Irregularities

TENTATIVE AGENDA

Meeting of the Board of Trustees
University of Kentucky
1:00 P.M.
June 19, 2001

Invocation

Roll Call

Approval of Minutes - (Consent)

President's Report and Action Items

PR 1 President's Report to the Trustees
- A. Operating Budget for 2001-02

PR 2 Personnel Actions

PR 3 Central Administration
- A. Appointment of Board of Directors – University of Kentucky Research Foundation
- B. Naming University Building – Mechanical Engineering
- C. Authorization to Proceed with the Restoration and Rebuilding of the Administration Building

PR 4 Community College System
- A. Candidates for Degrees (Consent)

PR 5 Lexington Campus (No items to report)

PR 6 Medical Center
- A. Changing the Name of an Endowed Chair
- B. Naming University Building – Allied Health/Aging
- C. Amendment of University of Kentucky Medical Staff Bylaws
- D. Agreement Between University of Kentucky and Kentucky Medical Services Foundation

Academic Affairs Committee

1. Change in Name of Educational Unit - (Consent)

Finance Committee

1. Acceptance of Interim Financial Report for the University of Kentucky for the Ten Months Ended April 30, 2001
2. Disposition of Personal Property
3. Capitalization Policy Property, Plant and Equipment
4. Report of Leases
5. Approval of Lease
6. Drs. Michael and Elizabeth Kennan Burns Gift and Pledge
7. Everett H. Metcalf, Jr. Estate Gift

8. Foundation for a Healthy Kentucky Pledge
9. Five Pledges for Division of Urology
10. Gifts and Pledges to Create The Charles Parker Graves Professorship
11. Glaxosmithkline Gift
12. Helen Thacker Hill Gift of $40,000 and Leslie L. Martin Gift of $10,000
13. James M. Lassiter Estate Gift
14. Jonnie Williams Gift
15. Madeline F. James Cancer Research Endowment Change
16. Medtronic, Inc. Gift and Pledge
17. Spinal Cord and Brain Injury Endowment Change
18. The Oxley Foundation Pledge
19. Lucille Caudill Little Pledge
20. Grant of Water Pipeline Easement to U.S. Filter Operating Services, Inc., and Grant of Power Line Easement to Kentucky Mountain Power LLC, to Support a Regional Industrial Park in Knott County, Kentucky and its First Tenant, a 500-Megawatt Power Plant
21. Settlement of Boundary Dispute Robinson Forest Rose Branch Tract
22. Authorization to Convey 0.2126 Acres at Jefferson Community College to the City of Louisville, Kentucky, for Second Street Widening
23. Authorization to Convey 0.287 Acres at Prestonsburg Community College to Department of Highways for Right-of-Way Purposes
24. Patent Assignment Report
25. Capital Construction Report
26. Operating Budget for 2001-02

Ad Hoc Committee on Athletics

1. Acceptance of report from the Ad Hoc Committee on Athletics

Investment Committee Report

Minutes of the Meeting of the Board of Trustees of the University of Kentucky, Tuesday, June 19, 2001.

The Board of Trustees of the University of Kentucky met at 1:00 p.m. (Lexington time) on Tuesday, June 19, 2001 in the Board Room on the 18th floor of Patterson Office Tower.

A. Meeting Opened

Billy Joe Miles, Chairperson, called the meeting to order at 1:00 p.m., and the invocation was pronounced by Mr. James Glenn.

B. Roll Call

The following members of the Board of Trustees answered the call of the roll: Governor Edward T. Breathitt, Mr. Paul W. Chellgren, Ms. Marianne Smith Edge, Mr. James Glenn III, Mr. Merwin Grayson, Mr. John "Jack" Guthrie, Dr. Loys L. Mather, Mr. Billy Joe Miles (Chairman), Dr. Elissa Plattner, Mr. Steven S. Reed, Dr. Daniel R. Reedy, Mr. C. Frank Shoop, Ms. Marian Sims, Ms. Alice Sparks, Dr. W. Grady Stumbo, Ms. JoEtta Y. Wickliffe, Mr. Billy B. Wilcoxson, Mr. Russell Williams and Ms. Elaine Wilson. Absent from the meeting were Dr. Robert P. Meriwether. The University administration was represented by President Charles T. Wethington, Jr.; Chancellors James W. Holsinger and Elisabeth Zinser; Vice Presidents Fitzgerald Bramwell, Joseph T. Burch, Ben W. Carr, George DeBin and Eugene Williams; Dr. Juanita Fleming, Special Assistant for Academic Affairs; Mr. Larry Ivy, Athletics Director, and Mr. Richard E. Plymale, General Counsel.

Members of the various news media were also in attendance. A quorum being present, the Chairperson declared the meeting officially open for the conduct of business at 1:03 p.m.

C. Consent Agenda

Mr. Miles stated that there were three items on the consent agenda:

Approval of Minutes
PR 4A – Candidates for Degrees – Community College System
AACR 1 – Change in Name of Educational Unit

Mr. Shoop moved approval of the Consent Agenda. The motion, seconded by Ms. Sims, carried. (See PR 4A and AACR 1 at the end of the Minutes.)

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

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

1. UK researchers in the Gluck Equine Research Center in the College of Agriculture have isolated the prime suspect in the epidemic of foal deaths. The prime suspect is cyanide from wild cherry leaves consumed by Eastern Tentworms. The Gluck Equine Research Center and the entire College of

Agriculture are devoting their resources to addressing this very significant and serious issue.

2. The "Call to Greatness" campaign, which is the $600 million fund-raising capital campaign effort, has surpassed the $400 million mark. President Wethington's goal had been to reach the $400 million mark before he turned the campaign over to President-elect Lee Todd on July 1st.

3. The University of Kentucky has received the Harry S. Truman Foundation Honor Institution Award for exemplary participation in the Harry S. Truman Scholarship program. This is based on the number of students the University has had to receive such awards in the past few years. Since 1979, nine UK students have been awarded the prestigious scholarship.

4. The Nun Study has received national attention. Dr. David Snowdon has published a book that is focusing on the Nun Study being done at the University of Kentucky Sanders-Brown Center on Aging that is headed by Dr. William Markesbery. This study is also getting international attention.

5. The Kentucky Public Health Leadership Institute has graduated its first class. The professionals received certificates from the Kentucky School of Public Health at the UK College of Medicine.

6. The University of Kentucky has agreed to faculty exchanges with Zayed University of the United Arab Emirates. This agreement was signed by the use of video technology. The University of Kentucky's participation in this agreement involves the delivery of MBA courses from the Gatton College of Business and Economics.

7. The Robinson Scholars program has inducted 29 more Eastern Kentucky eighth-graders. This program continues to be exceptionally popular.

E. Personnel Actions (PR 2)

President Wethington recommended that approval be given to the 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. He expressed his pleasure in recommending PR 2 for approval by the Board.

Ms. Wilson moved approval. The motion, seconded by Mr. Chellgren, carried. (See PR 2 at the end of the Minutes.)

F. Appointment/Reappointments of Board of Directors – University of Kentucky Research Foundation (PR 3A)

President Wethington stated that PR 3A is a recommendation that approval be given to the appointment of Robert Blouin and Anne-Frances Miller and the reappointment of John R. "Jack" Guthrie and Marian Sims to the Board of Directors of the University of Kentucky

Research Foundation (UKRF). This is in accordance with the Bylaws and the Nominating Committee of the UKRF Board. The UKRF Board of Directors has endorsed these appointments. President Wethington expressed pleasure in recommending PR 3A for approval. On motion made by Mr. Guthrie, seconded by Governor Breathitt and carried, PR 3A was approved. (See PR 3A at the end of the Minutes.)

G. Naming University Building – Mechanical Engineering (PR 3B)

President Wethington stated that PR 3B is a recommendation that the Board of Trustees approve naming the new mechanical engineering building the "Ralph G. Anderson Building." Mr. Anderson is a 1950 graduate of the University of Kentucky. He has a Bachelor of Science degree in mechanical engineering. He is one of the college's most generous supporters, having made a $2 million gift to support construction of the new building. He has also made other contributions both of his time and money to the University of Kentucky. President Wethington said he was pleased to have Mr. Anderson as an alumnus, a friend and benefactor.

He noted that the recommendation comes from the Chancellor of the Lexington Campus, and the Committee on Naming University Buildings has recommended the new mechanical engineering/student commons building be named the "Ralph G. Anderson Building." President Wethington expressed pleasure in recommending PR 3B for approval. On motion made by Mr. Glenn, seconded by Ms. Wickliffe and carried, PR 3B was approved. (See PR 3B at the end of the Minutes.)

Ms. Wickliffe noted that Mr. Anderson was in the audience and asked him to stand and be recognized, following which Mr. Anderson received a round of applause.

Mr. Miles said that Mr. Anderson seemed extremely popular and asked him for any comments he would like to make.

Mr. Anderson said that he had a sore throat and could not talk.

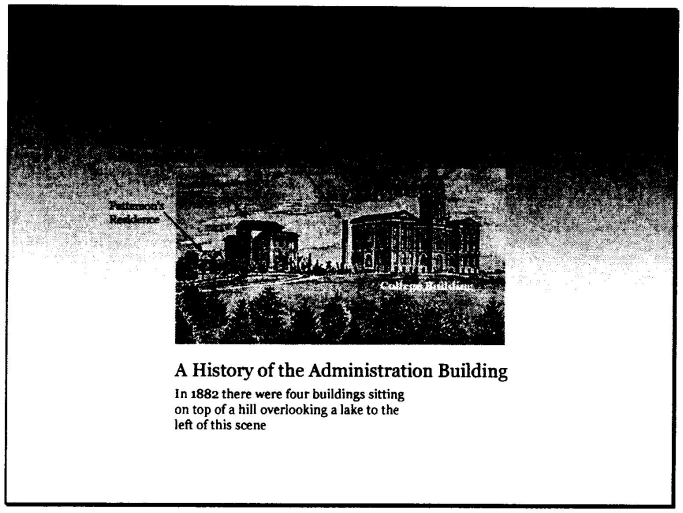
President Wethington thanked Mr. Anderson very much for all that he does for the University and said he was delighted that Mr. Anderson could be in attendance. He recognized Dean Tom Lester, who was seated with Mr. Anderson, and commended him for the good work he is doing.

H. Authorization to Proceed with the Restoration and Rebuilding of the Administration Building (PR 3C)

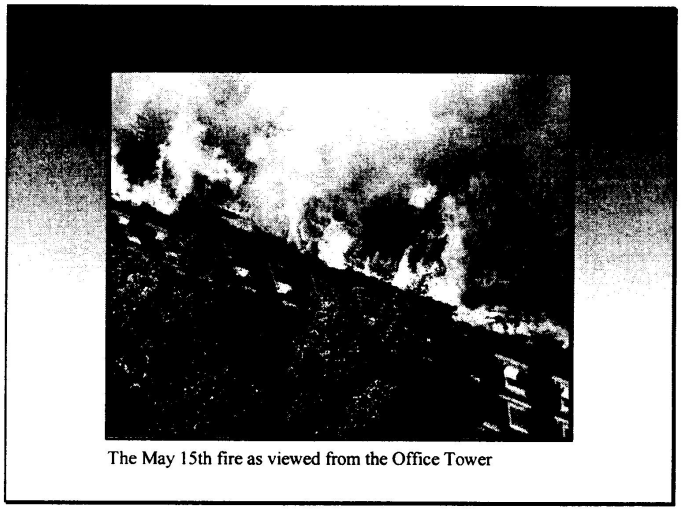
President Wethington asked Mr. Warren Denny, University Architect, to make a presentation on the restoration and rebuilding of the Administration Building.

Mr. Denny stated that the purpose of the presentation was to request that the Board grant approval to restore and rebuild the Administration Building that was damaged by fire on May 15th. Upon the Board's approval, the administration will proceed immediately with the work and update the Board periodically on the progress. Mr. Denny gave the following report:

Slide 1

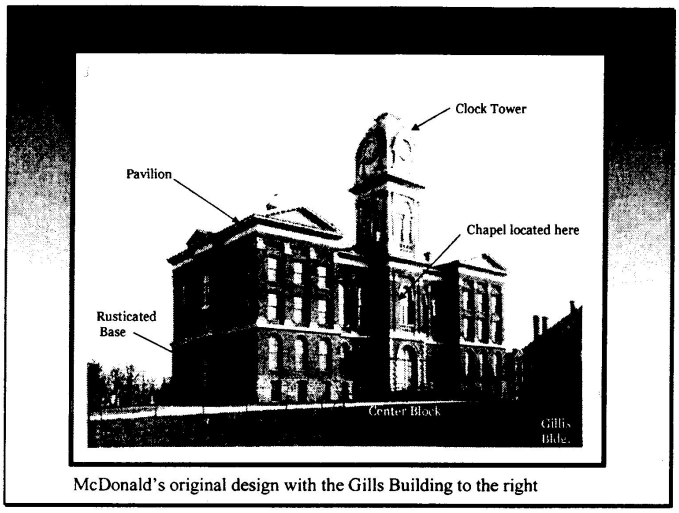


Slide 2



When I came before this Board in March to request that Standards for Restoration be adopted and applied to 35 campus buildings I could not have foreseen the need to apply them so soon, and to what I consider the most important campus building. We are here today to request that you grant approval to restore and rebuild the Administration Building which was damaged by fire on May 15, 2001. Upon your approval the Administration will proceed immediately with the work and make periodic progress reports to the Board of Trustees.

Slide 3



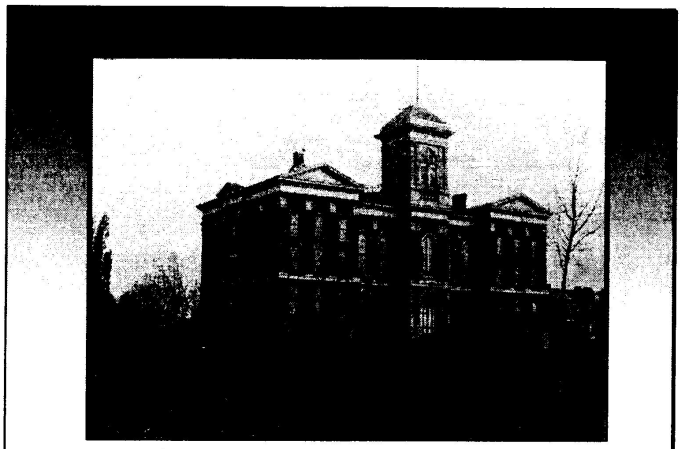
McDonald's original design with the Gills Building to the right

The Administration Building was designed by Harry P. McDonald, a Washington and Lee graduate, who moved to Louisville, Kentucky from his native Virginia in 1873 and established an architectural office in 1876. His firm produced many public buildings, churches and university buildings including Jackson Hall at Kentucky State University and the Kansas Statehouse.

Mr. McDonald's original design for the Administration Building consisted of two end pavilions joined by a central block that supported a 130 foot tall Second Empire clock tower over the main entrance. The building was classically detailed using a Roman Corinthian order for the cornice and column capitals and a rusticated base of limestone. The central block included a piano nobile motif to accommodate a monumental chapel space. McDonald's design reflected a style of architecture being employed at the time in Boston, Philadelphia and Washington D.C.

McDonald utilized several methods to address budget issues. The finely detailed pilaster column capitals and the entire cornice were fabricated from stamped metal. The renaissance inspired window hood molds and pilaster bases are made from cement stucco. The sandstone water table and window sills are from Rockcastle County. The rusticated base of the building is Kentucky limestone and Kentucky marble. The brick, laid in common bond, was fabricated on the site from local clay.

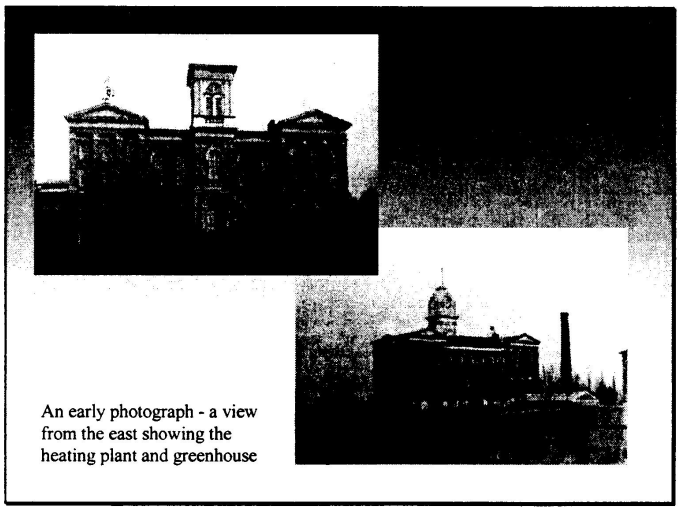
Slide 4



A view of College Building with the upper portion of the clock tower removed and replaced with a pyramidal shaped roof

The separation of the Agricultural and Mechanical College from Transylvania University in 1878 marked a difficult and pivotal time for the University. The Agricultural and Mechanical College had very little money and no land to build on and found itself facing the prospect of relocating the campus outside of Lexington. Fortunately the City of Lexington and the Fayette County Court combined to provide 52 acres of land and $50,000 to construct buildings for the College. Following a 2 1/2 hour speech by President Patterson to the State Legislature, a site was approved and a new half cent tax created to help support the college. Construction on four buildings began immediately. Despite this success President Patterson eventually had to pledge his own funds as collateral to complete construction of the first four buildings.
On Feb. 15, 1882 the Main College Building and three other structures were dedicated. Two days earlier the faculty and exuberant students had marched down Main Street and out Limestone Street to their new home. The dedication included an address (in the chapel) by Henry Watterson of the Courier Journal who chided the Legislature for not enacting a higher tax.
The Administration Building is a reminder of these key early events and struggles that shaped the future of our University.

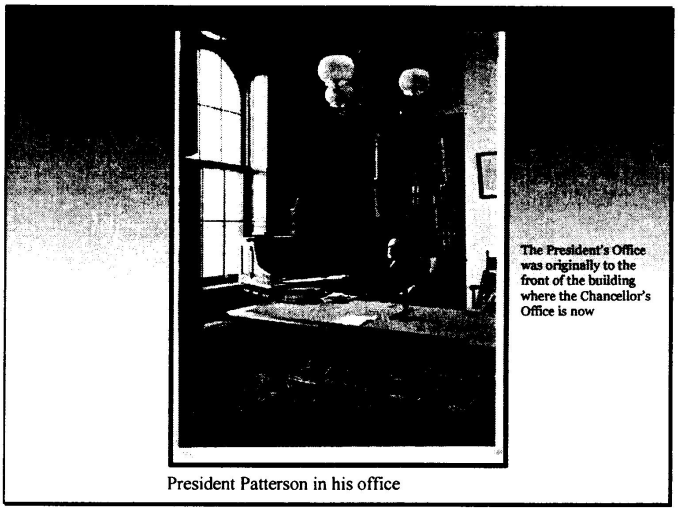
Slide 5



An early photograph - a view from the east showing the heating plant and greenhouse

The College Building of State University was designed to serve most of the University's needs. All academic functions took place there and the professor's classrooms doubled as their offices. Living quarters for students were in the adjacent Men's Dormitory and President Patterson had a residence nearby. All the buildings were served by a central heating plant located east of (behind) the College Building.

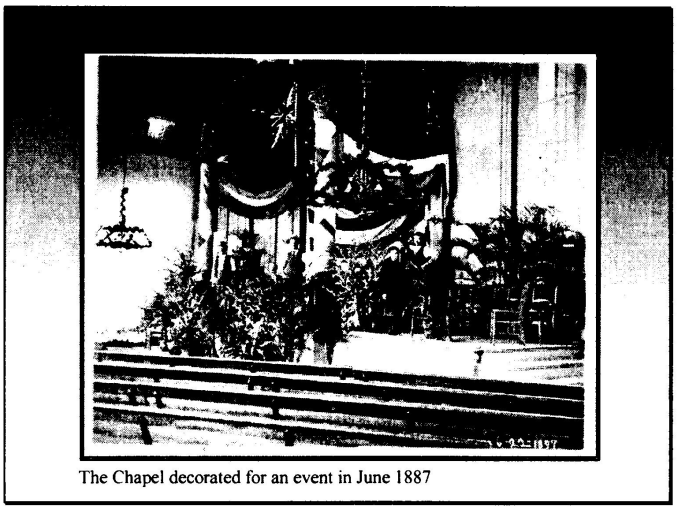
Slide 6



President Patterson in his office

The first floor was elevated and contained the President's Office, a chemistry/physics lecture room (currently the Old Board Room), a classroom/laboratory for organic chemistry, the main laboratory, a museum, a girl's room and the Normal Department (teacher training).
The lower level or basement contained the Geological Survey, shop, three classrooms, the armory and the Commandant's classroom.

Slide 7

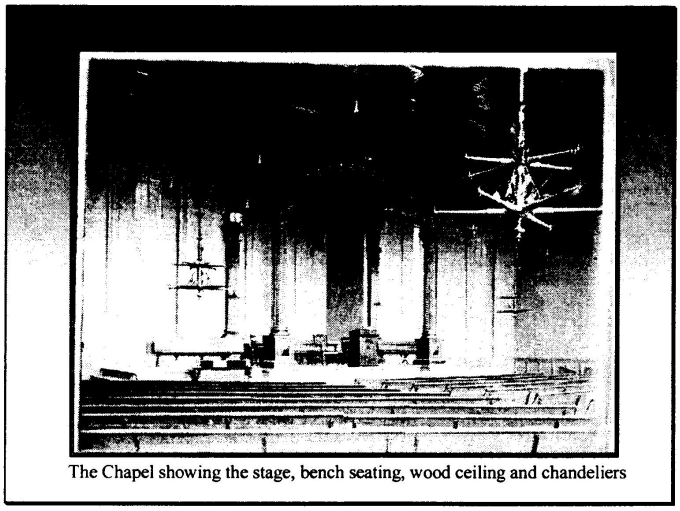


The Chapel decorated for an event in June 1887

The second floor was the most dramatic thus referred to as a piano nobile.

It contained the Preparatory Department, Mathematics and English Departments and a classroom in the end pavilions and the two story tall chapel seen here in the center block. The chapel had an organ and could seat the entire student body and faculty for weekly church services and other events.
The third floor contained the four language Departments and the Literary Societies in the end pavilions .

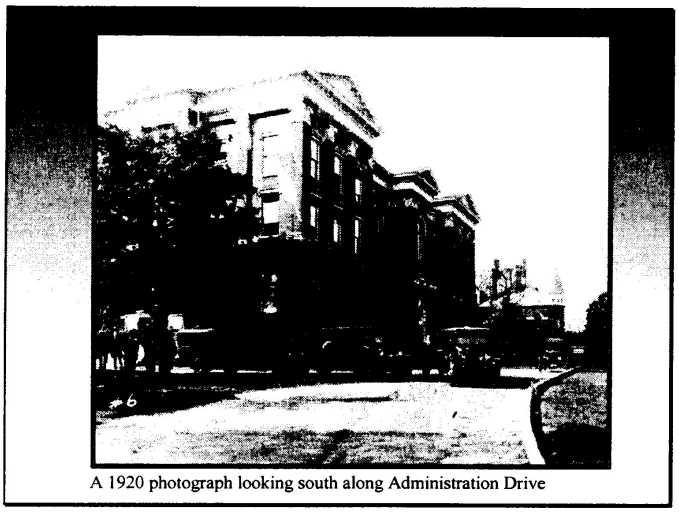
Slide 8



The Chapel showing the stage, bench seating, wood ceiling and chandeliers

Over the past 119 years there have been numerous changes within the building as other buildings were constructed and some of the original occupants moved out. A bookstore was established in 1918 and shared space in the basement with a post office. A cafeteria was located in the basement in 1919.
Over the years the building has been occupied by a weather station, a Library, Comptroller's Office, Registrar's Office, Personnel Office, as well as offices for many Deans and Vice Presidents.
In 1948 the Ancient Languages Department and the Political Sciences Department were moved to new quarters marking the first time in the building's 66 year history that the College Building did not contain academic functions. It became a true Administration Building.

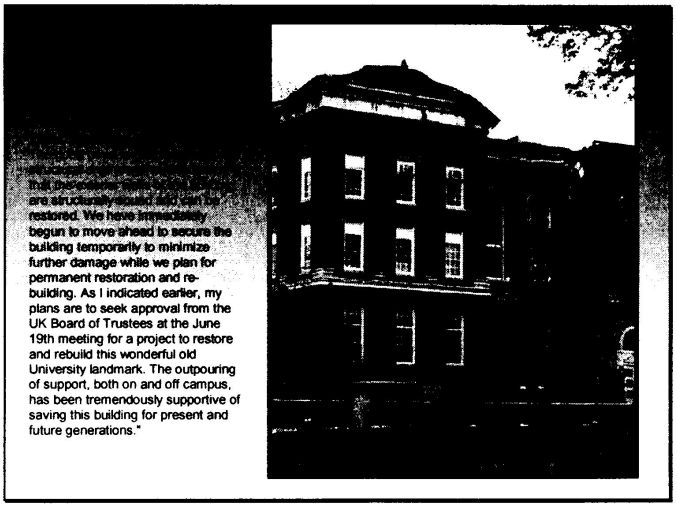
Slide 9



A 1920 photograph looking south along Administration Drive

The exterior of the building did not experience the degree of change that the interior did, but there were changes. The most notable were alterations to the clock tower. For reasons yet unclear, the upper portion of the tower - with mansard roof and illuminated clock- was removed in 1897.
The remaining portion of the tower was modified a few more times and then completely removed in 1919 and replaced with a pediment similar to the end pavilions.
The windows were removed and replaced three times. All of the other exterior architectural woodwork has been replaced.
The building was aggressively sandblasted and the masonry re-pointed in 1970. These actions changed the color of the mortar and the width of the mortar joint, thus changing the building's appearance.
The metal roof of the building blew off during a storm in 1971 and was replaced.
Since that time little physical change has occurred until the May 15th fire.

Slide 10



The building has been stabilized and is salvageable. Consultants have been employed and stand ready to begin the restoration. We seek your approval to restore and rebuild this building and create the strongest and most appropriate image of the history of our University. The statewide response to the fire has been overwhelming in support of saving this fine structure.
The State University and President Patterson overcame many obstacles to erect this building and it would be shame if we could not find the means to maintain that wonderful legacy.

In conclusion, he reiterated that the Administration Building has been stabilized and is salvageable. Consultants have been employed and stand ready to begin the restoration. The administration seeks the Board's approval to restore and rebuild the building and create the strongest and most appropriate image for the history of the campus and the University. He said that statewide response since the fire has been overwhelming in support of saving the structure. The State University and President Patterson overcame many obstacles to erect this building, and it would be a shame if we did not find the means to maintain this legacy.

President Wethington thanked Mr. Denny and asked the Board for questions before having George DeBin make a comment about where the administration is on cleaning up the fire-damaged building.

Ms. Sparks said she is curious about the consultants that had been hired and asked if there were any historic preservation experts in the group.

Mr. Denny reported that the specialty consultant is the Restoration Group. They work in conjunction with James Potts, an architect in Lexington and who also does work in Washington, DC. They have a great deal of experience with this kind of work.

Mr. Miles asked who were the original architects, and Mr. Denny said Harry P. McDonald. Mr. Miles said he meant the one doing the recent restoration. Mr. Denny said that it was James Potts Architects and the Restoration Group. He said these consultants dealt with the restoration of the cement stucco that he referenced in his remarks, some brick masonry restoration on the exterior, the cornice and the column capitals, and all of the other stamped metal work that was included in the ultimate scope of work.

Mr. Miles said that if we vote as a Board he would not vote for Mr. Potts as the architect. He asked if a contract had already been signed.

President Wethington said that it had already been signed. He explained that the Board does not vote on the choosing of consultants.

Mr. Miles asked if the Board could vote on the firing of the consultants.

President Wethington said that it certainly would take some action by the administration. The Board could fire the administration, but he is not sure that the Board could fire the architectural firm because it has a contract already in place with that firm.

Mr. Miles said the painting of the copper was the thing that bothered him.

Mr. Denny explained that when the standards for restoration were adopted some decisions were made by the administration. The standards help determine whether to paint copper or not to paint copper. The original metal was very likely white to simulate wood trim that it was imitating. In his opinion and to be honest to the historical significance to the building you are compelled to paint it. He said he appreciated Mr. Miles' remarks. The copper was beautiful.

Ms. Sparks asked, "Is the Restoration Group a part of Mr. Potts' organization?"

Mr. Denny responded, "They are an associated consultant on the team that works with prime consultant James Potts."

Ms. Sparks said that she thinks that this project is of great magnitude and importance to not only Lexington but to the entire state and everyone who has attended this university. She urged that the administration get more consultants. She said that she did not know a lot about historic preservation, but she knew enough that we might need one. She said she would rather take the time to look at some more groups and get their opinions.

President Wethington said that was a suggestion that he would be happy to take seriously and to pass it on to President-elect Lee Todd as well. He said the administration did not want to short itself on the restoration of this building. He said he agreed with Ms. Sparks' request entirely.

Dr. Mather asked for clarification on the consultants' involvement at this stage with their timetable.

Mr. Denny replied that they are currently involved in the stabilization of the building. That is ongoing at the moment. If the Board acts as requested, then we would move into the phase of actually restoring the building which will take some added investigation, design work, and other decisions to be made as we proceed.

President Wethington said the programming of the building (that is what goes in and where) has not yet begun. We are now involved in the stabilizing of the building, cleaning it out, and preparing for a restoration and rebuilding project. All of the work is yet to be done in terms of what is ultimately in the building, and what the inside looks like. Unless the Board were to determine otherwise, we will make every effort to ensure that it is restored to as near its original condition as we possibly can make it, particularly the exterior.

Mr. Wilcoxson asked if he was incorrect in thinking that the restoration of this building is not any different from any other project within the University. We are bound by certain restrictions as far as the bidding procedure, etc. He asked if the administration could just go out and pick somebody.

President Wethington explained that this is a different situation. He asked George DeBin to comment on it. The administration invoked the emergency provisions of the Model Procurement Code in order to move very rapidly to stabilize the building.

Mr. DeBin said that the Board's questions were outstanding. He said he had asked these questions over the last several weeks. There is a lot of interest and enthusiasm to rebuild, but we are far from actual rebuilding in the process. Debris removal has been going on in excess of three weeks. We have had the opportunity to begin removing some furniture that was not totally destroyed and also files. Initially, we were able to get about 1,150 boxes of files removed from the building, and they should be coming back to the University in late July or August timeframe. This, again, is a meticulous process on the records side.

Once we are able to get the records out, we will begin the fabrication of the support steel. After stabilizing the building, the next stage is the interior as far as support structures. The structural engineers are doing an assessment, and this is a process that will take weeks.

He said that the Model Procurement Code says that in the case of an emergency the President or his designee can declare an emergency and appropriately notify Frankfort. He reported that Ken Clevidence is currently appearing before the Capital Projects Oversight Committee going through exactly what we have done. We have begun multiple phone calls with the Capital Projects and Bond Oversight Committee, the Secretary of Finance Office and CPE. They are fully supportive of the approach we are taking.

Ms. Wickliffe asked if someone could just outline what the administration is asking the Board to vote on today.

President Wethington said they are asking the Board to direct the administration to restore and rebuild the Administration Building that was damaged by fire on May 15, 2001. He explained that to this point we are working to ensure that we stabilize the building if in fact the Board gives the go ahead to do that. We certainly believe, based on individual conversations with Board members and with all others from whom we have heard, there is significant interest in restoring this building and that it would be a shame if we did not. We simply would like to have the Board's authorization to direct the administration to move ahead with the restoration and rebuilding project.

Mr. Wilcoxson moved that the administration proceed with the restoration and rebuilding of the Administration Building. Ms. Wilson seconded the motion.

Dr. Reedy said this was way down the pike and he would not be here to have anything to do with it other than a spectator. He asked if the administration would look at the possibility of restoring the clock tower and those other possibilities. He asked, "Are those in the framework of what may be possible for consideration? I know that is way down the pike."

Mr. Denny said there were three choices as he understands the way you look at historic buildings. You can take points in time which means one appropriate action is to look at the date of the fire and restore the building to that point. The second is you could go all the way back to the original clock tower and consider that. That is something that we want to debate and talk about and make the best decision.

President Wethington said he wanted to try very hard not to do anything to advise the President-elect but his guess is that he will want to involve the Board, discuss this with the Board

and bring the Board up-to-date through reports at each meeting of the Board. I think it is that significant of project for us.

Ms. Sims said the day of the burning was a very emotional time for those who stood there and watched it burn. Many sobbed not because they had papers that we lost in there but because of the impact it has on this university and the state. She said, "I'm so thrilled that you have done what you have done in order to help."

Mr. Shoop said that everybody he talks with wants this building rebuilt. He called for a vote.

Dr. Mather asked, "What's your timetable between when you anticipate finishing the stabilizing stage and what point you begin moving into the planning stage for restoration."

Mr. DeBin said that part of that is dependent upon the insurance settlement. The total recovery will drive the ultimate outcome. The earliest he sees anything happening is late July or early August to bring President-elect Todd up-to-date as to where things are, what the contingency is, and how things are progressing as far as both parties negotiating an settlement.

President Wethington said his guess is that it will not move very rapidly.

Mr. Miles asked, "How will the organization go forward under this emergency and who will determine what the structure is?"

President Wethington replied, "The President."

Mr. Miles asked, "The President alone?"

President Wethington said the President will have a lot of help, but he has the authority to make that decision. He said George DeBin and his staff are the group that is charged with the capital construction program at the University of Kentucky. What gets done there, gets done by George DeBin and his staff, including Warren Denny. The decisions about a project such as this ultimately will involve the President. We are bringing it here today because we anticipate this kind of interest in the project, and I simply believe that there is in this action item a recommendation that periodic updates be made to the Board. I anticipate that certainly the next time the Board meets there would be a report made to the Board about the progress at that point. The Board can at any point ask for that in case they are not getting enough information.

President Wethington apologized for not officially announcing that President-elect Todd was at the meeting. He said he was delighted to have him, and he was glad he came to sit in on the Board meeting, particularly for this discussion.

Mr. Reed asked if Ms. Sparks' concern would be addressed.

President Wethington said he would address it, and President-elect Todd was shaking his head that he would address it.

Mr. Shoop said, in his opinion, the reason we have got so many questions on this is just to show how we feel about this building and the people of Kentucky feel about it. I trust 100% that President-elect Todd will make the right decision when he assumes leadership of this university.

A vote was called and PR 3C was unanimously passed.

I. Changing the Name of an Endowed Chair (PR 6A)

President Wethington called on Chancellor Holsinger to present the Medical Center items, PR 6A and PR 6B.

Chancellor Holsinger expressed pleasure in presenting two items that come by way of the Chandler Medical Center. The first item is PR 6A entitled Changing the Name of an Endowed Chair. The recommendation is that the Board of Trustees change the name of the Commonwealth Chair in the Health Sciences to the Charles T. Wethington, Jr. Chair in the Health Sciences.

He reported that this Chair has been under development for almost three years. The first gifts coming in 1998 as we were able to begin with the first $500,000 gift that was matched by the Research Challenge Trust Fund. The second gift has arrived and is in the process of being matched. This Chair will be a $2 million Chair when the pledges are fully paid. He expressed pleasure in recommending to the Board that the Board of Trustees approve the renaming of the Chair the Charles T. Wethington, Jr. Chair in the Health Sciences.

Mr. Chellgren moved approval. Mr. Grayson seconded the motion, and it carried. (See PR 6A at the end of the Minutes.)

J. Naming University Building – Allied Health/Aging (PR 6B)

Chancellor Holsinger said it is a real pleasure for him to present PR 6B which is entitled Naming University Building – Allied Health/Aging. In 1966 the College of Allied Health Professions was created as a part of the Chandler Medical Center. For 35 years this College has not had a home. It occupied the three old motel buildings and most of the other buildings on the point between Rose and Limestone. It has had its laboratories as well as its faculty and staff scattered across the University and outside the University. The current building that is being completed sometime next year or in approximately one year has been termed Allied Health/Aging Phase II. He explained that Allied Health/Aging Phase I was doubling the size of the Sanders-Brown Center on Aging building when 28 double module laboratories were created as part of that initial phase of this entire construction project.

He said when he arrived seven years ago this project was still in the category of waiting to be funded. Over the next few years, President Wethington worked diligently with the legislature on two different occasions: first to obtain the planning funds and secondly to obtain the $20 million state appropriation that would allow this building to be built. The building is clearly going to be one of the premier buildings in the Medical Center. He said it is with a great deal of pleasure that he recommends that the Board of Trustees approve naming the Allied Health/Aging building being constructed at the corner of Limestone and Rose Streets the

"Charles T. Wethington, Jr. Building." It will play a prominent roll in the Medical Center's rebuilding because with it and attached to it by way of the over Rose Street bridge will be the Gill Building which will house the Gill Heart Institute as well as the Center for Advanced Surgery. The two together will construct a new entrance into the University campus at that location on Rose Street and at the same time serve as a gateway into the Chandler Medical Center. He reiterated that it is with a great deal of pleasure that he recommends that this building be named for President Charles T. Wethington.

Mr. Shoop said that because of the unanimous vote of the University's Committee on Naming University Buildings and the personal support of Chairman Billy Joe Miles he asked the Board to join him in honoring President Charles T. Wethington, Jr. in naming this building in recognition of his many years of service to this university we so dearly love. The dedication will be held shortly after June 30, 2003. Mr. Shoop put that in the form of a motion for approval. Ms. Sims seconded the motion, and it carried. Mr. Williams voted "nay." (See PR 6B at the end of the Minutes.)

President Wethington thanked Chairman Miles and Chancellor Holsinger. He expressed his appreciation to the Medical Center for their recommendation and to the Committee on Naming University Buildings.

Mr. Shoop said he had to leave early and asked that the Board give President Wethington a hand for his service before he left the meeting. President Wethington received a round of applause.

President Wethington said he appreciated the applause very much, and he certainly appreciated the Board's naming this building in his honor. He said that he has been a strong supporter of the Medical Center during the time he has been President and even before that. In looking back at buildings on this campus and buildings that have been named for people, he finds that there has not been a building in the Medical Center named for a University President so it is a double honor for him to have this structure named for him. President Wethington stated that the Medical Center will continue to have his undying support for what it does to serve this Commonwealth of Kentucky. This Medical Center is getting done what was envisioned for it back in the 1950's. He strongly believes that it is an active, vital and integral part of the University of Kentucky and needs always to remain that. Nothing could please him more than to be recognized in this fashion. He thanked Chancellor Holsinger, Dean Robinson and the faculty and staff in the Medical Center for having made this recommendation. He thanked the Board for having recognized him in this way. He said, "You certainly have done me great honor." President Wethington received another round of applause.

K. Amendment of University of Kentucky Medical Staff Bylaws (PR 6C)

President Wethington said that PR 6C is an amendment of the University of Kentucky Medical Staff Bylaws. This is a fairly lengthy document that the Board has seen before but which comes to the Board periodically from the Medical Center. He noted that these Bylaws are those that govern the physicians and dentists and related health professionals who practice, or seek to practice, at the University Hospital. These Bylaws have been revised and updated by the Hospital Chief of Staff and approved by the University Hospital Board of Directors. They are being recommended to this Board since it is the governing authority of the University Hospital

and must approve amendments to the Bylaws. President Wethington said he was pleased to recommend approval of PR 6C.

Dr. Plattner asked if Dr. Holsinger could give the Board a laypersons definition of what this will do.

Dr. Holsinger said both the federal law and the joint commission's requirements state that every hospital is required to have medical staff bylaws which govern the relationship of the medical staff to the parent institution, the hospital. That includes also dentists and any other clinicians who practice within that particular facility. It is a requirement under these laws and the joint commission standards that the governing body of that hospital must approve these. As the Board of Trustees of the University of Kentucky, you serve as the final governing board for University Hospital, and therefore, things such as these Medical Staff Bylaws must come to the Board for approval. This is by and large a revision that we go through on a periodic basis, usually about every three years, to make sure that they are soundly in place before the joint commission comes back for another survey but also so that we keep them updated to meet the current terminology, current staff structures, and so on. These changes that you see here today are done for that purpose.

Ms. Edge moved approval. Mr. Shoop seconded the motion, and it carried. (See PR 6C at the end of the Minutes.)

L. Agreement between University of Kentucky and Kentucky Medical Services Foundation (PR 6D)

President Wethington said that PR 6D is a recommendation that the Board of Trustees approve the attached agreement between the Board of Trustees of the University of Kentucky and Kentucky Medical Services Foundation, Inc., which was negotiated pursuant to the "Board of Trustees Resolution Regarding Medical Practice Plan" adopted on June 20, 1978 and later amended. He noted that at the bottom of the page is a description of what is being changed. He asked Chancellor Holsinger to comment on the changes.

Chancellor Holsinger said the Kentucky Medical Services Foundation has been in place for almost 45 years and as many of the you recall it is the fiduciary agent under which the University physicians bill and collect for their clinical services as they practice both in the Kentucky Clinic and University Hospital. There is a normal kind of cosmetic set of changes that President Wethington mentioned which are the changes in the dates of the contracts. Also there is some fluctuation in the amount of funds that move to the dean's office based upon whether or not we are paying for various buildings and so on within the Kentucky Clinic.

He explained that there are two key items here. One has to do with corporate compliance. He reminded the Board that about three years ago the Board approved the development of a corporate compliance plan within the Chandler Medical Center which is a requirement that we have in order to be able to receive funds through the Health Care Financing Administration, namely Medicaid and Medicare funds. We want to make sure that this university has the ability to unilaterally get out of this contract under certain breaches of corporate compliance legislation or requirements. We do not anticipate where we are going to have to exercise that right, but we want to make sure that it is very clear-cut for those types of

issues. If we are out of compliance and there is an inability or unwillingness in KMSF to fix that, we can unilaterally withdraw. The other change simply has to do with a new item of fund flow that comes through the Medicaid program that will flow to the University physicians to KMSF and establishes the authority of the dean to be able to draw on those funds to support the academic mission of the College of Medicine.

President Wethington recommended that approval be given to PR 6D. Mr. Wilcoxson moved approval. Ms. Edge seconded the motion, and it carried. (See PR 6D at the end of the Minutes.)

M. Operating Budget for 2001-02

President Wethington said with the concurrence of Finance Committee Chairperson he would like to move to the annual Operating Budget for 2001-02 and make the presentation. He reminded the Board that in May when they anticipated bringing the budget to the Board they had a briefing for the members of the Board who chose to attend. They have also answered questions on numerous occasions for Board members who have had questions since that time. He reported that he, President-elect Lee Todd, and Ben Carr have spent more than one session on talking about the budget and explaining it so that President-elect Todd has a good grasp of the budget. He said they would continue to work with Dr. Todd if he has questions in the next few weeks.

President Wethington reported that the budget process began last fall when the operating entities of the university were asked to start the work on putting such an annual Operating Budget together. The Operating Budget is always based on the Strategic Plan of the University approved by the Board of Trustees. It is obviously a reminder of some of those emphases in that Strategic Plan which get the priority for the use of any funds that we have that are available for consideration in any given year. We note those emphases. We spend our time with the Board on that which is new, that which we have available to us that we didn't have last year, or that which we have reallocated in some fashion. The following series of slides represents President Wethington's budget presentation:

Slide 1

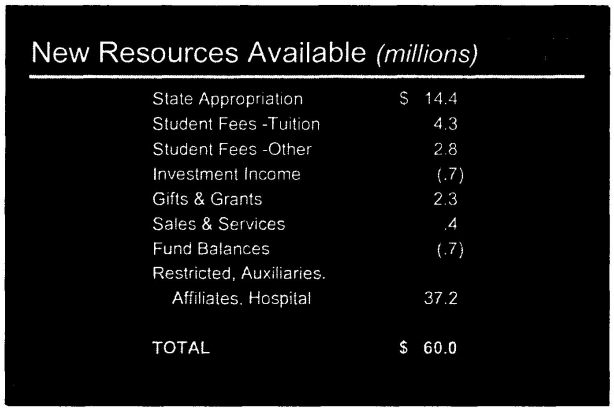


Slide 2



As reflected in the UK Strategic Plan approved by the Board of Trustees in May 1998

Slide 3



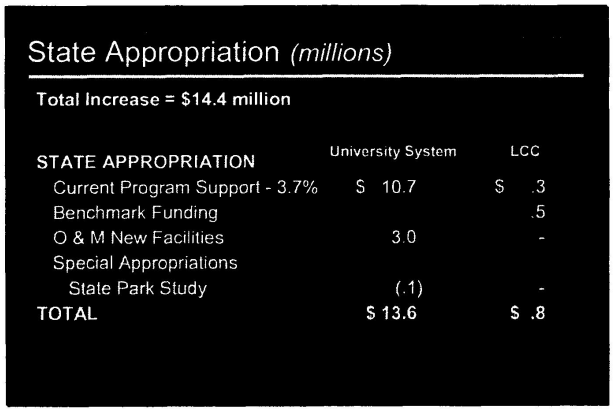
REVENUE SUMMARY SLIDE

This is a summary slide of the various revenue sources. Each of these sources will be reviewed in greater detail in future slides.

