06.

McIntire, Andy, College of Arts and Sciences, Instructor (part-time), History, 8/16/05 through 12/31/05.

Miller, Jennifer B., College of Arts and Sciences, Instructor (part-time), Political Science, 8/16/05 through 5/15/06.

Moore, David H., College of Law, Assistant Professor, 7/1/05 through 6/30/06.

Olson, Carole J., College of Social Work, Lecturer, 7/1/05 through 6/30/06.

Ringhand, Lori A., College of Law, Assistant Professor, 7/1/05 through 6/30/06.

Rohlf, Richard A., College of Agriculture, Assistant Adjunct Professor, Biosystems and Agricultural Engineering, 7/1/05 through 6/30/06.

Schultz, Lois E., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 1/1/06 through 6/30/06.

Shao, Jianhua, Graduate School, Assistant Professor, Nutritional Sciences, 7/1/05 through 6/30/06.

Shotwell, John, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/05 through 6/30/06.

Smith, Susan G., College of Agriculture, Instructor (part-time), Family Studies, 8/16/05 through 5/15/06.

Tanaka, Keiko, College of Agriculture, Assistant Professor, Community and Leadership Development, and joint appointment as Assistant Professor, Sociology, College of Arts and Sciences, 7/1/05 through 4/22/06.

Trammell, Rebecca S., College of Law, Assistant Professor, and joint appointment as Librarian III, Libraries, 7/1/05 through 6/30/06.

Winters, Andrew M., College of Social Work, Instructor (part-time), 8/16/05 through 5/15/06.

E. PROMOTIONS WITHOUT TENURE

Daniels, Judith A., College of Nursing, from Clinical Instructor, to Clinical Assistant Professor, 1/1/06 through 6/30/06.

---

*Special Title series

F. CHANGES

Badger, Karen L., College of Social Work, from Instructor (part-time), to Clinical Instructor, 8/16/05 through 6/30/06.

Blalock, Eric M., College of Medicine, from Assistant Research Professor, Molecular and Biomedical Pharmacology, to Assistant Professor, Molecular and Biomedical Pharmacology, 11/1/05 through 6/30/06.

Brown, Roger M., College of Agriculture, from Instructor (part-time), Agricultural Economics, to Lecturer, Agricultural Economics, 9/6/05 through 6/30/06.

Cross, Alvin, College of Communications and Information Studies, from Lecturer, Journalism and Telecommunications, to Assistant Extension Professor, Journalism and Telecommunications, 8/1/05 through 6/30/06.

Curd, Philip R., College of Public Health, from Assistant Professor (part-time), Preventive Medicine and Environmental Health, to Clinical Assistant Professor, Preventive Medicine and Environmental Health, 7/1/05 through 6/30/06.

DeFranco, Paul E., College of Medicine, from Clinical Assistant Professor, Pediatrics, to Assistant Professor (part-time), Pediatrics, 9/1/05 through 6/30/06.

Gibson, James, College of Design, from Instructor (part-time), Architecture, to Instructor (temporary), Architecture, 8/16/05 through 6/30/06.

Henton, Marty, College of Fine Arts, from Instructor (part-time), Art, to Lecturer, Art, 8/1/05 through 6/30/06.

Jennings, Heath R., College of Pharmacy, from Assistant Professor (voluntary), to Assistant Professor (part-time), College of Nursing, and joint appointment as Assistant Professor (part-time), College of Pharmacy, 7/1/05 through 6/30/06.

Ralph, Anthony, Student Affairs, from Student Affairs Director, Residence Life, to Student Services Director, Residence Life, effective 7/1/05.

Stephenson, Tammy J., College of Agriculture, from Instructor (temporary), Nutrition and Food Science, to Lecturer, Nutrition and Food Science, 8/16/05 through 5/15/06.

Swanson, Mark A., College of Agriculture, from Assistant Research Professor, Community and Leadership Development, to Assistant Professor, Health Behavior, College of Public Health, 7/1/05 through 6/30/06.

Taylor, Shawn M., College of Medicine, from Assistant Professor (voluntary), Pediatrics, to Assistant Professor (part-time), Pediatrics, 11/1/05 through 6/30/06.

Wilson, Annabelle R., College of Fine Arts, from Assistant Professor (temporary), Art, to Lecturer, Art, 8/1/05 through 6/30/06.

---

*Special Title series

G. LEAVES OF ABSENCE

Barron, Susan, College of Arts and Sciences, Associate Professor (with tenure), Psychology, Sabbatical leave at two-thirds salary, 7/1/06 through 6/30/07.

Beidleman, James, College of Arts and Sciences, Professor (with tenure), Mathematics, Sabbatical leave at full salary, 7/1/06 through 12/31/06.

Chen, Zhi, College of Engineering, Associate Professor (with tenure), Electrical and Computer Engineering, Sabbatical leave at full salary, 1/1/06 through 6/30/06.

Cooper, Robin, College of Arts and Sciences, Associate Professor (with tenure), Biology, Sabbatical leave at full salary, 7/1/06 through 12/31/06.

Domer, Dennis, College of Design, Professor (with tenure), Historic Preservation, Sabbatical leave at half salary, 1/1/06 through 12/31/06.

Eastwood, Bruce, College of Arts and Sciences, Professor (with tenure), History, Sabbatical leave at half salary, 7/1/06 through 12/31/06.

Ehrenborg, Richard, College of Arts and Sciences, Associate Professor (with tenure), Mathematics, Sabbatical leave at two-thirds salary, 7/1/06 through 6/30/07.

Eides, Michael, College of Arts and Sciences, Professor (with tenure), Physics and Astronomy, Sabbatical leave at two-thirds salary, 7/1/06 through 6/30/07.

Fryar, Alan, College of Arts and Sciences, Associate Professor (with tenure), Geology, Sabbatical leave at full salary, 7/1/06 through 12/31/06.

Gleeson, Scott, College of Arts and Sciences, Associate Professor (with tenure), Biology, Sabbatical leave at two-thirds salary, 7/1/06 through 6/30/07.

Haley, Boyd, College of Arts and Sciences, Professor (with tenure), Chemistry, and joint appointment as Professor (without tenure), Medicinal Chemistry and Pharmaceutics, College of Pharmacy, Sabbatical leave at two-thirds salary, 7/1/06 through 6/30/07.

Hecker, Thomas E., Libraries, Librarian II (with tenure), Sabbatical leave at full salary, 7/1/06 through 12/31/06.

Holsinger, James W., College of Medicine, Professor (with tenure), Internal Medicine, and joint appointments as Professor (without tenure), Anatomy and Neurobiology and Professor (without tenure), Surgery and Professor (without tenure), Health Services, College of Health Sciences, to change from Leave without pay, 7/1/05 through 6/30/06, to Leave without pay, 7/1/05 through 12/31/05.

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

Jackson, Hazel B., College of Agriculture, County Extension Agent, Cooperative Extension Service, Educational leave at full salary, 3/1/06 through 8/31/06.

---

*Special Title series

Jaromczyk, Jerzy W., College of Engineering, Associate Professor (with tenure), Computer Science, Sabbatical leave at full salary, 1/1/06 through 6/30/06.

Leaman, Oliver, College of Arts and Sciences, Professor (with tenure), Philosophy, Sabbatical leave at full salary, 7/1/06 through 12/31/06.

Lewis, John, College of Arts and Sciences, Professor (with tenure), Mathematics, Sabbatical leave at two-thirds salary, 1/1/07 through 12/31/07.

Liu, Keh-Fei, College of Arts and Sciences, Professor (with tenure), Physics and Astronomy, Sabbatical leave at full salary, 7/1/06 through 12/31/06.

Man, Chi Sing, College of Arts and Sciences, Professor (with tenure), Mathematics, Sabbatical leave at two-thirds salary, 7/1/06 through 6/30/07.

Meier, Mark, College of Arts and Sciences, Professor (with tenure), Chemistry, Sabbatical leave at two-thirds salary, 7/1/06 through 6/30/07.

Monton, Bradley, College of Arts and Sciences, Associate Professor (with tenure), Philosophy, Sabbatical leave at two-thirds salary, 7/1/06 through 6/30/07.

Nall, Martha A., College of Agriculture, Extension Professor (with tenure), Community and Leadership Development, Sabbatical leave at full salary, 1/2/06 through 6/30/06.

Peffley, Mark, College of Arts and Sciences, Professor (with tenure), Political Science, Sabbatical leave at full salary, 7/1/06 through 12/31/06.

Phillips, Jonathan, College of Arts and Sciences, Professor (with tenure), Geography, Sabbatical leave at full salary, 7/1/06 through 12/31/06.

Pierce, Yolanda, College of Arts and Sciences, Associate Professor (with tenure), English, Sabbatical leave at two-thirds salary, 7/1/06 through 6/30/07.

Readdy, Margaret, College of Arts and Sciences, Associate Professor (with tenure), Mathematics, Sabbatical leave at two-thirds salary, 7/1/06 through 6/30/07.

Roorda, Randall, College of Arts and Sciences, Associate Professor (with tenure), English, Sabbatical leave at two-thirds salary, 7/1/06 through 6/30/07.

Santi, Enrico, College of Arts and Sciences, Professor (with tenure), Hispanic Studies, Sabbatical leave at two-thirds salary, 7/1/06 through 6/30/07.

Secor, Anna, College of Arts and Sciences, Associate Professor (with tenure), Geography, Sabbatical leave at two-thirds salary, 1/1/07 through 12/31/07.

Shannon, Gary, College of Arts and Sciences, Professor (with tenure), Geography, and joint appointment as Professor (without tenure), Behavioral Science, College of Medicine, Sabbatical leave at full salary, 7/1/06 through 12/31/06.

Summers, Mark, College of Arts and Sciences, Professor (with tenure), History, Sabbatical leave at two-thirds salary, 7/1/06 through 6/30/07.

Vaughn, Sarah C., Libraries, Librarian II (with tenure), Sabbatical leave at full salary, 1/1/07 through 6/30/07.

Ye, Qiang, College of Arts and Sciences, Professor (with tenure), Mathematics, Sabbatical leave at full salary, 7/1/06 through 12/31/06.

---

*Special Title series

EXECUTIVE VICE PRESIDENT FOR HEALTH AFFAIRS

I. BOARD ACTION

A. ADMINISTRATIVE APPOINTMENTS

Fort, Patience, University Hospital, Pharmacy Services, Clinical Staff Pharmacist, effective 11/8/05.

Taylor, Jan, University Hospital, Marketing, Communications and Advertising Director, effective 10/3/05.

B. CHANGES

Hite, Kimberley, University Hospital, from Pharmacy Services, Associate Pharmacy Director, to Pharmacy Services, Assistant Pharmacy Director, effective 11/13/05.

C. EARLY RETIREMENTS

Crump, Linda B., University Hospital, Clinical Laboratory, Medical Technician, after 25 years of consecutive service, and 27 years and 4 months of total service, under AR II-1.6-1, Section III.A.2, effective 12/9/05.

Greene, Kathleen, University Hospital, Kentucky Clinic North, Kentucky Clinic North Manager, after 18 years and 11 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 1/6/06.

Sharp, Regina, University Hospital, Central Sterile, Central Sterile/Operating Room Supervisor, after 26 years and 8 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 12/9/05.

D. POST-RETIREMENT APPOINTMENT

Sims, Priscilla, University Hospital, Clinical Laboratory, Medical Technician, effective 10/4/05 through 6/30/06.

II. ADMINISTRATIVE ACTION

A. CHANGES

Maddox, Robert, University Hospital, from Patient Accounts, Accounting Manager I, to Patient Accounts, Associate Director of Patient Accounts, effective 10/16/05.

---

*Special Title series

EXECUTIVE VICE PRESIDENT FOR RESEARCH

I. BOARD ACTION

A. EARLY RETIRMENTS

Olsen, Kenneth, Disability Program Administrator III, Interdisciplinary Human Development Institute, after 30 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 10/31/05.

*Special Title series

PR 3

Office of the President
December 13, 2005

Members, Board of Trustees:

PROPOSED REVISIONS TO THE ADMINISTRATIVE REGULATIONS

Recommendation: that the attached proposed revisions to the Administrative Regulations (AR III-1.1-4) be given approval. The proposed revisions were given first consideration and approval at the October 25, 2005 regular meeting of the Board.

The proposed additions are in blue and underlined; proposed deletions are in red, and a line runs through deleted language.

Background: The Kentucky Council on Postsecondary Education (CPE) promulgates regulations concerning residency determinations. The university's regulation on residency determinations is based on the CPE's regulations. Although the Non-Resident Fee Committee is created by an Administrative Regulation (AR), approval of the AR by the Board of Trustees is required by regulations promulgated by the CPE.

A committee, chaired by Associate Provost David Watt, reviewed the CPE requirements and the prior AR. The committee proposed revisions of the regulation. The revisions have been reviewed and approved by the Senate Council and President Todd; President Todd recommends approval of these revisions. The committee believes this revised Administrative Regulation complies with CPE's regulations, clarifies the procedures for determining residency, and gives the Non-Resident Fee Committee and students a better organized and more readable document.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

UNIVERSITY OF KENTUCKY **ADMINISTRATIVE REGULATIONS**	IDENTIFICATION AR III-1.1-4	PAGE 1
	DATE EFFECTIVE ~~9/21/99~~ 10/25/05	SUPERSEDES REGULATION DATED 6/15/89 3/19/92 9/23/94 6/11/96 9/21/99

NON-RESIDENT FEE COMMITTEE ~~FOR THE LEXINGTON CAMPUS, MEDICAL CENTER, AND LEXINGTON COMMUNITY COLLEGE~~
APPROVED BY THE BOARD OF TRUSTEES

Application for change of residency classification by a student enrolled in or an applicant to a program ~~on the Lexington Campus or Medical Center~~ at the University of Kentucky shall be made in writing to the Residency Officer in the ~~Registrar's Office~~ Office of the Assistant Provost for Enrollment Management for initial consideration. ~~Application for change of residency classification by a student enrolled in or an applicant to a program at the Lexington Community College shall be made in writing to the Residency Officer at Lexington Community College for initial consideration.~~ The Residency Officer, a member of the Office of the Assistant Provost for Enrollment Management, is selected by the Assistant Provost for Enrollment Management and will serve as the Residency Officer as part of his or her job description. Residency determinations shall be based on ~~Administrative Regulations~~ regulations promulgated by the Council on Postsecondary Education ~~contained in 13 KAR 2:045~~. The Assistant Provost for Enrollment Management will not participate in the initial determination by the Residency Officer. The decision of the Residency Officer ~~in the Registrar's Officer or Lexington Community College Residency Officer~~, if adverse to the applicant, may be appealed to the Non-Resident Fee Committee.

The Non-Resident Fee Committee is appointed by the President of the University of Kentucky and reports to the ~~Vice President for Fiscal Affairs~~ Provost. The Committee shall be comprised of ~~six faculty and/or staff members and two students~~ the Associate Provost for Academic Affairs, the Assistant Provost for Enrollment Management (who is not the Residency Officer), a faculty member nominated by the University Senate and one student. ~~One faculty member and one student shall be appointed from Lexington Community College.~~ The University Senate will forward a list of three (3) faculty members to the President who will select a member of the Committee from among those named on this list. The chair~~person~~ shall be designated by the ~~President~~ Provost. The faculty ~~and/or staff~~ members ~~normally~~ shall have ~~staggered~~ a three-year ~~appointments; the student members shall have one year appointments~~ appointment. The Committee shall have authority to adopt by-laws, establish procedural rules, and schedule meetings. Three members shall be necessary for Committee action, and three members shall constitute a quorum. A majority of the Committee members present shall be necessary for any decision. A student may request the opportunity to attend a meeting of the Non-Resident Fee Committee that is considering his or her case by contacting the Chair of the Committee. If invited, the student may bring one advisory to the meeting, but the student shall present his or her case.

The ~~University Registrar~~ Provost shall provide professional and secretarial support for the Non-Resident Fee Committee, including but not limited to recording and preserving the minutes of

Committee meetings, processing applications on appeal, and presenting the applications at Committee meetings.

The Non-Resident Fee Committee ~~for the Lexington Campus, Medical Center, and Lexington Community College~~ shall consider appeals from students whose initial requests for change in residency status have been denied by the Residency Officer ~~in the Registrar's Office or the Residency Officer at Lexington Community College~~. Residency appeals shall be based on ~~Administrative Regulations~~ regulations promulgated by the Council on Postsecondary Education ~~contained in 13 KAR 2:045~~. The applicant shall be notified in writing as to the Committee's decision on the applicant's appeal.

If the applicant considers the decision of the Committee to be unsatisfactory, the applicant may request a formal hearing by contacting the Chair~~person~~ of the Non-Resident Fee Committee in writing within fourteen (14) days after receipt of the written notification.

The ~~Chancellor of the Lexington Campus, the Chancellor of the Medical Center, and the President of Lexington Community College are~~ Provost is authorized to appoint or employ a hearing officer to preside over formal residency hearings. ~~Formal hearings shall be~~ and shall arrange~~d~~ a formal hearing ~~based~~ on a timely ~~request from a student~~ basis. The formal hearing shall include guarantees of due process including the right of a student to be represented by legal counsel and the right of the student to present information and testimony in support of a claim of Kentucky residency. The Hearing Officer shall have the authority to establish procedural rules for hearings. The Residency Office shall have the right to present information to the Hearing Officer.

The ~~hearing officer~~ Hearing Officer shall make a recommendation to the ~~appropriate Chancellor or the President of Lexington Community College~~ Provost. The ~~Chancellor or President~~ Provost shall decide the appeal and notify the student in writing.

The Office of Legal Counsel shall advise the Residency Officer ~~in the Registrar's Office, the Residency Officer at Lexington Community College,~~ and the Non-Resident Fee Committee, ~~the Chancellors and the President of Lexington Community College~~ on legal matters, including but not limited to interpretation of the ~~residency~~ regulations promulgated by the Council on Postsecondary Education ~~contained in 13 KAR 2:045~~, procedural questions, and applicable laws, cases, and regulations.

The Non-Resident Fee Committee shall submit an annual report on its activities to the ~~Vice President for Fiscal Affairs~~ Provost.

PR 4

Office of the President
December 13, 2005

Members, Board of Trustees:

PROPOSED AMENDMENT TO THE GOVERNING REGULATIONS

Recommendation: that the attached revision to the Ethical Principles and Code of Conduct section of the University's Governing Regulations (GR Part I. D. 2. k.) relating to the internal and external audit functions be reviewed and approved for preliminary consideration. Final action by the Board of Trustees may occur at the January 24, 2006 meeting.

Background: The Sarbanes-Oxley Act, applicable to public companies that are subject to SEC regulation, was enacted by Congress in 2002 in response to concerns over corporate scandals, accounting irregularities, fraud, and related audit failures. The Act does not apply to colleges and universities and has no force of law for those institutions, although certain provisions have relevance to higher education management and oversight.

The National Association of College and University Business Officers (NACUBO) recommended that colleges and universities comply with the spirit of the Sarbanes-Oxley Act and issued an Advisory Report in November, 2003, to provide guidance on "best practices" to implement from the Act. The University of Kentucky is implementing the recommendations of NACUBO.

A provision of the Act makes it unlawful for a public company officer or director to fraudulently influence, coerce, manipulate, or mislead an auditor in the performance of an audit. NACUBO recommends that this issue be addressed in an institution's code of conduct/code of ethics as a specific violation of policy. The attached revision to the "Ethical Principles and Code of Conduct" is proposed to make the University's regulations compliant with NACUBO's recommendation.

The University's Treasurer, Henry Clay Owen, recommended this action to the Audit Subcommittee of the Board of Trustees' Finance Committee. The Audit Subcommittee agreed with the proposed amendment.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

(j) Conflict of Interest

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

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

(k) Auditing Services

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

(l) Financial Advantage

Members of the University community must exhibit personal integrity, honesty and responsibility in all actions. Official position or office shall not be used to obtain financial gain or benefits for oneself or members of one's family or business associates. Any action that creates the appearance of impropriety should be avoided. 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.

AACR 1

Office of the President
December 13, 2005

Members, Board of Trustees:

CANDIDATES FOR DEGREES

Recommendation: that the President be authorized to confer upon each individual whose name appears on the attached list the degree to which he or she is entitled upon certification by the University Registrar that the individual has satisfactorily completed all requirements for the degree for which application has been made and as approved by the elected faculty of the University Senate and the Academic Affairs Committee of the Board of Trustees.

Background: In order that the degrees may be conferred upon the individuals completing requirements in December as soon after the close of the semester as possible, it is recommended that the Board of Trustees give its approval contingent upon certification by the University Registrar and the elected faculty of the University Senate that all requirements have been satisfactorily completed.

For details on degree candidate listings, please contact

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

Action taken: ☑ Approved, as amended by motion
❑ Disapproved ❑ Other _____

OFFICE OF UNDERGRADUATE ADMISSION AND UNIVERSITY REGISTRAR
CANDIDATES FOR DEGREES - DECEMBER 2005

Graduate Degrees:	
Ph.D.	180
D.M.A.	3
Ed.D.	11
Ed.S.	22
M.A.	137
M.A.EDU.	11
M.A.IDM.	1
M.B.A.	71
M.E.	1
M.H.A.	9
M.H.P.	12
M.M.	4
M.P.A.	18
M.P.H.	27
M.R.C.	31
M.S.	128
M.S.ACC.	13
M.S.B.E	4
M.S.CHE.	1
M.S.C.E	28
M.S.EDU.	30
M.S.E.E.	24
M.S.FAM.	13
M.S.FOR.	4
M.S.IDM.	1
M.S.L.S.	33
M.S.MAE.	3
M.S. MSE.	9
M.S.MIN.	4
M.S.ME.	27
M.S.N.S.	3
M.S.N.	8
M.S PAS.	7
M.S. PT.	1
M.S.RMP.	4
M.S.VE.	3
M.S.W.	18
TOTAL	904

Professional Degrees:	
D.M.D.	1
J.D.	6
M.D.	2
Pharm. D.	2
TOTAL	11

Undergraduate Degrees:	
Agriculture	
BSAG	2
BSAB	9
BSAEC	38
BSAECL	11
BSAS	22
BSFA M	1
BSFCS	20
BSFS	8
BSFR	3
BSPSS	8
BSDIE	11
BSHE	1
BSHM	11
BSHN	11
BSLA	1
BSMAT	34
BSNRC	2
TOTAL	193
Arts and Sciences	
BA	257
BGS	1
BS	72
TOTAL	330
Business and Economics	
BBA	135
BSA	50
BSBE	5
TOTAL	190
Comm. & Information Studies	
BA	74
BS	46
TOTAL	120
Design	
BARCH	22
TOTAL	22
Education	
BAEDU.	108
BSEDU	9
TOTAL	117

Engineering	
BSBAE	5
BSCE	29
BSCS	15
BSEE	19
BSMEE	36
BSMAE	1
BSMIE	3
TOTAL	108
Fine Arts	
BA	27
BFA	8
B M	4
BMME	6
TOTAL	45
Nursing	
BSN	30
TOTAL	30
Social W ork	
BASW	19
TOTAL	19

Graduate Degrees	904
Professional Degrees	11
Undergraduate Degrees	1174
TOTAL	2089

KENTUCKY COMMUNITY AND TECHNICAL COLLEGE SYSTEM/
LEXINGTON COMMUNITY COLLEGE
CANDIDATES FOR DEGREES – DECEMBER 2005

Associate of Arts	57
Associate of Science	31
Associate of Applied Science	45

AACR 2

Office of the President
December 13, 2005

Members, Board of Trustees:

CHANGE IN NAME OF THE DEPARTMENT OF GEOLOGY

Recommendation: that the Board of Trustees approve a change in the name of the College of Arts and Sciences Department of Geology to the Department of Earth and Environmental Sciences, effective in the spring 2006 semester.

Background: Over the last fifteen years, the entire context of earth sciences (or geology as it is commonly known) has changed. The discipline has evolved from a profit-oriented, exploitative approach to one that emphasizes understanding the earth as a system and the remediation of current and past environmental ills. The word "geology" conveys to most people the concept of rocks or the study of rocks, but as practiced today, the field is much broader than the study of rocks. Overall, the field has become more interdisciplinary and environmental in scope. The proposed name change reflects the faculty's desire to become part of an ongoing and significant trend in the discipline. The new name has the advantage of reflecting the more traditional geologic role of studying and understanding the earth, while at the same time conveying the integral nature of its more applied environmental role.

The proposal has been approved by the department faculty and the Arts and Sciences College Council; reviewed and recommended by the Senate Committee on Academic Organization and Structure; and recommended by the University Senate. The Interim Provost of the University supports this recommendation.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

AACR 3

Office of the President
December 13, 2005

Members, Board of Trustees:

CHANGE IN NAME OF THE COLLEGE OF AGRICULTURE

Recommendation: that the Board of Trustees approve a change in the name of the College of Agriculture to the College of Agriculture, Food, and Environment, effective July 1, 2006.

Background: In the Spring of 2002, discussion of a name change for the College of Agriculture began in earnest as a merger of the College of Human Environmental Sciences with the College of Agriculture was being considered. With the official merger of the colleges in July 2003, several members of the Board of Trustees and many faculty asked for a review of the college name. The merger broadened the scope of the college to disciplines and programs that are not adequately described by "agriculture" alone. In addition, the needs and objectives of the students and stakeholders also have changed from a traditional focus on agricultural production to wider interests in life sciences and health, consumers and markets, and community and economic development. As the scope of agricultural colleges has evolved, a majority of our peers and benchmark institutions have changed names to emphasize the broader scope of their mission.

The proposal has been approved by the college faculty and the Agriculture Faculty Council; reviewed and recommended by the Senate Committee on Academic Organization and Structure; and recommended by the University Senate. The Interim Provost of the University supports this recommendation.

Action taken: ❑ Approved ❑ Disapproved ☑ Other Academic Affairs Committee recommends that more information be brought to it on this resolution in time for consideration before the January 23, 2006 board meeting.

FCR 1

Office of the President
December 13, 2005

Members, Board of Trustees:

ANONYMOUS GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of $10,000 and a pledge of $40,000 from several anonymous donors to add to the existing Endowment for Neuro-Urologic Research in the College of Medicine's Division of Urology and submit this gift and pledge of $50,000 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 donors are interested in supporting research in the area of urology and have asked to remain anonymous.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

FCR 2

Office of the President
December 13, 2005

Members, Board of Trustees:

WILLIAM F. BEAVEN PLEDGE

Recommendation: that the Board of Trustees accept a pledge of $50,000 from William F. Beaven of Uniontown, Kentucky to create and endow the Beaven-Eidetik Doctoral Research Fellowship in the College of Social Work and submit this pledge of $50,000 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: William F. Beaven is a 1975 MSW graduate of the College of Social Work. He is the president of Eidetik, Inc., a healthcare company dedicated to serving people with developmental disabilities and mental retardation. The Beaven-Eidetik Doctoral Research Fellowship will help attract and retain outstanding doctoral students and provide financial support for their collaborative research efforts.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

FCR 3

Office of the President
December 13, 2005

Members, Board of Trustees:

JAMES R. BOYD GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift $84,845 and a pledge of $40,155 from James R. Boyd of Lexington, Kentucky, to create and endow the Elise White Boyd Graduate Fellowship in the College of Engineering's Electrical and Computer Engineering Department and submit this gift and pledge of $125,000 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 R. Boyd, BSEE '69, is establishing the Elise White Boyd Graduate Fellowship in honor of his wife, a 1968 graduate of the College of Arts and Sciences. The fellowship will benefit graduate students pursuing a master's or doctoral graduate degree in electrical engineering. Mr. Boyd serves as Chairman of the Board of Arch Coal, Inc. He is an active volunteer with the College of Engineering, serving on the Dean's Advisory Council and the campaign committee. He was inducted as a member of the College's Hall of Distinction in 2001.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

FCR 4

Office of the President
December 13, 2005

Members, Board of Trustees:

LEO P. BRANSTETTER ESTATE GIFT

Recommendation: that the Board of Trustees accept a gift of $248,751 from the estate of Leo P. Branstetter to create and endow the Leo P. Branstetter Alzheimer's Disease Research Fund in the Sanders-Brown Center on Aging and submit this gift of $248,751 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: Mr. Branstetter's late wife had Alzheimer's Disease. He bequeathed this gift to the Sanders-Brown Center on Aging for the purpose of helping find a cure for and treatment of Alzheimer's Disease and related disorders.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

FCR 5

Office of the President
December 13, 2005

Members, Board of Trustees:

IOLA W. HARDING GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a $10,000 gift and pledge of $40,000 from Iola W. Harding of Albuquerque, New Mexico to create and endow the Robert E. Harding, Jr. Professorship Fund in the College of Law and submit these gifts and pledges of $50,000 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: Iola W. Harding is the widow of Robert E. Harding, Jr., who was the second African-American graduate of the College of Law in 1957. Mrs. Harding earned her master of arts degree from the College of Education in 1957. Their daughter, Roberta M. Harding, joined the faculty of the College of Law in 1991 and is currently the Willburt D. Ham Professor of Law. Robert E. Harding devoted his legal career to advocacy for the rights of, and justice for, the poor and underrepresented members of society. The Robert E. Harding, Jr. Endowed Professorship will support a UK College of Law faculty member who reflects Harding's commitment to service.

Action taken: ☑ Approved ☐ Disapproved ☐ Other _____

FCR 6

Office of the President
December 13, 2005

Members, Board of Trustees:

SARAH SCAIFE FOUNDATION GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of $100,000 and a pledge of $200,000 from the Sarah Scaife Foundation of Pittsburgh, Pennsylvania, to add to the existing Patient Quality, Safety, and Rights Research Endowment in the College of Medicine and submit this gift and pledge of $300,000 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 gift and pledge is being made to augment previous contributions from Dr. Michael Karpf, Executive Vice President for Health Affairs, and the UK HealthCare leadership team to create the Patient Quality, Safety, and Rights Research Endowment. The endowment will support research in this important field of study to benefit patients who receive care at the UK Chandler Medical Center.

Action taken: ☑ Approved ☐ Disapproved ☐ Other _____

FCR 7

Office of the President
December 13, 2005

Members, Board of Trustees:

JAMES AND DIANE STUCKERT GIFT

Recommendation: that the Board of Trustees accept a gift of $250,000 from James and Diane Stuckert of Louisville, Kentucky, to create and endow the James and Diane Stuckert Service Learning Professorship in the College of Education and submit this gift of $250,000 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 James and Diane Stuckert Service Learning Professorship will provide a professorship in the College of Education to advance the university's service learning and experiential education efforts. James and Diane Stuckert are generous supporters of the university and Mr. Stuckert is the Chair of the UK Capital Campaign Steering Committee. James Stuckert earned his bachelor's degree from the College of Engineering and his master's degree from the Gatton College of Business and Economics while Diane Stuckert earned her degree from the College of Education.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

FCR 8

Office of the President
December 13, 2005

Members, Board of Trustees:

DORIS S. BAILEY TRUST GIFT

Recommendation: that the Board of Trustees accept a gift of $958,473 from the Estate of Doris S. Bailey to create and endow the Doris S. Bailey Provost Scholarship Fund in the Office of Academic Scholarships.

Background: Mrs. Bailey, who resided in Tucson, Arizona, was a native Kentuckian who bequeathed her estate to the university because of her love for the commonwealth.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

FCR 9

Office of the President
December 13, 2005

Members, Board of Trustees:

THOMAS W. AND JANET R. LEWIS GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of $200,000 and a pledge of $800,000 from Thomas W. and Janet R. Lewis of Tempe, Arizona, to create and endow the Thomas W. and Janet R. Lewis Scholarship Fund in the Office of Academic Scholarships.

Background: Mr. Lewis received a degree in Mechanical Engineering in 1971. Mr. Lewis is a member of the UK Capital Campaign Steering Committee. The scholarship fund will provide merit scholarships for Kentucky residents.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

FCR 10

Office of the President
December 13, 2005

Members, Board of Trustees:

KENTUCKY NEPHROLOGY RESEARCH TRUST, INC. GIFT

Recommendation: that the Board of Trustees accept a gift of $478,871 from the Kentucky Nephrology Research Trust to support kidney disease research being conducted in the Division of Nephrology, Bone and Mineral Metabolism in the College of Medicine's Department of Internal Medicine.

Background: The Kentucky Nephrology Research Trust, Inc. was founded to promote kidney disease research and related disorders. The trust is making the gift to support the research work of Hartmut H. Malluche, M.D., Chief of the Division of Nephrology, Bone, and Mineral Metabolism at UK. Dr. Malluche is an internationally recognized physician and scientist who specializes in research and treatment of kidney disease and bone-related disorders.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

FCR 11

Office of the President
December 13, 2005

Members, Board of Trustees:

UNIVERISTY OF KENTUCKY TOP 20 BUSINESS PLAN

Recommendation: that the Board of Trustees approve the University of Kentucky Top 20 Business Plan.

Background: University of Kentucky President Lee Todd formed a Top 20 Business Plan Steering Committee to oversee the development of a plan that would provide the financial framework for UK's efforts to fulfill the Kentucky General Assembly's mandate that UK become a Top 20 public research university by 2020.

The university contracted with the Stillwater Group (a consulting firm located in Stillwater, New Jersey) to assist in the development of the plan. The Stillwater Group worked with the steering committee; the Office of Institutional Research, Planning, and Effectiveness; and the Office of Planning, Budget, and Policy Analysis to conduct educational, financial, and demographic analyses to determine the measures that define a Top 20 institution and the resources necessary for UK to reach that status. In the process, the Stillwater Group met with dozens of campus administrators, faculty, and staff. The transmittal letter of the Plan to the Board and an executive summary follows. The entire Plan is presented in a separate document.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

MEMORANDUM

To: Members, University of Kentucky Board of Trustees

From: Lee T. Todd, Jr.

Subject: Top 20 Business Plan

Date: December 13, 2005

I am pleased to present to you this long-term Plan for change in Kentucky.

Let there be no doubt: The University of Kentucky intends to become a Top 20 public research university by 2020. We will continue to work toward this goal, as we have since 1997, because Kentucky's economic success demands it and the people of Kentucky deserve it.

The challenge we face is a Top 20 mandate that came to us without any definition or clear understanding of what it will cost. Ambitious agendas for change in Kentucky too often fall victim to vague objectives, financial constraints, and competing demands. So it is essential that we make a clear and convincing argument for why it matters for Kentucky that we make progress toward the Top 20, how we intend to measure that progress, and what resources will be needed to achieve this ambition.

Progress So Far

The first segment of our pursuit of Top 20 status, from 1997 until now, has been a time of substantial progress:

Measure	Then	Now	Change	Percent Increase
Total Enrollment	24,061 (1996–97)	26,440 (2004–05)	2,379	10%
Applications	7,547 (1996–97)	10,515 (2004–05)	2,968	39%
First-year student				
• Enrollment	2,637 (1996–97)	3,835 (2004–05)	1,198	45%
• GSP/GSA*	125 (1996–97)	313 (2004–05)	188	150%
• Valedictorians	118 (1996–97)	137 (2004–05)	19	16%
• High School GPA	3.44 (1996–97)	3.56 (2004–05)	.12	3%
Graduation Rate	48.1 percent (1991 cohort)	59.5 percent (1998 cohort)	11.4 percentage points	24%
Degrees Conferred				
• Bachelors	3,133 (1996–97)	3,285 (2004–05)	152	5%
• Graduate	1,272 (1996–97)	1,634 (2004–05)	362	28%
• First Professional	353 (1996–97)	394 (2004–05)	41	12%
Faculty Salaries	$58,660 (1996–97)	$71,026 (2004–05)	$12,366	21%
Annual Giving	$41.4 mil. (1996-97)	$67.4 mil. (2004-05)	$26 mil.	63%
Research Expenditures	$124.8 mil. (1996-97)	$297.6 mil. (2003-04)	$172.8 mil.	138%
Endowment	$195.1 mil. (June 30, 1997)	$538.4 mil. (June 30, 2005)	$343.3 mil.	176%
Endowed Chairs	22 (pre-RCTF)**	95 (June 30, 2005)	73	332%
Endowed Professorships	45 (pre-RCTF)**	210 (June 30, 2005)	165	367%

***Governor's Scholars Program/Governor's School for the Arts**

**** Research Challenge Trust Fund**

Our faculty and staff have done a remarkable job of strengthening this institution. The Commonwealth has made significant investments to recruit nationally-recognized scholars and to increase our endowments through the Research Challenge Trust Fund. However, tight operating budgets have hampered us for much of the last eight years. We have lived year-to-year with whatever state appropriation we get and whatever we are able to gather from other sources. We therefore have not managed our progress. Instead, we have been forced to react to the circumstances around us. Our faculty and staff have done that admirably.

But for the University as a whole, our work has not been planned or focused enough. A Top 20 university cannot be built through incremental budgets,

short-term solutions, and reaction to external forces. This approach has put at risk our academic ambitions for our students, the strength of our research agendas, and the force of our impact on Kentucky.

Why We Need a Business Plan

The only way to escape reactive, circumstance-driven funding is to develop a financial plan that indicates clearly and specifically the long-term cost of achieving the Top 20 mandate. This Business Plan describes the Top 20 Compact in financial terms. We will put this Plan on the table as we talk with the General Assembly and the Governor, our donors, and our faculty and staff about what it is going to take for us to become a Top 20 university.

The time for that discussion is now. It has been eight years since the Compact was formed between UK and the people of Kentucky. We have used that time to assess our programs through the Top 20 Task Force and Futures Committee and we have made progress. Over the next several years, the people of Kentucky must decide whether they are willing to do what it takes to lay the financial and capital foundation necessary for our continued success.

- We need investments in our students—we need more dollars to continue to recruit, retain and graduate a top-quality, diverse student body and give them a world-class education and the academic support they need to be successful.
- We need investments in our people—we need more faculty, and staff to support them.
- We need investments in our infrastructure—we need modernized classrooms and more research space.

We are going to ask Kentuckians to invest in their flagship university as they never have before. I don't blame those across campus and across Kentucky who are skeptical. Skepticism is a product of experience. And the recent period of lean budgets makes it hard to have confidence in our chances. But if we do not put a specific statement of cost in front of the Governor and the members of the General Assembly, we cannot blame them for not giving us the resources we need. The Business Plan will make clear the cost of the ambitious goal the General Assembly gave us in 1997.

When we do this, legislators will be right to ask specific questions about what the people of Kentucky will get in return for their investment. That is the other half of the Compact. The Plan provides measures of progress that resonate with the legislature and the general public. We will add to these a list of markers of the impact we are having on the lives of the people of Kentucky through our multi-faceted outreach and engagement initiatives.

The Role of the Strategic Plan

This Business Plan is a financial, rather than strategic, document. We now can begin the hard work of plotting our strategy for the next 15 years. The next Strategic Plan (for 2006–2009) will define specific measures of quality, establish strategic goals for excellence, and direct the allocation of resources across campus. Those decisions must—and will—be made by the campus community and will appreciate the complexity and diversity of our colleges. We will begin immediately a series of internal conversations about the next Strategic Plan and how this institution moves forward. We will discuss as an academic community what our priorities and specific goals are, how we can best achieve those goals, and how resources will be allocated.

These discussions will translate the Business Plan into a plan of action. It must be a dynamic, serious, and honest conversation about what kind of university we want to be. Make no mistake about it. This institution must change if we are going to succeed. A university wedded to the status quo in a dynamic world will fail. Just as we need to force a discussion with the state about our need for more resources, we must force the internal discussion about our priorities. And those priorities must ultimately find their core in the needs of the people of Kentucky and what their flagship university is uniquely qualified to provide.

Faculty Growth, Then Enrollment Growth



Enrollment growth is an essential component of the University of Kentucky's progress because it is what Kentucky needs from us. But we will first build the infrastructure necessary to accommodate increasing numbers of students. We have made a conscious effort to focus on improving the quality of the education our students receive. We will not jeopardize that effort by growing too much too soon. It will do Kentucky little good if UK enrolls, retains, and graduates more students from an institution unable to provide high quality instruction because our classes are too big and our advising is too scarce.

The Business Plan calls for substantial increases in our faculty between now and 2020. It is essential that we front-load faculty growth before we increase our student enrollment. UK will maintain its current level of first-year student enrollment until Fall 2008. We can then grow our enrollment after appropriate preparations have been made. I understand the strain that dramatic increases in enrollment have placed on our faculty and staff and on our physical plant. It is symptomatic of the fact that we have confronted reality rather than planned for and managed it. Tight budgets made it impossible to increase our faculty to keep pace with our student growth. Our student to faculty ratio has suffered and we are putting at risk the quality of the education our students receive.

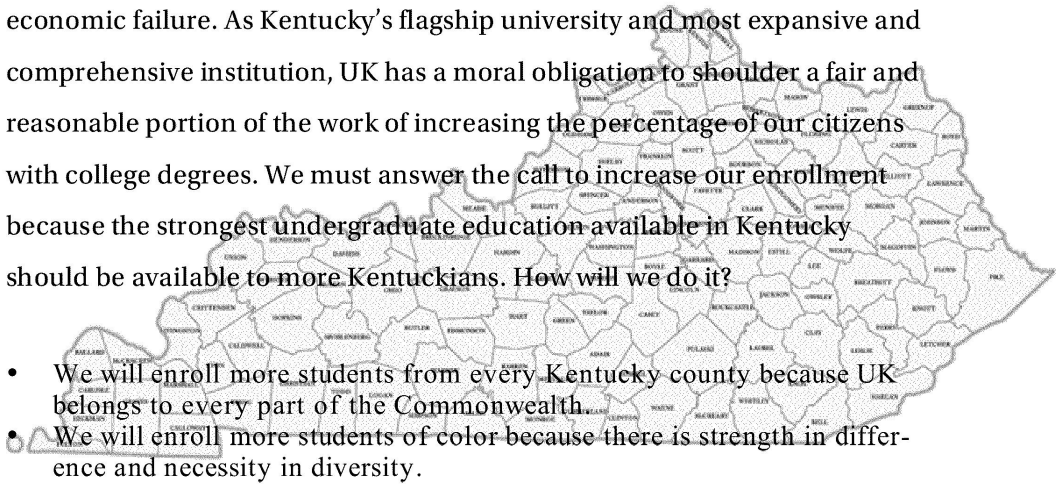
This Business Plan gives us the opportunity to make the case for increasing our faculty size to both make up for the lack of increases over the last few years and to prepare for future enrollment increases. And we need to pay our faculty better. The Business Plan calls for aggressive efforts to make our faculty salaries more competitive.

Our Responsibility to Kentucky—More College Graduates



We must increase our enrollment, but this is not about bigger being better. We know that all but three of the institutions in today's Top 20 are bigger—giving them advantages of volume, particularly in research. But other statistics make a much more compelling case for growth. Only 19 percent of Kentuckians have a bachelor's degree or higher. The national average is 27 percent. The impact is predictable: Kentucky's median household income is $36,786. That is almost $8,000 below the national average. Our poverty rate is 3.4 percentage points above the national average. One-fourth of Kentucky's children live in poverty. This is unacceptable.

The Kentucky Council on Postsecondary Education estimates that by 2020, 32 percent of the U.S. population will have a bachelor's degree or higher. Over the next 14 years Kentucky needs to increase by 210,000 its number of bachelors degree holders, just to be at the national average. Especially in a knowledge economy, a state that allows its workforce to lag behind the national average in educational attainment is a state that willingly accepts economic failure. As Kentucky's flagship university and most expansive and comprehensive institution, UK has a moral obligation to shoulder a fair and reasonable portion of the work of increasing the percentage of our citizens with college degrees. We must answer the call to increase our enrollment because the strongest undergraduate education available in Kentucky should be available to more Kentuckians. How will we do it?

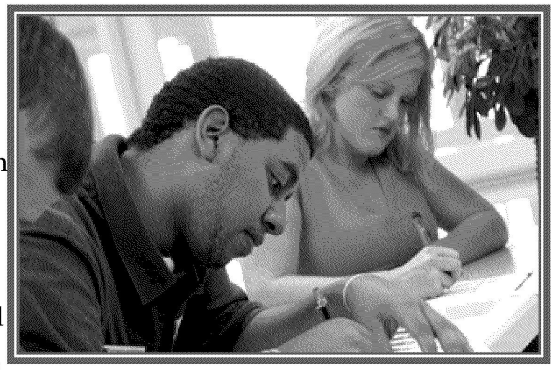


- We will enroll more students from every Kentucky county because UK belongs to every part of the Commonwealth.
- We will enroll more students of color because there is strength in difference and necessity in diversity.
- We will enroll more students from every state across the U.S. and more countries across the globe, because we need to recruit more talented people to Kentucky, and keep them in Kentucky.

We will build a student body recognized across the U.S. for its diversity and academic excellence. This will not be easy. We are a poor and under-educated state. We live in a culture that does not put enough value on a college education. Our under-18 population is flattening. And we do not have enough jobs right now for the educated workforce we produce.

But for too long, Kentuckians have been gripped by a resigned and cynical acceptance of a vicious cycle. Low per capita incomes make it difficult to commit the resources we need to increase our education levels and improve our economy. But we will not have higher per capita incomes without more people with bachelor's degrees. Our struggles as a state to deal with our social, economic, and health problems will continue as long as we passively accept low levels of educational attainment as inevitable in Kentucky. It really is that simple.

We must commit ourselves to competing in the knowledge economy or resign ourselves to the same low incomes and fragile economies of the past. We are 47th in workforce education, 42nd in high-tech jobs, 33rd in the number of the fastest growing companies, 45th in the number of patents, 39th in industry investment in research and development, and 47th in the number of scientists and engineers. Kentucky needs more scientists, more engineers, more mathematicians, more biologists, and more pharmacists.



But we also need more artists, more musicians, more health care workers, more writers, and more teachers. We need more college-educated citizens enriching communities, recruiting businesses, and creating ones of their own. We need more people trained and dedicated to solving the social, economic, and health care challenges we face. We need more creators, innovators, experimenters, and dreamers. We will work harder and more

effectively with Kentucky's elementary and secondary schools to inspire more of Kentucky's children to understand the importance of a college education, believe it is possible for them, and prepare to be successful at the University of Kentucky. We will place even greater emphasis on our responsibility to train future teachers and provide professional development opportunities to our current ones.

If we choose not to grow our enrollment, we abdicate our leadership role in making life better for more Kentuckians and making the future better for all of Kentucky. And we are complicit in allowing too many of our citizens to work in a series of stagnant jobs, earn below-average wages and few benefits, and face limited futures. Our poor citizens will remain poor, the divide between the "haves" and "have nots" will expand, impoverished regions will remain impoverished, businesses will struggle or close, and our state will continue to lag far behind our competitors on nearly every measure of the quality of our lives.

And the sad truth will be that the University of Kentucky will be an instrument of the status quo rather than a catalyst for change.

There is no virtue in cynicism, and there can be no progress from timidity. The time has come for Kentucky to risk and reach, unencumbered by the hollow safety of the predictable, the accepted, and the secure. We take direct aim at Top 20 status because it forces us to do what is hard so that we might achieve something better.

