

Minutes of the Meeting of the Board of Trustees
University of Kentucky
Tuesday, March 19, 2013

The Board of Trustees of the University of Kentucky met at 1:00 p.m. (Lexington time) on Tuesday, March 19, 2013 in the Board Room on the 18th floor of Patterson Office Tower.

A. Meeting Opened

Dr. E. Britt Brockman, chair of the Board of Trustees, called the meeting to order at 1:00 p.m. Chair Brockman asked Trustee Sheila Brothers, secretary of the Board, to call the roll.

B. Roll Call

The following members of the Board of Trustees answered the call of the roll: C.B. Akins, Sr., Stephen Bilas, William C. Britton, E. Britt Brockman, Sheila Brothers, Jo Hern Curris, Williams S. Farish, Jr., Oliver Keith Gannon, Carol Martin “Bill” Gatton, Kelly Sullivan Holland, Pamela T. May, Terry Mobley, Charles Sachatello, C. Frank Shoop, James W. Stuckert, Irina Voro, John Wilson, and Barbara Young. Mark Bryant and Billy Joe Miles were absent from the meeting. Secretary Brothers announced that a quorum was present.

The University administration was represented by President Eli Capilouto, Interim Provost Tim Tracy, Vice President for Health Affairs Michael Karpf, Vice President for Finance and Administration Eric Monday and General Counsel William Thro.

The University faculty was represented by Chair of the University Senate Council Lee Blonder, and the University staff was represented by Chair of the Staff Senate Mike Adams.

Guests and members of the news media were also in attendance.

C. Consent Items

Chair Brockman began by reporting that there had been no requests since the last meeting to speak or appear before the Board.

Chair Brockman called attention to the nine consent items on the agenda. The items included the minutes, with a revision, for the Board of Trustees meeting on January 29, 2013, PR 2 which deals with personnel actions, AACR 1, candidates for degree December 2012, and six FCR’s. The six FCR’s include FCR 1, Donald L. Jacobs, Sr., gift and pledge; FCR 2, Don L. Jacobs, Sr., pledge to the Gatton College of Business and Economics Capital Campaign; FCR 3, Geoffrey H. Rosenberger Pledge; FCR 4, Haymaker Foundation, Inc., Gift; FCR 5, Howard L. Lewis Pledge; and FCR 6, William E. Seale Family Foundation Pledge.

Trustee Stuckert moved approval of the consent items. Trustee Akins seconded the motion and it passed without dissent. (See consent items listed below on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

Minutes, January 29, 2013

PR 2 Personnel Actions

AACR 1 Candidate for Degree: December 2012

FCR 1 Don L. Jacobs, Sr. Gift and Pledge

FCR 2 Don L. Jacobs, Sr. Pledge to the Gatton College of Business and Economics
Capital Campaign

FCR 3 Geoffrey H. Rosenberger Pledge

FCR 4 Haymaker Foundation, Inc. Gift

FCR 5 Howard L. Lewis Pledge

FCR 6 William E. Seale Family Foundation Pledge

Trustee Brothers asked Trustee Stuckert to repeat for the entire Board his remarks made during the Finance Committee meeting earlier that morning. Trustee Stuckert reiterated his appreciation to the administration and staff for the outstanding preparation of the meeting materials.

D. Proposed Revision to Governing Regulation: Board of Trustees Committee Structure (CR 1)

Chair Brockman reported that CR 1 is the proposed revision to the Governing Regulations regarding the Board of Trustees committee structure. The recommendation was received for preliminary consideration as CR 1 on January 29, 2013. The revision is intended to streamline operations through consolidation, name change and new procedures. The revisions will take effect on July 1, 2013. Reviewed and approved by the Executive Committee and vetted by the proper channels, the revisions to the committees are as follows:

- Consolidate Academic Affairs and Student Affairs;
- Consolidate University Relations and Human Resources;
- Change the name of the Audit Subcommittee to Audit and Compliance;
- Committee reports shall be posted on line within 72 hours after the conclusion of Committee meetings; and
- Athletics and Health Care shall provide a brief update at each Board meeting if the committee has met.

Chair Brockman opened the floor for discussion. Trustee Voro requested that the Board postpone the vote on the revision. She continued that she had presented a proposal to the Executive Committee for the establishment of an additional standing committee on “good governance, accountability and ethics.” She stated that there were some language revisions that could be made and she was against the consolidation of the University Relations Committee and the Human Resources Committee. Trustee Voro made a motion to table the revision.

Chair Brockman asked for a second. Hearing none, the motion died for lack of a second. Trustee Stuckert moved the question regarding CR 1 and it passed with 17 affirmative votes and

one no vote from Trustee Voro. (See CR 1 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

F. President's Report (PR 1)

President Capilouto began his report by recognizing the acceptance of the generous gifts to support the renovation of the College of Business and Economics. In recent visits with these donors, he learned about their passion for UK; the giving back and paying forward because of what UK and the community gave to them. These donors want future generations to face the challenges and have the experiences and opportunities for growth that were presented to them.

President Capilouto was pleased to report that the annual report released by the National Merit Scholarship Corporation ranks the University of Kentucky 11th out of 123 public universities. With 71 National Merit/National Achievement Scholars, UK ranked 30th among public and private universities combined for the fall 2012 first year class. President Capilouto complimented the Enrollment Management team, led by Associate Provost Don Witt, for their outstanding efforts.

Other noteworthy accomplishments include the success of the revitalized and expanded UK Honors Program. With a revised curriculum, the program experienced a record number of applicants. With the opening of Central Hall I and II in August and 450 of the 601 beds dedicated to the Honors Program, this provides yet another way for students to create friendships and form a lasting community.

President Capilouto recognized the UK Cheerleading Squad for their runner-up finish in their bid for a 20th national championship. Head Coach Jomo Thompson and senior member Stephanie Johnson thanked President Capilouto and the Board of Trustees for their recognition and support. President Capilouto also recognized the UK Dance Team for their excellent year. The Dance Team placed eighth in the Pom competition and sixth in the Hip-Hop division. Head Coach Dawn Walters and senior Brittany Fiel thanked President Capilouto and the Board of Trustees for their recognition and support.

President Capilouto introduced Vice President for Research, Dr. Jim Tracy, to announce and introduce the 2013-14 University Research Professors. The University Research Professorships were recommended by the University Senate in 1976, and the first awards were given in March of 1977, awarded by the Board of Trustees. The University of Kentucky Research Foundation provides a cash award, which currently is \$40,000 per year. Since 1977, the University has awarded over 130 professorships. The candidates are nominated by their peers, with a peer review selection committee that reviews the nominations and selects the nominees.

The first recipient was Professor Bernhard Hennig. He received his Ph.D. in nutrition from Iowa State University and has been a UK faculty member since 1984. A professor of Nutrition and Toxicology in the College of Agriculture, he also serves as the editor—in—chief of the Journal of Nutritional Biochemistry and is the director of UK's National Institute for

Environmental Health Sciences Superfund Research Program. His primary research focus is studying the links between nutrition and cardiovascular disease.

The second recipient was Professor Mark Lovell. He received his Ph.D. from the University of Kentucky and has been a faculty member in the Department of Chemistry and the Sanders-Brown Center on Aging since 1994. He is currently the Jack and Linda Gill Professor of Chemistry in the Sanders-Brown Center. Professor Lovell's research is directed toward improving the understanding of the causes, progression and treatment of Alzheimer's disease.

The third recipient was Professor Zhongwei Shen. He received his Ph.D. from the University of Chicago and has been a faculty member in the Department of Mathematics since 1995. He is an internationally recognized expert in several interrelated areas of mathematics, primarily in the areas of partial differential equations, mathematical physics and harmonics analysis.

The final recipient was Professor Wolfgang Korsch, who received his Ph.D. from the University of Marburg in Germany. A faculty member in the Department of Physics and Astronomy since 1996, Professor Korsch is an internationally recognized expert in the field of fundamental experimental nuclear and particle physics.

Professors Hennig, Lovell, and Shen were grateful for their award and the opportunity to share with the Board of Trustees the nature of their current research projects. Due to a previous research presentation commitment, Professor Korsch was not in attendance.

G. Honorary Degrees (PR 3)

President Capilouto introduced PR 3, the recommendation for Honorary Degree Recipients. It asked that the Board of Trustees approved the awarding of the Honorary Doctor of Humanities to Deborah A. P. Hersman, Honorary Doctor of Science to Robert Milton Huffaker, and Honorary Doctor of Humanities to Jamal L. Mashburn.

Chair Brockman asked for a motion for approval of PR 3. Trustee May so moved and it was seconded by Trustee Akins. The motion passed without dissent. (See PR 3 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

H. University Research Professorships (PR 4)

President Capilouto stated that PR 4 approved the naming of the professors introduced earlier as University Research Professors for 2013-2014.

Chair Brockman asked for a motion for approval of PR 4. Trustee Mobley so moved and it was seconded by Trustee Curris. The motion passed without dissent. (See PR 4 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

I. Executive Committee Report

Chair Brockman stated that the Executive Committee met this morning and entertained two items. The Executive Committee heard Trustee Voro give a presentation on her proposal for good governance, accountability and ethics. She proposed this as a separate committee of the Board of Trustees. She also proposed the creation of an office of faculty ombudsman to report to the above-proposed committee. Chair Brockman continued that to accommodate and recognize the validity of Trustee Voro's concerns, the Executive Committee is considering adding language to GR II E.2.a., titled Duties of the Executive Committee. It would read that the Executive Committee would serve in an advisory capacity to the President on issues of administrative structure and process and institutional compliance and accountability.

Chair Brockman said that the Executive Committee will continue their discussion on this proposal and will invite Trustee Voro to the May meeting.

J. Presidential Evaluation (ECR1)

Chair Brockman stated that the Executive Committee approved a timeline for the proposed presidential search and recommended approval of ECR 1. It states that the Board of Trustees authorize the Chairman of the Board of Trustees to enter into a negotiation with Dr. David Hardesty to serve as the facilitator for President Capilouto's 2012-2013 evaluation and approve the attached preliminary list of interview survey questions as part of the 2012-2013 Presidential Evaluation.

Trustee Voro voiced some reservations regarding the questionnaire, hoping that the questions would be more specific, with accompanying metrics. Chair Brockman explained the proposed questions were preliminary and it would be vetted through the various constituency groups, the University Senate Council, Staff Senate and Student Government Association. These bodies would review and make recommendations to the Executive Committee by the May meeting. At that time, after due consideration, it will be voted upon as the final list of questions.

Chair Brockman asked for the vote on ECR 1 and it passed with one abstention, Trustee Voro. (See ECR 1 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

K. Academic Affairs Committee Report

Trustee Gannon, chair of the Academic Affairs Committee, reported that the committee met this morning and had two business items. The committee also discussed the upcoming consolidation of the Academic Affairs and the Student Affairs committees and began the conversation of committee topics and meeting agendas for next year.

Trustee Gannon stated that AACR 1 was part of the Consent agenda, a Candidate for Degree, December 2012.

L. Change of Organizational Structure of the Center on Trauma and Children (AACR 2)

Trustee Gannon stated AACR 2 was related to the change of organizational structure for the Center on Trauma and Children. The recommendation is the Board of Trustees approve the transfer of administrative oversight for the Center on Trauma and Children from the College of Social Work to the College of Medicine effective immediately. Interim Provost Tim Tracy briefed the committee in detail regarding the change.

On behalf of Academic Affairs Committee, Trustee Gannon asked for approval of AACR 2 and it passed without dissent. (See AACR 2 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

M. University Athletics Committee Report

Trustee Akins, chair of the University Athletics Committee, stated that the committee began with a few words from President Capilouto, who shared a video featuring Kastine Evans, the UK women's basketball player who was voted to the SEC Community Service Team. Her nonprofit organization, *Shooting at Success*, which launched in January of 2013, provides children from low-income families an outlet after school to help them create strong character and inspire them to achieve academically, in extracurricular activities, and in life.

Director Barnhart updated the Committee on UK Athletics' accomplishments from December 2012 to present day. Featured highlights include:

- 46 student athletes earned a place on the 2012 Fall Sports Southeastern Conference Academic Honor Roll;
- Women's basketball team has earned a number two seed in the NCAA Division I Women's Basketball Championship;
- First-year tennis coach Cedric Kauffmann is in a tie for the SEC lead with a four-to-one mark in conference play and a 16-6 overall record; and
- April 13 marks the grand opening of the new softball stadium and the Spring Blue/White football game in Commonwealth Stadium.

Trustee Akins stated the committee had two items of business. The committee reviewed and endorsed FCR 9 to expand and renovate Commonwealth Stadium and Nutter Training Center.

The committee then considered the financial statements of the Department of Intercollegiate Athletics. Ms. Angie Martin, Treasurer, reviewed the interim financial statements of the department for the six months that ended December 31, 2012. The statements included the balance sheet, the statement on revenue and expenses, and the change in net assets. The committee accepted the interim financial statements as presented. Ms. Martin also reviewed a chart from the American Institutes of Research's 2012 Delta Cost Project. The organization provides data and tools to assist higher education administrators and policy makers. The chart

detailed athletic budget revenues from all sources, both generated revenues or subsidized. Based on the size of the institution's athletic budget, the Division I universities (public universities) were divided into quartiles. The University of Kentucky's data reflects zero support from the state and the institution and very little support from mandatory student fees. The University ranks as one of the lowest among public universities in student fees.

Trustee Akins stated that a report from UK Athletics on the treatment of concussions and some of the duties of the medical staff will also be distributed via hard copy to members of the committee and to the Board of Trustees.

N. Financial Committee Report

Trustee Stuckert reviewed the consent item pledges and gifts (FCR 1 through FCR 6) and offered additional thanks to Don Jacobs, Sr. Geoff Rosenberger, Tim Haymaker and the Haymaker Foundation, Howard Lewis, and William E. Seale and the William E. Seale Foundation, for their generous gifts to the UK HealthCare Patient Care Facility, the Markey Cancer Center and the Gatton College of Business and Economics Capital Campaign.

O. Renovate/Expand Gatton College (FCR 7)

Trustee Stuckert stated that FCR 7 recommends for approval the initiation of the Renovate/Expand Gatton College capital project. Originally built in 1963, the building underwent a three-story expansion in 1991. This project will renovate 146,000 gross square feet and expand the facility by 72,000 gross square feet. The \$65 million project, including design and authorized by the 2013 Kentucky General Assembly, will be initially funded with \$25 million of gifts and \$40 million of agency bonds. The University's Debt Committee has determined that this project is consistent with the University's Debt Policy.

On behalf of the Finance Committee, Trustee Stuckert moved approval of FCR 7. Chair Brockman stated that although it was implicit that though FCR 7 came through a committee, a second exists, he would like to take the liberty to second the motion on the Board's behalf. The motion passed without dissent. (See FCR 7 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

P. Academic Science Building (FCR 8)

Trustee Stuckert stated that FCR 8 recommends for approval the initiation of the Academic Science Building capital project. The existing Chemistry-Physics building, constructed in 1963, is the one of the largest and most heavily utilized buildings (2nd highest usage) on the University campus. Currently planned to be constructed at the Donovan Hall location, the 263,000 gross square feet building will cost \$100 million and will be funded with agency bonds. The project was authorized by the 2013 Kentucky General Assembly. Through a unique and collaborative partnership, the UK Department of Intercollegiate Athletics will fund 65 percent of the annual debt service. The University's Debt Committee has determined that this project is consistent with the University's Debt Policy.

On behalf of the Finance Committee, Trustee Stuckert moved approval of FCR 8. Chair Brockman, in honor of the historical commitment and precedence that this item presents from the UK Athletic Department, seconded the motion on behalf of the entire Board of Trustees. The motion passed without dissent. (See FCR 8 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

Q. Expand and Renovate Commonwealth Stadium and Nutter Training Center
(FCR 9)

Trustee Stuckert stated that FCR 9 was the expansion and the renovation of the Commonwealth Stadium and the Nutter Training Center in the amount of \$110 million. This expansion/renovation will involve new multipurpose recruiting rooms, 16 to 20 private suites, new home team facilities, approximately 2,000 new club seats, new press facilities, new full-service kitchen, and a new team store. It also includes upgrades to the Nutter Center. The \$110 million project was authorized by the 2013 Kentucky General Assembly and will be funded with agency bonds. The annual debt service will be paid from with new revenues from suites, club seating, and expanded Southeastern Conference revenues. The University's Debt Committee has determined that this project is consistent with the University's Debt Policy.

On behalf of the Finance Committee, Trustee Stuckert moved approval of FCR 9. Chair Brockman opened the floor for discussion. Trustee Voro offered that she was concerned there would be sufficient revenue to pay for all projects. In her opinion, Commonwealth Stadium was the least necessary, but the most expensive. With no further discussion, Chair Brockman called for the vote and it passed with 17 affirmative votes and one no vote from Trustee Voro. (See FCR 9 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

Trustee Shoop offered his appreciation for the leadership of President Capilouto and Director Barnhart. The contributions of the UK Athletics Department might be unprecedented in college sports. He also offered his appreciation to Governor Beshear and the Kentucky legislators for their support. He was appreciative of the efforts by members of the Board of Trustees and the collaborative work performed by UK and other Kentucky colleges and universities during the 2013 Kentucky General Assembly.

R. Upgrade/Relocated Pediatric Critical Care Unit (FCR 10)

Trustee Stuckert stated that FCR 10 was the upgrade/relocation of the Pediatric Critical Care Unit. The FCR was reviewed and recommended for approval by the University Health Care Committee. The estimated scope of \$6 million will be paid by private funds.

On behalf of the Finance Committee, Trustee Stuckert moved adoption of FCR 10 and it passed without dissent. (See FCR 10 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

S. Capital Construction Report (FCR 11)

Trustee Stuckert stated that FCR 11 was the Capital Construction Report. Vice President for Facilities Bob Wiseman updated the committee on the details of the quarterly report.

On behalf of the Finance Committee, Trustee Stuckert moved adoption of FCR 11 and it passed without dissent. (See FCR 11 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

T. Approval of Collaboration Agreement for the Use and Management of Eden Shale Farm (FCR 12)

Trustee Stuckert stated that FCR 12 authorizes the Executive Vice President for Finance and Administration (EVPFA) to enter into a collaboration agreement for the use and management of the Eden Shale Farm. EVPFA Eric Monday shared with the committee that the cost of the operation has become cost prohibitive, in part due to the farm's lack of proximity to Lexington and the increasing cost associated with said farm's agricultural research projects. By entering into a collaborative agreement with the nonprofit Kentucky Beef Network Association (KBN), KBN assumes the majority of operational and financial responsibility and the College of Agriculture and other University personnel will be allowed to continue collaborative activities.

On behalf of the Finance Committee, Trustee Stuckert moved adoption of FCR 12 and it passed without dissent. (See FCR 12 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

U. Proposed 2013-14 Tuition and Mandatory Fee Schedule (FCR 13)

Trustee Stuckert stated that FCR 13 recommends that the Board approve the proposed 2013-14 tuition and mandatory fees schedule and authorize the President to submit the schedule to the Council on Postsecondary Education. The tuition and mandatory fees schedule reflects a three percent increase for resident students and a six percent increase for most non-resident students.

On behalf of the Finance Committee, Trustee Stuckert moved adoption of FCR 13. Chair Brockman opened the floor for discussion. Trustee Gatton inquired about the ratio of applicants to acceptances and comparison tuition costs for some of the professional schools. Interim Provost Tracy reported that applicant pools for the College of Pharmacy were strong and UK's out-of-state tuition was near the top of range. Law school applications are down across the country.

With no further discussion, Chair Brockman posed the question and the motion passed with 17 affirmative votes and one abstention from Trustee Voro. (See FCR 13 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

V. Proposed 2013-14 Room and Board Rates (FCR 14)

Trustee Stuckert stated that FCR 14 was the recommendation that the Board of Trustees adopt the proposed 2013-14 room and board rates. The proposed housing rates reflect a three percent increase for traditional residence halls and for graduate and family apartments. The proposed housing rates for the premium residence halls and Greek housing reflect increases of four percent and no increase, respectively.

Trustee Stuckert continued that the proposed dining rates reflect a three percent increase for four of the five optional plans. No increase is proposed for the optional 21-meal plan. For the minimum plan, a new seven-meal per week plan will replace the five-meal per week plan. The increase in the number of meals is considered to be a better value for our students and more comparable to other universities. All students living in the residence halls are required to purchase a dining plan.

On behalf of the Finance Committee, Trustee Stuckert moved adoption of FCR 14. Chair Brockman opened the floor for discussion. Trustee Gatton inquired if the rates were based on semesters and Trustee Stuckert confirmed the rates were per semester.

With no further discussion, Chair Brockman posed the question and the motion passed with 17 affirmative votes and one abstention from Trustee Voro. (See FCR 14 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

W. Acceptance of the Interim Financial Report for the University of Kentucky for the Six Months ended December 31, 2012 (FCR 15)

Trustee Stuckert stated that FCR 15 concerns itself with the acceptance of the Interim Financial Report for the University of Kentucky for the six months ended December 31, 2012.

On behalf of the Finance Committee, Trustee Stuckert moved adoption of FCR 15 and it passed without dissent. (See FCR 15 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

X. Patent Assignment Report (FCR 16)

Trustee Stuckert stated that FCR 16 concerns itself with the Patent Assignment Report. Vice President for Research Jim Tracy detailed the report for the Finance committee earlier in the day.

On behalf of the Finance Committee, Trustee Stuckert moved adoption of FCR 16. Chair Brockman opened the floor for discussion. Trustee Gatton inquired about the allocation of patent revenues. Dr. Jim Tracy stated that forty percent goes to the inventors, twenty percent to the inventors' department or departments, twenty percent to the colleges or college of the inventors,

and twenty percent remains with the University Research Foundation. This allocation is fairly standard across universities.

With no further discussion, Chair Brockman posed the question and the motion passed without dissent. (See FCR 16 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

Y. Audit Subcommittee Report

Trustee Britton, chair of the Audit Subcommittee, reported that committee met and had no action items. The committee had a discussion with Ms. Mary McKinley, a partner in BKD. The committee discussed the scope and timing of the June 30, 2013 audits. The completed audit is expected by October 1st for presentation at our October meeting.

The Committee discussed the charter revision for the Audit Subcommittee and hoped to have a reading at the next meeting. There was a report from Joe Reed, Director of Internal Audit, with an update on current and ongoing audits and staffing needs.

Z. Investment Committee Report

Trustee Gatton, chair of the Investment Committee, stated that the Investment Committee met yesterday to review performance results and conduct other business. The Endowment had a net market value of \$955.9 million as of February 28, 2013. For the eight months ended February 28th, the Endowment pool has returned 10.0% due to strong equity market returns during the period. The Endowment pool outperformed the policy benchmark during the eight month period by 124 basis points. This was due to strong performance by the fixed income, absolute return and real return managers.

Trustee Gatton continued that the investment consultant, R.V. Kuhns & Associates, provided an update on the University's fixed income allocation to review the potential impact of rising interest rates on the portfolio. The University's fixed income managers, PIMCO and Reams, have reduced the duration of their portfolios in order to mitigate interest rate risk. The effective duration of UK's fixed income portfolio at January 31, 2013 was 3.2 years versus the benchmark duration of 5.2 years. The lower duration indicates UK's portfolio's value is less sensitive to interest rate changes relative to the benchmark. The benchmark for the fixed income asset class is the Barclays US Aggregate Bond Index, which is a common intermediate-term fixed income strategy used by institutional investors. Approximately 60% of UK's fixed income allocation is managed using a core-plus strategy indexed to the Barclays Aggregate, and the remaining 40% is managed in unconstrained and low duration strategies in order to enhance fixed income returns and manage interest rate risk. R.V. Kuhns and investment staff are currently considering decreasing the overall fixed income allocation due to the extremely low return environment. Additionally being considered is an increase to the unconstrained strategy, with a corresponding decrease to the core-plus strategy, which would allow the managers to maximize returns relative to the benchmark and shorten duration further if necessary to protect the portfolio from a possible rise in interest rates.

The Investment Committee reviewed results of the 2012 NACUBO-Commonfund Study of Endowments released in late January. UK's endowment value of \$900.2 million ranked 83rd, or in the top ten percent, of the 843 public and private institutions that reported endowment values as of June 30, 2012. The average return of participating institutions in the survey was -0.3% for the year ended June 30, 2012, however UK earned -0.8% during the period mainly due to a higher than average allocation to the non-US equity asset class, which performed poorly during the fiscal year due to the European debt crisis. The non-US equity markets significantly rebounded during the last half of 2012, contributing to the strong 2013 fiscal year-to-date performance previously noted.

AA. Student Affairs Committee Report

Trustee May, chair of the Student Affairs Committee, stated the committee welcomed Logan Sparks, the chair of the DanceBlue Public Relations Group. Ms. Sparks shared a video of DanceBlue in motion, from set-up to the final presentation of the numbers. Trustee May shared that the final scene of the children in front, some who are apparently in ongoing cancer treatment, holding up signs saying "For the Kids." was incredibly touching. DanceBlue raised over \$1.1 million this year, and with an additional \$500,000 endowment from a member of the previous year's audience. The benefactor had been so moved by the effort, she felt compelled to give. There are also DanceBlue events held across the country by UK Alumni. From game watches and fund raisers, these alumni are funneling money back into DanceBlue.

Trustee May next introduced SACR 1, a recommendation that the Board of Trustees accept the University of Kentucky Creed. She continued that nine months ago President Capilouto challenged the Student Government President to explore the development of either a student creed or university creed. President Bilas accepted the responsibility and a 17-member committee was formed and the creed was written.

On behalf of the Student Affairs Committee, Trustee May moved approval of SACR 1. She also asked as a point of personal privilege that for at the conclusion of the Board of Trustees meeting, as a group, the Board of Trustees read the creed in unison for the first time.

Chair Brockman opened the floor for discussion. Trustee Sachatello offered that with such limited publicity on such good works, the University should consider distributing the Kentucky Kernel on a statewide basis.

With no further discussion, Chair Brockman posed the question and the motion passed without dissent. (See SACR 1 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

Trustee May thanked President Capilouto for bringing forward the concept of a university creed. Chair Brockman thanked President Bilas for his leadership. President Bilas reiterated the team effort that included students, faculty, staff, administration, alumni, trustees and members of UK Athletics.

BB. University Health Care Committee Report

Trustee Young, chair of the University Health Care Committee reported that there were two action items in the meeting yesterday. The first concerned FCR 10, which was reviewed and approval recommended to the Finance Committee. This involved the upgrade and relocation for the pediatric critical care unit.

CC. Approval of Creation and Funding of “Beyond Blue Corporation” for Development and Coordination of Health Care Programs Conducted Outside of Kentucky (UHCCR 1)

Trustee Young stated that UHCCR 1 recommends that the Board of Trustees authorize the President and Executive Vice President for Health Affairs to incorporate and fund a new not-for-profit corporation (“Beyond Blue”) to coordinate and develop operational activities of the University of Kentucky for its health care programs conducted outside of the Commonwealth of Kentucky, while supporting its mission of teaching, research, and service. A Board of Directors comprised exclusively of senior University officers will govern Beyond Blue.

The background is the University is increasingly performing operational activities of the health care program outside of Kentucky. For example, the recent agreement to provide transplant services and other specialty medical services to public employees in West Virginia necessitates the University faculty and staff perform some pre-op and post-op activities in West Virginia, even though the actual surgery takes place in Kentucky. Beyond Blue will provide a utility mechanism to allow the University to coordinate its out-of-state activities related to health care programs without compromising the University's sovereign immunity or subjecting the University to regulation by other states. The role of Beyond Blue is similar to that of UK Norton Healthcare Joint Corporation, which the Board of Trustees authorized at its October 25, 2011, meeting. However, unlike that entity, UK will control Beyond Blue in all respects.

On behalf of the University Health Care Committee, Trustee Young moved adoption of UHCCR 1. Chair Brockman opened the floor for discussion. Trustee Brothers asked the definition of the “senior University officers”. Trustee Young indicated it was the Board of Directors, listed in the attached Articles of Incorporation.

With no further discussion, Chair Brockman posed the question and the motion passed with 17 affirmative votes and one no vote from Trustee Voro. (See UHCCR 1 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

Trustee Young continued that Murray Clark, Interim Chief Financial Officer, reviewed the January financials. In summary, January was a very positive month. Inpatient and outpatient activity remained high and the case mix index, length of stay and payer mix remained positive. Specifically, discharges for January were slightly below budget, but above budget YTD and just short of being 1000 discharges above last year. The occupancy rate continues to run very high resulting in an increasing number of patients being held in the Emergency Department (ED) and

other units while awaiting a patient bed. As a result, a number of patients have been diverted to other hospitals. Strategies are being developed to deal with this shortage of beds, including reopening some semi-private rooms and shifting patients to Good Samaritan Hospital. Average length of stay and Case Mix Index (CMI) adjusted length of stay are both below budget and prior year. Observation cases and short stay cases remain below budget and last year which is positive. Emergency Department cases exceeded budget by 8% continuing a year- long trend. This increased activity has come at a time when more admitted patients are also being held in the ED. Operating cases were slightly below budget for the month but remains 1.2% above budget. The case mix index is 1% above the YTD budget and 2% higher than last year. Outpatient cases are just below budget for the month and the year but ahead of last year by 3.5%. The increase in discharges is across all medical services. Net revenue for January was very positive, driven by a positive case mix, length of stay and payer mix. Outpatient net revenue also continues to be positive compared to budget and prior year. Overall increased revenue and lower expenses for the year have produced a much better than anticipated income from operations, amounting to over \$53 million YTD or a 9.6% operating margin. On the balance sheet, cash and cash equivalents reflect an increase in funds being held in the plant fund for facilities projects and capital equipment. Non-operating revenues for the period were strong as a result of a much higher than anticipated investment income of \$19.3 million this year. Current liabilities were down in total for the period due to the lowering of the cash advance from the University which stands at \$26.2 million for January, reduced payables/accrued expenses and change to the current portion of long term debt and leases.

Preliminary February financials indicate continued high in-patient and outpatient volume, and the case mix index and length of stay are within budget. The payer mix will not be as favorable as in previous months.

The takeaway from the financial presentation was threefold. First, UK HealthCare is exceptionally busy, exceeding expectations to the point that some patients are being diverted to other hospitals due to lack of beds. Secondly, due to hard work at the state level by Mark Birdwhistell and also a classification change in Medicare receivables, \$67 million dollars in Federal and State monies owed to UK HealthCare have been received. Thirdly, as a result of these two developments the internal loan from the University to UK HealthCare has been reduced to \$26 million dollars at the end of January and will be \$0 at the end of February. This zero balance may flex upward slightly in the future but will remain manageable. All of the above positive financial information could not come at a better time because Chandler and Good Samaritan Hospitals are out of beds and as a result, conversation has begun among our leaders about how best to expand into the unfinished areas of the Patient Care Facility (PCF).

Dr. Bernard Boulanger, Chief Medical Officer presented the report on Quality. Dr. Boulanger reported that quality and safety initiatives continue to improve, reaching the defined maximum performance in the areas of mortality, effectiveness and length of stay. The domains of safety and patient centeredness are also moving in the right direction and updated University HealthCare Consortium reports indicate that UK HealthCare benchmarks strongly against UK's academic medical center peers. UK HealthCare now is placed in the top 20 in its mortality

observed to expected ratio. UK HealthCare has introduced a Quality Website that presents open, candid and timely quality and safety data on line.

Dr. Colleen Swartz presented an enterprise capacity update. Her report highlighted the dramatic rise in the daily hospital census from 400 in 2006 to 605 in the first quarter of 2013. She highlighted the increase in Chandler Hospital adult transfers and the recent inability of UK HealthCare to take some of these patients due to a lack of available beds. This capacity issue has also led to patients being boarded in the ED until beds do become available.

Dr. Steven Strup presented for approval the current list of privileges and credentials. The committee made a motion and voted to approve the privileges and credential as presented.

DD. University Relations Committee Report

Trustee Curris, chair of the University Relations Committee, stated that the Committee heard from Tom Godell, general manager of WUKY radio station. He updated the committee on the mission, vision, and future of radio station.

Mr. Godell became general manager of WUKY nine years ago and since that time has obtained federal grants to replace and relocate the station's transmitter and antenna, upgrade master control, and install an emergency generator. Additionally, under his leadership, WUKY launched its HD multitasking service and has expanded its news department. WUKY recently began providing a comprehensive web news service via WUKY.org that now attracts over 100,000 visitors annually. Mr. Godell has also created the "UK Perspectives" series to showcase the University's most exciting achievements, and he currently is producing a national radio broadcast devoted to Frank X Walker's (newly appointed 2013-14 Kentucky Poet Laureate) new book, *Turn Me Loose: The Unghosting of Medgar Evers*.

Trustee Curris continued that WUKY is no longer just a "radio station". It is a multimedia center that includes web site, streaming, on-demand, mobile apps for the iPhone and podcasting. Over 100,000 visitors view viewed the web site in the last 12 months. The station has 11 full-time employees and eight part-time employees.

Trustee Curris reported that UK President McVey began this radio concept in the 1930's, and it was considered the first in the United States. It began as WBKY AM, broadcasting from Beattyville, KY. In 1941, it became the first FM station in the country, and in 1944 the station moved to McVey Hall on the UK campus, where it remains today. In 1989, the station changed its call letters to WUKY. The typical listener is age 35 to 64, upper income, with two degrees or more. WUKY has a listening base of 46,000 in the Lexington/Danville area, approximately a 45-mile radius. The NPR News, National Public Radio, is the core award-winning local news. The schedule also includes Rock and Roots Music. Local productions include the UK Perspectives and Natasha's Concerts and a new program that Mr. Godell just introduced recently called "Meeting with the Mayor." With no budget for marketing, WUKY uses its many outlets to create awareness for the station, including involvement with groups such as Commerce Lexington and the Kentucky Chamber of Commerce. The station also has hourly station

identifications of the University of Kentucky.