Overall, approximately $60.0 million in new resources is available for 2001-2002.

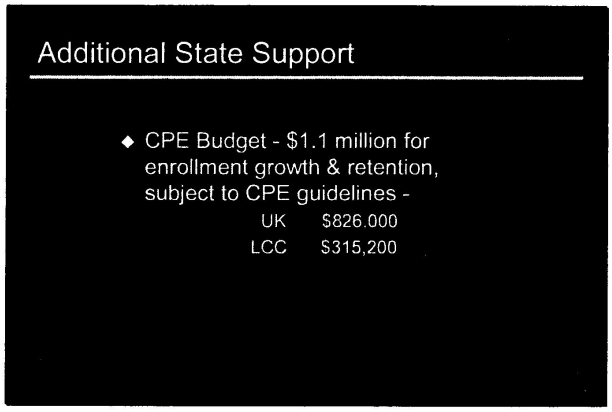
Emphasize that this includes restricted revenues, auxiliaries, all affiliates and the Hospital.

Slide 4



Current program support increase was 3.7%; total state support is now $322.2 million.
LCC also received benchmark funding of $517,800
New Facilities for which O&M was provided: Aging/Allied Health; Agricultural Plant Sciences; Mechanical Engineering; Communications and Network Systems; and Crisp Building Replacement. NOTE: Funds were pro-rated and distributed to the appropriate sectors for the buildings based on the scheduled completion date. The balance will be used to support nonrecurring needs in 2001-2002. Also, approximately $250,000 which had already been set aside for CNS and the Crisp Building was used to support recurring program needs.
The State Park Study appropriation of $60,000 was in the base and needed to be backed out since it was a one-year appropriation.

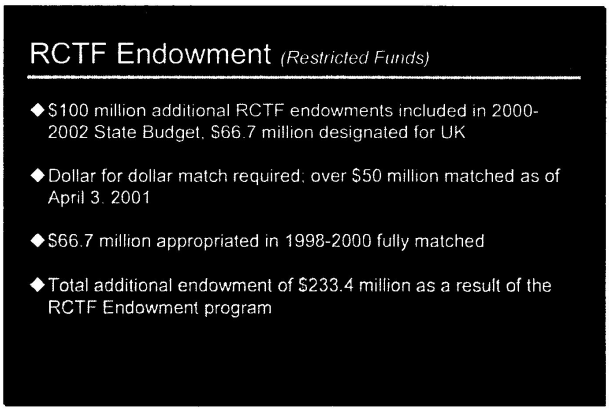
Slide 5



University - $826,000
LCC - $315,000

Each amount is divided into two pools – one for enrollment growth ($456,000 for UK) and one for retention ($370,000 for UK); the pool funds will be nonrecurring unless enrollment growth and retention goals are achieved....then the dollars will become recurring.
We anticipate that UK will meet their retention goal, and thus the $370,000 has been used for recurring program needs; the remaining $456,000 is available for nonrecurring program needs.
We anticipate that LCC will meet both enrollment and retention goals; thus the entire $315,200 was budgeted for recurring program needs.

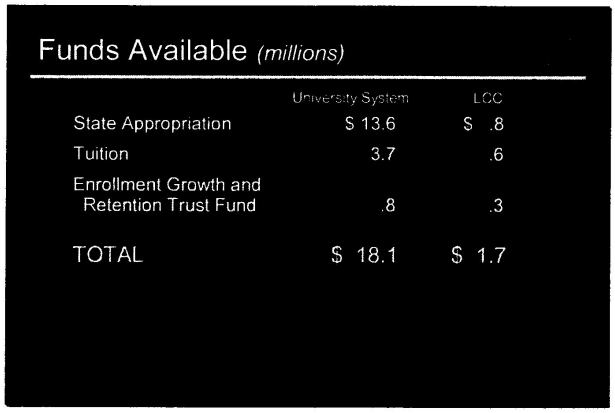
Slide 6



UK's endowment has increased by $233.4 million due to the RCTF program; using the 5% rule, this amounts to $11.7 million in available restricted income annually once all the pledges are fulfilled. It is important to note that not all pledges have been fulfilled yet and many span a five-year period. Additionally, in some cases endowment income is not expended, but left to grow, increasing the principal to support at a greater level highly recruited chairs and professorships.

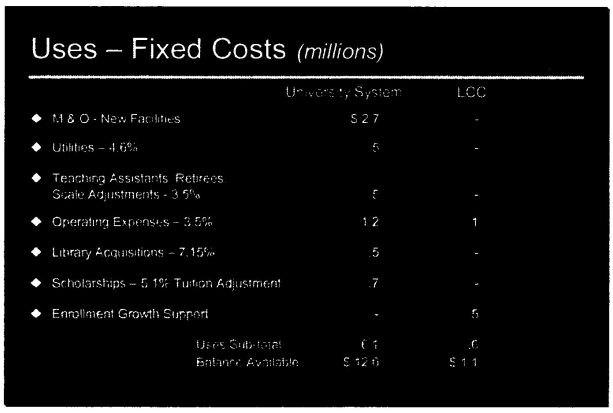
NOTE: Income from increasing endowments is included in the restricted budgets of the various units. Therefore, it does not show up in the endowment income line of the budget document under general funds...this could be a question.

Slide 7



2001-2002 tuition rate increases: undergraduate-5.1%; graduate-5.2%; first professional ranged from 3.6% to 6.9%; LCC-0% for instate and 5.1% for out-of-state.
Using an assumption of no enrollment growth, we predicted approximately $4.0 million in new tuition revenue in addition to $1.3 million for new programs ; however this will be offset by a $1.6 million shortfall, resulting in approximately $3.7 million in new tuition revenue.
We have set aside $775,000 to offset a possible shortfall next year.
Total tuition and fee revenue is now $133.0 million.

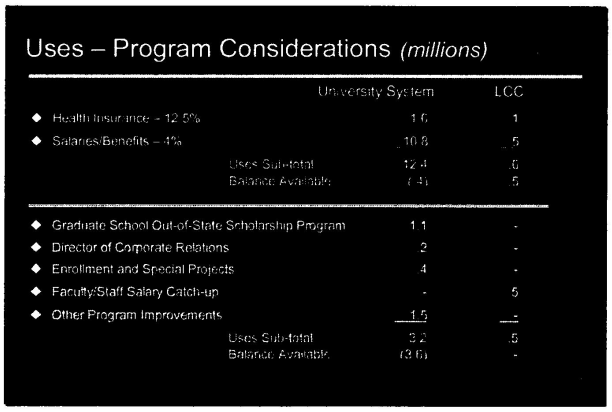
Slide 8



$2.7 will be needed for M&O for new facilities; approximately $250,000 was not needed and is supporting the recurring budget.
Utilities increase reflects rising costs; a 4.6% increase was provided.

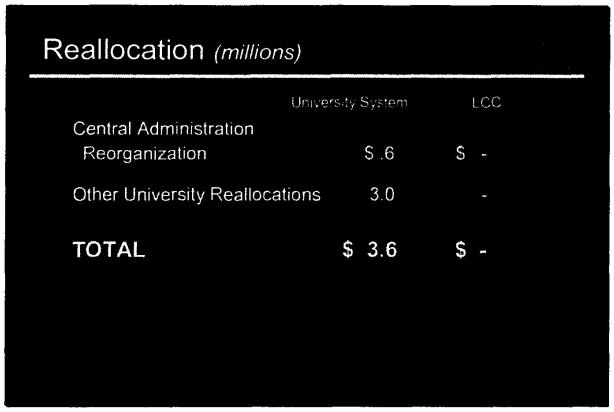
TAs, retirees, scale adjustments and operating expense increases of 3.5% were based on the projected cost of living index increase.
Library acquisitions increase of 7.15% will help sustain the current level of acquisitions, but will not support increases in acquisitions.
Scholarship adjustments were made to support the undergraduate tuition rate increase of 5.1%.
LCC Enrollment Growth Support reflects increased tuition revenue ($564,100).

Slide 9



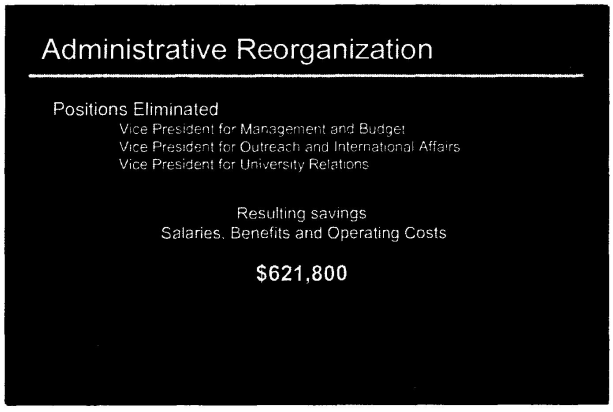
Health insurance increase estimated at 12.5% will be increased to approximately 14.3%. The total increase will be $562,864, of which $250,240 is general fund, $234,648 is other internal sources, and $77,976 is from external sources. The total health care cost is $60.0 million, of which approximately $34 million is provided by the University through the health credit. The remainder of the cost is covered by the employee, KCTCS, COBRA participants, Retiree spouses and so forth.
The Salaries/Benefits pool represents a 4% increase, resulting in $10.8 million for general fund positions. For all other positions in the University, excluding the affiliates, the increase was approximately $9.8 million.
Enrollment and Special Projects ($456,000) represents nonrecurring dollars available from the Enrollment Growth and Retention Fund.
Faculty and Staff salary catchup for LCC is $517,800.
Grad School Out-of-State Scholarship Program is designed to attract highly qualified out-of-state students and increase enrollment by approximately 100 students in 2001-2002. Students must have achieved at least a 3.25 GPA in undergraduate and any graduate work; the scholarship provides for the difference in out-of-state and in-state tuition.
Director of Corporate Relations position will support faculty in translating research into business opportunities by collaborating with business and industry leaders.
Program improvement includes a broad range of initiatives in support of sector requests to enhance and improve programs and services; also includes some nonrecurring programs.

Slide 10



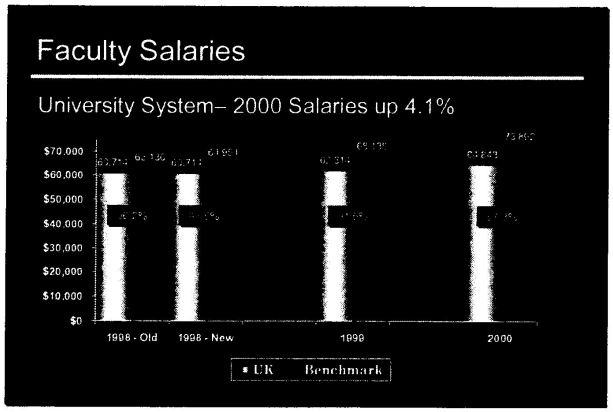
Central Administration Reorganization: see next slide for savings related to reducing number of VP positions. This number also includes eliminating staff assistant positions and operating expenses.
University Reallocations includes a base adjustment to help with a tuition shortfall and reallocations in Central Administration and in the Sectors to support program improvement initiatives.

Slide 11



Office of VP for Outreach and International Affairs elimination resulted in the reallocation of $326,800.
Other VP positions eliminated resulted in $295,000 available for reallocation.

Slide 12



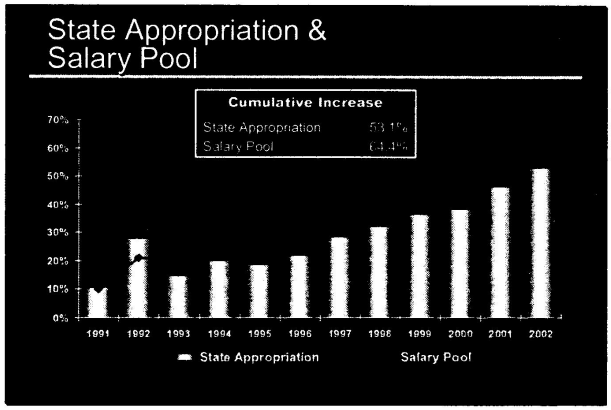
In spite of an overall 4.1% increase in faculty salaries (which resulted from a 3.0% pool for 2000-2001), we still lost ground in keeping up with the benchmark institutions. (In 1999-2000 the salary pool increase was 4%.)

Historically, the resulting average faculty salary increase has been lower than the pool, due to faculty leaving and new faculty coming in at a lower salary. So a 4% pool in 1999-2000 resulted in a 2.6% increase overall. For 2000-01, the opposite occurred – a 3% pool resulted in a 4.1% increase, which is probably due to several factors including a growing number of market equity adjustments. We have not studied this result yet.

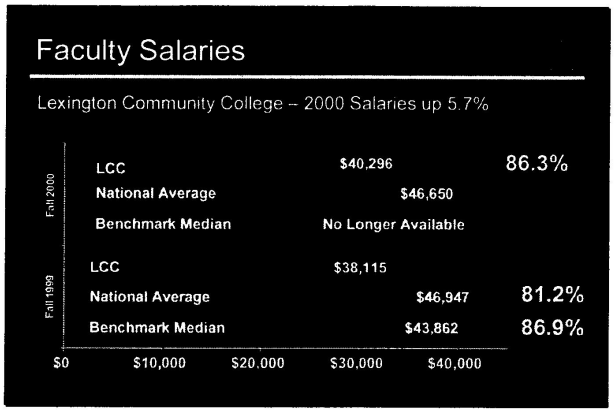
Overall, the average benchmark salary increase was 5.3%; the benchmark median increased by 8.4%. (NOTE: As a measure, the median is influenced by the nature of rank order data, and the difference between each institution; thus the average salary increase is the better measure when comparing our 4.1% increase to what happened with the benchmarks.)

Significant increases among benchmark institutions included: Maryland 13.5%; UCLA 6.7%; Wisconsin 6.7%; Texas A&M 6.3%; NC State 7.1%; Washington 6.2%; Florida 6.4%.

Slide 13

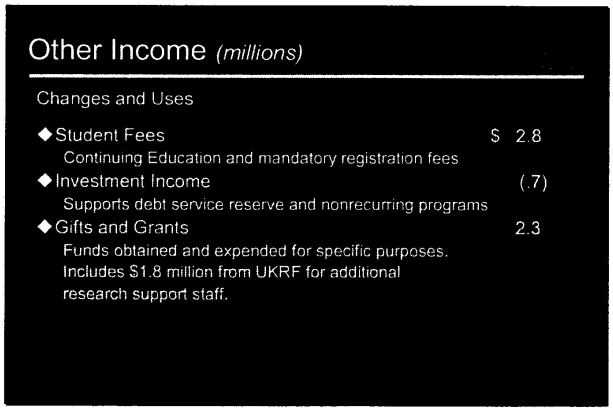


Slide 14



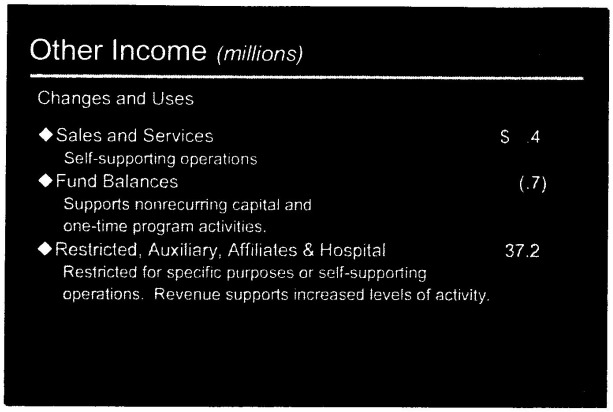
Due to discontinuation of the IPEDS Instructional Faculty Survey and the fact that community colleges do not all participate in the AAUP faculty salary data collection, benchmark salary data are not available for LCC for fall 2000. LCC is now using a national average obtained from another source, however, the national average is higher than the benchmark average was.

Slide 15



Student fees include increases in the mandatory technology fee and the new student recreation fee in support of the Seaton Center Addition/Renovation debt service and programming. Investment income includes income from overnight, short-term and bond revenue investments in addition to sinking fund earnings. The decrease is due to projected lower interest rates. Gifts and grants increase is primarily due to the $1.8 million increase in the grant to the University from UKRF. This will be used primarily for new positions, including 5 in the Office of Research Integrity, to support the growing research program.

Slide 16

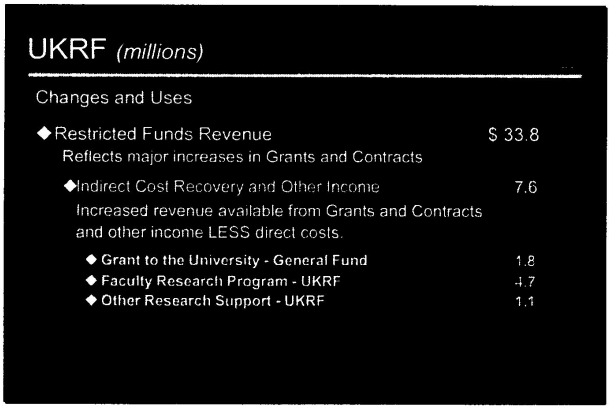


Sales and Services reflect anticipated increases in income and will help support salaries and operating expenses. This is a "money in – money-out" situation, as service centers must operate to break even.

A reduction in fund balances reflects spending down by the sectors of dollars carried forward for one-time programmatic and capital needs. The amount is based on Sector estimates of the fund balance to be carried forward to 2001-2002.

The primary source of increase in Restricted, Auxiliary, Affiliates and the Hospital is $33.8 million from UKRF due to increased grants and contracts activity.

Slide 17



The $33.8 is primarily due to increased grants and contracts activity. Other sources of income include investments, patent income, private gifts and fund balances.

The Indirect Cost Recovery amount also includes miscellaneous sources of income.

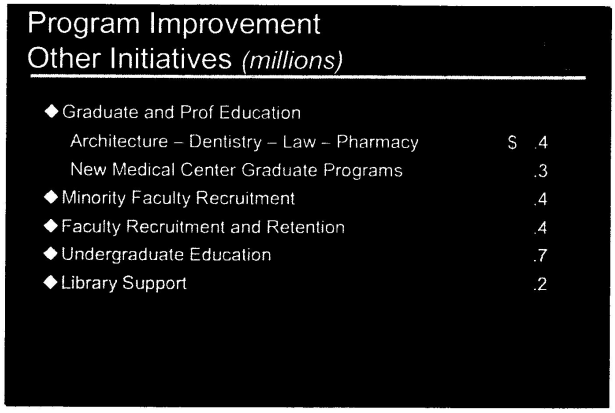
Traditionally, the University puts indirect cost recovery back into the research program.

The Grant to the University was mentioned in an earlier slide.

The UKRF Faculty Research Program provides incentives and supports faculty research needs.

Other UKRF Research Support includes increases for Operating Expenses and Research Administration ($76,000); Graduate student Support and Program Support ($280,000); and other miscellaneous activities ($717,000), included Patent Costs and the Royalty Income Sharing Program.

Slide 18



Continued support for professional programs; also support for new medical center programs, including Public Health, Nursing Clinical Doctorate, Clinical Lab Sciences Doctorate, MD/PhD Clinical Research and others.
Minority faculty (and professional/administrative staff) recruitment
Faculty Recruitment and Retention includes commitments to recruit or retain faculty such as Genia Toma, Buck Ryan, the new Law School Dean, B&E faculty.
Undergraduate Education includes support for Excel Programs ($90,100); Freshman Summer Program ($42,000); new Academic Recovery Program ($25,000); expanded Discovery Seminars ($20,000); support for Admissions ($45,000) and Disability Services ($9,000) as well as the Enrollment Growth and Retention Fund ($456,000) that is undesignated.
Library Support includes the William T. Young Library Security Staff ($158,200) and the Geology Branch Library Move ($75,000)

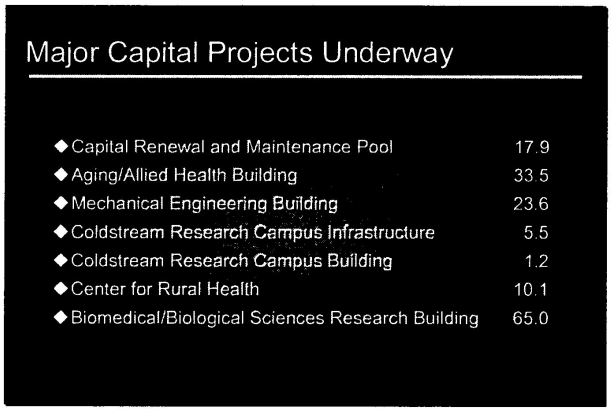
Slide 19



Technology includes support for the Distance Learning Director and the Data Warehouse
Classroom renovation of $1.0 million is in support of the strategic indicator to renovate 100,000 square feet of instruction-related space; since 1998-99 and including 2001-2002, $3.25 million has been allocated for classroom renovation.
Utility study next year will review the University's ability to provide the basic infrastructure needed for daily operations and continued growth.

Space and Equipment includes land acquisition ($400,000); new administrative systems ($1,750,000 from President's Reserves), super computer ($319,700); research equipment maintenance ($200,000); career center ($34,200); engineering startup ($250,000); Med Center instructional technology ($315,000); Wolf Run Sewer ($277,000)
Staff Development includes UKAdvance/Operation Educate ($100,000) and NetG ($125,000)
SACS Re-accreditation visit will occur in spring 2002. This supports publication of the self-study report and expenses associated with travel and support for the visiting team, as well as ongoing university faculty and staff time and resources

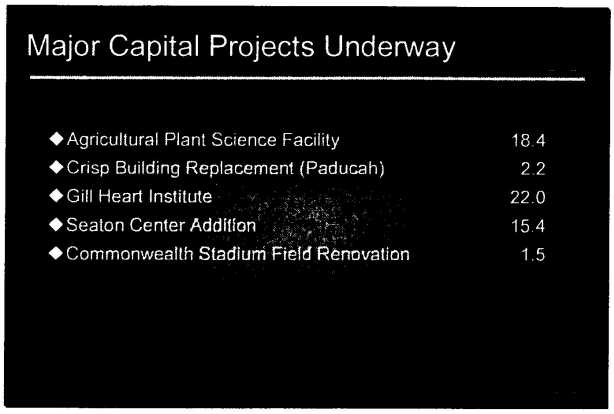
Slide 20



The major capital projects underway were depicted in the 2000-2001 capital budget; there are no new major projects presented for 2001-2002, resulting in a considerable decrease from $262.9 million to $116.0 million.
The Capital Renewal and Maintenance Pool is administered by CPE and requires a dollar-for-dollar match to complete projects on a list approved by CPE. The total amount of approved projects is $17,858,000.
Projects underway include 3 major infrastructure projects totaling approximately $9.9 million in additional to deferred maintenance, capital renewal and life safety projects for the balance. For each dollar the University spends on the approved projects, a dollar is returned.

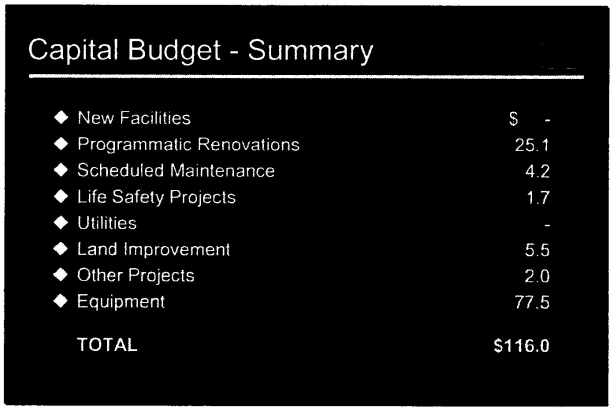
Aging/Allied Health – State, Private, and Agency funded
Mechanical Engineering – State and Private funded
Coldstream Research Building – State funded
Coldstream Infrastructure – special funding arrangement
Center for Rural Health – State, Private and Agency funded
Biomedical/Biological Sciences Res. Bldg – State and Agency funded

Slide 21



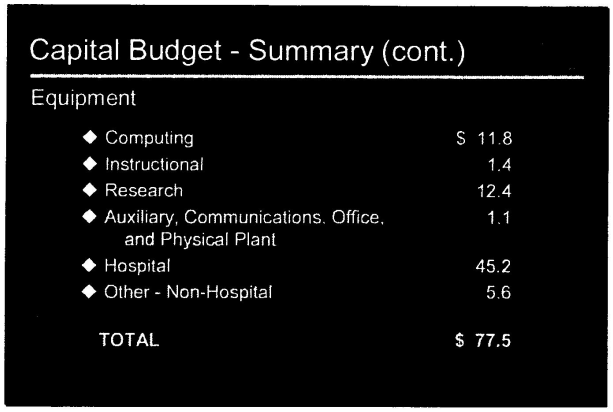
Ag Plant Science – Agency funded
Crisp Building Replacement – Agency funded
Gill Heart Institute – private plus Hospital renewal and replacement funds
Seaton Center Addition – Agency funded
Commonwealth Stadium Field Renovation – funded through UKAA general funds

Slide 22

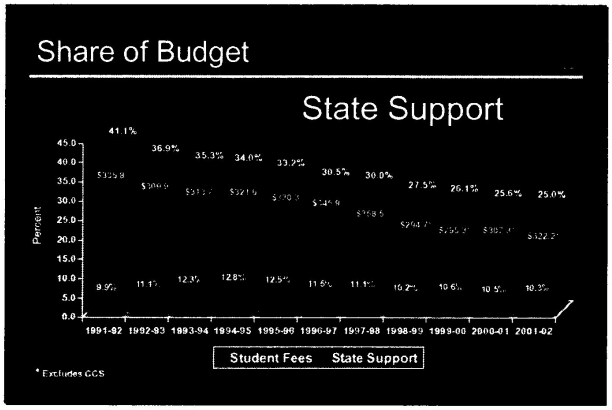


Detail begins on page 157, last tab in budget document
No new facilities are reflected in the 2001-2002 Capital Budget, as those that were approved for the 2000-2002 biennium were included in the 2000-2001 Capital Budget. Once a project has been listed in the Capital Budget, even though it is not yet completed, it is not listed again.
Another big difference from 2000-2001 is the Utilities, as the major infrastructure projects now underway were listed in 2000-2001, but there are no additional new infrastructure projects to reflect in the 2001-2002 capital budget.
Land Improvement includes the Hospital's Implementation of Land Use Plan III ($2.62 million); parking lot maintenance, re-surfacing ($2.1 million); and university wide land acquisition ($400,000).
Other Projects are miscellaneous Hospital projects.

Slide 23

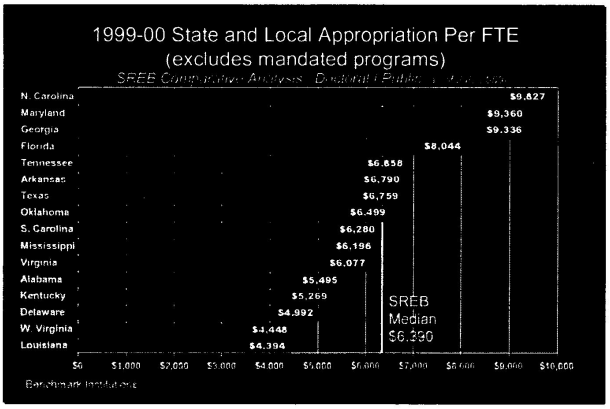


Slide 24



Note that the Community College System was excluded from this analysis starting in 1998-99.

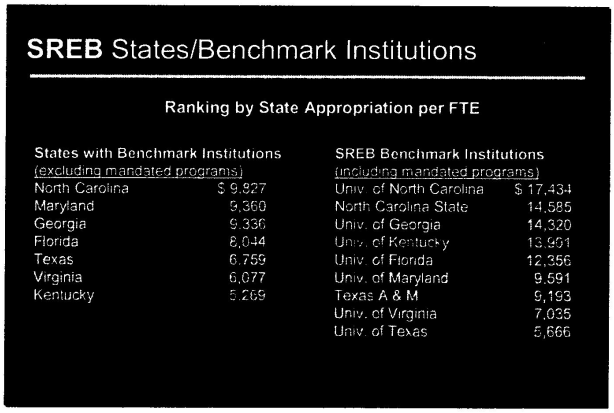
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NOTE that this chart provides statewide Doctoral 1 Public institution data, not for single institutions; however, in Kentucky, UK is the only institution classified as Doctoral 1 by SREB. In other states there is generally more than one institution represented in the data. For example,

UT-Austin and Texas A&M; UNC – Charlotte and NC State: U of Florida and Florida State; and so forth.

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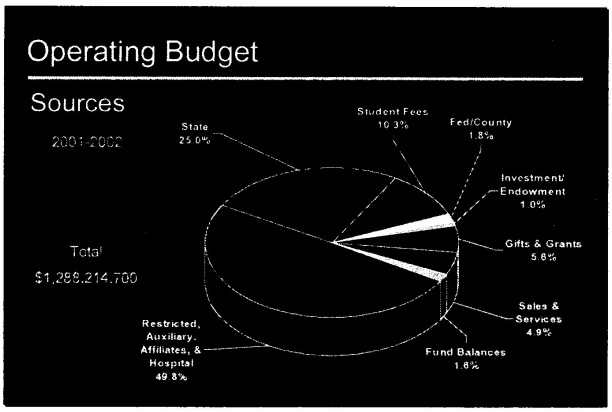


NOTE: This comparison is State Appropriation only; tuition and fees have been excluded in both cases. However, in one case, mandated programs are excluded, and in the other case, mandated programs are included.

The comparison on the left shows how the state of Kentucky compares to other SREB states where we have benchmark institutions, when the mandated programs are included, and state appropriation per FTE is calculated.

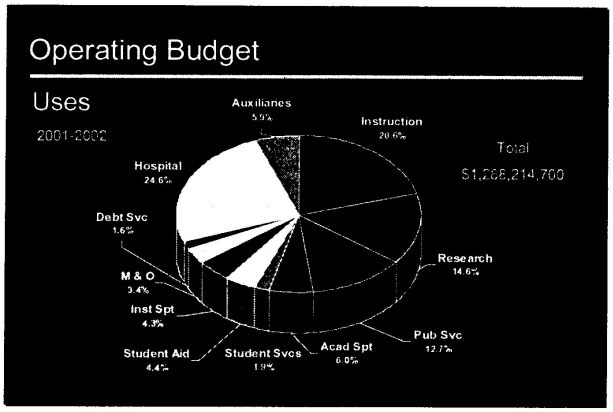
The comparison on the right shows how the University of Kentucky compares to other benchmark institutions in the SREB states, when the mandated programs are included, and state appropriation per FTE is calculated.

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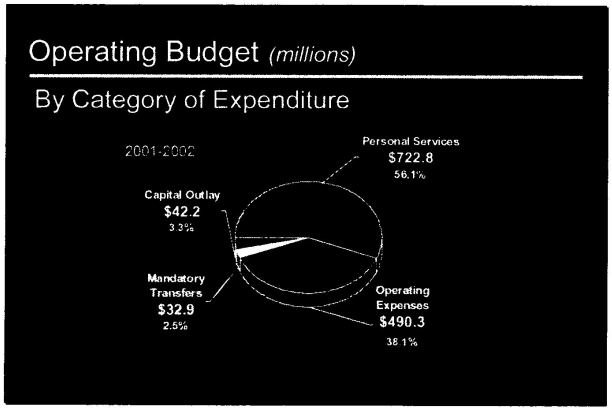


This year's $1.288 billion budget is an increase of 4.9% over the 2000-2001 budget.

Slide 28



Slide 29



Mandatory transfers includes the debt service.

Slide 30



President Wethington expressed his appreciation to Dr. Carr, Dr. Connie Ray, members of the budget staff and all of the Chancellors and Vice Presidents who worked to make this budget a reality. It is an annual Operating Budget that he believes will serve the University well for this next year. He recommended approval of the annual Operating Budget for 2001-02 of the University of Kentucky. On motion made by Mr. Wilcoxson, seconded by Mr. Grayson and carried, FCR 26 was approved. (See FCR 26 at the end of the Minutes.)

Dr. Reedy said there is one issue. He knows it is not going to change the direction of the budget, but after consultation and interaction with the UK Association of Emeriti Faculty and discussion of the insurance package, he thinks with President-elect Todd here it is appropriate to raise some of the issues that have come from them. He distributed a letter from that group and asked that the Board take an opportunity to look at it at some point in the future because the restructuring of the insurance plan raised the cost to the emeriti faculty by a factor of approximately 34% for an individual and spouse.

He said he was going to be a part of that group very shortly. This is an issue that may sound of jest but is one of reality. He said he will retire with a very nice retirement package under what has been an excellent plan in TIAA at this university. He has colleagues who retired 25 and 30 years ago on a salary of approximately $9,000. Some of those have left a surviving spouse now and that $24.00 a month that you are talking about is a significant part of their life. They are paying $50.00 a month out of their Medicare that comes directly out of any Social Security that they receive. The "carve out" plan that they receive in insurance, which is the only choice that they have, has a $500 deductible. The first $500 of costs they pay. He said he knows that this is not an issue that can be solved at this table today. He said he would be remiss in not bringing to you the concerns of persons who may be "no longer employees." It is not just an Administration Building that is a part of the heritage of the University; the lives of those individuals are, as well. He said, in his opinion, their needs should be protected as you look at some of these issues in the future. He apologized for taking so much time to make comments. He thinks they are appropriate for a group that has too long been voiceless, and there are a lot of societal groups that are voiceless. He said it will be his intent to work with them to help find a voice.

President Wethington said that we have committed to this group's having a voice in discussion of the whole health insurance issue over these next few months. The open enrollment period has passed now. This year is set, but the emeriti faculty certainly will have representation in the group looking at health insurance this fall.

Mr. Williams said he would like to add something to Dr. Reedy's remarks. There are retired staff members who are probably in as bad or worse shape than faculty members who have retired from the University. While the additional $21.00 a month for a single plan does not look like a lot of money, that is all relative to the salary one collects and what one is trying to do with that salary.

There were indeed people who benefited from the changes that were made: however, there are others who perhaps did not fare as well with the changes that were made. For the retirees to be charged insurance for the first time, in his opinion, violates a covenant that the

University has with those retirees to provide them with health insurance. There are a lot that feel like they have been voiceless in this process as well.

It is not a simple issue. There were a lot of staff people on this campus that worked long and hard to try to come up with a solution, and there simply are no easy answers. He said the University could be in the same position with projected double-digit inflation figures for health insurance yet again next year. He said he was pleased to hear that action is already being taken to get ahead of that curve if at all possible. His remarks were to honor the retired staff and some of the less paid staff at the University. He said, "In knowing that it won't impact the passage of the budget, I will be voting no on the budget, but it is as much a symbolic act as it is anything."

Mr. Grayson said that it is not a problem with just the University. He indicated that all corporations have this problem. It amounts to money and what is available. He does not think the faculty and staff are put at any more risk.

Mr. Williams said, "I'm sure. I know that."

Dr. Reedy said as a seat of knowledge and its creation, this is a good environment to address the issue.

Mr. Wilcoxson said he retired from one of the largest corporations, and after 15 years, he has no coverage. It all boils down to money. What money is available and what you can do. He said he would be tickled to death to have any kind of coverage after 15 years for his retirement. He agreed with Mr. Grayson that it all boils down to money and what is available. If the money is there, and it can fit in the budget, we can do whatever we can for the people and for the coverage. He said he thought they should do that.

Dr. Mather had a question on page 9 of the handout on the budget that dealt with the $400,000 figure for faculty recruitment and retention. He asked, "Is that the total amount set aside?"

President Wethington said this reflects the commitments made this year that need to be reflected in next year's budget. They do not represent setting aside anything new. They represent commitments that have been made this year for next year.

On motion made by Ms. Sparks seconded by Ms. Sims and carried, the Operating Budget was approved. Mr. Williams voted "nay." (See FCR 26 at the end of the Minutes.)

N. Acceptance of Interim Financial Report for the University of Kentucky for the Ten Months Ended April 30, 2001 (FCR 1)

Mr. Chellgren, Chairperson of the Finance Committee, reported that the Finance Committee had met that morning and had a full agenda. He stated that FCR 1 is the Acceptance of the Interim Financial Report for the University of Kentucky for the Ten Months Ended April 30, 2001. The Committee received a "heads up" from the financial staff as to the expected developments and balances for the fiscal year through the end of this month. There is nothing that needs to be brought to the Board's attention. This year our revenue recognition is running a bit ahead of last year -- about 88.4% versus 87.5%. The expenditure burn rate is running a little

bit behind. The institution continues to be in very sound shape. Mr. Chellgren moved adoption of FCR 1. The motion, seconded by Ms. Sims, passed. (See FCR 1 at the end of the Minutes.)

O. Disposition of Personal Property (FCR 2)

Mr. Chellgren said that FCR 2 is the routine disposal of personal property for individual items of less than $10,000. Any individual item greater than $10,000 will be approved by the Board on a case-by-case basis. Mr. Chellgren moved adoption of FCR 2. Ms. Sparks seconded the motion, and it carried. (See FCR 2 at the end of the Minutes.)

P. Capitalization Policy Property, Plant and Equipment (FCR 3)

Mr. Chellgren stated that FCR 3 is a change in accounting policy consistent with GASB Governmental Accounting Standards Board Statement No. 35 that the University will adopt in the forthcoming fiscal year beginning July 1, 2001, where we just approved the budget. This will change the capitalization level and, in some cases, whether items are capitalized in certain capital asset categories. This will simplify the university's property, plant and equipment records resulting in fewer detailed asset ledger items that need to be tracked. The Board needs to adopt this statement in order to have our statements properly audited and consistent with the accounting standards. Mr. Chellgren moved adoption of FCR 3. The motion, seconded by Dr. Reedy, passed. (See FCR 3 at the end of the Minutes.)

Q. Report of Leases (FCR 4)

Mr. Chellgren said FCR 4 and 5 are routine items. The items in FCR 4 are less than $30,000 in total value. There are two renewal leases, one new lease and one addendum to an existing lease. He noted that two leases were rolled over at the same lease rates. The new lease is for 12,000 square foot of space in Bowling Green for $15,600. The addendum is for about 368 square feet for additional rent of $4,140. Mr. Chellgren moved adoption of FCR 4. Ms. Sims seconded the motion, and it passed. (See FCR 4 at the end of the Minutes.)

R. Approval of Lease (FCR 5)

Mr. Chellgren said that FCR 5 is a renewal lease greater than $30,000 in annual expenditure. It is for 10,281 square feet of office space at an annual rate of $118,232. This is space on Waller Avenue and is being renewed at the existing lease rate. Mr. Chellgren moved adoption of FCR 5. The motion, seconded by Ms. Sparks, passed. (See FCR 5 at the end of the Minutes.)

S. Consent Agenda (FCR 6-14)

Mr. Chellgren stated that the following items would be voted upon as a consent agenda:

FCR 6 – a gift of $10,000 and a pledge of $400,000 from Drs. Michael and Elizabeth Kennan Burns of Danville, Kentucky, to create and endow the Joe A. and Cecil Dulin Wallace Fund to provide graduate fellowships for three departments in the College of Agriculture;

FCR 7 – the anticipated distribution of $200,000 from the estate of Everett H. Metcalf, Jr., to create and endow the Everett H. Metcalf, Jr. Professorship of Law in the College of Law;

FCR 8 – a $1,000,000 pledge from the Foundation for a Healthy Kentucky to establish the Endowed Chair/Distinguished Scholar in Rural Health Policy for the University;

FCR 9 – pledges of $90,000 from five individuals to create and endow the UKCUP Endowment for Urologic Research in the Division of Urology in the College of Medicine;

FCR 10 – a pledge of $50,000 from James P. Gray II of Lexington, Kentucky and $7,335 in gifts from other donors to establish and endow the Charles Parker Graves Endowed Professorship in the College of Architecture;

FCR 11 – a gift of $60,000 from GlaxoSmithKline, headquartered in London, England, to support the patient database development needs of the Gill Heart Institute through the Division of Cardiology in the College of Medicine;

FCR 12 – a gift of $40,000 from Helen Thacker Hill of Milledgeville, Georgia, and a gift of $10,000 from Leslie L. Martin of Versailles, Kentucky, to create and endow the Leslie L. Martin Endowed Fellowship Fund in the College of Education;

FCR 13 – a distribution of $250,000 and an anticipated distribution of $50,000 from the estate of James M. Lassiter of Murray, Kentucky, for the College of Law to create and endow the James and Mary Lassiter Endowed Fellowship funded at $200,000 and to create and endow the James and Mary Lassiter Endowed Professorship funded at $100,000; and

FCR 14 – a gift of $221,875 from Jonnie Williams of Chester, Virginia, for the Harold R. Burton Endowed Professorship in Plant Biochemistry in the Department of Agronomy in the College of Agriculture.

FCR 15 – a recommendation that the Board of Trustees approve changing the Madeline F. James Cancer Research Endowment to the Madeline F. James Professorship/Chair in Cancer Research;

FCR 16 – a recommendation that the Board of Trustees accept a gift of $50,000 and pledge of $50,000 from Medtronic, Inc., of Minneapolis, Minnesota, to support educational programs in the Division of Cardiology of the College of Medicine;

FCR 17 – a recommendation that the Board of Trustees approve changing the Spinal Cord and Brain Injury Postdoctoral/Graduate Student Fellowship Endowment to the Spinal Cord and Brain Injury Chair No. 5 in the College of Medicine;

FCR 18 – a pledge of $500,000 from The Oxley Foundation of Tulsa, Oklahoma, for the William T. Young Library Endowment to support the library collection for the benefit of research and graduate programs of the University; and

FCR 19 – a pledge of $1,000,000 from Mrs. Lucille C. Little to establish and endow the Lucille Caudill Little Fine Arts Library and Learning Center Fund. The income from the endowment will be used to purchase books and other research materials for the library that support the graduate and research programs of the College of Fine Arts.

On motion made by Mr. Chellgren, seconded and approved by Mr. Wilcoxson, FCR 6 through 19 were approved. (See FCR 6-19 at the end of the Minutes.)

Dr. Stumbo asked to comment on FCR 8. He informed the Board that the pledge is for a professorship to be located at the UK Rural Health Center in Hazard. He said it had been understood, but he never has seen it specified. He asked that it be recorded in the Minutes.

T. Grant of Water Pipeline Easement to U.S. Filter Operating Services, Inc., and Grant of Power Line Easement to Kentucky Mountain Power LLC, to Support a Regional Industrial Park in Knott County, Kentucky and Its First Tenant, a 500-Megawatt Power Plant (FCR 20)

Mr. Chellgren stated that FCR 20 is a recommendation for a 9600 foot water pipeline easement that will cross the university's land. This water pipeline will be carrying water to a 500-megawatt power plant to be owned by Kentucky Mountain Power that is in the same area. He noted that the University does not receive any revenue or income from granting this easement. By approving FCR 20, the Board will also be granting another related easement for the power line from the power plant to connect with the electrical grid in the state. Nevertheless, this is consistent with the university's service mission of helping economic development and being a constructive and positive neighbor for quality economic development. He moved the adoption of FCR 20 to grant these two easements for the power line and for the water pipeline. The motion, seconded by Ms. Sims, passed. (See FCR 20 at the end of the Minutes.)

U. Settlement of Boundary Dispute Robinson Forest Rose Branch Tract (FCR 21)

Mr. Chellgren said that FCR 21 is a settlement of a boundary line dispute on one of the outer land segments in the Robinson Forest in Breathitt County. It is recommended that the Board authorize the administration to execute a quitclaim deed conveying approximately 20 acres to Mrs. Gloria Prater, et al. The dispute has been going back for some years, and this will resolve this title dispute. Mrs. Prater has agreed to grant the University of Kentucky an easement over the property. On motion made by Mr. Chellgren and seconded by Ms. Edge, FCR 21 passed. (See FCR 21 at the end of the Minutes.)