Our Responsibility to Kentucky—More Intellectual Capital

Enrollment growth also will provide a more stable financial environment over the long-term. It will allow us to sustain a larger faculty. Kentucky needs its flagship university to be home to a world-class collection of faculty that is talented enough, focused enough, and large enough to take on the problems that plague too many Kentuckians for too much of their lives. This is the message we must carry to Frankfort and across Kentucky. We need a larger faculty not just to teach our students but to be the engine for change and

improvement in the health and well-being of Kentucky. Richard Florida put it best in a recent article from the "Atlantic Monthly:"

> *Concentrations of creative and talented people are particularly important to innovation, according to the Nobel Prize-winning economist Robert Lucas. Ideas flow more freely, are honed more sharply, and can be put into practice more quickly when large numbers of innovators, implementers, and financial backers are in constant contact with one another, both in and out of the office...it certainly appears that innovation, economic growth, and prosperity occur in those places that attract a critical mass of top creative talent.*

That is what the Top 20 mandate is all about - creating a synergy of talent, creativity, and innovation. We see the need for more faculty in the hard work it will take to solve Kentucky's problems. Every additional faculty member we hire is another member of a collection of talented people dedicated to fighting disease, improving products and services, and creating businesses and jobs. Every additional dollar in external funding our faculty earns is another dollar invested in research and service and another dollar infused into our economy. Every additional action our faculty take to assist businesses, provide health care, support elementary and secondary education, enlighten our society, enrich our culture, and reach out to the communities across Kentucky makes a difference across Kentucky. UK is uniquely positioned to have an impact on the life of every Kentuckian and the future of every Kentucky community. We will work harder and more effectively with the University of Louisville and Kentucky's other postsecondary institutions—public and independent, two-year and four-year—to facilitate transfer enrollment and to engage in research and service that has a substantial and lasting effect on the social, economic, and physical health of our citizens.

Our capacity to improve Kentucky rests on the shoulders of our faculty. A larger faculty can provide more instruction, research, and service. A larger faculty will generate more inventions and more patents. A larger faculty will increase our ability to preserve our culture, appreciate our history, and value our Arts. We can make an even greater difference in Kentucky by being a larger physical, intellectual, and creative presence for Kentucky.

The Next 15 Years

We know Top 20 universities go hand-in-hand with more educated and healthier populations. Average household incomes are higher in states with Top 20 universities. Unemployment rates are lower and fewer public dollars are spent on health care. These states have healthier children and fewer people living in poverty. We know that people who go to college live healthier lives, are less susceptible to poverty, and are less encumbered by disease. We know that college educated people are more likely to vote and give their time and their energy to improve the communities around them. We know they are more likely to be involved in local schools and read to their children at night.

We take direct aim at Top 20 status because it is a noble and ambitious cause. But our only sure reward is the progress we will make through aggressive plans and hard work over the next 15 years. We can and we will become a stronger university by 2020. And we will make Kentucky a much better place for our children.

Few people are fortunate enough to stand at the threshold of fundamental choice about the future. We find ourselves in such a moment. We should be willing and anxious to seek visionary objectives, to do hard things, and to act boldly.

What's Next?

I want to express our appreciation for the Stillwater Group who has provided essential consultation and perspective as we have developed this Plan. They have helped us admirably in navigating these uncharted waters. A detailed Business Plan is an unusual way to plan for the future of a public university. In fact, we know of no other public university in the U.S. that has done it.

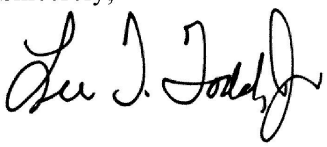
I also want to thank all the members of the University of Kentucky community who have worked to put this plan together: the members of the Top 20 Business Plan Steering Committee; the offices of the Treasurer, Undergraduate Education, Registrar and Admissions, Development, Student Affairs,

Multicultural and Academic Affairs, Public Relations, Facilities Management, and Research; the Senate Council; the Deans Council; the Provost Council; and numerous department chairs, faculty, and staff.

Pending approval of this Business Plan by the Board of Trustees, I will ask the Interim Provost and the Executive Vice Presidents to form a university-wide Committee on Academic Planning and Priorities. I will ask that Committee to take on the responsibility for overseeing the implementation of the Plan, and recommending specific steps necessary to achieve its goals. Their recommendations must—and will—include specific allocations of our operating budget, plans for capital construction, and targets for internal reallocation and operating efficiencies.

I look forward to working with you as we continue to build a Top 20 university and serve the people of Kentucky.

Sincerely,



Lee T. Todd, Jr.

The University of Kentucky Top 20 Business Plan

DECEMBER 2005

In 1997, the people of Kentucky established a Compact with their University of Kentucky...

...in return for investing the resources necessary to make UK a Top 20 public research university by 2020, the people of Kentucky would receive the benefits that come from it: an institution defined by academic excellence, world-class research, and vigorous engagement in communities across Kentucky. The Compact represents a commitment to progress because building a Top 20 research university is essential to any effort to make every Kentucky community stronger and the life of every Kentuckian better in a knowledge economy.

TOP 20 UNIVERSITIES go hand-in-hand with more educated, healthier, and financially secure populations. Average household incomes are higher in states with Top 20 universities. Unemployment rates are lower and fewer public dollars are spent on health care. These states also have healthier children and fewer people living in poverty.

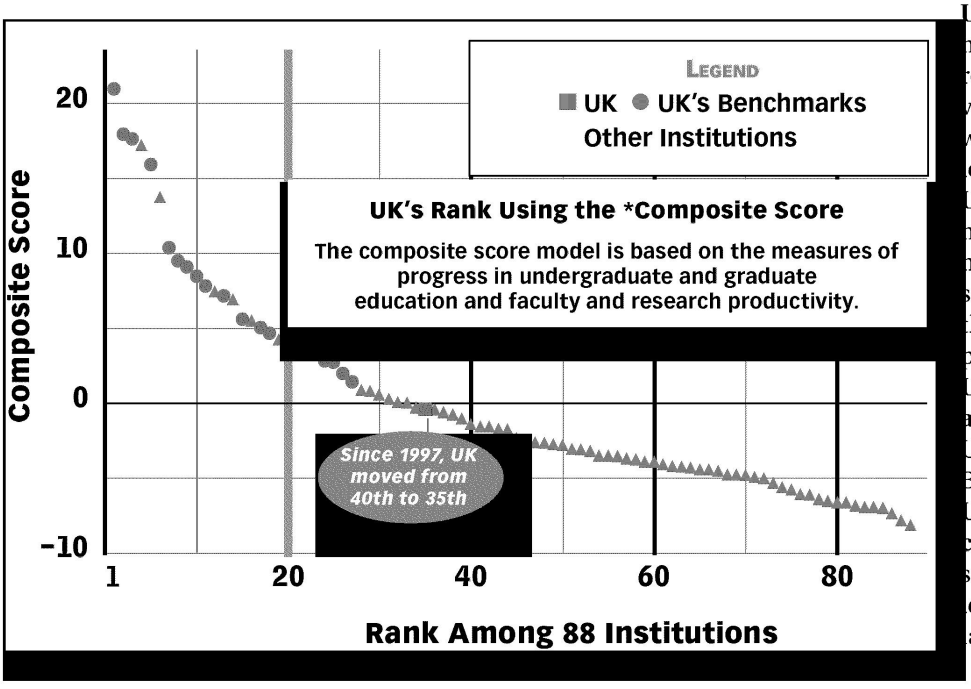
Average household incomes are higher in states with Top 20 universities. Unemployment rates are lower and fewer public dollars are spent on health care.

UK has developed a Top 20 Business Plan that puts the Compact in financial terms. It describes the character of a Top 20 institution and the resources it will take to build it. The Plan uses nine measures in four domains to create a composite score [see table].

COMPOSITE SCORE*	
DOMAINS	**MEASURES OF PROGRESS**
Undergraduate Education	**1** ACT/SAT **2** Student/Faculty Ratio **3** Six-year Graduation Rate
Graduate Education	**4** Doctorates Granted **5** Postdoctoral Appointments
Faculty Recognition	**6** Citations **7** Awards
Research	**8** Federal Expenditures **9** Non-Federal Expenditures

UK used the composite scores to determine its relative position among 88 public research-extensive universities in the United States [see chart below]. This analysis provides a valuable perspective on the quality of the effort since 1997, and the challenge of catching the current Top 20 institutions, as they continue to make progress. Since the 1997 Postsecondary Education Improvement Act, UK has moved from 40th to 35th.

And, UK will increase the impact it has on Kentuckians through outreach and engagement initiatives.



CALCULATING SUCCESS

The Business Plan calculates the investments needed to make progress. **UK needs investments in students**—more dollars to continue to recruit, retain and graduate a top-quality, diverse student body and give them a world-class education and the academic support they need to be successful. **UK needs investments in people**—more faculty dedicated to teaching more students and doing more research and public service that attack the persistent health and economic problems of the Commonwealth. **UK needs investments in research and classroom buildings,** including UK's top capital priority, Phase II of the Biological/Pharmaceutical Complex. **UK needs more flexibility to pursue capital projects**—the opportunity to issue debt for the University hospital, residence halls, cafeterias, and other auxiliaries with sufficient revenue streams.

OVER THE NEXT 14 YEARS, UK WILL:

- Increase enrollment by 7,000 students—to 34,000;
- Increase the graduation rate by 12 percentage points—to 72 percent;
- Increase the number of faculty by 625—to over 2,500;
- Increase research expenditures by $470 million—to $768 million; and
- Increase engagement in Kentucky's schools, farms, businesses, and communities.

UK will be even more active in every part of Kentucky in ways that serve the needs of Kentucky's citizens and the communities where they live, work, and raise their families.

UK WILL DO ITS SHARE

Success will require more investments from every fund source. UK will increase substantially its endowment, private fundraising, research expenditures, and internal cost savings. From these and other sources UK will provide 40 percent ($438 million) of the needed investments. Tuition and state appropriations will fund the remaining need.

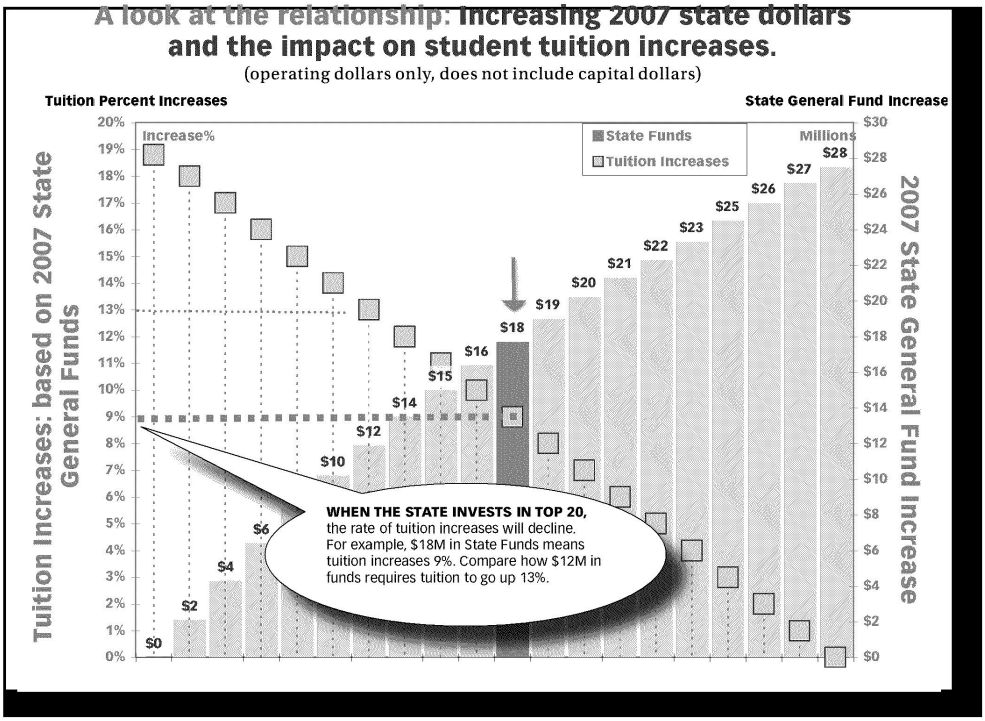
KENTUCKY MUST DO ITS SHARE

The members of the Kentucky General Assembly and the Governor understand the importance to Kentucky of UK's Top 20 mandate. Even as they worked through a very difficult budget in 2005, these policymakers invested over $18 million of new State General Funds in UK. **That was an important statement of their commitment to the Top 20 Compact.** UK asks that the state make the same kind of moderate, but consistent investment over the next 14 years.

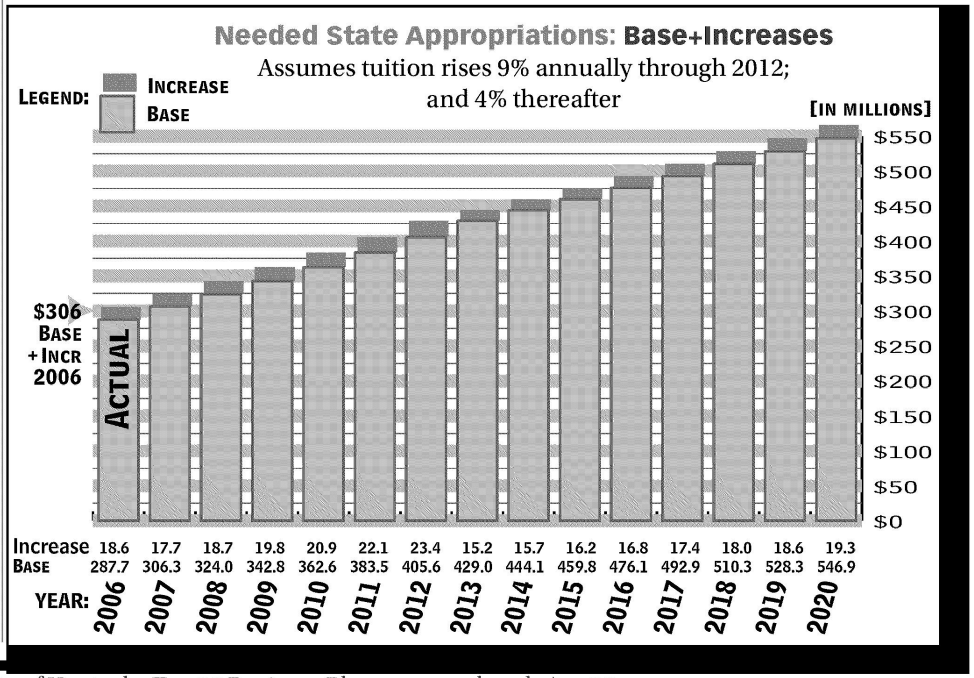
UK CAN BECOME a Top 20 university nationally recognized for the excellence of its teaching and research. But UK also will become nationally recognized because its work makes every Kentucky community stronger and the life of every Kentuckian better. ■

A Scenario for Success

The UK Business Plan calculates the additional resources needed each year for UK to become a Top 20 institution by 2020, as defined by excellence in undergraduate and graduate education, faculty and research. There is a substantial gap between UK's current budget and needed resources. UK will do its share by filling much of the gap internally. The state and UK must determine the optimal combination of state appropriations and tuition revenue to fund this gap in 2007 and beyond. For example, if the state increases appropriations by $17.7 million (5.8%), then UK would only need to increase the tuition rate by nine percent, funding a $34.3 million gap. The $17.7 million increase in state appropriations is only $4 million higher than CPE's recommendation.

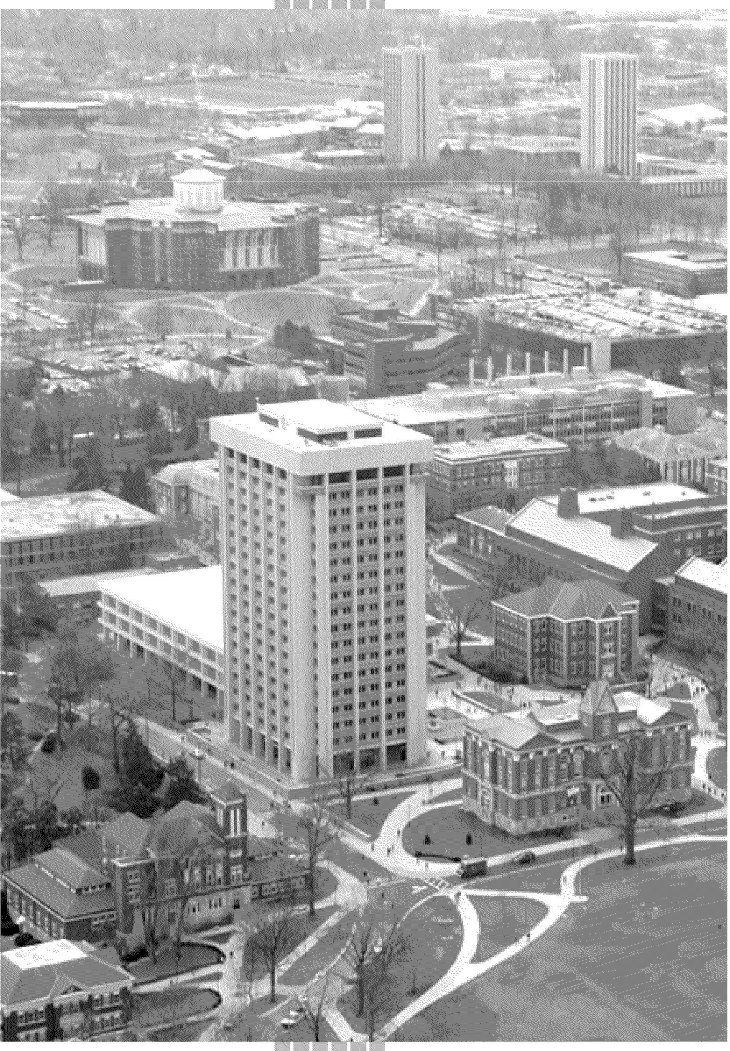


Consistent, moderate investment in UK is needed to build a Top 20 university. Committing an average increase of $19M to the base budget over the next 14 years will provide the necessary resources.



Top 20 Business Plan
University of Kentucky

This Plan establishes the fiscal and capital framework for accomplishing the Top 20 Compact that UK and the people of the Commonwealth created in 1997. It identifies clear goals and explains what it means to be in the Top 20 of 88 public research universities. And it shows the investments required to achieve them.



In fulfilling the terms of this Compact, UK will:

- Increase its enrollment by 7,000 students

Improve the quality of undergraduate and graduate education

- Increase the graduation rate by 12 percentage points
- Increase research expenditures to over $700 million
- Increase by 625 the number of faculty dedicated to teaching students and doing research and public service that attack the persistent health and economic problems Kentucky faces
- Increase engagement of the UK community in improving Kentucky's schools, communities, farms, and businesses
- Increase substantially the number of inventions, patents, and start-up businesses

Kentucky will:

- Increase UK's base appropriations on a schedule characterized by consistency and shared responsibility
- Provide more capital construction support for research and educational facilities
- Grant UK authority to issue debt to support thoughtful, planned growth
- Give UK greater flexibility in the financial management of the institution

What it will mean for Kentucky:

- Increased educational attainment
- Increased wages and broader benefits
- Better health
- More locally-owned businesses
- Improved economic vitality

UK

DECEMBER 2005

TABLE OF CONTENTS

APPENDIX TABLE OF CONTENTS 2
TOP 20 BUSINESS PLAN: LEADERSHIP AND COORDINATION 3

THE UNIVERSITY OF KENTUCKY TOP 20 BUSINESS PLAN 4
INTRODUCTION 4
UK MISSION STATEMENT 5
POSTSECONDARY EDUCATION REFORM: THE TOP 20 COMPACT 5
Table 1: Measures of Quality of Life ... 6

PLANNING FOR THE FUTURE 8
MEASURING PROGRESS TOWARD NATIONAL PROMINENCE 8
UNDERLYING ASSUMPTIONS 8
MAKING NATIONAL COMPARISONS 10
Table 2: Composite Score Rankings by Domain ... 13
Figure 1: Composite Score and Rankings ... 15
Figure 2: Federal Research and Development Expenditures in Science and Engineering Fields ... 16
Figure 3: Six-Year Graduation Rate of First-time, Full-time Degree-seeking Freshmen ... 16
Table 3: Results of Gap Analysis Using Most Recently Available Data and 2012 Performance Targets ... 17
MEASURES OF ENGAGEMENT 18
Timeline: Recent Efforts to Define and Benchmark Engagement ... 19
STRATEGIES FOR ATTAINING NATIONAL PROMINENCE 20
Table 4: CPE Student Flow Model Results for Increasing Undergraduate Enrollment (Headcount) and Baccalaureate Degree Productivity. ... 22
Figure 4: Full-Time Equivalent (FTE) Enrollment and *U.S. News & World Report* Peer Assessment Ratings ... 23
Figure 5: Headcount Enrollment of UK and 87 other Public Research Universities Rank Ordered by Composite Score ... 25
Figure 6: Composite Score Ranking Where Size of Bubble Represents Full-Time Equivalent Enrollment (FTE) ... 26
UNDERGRADUATE EDUCATION 27
GRADUATE EDUCATION 28
FACULTY RECOGNITION 28
RESEARCH PRODUCTIVITY 28
TOP 20 GROWTH TARGETS 29
Table 5: 2020 Growth Targets for Enrollment, Number of Faculty and Total Research Expenditures ... 29
IMPROVE OPERATIONAL EFFICIENCIES 29
ESTABLISH A LONG-TERM TUITION STRATEGY 30
TOP 20 AWARD PROGRAM 31

FINANCIAL PLAN 32
NEEDED INVESTMENTS 32
SOURCES OF FUNDS 34
Tables 6, 7 & 8: The Financial Summary and Funding Gap ... 35
FUNDING THE GAP 36
Table 9. Schedule of Tuition Increases Relative to State Appropriations Needed (excluding debt service) to Fund Investments in Top 20 Strategies ... 36
Figure 7: Annual State Appropriation Increases Needed (excluding debt service) if Tuition and Fees Increase an Average of Nine Percent Through 2012 and Four Percent Through 2020 ... 37
FACILITIES FINANCING NEEDS 38
Table 10: New Space Needed by Type and Assignable Square Feet, Excluding the University Hospital ... 38
Table 11. Funding Source and Amount for Facilities Financing Needs ... 38
TOTAL STATE SUPPORT NEEDED FOR TOP 20 MANDATE 39
THE 2006–08 BUDGET REQUEST 40
Table 12: Summary of 2006–08 Operating and Capital Needs ... 40
CONCLUSION 41

Appendix Table of Contents

- Appendix A

  Independent Evaluation of Performance on Selected AAU Stage I Indicators (Association of American Universities) A1
- Appendix B

  Correlation Matrix B1
- Appendix C

  Campus Groups and Individuals Consulted C1
- Appendix D

  Summary of Decisions and Rationale for Measures D1
- Appendix E

  Summary of Results of the Composite Score Model E1
- Appendix F

  Results of Performance Gap Analysis F1
- Appendix G, Financial Plan

  Key Assumptions G-1

  Financial Plan Summary G-2

  Projected Faculty Expenses G-3

  Projected Academic and Support Services for New Students G-4

  Projected Student Financial Aid G-5

  Projected Support Services for New Faculty G-6

  Facility Needs G-7

  Projected Research Expenditures G-8

  Campus Groups and Individuals Consulted C1

Top 20 Business Plan: Leadership and Coordination

Top 20 Steering Committee

M. Scott Smith, Co-Chair and Interim Provost and Dean, College of Agriculture
Frank A. Butler, Co-Chair and Executive Vice President for Finance and Administration and Vice President for Medical Center Operations
Wendy Baldwin, Executive Vice President for Research
Douglas Boyd, Chief of Staff to the President
Jeffrey B. Dembo, Board of Trustees Faculty Representative
Kyle Dippery, Staff Senate Chair
Rebecca Ellingsworth, Student Government Association President
David Ellis, Former Staff Senate Chair
Barbara W. Jones, General Counsel
Michael Karpf, Executive Vice President for Health Affairs
Michael D. Kennedy, Former Board of Trustees Faculty Representative
Angela S. Martin, Vice President for Planning, Budget, and Policy
Everett McCorvey, Faculty
Roy L. Moore, Board of Trustees Faculty Representative
Constance A. Ray, Vice President for Institutional Research, Planning, and Effectiveness
Michael Reid, Faculty
Ellen B. Rosenman, Faculty
Devanathan Sudharshan, Dean, College of Business and Economics
William H. Turner, Vice President for University Initiatives and Associate Provost for Multicultural Affairs
Rachel Webb, Former Student Government Association President
Carolyn Williams, Dean, College of Nursing
Russell G. Williams, Staff Board of Trustee Member
Bob Wiseman, Vice President for Facilities Management
Ernest J. Yanarella, University Senate Chair

Board of Trustees

James F. Hardymon, Chair
JoEtta Y. Wickliffe, Vice Chair
Mira S. Ball
Stephen P. Branscum
Penelope A. Brown
Dermontti F. Dawson
Jeffrey B. Dembo
Marianne Smith Edge
Rebecca A. Ellingsworth
Ann Brand Haney
Pamela Robinette May
Billy Joe Miles
Roy L. Moore
Phillip R. Patton
Steven S. Reed
C. Frank Shoop
Myra Leigh Tobin
Billy B. Wilcoxson
Russ Williams
Barbara Smith Young

Top 20 Work Group

Elizabeth Baker, Planning Director
Mark Denomme, Senior Director, Academic & Research Support
Angela S. Martin, Vice President for Planning, Budget, and Policy
JoLynn R. Noe, Principal Planning and Budget Specialist
Constance A. Ray, Vice President for Institutional Research, Planning, and Effectiveness
Bill Swinford, Policy Analysis Director

The Stillwater Group

Gerald Finch
Patricia Burch
David Woodward
education@stillwater.com

THE UNIVERSITY OF KENTUCKY TOP 20 BUSINESS PLAN

Introduction

The University of Kentucky's Top 20 Business Plan represents the dedicated, thoughtful, and persistent efforts made by members of the UK community to develop a viable, research-based financial plan to support the mandate of House Bill 1—that the Commonwealth must have *a major comprehensive research institution ranked nationally in the top twenty public universities at the University of Kentucky*. This Plan articulates clearly and explicitly what UK must do to defend a claim that it has indeed become a Top 20 public research university—demonstrate exceptional quality and productivity in undergraduate education, graduate education, faculty recognition, and research productivity, while improving the quality of life for Kentuckians. This Plan uses a rational, well-conceived financial modeling process, grounded in aspirational yet reasonable assumptions regarding strategies of growth and quality, to project the investments needed over the next 14 years to propel UK to national prominence. This Plan also proposes a long-range funding methodology for ensuring adequate resources and facilities in support of the Top 20 goals.

This Plan represents a unique accomplishment in planning for the future among public higher education institutions, and as such, it is a reflection of the profound commitment of the UK community to the University and her mission and to the people of the Commonwealth.

UK has done its part. All the necessary components for moving forward and fulfilling the institution's share of the Top 20 Compact with the people of Kentucky are in place. We have established measures of progress toward achieving Top 20 status, identified the necessary strategies, projected needed investments, and proposed credible sources of revenue. We have done so because we believe in the Top 20 mandate of House Bill 1; because every indicator of quality applied to the lives of Kentuckians confirms the importance of a highly engaged, productive public research university within the state's borders; because we are a campus that extends to every corner of the Commonwealth; and because we believe in the future of Kentucky. Our Governor, our legislators, and the people of Kentucky themselves should do no less—believe in the importance of the Top 20 goal, believe in the University of Kentucky, and believe in our future as citizens of the Commonwealth. With this challenge, we seek your support to make all our dreams a reality.

UK Mission Statement

The University of Kentucky is a public, research-extensive, land-grant university dedicated to enriching people's lives through excellence in teaching, research, and service.

The University of Kentucky:

- Facilitates learning, informed by scholarship and research.
- Expands knowledge through research, scholarship, and creative activity.
- 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.

– Adopted by the Board of Trustees, April 1, 2003

Postsecondary Education Reform: The Top 20 Compact

The University of Kentucky has completed a significant effort to re-define how it goes about planning for the future. The Top 20 Business Plan provides the financial framework for establishing priorities and identifying long-term strategies—both strategic and financial—that will lead to a higher level of progress and success than ever before. The effort comprises a serious, determined, and visionary response to the mandate of *The Postsecondary Education Improvement Act of 1997* (House Bill 1).

The Top 20 Compact between UK and the people of the Commonwealth began to take shape in 1996 when the Kentucky General Assembly passed Senate Concurrent Resolution 93. The Resolution

> *...established a Task Force on Postsecondary Education to develop recommendations and an implementation plan for a system of postsecondary education in Kentucky that promotes quality instruction designed to provide students with the knowledge and skills necessary to be competitive in a global economy.*

The Task Force's report, issued in March 1997, found that:

> *Kentucky must significantly improve the postsecondary knowledge and skills of its population and its research competitiveness if the Commonwealth hopes to compete in the global economy and raise the quality of life of its citizens. The international and national economies are currently undergoing rapid transformation. These changes result from the growth of technology, the development of new products and expanding markets and the inevitable dislocations associated with the establishment of a new economic order. Kentucky's traditional economic sectors are declining and are being replaced by high-tech manufacturing and by the provision of services. As a result of this structural economic shift, the need for a skilled*

workforce has become even more important for the Commonwealth's competitive position.

The report pointed to a litany of statistics describing Kentucky's low levels of education attainment (e.g. high secondary school drop out rate, low college-going rate, relatively few bachelor's degrees) and resulting economic fragility (e.g. low per capita income, high poverty rate). Identified among the obstacles to success in the knowledge economy was that Kentucky did not have a nationally recognized doctoral degree-granting institution. In particular, the Task Force noted:

In contrast to virtually every other major research university in the country, Kentucky's major research university's mission is dispersed across far broader categories: remedial education, lower division courses, workforce training, and graduate education. No other major research university among Kentucky's competitor states has such a breadth of mission.

The result was a postsecondary education system that was not nationally competitive in terms of its research quality.

In May 1997, the Kentucky General Assembly convened to debate legislation aimed at reforming the postsecondary education system in Kentucky. Among the primary goals of that legislation was: *A major comprehensive research institution ranked nationally in the top twenty public universities at the University of Kentucky.* In addition, the legislation moved the University of Kentucky Community College System under the leadership of a new and separate organization – the Kentucky Community and Technical College System (KCTCS). A Compact was established between the University of Kentucky and the people of the Commonwealth—in return for the loss of the community colleges, UK would receive the support from the state necessary to achieve the legislation's mandate to become a Top 20 public research university by 2020.

Table 1 compares the quality-of-life in Kentucky with states that have Top 20 universities and the nation. These data confirm the Kentucky General Assembly's understanding of the importance of having a leading national research university in Kentucky.

Table 1: Measures of Quality of Life

Statewide Quality of Life Measures	National Average	Average in States With a Top 20 University *	Kentucky
Population with Bachelor's Degree or Higher (2000)	27.2%	28.4%	19.0%
Median household income (2003–04)	$44,436	$46,856	$36,786
Population Below the Poverty Level (2003–04)	12.6%	11.7%	16.0%
Percent of Population on Medicaid (2001)	17%	14.7%	19%

***States with Top 20 Universities:**

California
Colorado
Florida
Georgia
Illinois
Maryland
Michigan
Minnesota
North Carolina
Ohio
Pennsylvania
Texas
Virginia
Washington
Wisconsin

Eight years have passed since the Compact was established. The community colleges have separated from UK and are thriving in KCTCS. But the other half of the Compact has not yet been fulfilled—UK has not received the support from the state necessary to become a Top 20 public research university by 2020. Additionally, in spite of institutional efforts designed to define and assess progress toward Top 20 status, there has not been a joint agreement between the University of Kentucky and the people of the Commonwealth that sets forth clear, unambiguous goals and expectations as conditions of the Compact.

The University of Kentucky Top 20 Business Plan has two purposes: 1) to establish clear, explicit goals and expectations for what it means to be a Top 20 public research university; and 2) to project the financial investments needed through the year 2020 to achieve the goals and fulfill the agreed upon expectations. With completion of the first-ever Business Plan of the University, the state and UK enter the next phase of the pursuit of Top 20 status. This phase begins with a collaborative, long-term agreement on the mission, broad goals, strategic directions, and funding of UK as the flagship and land-grant research university of the Commonwealth of Kentucky.

PLANNING FOR THE FUTURE

Measuring Progress Toward National Prominence

Achieving the goal specified in House Bill 1 to become a Top 20 public research university and developing the long-range business plan to support that effort both require the thoughtful design of a research-based method for measuring current status and future progress. Increased financial support from the state and from University of Kentucky students must be accompanied by a series of markers of institutional progress.

Since House Bill 1 was passed in 1997, the University community has discussed what it means to be a Top 20 institution, and how the achievement should be measured. In 2001, shortly after becoming President, Lee Todd appointed and charged the *Top 20 Task Force* to answer these questions. The *Task Force* issued a report that provided the foundation for the 2003–2006 Strategic Plan—*The Dream & the Challenge*. Additionally, the *Top 20 Task Force* recommendations provided the basis for a model to measure progress over the long term, beginning with the identification of a set of key measures and an assessment of the gap between the University and other doctoral research-extensive institutions performing at a Top 20 level on those measures. The Stillwater Group (a consulting firm based in Stillwater, New Jersey) provided essential consultation and perspective in the development of the model and the Business Plan.

This section outlines the underlying assumptions, establishes measures of progress toward national prominence—including national rankings and engagement—and uses a gap analysis to identify strategic directions for the future.

Underlying Assumptions

As an initial step, design of the Top 20 ranking model considered the major findings and recommendations of the *Top 20 Task Force*:

- There should be two types of measures:

  1) those independently collected at the national level (TheCenter[1], Integrated Postsecondary Education Data System [IPEDS], National Science Foundation [NSF] surveys, and the *U.S. News & World Report* [USN&WR] undergraduate college rankings, among others), and

  2) those local measures that address UK's "higher purpose" of improving the overall quality of life and economic prosperity of Kentuckians. Local measures of the impact of engagement across Kentucky are necessary due to the current lack of national data collection efforts and consortia that facilitate comparisons of public service outcomes across institutions,

[1] TheCenter is a research enterprise at the University of Florida focused on the competitive national context for major research universities.

especially those with land-grant and/or health science missions.

- No single indicator or composite number can represent what an institution has done, can do, or will do. Therefore, a number of indicators needed to be indentified that, taken together, give the people of Kentucky a sense of the accomplishment and relative strength of their flagship university. The indicators established for such a purpose do not necessarily have to encompass all aspects of UK's programs and services.
- Any attempt to use indicators to define quality, productivity, and progress will evoke controversy and disagreement. Due to great variance both across and within institutions, it will be difficult to gain consensus on quality criteria or on measures.
- Universities of the highest quality tend to do most things very well.

In considering a variety of measures to include in a ranking model as indicators of progress toward national prominence, there are a number of caveats to clarify and qualify the use of such measures. The quality of an institution cannot be measured by only a few select quantitative or qualitative measures; however, the extent to which policies and procedures guide allocation of resources and produce expected outcomes can be a characteristic of an effective organization. Thus, a select group of measures has been identified to represent overall organizational effectiveness and success in fulfilling the institution's mission, with the following caveats:

- National data, such as those used by TheCenter, IPEDS, NSF, and USN&WR to evaluate higher education institutions are imperfect—but the best available. A certain amount of error is intrinsic in calculations based on definitions that may be interpreted differently by institutions resulting in inconsistent reporting of data. However, comparative results indicate that such data have considerable face validity.
- Rankings are inherently subjective and susceptible to a number of problems—misinterpretation, over-use, lack of reliability, and others.
- Rankings provide a means to assess current performance in relation to Top 20 institutions, assess gaps, establish targets, and measure progress, but they are not an end in themselves.
- An institution such as UK may achieve a high level of performance on select indicators, but if it does not serve the needs of the Commonwealth of Kentucky, it will have failed.

Finally, while there is no universally accepted measure of university performance, there is broad agreement on the desirable attributes of measures used in university ranking models. The UK *Top 20 Task Force* identified nine characteristics of such measures in its review of university rankings, and these were given careful consideration throughout the model-building process for the purpose of the Business Plan. Measures should be:

- well-defined;
- already collected by some entity;

- possible to change;
- important and significant to society;
- widely used nationally;
- under institutional control;
- realistic;
- reflective of the heterogeneity of UK's academic programs; and
- indicative of where the institution intends to go.

Making National Comparisons

The process of designing a ranking model for measuring progress toward national prominence included four distinct tasks:

1. COLLECT and analyze available measures;

2. BUILD a ranking model for consideration and refinement by the campus community;

3. ANALYZE previous and current performance gaps between UK and its competitors; and

4. ESTABLISH targets for future performance to guide strategic and resource planning through the year 2020.

This section provides the key decision points and the rationale associated with each of the four tasks, resulting in the design of a multi-dimensional composite score to monitor UK's progress toward national prominence.

DATA COLLECTION AND ANALYSIS. As a first step in the model-building process, UK developed a comprehensive database of key institutional measures, including data from IPEDS, TheCenter, and the USN&WR college rankings. Additionally, research was conducted on six of eight Stage 1 Membership Indicators used by the Association of American Universities (AAU) and the performance on those indicators by two institutions recently accepted into AAU—SUNY-Stony Brook and Texas A&M. Those institutions then were compared to UK (see Appendix A).

Review and analysis of the comprehensive database, AAU membership indicators, current literature, and extensive campus discussions resulted in the following key decision points:

- Give primary consideration to nine measures used by TheCenter in its annual report on the comparative performance of America's research universities:

TOTAL RESEARCH	FEDERAL RESEARCH
ENDOWMENT ASSETS	ANNUAL GIVING
FACULTY AWARDS	DOCTORATES GRANTED
POSTDOCTORAL APPOINTEES	MEDIAN SAT SCORES
NATIONAL ACADEMY MEMBERS	

The recommendations of the *Top 20 Task Force* relied heavily on TheCenter's data. Moreover, UK incorporated many of TheCenter's measures in its 2003–06 Strategic Plan, and has included a

summary of all results in the Council on Postsecondary Education's (CPE) annual accountability report to the Governor and the General Assembly.

- Further consider measures used by AAU and USN&WR in their evaluations of university quality. There is considerable correspondence between TheCenter's data and the Stage 1 indicators used by AAU. In essence, there is substantial value in using measures already researched by external organizations and widely recognized as key indicators of quality.
- To the greatest extent possible, design a ranking model that measures relative performance and includes outcome measures and excludes input measures. While adequacy of resources is a primary factor in performance, the true mark of quality is the institution's ability to use its available resources to bring about desired results. Further, national reputation and perceptions of quality appear to be more highly correlated with outcomes than with inputs. For example, in a correlation analysis that included endowment assets as an indicator of financial resources (input) as well as peer assessment ratings, research expenditures, graduation rates, doctoral degrees awarded, and faculty awards, the latter four outcomes were more strongly correlated with peer assessment ratings than were endowment assets (see Appendix B).
- In addition to faculty quality and research productivity measures readily accepted as important to comparisons among research universities, recognize the significant impact of undergraduate education measures on national reputation and perceptions of quality (see the correlation matrix in Appendix B for additional information on the relationship between graduation rates and peer assessment ratings). Although UK is striving to be among the top public research universities in the nation, a ranking model cannot ignore the substantial influence of undergraduate education measures on a university's market position and its ability to attract and retain academically prepared students and a renowned faculty that ultimately drives performance and shapes reputations and rankings.

BUILDING A RANKING MODEL. Following preliminary data analysis and discussions, analysis focused on a set of measures that represent quality in undergraduate and graduate education as well as faculty and research productivity. In keeping with a commitment to use TheCenter's data and ensuring adequate representation of undergraduate education, 9 measures were included in a draft model. Elements for building the model included:

- using a comparison population of the 88 doctoral research-extensive public universities in the U.S. that have federal research expenditures of $20 million or more per year;
- converting data on each measure to standard scores (i.e. z-scores) to allow the values to be summed to create a composite score; and
- sorting institutions by the composite score to determine UK's relative position, or rank.

The draft model then was presented to campus groups for discussion, feedback, and refinement (see Appendix C for a list of individuals and groups consulted during development of the Business Plan). Many of the deans believed strongly that a measure of faculty resources available to carry out teaching activities was essential in assessing the quality of an institution committed to success in all its mission areas. In response, the student-to-faculty ratio was added to the model. Also, the Top 20 Steering Committee expressed concern that the National Academy members measure was too stable—a reflection of the history of an institution rather than recent improvements in quality and productivity—to be useful for monitoring progress.

Consequently, the National Academy measure was dropped from the model. Finally, there was strong consensus for building a model that included four dimensions of quality weighted equally. (See Appendix D for key decisions and rationale for including or excluding suggested measures in the model.)

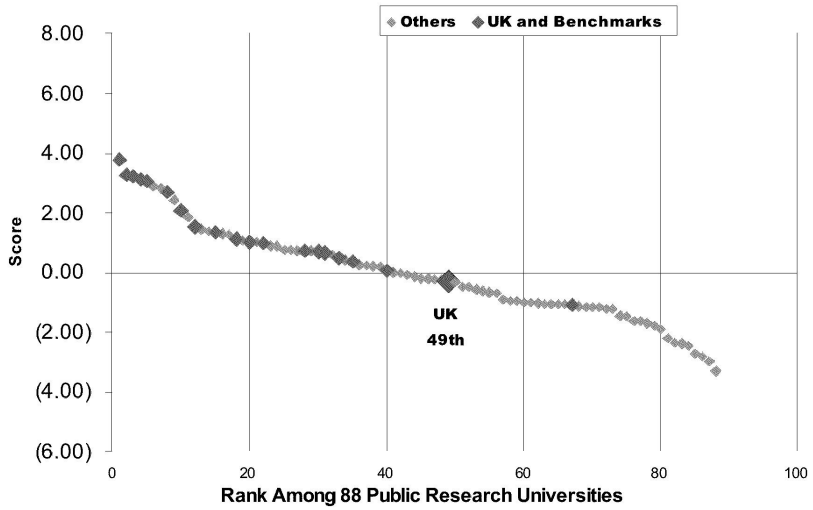
The final composite score model is comprised of nine measures within four domains: Undergraduate Education, Graduate Education, Faculty Recognition, and Research—with each domain weighted equally.

Based on ranking data available as of September 2005, UK ranks the lowest in Undergraduate Education (49th), while it ranks highest in Research Productivity (26th).

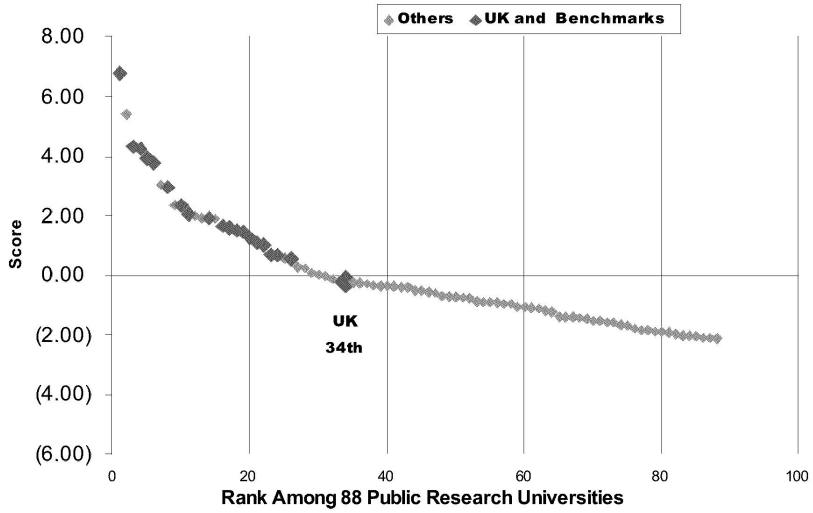
The composite scores and rankings of the 88 institutions on each domain are presented in Table 2.
(The final model and UK's position on each measure and domain relative to the 87 other doctoral research-extensive institutions are depicted in Appendix E.)