Trustee Curris continued that there is extensive campus news and sports coverage, campus collaborations, for example, live jazz performances, and Singletary concert sponsorships. The funding for WUKY is approximately \$1.5 million, with 34 percent from the University, 27 percent from members, 24 percent is underwritten, and 11 percent in federal grants.

In conclusion Trustee Curris stated that the station is hoping to expand its local news to become a prime source of news for a growing community. As the current facility is outdated, an immediate wish-list includes satellite dish relocation, bandwidth for streaming and web site, and improved broadcast coverage.

A strategic plan and a pledge report were distributed.

Trustee Curris updated the Board of Trustees on the impact of Sequestration (United States federal budget spending plan) on the funding to the Veterans Resource Center. The Veterans Administration programs have been exempted, but there may be difficulties with tuition assistance to Reserve, National Guard and ROTC programs. At this time, UK's invitation to apply for additional personnel assistance from the Veterans Administration has been protected.

Trustee Curris pointed out the addition to the January 29, 2013 minutes regarding research dollars and the Department of Defense research with the University of Kentucky. Though reductions might be possible, extended relationships with Fort Knox and Fort Campbell may still be favorable for research collaborations.

EE. Item for Board Discussion – Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) Reaffirmation Process

Vice President for Institutional Research, Planning, and Effectiveness Heidi Anderson updated the Board on the progress of the Reaffirmation Process. As a recap, SACSCOC expects every institution to have a commitment to enhance student learning, enhance the quality of its educational and service programs, engage in continuous improvement and comply with SACSCOC's 97 standards.

The University of Kentucky is at the end of phase two of a five phase process. Last November, the off-site committee reviewed the Compliance Certification Report. This report is the institution's self-study demonstrating compliance with standards. The SACSCOC onsite visit in April will review the Quality Enhancement Plan (QEP) and areas noted by the off-site review committee. The QEP is expected to focus on the enhancement of student learning or the environment of student learning. The QEP team, led by co-chairs Dr. Deanna Sellnow and Dr. Diane Snow, came up with the idea "Presentation U." UK's QEP will focus on enhancing the multimodal communication skills of UK's students, their visual, oral and digital communication skills, but more importantly in the upper division of the courses, junior and senior levels.

The Board viewed the student produced “Presentation U” video. At the conclusion, there was a round of applause.

Dr. Anderson concluded that the final report from SACSCOC will arrive in December 2013.

FF. Other Business

Chair Brockman announced the updated Board of Trustees meeting dates for Fall 2013 and the first half of 2014. They are as follows:

Fall 2013 Board of Trustees Meeting Schedule (Revised)

Monday/Tuesday - September 9 & 10, 2013
Friday/Saturday - October 25 & 26, 2013 Retreat
Monday/Tuesday - December 16 & 17, 2013

2014 Schedule for Board of Trustees Meetings

Thursday/Friday - January 30 & 31, 2014
Monday/Tuesday - March 31 & April 1, 2014
Thursday/Friday - May 8 & 9, 2014
Monday/Tuesday - June 9 & 10, 2014
Thursday/Friday - September 4 & 5, 2014

With no new business, Chair Brockman asked Trustee May to lead the Board of Trustees in reciting the University Creed. Trustee May asked President Bilas to do the honors. Led by Student Government Association President Stephen Bilas, the Board of Trustees recited the following:

The University of Kentucky Creed

As a Wildcat,

I promise to strive for academic excellence and freedom by promoting an environment of creativity and discovery.

I promise to pursue all endeavors with integrity and compete with honesty.

I promise to embrace diversity and inclusion and to respect the dignity and humanity of others.

I promise to contribute to my University and community through leadership and service.

I promise to fulfill my commitments and remain accountable to others.

We believe in the University of Kentucky and will forever honor our Alma Mater.

GG. Meeting Adjourned

Hearing no further business, Chair Brockman declared the meeting adjourned at 3:06 p.m.

Respectfully submitted,



Sheila Brothers
Secretary, Board of Trustees

(CR 1, PR 1, 2, 3 and 4, ECR 1, AACR 1 and 2, FCR 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15 and 16, SACR 1, UHCCR 1 are official parts of the Minutes of the meeting)

CR 1

Office of the President
March 19, 2013

Members, Board of Trustees:

PROPOSED REVISION TO GOVERNING REGULATION:
BOARD OF TRUSTEES COMMITTEE STRUCTURE

Recommendation: that the Board of Trustees approve the attached revision to Governing Regulation II, which was received for preliminary consideration as CR 1 on January 29, 2013. The revision is intended to streamline the Board's operations through the consolidation and name changes of Board Committees and the addition of new procedures. The revision is intended to take effect July 1, 2013. The Executive Committee of the Board has reviewed and approved the proposed revision.

Background: In order to streamline the Board's operations the attached revision consists of:

- 1) Consolidating the Academic Affairs and Student Affairs Committees;
- 2) Consolidating the University Relations and Human Resources Committees;
- 3) Changing the name of the Audit subcommittee to "Audit and Compliance";
- 4) Requiring Committee reports to be posted on-line within 72 hours of the conclusion of Committee meetings;
- 5) Requiring the University Athletics Committee and the University Health Care Committees, if they have met, to provide an update to the full Board.

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

The Executive Committee of the Board, the President, and the Senate Council support this revision. In accordance with Governing Regulation XIII, the University Senate, Staff Senate, and Student Government Association have reviewed this proposed revision before the second reading (final action) by the Board of Trustees.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____



UNIVERSITY OF KENTUCKY®

Regulations

Governing Regulation, Part II

Responsible Office: Board of Trustees

Effective: ~~12/11/12~~ DRAFT

Supersedes Version: ~~12/11/12~~ 6/19/12

Governing Regulation, Part II

Governance of the University of Kentucky

Major Topics

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[A. Delegation of Authority](#)

[B. Board of Trustees - Membership](#)

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2. [Membership](#)
 - a. [Appointed Members](#)
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 - a. [Executive Committee](#)
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 - e. [Investment Committee](#)
 - f. [Nominating Committee](#)
 - ~~g. [Student Affairs Committee](#)~~
 - g.h [University Athletics Committee](#)
 - h.i [University Health Care Committee](#)
 - ~~j. [University Relations Committee](#)~~

3. [Special Committees](#)

F. [Powers and Responsibilities of the Board of Trustees](#)

G. [Petitions to Address the Board of Trustees](#)

[References and Related Materials](#)

[Appendix I – Petition to Address the Board](#)

Introduction

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

[This Governing Regulation describes the authority, membership, committees, and responsibilities of the Board of Trustees.](#)

A. [Delegation of Authority](#)

1. These *Governing Regulations* describe the composition, powers, and duties of the Board of Trustees of the University of Kentucky, as defined by Kentucky Revised Statutes, and establish policies and procedures for the performance of its functions. In these *Governing Regulations*, the Board of Trustees delegates certain responsibilities to the President, the University Senate, the Staff Senate, the Student Government Association, the Graduate Faculty, and the faculties of educational units in order to provide for the responsible and efficient administration of the University and the accomplishment of its goals.
2. As the chief administrative officer of the University, the President is authorized by the Board of Trustees to promulgate the *Administrative Regulations* including the *Human Resources Policies and Procedures* and the *Business Procedures Manual*, to provide interpretation and implementation of these *Governing Regulations*, and of the *Minutes of the Board of Trustees*, and to delineate policies within the sphere of delegated responsibility. Chief administrative officers are authorized to establish unit policies and procedures attendant to their delegated administrative responsibilities.
3. At an institution-wide level, the University Senate, as a primary educational policy-forming agency of the University, establishes the broad academic policies of the University. Within the limits set by the Board of Trustees and the University Senate, the Graduate Faculty is delegated jurisdiction over programs leading to graduate degrees and has the responsibility to safeguard, promote and assist in the development of research in all fields. Within the limits set by the institution-wide policies of the Board of Trustees, the University Senate, and the Graduate Faculty, the respective faculties exercise the governance role of policy-making responsibility for the instructional, research and service programs of their educational units. The University Senate, the Graduate Faculty, and the faculties of educational units are authorized to issue rules concerning the policy and procedure-making responsibilities that are attendant to their delegated educational policy-making role.
4. Where appropriate, the rules and regulations appearing in the *Administrative Regulations*, *Human Resources Policy and Procedures*, *Business Procedures Manual*, and *University Senate Rules* should refer to the source or sources in these *Governing Regulations* or *Minutes of the Board of Trustees*.

^{*} The Council on Postsecondary Education in Kentucky (KRS 164.020) has powers and duties that relate to the governance of the University of Kentucky.

B. Board of Trustees - Membership

1. Definition

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

2. Membership

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

a. Appointed Members

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

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

b. Elected Members

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

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

In accordance with KRS 164.131(3), faculty members eligible to vote and eligible to serve as elected members of the Board of Trustees shall be those regular, full-time employees conferred with a faculty title and a rank at the level of assistant professor (or its equivalent, librarian III) or above, and who do not have an administrative assignment at or above the level of department chair, and as otherwise defined in *Human Resources Policy and Procedure Administrative Regulation Number 4.0: Employee Status*.

The faculty members shall serve for terms of three (3) years and until their successors are elected and qualified. They are eligible for reelection but are ineligible to continue to serve as

members of the Board of Trustees if they cease to be members of the faculty. Elections to fill vacancies for any unexpired terms shall be held in the same manner as for the original elections.

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

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

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

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

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

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

c. Non-voting Members

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

d. Removal of Members

Pursuant to KRS 164.131(1)(d), "Board members may be removed by the Governor for cause, which shall include neglect of duty or malfeasance in office, after being afforded a hearing with counsel before the council and a finding of fact by the council." The "Council" is defined in KRS 164.001(8) as the Council on Postsecondary Education.

3. Officers

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

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

C. Meetings of the Board of Trustees

1. The Board of Trustees shall meet at least quarterly. Special meetings may be called by the Chair or by any three (3) members upon giving ten (10) days' written notice to each member of the Board of Trustees. The business to be transacted at special meetings shall be specified in the notice of the meeting. All meetings are to be held on the campus of the University unless otherwise specified by a majority vote of the Board of Trustees. A majority of the voting members of the Board of Trustees constitutes a quorum. (KRS 164.170)
2. The Board of Trustees may adjourn any regular or called meeting to any date that it may set for such adjournment. Any meeting of the Board of Trustees, if a quorum is not present, may be adjourned by the members attending to a time when a quorum shall be present.
3. The meetings of the Board of Trustees shall be open to the public. The Board of Trustees is required to arrange for a stenographic transcript of each of its meetings to be prepared and filed, to send an agenda for each of the meetings to each member of the Board of Trustees, and to make a copy of the agenda available to the press. (KRS 164.170) For regularly scheduled meetings, the agenda shall be released to the general public at least three (3) full business days prior to the [bBoard Mmeeting](#). "Business Day" means Monday through Friday, excluding Saturday and Sunday and official University holidays. The Board of Trustees and its committees shall operate in compliance with the provisions of the Open Meetings Law. (KRS 61.800-KRS 61.850)
4. All necessary expenses incurred by the Trustees in traveling to and from and while attending meetings of the Board of Trustees are designated to be paid out of the funds of the University. (KRS 164.170)
5. The order of business at meetings of the Board of Trustees normally is as follows:
 - Call to Order
 - Roll Call
 - Reading and Approval of Minutes with Necessary Modifications
 - Chair's Report
 - Report of the President
 - Consideration of President's Recommendations for Action
 - Consideration of President's Discussion Items
 - Reports of Committees
 - Items for Board Discussion
 - Other Business
 - Adjournment
6. The most recent version of *Robert's Rules of Order* shall be observed in conducting the business of the Board of Trustees except as these may be modified by regulations adopted by the Board of Trustees.

D. Conflicts of Interest of Board Membership

1. No employee of the University shall be directly or indirectly interested in any contract with the University for the sale of property, materials, supplies, equipment, or services, with the exception of compensation to the two (2) faculty members and the one (1) staff employee who are members of the Board of Trustees. (KRS 164.131)
2. No member of a board of trustees shall have an interest in any contract with a state university unless such contract shall have been subjected to competitive bidding in compliance with KRS Chapter 45A, unless such trustee shall have been the lowest bidder and unless such trustee shall have first notified in writing the remaining members of the board, and to the newspaper having the largest circulation in the county in which the state university is located, of his intention to bid on such contract. (KRS 45A.340(7))
3. No member of the Board of Trustees may be held to be a public officer by reason of membership on the Board except as provided in KRS 45A.335 for the purpose of KRS 45A.340. (KRS 164.150)

E. Standing and Special Committees

The purpose of standing and special committees is to assist the Board of Trustees in its oversight role by gathering information, discussing, and providing advice on policy proposals prior to their coming before the entire Board of Trustees. Members of the University community and the general public may attend any committee meeting. An individual desiring to address a particular committee or otherwise participate in a committee meeting should contact the committee chair.

1. Standing Committee General Rules

- a. Unless otherwise provided in this Governing Regulation, membership of standing committees shall include at least five (5) members of the Board of Trustees including the committee chair.
- b. Unless otherwise provided in this Governing Regulation, committee members shall be appointed by the Chair of the Board of Trustees.
- c. Unless otherwise provided in this Governing Regulation, the Chair of the Board of Trustees shall select the Chair for each committee from the Trustee members.
- d. Board of Trustee members may be reappointed to a committee for consecutive terms.
- e. Any vacancy occurring before the expiration of the term of the appointment shall be filled for the unexpired term.
- f. A quorum of the Committee members must be present in order to conduct business.
- g. [Committee Reports shall be posted on-line within 72 hours after the conclusion of Committee meetings.](#)

2. Standing Committees

a. Executive Committee

- (1) The Board of Trustees annually elects an Executive Committee of five (5) members that has the powers that the Board of Trustees delegates to it as prescribed in KRS 164.190. This election shall be held at the first fall meeting of the Board of Trustees. Vacancies may be filled at any meeting of the Board of Trustees. The Chair of the Board of Trustees shall be one (1) of the five (5) members and shall also serve as Chair of the Executive Committee.

- (2) ~~In general, t~~[he Executive Committee;](#)

(a) In general, exercises oversight of the financial and business interests of the University and possesses the same powers as the Board of Trustees during the periods between meetings of the full Board of Trustees;

~~(b) The Executive Committee shall s~~Serves as a hearing panel in the event of a faculty member, staff employee, or student appeal coming to the Board of Trustees; and.

~~(c) The Executive Committee shall s~~Serves as the performance review committee for the President. The Executive Committee shall involve the entire Board of Trustees in this evaluation and shall also solicit input from the executive committees or executive councils of the University Senate, Staff Senate, and Student Government Association.

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

(4) The Executive Committee is required to submit to the Board of Trustees at each meeting, for the latter's consideration and approval, a complete record of the proceedings of the Executive Committee. The authority of the Board of Trustees to amend the action of the Executive Committee does not extend to the rejection of any valid or authenticated expenditure of money by the Executive Committee (KRS 164.190).

~~The Executive Committee shall serve as a hearing panel in the event of a faculty member, staff employee, or student appeal coming to the Board of Trustees.~~

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

b. Academic and Student Affairs Committee

This Committee:

(1) Reviews recommendations on policy matters pertaining to the academic mission of the University in instruction, research, and public service as well as to policy matters concerning academic freedom, tenure, and shared governance;

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

(3) Reviews new program and degree-program closure proposals and changes in the academic units or in the academic organization to ensure these proposals or changes will effectively carry out the academic mission;

(4) Reviews the list of candidates for academic degrees approved by the faculty of the University through the University Senate for submission to the Board of Trustees;

(5) Reviews R~~ecommendations regarding revisions of the Code of Student Conduct; and~~

(6) Reviews R~~ecommendations concerning the general welfare of students and the adoption of rules, procedures, rights, and responsibilities governing non-academic relationships between the University and its students; and~~

(7) Provides needed information to the Board of Trustees.

c. Finance Committee & Audit and Compliance Subcommittee

(1) The Finance Committee:

- (a) ~~This committee~~ ensures the financial stability and long-term economic health of the University by monitoring the financial operations of the University and its affiliated corporations and making appropriate recommendations to the Board of Trustees to ensure achievement of the University's mission;.
- (b) Consistent with KRS 164A.550 through 164A.630, ~~the committee~~ maintains oversight responsibility for the financial management of the University in the areas of accounting, auditing, payroll, purchasing, capital construction, real property, and affiliated corporations;.
- (c) ~~The Committee shall~~ oversees the budgets of the University by reviewing and recommending to the Board of Trustees on the annual operating budgets;.
- (d) ~~The Committee shall~~ ensures that accurate and complete financial records are maintained by reviewing and recommending to the Board of Trustees on:
 - i. annual financial reports and related recommendations from the Audit and Compliance Subcommittee,
 - ii. interim financial reports,
 - iii. long-term debt obligations,
 - iv. gifts to the University of \$400,000 or more,
 - v. capital projects of \$600,000 or more,
 - vi. leases over \$200,000 per year,
 - vii. disposition of property,
 - viii. sale of assets, and
 - ix. financial transactions not provided for in the annual operating budget.

(2) The Audit and Compliance Subcommittee:

- (a) Reviews recommendation and recommends to the Finance Committee on the appointment of the external auditors;.
- (b) ~~Receives~~ and reviews the annual reports from the external auditors and makes recommendations to the Finance Committee concerning these reports; and
- (c) Receives and reviews reports from the Senior Director of Internal Audit on the University's system of internal controls and compliance with applicable laws, regulations, and University policy, and reports on such to the Finance Committee.

d. Human Resources and University Relations Committee

This committee:

- (1) ~~Receives~~ reviews recommendations to the Board of Trustees regarding policies pertaining to employee benefits, rights, and privileges requiring Board of Trustees approval;.
- (2) Reviews recommendations relating to the economic, social, and public policy environments within which the University operates that directly affect the University; and

- (3) Reviews policies or policy proposals regarding marketing and development as well as public, governmental, and alumni relations.

e. Investment Committee

- (1) Under delegation from the Board of Trustees, and consistent with KRS 164A.550 through 164A.630, the Investment Committee is responsible for review and oversight of the endowment investment programs of the University and its affiliated corporations. These responsibilities include:
- (a) formulating and reviewing investment policies;
 - (b) appointing, monitoring and evaluating investment managers and consultants; and
 - (c) reviewing and approving plans for the general management of the endowment funds of the University.
- (2) In addition to the Trustee members, the Investment Committee may, from time to time, have the Chair of the Board of Trustees appoint, upon recommendation of the University President, non-voting Community Advisory Members to assist it in its functions by providing specialized advice and support. Said Community Advisory Members shall be selected on the basis of their expertise in such areas as investment management and finance. The appointments of Community Advisory members to the Investment Committee shall be for three (3) years and may be reappointed for an unlimited number of three-year terms. The maximum number of Community Advisory members authorized at any one time shall be three (3).
- (3) The Investment Committee Chair reports to the Board of Trustees after each meeting of the committee on the performance results of endowment investments. Policies of the committee are implemented by the Office of the Treasurer in carrying out the day-to-day operations of the University's endowment funds.

f. Nominating Committee

This committee:

- (1) Nominates officers of the Board of Trustees and members of the Executive Committee; and
- (2) Reviews and recommends the appointment of trustees to the boards and committees of the University and its affiliated entities.

~~(g) Student Affairs Committee~~

~~This committee reviews: (i) Recommendations regarding revisions of the Code of Student Conduct; and~~

g.h University Athletics Committee

- (1) The NCAA requires a member institution's chief executive officer to have ultimate responsibility and final authority for the conduct of the intercollegiate athletics program. In addition, the Southern Association of Colleges and Schools (SACS) requires an institution's chief executive officer to have ultimate responsibility for, and exercise appropriate administrative and fiscal control over, the intercollegiate athletics program. To assist the President in carrying out this responsibility, the Athletics Committee is responsible for:
- (a) Providing counsel to the President concerning matters or activities of the Athletics Department;

- (b) Reviewing the Athletics Department's annual budget and audit reports, major expenditures and acquisitions, and construction of facilities if the cost is expected to exceed \$600,000; and
 - (c) Providing needed information to the Board of Trustees.
- (2) The membership of the Committee shall be composed of five (5) voting Trustee members and up to three (3) non-voting Community Advisory members. In addition, the Faculty Athletics Representative shall serve as an *ex officio*, non-voting member. The membership of the Athletics Committee, including the Chair, shall be appointed by the President in consultation with the Chair of the Board of Trustees. The initial Board member appointments to the Athletics Committee shall be staggered terms in the following manner: two (2) members for three (3) years, two members for four (4) years, and one member for five (5) years. Board members appointed thereafter shall serve for three-year terms and may be reappointed.

(3) The University Athletics Committee shall provide to the full Board a brief update at each Board meeting if the Committee has met.

h. University Health Care Committee

- (1) This Committee:
- (a) ~~s~~Serves as ~~thea~~ governing body and governing authority to manage and operate the University Hospitals in accordance with the Conditions of Participation promulgated by the Centers for Medicare and Medicaid Services and with the laws and regulations governing the operations and services of hospitals in the Commonwealth of Kentucky~~standards established by The Joint Commission, formerly 'Joint Commission on Accreditation of Health Care Organizations,'~~ and
 - (b) ~~to~~oversees the University's clinical enterprise.~~—This responsibility includes~~ management oversight for the development of policies, rules, and regulations for the governance of the University Hospitals and clinical enterprise.
- (2) Policies of the Committee are implemented by the Executive Vice President for Health Affairs in carrying out the day-to-day operations of the University Hospitals and clinical enterprise.
- (3) The membership of the Committee shall be composed of five (5) voting Trustee members, seven (7) non-voting Advisory Members, and up to seven (7) non-voting Community Advisory Members. Each member shall be appointed by the Chair of the Board of Trustees, acting upon recommendation of the President of the University. The initial Board of Trustee member appointments to the University Health Care Committee shall be for staggered terms in the following manner: two members for three years, two members for four years and one member for five years. Board members appointed thereafter shall serve for three-year terms and may be reappointed.
- (4) The University Health Care Committee may create sub-committees and shall create committee rules to guide their governance consistent with The Joint Commission. (See University Health Care Committee Operating Rules, approved by the Board of Trustees December 7, 2010)
- (5) The University Health Care Committee shall provide to the full Board a brief update at each meeting if the Committee has met.

(i) University Relations Committee

This committee:

- ~~(ii) Reviews policies or policy proposals regarding marketing and development as well as public, governmental, and alumni relations.~~

3. Special Committees

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

F. Powers and Responsibilities

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

1. Periodically evaluate the institution's progress in implementing its missions, goals, and objectives to conform to the strategic agenda. (KRS 164.131)
2. Make such bylaws, rules, and regulations consistent with KRS Chapter 164 as it deems proper. (KRS 164.180)
3. Establish proper regulations for the governance of the University and the physical training, military or otherwise, of the students. The Board may authorize the suspension and dismissal of students for neglect or violation of the regulations or for other conduct prejudicial to the character and welfare of the University. (KRS 164.200)
4. Determine the colleges, schools, divisions, departments, bureaus, and offices which shall comprise the University within the scope of the Acts of Congress approved July 2, 1862, and Acts supplementary thereto, and the relation which each division shall sustain to each other division and to the whole. It may devise, allot, and arrange the distribution of divisions with the designation appropriate for each, and devise the means required for their effective instruction, administration, and governance. (KRS 164.210)
5. Appoint a President, professors, assistants, tutors, and other personnel and determine the compensation, duties, and official relations of each. In the appointment of presidents, professors, or instructors no preference shall be shown to any religious denomination. The Board is required to provide compensation for all positions created and filled by the Board of Trustees. The Board may provide for employee retirement benefits and such other employee benefits as are related to the respective employments and services furnished. Retirement plans may include, but without limitation, the retirement ages, the benefits of employees including group insurance, annuities, establishment of a trust fund or funds; and, the amounts to be paid or contributed by employees and the amounts to be paid or contributed by the University of Kentucky; and other appropriate terms and provisions with respect thereto. (KRS 164.220)
6. Exercise power over and control of appointments, qualifications, salaries, and compensation payable out of the State Treasury or otherwise, promotions and official relations of all employees of the University of Kentucky, as provided in KRS 164.220, and, subject to any restrictions imposed by general law, the retirement ages and benefits of such employees shall be under the exclusive jurisdiction of the Board of Trustees of the University of Kentucky, which shall be an independent agency and instrumentality of the Commonwealth. (KRS 164.225)
7. Suspend or remove any of the officers, teachers, professors, or agents that it is authorized to appoint, except that no President, professor, or teacher may be removed except for incompetence, neglect of or refusal to perform duties, or for immoral conduct, and then only after ten (10) days' notice in writing stating the nature of the charges preferred, and after the individual has been given an opportunity to make defense before the Board of Trustees by counsel or otherwise and to introduce testimony which shall be heard and determined by the Board of Trustees. (KRS 164.230)

8. Grant degrees to graduates of the University, prescribe conditions for the award of honorary degrees, and confer such honorary degrees, upon the recommendation of the faculty of the University, as it deems proper. (KRS 164.240)
9. Make a full report to the General Assembly, within the first month of each even-numbered year regular session, of the condition and operation of the University since the date of the previous report, with such recommendations concerning the University as are deemed necessary. (KRS 164.250)
10. Acquire additional lands or other property or material for the purpose of expanding its plant and extending its usefulness. When unable to contract with the owner of land or other property or material necessary for the purposes of the University, it may acquire the same by condemnation proceedings in the manner provided in KRS 416.010 to 416.080. (KRS 164.260)
11. Dispose of real estate held by the Commonwealth for the use or benefit of the University or the Kentucky Agricultural Experiment Station as authorized in KRS 164.270 and KRS 45.360.

G. Petitions to Address the Board of Trustees

The purpose of this section is to provide a standard process for members of the University community and the general public to address the Board of Trustees on matters relevant to the University. This process provides for reasonable access to the Board of Trustees, while also preserving the Board's orderly business operations.

The procedures established by this regulation do not supersede *Governing Regulations* or *Administrative Regulations* that specifically permit appeal to, or appearances before, the Board or a Board Committee.

1. Petitions

- a. An individual desiring to address the Board of Trustees shall submit a written petition to the Chair of the Board of Trustees through the Office of the President at least two (2) full business days prior to a scheduled meeting of the full Board. The petition shall describe the subject matter and the rationale for addressing the Board, and shall be submitted on the form (Petition to Address the Board of Trustees) attached as Appendix I to this regulation.

Petitions are available in the Office of the President, 101 Main Building, Lexington KY 40506-0032, or on-line at <http://www.uky.edu/Trustees/petition.htm>, and may be submitted in hardcopy or electronically. In order to be considered, any petition to address the Board of Trustees shall be submitted in accordance with this regulation and shall contain all required information. The Office of the President is responsible for forwarding to the Board Chair all petitions submitted in accordance with this regulation.

- b. The Chair, who may consult with the President, shall determine if the subject matter of the petition is relevant to a pending or future agenda item, or deemed essential information necessary for the Board to fulfill its statutory responsibilities. If the Chair determines that the subject is relevant or the information is essential, the Chair shall:
 - (1) approve the petition to address the Board and ask that the petitioner be so informed; or
 - (2) refer the petition to an appropriate committee of the Board and ask that the petitioner be informed of the Committee's meeting time and location.
- c. The Committee to which a petition is referred shall review the merits of the petition to address the Board and shall take such action as it deems appropriate.

- d. The list of petitioners requesting to address the Board of Trustees, along with the disposition of each petition, shall be made available immediately prior to each Board meeting at the meeting location.
- e. The Chair of the Board of Trustees shall provide a report during the full Board meeting on the number of petitions to address the Board received, as well as the disposition of said petitions.
- f. Prior to acting on an item or issue, the full Board shall hear approved petitioners who are present and prepared to address the Board when called to appear.
- g. A record shall be kept indicating the petitioner's name, the subject matter, and action taken on each petition to address the Board.

2. Limitations

- a. The Chair of the Board of Trustees may establish reasonable and appropriate limitations on the number of petitioners who may address the Board at each meeting and the time permitted for each address.
- b. In the event of a substantial change to an action item, or the addition of an action item to the Board agenda, the Chair may, in his or her discretion, accept a petition(s) received outside the procedures and timelines established by this Governing Regulation.
- c. The Chair of a Committee may establish reasonable and appropriate limitations on the number of petitioners who may address or participate in a committee meeting and the time permitted for each address.

H. References and Related Materials

KRS: 45A.335, 45A.340, 45.360, 61.800, 61.850, 164.131, 164.140, 164.160, 164.170, 164.180, 164.190, 164.200, 164.210, 164.220, 164.240, 164.250, 164.270, 164A.550, 164A.630, 416.010, 416.080

Revision History

6/11/2002, 9/17/2002, 10/10/2006, 10/16/2007, 6/17/2008, 3/29/2011, 9/13/2011, 12/13/2011, 6/19/2012,
| [12/11/12](#)

For archive versions contact: [Office of Legal Counsel](#)

Appendix I

Petition to Address the Board of Trustees University of Kentucky

Petitions to address the Board may be made by completing and submitting this form to the Office of the President no later than two (2) [full](#) business days before the start of the meeting (e.g., for a Tuesday, 1:00 p.m. meeting, petitions must be received by Friday at 1:00 p.m.). To ensure the proper recognition of speakers, no change in the original presenter may be made, except possibly as determined by the Board Chair or a Board Committee. For a complete list of guidelines, see GR II, *Governance of the University of Kentucky*.

INFORMATION (Please type or print.)

Contact Information (All fields must be completed)*

Name: _____ Telephone Number: _____

E-Mail: _____ Mailing Address: _____

***YOU MUST PROVIDE A TELEPHONE NUMBER AND EMAIL ADDRESS IN ORDER FOR YOUR REQUEST TO BE CONSIDERED.**

University Relationship

Relationship to the University (please check the most appropriate category):

☐ Student ☐ Faculty ☐ Staff ☐ Alumni ☐ Other (Please specify) _____

Name of Group (if applicable): _____

Topic

Topic on which you wish to speak: _____

Please indicate if you will speak ☐ pro ☐ con or ☐ neutrally on this topic.

Briefly summarize your proposed address to the board: (maximum 1000 characters)

Have you contacted any University units about this topic previously?

Yes ☐ No ☐

If yes, list the units and the action taken by each office: (maximum 300 characters)

The University of Kentucky is committed to providing equal opportunity for participation in all programs, services, and activities. Accommodations for persons with disabilities may be requested by contacting the Office of the President within 24 hours of the meeting. Requests received after this date will be honored whenever possible.

Office of the President

1019 Main Building

Lexington, KY 40506

Phone: (859) 257-1704 Fax: (859) 323-2414 E-mail: pwayakhisel@email.uky.edu

PR 1

Office of the President
March 19, 2013

1. DanceBlue - More Than \$1 Million Reasons to Dance

Students raised a record-breaking \$1,113,189.42 at the eighth annual DanceBlue dance marathon, which attracted a crowd of several thousand participants, volunteers and spectators. This marked the first time the year-long fundraising effort topped the \$1 million mark in a single year. In its eight years, the 24-hour no-sitting, no-sleeping dance marathon has raised more than \$5.1 million for the Golden Matrix Fund and the DanceBlue Kentucky Children's Hospital Pediatric Oncology Clinic. DanceBlue is a program housed in Student Affairs' Center for Community Outreach, which seeks to serve, connect and unite UK with the surrounding community in collaborative efforts to promote life-long community service.

2. UK English Professor Frank X Walker Becomes Kentucky Poet Laureate

Frank X Walker, UK associate professor in the Department of English and director of the African American and Africana Studies program in the College of Arts and Sciences, is the newest Kentucky poet laureate. Gov. Steve Beshear appointed Walker for the 2013-2014 term. As poet laureate, Walker will promote the arts and lead the state in literary endeavors through readings and public presentations at meetings, seminars, conferences and events, including Kentucky Writers' Day. Walker will be formally inducted at a public ceremony and reception, in conjunction with Kentucky Writers' Day, on April 24 in the Capitol Rotunda in Frankfort. Three of the last four Kentucky poet laureates have been UK English professors including Gurney Norman (2009-2010) and Jane Gentry Vance (2007-2008).

3. Gatton Donors Honored as Important Milestone Reached

On March 1, the Gatton College of Business and Economics celebrated the milestone of surpassing the halfway point in its fundraising efforts for the expansion and renovation of its facilities. On the day that also marked the one-year anniversary at UK of Gatton College Dean David W. Blackwell, the university announced that nearly \$34 million in private funds has been donated or pledged toward the \$65 million project. In particular, President Capilouto and Dean Blackwell cited the large gifts of C.M. "Bill" Gatton, Don and Cathy Jacobs, Howard Lewis, and Bill Seale, who together have contributed approximately \$23 million to this ambitious undertaking. Nearly 300 individuals, foundations, and corporations have supported the project financially. The planned renovation and expansion will nearly double the space available for students, faculty, and staff while also enabling the college to offer state-of-the-art technology throughout the building. The Gatton College is expected to grow substantially in the number of students entering its programs in future years, as well as in the quality of the academic profile of those students. This project is part of UK's overall capital improvement

plan (House Bill 7) recently approved by the Kentucky General Assembly and signed into law by Gov. Steve Beshear. No state tax dollars will be used in any of the UK construction projects, which include the Gatton College, a new science building on campus, and improvements to Commonwealth Stadium and UK's football facilities. The design phase of the Gatton expansion and renovation project is underway with construction expected to begin later this year. The timetable calls for completion of the project by the fall of 2015 or early in 2016.