V. Authorization to Convey 0.2126 Acres at Jefferson Community College to the City of Louisville, Kentucky, for Second Street Widening (FCR 22)

Mr. Chellgren stated that FCR 22 is a sale of a little over 9,000 square feet of land that is on Second Street in front of KCTCS's Jefferson Community College. Mr. Chellgren moved adoption of FCR 22. The motion, seconded by Ms. Wilson, carried. (See FCR 22 at the end of the Minutes.)

W. Authorization to Convey 0.287 Acres at Prestonsburg Community College to Department of Highways for Right-of-Way Purposes (FCR 23)

Mr. Chellgren stated that FCR 23 is a recommendation that the Board of Trustees authorize the Vice President for Fiscal Affairs to convey to the Department of Highways 0.287 acres (with necessary construction and access easements) for public highway improvement along a portion of Prestonsburg Community College property. He explained that the relationship with the community college carve out is that the University maintains title to the real estate if it had title to the real estate, and sometimes it did not. This is an easement for public highway improvements along a portion of Prestonsburg Community College. The state Department of

Highways will pay just under $83,000 for this right-of-way. Mr. Chellgren moved adoption of FCR 23. The motion, seconded by Ms. Edge, carried. (See FCR 23 at the end of the Minutes.)

X. Patent Assignment Report (FCR 24)

Mr. Chellgren stated that FCR 24 is the normal quarterly patent assignment report. He reported that there were nine patents to be assigned. This report is consistent with the university's development of intellectual property. The Board has been briefed a couple of times about the success of developing the patent portfolio and the intellectual property. This is consistent with the development of intellectual property. He moved the acceptance of the Patent Assignment Report and the nine patents. The motion, seconded by Dr. Reedy, carried. (See FCR 24 at the end of the Minutes.)

Y. Capital Construction Report (FCR 25)

Mr. Chellgren stated that FCR 25 is the quarterly review of the Capital Construction Report. He called attention to the new format and noted that it highlights all projects that are above $400,000 and all change orders in excess of $25,000. It also has boldface type for all changes in the report since the last quarter. He said there were not any particular projects that need to be brought to the Board's attention and moved acceptance of FCR 25. The motion, seconded by Ms. Sparks, carried. (See FCR 25 at the end of the Minutes.)

Z. Operating Budget for 2001-02 (FCR 26)

Mr. Chellgren stated that FCR 26 has been made moot by the Board's acceptance of the Operating Budget report earlier. He, therefore, passed on FCR 26 and said that concluded the report of the Finance Committee.

AA. Ad Hoc Committee on Athletics

Governor Breathitt reported that the Committee was following through at the request of the President to give the Board a report on the state of the Athletic Association. Governor Breathitt asked Professor Bob Lawson who is a member of the Athletic Association Board, a former distinguished dean of the University of Kentucky College of Law, and selected as one of the distinguished professors of the University, to review the report with the Board. He said that Professor Lawson and President Wethington would be available to answer any questions of the Board.

Mr. Lawson made the following presentation. He stated that the report was prepared by Larry Ivy, Director of Athletics, Paul VanBooven, Deputy General Counsel, and himself. He said the objective was to provide for the Board helpful information that might not be widely known and especially about the events that have occurred over the last year that caused some concern about the athletics program. He said the report was factual rather than judgmental. He said he would provide a very brief summary of the three parts of the report and entertain questions afterwards.

He said that Part I attempts to provide a very brief portrait of the athletics program. It shows that the athletics program consists of 22 different sports. They have almost 500

competing student athletes and 343 on scholarships. The report provides numbers showing that the Athletic Association has provided increased opportunities for participation by women over the last few years. There is a section that describes the $41M self-supporting budget. There is an effort to try to show the way in which the Association contributes to the general university objectives. There is $5M that is paid for tuition, room, and board for student athletes over the course of the year. There are also a variety of other things that are listed in the report involving scholarship support by the athletics program and construction of facilities that are for general use in the university. The report shows that there is a substantial investment that is made by the athletics program in an academics support program for the student athletes. The numbers show that the investment has served its purpose. In this academic year, 47% of the scholarship athletes achieved at least a 3.0 GPA, and 37 athletes in this group obtained a 4.0 GPA. There were only 35 of 343 that fell below a 2.0 standing. There is a segment in Part I on the history over the last decade that shows that over 90% of the athletes who have completed their eligibility have received degrees from the university, and that is quite unusual.

The second part of the report is information about the Athletic Association. It is now more than 50 years old and, of course, operates the athletics program. A section from the Articles of Incorporation on the Board of Directors of the Athletic Association is included in the report so that the Board can see its membership. It shows that there are 22 members: seven ex officio members from the university administration, 15 members appointed by the president (seven from the faculty, two from the Board of Trustees, and two students). They concluded the second part of the report with a description of NCAA requirements about institutional control over athletics and in particular the provisions that vest the responsibility for control over athletics with the President of the University.

The third part is about the problems that surfaced over the last year, and it is broken into three pieces. The first deals with the termination of Claude Bassett, the assistant football coach. He said he would only summarize what the Board could read in the report. He explained that most University employees do not work under written contracts. Assistant football and basketball coaches are an exception to that rule. These contracts came into existence some time ago in an effort to provide minimal job security for these employees. They find their relationship with universities disrupted suddenly with the head coach leaving or being made to leave. These contracts run for a year, usually corresponding with the fiscal year of the university. They provide for salary payments for that period even if termination of the relationship occurs earlier.

Mr. Bassett was terminated from the university's employment after it was discovered that he cashed a check payable to the University. At this point in time the Athletics Director did not know of his involvement in NCAA violations that later surfaced. The Athletics Director decided nonetheless that it was advisable to end his relationship with the University. Mr. Bassett's employment contract required salary payments until the end of the contract period or until he had obtained other employment. Because these contracts were designed from the beginning to provide minimum job security for these employees, it had no provision in it for unsalaried termination. The University was obligated under the contract to provide payments to Mr. Bassett until he obtained employment, and it lived up to that contract. It is easy to look back and see that maybe the contract should have had a provision that would have provided differently for termination based on misconduct, but it is also easy to see how that was not a part of the contract given its objective.

Mr. Chellgren asked, "What about prospective contracts?"

Mr. Lawson said that problem has been solved, and he did not think that kind of problem would surface with respect to future contracts.

The second subsection of the third part of the report relates to the NCAA violations and the football program. Under President Wethington and two athletics directors, the University has established full compliance with NCAA rules and regulations as its top priority. It has invested substantial resources toward that end, has established monitoring and oversight programs and, most importantly, has left no question that it would take strong actions against violators. What happened in the football program during the last year or so was profoundly disappointing to everyone in the department and to people throughout the University and beyond. Since the Board had received a full and complete report of the findings, he did not recount the details of those events. That part of the report is what the Athletics Department did once the rules violations surfaced and, in his opinion, he has seen too many NCAA problems in the 30 or so years that he has been around the University. It is his belief that the Athletics Department in this instance did exactly what it was obligated to do under NCAA rules and exactly what it needed to do for the good of the University. It conducted an open investigation and closed its eyes to nothing. It reported all violations, many of which were major, and indicated to the NCAA and others that it would accept full responsibility and proper penalties for these violations. What happened in the football program was damaging to the university's creditability and that is undeniable. What happened in the investigation of the wrong doing in this program has a fair chance of restoring much of that lost credibility. There is no fault, in his opinion, to be found in the university's handling of the unfortunate developments that occurred in the football program.

Professor Lawson then addressed the termination of Coach Hal Mumme. He said that the findings of the investigation left no room for doubt about the need for new leadership in the football program. The Athletics Director with the agreement of the President undertook to terminate the employment relationship of the head coach. There remained four years on Coach Mumme's contract. Two provisions of this contract came into play: one that required severance compensation for a premature termination of the contract by the University totaling $2.4M, and one that allowed for termination without compensation for what the contract described as "cause." He explained that cause was defined in the contract to include personal violation of NCAA rules by the head coach and prior knowledge by the head coach of NCAA violations and by members of his staff. Coach Mumme believed that he was entitled to full payment of his severance compensation. He was represented by three lawyers from Texas and strongly asserted his rights under the contract which he claimed were rights to $2.4M in severance compensation. The question of course was whether or not there was cause for termination of Coach Mumme. The investigation produced no evidence indicating that Coach Mumme was personally involved in violations and no evidence that he had prior knowledge of violations by Claude Bassett or others. It has been easy for some people to conclude that he must have had knowledge about these things. That is beside the point. The question is whether or not there was evidence either that he participated in violations or that he had prior knowledge of violations committed by others, and the comprehensive report produced no such evidence. The Athletics Director submitted the results of the investigation to the University's legal counsel, asked if there was cause for termination of the head coach, and was told that there was no cause for termination under the contract. The Athletics Director with the assistance of legal counsel entered into negotiations for termination of Coach Mumme's employment. Coach Mumme ended up after

those negotiations resigning as head coach and released the University from its obligations under the contract. The Athletics Department agreed to make compensation payments to Coach Mumme totaling $1M over time, less than half of what would have been full severance compensation under the contract.

Governor Breathitt said Part IV of the report has to do with the recommendation, and he would be available for any questions that the Board might have. He asked for questions from the Board.

Dr. Mather asked whether new contracts would deal with knowledge after the fact.

Mr. Lawson said the problem with provisions of that nature in a head coach's contract is that it is an arm's length negotiation. It is easier to deal with contracts that run to assistant coaches. Mr. Lawson said that if he were representing a head coach and cause was defined to allow for termination, without prior knowledge, of NCAA violation of others, he would not let him sign the contract.

Dr. Mather said the point he was making related to the head coach finding out about something and not reporting it.

Mr. Lawson said that would require another provision in the contract. Coaches have lawyers at their elbows whenever they are engaged in these negotiations and it is questionable whether or not lawyers would be willing to sign that kind of contract or permit their clients to sign that kind of contract.

Mr. Guthrie asked what about the assistant coaches in this case - an assistant coach that violated the university and NCAA rules – that we did continue to pay him until he found new employment. Is there cause or something in the new contract that if that's found, he is terminated with no continuation of his benefits and salary.

Mr. Lawson asked Larry Ivy to speak to that question.

Mr. Ivy said they had corrected the contract to cover that.

Mr. Guthrie said that if that had been in effect, you would have terminated Bassett.

Dr. Stumbo said that his recommendation is that all contracts should be made to protect the interest of the University and not the interest of the coaches or assistant coaches. The protection of the interest of student athletes of this university should be a primary importance, not how much you have to pay to get a coach and not how much money you have to make. These contracts that have been negotiated in the past have failed to meet that test.

Mr. Ivy said, "Well, it depends on what kind of program you want to run, Dr. Stumbo."

Dr. Stumbo replied, "An honest one – a creditable one."

Mr. Ivy said, "That's our primary responsibility, and that's our number one goal, but if you are going to have a top notch coach, if you are going to compete in the Southeastern

Conference, then there are certain things that you are going to have to do, and that's what we're trying to do.

Dr. Stumbo said, "Well you ought to be able to do it without violating the law and the rules."

Mr. Ivy replied, "That's not part of what we are trying to do."

Dr. Stumbo said, "I understand that, but there is a bigger problem, and it's not just here at Kentucky. This whole thing with the NCAA is a problem nationally with all schools. I think the University of Kentucky, especially the basketball program, has enough credibility to stand up and point out to everyone that this thing is a joke. Money is what's driving these big time athletic programs. It's money, and the universities are getting terribly dependent on it."

Governor Breathitt asked if anyone else had a question that they would like to ask. If not, he said, this is not an action item but he did ask that the Board receive this report for its consideration and further oversight of the athletics department.

Mr. Miles asked for any other comments.

Governor Breathitt interrupted, "We'll have to vote to receive the report. We're not taking a position on the report. We are just voting to receive it."

Mr. Miles said, "But I think as we receive this report -- I think as we go further -- we really have to look at the Board being involved. I'm not saying the Board should run the program, but I think the Board, just like Grady said, will have to be more knowledgeable."

Governor Breathitt said, "Yes, we have an action item following the receipt of this report and the action item, I will read it to you. It's number four on page 9. This is after consultation with members of the Board and with each of the members of the Ad Hoc Committee. "The Committee believes that concerns over inadequate information about athletics among members of the Board of Trustees could and should be remedied by periodic reports to the Board by the Athletics Director. Therefore, the Committee recommends that the Athletics Director provide a comprehensive report for the Board of Trustees in writing, and orally if needed, at least once in every semester and that the University of Kentucky Board of Trustees be notified of and invited to attend all meetings of the Board of Directors of the Athletic Association." Mr. Chairman, I recommend approval of Recommendation IV. Ms. Sparks seconded the motion.

Mr. Miles asked if there was any discussion or any changes the Board would like see.

Ms. Sparks said she appreciated the Committee's efforts and the report. It clears up a lot of questions.

Governor Breathitt said he thinks it is useful to this Board primarily but also to the public and he appreciated the efforts by the Athletics Director, Dean Lawson, and the President and their efforts to put this together for the Board's benefit so the Board will better understand it. And he added, "I would like to say in conclusion, Mr. Chairman, this being my swan song along with Dan and Mer and many others on the staff that I feel we are going into an era of good

feeling not only on this Board but at this university and I think that's very helpful. I know the differences that we may have had in the past. I have the greatest respect for everyone because I know that they are positions that they believed in and I respect everyone on this Board for it. And I think it is very important that we get these things behind us so that the new president does not have to deal with them. Now there may be things Mr. President that will come up in the future and I might say that the alumni members have said they are having two events, one on Thursday night over at the Holiday Inn in Frankfort by the Alumni Association, their annual meeting to honor Charles Wethington. It is not going to be as big as the one on Friday night because there is a whole lot more heat in a rising sun. So, don't have your feelings hurt and Mer and I and Dan are not going to have our feelings hurt on that score. But, I think this Board has expressed to you its appreciation for your service today and we are united Mr. President-elect in our support for you at the last meeting we have of this staff and we continue it as we go into an era of good feeling and unity at this university. I know that this Board and Chairman and all those in the university family are going to unite in their support to see that you have a great administration."

The motion previously made by Governor Breathitt and seconded by Ms. Sparks was voted on and carried. (See the Report on Athletics Matters at the end of the Minutes.)

BB. Investment Committee Report

Mr. Grayson reported that the endowment investments had a market value at the end of March of about $417M compared to the starting point June 30th of $378M, for an increase of $39M. The increase is a result of the Research Challenge Trust Fund for $41M. Again, if you would remember, we have multiple styles of managers. Our portfolio is allocated between fixed income and equities. He reported that between the end of March and the end of May the university's portfolio grew from $417M to $437M; therefore, recapturing a lot of what had been lost. The Investment Committee continually monitors, through the staff, the performance of the managers and the managers' styles. They collectively perform well. All of the managers, all of the indexes we compare them to, and all of the managers of the equity side are in the top quartile percentile performance. We have managers who are performing very well in a very difficult market. We have had very good performance in our fixed income, and we continue to monitor this. Mr. Clay Owen and his staff are the ones who stay on top of it, and we are in good position. We do not know when the market is going to turn, nobody does, but we are prepared to handle the market. So, the university's investment portfolio is in very good condition, and it is structured to perform as well as possible as we go through the rest of the year. Mr. Guthrie moved the acceptance of the report. Mr. Chellgren seconded the motion, and it carried.

CC. Other Business

Dr. Plattner said that Chairman Miles asked Dr. Mather and her to gather some resolutions. She asked Dr. Stumbo to start the resolutions.

Dr. Stumbo said he had been asked to read a resolution regarding Governor Edward T. Breathitt. He read the following resolution:

Whereas Governor Edward T. Breathitt has faithfully served the Commonwealth and this University as a Trustee on three different periods and for a total of 15 years, most as Board Chair, and

Whereas Governor Breathitt has been a strong supporter, both financially and vocally for this institution as an alumnus, Trustee, and friend, and

Whereas he has been an advocate for higher education and for this university in particular during his many years of public service, and

Whereas improved educational attainment by all citizens of the Commonwealth has been a persistent goal for him, and

Whereas he has unselfishly provided a wide range of public service across the Commonwealth in a variety of capacities, and

Whereas the citizens of the Commonwealth have clearly benefited from his wise counsel, leadership, and public service, and

Whereas he has chosen to make this term his final term as a Trustee of the University of Kentucky,

Therefore Be It Resolved, that at its meeting on June 19, 2001, this Board heartily thanks him for his many years of loyal service and unswerving dedication to education in the Commonwealth but especially his service to this Board and this University.

Governor Breathitt received a round of applause.

Ms. Sims read the following resolution for Mr. Glenn:

Whereas James Glenn has served two terms as Student Trustee of the Board of Trustees of the University of Kentucky, and

has had at often times the heavy tasks of bringing forward difficult student issues, and

who has represented the student body on a number of occasions with calm and dignity beyond his years,

Be It Therefore Resolved, that James Glenn who has helped us recognize the strength through a more diverse world accept our thanks for his service to UK.

Mr. Glenn received a round of applause.

Mr. Guthrie said he had the privilege of reading the following proclamation for Merwin Grayson, Jr.:

Whereas Merwin Grayson, Jr. is completing his sixth and final year as a Trustee of the University of Kentucky, and

Whereas he served not only as a Board member, but also as a member of the Student Code and Hearing committees, and

Whereas he has freely shared his financial expertise and provided counsel and advice, especially in his role as a member and as Chair of the Investment Committee during a time of significant transition in the University investments, and

Whereas as a graduate of this institution along with his wife Susan, he has been a committed and loyal supporter of the university and its activities, both through his enthusiasm and his financial assistance, and

Whereas the Gatton College of Business and Economics has recently recognized his leadership and support by selecting him as a member of the College's Hall of Fame,

Therefore Be It Resolved, that the University of Kentucky Board of Trustees at its meeting on June 19, 2001 acknowledge and thank him for his years of service to this Board and to this institution and now assign him to full-time enjoyment of the two great joys in his life, his family and his sailing.

Mr. Grayson received a round of applause.

Ms. Wickliffe said that she had the pleasure of reading the following resolution for Dr. Reedy:

Whereas Dr. Daniel Reedy has completed his service as faculty Trustee of the Board of the University of Kentucky, and

By his scholarship, teaching and academic administrative leadership leaves this University a richer place, and

By his professional conduct has demonstrated again the invaluable virtues of honor and respectability,

Be It Therefore Resolved, that Dr. Daniel Reedy whose organizational skills, tenacity, wit and wisdom inspired dedication and commitment to the presidential search process accept our thanks and appreciation for your service to the University of Kentucky.

Dr. Reedy received a round of applause.

Ms. Wilson said it was her pleasure to read the following resolution for Dr. Charles T. Wethington, Jr.:

Whereas, Dr. Charles Wethington, President of the University of Kentucky, has completed his term in office for this university and for the people of the Commonwealth of Kentucky, and

Who has by his enthusiasm and energy exhibited powerful leadership in building a center of learning equal to the challenge of the 21st Century. Whether through academic programs, research, administrative responsibilities or a new building, the President has set standards that will help guide this university for years to come.

Not of all of us have the gift to see the future, but if we do, it is because there are others who have given us insight. When praise and prize-winning tributes have been awarded, finally there stands as a sum of any educator's life what we have accomplished for the hopes and dreams of our students.

An E. O. Robinson Scholar has recently written to the President, "When I received notice of my full scholarship to the University of Kentucky, my spirits were lifted and now I have something to strive for. A new opportunity has been laid before my feet. I am thankful. You, sir, have changed my life."

Be It Therefore Resolved, that President Charles Wethington has our grateful appreciation for finding new answers to old problems, for challenging Kentucky to do better, to be better, and for showing us that education and learning are lasting gifts of greatness.

President Wethington received a round of applause.

President Wethington said that Chairman Miles asked him if he wanted to say something. He said that he had probably said enough today with presentations, and so on. But, that resolution was clearly well worded and well written. He said he was touched by the resolution and sincerely appreciated the tribute. He expressed his appreciation to the Board for the support they have given him and especially to outgoing members Jimmy Glenn, Mer Grayson, Ned Breathitt and Dan Reedy. He said the Board was losing a significant portion of the Board that has been very important to him over the last several years. He expressed his appreciation for what the Board has done to help the University move ahead. He said he is committed to the institution and to seeing it do well. The actions that he has taken are ones that are designed to look to the future and do what he believes is best for the University. It sometimes was not well received, but he never let that deter him.

He said the University has moved ahead in a direction that he thought was sound. He appreciated the Board's understanding, its forbearance, and its support. Without a good, strong, solid Board the job of president simply cannot be done. He asked the Board to give Lee Todd, who is coming in office, their full support. It is a difficult enough job with it, and it is an impossible job without it. The Board members are Trustees, and they hold the University in trust, a term that is a meaningful one. The Board's role is clearly one of governance and policy setting, of expectation of administration by the President, and always looking to the future to determine what is best for the University of Kentucky. He said that he and Judy appreciate what the Board has done, especially what had been said today. They appreciate the honor that the Board has bestowed on the both of them and thanked them very much.

President and Mrs. Wethington received a round of applause.

Mr. Miles reminded the Board of the retreat on July 23rd and 24th at Shaker Village. He announced that the next official Board meeting would be August 14th.

Mr. Guthrie made a comment about the alumni workshop and said that the Board had been invited to the events on Thursday and Friday evenings. He then reminded the members of the University Relations Committee of the meeting in room 203 following the Board meeting.

DD. Meeting Adjourned

With no further business to come before the Board, the Chairperson adjourned the meeting at 4:00 p.m.

Respectfully submitted,

Daniel R. Reedy
Secretary
Board of Trustees

(PR 2, 3A, 3B, 3C, 4A, 6A, 6B, 6C, 6D; AACR 1; FCR 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, and 26 which follow are official parts of the Minutes of the meeting. The Report on Athletics Matters is also attached.)

PR 1

Office of the President
June 19, 2001

1. University of Kentucky Awards 5,813 Degrees at 134th Commencement

The University of Kentucky conferred 5,813 degrees at its 134th commencement on May 6, including August 2000 and December 2000 graduates. The number of May 2001 degree candidates included 2,203 bachelor's degrees, 783 graduate degrees, 355 professional degrees and 342 associate degrees. President Charles T. Wethington Jr. presided over his 12th commencement since he assumed the university's helm in 1990, a period in which UK awarded nearly one-third of all degrees conferred since the university's founding in 1865.

2. UK Researchers Isolate Prime Suspect in Epidemic of Foal Deaths

A team of College of Agriculture researchers worked virtually around the clock for several weeks in May to help find the cause and seek a cure for an epidemic of foal deaths that plagued Kentucky's horse industry. More than 500 foals died from "mare reproductive death syndrome" before researchers isolated a prime suspect: cyanide from wild cherry leaves consumed by Eastern tentworms. The researchers are still determining how the mares may have ingested the cyanide.

3. UK Reaches Major Milestone in its "Call To Greatness" Campaign

The University of Kentucky's $600 million fund-raising campaign, A Call To Greatness, has attracted $400 million in gifts, officials announced earlier this month. The milestone was achieved less than a year after the university publicly launched the campaign, the most ambitious in Kentucky's history.

4. Truman Scholarship Program Honors UK

The University of Kentucky has received the Harry S. Truman Foundation Honor Institution Award for exemplary participation in the Harry S. Truman Scholarship program. The award is based on an institution's active encouragement of outstanding young people to pursue careers in public service and its sustained success in helping students win the $30,000, three-year scholarship; one of its students must have been selected to receive the scholarship in the current year. Since 1979, nine UK students have been awarded the prestigious scholarship. Other universities that have received the award include Harvard, Princeton, Stanford, Yale, Brown and Columbia.

5. Nun Study Receives National Attention

The Nun Study, housed at the UK Sanders-Brown Center on Aging and headed by Dr. William Markesbery, has received considerable national attention in the past few weeks as a result of a new book by David Snowdon, Ph.D., Neurology, and director of the Nun Study. The study of the medical histories of nearly 700 American nuns and their incidence of Alzheimer's disease was the subject of a ***Time*** magazine cover story, a front page ***New York Times*** story, a ***USA Today*** article, and reports on NBC's "Today Show," "NBC Nightly News" and National Public Radio's "Fresh Air."

6. UK Donovan Scholars Program Graduates 41st Student

Donovan Scholar Anne Sorrell Dent from Louisville was awarded a Ph.D. in history at the May commencement services, becoming the 41st student to receive a degree through the UK Donovan Scholars Program. Donovan Scholars are UK students who are age 65 or older and attend academic classes, or who are 60 or older and attend special interest courses. The total enrollment in both categories for the spring semester was 660.

7. Kentucky Public Health Leadership Institute Graduates Its First Class

Thirty public health professionals recently completed the first program of the Kentucky Public Health Leadership Institute, receiving certificates from the Kentucky School of Public Health at the UK College of Medicine. UK began offering a Public Health Leadership Institute in March 2000. The institute's goal is to strengthen public health in Kentucky by improving the skills of professionals who administer local, state and regional public health systems.

8. UK Grads are Part of Pulitzer Prize-Winning Teams

Two graduates of the UK School of Journalism and Telecommunications shared Pulitzer Prizes in 2001 for their contributions to newspaper teams. William Neikirk, a 1960 graduate, was involved in the ***Chicago Tribune*** series "Gateway to Gridlock," about problems on the American air traffic system, which won in the Explanatory Journalism category. Neikirk is also a member of the Kentucky Journalism Hall of Fame. Dana Canedy, a 1988 graduate, shared the prize in the National Reporting category for her contribution to the ***New York Times*** series "How Race is Lived in America." Ms. Canedy, the ***Times***' Miami bureau chief, wrote "The Hurt Between the Lines: A Newsroom Divides After a Healing Series on Race," about race relations within the newsroom staff at the ***Akron Beacon Journal***.

9. Social Work Hall of Fame Inducts Irma Rosenstein

The College of Social Work inducted Irma Rosenstein of Lexington into its Hall of Fame. A former member of the college's faculty, Rosenstein was instrumental in organizing the Bluegrass Chapter of the National Conference for Community and Justice.

10. Center for Rural Health Joins in Pediatric Asthma Prevention Effort

The U.S. Office of Rural Health Policy has awarded a grant of more than $191,000 to the Kentucky River Public Health District based in Hazard, Ky. The organization is leading a coalition called the Southeast Kentucky Initiative for Pediatric Asthma in a program to prevent child asthma in a four-county area in the Appalachian region of Kentucky. The UK Center for Rural Health is part of the three-year effort, which will develop a strategic plan to resolve limitations in health care services and establish new services to deal with child asthma.

11. Center for Minimally Invasive Surgery Pioneers New Technology

Surgeons and those training in surgical techniques can be just down the hall from the operating room – or thousands of miles away – and look in on a surgery, thanks to new technology pioneered by researchers at the UK Center for Minimally Invasive Surgery. The first wireless transmission of a live surgery to hand-held computers was a laparoscopic hernia repair broadcast from a UK operating room in early May. The technology, tested at UK by Alex Gandsas, Surgery, integrated hand-held computer technology, streaming video technology and wireless Internet protocols to render the images in real time from an operating room into the hand-held computers.

12. UK Agrees to Faculty Exchanges with Middle Eastern University

UK officials inked a "memorandum of agreement" in late May with Zayed University of the United Arab Emirates to encourage visits from one university to the other to develop curricula, foster intellectual exchange, engage in research and scholarship and creative activity. The agreement, signed via teleconference, is the first between Zayed University and an American university. UK has more than 50 formal exchange agreements with institutions around the world.

13. UK Researchers Install 'Stealth' Carbon in Bridge

UK civil engineering researchers installed reinforcement bars made of carbon similar to material used in the B-2 Stealth bomber in a bridge in rural Clark County in late May. Only five bridges in the United States have to date used carbon-fiber bars as deck reinforcement. The carbon material resists corrosion and is many times stronger than steel. UK engineers lead the nation in research on fiber-reinforced polymers.

14. Gatton College Co-sponsors Conference for Internet Entrepreneurs

The Carol Martin Gatton College of Business and Economics was a co-sponsor of the second annual Silicon Central eConference in Lexington for entrepreneurs exploring opportunities in electronic commerce. The conference, which targets entrepreneurs and venture capitalists in Kentucky, Ohio, Indiana, Illinois and Michigan, drew more than 200 people in early June to discuss issues ranging from attracting investors to ensuring profitability.

15. Robinson Scholars Program Inducts 29 Eastern Kentucky Eighth-Graders

As the first class of Robinson Scholars prepares to enter college this fall, the Robinson Scholars Program inducted 29 more Eastern Kentucky eighth-graders into the program earlier this month. The program, established by the UK Board of Trustees in 1995, offers full tuition, books, room and board and other expenses to program participants who finish high school with acceptable grade point averages. The program inducted 162 youngsters in 1997, and 158 fulfilled the qualifying criteria and will begin college at UK or any Kentucky community college in August. Since its inception, 394 Eastern Kentucky youths have been inducted as Robinson Scholars.

16. Significant Activities of Students

Several University of Kentucky students were recognized for being at the top of their classes at the annual UK Honors and Recognition Awards program in late April. The awards, given by the UK Student Activities Board, recognizes students who excel in and out of the classroom. This year's award recipients were Outstanding Freshman Lesli Proffitt, Biology; Outstanding Sophomore Ashley Roberts, Communication; Outstanding Junior Courtney Reynolds, History; and Outstanding Senior Finalist Kimberly Glenn, Mechanical Engineering. Outstanding Senior Alyson Spurlock, Accounting, was honored as the top UK senior with the Otis A. Singletary Outstanding Student Award.

Erin Cunningham, Jens Eberth, Eddie Groves, Todd Holcomb and Stephanie Parrott, Journalism and Telecommunications, made a 20-minute presentation of a 40-page communications plan that won the fifth district of the American Advertising Federation's National Student Advertising Competition. The group, representing a 43-member student team from UK, competed in the national finals in early June.

Mia Rosenfeld, Gerontology doctoral student, presented the poster "Impact of Sensory Loss on Health-Related Quality of Life" at the American Academy of Audiology convention. It was co-authored by Gerontology doctoral student Kevin Lomax.

Kris Wood, Chemical Engineering, is one of only four students from Kentucky colleges and universities, and one of only 302 students from across the nation selected as a Goldwater Scholar for 2001 from the Barry M. Goldwater Scholarship and Excellence in Education Foundation.

17. Significant Faculty and Staff Activities

Tom Barnes, Forestry, received the Research Technology Transfer Award from the Southern Extension Forestry Specialists Association for his work on establishing native warm season grass. He also received the Extension Publications Award from the Southern Extension Forestry Specialists Association for his publication on hummingbirds. He also was presented the American Biographical Institute Medal as 2001 Man of the Year.

Joseph Berger, Neurology, gave the Sidney Allison Lecture at the Irish Neurological Association.

Yvonne Cappe, Journalism and Telecommunications, has been appointed a Teaching Fellow for the 2001 Teaching Fellows Workshop at Indiana University this summer.

Alfred Cohen, Surgery and Markey Cancer Center, was elected vice president of the Society of Surgical Oncology.

Gregory J. Davis, Pathology and Laboratory Medicine, received the David Wolf Award for outstanding leadership and service from the Kentucky Coroners' Association.

Hank Dietz, Electrical Engineering, was honored with the Computerworld Honors Medallion as a "2001 Computerworld Honors Laureate" for the development and demonstration of new technologies. Deitz's research group developed the KLAT2 Supercomputer.

R. Lewis Donohew, Communication, has been chosen as the National Communication Association-International Communication Association's Outstanding Health Communication Scholar for 2001.

Sue Fosson, College of Medicine Student Affairs, has assumed the position of chair of the Southern Group on Student Affairs of the Association of American Medical Colleges.

Roberta M. Harding, Law, received the Kentucky Department of Public Advocacy's Public Advocate's Award during the 29th Annual Public Defender Conference. Harding was recognized for her work with the Kentucky Innocence Project to ensure that wrongly convicted people are freed from prison.

Ron Hustedde, Rural Sociology, was a plenary speaker at the International Association for Community Development conference in New Zealand in April.

Charles Issel, Veterinary Science, received a $116,500 grant from Bayer Corporation to conduct trials for an equine infectious anemia vaccine developed by University of Kentucky veterinary researchers in consort with University of Pittsburgh medical researchers.

Rebecca Kayo, Matt Hiller, Egle Narevic, Michele Staton Tindall and Carl Leukefeld, Center for Drug and Alcohol Research, presented the paper "Mental Health, Substance Abuse, and Concurrent Problems Among Inmates in a State Prison" at the annual meeting of the Academy of Criminal Justice Sciences.

Harold Kleinert, Jacqui Kearns, and Sarah Kennedy, Interdisciplinary Human Development Institute, have contributed the article "Accountability for All Students: Kentucky's Alternative Portfolio Assessment for Students with Moderate and Severe Cognitive Disabilities" to a textbook by the Association for Persons with Severe Handicaps.

Deborah Kwolek, Internal Medicine and Women's Health Center, received the National Clinician-Educator Award in the area of scholarship in educational methods and teaching from the Society of General Internal Medicine.

Wendy Mager and Beth Harrison, Interdisciplinary Human Development Institute, co-presented a three-hour session entitled "A State Initiative to Prepare Para Educators to Assist Students with Disabilities" at the 20th National Conference on the Training and Employment of Paraprofessionals.

Alan T. Male, Center for Robotics and Manufacturing Systems, presented the paper "Influence of Material Physical Properties in Plasma-Jet Forming of Sheet Metals" at SheMet 2001 in Leuven, Belguim. He also presented two papers, "Rapid Prototyping of Sheet Metal Components by Plasma-Jet Forming" and "Weld Deposition Based Rapid Prototyping: A Preliminary Study," at the Research and Development in Net Shape Manufacturing Conference in Birmingham, England.

Monica Mehanna, Engineering Communications, was initiated into Omicron Delta Kappa National Leadership Honor Society.

Lee Meyer, Agricultural Economics, received a $168,000 grant from the U.S. Department of Agriculture to conduct research and educational programs for small- and medium-sized beef producers in the Eastern corn belt.

Richard Mills, Ophthalmology, has been appointed by the American Academy of Ophthalmology to the Medem Editorial Advisory Committee as ophthalmology editor.

Chris Nelson, Pediatrics, was the faculty recipient this year of the Humanism in Medicine Award sponsored by the Healthcare Foundation of New Jersey.

Ken Olsen, Interdisciplinary Human Development Institute and Mid-South Regional Resource Center, has been selected as a member of the National Advisory Committee of the National Center on Educational Outcomes at the University of Minnesota.

Sue Scheff, Engineering, has received the Women in Engineering Programs and Advocates Network (WEPAN) Founder's Award, honoring a member who exemplifies the spirit of WEPAN's founders through extraordinary service to the organization.

Kathy Stewart, Coldstream Research Campus, has been elected to the Board of Directors of the Association of University-Related Research Parks.

Darrell Taulbee, Center for Applied Energy Research, recently won a Best Paper Award from the American Foundry Society, the second time he has won the award. His paper was titled "Evaluating the Emission Characteristics of Seacoal and Seacoal Supplements Using Advanced Analytical Techniques."

George Wagner, Agronomy, received a $390,000 grant from Philip Morris Inc. to research methods to reduce cadmium content in tobacco lamina by sequestering it in the roots.

Ken Warlick, Interdisciplinary Human Development Institute, has been appointed to the National Board of the Learning Disabilities Association of America.

Greg Wasilkowski, Computer Science, has received $250,000 from the National Science Foundation for his proposal "Information-Based Complexity of Multivariate Problems." He also received the Information-Based Complexity Award for 2001 from the ***Journal of Complexity*** for his research contributions to complexity theory.

Keith W. Whites, Electrical Engineering, presented the paper "Electromagnetic Force and Torque Calculations for Fibrous Ultra-Lightweight Sails" at the American Institute of Aeronautics and Astronautics' Gossamer Spacecraft Forum in Seattle.

Jun Zhang, Computer Science, received a $325,000 CAREER Award from the National Science Foundation for his proposal "Develop Robust Scalable Linear System Solvers with Scientific, Engineering and Industrial Applications."

REPORT ON ATHLETICS MATTERS

June 19, 2001

At the April meeting of the Board of Trustees, the Board Chairman appointed a Committee to make recommendations regarding how the Board could better be kept abreast of matters relating to Athletics. This report was prepared to assist the Committee and is divided into four parts: a description of current Athletics Department activities; a description of the University of Kentucky Athletic Association and its relationship to the University and NCAA regulations; a description of recent events; and a Committee recommendation on periodic reports to the Board of Trustees.

I.

Current Athletic Department Activities

The University of Kentucky athletics program currently consists of 22 sports (11 women; 10 men and 1 co-ed). For the spring semester of 2001, there were 343 athletes on full or partial scholarship (208 men and 135 women) and 128 non-scholarship athletes (101 men and 27 women).

The Athletics Department is totally self-supporting, with no tax dollars or University dollars allocated to fund a $41-million budget. Since 1989, the Athletics Department has expended significant amounts (almost $20,000,000) on general, non-athletic University programs. For example, $1,250,000 has been used to establish scholarships in the names of W. L. Matthews, Otis A. Singletary and Charles T. Wethington. The scholarships allow the University's brightest undergraduates to continue their graduate work at the University of Kentucky. The royalty income from the sale of licensed products (approximately $4,000,000 annually) is shared equally between the Athletics Department and the University.

The financial condition of the Athletic Association made possible the construction of the William T. Young Library.

The Athletics Department pays to the University full-rate for room, board and tuition for the scholarship athletes, which amounts to almost $5,000,000 a year. In addition to athletically related scholarship dollars, 79 student-athletes receive $193,117.00 from the federally funded Pell Grant Program; depending on need, students may receive from $400.00 to $3,300.00 a year from this program. Student-athletes may also receive grants from the Special Assistance Fund established by the NCAA,

which covers such needs as clothing, medical and dental bills, family emergencies and course supplies. Last year, 160 University of Kentucky student-athletes participated in this program and received a total of $41,262.36.

In the last ten years UKAA has built an Aquatic Center ($7,000,000) and an indoor track facility ($8,500,000), both of which are open for use by University faculty, staff and students for recreational purposes.

During the last few years, the Athletics Department significantly expanded participation opportunities for UK students by sponsoring three new sports - women and men's soccer and women's softball. Financial support for female athletes increased 35% and participation of female athletes increased 41%. By 1999-2000 the Athletics Department was providing financial assistance to 548 UK students.

In 1998 the Athletics Department dedicated the $3,000,000 Center for Academic and Tutorial Services. This state-of-the-art facility ensures that the University of Kentucky remains a leader in academic support services for student-athletes. During the last decade the Department's financial commitment to academic support increased 300%, from $320,000.00 to almost $1,000,000.00 per year.

In the last decade the University of Kentucky has graduated over 90% of student-athletes who completed their athletic eligibility; 5 student-athletes won post-graduate scholarships and 41 were named to an Academic All-America Team. The University of Kentucky is one of the leaders in the number of All-Southeastern Conference academic performers. Since the inception of the Southeastern Conference Honor Roll in 1984, UK has had more football players named to the Honor Roll than any other SEC school. 70% of UK's men's basketball players who have completed their eligibility since 1990 have earned their degrees and additional players are enrolled in courses to complete their degrees with financial support from the athletics program.

According to the National Association of Academic Advisors for Athletics, the Center for Academic and Tutorial Services (Cats) at the University of Kentucky was the first academic center for student-athletes in the nation. Several institutions across the country have followed UK's lead in establishing their own centers.

The following is a list of academic achievements for the Spring Semester 2001:

- Of the 343 student-athletes on scholarship, 161 student-

athletes had a 3.00 g.p.a.

- 37 scholarship student-athletes had a 4.00 g.p.a.
- Only 35 scholarship student-athletes had a g.p.a. below a 2.00.

During the last decade, under the leadership of former Athletics Director C.M. Newton and President Charles T. Wethington, there has been a genuine commitment at UK to compliance with NCAA and SEC rules. In 1997 Dr. Wethington established the Academic Integrity Group (consisting of representatives from the faculty, the office of Admissions, and Athletics administration) as a standing committee Kentucky to insure that student-athletes meet UK, SEC and NCAA standards, make satisfactory progress toward a meaningful degree, and meet certification standards, and to provide general oversight to the Athletics Department academic support services.

The Athletics Department Compliance staff was expanded from one full-time employee to three -- an Assistant Athletics Director with direct reporting responsibility to the Athletics Director, a Director of Compliance, and an Eligibility Coordinator. This staff spends approximately 260 hours each year educating coaches, student-athletes, and boosters on NCAA rules and interpretations.

Finally, the decade was marked by facility construction and renovation. New athletic facilities include the Nutter Field House, the UK Softball/Soccer Complex and the Boone Outdoor Tennis Stadium. Significant renovations were done on Commonwealth Stadium, Cliff Hagan Baseball Stadium, Wildcat Lodge and Memorial Coliseum.

The University of Kentucky is one of a very few schools nationally that can boast of an athletics department that is totally financially self-sustaining.

II.

A Description of University of Kentucky Athletic Association, and its Relationship to the University and NCAA Regulations

A. Founding of the University of Kentucky Athletic Association

The University of Kentucky Athletic Association (UKAA) was incorporated as a Kentucky non-profit corporation on November 20, 1945, by action of seven University of Kentucky faculty and administrators. Earlier that day, the Kentucky Attorney General

had approved the Articles of Incorporation and had issued an opinion confirming that the Board of Trustees of the University was "possessed of sufficient power and authority" to enter into two agreements whereby UK would permit UKAA to use UK's athletic facilities "for the purpose of preparing for and holding athletic exhibitions and contests and to collect admission fees thereto . . . ." and for UK to pay UKAA for reserved seating space for students at all athletic events, tournaments excepted, conducted by UKAA in Lexington.

On November 24, 1945, the UKAA Articles of Incorporation were submitted to the Executive Committee of the Board of Trustees. The Executive Committee at that meeting approved the two agreements described above between UK and UKAA. Since that time, the corporate affairs of UK Athletics have been conducted through UKAA.

B. UKAA Board of Directors.

The Articles of Incorporation set out the membership in UKAA's Board of Directors:

> The affairs and business of the corporation shall be conducted by a Board of Directors which shall consist of the President of the University of Kentucky, the Chancellor - Lexington Campus of the University of Kentucky, the Vice Chancellor for Student Affairs, Lexington Campus, of the University of Kentucky, the Vice President for University Relations of the University of Kentucky, the Faculty Chairman of Athletics, the President of the K-Men's Association, and the Vice Chancellor - Administration, Lexington Campus, of the University of Kentucky, ex officio; and fifteen appointive members to be appointed by the President, two of whom shall be members of the Board of Trustees of the University of Kentucky; two of whom shall be alumni of the University of Kentucky; seven of whom shall be members of the University of Kentucky faculty; two of whom shall be at-large members; and two of whom shall be full time members of the University of Kentucky student body, appointed by the President for terms of one year each.

C. Powers of the University of Kentucky Athletic Association.

Pursuant to the Articles, UKAA has the power: (a) to aid and encourage education, particularly in the fields of physical culture and training and to furnish instructors, equipment, and other aid for this purpose; (b) to purchase, lease, receive, own, sell, and convey real and personal property of all kinds,

particularly lands, buildings and equipment necessary or convenient for participation in athletic training, games and contests; (c) to employ instructors, coaches, directors and other persons necessary for carrying out the purposes of the corporation; (d) to arrange, hold and conduct amateur athletic exhibitions, games, and contests, and to charge and receive admission fees to the same; (e) to receive and accept donations by gift or devise, absolutely or in trust, and to acquire in other lawful manner moneys and properties for its maintenance; (f) to borrow money and give its notes or other obligations therefor and to secure payment thereof by pledging, assigning or mortgaging any property it may own; (g) to provide for membership of persons interested in the purposes of the association and to issue certificates therefor; (h) to do any or all other lawful acts reasonably necessary to carry out the objects and purposes of the corporation.

D. NCAA Requirement of Institutional Control.

The National Collegiate Athletic Association Constitution states that it is the "responsibility of each member institution to control its intercollegiate athletics program in compliance with the rules and regulations of the Association." Specifically, NCAA Constitution § 2.1.1 requires that "The institution's chief executive officer is responsible for the administration of all aspects of the athletics program . . . ."

The Articles of Incorporation designate the President of the University of Kentucky as president of UKAA. The University Governing Regulations establish the President of the University as the "chief executive officer." The President is delegated the same degree of authority to administer the athletics program as he has for all other programs in the University, including the authority to hire (subject to approval of the Board of Trustees), evaluate, and terminate the athletic director, and to oversee all financial matters in athletics.

Because the President of the University also serves as President of the University of Kentucky Athletic Association, the University of Kentucky is in compliance with the requirements of NCAA Constitution § 2.1.1.