Table 2: Composite Score Rankings by Domain

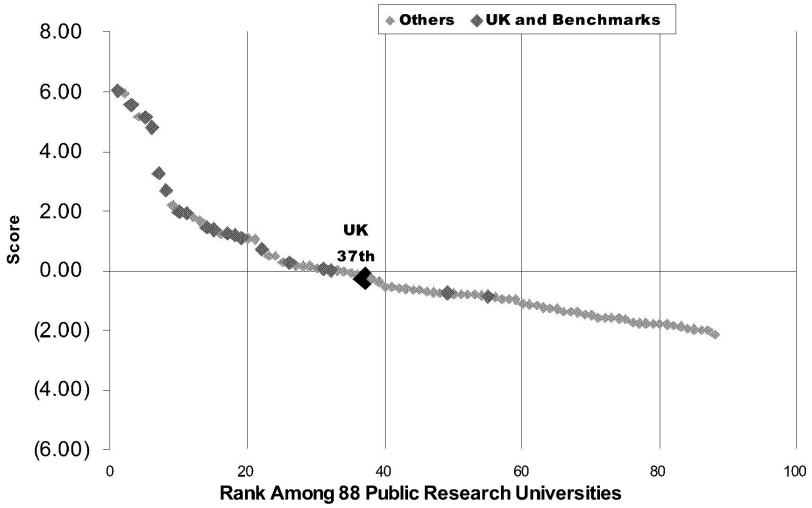
Undergraduate Education Score
[ACT/SAT (2004), Graduation Rate (2004), and Student-to-Faculty Ratio (2004)]



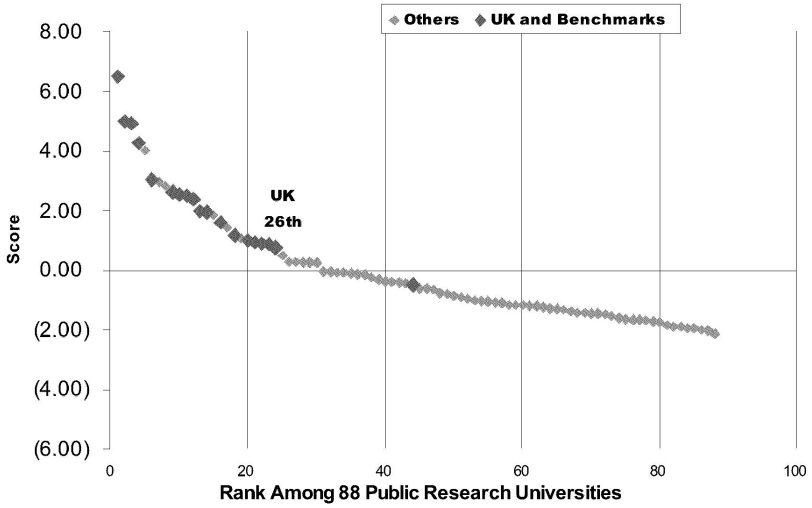
Graduate Education Score
[Doctorates Awarded (2004) and Postdoctoral Appointees (2002)]



Faculty Recognition Score
[Citations (2000-04) and Awards (2003)]

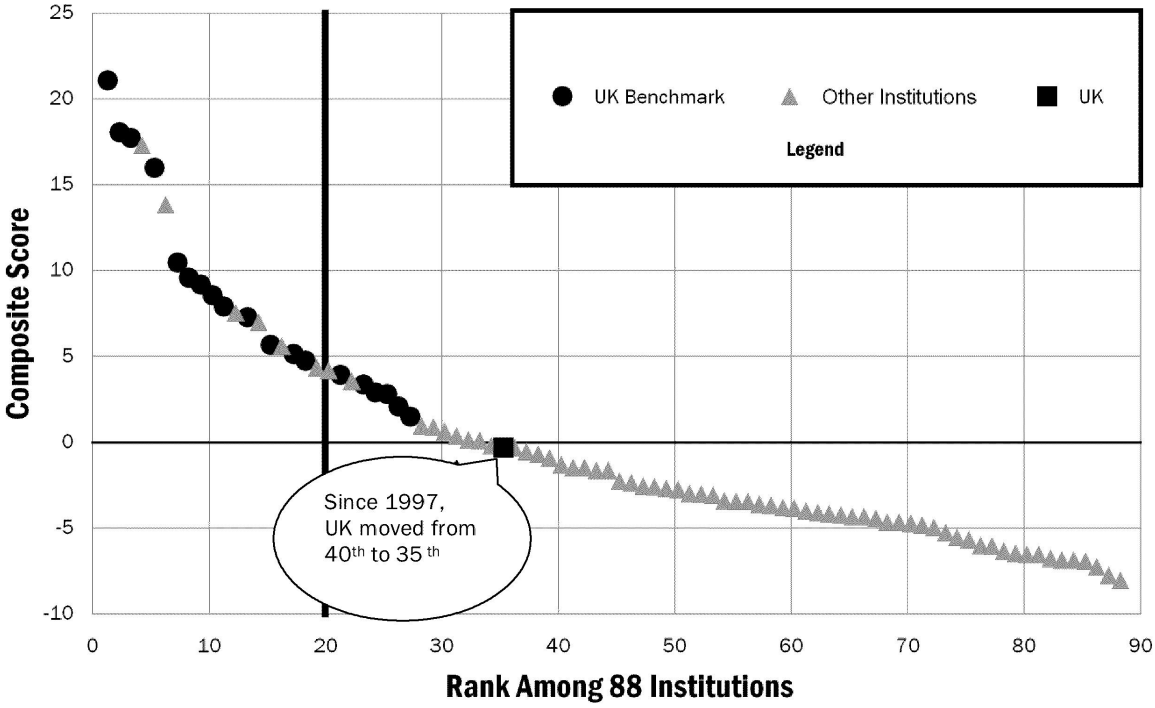


Research Score
[Federal and Non-Federal Research (2002)]



The domain composite scores were summed to obtain a total composite score. UK ranks 35th among the 88 doctoral research-extensive universities (see Figure 1). A retrospective analysis, using all measures except the student-to-faculty ratio (ranking data were not available), estimated that UK ranked 40th in 1997.

Figure 1: Composite Score and Rankings



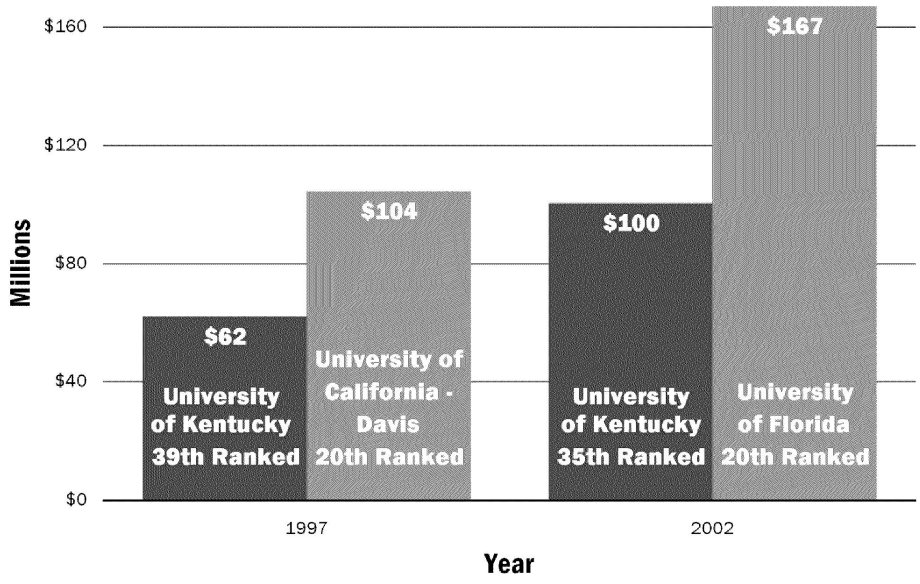
*UK's 19 benchmark institutions are highlighted. When UK selected these benchmarks in 1998, it felt strongly that these institutions should have a land-grant mission, or a medical center, or both.

GAP ANALYSIS AND FUTURE TARGETS. A gap analysis measures the difference between current performance and a desired outcome. To estimate the difference between UK's current level of performance and the level necessary to achieve national prominence as determined by the composite score model, a gap analysis was conducted on the nine measures. The gap to be determined was the difference between UK's performance and the performance of the 20th ranked institution on each measure based on data available in September 2005.

First, the analysis was conducted retrospectively to assess UK's progress toward the Top 20 goal since the 1997 passage of House Bill 1. This analysis provided a valuable perspective on the quality of effort thus far, but also brought into bold relief the fact that no research university stands still and Top 20 universities consistently make rapid progress. It is especially difficult to catch a moving target. For example, Figure 2 shows the gap between UK and the 20th institution on federal research expenditures in 1997 and in 2002. UK increased federal research expenditures by 61 percent between 1997 and 2002 and moved from 39th to 35th. However, UK fell further behind the 20th institution in actual

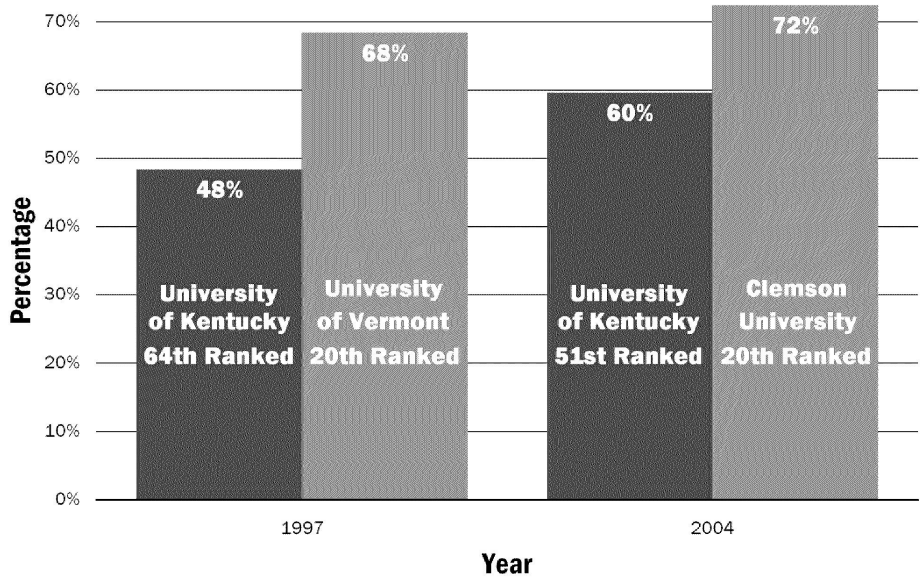
dollars spent on federal research. In 1997 the difference between UK and the 20th institution was $42 million. In 2002 the difference was $67 million.

Figure 2: Federal Research and Development Expenditures in Science and Engineering Fields



As another example, UK made significant progress on the six-year graduation rate of first-time, full-time, degree-seeking freshmen. In Figure 3, the difference between UK and the 20th institution is shown for 1997 and 2004. UK closed the gap from a difference of 20 percentage points to a difference of 12, improving from 64th to 51st in rank. Results for the remaining measures for which 1997 data were available are presented in Appendix F.

Figure 3: Six-Year Graduation Rate of First-time, Full-time Degree-seeking Freshmen



The gap analysis for UK's current performance on all measures in the four domains was based on the actual ranking data available as of September 2005, except for the student-to-faculty ratio. The student-to-faculty ratio is the one measure where a decline is expected. To account for this anticipated decline and plan appropriately, preliminary fall 2005 student-to-faculty ratio data was used to estimate the current gap. These results are summarized in Table 3. For each measure in each domain UK's most recent value is shown in addition to the current gap between UK and the 20th institution.

Next, the performance and rankings of all 88 public research universities on all measures and domains were projected for the year 2012 to give UK specific intermediary targets (see Table 3). Additional modeling of the data identified the values needed to move UK from 35th to 28th in the composite score rankings, and these values were then established as 2012 intermediary targets. To estimate future performance these projections used recent performance and other basic assumptions about the rate of inflation and capacity for improvement. Incorporated into the projection model was the assumption that the other 87 institutions will also be growing and improving on key measures of quality. The last column in Table 3 presents a number of straightforward, reasonable strategies for UK to pursue.

Table 3: Results of Gap Analysis
Using Most Recently Available Data and 2012 Performance Targets

Domain	Measure	UK	Current Top 20 Gap	2012 Target	Suggested Strategies
Undergraduate Education	ACT/SAT (2004-05)	1128	65	1160	Enhance student quality, improve undergraduate programs and services, and increase faculty size
	Six-Year Graduation Rate (2004-05)	60%	12%	71%	
	Student to Faculty Ratio (2005-06)	18 to 1 (preliminary)	3	17.2 to 1	
Graduate Education	Doctorates Granted (2003-04)	233	149	350	Increase graduate enrollment and degree productivity and external funding in doctoral programs
	Postdoctoral Appointments (2002-03)	230	71	526	
Faculty Recognition	Citations (2000–2004)	42,288	35,868	47,144	Increase faculty size, salaries, and research productivity, and promote accomplishments
	Awards (2002-04)	11	6	14	
Research Productivity	Federal Expenditures (2001-02)	$100.4 m.	$67 m.	$254.1m	Increase faculty size, salaries, and research productivity, and increase and improve research facilities.
	Non-Federal Expenditures (2001-02)	$135.8 m.	$13 m.	$221.9m	

Measures of Engagement

The University of Kentucky maintains a strong commitment to improving the lives of Kentuckians as it works to fulfill its teaching, research, and public service mission and attain national prominence. In response to the recommendation of the *Top 20 Task Force* that local measures be used to evaluate the University's progress, additional research was conducted to determine the current status of national engagement measures.

A 1999 report by the W. K. Kellogg Foundation[2] identified a wide range of terms used by institutions and scholars to define engagement—university outreach, public service, community service, public scholarship, professional outreach, and outreach scholarship. In 2000, the Kellogg Commission on the Future of State and Land-Grant Universities called upon public universities to *transform their thinking about service so that engagement becomes a priority on every campus, a central part of institutional mission.* The Commission defined engagement:

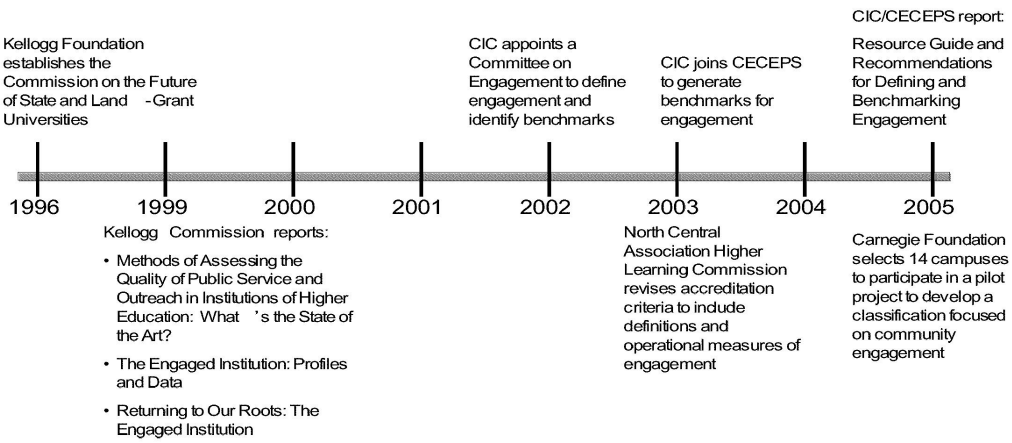
> *By engagement, we refer to institutions that have redesigned their teaching, research, and extension and service functions to become even more sympathetically and productively involved with their communities, however community may be defined.*

Since the Commission report, other higher education organizations have expanded efforts to define and benchmark engagement, including:

- The Committee on Institutional Cooperation: Committee on Engagement (CIC), an academic consortium of 12 major teaching and research universities in the Midwest.
- The National Association of State Universities and Land-Grant Colleges Council on Extension, Continuing Education, and Public Service (CECEPS) Benchmarking Task Force.
- The Higher Learning Commission of the North Central Association of Colleges and Universities (North Central), one of six regional institutional accrediting associations in the United States.
- The Carnegie Foundation, which is piloting a project to develop an elective institutional classification for community engagement.

[2] Methods of Assessing the Quality of Public Service and Outreach in Institutions of Higher Education: What's the State of the Art? W.K. Kellogg Foundation, April, 1999. November 2005. http://www.wkkf.org/pubs/YouthED/Pub577.pdf

Timeline: Recent Efforts to Define and Benchmark Engagement



Examples of engagement activities include:

- Continuing education and lifelong learning
- Access to library and educational facilities
- Access to the Arts
- Direct services through a university clinic, hospital, or lab
- Applied research focused on responding to public problems
- Teaching in the form of clinical education, service internships, or practica
- Extension education
- Economic and community development
- Technology transfer

Given the recent flurry of activity aimed at defining exactly what institutions mean by the term "engagement," it is not surprising that nationally accepted measures for evaluating engagement outcomes and their impact also are not yet defined. Measures of engagement proposed by North Central and by CIC ("Resource Guide and Recommendations for Defining and Benchmarking Engagement," February 2005), included *evidence of* institutional commitment; faculty, staff, and student involvement; efforts to assess the impact and outcomes of engagement; resource opportunities generated through engagement; and others. However, the key to using and applying the list above is the interpretation of the word "evidence." Repeated use of this word indicates both North Central and CIC are struggling to define specific measures of engagement.

A cursory review of the information available on the meaning and measurement of engagement in comparison to ongoing activities at the University of Kentucky reveals clearly that UK's faculty, staff, and students are very involved in engagement work. As a land-grant institution with a comprehensive medical center, and numerous outreach initiatives that support P–12 education, arts

and cultural programming, business and economic development, and entrepreneurship, among others, UK is well-positioned to *become even more sympathetically and productively involved* in solving Kentucky's most persistent problems and heightening the presence and value of activities such as the Arts that enhance the overall quality of life.

For example, the Commonwealth Collaboratives is an initiative to turn UK's research resources toward addressing and solving the "Kentucky Uglies," President Lee Todd's term for long-entrenched problems that are holding back the state's economic and cultural progress. The Commonwealth Collaboratives—projects that address specific issues—are taking aim at improving Kentucky's schools, business climate, environment, health care, and lifestyles. These projects bind UK's researchers, P-12 educators, independent health care providers, entrepreneurs, industries, local government officials, and private citizens in partnerships designed to implement effective solutions to regional and statewide problems. Further, UK's researchers must provide annual reports describing their progress through measures that demonstrate the actual impact of the projects on their target populations.

To be successful in attaining national prominence, UK must meet the challenge of providing evidence of engagement. A first step is to define local measures to assess progress and impact:

- Build a database of engagement and outreach activities to facilitate tracking and reporting on engagement outcomes
- Assess outcomes of projects supported by the Commonwealth Collaboratives
- Document the impact and benefits of clinical services
- Assess Extension's performance on priority indicators
- Conduct periodic analysis of the economic impact of UK's research and development activities
- Assess access to and value of the Arts

The University's next strategic plan should include measures of statewide engagement.

Strategies for Attaining National Prominence

Throughout the development of the ranking model and subsequent consideration of possible strategic directions to help UK move forward, discussion was grounded in a strong philosophy that UK cannot succeed unless it improves the lives of Kentuckians. The importance of engagement as a conceptual framework in which the University must operate was paramount. To that end, in making decisions regarding strategies for attaining national prominence, UK considered carefully the educational and economic needs of Kentucky as reflected in the 2005–2010 Public Agenda of the Council on Postsecondary Education—*Five Questions, One Mission: Better Lives for Kentucky's People*—and associated facts:

1. Are more Kentuckians ready for postsecondary education?

For every 100 ninth graders in Kentucky, only 15 will graduate with an associate or a baccalaureate degree within the standard time frames (within three years after graduating from high school for an associate degree or within six years after graduating from high school for a baccalaureate degree). From 1995–2000, 11,351 people with less than a high school diploma between the ages of 22–29 moved to Kentucky while 5,087 left the state, resulting in a net gain of nearly 6,264 undereducated young adults.

2. Is Kentucky education affordable for its citizens?

A recent affordability study found that Kentucky's public higher education institutions were within a reasonable range of affordability for most students. Average tuition and fees at Kentucky institutions in 2004–05 was 15 percent below the national average; however, Kentucky's national affordability rank slipped from 8th to 14th between 2002 and 2004.

3. Do more Kentuckians have certificates or degrees?

In 2004 Kentucky ranked 47th in the nation in the percent of the adult population with a four-year degree or higher. To reach the national average by 2020 Kentucky must more than double the number of college-educated adults within its borders.

4. Are college graduates prepared for life and work in Kentucky?

According to The National Center for Public Policy and Higher Education's *Measuring Up 2004*, four-year college undergraduates in Kentucky score below the national average on assessments of writing, critical thinking, and problem-solving skills; and not enough Kentuckians score well on examinations needed for admission to graduate school.

5. Are Kentucky's people, communities, and economy benefiting?

Although Kentucky has taken steps to improve its economic competitiveness, its ratings on the Corporation for Enterprise Development's (CFED) report card have not changed much in 15 years—earning a *D* in economic performance, a *D* in development capacity, an *F* in financial resources, and a *C* in business vitality in 2004. Federal research and development dollars per capita increased 92 percent in Kentucky from 1996 to 2002; however, Kentucky only moved from 45th to 42nd in the nation.

THE FIVE QUESTIONS ABOVE and the "cold, hard facts" presented in relation to them pose significant concerns among state policymakers and within the UK community. It is clear that Kentucky must increase the number of educated citizens within its borders; plan strategically over the long-term for financial investments in education; enroll and graduate more students; improve student learning; and greatly accelerate research and service activities that help build strong economies and communities.

According to the Council on Postsecondary Education (CPE), an increase of 211,000 baccalaureate degree holders is needed to eliminate the gap between Kentucky and the national average in baccalaureate degree attainment by 2020. In implementing the 2005–2010 Public Agenda, the CPE developed a student flow

model to assist in planning for postsecondary education enrollment growth and improved baccalaureate degree production at institutions throughout Kentucky. The student flow model is a four-step model that incorporates assumptions regarding increases in:

1. participation and quality in Kentucky's postsecondary education institutions;

2. the number of GED completers and their college-going rate;

3. enrollment in KCTCS and the number of transfers to four-year institutions; and

4. high school graduation rates.

A fifth component of the CPE planning model proposes significant migration of baccalaureate degree holders into Kentucky to fill jobs created through economic development.

Using the student flow model and a set of basic assumptions, the CPE calculated the enrollment increases and baccalaureate degree productivity needed for each public and independant four-year institution in Kentucky if the state is to achieve the national average in baccalaureate degree attainment by 2020. Draft predictions were made available in November 2005 to facilitate goal-setting activities among the public institutions; consequently, the predictions for UK were not available during development of the Business Plan. Table 4 shows the predicted enrollment and degree production needed at UK by 2020 according to the CPE model. Results of the modeling process also predict that UK's percent of the total enrollment and baccalaureate degrees awarded annually in the state would decline between 2004 and 2020. CPE's preliminary calculations show that UK would need to enroll an additional 10,160 undergraduate students by 2020. The information in Table 4 is presented to provide additional context for considering the vision, scale, and reasonableness of UK's Business Plan.

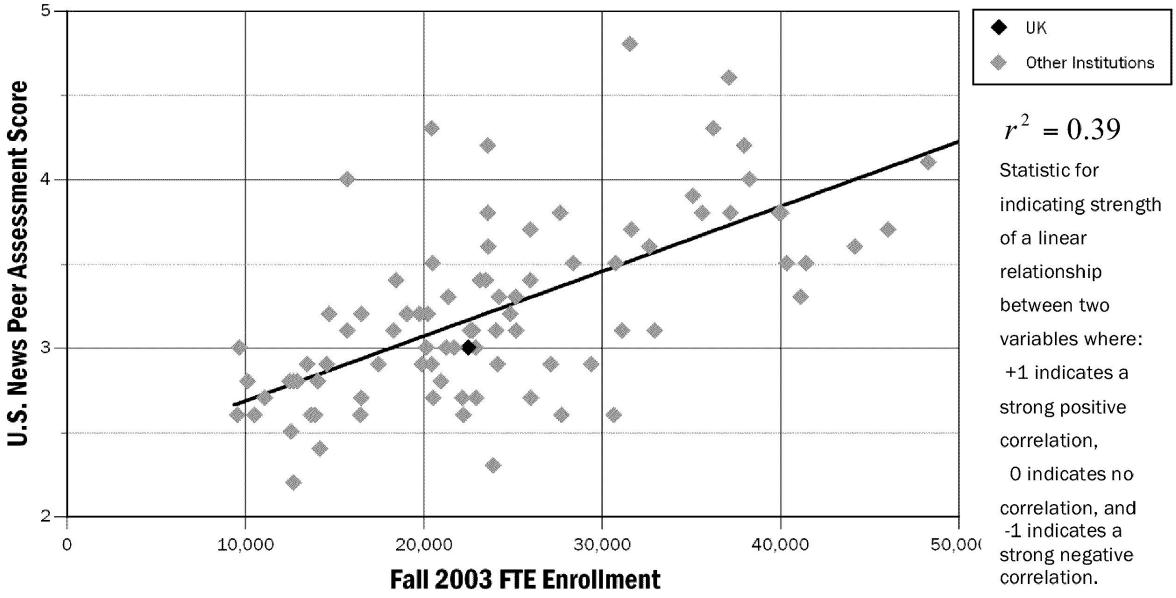
Table 4: CPE Student Flow Model Results for Increasing Undergraduate Enrollment (Headcount) and Baccalaureate Degree Productivity.

Institution	Proposed 2020 Targets		Percent of Total for Kentucky 2004		Percent of Total for Kentucky 2020	
	Headcount	Degrees	Headcount	Degrees	Headcount	Degrees
UK	28,652	5,779	15.3%	19.6%	14.2%	17.4%

In response to statewide needs, UK discussed various scenarios, including improving the quality of education while maintaining current enrollment levels; increasing the number of students enrolled while maintaining current levels of student learning; or increasing both the quality of education and the number of students enrolled. In considering the Commonwealth's critical needs and the mandate to achieve national prominence, UK's moral responsibility is to do both. UK must enroll more students, provide to them a better educational experience, and, thus, graduate more students who value life-long learning, the Arts, diversity, and engagement.

STRATEGY OF GROWTH. The key to success in a knowledge economy is creating and sustaining the intellectual capital vital to the recruitment of existing businesses and the creation of new ones. Three-quarters of economic growth in the U.S. today is the result of technological advance and nearly all of that advance is the result of university-based research. Businesses will continue to locate in close proximity to research universities with substantial intellectual and laboratory assets and the capacity to produce on a sizeable scale workers prepared to constantly shape and adapt to the rapid evolution of technology and information translation.

Figure 4: Full-Time Equivalent (FTE) Enrollment and *U.S. News & World Report* Peer Assessment Ratings



The University of Kentucky will be the inevitable centerpiece of any serious effort in Kentucky to create the critical mass of human capital and the synergy of knowledge and infrastructure increasingly attractive to 21st Century business and industry. To do that, UK must do two things. First, it must build a student body, more diverse in character, larger in size, and more anxious to seek constant advance across all fields of human knowledge, especially in those essential to economic success: science, technology, engineering, and math. UK must inspire, recruit, and retain thousands of Kentuckians willing to take on the challenges and opportunities of the knowledge economy with the aim of making their home state a leader in new business creation and a magnet for cutting edge industries. UK also must draw students from across the United States and the globe anxious to share in building a state economy that successfully competes in the 21st Century.

Second, UK must recruit and retain a faculty and support staff that is attractive to these prospective students, valued for their expertise by existing businesses, and willing to risk greatly and act boldly to discover new products and new processes, build companies, and create jobs.

Kentucky's progress in this new century will be the result of the vision, expertise, and initiative of her flagship faculty.

UK has a moral obligation to the citizens of Kentucky to grow as a university—not just enroll more students and hire more faculty for the economic gains that result from such strategies.

But UK also must harness the energy and talent of its expanding campus in the effort to attack the broad spectrum of persistent social and health problems that Kentucky has historically confronted.

UK's teaching, research, and service missions must always tack to the guiding principle that knowledge must be advanced so that Kentucky's citizens benefit, their health improves, and their quality of life prospers.

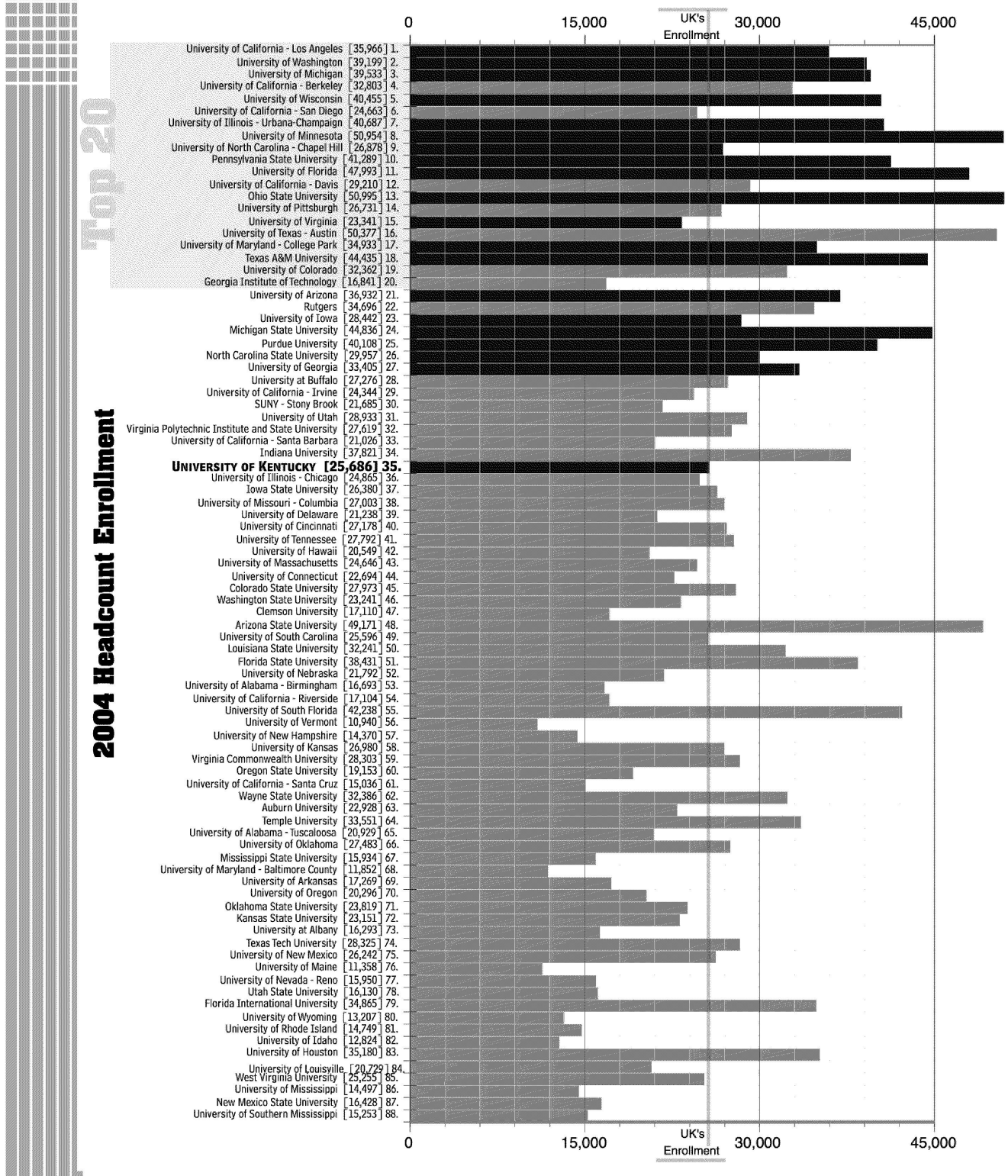
An analysis of the relationship between a university's size and its productivity, reputation, and rankings provides compelling evidence that size matters and should be a key planning priority for UK.

Figure 4 shows the strong correlation between reputation (as measured by the USN&WR peer assessment survey) and the number of full-time equivalent students enrolled.

Figure 5 depicts the Fall 2004 enrollment (headcount) of UK and its 87 competitors ordered by rank according to their composite score.

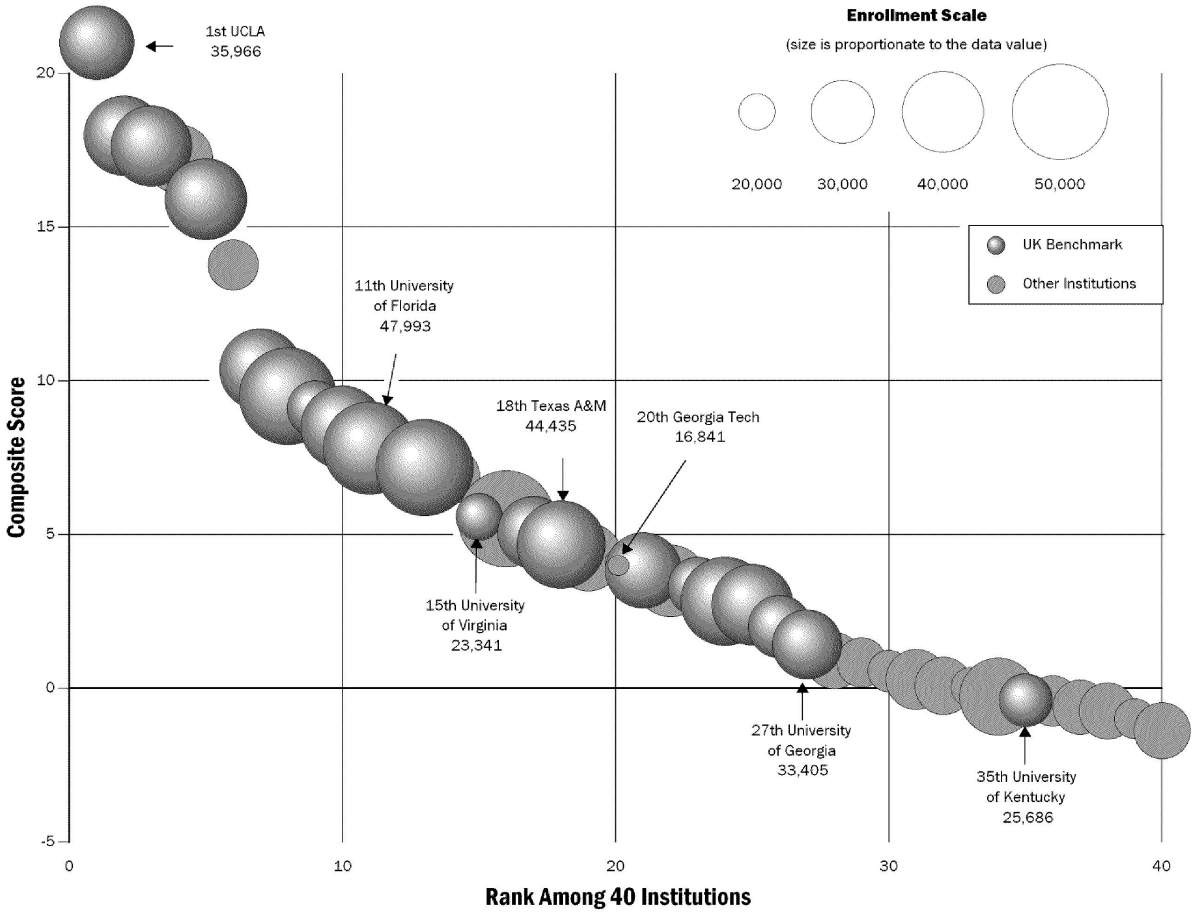
In the Top 20 only three institutions—Georgia Tech, the University of California-San Diego, and the University of Virginia—have fewer students than UK.

Figure 5: Headcount Enrollment of UK and 87 other Public Research Universities Rank Ordered by Composite Score



And finally, in Figure 6, the distribution of composite ranking scores for the top 40 shows that the more highly ranked institutions have comparatively larger enrollments (as indicated by the larger bubbles). Immediately above UK are six competitors that are similar to UK in number of students in addition to Indiana University, which is much larger. UK's short-term goal is to surpass these seven competitors, and move from its present 35th rank to 28th—or approximately half-way toward reaching the goal of attaining Top 20 status by 2012. Planned growth in a thoughtful, strategic manner will help propel UK into the top 30 institutions within a relatively short timeframe.

Figure 6: Composite Score Ranking Where Size of Bubble Represents Full-Time Equivalent Enrollment (FTE)



STRATEGY OF QUALITY. While a strategy of growth will help UK increase its capacity to have an impact on the lives of Kentuckians, a strategy of quality demands equal consideration. Kentuckians deserve and need no less than a top ranked public research university that strives continually to improve the quality and productivity of its considerable and diverse mission activities that are supported by public funds. Improved quality related to instruction, research and creativity, service, academic support,

and administration translates into greater efficiencies, additional resources, and desired outcomes. Quality is prevalent throughout the specific strategies described below.

After taking into consideration all sources of information and feedback and conducting additional analyses, UK identified specific strategies designed to promote growth and quality. To reach national prominence by 2020—as measured by a Top 20 ranking in the composite score model—UK must invest more in undergraduate education, graduate education, faculty resources, and research activities, and become more efficient.

Undergraduate Education

- Improve the quality and diversity of the undergraduate population by enhancing recruitment efforts and scholarship programs while increasing the average converted SAT score of entering freshmen from 1128 to at least 1193 by 2020.
- Improve programs and services that have an impact on the undergraduate experience and improve retention and graduation rates: recruitment and admissions, advising, the University Studies Program (the general education component of the bachelor's degree), student services, and student life activities.

  Activities aimed at recruiting and enrolling a high-quality, diverse student population must be of a caliber that attracts and persuades highly accomplished high school graduates in Kentucky and beyond its borders. Examples of needed improvements include user-friendly, web-based student services; far-reaching, creative web-based recruiting strategies; and efficient, timely scholarship strategies for need- and merit-based aid.

  Activities aimed at retaining and graduating a high-quality, diverse student population must meet a broad range of intellectual and creative interests, including enhanced academic offerings, learning communities, arts and cultural events, and opportunities for engagement.

- Contract with an external consulting firm to conduct a comprehensive recruitment analysis. This analysis will assist UK in formulating recruitment and marketing strategies designed to meet enrollment objectives related to quality, diversity, and size and improving retention and graduation rates.

- Add 500 regular, tenure-track faculty in the undergraduate colleges to support an undergraduate enrollment increase of 6,200 highly qualified students by 2020. This recommended increase in faculty is based on the number needed to reduce the current student-to-faculty ratio from 17.8:1 to 16.4:1 by 2020. The number of new students recommended was proposed by the *Top 20 Task Force* in 2002. In addition, analyses of recent trends in UK's applicant pool suggest that UK has the potential to increase enrollment of highly qualified students, especially among nonresidents.
- Provide additional support space, classroom and class lab space, and recreational facilities and construct new and renovate existing residence halls that ultimately will accommodate 30 percent of undergraduate students by 2020.

Graduate Education

- With additional faculty to support undergraduate education and increase research productivity, add 750 new graduate/first professional students by 2020.
- Improve the financial support to graduate students, especially in areas outside the sciences, by providing full funding to waive tuition and increasing and maintaining stipends at a nationally competitive amount for all current and new graduate assistants.
- By 2020, increase postdoctoral appointments by 375 to support increasing research productivity.

Faculty Recognition

Offer the strongest support possible in salaries, benefits, technology, facilities, and other programs and services. UK must provide competitive starting salaries and increase the average instructional faculty salary to the benchmark median by 2012 to attract and retain a diverse, highly productive, and achievement oriented faculty.

Research Productivity

- Add 125 full-time regular or research faculty in the graduate/first professional colleges to enhance graduate education and research productivity. This recommended increase is based on the number needed in addition to the 500 new faculty in the undergraduate colleges to increase research expenditures to $476 million by 2012 and $768 million by 2020. (See Appendix 6-8)
- Based on current CPE guidelines for research space, construct new research facilities totaling 710,000 assignable square feet by 2012 and 1,070,000 assignable square feet by 2020.

Top 20 Growth Targets

In summary, to meet the needs of the Commonwealth and position itself to achieve Top 20 status by 2020, UK must meet the growth targets presented in Table 5.

Table 5: 2020 Growth Targets for Enrollment, Number of Faculty and Total Research Expenditures

Growth Area	UK 2004	2012 Goal	2020 Goal	Variance '06-'12	Variance '06-'20
Undergraduate Enrollments	18,492	20,374	24,692	1,882	6,200
Graduate and First Professional	7,252	7,642	8,002	390	750
Postdoctoral Appointments	295	438	670	143	375
Faculty	1,920	2,133	2,545	213	625
Total Research Expenditures	$298	$476	$768	$178	$470

Staff Support. Additional funds provided in the Plan may be used to create new staff positions to support the increased enrollments and faculty, as needs are identified. However, specific targets for additional staff are not included in the Plan. The implementation of SAP, an enterprise resources planning system, provides the opportunity to redesign core business processes and generate efficiencies. The Plan assumes that some staff positions may be realigned to provide the direct support needed as a result of increased enrollments and faculty growth.

Improve Operational Efficiencies

UK must consider implementing incentives for exceptional performance at the academic unit level. The criteria and guidelines universities use to allocate resources to academic and administrative functions can have a decisive effect on overall academic quality and performance.

In recent years one resource allocation model – Responsibility Center Management (RCM) – has attracted wide attention. In essence, RCM is a tool for decentralized, incentive-based budgeting that builds market forces into the decision-making process. In the typical application of RCM, direct and indirect revenues and expenses are allocated to the academic programs within the university, giving deans the responsibility, incentive, and authority to manage resources wisely. RCM does not cut costs or increase productivity; rather, it provides a framework and incentives for increasing efficiency through better understanding of the university's cost and revenue structure. RCM enables academic decision-makers to understand the dynamics of the university's cost structure and revenue base, thereby facilitating realistic planning and sound decision-making. It is this

transparency that produces a clear understanding of the distribution of resources within the university.

UK's acquisition and installation of SAP's enterprise-wide technology has laid the foundation for a university-wide redesign of core business processes—finance, human resources, student services, procurement, and facilities management. By redesigning and streamlining its business processes, UK can improve service to the university community while reducing operating costs. Redesigned business processes, when properly conceived, enhance not only the quantity and quality of outputs – they also enhance the nature of work by empowering administrative employees to exercise judgment and initiative in problem-solving. Front-line service providers are transformed from nay-saying regulators to pro-active facilitators. The service model of customers in newly redesigned processes usually gravitates toward self-service. The paradox of self-service is that customers experience self-service as more satisfying and convenient than traditional models of customer service. To realize these benefits, UK must set targets for service improvement and operating savings across core business processes. The transition to an enterprise resource planning model, such as SAP, can yield significant savings for reinvestment in higher-priority programs—but only if the University pursues a disciplined effort to capture the cost reductions resulting from the streamlined business processes. An institution the size of the University of Kentucky should be able to capture at least 10 percent of central and college administrative costs by implementing a new enterprise system.

UK should investigate cost-saving opportunities through outsourcing (i.e., contracting with external vendors to provide improved services at lower costs). Although higher education was among the last industries to embrace outsourcing, today a wide range of major business and administrative services in higher education are delivered through outsourcing. According to a recent survey by UNICCO (an integrated facilities services company), only nine of 152 schools that responded were delivering all administrative services on a self-operating basis. The rationale for outsourcing rather than self-operating services is straightforward: the core competence of colleges and universities is research and education. Firms that provide outsourcing services typically specialize in the services they provide and typically provide service equal in quality to "in-sourced" services at a lower total cost.

UK should allocate special funding for strategies to support staff. Improving rewards, the campus environment, and the extent to which staff maintain a positive balance between work and life will promote higher levels of workplace satisfaction and productivity. Strategies should be determined based on evidence of areas of greatest need as a result of the Work-Life Survey and additional analyses to be conducted by the Office of Human Resources.

Establish a Long-Term Tuition Strategy

A long-range plan for setting tuition rates will allow parents, students, and other constituent's time to plan for the estimated total cost of education. UK's tuition plan must strike a balance between maintaining affordability for students and maximizing

revenues available to support Top 20 investments. The tuition plan should take into account:

- Projected state appropriations;
- New enrollment;
- Increase in nonresident undergraduates from 21 to 25 percent of the total undergraduate population; and,
- An increase in the tuition discount rate to provide adequate financial aid for lower socio-economic students.

The level of state support is a critical variable in this equation. In determining net funding needs, the Financial Plan is based on the assumption that tuition and fees will increase at a minimum of four percent annually for all categories of students – undergraduate and graduate/first professional, resident and nonresident. A sliding scale of tuition rate increases and corresponding increases in state appropriations to meet funding needs is included in the Financial Plan.

Scholarship funding for undergraduates must increase in order to meet the needs of low income students; enhance student diversity; and enroll the most highly qualified students.

The Plan includes increasing the undergraduate financial aid discount rate (unrestricted institutional aid as a percent of tuition) from 16.8 percent to about 20 percent by 2012. UK should determine the needed tuition discount rate more precisely based on a comprehensive study of current financial aid policies and practices. This study should be part of the comprehensive analysis of recruitment and marketing strategies described above.

The comprehensive financial aid study should recommend ways to re-structure scholarship and financial aid policies, procedures, and programs to assure that undergraduate financial aid policies are equitable and effective.

The delivery and financing of alternative instructional programs such as Evening/Weekend and Summer School should be restructured to better meet the needs of students and maximize revenues.

Top 20 Award Program

The Top 20 Steering Committee recognizes that a comprehensive, university-wide effort is needed to achieve the Top 20 goals. The Committee also recognizes that the measures included in the composite score model may not apply directly to some academic units and in most cases not at all to academic support and administrative units. Nonetheless, exemplary performance that garners national recognition constitutes an essential ingredient for UK to earn a reputation as a nationally prominent public research university. Therefore, UK should implement a Top 20 recognition award program for units that establish Top 20 goals as part of their strategic plans, achieve those goals, and gain national recognition. The Top 20 Performance Award should be an annual award with an appropriate considerable monetary reward for the unit or units that perform at such a level, based on a process and criteria to be determined by the University.

FINANCIAL PLAN

The University of Kentucky is a statewide organization with an annual operating budget approaching $2 billion and over 11,000 employees, making it one of the largest enterprises and employers in the Commonwealth of Kentucky. Long-range planning for acquiring financial resources to support successful attainment of its multiple missions must become an ongoing endeavor. To move toward Top 20 status relying on inconsistent and unpredictable state appropriations, and the related volatility of tuition revenue would be short-sighted and irresponsible. To consider state appropriations and tuition and fees as the only flexible sources of revenue for supporting growth and program improvements also would be short-sighted and irresponsible.

An organization the size and scope of UK must identify, acquire, and utilize multiple sources of revenue to turn dreams into reality. Therefore, a primary purpose of the Top 20 Business Plan is to articulate a long range financial plan that clearly and explicitly funds the strategic initiatives necessary to achieve a level of performance characteristic of a Top 20 public research university. Following identification of strategies necessary to eliminate performance gaps and achieve Top 20 status, the Business Plan focuses on the financial investments needed to implement the strategies and ensure success. This section describes the investments needed and multiple scenarios for funding them.

Needed Investments

Decisions related to needed investments followed directly from identifying the strategies necessary to improve performance—and the lives of Kentuckians.

- If research productivity is to be increased, then investments in start-up packages, equipment, research space, and administrative support will be needed.
- If more students are to be educated, then investments in recruitment and admissions, financial aid, advising, academic programs, student services, student life activities, recreational facilities, residence halls, and classrooms and class labs must be made.
- If more faculty are needed, then investments in salaries, benefits, equipment, offices, academic support, and operating budgets must be made.

Overall, the specific investments needed to support implementation of the Top 20 strategies fall into six broad categories: Faculty, Academic Support, Undergraduate Education, Student Aid, Support Services, and Facilities. A self-supporting hospital category was added to complete a comprehensive, long-range financial picture that takes into account all General Fund sources of revenue and expenditures in support of UK's mission.

As previously discussed, UK is currently ranked 35th based on the selected nine variables making up the four domains of quality—Undergraduate Education, Graduate Education, Faculty Recognition, and Research Productivity. To align achievement of

Top 20 status by 2020 to the next 14 years, intermediary goals were set for 2012. The overall objective is for UK to move from 35th to at least 28th by 2012 and then to at least 20th by 2020. Therefore, various parts of the Financial Plan will present information as of the 2012 fiscal year as well as 2020.

For each of the above six categories, a financial model was developed to predict the required cumulative investments for each year starting with the fiscal year ending June 30, 2007 and going through the fiscal year ending June 30, 2020. The University's General Fund operating budget for fiscal year 2006 provided the baseline for the modeling process. Data-driven assumptions derived from interviews with campus leaders and from analysis of existing institutional and external data were built into the models as appropriate, including estimated inflationary increases. Each of these categories is described below and shown in Table 6 along with the predicted total amount of new operating expenditures needed by 2012 and by 2020. See Appendix G for detailed tables depicting the results of the financial modeling process.

A total of $1.097 billion needs to be added to UK's annual budget by 2020 (Table 6.) While faculty are identified in a separate category below, all other personnel including staff and student workers are included in the Academic Support, Undergraduate Education, Support Services, and Facilities categories.

FACULTY: The annual cost of the 625 additional faculty required to improve UK's student-to-faculty ratio and research productivity and raise UK's faculty salaries to a competitive level will be $313 million in 2020.