4. Education Opens Center for Innovation

The National Center for Innovation in Education is being established at the College of Education with funding from two of the country's leading foundations -- the Bill & Melinda Gates Foundation and the William and Flora Hewlett Foundation. The center will be directed by Gene Wilhoit, a former Kentucky Department of Education commissioner who is a highly regarded figure in national education circles.

5. Sarah Bennett Holmes Awards

Two UK women were honored recently with the 20th anniversary Sarah Bennett Holmes awards. Lynne Jensen, a nurse practitioner and associate director for clinical care for the Center for the Advancement of Women's Health, and Kathy Sheppard-Jones, the training director at the Human Development Institute and adjunct assistant professor for the Rehabilitation Counseling Program, each received an honorary plaque and a \$1,000 cash award. Each year, the UK Women's Forum bestows the Sarah Bennett Holmes award to one female faculty member and one female staff member for their contributions to issues that affect women at UK and across the Commonwealth.

6. Gatton College Executive Education Center Sponsors Economic Outlook Conference

The mayors of both Lexington and Louisville, the chief policy officer of the Federal Reserve Bank of Cleveland, and award-winning faculty from the Gatton College of Business and Economics were part of the 24th Annual Economic Outlook Conference held in downtown Lexington February 5. The 2013 edition of the event was co-sponsored by the Gatton College's Executive Education Center and its Center for Business and Economic Research, together with The Lane Report and Commerce Lexington. The conference examined the trends, events and policies influencing the economic and financial future of Lexington, the Commonwealth, the nation, and the world.

7. Researchers Assert Abuse Inhibits Well-being for Cancer Patients

A new study by UK researchers shows evidence that certain forms of abuse negatively influence women cancer patients' quality of life. Published in the Journal of Women's Health, the research focuses on the effects of intimate partner violence (including physical, sexual and psychological violence) and childhood sexual abuse and how these forms of abuse affect a woman's levels of depression, perceived stress and cancer-related well-being.

8. Art Aids Transplant Patients' Recovery

Eight transplant patients from UK HealthCare used art as part of the ongoing recovery process after surgery. Dr. Michael Karpf and the UK Arts in HealthCare program partnered with Michael Tick, dean of the UK College of Fine Arts, the UK School of Art and Visual Studies, Kentucky Organ Donor Affiliates, the Ruth Hunt Wood Foundation and the Art2Be organization to hold a body mapping workshop and exhibition under the direction of artist Xavier Verhoest February 4-8. The eight transplant patients from UK HealthCare created canvases of their bodies that described their experience with transplantation.

9. Kentucky Equine Survey Results Released

The University of Kentucky College of Agriculture's Equine Initiative played a large part in the 2012 Kentucky Equine Survey, a comprehensive statewide survey of all breeds of horses, ponies, donkeys and mules. Findings were released in late January 2013 showing Kentucky is home to 242,400 horses, and the total value of the state's equine and equine-related assets is estimated at \$23.4 billion.

10. Education Abroad Expands by More Than 40 Percent

Education Abroad strives to make education abroad programs more affordable and accessible for all UK students. In 2011-2012, Education Abroad at UK awarded \$231,750 in total scholarships, a 41 percent increase in total funding, allowing a 42 percent increase in the number of students having the opportunity to experience studying in another country.

11. Intervention Helps Protect Appalachian Women from Cervical Cancer

An intervention created by a group of UK faculty has proven successful in encouraging young women in an area of eastern Kentucky to complete the series of HPV vaccines to guard against cervical cancer. UK faculty from the College of Public Health, College of Communication and Information, and Rural Cancer Prevention Center collaborated to develop a DVD intervention designed to promote the completion of the HPV vaccination series among women in the Kentucky River Health District. Young women enrolled in the DVD intervention were 2.5 times more likely to complete the HPV vaccination series compared to women receiving standard-of-care (reminder phone calls only).

12. Peer Tutoring Program Reaches Landmark Numbers

The Peer Tutoring Program in The Study reached 100,000 peer tutoring sessions last semester. The biggest resource offered by Academic Enhancement, the department provided more than 18,000 sessions last year alone, and 68 percent of those students visited The Study more than once. The Peer Tutoring program was started in the fall of 2003.

13. Lifelong Bilinguals Show Different Patterns of Brain Activity

A UK College of Medicine research team led by Brian Gold, associate professor of anatomy and neurobiology specializing in cognitive neuroscience, found that older adults who have spoken two languages since childhood are faster than single-language speakers at switching from one task to another. The study also found that lifelong bilinguals show different patterns of brain activity than their monolingual counterparts when making the switch. Their results were published in the January issue of Journal of Neuroscience.

14. Students Get Involved in Presentation U Promotions

University of Kentucky students are aiding with promotional efforts for Presentation U, UK's Quality Enhancement Plan, part of UK's Southern Association of Colleges and Schools (SACS) reaccreditation process. Presentation U aims to improve the student learning experience by focusing on developing integrated oral, written, visual and multimedia communication skills. As one of 12 core requirements the university takes on to reaffirm its accreditation through SACS, the QEP is being developed to receive SACS' evaluation during spring 2013.

15. Extension Service Addresses Substance Abuse

A major conference led by UK and its Cooperative Extension Service was held in Lexington January 23-24 to address the issue of substance abuse through community partnerships and education.

16. MBA Students Win Alltech Innovation Competition

Four MBA students from the University of Kentucky's Gatton College brought home first place in the inaugural Alltech Innovation Competition that challenged college teams to create jobs in the Commonwealth. Students representing University of Pikeville, University of Louisville and University of Kentucky proposed a diverse array of economic development solutions. A panel of independent entrepreneurs and private investors selected the University of Kentucky as the \$10,000 winner. The UK team including Lee Gage Goatley, Jarrod Willis, Jordan Denny and Jordan Laycock, proposed a plan for reclaiming mountaintop sites by growing switchgrass for fuel production. When the switchgrass is processed with a white rot fungus, butanol is produced as a by-product. Butanol is less corrosive, can be transported through pipelines and has a much higher concentration of BTUs.

17. UK Design Students Challenge Boundaries

The UK College of Design co-hosted "Possible Mediums," a consortium conference held in early February in Columbus, Ohio. As part of the conference, UK design students participated in workshops with students and faculty from University of Illinois at Chicago School of Architecture, Ohio State University Knowlton School of Architecture and University of Michigan Taubman College of Architecture and Urban Planning. Challenging the boundaries of architectural convention, the invited workshop leaders employ exploratory processes rooted in mediums external to the discipline (such as film or comics) or developed from atypical applications of more conventional mediums (such as drawings or models).

18. Artifacts of Infamous Family Feud Unearthed

A discovery of artifacts associated with the site of an infamous 1888 attack in the ongoing feud between the Hatfields and McCoys was confirmed by Kim McBride, an archaeologist with the Kentucky Archaeological Survey, a joint partnership with the UK Department of Anthropology and the Kentucky Heritage Council/State Historic Preservation Office. McBride's work is central to the story of the site, and what the artifacts and their context of recovery can contribute to our understanding of the events that transpired, which were featured on a January episode of the National Geographic television series "Diggers."

19. Chellgren Event Enhances Future Success

The Chellgren Center for Undergraduate Excellence gave first-year students an opportunity to learn about unique educational programs at UK at the "Opportunities for Academic Excellence." The event showed students some of the ways in which they can maximize their undergraduate experience, thereby enhancing options available to them upon graduation. Open to first year students with a 3.5 GPA or above, "Opportunities for Academic Excellence" helped students learn more about the Chellgren Student Fellows Program, the Office of Undergraduate Research, Education Abroad, the Office of External Scholarships and the Gaines Center for the Humanities.

20. Career Center Develops Job Search Website

The James W. Stuckert Career Center is now making available to students the online resource CareerShift, as part of its mission to bring the campus the best resources available to help in a job search. The website makes it easier for job seekers to conduct and organize their job search. While other Web services provide bits and pieces of the job search process, CareerShift provides an easy-to-use approach for bringing all these parts together to crack the "hidden job market" and for managing the job search all in one place.

21. College Demonstrates Wider Definition of Agriculture-related Businesses

Fayette County's agricultural business cluster accounts for one in nine jobs and \$2.4 billion in annual revenue, according to a report by UK College of Agriculture researchers. The study is one of the first to include businesses that are totally dedicated to agriculture, such as veterinary clinics, farm associations, agriculture-specific media and recreation. It further details the impact equine sales and horse racing facilities have on non-agricultural industries. Historically, employment associated with agriculture in Fayette County was limited to only on-farm numbers, according to Alison Davis, UK agricultural economist, Community and Economic Development Initiative of Kentucky executive director and a co-author of the study. The study's agriculture cluster is much broader and includes agricultural inputs and food processing, service-based businesses in the county totally dedicated to agriculture.

22. Research Fellowship Created for Pharmaceutical Outcomes and Policy

The UK College of Pharmacy has joined with two of the world's leading health care organizations, Humana Inc. and Pfizer Inc., to create a doctoral research fellowship program in pharmaceutical outcomes and policy. This collaboration supports an innovative fellowship program that will provide the fellow with advanced doctoral research training and the opportunity to apply academic knowledge to contemporary projects.

23. Students Learn to Transition to the Workforce

UK's February Life After College retreat taught students how to make a successful transition from college into the workforce. Topics included generations in the workplace, relocating, professional presence and more. The Life After College retreat was sponsored by the UK Alumni Association, First Scholars Program, the Graduate School, James W. Stuckert Career Center, the Office for Institutional Diversity and AMSTEMM.

24. Workshop Series Helps Women Change Their Lives

The UK Alumni Association offered a Career Relaunch Workshop for Women, a five-part workshop to serve as a soul-searching, career exploration group for women at a crossroads in their lives. The small group participated in exploration and journal exercises, assessments and a rich personal discovery curriculum.

25. Staff Senate Studies Engagement

As part of its 10th anniversary celebration, the UK Staff Senate is conducting a survey to gauge Staff Senate's communication and engagement with the university community. The Staff Senate's 10th anniversary celebration spans 10 months and includes service, education and social events, all geared to learning more about the Staff Senate and its senators.

26. Showcase Attracts 120 Potential Employers

Students had the opportunity to meet with more than 120 employers at the Spring 2013 Employer Showcase sponsored by the UK James W. Stuckert Career Center. The showcase brought employers in both technical and non-technical professions to campus over a period of two days in February. Last semester the Stuckert Career Center introduced the Employer Showcase VIP Program, an interactive program designed to develop career-ready students at UK and offer exclusive exposure to employers.

27. Kentucky Kernel Wins KPA Excellence in Newspapers Award

The Kentucky Kernel won the overall Excellence in Newspapers award in the University/College Newspapers category at the 2012 Kentucky Press Association awards. This achievement marks the ninth consecutive year that the student-run newspaper has won the overall university/college competition. In addition to the overall award, The Kentucky Kernel staff, as well as individual members took home multiple awards and recognitions.

28. Schmidt Opera Outreach Program Receives Achievement Award

The Kentucky Music Educators Association presented the 2013 Friend of Music Award to the Schmidt Opera Outreach Program during its annual Professional Development Conference Awards Ceremony in Louisville. This award honors achievement by an individual, organization, or corporation other than one engaged professionally in music education.

29. SGA Announces Internship Opportunities

The Wildcat Interest Group, the government relations branch for UK Student Government, recently announced summer internship opportunities reserved for UK students in the offices of Congressman Thomas Massie, Senator Rand Paul, Congressman Andy Barr, Congressman Hal Rogers and Congressman Brett Guthrie for summer 2013. "Wildcats in Washington" gives UK students an opportunity to intern in Washington and includes a \$1,500 living stipend for those students selected through an application and interview process.

30. Several UK Divisions Sponsor HealthU Website

A new website, HealthU, now offers a centralized location for people to learn more about the various health resources available at UK. Representatives from the colleges of Public Health and Communication and Information, as well as Health and Wellness, Dining Services, Housing, Parking and Transportation Services, Sustainability, Facilities, Campus Recreation, and Public Relations joined forces to discuss ways to create a healthier environment and increase accessibility to resources on campus that will make UK a healthier campus.

31. College Language Association Meets in Lexington

The 73rd annual convention of the College Language Association will be held in the Bluegrass this year. Themed, "Mason-Dixon and Maginot Lines: Borders, Boundaries and Barriers in Languages and Literatures," the conference is slated April 11-13. The CLA, an organization that fosters high professional standards for teachers of languages, literature and creative writing, will also hold its annual convention at UK. The event will include scholarly presentations, opportunities to exchange ideas with other colleagues and dialogues with specialists brought in by the association.

32. High School Students Explore Careers in Design

High school juniors and seniors will get the opportunity to explore careers in architecture and interior design through the Summer Career Discovery Program, an intensive two-week program being presented by the UK College of Design in July. The program will introduce students to the depth, breadth and rigor of a design education.

33. UK Partnership Opens UK's First Butcher Shop

A partnership between UK College of Agriculture Meats Lab and UK Dining Services has given the UK community and the public a new opportunity to eat locally produced meats. They have opened a butcher shop, where people from UK and the surrounding communities can come and buy quality local meats. The shop offers a variety of products including dry-aged ground beef, dry-cured bacon, breakfast sausage, ground chorizo and chorizo snack sticks. Some unique items include a cheese bratwurst called Wildcat Tail, a bourbon apple bratwurst made with locally produced apples and Kentucky bourbon, dry-cured bacon and an array of spices that are not found at large retail outlets. The butcher shop is open in the basement of the Garrigus Building each Wednesday and Friday from 1 to 5 p.m.

34. UK Volunteers Give Kids a Smile

The College of Dentistry provided free dental care for underserved children as part of the American Dental Association's "Give Kids a Smile" program held in February. "Give Kids a Smile" is an annual one-day volunteer initiative to provide free educational, preventive and restorative services to children from low-income families. Thousands of dentists across the country took time to help underserved children who aren't getting the oral health care they need.

35. MBA Students Study International Trade

The World Trade Center Kentucky (WTC-KY), headquartered in Lexington, recently led an intense training session on the major facets of international trade for MBA students at the Gatton College of Business and Economics. The program, which lasted more than a week, incorporated speakers from the U.S. Chamber of Commerce, EX-IM Bank, US Commercial Service, INTEVAC, Alltech, Lexmark, Lector dryer, Pizza Ovens, Wyatt Tarrant and Combs, LLP, LBX Company, Big Ass Fans, and Ashland Oil. Students learned about international shipping, receiving payment from overseas clients, U.S. trade policy initiatives, and drafting an international sales contract among other topics.

36. Citizen Police Academy Opens

The UK Police Department's Citizen Police Academy, which provides a good understanding of law enforcement and university policing, is a series of eight weekly classes through April 23. The CPA will include instruction in law, firearms, DUI detection, canine, and self-defense, as well as other police related training. Course material will be presented through lecture, audio-visual aides, and interactive scenarios.

37. Active Shooter Forums Offered on Campus

UK Police and the Division of Student Affairs are presenting two Active Shooter Forums this semester for the campus community. The first forum took place February 20 and the second forum is planned for Wednesday, March 20, in Worsham Theater in the Student Center. UK Police Department's specialized instructors are preparing students, faculty, and staff to have a survival mindset, train participants how law enforcement will respond to an active shooting situation, and discuss what pre-incident behaviors of concern are.

38. KGS Installs New Seismic Instrument Near Hazard

A new earthquake-monitoring station has been added to the seismic network jointly operated by the Kentucky Geological Survey and the Department of Earth and Environmental Sciences. The station is located behind the Perry County Public Library in Hazard. The new station will help KGS to better monitor earthquakes in the area, like the 4.2-magnitude event that happened in Letcher County on November 10, 2012. It will also help to avoid mistaken classification of mine blasts in the nearby coal fields as earthquakes.

39. KGS Published Two New Maps of Kentucky Resources

A new map of the Western Kentucky Fluorspar District has been published by the Kentucky Geological Survey. The map shows all the known mines, mineral prospects, and igneous intrusions (dikes or sills) of the Western Kentucky Fluorspar District. Recent mining and exploration activity has renewed interest in the district, and the mineral industry will benefit from the publication of this map. Another new map published by KGS shows the distribution of the state's limestone and dolomite deposits that are actively being quarried or potentially viable for recovery. In 2008, the latest year that statistics are available, Kentucky ranked 12th in the country in production of these resources.

40. Middle School Students Tour CAER Algae Greenhouse

Students and teachers from the Montessori Middle School of Kentucky toured the UK Center for Applied Energy Research Greenhouse. This Montessori School is currently studying energy conservation and biofuels, specifically in the area of CO₂ mitigation and control. The greenhouse lab houses research on utilization of waste CO₂ and heat from a coal-fired power plant to cultivate algae, which could then be processed into fuel. One of the major focuses of this research is to determine the most economically favorable strategy regarding the production of biofuels and other products from algae.

41. Students Study How iPads Might Change the Classroom

The Patterson School of Diplomacy and International Commerce has been named by Apple Computer an "Apple Distinguished Program" in recognition of its efforts to enhance the training of future international affairs professionals with the latest technology and methods. Two years ago, the Patterson School launched a project that has all faculty, staff and students working with iPads to explore how the device might transform both the classroom and the workplace. The project has garnered support from a dozen companies ranging from Lexmark, Altec-Lansing, and John Wiley in the United States to NewspaperDirect in British Columbia, Canada.

42. Faculty and Staff Achievements

Three UK faculty members presented at the inaugural Southeastern Conference Symposium, which addressed a significant scholarly issue across the range of disciplines represented by the SEC's 14 member universities. John Anthony (Chemistry) presented *Carbon-Based Materials for Solar Power Generation* at a session about advanced materials for energy applications. Mark Crocker (Center for Applied Energy Research) presented *Lignin Deconstruction for the Production of Fuels and Chemicals* at a session about technologies for

producing biopower, biofuels and biomaterials. Burt Davis (Center for Applied Energy Research) presented *The Fischer-Tropsch Approach to Produce Transportation Fuels from Biomass* at a session about energy advances in the transportation sector.

Dibakar Bhattacharyya (Chemical and Materials Engineering) edited and published a book titled *Responsive Membranes and Materials*.

Carey Cavanaugh (Patterson School) has been appointed to serve on the advisory board of the Woodrow Wilson International Center for Scholar's Kennan Institute, part of the Smithsonian Institution. The Kennan Institute brings scholars and specialists together to examine political, social and economic issues affecting Russia and other successor states to the Soviet Union.

Elisia L. Cohen and Allison M. Scott (Communication and Information) collaborated with Carol R. White and Mark B. Dignan (Medicine) to explore opportunities for improving patient adherence to follow-up cervical cancer care through the use of patient navigators. Funded by a grant from the National Cancer Institute, their study was featured in the January special issue of the *Journal of Communication*.

Lawrence M. Crutcher (University Press of Kentucky) has won the Samuel W. Thomas Louisville History Book Award for his book on George Keats, brother of poet John Keats.

Alan DeSantis (Communication and Information) was featured as an Adderall research expert on NPR's *On Point*.

Alan Fryar (Earth and Environmental Sciences) was featured in the *Chronicle of Higher Education*. His essay, *Hijabs, Hydrology and Lyle Lovett*, describes his experience with 11 students from the Middle East and North Africa who convened in drought-stricken San Angelo, Texas, to learn about water.

Frieda Gebert (Office of the Provost) is co-editor of a book that explores environmental, cultural and social sustainability from around the world, *Sustaining Living Culture*.

Edith "Phoebe" Glazer (Chemistry) has received an American Cancer Society Research Scholar Grant for \$715,000 over four years to continue her research into ruthenium-based cancer drugs. These compounds are less toxic to healthy cells than an inorganic drug.

Darren L. Johnson (Orthopaedic Surgery) has been named one of the top U.S. sports medicine specialists by *Orthopedics This Week*.

Linda McDaniel (Accountancy, Business and Economics) has been named as an editor for the professional periodical *Auditing: A Journal of Practice and Theory*.

Debra Moser (Nursing) has received a research grant from the Patient-Centered Outcomes Research Institute to compare the effectiveness of different approaches to reducing cardiovascular risk factors among adults at high-risk for cardiovascular disease in Appalachia.

Arturo Alonzo Sandoval (Art) lectured and exhibited his work in Louisville at the invitation of the Hite Art Institute and Jewish Community Center.

Chang-Guo Zhan (Pharmaceutical Sciences) has received a three-year, \$1.8 million National Institutes of Health grant to develop a therapeutic treatment for cocaine overdose. The development of an anti-cocaine medication for the treatment of cocaine overdose has challenged the scientific community for years. There is no current FDA-approved anti-cocaine overdose medication on the market.

43. Students Awards and Achievements

Amanda Fickey (Geography, doctoral candidate) was recently granted a yearlong research fellowship by the Central Appalachian Institute in Research and Development to focus on regional identity and economic development throughout all of Appalachia.

Rebecca Farley (Voice Performance, senior) placed second in the Metropolitan Opera National Council Mid-South Regional Auditions in January. Farley, a soprano, was a winner in the Kentucky District Auditions of the Metropolitan Opera National Council Auditions, before advancing to the next level of the competition where she competed against more than 80 singers from four districts within the Mid-South Region.

Focusing on the nostalgia society feels for the printed page in the age of the "death of print," Ashleigh Lovelace (English, Arts Administration and Art History, senior) delivered the 19th Edward T. Breathitt Undergraduate Lectureship in the Humanities in February.

PR 2

Office of the President
March 19, 2013

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 of the Governing Regulations of the university. These recommendations are transmitted to the Board by the appropriate provost/executive vice president through the president and have the president's concurrence.

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

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PRESIDENT
AND
EXECUTIVE VICE PRESIDENT
FOR
FINANCE AND ADMINISTRATION

I. BOARD ACTION

A. RETIREMENTS

Assistant Vice President for Public Safety

Gary, Sandra L., Parking/Transportation Services Director Associate, Parking & Transportation, after 44 years and 11 months of consecutive service under AR 3.1 Section VIII.B, effective 5/10/13.

Executive Vice President for Finance and Administration

Thadiangada, Parvathy R., Patient Registration Counselor II, Patient Accounts, Human Resources, after 31 years and 5 months of consecutive service under AR 3.1 Section VIII.B, effective 1/31/13.

B. EARLY RETIREMENTS

Associate Vice President for Human Resources

Leeber, Angela, Compensation Analyst Principal, Human Resources, after 23 years and 11 months of consecutive service, under AR 3.1 Section VIII.A, effective 1/4/13.

Vice President for Facilities Management

McDonald, John C., CAD/CAM Operator, Physical Plant Department, after 25 years of consecutive service under AR 3.1 Section VIII.A, effective 3/1/13.

II. ADMINISTRATIVE ACTION

A. APPOINTMENTS

Athletics Director

Ansley, Derrick, Assistant Football Coach, effective 1/11/13.
Edmond, Corey, Strength Football Coach, effective 1/4/13.
Mainord, Thomas, Assistant Football Coach, effective 1/11/13.
Nelson, Anders, Assistant Volleyball Coach, effective 1/31/13.

PROVOST

I. BOARD ACTION

A. ACADEMIC APPOINTMENTS

- Borders, Tyrone F., College of Public Health, Professor (with tenure), Health Services Management, appointed Co-Chair to the Endowed Chair/Distinguished Scholar in Rural Health Policy, 1/1/13 through 6/30/18.
- DiSantis, David J., College of Medicine, Clinical Professor, Radiology, appointed to the Arthur Lieber, M.D., Professorship in Diagnostic Radiology, 1/1/13 through 6/30/14.
- Henrickson, Michael, College of Medicine, Professor (part-time), Pediatrics, 3/1/13 through 6/30/13.
- John, William J., College of Medicine, Associate Professor (voluntary), Internal Medicine, 11/1/12 through 6/30/16.
- Kuhn, Robert J., College of Pharmacy, Professor* (with tenure), Pharmacy Practice and Science, and joint appointment as Professor* (without tenure), Pediatrics, College of Medicine, appointed to the Kentucky Hospital Association Endowed Professorship, effective 2/1/13.
- Reynolds, Brady A., College of Medicine, Associate Professor (with tenure), Behavioral Science, appointed Co-Chair to the Endowed Chair/Distinguished Scholar in Rural Health Policy, 1/1/13 through 6/30/18.
- Wilhoit, Gene, College of Education, Clinical Assistant Professor, Educational Leadership Studies, 1/21/13 through 6/30/14.

B. ADMINISTRATIVE APPOINTMENTS

- Paz, Yanira, College of Arts and Sciences, Associate Professor (with tenure), Hispanic Studies, appointed Chair, Hispanic Studies, 7/1/14 through 6/30/18.
- Renzetti, Claire M., College of Arts and Sciences, Professor (with tenure), Sociology, appointed Chair, Sociology, 7/1/13 through 6/30/17.
- Rueda, Ana, College of Arts and Sciences, Professor (with tenure), Hispanic Studies, reappointed Chair, Hispanic Studies, 7/1/13 through 6/30/14.

C. JOINT APPOINTMENTS

- Bada-Ellzey, Henrietta S., College of Medicine, Professor (with tenure), Pediatrics, and joint appointment as Professor (without tenure), Epidemiology, College of Public Health, new joint appointment as Professor (without tenure), Health Behavior, College of Public Health, effective 1/1/13.
- Boyd, Douglas A., Libraries, Librarian II (with tenure), and joint appointment as Librarian II (without tenure), Educational Policy Studies and Evaluation, College of Education, new joint appointment as Librarian II (without tenure), History, College of Arts and Sciences, 1/9/13 through 5/4/13.

Szabunio, Margaret M., College of Medicine, Clinical Professor, Radiology, and joint appointment as Clinical Professor, Surgery, new joint appointment as Clinical Professor, Biomedical Engineering, College of Engineering, 3/1/13 through 6/30/13.

Tindall, Michelle S., College of Social Work, Associate Professor (with tenure), joint appointment as Associate Professor (without tenure), Behavioral Science, College of Medicine, effective 1/31/13.

D. REAPPOINTMENTS

Lane, Derek R., College of Communication and Information, Associate Professor (with tenure), Communication, reappointed to the H. Lester Reynolds Professorship in Engineering, 1/1/13 through 12/31/15.

Peterson, Charlotte A., College of Health Sciences, Professor (with tenure), Rehabilitation Sciences, and joint appointments as Professor (without tenure), Physiology, College of Medicine and Professor (without tenure), Clinical Sciences, reappointed to the Joseph Hamburg Professorship in Rehabilitation Services, 7/1/12 through 6/30/13.

Sprang, Mary V., College of Social Work, Professor (with tenure), and joint appointment as Professor (without tenure), Psychiatry, College of Medicine, reappointed to the Buckhorn Professor in Child Welfare, change dates from 1/1/13 through 12/31/15, to 1/1/13 through 1/31/13.

E. CHANGES

Luo, Jia, College of Medicine, from Professor (with tenure), Internal Medicine, and joint appointment as Professor (without tenure), Graduate Center for Nutritional Sciences, to Professor (with tenure), Molecular and Biomedical Pharmacology, and joint appointment as Professor (without tenure), Graduate Center for Nutritional Sciences, effective 1/1/13.

Sprang, Mary V., College of Social Work, from Professor (with tenure), and joint appointment as Professor (without tenure), Psychiatry, College of Medicine, to Professor (with tenure), Psychiatry, College of Medicine, and joint appointment as Professor (without tenure), College of Social Work, effective 2/1/13.

F. TERMINAL REAPPOINTMENTS

Callahan, Leigh Ann, College of Medicine, Associate Professor (without tenure), Internal Medicine, 1/15/13 through 1/14/14.

G. RETIREMENTS

Coffman, Jack L., Information Technology, Security/Contingency Plan Officer, IT Customer Experience OPS Group, after 25 years and 9 months of consecutive service, under AR 3:1, Section VIII.B, effective 2/4/13.

DeLucia, Tony, Information Technology, Information Technology Trainer Senior, Administrative Systems Group, after 16 years and 8 months of consecutive service, under AR 3:1, Section VIII.B, effective 12/4/12.

George, Lynda S., Enrollment Management, Student Services Director, Student Financial Aid, after 18 years and 1 month of consecutive service, under AR 3:1, Section VIII.B, effective 1/25/13.

Gifford, Doris L., College of Agriculture, Program Assistant, Family and Consumer Sciences, after 27 years and 9 months of consecutive service, under AR 3:1, Section VIII.B, effective 1/15/13.

Leach, Roy B., College of Agriculture, Administrative Staff Officer II, Veterinary Science, after 43 years and 6 months of consecutive service, under AR 3:1, Section VIII.B, effective 1/21/13.

Walling, Anna L., Information Technology, Programmer Systems Analyst Senior, Data Administration, after 23 years and 10 months of consecutive service, under AR 3:1, Section VIII.B, effective 1/4/13.

H. EARLY RETIREMENTS

Bakert, Drusilla V., College of Law, Associate Dean, after 25 years and 9 months of consecutive service, under AR 3:1, Section VIII.A, effective 1/17/13.

Farmer, Kathie L., Libraries, Library Technician, after 18 years and 8 months of consecutive service, under AR 3:1, Section VIII.A, effective 12/13/12.

Foldes, Jane K., College of Medicine, Research Administration Coordinator, Cancer Center Core Support, after 15 years of consecutive service, under AR 3:1, Section VIII.A, effective 1/3/13.

Humphreys, Suzanne, College of Medicine, Laboratory Technician Senior, Electron Microscopy and Imaging, after 26 years and 8 months of consecutive service, under AR 3:1, Section VIII.A, effective 1/4/13.

Jordan, Genine R., College of Medicine, Advanced Practice Provider III, Pediatrics, after 25 years and 6 months of consecutive service, under AR 3:1, Section VIII.A, effective 3/22/13.

Robinson, Deborah L., College of Agriculture, Laboratory Technician Senior, Veterinary Science, after 26 years and 11 months of consecutive service, under AR 3:1, Section VIII.A, effective 1/2/13.

Sells, Stephen F., College of Agriculture, Scientist II, Livestock Disease Diagnostics, after 21 years and 5 months of consecutive service, under AR 3:1, Section VIII.A, effective 4/17/13.

I. POST-RETIREMENT APPOINTMENTS

Allen, David M., College of Arts and Sciences, Professor (part-time), Statistics, 1/1/13 through 5/15/13.

Collins, Clinton, College of Education, Associate Professor (part-time), Educational Policy Studies and Evaluation, 1/1/13 through 6/30/13.

Cox, Raymond, College of Arts and Sciences, Associate Professor (part-time), Mathematics, 1/1/13 through 5/15/13.

Greenwell, Richard, College of Agriculture, County Extension Agent (part-time), Cooperative Extension Service, 5/6/13 through 5/5/14.
Howard, Henry, College of Arts and Sciences, Professor (part-time), Mathematics, 1/1/13 through 5/15/13.
MacAdam, Keith, College of Arts and Sciences, Professor (part-time), Physics and Astronomy, 1/1/13 through 5/15/13.
McEllistrem, Marcus T., College of Arts and Sciences, Professor (part-time), Physics and Astronomy, 4/1/13 through 12/31/13.
Meade, Bobby W., College of Engineering, Temp Tech/Paraprofessional (part-time), Kentucky Transportation Center, 2/13/13 through 6/30/13.

J. PHASED RETIREMENT APPOINTMENTS

Peters, Jane S., College of Fine Arts, Associate Professor (with tenure), Art and Visual Studies, 7/1/13 through 6/30/15.

II. ADMINISTRATIVE ACTION

A. ACADEMIC APPOINTMENTS

Abisambra, Jose F., College of Medicine, Assistant Professor, Physiology, 3/1/13 through 6/30/13.
Anderson, Charlotte R., College of Arts and Sciences, Adjunct Instructor, Dean's Office, 1/1/13 through 5/15/13.
Beard, Jessica L., College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/13 through 6/30/13.
Behbahani, Katayoun, College of Medicine, Instructor (voluntary), Internal Medicine, 11/1/12 through 6/30/16.
Berry, Jennifer N., College of Arts and Sciences, Instructor (part-time), Psychology, 1/1/13 through 5/15/13.
Bond, Mona, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/13 through 6/30/13.
Bordas, Marsha, College of Education, Instructor (part-time), STEM Education, 1/1/13 through 6/30/13.
Bordas, Meredith, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/13 through 6/30/13.
Carper, Ramona A., College of Health Sciences, Instructor (part-time), Rehabilitation Sciences, 1/1/13 through 6/30/13.
Coleman, Larry B., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 12/1/12 through 6/30/16.
Crider, Ashley, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/13 through 6/30/13.
Csimá, Nora E., College of Arts and Sciences, Instructor (part-time), Mathematics, 1/1/13 through 5/15/13.
Curtis, Walter J., College of Arts and Sciences, Instructor (part-time), Psychology, 1/1/13 through 5/15/13.

Davenport, Michael K., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 12/1/12 through 6/30/16.

Derefinko, Karen J., College of Arts and Sciences, Instructor (part-time), Psychology, 1/1/13 through 5/15/13.

Dodd, Luke E., College of Agriculture, Instructor (part-time), Forestry, 1/9/13 through 6/30/13.

Dutch, Kenneth D., College of Arts and Sciences, Instructor (part-time), Mathematics, 1/1/13 through 5/15/13.

Fereday, Lynda, College of Education, Instructor (part-time), Educational, School, and Counseling Psychology, 7/1/12 through 6/30/13.

Firsing, Stephen L., College of Health Sciences, Instructor (part-time), Clinical Sciences, 1/2/13 through 6/30/13.

Frick, Lawrence P., College of Medicine, Instructor (voluntary), Family and Community Medicine, 12/1/12 through 6/30/16.

Gillaspy, Mary L., College of Communication and Information, Instructor (part-time), Library and Information Science, 1/1/13 through 6/30/13.

Graham, David L., College of Dentistry, Clinical Assistant Professor, Oral Health Science, 1/28/13 through 6/30/14.