III.

Recent Events

A. Termination of Assistant Football Coach.

Background: Assistant coaches in football and basketball at the University of Kentucky have written contracts of employment,

a condition that does not prevail with respect to most of the University's employees (including most of those who work in the Athletics Department). This unusual treatment of these employees has resulted from a pursuit of two objectives: (1) a desire for fair and equitable employment practices for a group of employees who are uniquely vulnerable to sudden changes in their employment status, where termination almost surely follows the willing or unwilling departure of head coaches (not an uncommon event); and (2) a desire to provide head coaches a fair chance to obtain high quality assistants, which is probably not achievable without at least a minimal level of job security. Although they may vary in some instances, the contracts typically run for one year (usually in correlation with the University's fiscal year) and typically require payment of salary for the length of the contract period, the effect of which is to provide salary protection (and minimal job security) in the event a head coach departs and assistants are left to find other employment.

Findings: It came to light near the end of the football season in year 2000 that an assistant football coach, Claude Bassett, had endorsed and cashed a $500 check that had been made payable to the University of Kentucky. In a conversation with the Athletics Director, Mr. Bassett said that the check had been given for support of the "football camps" program and had in fact been used for that purpose; he provided personal assurances that the proceeds had not been put to personal or other improper use, although he was unable to provide documentary evidence of such. After conversations with the maker of the check and after other inquiries, the Athletics Director decided that it was advisable to terminate Mr. Bassett's employment with the University and undertook to accomplish that objective, action which brought Mr. Bassett's employment contract into operation and effect.

Conclusion: As described above, the contract provided Mr. Bassett with salary protection for the period of the contract (or until he obtained employment within that period) and it provided this protection without regard to the reasons for termination of the employment relationship. Specifically, it did not provide for an unsalaried termination for violation of University rules and regulations or for violation of NCAA rules and regulations; simply stated, if the University elected to end the employment relationship, it remained obligated to make salary payments for the period of the contract (as described above). The Athletics Director concluded that it was in the best interest of both the University and the Athletics Department to end the relationship and took the necessary actions to do so, resulting in a payment of salary to Mr. Bassett until he obtained employment in Texas in March of 2001.

It is easy to see in hindsight that the contract with Mr. Bassett should have provided for unsalaried termination for acts

of misconduct. Needless to say, no such shortcoming will be found in future contracts with assistant coaches.

B. Compliance Problems in the Football Program.

Background: The University has strived for full compliance with NCAA rules and regulations under the leadership of President Wethington and Athletics Directors Newton and Ivy. It has had a full time compliance director, monitoring and oversight programs, regular instruction on NCAA rules and regulations for coaches who participate in recruiting, and most importantly a genuine desire to conduct the athletics program in full accord with all rules of the NCAA. It has left no room for doubt in the mind of any coach about the seriousness of its commitment to the principle of full compliance, about its commitment to full disclosure of any and all violations, or about its willingness to take strong actions against violators should violations occur. It has experienced profound disappointment in recent activities within the football program and has been compelled to take strong corrective actions to confirm its commitment to compliance and to chart a different course for that program.

Investigation: Minor concern over compliance issues in football surfaced during the 2000 season with reports that prospects who had been in Lexington for official recruiting visits left in possession of UK athletics apparel. Inquiry led to reasonably plausible explanations and somewhat reduced concern. Substantially greater concern surfaced after the season and the termination of Coach Bassett for reasons set out above, especially with reports indicating that UK football might be implicated in recruiting violations involving prospects from Memphis. Because these events surfaced on the heels of the matters that led to the termination of Coach Bassett, the fact that his name appeared prominently in the reports of possible recruiting violations produced added concern over the possibility of major NCAA infractions in football.

The Athletics Director, in concurrence with the President, consulted with the NCAA and SEC, solicited assistance from both organizations, and initiated a comprehensive investigation of the University's football operation. The objective was preservation and restoration of at least some part of the University's damaged credibility in the operation of its athletics programs; the plan was to conduct an honest investigation, disclose findings to all interested parties, report rules violations to the NCAA, accept full responsibility and fair sanctions for those violations, and take necessary and appropriate corrective actions to fix problems in the football operation. The investigation extended beyond weeks into months, was conducted in full cooperation with the SEC and NCAA, looked into every crevice and under every stone, and produced persuasive evidence of major violations of NCAA rules

and University policies. The Athletics Department has released all findings to interested parties (including most importantly the Board of Trustees), has reported all violations to the NCAA, and has clearly indicated that it will accept full responsibility and appropriate sanctions for these violations.

Conclusion: The Athletics Director, in concurrence with President Wethington, concluded that the football program had not been managed appropriately by the head coach and that different leadership of the program was needed. The Department and head coach agreed upon separation and a new head coach and staff have been employed. These corrective actions were included in the report to the NCAA. The NCAA enforcement division has the case under advisement and is expected to render a final resolution in the near future. The University has conducted its inquiry in full accord with NCAA requirements and expectations and thus has reason to expect some restoration of its credibility with the NCAA and the general public.

C. Departure of Coach Hal Mumme.

Background: There were four years remaining on the contract between Coach Hal Mumme and the University when the decision was made to end the relationship. The contract required severance compensation upon an election by the University to terminate the relationship prematurely equal to one-half of the total that could have been earned during the full term of the contract (which came to a figure of $2.4 million due for premature termination). The contract required no compensation if the termination was for what the contract described as "cause" (essentially personal violation of NCAA rules by the head coach and/or prior knowledge and acquiescence of the head coach of major rules violations by members of his staff). Coach Mumme believed that he was entitled to the severance compensation, made demands for that compensation through legal counsel, and left no doubt that he would pursue relief through court action if necessary. His position raised several questions for the Athletics Director and the University's legal counsel. Did the head coach personally violate NCAA rules or have prior knowledge of major rules violations by members of his staff? Was evidence of violations and/or knowledge sufficient in quality and quantity to withstand the scrutiny to which it would be subjected in a court proceeding? Should the University draw a line in the sand and litigate or would its interests be better served by resolution of the dispute through agreement?

Evidence: The investigation produced no evidence showing that Coach Mumme had participated in violations of NCAA rules, none showing that Coach Mumme had ever promoted or approved of violations committed by members of his staff, and none showing that he had knowledge of the commission of offenses before the

time of their commission. It is easy to say that Coach Mumme should have known of violations, because of his close connection to the violators and because of his position at the head of the program; for legal purposes, however, it is well-settled that proof that a person should have known of some fact or condition falls far short of proof that he/she had knowledge of that fact or condition.

Settlement: The Athletics Director provided the findings of the investigation to the University's legal counsel and asked for an opinion as to whether there was "cause" under the contract for an uncompensated termination of the head coach. Legal counsel determined that there was no evidence of personal NCAA rules violations by Coach Mumme, no evidence showing that he had prior knowledge of, or had acquiesced in, a commission of major rules violations by members of his staff, and thus under the terms of the contract no basis for an uncompensated termination of the head coach for "cause." The Athletics Director, upon advice of and assistance from the University's legal counsel, entered into negotiations with Coach Mumme and his attorneys for a premature termination of his employment with the University. The agreement that resulted from these negotiations produced a resignation of Mr. Mumme as head football coach, a commitment by the University to make payments of compensation to Mr. Mumme totaling $1 million over time, and a mutual release of all obligations under the contract.

The Athletics Director determined that in fairness to those student-athletes being recruited by the University the negotiations regarding Coach Mumme should be concluded and the decision regarding Coach Mumme announced before the commencement of the national signing period. The negotiations were in fact concluded the day before the signing period began, and the Athletics Director made a pubic announcement regarding Coach Mumme's resignation and the appointment of Guy Morriss.

IV.

RECOMMENDATION

The Committee believes that concerns over inadequate information about athletics among members of the Board of Trustees could and should be remedied by periodic reports to the Board by the Athletics Director. Therefore, the Committee recommends that the Athletics Director provide a comprehensive report for the Board of Trustees in writing, and orally if needed, at least once in every semester and that the University of Kentucky Board of Trustees be notified of and invited to attend all meetings of the Board of Directors of the Athletic Association.

PR 2

Office of the President
June 19, 2001

Members, Board of Trustees:

PERSONNEL ACTIONS

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

Background: The attached recommended appointments and/or other staff changes require approval by the Board of Trustees in accordance with Part VIII-B of the Governing Regulations of the University. These recommendations are transmitted to the Board by the appropriate chancellor 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 _____

CENTRAL ADMINISTRATION

I. BOARD ACTION

A. RETIREMENTS

Vice President for Fiscal Affairs

Jordan, Jackie B., Assistant to the Vice President for Fiscal Affairs, after 29 years and 1 month of consecutive service, under AR II-1.6-1 Section III.B, effective 7/31/01.

Vice President for Information Systems

Goad, Kenneth W., Technical Support Services Aid, Distance Learning Networks, after 31 years of consecutive service, under AR II-1.6-1 Section III.B, effective 7/13/01.

B. EARLY RETIREMENTS

Vice President for Fiscal Affairs

Barbour, Roger W. Jr., Custodial Worker I, Physical Plant Division, after 17 years and 2 months of consecutive service and 22 years and 9 months of total service, under AR II-1.6-1 Section III.A.2, effective 5/4/01.

Johnson, Jestine R., Truck Driver II, Physical Plant Division, after 42 years and 11 months of consecutive service, under AR II-1.6-1 Section III.A.2, effective 8/10/01.

Vice President for Information Systems

Jones, Cheryl, Librarian, William T. Young Library, after 26 years of consecutive service, under AR II-1.6-1 Section III.A.2, effective 7/1/01.

C. POST-RETIREMENT APPOINTMENTS

Vice President for Research and Graduate Studies

Noger, Martin C., Geologist (part-time), Kentucky Geological Survey, 7/1/01 through 6/30/02.

Dever, Jr., Garland R., Geologist (part-time), Kentucky Geological Survey, 7/1/01 through 6/30/02.

II. ADMINISTRATIVE ACTION

A. CHANGES

Vice President for Administration

Higdon, Courtney, from Administrative Staff Officer II to Associate Director of Planning and Budgeting, effective May 1, 2001.

Vice President for Information Systems

Scott, Sidney, from Technical Administrator II, Support Services, to Technical Administrator III, Support Services, effective 6/1/01.

Vice President for Research and Graduate Studies

Epley, Norma B., from Professional Associate III to Professional Associate IV, Office of Research Integrity, effective 5/1/01

LEXINGTON CAMPUS

I. BOARD ACTION

A. ACADEMIC APPOINTMENTS

College of Agriculture

Scorsone, Eric A., Assistant Extension Professor, Agricultural Economics, 5/14/01 through 6/30/02.

College of Architecture

Swetnam, Bruce A., Associate Professor* (with tenure), Architecture, effective 7/1/01.

College of Arts and Sciences

Formisano, Ronald, Professor (with tenure), History, effective 7/1/01.

College of Business and Economics

Castandea, Marco A., Assistant Professor, Economics, 8/1/01 through 6/30/02.
Howard, Thomas P., Professor (with tenure), Accountancy, effective 7/1/01, and PricewaterhouseCoopers Professor of Accountancy, 7/1/01 through 6/30/04.

College of Communications and Information Studies

Farrell, Michael, Visiting Professor, Journalism and Telecommunications, 8/16/01 through 5/15/02.

College of Engineering

Lau, Daniel Leo, Assistant Professor, Electrical and Computer Engineering, 8/16/01 through 6/30/03.

B. ADMINISTRATIVE APPOINTMENTS

College of Arts and Sciences

Brill, Joseph, Professor (with tenure), Physics and Astronomy, appointed Chair, Physics and Astronomy, 7/1/01 through 6/30/05.
Ettensohn, Frank, Professor (with tenure), Geological Sciences, and Chair, Geological Sciences, reappointed Chair, Geological Sciences, 7/1/01 through 6/30/05.

*Special Title Series

Haley, Boyd, Professor (with tenure), Chemistry, and Chair, Chemistry, reappointed Chair, Chemistry, 7/1/01 through 6/30/05.

Jefferies, Richard, Associate Professor (with tenure), Anthropology, and Chair, Anthropology, reappointed Chair, Anthropology, 7/1/01 through 6/30/02.

Leep, David, Professor (with tenure), Mathematics, and Associate Dean, College of Arts and Sciences, reappointed Associate Dean, College of Arts and Sciences, 7/1/01 through 6/30/04.

Little, Peter, Professor (with tenure), Anthropology, appointed Chair, Anthropology, 7/1/02 through 6/30/06.

Stanton, Edward, Professor (with tenure), Spanish and Italian, appointed Chair, Spanish and Italian, 7/1/01 through 6/30/05.

College of Business and Economics

Howard, Thomas P., Professor (with tenure), Accountancy, and PricewaterhouseCoopers Professor of Accountancy, appointed Director, Accountancy, 7/1/01 through 6/30/05.

College of Engineering

Harik, Issam, Professor (with tenure), Civil Engineering, and Acting Chair, Civil Engineering, appointed Chair, Civil Engineering, 7/1/01 through 6/30/05.

C. JOINT APPOINTMENTS

College of Engineering

Sottile, Joseph Jr., Associate Professor (with tenure), Mining Engineering, joint appointment as Associate Professor (without tenure), Electrical and Computer Engineering, 8/16/01 through 6/30/04.

D. JOINT REAPPOINTMENTS

College of Arts and Sciences

Bacchetta, Paola, Associate Professor (with tenure), Geography, joint reappointment as Associate Professor (without tenure), Women's Studies, effective 7/1/01.

Olster, David, Professor (with tenure), History, joint reappointment as Professor (without tenure), Honors, effective 7/1/01.

College of Engineering

Crofton, John, Associate Professor (with tenure), Murray State University, joint reappointment as Associate Professor, Electrical and Computer Engineering, 8/16/01 through 6/30/02.

*Special Title Series

E. REAPPOINTMENTS

College of Agriculture

Cothran, E. Gus, Research Professor, Veterinary Science, 7/1/01 through 6/30/02.
Dawson, Karl, Adjunct Professor, Animal Sciences, 7/1/01 through 6/30/02.
Sikora, Frank J., Associate Adjunct Extension Professor (without tenure), Agronomy, 7/1/01 through 6/30/02.

College of Arts and Sciences

DeMoll, Louis Edward II, Associate Professor (without tenure), Chemistry, 7/1/01 through 6/30/03.

College of Engineering

Lifland, Mitchel I., Professor (part-time). Chemical and Materials Engineering, 8/16/01 through 5/15/02.

F. TENURE

College of Arts and Sciences

Melish, Joanne, from Associate Professor (without tenure), History, to Associate Professor (with tenure), History, effective 7/1/01.

G. PROMOTIONS

College of Agriculture

Bessin, Ricardo T., from Associate Extension Professor (with tenure), Entomology, to Extension Professor (with tenure), Entomology, effective 7/1/01.
Fox, Charles W., from Assistant Professor, Entomology, to Associate Professor (with tenure), Entomology, effective 7/1/01.
Lindemann, Merlin D., from Associate Professor (with tenure), Animal Sciences, to Professor (with tenure), Animal Sciences, effective 7/1/01.
Nokes, Sue E., from Assistant Professor, Biosystems and Agricultural Engineering, to Associate Professor (with tenure), Biosystems and Agricultural Engineering, effective 7/1/01.
Ragland, Kimberly K., from Assistant Extension Professor, Agricultural Communications Services, to Associate Extension Professor (with tenure), Agricultural Communications Services, effective 7/1/01.
Stringer, Jeffrey W., from Assistant Extension Professor, Forestry, to Associate Extension Professor (with tenure), Forestry, effective 7/1/01.
Vincelli, Paul C., from Associate Extension Professor (with tenure), Plant Pathology, to Extension Professor (with tenure), Plant Pathology, effective 7/1/01.

*Special Title Series

Webb, Bruce A., from Associate Professor (with tenure), Entomology, to Professor (with tenure), Entomology, effective 7/1/01.

Woods, Timothy A., from Assistant Extension Professor, Agricultural Economics, to Associate Extension Professor (with tenure), Agricultural Economics, effective 7/1/01.

Workman, Stephen R., from Assistant Professor, Biosystems and Agricultural Engineering, to Associate Professor (with tenure), Biosystems and Agricultural Engineering, effective 7/1/01.

College of Architecture

Miller, Wallis J., from Assistant Professor, Architecture, to Associate Professor (with tenure), Architecture, effective 7/1/01.

College of Arts and Sciences

Bacchetta, Paola, from Assistant Professor, Geography, to Associate Professor (with tenure), Geography, effective 7/1/01.

Bartilow, Horace, from Assistant Professor, Political Science, to Associate Professor (with tenure), Political Science, effective 7/1/01.

Beattie, Ruth, from Assistant Professor*, Biological Sciences, to Associate Professor* (with tenure), Biological Sciences, effective 7/1/01.

Cammers-Goodwin, Arthur, from Assistant Professor, Chemistry, to Associate Professor (with tenure), Chemistry, effective 7/1/01.

Cooper, Robin, from Assistant Professor, Biological Sciences, to Associate Professor (with tenure), Biological Sciences, effective 7/1/01.

DeLong, Lance, from Associate Professor (with tenure), Physics and Astronomy, to Professor (with tenure), Physics and Astronomy, effective 7/1/01.

Fertig, Herbert, from Associate Professor (with tenure), Physics and Astronomy, to Professor (with tenure), Physics and Astronomy, effective 7/1/01.

Fryar, Alan, from Assistant Professor, Geological Sciences, to Associate Professor (with tenure), Geological Sciences, effective 7/1/01.

Gardner, Susan, from Assistant Professor, Physics and Astronomy, to Associate Professor (with tenure), Physics and Astronomy, effective 7/1/01.

Golding, Jonathan, from Associate Professor (with tenure), Psychology, to Professor (with tenure), Psychology, effective 7/1/01.

Gorringe, Tim, from Associate Professor (with tenure), Physics and Astronomy, to Professor (with tenure), Physics and Astronomy, effective 7/1/01.

Gross, Donald, from Associate Professor (with tenure), Political Science, to Professor (with tenure), Political Science, effective 7/1/01.

Kim, Sung Hee, from Assistant Professor*, Psychology, to Associate Professor* (with tenure), Psychology, effective 7/1/01.

Ladipo, Folami, from Assistant Professor, Chemistry, to Associate Professor (with tenure), Chemistry, effective 7/1/01.

Li, Ren-Cang, from Assistant Professor, Mathematics, to Associate Professor (with tenure), Mathematics, effective 7/1/01.

*Special Title Series

Look, Brandon, from Assistant Professor, Philosophy, to Associate Professor (with tenure), Philosophy, effective 7/1/01.
McLetchie, Nicholas, from Assistant Professor, Biological Sciences, to Associate Professor (with tenure), Biological Sciences, effective 7/1/01.
Meier, Mark, from Associate Professor (with tenure), Chemistry, to Professor (with tenure), Chemistry, effective 7/1/01.
Mooney, Patrick, from Associate Professor (with tenure), Sociology, to Professor (with tenure), Sociology, effective 7/1/01.
Olster, David, from Associate Professor (with tenure), History, to Professor (with tenure), History, effective 7/1/01.
Segal, Jennifer, from Assistant Professor, Political Science, to Associate Professor (with tenure), Political Science, effective 7/1/01.

College of Business and Economics

Ambrose, Brent, from Associate Professor (with tenure), Management, to Professor (with tenure), Management, effective 7/1/01.
Bollinger, Christopher R., from Assistant Professor, Economics, to Associate Professor (with tenure), Economics, effective 7/1/01.
Ferrier, Walter J., from Assistant Professor, Management, to Associate Professor (with tenure), Management, effective 7/1/01.
Muralidhar, Krishnamurty, from Associate Professor (with tenure), Management, to Professor (with tenure), Management, effective 7/1/01.
Thompson, Eric, from Assistant Research Professor, Economics, to Associate Research Professor, Economics, 7/1/01 through 6/30/04.

College of Education

Chard, Kathleen, from Assistant Professor, Educational and Counseling Psychology, to Associate Professor (with tenure), Educational and Counseling Psychology, effective 7/1/01.
Collins, Belva, from Associate Professor (with tenure), Special Education and Rehabilitation Counseling, to Professor (with tenure), Special Education and Counseling Psychology, effective 7/1/01.
Colvin, Allison, from Assistant Professor*, Kinesiology and Health Promotion, to Associate Professor* (with tenure), Kinesiology and Health Promotion, effective 7/1/01.
Crystal, Ralph, from Associate Professor (with tenure), Special Education and Rehabilitation Counseling, to Professor (with tenure), Special Education and Counseling Psychology, effective 7/1/01.

College of Engineering

Brion, Gail, from Assistant Professor, Civil Engineering, to Associate Professor (with tenure), Civil Engineering, effective 7/1/01.

*Special Title Series

Gedney, Stephen, from Associate Professor (with tenure), Electrical and Computer Engineering, to Professor (with tenure), Electrical and Computer Engineering, effective 7/1/01.

Klapper, Andrew, from Associate Professor (with tenure), Computer Science, to Professor (with tenure), Computer Science, effective 7/1/01.

Knutson, Barbara, from Assistant Professor, Chemical and Materials Engineering, to Associate Professor (with tenure), Chemical and Materials Engineering, effective 7/1/01.

College of Fine Arts

Hallman, Diana, from Assistant Professor, Music, to Associate Professor (with tenure), Music, effective 7/1/01.

College of Social Work

Secret, Mary C., from Assistant Professor, Social Work, to Associate Professor (with tenure), Social Work, effective 7/1/01.

Sprang, Mary Virginia, from Assistant Professor, Social Work, to Associate Professor (with tenure), Social Work, effective 7/1/01.

Graduate School

Talbert, Jeffery C., from Assistant Professor, Martin School of Public Policy and Administration, to Associate Professor (with tenure), Martin School of Public Policy and Administration, effective 7/1/01.

Lexington Community College

Abel, Eileen, from Assistant Professor, Lexington Community College, to Associate Professor (with tenure), Lexington Community College, effective 7/1/01.

Barber, Cynthia, from Associate Professor (with tenure), Lexington Community College, to Professor (with tenure), Lexington Community College, effective 7/1/01.

Brady, Barbara Beth, from Associate Professor (with tenure), Lexington Community College, to Professor (with tenure), Lexington Community College, effective 7/1/01.

Carlton, Heather, from Assistant Professor, Lexington Community College, to Associate Professor (with tenure), Lexington Community College, effective 7/1/01.

Coulston, Charles, from Associate Professor (with tenure), Lexington Community College, to Professor (with tenure), Lexington Community College, effective 7/1/01.

Gibbs, James, from Associate Professor (with tenure), Lexington Community College, to Professor (with tenure), Lexington Community College, effective 7/1/01.

*Special Title Series

Justice, Laura, from Assistant Professor, Lexington Community College, to Associate Professor (with tenure), Lexington Community College, effective 7/1/01.

King, Richard N., from Assistant Professor, Lexington Community College, to Associate Professor (with tenure), Lexington Community College, effective 7/1/01.

Livisay, Sharon, from Assistant Professor, Lexington Community College, to Associate Professor (with tenure), Lexington Community College, effective 7/1/01.

Norman, Valiant, from Assistant Professor, Lexington Community College, to Associate Professor (with tenure), Lexington Community College, effective 7/1/01.

Pelfrey, Holly, from Assistant Professor, Lexington Community College, to Associate Professor (with tenure), Lexington Community College, effective 7/1/01.

Richardson, Kathleen, from Librarian II (with tenure), Lexington Community College, to Librarian I (with tenure), Lexington Community College, effective 7/1/01.

Spencer, Janella, from Associate Professor (with tenure), Lexington Community College, to Professor (with tenure), Lexington Community College, effective 7/1/01.

Thacker, Teresa, from Assistant Professor, Lexington Community College, to Associate Professor (with tenure), Lexington Community College, effective 7/1/01.

Wachtel, David, from Associate Professor (with tenure), Lexington Community College, to Professor (with tenure), Lexington Community College, effective 7/1/01.

Wilson, Vicki, from Associate Professor (with tenure), Lexington Community College, to Professor (with tenure), Lexington Community College, effective 7/1/01.

Worth, Benjamin, from Assistant Professor, Lexington Community College, to Associate Professor (with tenure), Lexington Community College, effective 7/1/01.

H. CHANGES

College of Engineering

Grimes, Craig A., from Associate Professor (with tenure), Electrical and Computer Engineering, to Associate Professor (temporary), Electrical and Computer Engineering, 7/1/01 through 8/15/01.

I. RETIREMENTS

College of Agriculture

Knapp, Fred W., Professor (with tenure), Entomology, after 40 years and 1 month of consecutive service, under Section III.B of AR II-1.6-1, effective 6/30/01.

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*Special Title Series

Taylor, Norman L., Professor (with tenure), Agronomy, after 48 years of consecutive service, under Section III.B of AR II-1.6-1, effective 6/30/01.

J. EARLY RETIREMENTS

College of Agriculture

Marsh, Phyllis A., Staff Support Associate II, Program and Staff Development, after 22 years of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 7/16/01.

Phelps, Sandra J., Extension Secretary, Field Programs, after 25 years of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 6/29/01.

College of Arts and Sciences

Just, John J., Associate Professor (with tenure), Biological Sciences, after 31 years of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 6/30/01.

College of Engineering

Moore, Charles T., Administrative Staff Officer III, Engineering Administration, after 29 years and 2 months of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 1/2/02.

Lexington Community College

Sparks, Nona M., Administrative Support Associate I, President's Office, after 15 years and 9 months of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 7/27/01.

University Extension

Medley, Penny Lou, Program Coordinator I, Experiential Education, after 16 years and 9 months of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 7/16/01.

Vice Chancellor for Academic Services

Shellhaas, Nancy O, Admissions Officer I, Undergraduate Admissions, after 37 years and 7 months of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 6/15/01.

*Special Title Series

K. POST-RETIREMENT APPOINTMENTS

College of Agriculture

Knapp, Fred W., Professor (part-time), Entomology, 7/1/01 through 6/30/02.
Little, C. Oran, Professor (part-time), Animal Sciences, 7/1/01 through 6/30/02.
Long, Joy, Administrative Staff Officer (part-time), Agriculture Administration, 7/1/01 through 6/30/02.
Morrison, Mason, Special Program Coordinator (part-time), Forestry, 7/1/01 through 9/30/01.
Stevens, Raymond R., Greenhouse Technician (part-time), Agronomy, 7/1/01 through 6/30/02.

College of Arts and Sciences

Street, Ronald, Associate Professor (part-time), Geological Sciences, 7/1/01 through 6/30/02.
Swift, Louis, Professor (part-time), Classics, 7/1/01 through 6/30/02.

College of Education

Sagan, Edgar, Acting Dean, College of Education, 7/1/01 through 12/31/01.

College of Engineering

Dillon, Oscar W. Jr., Professor (part-time), Mechanical Engineering, 7/1/01 through 6/30/02.
Funk, James E., Professor (part-time), Mechanical Engineering, 7/1/01 through 6/30/02.
Wood, Don J., Professor (part-time), Civil Engineering, 7/1/01 through 6/30/02.

College of Human Environmental Sciences

Crum, Ruth Ann, Associate Professor (part-time), Family Studies, 8/16/01 through 12/31/01.

II. ADMINISTRATIVE ACTION

A. ACADEMIC APPOINTMENTS

College of Agriculture

Siminszky, Balazs, Assistant Professor, Agronomy, 8/1/01 through 6/30/02.

*Special Title Series

College of Architecture

Marcum, Jon R., Instructor (part-time), Architecture, 5/1/01 through 5/31/01.

College of Business and Economics

Bradley, Daniel, Lecturer, Management, 8/16/01 through 6/30/02.
Stafford, Richard J., Lecturer, Management, 8/16/01 through 6/30/02.

College of Education

Browne-Ferrigno, Tricia, Assistant Professor, Administration and Supervision, 8/16/01 through 6/30/02.
Gurley, D. Keith, Assistant Professor, Administration and Supervision, 8/16/01 through 6/30/02.
Johnson, Bonnie C. Edwards, Assistant Professor, Administration and Supervision, 8/16/01 through 6/30/02.
Nellis, Leah, Assistant Professor, Educational and Counseling Psychology, 8/16/01 through 6/30/02.

College of Engineering

Goodrum, Paul M., Assistant Professor, Civil Engineering, 7/16/01 through 6/30/03.

College of Human Environmental Sciences

Lund, Iolene A., Instructor (part-time), Family Studies, 8/16/01 through 12/31/01.

College of Social Work

Chethik, Neil, Instructor (part-time), Social Work, 8/16/01 through 5/15/02.
Haynes, Audrey Tayse, Assistant Adjunct Professor, Social Work, 7/1/01 through 6/30/02.
Johnson, Helen Arleen, Assistant Adjunct Professor, Social Work, 4/2/01 through 6/30/02.
Jordan, Carol E., Assistant Adjunct Professor, Social Work, 7/1/01 through 6/30/02.

Graduate School

Bertelli, Anthony, Assistant Professor, Martin School of Public Policy and Administration, 7/1/01 through 6/30/02.

Lexington Community College

Henry, Cassi, Instructor (voluntary), Lexington Community College, 3/1/01 through 6/30/03.

*Special Title Series

Napier, Sherri L., Instructor (voluntary), Lexington Community College, 1/11/01 through 6/30/03.

B. ADMINISTRATIVE APPOINTMENTS

College of Arts and Sciences

Staben, Charles, Associate Professor (with tenure), Biological Sciences, and Acting Director, Biological Sciences, reappointed Acting Director, Biological Sciences, 7/1/01 through 6/30/02.

C. JOINT REAPPOINTMENTS

College of Engineering

Benson, James M., Associate Professor (with tenure), Murray State University, joint reappointment as Assistant Professor, Mechanical Engineering, 8/16/01 through 6/30/02.

Kemp, Michael C., Assistant Professor, Murray State University, joint reappointment as Assistant Professor, Chemical and Materials Engineering, 8/16/01 through 6/30/02.

Thiede, Theodore, Assistant Professor, Murray State University, joint reappointment as Assistant Professor, Mechanical Engineering, 8/16/01 through 6/30/02.

D. REAPPOINTMENTS

College of Agriculture

Antonious, George F., Assistant Adjunct Professor, Horticulture, 7/1/01 through 6/30/02.

Anderson, Leslie H., Assistant Extension Professor, Animal Sciences, 7/1/01 through 6/30/02.

Barney, Robert J., Assistant Adjunct Professor, Entomology, 7/1/01 through 6/30/02.

Bicudo, Jose R., Assistant Extension Professor, Biosystems and Agricultural Engineering, 7/1/01 through 6/30/02.

Bolin, David C., Assistant Professor*, Veterinary Science, 7/1/01 through 6/30/02.

Byers, Matthew E., Assistant Adjunct Professor, Biosystems and Agricultural Engineering, 7/1/01 through 6/30/02.

Cappiello, Paul E., Assistant Adjunct Professor, Horticulture, 7/1/01 through 6/30/02.

Carey, Daniel I., Assistant Adjunct Professor, Biosystems and Agricultural Engineering, 7/1/01 through 6/30/02.

Cline, Gary R., Assistant Adjunct Professor, Horticulture, 7/1/01 through 6/30/02.

Coleman, Robert J., Assistant Extension Professor, Animal Sciences, 7/1/01 through 6/30/02.

Cook, R. Frank, Assistant Research Professor, Veterinary Science, 7/1/01 through 6/30/02.

*Special Title Series

Crofcheck, Czarena, Assistant Professor, Biosystems and Agricultural Engineering, 7/1/01 through 6/30/02.
D'Angelo, Elisa M., Assistant Professor, Agronomy, 7/1/01 through 6/30/02.
Diamond, Beth N., Assistant Professor, Landscape Architecture, 7/1/01 through 6/30/02.
Dobson, Stephen L., Assistant Professor, Entomology, 7/1/01 through 6/30/02.
Downie, Allan Bruce, Assistant Professor, Horticulture, 7/1/01 through 6/30/02.
Durham, Richard E., Assistant Extension Professor, Horticulture, 7/1/01 through 6/30/02.
Edgens, Jefferson G., Assistant Extension Professor, Forestry, 7/1/01 through 6/30/02.
Falcone, Deane L., Assistant Professor, Agronomy, 7/1/01 through 6/30/02.
Farman, Mark, Assistant Professor, Plant Pathology, 7/1/01 through 6/30/02.
Fleming, Ronald A., Assistant Professor, Agricultural Economics, 7/1/01 through 6/30/02.
Franklin, Sharon Turner, Assistant Professor, Animal Sciences, 7/1/01 through 6/30/02.
Gan, Susheng, Assistant Professor, Agronomy, 7/1/01 through 6/30/02.
Gassett, Jonathan W., Assistant Adjunct Professor, Forestry, 7/1/01 through 6/30/02.
Gnatuk, Carole Ann, Assistant Extension Professor (temporary), Family and Consumer Sciences, 7/1/01 through 6/30/02.
Graves, Kathryn, Assistant Research Professor, Veterinary Science, 7/1/01 through 6/30/02.
Howe, Daniel K., Assistant Professor, Veterinary Science, 7/1/01 through 6/30/02.
Hunt, Randy E., Assistant Adjunct Professor, Entomology, 7/1/01 through 6/30/02.
Ibendahl, Gregory A., Assistant Extension Professor, Agricultural Economics, 7/1/01 through 6/30/02.
Kew, Barry W., Assistant Professor, Landscape Architecture, 7/1/01 through 6/30/02.
Kolka, Randall K.., Assistant Professor, Forestry, 7/1/01 through 6/30/02.
Lear, Teri L., Assistant Research Professor, Veterinary Science, 7/1/01 through 6/30/02.
Maehr, David S., Assistant Professor, Forestry, 7/1/01 through 6/30/02.
Matocha, Christopher J., Assistant Professor, Agronomy, 7/1/01 through 6/30/02.
Matthews, James C., Assistant Professor, Animal Sciences, 7/1/01 through 6/30/02.
Maynard, Leigh J., Assistant Professor, Agricultural Economics, 7/1/01 through 6/30/02.
McNeill, Samuel G., Assistant Extension Professor, Biosystems and Agricultural Engineering, 7/1/01 through 6/30/02.
Montross, Michael D., Assistant Professor, Biosystems and Agricultural Engineering, 7/1/01 through 6/30/02.
Mueller, Thomas G., Assistant Professor, Agronomy, 7/1/01 through 6/30/02.
Nagy, Peter D., Assistant Professor, Plant Pathology, 7/1/01 through 6/30/02.
Newman, Melissa, Assistant Professor, Animal Sciences, 7/1/01 through 6/30/02.
Perry, Sharyn E., Assistant Professor, Agronomy, 7/1/01 through 6/30/02.
Pomper, Kirk W., Assistant Adjunct Professor, Horticulture, 7/1/01 through 6/30/02.
Rhoades, Charles C., Assistant Professor, Forestry, 7/1/01 through 6/30/02.

*Special Title Series

Rieske-Kinney, Lynne K., Assistant Professor, Entomology, 7/1/01 through 6/30/02.
Rohlf, Richard A., Assistant Adjunct Professor, Biosystems and Agricultural Engineering, 7/1/01 through 6/30/02.
Schneider, Krista L., Assistant Professor, Landscape Architecture, 7/1/01 through 6/30/02.
Sedlacek, John D., Assistant Adjunct Professor, Entomology, 7/1/01 through 6/30/02.
Stombaugh, Timothy S., Assistant Extension Professor, Biosystems and Agricultural Engineering, 7/1/01 through 6/30/02.
Thon, Michael, Assistant Research Professor, Plant Pathology, 7/1/01 through 9/14/01.
Tidwell, James H., Assistant Adjunct Professor, Animal Sciences, 7/1/01 through 6/30/02.
Tietyen, Janet Lee, Assistant Extension Professor, Family and Consumer Sciences, 7/1/01 through 6/30/02.
Vaillancourt, Lisa J., Assistant Professor, Plant Pathology, 7/1/01 through 6/30/02.
Vanzant, Eric S., Assistant Professor, Animal Sciences, 7/1/01 through 6/30/02.
Vickner, Steven S., Assistant Professor, Agricultural Economics, 7/1/01 through 6/30/02.
Wang, Changzheng, Assistant Adjunct Professor, Animal Sciences, 7/1/01 through 6/30/02.
Webster, Carl D., Assistant Adjunct Professor, Animal Sciences, 7/1/01 through 6/30/02.
Williams, David W., Assistant Professor, Agronomy, 7/1/01 through 6/30/02.
Williams, Mark A., Assistant Professor, Horticulture, 7/1/01 through 6/30/02.
Zeuli, Kimberly A., Assistant Professor, Agricultural Economics, 7/1/01 through 6/30/02.
Zimmerman, Julie, Assistant Extension Professor, Sociology, 7/1/01 through 6/30/02.

College of Arts and Sciences

Bebensee, George, Lecturer, English, 7/1/01 through 6/30/02.
Bradshaw, David H., Assistant Professor, Philosophy, 7/1/01 through 6/30/03.
Brown, Tamara, Assistant Professor, Psychology, 7/1/01 through 6/30/03.
Campbell, Diane, Lecturer, English, 7/1/01 through 6/30/02.
Carter, Michael, Lecturer, English, 7/1/01 through 6/30/02.
Clark, Stephen, Lecturer, Statistics, 7/1/01 through 6/30/02.
Crocker, Lina, Lecturer, English, 7/1/01 through 6/30/02.
Darrat, Suleiman A., Lecturer, Russian and Eastern Studies, 7/1/01 through 6/30/02.
Ellis, Aime, Assistant Professor, English, 7/1/01 through 6/30/03.
Elskus, Adria, Assistant Professor, Biological Sciences, 7/1/01 through 6/30/03.
Fillmore, Mark, Assistant Professor, Psychology, 7/1/01 through 6/30/03.
Fults, Janna, Lecturer, French, 7/1/01 through 6/30/02.
Giancola, Peter, Assistant Professor, Psychology, 7/1/01 through 6/30/03.
Gibler, Douglas, Assistant Professor, Political Science, 7/1/01 through 6/30/03.
Goldberg, C. Sanford, Assistant Professor, Philosophy, 7/1/01 through 6/30/03.
Gran, Brian, Assistant Professor, Sociology, 7/1/01 through 6/30/03.

*Special Title Series

Guindon, Lynn, Lecturer, Classics, and Lecturer, English, 7/1/01 through 6/30/02.
Hale, Shelda Emmick, Lecturer, English, 7/1/01 through 6/30/02.
Inoue, Masamichi, Assistant Professor, Russian and Eastern Studies, 7/1/01 through 6/30/03.
Korsch, Wolfgang, Assistant Professor, Physics and Astronomy, 7/1/01 through 6/30/03.
Linebaugh, Donald W., Assistant Professor*, Anthropology, 7/1/01 through 6/30/03.
Margot, Francois Lucien, Assistant Professor, Mathematics, 7/1/01 through 6/30/03.
Morley, Elizabeth, Lecturer, English, 7/1/01 through 6/30/02.
Pierce, Yolanda, Assistant Professor, English, 7/1/01 through 6/30/03.
Prats, Judith, Lecturer, English, 7/1/01 through 6/30/02.
Reece, Erik, Lecturer, English, 7/1/01 through 6/30/02.
Reynolds, Thomas, Lecturer, English, 7/1/01 through 6/30/02.
Richeson, William, Lecturer, English, 7/1/01 through 6/30/02.
Schiffbauer, Judith, Lecturer, English, 7/1/01 through 6/30/02.
Segerstrom, Suzanne C., Assistant Professor, Psychology, 7/1/01 through 6/30/03.
Starr-LeBeau, Gretchen D., Assistant Professor, History, 7/1/01 through 6/30/03.
Testa, Stephen, Assistant Professor, Chemistry, 7/1/01 through 6/30/03.
Trawick, Paul B., Assistant Professor, Anthropology, 7/1/01 through 6/30/03.
Tri, Mary Kathryn, Lecturer, English, 7/1/01 through 6/30/02.
Tunberg, Jennifer J., Assistant Professor, Classics, 7/1/01 through 6/30/03.
Uebel, Michael D., Assistant Professor, English, 7/1/01 through 6/30/03.
Wang, Changyou, Assistant Professor, Mathematics, 7/1/01 through 6/30/03.
Zurn, Christopher, Assistant Professor, Philosophy, 7/1/01 through 6/30/03.

College of Communications and Information Studies

Andrews, James, Assistant Professor, Library and Information Science, 7/1/01 through 6/30/02.
Anyaegbunam, Chike, Assistant Professor, Journalism and Telecommunications, 7/1/01 through 6/30/02.
Benoit, Gerald, Assistant Professor, Library and Information Science, 7/1/01 through 6/30/02.
Boyle, Karen, Instructor (part-time), Library and Information Science, 8/16/01 through 12/20/01.
Clark, John F., Assistant Professor*, Journalism and Telecommunications, 7/1/01 through 6/30/02.
Francies, Regina, Lecturer, Communication, 7/1/01 through 6/30/02.
Franks, Mildred M., Instructor (part-time), Library and Information Science, 8/16/01 through 12/31/01.
Ireland, Sandra, Instructor (part-time), Library and Information Science, 8/16/01 through 5/15/02.
Lane, Derek R., Assistant Professor, Communication, 7/1/01 through 6/30/02.
Ryan, Elizabeth, Assistant Professor*, Journalism and Telecommunications, 7/1/01 through 6/30/02.

*Special Title Series

Schabel, Don, Instructor (part-time), Library and Information Science, 8/16/01 through 12/20/01.
Stephens, Rebecca, Instructor (part-time), Library and Information Science, 8/16/01 through 5/15/02.
Tolzmann, Don, Instructor (part-time), Library and Information Science, 8/16/01 through 12/20/01.
White, Jackie, Assistant Professor*, Library and Information Science, 7/1/01 through 6/30/02.

College of Education

Anderman, Lynley, Assistant Professor, Educational and Counseling Psychology, 7/1/01 through 6/30/02.
Bintz, William, Assistant Professor, Curriculum and Instruction, 7/1/01 through 6/30/02.
Bishop, Malachy, Assistant Professor, Special Education and Rehabilitation Counseling, 7/1/01 through 6/30/02.
Brown, Elinor, Assistant Professor, Curriculum and Instruction, 7/1/01 through 6/30/02.
Clasey, Jody, Assistant Professor, Kinesiology and Health Promotion, 7/1/01 through 6/30/02.
Clements, Stephen, Assistant Professor, Educational Policy Studies and Evaluation, 7/1/01 through 6/30/02.
DeShea, Lise, Assistant Professor, Educational and Counseling Psychology, 7/1/01 through 6/30/02.
Jensen, Jane, Assistant Professor, Educational Policy Studies and Evaluation, 7/1/01 through 6/30/02.
Jolivette, Kristine, Assistant Professor*, Special Education and Rehabilitation Counseling, 7/1/01 through 6/30/02.
McCormick, Katherine, Assistant Professor, Special Education and Rehabilitation Counseling, 7/1/01 through 12/31/01.
McCrory, Jean, Assistant Professor, Kinesiology and Health Promotion, 7/1/01 through 6/30/02.
Miller, Kim H., Assistant Professor, Kinesiology and Health Promotion, 7/1/01 through 6/30/02.
Rostosky, Sharon, Assistant Professor, Educational and Counseling Psychology, 7/1/01 through 6/30/02.
Spalding, Elizabeth, Assistant Professor, Curriculum and Instruction, 7/1/01 through 6/30/02.
Stilwell, Doris, Visiting Assistant Professor, Educational and Counseling Psychology, 7/1/01 through 6/30/02.
Zong, Guichun, Assistant Professor, Curriculum and Instruction, 7/1/01 through 6/30/02.

*Special Title Series

College of Engineering

Chen, Zhi, Assistant Professor, Electrical and Computer Engineering, 7/1/01 through 6/30/03.
Hall, Arlie, Assistant Professor (voluntary), Mechanical Engineering, 7/1/01 through 6/30/02.
Leifer, Jack, Assistant Professor*, Mechanical Engineering, 7/1/01 through 6/30/03.
Phillips, Taunya, Lecturer, Mechanical Engineering, 7/1/01 through 6/30/02.
Silverstein, David, Assistant Professor*, Chemical and Materials Engineering, 7/1/01 through 6/30/03.
Vallance, R. Ryan, Assistant Professor, Mechanical Engineering, 7/1/01 through 6/30/03.