ACADEMIC SUPPORT: The annual cost to support additional faculty with start-up funds, library materials, and academic support staff will be $174 million in 2020. This includes an annual 3 percent salary increase for staff and an annual $5 million Staff Enhancement Fund.

UNDERGRADUATE EDUCATION: The cost of support for enrollment growth and improving the student experience—especially as it contributes to increases in student retention and graduation rates—as well as inflationary increases will add $36 million to the base budget by 2020.

STUDENT AID: The cost of increasing undergraduate financial aid and providing nationally competitive funding for doctoral fellowships will be $85 million in 2020. This amount includes increasing the tuition discount rate for current and new undergraduate students to 20 percent by 2012.

SUPPORT SERVICES: Student and faculty growth and increased research activity will require investments in technology and additional support staff. UK also must plan for its continued investment in the Integrated Resources Information System (IRIS) and accelerating utility costs. UK will require an additional $115 million for support services by 2020.

FACILITIES: The cost of providing adequate facilities including debt service, maintenance and operations for new buildings, and capital renewal of existing facilities will add $70 million to UK's base budget by 2012 and $132 million by 2020. These amounts include $49 million for debt service for new educational and general facilities by 2012 and $88 million by 2020. Based on the

Council on Postsecondary Education's current guidelines, UK will need an estimated additional 1.8 million square feet by 2020 (excluding projected hospital facility needs). An additional 1,860 beds also will be needed to provide on-campus housing for 30 percent of undergraduate students. And most of the current student housing facilities must be renovated. The total cost to build new facilities and renovate the existing residence halls is estimated at $1.7 billion.

These projects should be funded with $1.2 million of state bonds and $452 million of agency bonds.

Sources of Funds

The University of Kentucky does not expect all additional support for Top 20 investments to come from the state. UK will contribute its share from tuition and fees, investments, gifts, indirect cost recovery, and internal reallocations. And UK will continue to operate a vital and thriving clinical enterprise. Revenue projections are depicted in Table 7. State appropriations are projected to remain flat in this model in order to determine the funding gap between the resources needed and the projected source of funds.

These projections indicate that UK can fund *40 percent* of the investments required to reach Top 20 status by 2020.

TUITION AND MANDATORY FEES: Enrollment growth and a four percent annual increase in tuition and fees will generate an additional $238 million by 2020.

PHILANTHROPY: A significant effort to increase annual giving should generate an additional $19 million.

RESEARCH RECOVERY: The growth in federal and non-federal research will increase indirect cost recovery by $54 million annually by 2020.

INTERNAL REALLOCATION: Cost reductions and efficiencies realized from strategies such as business process redesign, incentive-based budgeting, and outsourcing will produce $16 million in annual savings by 2020.

OTHER: Other sources, including investments and transfers from affiliated and non-affiliated foundations, will add up to $106 million by 2020.

HOSPITAL: Hospital revenues are projected to increase by $242 million by 2020.

UK's financial model for needed investments and projected revenues (assuming no increase in state appropriations) forecasts a $421 million funding gap by 2020 (see Table 8).

Tables 6, 7 & 8: The Financial Summary and Funding Gap

*may not total due to rounding

Table 6: Cumulative New Annual Investments Needed to Achieve Top 20 Goals (in millions)

Investment	Description	General Fund Expense Budget				
		2006	2012	2020	Variance '06-'12	Variance '06-'20
Faculty	Additional faculty and competitive compensation	$248	$388	$560	$140	$313
Academic Support	Faculty start-up funds, library materials, academic support staff, support for new graduate students	$288	$363	$462	$74	$174
Undergraduate Education	Academic advising, student services, support staff, support for new undergraduate students	$35	$48	$71	$12	$36
Student Aid	Graduate fellowships and undergraduate financial aid	$45	$80	$130	$35	$85
Support Services	Administration, technology, maintenance and operations of existing facilities	$93	$132	$208	$41	$114
Facilities	Debt service and maintenance and operations of new facilities, and capital renewal of existing facilities	$0	$70	$132	$70	$132
Hospital		$467	$576	$710	$109	$243
	Total General Fund Expense Budget	**$1,176**	**$1,657**	**$2,273**	**$481**	**$1,097**

Table 7: Cumulative Revenue Sources and Projections to 2012 and 2020 (in millions)

Source	Description	General Fund Revenue Budget				
		2006	2012	2020	Variance '06-'12	Variance '06-'20
State Appropriation	Assumes no increase in state appropriation	$314	$314	$314	$0	$0
Tuition and Fees	Assumes a 4% increase in tuition and fees	$194	$271	$432	$78	$238
Investments	Assumes a 3% increase and addition endowment return available for the Business Plan	$8	$12	$22	$5	$15
Philanthropy	Assumes aggressive efforts to raise money for the Top 20 targets	$1	$8	$21	$7	$19
Contracts with KMSF, inc.	Transfer of funds from a non-affiliated corporation for doctors' salaries	$90	$113	$141	$22	$50
Research Recovery	F&A reimbursement expected to grow with direct research	$17	$32	$71	$15	$54
Internal Reallocation	Expected savings of 10% of base Support Services Expenditures	--	$12	$16	$12	$16
Other	Sales & services of educational activities, budgeted carryforwards, county appropriations, etc.	$86	$101	$127	$15	$41
Hospital	Revenue increases at rate of expenses	$466	$575	$709	$109	$242
	Total General Fund Revenue Budget	**$1,176**	**$1,439**	**$1,852**	**$263**	**$676**

Table 8: Predicted Funding Gaps as of 2012 and 2020 (in millions)

	2012	2020
Investments Needed	$481	$1,097
Projected Revenues	$263	$676
Predicted Funding Gaps	**$218**	**$421**

Funding the Gap

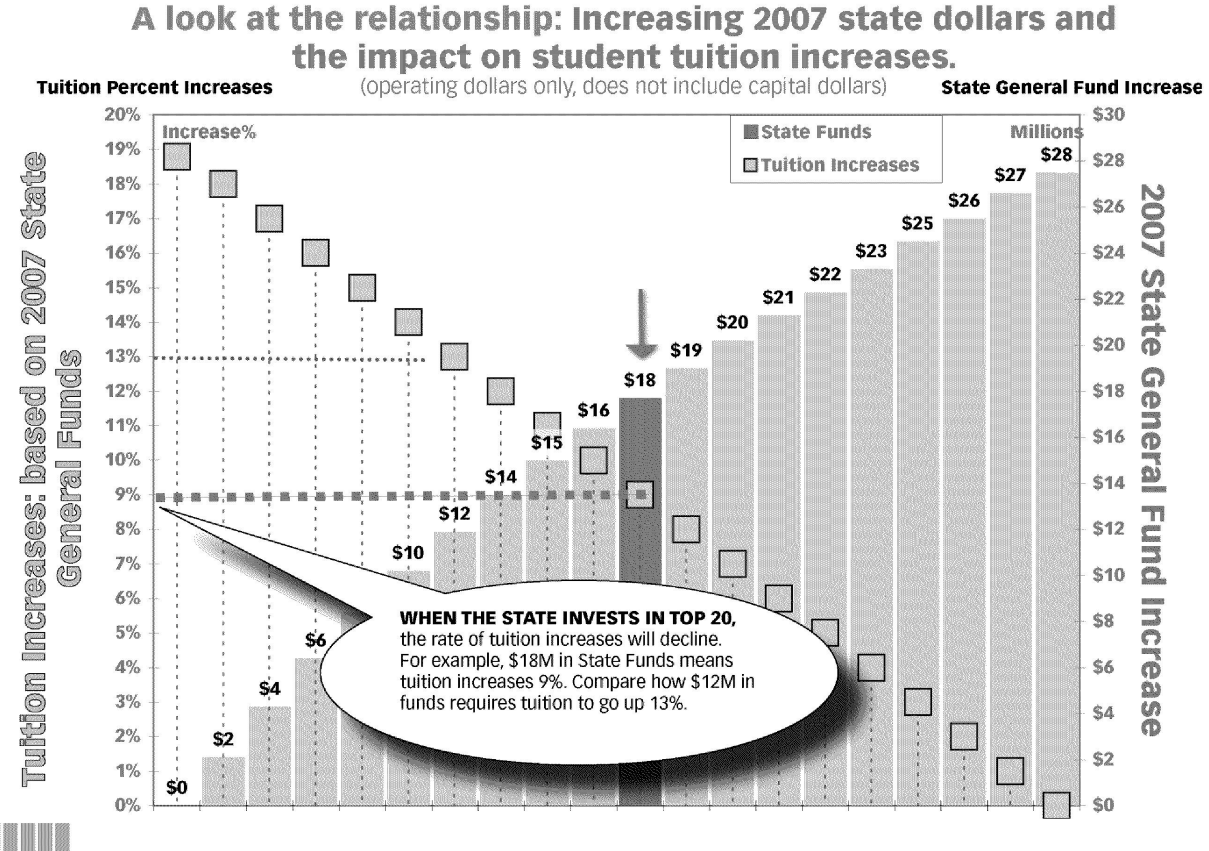
The critical issue facing UK and the Commonwealth is how to apportion fiscal responsibility for eliminating the $421 million gap by 2020. **The greater the extent to which the state supports UK, the less tuition and fees must be increased.**

There is no question that moving Kentucky's flagship university into the ranks of the Top 20 public research universities will require greater state support for facilities and operating investments. UK will need $49 million of state General Funds for debt service to build new instructional and research facilities by 2012 and $88 million by 2020. In addition, the gap in operating funds for the needed Top 20 investments will be $169 million in 2012 and $333 million by 2020.

The state and UK must determine the optimal combination of state appropriations and tuition revenue to cover the gap in operating funds. Table 9 shows the multiple scenarios of increasing tuition and fees and state appropriations for fiscal year 2007 that would close the funding gap. For example, if state appropriations increased by $17.7 million (5.8 percent), resident tuition and fee rates would need to increase by 9.0 percent, to fund the predicted $34.3 million gap.

Table 9. Schedule of Tuition Increases Relative to State Appropriations Needed (excluding debt service) to Fund Investments in Top 20 Strategies

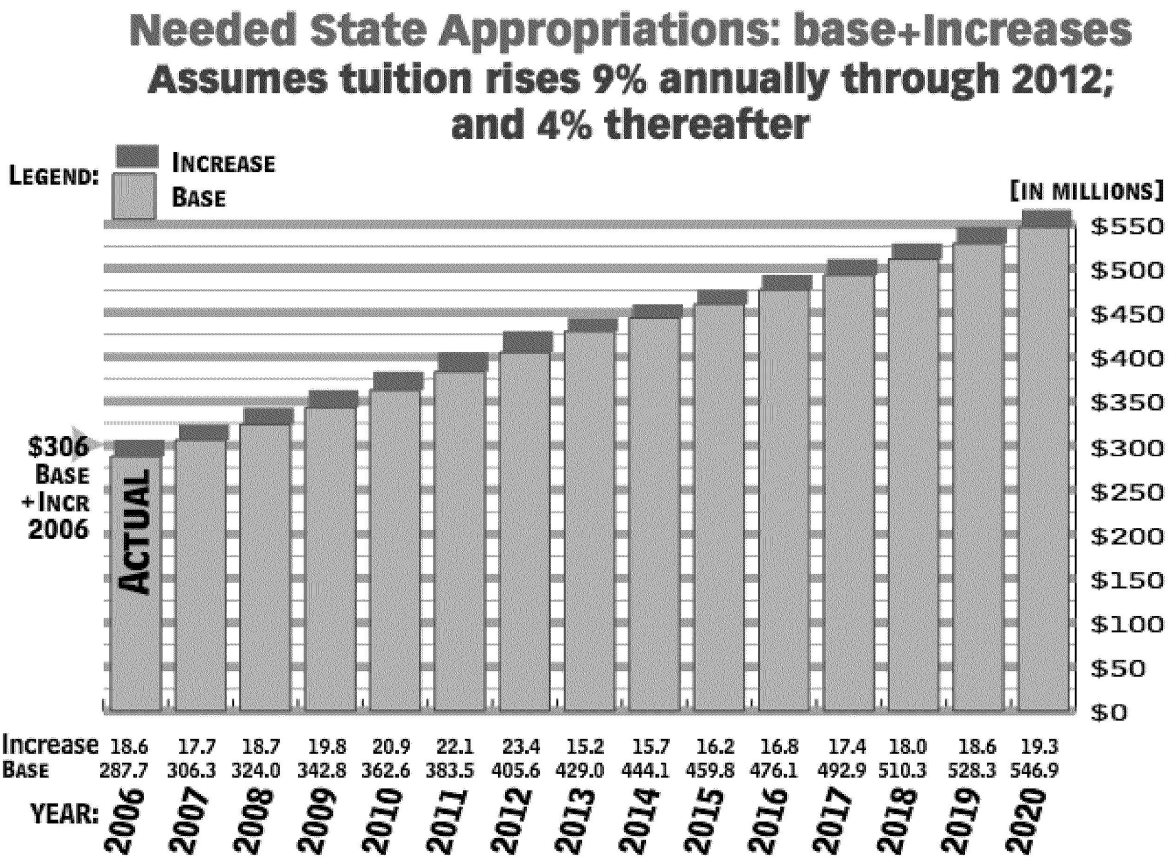
When tuition and fee rates increase more than four percent, nonresident students would be charged four percent plus half the



increase above four percent (e.g., if resident tuition and fees increase 9 percent, nonresident rates would increase 6.5 percent).

Figure 7 shows the annual increase in state appropriations required through 2020 (5.76 percent annually through 2012 and 3.5 percent thereafter) if tuition and fees for resident students increase by nine percent annually through 2012 and four percent thereafter.

Figure 7: Annual State Appropriation Increases Needed (excluding debt service) if Tuition and Fees Increase an Average of Nine Percent Through 2012 and Four Percent Through 2020



Facilities Financing Needs

UK will need a significant infusion of resources to finance its Top 20 capital needs, as shown in Table 10. The estimated cost of new research space is $846 million; classroom and related space to support growth will require $367 million; and residence halls to accommodate 30 percent of undergraduates will require $452 million. In addition to the $1.7 billion needed for new academic, research, and residence hall space, UK projects another $450 million for hospital improvements and expansion. The total estimated cost of new facilities by 2020 is $2.1 billion, including the hospital.

Table 10: New Space Needed by Type and Assignable Square Feet, Excluding the University Hospital

Type of Space	Assignable Square Feet (in thousands)		
	Existing as of 2005	New Space by 2020	Cost ($Ms)
Classrooms and Teaching Labs	554	245	$153
Research	885	1,070	$846
Recreation	113	209	$81
Support	2,328	268	$133
Sub-Total	3,880	1,792	$1,213
Residence Halls			
New		1,860 beds	$174
Renovated	6,000 beds		$278
Total			**$1,665**

Although gifts and designated hospital reserves will provide part of the capital financing, the majority of projects will be debt-financed. As shown in Table 11, UK will need to issue approximately $700 million in agency revenue bonds (for residence halls and hospital projects) and the State will have to issue $1.2 billion in state bonds over the next 14 years.

Table 11. Funding Source and Amount for Facilities Financing Needs

Funding Source	Amount
Gifts	$39 m.
Reserves	$200 m.
Debt	
Revenue Bonds	$702 m.
State Bonds	$1,175 m.
Total	**$2,116 m.**

Total State Support Needed for Top 20 Mandate

The development of this Plan brings into stark reality the importance of predictable, steadily increasing state appropriations for UK to improve the lives of Kentuckians. Without intervention, the "Kentucky Uglies" will only worsen—per capita income will lag further behind the national average and the number of under-educated adults and children living in poverty will increase. The Commonwealth must make consistent, moderately increasing investments in UK to reverse these trends.

The members of the Kentucky General Assembly and the Governor understand the importance to Kentucky of UK's Top 20 mandate. These policymakers invested over $18 million of new state General Funds in UK for the current fiscal year. UK can implement the Plan if the Commonwealth provides similar annual increases.

In addition to the sustained, moderate, annual increases in state appropriations, UK needs state bonds for educational and research facilities. The other crucial component of this serious effort at achieving Top 20 status is institutional flexibility to make decisions and focus resources as needs arise. Less than 20 percent of UK's budget is funded through state appropriations. The balance of the budget comes from a multitude of sources – research grants and contracts, private gifts, hospital revenues, and others. This complicated set of sources necessitates increased institutional flexibility.

Ambitions in the Plan for substantial enrollment growth will require investment in auxiliary enterprises that serve the needs of students and insure their success. Over the next 14 years, new residence halls will be constructed and current ones will be renovated; dining halls will be expanded; and facilities for student support services will be enhanced. UK must have the flexibility to issue bonds to serve these needs when adequate revenue streams are confirmed. The Top 20 Compact's success hinges on the state's confidence in UK's ability to make appropriate decisions on bond issuances for self-financing projects.

The ability to issue bonds is emblematic of the flexibility UK needs to manage its resources. Thresholds for institution-level decisions about renovations, equipment and technology need to be increased, freeing the University to move quickly to meet immediate needs.

Finally, institutional control of the management of investments will give UK the opportunity to generate higher short-term yields. These increasing funds are an essential source of revenue to fund Top 20 initiatives.

The Top 20 Compact only works if UK and the state can agree to a relationship that gives the University greater flexibility in decision-making. In return, UK pledges to continue its capable stewardship of all resources as it makes progress toward Top 20, yielding benefits to the state that come with that status. The overall needed investments are not exorbitant.

Top 20 status is within reach.

The 2006–08 Budget Request

OPERATING FUNDS. In the funding scenario presented below, UK would be able to make the initial investments outlined in the Plan for 2006-08 if state appropriations for operations increased by 5.8 percent annually and tuition and fees increased 9 percent. CPE recommended a $13.7 million increase in base state appropriation for UK in 2006–07 and an additional $13.6 million in 2007–08, $4 million and $5.1 million less than the need calculated by the Business Plan, respectively.

CAPITAL. In addition to the investments in operating costs, the University is in critical need for physical space for research, instruction, the University Hospital, and residence halls and dining facilities. For 2006-08, the Plan includes the capital projects recommended by CPE. These projects are listed below in Table 12.

Table 12: Summary of 2006–08 Operating and Capital Needs

	Actual 2005–06		2006–07		2007–08	
Tuition and Mandatory Fees	$16.4	12.5%	$16.6	9.0%	$18.8	9.0%
State Appropriations Available for Business Plan	$16.1	5.6%	$17.7	5.8%	$18.7	5.8%
Total Operating Funds Needed	$32.5		$34.3		$37.5	
Capital: State Funded						
State Bonds Recommended by CPE:						
Biological/Pharmaceutical Complex, Phase II				$79.9		
Gatton Building Complex, Phase I				$40.5		
Bio-Medical Research Building, Design				$7.6		
				$128.0		
Capital: University Funded						
Agency Bonds Recommended by CPE						
Patient Care Facility				$150.0		
Residence Halls and Dining Renovations				$16.3		
				$166.3		

Conclusion

The University of Kentucky's Top 20 Business Plan is a serious, determined, and visionary financial roadmap for achieving status as a Top 20 public research university by 2020. This Plan establishes the fiscal and capital framework for accomplishing the Top 20 Compact that UK and the people of the Commonwealth created in 1997. It is based on extensive analysis and the identification of clear, explicit goals and expectations for what it means to be a Top 20 public research university and what investments will be required to achieve them.

In fulfilling the terms of this Compact, UK will:

- Increase its enrollment by 7,000 students
- Improve the quality of undergraduate and graduate education
- Increase the graduation rate by 12 percentage points
- Increase research expenditures to over $700 million
- Increase by 625 the number of faculty dedicated to teaching students and doing research and public service that attack the persistent health and economic problems Kentucky faces
- Increase engagement of the UK community in improving Kentucky's schools, communities, farms, and businesses
- Increase substantially the number of inventions, patents, and start-up businesses

Kentucky will:

- Increase UK's base appropriations on a schedule characterized by consistency and shared responsibility
- Provide more capital construction support for research and educational facilities
- Grant UK authority to issue debt to support thoughtful, planned growth
- Give UK greater flexibility in the financial management of the institution

What it will mean for Kentucky:

- Increased educational attainment
- Increased wages and broader benefits
- Better health
- More locally-owned businesses
- Improved economic vitality

Appendix A

Independent Evaluation of Performance on Selected* Association of American Universities (AAU) Stage I Indicators for Two New Member Institutions in 2001 Compared to the University of Kentucky (UK)

SELECTED INDICATORS	DEFINITIONS (using data through fiscal year 1999)	RANK OUT OF 68 POTENTIAL MEMBER INSTITUTIONS**		
		UK	SUNY Stony Brook	Texas A&M
Competitively Funded Federal Research Support	Using AAU's specific formula: federal expenditures – [federal expenditures x USDA obligations / total federal obligations], and adjusting the formula per faculty (including medical school faculty when applicable)	43rd	11th	29th
Membership in the National Academies	Total membership in the three academies – NAS, NAE, IOM – per faculty	44th	9th	11th
National Research Council faculty quality ratings	Individual departmental ratings used to calculate an average faculty quality rating for each institution.	37th	3rd	6th
Publications and Citations	Most recent U.S. University Science Indicators CD-ROM (2004 Edition): 1. total citations per faculty 2. total publications per faculty	29th 28th	7th 8th	24th 17th
Doctoral Education	Average number of doctoral degrees awarded by each potential member institution for academic years 1987-1997, as reported on the IPEDS Completions Surveys, per faculty	37th	8th	6th
Number of Postdoctoral Appointees	Average number of postdoctoral appointees, as reported on the NSF Survey of Graduate Students and Post Doctorates in Science and Engineering from 1996 – 1998, per faculty	24th	7th	18th

* According to the AAU's public Membership Policy literature, the Phase I indicators are "used as the primary indicators of institutional breadth and quality in research and education." Only 6 of 8 Stage 1 indicators are presented here due to difficulties in accessing reliable data for the remaining two.

** The group of 68 potential member institutions includes all non-AAU doctoral research universities ranked in the top 150 institutions for federally financed research and development expenditures in fiscal year 1999.

Appendix B

Correlation Matrix for Average Peer Assessment Score and Selected Measures of University Quality

	AAU	Fresh Top10	Actual Grad	Doc Awards	Federal Res	Avg Endow Assets	Faculty Awards	Peer Asses
AAU	1.00000							
AAU MEMBER								
	101							
Fresh Top10		0.47639	1.00000					
Freshmen in top 10% of HS class (USN&WR)		<.0001						
	98	98						
Actual Grad		0.57176	0.71013	1.00000				
Actual Graduation Rate (USN&WR)		<.0001	<.0001					
	100	98	100					
Doc Awards		0.68930	0.48349	0.56922	1.00000			
2003 Doctorates Awarded (TheCenter)		<.0001	<.0001	<.0001				
	101	98	100	101				
Federal Res		0.62049	0.48851	0.49377	0.75079	1.00000		
2002 Federal Research x $1000 (TheCenter)		<.0001	<.0001	<.0001	<.0001			
	101	98	100	101	101			
Endow Assets		0.45884	0.34838	0.41843	0.63610	0.57807	1.00000	
2003 Endowment Assets x $1000 (TheCenter)		<.0001	0.0005	<.0001	<.0001	<.0001		
	98	95	97	98	98	98		
Faculty Awards		0.64143	0.57862	0.58734	0.81725	0.86125	0.49559	1.00000
2003 Faculty Awards (TheCenter)		<.0001	<.0001	<.0001	<.0001	<.0001	<.0001	
	101	98	100	101	101	98	101	
Avg Peer Asses		0.76844	0.65854	0.78396	0.78727	0.72078	0.57348	0.81143	1.00000
Average Peer Assessment Score (USN&WR)		<.0001	<.0001	<.0001	<.0001	<.0001	<.0001	<.0001	<.0001
	100	98	100	100	100	97	100	100	

Appendix C

Groups and Individuals Consulted During The Development of the Plan

James Hardymon, Chair, Board of Trustees
Lee T. Todd, President
Wendy Baldwin, Executive Vice President for Research
Frank Butler, Executive Vice President for Finance and Administration and Vice President for Medical Center Operations
Michael Karpf, Executive Vice President for Health Affairs
Mike Nietzel, Former Provost, President of Missouri State University
M. Scott Smith, Interim Provost and Dean, College of Agriculture
Jeannine Blackwell, Dean, The Graduate School
Jay Blanton, Executive Director of Public Relations and Marketing
Stephen Byars, Director of Government Relations
Dall Clark, Director of Capital Projects Management Division
Del Collins, Senior Associate Vice President for Research Infrastructure
Karen Combs, Vice Provost for Budget and Administrative Services
Lynda George, Director of Financial Aid
Philip Greasley, Associate Vice President for University Initiatives
Merl Hackbart, Associate Dean for Administration, Gatton College of Business and Economics
Thomas Harris, Associate Vice President for External Affairs
Philipp Kraemer, Associate Provost for Undergraduate Education
Marc Mathews, Controller
Terry Mobley, Vice President for Institutional Advancement
Clay Owen, Treasurer
Rebecca Scott, Former University Senate Staff; Survey Coordinator, Office of Assessment
Chuck Staben, Associate Vice President for Research
Patricia Terrell, Vice President for Student Affairs
John Thelin, Faculty, College of Education
Bill Turner, Vice President for University Initiatives
Lisa Wilson, Provost Budget Director
Bob Wiseman, Vice President for Facilities Management
Don Witt, Assistant Provost for Enrollment Management
Ernie Yanarella, University Senate Chair

Deans' Council
President's Cabinet
Provost's Council
Staff Senate
Top 20 Steering Committee
University Senate Council

Kentucky Council on Postsecondary Education
Tom Layzell, President
Jim Applegate, Vice President for Academic Affairs
Ron Carson, Senior Fellow, Policy Development
Sherron Jackson, Asst. Vice President, EEO & Finance
Sue Hodges Moore, Former Executive Vice President
Jonathan Pruitt, Senior Associate for Finance
Sandra Woodley, Vice President for Finance

Appendix D

Summary of Decisions and Rationale for Measures in the Ranking Model

Variable	Source	USED BY:			Decision	Rationale
		TheCenter	AAU	USN&WR		
Federal Research Expenditures	TheCenter	✓	✓		Include	Widely recognized as measure of competitive strength; CPE key indicator
Total Research Expenditures	TheCenter	✓			Exclude	Duplicates federal research expenditures unnecessarily
Non-federal Research Expenditures	TheCenter		✓		Include	Ensures recognition of ability to obtain other revenue sources to support research
National Academy Members	TheCenter	✓	✓		Exclude	Small numbers that change slowly; not useful to monitor progress
Faculty Awards	TheCenter	✓			Include	Recognizes faculty in arts & humanities, as well as science/engineering/health
Faculty Citations	Thomson Scientific		✓		Include	Indicator of impact of faculty scholarship; includes non-science disciplines
Doctorates Awarded	TheCenter	✓	✓		Include	Indicator of strength of graduate program, including offerings and results; CPE key indicator
Postdoctoral Appointments	TheCenter	✓			Include	Indicator of strength of faculty research and reputation
SAT / ACT Scores	IPEDS	✓		✓	Include	Outcome of successful recruitment and UG education programming; critical to improving graduation rates that weigh heavily in public perceptions of quality
National Merit Scholars	TheCenter	✓			Exclude	Too narrowly focused and easily manipulated by funding
Student-to-Faculty Ratio	USN&WR			✓	Include	Indicator of strength of commitment to quality UG education
Class Size	USN&WR			✓	Exclude	Benchmark inquiry revealed diverse interpretations and calculations; unstable
Six-Year Graduation Rates	IPEDS			✓	Include	Summative indicator of quality of students, faculty, staff, and programs; highly publicized; significant increase will be noticed; CPE key indicator
Peer Assessment Ratings	USN&WR			✓	Exclude	Highly subjective and difficult to move; increases will lag real progress

Appendix E

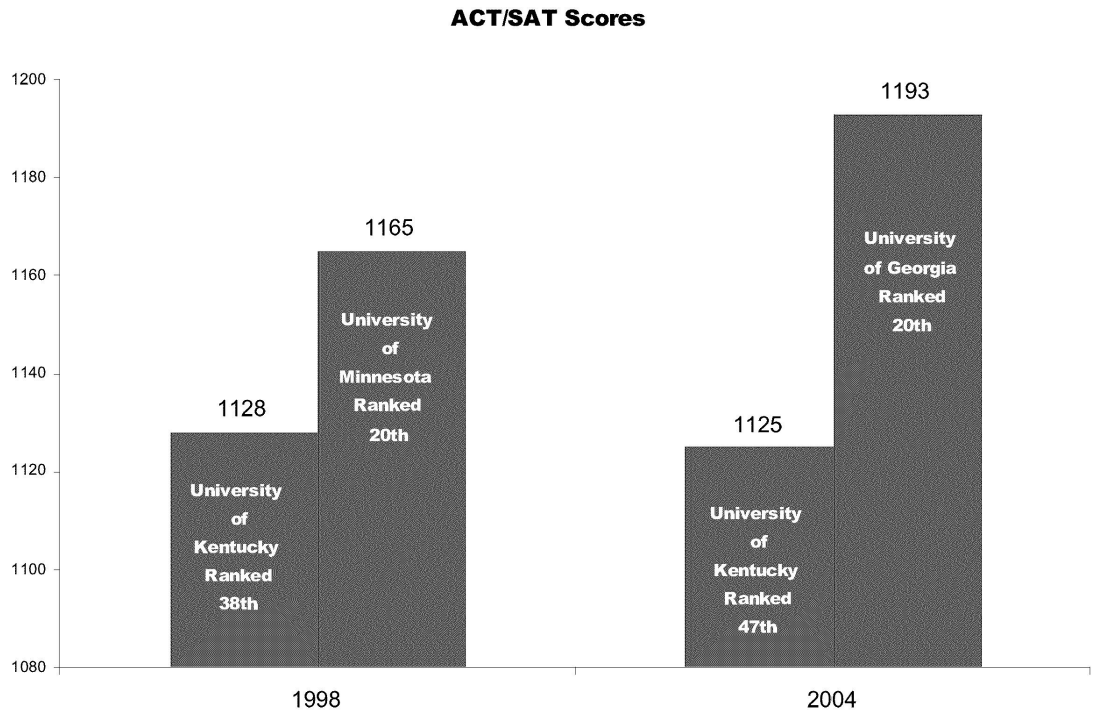
Summary of Results of the Composite Score Model*

Domain	Measure	Value	Rank	Standard Score	Domain and Total Score	Domain and Total Rank	20th Institution
Undergraduate Education	ACT/SAT (2004-05)	1128	47	-0.14	-0.27	49	University of Iowa 1.05
	Six-year Graduation Rate (2004-05)	60%	51	-0.23			
	Student-to-Faculty Ratio (2004-05)	17 to 1	35	-0.04			
Graduate Education	Doctorates Granted (2003-04)	233	44	-0.21	-0.19	34	University of Maryland –College Park 1.28
	Postdoctoral Appointments (2002-03)	230	30	0.02			
Faculty Recognition	Citations	42,288	39	-0.20	-0.24	37	University of Utah 1.12
	Awards	11	32	-0.04			
Research	Federal Expenditures	$100.4M	35	-0.13	0.31	26	North Carolina State 1.03
	Non-Federal Expenditures	$135.8M	23	0.45			
TOTAL SCORE					**-0.39**	**35**	**Georgia Tech 4.12**

*Based on ranking data available as of September 2005

Appendix F
Additional Results of Performance Gap Analysis

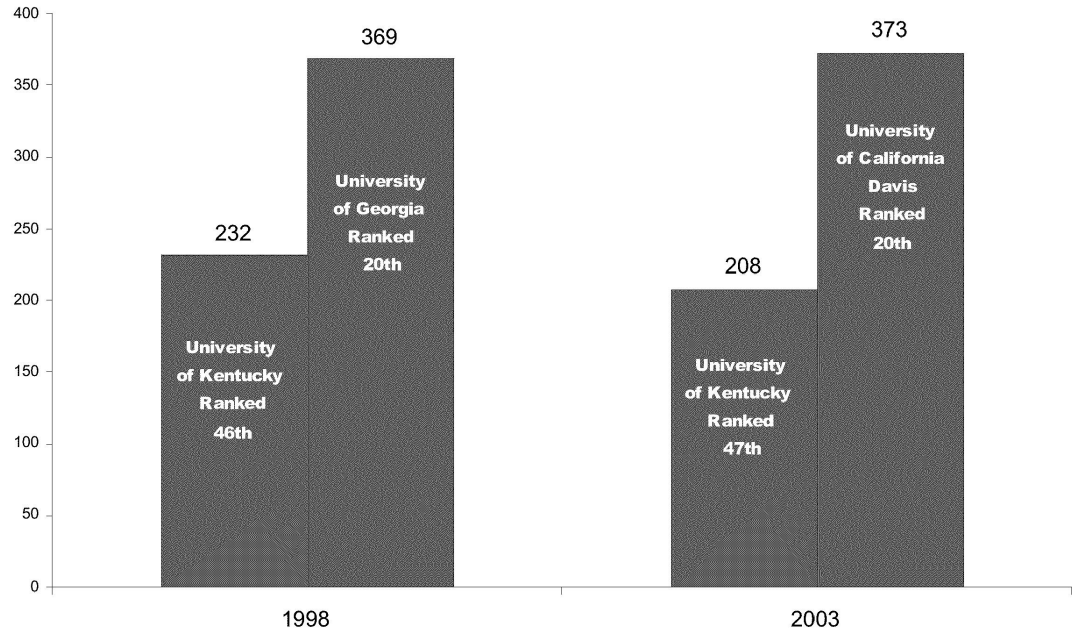
UNDERGRADUATE EDUCATION



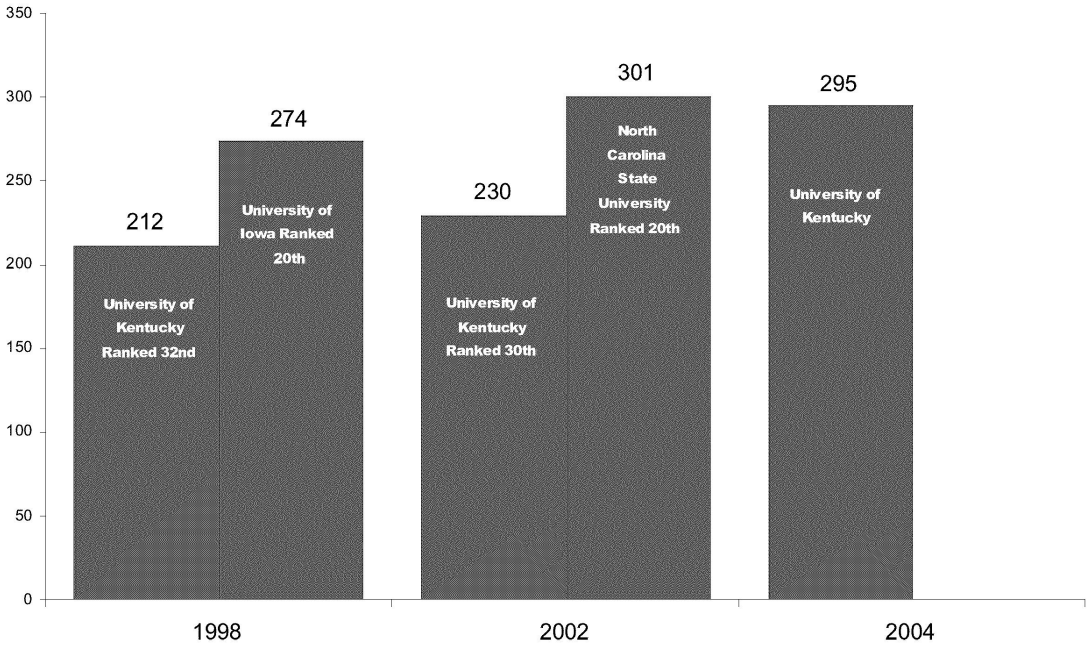
NOTE: The Undergraduate Education domain also includes a student-to-faculty ratio measure but comparable data is not available for a retrospective analysis.

Appendix F (Continued)
Additional Results of Performance Gap Analysis
GRADUATE EDUCATION

Doctorates Granted



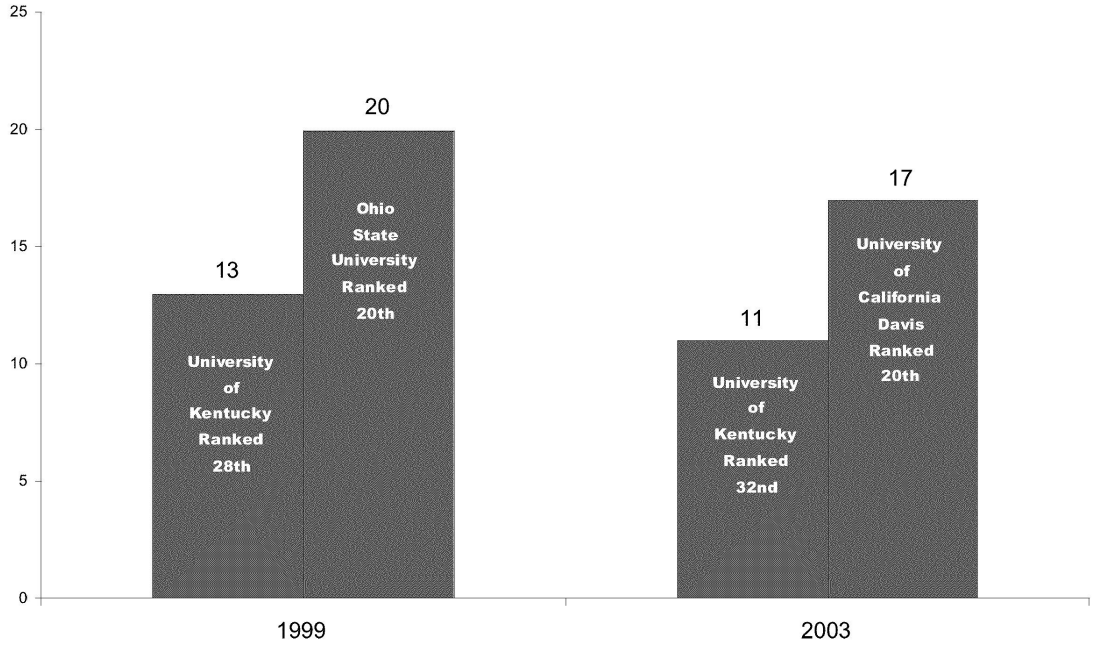
Postdoctoral Appointments



Appendix F (Continued)
Additional Results of Performance Gap Analysis

FACULTY RECOGNITION

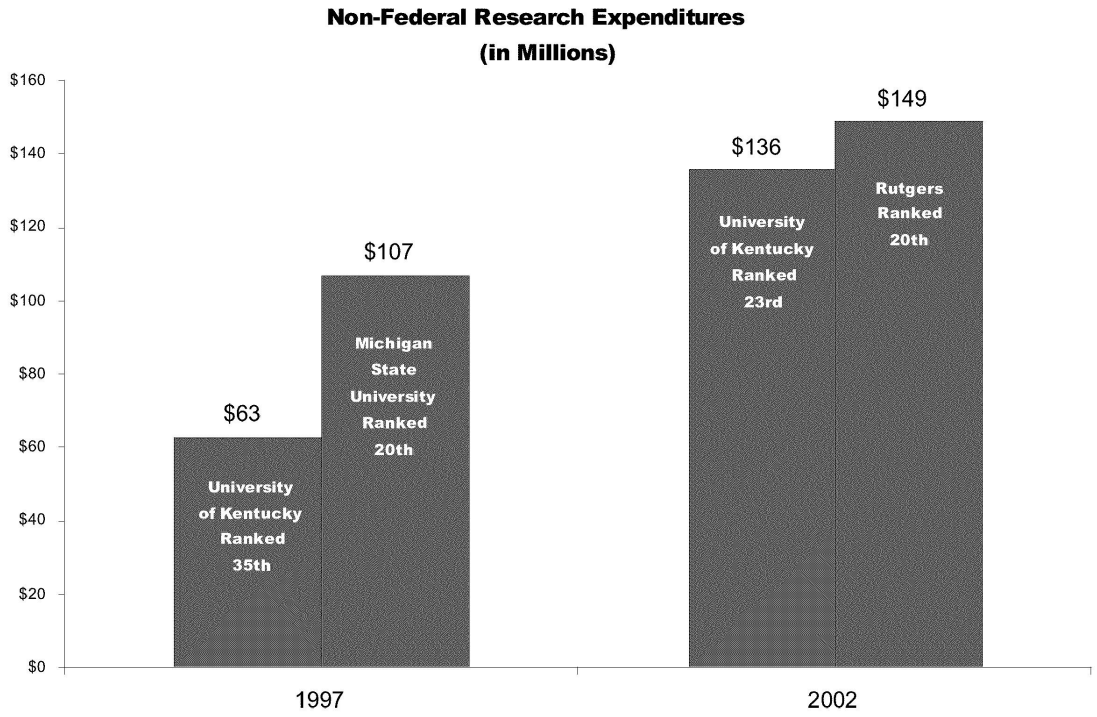
Faculty Awards



NOTE: The Faculty Recognition domain also includes a citations measure. However, comparable data is not available for a retrospective analysis.

Appendix F (Continued)
Additional Results of Performance Gap Analysis

RESEARCH



Top 20 Business Plan Key Assumptions

1. Strategies for Growth: The Business Plan's enrollment targets are based on the recommendations of the Top 20 Task Force.

A. UNDERGRADUATE ENROLLMENT:

- Increase by approximately 1,900 by 2012
- Increase by 6,200 by 2020 [see NOTE].
- No increase in the number of first-time freshmen until Fall 2008.
- Decrease the percentage of first-year students who are Kentucky residents from 79 percent to 75 percent by 2012.

B. GRADUATE AND PROFESSIONAL ENROLLMENT AND POSTDOCTORAL APPOINTEES:

- Increase graduate and first professional enrollments by 750; approximately 390 to be added by 2012.
- Increase funding for doctoral students to provide full tuition and $15,000 stipend.
- Increase postdoctoral appointments by 375 by 2020.

2. Full-time Faculty: The Business Plan's faculty targets are based on the number of instructional faculty needed to improve the undergraduate student-to-faculty ratio and the number of research and instructional faculty required to achieve research goals.

A. NUMBER OF FULL-TIME FACULTY

- Increase the number of full-time faculty in the undergraduate colleges by 500 by 2020.
- Increase will be front-loaded, i.e., the number of faculty will increase at a faster rate than student enrollments.
- Increase the number of full-time faculty in the graduate and first professional colleges by 125 by 2020.

B. COMPETITIVE FACULTY COMPENSATION -

Increase faculty salaries at a rate that will eliminate the gap between the average salary for UK faculty and the median faculty salary at UK's benchmark institutions by 2012.

3. Base Budget and Inflationary Increases: The Business Plan is based on the 2005-06 General Funds budget approved by the Board of Trustees and includes estimated inflationary increases in the projection of all costs.

4. Tuition and Financial Aid:

A. BASELINE PROJECTION

- Tuition and mandatory fees are assumed to increase at an annual rate of four percent for all categories of students—undergraduate and graduate, resident and non-resident.
- The undergraduate financial aid discount rate (unrestricted institutional aid as a percent of tuition) rises from 17% to 20% by 2012.

B. FUNDING THE GAP

- Present various combinations of increases in state appropriation and the corresponding increases in tuition and mandatory fees to close the funding gap.
- For nonresident students, tuition and mandatory fees rise by half the percentage amount as for resident students above 4 percent
- The formula to calculate the nonresident rate increase looks like this:

  [4% + (% increase – 4%) / 2)] = Nonresident Rate Increase.

  For example, if the resident tuition rate increases by 10 percent, the rate for non-residents increases by 7 percent : [4% + (10% – 4%) /2 = 7%].

5. Facility Needs. The Business Plan determines facilities needs using the Council on Postsecondary Education's space model and the projected growth in students and faculty. The model defines standards for assignable square feet required by category of space (e.g., classroom, recreation, support, and research laboratories).

- CPE's recommended state-funded projects for UK, which total $128 million, are included in the 2006-08 financing projections.

- Biological / Pharmaceutical Complex, Phase II - $79.9 million
- Gatton Building Complex, Phase I - $40.5 million
- Bio-Medical Research Building, Design - $7.6 million

NOTE: CPE is projecting enrollment goals for all institutions based on the Commonwealth's achieving the national average of educational attainment by 2020. CPE's draft model indicates that UK should be expected to enroll more than an additional 10,000 undergraduate students by 2020.

Appendix G-2

FINANCIAL PLAN SUMMARY

Cumulative Funding Required

($ Millions)

	General Expense Budget				
	2006	2012	2020	Variance '06-'12	Variance '06-'20
Faculty, including Librarians *(see Appendix G-3)*					
Base *(salaries increase 3.0% annually plus benefits)*	$248	$311	$395	$64	$147
Achieve Benchmark Median Compensation	--	$48	$61	$48	$61
(faculty salaries increase additional 2.5% thru FY12)					
Add 625 Faculty *($90k '06 salary, add 213 faculty by FY12)*	--	$30	$110	$30	$110
Portion of Faculty Costs to be Grant Funded *(5% of new positions)*	--	($1)	($6)	($1)	($6)
Sub-Total	**$248**	**$388**	**$560**	**$140**	**$313**
Academic Support					
Base: Staff Compensation *(salaries increase 3.0% annually plus benefits)*	$170	$215	$273	$45	$102
Staff Enhancements *(FY07 = $5m, increases annually at 3.0%)*	--	$6	$7	$6	$7
Base: Non-Compensation *(operating expenses increase 2.5% annually)*	$110	$122	$145	$12	$35
New Faculty Start-Ups *($150k/faculty, increases 3.0% annually)*	--	$6	$8	$6	$8
Support for New Graduate Students *(see Appendix G-4)*	--	$1	$2	$1	$2
Library: Books and Periodicals *(increase annually at 5.0%)*	$8	$11	$16	$3	$8
Library: Support for New Faculty	--	$2	$11	$2	$11
($9.8k/new faculty, 2005-06 Operating Budget pg 80 / 1,890)					
Sub-Total	**$288**	**$363**	**$462**	**$74**	**$174**
Undergraduate Education *(2005-06 Operating Budget, pages 81, 83, 86, 89)*					
Base: Staff Compensation *(salaries increase 3.0% annually plus benefits)*	$30	$37	$47	$8	$18
Base: Non-Compensation *(operating expenses increase 2.5% annually)*	$6	$7	$8	$1	$2
Support for New Undergraduate Students *(see Appendix G-4)*	--	$4	$16	$4	$16
Sub-Total	**$35**	**$48**	**$71**	**$12**	**$36**
Student Aid *(2005-06 Operating Budget, page 88 - see also Appendix G-5)*					
Graduate					
Base *(increase at rate of tuition)*	$25	$32	$43	$7	$19
Increase Stipends to Benchmark Median	--	$5	$7	$5	$7
Support for 750 New Students	--	$8	$20	$8	$20
Undergraduate					
Base *(increase at rate of tuition)*	$20	$26	$35	$5	$15
Increase Discount Rate *(from 16.8% to 20.0% by 2012)*	--	$6	$9	$6	$9
Support for 6,200 New Students	--	$4	$15	$4	$15
Sub-Total	**$45**	**$80**	**$130**	**$35**	**$85**
Support Services *(2005-06 Operating Budget, pages 5 and 7)*					
Base: Staff Compensation *(salaries increase 3.0% annually plus benefits)*	$59	$75	$95	$15	$35
Base: Non-Compensation *(increase 5.0% annually (2.5% cpi, 2.5% util./IRIS))*	$33	$45	$66	$11	$33
Support for New Faculty *(see Appendix G-6)*	--	$13	$47	$13	$47
Sub-Total	**$93**	**$132**	**$208**	**$41**	**$114**
New Facilities *(see Appendix G-7)*					
Operating	--	$8	$16	$8	$16
Capital Renewal and Deferred Maintenance	--	$13	$28	$13	$28
Debt Service	--	$49	$88	$49	$88
Sub-Total	**$0**	**$70**	**$132**	**$70**	**$132**
Hospital *(revenue increases at rate of expenses)*	$467	$576	$710	$109	$243
Total General Fund Budget*	**$1,176**	**$1,657**	**$2,273**	**$483**	**$1,096**

*may not total due to rounding

Appendix G-2 [cont.]