Hinds, Shawn, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/13 through 6/30/13.

Hohman, Jessicah C., College of Communication and Information, Instructor (part-time), Library and Information Science, 1/1/13 through 6/30/13.

Hollingsworth, Randolph, College of Arts and Sciences, Instructor (part-time), Dean's Office, 1/1/13 through 5/15/13.

Howard, Bobby R., College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/13 through 6/30/13.

Huang, Kuang-Yuan, College of Communication and Information, Instructor (part-time), Library and Information Science, 1/1/13 through 6/30/13.

Johnson, Troy, College of Social Work, Instructor (part-time), 1/9/13 through 6/30/13.

Johnston, Kathleen M., College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/13 through 6/30/13.

Katen, Kenneth P., College of Engineering, Instructor (part-time), Mining Engineering, 1/1/13 through 6/30/13.

Kendrick, Jack, College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 12/1/12 through 6/30/16.

Kidwell, Virginie L., College of Business and Economics, Instructor (part-time), Management, 8/16/12 through 5/15/13.

LaFoe, Joshua, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/12 through 6/30/12.

Laub, Daniel, College of Business and Economics, Instructor (part-time), Economics, 8/16/12 through 6/30/13.

Lesch, Dennis C., College of Health Sciences, Instructor (part-time), Rehabilitation Sciences, 7/1/12 through 6/30/13.

Li, Xiaoxu, College of Business and Economics, Instructor (part-time), Economics, 1/1/13 through 6/30/13.

Long, Kari, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/13 through 6/30/13.

Lucas, Bethany D., College of Medicine, Instructor (voluntary), Family and Community Medicine, 11/1/12 through 6/30/16.

Luckett, Jeremy, College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 11/1/12 through 6/30/16.

Mamaril, Cezar B., College of Public Health, Assistant Research Professor, Health Services Management, 3/1/13 through 6/30/13.

Meaux, Wanda, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/13 through 6/30/13.

Merritt, Tonya, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/13 through 6/30/13.

Moore, Neil, College of Engineering, Adjunct Instructor, Computer Science, 1/1/13 through 6/30/13.

Morse, Lee Ann F., College of Health Sciences, Assistant Professor (voluntary), Rehabilitation Sciences, 2/1/13 through 6/30/16.

Muscarella, Michael A., College of Health Sciences, Instructor (voluntary), Rehabilitation Sciences, 2/1/13 through 6/30/16.

Neill, Thomas K., College of Arts and Sciences, Instructor (part-time), Dean's Office, 1/1/13 through 5/15/13.

Nestmann, Mary A., College of Communication and Information, Adjunct Instructor, Communication, 1/1/13 through 6/30/13.

Nikzad-Terhune, Katherina, College of Social Work, Instructor (part-time), 1/9/13 through 6/30/13.

Nusbacher, Kenneth B., College of Dentistry, Clinical Assistant Professor, Oral Health Practice, 1/1/13 through 6/30/13.

Ohr, Tenny, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/13 through 6/30/13.

Ouyang, Francis, College of Medicine, Assistant Professor (voluntary), Internal Medicine, 11/1/12 through 6/30/16.

Piepglass, Ward T., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 2/11/13 through 6/30/13.

Quinn, Kathleen, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/13 through 6/30/13.

Reece, Erik, College of Arts and Sciences, Assistant Professor, English, 1/1/13 through 12/31/14.

Routt, Thalethia B., College of Law, Instructor (part-time), 8/1/12 through 6/30/13.

Royster, Norma, College of Education, Instructor (part-time), STEM Education, 1/1/13 through 6/30/13.

Rush, Jeffrey S., College of Medicine, Assistant Research Professor, Molecular and Cellular Biochemistry, 4/1/13 through 6/30/13.

Seifert, Ashley W., College of Arts and Sciences, Assistant Professor, Biology, 8/16/13 through 6/30/15.

Shah, Jignesh S., College of Medicine, Assistant Professor (part-time), Internal Medicine, 1/1/13 through 6/30/13.

Silva Castro, Jhon J., College of Engineering, Instructor (part-time), Mining Engineering, 1/1/13 through 6/30/13.

Sloan, Jeremiah C., College of Arts and Sciences, Instructor, Aerospace Studies, 6/1/13 through 6/30/16.

Smith, Ashley, College of Social Work, Instructor (part-time), 1/9/13 through 6/30/13.

Stevens-Watkins, Danelle J., College of Education, Assistant Professor, Educational, School, and Counseling Psychology, 7/1/13 through 6/30/14.

Thornton, Michelle, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/13 through 6/30/13.

Van de Venne, Judy, College of Social Work, Instructor (part-time), 1/9/13 through 6/30/13.

VanArsdall, Marilee, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/13 through 6/30/13.

Vannatter, Catherine, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/13 through 6/30/13.

Ward, George D., College of Agriculture, Instructor (part-time), Merchandising, Apparel and Textiles, 1/1/13 through 6/30/13.

Wasielewski, Alice K., College of Communication and Information, Instructor (part-time), Library and Information Science, 1/1/13 through 6/30/13.

Watson, Susan, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/13 through 6/30/13.

Watts, Heather, College of Health Sciences, Instructor (part-time), Rehabilitation Sciences, 1/1/13 through 6/30/13.

Welch, Peggy, College of Education, Instructor (part-time), STEM Education, 1/1/13 through 6/30/13.

Wiseman, Margaret M., College of Education, Instructor (part-time), STEM Education, 1/1/13 through 6/30/13.

Zhou, Yufang, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/13 through 6/30/13.

B. ADMINISTRATIVE APPOINTMENTS

Dobbs, Michael R., College of Medicine, Associate Professor* (with tenure), Neurology, and joint appointment as Associate Professor* (without tenure), Preventive Medicine and Environmental Health, College of Public Health, appointed Interim Chair, Neurology, 2/1/13 through 1/31/14.

Hackbart, Merl, College of Business and Economics, Professor (with tenure), Management, and joint appointment as Professor (without tenure), Martin School of Public Policy and Administration, Graduate School, reappointed Interim Director, Martin School of Public Policy and Administration, 7/1/13 through 6/30/14.

Hughes, Nedda K., College of Medicine, Advanced Practice Provider I, Internal Medicine, effective 1/13/13.

Kantor, Mel L., College of Dentistry, Professor* (with tenure), Oral Health Practice, and joint appointment as Professor* (without tenure), Epidemiology, College of Public Health, reappointed Interim Chair, Oral Health Practice, 1/1/13 through 12/31/13.

Permin, Catherine, College of Medicine, Advanced Practice Provider I, Family and Community Medicine, effective 1/27/13.

Tracy, Timothy S., College of Pharmacy, Professor (with tenure), Pharmaceutical Sciences, reappointed Interim Provost, 1/1/13 through 6/30/13.

C. REAPPOINTMENTS

Abdon, Brandon, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/13 through 6/30/13.

Adkins, Scotty R., College of Arts and Sciences, Instructor (part-time), English, 1/1/13 through 5/15/13.

Bagby, Glen S., College of Law, Instructor (part-time), 8/1/12 through 6/30/13.

Barbour, John T., College of Arts and Sciences, Instructor (temporary), English, 1/1/13 through 5/15/13.

Bartek, James M., College of Arts and Sciences, Instructor (part-time), History, 1/1/13 through 5/15/13.

Beck, Matthew J., College of Engineering, Assistant Professor, Chemical and Materials Engineering, 7/1/13 through 6/30/14.

Braccia, Dana M., College of Communication and Information, Instructor (part-time), Library and Information Science, 1/1/13 through 6/30/13.

Brown, David B., College of Engineering, Instructor (part-time), Computer Science, 1/1/13 through 5/31/13.

Bryan, Ruth E., Libraries, Librarian III, 7/1/13 through 6/30/14.

Buffington, Clint, College of Arts and Sciences, Instructor (part-time), English, 1/1/13 through 5/15/13.

Byrd, Brandi P., College of Arts and Sciences, Instructor (part-time), English, 1/1/13 through 5/15/13.

Callahan-Caudill, Krista E., College of Arts and Sciences, Instructor (part-time), English, 1/1/13 through 5/15/13.

Camp, Sarah K., College of Arts and Sciences, Instructor (part-time), English, 1/1/13 through 5/15/13.

Chaney, Joyce P., College of Arts and Sciences, Instructor (part-time), English, 1/1/13 through 5/15/13.

Chappell, Rebecca V., College of Communication and Information, Instructor (part-time), Library and Information Science, 1/1/13 through 6/30/13.

Crawford, Charles W., College of Communication and Information, Instructor (part-time), Journalism and Telecommunications, 1/1/13 through 6/30/13.

Culp-Roche, Amanda D., College of Nursing, Instructor (part-time), 1/1/13 through 6/30/13.

Davis, Andrea C., College of Nursing, Instructor (part-time), 1/1/13 through 6/30/13.

Effinger, Kathy, College of Arts and Sciences, Instructor (part-time), Mathematics, 1/1/13 through 5/15/13.

Eggers, Derek C., College of Arts and Sciences, Adjunct Instructor, Dean's Office, 1/1/13 through 5/15/13.

El Majzoub, Nada M., College of Arts and Sciences, Instructor (part-time), Modern and Classical Languages, Literatures, and Cultures, 1/1/13 through 5/15/13.

Ellis, Steven L., College of Arts and Sciences, Adjunct Instructor, Physics and Astronomy, 1/1/13 through 5/15/13.

Fields, Jim, College of Arts and Sciences, Instructor (part-time), English, 1/1/13 through 5/15/13.

Gibbons, Judith A., College of Communication and Information, Instructor (part-time), Library and Information Science, 1/1/13 through 6/30/13.

Greenwell, Karen J., College of Law, Instructor (part-time), 8/1/12 through 6/30/13.

Gunther, Denotra S., College of Business and Economics, Instructor (part-time), Management, 8/16/12 through 6/30/13.

Hamilton, Phyllis, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/13 through 6/30/13.

Haynes, Diane, College of Education, Instructor (part-time), Early Childhood, Special Education, and Rehabilitation Counseling, 1/1/13 through 6/30/13.

Hays, John W., College of Law, Instructor (part-time), 7/1/12 through 6/30/13.

Heinonen, Alayna L., College of Arts and Sciences, Instructor (part-time), English, and joint appointment as Instructor (part-time), History, 1/1/13 through 5/15/13.

Hendricks, Michael T., College of Arts and Sciences, Instructor (part-time), English, 1/1/13 through 5/15/13.

Hesseldenz, Jon P., Libraries, Librarian III, 7/1/13 through 6/30/14.

Ho, Adrian, Libraries, Librarian III, 7/1/13 through 6/30/14.

Hood, James L., College of Arts and Sciences, Instructor (part-time), History, 1/1/13 through 5/15/13.

Hruby, Alison, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/13 through 6/30/13.

Jennings, Randee D., College of Arts and Sciences, Instructor (temporary), English, 1/1/13 through 5/15/13.

Karkelanova, Anushka A., College of Arts and Sciences, Instructor (part-time), Statistics, 1/1/13 through 5/15/13.

Keinsley, Jason, Libraries, Librarian III, 7/1/13 through 6/30/14.

Leedham, Cynthia, College of Arts and Sciences, Adjunct Instructor, Sociology, 1/1/13 through 5/15/13.

Lewis, Ancil W., College of Social Work, Instructor (part-time), 1/9/13 through 6/30/13.

Lybarger, Kathryn J., Libraries, Librarian III, 7/1/13 through 6/30/14.

Lynch, John, College of Communication and Information, Instructor (part-time), Journalism and Telecommunications, 9/1/11 through 6/30/12.

Lynch, John, College of Communication and Information, Instructor (part-time), Journalism and Telecommunications, 1/1/13 through 6/30/13.

Mansfield, DeeAnn W., College of Arts and Sciences, Instructor (part-time), Sociology, 1/1/13 through 5/15/13.

Marinelli, James M., College of Arts and Sciences, Instructor (temporary), English, 1/1/13 through 5/15/13.

Martin, Alexandre, College of Engineering, Assistant Professor, Mechanical Engineering, 1/1/13 through 12/31/14.

Martin, Heath C., Libraries, Librarian III, 7/1/13 through 6/30/14.

McSwain, Stephen B., College of Communication and Information, Instructor (part-time), Communication, 1/1/13 through 6/30/13.

Mock, Robert C., College of Arts and Sciences, Adjunct Instructor, Dean's Office, 7/1/12 through 6/30/13.

Mock, Robert C., College of Communication and Information, Adjunct Instructor, Communication, 1/1/13 through 6/30/13.

Moore, Julia M., College of Social Work, Instructor (part-time), 1/9/13 through 6/30/13.

Moosnick, Nora R., College of Arts and Sciences, Instructor (part-time), Dean's Office, 1/1/13 through 5/15/13.

Motamedi, Hossein, College of Arts and Sciences, Instructor (part-time), Political Science, 1/1/13 through 5/15/13.

Nicholson, James C., College of Arts and Sciences, Instructor (part-time), History, 1/1/13 through 5/15/13.

Norman, Charlene, College of Arts and Sciences, Instructor (part-time), Mathematics, 1/1/13 through 5/15/13.

O'Hara, Michael, College of Arts and Sciences, Instructor (part-time), English, 1/1/13 through 5/15/13.

Ripley, Dee, College of Arts and Sciences, Instructor (part-time), Mathematics, 1/1/13 through 5/15/13.

Robinson, Deirdra L., College of Social Work, Instructor (part-time), 1/9/13 through 6/30/13.

Rogers, Brian C., College of Business and Economics, Instructor (part-time), Accountancy, 8/16/12 through 12/30/12.

Rolfes, Siobhan B., College of Arts and Sciences, Instructor (part-time), English, 1/1/13 through 5/15/13.

Schroot, Lisa M., College of Arts and Sciences, Instructor (temporary), English, 1/1/13 through 5/15/13.

Shumer, Daniel, College of Arts and Sciences, Instructor (temporary), English, 1/1/13 through 5/15/13.

Simon, Rachel A., College of Arts and Sciences, Instructor (part-time), English, 1/1/13 through 5/15/13.

Smith, Jennifer, College of Social Work, Instructor (part-time), 1/9/13 through 6/30/13.

Sprague, Dennis, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/13 through 6/30/13.

Swinford, Bill, College of Arts and Sciences, Adjunct Instructor, Political Science, 1/1/13 through 5/15/13.

Taylor, Carol, College of Social Work, Adjunct Instructor, 1/9/13 through 6/30/13.

Theakston, Stephanie A., College of Social Work, Instructor (part-time), 1/9/13 through 6/30/13.

Voskresensky, Anna, College of Arts and Sciences, Adjunct Instructor, Modern and Classical Languages, Literatures, and Cultures, 1/1/13 through 5/15/13.

Wall, Maryjean, College of Arts and Sciences, Instructor (part-time), History, 1/1/13 through 5/15/13.

Wiecek, William, College of Law, Instructor (visiting), 1/1/13 through 6/30/13.
 Williams, Cassandra R., College of Arts and Sciences, Adjunct Instructor, Dean's Office, 1/1/13 through 5/15/13.
 Wood, Mark F., College of Arts and Sciences, Instructor (temporary), English, 1/1/13 through 5/15/13.
 Yu, Carol B., College of Arts and Sciences, Adjunct Instructor, Modern and Classical Languages, Literatures, and Cultures, 1/1/13 through 5/15/13.

D. PROMOTIONS WITHOUT TENURE

Chesnut, Lorie W., College of Public Health, from Instructor (part-time), Epidemiology, to Assistant Professor (part-time), Epidemiology, 3/1/13 through 6/30/13.
 Lamberth, Cynthia, College of Public Health, from Clinical Instructor, Preventive Medicine and Environmental Health, to Clinical Assistant Professor, Health Behavior, 3/1/13 through 6/30/13.
 Shapiro, Robert M., Libraries, from Librarian IV, to Librarian III, 7/1/13 through 6/30/14.

E. CHANGES

Adler, Jordan, Enrollment Management, from Computer Support Specialist III, Student Financial Aid, to Technical Administrator III, Undergraduate Admissions and University Registrar, effective 2/10/13.
 Batista, Jennifer L., from College of Nursing, Staff Development Specialist, to College of Medicine, Advanced Practice Provider III, Anesthesiology, effective 2/24/13.
 Boss, Christopher R., College of Arts and Sciences, from Instructor (temporary), English, to Instructor (part-time), English, 1/1/13 through 5/15/13.
 Brown, Racquel, College of Medicine, from Advanced Practice Provider III, Radiology, to Advanced Practice Provider II, Internal Medicine, effective 12/30/12.
 Cain, John P., College of Arts and Sciences, from Instructor (temporary), Statistics, to Instructor (part-time), Statistics, 1/1/13 through 5/15/13.
 Chen, Gang, College of Medicine, from Assistant Professor, Internal Medicine, to Assistant Professor, Molecular and Biomedical Pharmacology, 1/1/13 through 6/30/13.
 Day, Adam C., College of Arts and Sciences, from Instructor (temporary), English, to Instructor (part-time), English, 1/1/13 through 5/15/13.
 Hall, Jennifer G., College of Social Work, from Adjunct Instructor, to Instructor (part-time), 6/7/12 through 8/2/12.
 Huffman, Rebecca, College of Arts and Sciences, from Instructor (temporary), English, to Instructor (part-time), English, 1/1/13 through 5/15/13.
 Kidd, David B., College of Medicine, from Budget Analyst Lead, to Administrative Staff Officer III, effective 2/1/13.
 Modenbach, Jeffrey C., College of Arts and Sciences, from Instructor (temporary), Statistics, to Instructor (part-time), Statistics, 1/1/13 through 5/15/13.
 Reed, Mary C., from UKHC, Nurse Clinical, Critical Care, to College of Medicine, Advanced Practice Provider II, Orthopaedic Surgery, effective 1/1/13.

Rice, Christopher S., College of Arts and Sciences, from Instructor (part-time), Political Science, to Adjunct Instructor, Political Science, 1/1/13 through 5/15/13.

Ritchie-Holbrook, Henrietta, from College of Agriculture, Technical Administrator III, E-Extension, to Information Technology, Mobile Portal Workflow Software Developer II, Enterprise Applications Group-Academic Technology, effective 1/2/13.

Ross, Michael D., College of Business and Economics, from Instructor (part-time), Management, to Instructor (part-time), Marketing and Supply Chain, 8/16/12 through 6/30/13.

Wellman, Jerry L., College of Engineering, from Instructor (part-time), Electrical and Computer Engineering, to Instructor (part-time), Mechanical Engineering, 1/1/13 through 6/30/13.

Wheeler, Kathy, College of Nursing, from Assistant Professor (part-time), to Clinical Assistant Professor, 2/1/13 through 6/30/13.

Zhang, Hong, College of Communication and Information, from Assistant Professor, Library and Information Science, to Instructor (part-time), Library and Information Science, 1/1/13 through 6/30/13.

F. LEAVES OF ABSENCE

Brown, Tamara, College of Arts and Sciences, Associate Professor (with tenure), Psychology, and joint appointment as Associate Professor (without tenure), Behavioral Science, College of Medicine, Leave without pay, 7/1/13 through 6/30/14.

Capasso, Patrizio, College of Medicine, Clinical Professor, Radiology, and joint appointment as Clinical Professor, Surgery, Leave without pay, 2/26/13 through 3/8/13.

DeYoung, Alan, College of Education, Professor (with tenure), Educational Policy Studies and Evaluation, and joint appointment as Professor (without tenure), Sociology, College of Arts and Sciences, Scholarly fellowship leave, 2/5/13 through 2/4/14.

Hamann, Scott R., College of Medicine, Clinical Professor, Anesthesiology, Miscellaneous leave at full salary, 1/15/13 through 6/15/13.

Santi, Enrico, College of Arts and Sciences, Professor (with tenure), Hispanic Studies, Leave without pay, 7/1/13 through 12/31/13.

Spengler, Susan E., College of Public Health, Associate Professor (part-time), Preventive Medicine and Environmental Health, and joint appointment as Assistant Professor (part-time), Family and Community Medicine, College of Medicine, Leave without pay, 5/27/13 through 7/13/13.

G. RESIGNATIONS

Abada, Hicham T., College of Medicine, Clinical Associate Professor, Radiology, effective 10/31/13.

Abolins, Liga, College of Arts and Sciences, Senior Lecturer, English, effective 1/7/14.

Aikat, Shamik, College of Medicine, Clinical Assistant Professor, Internal Medicine, effective 12/10/12.

Attili, Anil K., College of Medicine, Clinical Associate Professor, Radiology, and joint appointments as Clinical Associate Professor, Internal Medicine, and Clinical Associate Professor, Pediatrics, effective 6/30/13.

Crofford, Leslie J., College of Medicine, Professor (with tenure), Internal Medicine, and joint appointment as Professor (without tenure), Microbiology, Immunology, and Molecular Genetics, effective 5/1/13.

Deokule, Sunil P., College of Medicine, Clinical Associate Professor, Ophthalmology and Visual Sciences, effective 12/31/12.

Egi, Takako, College of Arts and Sciences, Assistant Professor, Modern and Classical Languages, Literatures, and Cultures, effective 3/19/13.

Habashy, Catherine H., College of Medicine, Clinical Assistant Professor, Internal Medicine, effective 6/30/13.

McLeod, Scott, College of Education, Associate Professor (with tenure), Educational Leadership Studies, effective 6/30/13.

Patel, Trushar, College of Medicine, Clinical Assistant Professor, Internal Medicine, effective 6/30/13.

Pawa, Rishi, College of Medicine, Clinical Assistant Professor, Internal Medicine, effective 3/31/13.

Qiu, Meikang, College of Engineering, Assistant Professor, Electrical and Computer Engineering, effective 6/30/13.

Rodriguez, Jorge A., College of Medicine, Clinical Assistant Professor, Internal Medicine, effective 2/21/13.

Shinn, Jennifer B., College of Medicine, Associate Professor* (with tenure), Otolaryngology - Head and Neck Surgery, effective 2/28/13.

Wells, Paula H., College of Medicine, Clinical Assistant Professor, Pediatrics, effective 6/30/13.

EXECUTIVE VICE PRESIDENT FOR HEALTH AFFAIRS

I. BOARD ACTION

A. ADMINISTRATIVE APPOINTMENTS

Berger, Steven, Pharmacist Clinical Staff/UKHC, Pharmacy Services, effective 02/04/2013
Harris, Helen, Technology Director/UKHC, EVPHA Information Technology, effective 02/25/2013
Mynheer, Deborah, Pharmacist/UKHC, Pharmacy Services, effective 02/11/2013
Roe, Catherine, Informaticist/UKHC, EVPHA Information Technology, effective 02/10/2013
Schweighardt, Michael, Pharmacist/UKHC, Pharmacy Services, effective 02/18/2013

B. CHANGES

Heinrichs, Rebekah, from Informatics Education Specialist/UKHC, EVPHA Information Technology to Informatics Education Specialist Clinical/UKHC, EVPHA Information Technology, effective 12/30/2013
Ward, Diane, from Patient Accounts Manager Senior/UKHC, Patient Accounts to Enterprise Patient Access Services Director Assistant/UKHC, Ambulatory Patient Access Services, effective 01/13/2013
Wood, Christopher, from Pharmacist/UKHC, Pharmacy/Good Samaritan to Pharmacist/UKHC, Pharmacy/Chandler, effective 01/27/2013

C. RETIREMENTS

Begley, James D., Clinical Systems Coordinator Senior, after 15 years and 8 months of consecutive service, under AR 3:1 Section VIII.A., effective 01/02/2013
Carpenter, Beverly A., Staff Support Associate I, after 40 years and 1 month of consecutive service, under AR 3:1 Section VIII.A., effective 01/26/2013
Dudley, Fawnetta, Central Services Technician, after 5 years and 6 months of consecutive service, under AR 3:1 Section VIII.A., effective 01/25/2013
Earles, Sandra M., Outcomes Manager, after 29 years and 10 months of consecutive service, under AR 3:1 Section VIII.A., effective 02/08/2013
Gayhart, Kathleen F., Patient Clerical Assistant, after 13 years and 0 months of consecutive service, under AR 3:1 Section VIII.A., effective 02/02/2013
Manley, Terrance L., Pharmacy Technician Senior, after 44 years and 7 months of consecutive service, under AR 3:1 Section VIII.A., effective 03/31/2013
Pinson, George T., Nurse Clinical, after 26 years and 0 months of consecutive service, under AR 3:1 Section VIII.A., effective 04/05/2013

Robinette, Margaret J., Nurse Coordinator Clinical, after 24 years and 11 months of consecutive service, under AR 3:1 Section VIII.A., effective 02/15/2013
Sparks, Tami J., Account Clerk Senior, after 32 years and 6 months of consecutive service, under AR 3:1 Section VIII.A., effective 01/20/2013
Taylor, Joy H., Histology Technologist, after 31 years and 4 months of consecutive service, under AR 3:1 Section VIII.A., effective 03/29/2013
Welch, Linda S., Computer Support Specialist II, after 20 years and 0 months of consecutive service, under AR 3:1 Section VIII.A., effective 01/01/2013

II. ADMINISTRATIVE ACTION

A. ADMINISTRATIVE APPOINTMENTS

Baker, Colin, Network Engineer IV/UKHC, EVPHA Information Technology, effective 01/21/2013
Carmical, Damon, Network Engineer III/UKHC, EVPHA Information Technology, effective 01/07/2013
Fus, Mariusz, Project Manager IT/UKHC, EVPHA Information Technology, effective 02/11/2013
McGuire, Shannon, Project Manager IT/UKHC, EVPHA Information Technology, effective 02/01/2013
Ross, Joseph, Patient Accounts Manager Senior/UKHC, Patient Accounts, effective 01/22/2013

B. CHANGES

Nidiffer, Thomas, from Surgical Technician/UKHC, Perioperative Services/Good Samaritan to Surgical First Assistant/UKHC, Perioperative Services/UKHC, effective 01/27/13
Powell, Angela, from Clinical Analyst Principal/UKHC, Ambulatory Services to Project Manager IT/UKHC, EVPHA Information Technology, effective 01/27/2013
Snider, Elizabeth, from Registration and Admitting Manager/UKHC, Ambulatory Patient Access Services to Practice Manager III/UKHC, Polk-Dalton Clinic, effective 02/10/2013

PR 3

Office of the President
March 19, 2013

Members, Board of Trustees:

HONORARY DEGREE RECIPIENTS

Recommendation: that the Board of Trustees approve awarding the degree of Honorary Doctor of Humanities to Deborah A.P. Hersman, Honorary Doctor of Science to Robert Milton Huffaker, and Honorary Doctor of Humanities to Jamal L. Mashburn as approved and recommended by the University Faculty.

Background: Pursuant to the Conditions of Merit for Honorary Degrees, the University Joint Committee on Honorary Degrees has recommended to the elected Faculty Senators that the specified honorary degree be awarded to Deborah A.L. Hersman, Robert Milton Huffaker and Jamal L. Mashburn. The elected Faculty Senators have approved the recommendation.

Biographical sketches of the recipients are attached.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

Deborah A. P. Hersman

Deborah Hersman, chairman of the National Transportation Safety Board, is recognized as one of the nation's most visionary and passionate safety leaders who advocates for safety across all modes of transportation. Among her many initiatives, Hersman has focused attention and actions on distracted driving, child passenger safety, and helping accident victims and their families. She emphasizes the NTSB's role as "the conscience and the compass of the transportation industry."

Chairman Hersman has been the board member on scene for 19 major transportation accidents, chaired scores of NTSB hearings, forums and events, and regularly testifies before Congress. Her leadership has created a more transparent and accountable organization. Hersman has significantly increased the quantity and quality of NTSB information available on the agency's website, held more public meetings to highlight safety issues, and embraced social media to communicate with stakeholders and citizens.

She has overseen the timely completion of several high-profile accident investigations during her tenure as chair. Prior to taking over as chair, Hersman was the steady and compassionate face and voice of the NTSB in the immediate aftermath of one of the worst disasters in Kentucky's history, the crash of Comair Flight 5191 while it attempted to take off from Blue Grass Airport in 2006. Families and friends of the 49 people who died in the tragedy will never forget her deep empathy, her calming manner, and genuine concern for all those impacted by the accident. In the weeks, months, and years that followed, she made a special point of staying connected to Lexingtonians and Kentuckians, doing everything she could to help in the healing process.

The NTSB is recognized internationally as a preeminent accident investigation organization. Hersman serves as the chief executive of the agency, which has 400-plus employees and an annual budget of more than \$100 million.

Hersman was first appointed as a board member by President Bush in 2004 and reappointed to a second five-year term by President Obama. Appointed chairman by President Obama in 2009 and 2011 with unanimous Senate confirmation votes, she is now serving her second term.

Previously, Hersman served as a senior advisor to the U.S. Senate Committee on Commerce, Science and Transportation from 1999 to 2004. She also was staff director and senior legislative aide to West Virginia Congressman Bob Wise from 1992 to 1999.

Her efforts contributed to the passage of milestone bills such as the Motor Carrier Safety Improvement Act of 1999, the Pipeline Safety Improvement Act of 2002, Transportation Equity Act of the 21st Century, and the Amtrak Reform and Accountability Act.

Chairman Hersman received B.A. degrees in political science and international studies from Virginia Tech, and a master's degree in conflict analysis and resolution from George Mason University. She holds a commercial driver's license with passenger, school bus, and air brake endorsements, as well as a motorcycle endorsement.

Deborah A.P. Hersman is recommended for an honorary Doctor of Humanities degree from the University of Kentucky.

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Robert Milton Huffaker

Robert Milton Huffaker, a native of Wayne County, Kentucky, has spent more than a half century in a varied and distinguished career as a physicist, a company founder and CEO, and a philanthropist positively impacting a number of charitable activities and organizations in the United States and abroad.

After earning his Bachelor of Science in physics at the University of Kentucky in 1957, Huffaker pursued graduate studies at UK before accepting a position at NASA's Marshall Space Flight Center where he worked for 15 years beginning in 1961. He rose to become chief of the Physics Section and project manager, directing programs in specifying the thermal environment of the Saturn launch vehicles, as well as areas in lunar physics involving re-entry fluid mechanics. Later, Huffaker initiated and directed the development of laser Doppler systems for aerodynamic applications.

Huffaker moved to the National Oceanic and Atmospheric Administration as project manager in 1976. During his eight years at NOAA, the design of space-based systems for global wind field mapping was established. And, the first ground-based, three-dimensional wind field measurement system was developed using coherent laser radar technology.

In 1984, Huffaker founded Coherent Technologies, Incorporated (CTI) to develop Doppler laser radar technology and systems for meteorological and military applications. CTI pioneered numerous achievements in coherent laser radar and over the next two decades, grew at an average rate of 30 percent per year before being acquired by Lockheed Martin Company in 2005.

In 2006, Huffaker founded Coherent Investments, LLC, where he serves as manager. Coherent Investments provides guidance, support, and capital in order to assist companies that are in their early stages of development.

The recipient of numerous awards, Huffaker was inducted into the UK College of Arts and Sciences Alumni Hall of Fame in 2008. He has been a prolific contributor to the advancement of the field of physics, with many highly regarded and well-read scientific publications and papers.

Always eager to help others, Huffaker co-founded the Second Step Program of the Emergency Family Assistance Association in the mid-1980s. The Colorado resident also is founder and chair of the board of the Forward Steps Foundation, a public charity which supports the population of youth between the ages of 18 and 21 emerging from

the Colorado Foster Care System. In addition, he is founder and chair of the Realizing Aptitudes Foundation that assists high school and beginning college students with career guidance. While devoting his time and sharing his expertise in these various efforts, Huffaker also has donated well over \$3 million to these and other nonprofit agencies.

Robert Milton Huffaker is recommended for an honorary Doctor of Science degree from the University of Kentucky.

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Jamal Mashburn

Jamal Mashburn is best known for his success on the basketball court. An All-America selection at the University of Kentucky, Mashburn helped lead the Wildcats to the NCAA Final Four in 1993. He then went on to play for more than a decade in the NBA with the Dallas Mavericks, Miami Heat, and New Orleans Hornets. Mashburn dribbled, dunked, and dazzled fans, reaching All-Star status in the pros. Yet, before Jamal ever set foot on the NBA hardwood, he was already preparing for his life after basketball.

With a natural knack for teambuilding, Mashburn took his skills straight to the business world without missing a beat. He successfully assembled a team of savvy professionals specializing in administration, finance, project management, insurance, and advertising. This team quickly developed an ownership model that resulted in an impressive business portfolio. To date, Mashburn -- the entrepreneur -- has ownership interest in numerous restaurant franchises -- 38 Outback Steakhouse restaurants, 39 Papa John's pizza restaurants, and three Dunkin' Donuts stores. He also owns car dealerships -- Kentucky's Toyota on Nicholasville and Lexus Store of Lexington -- along with real estate and thoroughbred race horses. In his 'spare' time, Mashburn even served as an ESPN on-air NBA analyst from 2006 to 2010.

Extremely civic minded, Mashburn is committed to helping others and giving back to the community. In 1993, before he ever signed his first professional basketball contract, he donated \$500,000 to establish and endow the Jamal Mashburn Scholarship Fund at the University of Kentucky. The scholarship identifies ninth grade students in the Lexington, area, tracks them through high school, and then awards them a full scholarship to attend the University of Kentucky or Bluegrass Community and Technical College provided they achieve their academic and personal goals.

Mashburn also is a founding member, officer, and director of The MAP Foundation, focused on youth mentoring, and The Mashburn Family Foundation. This foundation offers program and support for latch-key children, as well as for children of alcoholics and single mothers. Both of these foundations are nonprofit 501(c)(3) corporations.