College of Fine Arts

Adams, Ruth, Assistant Professor, Art, 7/1/01 through 6/30/02.
Baldwin, Robert, Assistant Professor*, Music, 7/1/01 through 6/30/02.
Boulden, George, Assistant Professor*, Music, 7/1/01 through 6/30/02.
Clauter, Nancy, Assistant Professor*, Music, 7/1/01 through 6/30/02.
Fields, Nelson, Assistant Professor, Theatre, 7/1/01 through 6/30/02.
Holm-Hudson, Kevin, Assistant Professor, Music, 7/1/01 through 6/30/02.
Jones, Nancy, Assistant Professor*, Theatre, 7/1/01 through 6/30/02.
Maloney, Doreen, Assistant Professor, Art, 7/1/01 through 6/30/02.
Paige, Roger, Instructor (part-time), Theatre, 8/1/01 through 12/31/01.
Vorobieva, Irina, Assistant Professor*, Music, 7/1/01 through 6/30/02.
Waller, Susan, Assistant Professor, Art, 7/1/01 through 6/30/02.

College of Human Environmental Sciences

Alexander, Karen, Assistant Professor, Family Studies, 7/1/01 through 6/30/02.
Anderson, Joan, Assistant Professor, Merchandising, Apparel and Textiles, 7/1/01 through 6/30/02.
Bell, Marcia, Instructor (part-time), Family Studies, 8/16/01 through 5/15/02.
Devine, Carole, Instructor (part-time), Family Studies, 8/16/01 through 5/15/02.
Durbin, Eileen, Instructor (part-time), Family Studies, 8/16/01 through 5/15/02.
Gaetke, Lisa, Assistant Professor*, Nutrition and Food Science, 7/1/01 through 6/30/02.
Grisham-Brown, Jennifer, Assistant Professor, Family Studies, 7/1/01 through 6/30/02.
Hallam, Rena, Assistant Professor, Family Studies, 7/1/01 through 6/30/02.
Ham, Seonok, Assistant Professor, Nutrition and Food Science, 7/1/01 through 6/30/02.
Ludewig, Gabriele, Assistant Research Professor, Nutrition and Food Science, 7/1/01 through 6/30/02.

*Special Title Series

Michaels, Marcia L., Assistant Professor, Family Studies, 7/1/01 through 6/30/02.
Newell, Margaret Cook, Lecturer, Nutrition and Food Science, 7/1/01 through 6/30/02.
Nolan, Bill, Instructor (part-time), Family Studies, 8/16/01 through 12/31/01.
Wickliffe, Vanessa, Assistant Professor, Merchandising, Apparel and Textiles, 7/1/01 through 6/30/02.
Wilson, Jan, Instructor (part-time), Family Studies, 8/16/01 through 12/31/01.

Graduate School

Brown, Samuel L., Assistant Professor, Martin School of Public Policy and Administration, 7/1/01 through 6/30/02.
Wackerbarth, Sarah, Assistant Professor, Martin School of Public Policy and Administration, 7/1/01 through 6/30/02.

Lexington Community College

Bailey, Hargis Ray, Librarian IV, Lexington Community College, 7/1/01 through 6/30/02.
Blount, Stephen C., Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Boggs, Rita K., Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Buck, Daniel K., Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Carroll, Cynthia V., Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Cooper, Bonnie, Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Crum, Donna J., Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Davis, Carol S., Librarian IV, Lexington Community College, 7/1/01 through 6/30/02.
Davis, Robin A., Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Fairchild, Virginia, Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Feldman, Theresa, Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Glasscock, Rebecca, Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Graetz, Lillian, Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Guiseppi, Lori, Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Halcomb, Don A., Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Healander, Beth, Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Hipsley, Susan O., Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Hopper, Kevin, Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Human, Renee, Instructor, Lexington Community College, 7/1/01 through 6/30/02.

*Special Title Series

Jensen, Jill E., Librarian IV (temporary), Lexington Community College, 7/1/01 through 6/30/02.
Kelly, Ryan S., Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Knowles, Tracy L., Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Lane, Leon, Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Miller, Kausha C., Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Miller, Patricia P, Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Miriti, Landrea, Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Mosby, Tricia, Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Munga, Narda, Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Piercy, Emily C., Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Ross-Brown, Kimberly, Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Santana, Gary L., Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Schuman, Daniel B., Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Shelton, Cynthia Lynne, Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Sherrard, Jacqueline, Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Smoot, Richard, Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Strobel, Norman, Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Taghizadeh, Rasoul, Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Walmsley, Lee Anne, Instructor, Lexington Community College, 7/1/01 through 6/30/02.
Watts, Jean, Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Williams, Laura A., Instructor, Lexington Community College, 7/1/01 through 6/30/02.

E. PROMOTIONS WITHOUT TENURE

Lexington Community College

Batson, William Jr., from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Boes, Donald V., from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Elzey, Barbara, from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.

*Special Title Series

Evans, Kathleen, from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Feeney, Gregory, from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Hall, Debra, from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Hayes, Robert F., from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Houghton-Estes, Lori, from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Kalala, Nkongolo, from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Lanier, Rebecca, from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Luyster, William, from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Mueller, Chad, from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Nicol, Laura, from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Sadat, Anas Anwar, from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Smith, Stacy, from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.
Webster-Little, Stacy, from Instructor, Lexington Community College, to Assistant Professor, Lexington Community College, 7/1/01 through 6/30/02.

F. CHANGES

College of Engineering

Abu-Lebdeh, Ghassan, from Assistant Professor, Civil Engineering, to Assistant Professor (temporary), Civil Engineering, 7/1/01 through 8/15/01.
Aultman-Hall, Lisa, from Assistant Professor, Civil Engineering, to Assistant Professor (temporary), Civil Engineering, 7/1/01 through 8/15/01.
Dickey, Elizabeth C., from Assistant Professor, Chemical and Materials Engineering, to Assistant Professor (temporary), Chemical and Materials Engineering, 7/1/01 through 8/15/01.

College of Fine Arts

Hetzel, Lori, from Assistant Professor, Music, to Assistant Professor*, Music, 7/1/01 through 6/30/02.

*Special Title Series

Vice Chancellor for Student Affairs

Blanton, Tony, from Student Affairs Officer II, Dean of Students Office, to Associate Dean of Students, Dean of Students Office, effective 6/1/01.
Jordan, Rebecca, from Student Affairs Director, Dean of Students Office, to Associate Dean of Students, Dean of Students Office, effective 5/1/01.
Pieratt, William, from Campus Recreation Director (level 47), Dean of Students Office, to Campus Recreation Director (level 48), Dean of Students Office, effective 5/1/01.

G. TERMINAL REAPPOINTMENTS

College of Agriculture

Bastin, Sandra P., Assistant Extension Professor, Family and Consumer Sciences, 7/1/01 through 6/30/02.

College of Education

Lahm, Elizabeth, Assistant Professor, Special Education and Rehabilitation Counseling, 7/1/01 through 6/30/02.
Moore, Sara, Assistant Professor, Curriculum and Instruction, 7/1/01 through 6/30/02.

College of Engineering

Yost, Scott, Assistant Professor, Civil Engineering, 7/1/01 through 6/30/02.

College of Human Environmental Sciences

Beert, Daniel C., Assistant Professor*, Interior Design, 7/1/01 through 6/30/02.
Hayhoe, Celia Ray, Assistant Professor, Family Studies, 7/1/01 through 6/30/02.

College of Social Work

Riffe, Holly A., Assistant Professor, Social Work, 7/1/01 through 6/30/02.

H. LEAVES OF ABSENCE

College of Agriculture

Fountain, William, Extension Professor (with tenure), Horticulture, Sabbatical leave with full salary, 5/16/01 through 8/15/01 and 5/16/02 through 8/15/02.
Wagner, Lowell, County Extension Agent, Cooperative Extension Service, Educational leave with full salary, 9/3/01 through 3/1/02.

*Special Title Series

College of Architecture

Plymale, Keith, Associate Professor (with tenure), Architecture, Leave without pay, 7/1/01 through 6/30/02.
Rogier, Francesca, Assistant Professor, Architecture, Leave without pay, 7/1/01 through 12/31/01.
Smyth-Pinney, Julia, Associate Professor (with tenure), Architecture, Sabbatical leave with half pay, 1/1/02 through 12/31/02.
Wujcik, Len, Associate Professor* (with tenure), Architecture, Sabbatical leave with half pay, 7/1/01 through 6/30/02.

College of Arts and Sciences

Banning, Lance, Professor (with tenure), History, Scholarly fellowship leave with partial salary, 7/1/01 through 12/31/01.
Bhatt, Ramesh, Associate Professor (with tenure), Psychology, Sabbatical leave with half salary, 7/1/01 through 6/30/02.
Brunn, Stanley, Professor (with tenure), Geography, Sabbatical leave with full salary, 1/1/02 through 6/30/02.
Bruzina, Ronald, Professor (with tenure), Philosophy, Sabbatical leave with full salary, 1/1/02 through 6/30/02.
Carey, Richard, Professor (with tenure), Mathematics, Sabbatical leave with full salary, 7/1/01 through 12/31/01.
Chassen-Lopez, Francie, Associate Professor (with tenure), History, Sabbatical leave with full salary, 1/1/02 through 6/30/02.
Cummins, Gail, Associate Professor* (with tenure), English, Sabbatical leave with half salary, 7/1/01 through 6/30/02.
DeLong, Lance, Professor (with tenure), Physics and Astronomy, Sabbatical leave with full salary, 1/1/02 through 6/30/02.
Dendle, Brian, Professor (with tenure), Spanish and Italian, Leave without pay, 1/1/02 through 6/30/02.
Dillehay, Thomas, Professor (with tenure), Anthropology, Scholarly fellowship leave with partial salary, 7/1/01 through 12/31/01, and Sabbatical leave with full salary, 1/1/02 through 6/30/02.
Eldred, Janet, Associate Professor (with tenure), English, Sabbatical leave with full salary, 7/1/01 through 12/31/01.
Francis, James, Associate Professor (with tenure), Classics, Sabbatical leave with full salary, 1/1/02 through 6/30/02.
Gardner, Susan, Associate Professor (with tenure), Physics and Astronomy, Sabbatical leave with full salary, 1/1/02 through 6/30/02.
Gorbounov, Vassili, Associate Professor (with tenure), Mathematics, Sabbatical leave with half salary, 7/1/01 through 6/30/02.
Howell, Paul, Associate Professor* (with tenure), Geological Sciences, Sabbatical leave with half salary, 7/1/01 through 6/30/02.
Kern, Monica, Associate Professor (with tenure), Psychology, Sabbatical leave with half salary, 1/1/02 through 6/30/02.

*Special Title Series

Kim, Sung Hee, Associate Professor* (with tenure), Psychology, Sabbatical leave with full salary, 7/1/01 through 12/31/01.
Little, Peter, Professor (with tenure), Anthropology, Scholarly fellowship leave with partial salary, 7/1/01 through 12/31/01.
Lynam, Donald, Associate Professor (with tenure), Psychology, Sabbatical leave with half salary, 7/1/01 through 6/30/02.
MacAdam, Keith, Professor (with tenure), Physics and Astronomy, Sabbatical leave with half salary, 7/1/01 through 6/30/02.
Manns, James, Professor (with tenure), Philosophy, Sabbatical leave with half salary, 7/1/01 through 6/30/02.
Miller, Penny, Associate Professor* (with tenure), Political Science, Sabbatical leave with full salary, 7/1/01 through 12/31/01.
Natter, Wolfgang, Associate Professor (with tenure), Geography, Scholarly fellowship leave with partial salary, 7/1/01 through 6/30/02.
Nelson, Dana, Professor (with tenure), English, Sabbatical leave with full salary, 1/1/02 through 6/30/02.
Petrone, Karen, Associate Professor (with tenure), History, Sabbatical leave with half salary, 7/1/01 through 6/30/02.
Phillips, Jane, Professor (with tenure), Classics, Sabbatical leave with half salary, 7/1/01 through 6/30/02.
Pierce, Yolanda, Assistant Professor, English, Scholarly fellowship leave with partial salary, 7/1/01 through 6/30/02.
Rivkin-Fish, Michele, Assistant Professor, Anthropology, Scholarly fellowship leave with partial salary, 7/1/01 through 6/30/02.
Rountree, Pamela, Associate Professor (with tenure), Sociology, Sabbatical leave with half salary, 7/1/01 through 6/30/02.
Shen, Zhongwei, Associate Professor (with tenure), Mathematics, Sabbatical leave with full salary, 7/1/01 through 12/31/01.
Shlosman, Issac, Associate Professor (with tenure), Physics and Astronomy, Sabbatical leave with half salary, 7/1/01 through 6/30/02.
Worley, Linda, Associate Professor (with tenure), German Studies, Sabbatical leave with half salary, 7/1/01 through 6/30/02.
Yanarella, Ernest, Professor (with tenure), Political Science, Sabbatical leave with full salary, 1/1/02 through 6/30/02.
Zoubir-Shaw, Sadia, Associate Professor* (with tenure), French, Sabbatical leave with full salary, 7/1/01 through 12/31/01.

College of Education

DeYoung, Alan, Professor (with tenure), Educational Policy Studies and Evaluation, Miscellaneous leave with half salary, 7/1/01 through 12/31/01.
Remer, Pamela, Associate Professor (with tenure), Educational Counseling and Psychology, Sabbatical leave with full salary, 1/1/02 through 6/30/02.

*Special Title Series

College of Engineering

Trutt, Frederick, Professor (with tenure), Electrical and Computer Engineering, Scholarly Fellowship leave with half salary, 7/1/01 through 6/30/02.

College of Fine Arts

Hallman, Diana, Associate Professor (with tenure), Music, Sabbatical leave with half salary, 7/1/01 through 6/30/02.

College of Human Environmental Sciences

Rey-Barreau, Joseph, Associate Professor (with tenure), Interior Design, Sabbatical leave with full salary, 8/16/01 through 12/31/01.
Townley, Kim F., Associate Professor (with tenure), Family Studies, Leave without pay, 7/1/01 through 6/30/02.

College of Law

Campbell, Rutheford B. Jr., Professor (with tenure), Law, Sabbatical leave with full salary, 7/1/01 through 12/31/01.
Salamanca, Paul, Associate Professor (with tenure), Law, Sabbatical leave with full salary, 7/1/01 through 12/31/01.

Graduate School

Rodgers, Robert, Professor (with tenure), Martin School of Public Policy and Administration, Sabbatical leave with half salary, 7/1/01 through 6/30/02.

Lexington Community College

Graetz, Lillian, Assistant Professor, Lexington Community College, Educational leave without pay, 1/1/02 through 12/31/02.

I. LEAVE OF ABSENCE CHANGES

College of Arts and Sciences

Rouhier-Willoughby, Jeanmarie, Associate Professor* (with tenure), Russian and Eastern Studies, to change from Sabbatical leave with full salary, 1/1/01 through 6/30/01, to Scholarly fellowship leave with partial salary, 1/1/01 through 6/30/01 and Sabbatical leave with full salary, 7/1/01 through 12/31/01.

*Special Title Series

College of Education

Remer, Rory, Professor (with tenure), Educational and Counseling Psychology, to rescind Sabbatical leave with full salary, 7/1/01 through 12/31/01.

*Special Title Series

MEDICAL CENTER

I. BOARD ACTION

A. ACADEMIC APPOINTMENTS

College of Allied Health Professions

Gallicchio, Vincent S., Professor (with tenure), Clinical Sciences, joint appointment as Associate Professor (without tenure), College of Medicine, Radiation Medicine, and joint appointment as Professor (without tenure), College of Medicine, Internal Medicine, named to the University Professorship in Clinical Sciences, 7/1/01 through 6/30/06.

College of Dentistry

Cunningham, Larry L., Assistant Professor, Oral Health Science, 7/1/01 through 6/30/02.
Rice, Clifford L., Clinical Assistant Professor, Oral Health Science, 7/1/01 through 6/30/03.

College of Medicine

Ambati, Jayakrishna, Assistant Professor, Ophthalmology, 7/15/01 through 6/30/02.
Barve, Ashutosh, Clinical Assistant Professor, Internal Medicine, 9/1/01 through 6/30/02.
Bayliff, Sherry L., Assistant Professor*, Pediatrics, 7/9/01 through 6/30/02.
Bhakta, Divesh R., Clinical Instructor, Internal Medicine, 7/1/01 through 6/30/02.
Bigham, Alacia L., Clinical Assistant Professor, Internal Medicine, 7/1/01 through 6/30/02.
Campbell, Berry A., Associate Professor* (with tenure), Obstetrics and Gynecology, named to the John W. Greene, Jr., M.D. Professorship in Obstetrics and Gynecology, 7/1/01 through 6/30/06.
Cheeseman, Melissa M., Assistant Professor*, Emergency Medicine, 7/1/01 through 6/30/02.
Clancy, Pamela M., Clinical Assistant Professor, Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Combs, Jessica J., Clinical Assistant Professor, Internal Medicine, 8/1/01 through 6/30/02.
DeSimone, Christopher P., Clinical Instructor, Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Glaser, Paul E., Assistant Professor, Psychiatry, 7/1/01 through 6/30/02.

*Special Title Series

Gu, Liya, Assistant Professor, Pathology and Laboratory Medicine, 7/1/01 through 6/30/02.

Guttmann, Rodney, Assistant Professor, Physiology, 7/1/01 through 6/30/02.

Herzig, Geoffrey P., Professor (part time), Internal Medicine, 6/20/01 through 6/30/01.

Herzig, Roger H., Professor (part time), Internal Medicine, 6/20/01 through 6/30/01.

Holzhauer, Markus K., Clinical Assistant Professor, Diagnostic Radiology, 7/1/01 through 6/30/02.

Jones, Raleigh O., Associate Professor (with tenure), Surgery, named to the Professorship in Otolaryngology, 7/1/01 through 6/30/06.

Joseph, Brian P., Assistant Professor*, Surgery, 7/23/01 through 6/30/02.

Kudrimoti, Mahesh R., Assistant Professor*, Radiation Medicine, 7/1/01 through 6/30/02.

Li, Guo-Min, Associate Professor (with tenure), Pathology and Laboratory Medicine, joint appointment as Assistant Professor (without tenure), Graduate School, Graduate Center for Toxicology, named to the Madeline F. James Professorship/Chair in Cancer Research, 7/1/01 through 6/30/06.

McLarney, John T., Clinical Instructor, Anesthesiology, 7/1/01 through 6/30/02.

Munch, Larry C., Associate Professor* (with tenure), Surgery, named to the W. S. Farish Professorship and Chair in Urologic Surgical Research, 5/1/01 through 4/30/06.

Ofotokun, Ighovwerha, Assistant Professor*, Internal Medicine, 7/1/01 through 6/30/02.

Park, Adrian, Associate Professor* (without tenure), Surgery, named to the U.S. Surgical Corporation Professorship in Minimally Invasive Surgery, 7/1/01 through 6/30/06.

Rogozinski, Zbigniew S., Clinical Assistant Professor, Anesthesiology, 7/1/01 through 6/30/02.

Sabet, Arman, Assistant Professor*, Neurology, 8/1/01 through 6/30/02.

Schwartz, Richard W., Professor (with tenure), Surgery, named to the Commonwealth Professorship in Physician Leadership, 7/1/01 through 6/30/06.

Shaffer, William O., Associate Professor* (without tenure), Surgery, 6/1/01 through 6/30/01.

Shearer, Mary E., Clinical Assistant Professor, Internal Medicine, 7/1/01 through 6/30/02.

College of Nursing

Moser, Debra K., Professor (with tenure), effective 7/1/01, also named to the Linda C. Gill Chair in Nursing, 7/1/01 through 6/30/06.

*Special Title Series

B. ADMINISTRATIVE APOINTMENTS

College of Medicine

Adams, Cheryl, Nurse Anesthetist, Anesthesiology, effective 7/1/01.

C. REAPPOINTMENTS

College of Allied Health Professions

Beaulieu, Joyce E., Associate Research Professor, Health Services, joint appointment as Associate Research Professor, College of Medicine, Kentucky School of Public Health, 7/1/01 through 6/30/02.
Kuder, Linda B., Associate Adjunct Professor, Health Services, 7/1/01 through 7/13/01.
Simmons, Guy H., Professor (part time), Health Services, joint appointment as Professor (part time), College of Medicine, Department of Diagnostic Radiology, 7/1/01 through 6/30/02.

College of Dentistry

Novak, Karen F., Associate Professor (without tenure), Oral Health Practice, 7/1/01 through 6/30/02.
Turner, Erwin G., Professor (part time), Oral Health Science, 7/1/01 through 6/30/02.

College of Medicine

Bard, James W., Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.
Branch, Leslie B., Associate Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.
Chasen, Craig A., Clinical Associate Professor, Internal Medicine, 7/1/01 through 6/30/02.
Clawson, D. K., Clinical Professor, Surgery, 7/1/01 through 6/30/02.
Conklin, John D., Clinical Associate Professor, Ophthalmology, 7/1/01 through 6/30/02.
Cowen, David E., Associate Professor (part time), Ophthalmology, 7/1/01 through 6/30/02.
Faugere, Marie-Claude, Research Professor, Internal Medicine, joint appointment as Research Professor, Pathology and Laboratory Medicine, 7/1/01 through 6/30/02.
Fragneto, Regina Y., Associate Professor* (without tenure), Anesthesiology, 7/1/01 through 6/30/02.
Garden, John W., Professor (part time), Ophthalmology, 7/1/01 through 6/30/02.
Goodman, Philip, Associate Professor* (without tenure), Diagnostic Radiology, 7/1/01 through 6/30/02.
Griffen, Ward O., Professor (part time), Surgery, 7/1/01 through 6/30/02.

*Special Title Series

Hager, W. D., Professor (part time), Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Haydon, Richard C., Clinical Associate Professor, Surgery, 7/1/01 through 6/30/02.
Henry, Stephen L., Adjunct Professor, Surgery, 7/1/01 through 6/30/02.
Herzig, Geoffrey P., Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.
Herzig, Roger H., Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.
Hirschowitz, Edward A., Assistant Professor, Internal Medicine, named to the Merck and Company, Inc. Professorship in Pulmonary Medicine, 7/1/01 through 6/30/02.
Hoven, Ardis D., Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.
Iwinski, Henry J., Clinical Associate Professor, Surgery, 7/1/01 through 6/30/02.
Keller, Bradley B., Associate Professor (without tenure), Pediatrics, named to the Jennifer Gill Professorship in Pediatric Cardiology, 7/1/01 through 6/30/02.
Kielar, Richard A., Professor (part time), Ophthalmology, 7/1/01 through 6/30/02.
Leavell, Ullin W., Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.
Lewis, David F., Associate Professor* (without tenure), Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Luo, Guangxiang, Associate Professor (without tenure), Microbiology and Immunology, 7/1/01 through 6/30/02.
Mayer, Lloyd D., Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.
Mazzoleni, Alberto, Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.
McCaffrey, Francis M., Clinical Associate Professor, Pediatrics, 7/1/01 through 6/30/02.
McCormick, Malkanthie I., Clinical Associate Professor, Internal Medicine, 7/1/01 through 6/30/02.
McDaniel, William E., Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.
McKeown, John W., Clinical Associate Professor, Internal Medicine, 7/1/01 through 6/30/02.
Pavlik, Edward J., Associate Research Professor, Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Phillips, Gordon L., Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.
Reynolds, L. R., Associate Professor* (without tenure), Internal Medicine, 7/1/01 through 6/30/02.
Riley, Kathryn P., Associate Professor (part time), Preventive Medicine and Environmental Health, 7/1/01 through 6/30/02.
Saykaly, Ronald J., Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.
Shaffer, William O., Associate Professor* (without tenure), Surgery, 7/1/01 through 6/30/02.
Solomon, Stephen E., Associate Professor (part time), Ophthalmology, joint appointment as Associate Professor (part time), Neurology, 7/1/01 through 6/30/02.
Turner, H. S., Clinical Professor, Preventive Medicine and Environmental Health, joint appointment as Clinical Professor, Family Practice, 7/1/01 through 6/30/02.
Tylkowski, Chester M., Clinical Professor, Surgery, 7/1/01 through 6/30/02.

*Special Title Series

Waid, Thomas H., Clinical Associate Professor, Internal Medicine, 7/1/01 through 6/30/02.
Whayne, Thomas F., Clinical Professor, Internal Medicine, 7/1/01 through 6/30/02.
Williams, John P., Associate Professor (without tenure), Internal Medicine, 7/1/01 through 6/30/02.
Yoneda, Justine M., Associate Professor (part time), Radiation Medicine, 7/1/01 through 6/30/02.

College of Pharmacy

Jay, Susan M., Associate Professor (part time), 7/1/01 through 6/30/02.
Thorn, Deborah B., Associate Adjunct Professor, 7/1/01 through 6/30/02.

Graduate School

Sisken, Betty F., Professor (part time), Biomedical Engineering, 7/1/01 through 6/30/02.

D. TENURE

College of Medicine

Fakhoury, Toufic A., Associate Professor* (without tenure), Neurology, to Associate Professor* (with tenure), Neurology, effective 7/1/01.
Pittman, Thomas A., Associate Professor* (without tenure), Surgery, to Associate Professor* (with tenure), Surgery, effective 7/1/01.

E. PROMOTIONS

College of Allied Health Professions

Morris, Donna S., Assistant Professor*, Rehabilitation Sciences, to Associate Professor* (with tenure), Rehabilitation Sciences, effective 7/1/01.

College of Dentistry

Humphrey, Sue P., Assistant Professor*, Oral Health Practice, to Associate Professor* (with tenure), Oral Health Practice, effective 7/1/01.

College of Medicine

Ain, Kenneth B., Associate Professor (with tenure), Internal Medicine, to Professor (with tenure), Internal Medicine, effective 7/1/01.
Arya, Kanta, Assistant Professor (voluntary), Pediatrics, to Associate Professor (voluntary), Pediatrics, 7/1/01 through 6/30/03.

*Special Title Series

Blum, Richard A., Assistant Professor (voluntary), Pediatrics, to Associate Professor (voluntary), Pediatrics, 7/1/01 through 6/30/03.

Campbell, Lynn R., Assistant Professor*, Pediatrics, to Associate Professor* (with tenure), Pediatrics, effective 7/1/01.

Casey, Baretta R., Assistant Professor (voluntary), Family Practice, to Associate Professor (voluntary), Family Practice, 7/1/01 through 6/30/03.

Daugherty, Alan, Associate Professor (with tenure), Internal Medicine, joint appointment as Associate Professor (without tenure), Physiology, to Professor (with tenure), Internal Medicine, joint appointment as Professor (without tenure), Physiology, effective 7/1/01.

deVilliers, Willem J., Assistant Professor, Internal Medicine, to Associate Professor (with tenure), Internal Medicine, effective 7/1/01.

Fetter, James M., Assistant Professor (voluntary), Psychiatry, to Associate Professor (voluntary), Psychiatry, 7/1/01 through 6/30/03.

Gibson, Jacqueline S., Clinical Associate Professor, Internal Medicine, to Clinical Professor, Internal Medicine, 7/1/01 through 6/30/02.

Hopenhayn-Rich, Claudia, Assistant Research Professor, Preventive Medicine and Environmental Health, to Associate Research Professor, Preventive Medicine and Environmental Health, 7/1/01 through 6/30/02.

Jayasekera, Kenewala, Assistant Professor (voluntary), Psychiatry, to Associate Professor (voluntary), Psychiatry, 7/1/01 through 6/30/03.

Kearney, Paul A., Associate Professor (with tenure), Surgery, to Professor (with tenure), Surgery, effective 7/1/01.

Kepferle, Loyd T., Assistant Research Professor, Preventive Medicine and Environmental Health, to Associate Research Professor, Preventive Medicine and Environmental Health, 7/1/01 through 6/30/02.

Khanna, Ashok K., Assistant Professor (voluntary), Pediatrics, to Associate Professor (voluntary), Pediatrics, 7/1/01 through 6/30/03.

Kwolek, Deborah G., Assistant Professor*, Internal Medicine, to Associate Professor* (with tenure), Internal Medicine, effective 7/1/01.

Lee, Eun Y., Associate Professor (with tenure), Pathology and Laboratory Medicine, joint appointment as Associate Professor (without tenure), Graduate School, Graduate Center for Toxicology, to Professor (with tenure), Pathology and Laboratory Medicine, joint appointment as Associate Professor (without tenure), Graduate School, Graduate Center for Toxicology, effective 7/1/01.

Maragos, William F., Assistant Professor, Neurology, joint appointment as Assistant Professor, Anatomy and Neurobiology, to Associate Professor (with tenure), Neurology, joint appointments as Associate Professor (without tenure), Anatomy and Neurobiology and Assistant Professor, Graduate School, Graduate Center for Toxicology, effective 7/1/01.

McMahon, Douglas G., Associate Professor (with tenure), Physiology, to Professor (with tenure), Physiology, effective 7/1/01.

McNeal, Jerry R., Assistant Professor (voluntary), Pediatrics, to Associate Professor (voluntary), Pediatrics, 7/1/01 through 6/30/03.

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*Special Title Series

Mettu, Jyothi, Assistant Professor (voluntary), Pediatrics, to Associate Professor (voluntary), Pediatrics, 7/1/01 through 6/30/03.

Munch, Larry C., Assistant Professor (part time), Surgery, to Associate Professor* (with tenure), Surgery, effective 3/1/01.

Prince, Timothy S., Assistant Professor*, Preventive Medicine and Environmental Health, to Associate Professor* (with tenure), Preventive Medicine and Environmental Health, effective 7/1/01.

Sanders, Sheila P., Clinical Assistant Professor, Ophthalmology, to Clinical Associate Professor, Ophthalmology, 7/1/01 through 6/30/02.

Sloan, Paul A., Associate Professor (with tenure), Anesthesiology, joint appointment as Assistant Professor, Internal Medicine, to Professor (with tenure), Anesthesiology, joint appointment as Assistant Professor, Internal Medicine, effective 7/1/01.

Toborek, Michal, Assistant Professor, Surgery, to Associate Professor (with tenure), Surgery, effective 7/1/01.

Voakes, John E., Assistant Professor (voluntary), Pediatrics, to Associate Professor (voluntary), Pediatrics, 7/1/01 through 6/30/03.

College of Nursing

Rayens, Mary K., Assistant Research Professor, joint appointments as Assistant Research Professor, College of Medicine, Kentucky School of Public Health and Department of Pediatrics, to Associate Research Professor, joint appointments as Associate Research Professor, College of Medicine, Kentucky School of Public Health and Department of Pediatrics, 7/1/01 through 6/30/02.

College of Pharmacy

Littrell, Robert A., Clinical Assistant Professor, joint appointment as Clinical Assistant Professor, College of Medicine, Department of Psychiatry, to Clinical Associate Professor, joint appointment as Clinical Assistant Professor, College of Medicine, Department of Psychiatry, 7/1/01 through 6/30/02.

Mactutus, Charles F., Associate Research Professor, joint appointments as Associate Research Professor, Graduate School, Graduate Center for Toxicology and College of Arts and Sciences, Department of Psychology, to Research Professor, joint appointments as Associate Research Professor, Graduate School, Graduate Center for Toxicology and College of Arts and Sciences, Department of Psychology, 7/1/01 through 6/30/02.

*Special Title Series

Research and Graduate Studies

Jung, Ranu, Assistant Professor, Biomedical Engineering, joint appointments as Assistant Professor, College of Medicine, Department of Physiology and College of Engineering, Department of Electrical Engineering, to Associate Professor (with tenure), Biomedical Engineering, joint appointments as Associate Professor (without tenure), College of Medicine, Department of Physiology and College of Engineering, Department of Electrical Engineering, effective 7/1/01.

Medical Center Library

Theirl, Edwina B., Librarian II (with tenure), to Librarian I (with tenure), effective 7/1/01.

F. CHANGES

Chancellor's Office

Ritchie, Wayne, from Director, Facilities Planning and Construction (MT0049), to Director, Facilities Planning and Construction (MT0050), effective 7/1/01.

College of Dentistry

Williamson, Russell T., from Associate Professor* (with tenure), Oral Health Practice, to Associate Professor (part time), Oral Health Practice, 7/3/01 through 6/30/02.

College of Medicine

Elam, Carol L., from Associate Adjunct Professor, Behavioral Science, to Associate Professor* (with tenure), Behavioral Science, effective 7/1/01.

Fried, Andrew M., from Professor (part time), Diagnostic Radiology, to Professor* (with tenure), Diagnostic Radiology, effective 7/1/01.

Goldstein, Steven J., from Associate Professor (part time), Diagnostic Radiology, to Clinical Associate Professor, Diagnostic Radiology, 7/1/01 through 6/30/02.

McCormick, Malkanthie I., from Associate Professor (voluntary), Internal Medicine, to Associate Professor (temporary), Internal Medicine, 5/2/01 through 6/30/01.

McCormick, Malkanthie I., from Associate Professor (temporary), Internal Medicine, to Clinical Associate Professor, Internal Medicine, 6/20/01 through 6/30/01.

Witt, William O., Professor* (with tenure), Anesthesiology, from sabbatical leave at half salary, 7/1/01 through 6/30/02, to sabbatical leave at half salary, 7/1/02 through 6/30/03.

*Special Title Series

University Hospital

Hickey, Ryan T., from Home Care Services Director, to Cancer Services Director, effective 6/5/01.

G. TERMINAL REAPPOINTMENTS

College of Medicine

Prasad, M. R., Research Professor, Surgery, 7/1/01 through 6/30/02.
Yurek, David M., Associate Research Professor, Surgery, joint appointment as Associate Research Professor, Anatomy and Neurobiology, 7/1/01 through 6/30/02.

College of Pharmacy

Gairola, Chandra G., Research Professor, joint appointment as Research Professor, Graduate School, Graduate Center for Toxicology, 7/1/01 through 12/21/01.

H. RETIREMENTS

College of Medicine

McRoberts, J. W., Professor (with tenure), Surgery, after 28 years, 8 months of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/01.
Walters, Margaret D., LPN II, Obstetrics and Gynecology, after 13 years, 7 months of consecutive service and 33 years, 8 months of total service, under AR II-1.6-1, Section III.B, effective 7/27/01.
Zolman, James F., Professor (with tenure), Physiology, after 37 years of consecutive service, under AR II-1.6-1, Section III.B, effective 8/1/01.

College of Nursing

Lee, Gwendolen, Professor* (with tenure), after 22 years, 6 months of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/01.

I. EARLY RETIREMENTS

Chancellor's Office

Haynes, Denver W., Painter II, Medical Center Physical Plant, after 22 years, 3 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 6/30/01.

*Special Title Series

College of Allied Health Professions

Kuder, Linda B., Associate Adjunct Professor, Health Services, and Associate Director, Sanders-Brown Center on Aging, after 19 years, 6 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 7/13/01.

College of Medicine

Poneleit, Lynn L., Student Affairs Officer I, Physiology, after 18 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 8/3/01.

University Hospital

Jones, Homer, Senior Storekeeper, Dietetics and Nutrition, after 39 years, under AR II-1.6-1, Section III.A.2, effective 4/17/01.
Morrison, Carrie A., Patient Care Manager, Perioperative Services, after 16 years, 3 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 7/1/01.

J. POST-RETIREMENT APPOINTMENTS

College of Allied Health Professions

Kuder, Linda B., Associate Professor (part time), Health Services, 7/14/01 through 6/30/02.
Stiene-Martin, Elizabeth A., Professor (part time), Clinical Sciences, 7/1/01 through 6/30/02.

College of Dentistry

Calmes, Robert B., Associate Professor (part time), Oral Health Science, 7/1/01 through 6/30/02.
Cooper, Thomas M., Professor (part time), Oral Health Science, 7/1/01 through 6/30/02.
Saxe, Stanley R., Professor (part time), Oral Health Practice, 7/1/01 through 6/30/02.
Spohn, Eric E., Professor (part time), Oral Health Science, 7/1/01 through 6/30/02.
Webster, David B., Associate Professor (part time), Oral Health Science, 7/1/01 through 6/30/02.

College of Medicine

Aug, Robert G., Professor (part time), Psychiatry, 7/1/01 through 6/30/02.
Greene, John W., Professor (part time), Obstetrics and Gynecology, 7/1/01 through 6/30/02.

*Special Title Series

Ireson, Carol L., Associate Professor (part time), Kentucky School of Public Health, 7/1/01 through 6/30/02.
Jarecky, Roy K., Professor (part time), Family Practice, 7/1/01 through 6/30/02.
Kraus, Robert F., Professor (part time), Psychiatry, 7/1/01 through 6/30/02.
Lester, Robert L., Professor (part time), Molecular and Cellular Biochemistry, 7/1/01 through 6/30/02.
Ludwig, Arnold M., Professor (part time), Psychiatry, 7/1/01 through 6/30/02.
Neill, John R., Associate Professor (part time), Psychiatry, 7/1/01 through 6/30/02.
Seeley, Ellsworth C., Professor (part time), Family Practice, 7/1/01 through 6/30/02.
Sloan, Jewell W., Assistant Professor (part time), Anesthesiology, 7/1/01 through 6/30/02.
Thompson, John S., Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.

College of Nursing

Lee, Gwendolen, Professor (part time), 7/1/01 through 6/30/02.

II. ADMINISTRATIVE ACTION

A. ACADEMIC APPOINTMENTS

College of Dentistry

Brown, George, Instructor (voluntary), Oral Health Science, 6/1/01 through 6/30/03.
Burt, Andrew, Instructor (voluntary), Oral Health Science, 6/1/01 through 6/30/03.
Cash, David M., Instructor (voluntary), Oral Health Science, 6/1/01 through 6/30/03.
Dunckel, Gary, Instructor (voluntary), Oral Health Science, 6/1/01 through 6/30/03.
Durall, Anthony W., Instructor (voluntary), Oral Health Science, 6/1/01 through 6/30/03.
Fors, Cecilia, Instructor (voluntary), Oral Health Science, 6/4/01 through 6/30/03.
Hale, Anita, Instructor (voluntary), Oral Health Science, 6/4/01 through 6/30/03.
Henderson, Robert L., Instructor (voluntary), Oral Health Science, 6/1/01 through 6/30/03.
Jayme, Annellel T., Instructor (voluntary), Oral Health Science, 6/4/01 through 6/30/03.
Johnson-Higgins, Gina, Instructor (voluntary), Oral Health Science, 6/4/01 through 6/30/03.
Miller, Eric, Instructor (voluntary), Oral Health Science, 6/1/01 through 6/30/03.
Napier, Samantha S., Instructor (voluntary), Oral Health Science, 6/1/01 through 6/30/03.
Owsley-Brown, Renee, Instructor (voluntary), Oral Health Science, 6/4/01 through 6/30/03.
Russell, Jason, Instructor (voluntary), Oral Health Science, 6/1/01 through 6/30/03.
Shaver, Doug, Instructor (voluntary), Oral Health Science, 6/4/01 through 6/30/03.
Traxel, James T., Instructor (voluntary), Oral Health Science, 6/1/01 through 6/30/03.

*Special Title Series

College of Medicine

Adrales, Gina L., Clinical Instructor, Surgery, 7/1/01 through 6/30/02.
Aggarwal, Ashim, Instructor (part time), Ophthalmology, 7/7/1 through 6/30/02.
Anderson, Gregory L., Assistant Professor (voluntary), Family Practice, 6/20/01 through 6/30/03.
Banerjee, Sheena, Assistant Professor (voluntary), Family Practice, 6/20/01 through 6/30/03.
Banit, Daxes M., Instructor (temporary), Surgery, 7/1/01 through 6/30/02.
Biggs, John G., Instructor (part time), Internal Medicine, 7/1/01 through 6/30/02.
Blackburn, Peter J., Instructor (part time), Ophthalmology, 7/7/1 through 6/30/02.
Chobanian, Nishan, Clinical Instructor, Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Dotson, Tony W., Assistant Professor (part time), Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Flannery, Maureen A., Clinical Instructor, Family Practice, 8/1/01 through 6/30/02.
Ganeshram, Vedam P., Assistant Professor (voluntary), Family Practice, 6/20/01 through 6/30/03.
Gibson, John, Assistant Professor (voluntary), Family Practice, 6/20/01 through 6/30/03.
Gore, Stephen, Assistant Professor (voluntary), Family Practice, 6/20/01 through 6/30/03.
Grimes, Allen E., Assistant Professor (voluntary), Surgery, 6/20/01 through 6/30/03.
Gupta, Pragya, Assistant Professor (voluntary), Anesthesiology, 7/1/01 through 6/30/03.
Haq, Abdul, Assistant Professor (voluntary), Pediatrics, 6/20/01 through 6/30/03.
Hardie, Jennifer B., Assistant Professor (voluntary), Pediatrics, 6/20/01 through 6/30/03.
Hess, Michelle L., Clinical Instructor, Pediatrics, 7/1/01 through 6/30/02.
Irwin, Craig W., Assistant Professor (voluntary), Pediatrics, 6/20/01 through 6/30/03.
Killip, Shersten, Clinical Instructor, Family Practice, 8/1/01 through 6/30/02.
King, Samuel J., Assistant Professor (voluntary), Family Practice, 6/20/01 through 6/30/03.
Kopitzke, Elizabeth J., Assistant Professor (part time), Family Practice, 7/1/01 through 6/30/02.
Matthews, Marc R., Clinical Instructor, Surgery, 7/1/01 through 6/30/02.
McClellan, Christopher S., Instructor (part time), Internal Medicine, 7/1/01 through 6/30/02.
Secor, Tami M., Instructor (part time), Internal Medicine, 7/1/01 through 6/30/02.
Weiss, Carl A., Clinical Instructor, Surgery, 7/1/01 through 6/30/02.
Zwick, Matthew D., Assistant Professor (part time), Diagnostic Radiology, 7/1/01 through 6/30/02.

*Special Title Series

College of Nursing

Butler, Karen M., Lecturer, 8/1/01 through 6/30/02.
Mueggenburg, Kay, Assistant Professor*, 7/1/01 through 6/30/02.

College of Pharmacy

Bowen, Barbara L., Assistant Professor (voluntary), 6/20/01 through 6/30/03.
Clifford, Timothy M., Assistant Adjunct Professor, 7/1/01 through 6/30/02.
Lewis, Daniel A., Assistant Adjunct Professor, 7/1/01 through 6/30/02.
White, Jennifer S., Assistant Professor (voluntary), 6/20/01 through 6/30/03.

B. ADMINISTRATIVE APPOINTMENTS

College of Medicine

Clayton, Richard R., Professor (with tenure), Kentucky School of Public Health, named Acting Chair, Preventive Medicine and Environmental Health, 7/1/01 through 6/30/02.

University Hospital

Cashman, Heather, Clinical Staff Pharmacist, Hospital Pharmacy Services, effective 5/21/01.
Mathena, Joseph, Clinical Staff Pharmacist I, Hospital Pharmacy, effective 5/14/01.

C. ADMINISTRATIVE REAPPOINTMENTS

College of Allied Health Professions

Olesinski, Raymond L., Associate Professor* (with tenure), Clinical Sciences, named Acting Chair, Clinical Sciences, 7/1/01 through 6/30/02.
Page, Judith L., Associate Professor (with tenure), Rehabilitation Sciences, named Acting Chair, Rehabilitation Sciences, 7/1/01 through 6/30/02.

College of Medicine

Wilson, John F., Professor (with tenure), Behavioral Science, joint appointments as Professor (without tenure), College of Nursing and College of Arts and Sciences, Department of Psychology, named Acting Chair, Behavioral Science, 7/1/01 through 6/30/02.

*Special Title Series

D. JOINT APPOINTMENTS

College of Dentistry

Anderson, Steven A., Assistant Professor (part time), Oral Health Science, joint appointment as Assistant Professor (part time), College of Medicine, Department of Family Practice, 7/1/01 through 6/30/02.

College of Medicine

Barnes, Gregory N., Assistant Professor, Neurology, joint appointment as Assistant Professor, Molecular and Cellular Biochemistry, 7/1/01 through 6/30/02.

Hiller, Matthew L., Assistant Research Professor, Psychiatry, joint appointment as Assistant Research Professor, College of Social Work, 7/1/01 through 6/30/02.

College of Pharmacy

Post, Ginell R., Assistant Professor, joint appointment as Assistant Professor, Graduate School, Graduate Center for Toxicology, 7/1/01 through 6/30/02.

E. REAPPOINTMENTS

College of Allied Health Professions

Botkin, John R., Assistant Adjunct Professor, Health Services, 7/1/01 through 6/30/02.

Campbell, Kim K., Assistant Adjunct Professor, Clinical Sciences, 7/1/01 through 6/30/02.

Costich, Julia F., Assistant Research Professor, Health Services, joint appointment as Assistant Research Professor, College of Medicine, Kentucky School of Public Health, 7/1/01 through 6/30/02.