FINANCIAL PLAN SUMMARY

Cumulative Funding Provided

($ Millions)

	General Revenue Budget				
	2006	2012	2020	Variance '06-'12	Variance '06-'20
State Appropriation *(assumes no increase)*					
Mandated	$77	$77	$77	$0	$0
Non-Mandated	$229	$229	$229	$0	$0
Debt Service	$8	$8	$8	$0	$0
Sub-Total	**$314**	**$314**	**$314**	**$0**	**$0**
Tuition and Fees Revenue					
Tuition Rate Increases 4.0% Annually	$170	$215	$294	$45	$124
Enrollment Growth (undergraduate and graduate)		$19	$82	$19	$82
Nonresident 1st-Year Undergraduates Increases to 25% by FY12		$8	$15	$8	$15
Fees *(mandatory registration increases 4.0% annually, others 3.0%)*	$24	$30	$41	$6	$17
Sub-Total	**$194**	**$271**	**$432**	**$78**	**$238**
Investment Return					
Base *(increases annually at 3.0%)*	$8	$9	$11	$1	$4
Additional Endowment Return Available for Business Plan		$3	$11	$3	$11
Sub-Total	**$8**	**$12**	**$22**	**$5**	**$15**
County Appropriations *(increases annually at 3.0%)*	$12	$14	$18	$2	$6
Philanthropy					
Base	$1	$3	$4	$2	$3
Restricted *(50% of future incremental gifts to available for business plan)*	--	$5	$16	$5	$16
Sub-Total	**$1**	**$8**	**$21**	**$7**	**$19**
Contracts with KMSF, Inc. *(increases at same rate as salaries and operating exp., about 3.2% annually)*	$90	$113	$141	$22	$50
Research Recovery					
F&A Reimbursement *(grows with direct research)*	$17	$23	$39	$6	$22
Increase in F&A Attributable to Faculty Growth and Increased Productivity	--	$9	$32	$9	$32
Sub-Total	**$17**	**$32**	**$71**	**$15**	**$54**
Internal Reallocation *(10% of all base Support Services expenses)*		$12	$16	$12	$16
Sales and Services *(increases annually at 3.0%)*	$21	$25	$32	$4	$11
Budgeted Carryforwards *(increases with operating expenses at 2.5%)*	$27	$31	$38	$4	$11
Other *(increases annually at 3.0%)*	$26	$31	$39	$5	$13
Hospital *(revenue increases at rate of expenses)*	$466	$575	$708	$109	$242
Total General Fund Budget*	**$1,176**	**$1,439**	**$1,852**	**$263**	**$676**

*may not total due to rounding

■ BUSINESS PLAN UNFUNDED

❑ Annual Funding Required	$ 482	$ 1,097
❑ Annual Funding Provided	$ 263	$ 676
❑ **Total Unfunded or "Funding Gap"**	**$218**	**$421**

Appendix G-3

PROJECTED FACULTY EXPENSES
($ Millions)

	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	Variance 2012	Variance 2020
Base Salaries																	
Salary Growth Rate	--	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*		
Salary	$196	$202	$208	$214	$220	$227	$234	$241	$248	$255	$263	$271	$279	$287	$296		
Benefits Rate	*26.5%*	*27.8%*	*30.7%*	*32.0%*	*33.3%*	*33.3%*	*33.3%*	*33.3%*	*33.3%*	*33.3%*	*33.3%*	*33.3%*	*33.3%*	*33.3%*	*33.3%*		
Benefits	$52	$56	$64	$68	$73	$75	$78	$80	$82	$85	$87	$90	$93	$96	$98		
Sub-Total	**$248**	**$258**	**$271**	**$282**	**$294**	**$302**	**$311**	**$321**	**$330**	**$340**	**$351**	**$361**	**$372**	**$383**	**$395**	**$64**	**$147**
Benchmark Median																	
Additional Salary Growth	--	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	--	--	--	--	--	--	--	--		
Salary	--	$5	$10	$16	$22	$29	$36	$37	$38	$40	$41	$42	$43	$44	$46		
Benefits	--	$1	$3	$5	$7	$10	$12	$12	$13	$13	$14	$14	$14	$15	$15		
Sub-Total	**--**	**$6**	**$13**	**$21**	**$30**	**$39**	**$48**	**$50**	**$51**	**$53**	**$54**	**$56**	**$58**	**$59**	**$61**	**$48**	**$61**
Add 625 Faculty																	
Add New Faculty	--	27	54	82	123	168	213	260	307	358	414	468	522	576	625		
Salary Growth Rate	--	--	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*		
Average Salary ($000s)	--	$90	$93	$95	$98	$101	$104	$107	$111	$114	$117	$121	$125	$128	$132		
Benefits ($000s)	--	$25	$28	$31	$33	$34	$35	$36	$37	$38	$39	$40	$41	$43	$44		
Sub-Total	**--**	**$3**	**$7**	**$10**	**$16**	**$23**	**$30**	**$37**	**$45**	**$54**	**$65**	**$75**	**$87**	**$98**	**$110**	**$30**	**$110**
5% Grant Funding	--	($0)	($0)	($1)	($1)	($1)	($1)	($2)	($2)	($3)	($3)	($4)	($4)	($5)	($6)	**($1)**	**($6)**
Total	**$248**	**$267**	**$291**	**$313**	**$338**	**$362**	**$388**	**$406**	**$425**	**$445**	**$466**	**$489**	**$512**	**$536**	**$560**	**$140**	**$313**
Student Faculty Ratio (as reported to US News)																	
Students																	
Undergraduate	*16,595*	*16,830*	*17,003*	*17,266*	*17,630*	*18,035*	*18,477*	*18,956*	*19,465*	*19,995*	*20,541*	*21,097*	*21,660*	*22,226*	*22,795*	*1,882*	*6,200*
Graduate	*2,580*	*2,580*	*2,638*	*2,696*	*2,754*	*2,780*	*2,806*	*2,832*	*2,858*	*2,885*	*2,911*	*2,937*	*2,963*	*2,989*	*3,015*	*226*	*435*
Part-Time	*1,276*	*1,276*	*1,276*	*1,276*	*1,276*	*1,276*	*1,276*	*1,276*	*1,276*	*1,276*	*1,276*	*1,276*	*1,276*	*1,276*	*1,276*	*0*	*0*
Total	***20,451***	***20,686***	***20,917***	***21,238***	***21,660***	***22,091***	***22,560***	***23,065***	***23,599***	***24,156***	***24,728***	***25,309***	***25,899***	***26,491***	***27,086***	***2,109***	***6,635***
Instructional Faculty	*1,151*	*1,171*	*1,191*	*1,212*	*1,246*	*1,280*	*1,314*	*1,350*	*1,386*	*1,426*	*1,472*	*1,518*	*1,564*	*1,610*	*1,651*	*163*	*500*
Ratio	***17.8***	***17.7***	***17.6***	***17.5***	***17.4***	***17.3***	***17.2***	***17.1***	***17.0***	***16.9***	***16.8***	***16.7***	***16.6***	***16.5***	***16.4***		

Appendix G-4

PROJECTED ACADEMIC AND SUPPORT SERVICES FOR "NEW STUDENTS"
($ Millions)

	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	Variance 2012	Variance 2020
Student Service Budget *(2005-06 Operating Budget, pages 81, 83, 86, 89)*																	
Salaries	$24.8																
Benefits	$6.5																
Operating Exp (net recharges)	$5.9																
Total Budget	**$37.3**																
Undergraduates	17,107																
Graduates	5,195																
Total	**22,302**																
Cost / Student ($000s)																	
Salary Growth Rate	--	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*		
Salaries	$1.1	$1.1	$1.2	$1.2	$1.3	$1.3	$1.3	$1.4	$1.4	$1.4	$1.5	$1.5	$1.6	$1.6	$1.7		
Benefits Rate	*26.4%*	*27.7%*	*30.6%*	*31.8%*	*33.1%*	*33.1%*	*33.1%*	*33.1%*	*33.1%*	*33.1%*	*33.1%*	*33.1%*	*33.1%*	*33.1%*	*33.1%*		
Benefits	$0.3	$0.3	$0.4	$0.4	$0.4	$0.4	$0.4	$0.5	$0.5	$0.5	$0.5	$0.5	$0.5	$0.5	$0.6		
Operating Exp Growth Rate	--	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*		
Non-Compensation	$0.3	$0.3	$0.3	$0.3	$0.3	$0.3	$0.3	$0.3	$0.3	$0.3	$0.3	$0.3	$0.4	$0.4	$0.4		
Total	**$1.7**	**$1.7**	**$1.8**	**$1.9**	**$2.0**	**$2.0**	**$2.1**	**$2.1**	**$2.2**	**$2.3**	**$2.3**	**$2.4**	**$2.5**	**$2.5**	**$2.6**		
New Graduates (cumulative)		0	100	200	300	345	390	435	480	525	570	615	660	705	750		
Additional Funding Required																	
Salaries		$0.0	$0.1	$0.2	$0.4	$0.4	$0.5	$0.6	$0.7	$0.8	$0.9	$0.9	$1.0	$1.2	$1.3		
Benefits		$0.0	$0.0	$0.1	$0.1	$0.1	$0.2	$0.2	$0.2	$0.3	$0.3	$0.3	$0.3	$0.4	$0.4		
Non-Compensation		$0.0	$0.0	$0.1	$0.1	$0.1	$0.1	$0.1	$0.2	$0.2	$0.2	$0.2	$0.2	$0.3	$0.3		
Total		**$0.0**	**$0.2**	**$0.4**	**$0.6**	**$0.7**	**$0.8**	**$0.9**	**$1.1**	**$1.2**	**$1.3**	**$1.5**	**$1.6**	**$1.8**	**$2.0**	**$1**	**$2**
New Undergraduates (cumulative)		235	408	671	1,035	1,440	1,882	2,361	2,870	3,400	3,946	4,502	5,065	5,631	6,200		
Additional Funding Required																	
Salaries		$0.3	$0.5	$0.8	$1.3	$1.9	$2.5	$3.2	$4.0	$4.9	$5.9	$6.9	$8.0	$9.2	$10.4		
Benefits		$0.1	$0.1	$0.3	$0.4	$0.6	$0.8	$1.1	$1.3	$1.6	$2.0	$2.3	$2.7	$3.0	$3.5		
Non-Compensation		$0.1	$0.1	$0.2	$0.3	$0.4	$0.6	$0.7	$0.9	$1.1	$1.3	$1.6	$1.8	$2.1	$2.3		
Total		**$0.4**	**$0.7**	**$1.3**	**$2.0**	**$2.9**	**$3.9**	**$5.0**	**$6.3**	**$7.7**	**$9.2**	**$10.8**	**$12.5**	**$14.3**	**$16.2**	**$4**	**$16**

Appendix G-5

PROJECTED STUDENT FINANCIAL AID EXPENSE
($ Millions)

Total TA, GA, Fellows	1,296
Total Stipends '04 (Ms)	$14.9
Avg Stipend (000s)	**$11.5**
Benchmark (000s)	$15.0
Difference (000s)	**($3.5)**
Total TA, GA, Fellows	1,296
Funding Need (Ms)	**$4.6**

	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	Variance 2012	Variance 2020
Graduate																	
Tuition Growth Rate	--	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*		
Base	$24.9	$25.9	$26.9	$28.0	$29.2	$30.4	$31.6	$32.9	$34.2	$35.6	$37.0	$38.5	$40.1	$41.7	$43.4	**$7**	**$19**
Median Stipends by FY12																	
Constant Dollars	--	$0.8	$1.5	$2.3	$3.0	$3.8	$4.6	$4.6	$4.6	$4.6	$4.6	$4.6	$4.6	$4.6	$4.6		
Inflation Adj. 3.0%	**--**	**$0.8**	**$1.6**	**$2.5**	**$3.4**	**$4.4**	**$5.4**	**$5.6**	**$5.8**	**$5.9**	**$6.1**	**$6.3**	**$6.5**	**$6.7**	**$6.9**	**$5**	**$7**
Add 750 Graduates																	
New Students	--	0	100	200	300	345	390	435	480	525	570	615	660	705	750		
Tuition Discount (100%)	--	$0.0	$1.2	$2.5	$3.9	$4.6	$5.5	$6.3	$7.3	$8.3	$9.3	$10.5	$11.7	$13.0	$14.3		
Stipends																	
Total	--	$0.0	$1.5	$3.2	$4.9	$5.8	$6.8	$7.8	$8.9	$10.0	$11.2	$12.4	$13.7	$15.1	$16.5		
% on General Budget	--	33%	33%	33%	33%	33%	33%	33%	33%	33%	33%	33%	33%	33%	33%		
$ on General Budget	**--**	**$0.0**	**$0.5**	**$1.1**	**$1.6**	**$1.9**	**$2.3**	**$2.6**	**$3.0**	**$3.3**	**$3.7**	**$4.1**	**$4.6**	**$5.0**	**$5.5**		
Aid on General Budget		**$0.0**	**$1.7**	**$3.5**	**$5.5**	**$6.6**	**$7.7**	**$8.9**	**$10.2**	**$11.6**	**$13.0**	**$14.6**	**$16.2**	**$18.0**	**$19.9**	**$8**	**$20**
Sub-Total	**$24.9**	**$26.6**	**$30.2**	**$34.1**	**$38.1**	**$41.3**	**$44.7**	**$47.4**	**$50.2**	**$53.1**	**$56.2**	**$59.4**	**$62.8**	**$66.4**	**$70.2**		
Undergraduate																	
Tuition Growth Rate	--	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*	*4.0%*		
Base	$20.3	$21.1	$21.9	$22.8	$23.7	$24.7	$25.6	$26.7	$27.7	$28.8	$30.0	$31.2	$32.4	$33.7	$35.1	**$5**	**$15**
Discount Rate	--	$0.9	$1.9	$2.8	$3.7	$4.6	$5.6	$6.0	$6.4	$6.8	$7.3	$7.8	$8.3	$8.9	$9.5	**$6**	**$9**
Enrollment Growth	--	*235*	*408*	*671*	*1,035*	*1,440*	*1,882*	*2,361*	*2,870*	*3,400*	*3,946*	*4,502*	*5,065*	*5,631*	*6,200*		
Enrollment Growth Aid	--	$0.4	$0.8	$1.3	$2.0	$2.9	$3.8	$4.9	$6.1	$7.4	$8.7	$10.2	$11.7	$13.4	$15.2	**$4**	**$15**
Sub-Total	**$20.3**	**$22.4**	**$24.6**	**$26.9**	**$29.4**	**$32.2**	**$35.1**	**$37.6**	**$40.2**	**$43.0**	**$46.0**	**$49.2**	**$52.5**	**$56.0**	**$59.7**		
Undergrad. Tuition (exc. summer)	*$120*	*$128*	*$135*	*$143*	*$153*	*$164*	*$175*	*$188*	*$201*	*$215*	*$230*	*$246*	*$263*	*$280*	*$299*		
Discount Rate	*16.8%*	*17.6%*	*18.2%*	*18.8%*	*19.3%*	*19.7%*	*20.0%*	*20.0%*	*20.0%*	*20.0%*	*20.0%*	*20.0%*	*20.0%*	*20.0%*	*20.0%*		
Total	**$45.1**	**$49.1**	**$54.8**	**$60.9**	**$67.5**	**$73.5**	**$79.8**	**$85.0**	**$90.4**	**$96.2**	**$102.2**	**$108.6**	**$115.3**	**$122.4**	**$129.9**	**$35**	**$85**

Appendix G-6

PROJECTED SUPPORT SERVICES FOR NEW FACULTY
($ Millions)

																Variance	
	2006	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**	**2016**	**2017**	**2018**	**2019**	**2020**	**2012**	**2020**
Support Services																	
Salaries	$48.6																
Benefits	$13.5																
Non-Compensation	$30.5																
Total Budget	**$92.6**																
Number of Faculty	1,890																
Cost / Faculty ($000s)																	
Salary Growth Rate	--	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*	*3.0%*		
Salaries	$25.7	$26.5	$27.3	$28.1	$28.9	$29.8	$30.7	$31.6	$32.6	$33.6	$34.6	$35.6	$36.7	$37.8	$38.9		
Benefits Rate	*27.8%*	*29.1%*	*32.1%*	*33.5%*	*34.9%*	*34.9%*	*34.9%*	*34.9%*	*34.9%*	*34.9%*	*34.9%*	*34.9%*	*34.9%*	*34.9%*	*34.9%*		
Benefits	$7.1	$7.7	$8.8	$9.4	$10.1	$10.4	$10.7	$11.0	$11.4	$11.7	$12.1	$12.4	$12.8	$13.2	$13.6		
Operating Exp. Growth Rate	--	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*	*2.5%*		
Non-Compensation	$16.2	$16.6	$17.0	$17.4	$17.8	$18.3	$18.7	$19.2	$19.7	$20.2	$20.7	$21.2	$21.7	$22.3	$22.8		
Total	**$49.0**	**$50.8**	**$53.0**	**$54.9**	**$56.9**	**$58.5**	**$60.2**	**$61.9**	**$63.6**	**$65.4**	**$67.3**	**$69.2**	**$71.2**	**$73.2**	**$75.3**		
New Faculty (cumulative)		27	54	82	123	168	213	260	307	358	414	468	522	576	625		
Additional Funding Required																	
Salaries		$0.7	$1.5	$2.3	$3.6	$5.0	$6.5	$8.2	$10.0	$12.0	$14.3	$16.7	$19.1	$21.8	$24.3		
Benefits		$0.2	$0.5	$0.8	$1.2	$1.7	$2.3	$2.9	$3.5	$4.2	$5.0	$5.8	$6.7	$7.6	$8.5		
Non-Compensation		$0.4	$0.9	$1.4	$2.2	$3.1	$4.0	$5.0	$6.0	$7.2	$8.6	$9.9	$11.3	$12.8	$14.3		
Total		**$1.4**	**$2.9**	**$4.5**	**$7.0**	**$9.8**	**$12.8**	**$16.1**	**$19.5**	**$23.4**	**$27.9**	**$32.4**	**$37.2**	**$42.2**	**$47.1**	**$13**	**$47**

Appendix G-7

FACILITY NEEDS

	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	Cumulative 2012	Cumulative 2020
Classrooms / Labs																	
ASF Needed																	
CPE Deficit (000's)		64															
ASF Need for Growth																	
New Students		508	0	362	464	450	488	524	554	575	591	600	609	611	613	2,272	6,950
ASF Need per Student (CPE guidelines)																	
Classrooms		10	10	10	10	10	10	10	10	10	10	10	10	10	10		
Teaching Labs		8	8	8	8	8	8	8	8	8	8	8	8	8	8		
Open Labs		8	8	8	8	8	8	8	8	8	8	8	8	8	8		
Total		**26**	**26**	**26**	**26**	**26**	**26**	**26**	**26**	**26**	**26**	**26**	**26**	**26**	**26**		
ASF for Growth (000's)		**13**	**0**	**9**	**12**	**12**	**13**	**14**	**14**	**15**	**15**	**16**	**16**	**16**	**16**		
Total ASF (000's)	**0**	**77**	**0**	**9**	**12**	**12**	**13**	**14**	**14**	**15**	**15**	**16**	**16**	**16**	**16**	**123**	**245**
Cost																	
ASF / 0.65 = GSF	0	119	0	14	19	18	20	21	22	23	24	24	24	24	25		
Cost / GSF (full-scope)	$333	$342	$353	$363	$374	$385	$397	$409	$421	$434	$447	$460	$474	$488	$503		
Total Cost ($Ms)	**$0**	**$41**	**$0**	**$5**	**$7**	**$7**	**$8**	**$9**	**$9**	**$10**	**$11**	**$11**	**$12**	**$12**	**$12**	**$68**	**$153**
Research																	
ASF Needed																	
CPE Deficit (000's)		127		438													
ASF Need for Growth																	
Research Volume																	
Nominal ($Ms)	335	355	377	399	423	449	476	505	537	570	605	642	682	723	768		
Inflation Factor	1.06	1.09	1.13	1.16	1.19	1.23	1.27	1.30	1.34	1.38	1.43	1.47	1.51	1.56	1.60		
Real ($Ms)	316	325	335	344	355	365	376	387	399	412	424	437	451	464	479		
Increment				10	10	10	11	12	12	12	13	13	13	14	14		
CPE ASF Guideline per $100k Research				350	350	350	350	350	350	350	350	350	350	350	350		
ASF Needed for Grouwth (000's)				**35**	**36**	**37**	**38**	**40**	**42**	**43**	**44**	**46**	**47**	**48**	**50**		
Total ASF (000's)		**127**	**0**	**473**	**36**	**37**	**38**	**40**	**42**	**43**	**44**	**46**	**47**	**48**	**50**	**710**	**1,070**
Cost																	
ASF / 0.60 = GSF		212	0	788	59	61	63	67	69	71	74	76	78	81	83		
Cost / GSF (full-scope)	$400	$412	$424	$437	$450	$464	$478	$492	$507	$522	$538	$554	$570	$587	$605		
Total Cost ($Ms)		**$88**	**$0**	**$344**	**$27**	**$28**	**$30**	**$33**	**$35**	**$37**	**$40**	**$42**	**$45**	**$47**	**$50**	**$517**	**$846**

Appendix G-7

FACILITY NEEDS

	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	Cumulative 2012	Cumulative 2020
Recreation																	
ASF Needed																	
CPE Deficit (000's)				129													
ASF Need for Growth																	
New Undergraduates																	
FTE		0	0	671	364	405	443	479	509	530	546	555	564	566	568	1,882	6,200
CPE Guideline/FTE		12	12	12	12	12	12	12	12	12	12	12	12	12	12		
ASF Need (000's)		0	0	8	4	5	5	6	6	6	7	7	7	7	7		
New Graduates																	
FTE		0	0	200	100	45	45	45	45	45	45	45	45	45	45	390	750
CPE Guideline/FTE		3	3	3	3	3	3	3	3	3	3	3	3	3	3		
ASF Need (000's)		0	0	1	0	0	0	0	0	0	0	0	0	0	0		
New Staff																	
FTE (1 per 5 student fte)		0	0	174	93	90	98	105	111	115	118	120	122	122	123	454	1,390
CPE Guideline/FTE		2	2	2	2	2	2	2	2	2	2	2	2	2	2		
ASF Need (000's)		0	0	0	0	0	0	0	0	0	0	0	0	0	0		
ASF for Growth (000's)		**0**	**0**	**9**	**5**	**5**	**6**	**6**	**6**	**7**	**7**	**7**	**7**	**7**	**7**	**25**	**80**
Total ASF (000's)	**0**	**0**	**0**	**138**	**5**	**5**	**6**	**6**	**6**	**7**	**7**	**7**	**7**	**7**	**7**	**153**	**209**
Cost																	
ASF / 0.75 = GSF	0	0	0	184	7	7	8	8	9	9	9	9	10	10	10		
Cost / GSF (full-scope)	$250	$258	$265	$273	$281	$290	$299	$307	$317	$326	$336	$346	$356	$367	$378		
Total Cost ($Ms)	**$0**	**$0**	**$0**	**$50**	**$2**	**$2**	**$2**	**$3**	**$3**	**$3**	**$3**	**$3**	**$3**	**$4**	**$4**	**$56**	**$81**
Support																	
ASF Need for Growth																	
New Faculty		0	0	82	41	45	45	47	47	51	56	54	54	54	49	213	625
Office Guideline (per faculty)		195	195	195	195	195	195	195	195	195	195	195	195	195	195		
New Students		0	0	871	464	450	488	524	554	575	591	600	609	611	613	2,272	6,950
General Guideline (per student)		21	21	21	21	21	21	21	21	21	21	21	21	21	21		
Total ASF (000's)		**0**	**0**	**34**	**18**	**18**	**19**	**20**	**21**	**22**	**23**	**23**	**23**	**23**	**22**	**89**	**268**
Cost																	
ASF / 0.65 = GSF		0	0	53	27	28	29	31	32	34	36	36	36	36	35		
Cost / GSF (full-scope)	$250	$258	$265	$273	$281	$290	$299	$307	$317	$326	$336	$346	$356	$367	$378		
Total Cost ($Ms)		**$0**	**$0**	**$14**	**$8**	**$8**	**$9**	**$10**	**$10**	**$11**	**$12**	**$12**	**$13**	**$13**	**$13**	**$39**	**$133**

Appendix G-7

FACILITY NEEDS

	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	Cumulative 2012	Cumulative 2020
Residence Hall																	
New Undergraduates		0	0	671	364	405	443	479	509	530	546	555	564	566	568	1,882	6,200
New Beds for 30% Students		0	0	201	109	121	133	144	153	159	164	167	169	170	171	565	1,860
Cost per Bed ($000's)	$72	$74	$76	$79	$81	$83	$86	$89	$91	$94	$97	$100	$103	$106	$109		
Cost ($Ms)		**$0**	**$0**	**$16**	**$9**	**$10**	**$11**	**$13**	**$14**	**$15**	**$16**	**$17**	**$17**	**$18**	**$19**	**$46**	**$174**
Renovation		$7		$59		$18	$46		$49		$23	$24		$26	$26	$130	$278
Total Cost ($Ms)		**$7**	**$0**	**$75**	**$9**	**$28**	**$58**	**$13**	**$63**	**$15**	**$39**	**$41**	**$17**	**$43**	**$45**	**$176**	**$452**
Financial Need ($Ms)																	
New Construction																	
Cost	$0	$135	$0	$489	$52	$73	$107	$66	$121	$76	$104	$109	$90	$119	$124	$856	$1,666
Less Residence Hall	$0	($7)	$0	($75)	($9)	($28)	($58)	($13)	($63)	($15)	($39)	($41)	($17)	($43)	($45)	($176)	($452)
Less Facilities Gifts	$0	($2)	($9)	($1)	($1)	($1)	($2)	($3)	($3)	($3)	($3)	($3)	($2)	($3)	($3)	($17)	($39)
Debt Issued	$0	$126	($9)	$413	$42	$44	$47	$51	$55	$58	$62	$65	$70	$73	$77	$663	$1,174
Debt Service *(5%, 20yr)*	**$0**	**$0**	**$10**	**$9**	**$43**	**$46**	**$49**	**$53**	**$57**	**$62**	**$66**	**$71**	**$77**	**$82**	**$88**	**$49**	**$88**
Operating Expenses																	
Research ASF	0	127	0	473	36	37	38	40	42	43	44	46	47	48	50		
Cost per ASF	$7	$7	$7	$8	$8	$8	$8	$9	$9	$9	$9	$10	$10	$10	$11		
Other ASF (x Residence)	0	77	0	181	35	35	37	40	42	44	46	46	46	46	46		
Cost per ASF	$4	$4	$4	$4	$5	$5	$5	$5	$5	$5	$5	$6	$6	$6	$6		
Sub-Total (cumulative)	**$0**	**$0**	**$1**	**$1**	**$6**	**$6**	**$7**	**$8**	**$8**	**$9**	**$10**	**$11**	**$12**	**$13**	**$14**		
Faculty Leases																	
Number of Faculty	0	27	54	82	123	168	213	260	307	358	414	468	522	576	625		
ASF per Faculty	195	195	195	195	195	195	195	195	195	195	195	195	195	195	195		
Lease per ASF	$17	$18	$18	$19	$19	$20	$20	$21	$22	$22	$23	$24	$24	$25	$26		
Total (cumulative)	**$0**	**$0**	**$0**	**$0**	**$0**	**$1**	**$1**	**$1**	**$1**	**$1**	**$1**	**$1**	**$1**	**$1**	**$1**		
Total (cumulative)	**$0**	**$0**	**$1**	**$2**	**$6**	**$7**	**$8**	**$8**	**$9**	**$10**	**$11**	**$12**	**$13**	**$14**	**$16**	**$8**	**$16**
Restoration (2%, x Residence)	$0	$0	$3	$3	$11	$12	$13	$15	$16	$18	$20	$22	$24	$26	$28	$13	$28
Total	**$0**	**$0**	**$14**	**$14**	**$60**	**$65**	**$70**	**$76**	**$83**	**$90**	**$97**	**$105**	**$113**	**$122**	**$132**	**$70**	**$132**

Appendix G-8

PROJECTED RESEARCH EXPENDITURES REPORTED TO NSF
($ Millions)

	Actual			Projection			Annual Growth Rates '04-'12			Annual Growth Rates '12-'20		
	2002	2003	2004	... 2012	...	2020	Base	New Faculty [1]	Total	Base	New Faculty [1]	Total
Federal	100	120	130	254		437	6.8%	1.9%	8.7%	4.5%	2.5%	7.0%
CPE Goals	--	*100*	*114*	--		*414*						
Gov't / Industry	48	49	52	76		131			5.0%			7.0%
Other	14	18	22	35		60			6.0%			7.0%
Sub-Total	**162**	**187**	**203**	**365**		**627**			**7.6%**			**7.0%**
CPE Goals	--	*174*	*190*	--		*600*						
Institutional	74	85	94	111		141			2.0%			3.0%
Total	**236**	**272**	**298**	**476**		**768**	**4.7%**	**1.3%**	**6.0%**	**4.1%**	**2.1%**	**6.2%**
New Faculty (cumulative)												
Instructional				*163*		*500*						
Medicine and Professional Schools				*50*		*125*						

[1] Assumes new faculty split research 70% federal and 30% non-federal.

FCR 12

Office of the President
December 13, 2005

Members, Board of Trustees:

ACCEPTANCE OF INTERIM FINANCIAL REPORT FOR THE UNIVERSITY OF KENTUCKY FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2005

Recommendation: that the Board of Trustees accept the University of Kentucky consolidated financial report for the three months ended September 30, 2005.

Background: The consolidated financial report includes the financial activities of the University of Kentucky and its affiliated corporations, consisting of the University of Kentucky Research Foundation, The Fund for Advancement of Education and Research in the University of Kentucky Medical Center, University of Kentucky Athletic Association, University of Kentucky Mining Engineering Foundation, University of Kentucky Business Partnership Foundation, University of Kentucky Humanities Foundation, University of Kentucky Equine Research Foundation, University of Kentucky Center on Aging Foundation, and Central Kentucky Management Services.

As of September 30, 2005, the university had realized income of $509,254,000 representing 31 percent of the 2005-06 estimate of $1,664,963,000. Expenditures and commitments total $432,249,000 or 26 percent of the approved budget of $1,664,963,000.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____



Consolidated Financial Statements

For the three months ended September 30, 2005

CONSOLIDATED BALANCE SHEET
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
SEPTEMBER 30, 2005
with comparative totals for September 30, 2004
(in thousands)

	2005-06						2004-05
	Current Unrestricted Funds	Current Restricted Funds	Loan Funds	Endowment Funds	Plant Funds	Totals	Totals
ASSETS							
Cash and cash equivalents	$ 158,859	$ 12,420	$ 6,142	$ 384	$ 274,777	$ 452,582	$ 402,113
Notes, loans, and A/R (less bad debt allowances of $24,618)	97,575	42,750	24,865	1,000	90	166,280	154,965
Investments	54,822	104,016		579,539	58,489	796,866	721,547
Property, plant, and equipment, net of depreciation					1,035,425	1,035,425	976,681
Inventories and other	23,406	119				23,525	18,384
Total Assets	$ 334,662	$ 159,305	$ 31,007	$ 580,923	$ 1,368,781	$ 2,474,678	$ 2,273,690
LIABILITIES AND FUND BALANCES							
Liabilities							
Accounts payable	$ 39,555	$ 261	$ 517			$ 40,333	$ 48,119
Employee withholdings and deposits		26,005				26,005	16,218
Other liabilities	7,873	537	21,840	$ 5,754	$ 2,119	38,123	38,481
Liability for self insurance	63,031					63,031	53,918
Deferred income	26,295	20,862				47,157	46,299
Bonds payable					271,530	271,530	277,890
Capitalized lease obligation					66,077	66,077	43,086
Total Liabilities	136,754	47,665	22,357	5,754	339,726	552,256	524,011
Interfund Balances	(53,090)	39,503		14,587	(1,000)		
Net deferred revenues and appropriated fund balances	74,827	2,178				77,005	79,052
Fund Balances							
Current unrestricted							
Working capital	163,699					163,699	119,452
Future operating purposes	4,499					4,499	6,509
Other	7,973					7,973	-
Current restricted		69,959				69,959	63,253
Loan			8,650			8,650	8,371
True endowments				488,327		488,327	415,069
Term endowments				3,152		3,152	2,947
Quasi endowments				66,237		66,237	64,721
Charitable trusts				2,292		2,292	1,778
Gift annuities				574		574	409
Plant							
Retirement of indebtedness					22,729	22,729	23,501
Renewal and replacement					187,742	187,742	173,530
Allocated for designated projects					80,295	80,295	66,868
Net investment in plant					739,289	739,289	724,219
Total Fund Balances	176,171	69,959	8,650	560,582	1,030,055	1,845,417	1,670,627
Total Liabilities and Fund Balances	$ 334,662	$ 159,305	$ 31,007	$ 580,923	$ 1,368,781	$ 2,474,678	$ 2,273,690

CONSOLIDATED STATEMENT OF CURRENT FUNDS REVENUES AND APPROPRIATED FUND BALANCES
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2005
with comparative totals for September 30, 2004
(in thousands)

		2005-06				2004-05	
		Original Budget	Revised Budget	Realized To Date	%	Realized To Date	%
	General Fund						
(1)	State appropriations	$ 314,303	$ 314,303	$ 94,290	30	$ 83,785	28
(2)	Student fees	193,518	193,523	97,799	51	87,003	51
(3)	County appropriations	12,024	12,024	2,765	23	2,239	19
(4)	Endowment and investment income	7,542	7,542	2,050	27	1,507	40
(5)	Non governmental grants and contracts	89,703	89,754	22,232	25	17,751	20
(6)	Grants, donations, pledges						
	Affiliated corporations	25,023	25,023	5,827	23	5,848	24
	Other	1,521	1,606	226	14	336	21
(7)	Sales and services	20,956	20,920	7,406	35	7,107	33
(8)	Transfers	18,045	18,045	1,445	8	1,529	11
(9)	Fund balance	27,057	27,057	27,057	100	27,018	100
(10)	Total General Fund	709,692	709,797	261,097	37	234,123	35
(11)	**Auxiliary Enterprises**	65,676	65,676	16,972	26	16,867	29
	Restricted Funds						
(12)	Federal appropriations	15,357	15,357	4,598	30	4,464	28
(13)	Other	93,928	93,928	22,782	24	24,485	28
(14)	**Affiliated Corporations**	314,145	314,145	78,592	25	69,413	24
(15)	**Hospital**						
	Revenues	466,060	466,060	125,213	27	104,971	29
(16)	Fund balance						
(17)	Total Revenues and Appropriated Fund Balances	$ 1,664,858	$ 1,664,963	$ 509,254	31	$ 454,323	31

CONSOLIDATED STATEMENT OF CURRENT FUNDS EXPENDITURE SUMMARY BY PROGRAM - ALL FUNDS
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2005
with comparative totals for September 30, 2004
(in thousands)

	2005-06				2004-05	
	Original Budget	Revised Budget	Expended To Date	%	Expended To Date	%
(1) Instruction	$ 267,916	$ 266,145	$ 58,270	22	$ 55,283	20
(2) Research	275,050	274,752	56,845	21	50,927	20
(3) Public service	196,417	194,518	48,869	25	43,448	23
(4) Academic support	87,776	89,979	21,786	24	17,042	22
(5) Student services	21,397	21,520	5,324	25	4,748	23
(6) Institutional support	78,340	79,540	18,351	23	19,838	34
(7) Student financial aid	77,859	77,776	37,887	49	37,067	57
(8) Operation and maintenance	49,836	50,466	8,646	17	8,406	18
(9) Mandatory transfers (debt service)	19,863	19,863	17,751	89	17,205	92
(10) Hospital	468,148	468,148	128,508	27	92,155	25
(11) Auxiliary enterprises	122,256	122,256	30,011	25	29,152	27
(12) Total Expenditure by Program	$ 1,664,858	$ 1,664,963	$ 432,249	26	$ 375,271	26

EXPENDITURE SUMMARY BY CATEGORY OF EXPENDITURE
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2005
with comparative totals for September 30, 2004
(in thousands)

	2005-06				2004-05	
	Original Budget	Revised Budget	Expended To Date	%	Expended To Date	%
(13) Personnel costs	$ 897,696	$ 901,668	$ 228,939	25	$ 192,247	23
(14) Operating expenses	678,887	673,774	175,437	26	151,067	27
(15) Mandatory transfers (debt service)	33,025	33,025	19,518	59	19,276	64
(16) Capital outlay	55,250	56,496	8,355	15	12,681	26
(17) Total Expenditure by Category	$ 1,664,858	$ 1,664,963	$ 432,249	26	$ 375,271	26

CONSOLIDATED SUMMARY OF NET DEFERRED REVENUES AND APPROPRIATED FUND BALANCES
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2005
with comparative totals for September 30, 2004
(in thousands)

		2005-06		2004-05
(1)	**Realized Revenues**		$ 482,196	$ 427,305
	Appropriated Fund Balances			
(2)	Current Unrestricted Fund	$ 27,057		27,018
(3)	University Hospital			
(4)	Total Appropriated Fund Balances		27,057	27,018
(5)	Total Revenues and Appropriated Fund Balances		509,254	454,323
(6)	**Expenditures**		432,249	375,271
(7)	**Net Deferred Revenues and Appropriated Fund Balances**		77,005	79,052

FCR 13

Office of the President
December 13, 2005

Members, Board of Trustees:

AUTHORIZATION TO ACQUIRE PROPERTY FOR
BIO-MEDICAL RESEARCH BUILDING SITE

Recommendation: that the Board of Trustees, acting pursuant to its statutory authority as stated in Section 164.260 of the Kentucky Revised Statutes and the Eminent Domain Act of Kentucky, authorize and direct the acquisition through condemnation proceedings of the parking lot (for the Royal Lexington Apartments) at 128-136 Virginia Avenue, Lexington, Kentucky.

Background: This property is essential to the future construction of the Bio-Medical Research Building (otherwise known as the BBSRB #2 project). The Council on Postsecondary Education requested $7.6 million of state General Funds for the design of the facility as part of its 2006-08 Capital Request to the Governor and the 2006 General Assembly. University officials have attempted in good faith to acquire this property from the owner.

In addition, the university has obtained at least two appraisals of the property and indicated to the owner that the university could not pay more than the appraised fair market value. Despite the fact that the university has made a good faith offer to the owner, the university has been unsuccessful in contracting for a voluntary sale. The statute [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."

The owner was told that if the university could not contract for the property by November 15, 2005, the Board would be requested to authorize condemnation. Accordingly, in view of the fact that this property is crucial to this project and the proposed schedule for construction, the university administration feels the need to proceed with condemnation.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

FCR 14

Office of the President
December 13, 2005

Members, Board of Trustees:

2005-06 BUDGET REVISIONS

Recommendation: that the Board of Trustees authorize and approve the following revisions to the 2005-06 budget. The budget revisions outlined below will increase the University of Kentucky's total budget by $25,928,900 – from $1,664,963,200 to $1,690,892,100.

	Approved Budget	Revised Budget	Change
GENERAL FUND			
1. Income Estimates			
Tuition and Fees			
Noncredit	$10,712,900	$10,666,900	$(46,000)
County Appropriations	12,024,000	12,734,400	710,400
Transfers			
The Medical Center Fund for Advancement of Education and Research	7,661,800	7,861,800	200,000
Fund Balances	27,057,300	52,121,800	25,064,500
			$25,928,900
2. Expenditures			
Provost			
Agricultural Cooperative Extension Service			
Field Programs	31,779,200	32,452,800	$673,600
Family and Consumer Science Programs	1,001,100	1,037,900	36,800
Gatton College of Business and Economics			
International Business and Management Center	292,000	231,000	(61,000)
College of Dentistry			
Fund Salary Supplement	1,950,000	2,150,000	200,000
Patient Care Education Support	11,900	26,900	15,000
University Wide			
Nonrecurring Programs			
Fund Balance	24,848,700	49,913,200	25,064,500
			$25,928,900

3. Comments

The net $46,000 decrease in noncredit fees reflects a $61,000 reduction in the expected revenues from leadership programs hosted by the International Business and Management Center in the Gatton College of Business and Economics and a $15,000 increase from a new offering of CPR classes in the College of Dentistry.

The $710,400 increase in county appropriations will support field and family and consumer programs in the Agricultural Cooperative Extension Service.

The $200,000 increase in the Medical Center Fund for Advancement of Education and Research will provide salary supplement payments to faculty as a result of an increase in clinical production in the College of Dentistry.

The 2005-06 operating budget approved by the Board of Trustees included a projected fund balance of $24,848,700. The actual fund balances were significantly higher as a result of unspent funds in various reserve accounts and actual tuition revenue in excess of budget. Additional expenditure authority of $25,064,500 is requested to fully recognize the funds available.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

FCR 15

Office of the President
December 13, 2005

Members, Board of Trustees:

UNIVERSITY OF KENTUCKY
2006-08 CAPITAL REQUEST
STATUS REPORT

Recommendation: that the Board of Trustees accept the 2006-08 Capital Request Status Report and that the Board authorize the President to amend the request, as necessary, during the 2006 Session of the Kentucky General Assembly.