Mashburn currently sits on the Board of Directors for the National Forest Foundation and previously served on the Advisory Board for Central Bank and Trust Company in Lexington. He also makes sure that each of his businesses actively participates in their local communities by way of donations to various charitable organizations.

Having made the most of the opportunities afforded to him, Mashburn now encourages others to embrace his team-first attitude, helping them achieve success in business, and in life.

Jamal Mashburn is recommended for an honorary Doctor of Humanities degree from the University of Kentucky.

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PR 4

Office of the President
March 19, 2013

Members, Board of Trustees:

UNIVERSITY RESEARCH PROFESSORSHIPS

Recommendation: that the Board of Trustees approve the naming of Professors Bernhard Hennig, Animal and Food Sciences, Wolfgang Korsch, Physics and Astronomy, Mark Lovell, Chemistry and Zhongwei Shen, Mathematics as University Research Professors for 2013-14.

Background: In April 1976, the University Senate recommended to the President the establishment of one-year Research Professorships and that priority be given to the goal of establishing permanent Research Professorships as funds became available. At its meeting in May 1976, the University of Kentucky Research Foundation voted to support one-year Research Professorships to be activated in the fall of 1977. The Board of Trustees named the first Research Professors at its meeting on March 8, 1977.

The purpose of the University Research Professorships is to enhance and encourage scholarly research productivity, provide an opportunity for concentrated research effort for selected faculty members, recognize outstanding research achievement by members of its faculty, emphasize its research function, and to publicize its research accomplishments in order that the research function of the University be appropriately recognized and understood.

Action Taken: ☒ Approved ☐ Disapproved ☐ Other _____

ECR 1

Chairman, Board of Trustees
March 19, 2013

Members, Board of Trustees:

PROCESS FOR THE 2012-13 PRESIDENTIAL EVALUATION

Recommendation: that the Board of Trustees authorize the Chair of the Board of Trustees to enter into negotiation with Dr. David Hardesty to serve as the facilitator for President Eli Capilouto's 2012-2013 evaluation and approve the attached preliminary list of interview/survey questions as part of the 2012-13 Presidential Evaluation.

Background: Pursuant to Section E. (Evaluation), of President Eli Capilouto's Employment Agreement with the University of Kentucky Board of Trustees, an annual performance evaluation shall be performed in accordance with Governing Regulation II.E.2(a).

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

As approved by the Board of Trustees at its March 27, 2012 meeting, the evaluation shall include input from various constituencies and be conducted by a Human Resources professional. The Chair of the Board of Trustees and the Executive Committee, in consultation with the President, will agree on a set of interview questions. The performance assessment document will contain both qualitative and quantitative components.

In addition to the interview process, the President will prepare and submit an annual self-evaluation to the Board. Each member of the Board also will be asked to provide an evaluation of the President. The Executive Committee will review the President's self-evaluation, a summary of the interviews, and reports from the respective groups listed in GR II and will meet with the President to provide feedback. The Executive Committee will share the information with the full Board of Trustees and make a recommendation to the Board.

This process would be used to assess the President's performance and provide feedback on his accomplishments and challenges. It also would be used to determine any changes to the President's compensation, including merit increases and performance payments per his Employment Agreement.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

University of Kentucky Board of Trustees Evaluation of the President

QUESTIONNAIRE

STRATEGY AND PRIORITIES

1. Has the President effectively worked with key constituents to identify the current reality UK faces?
2. Has the President built a shared understanding of the reality UK faces among constituencies?
3. Has the President clearly articulated his strategic priorities and explained the rationale underlying them?
4. Are the President's priorities the right ones for UK today?
5. Do the President's policies and actions strike an appropriate balance between the short-term needs and the long-term interests of the University?

LEADERSHIP

1. Is the President creating a learning environment that reinforces UK's core values?
2. Is the President effectively leading the organization in executing the initiatives and actions associated with his priorities?
3. Is the President's pace of execution consistent with the institution's needs and capabilities?

ORGANIZATION AND TEAM

1. Has the President moved appropriately to design an organization (including structure and management systems) that will produce solid strategic and operational execution?
2. Is the President building and developing the management team needed to drive the University's future success?

RELATIONSHIPS WITH CONSTITUENCIES

1. Has the President established a productive relationship with the Board that enables the Board to contribute most effectively to UK's advancement?
2. Has the President established credibility with constituencies important to the University?

FINANCIAL MANAGEMENT

1. Has the President demonstrated careful stewardship of UK's financial resources by identifying and setting in motion needed improvements in financial planning and management systems?
2. Has the President identified financial goals and approaches needed to fund his strategic priorities?
3. Has the President taken the appropriate initial steps toward developing a University-wide system for risk management?

FUND-RAISING

1. Is the President committing the necessary time and energy to raise funds for the University?
2. Does the President have the skills to succeed in fund-raising?

FUTURE CONSIDERATION

1. Has the President positioned the University to make meaningful progress in the next five years?
2. Has the President demonstrated the multiple skills necessary for leading the University in the next five years?

OTHER

1. What advice would you give the President on his leadership of UK?

AACR 1

Office of the President
March 19, 2013

Members, Board of Trustees:

CANDIDATE FOR DEGREE

Recommendation: that the president be authorized to confer upon the individual whose name appears on the attached list the degree to which he is entitled, upon certification by the university registrar that he 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: The individual whose name appears on the attached list completed the work leading toward the degree for which application was made at the close of the 2012 fall semester. Due to an administrative error, the name was not previously submitted.

For details on degree candidate listings,
please contact Sean Cooper
Registrar's Office
Room 10 Funkhouser Building
University of Kentucky
Lexington, KY 40506-0057
859-257-7157

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

AACR 2

Office of the President
March 19, 2013

Members, Board of Trustees:

CHANGE OF ORGANIZATIONAL STRUCTURE OF THE CENTER ON TRAUMA AND CHILDREN

Recommendation: that the Board of Trustees approve the transfer of administrative oversight for the Center on Trauma and Children from the College of Social Work to the College of Medicine, effective immediately.

Background: The Center on Trauma and Children (formerly the Center for the Study of Violence Against Children) was established by the Board of Trustees at its meeting on September 11, 2007 and is dedicated to the enhancement of the health and well-being of children and their families through research, service and dissemination of information about child abuse and trauma. The Center's primary mission is to develop, assimilate, and disseminate knowledge and best practices that will contribute to reducing and ending violence against children and the effects of that violence across the life cycle.

From its inception, the Center on Trauma and Children has operated as a collaborative undertaking by the colleges of Social Work and Medicine, with faculty from both colleges participating in the educational activities of the Center. The direction of the Center has been reassessed and is being realigned with the College of Medicine as the primary college.

The proposal has been approved by the faculty in the unit and the leadership of the college. The Interim Provost of the University supports this recommendation.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 1

Office of the President
March 19, 2013

Members, Board of Trustees:

DON L. JACOBS, SR. GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$500,000 to the UK HealthCare Patient Care Facility Fund and a pledge of \$1 million to the Markey Cancer Center from Don L. Jacobs, Sr. of Lexington, Kentucky and Naples, Florida.

Background: Mr. Jacobs is a retired businessman who has lived and worked in Lexington for more than 40 years. His businesses included Don Jacobs Auto Group, financial services companies and a restaurant. His community-mindedness led him to become a significant philanthropist to local organizations including the Sayre School, the Hope Center, the UK College of Medicine Division of Urology and UK HealthCare.

The \$500,000 gift to the UK HealthCare Patient Care Facility Fund will be used for the enhancement of the Don and Cathy Jacobs Health Education Center and the new hospital pavilion. The \$1 million pledge to the Markey Cancer Center will support faculty recruitment, pilot grant funding and shared resources facility support.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 2

Office of the President
March 19, 2013

Members, Board of Trustees:

DON L. JACOBS, SR. PLEDGE TO THE
GATTON COLLEGE OF BUSINESS AND ECONOMICS CAPITAL CAMPAIGN

Recommendation: that the Board of Trustees accept a pledge of \$5 million from Don L. Jacobs, Sr. of Lexington, Kentucky and Naples, Florida to support the Gatton College of Business and Economics Capital Campaign.

Background: Mr. Jacobs is a retired businessman who has lived and worked in Lexington for more than 40 years. His businesses included Don Jacobs Auto Group, financial services companies and a restaurant. His community-mindedness led him to become a significant philanthropist to local organizations including the Sayre School, the Hope Center, the UK College of Medicine Division of Urology and UK HealthCare.

The pledge of \$5 million to the Gatton College Capital Campaign will be used for a \$65 million redesign and expansion of the Gatton College of Business and Economics building. The expansion will allow for enrollment growth of more than 50 percent and faculty/staff growth to support the additional students.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 3

Office of the President
March 19, 2013

Members, Board of Trustees:

GEOFFREY H. ROSENBERGER PLEDGE

Recommendation: that the Board of Trustees accept a pledge of \$400,000 from Geoffrey H. Rosenberger of Pittsford, New York to support the Gatton College of Business and Economics Capital Campaign.

Background: This commitment to the Gatton College Capital Campaign increases Mr. Rosenberger's total support to \$650,000 for this project. Mr. Rosenberger earned his bachelor's degree in economics and a master's in business administration in 1976 from the University of Kentucky. He co-founded Clover Capital Management, Inc. in 1984 and was the Managing Director of the firm until his retirement in 2004. Mr. Rosenberger is now an independent money manager and venture capitalist.

The pledge of \$400,000 to the Gatton College Capital Campaign will be used for a \$65 million redesign and expansion of the Gatton College of Business and Economics building. The expansion will allow for enrollment growth of more than 50 percent and faculty/staff growth to support the additional students.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 4

Office of the President
March 19, 2013

Members, Board of Trustees:

HAYMAKER FOUNDATION, INC. GIFT

Recommendation: that the Board of Trustees accept a gift of \$500,000 from the Haymaker Foundation, Inc. of Lexington, Kentucky to support the Gatton College of Business and Economics Capital Campaign.

Background: Tim Haymaker is a Lexington businessman who has been a longtime supporter of the University. He is the owner of Haymaker Development Company. The company's projects include Beaumont Centre, a mixed use development, and Pinnacle, Tuscany, Summerfield and Coventry residential communities and Century Business Centre. He is president of the Haymaker Foundation, Inc.

The gift of \$500,000 to the Gatton College Capital Campaign will be used for a \$65 million redesign and expansion of the Gatton College of Business and Economics building. The expansion will allow for enrollment growth of more than 50 percent and faculty/staff growth to support the additional students.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 5

Office of the President
March 19, 2013

Members, Board of Trustees:

HOWARD L. LEWIS PLEDGE

Recommendation: that the Board of Trustees accept a pledge of \$5 million from Howard L. Lewis of Solon, Ohio to support the Gatton College of Business and Economics Capital Campaign.

Background: Howard Lewis is Chairman, CEO and Founder of Family Heritage Life Insurance Company of America. Mr. Lewis began his professional career in the financial services industry with Central Trust Company, a dominant banking concern headquartered in Cincinnati, Ohio. Following his time with Central Trust Company, he served in roles of increasing responsibility at Picker International Corporation, Progressive Insurance Company, and Capital American Life Insurance Company, where he was named president of Capital Consumer Marketing in 1987. He earned a bachelor's degree in business administration from the University of Kentucky in 1970 and is a member of the Gatton College Hall of Fame.

The pledge of \$5 million to the Gatton College Capital Campaign will be used for a \$65 million redesign and expansion of the Gatton College of Business and Economics building. The expansion will allow for enrollment growth of more than 50 percent and faculty/staff growth to support the additional students.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 6

Office of the President
March 19, 2013

Members, Board of Trustees:

WILLIAM E. SEALE FAMILY FOUNDATION PLEDGE

Recommendation: that the Board of Trustees accept a pledge of \$4 million from the William E. Seale Family Foundation of Annapolis, Maryland to support the Gatton College of Business and Economics Capital Campaign.

Background: Dr. William E. Seale created the William E. Seale Family Foundation in 2006 to support higher education. Dr. Seale earned his bachelor's degree in chemistry in 1963, his master's in agricultural economics in 1969 and a PhD in agricultural economics in 1975 from the University of Kentucky. He is currently the director of Portfolio for ProFund Advisors LLC. Dr. Seale is a professor emeritus of Finance at George Washington University where he was chairman of the department of finance and senior associate dean of the business school. He served a five year term as a presidential appointed commissioner on the Commodity Futures Trading Commission, worked as government relations vice president for a New York-based futures exchange and as a senior legislative assistant to U.S. Senator Walter "Dee" Huddleston. The Board of Trustees accepted a gift of \$1 million from the Seale Family Foundation in September 2012 designated for the Gatton College of Business and Economics Capital Campaign.

The pledge of \$4 million to the Gatton College Capital Campaign will be used for a \$65 million redesign and expansion of the Gatton College of Business and Economics building. The expansion will allow for enrollment growth of more than 50 percent and faculty/staff growth to support the additional students.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 7

Office of the President
March 19, 2013

Members, Board of Trustees:

RENOVATE/EXPAND GATTON COLLEGE

Recommendation: that the Board of Trustees approve the initiation of the Renovate/Expand Gatton College capital project and declare its official intent to reimburse capital expenditures from a future debt obligation for the capital project.

Background: The existing four-story facility for the Gatton College of Business and Economics was originally built in 1963. In 1991, a three-story expansion was added. The original building primarily houses office and administrative space while the 1991 addition houses nearly all the teaching/classroom space. The facility has been well maintained but, as with most facilities of its age, some of the basic mechanical and electrical components have reached the end of their useful lives. None of the classrooms support modern technology and the current structure of the facility allows only limited renovations or expansions of smaller classrooms. Further, the existing building's limited floor to floor heights will not allow classrooms to be outfitted with modern learning technology.

The Board approved the initiation of the design of the project in June 2012. This project will renovate 146,000 gross square feet and expand the facility by 72,000 gross square feet. This expansion and renovation is needed to accommodate the College's planned 50 percent growth in enrollment as well as growth in faculty and staff to maintain the student-to-faculty ratio. Classroom capacity and utilization will increase through more efficient scheduling and leveraging online learning technology. The project will also create more community and student study spaces to facilitate modern learning methods and collaboration.

This \$65 million project, including design and authorized by the 2013 Kentucky General Assembly, will be initially funded with \$25 million of gifts and \$40 million of agency bonds.

U.S. Department of Treasury regulations related to the use of proceeds of tax-exempt bonds or notes require that the borrower make a Declaration of Official Intent to reimburse itself for capital expenditures made prior to the issuance of the debt (also known as a "Reimbursement Resolution") if the issuer intends to reimburse itself from tax-exempt debt proceeds.

The University's Debt Committee has determined that this project is consistent with the University's Debt Policy.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 8

Office of the President
March 19, 2013

Members, Board of Trustees:

ACADEMIC SCIENCE BUILDING

Recommendation: that the Board of Trustees approve the initiation of the Academic Science Building capital project and declare its official intent to reimburse capital expenditures from a future debt obligation for the project.

Background: This project will construct a 263,000 gross square foot Academic Science facility. The existing Chemistry-Physics building, constructed in 1963, is one of the largest and most heavily used buildings (2nd highest usage) on the University campus. The facility serves all undergraduate students wherein they fulfill their basic science (both classroom and laboratory) requirements. Undergraduate and graduate students spend a significant amount of time in the facility learning the areas of biology, chemistry and physics and conducting research. The interior of the Chemistry-Physics building does not have adequate natural light, providing a less than ideal environment for student learning, research and faculty and student efforts. The classrooms are traditional consisting of either large, fixed seat lecture halls or small classrooms without modern science instructional technology. The facility is not conducive to modern science teaching methods and greatly hinders the use of current, collaborative learning methods.

The new facility will house most of the introductory science laboratory courses allowing students to learn the commonalities of multiple science disciplines in an interdisciplinary fashion and model “team problem-solving”. The facility will be student oriented, having an open environment that encourages interaction and collaboration beyond the classroom. The new building will also contain premier interdisciplinary undergraduate science teaching labs and classrooms as well as student commons space, group and individual study rooms, and other amenities.

This \$100 million project, authorized by the 2013 Kentucky General Assembly, will be funded with agency bonds. Through a unique and collaborative partnership, the UK Department of Intercollegiate Athletics will fund 65 percent of the annual debt service. The remaining cost will be paid through already achieved internal reallocation of funds. Additionally, private funds are being solicited to help offset the University’s annual debt service.

U.S. Department of Treasury regulations related to the use of proceeds of tax-exempt bonds or notes require that the borrower make a Declaration of Official Intent to reimburse itself for capital expenditures made prior to the issuance of the debt (also known as a “Reimbursement Resolution”) if the issuer intends to reimburse itself from tax-exempt debt proceeds.

The University's Debt Committee has determined that this project would be consistent with the University's Debt Policy.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 9

Office of the President
March 19, 2013

Members, Board of Trustees:

EXPAND AND RENOVATE COMMONWEALTH STADIUM AND NUTTER TRAINING CENTER

Recommendation: that the Board of Trustees approve the initiation of the Expand and Renovate Commonwealth Stadium and Nutter Training Center capital project and declare its official intent to reimburse capital expenditures from a future debt obligation for the project.

Background: The existing stadium was built in 1973 and needs upgrades and expansion to better accommodate the students, fans, and players. The Expand and Renovate Commonwealth Stadium and Nutter Training Center capital project will provide new premium seating with revenue generating opportunities, improving the overall operational effectiveness and enhancing the fan experience as well as allowing UK to attract the best student-athletes to the campus. Among the planned improvements are many spectator driven improvements (improved concessions, restrooms and security), new multi-purpose recruiting room, 16-20 private suites, new home team facilities, approximately 2,000 new club seats, new press facilities, new full service kitchen, and a new team store. The project also will include upgrades to the Nutter Training Center for the daily benefit of the University's student-athletes.

This \$110 million project, authorized by the 2013 Kentucky General Assembly, will be funded with agency bonds. The annual debt service will be paid by the UK Department of Intercollegiate Athletics with new revenues from the suites, club seating, and expanded Southeastern Conference revenues.

U.S. Department of Treasury regulations related to the use of proceeds of tax-exempt bonds or notes require that the borrower make a Declaration of Official Intent to reimburse itself for capital expenditures made prior to the issuance of the debt (also known as a "Reimbursement Resolution") if the issuer intends to reimburse itself from tax-exempt debt proceeds.

The University's Debt Committee has determined that this project would be consistent with the University's Debt Policy.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 10

Office of the President
March 19, 2013

Members, Board of Trustees:

UPGRADE/RELOCATE PEDIATRIC CRITICAL CARE UNIT

Recommendation: that the Board of Trustees approve the initiation of the Upgrade/Relocate Pediatric Critical Care Unit – UK HealthCare capital project.

Background: This project will renovate or relocate existing space of the Pediatric Critical Care Unit. The work includes cosmetic interior renewals, some wall reconfigurations, an upgrade of electrical and medical gas services, patient room fixed equipment and air distribution/filtration systems and other essential infrastructure.

The estimated scope of this project is \$6 million and will be paid with private funds. Contingent upon approval by the Board of Trustees, the University will submit this project for interim authorization to the Council on Postsecondary Education and the Capital Projects and Bond Oversight Committee.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 11

Office of the President
March 19, 2013

Members, Board of Trustees:

CAPITAL CONSTRUCTION REPORT

Recommendation: that the capital construction report for the three months ending December 31, 2012 be accepted. This report refers only to projects that had activity within this quarter.

Background: Under House Bill 622 enacted in the 1982 session of the Kentucky General Assembly, the University is authorized to enter into architectural, engineering, and related consultant contracts for the purpose of accomplishing capital construction at the University of Kentucky.

For the period October 1, 2012 thru December 31, 2012:

There were six new contracts this quarter:

Project 2345.0	Renovate/Expand Gatton Building Ross Tarrant Architects, Inc., \$3,716,149 (<i>Design</i>) SKANSKA USA Building, \$57,000 (<i>Pre-Construction</i>)
Project 2346.0	Renovate Dental Class Labs (Room 611) Stengel-Hill Architects, \$259,900 (<i>Design</i>)
Project 2349.0	Renovate/Expand Soccer Facilities Lockett & Farley, \$613,500 (<i>Design</i>)
Project 2353.0	Renovate Robotics Building Bender Associates Architects, \$105,000 (<i>Design</i>)
Project 2356.0	Repair/Upgrade/Expand Central Cooling Tower Staggs & Fisher Consulting Engineers, \$43,000 (<i>Design</i>)

Four contracts were completed this quarter:

Project 2312.01	Construct CAER Lab Building # 2 Turner Construction Co., \$16,219,304
Project 2313.01	Renovate 4 th Floor Sanders-Brown Center on Aging Messer Construction Co., \$3,725,895
Project 2315.0	Renovate Track & Field Facility Abel Construction Co., \$10,577,746
Project 2337.0	Renovate Parking Structure # 3 Structural Systems Repair Group, \$732,421

Two amendments were as follows:

- | | |
|----------------|--|
| Project 2315.0 | Renovate Track & Field Facility |
| | - Provide for additional construction administration services and special inspections (+) \$79,029 |
| Project 2338.0 | Renovate/Upgrade Softball Complex |
| | - Provide for additional quality construction management staff during the construction administration phase (+) \$30,000 |

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

- | | |
|----------------|--|
| Project 2315.0 | Renovate Track & Field Facility |
| | - Provide and maintain temporary construction access road for movement of equipment and materials (+) \$31,408 |
| Project 2337.0 | Renovate Parking Structure # 3 - UKHC |
| | - Provide credit to reduce allowance of exterior finishing systems (-) \$96,608 |
| Project 2338.0 | Renovate/Upgrade Softball Complex |
| | - Provide for hub pipe in all underground installations (+) \$28,587 |
| | - Provide for coordination of miscellaneous electrical components with the design (+) \$35,387 |

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

CAPITAL CONSTRUCTION CONTRACTS QUARTERLY ACTIVITY REPORT

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

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY REPORT

Glossary

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

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

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

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

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

Feasibility Study: refers to investigation, usually commissioned through an outside consultant, to advise the University of the merits of an anticipated construction project, and to evaluate and comment on matters such as need, probability 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 (Phase 4): 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 (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
February 2013**

Ambulatory Electronic Health Record Equipment/System (EHR)

Project Description:

This project will upgrade the existing electronic information infrastructure to include building modifications and provide a common, secure electronic information infrastructure for sharing healthcare information. In addition the project will ensure interoperability among health record systems, which, if not implemented, could create up to a 3% reduction in Medicare reimbursements to the Hospital. The infrastructure portion of the project will take place in four phases impacting over 50 clinics. The phases will include an initial bid package supporting three pilot clinic activations and three subsequent bid packages resulting in all impacted clinics being upgraded to new operating standards. Extensive modifications to the cooling systems of the various communication closets are included in the project as well as upgrades to the various clinics' power and data systems.

Project Status:

Phase One of the electronic information infrastructure is complete.

Phase Two of the project which includes electrical and telecommunication infrastructure in numerous clinics in the Kentucky Clinic, Good Samaritan Hospital and Good Samaritan Office Building is nearing completion. The work is approximately 97% complete and moving forward on schedule. This work is scheduled to be complete March 2013. Equipment start-up and remaining final inspections occurred during February. Clinics upgraded in this phase are scheduled to go live with electronic information systems in a staggered release over the next three months.

Phase Three of the project which included infrastructure work in KMSF leased clinics is now complete. Clinics in Richmond, Morehead, Perimeter Drive, Kentucky Clinic South and the Good Samaritan Professional Arts Center were included in this phase. All clinics in this phase are now ready for the installation of end user equipment.

The overall project continues to move forward on schedule and within budget.

Campus Security System

Project Description:

This project includes various security initiatives using a centralized safety response to campus monitored from the Police Department located in the Safety and Security Building. The project includes a geo-diverse video management (VMS) and security management system (SMS) that provides situational awareness to targeted areas on campus and event driven analytics to alert University Campus Police of possible threats to campus. This project will provide campus-wide camera monitoring, early warning systems speakers, and other communication devices to monitor and respond to campus incidents. The project will provide the infrastructure necessary for proposed installations and incorporate or replace legacy systems to a single security system.

Project Status:

Proposals were received and Dallman Systems, Inc. of Jeffersonville, IN was selected. Notice to Proceed was issued and design deliverables are being prepared.

Construct UK/Nicholasville Road Flood Mitigation

Project Description:

This project will construct three separate improvements, to provide 100 year storm (and lesser storm) mitigation to prevent roadway overtopping and improve pedestrian safety addressing storm water quantity within this one campus water shed. 1) Area between Alumni Drive and Shawneetown Drive (includes permanent removal of Shawneetown Drive and relocation of existing utilities) will be excavated for additional storm water detention. 2) Existing culvert upgrade at the upstream side of Nicholasville Road. 3) Portions of impervious pavements for the football stadium will be removed and replaced with pervious pavements. The \$8,015,463 project will be funded by a federal grant of \$6,011,597 from FEMA with the balance of \$2,003,866 being the in-kind value of the 3.6 acres of University of Kentucky land determined by adjacent property values. Water quality related issues may also be part of the project scope depending on available funds and compatibility with storm water quantity design.

Project Status:

No change this quarter. Awaiting written confirmation /authorization of additional funding. Written approval of the FEMA amendment remains tentatively scheduled for early 2013. Utility relocate negotiations continue while work on Design Development must wait until receipt of the written approval of FEMA amendment.

Expand/Renovate Ambulatory Care: Orofacial Pain Clinic

Project Description:

This phase of the Expand/Renovate Ambulatory Care project will renovate approximately 2,850 square feet on the second floor of the Kentucky Clinic Building, Wing C. This phase will include operatories, consulting exam rooms, a waiting room, resident carrel space, lab and supplies space, and radiographic equipment space.

Project Status:

Substantial completion was achieved on 2/13/13. All major equipment is installed. The clinic is expected to open in March 2013.

Renovate Academic Facility – University Lofts Facility

Project Description:

This project will renovate the 110,000 gross square foot facility into classrooms, class labs/studios, office and support space for the College of Fine Arts. The improvements will also include necessary upgrades of the building systems such as communications, plumbing, HVAC, electrical, fire safety and security.

Project Status:

Design Development documents will be delivered to the University in March 2013. Upon approval to proceed the design team will begin the final design phase.

Renovate Dental Class Labs (Room 611)

Project Description:

The project includes upgrading ventilation systems, modernizing and enhancing technology utilized in training dental students, and accommodating additional student dental workstations and workspaces in the Student Simulation Lab.

Project Status:

Bids for construction were received on 1/24/13. We are currently finalizing the construction contract with the low bid contractor. Construction is expected to begin 3/4/13 with substantial completion on 8/5/13.

Renovate Robotics Building

Project Description:

The Center for Biomedical Engineering (CBME) was transferred administratively to the College of Engineering effective July 1, 2010. CBME is currently in the Wenner-Gren Research Lab. A key component of this transfer is the relocation of the CBME from the Wenner-Gren buildings to the 5th floor of the Center for Robotics and Manufacturing Systems (CRMS). The relocation is needed to take advantage of the many collaborative research opportunities between the CBME faculty and the various other Engineering faculty in and near the CRMS building. The project will completely renovate eight (8) existing labs to accommodate the relocation, as well as renovate two former labs into shared equipment rooms and graduate student office space. The approximate square footage of the planned renovation will be 3,500.

The legislative authorized scope and current project estimate is \$3,842,000. The current total available funding is only \$1,800,000 therefore the University intends to prioritize the improvements and install all the utilities in this first phase thereby enabling future connections as additional funds become available.

Project Status:

The project is in the final stages of the programming phase. Upon submission and approval of the program and program estimate, the project will proceed into the design phases. The project is scheduled to bid in early April so that construction may commence in May.

Renovate Schmidt Vocal Arts Center

Project Description:

This project will complete the renovations to include rehearsal rooms, teaching studios, practice rooms, a music library, office space for staff and graduate assistants and enhancements to the building's main entrance.

Project Status:

The project will be bidding in March. Substantial completion is expected to be in October, 2013.

Renovate/Expand Gatton Building

Project Description:

This project includes renovating and expanding the existing 138,400 gross square foot Gatton Building. The expansion will include a three story addition consisting of 65,727 gross square feet comprised primarily of community-oriented space to include an atrium, with a café and seating area, classrooms, and a 500 seat auditorium. The addition will become the primary entrance to the building and will be accessed from central campus. A secondary entrance from South Limestone St. will also be incorporated in the renovated space. The original 1963 building will provide various types of space for faculty and students; the classrooms in the 1991 addition will be renovated and updated to include the latest technology. When completed, the building will have a total of 204,127 gross square feet.

Project Status:

Ross Tarrant Architects was selected as the prime architectural firm and is working in association with Robert A.M. Stern Architects to provide architectural services for this renovation/expansion project. Visits were made to multiple peer sites to benchmark what other Universities have done. In addition, Skanska has been selected to provide construction management services for this project. The program has been finalized and schematic design is currently in progress. The consultants (Ross Tarrant Architects) are assisting the college with fund raising efforts. The consultants are currently working with Skanska to establish the project schedule.

Renovate/Expand Soccer Facilities

Project Description:

This project will renovate and expand the University's soccer facilities to include locker, shower, and lounge space for the men's and women's soccer teams, training and umpire rooms, and new seating and a press box. This project will also include upgrades to plumbing, electrical, and HVAC systems.

Project Status:

Bids were received and Codell of Winchester, KY is the apparent low bidder. Contract Award and Preconstruction meetings are tentatively scheduled for late February 2013.

Renovate/Upgrade Softball Complex

Project Description:

This project consists of 1) Spectator seating and amenities, including replacement of the existing portable seating sections for softball with new treads and risers from end to end of the dugouts that will provide approximately 400-600 new fixed chair back seats, and a combination of 600-800 of bleachers for a total permanent seating capacity of around 1200, including new elevated terraces overlooking the field at the back of the new grandstands and new press facilities, 2) New indoor practice facilities, 3) Playing field improvements, including site lighting and entry plaza to the complex including a new ticket facility and 4) New Team Building with coaches offices, team locker, lounge and equipment facilities for softball.

Project Status:

Work continues on the softball stadium. The first spring game is on Wednesday, March 6th. The work on the batting pavilion includes setting structural frame and construction of masonry walls. The pavilion is scheduled to be complete May 1st in preparation of University hosting the SEC softball tournament in mid-May.

Repair/Upgrade/Expand Central Cooling Tower

Project Description:

The Medical Center Cooling Plant provides chilled water to the campus loop as well as the Medical Center. The cooling tower is in excess of 10 years old. This tower does not meet today's cooling capacity requirements due to increased loads and other inefficiencies.

Project Status:

Bids for construction were received on 2/6/13 and are being reviewed.

Repair/Upgrade/Improve Mechanical Infrastructure (Steam Line Farm Road)

Project Description:

The Farm Road steam line delivers steam from the campus steam plants to the following buildings: Gluck Equine, Plant Science, E.S. Good Barn, KY Tobacco Center, and BCTCS. The steam is used for building heat, steam

humidification, cleaning, and sterilizers. This project replaces the steam and condensate piping from the E.S. Good Barn to the Gluck Building. The 25 year old piping has deteriorated beyond repair. The upstream and downstream sections have recently been replaced.

Project Status:

The proposals for design services were received on 12/6/12. Staggs & Fisher was the selected consultant. The project is in design with construction to occur in summer of 2013.

Central Hall I & II (Previously referred to as Haggin Honors Housing)

Project Description:

This project is the Phase 1 development of the partnership between the University of Kentucky and Education Realty Trust (EdR) to replace on-campus undergraduate and graduate student housing. The Haggin Honors Housing (Central I and II) is the first phase of this partnership and includes construction of two new buildings located in what was formerly a green field immediately to the east of the existing Haggin Hall. These buildings will provide a combined total of 601 new beds. The buildings are each four (4) stories high, plus a partial basement in the south building to house the Honor program. The south building also includes three (3) classrooms in the basement space.

Project Status:

These two buildings are currently under construction. The buildings are scheduled to be opened in August 2013. The project is currently on schedule. Below is a summary of the work currently in progress:

North Building – The building is dried in, windows have been installed, masonry is in progress at north, east and west courtyard elevations and drywall finishing continues on the 2nd floor.

South Building – Plumbing inspections are 75% complete, electric rough-in has started on 4th floor, drywall is on-going and KU is ready to set transformers.

Champions Court I & II (Previously referred to as “Blazer” & “Wildcat”)

Project Description:

This project is a part of the Phase 2A development of the partnership between the University of Kentucky and Education Realty Trust (EdR) to replace on-campus undergraduate and graduate student housing. The Champions Court I (CCI) building consists of 8 floors with 740 beds, and includes shelled space for fit-out of retail and classroom space. The Champions Court II (CCII) building consists of 427 beds on 5 floors and does not include shelled space. These buildings are being constructed on the site encompassed by Martin Luther King Blvd. to the west, Lexington Ave. to the east, Avenue of Champions to the south and north to include the Samaritan parking lot which is located just north of the former Joe B. Hall Wildcat Lodge. The Joe B. Hall Wildcat Lodge was demolished to make room for the new construction.

Project Status:

These two buildings, currently under construction, are scheduled to open in August 2014 and are currently on schedule. Below is a summary of the work currently in progress:

Champions Court I – Office trailer is set-up and in use. Mass excavation is complete excluding back-fill, drilled piers are complete, structural excavation is in progress, wall footings are in progress and the retaining wall at Pad C is in progress. The retaining, shear, & stair shaft wall for Pad A are complete as well as the footing for shear walls at South Bridge building.

Champions Court II – Office trailer is set-up and temporary electric is scheduled. Mass excavation is about 75% complete and foundation installation has begun. Wall and column formwork is getting ready to begin and laydown areas have temporary roads installed to reduce soil on the street.