Crouch, Larry, Assistant Adjunct Professor, Health Services, 7/1/01 through 6/30/02.

Darbee, Joan C., Assistant Professor, Rehabilitation Sciences, 7/1/01 through 6/30/02.

English, Mary L., Assistant Professor*, Rehabilitation Sciences, 7/1/01 through 6/30/02.

Fisher, Steve B., Assistant Professor*, Clinical Sciences, 7/1/01 through 6/30/02.

Fry, James R., Assistant Professor*, Clinical Sciences, 7/1/01 through 6/30/02.

Gardner, Toni G., Assistant Adjunct Professor, Clinical Sciences, 7/1/01 through 6/30/02.

Jennings, Patricia R., Assistant Professor*, Clinical Sciences, joint appointment as Assistant Professor*, College of Pharmacy, 7/1/01 through 6/30/02.

Johnson, Ellis L., Adjunct Instructor, Health Services, 7/1/01 through 6/30/02.

Kitzman, Patrick H., Assistant Professor, Rehabilitation Sciences, 7/1/01 through 6/30/02.

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*Special Title Series

Kremer, Theresa, Assistant Adjunct Professor, Clinical Sciences, 7/1/01 through 6/30/02.
Kuperstein, Janice, Assistant Professor*, Rehabilitation Sciences, 7/1/01 through 6/30/02.
Lloyd, Brenda M., Adjunct Instructor, Clinical Sciences, 7/1/01 through 6/30/02.
Madaleno, James A., Assistant Adjunct Professor, Clinical Sciences, 7/1/01 through 6/30/02.
Main, Karen A., Assistant Research Professor, Health Services, 7/1/01 through 6/30/02.
Mattacola, Carl G., Assistant Professor, Clinical Sciences, 7/1/01 through 6/30/02.
Milam, Andrea, Assistant Professor*, Rehabilitation Sciences, 7/1/01 through 6/30/02.
Overman, Sue B., Assistant Adjunct Professor, Clinical Sciences, 7/1/01 through 6/30/02.
Queen, Susan A., Assistant Professor, Rehabilitation Sciences, 7/1/01 through 6/30/02.
Sims, Priscilla, Adjunct Instructor, Clinical Sciences, 7/1/01 through 6/30/02.
Snider, Lyle B., Assistant Professor*, Health Services, 7/1/01 through 6/30/02.
Steinman, Margaret N., Assistant Adjunct Professor, Clinical Sciences, 7/1/01 through 6/30/02.
Uhl, Timothy L., Assistant Professor, Clinical Sciences, 7/1/01 through 6/30/02.
Van Dyke, Eileen, Assistant Professor*, Clinical Sciences, 7/1/01 through 6/30/02.
Webster, Keith J., Assistant Adjunct Professor, Clinical Sciences, 7/1/01 through 6/30/02.
Wright, Heather H., Assistant Professor, Rehabilitation Sciences, 7/1/01 through 6/30/02.

College of Dentistry

Anderson, Steven A., Assistant Professor (part time), Oral Health Science, 7/1/01 through 6/30/02.
Lewis, Duane E., Assistant Adjunct Professor, Oral Health Practice, 7/1/01 through 6/30/02.
Wells, Donald G., Assistant Professor (part time), Oral Health Practice, 7/1/01 through 6/30/02.

College of Medicine

Abascal, Vivian M., Clinical Assistant Professor, Internal Medicine, 7/1/01 through 6/30/02.
Akin, James W., Assistant Professor (part time), Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Allweiss, Pamela H., Assistant Professor*, Preventive Medicine and Environmental Health, joint appointment as Assistant Professor*, Family Practice, 7/1/01 through 6/30/02.

*Special Title Series

Arosarena, Oneida A., Assistant Professor*, Surgery, 7/1/01 through 6/30/02.
Asmis, Reto H., Assistant Professor, Internal Medicine, joint appointment as Assistant Professor, Physiology, 7/1/01 through 6/30/02.
Barton, John R., Assistant Professor (part time), Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Batra, Chandramohan P., Clinical Assistant Professor, Family Practice, 7/1/01 through 6/30/02.
Belendez, Zaida R., Assistant Research Professor, Preventive Medicine and Environmental Health, 7/1/01 through 6/30/02.
Bensadoun, Eric S., Assistant Professor*, Internal Medicine, 7/1/01 through 6/30/02.
Blazar, Philip E., Assistant Professor, Surgery, 7/1/01 through 6/30/02.
Borden, Peter S., Instructor (temporary), Surgery, 7/1/01 through 07/31/01.
Bosch, Antonio, Clinical Assistant Professor, Internal Medicine, 7/1/01 through 6/30/02.
Brown, Stephen A., Assistant Research Professor, Internal Medicine, 7/1/01 through 6/30/02.
Browning, Steven R., Assistant Research Professor, Preventive Medicine and Environmental Health, 7/1/01 through 6/30/02.
Bruno, Jenifir J., Instructor (part time), Internal Medicine, joint appointment as Assistant Professor (part time), Pediatrics, 7/1/01 through 6/30/02.
Buch, Ketan P., Clinical Assistant Professor, Internal Medicine, 7/1/01 through 6/30/02.
Bush, Joilyn D., Assistant Professor*, Surgery, 7/1/01 through 6/30/02.
Butler, Larry S., Clinical Assistant Professor, Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Campbell, E. S., Assistant Professor (part time), Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Campbell, Jeffrey P., Assistant Professor (part time), Surgery, 7/1/01 through 6/30/02.
Carrithers, Stephen L., Assistant Research Professor, Internal Medicine, joint appointment as Assistant Research Professor, Physiology, 7/1/01 through 6/30/02.
Carroll, Timothy W., Assistant Professor (part time), Emergency Medicine, 7/1/01 through 6/30/02.
Chauhan, Ashok, Assistant Research Professor, Neurology, 7/1/01 through 6/30/02.
Cooper, Gregory E., Assistant Professor (part time), Neurology, 7/1/01 through 6/30/02.
Creamer, Trevor P., Assistant Professor, Molecular and Cellular Biochemistry, 7/1/01 through 6/30/02.
Dalton, Waller L., Clinical Assistant Professor, Obstetrics and Gynecology, 7/1/01 through 6/30/02.
D'Angelo, Sandra L., Clinical Assistant Professor, Pediatrics, joint appointment as Clinical Assistant Professor, Behavioral Science, 7/1/01 through 6/30/02.
Danner, Deborah D., Assistant Research Professor, Preventive Medicine and Environmental Health, 7/1/01 through 6/30/02.

*Special Title Series

Dassow, Jeanie D., Assistant Professor (part time), Obstetrics and Gynecology, 7/1/01 through 6/30/02.

Davey, Patrick, Assistant Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.

deBeer, Maria C., Assistant Research Professor, Internal Medicine, 7/1/01 through 6/30/02.

Douglas, William I., Assistant Professor*, Surgery, joint appointment as Assistant Professor*, Pediatrics, 7/1/01 through 6/30/02.

Dutch, Rebecca L., Assistant Professor, Molecular and Cellular Biochemistry, 7/1/01 through 6/30/02.

Eickler, Richard G., Assistant Professor (part time), Diagnostic Radiology, 7/1/01 through 6/30/02.

Escalante, David A., Assistant Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.

Fetherston, Jacqueline D., Assistant Research Professor, Microbiology and Immunology, 7/1/01 through 6/30/02.

Fontenot, Michael T., Assistant Professor*, Obstetrics and Gynecology, 7/1/01 through 6/30/02.

Frederich, Robert C., Assistant Professor, Internal Medicine, joint appointment as Assistant Professor, Molecular and Biomedical Pharmacology, 7/1/01 through 6/30/02.

Garvy, Beth, Assistant Professor, Internal Medicine, joint appointment as Assistant Professor, Microbiology and Immunology, 7/1/01 through 6/30/02.

Geraghty, Robert J., Assistant Professor, Microbiology and Immunology, 7/1/01 through 6/30/02.

Gerayli, Fereshteh, Clinical Assistant Professor, Family Practice, 7/1/01 through 6/30/02.

Given, Curtis A., Assistant Professor (part time), Diagnostic Radiology, 7/1/01 through 6/30/02.

Greene, John F., Clinical Assistant Professor, Obstetrics and Gynecology, 7/1/01 through 6/30/02.

Hartford, James M., Assistant Professor, Surgery, 7/1/01 through 6/30/02.

Hassan, Zaki U., Clinical Instructor, Anesthesiology, 7/1/01 through 6/30/02.

Heiser, Michael J., Assistant Professor (part time), Diagnostic Radiology, 7/1/01 through 6/30/02.

Hirschowitz, Edward A., Assistant Professor, Internal Medicine, 7/1/01 through 6/30/02.

Holt, Richard T., Assistant Professor (part time), Surgery, 7/1/01 through 6/30/02.

Jahania, Mohammed S., Clinical Assistant Professor, Surgery, 7/1/01 through 6/30/02.

Katz, Douglas G., Assistant Professor*, Ophthalmology, 7/1/01 through 6/30/02.

Kusmirek, Slawomir L., Clinical Assistant Professor, Internal Medicine, 7/1/01 through 6/30/02.

Lamba, Sumant, Clinical Assistant Professor, Internal Medicine, 7/1/01 through 6/30/02.

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*Special Title Series

Langub, Moises C., Assistant Professor, Internal Medicine, 7/1/01 through 6/30/02.
Lawrence, Steven J., Assistant Professor*, Surgery, 7/1/01 through 6/30/02.
Lawton, Jeffrey N., Assistant Professor*, Surgery, 7/1/01 through 6/30/02.
Luchok, Kathryn J., Assistant Professor (part time), Preventive Medicine and Environmental Health, 7/1/01 through 6/30/02.
Malik, Uzma, Assistant Professor*, Radiation Medicine, 7/1/01 through 6/30/02.
Mawad, Hanna W., Clinical Assistant Professor, Internal Medicine, 7/1/01 through 6/30/02.
McCann, Richard O., Assistant Professor, Molecular and Cellular Biochemistry, 7/1/01 through 6/30/02.
Medalie, Daniel A., Assistant Professor*, Surgery, 7/1/01 through 6/30/02.
Miller, S. J., Clinical Assistant Professor, Anesthesiology, 7/1/01 through 6/30/02.
Moncman, Carole L., Assistant Professor, Molecular and Cellular Biochemistry, 7/1/01 through 6/30/02.
Moore, Angela R., Clinical Assistant Professor, Diagnostic Radiology, 7/1/01 through 6/30/02.
Moore, Thomas S., Assistant Professor (part time), Surgery, 7/1/01 through 6/30/02.
Murray, Shona C., Clinical Assistant Professor, Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Napier, Sharon M., Assistant Professor (part time), Ophthalmology, 7/1/01 through 6/30/02.
Narayan, Prakash, Assistant Research Professor, Surgery, 7/1/01 through 6/30/02.
Newman, Ronald L., Assistant Professor*, Anesthesiology, joint appointments as Assistant Professor*, Physical Medicine and Rehabilitation and College of Allied Health Professions, Department of Clinical Sciences, 7/1/01 through 6/30/02.
O'Brien, John M., Assistant Professor (part time), Obstetrics and Gynecology, 7/1/01 through 6/30/02.
O'Nan, Jeanne M., Clinical Assistant Professor, Obstetrics and Gynecology, 7/1/01 through 6/30/02.
O'Neill, Amy M., Clinical Assistant Professor, Psychiatry, 7/1/01 through 6/30/02.
Ozcan, Sabire, Assistant Professor, Molecular and Cellular Biochemistry, 7/1/01 through 6/30/02.
Parrott, Mark L., Clinical Assistant Professor, Pediatrics, 7/1/01 through 6/30/02.
Pena, Luis R., Assistant Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.
Pennington, Michael A., Assistant Professor (part time), Diagnostic Radiology, 7/1/01 through 6/30/02.
Pittman, Anne M., Assistant Professor (part time), Internal Medicine, 7/1/01 through 6/30/02.
Pu, Lee L., Assistant Professor*, Surgery, 7/1/01 through 6/30/02.
Reese, Daniel P., Clinical Assistant Professor, Anesthesiology, 7/1/01 through 6/30/02.

*Special Title Series

Ribes, Julie A., Assistant Professor*, Pathology and Laboratory Medicine, joint appointment as Assistant Professor*, College of Allied Health Professions, Department of Clinical Sciences, 7/1/01 through 08/14/01.
Ringley, Kimberly R., Clinical Assistant Professor, Pediatrics, 7/1/01 through 6/30/02.
Roberts, Ronald E., Clinical Assistant Professor, Internal Medicine, joint appointment as Clinical Assistant Professor, Pediatrics, 7/1/01 through 6/30/02.
Rodgers, David W., Assistant Professor, Molecular and Cellular Biochemistry, 7/1/01 through 6/30/02.
Rushing, Rodney S., Clinical Instructor, Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Ryan, Stephen J., Clinical Assistant Professor, Neurology, 7/1/01 through 6/30/02.
Schilder, Jeanne M., Clinical Instructor, Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Shirley, Pamela B., Assistant Professor (part time), Psychiatry, 7/1/01 through 6/30/02.
Simms, Lynne D., Assistant Professor (part time), Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Sinai, Anthony P., Assistant Professor, Microbiology and Immunology, 7/1/01 through 6/30/02.
Smith, Simon A., Assistant Professor, Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Spengler, Susan E., Assistant Professor (part time), Preventive Medicine and Environmental Health, 7/1/01 through 6/30/02.
Spring, Paul M., Assistant Professor*, Surgery, 7/1/01 through 6/30/02.
Srinivasan, Vijaya L., Clinical Assistant Professor, Family Practice, joint appointment as Clinical Assistant Professor, Internal Medicine, 7/1/01 through 6/30/02.
Stevenson, Brian, Assistant Professor, Microbiology and Immunology, 7/1/01 through 6/30/02.
Talwalkar, Vishwas R., Assistant Professor*, Surgery, 7/1/01 through 6/30/02.
Thornton, Alice C., Assistant Professor*, Internal Medicine, 7/1/01 through 6/30/02.
Tisdall, Ouida F., Assistant Professor (part time), Diagnostic Radiology, 7/1/01 through 6/30/02.
Ueland, Frederick R., Assistant Professor*, Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Walker, James R., Assistant Research Professor, Psychiatry, joint appointment as Assistant Research Professor, College of Social Work, 7/1/01 through 6/30/02.
Webb, Nancy R., Assistant Professor, Internal Medicine, 7/1/01 through 6/30/02.
White, Janet, Clinical Assistant Professor, Anesthesiology, 7/1/01 through 6/30/02.
Wilder, James L., Clinical Instructor, Obstetrics and Gynecology, 7/1/01 through 6/30/02.
Yates, Walter F., Assistant Professor (part time), Pediatrics, 7/1/01 through 6/30/02.
Young, William F., Assistant Professor*, Emergency Medicine, 7/1/01 through 6/30/02.

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*Special Title Series

Zachman, Frederick M., Clinical Assistant Professor, Obstetrics and Gynecology, 7/1/01 through 6/30/02.

College of Nursing

Bohanon, Perry K., Lecturer, 7/1/01 through 6/30/02.
Chappell, Hazel W., Instructor*, 7/1/01 through 09/30/01.
Cheves, Elizabeth P., Clinical Instructor, 7/1/01 through 6/30/02.
Deletter, Mary C., Assistant Professor (part time), 7/1/01 through 6/30/02.
Foley, Candace L., Instructor (part time), 7/1/01 through 6/30/02.
Gross, Janet C., Assistant Professor (part time), 7/1/01 through 6/30/02.
Hoefner, Ruthie B., Assistant Professor (part time), 7/1/01 through 6/30/02.
Li, Jue, Clinical Instructor, 7/1/01 through 12/31/01.
Littrell, Margaret, Instructor (part time), 7/1/01 through 6/30/02.
Scott, Leslie K., Clinical Instructor, 7/1/01 through 6/30/02.
Stefaniak, Karen A., Adjunct Instructor, 7/1/01 through 6/30/02.
Wagner, Kathleen D., Lecturer, 7/1/01 through 6/30/02.

College of Pharmacy

Akers, Paige S., Assistant Adjunct Professor, 7/1/01 through 6/30/02.
Botts, Sheila, Clinical Assistant Professor, 7/1/01 through 6/30/02.
Finnell, Deanna, Assistant Professor (part time), 7/1/01 through 6/30/02.
Rafferty-Ferrell, Leslie, Assistant Professor (part time), 7/1/01 through 6/30/02.

Graduate School

Hardy, Peter A., Assistant Research Professor, Biomedical Engineering, 7/1/01 through 6/30/02.
Patwardhan, Abhijit A., Assistant Professor, Biomedical Engineering, joint appointment as Assistant Professor, College of Medicine, Department of Internal Medicine, 7/1/01 through 6/30/02.

Medical Center Library

Congleton, Mary, Librarian IV, Medical Center Library, 7/1/01 through 6/30/02.
Davis, Frank, Librarian III, Medical Center Library, 7/1/01 through 6/30/02.

F. PROMOTIONS WITHOUT TENURE

College of Medicine

Dassow, Paul L., Clinical Instructor, Family Practice, to Assistant Professor*, Family Practice, joint appointment as Assistant Professor*, Preventive Medicine and Environmental Health, 7/1/01 through 6/30/02.

*Special Title Series

Hambrick, Horace P., Instructor (voluntary), Pediatrics, to Assistant Professor (voluntary), Pediatrics, 7/1/01 through 6/30/03.
Jackson, James E., Instructor (voluntary), Pediatrics, to Assistant Professor (voluntary), Pediatrics, 7/1/01 through 6/30/03.
Sampers, Jackie, Clinical Instructor, Pediatrics, to Clinical Assistant Professor, Pediatrics, 7/1/01 through 6/30/02.

College of Nursing

Hardin-Pierce, Melanie G., Clinical Instructor, to Clinical Assistant Professor, 7/1/01 through 6/30/02.
Jensen, Lynne A., Instructor (part time), to Clinical Assistant Professor, 7/1/01 through 6/30/02.

G. CHANGES

College of Allied Health Professions

Peters, Traci M., from Instructor (voluntary), Health Services, to Instructor (voluntary), Rehabilitation Sciences, 11/1/00 through 6/30/03.

College of Dentistry

Cecil, James C., from Assistant Professor*, Oral Health Science, to Assistant Research Professor, Oral Health Science, 7/1/01 through 6/30/02.
Maggard, Stacie K., from Assistant Professor (temporary), Oral Health Practice, to Assistant Professor (part time), Oral Health Practice, 7/1/01 through 6/30/02.

College of Medicine

Abercrombie, Sheryl, from Infrastructure and Training Coordinator, Diagnostic Radiology, to Diagnostic Radiology Administrative Manager, Diagnostic Radiology, effective 4/8/01.
Holt, Richard T., from Assistant Professor (voluntary), Surgery, to Assistant Professor (part-time), Surgery, 4/4/01 through 6/30/01, to Assistant Professor (part-time), Surgery, 4/16/01 through 6/30/01.
Mair, Scott D., from Assistant Professor, Surgery, to Assistant Professor*, Surgery, 7/1/01 through 6/30/02.
Mastrangelo, Michael J., from Assistant Professor, Surgery, to Assistant Professor*, Surgery, 7/1/01 through 6/30/02.
Miller, Beth A., from Assistant Professor*, Internal Medicine, to Clinical Assistant Professor, Internal Medicine, 7/1/01 through 6/30/02.
Minion, David J., from Assistant Professor, Surgery, to Assistant Professor*, Surgery, 7/1/01 through 6/30/02.

*Special Title Series

Monge, Roberto, from Assistant Professor (part time, temporary), Pediatrics, to Assistant Professor (part time), Pediatrics, 7/1/01 through 6/30/02.
Moore, Angela R., Clinical Assistant Professor, Diagnostic Radiology, from miscellaneous leave without pay, 3/6/01 through 5/6/01, to miscellaneous leave without pay, 3/6/01 through 6/3/01.
Moreno, Pedro R., from Assistant Professor, Internal Medicine, to Assistant Professor*, Internal Medicine, 7/1/01 through 6/30/02.
Mullett, Timothy W., from Assistant Professor*, Surgery, to Clinical Assistant Professor, Surgery, 7/1/01 through 6/30/02.
Tsuei, Betty, from Assistant Professor, Surgery, to Assistant Professor*, Surgery, 7/1/01 through 6/30/02.
Yates, Walter F., from Assistant Professor (voluntary), Pediatrics, to Assistant Professor (part time), Pediatrics, 6/20/01 through 6/30/01.

College of Nursing

Daniels, Judith A., from Clinical Instructor, to Instructor (part time), 7/1/01 through 6/30/02.

College of Pharmacy

Divine, Holly S., from Assistant Adjunct Professor, to Clinical Assistant Professor, 7/1/01 through 6/30/02.

University Hospital

Watson, Pamela, from Nurse Practitioner, to Nurse Director, University Health Service, effective 6/25/01.

H. TERMINAL REAPPOINTMENTS

College of Allied Health Professions

Hagerman, Ellen C., Clinical Assistant Professor, Rehabilitation Sciences, 7/1/01 through 6/30/02.
Wojtowicz, Geralyn M., Clinical Assistant Professor, Rehabilitation Sciences, 7/1/01 through 6/30/02.

College of Medicine

Gaposchkin, Christopher G., Assistant Professor*, Surgery, 7/1/01 through 6/30/02.
Pedigo, Nancy G., Assistant Research Professor, Molecular and Biomedical Pharmacology, 7/1/01 through 6/30/02.

*Special Title Series

Ribes, Julie A., Assistant Professor*, Pathology and Laboratory Medicine, joint appointment as Assistant Professor*, College of Allied Health Professions, Department of Clinical Sciences, 8/15/01 through 8/14/02.
Trent, Stephan, Clinical Assistant Professor, Family Practice, 7/1/01 through 6/30/02.

Graduate School

Brown, David R., Assistant Research Professor, Biomedical Engineering, 7/1/01 through 12/31/01.

I. LEAVES OF ABSENCE

College of Allied Health Professions

Fahringer, David A., Associate Professor* (with tenure), Clinical Sciences, sabbatical leave at full salary, 10/1/01 through 3/31/02.
Fleming, Steven T., Associate Professor (with tenure), Health Services, sabbatical leave at half salary, 7/1/01 through 6/30/02.

College of Medicine

Gaposchkin, Christopher G., Assistant Professor*, Surgery, leave without pay, 3/10/01 through 3/9/02.
Garrity, Thomas F., Professor (with tenure), Behavioral Science, sabbatical leave at full salary, 1/1/02 through 6/30/02.

Graduate School

Bruce, Eugene N., Professor (with tenure), Biomedical Engineering, leave without pay, 7/1/01 through 12/31/01.
Chen, Linda H., Professor (with tenure), Nutritional Sciences, sabbatical leave at full salary, 7/1/01 through 12/31/01.

*Special Title Series

PR 3A

Office of the President
June 19, 2001

Members, Board of Trustees:

APPOINTMENTS/REAPPOINTMENTS OF BOARD OF DIRECTORS
UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION

Recommendation: that approval be given to the appointment of Robert Blouin (faculty member) for a three-year term ending June 30, 2004 and Anne-Frances Miller (faculty member) for a two-year unexpired term ending June 30, 2003 and the reappointment of John R. "Jack" Guthrie (trustee member) for a one-year term ending June 30, 2002 and Marian Sims (trustee member) for a three-year term ending June 30, 2004 to the Board of Directors of the University of Kentucky Research Foundation (UKRF).

Background: In accordance with the Bylaws, members of the Board of Directors of the University of Kentucky Research Foundation are appointed by the Board of Trustees to serve three-year terms. The Nominating Committee of the UKRF Board has recommended and the UKRF Board of Directors has endorsed the appointment of Robert Blouin and Anne-Frances Miller and the reappointment of John R. "Jack" Guthrie and Marian Sims.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PR 3B

Office of the President
June 19, 2001

Members, Board of Trustees:

NAMING UNIVERSITY BUILDING – MECHANICAL ENGINEERING

Recommendation: that the Board of Trustees approve naming the new mechanical engineering building the "Ralph G. Anderson Building."

Background: Ralph G. Anderson is a 1950 graduate of the University of Kentucky, with a Bachelor of Science degree in mechanical engineering. Mr. Anderson is one of the college's most generous supporters, having made a $2 million gift to support construction of the new mechanical engineering/student commons building. Mr. Anderson's generosity also includes additional personal and corporate gifts to support undergraduate engineering scholarships and membership in the Department of Computer Science Industrial Partners Program. The College of Engineering is honored to have Mr. Anderson as an alumnus, friend and benefactor.

The Chancellor for the Lexington Campus and the Committee on Naming University Buildings support the naming of the new mechanical engineering/student commons building the "Ralph G. Anderson Building."

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PR 3C

Office of the President
June 19, 2001

Members, Board of Trustees:

AUTHORIZATION TO PROCEED WITH THE RESTORATION AND REBUILDING OF THE ADMINISTRATION BUILDING

Recommendation: that the Board of Trustees direct the University Administration to restore and rebuild the Administration Building which was damaged by fire on May 15, 2001 and to make periodic reports on the progress of that project to the Board of Trustees.

Background: The Main Building, as it was originally known, was dedicated on February 15, 1882. The Administration Building is the last of the initial campus buildings, which also included the Men's Dormitory (White Hall) and President's Residence. In 1882, when the institution was the Agricultural and Mechanical College of Kentucky, the "Main Building" housed all of the college classrooms, offices and laboratories. Even the armory, natural history museum and weather bureau were located there. The large chapel on the second floor played an integral role in each student's daily life and the entire faculty and student body could be seated there. In later years, the chapel served as an auditorium and library. Classrooms, laboratories and President James K. Patterson's office were on the first floor.

Externally the Administration Building has changed little over the last 119 years. The most significant alteration was the removal of a portion of the clock tower over the main entrance in 1898. Eventually, the entire tower was removed along with the weather station and captain's walk. The building's 49 windows have been replaced twice and the brick masonry has also been repaired.

Internally there have been numerous changes made over the years to accommodate the evolving needs of the University. A bookstore and post office were located in the basement in 1918 and a cafeteria was added in 1919. In 1948 ancient languages and political sciences were relocated and the building was used solely for administrative purposes for the first time. In 1964, the interior was partially remodeled, including modern décor, ceilings, lighting and electrical wiring.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PR 4A

Office of the President
June 19, 2001

Members, Board of Trustees:

CANDIDATES FOR DEGREES – COMMUNITY COLLEGE SYSTEM

Recommendation: that the degrees specified on the attached list be awarded to the persons named, upon certification that the requirements for those degrees have been satisfactorily complete.

Background: At the November 12, 1965 meeting of the Board of Trustees authorization was given to the awarding of the Degrees of Associate in Arts, Associate in Science and Associate in Applied Science. The candidates on the attached list are recommended to the President and the Board by the Community College Faculty and the Chancellor.

Action taken: ☒ Approved ❑ Disapproved ❑ Other _____

KCTCS Candidates
for UK-Endorsed Associate Degrees - May 2001

Ashland Community College

Associate in Arts

Branham, Leslie M.
Burke, Angela K.
Kitts, Mary E.
Parsons, Melissa S.
Pruitt, Virginia G.
Roberts, Jonathan R.
Stanley, Crystal D.

Associate in Science

Blevins, Andrea M.
Burke, Theresa G.
Clark, Erik Guy
Manning, Kevin R.
Pennington, James E.
Razak, Muhummad A.
Sergent, J.B.
Stambough, Theresa L.

Associate in Applied Science

Adkins, John D.
Aparicio, Julia F.
Ayala, David R.
Blankenship, Danielle L.
Bradley, Deidre R.
Bryant, Rebecca E.
Byard, Amber M.
Cole, Kimberly S.
Crace, Chanin B.
Crider, Linda L.
Doty, Angela M.
Evans, Jennifer L.
Fette, Wanda L.
French, Carolynn R.
Fry, Sarah E.
Furst, Rebecca A.
Griffith, David A.
Griffith, Mary G.
Hammonds, Matthew C.
Henson, Patty A.
Hitchcock, Jesse W.
Johnson, Jillanna J.
Johnson, Melvin R.
Lambert, Alisa D.
Large, Deidra J.
Millard, Melissa L.
Miller, Rebecca A.
Moon, Crystal E.
Newberry, Heather N.
Newell, Joseph A.
Newland, Genoria R.
Nwaneri, Romanus U.
Patton, Angela G.
Ratliff, Theresa L.
Remy, Charles S.
Riley, Janet R.
Roark, Elizabeth A.
Rogers, Georgenna G.
Rucker, Joanna C.
Rymer, Josie M.
Salmons, Pamela Gaynelle
Salyers, Heather A.
Scott, Kristen R.
Scott, Virginia L.
Shields, Steven L.
Smith, Amy L.
Sparks, Christy N.
Stevens, Jonathan Adam
Sturgill, Angela M.
Thompson, Lisa D.
Wilmot, Rafael A.

Elizabethtown Community College

Associate in Arts

Allen, Lisa Jo
Bellizzi, Gerard A.
Benham, Misty S.
Bentley, Kathryn C
Brown, Naomi Jasmin
Case, James J.
Cochran, Leah S.
Craig, Daphne L.
Curtice, Jeffrey Ward
Decker, Theresa H.
Dorsey, Oquilla S
Embry, Jennifer L.
Emerson, Tammy R.
Fallen, Kathlynn R
Floyd, Heather Nicole
Harper, Lewis G.
Heinen, Eileen M.
Hickmon, Stephanie G.
Hicks, Harvey R
Jaggers, Wesley R.
Lace'n, Anthony
Linton, Jennifer L
Logsdon, Kelly J
Malone, Mary R.
McDowell, Matthew A.
Penny, John Edward
Perguson, Stephanie N.
Ratliff, Sharon D
Reeder, Anna M
Reynolds, Susan E
Richardson, Kristen R.
Rickert, Carl Raymond
Rodgers, Sarah L.
Ross, Dustin K.
Stewart, Alexandra D.
Swaine, David N.
Terry, Jenifer R.
Thompson, Daren S.
Turner, Jeffrey Scott
Wagner, John Peter
Wild, Gari J.
Wiley, Malisa

Associate in Science

Alexander, Carla A.
Banet, Tina Louise
Beauchamp, Lisa Renee
Bryant, Cheryl Lynn
Casey, David C.
Churchill, Antoinette
Collins, Angela M.
Davis, Aaron J.
Dean, Brandy
Goodman, Iva N.
Haukom, Dana L
Henry, Crystal N.
Malone, Mary R.
Masterson, Joni M.
Noel, Nelson
Smith, Gregory E
Watkins, Christel A.
White, Carlye A.
Wray, Melissa Kay

Associate in Applied Science

Abell, Kelley A
Aldrich, Lucy C.
Alvey, Crystal Kay
Ashley, Joseph E.
Aubrey, Joyce Ann
Benson, Christie N.
Boblitt, Pamela G.
Boyle, Rhonda Ann
Brigham, Stephanie Rose
Callahan, Catherine Ann
Carruthers, Kelly A.
Carruthers, Philip
Cassan, Donna L.
Clark, Tara D.
Clayton, Kathy J.
Cohen, Tracey R.
Conley, Stephanie R.
Cradock, Kristin A.
Dalton, Dawn M.
Decker, Diania L.
Dombrowski, Roxanne Alice
Farley, Rebecca J
Foster, Ailene C.
Fowler, April Lynn

Elizabethtown Community College, continued

Associate in Applied Science, continued

Gilbert, Yvonne M.
Gillenwater, Alecia M.
Goodman, Shonda M.
Gross, Michele E.
Hamilton, Michelle J.
Hedrick, Mary A.
Holding, Ronny George
Howard, David Brian
Howard, Sandra A
Huff, Bambi R.
Kendall, Kristie M.
Kidd, Sue A.
Kinsey, Jeremy L.
Leitzell, Andrea L
Mattingly, Helen Marie
Mattingly, Bridget M.
McCreery, Joseph W.
McGuire, Beverly S.
Meredith, Sheryl Lynn
Miller, Sabrina N.
Miller, Huberta L
Milliner, Crystal M.
Mills, William C.
Ousley, Lisa M.
Peters, Amanda Sue
Pollock, Kellee Lynn
Rembert, Gloria J
Risinger, Jewelll
Rudnick, Timothy Wayne
Sasaki, Makoto
Scheid, Lisa Marie
Scott, Daniel Kevin
Seward, Joyce A.
Shepherd, Tambra A.
Simpson, Aaron D.
Skaggs, Mitzi L.
Sorrell, Deron Lewis
Stenger, Heidi M.
Stiles, Deborah L.
Tucker, Michelle
Tucker, Becky Ann
Vowels, Diane Kay

Hazard Community College

Associate of Arts

Adams, Angela Maria
Bates, Lauren Ann
Beasley, Edith Marie
Chaney, Christopher Edward
Chrisman, Rita Juanita
Clair, Jeffrey Russell
Combs, Micheal Dee
Combs, Stephanie Ann
Gabbard, Kim
Gross, Rebecca Kathleen
Haddix, Dorothy Terriann
Haddix, Sabrina M.
Hughes, Sandra K.
Keathley, Jacklyn Faith
Little, Amy Lynn
Napier, Bonita W.
Noble, Billie J.
Osborne, Clara Ann
Pennington, Rodney
Raleigh, Carol Jean
Smith, Jennifer
Southwood, Cindy K.
Vanover, Kevin
Vanschoyck, Donnia Lynn
Washburn, Paula Denise
Williams, Linda K.
Wyrick, Teresa Lynn

Associate in Science

Adams, Angela Maria
Boggs, Valerie
Brandenburg, Leeroy Douglas
Combs, Tina Dulsena
Gibbs, Kari Ann
Gibson, Freda Berniece
Miller, Michelle Louise
Morris, Jennifer Lorie
Neace, Candee Kaye
Overbee, Brian S.
Smith, Ashley Jonell
Spicer, Brian Douglas
White, Donna Jean

Associate in Applied Science

Beck, Janice E.
Calhoun, Ella Ree
Campbell, Deirdre N.
Cornett, Kelli M.
Dean, Caroline Suzanne
Deaton, Shanna Rene
Fox, Jalia
Hicks, Brenda
Jacobs, Judy
Jacobs, Shelia
Madden, David Shane
Napier, Freda Kay
Roberts, Mary Bell
Sandlin, Paul Zachery
Sizemore, Chassidy Marie
Stamper, Ashley Lynn
Young, Betty Jo

Henderson Community College

Associate in Arts

Bolds, Sara Jane
Cates, Amanda Nicole
Hill, Paula Nicole
Kitchens, Bridgette Jo
Kuester, Lee Rae
Long, Brandon W.
Morphett, Whitney Marie
Myers, Dana Nicole
Roe, Janet Williams
Simpson, Kim S.
Stanley, Candice Leah
Stanley, Marlene Kathryn
Stephens, Jennifer Marie
Ward, Allison Claire
White, Carla Harris
Whitson, Allison M.
Wood, Eric Joseph

Associate in Science

Baird, Kathyn
Blades, Stephanie Renee
Phelps, Matthew A.
Thomas, Amanda Wesley

Associate in Applied Science

Anderson, Angela R.
Busby, Rhonda Bigers
Cheatham, Beth A.
Cheatham, Patricia Louise
Conaway, Karen Sue
Corum, Natalie A.
Crocker, Terrie J.
Crooks, Tessa Griffin
Donofrio, William Daniel
Evans, Sonia Kay
Freeman, Christa Dawn
Grossman, Deborah G.
Hall, Jeri A.
Hatfield, Traci Rachelle
Holt, Roxanne Marie
Howard, Shannon Marie
King, Carrie Ann
Koonce, Nichola
Lacer, David Norman
Lake, Travis Darnell
Link, Cathy
Marsh, Rhonda W.
Moore, Michelle L.
Pike, Melody Ann
Poole, Misty Renee
Ransom, Jackie S.
Ray, Gina Renee
Rice, Sherry Ann
Ruark, Jennifer Louise
Scott, Kathy
Sneed, Mary Ann
Walker, Cassie L.
Whitfield, Michelle E.

Hopkinsville Community College

Associate in Arts

Alexander, Brandi L.
Armstrong, Brad Wayne
Barrow, Janet M.
Boren, James David
Boyd, Jennifer
Brown, Brandi Lynn
Brown, George Edward
Brown, Ivan Lamont
Cherry, Sarah Camille
Clough, Brandyn King
Clough, Brandice Lenee
Cook, Amanda Catherin
Correll, Sharon L.
Craft, Stephanie Rae
Davenport, Jeremy Matthew
Devine, Teresa Lynn
Dickinson, Kenneth John
Dockery, Ruth Ann
Edwards, Ellen Anissa
Eldridge, Brian C.
Fentress, Leah Marie
Field, Crystal Dawn
Flewellen, Gabriela Carmen
Groves, Karla Ann
Guthrie Jr, Frederick Richard
Hale, Brandy Nicole
Harned, Pamela Louise
Harper, Brenda Slack
Hill, Cain Tyrell
Hoaeae, Constance Kealoha
Hudson, Lorrie May
Ives, Dana Jean
Jones, Shannon Avis Suzanne
Jones, Stenisa LaShae
Knight, Marla Jeannette
Latham, Patricia Ann
Long, Vickie Lynn
Lynch, Darryl C.
Mashburn, Charles Lloyd
Matlock, Alexia Elnora
McCombs, Courtney Delania
McCormick, Heather Joy
McCraw, Ashley
McGar, Paula Good
Meriwether, Brooks Jai
Miller, Ronald S.
Mitchell, Martha P.
Mitchell, Michael E.
Montgomery, Sindy K.
Morris, Ashley Lynn
Moten, Able A.
Nicholson, Kay M.
Noel, Marty Shea
Owen, William Lawrence
Peace, Mary Angela
Pool, Cynthia Ann
Riley, Joseph Duffy
Rivera-Rosario, Hector
Robinson, Thomasine
Shepard, David William
Shoemate, Laura Marie
Sierra, Ceasar
Simning, Timothy Neil
Singh, Sangeeta Kumari
Sisco, Crystal Marie
Smith, Edmond Erik
Smith-Davis, Rachel Zaneta
Smothers, Tamara Yvonne
Stayton, Harold P.
Whitson, Iris Diane
Williams, Tamara M.
Williamson, Carrie Leigh
Wilson, Edward Scott
Wilson, Wendy Renee
Woods, Brenda K.

Associate in Science

Caballero, Yvette Marie
Cassel, Cindy Michelle
Eckenrode, John Paul
Futrell, Kristi Rebecca
Hansen, Kristy Ann
Hayes, William Patrick
Henderson, Evan Garner
Hernandez, Jessica Tami
Hyams, Julie J.
Jordan, Heather Nichole
Luna, Heather R.
Miller, Renee A.
Mitchell, Jeanne Marie
Nunn, Frances Christine
Rice, Dawn Marie
Roark, Theresa Lee
Shepherd, Jason Norman
Thompson, Robin Sue
Washer, Hilary Louise
Wells, Allison Elizabeth

Hopkinsville Community College, continued

Associate in Applied Science

Adams, Nancy Ellen
Allen, Dorcas Tabitha
Armer, Brett John
Bailey, John Edward
Baltazar, Erlinda Flores
Beckles-Moss, Sylvia
Blackburn, Anita Kay
Blanton, Stephanie Shaunta'
Bryant, Samantha Jean
Butler, Terra Dawn
Conard, Jane Camille
Cook, Yancy Alan
Cunningham, Timothy Jay
DeVeyra, Emily DeJose
DeVorse, Debby Ann
Dixon, Kelley D.
Dixon III, Paul Edward
Dixon, Paula Jean
Dodd, Holly Elizabeth
Duncan, Martha T.
Forrest, Creacynthia
Fritz, Jennifer L.
Furr, Veronica Lyn
Garrett, Fannie Ernestine
Greer, Bonita
Hale, Brian Steven
Harralson, Greta Fern
Hawkins, Tammy Louise
Holman, Michael T.
Johnston, Rhonda Faye
Joyce, Melisa Gail
Kennedy, Eric Scott
Kennedy, Jennifer D.
Kerr, Stephen Neil
Kidd, Deanna Shay
Koscho, Tara Ann
Krueger, Kimberly Ann
McAlister, Jo Ann
McCormick, Joyce Dianne
McCoy, Cecil Edward
Medina, Juanita Isabel
Monroe, Joshua Andrew
Morgan, September D.
Morris, Tanya Andrea
Morrow, Rita S.
Myers, Greta Faye
Myers, Lesley H.
Northrop, Regina S.
Oliver, Molly Ann
Palmero, Carlos Alberto
Pereira, Dora C.
Ramey, Randell Edward
Rippey, Sandra L.
Romious, Devona
Shepherd, Scott Allen
Skaggs, Shelly Ann
Solida, Susan Joanne
Stagner, Lucas Todd
Sterling, Brenda Patricia
Stewart, Willie Oliver
Sturges, Teresa Gayle
Swinney, Sylvia C.
Thompson, Kelly Chelayne
Tramel, Dashella Samara
Traylor, Victoria Ann
Tyler, Denice Delgado
Walker, Shannon Dee
Walpou, Chrystle K.
Ward, Shelli Mae
Weaver, Jenura Christian
Wietting, Cindy L.
Williams, Brandie Diane
Williams, Evelyn D.
Wilson, William Kevin
Wren, Tahisha Renee
Yates, Manuel Linn

Jefferson Community College

Associate in Arts

Aleman, Bonifacio R.
Anderson, Kathy A.
Bender, Benjamin F.
Benning, Velina B.
Bridwell, Jason Scott
Cadick, Allison R.
Cameron, Devin B.
Cecil, Gabrielle L.
Cecil, Jean M.
Chapman, Barbara S.
Childers, Rhonda K.
Contreras, Tina L.
Cumbea, Stephanie J.
Delosh, Ronald J.
Dixon, Debra S.
Engoglia, Maria L.
Entrican, Ernest R.
Evans, Margaret L.
Ford, Justin
Foushee, Gary R.
Halbleib, David B.
Harman, Stephen F.
Hayes, Nicole Anjanee
Hayes, Paula K.
Henon, Sherry L.
Ingram, Karen R.
Lanham, Gerald A.
Laswell, Marie A.
Mattingly, Shona L.
McManigle, Kenneth J.
Miesner, David
Miller, Jeremiah L.
Perdue, Gregory S.
Price, James D.
Ransdell, Robert A.
Rhodes, Amber N.
Rich, Cynthia Lacy
Riley-Popp, Tiffanie D.
Russell, Cora E.
Short, Janet Lynn
Singer, Jennifer L.
Smith, Carrie Ann
Stratton, Kelly N.
Talbott, Debra L.
Thomas, Mark Dawson
Tipton, Veronica R.
Vatsis, Theodore G.
Wooldrige, Phillip A.

Associate in Science

Brooks, Amanda N.
Coleman, Kerry
Curry, Vernon E.
Donaldson, James R.
Graves, Robert L.
Henderson, Rhonda G.
McAuliffe, Teresa M.
Metcalf, Jeffrey Allen
Moore, Rebecca L.
Payne, Daniel Lee
Puryear, Paulette M.
Scherzer, Dawn R.
Seidler, Frank K.
Smith, Charles M.
Smith, Michael S.
Winters, Theresa L.

Associate in Applied Science

Adams, Barbara A.
Arnett, Gail M.
Baldon, Christina J.
Bidwell, Christal R.
Bisson, Lisa A.
Blackerby, Scott P.
Bond, Jennifer Linette
Brewer, Kimberly A.
Brock, Marcus E.
Brown, Susan L.
Bruce, Kimberly S.
Burton, Kimberly R.
Burton, Sharla D.
Cerda-Streeter, Josefina
Cherry, Lester L.
Clark, Lori A.
Cochran, Tonya P.
Collins, Donna L.
Cook, Courtney L.
Crisp, Ama M.
Daniel, James P.
Davis, Mary P.
Dickerson, Debrad
Dickson, Kristi M.