Background: Pursuant to the university's Administrative Regulation II-1.4-1, a status report on the biennial capital request is to be provided to the Board prior to the beginning of the budgetary session of the General Assembly. The Council on Postsecondary Education (CPE) approved its 2006-08 capital project recommendations on November 7, 2005. The capital request recommended by CPE for the university to be authorized by the 2006 General Assembly is attached. The request includes 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. CPE has recommended the following state-funded and agency bonded projects:

Construct Biological/Pharmaceutical Complex, Phase I	
State Bonds	$79,892,000
Construct Gatton Building Complex, Phase I	
State Bonds	$40,453,000
Private Gifts	38,837,000
Total	$79,290,000
Construct Bio-Medical Research Building – Design	
State General Funds	$7,600,000
Construct Patient Care Facility, Phase II	
Agency Bonds	$150,000,000
Agency Funds	25,000,000
Total	$175,000,000

Renovate Blazer Hall Cafeteria	
Agency Bonds	$3,010,000
Install HVAC in Keeneland Hall	
Agency Bonds	$7,013,000
Renovate Student Center Food Court	
Agency Bonds	$1,643,000
Renovate K-Lair Building	
Agency Bonds	$4,650,000

Pursuant to the administrative regulation, capital projects authorized by the General Assembly must be approved by the Board of Trustees prior to initiation.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

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 - Phase I	79,290,000	-	40,453,000	-	-	-	38,837,000
4	Construct Law School Building -Design	20,920,000	-	-	6,000,000	-	-	14,920,000
5	Construct Bio-Medical Research Building - Design	7,600,000	7,600,000	-	-	-	-	-
6	Construct Medicine/Dentistry Building - Design	14,000,000	-	-	14,000,000	-	-	-
7	Construct Digital Technologies Building - Design	10,610,000	-	-	4,200,000	-	-	6,410,000
8	Expand Chemistry Physics Building - Design	5,000,000	-	-	5,000,000	-	-	-
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 Pence Hall	4,300,000	-	-	-	-	-	4,300,000
15	Renovate Blazer Hall Cafeteria	3,010,000	-	-	-	3,010,000	-	-
16	Renovate Sections of Funkhouser	3,000,000	-	-	3,000,000	-	-	-
17	Install HVAC in Keeneland Hall	7,013,000	-	-	-	7,013,000	-	-
18	Construct Track and Field Facility	7,139,000	-	-	-	-	-	7,139,000
19	Construct Hagan Baseball Stadium Clubhouse	4,000,000	-	-	-	-	-	4,000,000
20	Renovate Façade - Agriculture Building North	6,100,000	-	-	6,100,000	-	-	-
21	Upgrade Pharm. Fume Hoods I - Life Safety	5,040,000	-	-	5,040,000	-	-	-
22	Renovate 3rd Floor Little Library	2,500,000	-	-	2,500,000	-	-	-
23	Renovate Lab for Coating and Surface Inspection	8,000,000	-	-	8,000,000	-	-	-
24	Upgrade Elevator Controls in Nursing Building	740,000	-	-	740,000	-	-	-
25	Upgrade Fume Hoods TH Morgan - Life Safety	3,188,000	-	-	3,188,000	-	-	-
26	Upgrade HVAC - CAER Ph. III - Life Safety	910,000	-	-	910,000	-	-	-
27	Improve IAQ - Phase I - Life Safety	500,000	-	-	500,000	-	-	-
28	Abate Asbestos LC II - Life Safety	500,000	-	-	500,000	-	-	-
29	Renovate Student Center Food Court	1,643,000	-	-	-	1,643,000	-	-
30	Renovate K-Lair Building	4,650,000	-	-	-	4,650,000	-	-

Priority	Title	Scope	Proposed Fund Source					
			State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
31	Renovate SECAT Building at Coldstream	2,000,000	-	-	2,000,000	-	-	-
32	Renovate PSC Building	750,000	-	-	750,000	-	-	-
33	Renovate COM Administrative Offices	1,200,000	-	-	1,200,000	-	-	-
34	Renovate-Expand Boone Faculty Center	6,200,000	-	-	-	-	-	6,200,000
35	Purchase Furn./Equip. - Patient Care Fac.	27,000,000	-	-	27,000,000	-	-	-
36	Construct University Student Center - Design	5,000,000	-	-	5,000,000	-	-	-
37	Construct University Press Facility	2,950,000	-	-	2,950,000	-	-	-
38	Lease/Purchase ERP System - Phase II	20,000,000	-	-	20,000,000	-	-	-
39	Seal/Waterproof Commonwealth Stadium Concrete	2,500,000	-	-	-	-	-	2,500,000
40	Install Scoreboards Memorial Col./Hagan Stadium	1,500,000	-	-	-	-	-	1,500,000
41	Improve Accessibility Project Pool	437,000	-	-	437,000	-	-	-
42	Purchase Pharmaceutical Analysis System	200,000	-	-	200,000	-	-	-
43	Expand Kastle Hall Vivarium	4,505,000	-	-	4,505,000	-	-	-
44	Extend Virginia Avenue	4,000,000	-	-	4,000,000	-	-	-
45	Purchase PET Scanner	1,500,000	-	-	1,500,000	-	-	-
46	Upgrade the Vivarium in Sanders Brown Building	6,720,000	-	-	3,360,000	-	3,360,000	-
47	Lease Purchase High Performance Research Computing	6,500,000	-	-	6,500,000	-	-	-
48	Expand Cancer Infusion Suites	1,964,000	-	-	1,964,000	-	-	-
49	Replace Memorial Coliseum Playing Surface	725,000	-	-	-	-	-	725,000
50	Renovate King Library South - 1930 Section - Design	1,400,000	-	-	1,400,000	-	-	-
51	Renovate DLAR Quarantine Facility at Spindletop	2,720,000	-	-	2,720,000	-	-	-
52	Expand/Renovate Art Museum in Singletary Center -Design	1,900,000	-	-	1,900,000	-	-	-
53	Expand Ophthalmology Clinic	3,100,000	-	-	3,100,000	-	-	-
54	Paint Commonwealth Stadium Steel	750,000	-	-	-	-	-	750,000
55	Renovate Labs in Pharmacy Building	4,000,000	-	-	2,000,000	-	2,000,000	-
56	Expand KGS Well Sample & Core Repository	4,310,000	-	-	4,310,000	-	-	-
57	Lease Purchase Large Scale Computing	3,500,000	-	-	3,500,000	-	-	-
58	Expand Outpatient Radiology	2,000,000	-	-	2,000,000	-	-	-
59	Renovate Soccer/Softball Facilities	1,400,000	-	-	-	-	-	1,400,000
60	Renovate Practice Instruction Space in Pharmacy	4,310,000	-	-	3,310,000	-	-	1,000,000
61	Upgrade Pilot-scale Mineral Processing Facility	600,000	-	-	600,000	-	-	-
62	Lease Purchase Enterprise Storage System	1,200,000	-	-	1,200,000	-	-	-
63	Renovate Hospital Nursing Units	2,000,000	-	-	2,000,000	-	-	-

Priority	Title	Scope	Proposed Fund Source					
			State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
64	Renovate Outpatient Clinic in Kentucky Clinic	2,930,000	-	-	2,930,000	-	-	-
65	Expand CAER Laboratories	4,450,000	-	-	4,450,000	-	-	-
66	Lease Purchase UPS System	941,000	-	-	941,000	-	-	-
67	Renovate Hospital Cafeteria	631,000	-	-	631,000	-	-	-
68	Renovate Memorial Coliseum	4,731,000	-	-	-	-	-	4,731,000
69	Renov. Graduate Edu. & Research Space in Nursing	1,700,000	-	-	1,700,000	-	-	-
70	Purchase Hydrocarbon Analysis System	120,000	-	-	120,000	-	-	-
71	Lease Purchase Campus Infrastructure Upgrade	3,500,000	-	-	3,500,000	-	-	-
72	Fit Up Gill Bldg. Ground Floor	1,250,000	-	-	1,250,000	-	-	-
73	Construct Commonwealth Stadium Suite Addition	2,300,000	-	-	-	-	-	2,300,000
74	Renovate Koinonia House	2,715,000	-	-	2,715,000	-	-	-
75	Lab Security Systems Project Pool	500,000	-	-	500,000	-	-	-
76	Upgrade Clinical Services	2,000,000	-	-	2,000,000	-	-	-
77	Construct Horticulture Research & Ed. Facilities	1,600,000	-	-	1,600,000	-	-	-
78	Purchase High Res. Optical Microscope	110,000	-	-	110,000	-	-	-
79	Install Emergency Generator Computing Facility	500,000	-	-	500,000	-	-	-
80	Upgrade Outpatient Services	2,000,000	-	-	2,000,000	-	-	-
81	Renovate Bowman Hall - Design	1,000,000	-	-	1,000,000	-	-	-
82	Purchase Environmental Scanning Probe Microscope	480,000	-	-	480,000	-	-	-
83	Acquire Land	15,000,000	-	-	15,000,000	-	-	-
84	Upgrade Hospital Data Network	826,000	-	-	826,000	-	-	-
85	Renovate Reynolds Building - Design	1,000,000	-	-	1,000,000	-	-	-
86	Purchase Laser Ablation Sampling Sys.	200,000	-	-	200,000	-	-	-
87	Replace Air Handling Units Central Computing Fac	600,000	-	-	600,000	-	-	-
88	Replace Hospital Mainframe Computer	800,000	-	-	800,000	-	-	-
89	Purchase Pharmaceutical Development Instrument	183,000	-	-	183,000	-	-	-
90	Purchase FTIR Microscope with mapping	105,000	-	-	105,000	-	-	-
91	Construct New Housing - Design	2,000,000	-	-	2,000,000	-	-	-
92	Expand Hospital Data Storage	600,000	-	-	600,000	-	-	-
93	Purchase Common Romm Package	250,000	-	-	250,000	-	-	-
94	Purchase Hi-resolution FTIR Imaging System	160,000	-	-	160,000	-	-	-
95	Lease Purchase Data Warehouse	600,000	-	-	600,000	-	-	-
96	Expand Kentucky Clinic Network	800,000	-	-	800,000	-	-	-
97	Renovate Taylor Education Building - Design	2,000,000	-	-	2,000,000	-	-	-
98	Purchase ESCA-X-ray Photoelectron Micro.	400,000	-	-	400,000	-	-	-

Priority	Title	Scope	Proposed Fund Source					
			State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
99	Construct Parking Structure - Central Campus - Design	1,000,000	-	-	1,000,000	-	-	-
100	Purchase Open MRI Unit	800,000	-	-	800,000	-	-	-
101	Purchase MRI Equipment	2,000,000	-	-	2,000,000	-	-	-
102	Construct Parking Structure - North Campus - Design	1,000,000	-	-	1,000,000	-	-	-
103	Install Fetal Monitoring Information System	1,200,000	-	-	1,200,000	-	-	-
104	Purchase Microscope	165,000	-	-	165,000	-	-	-
105	Lease Purchase Tape Library	500,000	-	-	500,000	-	-	-
106	Implement Medication Bar Coding System	1,750,000	-	-	1,750,000	-	-	-
107	Construct New Alumni Center	17,344,000	-	-	-	-	-	17,344,000
108	Upgrade PACS System	2,000,000	-	-	2,000,000	-	-	-
109	Purchase Upgraded Integrated Library System	700,000	-	-	700,000	-	-	-
110	Renovate Central Computing Facility	2,811,000	-	-	2,811,000	-	-	-
111	Replace Radiology Information System (QuadRIS replacement)	2,000,000	-	-	2,000,000	-	-	-
112	Expand Animal Science Research Center - Phase II - Design	2,200,000	-	-	2,200,000	-	-	-
113	Lease Purchase Fire Suppression Upgrade	1,000,000	-	-	1,000,000	-	-	-
114	Implement On-Site Digital Radiology Archive	700,000	-	-	700,000	-	-	-
115	Renovate Slone Building - Design	1,000,000	-	-	1,000,000	-	-	-
116	Purchase Police Communications Equipment	600,000	-	-	600,000	-	-	-
117	Implement PACS System in Hospital O.R.	800,000	-	-	800,000	-	-	-
118	Purchase Electron Spin Resonance Instr.	320,000	-	-	320,000	-	-	-
119	Lease Purchase Network Security Hardware	1,500,000	-	-	1,500,000	-	-	-
120	Implement Automated Bed Management System	1,000,000	-	-	1,000,000	-	-	-
121	Fit-Up Education Space in Health Science Bldg.	1,000,000	-	-	1,000,000	-	-	-
122	Replace Steam and Condensate Pipe	5,500,000	-	-	5,500,000	-	-	-
123	Upgrade Global Ventilation Controls - Hospital	3,000,000	-	-	3,000,000	-	-	-
124	Purchase High Res Transmission Electron Microscope	2,500,000	-	-	-	-	2,500,000	-
125	Lease Purchase Telephone Switch Convergence	12,000,000	-	-	12,000,000	-	-	-
126	Expand Surgical Services - Hospital	4,545,000	-	-	4,545,000	-	-	-
127	Purchase Digital Media Distribution System	186,000	-	-	186,000	-	-	-
128	Lease Purchase Unix Cluster	600,000	-	-	600,000	-	-	-
129	Purchase/Lease Ambulance	180,000	-	-	180,000	-	-	-
130	Purchase Studio Recording Equipment	113,000	-	-	113,000	-	-	-

Priority	Title	Scope	Proposed Fund Source					
			State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
131	Purchase Garbage Truck Front Loader	175,000	-	-	175,000	-	-	-
132	Create Universal Nursing Unit - Hospital	1,180,000	-	-	1,180,000	-	-	-
133	Renovate College of Public Health Building - Design	1,000,000	-	-	1,000,000	-	-	-
134	Lease Purchase Video Switch Expansion	250,000	-	-	250,000	-	-	-
135	Construct Facilities Support Bldg - Hospital	14,728,000	-	-	14,728,000	-	-	-
136	Purchase Scanning Electron Microscope	700,000	-	-	350,000	-	350,000	-
137	Replace Law Building Marble Facade	930,000	-	-	930,000	-	-	-
138	Purchase Angiography Unit	1,740,000	-	-	1,740,000	-	-	-
139	Purchase Integrated Imaging System	130,000	-	-	130,000	-	-	-
140	Replace Central Facilities Management System	3,500,000	-	-	3,500,000	-	-	-
141	Purchase Angiography Unit	1,276,000	-	-	1,276,000	-	-	-
142	Purchase DNA Microarray Facility	300,000	-	-	300,000	-	-	-
143	Replace Chemistry Physics Ductwork	2,200,000	-	-	2,200,000	-	-	-
144	Upgrade Outpt Surgical Suite - Hospital	2,500,000	-	-	2,500,000	-	-	-
145	Purchase Three Ultrasound Units	450,000	-	-	450,000	-	-	-
146	Replace Central Fire Alarm System	2,500,000	-	-	2,500,000	-	-	-
147	Purchase Gamma Knife	2,330,000	-	-	2,330,000	-	-	-
148	Purchase Focused Ion Beam Machine (FIB)	500,000	-	-	250,000	-	250,000	-
149	Improve Central Heating Plant	4,860,000	-	-	4,860,000	-	-	-
150	Modify Nursing Unit XI - Hospital	1,390,000	-	-	1,390,000	-	-	-
151	Purchase Network Infrastructure Restructuring	160,000	-	-	160,000	-	-	-
152	Purchase Cardiac Cath. Image Mgmt. Sys.	957,000	-	-	957,000	-	-	-
153	Construct Multi-Care Clinic Building - Design	2,200,000	-	-	2,200,000	-	-	-
154	Improve Storm Sewer Funkhouser	1,225,000	-	-	1,225,000	-	-	-
155	Modify Nursing Unit XII - Hospital	4,806,000	-	-	4,806,000	-	-	-
156	Purchase GIS Remote Sensing Teaching Lab	160,000	-	-	160,000	-	-	-
157	Install Chilled Water Pipe-Clg 2 to Pit	1,500,000	-	-	1,500,000	-	-	-
158	Purchase Radiation Therapy Unit Upgrade	400,000	-	-	400,000	-	-	-
159	Purchase 500 MHz NMR Spectrometers	1,000,000	-	-	1,000,000	-	-	-
160	Install Cooling Secondary Pumping	2,800,000	-	-	2,800,000	-	-	-
161	Construct Imaging Facility - Hospital	10,079,000	-	-	10,079,000	-	-	-
162	Purchase Automated DNA Sequencer	130,000	-	-	130,000	-	-	-
163	Replace Cooling Plant Chillers	6,000,000	-	-	6,000,000	-	-	-
164	Purchase Biplane Angiography	1,160,000	-	-	1,160,000	-	-	-
165	Purchase Redundant Disk Server System	170,000	-	-	170,000	-	-	-
166	Replace Master Clock and Bell System	1,750,000	-	-	1,750,000	-	-	-
167	Upgrade Cancer Ctr Radiologic Svcs - Hospital	6,000,000	-	-	6,000,000	-	-	-

Priority	Title	Scope	Proposed Fund Source					
			State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
168	Purchase High Resolution Laser System	350,000	-	-	350,000	-	-	-
169	Repair Concrete Phase I General Campus	750,000	-	-	750,000	-	-	-
170	Purchase Nuclear Medicine Camera	1,000,000	-	-	1,000,000	-	-	-
171	Renovate Imaging Center in Ky Clinic	4,590,000	-	-	4,590,000	-	-	-
172	Repair Blacktop Phase I General Campus	750,000	-	-	750,000	-	-	-
173	Construct Cancer Urgent Treatment Fac - Hospital	12,728,000	-	-	12,728,000	-	-	-
174	Purchase Confocal Microscope	250,000	-	-	250,000	-	-	-
175	Upgrade Electrical Substation	4,500,000	-	-	4,500,000	-	-	-
176	Purchase Epilepsy Monitoring System	500,000	-	-	500,000	-	-	-
177	Purchase Cryoprobe for a 600 MHz NMR	200,000	-	-	200,000	-	-	-
178	Install Chilled Water Pipe To South Campus	6,000,000	-	-	6,000,000	-	-	-
179	Upgrade Surgical Suite - Hospital	2,945,000	-	-	2,945,000	-	-	-
180	Purchase HPLC	145,000	-	-	145,000	-	-	-
181	Install Chilled Water Additions General Campus	1,100,000	-	-	1,100,000	-	-	-
182	Purchase Open MRI Unit	1,000,000	-	-	1,000,000	-	-	-
183	Purchase Facscan for Flow Cytometry	140,000	-	-	140,000	-	-	-
184	Replace High Voltage Wiring	775,000	-	-	775,000	-	-	-
185	Construct Radiation Medicine Facility - Hospital	6,069,000	-	-	6,069,000	-	-	-
186	Purchase Fluorescent Cell Sorter	200,000	-	-	200,000	-	-	-
187	Replace McVey Hall HVAC	3,520,000	-	-	3,520,000	-	-	-
188	Purchase Radiology Information System	800,000	-	-	800,000	-	-	-
189	Purchase Laser Photoelectron System	280,000	-	-	280,000	-	-	-
190	Replace Mathews Building HVAC	1,438,000	-	-	1,438,000	-	-	-
191	Upgrade Transport Systems V - Hospital	800,000	-	-	800,000	-	-	-
192	Purchase Dedicated Supercomputer	330,000	-	-	330,000	-	-	-
193	Replace HVAC Slone Building	2,917,000	-	-	2,917,000	-	-	-
194	Purchase RIS (Quadris) Upgrade	500,000	-	-	500,000	-	-	-
195	Purchase Gas-Source Isotope-Ratio Mass Spect	100,000	-	-	100,000	-	-	-
196	Replace HVAC Kastle Hall	3,100,000	-	-	3,100,000	-	-	-
197	Expand Operating Room Suites - Hospital	3,559,000	-	-	3,559,000	-	-	-
198	Purchase Physiology Workstation	101,000	-	-	101,000	-	-	-
199	Replace Fine Arts HVAC	4,500,000	-	-	4,500,000	-	-	-
200	Purchase C-Arm X-Ray Unit	275,000	-	-	275,000	-	-	-
201	Purchase DNA Sequencer	135,000	-	-	135,000	-	-	-
202	Replace Three Elevators MI King South	1,130,000	-	-	1,130,000	-	-	-
203	Purchase C-Arm X-Ray Unit	440,000	-	-	440,000	-	-	-
204	Purchase Ultra High Vacuum System	250,000	-	-	250,000	-	-	-
205	Renovate Barker Hall - Design	1,000,000	-	-	1,000,000	-	-	-
206	Upgrade Building/Site IV - Hospital	800,000	-	-	800,000	-	-	-
207	Add Centralized Emergency Generator	5,542,000	-	-	5,542,000	-	-	-

			Proposed Fund Source					
Priority	Title	Scope	State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
208	Purchase Cardiac Ultrasound	1,600,000	-	-	1,600,000	-	-	-
209	Purchase 300 MHz Console	300,000	-	-	300,000	-	-	-
210	Expand Plant Capacity Infrastructure - Design	2,040,000	-	-	2,040,000	-	-	-
211	Upgrade HVAC II - Hospital	3,500,000	-	-	3,500,000	-	-	-
212	Renovate Imaging Center, I	706,000	-	-	706,000	-	-	-
213	Purchase CR PAC Server	275,000	-	-	275,000	-	-	-
214	Purchase Shared Desktop Environment	250,000	-	-	250,000	-	-	-
215	Replace Holmes Elevator	740,000	-	-	740,000	-	-	-
216	Construct Radiation Med Facility II - Hospital	2,955,000	-	-	2,955,000	-	-	-
217	Construct Library Depository Facility	6,415,000	-	-	2,915,000	-	3,500,000	-
218	Lease Purchase UK/UofL/Frankfort Research Network	6,000,000	-	-	6,000,000	-	-	-
219	Purchase Electrophysiology Lab	5,800,000	-	-	5,800,000	-	-	-
220	Purchase Thermal Ionization Mass Spectrometer	650,000	-	-	650,000	-	-	-
221	Upgrade Utility Systems VI - Hospital	1,500,000	-	-	1,500,000	-	-	-
222	Purchase DNA Sequencer	125,000	-	-	125,000	-	-	-
223	Replace Steam Line MC Htg - Hosp Drive Pit 2	2,114,000	-	-	2,114,000	-	-	-
224	Purchase EMG Unit	250,000	-	-	250,000	-	-	-
225	Renovate Research Labs in Med Center, III	2,000,000	-	-	2,000,000	-	-	-
226	Replace Steam Line Lime Tunnel - Main Gate Pit	3,100,000	-	-	3,100,000	-	-	-
227	Purchase Filmless Radiation System	150,000	-	-	150,000	-	-	-
228	Purchase DNA Chip Analysis System	160,000	-	-	160,000	-	-	-
229	Replace Steam Line Lime Tunnel - POT Tunnel	1,606,000	-	-	1,606,000	-	-	-
230	Replace AHU I - Hospital	16,165,000	-	-	16,165,000	-	-	-
231	Renovate Research Labs in Med Center, I	1,500,000	-	-	1,500,000	-	-	-
232	Install Steam Line BBSRB - Old Main Gate Pit	6,865,000	-	-	6,865,000	-	-	-
233	Purchase Scanning Dosimetry System	100,000	-	-	100,000	-	-	-
234	Purchase HPLC Mass Spectrometer	400,000	-	-	400,000	-	-	-
235	Replace Steam Line Main Gate Pit-Anderson Pit	2,750,000	-	-	2,750,000	-	-	-
236	Replace AHU I - Roach	1,200,000	-	-	1,200,000	-	-	-
237	Renovate Imaging Center, II	1,257,000	-	-	1,257,000	-	-	-
238	Replace Steam Line Kastle -Chem/Phys Pit 28	775,000	-		775,000	-	-	-
239	Purchase MC Treatment Planning	150,000	-	-	150,000	-	-	-
240	Purchase Two Digital Radiology Units	1,100,000	-	-	1,100,000	-	-	-
241	Install Pollution Controls	1,900,000	-	-	1,900,000	-	-	-
242	Replace AHU II - Roach	1,200,000	-	-	1,200,000	-	-	-
243	Renovate Research Labs in Med Center, IV	2,500,000	-	-	2,500,000	-	-	-

Priority	Title	Scope	Proposed Fund Source					
			State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
244	Capital Renewal Maintenance Pool Phase 1	31,607,000	-	-	31,607,000	-	-	-
245	Purchase Pneumatic Tube System Upgrade	750,000	-	-	750,000	-	-	-
246	Purchase Phospho/Fluoro Imager	150,000	-	-	150,000	-	-	-
247	Construct Cancer Hospice Facility - Hospital	5,145,000	-	-	5,145,000	-	-	-
248	Construct Cancer Education Facility - Hospital	2,000,000	-	-	2,000,000	-	-	-
249	Purchase Encapsulator	151,000	-	-	151,000	-	-	-
250	Improve Exterior Lighting, Phase I	1,200,000	-	-	1,200,000	-	-	-
251	Purchase Peds TE Echo Unit	200,000	-	-	200,000	-	-	-
252	Renovate Research Space in Med Center, I	3,000,000	-	-	3,000,000	-	-	-
253	Improve Oswald Building, Capital Renewal	1,600,000	-	-	1,600,000	-	-	-
254	Construct Cancer Infusion Suites - Hospital	10,688,000	-	-	10,688,000	-	-	-
255	Purchase DNA Sequencer/Genetic Analyzer	110,000	-	-	110,000	-	-	-
256	Improve Spindletop Hall Facilities, Capital Renewal	2,450,000	-		2,450,000	-	-	-
257	Purchase External Systems Monitoring	100,000	-	-	100,000	-	-	-
258	Install Steam Line – Taylor Bldg to Transportation Bldg	6,725,000	-	-	6,725,000	-	-	-
259	Construct Remote Cancer Clinic - Hospital	12,880,000	-	-	12,880,000	-	-	-
260	Purchase Nucleic Acid Workstation	150,000	-	-	150,000	-	-	-
261	Install Steam Line Blazer to Singletary Center	5,275,000	-	-	5,275,000	-	-	-
262	Purchase Angiography Unit	2,000,000	-	-	2,000,000	-	-	-
263	Purchase X-Ray Laue Unit-Single Crystal	150,000	-	-	150,000	-	-	-
264	Renovate Parking Structure #3	2,500,000	-	-	2,500,000	-	-	-
265	Construct Physicians Svcs Facilities - Hospital	2,000,000	-	-	2,000,000	-	-	-
266	Purchase CT Scanners	650,000	-	-	650,000	-	-	-
267	Replace Agr North primary electrical service	1,000,000	-	-	1,000,000	-	-	-
268	Upgrade Information Systems Svcs - Hospital	4,206,000	-	-	4,206,000	-	-	-
269	Purchase Flow Cytometer	108,000	-	-	108,000	-	-	-
270	Construct Alumni Roundabouts	2,630,000	-	-	2,630,000	-	-	-
271	Purchase Digital Radiographic Unit	1,800,000	-	-	1,800,000	-	-	-
272	Purchase Helium Liquefier and Recovery System	500,000	-	-	500,000	-	-	-
273	Upgrade Diagnostic Radiology - Hospital	3,530,000	-	-	3,530,000	-	-	-
274	Purchase Oxymax Open Circuit Calorimeter	130,000	-	-	130,000	-	-	-

Priority	Title	Scope	Proposed Fund Source					
			State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
275	Upgrade Bldg. Entrances Safety & Security	1,100,000	-	-	1,100,000	-	-	-
276	Purchase Nuclear Medicine Upgrade	900,000	-	-	900,000	-	-	-
277	Purchase Inductive Coupled Spec Sys	120,000	-	-	120,000	-	-	-
278	Upgrade Fume Hood in Sanders Brown-Life Safety	2,600,000	-	-	2,600,000	-	-	-
279	Renovate Dietetics - Hospital	6,000,000	-	-	6,000,000	-	-	-
280	Purchase Analytical Biosensor	295,000	-	-	295,000	-	-	-
281	Purchase Web Imaging Product	500,000	-	-	500,000	-	-	-
282	Purchase DNA Sequencer/Genetic Analyzer	121,000	-	-	121,000	-	-	-
283	Upgrade Communications Services	1,126,000	-	-	1,126,000	-	-	-
284	Purchase Automated Nucleic Acid Extraction & PCR	150,000	-	-	150,000	-	-	-
285	Purchase Interoperative CT	1,100,000	-	-	1,100,000	-	-	-
286	Purchase Laser Based Total Image Analysis System	113,000	-	-	113,000	-	-	-
287	Renovate Faculty Office Space in Med. Center	742,000	-	-	742,000	-	-	-
288	Purchase Adult Echocardiology Unit	200,000	-	-	200,000	-	-	-
289	Purchase Mass Spectrometer	200,000	-	-	200,000	-	-	-
290	Construct Outpt Care Fac II - Hospital	11,157,000	-	-	11,157,000	-	-	-
291	Purchase Adult Echocardiology Unit	200,000	-	-	200,000	-	-	-
292	Purchase MRI Scanners	3,600,000	-	-	3,600,000	-	-	-
293	Construct Outpt Diag/Treat Fac II - Hospital	24,271,000	-	-	24,271,000	-	-	-
294	Purchase Confocal Microscope	600,000	-	-	600,000	-	-	-
295	Purchase Peds Echocardiology Probe	200,000	-	-	200,000	-	-	-
296	Expand West Kentucky Research & Education Ctr. - Design	1,000,000	-	-	1,000,000	-	-	-
297	Construct Bldg Connectors III - Hospital	3,059,000	-	-	3,059,000	-	-	-
298	Purchase Fluorescence Activ. Cell Sorter	220,000	-	-	220,000	-	-	-
299	Purchase Diagnostic Radiology Unit	330,000	-	-	330,000	-	-	-
300	Purchase Ultrasound Units	150,000	-	-	150,000	-	-	-
301	Construct Primary Care Ctr II - Hospital	17,237,000	-	-	17,237,000	-	-	-
302	Purchase HPLC/Mass Spectrophotometer System	300,000	-	-	300,000	-	-	-
303	Purchase Digital Enhancement	1,085,000	-	-	1,085,000	-	-	-
304	Purchase Two Digital Radiology Units	1,100,000	-	-	1,100,000	-	-	-
305	Construct Patient Care Fac II	15,909,000	-	-	15,909,000	-	-	-
306	Purchase Digital Imaging	957,000	-	-	957,000	-	-	-
307	Purchase Laser Capture Microdissection System	126,000	-	-	126,000	-	-	-
308	Upgrade Nutrition Services II - Hospital	1,278,000	-	-	1,278,000	-	-	-
309	Purchase Liquid Filling/Stoppering Line	351,000	-	-	351,000	-	-	-
310	Purchase EKG Unit	440,000	-	-	440,000	-	-	-
311	Purchase Four PACS Workstations	480,000	-	-	480,000	-	-	-
312	Upgrade Support Services II - Hospital	1,000,000	-	-	1,000,000	-	-	-
313	Purchase Plant/Microbial Growth Chamber	100,000	-	-	100,000	-	-	-

			Proposed Fund Source					
Priority	Title	Scope	State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
314	Purchase EKG Unit	400,000	-	-	400,000	-	-	-
315	Construct Gluck Equine Research Center - Phase II - Design	3,500,000	-	-	2,000,000	-	-	1,500,000
316	Expand Data Systems III - Hospital	700,000	-	-	700,000	-	-	-
317	Purchase Semi-Solid Manufacturing Equip.	211,000	-	-	211,000	-	-	-
318	Lease Purchase Equipment Pool	5,030,000	-	-	5,030,000	-	-	-
319	Purchase Confocal Microscope	500,000	-	-	500,000	-	-	-
320	Implement Land Use Plan IV - Hospital	2,500,000	-	-	2,500,000	-	-	-
321	Purchase Two Mammography Units	900,000	-	-	900,000	-	-	-
322	Purchase Endoscopic Ultrasound	440,000	-	-	440,000	-	-	-
323	Purchase LCMS Instrument System	225,000	-	-	225,000	-	-	-
324	Upgrade Diagnostic Services XII - Hospital	1,000,000	-	-	1,000,000	-	-	-
325	Purchase Terminal Sterilizing Autoclave	221,000	-	-	221,000	-	-	-
326	Purchase Endoscopic Video System	300,000	-	-	300,000	-	-	-
327	Construct Outpatient Svs. III - Hospital	10,775,000	-	-	10,775,000	-	-	-
328	Purchase Breast Ultrasound Unit	120,000	-	-	120,000	-	-	-
329	Purchase Endoscopic Video Ultrasound	275,000	-	-	275,000	-	-	-
330	Purchase Transmission Elec. Microscope	250,000	-	-	250,000	-	-	-
331	Upgrade Diagnostic Serv XI - Hospital	1,500,000	-	-	1,500,000	-	-	-
332	Purchase Plot Combine	130,000	-	-	130,000	-	-	-
333	Purchase Intracardiac Laser	550,000	-	-	550,000	-	-	-
334	Purchase Ovarian Cancer Ultrasound	150,000	-	-	150,000	-	-	-
335	Renovate Medical Records Suite I - Hospital	700,000	-	-	700,000	-	-	-
336	Purchase Plant/Microbial Growth Chamber	100,000	-	-	100,000	-	-	-
337	Purchase Intracardiac Laser	500,000	-	-	500,000	-	-	-
338	Implement Energy Performance Contracting	-	-	-	-	-	-	-
339	Purchase Digital Radiology Unit	550,000	-	-	550,000	-	-	-
340	Purchase Image Guided Surgery System	600,000	-	-	600,000	-	-	-
341	Purchase Quadrapole Mass Spec.	360,000	-	-	360,000	-	-	-
342	Purchase Laboratory Analyzer	500,000	-	-	500,000	-	-	-
343	Purchase Two Pacs Workstations	240,000	-	-	240,000	-	-	-
344	Purchase OB Ultrasound	350,000	-	-	350,000	-	-	-
345	Purchase Combustion Analyzer Systems	115,000	-	-	115,000	-	-	-
346	Purchase Patient System Enterprise	4,640,000	-	-	4,640,000	-	-	-
347	Purchase Radiology Information Center	300,000	-	-	300,000	-	-	-
348	Purchase QuadRIS Upgrade	300,000	-	-	300,000	-	-	-
349	Construct UK Paducah Engineering Research Center	1,230,000	-	-	1,230,000	-	-	-
350	Purchase Mobile Fluoroscopic Unit	250,000	-	-	250,000	-	-	-
351	Purchase Plot Combine	125,000	-	-	125,000	-	-	-
352	Purchase Rad. Med. Software/System	350,000	-	-	350,000	-	-	-

Priority	Title	Scope	Proposed Fund Source					
			State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
353	Purchase Plant/Microbial Growth Chamber	100,000	-	-	100,000	-	-	-
354	Purchase C-Arm X-Ray Unit	350,000	-	-	350,000	-	-	-
355	Purchase DNA Chip Analysis System	160,000	-	-	160,000	-	-	-
356	Purchase Washer	350,000	-	-	350,000	-	-	-
357	Purchase Dual Photon Confocal Microscope	300,000	-	-	300,000	-	-	-
358	Purchase Mobile Radiology Unit	250,000	-	-	250,000	-	-	-
359	Purchase Bioinformatics Analysis Equipment	150,000	-	-	150,000	-	-	-
360	Purchase Vascular Ultrasound	900,000	-	-	900,000	-	-	-
361	Construct KY Transportation Center Building - Phase I DESIGN	4,000,000	-	-	-	-	2,500,000	1,500,000
362	Purchase MRI Upgrade	500,000	-	-	500,000	-	-	-
363	Purchase Forage Harvester System	150,000	-	-	150,000	-	-	-
364	Purchase Vascular Ultrasound	300,000	-	-	300,000	-	-	-
365	Purchase 3-D Ultrasound Machine	200,000	-	-	200,000	-	-	-
366	Purchase Upgrade for Servers	800,000	-	-	800,000	-	-	-
367	Purchase Plot Combine w/Weighing System	135,000	-	-	135,000	-	-	-
368	Purchase Upgrade - HIS Computing Facil.	2,900,000	-	-	2,900,000	-	-	-
369	Purchase Confocal Microscope	346,000	-	-	346,000	-	-	-
370	Purchase Surgical C-Arm(ISS)System	650,000	-	-	650,000	-	-	-
371	Purchase 2D-Electrophoresis Set-up	238,000	-	-	238,000	-	-	-
372	Purchase Radiographic Unit	350,000	-	-	350,000	-	-	-
373	Construct University Conference Center - Design	1,900,000	-	-	1,900,000	-	-	-
374	Purchase Radiographic Unit	400,000	-	-	400,000	-	-	-
375	Purchase Transmission Elec. Microscope	375,000	-	-	375,000	-	-	-
376	Purchase Radiology Ultrasound	440,000	-	-	440,000	-	-	-
377	Purchase DNA Sequencer	420,000	-	-	420,000	-	-	-
378	Purchase Ultrasound Image Management	800,000	-	-	800,000	-	-	-
379	Purchase Fluorescent Scope and Auto Metophase	120,000	-	-	120,000	-	-	-
380	Purchase Laboratory Analyzer	200,000	-	-	200,000	-	-	-
381	Purchase High Resolution Phosphor Imager	235,000	-	-	235,000	-	-	-
382	Purchase Genetic Analyzer	200,000	-	-	200,000	-	-	-
383	Purchase Axiovision	100,000	-	-	100,000	-	-	-
384	Purchase HDR Brachy Therapy System	350,000	-	-	350,000	-	-	-
385	Upgrade Sound and Lighting for Singletary Center	1,000,000	-	-	1,000,000	-	-	-
386	Purchase Interoperative MRI	1,500,000	-	-	1,500,000	-	-	-
387	Purchase Neuroangiography Unit	1,800,000	-	-	1,800,000	-	-	-
388	Purchase Camera for Transmission/Scanning	105,000	-	-	105,000	-	-	-
389	Purchase Magneoencephalogy Unit	2,100,000	-	-	2,100,000	-	-	-

Priority	Title	Scope	Proposed Fund Source					
			State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
390	Purchase Ultrasound Units	840,000	-	-	840,000	-	-	-
391	Purchase Digital Radiology	1,020,000	-	-	1,020,000	-	-	-
392	Purchase Ultracentrifuge	110,000	-	-	110,000	-	-	-
393	Purchase Digital Radiology	4,060,000	-	-	4,060,000	-	-	-
394	Renovate Dentistry Class Lab	1,475,000	-	-	1,475,000	-	-	-
395	Purchase Fluoroscopy Unit	550,000	-	-	550,000	-	-	-
396	Purchase Gen. Rad./Fluoroscopic Unit	500,000	-	-	500,000	-	-	-
397	Purchase Confocal Microscope	300,000	-	-	300,000	-	-	-
398	Purchase Linear Accelerator	2,050,000	-	-	2,050,000	-	-	-
399	Purchase Mass Spectrometer	450,000	-	-	450,000	-	-	-
400	Purchase Portal Imaging System	200,000	-	-	200,000	-	-	-
401	Purchase Robotics Pipetter System	104,000	-	-	104,000	-	-	-
402	Purchase CT Scanner	1,000,000	-	-	1,000,000	-	-	-
403	Purchase DNA Sequencer Machine	125,000	-	-	125,000	-	-	-
404	Purchase MR Monitoring Equipment	100,000	-	-	100,000	-	-	-
405	Renovate King Library South - 1962 Section - Design	1,700,000	-	-	1,700,000	-	-	-
406	Purchase Portal Imaging System	250,000	-	-	250,000	-	-	-
407	Purchase Mouse PET Scanner	385,000	-	-	385,000	-	-	-
408	Purchase Gen. Rad./Fluoroscopic Unit	550,000	-	-	550,000	-	-	-
409	Purchase Real Time PCR Machine	165,000	-	-	165,000	-	-	-
410	Purchase Digital Orbitor Camera	275,000	-	-	275,000	-	-	-
411	Purchase Genesis Workstation	425,000	-	-	425,000	-	-	-
412	Purchase CT Simulator	1,200,000	-	-	1,200,000	-	-	-
413	Purchase DNA Sequencer	420,000	-	-	420,000	-	-	-
414	Purchase Accelerator	1,600,000	-	-	1,600,000	-	-	-
415	Purchase Microscope with Imaging	135,000	-	-	135,000	-	-	-
416	Purchase Teleradiology	200,000	-	-	200,000	-	-	-
417	Purchase SPECT System	1,000,000	-	-	1,000,000	-	-	-
418	Purchase ORCA Robot-on-Rail	100,000	-	-	100,000	-	-	-
419	Purchase Mobile MRI	1,500,000	-	-	1,500,000	-	-	-
420	Purchase Behav. Monitor. & Analysis Sys.	165,000	-	-	165,000	-	-	-
421	Purchase CR Readers	750,000	-	-	750,000	-	-	-
422	Purchase Information & Decision Management Station	100,000	-	-	100,000	-	-	-
423	Purchase CR Reader	300,000	-	-	300,000	-	-	-
424	Purchase Chain Reaction Analyzer	150,000	-	-	150,000	-	-	-
425	Purchase ATL Ultrasound	220,000	-	-	220,000	-	-	-
426	Purchase Digital Nanochip Enzyme Sequencing Machine	500,000	-	-	500,000	-	-	-
427	Purchase CT Scanner	1,914,000	-	-	1,914,000	-	-	-
428	Purchase Nanochip System	350,000	-	-	350,000	-	-	-
429	Purchase CT Simulator	1,160,000	-	-	1,160,000	-	-	-
430	Purchase Compressed Video-Hazard	141,000	-	-	141,000	-	-	-
431	Purchase CT/PET Simulator	2,000,000	-	-	2,000,000	-	-	-
432	Purchase Multiplex QPRC System	100,000	-	-	100,000	-	-	-
433	Purchase CT/PET Simulator	4,000,000	-	-	4,000,000	-	-	-
434	Purchase Electron Microscope	355,000	-	-	355,000	-	-	-
435	Purchase Clinical System Enterprise	5,800,000	-	-	5,800,000	-	-	-
436	Purchase RevPrep Orbit Workstation	100,000	-	-	100,000	-	-	-

Priority	Title	Scope	Proposed Fund Source					
			State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
437	Purchase Computing Infrastructure Update	2,500,000	-	-	2,500,000	-	-	-
438	Purchase Data Storage Facility Upgrade	750,000	-	-	750,000	-	-	-
439	Purchase MegaPix2	300,000	-	-	300,000	-	-	-
440	Purchase Dig. Medical Record Expansion	4,640,000	-	-	4,640,000	-	-	-
441	Purchase GelPix	300,000	-	-	300,000	-	-	-
442	Purchase Intraoperative Radiation Therapy	1,300,000	-	-	1,300,000	-	-	-
443	Purchase Typhoon Variable Mode Imager	118,000	-	-	118,000	-	-	-
444	Purchase Managed Care Enterprise	1,160,000	-	-	1,160,000	-	-	-
445	Renovate Clinical Teaching Space in Nursing	1,220,000	-	-	1,220,000	-	-	-
446	Purchase Minimally Invasive Room	1,700,000	-	-	1,700,000	-	-	-
447	Purchase OR Periop. IS Doc.Syst. Upgrade	150,000	-	-	150,000	-	-	-
448	Purchase Flow Cytometry Lab Equipment	425,000	-	-	425,000	-	-	-
449	Purchase Steam Autoclave	450,000	-	-	450,000	-	-	-
450	Renovate Research Space in Med Science	5,000,000	-	-	5,000,000	-	-	-
451	Purchase Sterrad Sterilizer	450,000	-	-	450,000	-	-	-
452	Renovate Cooper House	1,600,000	-	-	1,600,000	-	-	-
453	Purchase Surgical Laser	500,000	-	-	500,000	-	-	-
454	Purchase Inverted Scope	110,000	-	-	110,000	-	-	-
455	Purchase Surgical Microscope	500,000	-	-	500,000	-	-	-
456	Purchase Laser Confocal Microscope	312,000	-	-	312,000	-	-	-
457	Purchase Data Storage Equip & Software I	500,000	-	-	500,000	-	-	-
458	Purchase Multiphoton Scanning Microscope	300,000	-	-	300,000	-	-	-
459	Purchase Telecommunications Equipment I	250,000	-	-	250,000	-	-	-
460	Purchase Open MRI Unit	1,000,000	-	-	1,000,000	-	-	-
461	Purchase PACS Data Storage Equip & Software	500,000	-	-	500,000	-	-	-
462	Purchase Patient Classification Equipment	260,000	-	-	260,000	-	-	-
463	Purchase IS Security Equipment I	150,000	-	-	150,000	-	-	-
464	Purchase Sequence Detection System	110,000	-	-	110,000	-	-	-
465	Purchase Data Center Printers I	350,000	-	-	350,000	-	-	-
466	Purchase Data Storage Equip & Software II	250,000	-	-	250,000	-	-	-
467	Purchase Ultracentrifuge	117,000	-	-	117,000	-	-	-
468	Purchase Telecommunications Equipment II	200,000	-	-	200,000	-	-	-
469	Purchase X-ray Defractometer	700,000	-	-	700,000	-	-	-
470	Purchase Mainframe Computer	400,000	-	-	400,000	-	-	-

Priority	Title	Scope	Proposed Fund Source					
			State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
471	Purchase Compact Shelving for Med Center Library	550,000	-	-	550,000	-	-	-
472	Purchase IS Security Equipment II	150,000	-	-	150,000	-	-	-
473	Purchase Fiber Channel Network System	200,000	-	-	200,000	-	-	-
474	Purchase Data Center Printers II	300,000	-	-	300,000	-	-	-
475	Purchase Linear Ion Trap Mass Spectrometer	280,000	-	-	280,000	-	-	-
476	Purchase Knowledge-based Transcription	450,000	-	-	450,000	-	-	-
477	Purchase 800 MHz Resolution Laser System	2,600,000	-	-	2,600,000	-	-	-
478	Purchase Knowledge-based Charting System	400,000	-	-	400,000	-	-	-
479	Purchase Mass Spectrometer	125,000	-	-	125,000	-	-	-
480	Purchase Consumer Web Interaction System	400,000	-	-	400,000	-	-	-
481	Construct Environmental Institute - Design	1,392,000	-	-	1,392,000	-	-	-
482	Purchase Data Storage Equip & Software III	150,000	-	-	150,000	-	-	-
483	Expand/Renovate CPST Facility	3,500,000	-	-	3,500,000	-	-	-
484	Purchase Telecommunications Equipment III	150,000	-	-	150,000	-	-	-
485	Renovate Carnahan House	4,000,000	-	-	4,000,000	-	-	-
486	Purchase Luminex System	100,000	-	-	100,000	-	-	-
487	Purchase Oxymax Integrated Metabolism System	160,000	-	-	160,000	-	-	-
488	Purchase Elemental Analysis System	200,000	-	-	200,000	-	-	-
489	Purchase Reactive Ion Etching	180,000	-	-	180,000	-	-	-
490	Purchase Focused Ion Milling/Patterning	400,000	-	-	400,000	-	-	-
491	Purchase Multi-Scanning Probe Microscope	200,000	-	-	200,000	-	-	-
492	Purchase Field-Emission SEM w/e-beam	420,000	-	-	420,000	-	-	-
493	Purchase Laser Digitizer	125,000	-	-	125,000	-	-	-
494	Purchase Stereolithography Printer/SLA	350,000	-	-	350,000	-	-	-
495	Purchase Z810 Z-Corp Machine	200,000	-	-	200,000	-	-	-
496	Purchase Sinterstation Hi Q SLS System	250,000	-	-	250,000	-	-	-
497	Purchase 4-Axis Machining Center	125,000	-	-	125,000	-	-	-
498	Purchase Blow Molding Machine	150,000	-	-	150,000	-	-	-
499	Purchase High Temp Tension/Torsion Testing Machine	500,000	-	-	500,000	-	-	-
500	Purchase Compact Shelving-Fine Arts Library	500,000	-	-	500,000	-	-	-
501	Purchase High Resolution Imaging System	132,000	-	-	132,000	-	-	-

Priority	Title	Scope	Proposed Fund Source					
			State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
502	Purchase Laser Capture Microdissection System	242,000	-	-	242,000	-	-	-
503	Purchase HPLC-Tandem Mass Spectrophotometer	275,000	-	-	275,000	-	-	-
504	Purchase Laboratory Environ. Monitoring System	112,000	-	-	112,000	-	-	-
505	Purchase 7T Small Animal High-Field MR Imager	1,500,000	-	-	1,500,000	-	-	-
506	Purchase PET/CT Scanner	2,100,000	-	-	2,100,000	-	-	-
507	Purchase Small Animal Scanner	1,200,000	-	-	1,200,000	-	-	-
508	Purchase Gradient Insert	200,000	-	-	200,000	-	-	-
509	Purchase Spectroscopy Package	150,000	-	-	150,000	-	-	-
510	Purchase Plot Combine with Weighing System	220,000	-	-	220,000	-	-	-
511	Purchase HPLC System	120,000	-	-	120,000	-	-	-
512	Purchase Transmission Elec. Microscope	375,000	-	-	375,000	-	-	-
513	Purchase Growth Chamber	150,000	-	-	150,000	-	-	-
514	Purchase ICP/AES/Mass Spectrometer	150,000	-	-	150,000	-	-	-
515	Purchase Robotic Platform	120,000	-	-	120,000	-	-	-
516	Purchase MSQ Mass Spectrometric Detector	120,000	-	-	120,000	-	-	-
517	Purchase Peds Echocardiology Unit	200,000	-	-	200,000	-	-	-
518	Purchase Upgrade for Scanner System	500,000	-	-	500,000	-	-	-
519	Purchase Comm. Infrastructure in Young Library	1,014,000	-	-	1,014,000	-	-	-
520	Construct Data Center - Phase I	5,000,000	-	-	5,000,000	-	-	-
521	Expand Arboretum Visitor Center	2,870,000	-	-	-	-	-	2,870,000
522	Install Med. Center Chilled Water Loop	700,000	-	-	700,000	-	-	-
523	Lease Purchase UPS Upgrade for Communications	800,000	-	-	800,000	-	-	-
524	Upgrade Critical Care Center HVAC - Hospital	7,649,000	-	-	7,649,000	-	-	-
525	Renovate Central Vivarium	3,000,000	-	-	1,500,000	-	1,500,000	-
526	Expand Ambulatory Care Facilities	20,000,000	-	-	20,000,000	-	-	-
527	Upgrade Surgical Services	4,500,000	-	-	4,500,000	-	-	-
528	Replace Air Handling Units in Research # 1	1,935,000	-	-	1,935,000	-	-	-
529	Purchase Biomek FX Liquid Handling Robot	300,000	-		300,000			
530	Upgrade Transport Systems - Med Ctr Campus	1,000,000	-	-	1,000,000	-	-	-
531	Upgrade AHUs - Med Ctr Campus	2,000,000	-	-	2,000,000	-	-	-
532	Expand Emergency Services	6,100,000	-	-	6,100,000	-	-	-
533	Purchase Two CT Scanners	1,300,000	-	-	1,300,000	-	-	-
534	Purchase Dentistry Patient Mgmt System-Phase II	3,000,000	-	-	3,000,000	-	-	-
535	Kentucky Utilities Building - Lease	-	-	-	-	-	-	-
536	College of Medicine Off-Campust Clinic - Lease	-	-	-	-	-	-	-

			Proposed Fund Source					
Priority	Title	Scope	State General Funds	State Bonds	Agency Funds	Agency Bonds	Federal Funds	Other Funds (Private)
537	College of Pharmacy - Contracted Program - Lease	-	-	-	-	-	-	-
538	Med Center - Grant Projects - Lease	-	-	-	-	-	-	-
539	Med Center Off-Campus Patient Facility - Lease	-	-	-	-	-	-	-
540	Med Center Contract Sponsored Programs - Lease	-	-	-	-	-	-	-
541	Clinic Blazer Parkway - Lease	-	-	-	-	-	-	-
	Total	**1,444,645,000**	**7,600,000**	**120,345,000**	**1,014,498,000**	**166,316,000**	**15,960,000**	**119,926,000**

FCR 16

Office of the President
December 13, 2005

Members, Board of Trustees:

PATENT ASSIGNMENT REPORT

Recommendation: that the Board of Trustees accept the patent assignment report for the period ending October 31, 2005.