Woodland Glen I & II (Housing to replace Cooperstown Buildings D & E)

Project Description:

This project is a part of the Phase 2A development of the partnership between the University of Kentucky and Education Realty Trust (EdR) to replace on-campus undergraduate and graduate student housing. These buildings make up the first section of the Woodland Glen housing area. These two new buildings (WGI & WGII) will be 5 stories, with each providing 409 beds for a total of 818 beds. They will be located where the former Cooperstown D & E buildings were located. A total of three (3) classrooms will be included in these buildings.

Project Status:

Perimeter fencing has been erected around the project site. A contract that was issued to Dore Contracting to demolish the former Cooperstown D & E buildings has been completed. The new building contractors discovered fossil fuel contaminated soils from years of street run-off that are currently being remediated. This work was a found condition and is being coordinated through UK's Department of Environmental Health & Safety.

Site work is currently in progress. The buildings are scheduled to open for occupancy in August 2014. The buildings are currently on schedule.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Ambulatory Electronic Health Record Equipment System (EHR)

Project Number: 2335.0

Scope: \$4,861,760

Project Description:

This project will upgrade the existing electronic information infrastructure to include building modifications, to provide a common, secure electronic information infrastructure for sharing healthcare information. In addition the project will ensure interoperability among health record systems, which, if not implemented, could create up to a 3% reduction in Medicare reimbursements to the Hospital. The infrastructure portion of the project will take place in four phases impacting over 50 clinics. The phases will include an initial bid package supporting three pilot clinic activations and three subsequent bid packages resulting in all impacted clinics being upgraded to new operating standards. Extensive modifications to the cooling systems of the various communication closets are included in the project as well as upgrades to the various clinics' power and data systems.

Consultant: CMTA

Contract #	A121090	Original Contract Amount:	\$123,465
Total Amendments to Date:	1	Cumulative Amendment Amount:	\$253,890
Describe all Amendments:		Revised Contract Amount:	\$377,355

Amendment 1, 5/8/12, an increase of \$253,890 was approved to provide for complete design and construction administration required to activate an electronic health record system in an additional forty four clinics. **No amendments this quarter.**

Contractor: Jarboe Construction - Phase 1

Contract #	7500002862	Original Contract Amount:	\$164,800
Total Change Orders to Date:	6	Cumulative Change Order Amount:	\$6,638
Low Bid:	\$164,800	Revised Contract Amount:	\$171,438
High Bid:	\$203,300	Contract % complete:	100%
Number of Bids:	4		

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

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

Contractor: Jarboe Construction - Phase 2

Contract #	7500005737	Original Contract Amount:	\$711,000
Total Change Orders to Date:	6	Cumulative Change Order Amount:	\$35,435
Low Bid:	\$711,000	Revised Contract Amount:	\$746,435
High Bid:	\$798,500	Contract % complete:	98%
Number of Bids:	4		

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

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

Contractor: Eubank & Steele - Phase 2B

Contract #		Original Contract Amount:	\$604,000
Total Change Orders to Date:	1	Cumulative Change Order Amount:	\$983
Low Bid:	\$604,000	Revised Contract Amount:	\$604,983
High Bid:	\$774,000	Contract % complete:	60%
Number of Bids:	3		

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Campus Security System

Project Number: 2342.00

Project Description:

Scope: \$4,800,000

This project includes various security initiatives using a centralized safety response to campus monitored from the Police Department located in the Safety and Security Building. The project includes a geo-diverse video management (VMS) and security management system (SMS) that provides situational awareness to targeted areas on campus and event driven analytics to alert University Campus Police of possible threats to campus. This project will provide campus-wide camera monitoring, early warning systems speakers, and other communication devices to monitor and respond to campus incidents. The project will provide the infrastructure necessary for proposed installations and incorporate or replace legacy systems to a single security system.

Consultant: Biagi, Chance, Cummins, London & Titzer

Contract# A131060B Total

Original Contract Amount:

\$50,000

Amendments to Date: **Describe**

Cumulative Amendment Amount:

all amendments : No

Revised Contract Amount:

\$50,000

amendments this quarter.

Contractor: *No construction contract awarded to date

Contract#

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct CAER Lab Bldg. #2

Project Number: 2312.01

Project Description:

Scope: \$20,984,305

The University is the recipient of a grant award from the National Institute of Standards and Technology (NIST) as part of the 'America Recovery and Renewal Act federal stimulus package to construct a new stand alone laboratory building for the University of Kentucky Center for Applied Energy Research located at Spindletop Research Park. Portions of the laboratory facility will be specially equipped to accommodate battery manufacturing R&D. Other portions of the building will be specially equipped to accommodate research related to biomass energy and biofuels, electrochemical energy storage, and solar energy.

Consultant: Murphy+Graves Architects

Contract# A101110

Original Contract Amount: \$1,645,000

Total Amendments to Date: 1

Cumulative Amendment Amount: \$200,300

Describe all amendments :

Revised Contract Amount: \$1,845,300

Amendment# 1, 2/14/12, an increase of \$200,300 was approved to provide additional design, purchase, coordination and installation for the Energy Dashboard concept. This is an electronic educational interactive dashboard system for multiple locations throughout the building. **No amendments this quarter.**

Contractor: Turner Construction Note: This is a 'CM-At-Risk' contract. The amount will be increased as subcontracts are bid and added. ***Turner's contract was awarded by RFP process.**

Contract# 4500039389

Original Contract Amount: \$15,409,330

Total Change Orders to Date: 142

Cumulative Change Order Amount: \$809,974

Low Bid:

Revised Contract Amount: \$16,219,304

High Bid:

Contract Percent Complete: 100%

Number of Bids:

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

Change Order# 3, 1/21/11, was approved for an increase of \$146,400 to shift the underslab plumbing work from Bid Pack# 3 to Bid Pack# 1 facilitating the first floor slab being poured and completed earlier in the construction schedule resulting in cost savings. **Change Order# 22**, 9/15/11 was approved for an increase of \$55,965 to provide an equipment change allowing for a fan that will operate more efficiently at a lower usage. **Change Order# 23**, 9/15/11 was approved for an increase of \$50,307 to provide modification of the heat pump and ductwork layout to provide energy enhancement to the initial design. **Change Order# 24**, 9/15/11 was approved for an increase of \$60,218 to add in redundant pumps to provide greater system reliability in case of failure. **Change Order# 26**, 9/15/11 was approved for an increase of \$85,825 to add back the battery testing bunker bid package that was removed from Bid Pack# 3. **Change Order# 37**, 11/16/11, was approved for a decrease of \$191,492 to provide for value engineering changes after project bids were received. **Change Order# 49**, 11/1/11, was approved for an increase of \$52,188 to revise the primary power to support the power requirements for the project. This change is necessary due to found conditions and incorrect information in record documents of the utilities currently installed. **Change Order# 50**, 11/1/11, was approved for an increase of \$26,410 to provide oversized curb needed to close the roof opening for the strobic fan installation. **Change Order# 71**, 1/11/12, was approved for an increase of \$37,157 to provide power connections as required for the environmental chambers and to provide a filtered ceiling system. **Change Order# 78**, 2/2/12, was approved for an increase of \$30,433 to provide an electric meter, a chilled water system COP and a hot water system COP needed to accomplish the energy comparison between the CAER I and CAER II Lab for the Energy Dashboard. **Change Order# 92**, 3/5/12, was approved for an increase of \$37,624 to extend general conditions and project staffing for an additional twenty seven days. **No change orders greater than \$25,000 this quarter.**

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct UK/Nicholasville Road Flood Mitigation

Project Number: 2336.00

Project Description:

Scope: \$8,015,463

This project will construct improvements, to provide 100 year storm (and lesser storm) mitigation to prevent roadway overtopping and improve pedestrian safety addressing storm water quantity within this one campus water shed. The area between Alumni Drive and Shawneetown Drive (includes permanent removal of Shawneetown Drive and relocation of existing utilities) will be *excavated* for additional storm water detention. The project will also upgrade an existing *culvert* at the upstream side of Nicholasville Road. The \$8,015,463 project will be funded by a federal grant of \$6,011,597 from FEMA with the balance of \$2,003,866 being the In-Kind *value* of the 3.6 acres of University of Kentucky land determined by adjacent property values. Water quality related issues may also be part of the project scope depending on available funds and compatibility with storm water quantity design.

Consultant: Bell Engineering

Contract# A121130

Original Contract Amount: \$637,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$637,000

No amendments this quarter.

Contractor: No construction contract awarded to date

Contract#

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

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

Expand/Renovate Ambulatory Care: Orofacial Pain Clinic

Project Number: 2333.00

Project Description:

Scope: \$1,448,000

This phase of the Expand/Renovate Ambulatory Care project will renovate approximately 2,850 square feet on the second floor of the Kentucky Clinic Building, Wing C. This phase will include operatories, consulting exam rooms, a waiting room, resident carrel space, lab and supplies space, and radiographic equipment space.

Consultant: Stengei-Hill Architecture

Contract# A121140

Original Contract Amount: \$86,500

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$86,500

No amendments this quarter.

Contractor: Churchill McGee LLC

Contract# 7500009070

Original Contract Amount: \$668,889

Total Change Orders to Date: 4

Cumulative Change Order Amount: \$5,850

Low Bid: \$642,000

Revised Contract Amount: \$674,739

High Bid: \$788,000

Contract Percent Complete: 55%

Number of Bids: 10

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

PCF- Hospital - CUP Expansion

Project Number: 2239.32

Project Description:

Scope: \$13,150,000

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

Consultant: GBBN Inc.

See project 2239.0

Contract#

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

Contractor: Messer Construction Co.

Contract# 4500008954

Original Contract Amount:

\$9,474,000

Total Change Orders to Date: 49

Cumulative Change Order Amount:

\$774,121

Low Bid: \$9,474,000

Revised Contract Amount:

\$10,248,121

High Bid: \$10,400,000

Contract Percent Complete:

99%

Number of Bids: 2

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

Change Order# 4, 12/10/07, was approved for \$37,518 to provide required additional rock and soil drilling. **Change Order# 7**, 2/21/08, was approved for an increase of \$53,981 to provide temporary building heat until the new dearator and surge tank are installed. **Change Order# 14**, 7/23/08, was approved for an increase of \$28,219 to change the boiler water piping from ductile iron to schedule 80 black steel pipe. **Change Order# 17**, 7/10/08, was approved for an increase of \$26,270 to install new platform in the northwest corner of the CUP addition to provide greater accessibility and safer access to valves and equipment. **Change Order# 21**, 7/23/08, was approved for an increase of \$45,585 to provide for additional costs resulting from the late delivery of the boilers provided by the University and resulting complications which impacted items on the critical path. Liquidated damages collected from the boiler manufacturer will be applied to the compensation associated with this change order. **Change Order# 30**, 8/11/08, was approved for an increase of \$28,249 to relocate the new condensate pump from the BBSRB tunnel to the College of Pharmacy tunnel. Provide valving to allow the pump to pump in either direction. This change allows for more versatile operation of the campus steam system. **Change Order# 34**, 10/30/08, was approved for an increase of \$52,257 to provide and install pipe insulation for the new boiler feed water piping and the boiler blow-down piping. **Change Order# 35**, 11/3/08, was approved for an increase of \$34,693 to provide and install two wye strainers and to install and connect the stack gas analyzers and Horiba panels. Because the boilers were a direct purchase by the University this scope of work was not originally included in the contract documents. **Change Order# 37**, 2/2/09 was approved for \$26,661 to revise the Civil Site plan to provide greater security and improve the utilization of the grounds north of the new construction. **Change Order# 44**, 2/24/10, was approved for an increase of \$25,745 to perform various items of work related to the boiler installation not included in the contractor's original contract documents. **Change Order# 45**, 2/24/10, was approved for an increase of \$54,881 to install a new VFD for each of eight ventilation fans. The high efficiency boiler operation required increased building temperature control to manage the combustion process of the burners of the two boilers.

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate 4th Floor Sanders-Brown Center on Aging

Project Number: 2313.01

Project Description:

Scope: \$6,428,471

This project will consist of renovating approximately 9,000 square feet of research support space in the Sanders-Brown Center. This project will include retrofitting outdated, noncompliant research support space and the associated mechanical equipment to meet current regulatory requirements. The project is fully funded from an NIH Grant as part of the ARRA.

Consultant: Omni Architects

Contract# A101140

Original Contract Amount: \$562,119

Total Amendments to Date: 2

Cumulative Amendment Amount: \$28,000

Describe all amendments :

Revised Contract Amount: \$590,119

Amendment 1, 12/14/10, an increase of \$28,000 was approved for additional design and construction administration services associated with LEED certification. **Amendment 2**, 9/11/12 was a zero dollar amendment approved for administrative contract purposes adding special inspections as an acceptable reimbursable expense. **No amendments this quarter.**

Contractor: Messer Construction Co Note: This is a 'CM-At-Risk' contract. The amount will be increased as subcontracts are bid and added. ***Messer's contract was awarded by RFP process.**

Contract# 4500040166

Original Contract Amount: \$3,702,329

Total Change Orders to Date: 18

Cumulative Change Order Amount: \$23,566

Low Bid:

Revised Contract Amount: \$3,725,895

High Bid:

Contract Percent Complete: 100%

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 Academic Facility- University Lofts Facility

Project Number: 2339.00

Project Description:

Scope: \$800,000

This project will renovate the 110,000 gross square foot facility into classrooms, class labs/studios, office and support space for the College of Fine Arts. The improvements will also include necessary upgrades of the building systems such as communications, plumbing, HVAC, electrical, fire safety and security.

Consultant: Omni Architects

Contract# A130180

Total Amendments to Date: 1

Describe all amendments :

No amendments this quarter.

Original Contract Amount:

\$584,437

Cumulative Amendment Amount:

\$10,000

Revised Contract Amount:

\$594,437

Contractor: No construction contract awarded to date.

Contract#

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

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

Original Contract Amount:

Cumulative Change Order Amount:

Revised Contract Amount:

Contract Percent Complete:

Renovate Dental Class Labs (Room 611)

Project Number: 2346.00

Project Description:

Scope: \$4,700,000

The project includes upgrading ventilation systems, modernizing and enhancing technology utilized in training dental students, and accommodating additional student dental workstations and workspaces in the Student Simulation Lab.

Consultant: Stengel Hill Architecture

Contract# A131120

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:

\$259,900

Cumulative Amendment Amount:

Revised Contract Amount:

\$259,900

Contractor: Enola Contracting Services, Inc.

Contract# 7500014738

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

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

Original Contract Amount:

\$2,183,236

Cumulative Change Order Amount:

Revised Contract Amount:

\$2,183,236

Contract Percent Complete:

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate Parking Structure #3- UKHC

Project Number: 2337.00

Project Description:

Scope: \$988,824

This project will consist of the selective repair of the EIFS on the spandrels and column wraps, repair pre-cast and connections, concrete slab repair, recoating of structural steel components, barrier cable repair, replacement of doors and frames, and miscellaneous painting.

Consultant: Brown & Kubican

Contract# A121100

Original Contract Amount: \$87,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$87,000

No amendments this quarter.

Contractor: Structural Systems Repair Group, LLC

Contract# 7500005585

Original Contract Amount: \$724,500

Total Change Orders to Date: 5

Cumulative Change Order Amount: \$7,921

Low Bid: \$724,500

Revised Contract Amount: \$732,421

High Bid: \$934,072

Contract Percent Complete: 100%

Number of Bids: 3

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

Change Order# 1, 6/25/12, was approved for an increase of \$61,681 to repair joists at level four and to repair the sixth floor membrane. **Change Order# 4**, 10/1/12, was approved for an increase of \$35,217 to increase the number of joists and slab on deck areas for repair as well as reinforcement of a deteriorated steel beam. **Change Order# 6**, 11/20/12, was approved for a decrease of \$96,608 to provide a credit to reduce scope of exterior insulation finishing system (EIFS)/Metal Stud Framing due to existing metal stud framing to be found in better condition than assumed at bid.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate Robotics Building

Project Number: 2353.00

Project Description: Scope: \$1,800,000

The Center for Biomedical Engineering (CBME) was transferred administratively to the College of Engineering effective July 1, 2010. CBME is currently in the Wenner Gren Research Lab. A key component of this transfer is the relocation of the CBME from the Wenner-Gren buildings to the 5th floor of the Center for Robotics and Manufacturing Systems (CRMS). The relocation is needed to take advantage of the many collaborative research opportunities between the CBME faculty and the various other Engineering faculty in and near the CRMS building. The project will completely renovate eight (8) existing labs to accommodate the relocation, as well as renovate two former labs into shared equipment rooms and graduate student office space. The approximate square footage of the planned renovation will be 3,500.

The legislative authorized scope and current project estimate is \$3,842,000. The current total available funding is only \$1,800,000 therefore the University intends to prioritize the improvements and install all the utilities in this first phase thereby enabling future connections as additional funds become available.

Consultant: Bender Associates Architects

Contract# A131130

Original Contract Amount: \$105,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$105,000

No amendments this quarter.

Contractor: No construction contract awarded to date.

Contract#

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid: High

Revised Contract Amount:

Bid: Number of

Contract Percent Complete:

Bids:

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

Renovate Schmidt Vocal Arts Center

Project Number: 2326.00

Project Description: Scope: \$1,500,000

This project will complete the renovations to include rehearsal rooms, teaching studios, practice rooms, music library, office space for staff and graduate assistants, and enhancements to the building's main entrance.

Consultant: Sherman Carter Barnhart

Contract# A111120

Original Contract Amount: \$128,540

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$128,540

No amendments this quarter.

Contractor: No construction contract awarded to date.

Contract#

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid: High

Revised Contract Amount:

Bid: Number of

Contract Percent Complete:

Bids:

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate Track and Field Facility

Project Number: 2315.00

Project Description:

Scope: \$13,000,000

The University of Kentucky's Shively Track, used by the men's and women's track and cross country teams, is over 30 years old and needs to be renovated. This project will renovate the existing track and field facility by providing new track and field surfaces, field event training areas, spectator seating, spectator amenities (concessions, restrooms, etc.), and equipment storage. The track is anticipated to be a nine-lane synthetic surface track. An athlete only practice throw area has been integrated into the site plane, creating safety for adjacent spectators as well as providing a proper environment for the training and warm up of student athletes. A practice runway is being incorporated with the javelin throw. This area would also accommodate visiting track teams during meet events. The architectural design and materials will be integrated to enhance the proximity to the design elements of the University's adjacent baseball stadium. The concession building will overlook the track so spectators standing in line will continue to have visual access to the event completion. A new storage facility will be located at the Cooperstown Road entry, and will be of sufficient size to store all track and field equipment.

Consultant: Ross Tarrant Architects

Contract# A111060

Original Contract Amount: \$868,500

Total Amendments to Date: 2

Cumulative Amendment Amount: \$124,029

Describe all amendments :

Revised Contract Amount: \$992,529

Amendment# 1, 2/14/12, an increase of \$45,000 was approved to provide for additional special inspections needed due to a larger amount of concrete retaining walls than originally anticipated. **No amendments this quarter.**

Contractor: Abel Construction Co. Note: This is a "CM-At-Risk" contract. The amount will be increased as subcontracts are bid and added. ***Abel's contract was awarded by RFP process.**

Contract# 4500043874

Original Contract Amount: \$9,820,610

Total Change Orders to Date: 85

Cumulative Change Order Amount: \$757,136

Low Bid:

Revised Contract Amount: \$10,577,746

High Bid:

Contract Percent Complete: 100%

Number of Bids:

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

Change Order# 2, 8/24/11 was approved for an increase of \$30,332 to provide sand based sod in lieu of regular soil based sod to provide better drainage performance. **Change Order# 10**, 8/24/11 was approved for a decrease of \$45,600 to use interlocking deck in lieu of welded deck and to use galvanized steel in lieu of painted finish on structure. **Change Order# 12**, 8/25/11 was approved for an increase of \$117,663 to provide and install an eight lane practice track. **Change Order# 20**, 10/13/11, was approved for an increase of \$35,975 to increase the Kentucky American Water Co. allowance needed to relocate a section of waterline along Cooperstown Drive. **Change Order# 21**, 11/3/11, was approved for an increase of \$25,275 to install subdrainage piping for the permeable pavers for the drive along the north side of the track. **Change Order# 34**, 1/23/12, was approved for an increase of \$25,300 to provide a slot drain in the concrete walk between the track and the lower wall of the lower grandstand. **Change Order# 38**, 4/10/12, was approved for an increase of \$105,493.55 **to provide installation for Owner Provided Sports Competition lighting system.** **Change Order# 50**, 4/10/12, was approved for an increase of \$46,722.76 to relocate the scoreboard from the current location to the northeast corner of the track. **Change Order# 61**, 6/13/12, was approved for an increase of \$49,672.17 to install concrete footers for the safety net poles. This will provide enhanced protection from foul balls from the adjacent baseball stadium for spectators and athletes during daily practices and scheduled events. **Change Order # 65**, 7/26/12, was approved for an increase of \$27,825 to change the stabilization of the track upgrade from 8" of cement stabilization to 16" of lime stabilization. The material change is based on the time of year the work is being installed. Initially this scope of work was to occur during cold, winter weather and the cement stabilization was necessary. This scope of work actually occurred during warmer weather in the spring and lime stabilization was more applicable. **Change Order# 67**, 7/27/12, was approved for an increase of \$36,344 to provide additional catch basins at infield and upsize piping. **Change Order# 81**, 10/30/12, was approved for an increase of \$31,408 **to provide and maintain temporary construction access road to facilitate the movement of construction equipment and materials from the Cooperstown access point on the northwest corner of the site to Building D on the southwest corner of the site.**

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate/Expand Gatton Building

Project Number: 2345.00

Project Description:

Scope: \$4,000,000

This project includes renovating and expanding the existing 138,400 gross square foot Gatton Building. The expansion will include a three story addition consisting of 65,727 gross square feet comprised primarily of community-oriented space to include an atrium, with a cafe and seating area, classrooms, and a 500 seat auditorium. The addition will become the primary entrance to the building and will be accessed from central campus. A secondary entrance from South Limestone St. will also be incorporated in the renovated space. The original 1963 building will provide various types of space for faculty and students; the classrooms in the 1991 addition will be renovated and updated to include the latest technology. When completed, the building will have a total of 204,127 gross square feet.

Consultant: Ross Tarrant Architects

Contract# A131090

Original Contract Amount:

\$3,716,149

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

\$3,716,149

No amendments this quarter.

Contractor: Skanska USA Building Note: This is a 'CM-At-Risk' contract. The amount will be increased as subcontracts are bid and added. ***SKANSKA's contract was awarded by RFP process.**

Contract# 7500012212

Original Contract Amount:

\$57,000

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

\$57,000

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.

Renovate/Expand Soccer Facilities

Project Number: 2349.00

Project Description:

Scope: \$7,000,000

This project will renovate and expand the University's soccer facilities to include locker, shower, and lounge space for the men's and women's soccer teams, training and umpire rooms, and new seating and a press box. This project will also include upgrades to plumbing, electrical, and HVAC systems.

Consultant: Luckett & Farley

Contract# A121100

Original Contract Amount:

\$613,500

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

\$613,500

No amendments this quarter.

Contractor: No construction contract awarded to date.

Contract#

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid: High

Revised Contract Amount:

Bid: Number of

Contract Percent Complete:

Bids:

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate/Upgrade Softball Complex

Project Number: 2338.00

Project Description:

Scope: \$9,700,000

This project consists of 1) Spectator seating and amenities, including replacement of the existing portable seating sections for Softball with new treads and risers from end to end of the dugouts that will provide approximately 400-600 new fixed chair back seats, and a combination of 600-800 of bleachers for a total permanent seating capacity of around 1200, including new elevated terraces overlooking the field at the back of the new grandstands and new press facilities, 2) New indoor practice facilities, 3) Playing field improvements, including site lighting and entry plaza to the complex including a new ticket facility and 4) New Team Building with coaches offices, team locker, lounge and equipment facilities for Softball.

Consultant: Luckett & Farley

Contract# A121120

Original Contract Amount: \$597,800

Total Amendments to Date: 1

Cumulative Amendment Amount: \$30,000

Describe all amendments :

Revised Contract Amount: \$627,800

Amendment 1, 12/11/12, an increase of \$30,000 was approved for additional construction administration services.

Contractor: Cadell Construction Co.

Contract# 7500008312

Original Contract Amount: \$8,049,310

Total Change Orders to Date: 26

Cumulative Change Order Amount: \$298,551

Low Bid: \$5,549,310

Revised Contract Amount: \$8,347,861

High Bid: \$5,568,000

Contract Percent Complete: 32%

Number of Bids: 6

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

Change Order# 1, 12/11/12, was approved for an increase of \$28,587 to provide hub pipe in all underground installations to comply with the UK Standards. Change Order# 7, 12/17/12, was approved for an increase of \$35,387 to coordinate miscellaneous electrical components with the remainder of the design.

Repair/Upgrade/Expand Central Cooling Tower

Project Number: 2356.00

Project Description:

Scope: \$870,000

The Medical Center Cooling Plant provides chilled water to the campus loop as well as the Medical Center. The cooling tower is in excess of 10 years old. This tower does not meet today's cooling capacity requirements due to increased loads and other inefficiencies.

Consultant: Staggs & Fisher Consulting Engineers

Contract# A131020S

Original Contract Amount: \$43,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$43,000

No amendments this quarter.

Contractor: No construction contract awarded to date.

Contract#

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid: High

Revised Contract Amount:

Bid: Number of

Contract Percent Complete:

Bids:

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

FCR 12

Office of the President
March 19, 2013

Members, Board of Trustees:

APPROVAL OF COLLABORATION AGREEMENT
FOR THE USE AND MANAGEMENT OF EDEN SHALE FARM

Recommendation: that the Executive Vice President for Finance and Administration be authorized to enter into a Cooperative Agreement with the Kentucky Beef Network, LLC for the day-to-day operation and management of the Eden Shale Farm.

Background: The University of Kentucky owns a 961-acre farm in Owen County, Kentucky known as the Eden Shale Farm. For over fifty years, the College of Agriculture had operated Eden Shale Farm as a research facility. Over time, the cost of operation of Eden Shale Farm had become cost-prohibitive, in part due to the lack of proximity to Lexington, Kentucky as well as ever-increasing costs associated with said farm's agricultural research projects. The College of Agriculture essentially ceased most research and demonstration activities in 2012, although certain modest projects remain on-going. After extensive discussions, the College of Agriculture and the non-profit Kentucky Beef Network, LLC ("KBN") have negotiated a collaboration agreement that provides for KBN to assume the majority of operational and financial responsibility for Eden Shale farm, with the goal of operating the property as a learning center and demonstration farm. The goal is to operate the property in a way that demonstrates cutting-edge research into beef production practices in Kentucky. This arrangement will allow the College of Agriculture personnel to continue collaborative activities.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 13

Office of the President
March 19, 2013

Members, Board of Trustees:

PROPOSED 2013-14 TUITION AND MANDATORY FEES SCHEDULE

Recommendation: that the Board of Trustees approve the attached 2013-14 tuition and mandatory fees schedule and authorize the President to submit the schedule to the Council on Postsecondary Education. The tuition and mandatory fees schedule reflects a three percent increase for resident students and a six percent increase for most non-resident students.

Background:

Council on Postsecondary Education

Pursuant to KRS 164.020, the Council on Postsecondary Education has the statutory authority to determine tuition for Kentucky's public colleges and universities. For the purposes of this statute, the Council includes mandatory fees in the definition of tuition. On February 8, 2013, the Council approved the 2013-14 Tuition and Mandatory Fee Policy and the 2013-14 Tuition Setting Timeline. The tuition and mandatory fee policy outlines five fundamental objectives for the Council to consider when establishing parameters including tuition and mandatory fee ceilings. The objectives include:

- Funding Adequacy. The Council, in collaboration with the institutions, seeks to balance the affordability of postsecondary education for Kentucky's citizens with the institutional funding necessary to accomplish the goals of the Kentucky Postsecondary Education Improvement Act of 1997 (House Bill 1) and the Council's Strategic Agenda.
- Shared Benefits and Responsibility. The Council and the institutions believe that funding postsecondary education is a shared responsibility of the state and federal government, students and families, and postsecondary education institutions.
- Affordability and Access. The Council and the institutions work collaboratively and pay careful attention to balancing the cost of attendance with students' ability to pay by considering (1) students' family and individual income; (2) federal, state, and institutional scholarships and grants; (3) students' and parents' reliance on loans; (4) access to all postsecondary education alternatives; and (5) the need to enroll and graduate more students.
- Attracting and Importing Talent to Kentucky. It is unlikely that Kentucky can reach its 2020 postsecondary education attainment goals by focusing on Kentucky residents alone. The Council and the institutions are committed to making Kentucky's institutions financially attractive to non-resident students while recognizing that non-resident, undergraduate

students should pay a significantly larger proportion of the full cost of their education. However, the policy on non-resident tuition and mandatory fees should also be evaluated based on its potential impact on attracting and retaining students that enhance diversity and Kentucky's ability to compete in a global economy.

- Effective Use of Resources. The Council and the institutions are committed to using the available financial resources as effectively and productively as possible to advance the goals of HB 1 and the Council's strategic agenda including undergraduate and graduate education, engagement and outreach, research, and economic development initiatives. The institutions are responsible for demonstrating good stewardship of limited public resources and report on their efforts to contain costs; improve efficiencies and productivity; and reallocate existing resources to high priority activities.

The Council's parameters for setting tuition and mandatory fees normally contain the following conditions:

- a maximum percentage increase for resident undergraduate tuition and mandatory fees for each sector (i.e., research universities; comprehensive universities; and KCTCS)
- a requirement that non-resident undergraduate tuition and mandatory fees must be at least two times the resident undergraduate rate and,
- tuition and mandatory fee rates for graduate and first-professional students are to be market competitive.

In accordance with the established timeline, the Council will set the tuition and mandatory fee parameters on April 18, 2013. The institutions are to submit proposed 2013-14 tuition and mandatory fee rates in May. The Council is expected to take action on each institution's proposed 2013-14 tuition and mandatory fee rates on June 20, 2013.

The University's recommended tuition and mandatory fees are expected to comply with the Council's parameters.

University of Kentucky Process

In winter 2011, President Capilouto expanded the standard annual budget development process for FY 2012-13 to include planning elements for FY 2013-14. The University's FY 2012-13 budget reflected a 6.4 percent reduction in state appropriations; a decrease in spending distributions from endowments; a decline in research funding; and increases in fixed costs. A significant reallocation of General Funds within the University and a six percent increase in tuition and mandatory fees were implemented to balance the budget and fund critical strategic investments. Another reallocation of General Funds for FY 2013-14 was also planned.

In spring 2012, the Board of Trustees discussed the unsustainability of large tuition and mandatory fees rate increases in the future and the President proposed to limit the 2013-14 tuition and mandatory fee increases for resident students to three percent. The proposed resident rates reflect the lowest annual percentage rate increase since 1997.

In November 2012, the President announced that due to improved revenue projections and in response to comments received on the preliminary FY 2013-14 budget, the General Funds

reallocations would be reduced from 6.4 percent to 5.0 percent for administrative units and from 4.2 percent to 2.1 percent for academic units. The FY 2013-14 budget recommendation continues to be refined and is expected to be presented to the Board for consideration on June 11, 2013.

The university administration recommends that the Board approve the proposed 2013-14 rates at this time so that scholarships and student financial aid awards can be finalized much earlier than in prior years. The early award letters should have a positive impact on student recruitment.

Recommended Tuition and Mandatory Fees

The following tuition and mandatory fees schedule reflects a recommended three percent increase for resident students and six percent for most non-resident students. Due to market pressures, the non-resident rate increases for Pharmacy, Dentistry, and Medicine have been held to three percent. As in the past, the College of Medicine's rates are 'locked in' by entering class – the tuition and mandatory fee rates do not change during the four-year program.

A three percent (\$16 per semester) increase in mandatory fees has been distributed based on a recommendation from the Student Fees Committee. A separate schedule of the changes in mandatory fees is also provided. The University's recommended tuition and mandatory fees are expected to comply with the Council's parameters.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

2013-14 TUITION AND MANDATORY FEES SCHEDULE¹
Effective Fall 2013

	Per Semester Full-Time Fee²		Part-Time and Intersessions Per-Credit-Hour Fee³	
	<u>2012-13</u>	<u>2013-14</u>	<u>2012-13</u>	<u>2013-14</u>
Undergraduate				
<i>Lower Division</i>				
Resident	\$4,838.00	\$4,983.00	\$389.00	\$401.00
Non-Resident	\$9,932.00	\$10,526.00	\$813.00	\$862.00
<i>Upper Division</i>				
Resident	\$4,978.00	\$5,127.00	\$400.00	\$413.00
Non-Resident	\$10,065.00	\$10,677.00	\$824.00	\$874.00
Graduate				
Resident	\$5,229.00	\$5,386.00	\$552.00	\$568.00
Non-Resident	\$10,773.00	\$11,419.00	\$1,168.00	\$1,239.00
Master in Business Administration (MBA)				
<i>Evening and part-time students</i>				
Resident	\$6,044.00	\$6,225.00	\$642.00	\$662.00
Non-Resident	\$12,857.00	\$13,631.00	\$1,399.00	\$1,485.00
Master of Arts in Diplomacy and International Commerce				
Resident	\$5,482.00	\$5,646.00	\$580.00	\$597.00
Non-Resident	\$11,022.00	\$11,683.00	\$1,195.00	\$1,268.00
Master of Science in Physician Assistant Studies				
Resident	\$5,633.00	\$5,802.00	\$597.00	\$615.00
Non-Resident	\$11,172.00	\$11,842.00	\$1,212.00	\$1,286.00
Master of Science in Radiological Medical Physics				
Master of Science in Health Physics				
(College of Health Sciences, Division of Radiation Sciences)				
Resident	\$6,086.00	\$6,269.00	\$647.00	\$667.00
Non-Resident	\$11,593.00	\$12,289.00	\$1,259.00	\$1,335.00

		Per Semester Full-Time Fee ²		Part-Time and Intersessions Per-Credit-Hour Fee ³	
		<u>2012-13</u>	<u>2013-14</u>	<u>2012-13</u>	<u>2013-14</u>
Law					
	Resident	\$9,702.00	\$9,993.00	\$947.00	\$975.00
	Non-Resident	\$16,809.00	\$17,826.00	\$1,658.00	\$1,759.00
Pharm. D.*					
	Resident	\$11,466.00	--	\$941.00	--
	Non-Resident	\$20,850.00	--	\$1,723.00	--
Professional Doctoral (Nursing, Public Health and transitional part-time Physical Therapy)					
	Resident	\$6,817.00	\$7,022.00	\$728.00	\$750.00
	Non-Resident	\$14,878.00	\$15,776.00	\$1,624.00	\$1,723.00

	Annual Full-Time Fee ⁴ Effective July 2013	
	<u>2012-13</u>	<u>2013-14</u>
Doctor of Pharmacy*⁵		
Rates by Professional Year (PY) of instruction		
PY 1		
Resident	--	\$25,672.00
Non-Resident	--	\$46,614.00
PY 2		
Resident	--	\$25,046.00
Non-Resident	--	\$45,451.00
PY 3		
Resident	--	\$23,795.00
Non-Resident	--	\$43,126.00
PY 4		
Resident	--	\$17,528.00
Non-Resident	--	\$32,027.00

*Beginning July 2013, the tuition and mandatory fees for the Doctor of Pharmacy will change from per semester to annual rates.