Jefferson Community College, continued

Associate in Applied Science, continued

Doolin, Carl M.
Dorner, Ronald A.
Dowdle, Steve A.
Durston, Mary K.
Edwards, Tracy L.
Eisenback, Amy L.
Elkins, Erica Y.
Ellegood, Melinda K.
Elswick, David B.
Embry, Carolyn M.
Foote, Holly L.
Gagle, Melissa F.
Gant, Cynthia
Glass, Brandi M.
Gooch, Catherine
Gore, Teri C.
Graybeal, Laurie T.
Guelda, Marie L.
Gueye, Ndiaye
Gutman, Tiffany R.
Harlow, Lisa M.
Heggie, Lisa R.
Hennequant, Melissa A.
Henry, Ebony L.
Higdon, Robin
Hopper, Randy R.
Horseman, Melissa K.
Houtchens III, George W.
Howard, Marcia S.
Humphrey, William W.
Hunt, James
Isenhour, James C.
Johnson, Derrick G.
Johnson, Donna L.
Johnson, Nathan F.
Johnson, Robert A.
Jones, Camille L.
Jordan, Angela M.
Karanja, Daniel M.
Keck, Melissa S.
Kelty, Lindsay B.
Key, Kenneth S.
Kinser, Richard S.
Knox, Donald J.
Kreutzer, Lori A.
Kuehl, Jonathan
Lanier, Darryl Mark
Layman, Shannon R.
Lewis, Robin M.
Lucas, Ernestine
Mahoney III, William F.
Mannix, Brian D.
Mattingly, Ivye R.
Maziarz, Rhonda M.
McDermott, Wesley R.
McDonald, Tyrone L.
McVicar, Amy K.
Miller, Delores A.
Milligan, Teresa J.
Moore, Amy L.
Morris, Cindy A.
Murphy, Misty N.
New, Angela M.
Nguyen, Nicholas
Nicholson, Nathan M.
Oerther, Kathy M.
Ohmer, Angela L.
Parsley, Carmen J.
Patterson, Melissa D.
Pollock, Matthew A.
Potter, Elizabeth A.
Reetzke, Richard D.
Reid, Dennis E.
Riendeau, Mary B.
Rush, Larry
Sanders, Jodie
Seward, Tina Elizabeth Spencer
Smith, James B.
Smith, Patricia J.
Smith, Wanda L.
Snawder, Amelda M.
Spencer, Ted A.
Stickler, Susan D.
Sturgeon, Lisa C.
Sutter, Amy M.
Temple, David C.
Thompson, Tracey M.
Todd, Michelle L.
Valaquez, Rafael
Wash, Debbie K.
Webster, Jacqueline J.
Weller, Penny L.
Wharton, Kris A.
Whitley, Jennifer L.
Wilborn, Glenda
Wingfield, Angela
Wright, Heather L.
Zahn, Brittnee E.
Zander, Kimberly K.

Madisonville Community College

Associate in Arts

Austin, Andrea J.
Bard, Thomas G.
Blue, April B.
Boggs, Cara D.
Campbell, Michael E.
Cullen, Beverly M.
Cummings, Carey P.
Dickerson, Angela M.
Dukes, Erica G.
East, Lisa M.
Fister, Jessica L.
Flener, Edith L.
Foster, Sheila H.
Frazier, Tyra A.
Garza, Lisa M.
Gill, Greg S.
Griffey, Julie A.
Hayes, David J.
Hill, Amy G.
Kennedy, Beverly J.
Lear, Mary E.
Littlefield, Jimmy W.
Midkiff, Stephanie A.
Oldham, Emily D.
Page, Angela D.
Pugh, Anna N.
Ray, Michael S.
Revelett, Brittney R.
Spears, Keri R.
Staples, Judy L.
Stevens, Laura L.
Stewart, Jennifer M.
Thorpe, Anita F.
Walker, Carla P.
Ware, Lisa M.

Associate in Science

Alexander, Max A.
Bass, Mary F.
Campbell, Michelle L.
Dunning, Ronnie W.
Gass, Ashley L.
Graham, Debra F.
Hoard, Mary E.
Hopper, Domnick S.
Jones, Sherrie A.
Marion, Kimberly A.
McKinney, Amy M.
Milam, Misty M.
Radford, Cecily J.
Sanderson, Samuel A.
Wood, Timothy E.

Associate in Applied Science

Andrews, Shana L.
Appleby, Jean A.
Austin, Kasey D.
Ballard, Patrick T.
Bebout, Teresa
Bell, Shelley DeAnn
Bennett, Melissa J.
Blair, Michael I.
Brasher, Pamela M.
Carney, Cynthia J.
Carney, Hope A.
Caudill, Betty June
Clark, Leonard K.
Cornett, Courtney K.
Crick, Danelle Marie
Crockett, Daniel A.
Cunningham, Kanika Nicole
Denton, Andrea Lee
Farmer, Jamie Wayne
Fox, Amy L.
Franklin, Samuel D.
Franklin, Saralyn K.
Furgerson, Shawn R.
Gantt, Catherine Joyce
Gobin, Corrine T.
Grundy, Shannon L.
Hambrick, Casey R.
Harkins, Christi Anne
Harkins, Teresa Anne
Hawkins, Tammy Ann
Hays, Kimberly J.
Hentages, Kurtis L.

Madisonville Community College, continued

Associate in Applied Science, continued

Howard, Stacy J.
Jackson, Pamela L.
Jennings, Kristina D.
Johnson, Stephanie Ann
Johnson, Victoria L.
Knott, Susan R.
Lacy, Pamela Lynn
Lancaster, Andrea L.
Levaughn, Carolyn D.
Litchfield, Teresa S.
Lutz, Rueben E.
McDermott, Diane M.
McElfresh, James W.
Melton, Donna J.
Mooney, Debra R.
Morgan, Leslie F.
Murphy, Kim Y.
Nelson, Sherry L.
Newman, Mandy Wagoner
Olphin, Karen D.
Owen, Kelly Denice
Phelps, Bridgette G.
Phillips, Daniel B.
Powell, Betty A.
Ramsey, Davlina M.
Ramsey, Tracey A.
Rhoads, Sarah R.
Rhye, Brenda J.
Rust, Julia Denise
Saunders, Robin R.
Scott, Natalie N.
Sharber, Lisa Renee
Smith, Stephanie A.
Sorrells, Amy L.
St.Vincent, Christopher M.
Stariwat, Michele L.
Stewart, Ashley E.
Sunderland, Shawn M.
Thomas, Lesia F.
Tompkins, Ida N.
Townsell, Wendy L.
Trice, Timothy P.
Ward, Allison Claire
Whitaker, Jennifer Denise
White, Kandyce E.
Wiles, Kimberly J.
Williams, Gail L.
Williams, Timothy L.
Winstead, Phyllis A.
Woodward, Samia L.

Maysville Community College

Associate in Arts

Asbury, Tara L.
Bishop, Aimee J.
Boley, Emmy B.
Clay, James E.
Clifford, Rebecca A.
Conway, Jo A.
Dummitt, Ella R.
Fulton, Jessica C.
Hammond, Paul B.
Hargett, Latrisha A.
Hitch, Brian R.
Jacobs, Tina B.
Linback, Christopher A.
Mains, Amanda F.
McCord, Tammi L.
Rigdon, Amber B.
Ruark, Sheila D.
Sanders, Rosa L.
Sasagawa, Tomomi
Schumacher, Anthony C.
Stewart, Cathy L.
Thomas, Rhonda L.
Watson, Carrie J.

Associate in Science

Claypool, Gina R.
Colemire, Michael R.
Forman, Ross A.
Fryman, Heather R.
Gardner, Michael D.
Konopka, Philip R.
Spicer, Danielle M.

Associate in Applied Science

Alles, Scott
Allison, Denise C.
Argo, Audra R.
Blevins, Amy E.
Boone, Crystal G.
Boone, Stephanie R.
Cash, Linda F.
Childers, Jessica S.
Coffey, Sandra R.
Cooper, Adriann
Crain, Betsy
Drake, Le T.
Duncan, Angelia R.
Fitzgerald, Jessica L.
Florence, Mary A.
Fowler, Starlette
Garrison, Ivy
Graley, Curtis W.
Hardy, Rita J.
Henderson, Dolly A.
Jamison, Alice L.
Kellerman, Tonya R.
Kidwell, Judy K.
Marshall, Stephen M.
Mason, Charles H.
Moore, Joyce
Murphy, Lisa A.
Parsons, Angela
Plummer, Vanessa R.
Rigdon, Sara N.
Smith, Daphanie C.
Strong, Melinda D.
Tarter, Kelly R.
Waits, Dana R.
White, Jessica D.
Williamson, Stacy E.

Owensboro Community College

Associate in Arts

Baird, Jennifer Beth
Blair, Jennifer McNulty
Blue, Neal Allan
Brown, Jennifer Denise
Carpenter, Jeff Bryant
Daugherty, Linda J.
Douglas, Sarah Christine
Doup, Kathryn Anne
Dudgeon, Michael Eugene
Edwards, Mary L.
Egeler, Kimberly Dawn
Fischer, Rachel Nicole
Froehlich, Dawnya L.
Higdon, Kathleen Ellen
Hoffman, Matthew B.
Howard, Amanda Kaye
Johnson, Carah Elizabeth
Kilgo, Joshua Martin
Lindsey, Brandon Keith
Market, Jenny Elizabeth
Matthews, Sarah E.
Minton, Jonathan Seth
Morton, Gabriel Michael
Murphy, Patricia O.
Paris, Jenny Lynne
Price, Andrea 0xendine
Quinn, Tiffany Dawn
Ralph, Amanda Jo
Roberts, Jason Alan
Roberts, Joshua Shawn
Robey, Lynda S.
Rowan Jr, Kenny Raye
Rudy, Lee J.
Rumage, Nicholas E.
Smiley, Kimberly B.
Smith, David A.
Thompson, Daniel Joseph
Troutman, Tena B.
Williams, Christopher L.
Wise, Matthew Lee

Associate in Science

Bartlett, Verlita D.
Dean, Mischelle V.
King, Jessica Lynn
McLaughlin, Christopher Paul
Nall, Dana Elizabeth
Reed, Stephen Kirk
Thompson, Mai Beth

Associate in Applied Science

Adamic, Shenna Dawn
Alls, Oma Rebeccah
Austin, Brandy Jean
Ball, Craig Keith
Barnett, Donna Mae
Baughn, Mica J.
Bemis, Ruba Josephine
Bittel, Bonnie Sue
Bohre, Prerana N.
Bowman, Lillian S.
Bozarth, Mark Christopher
Brown, Tennille Dawn-Parker
Buck, Diane L.
Carden, Trianna Lee
Case, Virginia Howard
Clark, Dawn R.
Clark, Kirk D.
Davison, David Jeremy
Devine, M Annette
Dickenson, Krista L.
Drake, Aretha Lynn
Drane, Jason Darrell
Duncan, Bryan Edward
Durbin, Stephen Tyler
Duvall, Cretha A.
Edwards, Kelly Jean
Garrison, Kristi Michelle
Goetz, Martha A.
Grant, Andrea Beth
Hawkins, Derek S.
Hendricks, Benjamin L.
Hicks, Anthony Bradford
Hicks Jr., Jack M.
Hoover, Jennifer Ann
Hoss, Julia Dawn
Howard, Deanna Lynn
Howard, Tena Loraine
James, Julie
Kelley, Jon Willard
Logsdon, Kisha Kaye

Owensboro Community College, continued

Associate in Applied Science

Martin, Kelly Elaine
Merritt, Geri Ann
Millay, Melissa Dawn
Minalga, Lisa Michelle
Minton, Sally M.
Payne, Brian Nathaniel
Payne, Dianne M.
Payne, Eddie Leo
Pearl, Jennifer R.
Poole, Brian Christopher
Purgeason, Cortney Rae
Rusher, Roxie Dimple
Sheppard, Lori Leigh.
Shutt, Nathan M.
Smith, Anita Carol
Spradlin, Josiette C.
Stallings, Catherine Gay
Thompson, Mary Elizabeth
Tichenor, Sara R.
Tinsley, Melinda Lea
Tucker, Mariam L.
Underwood, Shannon Rose
Wells, Julie P.
Westerfield, Myra Diana
Wigginton, Brandon Michael
Wiles, Harmonie Lynn

Paducah Community College

Associate in Arts

Adkins, Casee A.
Adkins, Stacee L.
Algood, Amanda Alice
Allen, Timothy D.
Anderson, Kara Suzanne
Anderson, Terrell Lane
Armbruster, Molly Ann
Barnes, Timothy Wayne
Bartley, Kimberly R.
Bennett, Jarrod Thomas
Blackwell, Jake
Blackwood, Charlene C.
Blalock, Crystal E.
Boros, Detreous Monique
Botkin, Jennifer Rose
Cain, Amanda Jo
Campbell Jr., Jack Alan
Cawthon, Gwendolyn Louise
Cissell, Debbie J.
Clapp, Scott Benjamin
Clymer, Bonnie Higgins
Colley, Autumn M.
Coneal, Renita Joyce
Cox, Kelly Dawn
Craft, Emily Rose
Crawford, Stacy Lynn
Felker, Richard Craig
Ford, Jennifer Lyn
Gardner, Lawrence F.
Garrett, Callie J.
Georgiou, Eleni G.
Harned, Sara Adren
Hendrickson, Julie Marlene
Henley, Amanda Faye
Hermann, Desiree C.
Hinchey, Jennifer Renee
Holland, Micah Crowder
Hubbard, Andrea Shea
Hyde, Karina N.
Johnson, Michael Brandon
Jones, Christopher Dean
Kaufman, Michael Paul
Kennedy, Ben Austin
Kirkham, Thomas Howard
Lanier, Paul Randall
Lee, Katrina N.
Leverett, Jerry T.
Magee, Monica M.
Malinauskas, Deidre Michelle
Martin, Justin A.
McChristian, Robert Edmund
McCoy, Angie Renee
McDonough, Michael Wayne
Miller, Mary Jane
Overton, Carrie Mae
Ovey, Brett C.
Painter, Rachael Elizabeth
Perkins, Corey D.
Reeves, Jodye B
Reid, Heather Leigh
Roberts, Melody Nichole
Rogers, Jeanne Lynn
Ross, Sandy
Sanders, Christy E.
Scheer, Lindsay Renee
Spann, Ryan Joseph
Summers, Leigh Ann
Thompson, Leanna A.
Travis, Kelsie K.
Vance, William C.
Walton, Bradley Scott
Warford, Sarah Leighann
West, Sarah E.
Williams, Sarah Victoria
Willie, Jenny Rebecca
Wilson, Andrea Dawn
Wilson, Penny J.
Wood, Cindy Pearl
Wright, Steven
Wurth, Tammie Elizabeth

Associate in Science

Abernathy, Jonathan David
Alderson, Emily Morgan
Boone, April
Bowlin, Jonathan B.
Bradshaw, Rena Renae
Carnahan, Benjamin P.
Childs, Ashley Dawn
Crainshaw, Alicia
Crosby, Kristopher Adam
Duncan, Jeremy Thomas
Edwards, Justin Lewis
Froedge, Caleb David
Goheen, Russell Thomas
Harris, Barton D.
Irby, Jill Aileen
Jones, Jodie Lee
Kennedy, Jennifer Lynn
Leatherman, Troy W.
Long, Lavanda Suann
Lovett, Kyle Stevenson
Madding, Mary Stacey
Martin, Abigail Dawn
Martin, Vickie Lynn
McGuinness, Sylvia G.

Paducah Community College, continued

Associate in Science, continued

Moss, Melvin Eugene
Nichols, Patricia B.
Nugent, Malissa Ann
Pace, Corey M.
Proper, Jeremy Lee
Ramage, Bridget Ray
Russell, Kevin Scott
Sanders, Melissa Ann
Sanders, Amy Lucinda
Shelton, Gary Dwayne
Smith, Jonathan Ray
Strickland, Christie A.
Stuber, Eric Brian
Swinford, Todd C.
Talbott, Nicholas
Thompson, Lee Anne
Thurston, Abby Lee
Wiggins, Dustin G.
Wilson, Erin Renee
Wilson, Gretchen Anne
Wilson, Mark A.
Wright, Irvin R.
Wurth, Victoria J.
Young, Kristin Lea

Associate in Applied Science

Adams, Kimberly A.
Allbritten, Ashley
Anderson, Christina Lynne
Angelly, Molly Jean
Atkins, LaDonna Jean
Bash, April Susanne
Becker, Gina Renee'
Brasher, Brenda Ann
Brown, Kristi R.
Bryant, Charles K.
Byassee, Susan Michelle
Cain, Jason Deon
Capra, Charlotte Jane
Choate, Shannon Gossum
Clay, Martha Jean
Drawdy, Darla Kay
Erickson, Stephanie A.
French, Christina M.
Giedd, Marcia Lyn
Gruber, Debra S.
Hamby, Tracy Marie
Hampton, Karen Sue
Harper, Donna Marie
Henderson, Devada Sue
Hendley, Dawn Marie
Hughes, Erica Alicia
Hurt, Jonda Lynn
Jones, Sharon
Jones, Tamela S.
Lang, Theresa Ann
Ledford, Angela Mae
Martin, Tamara L.
Maxey, Barbara Ann
McClure, Naomi Belle
McNeely, Christopher John
Milan, Tracie L.
Morris, Zaine A.
Mullen, Paul Allen
Presswood, Tracie E.
Riedling, Carla Lucinda
Robertson, Jeannie Sue
Rubenacker, Angela Elizabeth
Rudy, Heather Renee
Shell, Cathy
Smith, Raina Shea
Trimm, Melissa Sue
Tucker, Deanna
Vaughan, Keri Ann
Vincent, Gennetha
Vinson, Natasha Monique
Wolfe, Tara C.
Woodrum, Kimberly A.

Prestonsburg Community College

Associate in Arts

Adkins, Charlotte U.
Adkins, Linda Gail
Adkins, Natalie Sawyers
Akers, Jessica Wraye
Anderson, Jennifer Rai
Beckett, Leatrice J.
Bevins, Courtney Michelle
Bingham, Solomon Jefferson
Blackburn, Jessica N.
Blackburn, Loretta T.
Bowling, Mark Vernon
Burns, Ginger K.
Cantrell, Nicholas T.
Castle, Micheal Allen
Chafins, Carol Sue
Charles, Carrie Lynn
Coleman, Whitney Renee
Cornett, Billy Micheal
Cornett, Stephen Ray
Cornette, Stacey Leigh
Daniels, Josh K.
Estep, Remona D.
Fields, Tabatha Nicole
Frye, Aaron Tyler
Gullett, Pamela
Halbert, Aaron Nicholas
Hall, Hilda Faye
Hall, Mary J.
Hamilton, Jack Bryan
Helton, Janice
Hilton, Sherry K.
Howard, Patricia Ann
Huff, Delinda Yvonne
Hylton, Devin S.
Jarrell, Selina Ann
Jones, Allison L.
Jude, Darrell L.
Lowe, Kimberly A.
McCoart, Erin Suzanne
McCoy, Jennifer Rena
Mullins, Melissa Ann
Musgrave, M. Gail
Olson, Claire Marlett
Osborne, Lillian Renee
Preston, John Willard
Preston, Candi L.
Russell, Christopher Michael
Shepherd, Chris
Shepherd, Christopher Micheal
Sherman, Tracy
Smallwood, Rebecca L.
Smith, Christi Lee
Spence, Angela Lynne
Stephens, Amy J.
Thompson, Tabitha Michelle
Williams, Srephanie D.
Wright, Mallory Neil

Associate in Science

Bolden, Crystal Starr
Boudle, Jacinda Dawn
Church, Tara Diane
Dixon, Kenneth Jason
Hall, Rebecca Dawn
Hubbard, Kathy Jo
Hunter, Christopher Brent
Kidd, Christopher J.
Lester, Amanda Louisa
Lucas, Alicia L.
Marshall, Yvonne
McCarty, Lisa Rene'
McGinnis, Jeffrey Lee
Mullins, Jedediah Michael
Newsome, Ryan C.
Nichols, James H.
Parsa, Victa
Ratliff, Donetta Lechele
Russell, Christopher LLoyd
Taylor, Tiffany Nicloe

Prestonsburg Community College, continued

Associate in Applied Science

Adkins, Susan Michele
Austin, Lawrence E.
Blanton, Barbara Ann
Bowling, Anna J.
Brown, April R.
Bryant, Leona Grace
Burchett, Kitty Lynn
Burke, Dana R.
Bush, Bernetta Lynn
Caldwell, Jenny Rebecca
Campbell, Ernest Jeffery
Cavender, Dawn Michelle
Collins, Shena J.
Cornett, Shawna Joan
Couch, April Michelle
Fannin, Derrick L.
Fitch, Angela Suzanne
Fitch, Trevor David
Forman, Amanda Rae
George, Jennifer
Griffith, Anissa R.
Grissom, Traci Danette
Hall, Dusty D.
Hall, Rose Ellen
Hamilton, Amy S
Harper, Robert Steven
Hayes, Teresa J.
Huff, Kevin R.
Hunter, Brenda Ruth
Jackson, Mary L.
Jervis, Kathy Darlene
Lewis, Christi Necole
Livelsburger, Kristy Ann
Maggard, John Scott
Magnus, Crystal Dawn
Mann, Teresa Lynn
Maynard, Jill
McKinney, Stephanie Dawn
Miller, Tawanna Lynn
Morrison, Bessie W.
Mosley, Ida Michelle
Mullins, Orrenda
Ousley, Barbara S.
Pinion, Larry Dean
Profitt, Jason M.
Ratliff, Tamatha Kay
Reffitt, Christopher Charles
Richardson, Sandra V.
Roberts, Jason Matthew
Sammons, David Glenn
Settles, Brenda J.
Shepherd, Jennifer Lynn
Slone, Brenda
Slone, Kari A.
Smith, Kenneth D.
Stanfield, Sheila
Staniford, Crystal
Strouth, Kathy Sharon
Thompson, Marcia Lynette
Thornsberry, Teresa
Vance, Lisa Dianne
Williams, Holly Lynn

Somerset Community College

Associate in Arts

Aaron, Melinda G.
Allen, Susan E.
Arms, Myra N.
Atwood, Misty
Ball, Kassy A.
Barger, Leslie P.
Beasley, Danielle M.
Beatty, Julie D.
Bumgardner, Toni D.
Burdine, Mary S.
Burton, Terri Delane
Carter, Betty L.
Coffey, Charlotte D.
Covey, Judy C.
Cox, Stephanie
Dalton, Rachel E.
Daugherty, Mia Rae
Davidson, Carrie K.
Fields, Amber K.
Fox, Pamela J.
Garland, Randy
Garrison, Heather M.
Gates, Robin L.
Gibbsons, Jennifer Mae
Gossett, Lois Ann
Gregory, Carson J.
Grubbs, Tabitha M.
Hamm, Jeremy William
Hoover, Brenda C.
Hopkins, Dwight Burlen
Hopkins, Kimberly M.
Hughes, Dianne K.
Hughes, Heather Lynn
Hurst, Chaderick K.
Ikerd-Smith, Charity M.
Jackson, Diana L.
Jackson, Heather R.
Jamison, LaCeysha M.
Johnson, Carri Anna Maria
Jones, William
Keaton, Kayce R.
Klepper, Eric E.
Knapp, John D.
Lovitt, Heather Marie
Martin, Jennifer M.
Martin, Mary A.
Meadows, Heather A.
Metcalf, Nicholas Jerome
Middleton, Cheryl
Murphy, Melissa A.
Newby, Anna P.
Owens, Tawnyah M.
Peace, Bridget
Perry, Rhonda P.
Pierce, Christopher A.
Radford, Jeremy W.
Ratliff, John D.
Ross, Vicki Lee
Sampson, Cathy M.
Shear, Sheila C.
Shepherd, Angela M.
Short, Loria A.
Sidwell, Amber
Stogsdill, Heather N.
Strunk, Jessica E.
Strunk, Mary N.
Strunk, Troy Lynn
Taylor, Martha C.
Thomas, Tonya L.
Thomas, Twyla S.
Tincher, Robbie Shannon
Tucker, Kimberly Sue
Turner, John R.
Turpin, Amy L.
Vaughn, Amber E.
Wallen, Brandon J.
Wells, Tiffany M.
Witham, Jana Maxine
Wright, Adam N.

Associate in Science

Burnette, Rebecca
Burton, Connie G.
Burton, Rebecca E.
Butt, William B.
Caffee, Jessica L.
Couch, Misty T.
Ellison Jr, Larry W.
Foster, Christina L.
Gregory, Carson J.
Gregory, Randy L.
Hinton, Elizabeth D.
Jones, Jane C.
King, Kristi
Lanigan, Denise M.
McIntosh, Samantha Ann
Moore, Sheila M.
Nantz, Rachel B.
Newby, Anna P.
Smith II, Alfred L.
Todd, Jaime L.
Turpin, Amy L.
Walker, Kimberly A.
Wesley, Amanda M.
Wheat III, Harold R.

Somerset Community College, continued

Associate in Applied Science

Barker, Ramona L.
Bishop, Amy M.
Boone, Lessie Virginia
Brock, Carolee
Buffum, Myrna
Buker, Catherine
Canada, Debra K.
Carrender, Michelle L.
Clark, Ashley D.
Coffey, Alisha K.
Coffey, Jeffery K.
Coner, Heather A.
Corbin, Denissa K.
Cordell, Andrea K.
Cox, Stephanie
Crouch, Sherry L.
Cundiff, Lisa M.
Davidson, Melissa K.
Davis, Shannon D.
Duncan, Michelle R.
Durham, Amy
Eades, Jeffrey D.
Ellis, Carrie Ann
Fox, Pamela J.
Gibbsons, Jennifer Mae
Gibson, Cathy Sue
Groce, Jennifer R.
Groce, Patricia A.
Hale, Sheila R.
Hill, Debra
Jones, Joe
Karr, Larry W.
Karr, Stephanie S.
Kingsley, Amy C.
Lewis, Linda P.
Loveless, Jayetta R.
Malone, Sherri A.
Marcum, Amy L.
Marcum, Carolyn
Molden, Mark
Northern, Greta S.
Parmley, Amy Dawn
Parnell, Tonya R.
Peters, Chad E.
Pfeiffer, Andrew P.
Phelps, Lisa D.
Ping, Diana L.
Ritchie, Alison M.
Rose, Melissa A.
Ruckel, Brenda S.
Simmons, Christie Dawn
Simpson, Jessica D.
Smith, Loretta L.
Smith, Warren Shane
Spagnoletti, Tammy S.
Tygart, Crystal
Walden, Timothy T.
Weddle, Annesia D.
Wilkerson, Jessica F.
Wilson, Barbara A.
Wilson, Debra S.

Southeast Community College

Associate in Arts

Abner, William R.
Adams, Beverly A.
Adams, Sandra R.
Arroz, Erik W.
Baker, Anna J.
Ball, Jack
Barnett, Jason
Barrett, Suzanne D.
Bean, Chastidy
Black, Kathy A.
Blas III, Guadalupe
Boggs, Catherine G.
Bowman, Robin
Branson, Janet L.
Brittain, Alesha
Brock, Amanda K.
Brock, Anna
Brock, Loretta
Brooks, Amy N.
Brown, Kimberly E.
Burke, Joseph
Burkhart, Stacey M.
Collett, Charity S.
Collins, Mitzi
Collins, Paul M.
Collins, Rebecca J.
Diaz, Christy Marie
Ely, Mary L.
Ermold, David
Everage Sr, Ronnie E.
Farmer, Richard
Fisher, Julie A.
Fleming, Glenda F.
Ford, Mary P.
Gibbs, Heather
Gilliam, Chadwick A.
Goins, Jeanne
Greene, Debbie H.
Hammock, Patricia
Harris, Larry V.
Harrison, Dedrea E.
Hatfield, Erica L.
Helton, Lora M.
Hendrickson, Joshua R.
Hoskins, George
Howard, Erma L.
Hubbard, Wendy Lee
Huff, Felicia
Hughes, Candi M.
Johnston, Brian
Kell, Lyla
Kinder, Gwendolyn
Krzak, Linda
Lambert, Christopher Brent
Lefevers, Robin Renee
Manns, April M.
Marlin, Lesley B.
Massingill, Jennifer D.
Maynes, Kenny D.
Melton, Malinda E.
Mosley, Charles E.
Mullins, Laura L.
Napier, Jessica A.
Napier, Theresa
Nash, LeeAnn R.
Norton, Rachel Meichelle
Partin, Holly A.
Pitt, Carolyne S.
Ramsey, Gloria L.
Roddy, Lisa M.
Saylor, Amy L.
Saylor, Chad W.
Saylor, Grant S.
Sergent, Rodney
Shepherd, Misty
Simpson, Chris R.
Sizemore, Wendy M.
Skidmore, Jamie M.
Smiddy, Christopher R.
Smith, Janice
Southerland, Donna J.
Spade, Sherry S.
Stewart, Angela M.
Sturgill, Katherine
Terry, Louise E.
Tolis, Linda Kay
Tolliver, Cheryl L.
Tolliver, Susan
Turner, Brett L.
Tuttle, Daniel F.
Vaughn, Jerry D.
Violet, Tomi
Ward, Shannon M.
Williams, Carolyn S.
Wright, Tammy J.
Yoakum, Lindsay D.

Southeast Community College, continued

Associate in Science

Arroz, Erik W.
Bailey, Mark A.
Ball, Jack
Bingham, Valerie R.
Branson, Janet L.
Burnett, Mandy Elizabeth
Carter, John C.
Collins, Elizabeth E.
Collins, Jennifer N.
Collins, Mitzi
Ellish, Melissa H.
Freeman, Laura C.
Gambrel, Chadwick
Gibson, Shandra M.
Gilliam, Chadwick A.
Hall, Sammy T.
Hill, Patience M.
Holbrook, Aaron N.
Holbrook, Ryan M.
Howard, Amanda L.
Hughett, Danietta
Isaacs, Anita E.
Johnston, Andrew A.
Jones, Philip
Keith, Scott C.
Lewis, Russ W.
Longworth, Paula
McQueen, Jackie A.
Meade, Mitchell W.
Napier, William
Osborne, Selia
Russell, Hiram W.
Saylor, Jennifer J.
Schenkenfelder, James
Scopa, Elana
Scott, Amanda R.
Shepherd, Misty
Smith, Joy T.
Taylor, Frank T.
Tibbs, Pamela L.
Tolliver, Landon W.
Vanover, George A.
Wagner, Gary
Welch, Lee Ann
Winter, James S.

Associate in Applied Science

Asher, Melissa G.
Bailey, Tonya L.
Bledsoe, Kelli A.
Boatright, Sheila
Boggs, Rebecca A.
Bowman, Traci B.
Campbell, Nancy
Caudill, Dusty S.
Day, Jeffrey T.
Dempsey, Christel M.
Dingus, Barbie S.
Eldridge, Phyllis K.
Foister, Sammy S.
Golden, Mark D.
Grubbs, Angela R.
Grubbs, Mitzy Mae
Hammons, Carla W.
Hatfield, Sabrina L.
Hensley, Jennifer L.
Holbrook, Steven M.
Holyfield, Jamie R.
Hoskins, Amy R.
Howard, Carla B.
Hutton, Enequita Q.
Jenkins, Trina F.
Keck, Rhonda
Little, Amanda H.
Marlowe, Stanley D.
Mayes, Debra
Middleton, Judy
Mills, Aimee
Miracle, Robert L.
Moore, David
Mullins, Elizabeth A.
Napier, Jessica A.
Owens, Joyce
Partin, Grant A.
Penix, Carolyn V.
Petrey, Kelli
Riggs, Pamela R.
Robertson, Vivian B.
Robinette, Deborah M.
Rogers, Crystal K.
Rose, Rhonda L.
Scissom, Heather L
Sergent, Reva A.
Sizemore, Wendy M.
Slone, Vanessa F.
Slone, Vickie R.
Smith, Kelly R.
Thornsberry, Jason R.

Foster, Elizabeth M.

Kist, Mechelle

Prosperino, Donna K.

PR 6A

Office of the President
June 19, 2001

Members, Board of Trustees:

CHANGING THE NAME OF AN ENDOWED CHAIR

Recommendation: that the Board of Trustees change the name of the Commonwealth Chair in the Health Sciences to the Charles T. Wethington, Jr. Chair in the Health Sciences.

Background: The Commonwealth Chair in the Health Sciences is funded at the level of $2 million through two separate gifts, one in 1998 from the Johnson Wright Fund and the second by an anonymous donor in 2001. Both half million dollar gifts were eligible for matching funds from the state's Research Challenge Trust Fund. Based on President Wethington's outstanding service to the University of Kentucky and its Albert B. Chandler Medical Center, it is recommended that the Board of Trustees approve the changing of the name of this Chair in honor of President Wethington.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PR 6B

Office of the President
June 19, 2001

Members, Board of Trustees:

NAMING UNIVERSITY BUILDING – ALLIED HEALTH/AGING

Recommendation: that the Board of Trustees approve naming the Allied Health/Aging building being constructed at the corner of Limestone and Rose Streets the "Charles T. Wethington, Jr. Building."

Background: President Charles T. Wethington, Jr. has provided major and significant service to the University of Kentucky and its Albert B. Chandler Medical Center during the period of his Presidency. With his retirement as President on June 30, 2001, it is appropriate that a University building be named in his honor. President Wethington has continually supported the construction of the Allied Health/Aging Building including his efforts during the General Assembly session to secure funding for the facility. This building occupies a prominent location on the campus of the University of Kentucky, being situated at the corner of Limestone and Rose Streets.

The Chancellor for the Medical Center and the Committee on Naming University Buildings recommend the naming of this building the "Charles T. Wethington, Jr. Building" upon its completion in spring, 2002.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PR 6C

Office of the President
June 19, 2001

Members, Board of Trustees:

AMENDMENT OF UNIVERSITY OF KENTUCKY
MEDICAL STAFF BYLAWS

Recommendation: that the Board of Trustees approve the attached amended University of Kentucky Hospital Medical Staff Bylaws (Bylaws) which, together with the University of Kentucky Hospital's Rules and Regulations, govern those physicians and dentists and related health professionals who practice, or seek to practice, at the University Hospital, and which have been revised and updated by the Office of the University Hospital Chief of Staff.

Background: Pursuant to state and federal law, specifically 902 KAR 20:016 Section 3(8)(b), and 42 C.F.R. Section 482.22, and the Joint Commission on Accreditation of Hospitals (JCAHO) standards, the Board of Directors of the University of Kentucky Hospital has approved amendments to the Bylaws, attached hereto, which delineate standards for medical staff self-governance, including, but not limited to, medical staff membership, the credentialing process, the role of the medical staff executive committee, and the structures necessary for ongoing activities of the medical staff. The amended Bylaws, as adopted by the medical staff and approved by the Board of Directors, create a system of mutual rights and responsibilities between the members of the medical staff and the hospital. Pursuant to the aforementioned state and federal law, and JCAHO standards, the governing authority of the University Hospital must approve amendments to the Bylaws.

The format of the attached document reflects additions (underlined) and deletions (struck through) and amends the Bylaws by adding the improvement of communication and patient care as purposes of the Bylaws (Article I); modifying the requirements for medical staff membership to include members' adherence to Behavioral Standards and Corporate Compliance Program and consent to psychiatric/medical evaluation when requested by Chief of Staff (Article II); modifying the procedure and requirements for appointment/reappointment to the medical staff, including approval by Medical Staff Executive Committee (MSEC) (formerly the Clinical Board) and Hospital Board, a medical license in good standing without restriction, one (1) letter of reference, report of leaves of absence and challenges to licensure/registration, automatic expiration after two (2) years unless extended by Chief of Staff (Article V); modifying the procedure and requirements for granting clinical privileges, including requirements that privileges be obtained in each department of a joint appointment and demonstration of current competence (Article VI); granting committees involved in medical staff appointment the

opportunity to reconsider their decisions before final action (Article VII); creating separate articles addressing voluntary remediation (new Article VIII), automatic suspension (new Article IX), corrective action (new Article X), professional review activity hearing and appeal (new Article XI); modifying voluntary remediation to include the use of outside consultants, reviewers, etc., psychiatric/medical evaluation, confidentiality of credentialing files, creation of a mechanism for practitioner assistance for impaired practitioners; (new Article VIII); modifying the grounds for automatic suspension/termination to include violation of an aftercare agreement and indictment/conviction for a felony relating to the practice of medicine, and eliminating appellate rights (new Article IX); modifying the grounds for corrective action to include violations of Behavioral Standards and Corporate Compliance policy; modifying the procedure for corrective action to allow other staff to request investigation; and adding options for corrective action (new Article X); modifying the procedures for professional review activity, hearing and appeal by granting the right to a hearing for adverse actions based on behavioral grounds (new Article XI); limiting the grounds for the removal of the Chief of Staff to those set forth in KRS 164.230 (new Article XII); adding that recommendations for approval of rules and policies concerning competence, credentialing, etc., be consistent with the Behavioral Standards in Patient Care (new Article XIII); and adding the Director of the University Health Service as a member of the MSEC.

Action taken: ☒ Approved ❑ Disapproved ❑ Other _____

BYLAWS
OF THE MEDICAL STAFF

UNIVERSITY HOSPITAL
CHANDLER MEDICAL CENTER,
UNIVERSITY OF KENTUCKY

PREAMBLE

The University Hospital of the Chandler Medical Center is a part of the University of Kentucky, a publicly supported institution of post-secondary education established and maintained pursuant to Chapter 164 of the Kentucky Revised Statutes. A primary function of the Medical Staff of the University Hospital is the delivery of health care services to the patients in the University Hospital. In order to provide a framework within which the Medical Staff shall function, these Bylaws and Rules and Regulations shall govern those physicians and dentists, and related health professionals who practice or seek to practice at the University Hospital.

Subject to the final authority and approval by the Board of Directors of the Hospital and the Board of Trustees of the University of Kentucky, the Medical Staff shall exercise such power reasonably necessary to discharge its responsibilities under these Bylaws, Rules and Regulations (which shall not be considered to be a contract).

DEFINITIONS

1. Medical Staff - means all licensed medical physicians and dentists who are privileged to attend patients at the University Hospital.

~~13~~ 2. Health Related Professions Staff (or Independent Licensed Practitioner)- means all health related professionals who are privileged to attend patients at the Hospital.

~~14~~3. Practitioner - means a medical or health care professional who has a license to practice his or her profession in Kentucky and who otherwise is eligible for appointment to the Medical Staff.

~~12~~4. Medical Staff Year - means that period of time commencing on the first day of July of any calendar year and ending on the thirtieth day of June of the following calendar year.

~~2~~5. Hospital - means the University Hospital of Chandler Medical Center, University of Kentucky.

~~6~~6. Hospital Director - means the individual who oversees the overall management of the Hospital.

~~3~~7. Board of Directors - means that body appointed by the Board of Trustees, whose members conduct and manage the governance of University Hospital, with powers as defined in the "Bylaws: University Hospital of the Chandler Medical Center." The Board consists of five (5) members appointed by the Board of Trustees of the University of Kentucky. In addition to the five voting members, there shall be five (5) Advisory Directors whose role shall be to provide support and advice to the Board. The Advisory Directors shall consist of the individuals holding the following positions: (1) Chancellor of the Chandler Medical Center; (2) Vice Chancellor for Planning and Director of University Hospital; (3) Vice Chancellor for Clinical Services and Dean, College of Medicine; (4) a representative appointed by the President of the University of Kentucky; and (5) a clinical faculty member, elected by the ~~body of the medical staff~~ Medical Staff Executive Committee.

~~11~~8. Chairman of the Board - means the Chairman of the Board of Directors of the University Hospital of the Chandler Medical Center.

~~4~~9 Board of Trustees - means the Board of Trustees of the University of Kentucky.

~~9~~10 Chancellor - means the Chancellor for the Medical Center, University of Kentucky.

~~7~~11. Vice Chancellor for Clinical Services and Dean of the College of Medicine - means that individual responsible for management of the Medical Center clinical professional program and for coordination, development and review of clinical programs in University clinical facilities and affiliated locations.

~~10~~12. President - means the President of the University of Kentucky.

~~5~~13. ~~Clinical Board~~ Medical Staff Executive Committee- means that body composed of the following: Chiefs of Hospital Clinical Services as described in Article XI, Section 2 herein, the Dean of the College of Medicine, the Chief of Staff and Associate Dean for Clinical Affairs of the College of Medicine, and the Hospital Director. Ex-officio non-voting members shall consist of the Deans of the Colleges of Dentistry, Nursing, Pharmacy and Allied Health Professions, the Chief Operating Officer of the Group Practice Governing Council, the Director of the University Health Service, the Associate Dean for Veterans Affairs, the Director of Nursing of University Hospital, Director of the Lucille Parker Markey Cancer Center, Director of Sanders-Brown Center on Aging, and the Chancellor for the Medical Center or their respective designates. The ~~Clinical Board~~ Medical Staff Executive Committee shall be the executive committee of the Medical Staff.

~~8~~14. Chief of Staff - means the individual bearing that title within the University Hospital, who oversees the quality of patient care, the proper functioning of the Medical Staff, compliance with these Bylaws and Rules and Regulations by the Medical Staff, and coordination of the work of the clinical departments.

15 Associate Chiefs of Staff- means the individual(s) bearing that title within the University Hospital, who, in the absence of the Chief of Staff, carries out the duties of the Chief of Staff and who performs those duties delegated and assigned by the Chief of Staff, the Medical Staff Executive Committee or by the Board of Directors.

ARTICLE I

PURPOSE

SECTION 1. The purpose of the Medical Staff, as an organized component of the Hospital, is to:

A. organize the activities of practitioners in the Hospital in order that they may carry out, in conformity with these Bylaws, the functions delegated to it by the Board of Directors;

B. provide that all patients, regardless of race, color, religion, national origin, sex, age or disability, receive continuous, quality medical care from practitioners appointed to the Medical Staff;

C. maintain and enhance the professional performance of all members of the Medical Staff through ongoing review and evaluation of clinical performance;

D. provide an appropriate educational setting to maintain scientific standards that will lead to a continuous advancement in professional knowledge, skill and training;

E. initiate and maintain Rules, Regulations and Policies for internal governance of the Medical Staff;

F. provide a means for issues concerning the Medical Staff directly discussed by the Medical Staff with the Board of Directors and with Hospital Administration, with the understanding that the Medical Staff is subject to the ultimate authority of the Board of Directors and that cooperative efforts among the Medical Staff, Administration and Board of Directors are necessary to fulfill the purposes and missions of the Hospital; and

G. serve as the primary means for the Medical Staff's accountability to the Board of Directors for the quality and appropriateness of the professional performance and ethical conduct of practitioners.

SECTION 2. The purpose of these Bylaws ~~Rules and Regulations~~ is to:

A. establish a framework within which the fundamental objective of the Hospital to provide comprehensive medical services, including diagnostic and curative medical care, preventive medical care, care and rehabilitation of the chronically ill and disabled, dental care, and facilities for education and research for those engaged in activities related to comprehensive medical services may be effectuated through orderly governance and through the performance of credentialing;

B. promote communication and interaction between departments, services and functions throughout the hospital in order to improve operations and clinical outcomes;

~~B~~C. facilitate effective cooperation with other affiliated and nonaffiliated hospitals and other community health agencies serving the Central and Eastern Kentucky area;

~~C~~D. facilitate effective affiliation with other hospitals and educational institutions to assist in the education of physicians, dentists, nurses, pharmacists, and Health Related Professionals;

~~D~~E. facilitate the formulation of long-range and short-range health planning goals;

~~E~~F. provide a method of continuous self-evaluation of the medical services through the delineation of staff privileges and review of clinical activities in order to improve performance and clinical outcomes;

~~F~~G. develop and maintain high standards in medical education programs and provide for continued medical education of practitioners; and

~~G~~H. provide a means whereby issues concerning the Medical Staff and the Hospital may be discussed and resolved.

ARTICLE II

MEDICAL STAFF MEMBERSHIP

SECTION 1. Medical Staff Membership

A. No Practitioner shall admit patients to the Hospital unless he or she is a member of the Medical Staff and has been granted clinical privileges in accordance with the procedures set forth in these Bylaws. Appointment to the Medical Staff shall confer only such clinical privileges as have been granted in accordance with these Bylaws.

B. Membership on the Medical Staff of the Hospital is a privilege extended only to those Practitioners who continuously meet the qualifications, standards and requirements set forth herein.

SECTION 2. Eligibility for Membership

Physicians and dentists licensed to practice in Kentucky and who are or were members of the faculty of the University of Kentucky College of Medicine or Dentistry;

SECTION 3. General Qualifications

Only Practitioners who:

A. document or provide evidence of (1) current ~~unrestricted~~ licensure ("regular license" or "limited license for telemedicine practice," as described by KRS. Section 311.550) in good standing and without restriction imposed by the Board of Medical Licensure, (2) adequate experience, education and training; possessing currently valid American Board of Medical Specialties specialty/subspecialty qualification/certification, or demonstrates equivalent training experience acceptable to the Credentials Committee, (3) current professional competence, (4) good clinical and professional judgment and skills, and (5) adequate physical and mental health status, with or without reasonable accommodations, relating to the exercise of the clinical privileges requested; and

B. demonstrate willingness and ability to work cooperatively with other practitioners in a professional manner, and

C. demonstrate that they are professionally currently competent and that patients treated by them can reasonably expect continuous, quality medical care

shall be deemed to possess the basic qualifications for membership in the Medical Staff, except for the Honorary Staff category, in which case these criteria shall only apply as deemed individually applicable by the Hospital.