Background: The March 4, 1997 meeting of the Board of Trustees authorized the University of Kentucky Research Foundation to conduct all future copyright and patent filings and prosecutions. Quarterly reports on patent and copyright applications are to be submitted to the Finance Committee of the Board.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

PATENT ASSIGNMENT
QUARTERLY FOR THE PERIOD AUGUST 1, 2005 THROUGH OCTOBER 31, 2005

Patents

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

1. **U.S. Patent Application Serial Number: (to be assigned)**
Filed: August 26, 2005
Title: "AMYLOID PEPTIDE INACTIVATING ENZYME TO TREAT ALZHEIMER'S DISEASE PERIPHERALLY"
Inventors: Drs. Louis B. Hersh and Hanjun Guan (Department of Biochemistry)
Technical Description: The present invention relates to methods of preventing amyloid peptide (AP) accumulation and plaque formation in the brain by raising amyloid peptide inactivating enzyme activity in the periphery. The present invention also relates to methods of lowering plasma Af3 levels as a way to lower brain Af3 using expression of amyloid peptide inactivating enzymes, like neprilysin, on hematopoietic cells. The present invention also relates to a method of treating and/or preventing Alzheimer's disease.
Summary: It is widely believed that the debilitating symptoms of Alzheimer's disease are caused by the abnormal buildup of amyloid peptide in the brain, ultimately causing the destruction of brain cells. The inventors propose a method of preventing the abnormal buildup of amyloid peptide by increasing the activity of neprilysin, an enzyme that inactivates amyloid peptide. The inventors anticipate that this will result in a decrease in the likelihood of developing Alzheimer's disease.

2. **U.S. Patent Application Serial Number: (to be assigned)**
Filed: August 9, 2005
Title: "COMPOSITIONS AND METHODS FOR INHIBITING DRUSEN COMPLEMENT COMPONENTS C3A AND C5A FOR THE TREATMENT OF MACULAR DEGENERATION"
Inventor: Dr. Jayakrishna Ambati (Department of Ophthalmology).
Technical Description: This invention relates to compositions and methods for treating and/or preventing age-related macular degeneration (AMD). More particularly, the invention relates to the use of antagonists and antibodies to activated complement component 3 (C3a) and/or its receptor (C3aR), and activated complement components 5 (C5a) and/or its receptor (C5aR) to reduce vascular endothelial growth factor (VEGF) expression and inhibit choroidal neovascularization (CNV). This invention also relates to an assay for the detection of C3a, C3aR, C5a and/or C5aR as a predisposition for and/or early detection of AMD.
Summary: AMD is the leading cause of vision loss in the elderly. The majority of vision loss in AMD is the result of the abnormal overgrowth of blood vessels in the eye. The inventors propose the use of compounds that prohibit the overgrowth of blood vessels to prevent AMD.

Patent Activities
Fiscal Year 2005-06 to date as of 10/31/05

Number of Patent Applications	2
Number of Patents Issued	5
Patent Income	$338,105

FCR 17

Office of the President
December 13, 2005

Members, Board of Trustees:

CAPITAL CONSTRUCTION REPORT

Recommendation: that the Board of Trustees accept the capital construction report for the three months ending September 30, 2005. This report refers only to projects that had activity within this quarter.

Background: Under House Bill 622 enacted in the 1982 session of the Kentucky General Assembly, the University of Kentucky is authorized to enter into architectural, engineering, and related consultant contracts for the purpose of accomplishing capital construction.

For the period July 1, 2005 thru September 30, 2005:

There were seven new contracts this quarter.

Project 2228.0	Construct Student Health Facility Omni Architects, $1,332,600
Project 2239.1	PCF – Hospital – Virginia Avenue Extension Wilbur Smith & Associates, $400,000
Project 2229.0	Expand Cancer Infusion Suites Stengel-Hill Architecture, $84,500
Project 2236.0	Expand Emergency Services – Hospital GBBN, Inc., $265,000
Project 2240.0	Expand Outpatient Radiology Denham-Blythe Co., $171,872
Project 2234.0	Expand and Upgrade Livestock Disease Diagnostic Lab CMW, Inc., $648,000
Project 2233.0	Renovate Vivarium in Central DLAR Facility BHDP Architecture, Inc., $117,458

Five contracts were completed:

Project 1876.0	Biomedical/Biological Science Research Building Gilbane Construction Co., $62,676,871
Project 2198.0	Electronic Access Rural Demonstration Phase II Denham-Blythe Co., $116,692
Project 2226.0	Renovate Commonwealth Stadium Locker Room Eubank & Steele Construction, $603,723
Project 2153.2	Student Housing – Kirwan/Blanding Accessibility Upgrades Spectrum Contracting Services, Inc., $475,577
Project 2201.0	Upgrade Fume Hoods – LC – Life Safety (Research Bldg #3) Tri State Fire Protection, $176,000

There were two amendments this quarter, and four change orders greater than $25,000.

Action taken: ☑ Approved ❑ Disapproved ❑ Other _____

CAPITAL CONSTRUCTION CONTRACTS
QUARTERLY ACTIVITY REPORT

This report contains capital projects that have a dollar scope value of $400,000 and above. The projects are listed in alphabetical order and contain the project number, the dollar scope, a brief description of the project work and information pertaining to the primary consultant's contract and the primary contractor's contract. This information includes:

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY REPORT

Glossary

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Major Projects
Capital Project Management Division

Center for Pharmaceutical & Science Technology (CPST Bldg.)

The CPST operation will be located in the small buildings zone of the Coldstream Research Park. Some of the operation presently located on the 1st floor of the College of Pharmacy building will be relocated to the new operation in Coldstream. The project scope is $12 million, CE&IC from Princeton NJ provided the bridging documents, and Messer Construction is the design/builder.

Project Status:

Mechanical rough-in, framing, site, and building shell are substantially complete. All major manufacturing equipment has been ordered and released for fabrication. Terrazo base and flooring installation will start in November, limiting other work in the core. Utility equipment installation will proceed in the mechanical rooms.

Construct Parking Structure

Project Description:

This project constructs two parking structures located on the University of Kentucky central campus. Virginia Avenue and Complex Drive were selected as the sites for these two structures. The structures house 1,312 parking spaces (732 PS #6 and 580 PS #7) and 10,000 sq. ft. of office space. The structures will serve mixed usage of students, faculty, staff and visitors.

Project Status:

Parking Structure #6 (Virginia Ave.):

Work during October included supported decks 3D, 3E, 3F and 4A. Reinforcing steel for 4B and 4A concrete poured during the last week of October. Work planned for November includes deck pours for supported slabs 4C, 4D, 4E, 4F, 5A & 5B and steel reinforcing for 5A. Columns for 4E, 4F, 5A & 5b to be formed and poured. Exterior finishes mock-up to be complete by early November for review.

Parking Structure #7 (Complex Dr.):

Progress during October included completion of all bumper walls at ramps, precast panels, and guardrails/handrails in stairwells. Brick masonry at all stairwells is complete, and work continues on west elevation. Roofing for stair towers is complete and ongoing on elevation tower. Exterior grade drywall is being installed at stair towers and exterior caulking is ongoing. Electrical sub-contractor continues conduit installation for garage lighting. Mechanical sub-contractor is complete with storm sewer piping from under-slab drainage to the deck drains. MEP rough-in at the offices and underground piping for the dry standpipe is in progress. Site grading is in progress, including the removal for temporary access roads, the remaining site demolition and the site storm system. Work in November will include completion of the parking lot adjacent to the tennis courts, all remaining underground utilities, and masonry work. Installation of store front systems and glazing will begin and continue through November. Permanent power service completed on November 12th with elevator installation beginning the week before permanent power is provided.

Construct Student Health Facility

Project Description:

The University Health Facility will be an outpatient clinic to house University Health Services for students, with support spaces and some administrative offices. This project will create additional space by constructing a new building of approximately 65,000 gross square feet. The site will be

in the courtyard framed by the Wethington Building, Warren Wright Medical Plaza and the Sanders Brown Center on Aging.

Project Status:

Omni Architects completed the programming phase and have begun schematic design meetings. Coordination meetings are being held with Ellerbe Becket and Towers-Golde to coordinate the building materials and site layout with the Hospital Expansion project. Meetings have been held with the users and Campus Facility Group to determine the facilities needs and responsibilities.

Design Patient Bed Tower – Hospital/Clinical Enterprise Master Plan

Project Description:

The Hospital's present patient bed tower is approximately 40 years old. Although the space served patients well, the infrastructure is aging, and the facility can not accommodate present anticipated technology. This project will provide the site location evaluation, building programming, planning, and design services for a new bed tower. The project design team is lead by GBBN with major sub consultants including AM Kinney, Ellerbe-Becket, Staggs and Fisher, Affiliated Engineers, THP Limited as well as a number of specialty consultants. This project provides much of the authority for the design of the Construct Patient Care Facility, Project Number 2239.0.

Project Status:

A contract has been executed for departmental level and detail programming, schematic design of the Hospital and Concourse as well as complete design services for the parking garage and related infrastructure. The final contract for the balance of the design and construction administration should be completed in early December. Groups established within the Medical Center community and throughout the campus have provided input into the gross program and master plan. The second round of programming to include departmental level and detailed programming for the patient care facility is underway and scheduled to end in early December. Two sets of programming meetings were held in October, and one additional set of meetings is scheduled for the third week of November. During the same period design on the parking garage and infrastructure are continuing on an accelerated schedule. The parking garage Construction Documents were reviewed November 2nd. The Infrastructure Schematic Design Documents were delivered in September and have been reviewed. The Construction Documents for the Infrastructure are due in April 2006. The Construction Documents for Huguelet Avenue Extension are due in December 2005. This schedule will allow for the beginning of the construction of the parking garage in early 2006 and the infrastructure in mid 2006.

Construct Patient Care Facility

Project Description:

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

Project Status:

The bulk of the design work is proceeding under Project Number 2099.0 (Design Patient Bed Tower). Gilbane Construction Company has been selected to fill the role of Construction Manager. The Construction Manager will play a significant role in the planning and scheduling of construction as well as other construction projects in the precinct over the next three years. A site logistics plan was presented late September. The plan is under review and analysis by all to be involved. The construction will be administered as a CM at Risk with no less than six (6) GMPs. At this time GMP #1 will be the Virginia Ave. extension (now in Schematic Design); GMP #2 is the parking garage (now in Construction Documents); GMP #3 is the infrastructures package

(now in Schematic Design); GMP #4 is the demolition of the existing structure and foundations for the new hospital, GMP #5 will be the core and shell of the structure, and GMP #6 will be the interior fit up of the hospital (the later three GMPs are now in Programming). The demolition of the property on the block of the parking garage has begun. As of this date, the construction of the parking garage (GMP #1) is scheduled to begin in early 2006; the Virginia Ave. extension (GMP #2) is scheduled to begin in the spring of 2006; the work associated with the infrastructure package (GMP #3) is scheduled to begin in mid 2006, and the construction of the new hospital will begin in early 2007. The project is now scheduled to be completed in mid 2010.

Electronic Access Rural Demonstration Project College of Law - Phase II

Project Description:

This project will serve to expand and further the initiative of Phase I of Electronic Rural Access for the College of Law. The following is included in the scope:

1) Virtual reference services in five (5) remote access locations in rural counties of Kentucky.
2) Electronic retrieval, storage and dissemination of video court records.
3) Smart Classroom installations in four (4) classrooms and the Courtroom in the UK College of Law.
4) Electrical and data infrastructure to support the above items.

Project Status:

This project is complete.

Expand Cancer Infusion Suites - Hospital

Project Description:

This project is for the expansion of the chemotherapy infusion program into the 2nd floor of the Davis Millis portion of the Whitney Hendrickson Building. The existing infusion operation is located in the first floor of the same facility directly below the proposed expansion. The demand for chemotherapy infusion services has exceeded the available clinic space capacity causing patients to use inpatient facilities for outpatient services or to wait for needed treatments. The renovation will also provide urgent treatment cancer services that are not currently provided by the cancer center.

Project Status:

Stengel-Hill received approval to proceed with Construction Documents. The Construction Documents are due for approval on November 15th.

Expand Emergency Services - Hospital

Project Description:

GBBN / Staggs & Fisher are the consultants designing to a $2,300,000 construction budget. This renovation project consists of approximately 18,400 sq. ft. of ground floor space in the Critical Care Center. Materials Management and Purchasing offices will be relocated to expand patient care services in the Emergency Department. The renovation will provide a new and separate Pediatrics Emergency area to include an exterior entrance, waiting room triage and support spaces; additional Emergency Department acute care bays, nursing space and support space; and a new digital radiology room for exclusive use by the Emergency Department. The replacements of the Air Handling Units for this area, originally part of the Upgrade Critical Care Center HVAC project, have been included in this project. The advantages of combining the work include a unified schedule and a smoother transition of HVAC supply during the phasing of the project.

Project Status:
Design Development work sessions have been conducted weekly since September 22nd. Final Design Documents were delivered on October 27, 2005, and the review meeting will be held on November 3rd. GBBN will proceed in completing the Construction Documents upon approval of the Design Development Documents.

Expand Outpatient Radiology
Project Description:
This project is for renovation and expansion of existing outpatient Radiology Clinic located in the Kentucky Clinic. Adjacent available space will be utilized for the expansion. This expansion is needed to provide additional clinic space for the overcrowded outpatient Radiology Department services. The expansion of radiology services into this space will provide additional capacity to serve the various clinics in Kentucky Clinic.
Project Status:
Modular building slab poured on October 14, 2005, and site work is ongoing. Building delivery is scheduled for November 8, 2005, and Magnet delivery is scheduled for December 2, 2005.

Expand & Upgrade Livestock Disease Diagnostic Lab
Project Description:
New space is needed for more than one veterinary pathologist to perform animal postmortem examinations in addition to renovation of current necropsy space. New space is also needed to add molecular biology/special procedures capabilities to the laboratory. New technology in the form of an alkaline hydrolysis digester is needed to replace an aging incinerator. The LDDC is an office and laboratory building with net assignable space of 3,860 sq. ft. for offices and 28,100 sq. ft. of laboratories and support space. It is proposed to add 6,300 and 1,200 sq. ft. (net) of new laboratory and office space, respectively. An existing necropsy laboratory and support space will be renovated (2,000 sq. ft. net).
Project Status:
The Schematic Phase Review meeting was delayed from September 27, 2005 to October 18, 2005 to allow confirmation of Program Space allocation within the entire LDDC facility. Approval to the Schematic Phase Review was provided on September 27, 2005. The duration to complete the CD documents was extended 4 weeks. These delays impact the original schedule 2 months, but approval was obtained from the College of Agriculture. Accordingly, the digester anticipated delivery date slipped from April 1, 2006 to June 1, 2006. The project remains within budget.

4th Floor Fit-up BBSRB
Project Description:
This project will fit-up approximately 32,750 square feet in the currently "shelled space" on the fourth floor of the BBSRB Building. The fit-up will include wet bench laboratory space, support space, and dry computational labs. The University has received a federal grant award of $3,685,000 from the National Center for Research Resources Extramual Research Facilities Improvement Program. The space will primarily be utilized by Pharmacology. The final construction cost estimate is $7,618,000, and the project scope has been revised to $9,600,000.
Project Status:
Final construction documents have been received. The NIH has approved the project for bidding, but bidding has been delayed pending development of an acceptable strategy for addressing concerns with excessive vibration in the existing building. The design was completed on schedule. A strategy to address vibration concerns has been approved and will consist of the following: 1) including acoustic chambers constructed of drywall and insulation above the ceiling

in the steam valve and transformer areas. 2) Including unit pricing for special ceiling tile with high sound isolation properties to be installed in certain sensitive rooms. 3) Including an alternate bid item to put vibration isolation devices on some of the EF fans. The schedule has been revised based on a mid December bid date.

Memorial Coliseum Expansion

Project Description:

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

Project Status:

Construction work has begun, and the contractor's trailers are on site. The existing ticket office and the canopies on the east and west entrances have been demolished. Work has begun to create temporary exits on the east and west sides of the existing Coliseum during construction. The existing chiller has been temporarily relocated to provide cooling for the basketball offices during construction. Site excavation for the building pad is nearing completion, and site utility work is well underway. Sanitary and storm sewer work is progressing along Lexington Ave. A chilled water vault is being formed north of Patterson Hall. Fencing has been set for the communications vault to be constructed in the MLK parking lot. Caissons and grade beams are being excavated and poured in the building pad. Existing structural counterforts are being cut off to allow forming of the foundation of the new south wall. Forms are being set for poured in place concrete walls along the southeast corner of the new facility.Work is progressing on schedule. The construction progress meetings will be held the first Tuesday of each month.

Renovate Football Practice Field - Nutter Training Center

Project Description:

The project will involve implementation of a feasibility study completed in October of 2003 to renovate the football practice fields behind the Nutter Training Center. The existing fields are a "soil-based" natural turf (3 total) and the fourth is an artificial turf field. The project will be issued as a design/build RFP to install two (2) "sand-based" natural turf fields, one (1) synthetic turf field and remove the artificial turf covering on the artificial turf field so that it can be used as a parking lot. Miscellanous associated work will include relocation of the existing camera/observation tower, new irrigation system for natural turf areas, new lighting for synthetic turf areas and adjacent natural turf areas, and miscellanous electrical outlets, goal posts sleeves and timing clocks.

Project Status:

All work is complete. A request for additional authority to cover rock excavation cost was approved by the Capital Projects and Bond Oversight Committee in October.

Renovate Vivarium in Central DLAR Facility

Project Description:

This project will renovate the cage washing area, install a robotic cage washing system, and upgrade spaces to animal procedure rooms in the vivarium in the Combs Building. The Combs Cancer Research building is approximately 75,800 gross square feet. The building was constructed in 1987 and is in good condition. The facility consists of research labs, offices, lab support areas, animal care areas, and animal care support space.

Project Status:

Schematic Design Documents are due on November 2, 2005. The existing conditions assessment completed on October 19, 2005. We are currently reviewing equipment selections for pre-purchase.

Student Housing Facilities

Project Description:

In an effort to respond to issues related to students living off campus, the University has undertaken efforts to assess its campus housing. Consistent with the recently adopted UK Physical Development Campus Plan 2050 Final Report December 2002, the University has constructed new dormitories with 684 new beds. The dormitories are configured with suites or semi-suite bedrooms and living areas. The dormitories are located at sites as identified in the Phase 1 Housing-2010 Campus Plan. New housing includes common areas, student activity spaces, academics, food services, parking and central campus utilities. Substantial completion was summer 2005.

Project Status:

Project is complete. Contractor is addressing warranty items and outstanding punch list items. Buildings fully occupied for fall semester.

Student Housing - Kirwan/Blanding Commons Accessibility Upgrades

Project Description:

This $555,000 project is part of the Student Housing authority. The Kirwan/Blanding Residence Complex was built prior to the enactment of "The Americans with Disabilities Act." Currently, there are no rooms within the Kirwan/Blanding Complex that accommodate a disabled student. The new Student Housing Facilities, being built east of the Kirwan/Blanding Complex, will be 100% accessible to disabled students. Students residing in the new housing facilities utilize the Kirwan/Blanding Commons for dining and food service; thus, the need arose to renovate the facility prior to completion of the new residential facility. The design consultant is James Potts Architects.

Project Status:

Project is complete.

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

Project Description:

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

Project Status:

A.M. Kinney of Cincinnati, the designer of record for the BBSRB Project, completed an analysis of various approaches to implement the project. The study included several program options containing a budget analysis of each option. Facilities and PPD personnel reviewed the study in an attempt to establish the most effective program for expenditure of the available funding.

Issues regarding Title V permitting and establishment of infrastructure priorities as well as State budgetary considerations will play into the establishment of the final program. Further progress is dependent on decisions as to proper avenue for expenditure of funding in light of future project needs.

Construct Biological Pharmaceutical Complex Building

Project Description:

Phase I of the Biological Sciences/Pharmaceutical Complex, authorized by the 2005 General Assembly, will construct a shelled building at UK's Research Complex. Phase II will complete the 242,000 gross square foot facility. This new building will provide the college with a state-of-the-art facility that will also allow the college to expand enrollment to address the shortage of pharmacists in Kentucky. The College of Pharmacy will relocate to this new facility and vacate their existing space. In addition to the current Pharmacy Building, college faculty members are housed in 10 buildings on and off campus. Consolidation of the research and teaching expertise of the eighth ranked College of Pharmacy in the U.S. will further strengthen the instruction of students and research collaboration among faculty. The vacated Pharmacy Building is planned to be reassigned to the Department of Biology to provide needed expansion space for classrooms, research, and faculty to meet the needs of the growing student enrollment in UK's largest department. The new building will provide significant needed research space for the University.

Project Status:

The RFP for consultant services for Prime (Lead Architect), M/E/P, and Signature Architect were advertised, and proposals were received on October 21, 2005. Short listing and interviews are scheduled during November and December 2005. Design activities are anticipated to begin late January or early February 2006.

Construct Horticultural Research and Education Facility

Project Description:

The Horticultural Research and Education Center at South Farm is the key component in the Statewide plan to develop research/extension infrastructure in support of new and existing horticultural industries. The programs through this facility will explore, develop, evaluate, demonstrate, and communicate horticultural crop opportunities through innovative research and educational programs that enhance diversification, profitability, and sustainability of Kentucky farms and landscapes. It will become UK's most visible commitment to enhancing the viability of non-traditional enterprises and family farms. It will follow and supplement the intent of the South Farm Improvements project. These projects will serve to develop a horticulture research facility on the South Farm. Included in the scope are greenhouse and headhouse facilities, research laboratories, storage building for equipment and pesticides and environmental rooms.

Project Status:

Programming has not yet advanced very far due to the current priorities on establishing adequate greenhouse space for the upcoming winter season.

Expand Ophthalmology Clinic - Hospital

Project Description:

The project is for renovation and expansion of the exisiting Ophthalmology Clinic located in the Kentucky Clinic. Adjacent available space would be utilized for the expansion. The project will expand the existing operation into vacated space in the Kentucky Clinic as well as renovating the existing space. The expansion is needed to provide additional clinic space for the overcrowded Ophthalmology Department services. This expansion will allow for improvements in efficiency and in customer satisfaction within this clinic.

Project Status:

This project is being evaluated as part of the master plan and is on hold at this time.

KY Swine Development & Training Ctr. Feed Mill (Woodford County)

Project Description:

Revised project will construct a feed mill on the Woodford County Animal Research Center within either the sheep or swine unit. AG Engineering will design the mill utilizing new components and some equipment from the Cold Stream Farm feed mill when it is demolished.

Project Status:

The project was delayed 2 to 3 weeks while the College of Agriculture prepared Final CD documents, but final documents were delivered to CPMD at the end of October.

Upgrade Surgical Services

Project Description:

This project will renovate existing space to develop a Same Day Surgery Intake Unit; will relocate surgical offices adjacent to the operating rooms in the Critical Care Center to expand the Post Anesthesia Care Unit; will develop a Pre-op, PACU, and waiting space in the main hospital building dedicated to pediatric patients; and will renovate the 1st floor surgical waiting area. The current layout and size of unit causes numerous inefficiencies in the department. The amount of PACU beds is too few based on industry standards. This renovation will allow for improved operational efficiencies of the operating rooms and will provide for an improved patient experience with the development of the same day surgery intake unit. This space is connected to the Hospital's central chilled water and steam systems (coal or gas fired boilers/chillers).

Project Status:

The project advertised for consulting services on September 21, 2005. The short list was held on October 12th, and interviews were conducted on October 21, 2005. Stengel Hill Architecture has been selected as Consultant.

American Cancer Society – Hope Lodge & Office Building

Project Description:

The project entails construction of two buildings for the American Cancer Society. The Hope Lodge, a three story, 34 unit, 25,377 gross square foot residential care facility will provide rooms for cancer treatment patients and their families while they are receiving treatments in Lexington hospitals. The Office Building, a one story, 5,052 gross square foot building will house the local offices of the American Cancer Society. The building complex will be located on Sports Center Drive, also including parking areas for both facilities, a shared terrace between the buildings, landscaping, site lighting and a small parking lot for the existing "K" Association House next door.

Project Status:

Utility relocation is ongoing as well as foundation excavation for both the buildings. Construction is expected to complete in October of 2006.

ARS - Agriculture Project

Project Description:

The Forage Animal Production Research Laboratory will serve the Forage Animal Production Research Unit for the USDA - ARS on the campus of the University of Kentucky. The mission of the FAPRU is to improve productivity, profitability, competitiveness and environmental sustainability of forage based enterprises within the transition zone of the Easter and Midwestern United States. Multidisciplinary teams to work to identify, evaluate, and manipulate genetic and physiological factors, using for the enhancement of food animal and equine health and

performance in forage based enterprises as well as to improve forage plant persistence, quality, and production.

The three to four story building, approximately 65,000 gross square foot, will house research labs, equipment and support rooms, offices and conferences rooms. The program also includes approximately 12,000 gross square foot for greenhouses and head house.

Project Status:

Continue Programming review meetings this month. A site evaluation matrix was prepared and presented to UK on September 27, 2005. UK concurred that a site adjacent to Farm Road and west of the Good Barn was suitable for the ARS building. At the Design Charette Meeting the College of Agriculture approved the building site and a 50 year easement. The information will be prepared by USDA and forwarded to UK.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Biomedical /Biological Sciences Research Bldg

Project Number: 1876.0

Scope: $75,023,719

Project Description:

BBSRB is a state of the art facility for collaboration in research and graduate education in biological chemistry, genetics, molecular and cellular biology, neuroscience and related fields. This project was designed by A.M. Kinney and ZBA of Cincinnati and Venturi, Scott Brown of Philadelphia.

Consultant: A.M. Kinney

Contract # A001400		Original Contract Amount:	$5,600,000
Total Amendments to Date:	5	Cumulative Amendment Amount:	$814,079
Describe all amendments :		Revised Contract Amount:	$6,414,079

Amendment #A1, 12/11/01, an increase of $485,742.00, was approved to provide consultant services to include the addition of a pedestrian bridge to the main campus, expanded Vivarium facilities and the addition of space for an amenity feature. **Amendment #2,** 10/8/02, an increase of $204,750.00, was approved to provide for owner requested changes to the design during the construction document phase and for reimbursable expenses for printing and HB&C plan review fees. **Amendment #3,** 6/10/03, an increase of $95,662, was approved for additional service during the Bidding Process which includes Specification and Bidding of a Boiler for the CUP, Revision of Division 1700 Specifications to current standards and analysis of multiple bid packages. **Amendment #4,** 3/9/04, an increase of $20,425, was approved for additional design services as required to support application for a federal grant. This amendment was also for additional design services to redesign the spine due to the discovery of concealed utilities, and for the redesign of site work to accommodate the demolition of an existing building. **Amendment #5,** 03/08/2005, an increase of $7,500.00 was approved for additional design services to upgrade/modify some of the electrical panels as a result of equipment and systems being moved in.
No amendments this quarter.

Contractor: Gilbane (Construction Manager At-Risk)

Note: This is 'CM-At-Risk' contract. The contracted amount will be increased as sub-contracts are bid and added. *Gilbane's contract was awarded by RFP process.

Contract # X203535		Original Contract Amount:	$60,301,023
Total Change Orders to Date:	246	Cumulative Change Order Amount:	$2,375,848
Low Bid:		Revised Contract Amount:	$62,676,871
High Bid:		Contract Percent Complete:	100%
Number of Bids:			

Describe all change orders greater than $25,000.00:

Change Order #27, 1/9/03, was approved for $32,683 to delete Adsco steam expansion joints from Specification 15121CUP. After bid, issues were discovered with one of the specified expansion joints, as such this manufacurer was eliminated from specification, resulting in additional cost for alternate joints. **Change Order #40,** 3/14/03 was approved for $72,705 to incorporate revisions to pumping systems and valves. **Change Order #44,** 3/17/03, was approved for $82,037 to change direct buried steam piping Multitherm 500 System Class A. This will provide a more durable protective jacket for steam piping. **Change Order #45,** 3/28/03, was approved for $48,745 to revise circuit breaker specification and to relocate bus differential relays. **Change Order #49,** 4/8/03, was approved for $42,430 to undercut BBSRB ground floor from column line 8 north as required due to unsuitable soils and uneven rock. **Change Order #59,** 5/20/03, was approved for $87,614 because it was deterrmined that certain portions of the plumbing design did not comply with the Kentucky HB&C requirements as interpreted by the reviewer. **Change Order #61,** 5/23/03, was approved for $117,246 to revise the RO/DI water system in the BBSRB to increase the quality of water provided at the labs to a Level II. **Change Order #70,** 6/11/03, was approved for $26,383 to revise routing of ductbanks east of CUP. **Change Order #71,** 6/11/03 was approved for $35,484 to provide additional down leads for the Lightning Protection System required to obtain U.L. Listing. **Change Order #77,** 7/21/03, was approved for $170,684 to revise the electrical switch gear and associated bus ducts. The feeds for the CUP were converted from the 4160V to 480V to accomidate operational safety considerations. **Change Order #89,** 8/22/03, was approved for $112,333, to provide reimbursement for costs incurred as a result of the storm event on May 15, 2003. This was reimbursed thru the Builders Risk Insurace Policy held by the University. **Change Order #109,** 10/21/03, was approved for $36,466 to provide temporary heating . **Change Order #110,** 10/21/03, was approved for $57,460, to provide a resinous flooring system. **Change Order #120,** 11/24/03, was approved for $47,518 to modify ground floor ceiling to a stud frame. **Change Order #121,** 12/3/03, was approved for $25,793 to provide freezer monitoring. **Change Order #125,** 12/9/03, was approved for $40,000 to modify concrete columns at bridge. **Change Order #135,** 1/21/04, was approved for $116,760 for addition of ductwork to animal rooms. This CO provided dedicated exhaust for the caging systems being purchased for the DLAR facilities. Installation of this ductwork reduced the cost of the caging systems in excess of $200,000. **Change Order #136,** 1/21/04, was approved for $25,811 to revise HVAC layout in the Cafe. The space allowed in the original design was not sufficient for the services to be installed. **Change Order #140,** 1/21/04, was approved for

$78,477 to provide Energex ceiling on the ground floor. This CO upgraded the ceiling in the DLAR facilities to allow for improved wash down, maintenance and disinfecting operations. **Change Order #148,** 2/24/04, was approved for $30,000 to modify concrete columns at bridge. This CO covers corrective work to adjust concrete column height. The consultant will be back charged for this work as it resulted from incorrect instructions to the contractor. **Change Order #150,** 3/9/04, was approved for $51,606 to provide chain link fencing, gates and accessories. This CO was to have been in site paving package that did not bid until April. The CO was issued to another trade contractor in maintain the construction schedule. **Change Order #153,** 3/30/04, was approved for $57,806 to provide new intake ventilators, painted discharge grill and masonry wall. The original design did not provide sufficient intake air for the emergency generator. **Change Order # 158,** 04/09/04, was approved for $41,023.00 to revise sitework **Change order #161,** 04/16/01, was approved for $34,426 to add additional VAV's and associated ductwork to Imaging Suite. **Change order #163,** 04/28/04, was approved for -$25,203 to credit funds approved for rework of bridge columns. **Change order #226,** 09/15/04, was approved for $31,463 to relocate generator muffler/exhaust to exterior of building. The required size of the generator did not provide required headroom inside the building to install as originally indicated. **Change order #237**, 09/30/04, was approved for $32,968 to provide cabling for elevator communications intercoms from each elevator in the BBSRB to the UK MC dedicated intercom system. **Change Order #270,** 03/07/05, was approved for $36,381 to add gravity ventilators and smoke dampers at the elevator equipment rooms. **No change orders greater than $25,000 this quarter.**

Center for Pharmaceutical & Science Technology (CPST Bldg.)

Project Number: 2163.0

Scope: $12,000,000

Project Description:

The CPST operation will be located in the small buildings zone of the Coldstream Research Park. Some of the operation presently located on the 1st floor of the College of Pharmacy building will be relocated to the new operation in Coldstream.

Consultant: CE & IC / Lockwood Greene Engineers, Inc.

*Multiple consultants have been hired.
The $ amounts represent the sum of all contracts.

Contract #	A041040 / A051060	Original Contract Amount:	$1,165,000
Total Amendments to Date:	2	Cumulative Amendment Amount:	$29,900
Describe all amendments :		Revised Contract Amount:	$1,194,900

Contract A051060, Amendment #1, 02/08/05, an increase of $17,500.00, was approved to complete conceptual design and a cost estimate for the CPST Lexel Building alternative. **Amendment #2, 06/14/05,** an increase of $12,400.00 was approved for additional design of roof drainage and revision of storm drainage. **No amendments this quarter.**

Contractor: Messer Construction

* Messer's contract was awarded by RFP process.

Contract #	X404999 & X504626	Original Contract Amount:	$12,970,247
Total Change Orders to Date:	8	Cumulative Change Order Amount:	-$4,671,004
Low Bid:		Revised Contract Amount:	$8,299,243
High Bid:		Contract Percent Complete:	49%
Number of Bids:			

Describe all change orders greater than $25,000.00:

Change Order #1, 06/18/2004 , was approved for -$4,622,955.00 to reduce the scope of the Design/Build Contract to eliminate the remaining design and construction of the "clean room" areas and building utilities. The manufacturing functions and equipment has changed due to the users' realignment of their processes. The University determined that redesign of the clean room spaces should be done outside of the design/build contract. **Change Order #2,** 04/21/05, was approved for -$78,807.00 to eliminate all remaining interior work from current contract, and add under slab utilities, second floor structure for mechanical room and roof drainage. **Change Order #3,** 05/03/05, was approved for $31,991.00, to provide and install an electrode conductor and quazite pull box into the electric room for future equipment connections. **No change orders greater than $25,000.00 this quarter.**

Construct Parking Structure (PS #6 & #7)

Project Number: 2158.1

Scope: $23,630,000

Project Description:

This project will construct two parking structures located on the University of Kentucky central campus. Virginia Avenue and Complex Drive were selected as the sites for these two structures. The structures house 1,312 parking spaces (PS #6 contains 732 spaces and PS #7 contains 580 spaces) and 10,000 sq. ft. of office space. The structures will serve a mixed use of students, faculty, staff and visitors.

Consultant: HNTB

Contract # A041060		Original Contract Amount:	$939,790
Total Amendments to Date:	1	Cumulative Amendment Amount:	$49,900
Describe all amendments :		Revised Contract Amount:	$989,690

Amendment #1, 7/13/04, an increase of $49,900 was approved for design services and expenses for the re-design of the buildings' facades (materials & elevation design). **No amendments this quarter.**

Contractor: Messer Construction Co.

*Messer's contract was awarded by RFP process.

Contract # X501385		Original Contract Amount:	$18,227,000
Total Change Orders to Date:	19	Cumulative Change Order Amount:	$2,179,272
Low Bid:		Revised Contract Amount:	$20,406,272
High Bid:		Contract Percent Complete:	65%
Number of Bids:			

Describe all change orders greater than $25,000.00:

Change Order #2, 01/06/05, was approved for $100,080.00 to provide for changes in the live load structural design of PS #6. Change order #4, 02/23/05, was approved for $195,522.00 to include an additional tennis court and to modify grading and drainage. **Change order #5,** 02/23/05, was approved for -$51,660.00 to delete the scope of all work associated with the basketball court addition originally planned. **Change order #11,** 05/31/05, was approved for $119,290.00 for revisions to underground domestic water and fire services at PS#6. The KAWC owned line required new services, to be installed by their approved contractor, including a new vault in the KAWC easement along Virginia Ave. and a separate line to serve domestic water and fire service.

Change order #13, 05/31/05, was approved for $1,797,284.00 to include an additional parking level to PS#6. The university recognized that additional parking will be necessitated by the upcoming construction of the Hospital Expansion project. The additional funding was made available by the UK Parking & Transportation Services. **No change orders greater than $25,000 this quarter.**

Construct Student Health Facility

Project Number: 2228.0

Scope: $24,000,000

Project Description:

University Health Services will be an outpatient clinic with support spaces and some administrative offices. This project will create additional space by constructing a new building of 65,000 gross square feet. The site will be in the courtyard framed by the Wethington Building, Warren Wright Medical Plaza and the Sanders Brown Center on Aging.

Consultant: Omni Architects

Contract # A061070	Original Contract Amount:	$1,332,600
Total Amendments to Date:	Cumulative Amendment Amount:	
Describe all amendments :	Revised Contract Amount:	$1,332,600

No amendments this quarter.

Contractor:

Contract # No construction contracts awarded to date.	Original Contract Amount:	
Total Change Orders to Date:	Cumulative Change Order Amount:	
Low Bid:	Revised Contract Amount:	
High Bid:	Contract Percent Complete:	
Number of Bids:		

Describe all change orders greater than $25,000.00:

Design Patient Bed Tower - Hospital [Clinical Enterprise Facilities Master Plan]

Project Number: 2099.0

Scope: $10,000,000

Project Description:

The Hospital's present patient tower is approximately 40 years old. Although the space served patients well, the infrastructure is aging, and the facility can not accommodate present anticipated technology. This project will provide the site location evaluation, building programming, planning, and design services for a new bed tower. The project design team is lead by GBBN with major sub consultants including AM Kinney, Ellerby-Becket, Staggs & Fisher, Affiliated Engineers, THP Limited as well as a number of specialty consultants. This project provides much of the authority for the design of the Construct Patient Care Facility, Project 2239.0.

Consultant: KSA and GBBN, Inc.

*Multiple consultants have been hired.

The $ amounts represent the sum of all contracts. See below for breakout.

Contract # K04-137/A051130	Original Contract Amount:	$978,160
Total Amendments to Date: 4	Cumulative Amendment Amount:	$8,422,354
Describe all amendments :	Revised Contract Amount:	$9,400,514

KSA, K04-137	Original Contract Amount::	$478,160
Total Amendments to Date: 2	Cumulative Amendment Amount:	$258,500
	Revised Contract Amount:	$736,660

Amendment #1, 01/11/05, an increase of $121,000.00 was approved for additional work for a Traffic Study as well as a Parking Study. **Amendment #2, 07/12/05, an increase of $137,500.00 was approved for additional consulting services for the School of Medicine and the Ambulatory Care area.**

GBBN, Inc., A051130	Original Contract Amount:	$500,000
Total Amendments to Date: 2	Cumulative Amendment Amount:	$8,163,854
	Revised Contract Amount:	$8,663,854

Note: This Patient Bed Tower design contract will expand and increase as the project moves forward. While listed as an "amendment" it is in fact simply a planned and phased implementation of the overall negotiated design contract.

A051130, Amendment #1, was approved on 05/10/05. This amendment for $1,572,700.00 incorporates the agreements reached on the scope of services necessary to develop the Master Planning and Gross Programming through the year 2020 and the Detailed Programming for the first phase 1A of the project. **Amendment #2, was approved on 09/13/05. This amendment for $6,591,154 .00 includes the schematic design services of all elements of the project to include the Hospital and Concourse, the Garage and the Infrastructure as well as full design of the Garage and Infrastructure.**

Contractor:

Contract # No construction contracts awarded.	Original Contract Amount:	
Total Change Orders to Date:	Cumulative Change Order Amount:	
Low Bid:	Revised Contract Amount:	
High Bid:	Contract Percent Complete:	
Number of Bids:		

Describe all change orders greater than $25,000.00:

Construct Patient Care Facililty

Project Number: 2239.0

Scope: $200,000,000

Project Description:

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

Consultant: GBBN, Inc.

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

See Project 2099.0: Design Patient Bed Tower - Hospital/Clinical Enterprise Master Plan.

Contractor: Gilbane (Construction Manager At-Risk)

Note: This is a 'CM-At-Risk' contract. The contracted amount will be increased as sub-contracts are bid and added.
*Gilbane's contract was awarded by RFP process. Contract negotiation underway.

Contract #

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

Describe all change orders greater than $25,000.00:

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

PCF - Virginia Avenue Extension

Project Number: 2239.1

Scope: $5,000,000

Project Description:

GMP#1. This is a portion of the larger Patient Care Facility Project (2239.0). This package will link Huguelet Drive to Virginia Avenue at the current Clinic Drive location. The new road will provide an east-west link from University Drive to the west side of campus at Virginia Avenue. New signalization and bike paths are included to provide additional safety along the route. New entries to existing parking lots will be constructed and perpendicular parking will be removed between University Drive and Rose Street. The entire route will receive new landscaping and way-finding signage that will tie to both the Medical Center and Main Campus standards.

Consultant: Wilbur Smith Associates

Contract # A061050

Original Contract Amount: $400,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: $400,000

No amendments this quarter.

Contractor:

Contract # No construction contract awarded to date.

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

Describe all change orders greater than $25,000.00:

PCF - Parking Garage

Project Number: 2239.2

Scope: $25,071,000

Project Description:

GMP#2. This is a portion of the larger Patient Care Facility Project (2239.0). This package will construct a 410,000 square foot, five level parking structure that will have an 1,125 car capacity. The new garage will be located on the west side of Limestone Street, between Conn Terrace and Transcript Avenue. This structure will replace the existing Med Center parking garage that must be demolished in order to tie the new Patient Care Facility to the existing Medical Center. A future pedestrian bridge will connect the new structure to the Patient Care Facility and the design has allowed for the future addition of approximately 15,000 square feet of retail space fronting Limestone.

Consultant: GBBN, Inc.

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

See Project 2099.0: Design Patient Bed Tower - Hospital/Clinical Enterprise Master Plan.

Contractor:

Contract # No construction contract awarded to date.

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

Describe all change orders greater than $25,000.00:

PCF - Infrastructure

Project Number: 2239.3

Scope: $50,000,000

Project Description:

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

Consultant: GBBN, Inc.

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

See Project 2099.0: Design Patient Bed Tower - Hospital/Clinical Enterprise Master Plan.

Contractor:

Contract # No construction contract awarded to date.

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

Describe all change orders greater than $25,000.00:

PCF - Demolition and Foundations

Project Number: 2239.4

Scope: $32,085,000

Project Description:
GMP#4. This is a portion of the larger Patient Care Facility Project (2239.0). The package will contain the demolition of the existing Parking Structure #4. The work on this GMP will involve the start of all deep foundations up to the grade surface of the excavation.

Consultant: GBBN, Inc.

Contract #
Original Contract Amount:
Total Amendments to Date:
Cumulative Amendment Amount:
Describe all amendments :
Revised Contract Amount:
See Project 2099.0: Design Patient Bed Tower - Hospital/Clinical Enterprise Master Plan.

Contractor:

Contract # No construction contract awarded to date.
Original Contract Amount:
Total Change Orders to Date:
Cumulative Change Order Amount:
Low Bid:
Revised Contract Amount:
High Bid:
Contract Percent Complete:
Number of Bids:
Describe all change orders greater than $25,000.00:

PCF - Core and Shell

Project Number: 2239.5

Scope: $126,985,000

Project Description:
GMP#5. This is a portion of the larger Patient Care Facility Project (2239.0). This package will contain the construction of the new 1,012,000 gross square feet building's structural frame, fireproofing, exterior wall enclosure for all new building spaces, windows, exterior doors and roofs. Also included will be all exterior site improvements, civil design for roadways, drainage systems, landscaping, hardscape surfaces and walks.

Consultant: GBBN, Inc.

Contract #
Original Contract Amount:
Total Amendments to Date:
Cumulative Amendment Amount:
Describe all amendments :
Revised Contract Amount:
See Project 2099.0: Design Patient Bed Tower - Hospital/Clinical Enterprise Master Plan.

Contractor:

Contract # No construction contract awarded to date.
Original Contract Amount:
Total Change Orders to Date:
Cumulative Change Order Amount:
Low Bid:
Revised Contract Amount:
High Bid:
Contract Percent Complete:
Number of Bids:
Describe all change orders greater than $25,000.00:

PCF - Fit-up

Project Number: 2239.6

Scope: $103,305,000

Project Description:
GMP#6. This is a portion of the larger Patient Care Facility Project (2239.0). This package will contain the remaining interior fit-out partitions, interior finishes, doors and frames, ceilings, mechanical systems, electrical systems, technology systems, medical equipment and fire protection for approximately 490,000 occupieable square feet and 532,000 of shell space. The package also would contain drawings and specifications for signage, interior furnishings and lighting.

Consultant: GBBN, Inc.

Contract #
Original Contract Amount:
Total Amendments to Date:
Cumulative Amendment Amount:
Describe all amendments :
Revised Contract Amount:
See Project 2099.0: Design Patient Bed Tower - Hospital/Clinical Enterprise Master Plan.

Contractor:

Contract # No construction contract awarded to date.
Original Contract Amount:
Total Change Orders to Date:
Cumulative Change Order Amount:
Low Bid:
Revised Contract Amount:
High Bid:
Contract Percent Complete:
Number of Bids:
Describe all change orders greater than $25,000.00:

Electronic Access Rural Demonstration Project College of Law - Phase II

Project Number: 2198.2

Scope: $882,000

Project Description:
This project will serve to expand and further the initiative of Phase I of Electronic Rural Access for the College of Law. The following is included in the scope:

1) Virtual reference services in five (5) remote access locations in rural counties of Kentucky.
2) Electronic retrieval, storage and dissemination of video court records.
3) Smart Classroom installations in four (4) classrooms and the Courtroom in the UK College of Law.
4) Electrical and data infrastructure to support the above items.

Consultant:

Contract # No consultant contract awarded.
Original Contract Amount:
Total Amendments to Date:
Cumulative Amendment Amount:
Describe all amendments :
Revised Contract Amount:

Contractor: Denham-Blythe

Contract # X600299		Original Contract Amount:	$44,900
Total Change Orders to Date:	2	Cumulative Change Order Amount:	$71,792
Low Bid:		Revised Contract Amount:	$116,692
High Bid:		Contract Percent Complete:	100%

Number of Bids:
Describe all change orders greater than $25,000.00:
Change order #1, 8/4/05, was approved for $69,369.00 to provide for all architectural and electrical work required to complete the installation of the audio/visual equipment, including additional electrical service and panel.