**Annual
Full-Time Fee⁴
Effective July 2013**

<u>2012-13</u>	<u>2013-14</u>
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Medicine⁶

Students - entering class of fall 2009

Resident	\$29,233.00	\$29,233.00
Non-Resident	\$53,639.00	\$53,639.00

Students - entering class of fall 2010

Resident	\$30,110.00	\$30,110.00
Non-Resident	\$55,248.00	\$55,248.00

Students - entering class of fall 2011

Resident	\$31,907.00	\$31,907.00
Non-Resident	\$58,533.00	\$58,553.00

Students - entering class of fall 2012

Resident	\$32,889.00	\$32,889.00
Non-Resident	\$60,272.00	\$60,272.00

Students – entering class of fall 2013

Resident	--	\$33,870.00
Non-Resident	--	\$62,073.00

Dentistry⁷

Resident	\$28,458.00	\$29,307.00
Non-Resident	\$58,085.00	\$59,822.00

Master in Business Administration (MBA)⁸

Full-time students in the “Day” Program

Resident	\$11,165.00	\$11,495.00
Non-Resident	\$22,237.00	\$23,560.00

Doctorate of Physical Therapy

Resident	\$16,966.00	\$17,470.00
Non-Resident	\$37,112.00	\$39,350.00

NOTES:

¹Rates include mandatory student fees. Students taking all courses at off-campus locations (including distance learning classes) outside of Fayette County and its contiguous counties may have mandatory fees waived. However, if a student who is eligible for this waiver wants to participate in any activity supported by these fees, the student must pay the total mandatory fees. Pursuant to the Memorandum of Agreement with the Kentucky Community and Technical College System, students enrolled at the Bluegrass Community and Technical College have the opportunity to selectively choose services from the list of mandatory fees.

²The full-time rate is charged to undergraduate students enrolled for 12 credit hours or more, graduate and professional doctoral students enrolled for 9 credit hours or more, and law students enrolled for 10 credit hours or more.

³Students enrolled part-time and in intersessions (e.g. summer and winter terms) are charged on a per-credit hour basis. Students considered full-time for financial aid and reporting purposes, but with less than full-time credit hours, (i.e., graduate students in residency status) will be assessed on a per-credit hour basis.

⁴The annual rates for Medicine, Dentistry, MBA ("Day Program"), and the Doctorate of Physical Therapy include mandatory fees for 2012-13 and 2013-14 of \$1,241 and \$1,273, respectively. Due to the transition of Pharmacy rates from per semester to annual, the 2013-14 annual rates for Pharmacy PY 1 - 3 include mandatory fees of \$1,273 and the 2013-14 annual rates for Pharmacy PY 4 include mandatory fees of \$1,098.00.

⁵A half-time 2013-14 tuition and fee rate of \$13,472.50 for resident students and \$23,943.50 for non-resident students is established for those pharmacy students who have been approved by the Dean of the College of Pharmacy to have a reduced curriculum load.

⁶The College of Medicine tuition and mandatory fee rates are 'locked in' for each entering class cohort. The rates do not change while students are enrolled in the program. A half-time 2013-14 tuition and fee rate of \$17,571.50 for resident students and \$31,673.00 for non-resident students is established for those medical students who have been approved by the College of Medicine Student Progress and Promotion Committee to have a reduced curriculum load.

⁷A half-time 2013-14 tuition and fee rate of \$15,290.00 for resident students and \$30,547.50 for non-resident students is established for those dental students who have been approved by the Dean of the College of Dentistry to have a reduced curriculum load.

⁸The 2013-14 rates for the Master of Business Administration 'Day' Program are effective June 1, 2013.

2013-14 MANDATORY FEES SCHEDULE

	Per Semester Full-Time Fee ²		Part-Time and Intersessions Per-Credit-Hour Fee ³	
	2012-13	2013-14	2012-13	2013-14
	<u>2012-13</u>	<u>2013-14</u>	<u>2012-13</u>	<u>2013-14</u>
Athletics	\$19.00	\$19.00	-	-
Environmental Stewardship	\$3.00	\$3.00	-	-
International Study Abroad	\$6.00	\$6.00	-	-
Johnson Center	\$74.00	\$79.00	\$7.40	\$7.80
Student Activities	\$15.50	\$15.50	-	-
Student Center	\$92.00	\$98.00	\$9.40	\$9.70
Student Government Association	\$11.50	\$11.50	-	-
Student Health	\$175.00	\$175.00	-	-
Student Involvement	\$21.00	\$25.00	\$2.10	\$2.40
Student Services	\$12.00	\$13.00	\$1.20	\$1.30
Technology	\$99.00	\$99.00	\$9.90	\$9.90
WRFL Student Radio	\$5.00	\$5.00	-	-
Total	\$533.00	\$549.00	\$30.00	\$31.10

FCR 14

Office of the President
March 19, 2013

Members, Board of Trustees:

PROPOSED 2013-14 ROOM AND BOARD RATES

Recommendation: that the Board of Trustees adopt the attached 2013-14 room and board rates.

Background: The proposed housing rates reflect a three percent increase for traditional residence halls and for graduate and family apartments. The proposed housing rates for the premium residence halls and Greek housing reflect increases of four percent and no increase, respectively. Two new premium residence halls, Central Hall I and II, are currently under construction by the University's private-development housing partner, Education Realty Trust (EdR). These facilities are expected to be online by August 2013. The premium residence hall rates will be the same for the university-owned and the EdR constructed facilities.

The proposed dining rates reflect a three percent increase for four of the five optional plans. No increase is proposed for the optional 21-meal plan. For the minimum plan, a new seven-meal per week plan will replace the five-meal per week plan. The increase in the number of meals is considered to be a better value for our students and more comparable to other universities. All students living in the residence halls are required to purchase a dining plan. The recommended room and board rates are necessary to generate sufficient revenue to cover anticipated operating costs.

Housing Occupancy. Over 90 percent of the incoming freshman class usually resides in University housing. The 2013 first-time freshman class is anticipated to reach 4,800 students, an increase of over 16 percent during the past five years. Freshman and sophomore enrollment is projected to exceed 10,500 students in fall 2013, an increase of about 500 students compared to fall 2012.

As a result of the increasing enrollment, the Board of Trustees approved a lease for Royal Lexington Apartments, 695 Winnie Street, Lexington, Kentucky, in October 2012. The lease is for 364 beds in 3-bedroom and 4-bedroom apartments effective August 1, 2013 through June 30, 2014.

The University expects to have 5,609 beds available in fall 2013 for undergraduate students including the Royal Lexington Apartments. Given increasing enrollment and strong demand for modern student housing, the proposed rate increases are not expected to impact occupancy.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PROPOSED 2013-14 ROOM AND BOARD RATES

Dining (per semester effective Fall 2013)

Dining Services will offer six dining plans during 2013-14. All students living in residence halls are required to purchase at least the Minimum Plan. Four plans provide seven to 21 meals per week. Two block plans offer either 130 or 85 meals that can be used any time during the semester. Weekly and block plan meals are provided at Commons Market and Blazer Café (“unlimited choices” buffets), Ovid’s Café, and Bluegrass Cafe (combo meals).

Each dining plan also includes ‘Flex Dollars’. Flex dollars can be used at any of Dining Services’ 21 locations to purchase a’ la carte items. Flex dollars may be carried over from the fall to spring semester.

	2012-13 Per Semester			2013-14 Per Semester		
	Avg. Meals Per week	Flex Dollars	Cost	Avg. Meals Per week	Flex Dollars	Cost
Minimum Plan	5	\$300	\$1,166	N/A		
	N/A			7	\$200	\$1,300
Optional Plans	BLOCK	\$300	\$1,523	BLOCK	\$300	\$1,570
	BLOCK	\$700	\$1,523	BLOCK	\$700	\$1,570
	10	\$300	\$1,725	10	\$300	\$1,777
	14	\$300	\$2,244	14	\$300	\$2,310
	21	\$300	\$2,841	21	\$300	\$2,841

All students living in residence halls are required to purchase at least the minimum-dining plan.

Fall and Spring Housing (per semester effective Fall 2013)

	<u>2012-13</u>	<u>2013-14</u>
<i><u>Residence Halls</u></i>		
<u>Traditional Residence Halls</u>		
Housing - Double	\$2,255	\$2,323
Greek Housing - Double	\$2,392	\$2,392
Housing - Single	\$3,382	\$3,485
Greek Housing - Single	\$3,588	\$3,588
<u>Premium Residence Halls</u>		
Suites – Double	\$3,196	\$3,325
Suites – Single	\$4,728	\$4,988

	<u>2012-13</u>	<u>2013-14</u>
<u>Central I and II Residence Halls</u>		
Suites – Double	-	\$3,325
Suites – Single	-	\$4,988
<u>Additional Housing Fees</u>		
Smith, Roselle, Kirwan Tower ¹		
Kirwan II, (per semester) ²	\$67	\$70

NOTES:

¹Smith, Roselle and Kirwan Tower are nine-month halls and are open during all stated academic recesses of the University (August 16, 2013 to May 5, 2014) to accommodate students who require housing during recesses.

²Students residing in Kirwan II are also charged a living-learning programmatic community fee.

<u>Royal Lexington Apartments</u>		
Per Student	-	\$3,425

Apartment Housing (per month effective July 1, 2013)

<u>Greg Page Stadium View Family Apartments</u>		
2 Bedroom	\$630	\$650
<u>Shawneetown</u>		
Efficiency	\$490	\$505
1 Bedroom	\$585	\$603
2 Bedroom	\$630	\$650
<u>Commonwealth Village</u>		
Efficiency	\$490	\$505
1 Bedroom	\$585	\$603
<u>Linden Walk/Rose Lane</u>		
Efficiency	\$490	\$505
<u>German House</u>		
Single Room	\$575	\$592
1 Bedroom	\$660	\$680

	<u>2012-13</u>	<u>2013-14</u>
<u>Summer School Housing (effective Summer 2014)</u>		
<u>4-Week Session</u>		
Double Occupancy	\$600	\$700
Single Occupancy	\$745	\$865
<u>6-Week Session</u>		
Double Occupancy	\$905	\$1,050
Single Occupancy	\$1,115	\$1,298
<u>8-Week Session</u>		
Double Occupancy	\$1,210	\$1,400
Single Occupancy	\$1,495	\$1,730

FCR 15

Office of the President
March 19, 2013

Members, Board of Trustees:

ACCEPTANCE OF INTERIM FINANCIAL REPORT FOR THE
UNIVERSITY OF KENTUCKY FOR THE SIX MONTHS ENDED
DECEMBER 31, 2012

Recommendation: that the Board of Trustees accept the University of Kentucky consolidated financial report for the six months ended December 31, 2012.

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 Mining Engineering 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 December 31, 2012, the University has recognized \$1,268,293,537 of current funds revenue representing 48 percent of the 2012-13 approved budget of \$2,638,682,000. Expenses and transfers total \$1,185,567,733 or 45 percent of the approved budget.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____



*Consolidated Financial
Statements*

For the six months ended December 31, 2012

UNIVERSITY OF KENTUCKY
A COMPONENT UNIT OF THE COMMONWEALTH OF KENTUCKY
STATEMENT OF NET ASSETS
DECEMBER 31, 2012 AND 2011

	2012	2011
ASSETS		
Current Assets		
Cash and cash equivalents	\$ 308,882,008	\$ 202,145,515
Notes, loans and accounts receivable, net	250,040,347	270,120,495
Inventories and other assets	38,830,180	37,147,152
Total current assets	597,752,535	509,413,162
Noncurrent Assets		
Restricted cash and cash equivalents	58,560,903	76,722,776
Endowment investments	1,014,363,393	897,143,470
Other long-term investments	136,607,654	148,335,059
Notes, loans and accounts receivable, net	41,071,842	43,263,329
Other noncurrent assets	16,272,144	15,871,652
Capital assets, net	1,898,934,773	1,897,830,023
Total noncurrent assets	3,165,810,709	3,079,166,309
Total assets	3,763,563,244	3,588,579,471
LIABILITIES		
Current Liabilities		
Accounts payable and accrued liabilities	123,159,500	132,245,790
Deferred revenue	58,277,440	57,338,362
Long-term liabilities - current portion	35,069,321	45,714,609
Total current liabilities	216,506,261	235,298,761
Noncurrent Liabilities		
Accounts payable and accrued liabilities	-	398,264
Long-term liabilities	775,416,680	788,009,203
Total noncurrent liabilities	775,416,680	788,407,467
Total liabilities	991,922,941	1,023,706,228
NET ASSETS		
Invested in capital assets, net of related debt	1,269,483,678	1,261,779,266
Restricted		
Nonexpendable		
Scholarships and fellowships	129,002,194	125,266,669
Research	262,633,187	259,667,139
Instruction	76,497,284	75,278,955
Academic support	83,597,125	83,510,799
Other	7,999,866	7,905,648
Total restricted nonexpendable	559,729,656	551,629,210
Expendable		
Scholarships and fellowships	53,090,860	41,205,648
Research	50,051,135	25,796,569
Instruction	42,099,090	33,201,917
Academic support	33,635,975	24,460,768
Loans	10,295,108	9,811,762
Capital projects	71,832,760	48,408,242
Debt service	6,541,267	7,441,167
Auxiliary	13,073,436	10,806,040
Other	10,049,327	18,286,439
Total restricted expendable	290,668,958	219,418,552
Total restricted	850,398,614	771,047,762
Unrestricted	651,758,011	532,046,215
Total net assets	\$ 2,771,640,303	\$ 2,564,873,243

UNIVERSITY OF KENTUCKY
A COMPONENT UNIT OF THE COMMONWEALTH OF KENTUCKY
ALL FUNDS
STATEMENT OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS
FOR THE SIX MONTHS ENDED DECEMBER 31, 2012 AND 2011

	2012	2011
OPERATING REVENUES		
Student tuition and fees	\$ 185,752,693	\$ 168,597,931
Federal grants and contracts	76,226,029	82,355,985
State and local grants and contracts	56,591,013	33,799,693
Nongovernmental grants and contracts	85,599,837	84,241,784
Recoveries of facilities and administrative costs	23,135,848	24,642,289
Sales and services	21,656,584	20,619,881
Federal appropriations	8,833,818	8,695,753
County appropriations	10,534,751	9,940,247
Hospital services	468,899,902	440,287,270
Auxiliary enterprises:		
Housing and dining	30,348,235	28,764,813
Athletics	52,501,622	51,867,396
Other auxiliaries	17,187,143	17,186,869
Other operating revenues	185,163	188,531
Total operating revenues	<u>1,037,452,638</u>	<u>971,188,442</u>
OPERATING EXPENSES		
Educational and general:		
Instruction	128,903,096	136,422,765
Research	118,611,583	122,068,456
Public service	114,275,680	113,170,208
Libraries	7,475,983	8,460,790
Academic support	41,642,194	42,143,402
Student services	17,891,954	17,389,238
Institutional support	34,814,226	37,572,527
Operations and maintenance of plant	30,882,300	35,655,688
Student financial aid	68,851,906	62,636,537
Depreciation	28,375,015	24,794,291
Total educational and general	<u>591,723,937</u>	<u>600,313,902</u>
Clinical operations	52,960,811	45,270,177
Hospital and clinics (including depreciation of \$22,325,717 in 2012 and \$21,235,011 in 2011)	432,125,364	427,809,773
Auxiliary enterprises:		
Housing and dining (including depreciation of \$2,046,932 in 2012 and \$1,613,300 in 2011)	21,618,136	22,549,896
Athletics (including depreciation of \$1,972,696 in 2012 and \$232,169 in 2011)	43,498,054	35,977,692
Other auxiliaries	13,801,085	11,273,790
Other operating expenses	164,886	652,489
Total operating expenses	<u>1,155,892,273</u>	<u>1,143,847,719</u>
Net gain (loss) from operations	<u>(118,439,635)</u>	<u>(172,659,277)</u>
NONOPERATING REVENUES (EXPENSES)		
State appropriations	156,128,100	163,532,000
Gifts and non-exchange grants	47,732,738	41,846,087
Investment income (loss)	67,018,389	(50,521,532)
Interest on capital asset-related debt	(14,478,524)	(15,402,145)
Other nonoperating revenues and expenses, net	5,447,409	3,810,268
Net nonoperating revenues (expenses)	<u>261,848,112</u>	<u>143,264,678</u>
Net income (loss) before other revenues, expenses, gains or losses	<u>143,408,477</u>	<u>(29,394,599)</u>
Capital grants and gifts	12,208,327	23,131,802
Additions to permanent endowments	1,965,254	6,222,689
Other, net	658,556	(2,819,866)
Total other revenues (expenses)	<u>14,832,137</u>	<u>26,534,625</u>
INCREASE (DECREASE) IN NET ASSETS	<u>158,240,614</u>	<u>(2,859,974)</u>
NET ASSETS, July 1	<u>2,613,399,689</u>	<u>2,567,733,217</u>
NET ASSETS, December 31	<u><u>\$ 2,771,640,303</u></u>	<u><u>\$ 2,564,873,243</u></u>

UNIVERSITY OF KENTUCKY
A COMPONENT UNIT OF THE COMMONWEALTH OF KENTUCKY
CURRENT FUNDS
STATEMENTS OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS
FOR THE SIX MONTHS ENDED DECEMBER 31, 2012 AND 2011

	2012			2011	
	Budget	Actual	%	Actual	%
OPERATING REVENUES					
Student tuition and fees	\$ 338,584,700	\$ 185,752,693	55%	\$ 168,597,931	54%
Federal grants and contracts	178,823,200	76,226,029	43%	82,313,938	48%
State and local grants and contracts	74,245,800	56,591,013	76%	33,799,693	42%
Nongovernmental grants and contracts	183,547,600	85,599,837	47%	84,241,784	47%
Recoveries of facilities and administrative costs	45,000,000	23,135,848	51%	24,642,289	57%
Sales and services	43,370,400	21,656,584	50%	20,619,881	51%
Federal appropriations	18,482,300	8,833,818	48%	8,695,753	49%
County appropriations	19,170,700	10,534,751	55%	9,940,247	54%
Hospital services	967,499,200	468,899,902	48%	440,287,270	44%
Auxiliary enterprises:					
Housing and dining	50,813,000	30,348,235	60%	28,764,813	58%
Athletics	67,805,800	52,501,622	77%	51,867,396	79%
Other auxiliaries	35,918,600	17,187,143	48%	17,186,869	48%
Total operating revenues	<u>2,023,261,300</u>	<u>1,037,267,475</u>	<u>51%</u>	<u>970,957,864</u>	<u>48%</u>
OPERATING EXPENSES					
Educational and general:					
Instruction	298,109,300	128,903,096	43%	136,422,765	45%
Research	268,972,100	118,633,088	44%	122,021,239	41%
Public service	209,807,700	114,275,680	54%	113,170,208	51%
Libraries	13,503,000	7,475,983	55%	8,460,790	61%
Academic support	114,612,100	41,642,194	36%	42,143,402	41%
Student services	41,325,000	17,800,906	43%	17,338,088	44%
Institutional support	154,058,300	34,806,962	23%	37,542,527	30%
Operations and maintenance of plant	68,520,600	27,010,432	39%	29,662,321	42%
Student financial aid	124,686,100	68,851,906	55%	62,636,537	54%
Total educational and general	<u>1,293,594,200</u>	<u>559,400,247</u>	<u>43%</u>	<u>569,397,877</u>	<u>44%</u>
Clinical operations	115,243,900	52,960,811	46%	45,270,177	42%
Hospital and clinics	916,017,700	406,426,485	44%	400,919,835	43%
Auxiliary enterprises:					
Housing and dining	39,487,300	19,448,408	49%	20,723,758	53%
Athletics	78,175,900	41,374,027	53%	35,711,184	50%
Other auxiliaries	31,144,700	13,741,319	44%	11,255,418	36%
Total operating expenses	<u>2,473,663,700</u>	<u>1,093,351,297</u>	<u>44%</u>	<u>1,083,278,249</u>	<u>44%</u>
Net gain (loss) from operations	<u>(450,402,400)</u>	<u>(56,083,822)</u>	<u>12%</u>	<u>(112,320,385)</u>	<u>25%</u>

UNIVERSITY OF KENTUCKY
A COMPONENT UNIT OF THE COMMONWEALTH OF KENTUCKY
CURRENT FUNDS
STATEMENTS OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS
FOR THE SIX MONTHS ENDED DECEMBER 31, 2012 AND 2011

	2012			2011	
	Budget	Actual	%	Actual	%
Net gain (loss) from operations	(450,402,400)	(56,083,822)	12%	(112,320,385)	25%
NONOPERATING REVENUES (EXPENSES)					
State appropriations	283,869,300	156,128,100	55%	163,532,000	54%
Gifts and non-exchange grants	55,442,600	47,042,890	85%	41,562,931	74%
Investment income	28,760,600	10,346,832	36%	7,852,810	21%
Other nonoperating revenues and expenses, net	5,858,300	5,446,612	93%	3,834,742	83%
Net nonoperating revenues (expenses)	373,930,800	218,964,434	59%	216,782,483	54%
Net income before other revenues, expenses, gains or losses	(76,471,600)	162,880,612	-213%	104,462,098	-194%
Capital grants and gifts	7,245,000	12,029,925	166%	20,018,825	240%
Other, net	10,000	31,703	317%	103,924	-
Total other revenues (expenses)	7,255,000	12,061,628	166%	20,122,749	241%
NON-GASB ACTIVITY					
Appropriated fund balance	230,427,000	-	-	-	-
Capital purchases and transfers	(86,319,200)	(48,750,528)	56%	(112,459,357)	77%
Debt service transfers	(78,649,100)	(44,144,360)	56%	(47,046,088)	62%
Noncapital transfers	3,757,900	678,452	18%	(2,184,718)	-79%
Total non-GASB current funds activity	69,216,600	(92,216,436)	-133%	(161,690,163)	-357%
INCREASE (DECREASE) IN NET ASSETS	-	82,725,804		(37,105,316)	
NET ASSETS, July 1		392,255,776		438,481,760	
NET ASSETS, December 31		<u>\$ 474,981,580</u>		<u>\$ 401,376,444</u>	
RECONCILIATION TO ANNUAL BUDGET					
Operating revenues	\$ 2,023,261,300	\$ 1,037,267,475	51%	\$ 970,957,864	48%
Nonoperating revenues	615,420,700	231,026,062	38%	236,905,232	35%
Total revenues	2,638,682,000	1,268,293,537	48%	1,207,863,096	45%
Operating expenses	2,473,663,700	1,093,351,297	44%	1,083,278,249	44%
Nonoperating expenses and transfers	165,018,300	92,216,436	56%	161,690,163	73%
Total expenses and transfers	2,638,682,000	1,185,567,733	45%	1,244,968,412	46%
INCREASE (DECREASE) IN NET ASSETS	<u>\$ -</u>	<u>\$ 82,725,804</u>		<u>\$ (37,105,316)</u>	

FCR 16

Office of the President
March 19, 2013

Members, Board of Trustees:

PATENT ASSIGNMENT REPORT

Recommendation: that the Board of Trustees accept the patent assignment report for the period October 1 through December 31, 2012.

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 THROUGH DECEMBER 31, 2012

Patents

The following assignment on behalf of the Board of Trustees of the University of Kentucky Research Foundation has been executed:

1. **U.S. Patent Application Serial Number: 13/573,709**

Filed: October 3, 2012

Title: Systems and Methods for the Production of Linear and Branched-Chain Hydrocarbons

Inventors: Joseph Chappell (Plant and Soil Sciences) and Shuiqin Wu

Technical Description: This invention relates to systems and methods for the production of linear and branched-chain hydrocarbons, such as triterpenes. In particular, the invention relates to transgenic plants for use in the production of triterpenes as an alternative source for biofuels and petrochemicals.

Summary:

Terpenes are a large and diverse class of organic compounds, and triterpenes are one type of terpenes consisting of six isoprene units with the molecular formula $C_{30}H_{48}$. Linear, branched-chain triterpenes have direct commercial value as oil bases for cosmetics and topical skin care products and as emulsifiers in food manufacturing. Triterpene processing can also yield intermediaries of value for chemical manufacturing (nylons, oils, and plastics) and combustible fuel products. Triterpenes are found naturally in bacteria, fungi, plants, and animals, but they accumulate in only select organisms and current extraction and purification processes are costly and generate low yields. This invention discloses systems, methods, and plants engineered for high-level production of triterpenes in a scalable, renewable, and sustainable production platform. This system and method includes transforming plant cells with an isolated nucleic acid encoding a farnesyl diphosphate synthase (FPS) and with an isolated nucleic acid encoding a triterpenes synthase, resulting in increased triterpene production by the plant.

2. **U.S. Patent Application Serial Number: 13/676,898**

Filed: November 14, 2012

Title: Systems and Methods for Diagnosis of *Lawsonia Intracellularis*

Inventors: Harold F. Stills (Division of Laboratory Animal Resources), David W. Horohov and Allen E. Page (Veterinary Science)

Technical Description: The invention relates to an enzyme-linked immunoabsorbent assay (ELISA) for diagnosing *Lawsonia intracellularis* infection and exposure.

Summary: *Lawsonia intracellularis* is a pathogen that affects mammals, including horses and pigs. In horses, *L. intracellularis* causes equine proliferative enteropathy (EPE), the symptoms of which include anorexia, fever, lethargy, depression, peripheral edema, weight loss, colic, and diarrhea. Weanlings and young yearlings typically contract EPE in the fall and early winter, probably from ingesting contaminated fecal matter. Diagnostics are available to detect *L. intracellularis* infections in pigs and

rabbits. This invention can be used to detect *L. intracellularis* infections in multiple species, and it can also be used to assess the effectiveness of *L. intracellularis* vaccines. The method disclosed in this invention involves taking a blood sample from a subject animal, processing the blood sample to separate whole blood cells from the plasma, and processing and purifying the whole blood cells using centrifugation and chromatography. The resulting sample is analyzed using an enzyme-linked immunoabsorbent assay (ELISA) to determine if *L. intracellularis*-specific antibodies are present. The method can also be used to test the effectiveness of *L. intracellularis* vaccines. To do so, a subject animal would be inoculated with the test vaccine, and the subject's blood would be process as described. A test vaccine would be deemed effective if *L. intracellularis*-specific antibodies were detected when the subject did not exhibit symptoms of *L. intracellularis* infections or signs of clinical disease.

3. **U.S. Patent Application Serial Number: 12/818,807**

Filed: December 17, 2012

Title: Method of Ameliorating Oxidative Stress and Supplementing the Diet

Inventors: Boyd E. Haley (Chemistry) and Diladri Narayan Gupta

Technical Description: This invention relates to a dietary supplement for mammals which would aid in the removal of heavy metals and other metals and in ameliorating oxidative stress.

Summary: The intake of heavy metals such mercury, lead, cadmium, and silver affect mammals at the cellular level. Heavy metals can bind to proteins, resulting in abnormal inhibition or activation of their biological properties. Effects include overproduction of free radicals by mitochondria, rendering cells unable to defend themselves from stress factors such as viral infections and cell death. This invention discloses a non-toxic compound with improved membrane-permeating properties, heavy-metal binding properties, and reactive oxygen species scavenging properties and which could be administered to animals as a dietary supplement.

4. **U.S. Patent Application Serial Number: 13/718,519**

Filed: December 18, 2012

Title: Nanotubes as Mitochondrial Uncouplers

Inventor: Patrick G. Sullivan (Spinal Cord and Brain Injury Research)

Technical Description: The invention provides methods of mitochondrial uncoupling as well as methods of treating disease conditions and increasing weight loss by administering nanotubes.

Summary: Mitochondria control cellular metabolism by burning sugars and fats, and manipulating mitochondrial function can facilitate weight loss. The mitochondrial membrane potential is coupled to the control of protons back into the matrix through ATP synthase. Chemical uncouplers exist that can increase basal metabolism and encourage weight loss, but these chemical couplers are difficult to control and can cause death. Thus, there is a need for a safe, controllable mitochondrial uncoupler that can separate the mitochondria respiration from the production of ATP. This invention discloses the synthesis of nanotubes designed to uncouple mitochondria and designed to self-rectify at

unsafe levels. The nanotubes' design facilitate easy passage of the nanotubes across cell membranes, makes them only active in mitochondria, and includes a coating that shuts off their function when a specific pH is reached. This invention describes nanotubes comprised of metal (gold or silver) and various natural or synthetic polymers. In addition to mammalian weight-loss applications, the disclosed invention may be useful in the treatment of cancer, traumatic brain injury, aging, spinal cord injury, and stroke.

Patent Activities

Fiscal year to date as of December 31, 2012

Number of Patent Applications	7
Number of Patents Issued	13
Patent Gross Revenue	\$3,750,815.79

SACR 1

Office of the President
March 19, 2013

Members, Board of Trustees:

ACCEPTANCE OF UNIVERSITY CREED

Recommendation: that the Board of Trustees accept the following University of Kentucky Creed.

The University of Kentucky Creed

As a Wildcat,

I promise to strive for academic excellence and freedom by promoting an environment of creativity and discovery.

I promise to pursue all endeavors with integrity and compete with honesty.

I promise to embrace diversity and inclusion and to respect the dignity and humanity of others.

I promise to contribute to my University and community through leadership and service.

I promise to fulfill my commitments and remain accountable to others.

We believe in the University of Kentucky and will forever honor our alma mater.

Background: In August 2012, President Capilouto asked the President of the Student Government Association to explore the development of a student or university creed. A 17-member committee was formed with representation from faculty, staff, students, alumni and the Board of Trustees.

Core values of integrity, academic excellence and academic freedom, mutual respect and human dignity, embracing diversity, sense of community, and civic responsibility/service to society were cornerstones of the creed. The committee also tried to include ideas of accountability, collegiality, university community, service to global society, current student and alumni applicability, and truthfulness.

Action taken:



Approved

☐ Disapproved

☐ Other

UHCCR 1

Office of the President
March 19, 2013

Members, Board of Trustees:

APPROVAL OF CREATION AND FUNDING OF “BEYOND BLUE CORPORATION”
FOR DEVELOPMENT AND COORDINATION OF HEALTH CARE PROGRAMS
CONDUCTED OUTSIDE OF KENTUCKY

Recommendation: that the Board of Trustees authorize the President and Executive Vice President for Health Affairs to incorporate and fund a new not-for-profit corporation (“Beyond Blue”) to coordinate and develop operational activities of the University of Kentucky for its health care programs conducted outside of the Commonwealth of Kentucky, while supporting its missions of teaching, research and service. A Board of Directors comprised exclusively of senior University officers will govern Beyond Blue.

Background: The University is increasingly performing the operational activities of its health care programs outside of Kentucky. For example, the recent agreement to provide transplant services and other specialty medical services to public employees in West Virginia necessitates that University faculty and staff perform some pre-op and post-op activities in West Virginia even though the actual surgery takes place in Lexington. Beyond Blue will provide a utility mechanism to allow the University to coordinate its out of state activities related to health care programs without compromising the University’s sovereign immunity or subjecting the University to regulation by other States. The role of Beyond Blue is similar to that of the UK/Norton Healthcare Joint Corporation, which the Board of Trustees authorized at its October 25, 2011 meeting. However, unlike that entity, UK will control Beyond Blue in all respects.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

ARTICLES OF INCORPORATION

OF

BEYOND BLUE CORPORATION

The undersigned hereby executes these Articles of Incorporation of Beyond Blue Corporation, and certifies that:

ARTICLE I

The name of the corporation shall be BEYOND BLUE CORPORATION.

ARTICLE II

The corporation shall have perpetual succession.

ARTICLE III

1. The purposes for which the corporation is organized are:

(a) To coordinate and develop operational activities of the University of Kentucky for its health care programs that would be conducted outside of the Commonwealth of Kentucky, while supporting its missions of teaching, research and service.

(b) In furtherance of the purposes stated in Paragraph 1(a) of this Article, to use and apply the whole or any part of income and principal exclusively for charitable, scientific or educational purposes at or for the benefit of the University of Kentucky.