Expand Cancer Infusion Suites - Hospital

Project Number: 2229.0

Scope: $1,600,000

Project Description:
This project is for the expansion of the chemotherapy infusion program into the 2nd floor of the Davis Millis portion of the Whitney Hendrickson Building. The existing infusion operation is located in the first floor of the same facility directly below the proposed expansion. The demand for chemotherapy infusion services has exceeded the available clinic space capacity causing patients to use inpatient facilities for outpatient services or to wait for needed treatments. The renovation will also provide urgent treatment cancer services that are not currently provided by the cancer center.

Consultant: Stengel-Hill Architects

Contract # A061060	Original Contract Amount:	$84,500
Total Amendments to Date:	Cumulative Amendment Amount:	
Describe all amendments :	Revised Contract Amount:	$84,500
No amendments this quarter.		

Contractor:

Contract # No construction contract awarded to date.	Original Contract Amount:	
Total Change Orders to Date:	Cumulative Change Order Amount:	
Low Bid:	Revised Contract Amount:	
High Bid:	Contract Percent Complete:	
Number of Bids:		

Describe all change orders greater than $25,000.00:

Expand Emergency Services - Hospital

Project Number: 2236.0

Scope: $4,500,000

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

Consultant: GBBN, Inc.

Contract # A061090	Original Contract Amount:	$265,000
Total Amendments to Date:	Cumulative Amendment Amount:	
Describe all amendments :	Revised Contract Amount:	$265,000
No amendments this quarter.		

Contractor:

Contract # No construction contract awarded to date.	Original Contract Amount:	
Total Change Orders to Date:	Cumulative Change Order Amount:	
Low Bid:	Revised Contract Amount:	
High Bid:	Contract Percent Complete:	
Number of Bids:		

Describe all change orders greater than $25,000.00:

Expand Outpatient Radiology (Temporary MRI)

Project Number: 2240.0

Scope: $482,154

Project Description:
This project is for renovation and expansion of existing outpatient Radiology clinic located in the Kentucky Clinic. Adjacent available space will be utilized for the expansion. This expansion is needed to provide additional clinic space for the overcrowded outpatient Radiology Department services. The expansion of radiology services into this space will provide additional capacity to serve the various clinics in Kentucky Clinic.

Consultant: No consultant contract awarded.

Contract #	Original Contract Amount:	
Total Amendments to Date:	Cumulative Amendment Amount:	
Describe all amendments :	Revised Contract Amount:	

Contractor: Denham-Blythe

Contract # X601027	Original Contract Amount:	$171,872
Total Change Orders to Date:	Cumulative Change Order Amount:	
Low Bid:	Revised Contract Amount:	$171,872
High Bid:	Contract Percent Complete:	40%
Number of Bids:		

Describe all change orders greater than $25,000.00:

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

Expand & Upgrade Livestock Disease Diagnostic Lab

Project Number: 2234.0

Scope: $8,500,000

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

Consultant: CMW, Inc.

Contract # A061100	Original Contract Amount:	$648,000
Total Amendments to Date:	Cumulative Amendment Amount:	
Describe all amendments :	Revised Contract Amount:	$648,000

No amendments this quarter.

Contractor:

Contract # No construction contract awarded to date.	Original Contract Amount:	
Total Change Orders to Date:	Cumulative Change Order Amount:	
Low Bid:	Revised Contract Amount:	
High Bid:	Contract Percent Complete:	
Number of Bids:		

Describe all change orders greater than $25,000.00:

Fit Up 4th Floor in BBSRB

Project Number: 2227.0

Scope: $9,600,000

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

Consultant: A.M. Kinney

Contract # A051120	Original Contract Amount:	$415,000
Total Amendments to Date:	Cumulative Amendment Amount:	
Describe all amendments :	Revised Contract Amount:	$415,000
No amendments this quarter.		

Contractor:

Contract # No construction contract awarded to date.	Original Contract Amount:	
Total Change Orders to Date:	Cumulative Change Order Amount:	
Low Bid:	Revised Contract Amount:	
High Bid:	Contract Percent Complete:	
Number of Bids:		

Describe all change orders greater than $25,000.00:

Memorial Coliseum Expansion

Project Number: 2196.0

Scope: $30,000,000

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

Consultant: Sherman-Carter-Barnhart/HNTB

Contract # A041080	Original Contract Amount:	$2,000,000
Total Amendments to Date: 0	Cumulative Amendment Amount:	
Describe all amendments :	Revised Contract Amount:	$2,000,000
No amendments this quarter.		

Contractor: Messer Construction (Construction Manager-At-Risk)
Note: This is a 'CM-At-Risk' contract. The amount will be increased as sub-contracts are bid and added.
*Messer's contract was awarded by RFP process.

Contract # X502765	Original Contract Amount:	$24,826,864
Total Change Orders to Date: 1	Cumulative Change Order Amount:	$4,935
Low Bid:	Revised Contract Amount:	$24,831,799
High Bid:	Contract Percent Complete:	9%
Number of Bids:		

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate Commonwealth Stadium Locker Room

Project Number: 2226.0

Scope: $690,000

Project Description:
This project will serve to expand and renovate the football team's defensive squad locker room to allow both offense and defense to gather in one space. Currently the two squads have separate locker rooms connected by a passageway. Restroom and shower facilities will be relocated. New HVAC systems, exhaust fans, lockers, ceiling treatments and floor coverings are included in this project.

Consultant: James W. Potts Architects

Contract #	A051000II Assn #4	Original Contract Amount:	$30,000
Total Amendments to Date:		Cumulative Amendment Amount:	
Describe all amendments :		Revised Contract Amount:	$30,000

No amendments this quarter.

Contractor: Eubank & Steele Construction

Contract #	X503190	Original Contract Amount:	$580,900
Total Change Orders to Date:	12	Cumulative Change Order Amount:	$22,823
Low Bid:	$580,900	Revised Contract Amount:	$603,723
High Bid:	$716,207	Contract Percent Complete:	100%
Number of Bids:	7		

Describe all change orders greater than $25,000.00:

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

Renovate Football Practice Field - Nutter Training Center

Project Number: 2225.0

Scope: $2,250,000

Project Description:
The project involves implementation of a feasibility study completed in October of 2003 to renovate the football practice fields directly behind the Nutter Training Center. The existing fields are a "soil-based" natural turf (3 total) and the fourth is an artificial turf field. The project will be issued as a design/build RFP to install two (2) "sand-based" natural turf fields, one (1) synthetic turf field and remove the artificial turf covering on the artificial turf field so that it can be used as a parking lot. Miscellaneous associated work will include relocation of the existing camera/observation tower, new irrigation system for natural turf areas, new lighting for synthetic turf areas and adjacent natural turf areas and miscellanous electrical outlets, goal posts sleeves and timing clocks.

Consultant: No Consultant contract awarded.

Contract #		Original Contract Amount:	
Total Amendments to Date:		Cumulative Amendment Amount:	
Describe all amendments :		Revised Contract Amount:	

Contractor: Sportsfields
*Sportsfields' contract was awarded by RFP process.

Contract #	X502655	Original Contract Amount:	$1,850,937
Total Change Orders to Date:	8	Cumulative Change Order Amount:	$209,420
Low Bid:		Revised Contract Amount:	$2,060,357
High Bid:		Contract Percent Complete:	99%
Number of Bids:			

Describe all change orders greater than $25,000.00:

Change Order #2, 9/30/05, was approved for $92,315.52, to provide sand base sod for natural turf fields.
Change Order #3, 9/30/05, was approved for $28,920.00 to provide additional synthetic rubber-infill turf field surface along east and west perimeters.

Renovate Vivarium in Central DLAR Facility

Project Number: 2233.0

Scope: $2,250,000

Project Description:

This project will renovate the cage washing area, install a robotic cage washing system, and upgrade spaces to animal procedure rooms in the vivarium in the Combs Building.

The Combs Cancer Research building is approximately 75,800 gross square feet. The building was constructed in 1987 and is in good condition. The facility consists of research labs, offices, lab support areas, animal care areas, and animal care support space. The building is heated with steam from the coal fueled central plants and the cooling is supplied from the central, electric generated, chilled water plants.

Consultant: BHDP Architecture, Inc.

Contract # A061110	Original Contract Amount:	$117,458
Total Amendments to Date:	Cumulative Amendment Amount:	
Describe all amendments :	Revised Contract Amount:	$117,458

No amendments this quarter.

Contractor:

Contract # No construction contract awarded to date.	Original Contract Amount:	
Total Change Orders to Date:	Cumulative Change Order Amount:	
Low Bid:	Revised Contract Amount:	
High Bid:	Contract Percent Complete:	
Number of Bids:		

Describe all change orders greater than $25,000.00:

Student Housing Facilities
Project Number: 2153.0
Scope: $44,170,000

Project Description:
In an effort to respond to issues related to students living off campus, the University has undertaken efforts to assess its campus housing. Consistent with the recently adopted UK Physical Development Campus Plan 2050 Final Report December 2002, the University has constructed new dormitories with 684 new beds. The dormitories are configured with suites or semi-suite bedrooms and living areas. The dormitories are located at sites as identified in the Phase 1 Housing-2010 Campus Plan. New housing includes common areas, student activity spaces, academics, food services, parking and central campus utilities. Completion scheduled for summer 2005.

Consultant: Ayers/Saint/Gross

Contract # A031090		Original Contract Amount:	$545,000
Total Amendments to Date:	1	Cumulative Amendment Amount:	$187,707
Describe all amendments :		Revised Contract Amount:	$732,707

Amendment #1, 3/9/04, an increase of $187,707, was approved for consultant fees to final review documents from design/builder and provide periodic construction observations. It also covered an increase in reimbursable services to employ a Geotechnical Consultant during foundation construction. **No amendments this quarter.**

Contractor: Messer Construction
* Messer's contract was awarded by RFP process.

Contract # X404699		Original Contract Amount:	$33,775,000
Total Change Orders to Date:	98	Cumulative Change Order Amount:	$1,691,742
Low Bid:		Revised Contract Amount:	$35,466,742
High Bid:		Contract Percent Complete:	99%
Number of Bids:			

Describe all change orders greater than $25,000.00:

Change Order # 8, 05/18/04, was approved for $37,340.37 for 15kV feed from manhole to Copperstown transformer. **Change Order #11,** 05/18/04, was approved for $30,018.45 for gas line replacement and relocation. **Change Order #15,** 06/17/04, was approved for $75,900.00 for construction of structural tunnel and manhole as outlined by Fuller, Mossbarger, Scott, and May. **Change Order #18,** 06/29/04, was approved for $48,755.00 for relocation of domestic water and domestic water pit. **Change Order #26,** 08/16/04, was approved for $28,246.94 for addition of walls to enclose the electrical room from the rest of the mechanical room. **Change Orders #28 & #29,** 08/18/04, were approved for finishes in all public areas - $223,000.00 for addition of wood flooring and $64,800.00 for carpet. **Change Order #31,** 08/30/04, was approved for $102,452.00 for hardware changes to install 16 new automated door openers. **Change Order #37,** 10/19/04, was approved for -$30,312.32 as a window credit for changes requested by UK. **Change Order #46,** 12/01/04, was approved for -$86,594.00 for a landscape change/deduct. The landscaping will be coordinated by the UK Grounds department. **Change Order #58,** 03/08/05, was approved for $39,644.55 for the change from a solid retractable wall to a glass accordian partition wall in the lounges of buildings 1, 2 and 3 for visibility in the lobby classroom area. **Change Order #63 & #64,** 04/05/05, were approved for $96,839.00 and $80,845.00 respectively, for revisions of the South and North Site Sidewalks. These revisions include additional sidewalks, revised sidewalk locations, thicken pavement and additional planting curbs to benefit the long term use and care of these new facilities. **Change Order #66, 04/25/05,** was approved for $58,425.31 for the installation of student mailboxes in each of the four new residence halls. **Change Order #67,** 04/25/05, was approved for $32,716.35 for additional Life Safety Devices for the South Site to meet the UK Fire Marshall's requirements. **Change Order #81, 07/15/05, was approved for $59,800.00 to provide landscaping. The University sought independent bids for landscaping but did not receive any bidders. Messer was requested to provide the landscaping at the building entrances.**

Student Housing - Kirwan/Blanding Commons Accessibility Upgrades

Project Number: 2153.2

Scope: $555,000

Project Description:
This project is part of the "Student Housing Facilities" authority. The Kirwan/Blanding Residence Complex was built prior to the enactment of "The Americans with Disabilities Act." Currently, there are no rooms within the Kirwan/Blanding Complex that will accommodate a disabled student. The new Student Housing Facilities, being built east of the Kirwan/Blanding Complex, will be 100% accessible to the disabled. Students residing in the new housing facilities will utilize the Kirwan/Blanding Commons for dining and food service; thus, the need to renovate the facility prior to completion of the new residential facilities.

Consultant: James Potts Architects

Contract # A041110		Original Contract Amount:	$48,700
Total Amendments to Date: 0		Cumulative Amendment Amount:	
Describe all amendments :		Revised Contract Amount:	$48,700
No amendments this quarter.			

Contractor: Spectrum Contracting Services, Inc.

Contract # X501131		Original Contract Amount:	$446,555
Total Change Orders to Date: 14		Cumulative Change Order Amount:	$29,022
Low Bid: $446,555		Revised Contract Amount:	$475,577
High Bid: $579,786		Contract Percent Complete:	100%
Number of Bids: 5			

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

Student Housing - Supporting Utility Plant Upgrades

Project Number: 2153.3

Scope: $1,275,000

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

Consultant: AM Kinney

Contract # A041000GG		Original Contract Amount:	$26,315
Total Amendments to Date: 0		Cumulative Amendment Amount:	
Describe all amendments :		Revised Contract Amount:	$26,315
No amendments this quarter.			

Contractor: English Boiler & Tube Inc.
*English Boiler's contract was awarded by RFP process.

Contract # X500192		Original Contract Amount:	$245,155
Total Change Orders to Date:		Cumulative Change Order Amount:	
Low Bid:		Revised Contract Amount:	$245,155
High Bid:		Contract Percent Complete:	98%
Number of Bids:			

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

Upgrade Fume Hoods - LC - Life Safety (Research Bldg. #3)

Project Number: 2201.0

Scope: $532,000

Project Description:

The scope of work to be performed in this project includes installation of strobic fans, combination eyewash/showers and securing of hood sashes, installation of sprinklers throughout the building, the replacement of 30" X 60" ceiling tiles, and enclosing of the 2 stairwells.

Consultant: Biagi, Chance, Cummins, London and Titzer

Contract # A041020K	Original Contract Amount:	$23,700
Total Amendments to Date: 0	Cumulative Amendment Amount:	
Describe all amendments :	Revised Contract Amount:	$23,700

No amendments this quarter.

Contractor: Tri State Fire Protection

Contract # X405017	Original Contract Amount:	$170,000
Total Change Orders to Date: 1	Cumulative Change Order Amount:	$6,000
Low Bid: $170,000	Revised Contract Amount:	$176,000
High Bid: $204,800	Contract Percent Complete:	100%
Number of Bids: 3		

Describe all change orders greater than $25,000.00:

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



1

UK

Postsecondary Education Reform: The Top 20 Compact between UK and the People of Kentucky



2

The Role of the Strategic Plan

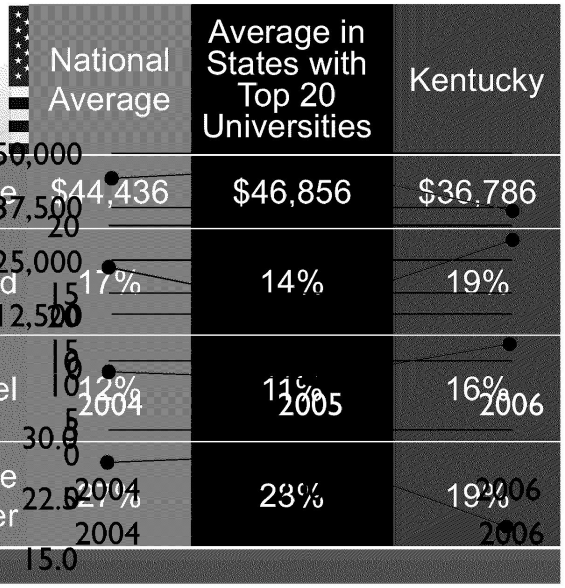
1. This Business Plan is a financial, rather than strategic, document. We now can begin the hard work of plotting our strategy for the next 14 years.
2. The next Strategic Plan (for 2006–2009) will define specific measures of quality, establish strategic goals for excellence, and direct the allocation of resources across campus.

UK's Progress so far:

Measure	Then	Now	Change	Percent Increase
Total Enrollment	24,061 (1996–97)	26,440 (2004–05)	2,379	10%
Graduation Rate	48.1 percent (1991 cohort)	59.5 percent (1998 cohort)	11.4 percentage points	24%
Research Expenditures	$124.8 mil. (1996-97)	$297.6 mil. (2003-04)	$172.8 mil.	138%
Endowment	$195.1 mil. (June 30, 1997)	$538.4 mil. (June 30, 2005)	$343.3 mil.	176%
Endowed Chairs	22 (pre-RCTF)**	95 (June 30, 2005)	73	332%
Endowed Professorships	45 (pre-RCTF)**	210 (June 30, 2005)	165	367%

Why Top 20 matters…
Quality of Life Measures

	National Average	Average in States with Top 20 Universities	Kentucky
Median Household Income	$44,436	$46,856	$36,786
Percent of Population on Medicaid	17%	14%	19%
Population Below the Poverty Level	12%	11%	16%
Population with Bachelor's Degree or Higher	27%	23%	19%

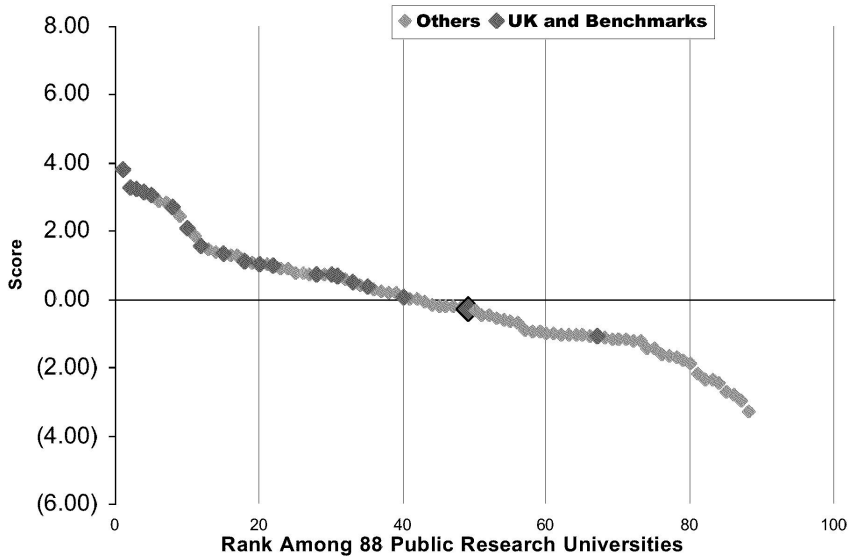


Making national comparisons

COMPOSITE SCORE

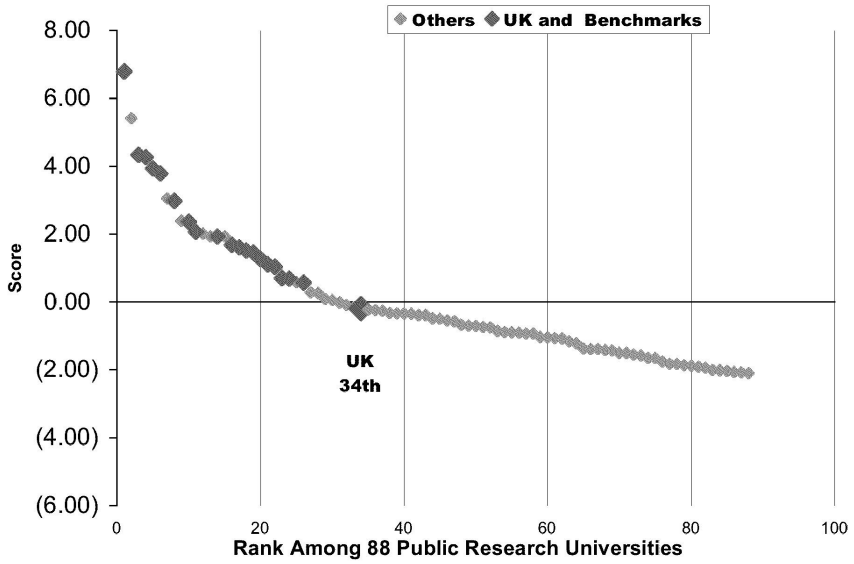
DOMAINS	MEASURES OF PROGRESS
Undergraduate Education	1 ACT/SAT 2 Student/Faculty Ratio 3 Six-year Graduation Rate
Graduate Education	4 Doctorates Granted 5 Postdoctoral Appointments
Faculty Recognition	6 Citations 7 Awards
Research	8 Federal Expenditures 9 Non-Federal Expenditures

Undergraduate Education Score
[ACT/SAT (2004), Graduation Rate (2004), and Student-to-Faculty Ratio (2004)]



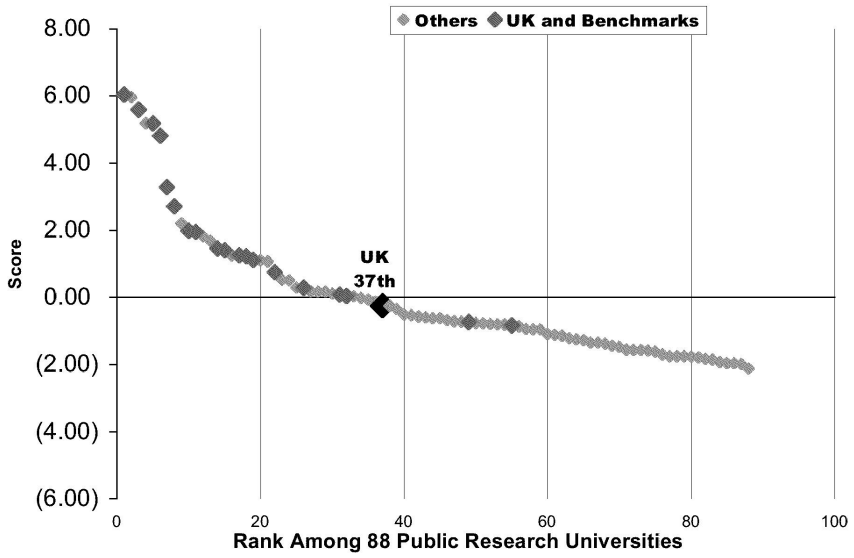
7

Graduate Education Score
[Doctorates Awarded (2004) and Postdoctoral Appointees (2002)]



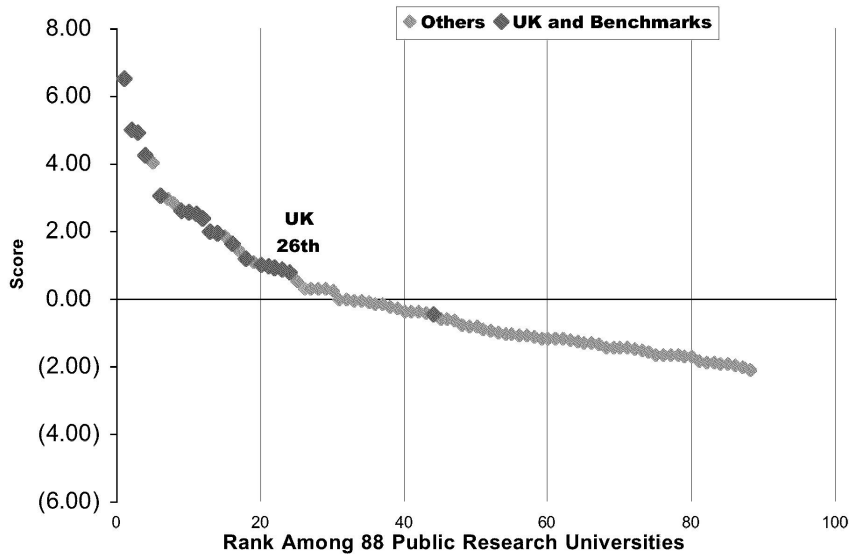
8

Faculty Recognition Score
[Citations (2000-04) and Awards (2003)]



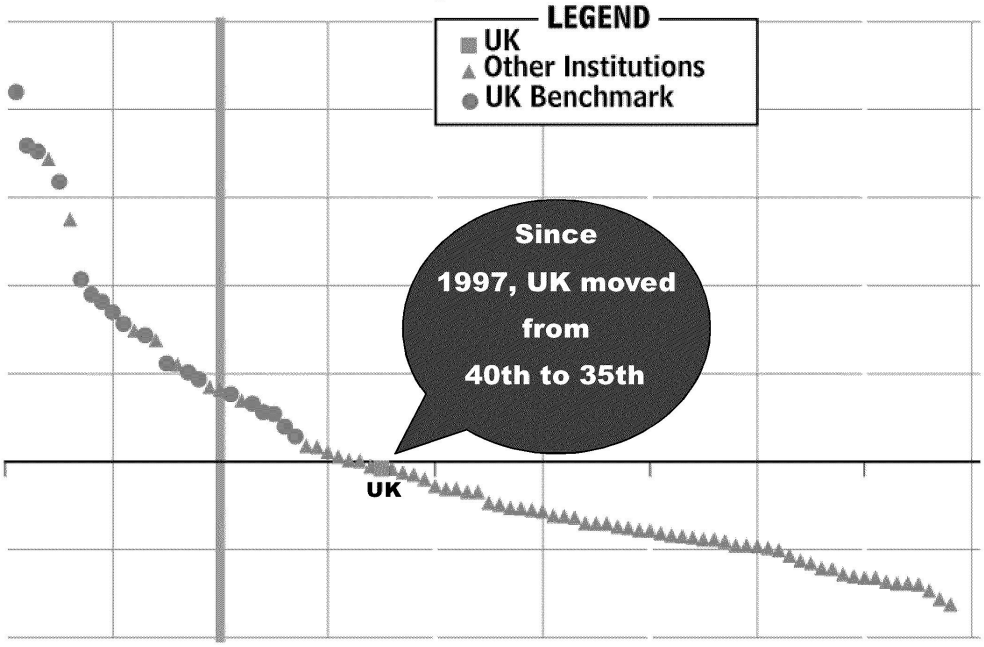
9

Research Score
[Federal and Non-Federal Research (2002)]



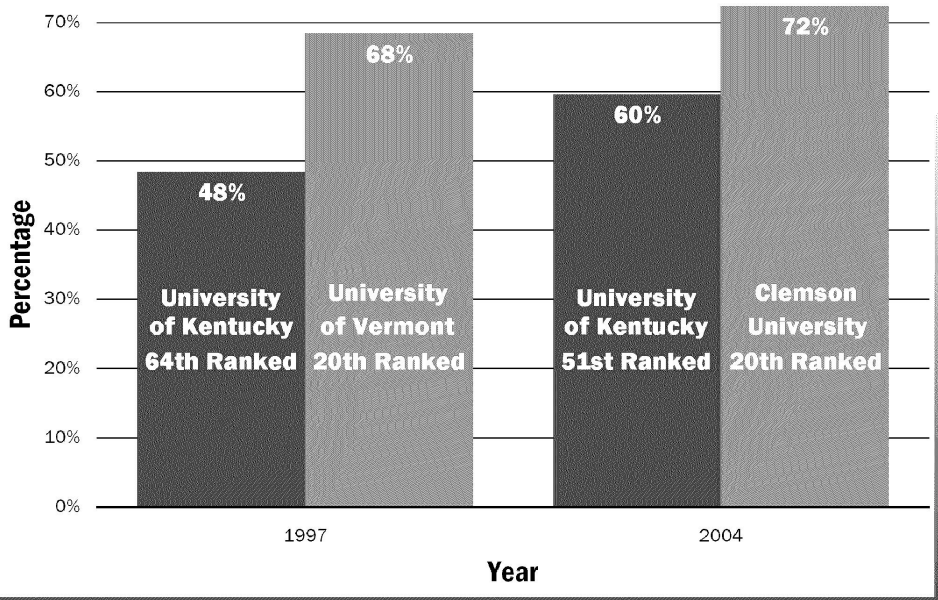
10

UK's Rank Among 88 Institutions

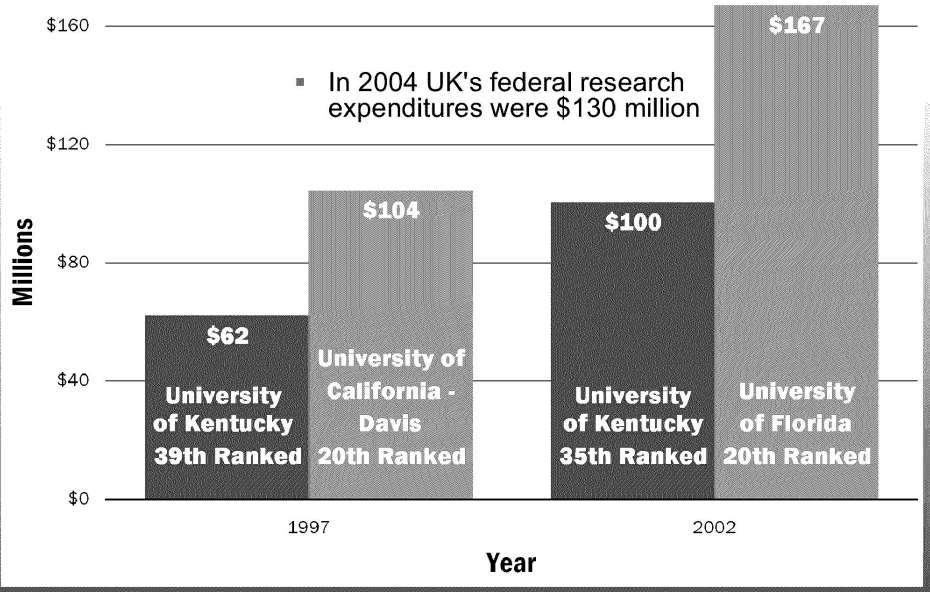


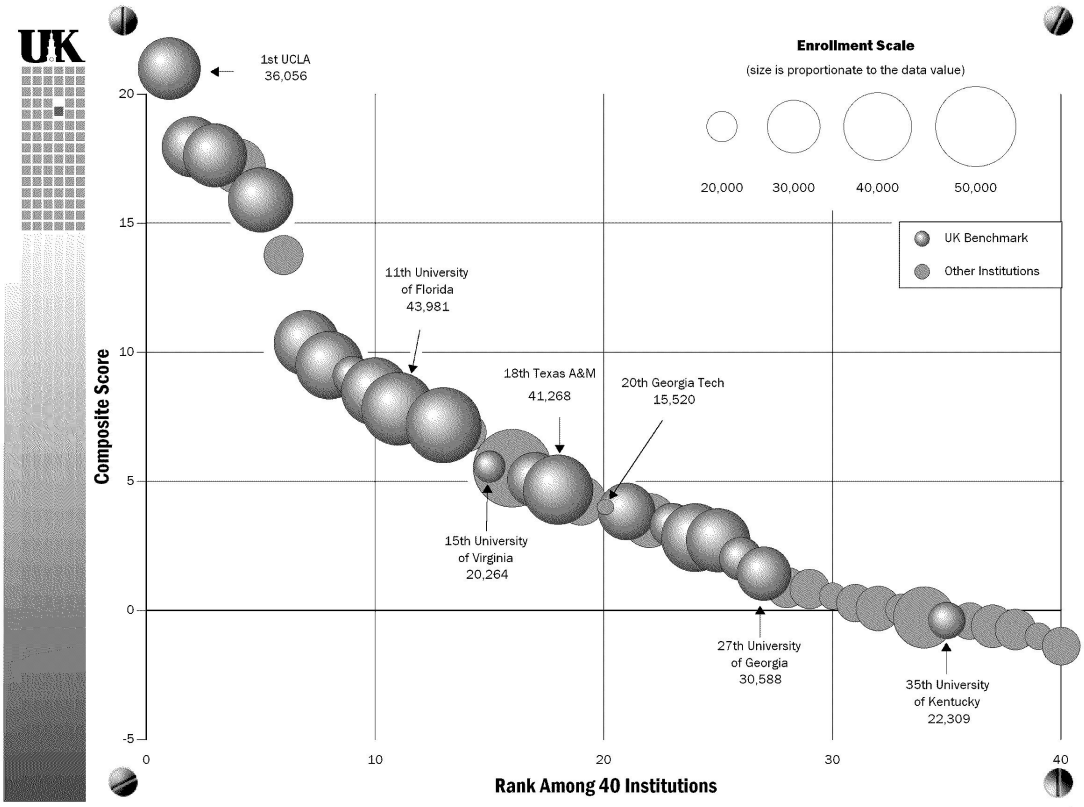
UK

Six-Year Graduation Rate



Federal Research Expenditures





Strategies for Attaining National Prominence



- Faculty growth, then enrollment growth
- Improve quality and diversity of undergraduate students
- Improve financial support to undergraduate and graduate students
- Increase the average instructional faculty salary to the benchmark median
- Maintain competitive staff salaries and benefits

Growth Targets for 2020

	2004	2020	Variance
Undergraduates	18,492	24,692	6200
Graduates, First Professional	7,252	8,002	750
Postdoctoral Appointments	295	670	375
Total	**26,039**	**33,364**	**7,325**
Faculty	1,920	2,545	625
Research Expenditures	$298 M	$768 M	$470 M
Bachelor's Degrees Granted	3,285	6,350	3,065
Doctorates Granted	276	465	189

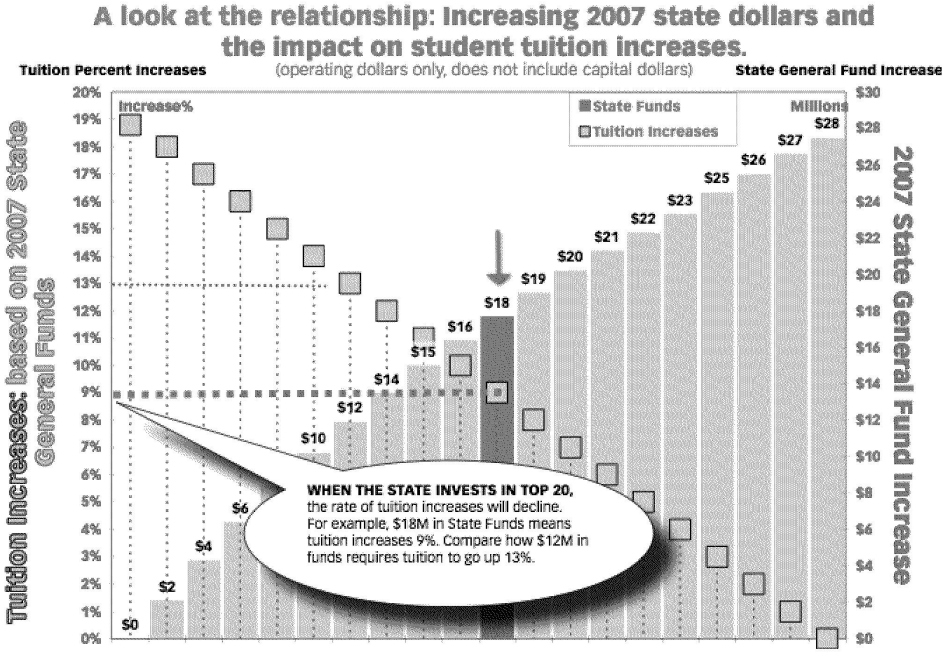
Business Plan Summary

IN MILLIONS	2006 Budget	2012 Projection	2020 Projection
General Fund Expenses	$1,176	$1,657	$2,273
General Fund Revenues	$1,176	$1,439	$1,852
• no increase in state funds • 4% tuition rate increase			
GAP:	**-**	**$218**	**$421**

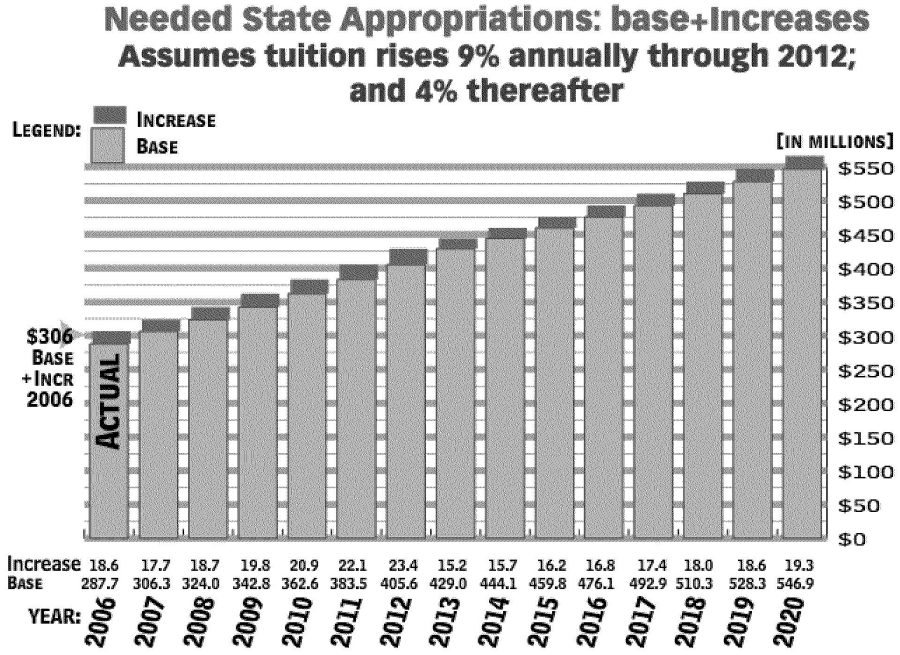
UK will provide 40 percent of the needed investments from sources such as:

- Annual Giving
- Research Recovery
- Hospital and Clinical Services
- Internal Reallocation





- The Council on Postsecondary Education recommends $13.7 million for UK in 2006–07.



Facilities

Type of Space	Assignable Square Feet (in thousands)		Cost ($Ms)
	Existing as of 2005	New Space by 2020	
Classrooms and Teaching Labs	554	245	$153
Research	885	1,070	$846
Recreation	113	209	$81
Support	2,328	268	$133
Sub-Total	3,880	1,792	$1,213
Residence Halls			
New		1,860 beds	$174
Renovated	6,000 beds		$278
Total			**$1,665**

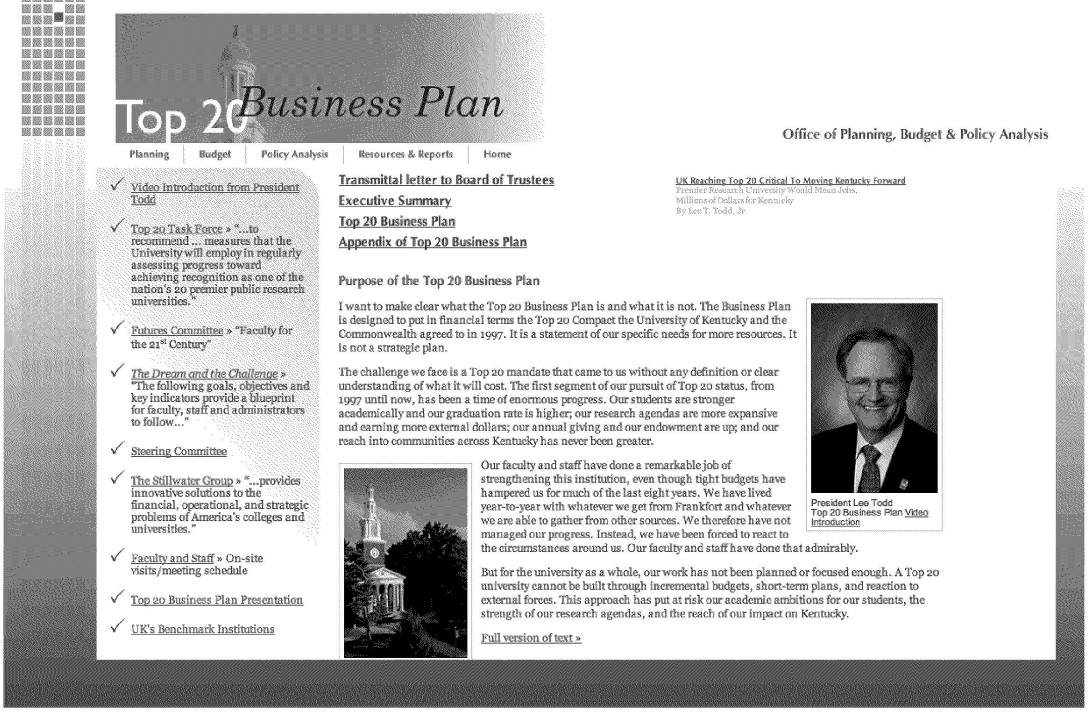
2006-08 Capital Priorities

Projects	IN MILLIONS
Biological/Pharmaceutical Complex, Phase II	$79.9
Patient Care Facility, Phase II	$175.0
Gatton Building Complex	$40.5
Bio-Medical Research Building - Design	$7.6

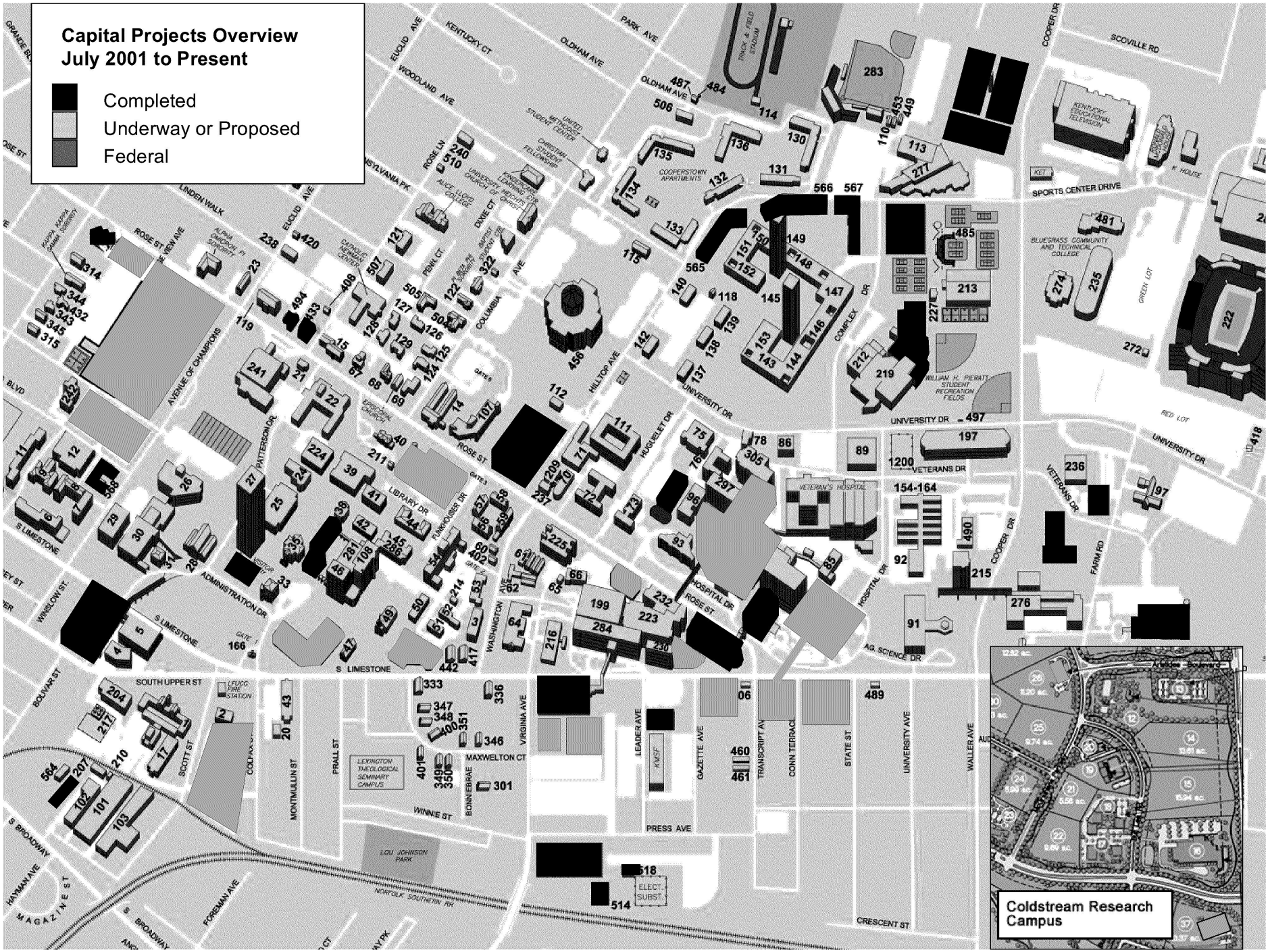
Flexibility

- Agency Bond Authority
- Increase capital, equipment and technology thresholds

www.uky.edu/top20






Capital Projects Overview
July 2001 to Present
Completed
Underway or Proposed
Federal
Coldstream Research Campus

Capital Projects Overview
July 2001 to Present

Student Services

- New North Dorm Residence Hall
- Smith, Baldwin, Ingles Residence Halls
- James W. Stuckert Career Center
- Bernard M. Johnson Student Recreation Center
- Student Health Facility

Classrooms

- Ralph G. Anderson Building
- Koinonia House
- Plant Science Building
- New College of Business and Economics Bldg
- Gatton College of Business and Economics Bldg. Renovation
- New Law School Bldg.
- Current Law School Renovation
- Chemistry Physics Building Renovation

Research Space

- Maxwell H. Gluck Equine Research Center
- Biomedical Biological Sciences Research Building
- Biological/Pharmaceutical Complex
- Pharmacy Building
- Center for Pharmaceutical Science and Research
- Bio-Medical Research Building
- Digital Technologies Building
- Agricultural Research Building (Federal)

Support Services & Infrastructure

- James F. Hardymon Building
- Main Building
- Integrated Resource Information System (IRIS) Building
- Central Utility Plant
- Parking Garage 1, 2, 3, 4, and 5

Public Service

- Livestock Disease Diagnostic Center

Health Affairs

- Marylou Whitney and John Hendrickson Cancer Facility for Women
- Charles T. Wethington, Jr. Building (Allied Health/Aging)
- Mersak/Leavell Building
- Linda and Jack Gill Heart Institute Building
- UK HealthCare Patient Care Facility
- Dental Science Building, College of Medicine

Athletics

- Football Practice Fields
- Commonwealth Stadium Locker Room Renovations
- Memorial Colisuem Expansion

Legend

- Completed
- Underway or Proposed
- Federal