2. No part of the net earnings of the corporation shall inure to the benefit of any director, officer of the corporation, or any private individual (except that reasonable compensation may be paid for services rendered to enable the corporation to provide the services for which it has been organized or otherwise affecting one or more of its purposes), and no director, officer of the corporation, or any private individual shall be entitled to share in the distribution of any of the corporate assets on dissolution of the corporation. No substantial part of the activities of the corporation shall be the carrying on of propaganda, or otherwise attempting to influence legislation, and the corporation shall not participate in, or intervene in (including the publication or distribution of statements) any political campaign on behalf of any candidate for public office.

3. Notwithstanding any other provision of these Articles, the corporation shall not conduct or carry on any activities not permitted to be conducted or carried on by an organization exempt under Section 501(c)(3) of the Internal Revenue Code and its Regulations as they now exist or as they may hereafter be amended, or by an organization contributions to which are deductible under Section 170(c)(2) of such Code and Regulations as they now exist or as they may hereafter be amended, or a corporation exempt from regulations as a private Corporation under section 509(a)(3) of such Code and Regulations as they now exist or may hereafter be amended.

4. In the event of the dissolution of the corporation, the Board of Directors shall cause the assets of the corporation to be applied and distributed as follows: (a) all liabilities and obligations of the corporation shall be paid, satisfied and discharged, or adequate provisions shall be made therefor; (b) assets held by the corporation upon a condition which occurs by reason of the dissolution, shall be returned, transferred or conveyed in accordance with such requirements; and (c) all of the remaining assets of the corporation shall be transferred or conveyed to the Board of Trustees of the University of Kentucky, or its successor, to be used for medicine, education and research, if said University, or its successor, shall qualify as a public corporation and an instrumentality of the State of Kentucky or as an exempt organization under Section 501(c)(3) of the Internal Revenue Code of 1986, as amended; and if said University or its successor shall not so qualify, then to some other organization or organizations organized and operated exclusively for charitable, educational, or scientific purposes in the field of medicine, research or education as shall at the time qualify as an exempt organization or organizations under Section 501(c)(3) of the Internal Revenue Code of 1986, as amended.

ARTICLE IV

As a means of accomplishing the foregoing purposes, the corporation shall have the following powers, in addition to the general powers provided by statute:

1. To accept, acquire, receive, take, and hold by assignment, bequest, devise, gift, purchase, exchange, lease, transfer, judicial order or decree, or otherwise, for any of its objects and purposes, any property, both real and personal, of whatever kind, nature or description and wherever situated.

2. To sell, exchange, convey, mortgage, lease, transfer, or otherwise dispose of, any such property, both real and personal, as the objects and purposes of the corporation may require, subject to such limitations as may be prescribed by law.

3. To borrow money, and from time to time, to make, accept, endorse, execute and issue bonds, debentures, promissory notes, bills of exchange and other obligations of the corporation for monies borrowed or in payment for property acquired or for any of the other purposes of the corporation, and to secure the payment of any such obligations by mortgage, pledge, deed, indenture, agreement or other instrument of trust, or by other lien upon, assignment of, or agreement in regard to all or any part of the property, rights or privileges of the corporation, wherever situated, whether now owned or hereafter to be acquired.

4. To invest and reinvest its funds as its Board of Directors shall deem advisable, subject to the limitations and conditions contained in any bequest, devise, or gift, provided such limitations and conditions are not in conflict with the provisions of Section 501(c)(3) of the Internal Revenue Code and its Regulations as they now exist or as they may hereafter be amended.

5. The corporation shall have the power to make payments for the purposes of the corporation herein referred to out of either the principal or the income of the corporation, and to accumulate income from the property in their possession as such, provided that such accumulations are not unreasonable in amount, duration, use or investment, to such an extent that

such accumulations result in a denial to the corporation of exemption under Section 501(c)(3) of the Internal Revenue Code and its Regulations as they now exist or as they may hereafter be amended, or a denial to the corporation of the benefits of exemption from the payment of income taxes as provided under any applicable laws and statutes of the United States, whether now in effect or hereafter adopted.

6. In general, and subject to such limitations and conditions as are or may be prescribed by law, to exercise such other powers which now are hereafter may be conferred by law upon a corporation organized for the purposes hereinabove set forth, or necessary or incidental to the powers so conferred, or conducive to the attainment of the purposes of the corporation, subject to the further limitation and condition that, notwithstanding any other provisions of this certificate, only such powers shall be exercised as are in furtherance of the tax-exempt purposes of the corporation and as may be exercised by an organization exempt under Section 501(c)(3) of the Internal Revenue Code and its Regulations as they now exist or as they may hereafter be amended.

ARTICLE V

The corporation shall have no members.

ARTICLE VI

The address of the initial registered office of the corporation in this State shall be: 301 Main Building, University of Kentucky, Lexington, Kentucky 40506-0032 and the name and address of its initial registered agent shall be: William E. Thro, 301 Main Building, University of Kentucky, Lexington, Kentucky 40506-0032. The address of its principal office is 317 Wethington Building, University of Kentucky, Lexington, Kentucky 40536-0200.

ARTICLE VII

The initial Board of Directors shall consist of nine (9) members, as set forth below, and who constitute the incumbents for the University of Kentucky offices noted below, said members shall serve until their successors are so appointed as provided in the By-Laws of the corporation. The names, offices and addresses of the persons who are to serve as initial directors are:

<u>Name and Office</u>	<u>Address</u>
Michael Karpf, M.D. Executive Vice President for Health Affairs	317 Wethington Building University of Kentucky Lexington, KY 40536-0200
Timothy S. Tracy, Ph.D. Provost (Interim)	105A Main Building University of Kentucky Lexington, KY 40506-0032

Eric N. Monday
Executive Vice President for
Finance and Administration

107D Main Building
University of Kentucky
Lexington, KY 40506-0032

William E. Thro, Esq.
General Counsel

301 Main Building
University of Kentucky
Lexington, KY 40506-0032

Murray B. Clark
Chief Financial Officer (Interim)
UKHealthCare

317 Wethington Building
University of Kentucky
Lexington, KY 40536-0200

Mark D. Birdwhistell
Chief External Affairs Officer
UKHealthCare

317 Wethington Building
University of Kentucky
Lexington, KY 40536-0200

William Swinford
Chief of Staff to the President

101 Main Building
University of Kentucky
Lexington, KY 40506-0032

Medical Faculty At Large
UK Health Care

Kimberly Wilson
Chief Human Resources Officer

101 Scoville Hall
University of Kentucky
Lexington, KY 40506-0064

ARTICLE VIII

The names and mailing addresses of the incorporators are:

<u>Name</u>	<u>Address</u>
Michael Karpf, M.D	317 Wethington Bldg University of Kentucky Lexington, KY 40506-0200
William E. Thro, Esq.	301 Main Building University of Kentucky Lexington, KY 40506-0032

ARTICLE IX

The liability of each and all of the directors of the corporation shall be and is hereby limited to the greatest extent permitted by law and no director of the corporation shall be

personally liable to the corporation for monetary damages for a breach of his duties as a director except for the following (which exceptions shall be construed as narrowly as legally permissible):

- (i) for any transaction in which the director's personal financial interest is in conflict with the financial interests of the Corporation;
- (ii) for acts or omissions not in good faith or which involve intentional misconduct or are known to the director to be a violation of law; or
- (iii) for any transaction from which the director derived an improper personal benefit.

ARTICLE X

These Articles of Incorporation may be amended only by vote of two thirds of the Directors currently in office at a meeting specifically called for purposes of amending said Articles.

IN WITNESS WHEREOF, the undersigned incorporators of the corporation hereby execute these Articles of Incorporation this ____ day of _____, 2013.

BEYOND BLUE CORPORATION.

Michael Karpf, M.D., Incorporator

William E. Thro, Incorporator

010348.006842/4090507.4

EFFECTIVE DATE: _____

BY-LAWS
OF
BEYOND BLUE CORPORATION

ARTICLE I.

NAME, DEFINITIONS AND REGISTERED AGENT

1. **Name.** The name of the corporation is Beyond Blue Corporation, (the “Corporation”).

2. **Definitions.** The following terms shall have the meanings set forth below when used in these By-laws.

(a) “Articles of Incorporation” shall mean the Corporation’s articles of incorporation on file with the Kentucky Secretary of State.

(b) “Board of Directors” shall mean the board of directors of the Corporation.

(c) “By-laws” shall mean the by-laws of the Corporation.

(d) “Code” shall mean the Internal Revenue Code and its regulations as they now exist or as they may hereafter be amended.

(e) “Corporation” shall have the meaning provided in Article I, paragraph 2, e.

(f) “Designated Location” shall mean the location designated by the President of the Corporation from time to time at which regular meetings of the Board of Directors are to be held. The Designated Location will be communicated in such a manner that the Members of the Board of Directors will have a reasonable opportunity to know the location of each regular meeting of the Board of Directors

(g) “Executive Director for Business Operations” shall mean the person appointed in such capacity pursuant to Article VI, paragraph 4.a.

(h) “Members of the Board of Directors” shall mean the persons who are to serve as members of the Board of Directors of the Corporation pursuant to Article IV, paragraph 2.

(i) “Other Advisory Committees” shall mean any committee or committees the President of the Corporation may establish pursuant to Article XIII, paragraph 2 from time to time; provided, however, none of the Standing Committees shall be considered to be “Other Advisory Committees”.

(j) “Standing Committees” shall mean the standing committees referenced in Article XIII, paragraph 1.

(k) “University” shall mean the University of Kentucky.

(l) “UK Healthcare” shall mean the University’s healthcare delivery system including the patient care programs of the colleges of the University Medical Center and education and research activities related to such patient care programs.

3. **Interpretation Generally.** In these By-laws, unless a clear contrary intention appears:

(a) the definition of terms herein shall apply equally to the singular and plural forms of the terms defined;

(b) any pronoun shall include the corresponding masculine, feminine and neuter forms;

(c) “herein,” “hereafter,” and words of similar import shall be deemed references to the By-laws as a whole and not to any particular Article, paragraph or other provision of the By-laws;

(d) the words “include”, “includes” and “including” shall be deemed to be followed by the phrase “without limitation”;

(e) “or” is used in the inclusive sense of “and/or”;

(f) reference to a paragraph means the indicated numerical paragraph of the By-laws and reference to “Article” means a portion of the By-laws designated as an Article;

(g) the definitions will be applied at the applicable time so that, by way of example, a reference to the holder of a particular position means the holder of that position at the applicable time; and,

(h) headings in these By-laws are inserted for convenience only and do not constitute a part of these By-laws.

4. **Registered Office; Registered Agent.** The Corporation shall maintain a registered office and registered agent in Kentucky in accordance with the applicable requirements of Chapter 273 of the Kentucky Revised Statutes. The Board of Directors may change the name of the registered agent and/or address of the registered office at any time(s) the Board of Directors desires.

ARTICLE II.

OBJECTIVES AND PURPOSES

The Corporation is a support organization for the University. The purposes for which the Corporation is organized are:

1. **Primary Purpose.** To coordinate and develop programs supporting or complimentary to the University and which support UK Healthcare to be conducted outside of the Commonwealth of Kentucky, while supporting missions of teaching, research and service of the University.

2. **Related Purpose.** In furtherance of the purposes stated in this Article II, paragraph 1, to use and apply the whole or any part of income and principal exclusively for charitable, scientific or educational purposes at or for the benefit of the University.

ARTICLE III.

MEMBERSHIP

The Corporation shall have no members.

ARTICLE IV.

DIRECTORS

1. **Management and Directors.** The affairs of the Corporation shall be conducted and managed by the Board of Directors. Except as otherwise provided by applicable law, the Articles of Incorporation or these By-laws, the Board of Directors may make decisions and take actions by either of the following:

(a) **Vote at Meeting.** The affirmative vote of a majority (or such greater number as may be required by these By-laws or law in any particular instance) of the Members of the Board of Directors present at a duly called and held meeting of the Board of Directors shall constitute the action of the Board of Directors.

(b) **Consent without a Meeting.** The written consent (or counterparts of a consent) signed by each of the Members of the Board of Directors in a writing setting forth the action to be taken shall constitute the action of the Board of Directors. Such consent shall have the same force and effect as a unanimous vote at a duly called and held meeting of the Board of Directors.

2. **Members of the Board of Directors.** The Members of the Board of Directors shall consist of the nine employees of the University holding the below listed offices whether on a permanent or temporary basis, The University offices are: Executive Vice President for Health Affairs; Executive Vice President for Finance and Administration; Provost; General Counsel; Chief Financial Officer of UK HealthCare; Chief External Affairs Officer of UK HealthCare, Chief of Staff to the University President, Chief Human Resources Officer and a member at large appointed by the University President from the College of Medicine faculty. In the event of a vacancy in one of the above offices for which no temporary or permanent replacement has been named or if one of the said offices shall cease to exist, the President of the University shall appoint replacement Directors, as needed, and subject to approval by the University Board of Trustees.

3. **Disqualified Members of the Board of Directors as defined by IRS.** Notwithstanding anything in these By-laws to the contrary, if at any time fifty percent (50%) or more of the voting power of the Board of Directors is in the hands of individuals who are disqualified persons, as defined in Section 509(a)(3)(C) and Section 4946 of the Code, then as many positions on the Board of Directors shall immediately and automatically become vacant as is necessary to give voting control to other than disqualified persons.

ARTICLE V.

MEETINGS AND QUORUM

1. **Bi-Monthly Meetings.** The Board of Directors shall hold regular bi-monthly meetings. The regular bi-monthly meetings will be held at the Designated Location at 12:00 noon on the Second Friday of each January, March, May, July, September and November unless (a) rescheduled by the President of the Corporation, Secretary of the Corporation or Executive Director for Business Operations and (b) written notice has been provided to each Member of the Board of Directors at least three (3) days before the date of such rescheduled meeting. Such written notice shall state the date, the time and the place of such rescheduled meeting and shall be hand delivered or sent to each Member of the Board of Directors by e-mail, facsimile or mail to the address in the records of the Corporation. No notice of any regular meeting to be held at the Designated Location on the second Friday of any January, March, May, July, September or November shall be required to be given to any person. Notwithstanding anything contained herein to the contrary, the majority of the Board of Directors present at any duly called and held meeting of the Board of Directors may amend these By-laws so as to change the time, frequency, or place of such regular meetings.

2. **Special Meetings.** Special meetings may be called at any time by the President of the Corporation or any two (2) Members of the Board of Directors. The President of the Corporation, Secretary of the Corporation or Executive Director for Business Operations shall provide written notice to each Member of the Board of Directors at least eight (8) hours before the time of any special meeting, provided, however, if such notice is mailed then such notice will be provided at least three (3) business days before the time of any special meeting. Such written notice shall state the date, the time and the place of such meeting and shall be hand delivered or sent to each Member of the Board of Directors by e-mail, facsimile or mail to the address in the records of the Corporation.

3. **Waiver of Notice.** Members of the Board of Directors may waive notice of any rescheduled regular meeting or special meeting, and attendance of a Member of the Board of Directors shall constitute a waiver of such notice of such meeting, except where such Member of the Board of Directors attends such meeting for the express purpose of objecting to the transaction of any business because the meeting is not lawfully called or convened.

4. **Quorum.** A quorum for the transaction of business at all meetings of the Board of Directors shall consist of a majority of the Board of Directors.

5. **Voting.** Each Member of the Board of Directors shall be entitled to one (1) vote at each meeting and must be present in person to vote except as otherwise herein provided or allowed in any specific instance by the Board of Directors.

6. **Majority Vote for Actions of the Board of Directors.** In the event a quorum is present, a majority vote of the Board of Directors present shall constitute the act of the Board of Directors except as herein otherwise specifically stated herein or in the Articles of Incorporation.

ARTICLE VI.

OFFICERS

1. **Officers.** The officers of the Corporation shall be a President, a Vice-President, a Secretary, a Treasurer and any additional officers appointed by the Board of Directors pursuant to Article VI, paragraph 4.

2. **President.** The University Executive Vice President for Finance and Administration shall be the President of the Corporation and shall preside at meetings of the Board of Directors and act as chair of the Board of Directors, performing such duties as custom and parliamentary procedure require. The President of the Corporation shall exercise such other authority and carry out such duties as may be authorized by the Board of Directors. The President of the Corporation shall conduct all meetings of the Board of Directors in the manner prescribed in The Standard Code of Parliamentary Procedure by Alice Sturgis. The President of the Corporation may cause the Corporation to schedule, call and hold meetings of Eligible Faculty from time to time for the purpose of informing Eligible Faculty of matters relating to the Corporation and its purposes.

3. **Other Elected Officers.** The Board of Directors shall elect from its membership a Vice-President, Secretary and Treasurer. Each elected officer shall serve a term of office of one (1) year (but without limitation on terms) and shall serve until a successor is duly elected and qualified. Any elected officer may be removed from office, with or without cause, by the Board of Directors. A vacancy in any office arising from any cause may be filled by the Board of Directors from its members for the unexpired portion of the term. The offices of the Secretary of the Corporation and Treasurer of the Corporation may be held by the same person.

(a) **Vice-President.** The Vice-President of the Corporation shall preside at the meetings of the Board of Directors in the absence of the President of the Corporation and shall carry out all the required duties of the President of the Corporation in the absence of the President of the Corporation. While serving as acting President, the Vice-President shall have all powers of the President.

(b) **Secretary.** The Secretary of the Corporation shall have responsibility for preparing minutes of meetings of the Board of Directors and for authenticating records of the Corporation. The Secretary of the Corporation shall perform such other record keeping duties as is customary and as the Board of Directors shall require.

(c) **Treasurer.** The Treasurer of the Corporation will, following the review and approval of the Board of Directors, establish bank accounts in the name of the Corporation, review procedures used to safeguard the assets of the Corporation, authorize the investment in securities or the sale of assets and arrange for an annual audit of the books of the Corporation. The Treasurer of the Corporation or other person or persons authorized by the Board of Directors

will countersign checks drawn on the Corporation for amounts in excess of an amount to be fixed by the Board of Directors.

(d) *The President and Elected Officers must be a Member of the Board of Directors.* A person may serve as an elected officer only during the period such person is a Member of the Board of Directors.

4. **Appointed Officers and Staff.**

(a) *Executive Director.* The Board of Directors shall have the power to appoint and remove at any time or times an Executive Director who, if appointed, shall serve at their pleasure at a salary level established by the Board of Directors. The Executive Director need not be a Member of the Board of Directors. If appointed, the Executive Director for shall:

(i) be responsible for the administrative and financial affairs and business operation of the Corporation;

(ii) consult with the legal and tax counsel of the Corporation;

(iii) represent the Corporation in civic activities as required;

(iv) annually submit a budget and any supporting materials forming an operational plan for the following year;

(v) if requested by the President of the Corporation, submit progress reports on the implementation of the operational plan at any regular or special meeting of the Board of Directors;

(vi) be responsible for the distribution of the minutes of all meetings of the Board of Directors to the Board of Directors and the Advisory Directors; and

(vii) perform any other functions and duties required by the Board of Directors.

The Executive Director for Business Operations may be assisted in discharging these duties by other subordinate staff as may be approved by the Board of Directors. The Executive Director for Business Operations will be an invitee to all regular and special meetings of the Board of Directors except as the Board of Directors may otherwise determine from time to time. No meeting shall be invalid based on the failure of the Board of Directors to invite the Executive Director for Business Operations to such meeting.

(b) *Additional Staff.* The Board of Directors shall authorize and appoint such other officers, agents and employees as it may deem proper with such powers and to perform such acts or duties on behalf of the Corporation as the Board of Directors may see fit, so far as may be consistent with the Articles of Incorporation, the By-laws, all applicable laws and in keeping with any agreements between the Corporation and the University.

5. **Duties.** The officers of the Corporation shall have such other duties (in addition to those specified above) as may be provided in the By-laws as well as additional duties assigned by the Board of Directors from time to time.

ARTICLE VII.

COMPENSATION

The Board of Directors, President of the Corporation, Vice-President of the Corporation, Secretary of the Corporation, and Treasurer of the Corporation shall receive no compensation for their services to the Corporation, but may receive reimbursement for reasonable expenses incurred in conducting the business of the Corporation.

ARTICLE VIII.

AUDIT

The books of this Corporation shall be open at all times to audit by representatives designated by the Treasurer of the University. Such books shall be audited at least annually by an auditor appointed by the Board of Directors and duly qualified to render an opinion relative to the financial statements of the Corporation in accordance with generally accepted accounting principles consistently applied.

ARTICLE IX.

PROHIBITED ACTIVITIES

Notwithstanding any other provision of these By-laws, no director, officer, employee, agent or representative of this Corporation shall take any action or carry on any activity on behalf of the Corporation, or permit the Corporation to take any action or carry on any activity not permitted to be taken or carried on by (a) an organization exempt under Section 501(c)(3) of the Code, (b) by an organization contributions to which are deductible under Section 170(c)(2) of such Code or (c) an organization defined as a private foundation under Section 509(a)(3) of the Code. Further, no Member of the Board of Directors, officer, employee, agent or representative of this Corporation shall take any action or carry on any activity which would cause the Corporation to be engaged in the corporate practice of medicine.

ARTICLE X.

CONTRACTS, LOANS, CHECKS AND DEPOSITS

1. **Contracts.** The Board of Directors may authorize any officer or officers, agent or agents, to enter into any contract and to execute and deliver any instrument in the name of or on behalf of the Corporation, and such authority may be general or confined to the specific instances.

2. **Loans and Indebtedness.** No loan shall be contracted on behalf of the Corporation and no evidence of an indebtedness for borrowed money shall be issued in its name except on the authorization of the Board of Directors.

3. **Checks, Drafts and Deposits.** Checks, drafts and deposits of funds of the Corporation not otherwise employed shall be deposited from time to time to the credit of the Corporation in such banks, trust companies or other depositories as the Board of Directors may select. All checks or other orders for the payment of money, notes or other evidence of indebtedness, issued in the name of the Corporation, shall be signed by such officer or officer or agent or agents of the Corporation in such manner as shall from time to time be determined by resolution of the Board of Directors.

ARTICLE XI.

COMMITTEES

1. Standing Committees.

(a) **Establishment of Standing Committees.** The Board of Directors shall establish the following standing committees: (i) a Finance and Audit Committee, (ii) a Compliance Committee and (iii) a Health Care Practice Committee. All Standing Committees shall report to the Board of Directors.

(b) **Membership of Standing Committees.** All members of all Standing Committees must be employees of UK or the Corporation. Members of the Standing Committees appointed during the calendar year in which these By-laws are adopted shall have terms ending at the end of the day on the first June 30th which follows the appointment by at least one year. Members of the Standing Committees appointed after the calendar year in which these By-laws are adopted shall have terms ending at the end of the day on the first June 30th following the effective date of their appointment. Except as otherwise provided in these By-laws, the members of all Standing Committees shall serve until the end of their term, and thereafter until their successors have been duly elected or appointed, as applicable.

The Board of Directors shall decide the number and identity of the members for each Standing Committee, except that (i) each Standing Committee shall have as members at least one (1) Members of the Board of Directors, (ii) the Compliance Committee each shall include at least two (2) Members of the Board of Directors, which shall include at least one (1) of the officers of the Corporation referenced in Article VI, paragraph 1, and (iii) the chairperson of each of the Standing Committees appointed pursuant to Article V, paragraph 1.c., shall be a member of the Standing Committee he or she chairs. In appointing any member of any Standing Committee, the Board of Directors should consider the likelihood that the person to be appointed will regularly attend meetings or otherwise actively participate in committee activities.

(c) **Chairpersons of Standing Committees.** With respect to vacancies as to the chairperson of any Standing Committee, the President of the Corporation shall propose a nominee to be confirmed by the Board of Directors at the next meeting, thereof. Notwithstanding the foregoing, (a) a chair of any Standing Committee may be removed by the Board of Directors at any time and (b) a chair of any Standing Committee who ceases being a Director of the Corporation or employee of the University shall automatically be removed as a chair of the Standing Committee. In the event of a vacancy in the chair of any Standing Committee, the President may designate a successor to serve until the next regular meeting of the

Board of Directors. The chairperson of each Standing Committee shall, if present, preside at all meetings of that Standing Committee.

(d) Functions of Standing Committees. The Standing Committees shall perform the following functions:

(i) *Compliance Committee.* The Compliance Committee will seek to monitor and provide for compliance with (i) all applicable governmental (whether federal, state or local) requirements (including all applicable laws, regulations, ordinances, orders and other requirements) relating to billing, documentation, refunds and other matters with respect to payment for services and items provided and the obligations (of the Corporation and providers for which or whom the Corporation collects or administers funds) to payors relating to such matters and (ii) all other designated (by the President of the Corporation or Board of Directors) governmental (whether federal, state or local) requirements (including all applicable laws, regulations, ordinances, orders and other requirements). The Compliance Committee shall also analyze and make recommendations to the Board of Directors as to such other matters as the Board of Directors may from time to time request. The Corporation desires that a sense of urgency and importance exists relative to all compliance related matters; accordingly, the Compliance Committee should promptly report any concerns or needs for support to the Board of Directors. The Board of Directors shall use its best efforts to be available to promptly address any concerns of or promptly receive any reports from the Compliance Committee or any compliance officer of the University or the Corporation, and the Board of Directors shall, whenever requested by any UK Healthcare compliance officer, invite the appropriate UK Healthcare compliance officer or other appropriate University representatives to meetings of the Board of Directors and whenever appropriate call special meetings of the Board of Directors to address concerns of the Compliance Committee or any compliance officer of the University or the Corporation.

(ii) *Finance and Audit Committee.* The Finance and Audit Committee shall (a) assist the Board of Directors in fulfilling its oversight responsibilities regarding the Corporation's systems of internal controls by reviewing financial information and practices and exercising responsibilities for the audit process, (b) seek to monitor and protect the Corporation's status as a 501(c)(3) corporation, help the Corporation avoid conduct which would result in the imposition of penalties or sanctions against the Corporation or any University employee relating to the Corporation's 501(c)(3) status and seek to provide for compliance with all governmental requirements relating to such status, (c) work with outside auditors and make recommendations to the Board of Directors as to what firm should serve as outside auditor, (d) make recommendations to the Board of Directors relative to the disclosure of conflicts of interest by Board of Directors and officers of the Corporation, (e) monitor the efficiency of the billing practices of the corporation, (f) make budgetary recommendations to the Board of Directors, (g) review and make recommendations to the Board of Directors regarding overhead, allocations for any health plan or other shared revenue and matters related to policies for exemption from or reduction of the Corporation's charges, (h) otherwise assist the Board of Directors in fulfilling its oversight responsibilities regarding the Corporation's financial operations, reviewing financial information and exercising responsibility for the investing, budgeting and financial reporting processes and (i) analyze and make recommendations to the Board of Directors as to such other matters as the Board of Directors may from time to time request. The Corporation desires that a sense of urgency and importance exist relative to all compliance related matters; accordingly, the

Finance and Audit Committee should promptly report any concerns or needs for support to the Board of Directors.

(iii) *Health Care Practice Committee.* The Health Care Practice Committee shall provide advice and make recommendations to the Board of Directors and UK Healthcare regarding (a) managed and contracted care and (b) out of state based practices and other out of state outreach activities of any UK HealthCare. The Health Care Practice Committee shall serve as the organizational structure to assist in developing and implementing out of state practice activities and outreach initiatives or strategies. The Health Care Practice Committee shall review all out of state managed care contracts for financial and operational impact on the Corporation and UK Healthcare, and shall review the responsibilities of the Corporation under the provisions of each proposed contract in advance and determine the Corporation's ability to carry out the provisions of the contract. The Health Care Practice Committee shall work closely and cooperatively with UK Healthcare committees, groups, or individuals that deal with issues related to managed and contracted care and with employment by the Corporation of University health care providers to deliver the same. The Health Care Committee shall also analyze and make recommendations to the Board of Directors as to such other matters within its general purview as the Board of Directors may from time to time request.

(e) *Meetings and Reports.*

(i) *Committee Meetings.* Regular meetings of each Standing Committee will be held at such times, dates and places as determined by the Standing Committee. Each Standing Committee shall have at least one (1) meeting each calendar quarter and report to the Board of Directors at least once each fiscal year. Each of the Standing Committees shall also meet from time to time on call of the chairperson or any two (2) or more other members of that Standing Committee. No notice shall be required for regular meetings to the extent held at a time, date and place previously determined by the Standing Committee. With respect to other meetings or rescheduled regular meetings, written notice stating the place, day and time, shall be hand delivered or sent to each committee member by e-mail, facsimile or mail to the address in the records of the Corporation. No notice of the time or place of any meeting of any Standing Committee need to be given to any member who attends in person or who either before or after the holding of such meeting waives such notice. No notice need be given of an adjourned meeting of any Standing Committee. Meetings of the Standing Committee may be held at such place or places as determined by the chairperson; provided, however, no meetings shall be held outside Fayette County, Kentucky, unless approved by the Standing Committee and the President of the Corporation. Where appropriate communication facilities are reasonably available, any member of any Standing Committee shall have the right to participate in all or any part of the meeting by means of teleconference or any other means of communication by which all persons participating in the meeting are able to hear each other.

(ii) *Committee Reports.* Each Standing Committee shall report to the Board of Directors at any regular or special meeting of the Board of Directors as determined appropriate by the Standing Committee or its Chair.

(f) Removal and Replacement.

(i) *Committee Vacancies.* Each member of each Standing Committee shall serve until the earlier of the end of his or her term (and thereafter until his or her successor is elected and qualified), the date he or she is no longer an employee of UK or the Corporation or the time he or she dies, resigns, is removed, refuses to serve, becomes ineligible to serve, is unable to serve, or is eliminated for any other cause. Whenever a vacancy occurs with respect to a member of any Standing Committee for any such reason, the President of the Corporation, as promptly as possible following the occurrence of such vacancy, shall appoint a successor whose term of service on the committee shall end at the next regular meeting of the Board of Directors, at which time the Board of Directors shall elect and designate a successor. If a member of a Standing Committee is a Member of the Board of Directors and ceases being a Member of the Board of Directors, but continues being an employee at UK, such member may continue (subject to the will of the Board of Directors) to serve on the Standing Committee unless a change is required to ensure that there are sufficient Members of the Board of Directors and Eligible Members of the Faculty on such Standing Committee.

(ii) *Elimination, Reduction in Size or Removal.* The Board of Directors may eliminate, reduce the size of or remove any person as a member of any Standing Committee at any time, with or without cause. The Board of Directors may increase the size of any committee at any time.

(iii) *Resignation from Committee.* Any member of any Standing Committee may resign from the Standing Committee at any time by giving written notice to the President of the Corporation, and unless otherwise specified therein, the acceptance of such resignation shall not be necessary to make it effective.

2. **Advisory Committees.** The Board of Directors may create or terminate any Other Advisory Committees from time to time (and the Board of Directors or, if authorized by the Board of Directors, the President of the Corporation may add to, eliminate, reduce or change such Other Advisory Committees from time to time) to address such matters as the Board of Directors or President of the Corporation determines appropriate. With respect to the Other Advisory Committees contemplated by this paragraph 2, the Board of Directors or, if authorized by the Board of Directors, the President of the Corporation may (a) either appoint the entire committee or may appoint a chairperson or chairpersons and permit the chairperson or chairpersons to form the committee or (b) remove any or all members at any time or times. These Other Advisory Committees will report directly to the Board of Directors. Members of the Other Advisory Committees are not required to be Members of the Board of Directors of the Corporation. Any member of any Other Advisory Committee may resign from the Other Advisory Committee at any time by giving written notice to the President of the Corporation, and unless otherwise specified therein, the acceptance of such resignation shall not be necessary to make it effective. Notwithstanding anything in these By-laws to the contrary, the term "Other Advisory Committees" does not include any of the Standing Committees.

3. **Conduct of Business; Quorum; Voting.** Each committee may determine procedural rules for meeting and conducting its business to the extent not inconsistent with the By-laws or applicable law. A majority of the members shall constitute a quorum unless the committee shall consist of one (1) or two (2) members, in which event all (one or both, as the

case may be) members shall constitute a quorum; and all matters shall be determined by a majority vote of the members present. Actions may be taken by any committee without a meeting if all members consent in writing, and the writing or writings are filed with the minutes of the proceedings of the committee.

4. **Support for Committees.** The Corporation's legal counsel or accountants may serve, when requested, as staff to reasonably assist the committees contemplated by this Article XI. The Corporation shall provide such other requested staff support to the committees as may be reasonable and appropriate.

ARTICLE XII.

AMENDMENTS

Except as herein provided, these By-laws may be amended, altered, or repealed only by either (a) unanimous consent of the Board of Directors pursuant to Article IV, paragraph 1.b. or (b) the vote of at least a two-thirds (2/3) majority of the Board of Directors present at any duly held regular or special meeting of the Board of Directors in which written notice has been provided to each Member of the Board of Directors at least three (3) days before the date of such meeting. Such written notice shall state the date, the time and the place of such meeting, shall state that the purpose of such meeting is to consider changing the By-laws at such meeting and the written notice shall be hand delivered or sent to each Member of the Board of Directors by e-mail, facsimile or mail to the address in the records of the Corporation.

Fall 2013 Board of Trustees Meeting Schedule (Revised)

Monday/Tuesday - September 9 & 10, 2013

Friday/Saturday - October 25 & 26, 2013 Retreat

Monday/Tuesday - December 16 & 17, 2013

2014 Schedule for Board of Trustees Meetings

Thursday/Friday - January 30 & 31, 2014

Monday/Tuesday - March 31 & April 1, 2014

Thursday/Friday - May 8 & 9, 2014

Monday/Tuesday - June 9 & 10, 2014

Thursday/Friday - September 4 & 5, 2014

(October Retreat and December 2014 Meetings TBD)