SECTION 4. Basic Responsibilities of Medical Staff Membership

Except for the Honorary Staff, the ongoing responsibilities of each member of the Medical Staff shall include, without limitation:

A. Ceontinuously providing patients in a reasonably efficient manner with quality care that meets generally recognized professional standards.

B. Aabiding by the Medical Staff Bylaws, Medical Staff Rules and Regulations, Medical Staff Policies, ~~and the~~ Hospital Policies, Behavioral Standards in Patient Care and the ~~Hospital~~Medical Center's Corporate Compliance Program.

C. Ceompleting such reasonable responsibilities, assignments and rotations required by virtue of Medical Staff membership, including committee assignments, proctoring of Practitioners, attendance requirements and accreditation requirements.

D. Ssupervising residents (post-graduate medical and dental trainees) as appropriate to their level of training, according to Policy 09-33.

E. Pparticipating on, with or in Hospital or multi-disciplinary committees, teams or programs dealing with the overall medical environment at the Hospital including, without limitation, such functions as medical records, quality improvement, utilization review, practice guidelines, blood usage/blood component review, nursing services, drug usage and formularies, infection control, radiation safety, risk management, operative and invasive procedure review, safety and patient care policies.

F. Ppreparing and completing in timely fashion all medical records for the patients to whom the Member provides care in the Hospital.

G. Aaiding and participating in approved educational programs for medical students, interns, resident physicians, resident dentists, physicians and dentists, podiatrists, clinical psychologists, nurses and other personnel.

H. Mmaking timely and appropriate arrangements for coverage of patients.

I. Ddesisting from improper inducements for patient referral or other unethical behavior.

J. Mmaintaining current professional competence through appropriate continuing education
programs.

K. Pparticipating in emergency service coverage or consultation panels.

L. Iinforming the Chief of Staff or his/her designee, in a timely manner, of any changes made or formal action initiated that could result in a change of license, DEA registration, participation in any program or plan for the reimbursement of services, professional liability insurance coverage, membership or employment status or clinical privileges at other health care institutions or affiliations and the status or initiation of malpractice claims.

M. Pperforming a sufficient number of procedures, managing a sufficient number of cases and having sufficient patient care contact within the practitioner's practice to assess the practitioner's current clinical competence for any clinical privileges, whether being requested or already granted.

N. Pparticipating in the Hospital's risk management program, quality assurance program and peer review activities.

O. Sseeking consultation, in accordance with generally accepted standards of patient care, or when requested by the Chief of Staff.

P. Ddischarging such other Medical Staff obligations as may be lawfully established from time to time by the Medical Staff, the ~~Clinical Board~~ Medical Staff Executive Committee, or the Board of Directors.

SECTION 5. Conditions and Periods of Appointment

Application for membership to the Medical Staff shall constitute the staff member's agreement to abide by these Bylaws and Rules and Regulations. In addition, membership shall require the practitioner to:

A. abide by the Principles of Medical Ethics of the American Medical Association, or the Code of Ethics of the American Dental Association, or Code of Ethics of applicable Allied Health Professions, as applicable;

B. maintain and uphold the Behavioral Standards in Patient Care adopted for University Of Kentucky Chandler Medical Center, and

C. ~~accede~~ consent to alcohol and drug testing or psychiatric or medical evaluation when requested by his/her Clinical Chief or Chief of Staff; and

D. participate in communicable disease prevention by having:

1. Mantoux or similar tuberculin skin test annually, (twice annually if employed in a high-risk area), or annual health questionnaire, and when deemed necessary, chest x-ray.

2. Two MMR vaccines for all individuals born after 1956 (who cannot provide evidence of previous vaccination, physician-diagnosed measles disease or laboratory evidence of measles immunity).

3. Hepatitis B immunization for individuals at risk unless previously immunized, diagnosed as immune by laboratory testing, or waived.

4. Other immunizations as required by Hospital policy or state or federal law.

E. Immediately inform the Chief of Staff and Risk Manager of any actions or investigations that have resulted in, or could result in, the limitation, restriction, reduction, suspension or revocation of any professional license, membership or clinical privileges.

SECTION 6. Provisional Status

Upon the recommendation by the ~~Clinical Board~~ Medical Staff Executive Committee, and after approval of an applicant's application by the Board of Directors (which shall not be bound by the ~~Clinical Board's~~ Medical Staff Executive Committee' recommendation), an applicant shall be given a provisional appointment for a period of six months or remainder of the first Medical Staff Year whichever is greater. Provisional status may be extended by the ~~Clinical Board~~Medical Staff Executive Committee for up to two additional terms of 6 months for good cause. Provisional staff shall have all the privileges and duties of full staff members in their category except that they shall not be eligible to hold office or vote unless permitted to do so by the Board of Directors. At the end of the provisional period and on recommendation of the applicant's Chief of Service, which may be made by verbal report to the Medical Staff Executive Committeefull staff status will be given for a period not to exceed the end of the then current Medical Staff Year. Reappointments shall be for a period of two Medical Staff Years.

Unless waived by the ~~Clinical Board~~ Medical Staff Executive Committee for good cause, each provisional Member of the Medical Staff shall undergo a period of observation by designated monitors or proctors. The observation shall be to evaluate the Member's (1) proficiency in the exercise of clinical privileges initially granted and (2) over-all eligibility for continued Medical Staff membership and advancement within Medical Staff categories. Observation of provisional Members shall follow whatever frequency and format each department or division deems appropriate in order to evaluate adequately the provisional Member including, but not limited to, concurrent or retrospective chart review, mandatory consultation, and/or direct observation. ~~Appropriate records shall be maintained~~. The results of the observation shall be communicated by the department chairperson or Chief of Staff to the ~~Clinical Board~~ Medical Staff Executive Committee.

ARTICLE III

CATEGORIES OF THE MEDICAL STAFF

SECTION 1. Medical Staff Categories

The Medical Staff shall be divided into categories denominated: Honorary, Active, Clinical Fellows, Associate, Voluntary , Consulting.

SECTION 2. Honorary Category

The Honorary Category shall be comprised of physicians and dentists previously members of the Active Staff who are no longer actively practicing in the Hospital. These may be physicians and dentists who have retired from active hospital practice or who are of outstanding reputation, not necessarily residing in the community. Honorary Staff members shall not be eligible to admit patients, vote, hold office or serve on standing Medical Staff committees.

SECTION 3. Active Category

The Active Category shall be comprised of physicians and dentists who are full-time faculty members of the University of Kentucky College of Medicine or Dentistry and who hold clinical unrestricted medical or professional licenses to practice their profession in the Commonwealth of Kentucky, and who have been endorsed by their respective departmental, divisional and sectional chairmen as being active in the teaching program of the University. Only members of the Active Staff shall be eligible to vote at any meetings of the Medical Staff. Privileges shall be delineated upon appointment and with each reappointment. Members of the Active Staff shall be required to attend meetings of the Medical Staff and to serve on standing or ad hoc Medical Staff committees.

SECTION 4. Clinical Fellow Category

The Clinical Fellow Category shall be comprised of physicians and dentists who are employed full-time by the University of Kentucky, who hold clinical unrestricted Kentucky licenses to practice their profession in the Commonwealth of Kentucky; who have completed all residency requirements for specialty boards and where applicable subspecialty boards, who have been endorsed by their respective departmental, divisional, and sectional chairmen as being engaged in specifically defined post-residency programs of research development, investigation training and/or clinical fellow patient care programs. Privilege shall be delineated on appointment and with each reappointment. Members of the Clinical Fellow Category may attend medical staff meetings without vote, serve on standing Medical Staff committees and, as a member of the University Hospital, may admit and manage patients in the Hospital and Clinics.

SECTION 5. Associate Category

The Associate Category shall be comprised of physicians and dentists who are part-time faculty of the University of Kentucky College of Medicine or Dentistry, who hold clinical unrestricted Kentucky licenses to practice their profession in the Commonwealth of Kentucky, and who have been endorsed by their respective departmental, divisional and sectional chairmen as contributing to the programs of the University. Privileges shall be delineated upon appointment and with each reappointment. In general, admission privileges shall be limited to periods of active involvement in teaching. Members of the Associate Staff may not hold office and do not have voting privileges at meetings of the Medical Staff, but they may attend Medical Staff meetings and serve on standing or ad hoc Medical Staff committees.

SECTION 6. Voluntary Category

The Voluntary Category of staff shall be comprised of physicians and dentists who are volunteer faculty of the University of Kentucky College of Medicine or Dentistry who hold clinical unrestricted Kentucky licenses to practice their profession in the Commonwealth of Kentucky and who have been endorsed by their respective departmental, divisional and sectional chairmen as contributing to the programs of the University. Privileges shall be delineated upon appointment and with each reappointment. Members of the volunteer faculty at the time they request privileges must provide the Hospital with recommendation of three licensed physicians or dentists who can attest to their professional qualification for the privileges they seek, provide evidence of satisfactory staff function from the hospitals where they concurrently hold, or in the recent past have held, privileges. They must with each application or reapplication provide evidence of malpractice insurance sufficient to cover the reasonable anticipated risks of their specialty as defined by the University of Kentucky Malpractice Committee. Members of the Volunteer Staff may not hold office and do not have voting privileges at meetings of the Medical Staff, but they may attend Medical Staff meetings and serve on standing Medical Staff committees.

~~SECTION 7. Consulting Category~~

~~The Consulting Category shall be comprised of specialists who are Board qualified/certified, and/or recognized as having special competence in their field, and are endorsed by the relevant departmental, divisional and sectional chairmen as contributing to the programs of the University. Privileges shall be delineated upon each appointment and reappointment. Members of the consulting staff shall not be entitled to vote at any Medical Staff meetings, hold office or serve on standing Medical Staff committees, nor shall such consulting staff members be required to attend Medical Staff meetings.~~

ARTICLE IV

HEALTH RELATED PROFESSIONS STAFF
["Independent Licensed Practitioners"]

SECTION 1. Membership and Identification

The Health Related Professions Staff shall be comprised of licensed practitioners including, without limitation, those who are faculty members of the University of Kentucky and/or employees of the University of Kentucky and selected volunteers, who are appointed by the Board of Directors. Members of the Health Related Professions Staff shall be identified as Health Related Professions Staff of a particular clinical department or service. Though Members of the Health Related Professions Staff shall not be considered members of the Medical Staff they nevertheless shall be bound by these Bylaws, Rules and Regulations, except that they shall not be entitled to the procedures set forth in Article VIII.

SECTION 2. Privileges

Members of the Health Related Professions Staff shall have privileges delineated in accordance with the scope of their licensure, as permitted by statute and as granted, upon appointment. Privileges for individuals involved with the management of patients will be under the supervision of an Active Medical Staff member and will be strictly limited to the performance of specialized services within the field of the member's competence. The privileges will be specifically designated by individual by the Board of Directors and will be noted in the individual's credentials file.

SECTION 3. Application Process

All applications for appointment to the Health Related Professions Staff shall be submitted on a form developed by the Chief of Staff and approved by the Medical Staff Executive Committee and Board of Directors. Such forms are to be completed and signed by all applicants who, as a condition to applying, shall agree to be bound by these Bylaws, Rules and Regulations and policies of the Medical Staff and Hospital. The procedures, inquiries and commitments set forth in Article IV of these Bylaws for membership on the Medical Staff shall likewise apply to membership on the Health Related Professions Staff, and submission of a completed application for membership on the Health Related Professions Staff shall constitute acknowledgment by the applicant that the Medical Staff procedures, inquiries and commitments are applicable.

SECTION 4. Condition and Periods of Appointment

A. The same conditions and periods of appointment set forth in these Bylaws for members of the Medical Staff shall likewise apply to applications and members of the Health Related Professions Staff.

B. Appointment to the Health Related Professions Staff shall confer on the appointee only such clinical privileges as have been set forth in the appointment.

ARTICLE V

PROCEDURE FOR APPOINTMENT AND REAPPOINTMENT

SECTION 1. General

No practitioner (including practitioners engaged by the Hospital by contract and/or Practitioners holding Medical Staff offices or administratively responsible positions) shall exercise clinical privileges in the Hospital unless and until he or she applies for and receives appointment to the Medical Staff or is granted temporary privileges as set forth in these Bylaws. By applying to the Medical Staff for appointment or reappointment (or, in the case of members of the Honorary Staff, by accepting an appointment to that category), the applicant acknowledges responsibility to review these Bylaws, and agrees that throughout any period of membership he or she will comply with the responsibilities of Medical Staff membership and will be bound by the Bylaws, Rules and Regulations and Policies of the Medical Staff, as they exist and as they may be modified from time to time.

SECTION 2. Nondiscrimination

Medical Staff membership or particular clinical privileges shall not be determined or denied on the basis of an applicant's sex, race, age, religion, color, national origin or disability.

SECTION 3. Application Process

When an applicant requests an application form, he or she shall be given a copy of these Medical Staff Bylaws, Rules and Regulations and summaries of other applicable policies related to clinical practice in the Hospital, including the Behavioral Standards in Patient Care adopted by the University of Kentucky Chandler Medical Center.

A. All applications for appointment to the Medical Staff shall be submitted on a form developed by the Chief of Staff, and approved by the Medical Staff Executive Committee and the Board of Directors. Such forms are to be completed by all applicants, signed by the applicant, and shall contain the applicant's specific acknowledgment of his/her obligation to provide continuous care and supervision of his/her patients; to accept, attend

and complete required committee assignments; and to accept consultation assignments. In addition, the applicant shall specifically acknowledge that any misrepresentation or failure to fully disclose requested information shall be sufficient to result in the immediate revocation of his/her appointment or denial of his/her application for appointment.

B. Burden of Producing Information

In connection with all applications for appointment, reappointment, advancement, modification of clinical privileges or transfer, the applicant or member shall have the burden of timely producing complete and accurate information for an adequate evaluation of the applicant's qualifications and suitability for the clinical privileges and the Medical Staff category requested, of resolving any reasonable doubts about these matters, and of satisfying reasonable requests for information including requests for interviews. The applicant's failure to sustain this burden in a timely fashion shall be grounds for denial of the application, which shall be considered as voluntarily withdrawn, without any procedural rights under Article VIII, Section 2. This burden may include submission to a medical or psychiatric examination at the applicant's expense, if deemed appropriate for the clinical privileges requested and the Chief of Staff or his/her designee will select the examining physician.

C. The applicant shall supply detailed information as to the following:

1. Tthe applicant's qualifications, including, but not limited to, professional training and clinical experience, judgment, current ~~unrestricted~~ licensure in good standing and without restriction imposed by the Board of Medical Licensure, professional liability insurance, current DEA registration (if applicable), and continuing medical education information related to the clinical privileges requested by the applicant.

2. Aa minimum of ~~three~~ one peer references familiar with the applicant's professional competence (preferably ~~one~~ a reference on professional competence should be from someone of the same specialty or training) and character during the prior five years.

3. Rrequests for membership categories, departments and divisions, and clinical privileges.

4. Pprevious, and currently pending, professional disciplinary actions, or licensure limitations, irrespective of reinstatement.

5. V~~v~~oluntary or involuntary termination of medical staff membership, voluntary or involuntary limitation, reduction or loss of clinical privileges at another hospital, health care entity or managed care plan, irrespective of reinstatement or withdrawal of an application for Medical Staff membership prior to final action by the Hospital, together with a written explanation for

such termination or withdrawal, which includes whatever relevant third party information is available to the applicant.

6. Medical Staff membership or clinical privileges at any health care facility, program or managed care plan that are currently the subject of an investigation or corrective or disciplinary action and the reasons for same.

7. Aany pending application for Medical Staff membership or clinical privileges at another health care facility, program or managed care plan.

8. Pphysical and mental health status as they relate to the applicant's ability, with or without reasonable accommodation, to exercise the clinical privileges requested.

9. Ffinal judgments or settlements, together with pending actions, against the applicant in professional liability actions and current professional liability insurance in such amounts and types as are required by the Hospital.

10. Rreports to the National Practitioner Data Bank involving the applicant.

11. Aapplicant's PRO history, if applicable.

12. Aany criminal convictions, involving any felony and any misdemeanor, provided the misdemeanor involved professional activity, or a crime of moral turpitude.

13. Ssequential history of medical or dental career, accounting for every year since graduation from professional school, which must include any leave of absence.

14. Wwhether the applicant's license to practice any profession in any jurisdiction have ever been voluntarily or involuntarily relinquished, suspended or terminated or whether there have been previously successful or there are current challenges to any licensure or registration (state or federal, [illegible]);

15. Wwhether the applicant's membership in local, state or national medical or dental or other societies has ever been voluntarily or involuntarily revoked, suspended or not renewed; and

16. Wwhatever additional reasonable information the Hospital or the Medical Staff deems relevant.

D. By applying for appointment to the Medical Staff, each applicant:

1. Signifies his/her willingness to be bound by the Bylaws, Rules and Regulations.

~~1~~2. S~~s~~ignifies his/her willingness to appear for interviews, if requested, regarding the application; authorizes consultation by his/her department chairperson (Chief of Clinical Service), the Dean of the College of Medicine, the Chief of Staff, the ~~Clinical Board~~Medical Staff Executive Committee, the Chancellor for the Medical Center, the President, members of the Board of Directors and members of the Board of Trustees, with members of medical staffs of other hospitals and ambulatory care programs with which the applicant has been associated, and with others who may have information bearing on the applicant's competence, character and ethical qualifications.

~~2~~3. C~~c~~onsents to the inspection, by any of the persons holding the above described offices, of all records and documents bearing upon his/her qualifications for clinical privileges and staff membership.

~~3~~4. A~~a~~grees to immediately inform in writing the Chief of Staff and the Risk Management Office of the University of Kentucky Hospital of any change, voluntary or involuntary, of hospital staff membership or clinical privileges, of licenses to practice medicine or dentistry, of membership in local, state, or national dental or medical societies; of any involvement in professional liability action while a member of the University of Kentucky Hospital staff.

~~4~~5. R~~r~~eleases from any liability all representatives of the University of Kentucky and its Medical Staff for their acts performed without actual malice in connection with evaluating the applicant and his/her credentials, and releases from any liability all individuals and organizations who provide information to the University of Kentucky or its Medical Staff without actual malice concerning the applicant's competence, ethics, character and other qualifications for staff appointment and clinical privileges, including otherwise privileged or confidential information.

E. Upon completion of the application form, the applicant shall submit the signed application to his/her department chairperson or, in the case of health related professionals, to the appropriate department chairperson (Chief of Clinical Service).

F. The department chairperson (Chief of Clinical Service) , with assistance of the Medical Staff coordinator, shall, with respect to each application form, verify from primary sources (when possible) -the accuracy of the information supplied by the applicant, and make inquiry to the National Practitioner Data Bank. In addition, the department chairperson (Chief of Clinical Service) for each application and reapplication, shall prepare a written recommendation concerning the applicant which shall include an evaluation of the applicant's abilities to carry out staff responsibilities and a specific delineation of proposed privileges. The department chairperson's (Chief of Clinical Service) recommendation shall become a part of the application.

No action will be taken on a request for privileges until it is verified that the practitioner possesses an appropriate, current and unrestricted medical or professional ~~Kentucky~~ license; and that the practitioner has appropriate education, training, experience, current competence, judgment and clinical skills to perform the clinical privileges requested.

G. The department chairperson (Chief of Clinical Service) shall forward the application to the Chief of Staff who shall submit it to the Credentials Committee. The Credentials Committee or an appropriate sub-committee thereof shall obtain or inspect any and all records, letters of recommendation, performance improvement data, or other materials deemed pertinent. The Credentials Committee, with input and advice from its appropriate sub-committees, shall summarize its findings in the form of a recommendation including a delineation of clinical privileges which shall become a part of the application.

H. The Credentials Committee, with input and assistance from the appropriate sub-committee, shall forward the application to Chief of Staff who shall obtain or inspect any and all records, letters of recommendation, performance improvement data, or other materials deemed pertinent. The Chief of Staff shall summarize the findings in the form of a recommendation including a delineation of clinical privileges which shall become a part of the application, at which time the application shall be deemed verified and complete.

SECTION 4. Appointment Process

A. The Chief of Staff shall forward the completed application to the ~~Clinical Board~~Medical Staff Executive Committee.

B. The ~~Clinical Board~~Medical Staff Executive Committee shall review the completed application and prepare its written recommendation to become a part of the application. All recommendations to appoint must also specifically recommend the clinical privileges to be granted, which may be qualified by probationary conditions relating to such clinical privileges.

C. The ~~Clinical Board~~Medical Staff Executive Committee shall forward its recommendation through the Hospital Director to the Board of Directors.

D. At its next regular meeting, following receipt of the application from the Hospital Director, the Board of Directors shall act upon the application. _Once the Board of Directors approves, modifies, or disapproves the application as submitted by the Hospital Director, including the recommended delineation of clinical privileges, it shall return the application to the Chief of Staff who shall notify the applicant in writing.

E. Upon receipt of the action of the Board of Directors on any application, the Chief of Staff shall send written notice to the Hospital Director, the ~~Clinical Board~~Medical Staff Executive Committee and the chairperson of the department concerned (Chief of Clinical Service).

F. All actions of the Board of Directors shall be effective when taken, including the delineation of clinical privileges.

G. Reapplication After Adverse Appointment Decision

An applicant who has received a final adverse decision regarding appointment and/or request for clinical privileges shall not be eligible to reapply to the Medical Staff for a period of one year from the date of the final decision. Any reapplication shall be processed as an initial application, and the applicant shall submit such additional information as may be required to demonstrate that the basis for the earlier adverse action no longer exists.

H. Timely Processing of Applications.

Applications for Medical Staff appointment shall be considered in a timely manner by all persons and committees required by these Bylaws to act thereon. While special or unusual circumstances may constitute good cause and warrant exceptions, the following time periods provide a guideline for routine processing of applications: Final action shall be taken within 120 days from the date the application is deemed complete, unless bona fide questions exist regarding the applicant's education, qualification, current competency or ability to exercise privileges and responsibilities under these Medical Staff Bylaws, in which case additional time up to 120 days may be taken to act on the application.

I. Request that Application be Held in Abeyance.

At any time in the application process prior to a recommendation by the ~~Clinical Board~~Medical Staff Executive Committee to the Board of Directors for final action, an applicant may request that his/her application be held in abeyance for a period up to, but no greater than, 180 days, after which time the application shall lapse and expire with no right to the procedures set forth in Article VIII, Section 2, and the applicant shall be required to submit a new application. The burden shall be on the application to update immediately any information.

J. Lapse of Application.

If a Medical Staff Member requesting a modification of clinical privileges or department or division assignment fails to timely furnish the information necessary to evaluate the request, the application shall automatically lapse, and the applicant shall not have procedural rights under Article VIII, Section 2.

SECTION 5. Reappointment Process and Request for Modification of Staff Category or Clinical Privileges.

A. All applications for reappointment shall be submitted by the applicant by March 31 of each year in which the reappointment is sought, at a minimum of every two years, on a form developed by the Chief of Staff and approved by the Medical Staff Executive Committee and Board of Directors.

B. Failure by a practitioner, without good cause, as determined in good faith by the ~~Clinical Board~~ Medical Staff Executive Committee, to timely file a completed application for reappointment by the Reapplication Due Date shall result in the automatic ~~termination~~ expiration of the Member's Medical Staff appointment and admitting privileges at the end of the current Medical Staff appointment, unless otherwise extended by the ~~Clinical Board with the approval of the Board of Directors~~ Chief of Staff. The Member shall be immediately notified by certified mail. In the event membership ~~terminates~~ automatically expires for the reasons set forth herein, the procedural procedures set forth in Article VIII shall not apply.

C. The reappointment form shall be supplemental to the original application for appointment or the most recent application for reappointment, and the applicant shall supply any information about himself/herself which is additional to that furnished on the original application form or that furnished on his/her most recent reappointment application. All application for reappointment forms shall contain the acknowledgments, authorizations and releases set forth in Article V, Section 3. Any request for a change in clinical privileges shall be included by the applicant on the reappointment form.

D. In addition, documentation of current Kentucky license, current federal narcotics registration, information regarding continuing education activities in which the applicant has participated since the last application, and one peer letter attesting to the applicant's ability to perform the privileges requested shall accompany the reappointment application.

E. A Medical Staff member who seeks a change in Medical Staff status or modification of clinical privileges may submit such a request at any time upon a form developed by the Chief of Staff, and properly completed, except that such application may not be filed within six (6) months of the time a similar request has been denied. The ~~Clinical Board~~Medical Staff Executive Committee, through the Medical Staff Office and Chiefs of Service/department Chairperson, will verify any training or instruction involved, and if the request is approved by the Board of Directors, provide for a provisional or proctoring period and then evaluate the clinical results of such period.

F. Upon completion of the reappointment application, the applicant shall submit it to his/her department chairperson, or in the case of health related professionals, the appropriate Chief of Clinical Service. The department chairperson (Chief of Clinical Service) shall, with respect to each application form, verify in writing on the form the accuracy of the information supplied by the applicant. The Department Chairperson (Chief of Clinical Service) shall review the applicant's professional performance in discussion with fellow faculty; review of divisional and departmental quality of care activities. In addition, the department chairperson (Chief of Clinical Service) from the information provided, obtained, and reviewed shall prepare a written recommendation concerning the applicant which shall include an evaluation of the applicant's abilities to carry out staff responsibilities and a specific delineation of proposed privileges. The department chairperson's (Chief's of Clinical Service) recommendation shall become a part of the application, at which time application shall be deemed verified and complete.

G. The department chairperson (Chief of Clinical Service) shall forward the application to the Chief of Staff~~,~~ who shall submit it to the Credentials Committee. The Credentials Committee, or an appropriate sub-committee thereof, shall obtain or inspect any and all records, letters of recommendation, performance improvement data, or other materials deemed pertinent. The Credentials Committee, with input and advice by the appropriate sub-committee, shall summarize its findings in the form of a recommendation including a delineation of clinical privileges which shall become a part of the application.

H. The Credentials Committee, with input and assistance by the appropriate sub-committee, shall forward the application to Chief of Staff who shall obtain or inspect any and all records, letters of recommendation, performance improvement data, or other materials deemed pertinent. The Chief of Staff shall summarize the findings in the form of a recommendation including a delineation of clinical privileges which shall become a part of the application.

I. The Chief of Staff shall forward the completed application to the ~~Clinical Board~~ Medical Staff Executive Committee.

J. The ~~Clinical Board~~ Medical Staff Executive Committee shall review the completed application and prepare its written recommendation to become a part of the application. All recommendations to appoint must also specifically recommend the clinical privileges to be granted, which may be qualified by probationary conditions relating to such clinical privileges.

K. The ~~Clinical Board~~ Medical Staff Executive Committee shall forward its recommendation through the Hospital Director to the Board of Directors.

L. At its next regular meeting, following receipt of the application from the Hospital Director, the Board of Directors shall act upon the application. Once the Board of Directors approves, modifies, or disapproves the application as submitted by the Hospital Director, including the recommended delineation of clinical privileges, it shall return the application to the Chief of Staff who shall notify the applicant in writing.

M. Upon receipt of the action of the Board of Directors on any application, the Chief of Staff shall send written notice to the Hospital Director, the ~~Clinical Board~~Medical Staff Executive Committee and the chairperson of the department concerned (Chief of Clinical Service).

N. All actions of the Board of Directors shall be effective when taken, including the delineation of clinical privileges.

~~O. Extension of Appointment.~~

~~If an application for reappointment has not been fully processed by the expiration date of the Member's appointment and is otherwise in order, the practitioner shall maintain membership status and clinical privileges until such time as the processing is completed, unless the delay is due to the Practitioner's failure to timely complete and return the reappointment application form or provide other documentation, in which case membership shall expire. Any extension of an appointment pursuant to this Section does not create a vested right in the practitioner for continued appointment through the entire next term but only until such time as processing of the application is concluded.~~

ARTICLE VI

CLINICAL PRIVILEGES

SECTION 1. Exercise of Privileges

Except as otherwise provided in these Bylaws, a Member of the Medical Staff with clinical privileges at the Hospital shall have access to the Hospital to exercise only those clinical privileges specifically granted. Clinical privileges must be within the scope of any license, certificate or other legal credential authorizing practice in Kentucky and consistent with any restrictions thereon, and shall be subject to the rules and regulations of the clinical department and the authority of the department chairperson (Chief of Clinical Service) and the Medical Staff. Each practitioner shall be assigned to the primary department in which clinical privileges are granted. In the event a practitioner receives a joint appointment, he/she shall apply for and, if granted, receive privileges in each department in which he/she is jointly appointed.

SECTION 2. Delineation of Privileges in General

A. Each applicant for appointment or reappointment to the Medical Staff must request the specific clinical privileges desired. All applications for clinical privileges, including modifications to existing privileges, must be supported by documentation of training and/or experience to demonstrate current competence.

B. Each member of the Medical Staff shall exercise only those clinical privileges specifically granted to him/her by the Board of Directors. Whenever patient needs exceed the limits of privileges granted, consultation is required.

C. Surgical procedures performed by dentists shall be under the overall supervision of the chief of surgery. A physician member of the Medical Staff shall be responsible for the treatment of any medical problem that may be present in a patient at the time of admission to the hospital or that may arise during the hospitalization of the patient.

D. A member of a ~~health related profession~~ independent licensed practitioner category may exercise only those clinical privileges specifically granted by the Board of Directors and may, subject to any licensure requirements or other legal limitations, exercise judgment within the areas of his/her professional competence. A member of a health related profession shall be directly responsible to the relevant Chief of Clinical Service and must be supervised during patient treatment by the physician or dentist attending the patient.

E. Medical Staff members desiring joint appointments shall have their requests to perform specific patient services evaluated and specifically delineated by the department(s) and specialty division(s) within which the services of the Medical Staff member will be provided.

SECTION 3. Basis for Privileges Determination

Requests for clinical privileges shall be evaluated on the basis of the Member's prior and continuing education, training, experience, demonstrated current professional competence and judgment, clinical performance, utilization practice patterns, current health status and ability to exercise clinical privileges and responsibilities, with or without reasonable accommodations, the Hospital's capability to support the privileges requested, adequate professional liability insurance coverage, and the documented results of patient care and other quality review and monitoring which the Medical Staff deems appropriate.

SECTION 4. Proctoring

Except as otherwise determined by the ~~Clinical Board~~ Medical Staff Executive Committee with the approval of the Board of Directors, all initial appointees to the Medical Staff and all Members granted new clinical privileges shall be subject to a period of proctoring. Each appointee or recipient of new clinical privileges shall be assigned to a department and division where performance of an appropriate number of cases, procedures or clinical encounters as established by the ~~Clinical Board~~ Medical Staff Executive Committee, or the department or division as the designee of the ~~Clinical Board~~ Medical Staff Executive Committee, as approved by the Board of Directors, shall be observed by the chairperson of the department or division, or the chairperson's designee, during a period of proctoring specified in the department's or division's rule and regulations, to determine suitability to continue to exercise the clinical privileges granted in that department or division. The exercise of clinical privileges in any other department or division shall also be subject to direct observation by that department's or division's chairperson or his/her designee. The Member shall remain subject to such proctoring until the ~~Clinical Board~~ Medical Staff Executive Committee has been furnished with:

A. a report ~~signed~~(which may be verbal) by the chairmen of the department(s) and division(s) to which the Member is assigned or his/her designee, describing the types and numbers of cases, procedures, clinical encounters observed and the evaluation of the Member's performance, a statement that(which may be verbal) the applicant appears to meet all of the qualifications for supervised or unsupervised practice in that department or division, has discharged all of the responsibilities of Medical Staff membership; and

B. a report ~~signed~~ (which may be verbal)by the chairmen of the other department(s) and division(s) in which the clinical privileges initially granted in those departments or his/her designee, that the practitioner may exercise clinical privileges, describing the types and number of cases, , procedures, clinical encounters observed and the evaluation of the practitioner's performance and a statement(which may be verbal) that the applicant has satisfactorily demonstrated the current competency and ability to exercise those privileges.

SECTION 5. Temporary Privileges

A. Upon receipt of an application for appointment to the Medical Staff from a physician, dentist or a member of a related health profession licensed to practice in the Commonwealth of Kentucky, the Chief of Staff may grant temporary privileges, provided:

1. The Chief of Staff, with assistance through the Medical Staff Office, verifies that the practitioner possesses an appropriate, current and unrestricted medical or professional ~~Kentucky~~ license; that the practitioner has appropriate education, training, experience, current competence, judgment and clinical skills to perform the clinical privileges requested. No action will be taken on a request for temporary privileges until such requirements are verified.

2. The Chief of Staff or the appropriate department or division chairperson has interviewed the applicant and has contacted at least two persons who have:

i. worked with the applicant during the prior twelve (12) months;

ii. directly observed the applicant's professional performance over a reasonable period of time; and who

iii. provide reliable information regarding the applicant's current professional competence and character.

3. an inquiry is made to the National Practitioner Data Bank; and

4. the applicant's department chairperson (Chief of Clinical Services) after reviewing the applicant's file and attached materials, recommends granting temporary privileges.

In exercising such temporary privileges, the applicant shall act under the general supervision of the chairperson (Chief of Clinical Service) of the department to which he/she is assigned. The Chief of Staff shall forward the application in accordance with Article V, Section 3 and shall notify, in writing, the Hospital Director and the applicant of the specific temporary privileges granted and their duration

B. Temporary privileges for the care of a specific patient may be granted to a physician or dentist licensed to practice in the Commonwealth of Kentucky who is not an applicant for membership to the Medical Staff, by the Chief of Staff. Such temporary privileges may be granted only after the Chief of Staff, with assistance through the Medical Staff Office, has:

1. Verified that the practitioner (1) possesses an appropriate, current and unrestricted medical or professional Kentucky license; that the Practitioner has appropriate education, training, experience, current competence, judgment and clinical skills to perform the clinical privileges requested. No action will be taken on a request for temporary privileges until such requirements are verified.

2. Received from the physician or dentist his/her signed acknowledgment that he/she received and read copies of the Medical Staff's Bylaws, Rules and Regulations, Behavioral Standards in Patient Care and the Medical Center's Corporate Compliance Policy and that he/she agrees to be bound by the terms thereof in all matters relating to his/her temporary privileges. The physician or dentist also shall acknowledge that the granting of temporary privileges shall not confer membership status. Such temporary privileges shall be restricted to a period not to exceed 30 days unless the Chief of Staff recommends a longer period for good cause.

C. Special conditions and requirements of supervision and reporting may be imposed by the department chairperson (Chief of Clinical Service) on any physician or dentist granted temporary privileges, which may include the following:

1. If granted temporary privileges, the practitioner shall act under the supervision of the department or division chairperson (Chief of Clinical Services) to which the practitioner has been assigned, and shall ensure that the chairperson, or the chairperson's designee, is kept closely informed as to his or her activities within the Hospital.

2. Temporary privileges shall automatically terminate at the end of the designated period, unless earlier terminated by the Chief of Staff or ~~Clinical Board~~ Medical Staff Executive Committee, or unless affirmatively renewed.

3. Requirements for proctoring and monitoring shall be imposed on such terms as may be appropriate under the circumstances upon any practitioner granted temporary privileges.

4. Temporary privileges may be immediately terminated at any time by the Chief of Staff ~~who~~ first shall notify the ~~after notifying~~ the chairperson of the department or division or his or her designee, if practicable, before terminating temporary privileges. In such cases, the appropriate department or Clinical Section Chief or, in the chairperson's/Chief's absence, the Chief of Staff shall assign a Member of the Medical Staff to assume the responsibility for the care

of such practitioner's patient(s). The wishes of the patient shall be considered in the choice of a replacement Medical Staff Member.

5. A practitioner shall not be entitled to the procedural rights afforded by Article VIII because a request for temporary privileges is refused or because all or any portion of temporary privileges are terminated or suspended.

6. All practitioners requesting or receiving temporary privileges shall be bound by the Bylaws, Rules and Regulations and Policies of the Medical Staff, Behavioral Standards in Patient Care and the ~~Hospital's~~Medical Center's Corporate Compliance Policy.

SECTION 6. Emergency Privileges

In the case of an emergency (i.e., a condition in which serious permanent harm would result to a patient or in which the life of a patient is in immediate danger and any delay in administering treatment would add to that danger), any physician or dentist to the degree permitted by his/her license and regardless of department or staff status or lack of it, shall be permitted and assisted to do everything possible to prevent serious permanent harm or to save the life of the patient, using every facility of the Hospital necessary, including calling for any consultation necessary or desirable. When an emergency situation no longer exists, such physician or dentist must request the privileges necessary to continue to treat the patient. In the event such privileges are denied or the physician or dentist does not desire to request privileges, the patient shall be assigned to an appropriate member of the Medical Staff.

ARTICLE VII

CRITERIA FOR RECOMMENDATIONS FOR APPOINTMENT AND REAPPOINTMENT TO MEDICAL STAFF AND RECONSIDERATION

SECTION 1. Criteria for Appointment and Reappointment to Medical Staff

Whenever a department chairperson (Chief of Clinical Service), Chief of Staff, the ~~Clinical Board~~Medical Staff Executive Committee, or the Board of Directors is or are called upon to review an application for appointment or reappointment to the Medical Staff and to make a recommendation or to take action concerning the application, the applicant shall be evaluated on the basis of the applicant's education, training, experience, clinical performance, competence and clinical judgment in the treatment of patients, ethics, conduct, attendance at Medical Staff meetings, participation in staff affairs, compliance with Hospital Policies, compliance with Medical Staff Bylaws and Rules and Regulations, cooperation with Hospital personnel, use of Hospital facilities for his/her patients, faithfulness in assigned department duties, relations with other practitioners, general attitude toward patients, compliance with Medical Center Behavioral Standards in Patient Care, mental and physical abilities to carry out staff responsibilities and any other areas of concern relevant to the practice of his/her profession.

SECTION 2. Reconsideration

A. At any time before a final action, any committee making a recommendation may reconsider and modify or rescind its recommendation as appropriate.

~~A~~B. Whenever an applicant for appointment or reappointment receives notice that his/her application for staff membership has been rejected or recommended for rejection at any level or that the clinical privileges delineated by the Board of Directors are at variance with those requested by the applicant, the applicant may request reconsideration of his/her application by an ad hoc committee. The ad hoc committee shall consist of three members of the ~~Clinical Board~~Medical Staff Executive Committee appointed by the Dean of the College of Medicine, three members of the Board of Directors appointed by the Board of Directors and three members of the Active Medical Staff appointed by the Chief of Staff. The request must be in writing and received within 10 business days following the applicant's receipt of notification. The applicant may request to be heard in his/her own behalf, but without being represented by counsel.

~~B~~C. The ad hoc committee shall reconsider the application and shall notify in writing the applicant and the decision making person or body of its recommended action which may be one of the following:

1. approval of the application for staff membership,
2. rejection of the application for staff membership,
3. further processing of a deferred application for staff membership,
4. continued deferral of an application for staff membership,
5. granting of all or part of the privileges requested by the applicant, or
6. denial of all or part of the privileges requested by the applicant.

C. The ad hoc committee's recommendation shall be promptly delivered to the Board of Directors, which shall take action on it at its next regular meeting. If the application for appointment or reappointment or increase of clinical privileges is denied for quality reasons, the applicant shall be entitled to the procedural rights in Article VIII.

ARTICLE VIII

CORRECTIVE ACTION, AND PROFESSIONAL REVIEW ACTIVITY HEARING AND APPEAL

SECTION 1. Corrective activities

A. Automatic Suspension

1. Automatic Suspension / Termination may be imposed upon a Medical Staff member by the Chief of Staff whenever:

a. The Medical Staff member, after receipt of a warning of delinquency for failure to complete medical records within 30 days of patient's discharge (See Part 2, Rules and Regulations, Medical Records) fails to complete the records. Such automatic suspension shall be temporary and effective until the records are complete and need not be followed by a written request for corrective action.

b. The medical staff member after receipt of a warning of delinquency for failure to abide by the medical staff policies regarding management of Diagnostic Radiology films, pictures, and other records persists in failure to abide by the policies and procedures for the maintenance and integrity of radiologic records. Such automatic suspension will be temporary and effective until the delinquency is corrected and need not be followed by a written request for corrective action.

c. The State Board of Medical Examiners, the State Board of Dentistry or other appropriate state licensing agency revokes or suspends or restricts a Medical Staff member's license to practice or places such Medical Staff member on probation. Such Automatic Suspension / Termination shall be effective at least until the Medical Staff member regains a full and unrestricted license to practice his/her profession.

d. The Medical Staff member's faculty or employment status at the University is terminated. The Medical Staff member shall notify the Chief of Staff whenever ~~said~~ his/her Medical Staff member's faculty or employment status is terminated. In the case of a full-time faculty member changing to a voluntary or part-time faculty member, his/her Medical Staff membership shall automatically change from active to associate, or voluntary and the Chief of Staff (or his/her designee)shall notify the relevant department chairperson (Chief of Clinical Service), the relevant Dean, the Hospital Director and the Chancellor.

5. The Medical Staff member violates the terms of an aftercare agreement.

6. If a Medical Staff member has been indicted for a felony, his/her membership may be Automatically Suspended. If a Medical Staff member has been convicted of, or pleads no contest to, a felony or crime arising out of the practice of medicine, that member shall be Automatically Suspended or Terminated.

2. Notification of Automatic Suspension / Termination.

Notification of the automatic suspension must be made in writing to the Medical Staff member, and the relevant department chairperson (Chief of Clinical Service).

C. No Right to a Hearing or Appeal under Article XI.

A Medical Staff member who has been subjected to Automatic Suspension/Termination under this Article shall not be entitled to any Hearing or Appeal, including that under Article XI of these Bylaws.

The Chief of Staff shall notify the National Practitioner Data Bank for automatic suspensions of more than thirty (30) days, and the appropriate state licensure board under the laws of the Commonwealth of Kentucky.

B. ~~Corrective Disciplinary or Clinical Concern Action~~Corrective Action Without Summary Suspension

1. Request for Corrective Activity Investigation

Whenever any member of the Medical Staff, including, without limitation, the Chief of Staff, (or his/her designee) the Chief of Clinical Service (department chairperson), the chairperson of any quality committee, any member of the ~~Clinical Board~~ Medical Staff Executive Committee, house officers, nursing, independent licensed practitioners and other staff personnel, as well as the Hospital Director or member of the Board of Directors, who has reason to believe that grounds exist may Request or seek a Request for a Corrective Activity Investigation.

2. Grounds.

A Request for Corrective Disciplinary or Clinical Concern Action may be made, based on information available at the time of the Request, where reasonable belief of any of the following grounds exist:

a. Clinical deficiencies including the failure by an Affected Practitioner to meet the Hospital's Standards of Quality Care, and or the Behavioral Standards in Patient Care, which may be considered in terms of frequency and/or severity.

b. Professional conduct, behavior or impairment not in the best interest of quality patient care, or a condition that places the Affected Practitioner or others at a risk of harm.

c. Behavior disruptive to the orderly operation of the Hospital, which may include, but is not limited to, verbal and/or physical actions, threats or other inappropriate behavior directed against patients, physicians, nurses other Hospital personnel or the public.

d. Recurrence of clinical and/or behavior problems. For purposes of establishing recurrence and/or pattern of problems, attention should focus on incidents most proximate in time to the request for Corrective Action, but other, more remote incidents may also be considered as relevant background.

e. Violation of the terms and conditions of any Corrective Action Plan or , Remedial Action Plan ~~or aftercare agreement~~.

f. Violation of the ~~Hospital's~~Medical Center's Corporate Compliance Program.

3. Form of Request

A written Request identifying or describing any act, incident, problem, deficiency or concern reasonably believed to constitute grounds, shall be signed by the Chief of Staff, Chief of Service (departmental chairperson), the Hospital Director or member of the Board of Directors.

4. Fact-finding Investigation

The Chief of Staff shall appoint a designee or Ad Hoc Fact-finding Committee, who are not members of the Medical Staff, to investigate the matter. The designee or Ad Hoc Fact-finding Investigation Committee shall review records and documentary material that are relevant or which could lead to relevant facts, including, but not limited to, medical records, quality assessment data, quality assessment/incident reports, complaints and reports.

The designee or Ad Hoc Fact-finding Investigation Committee may consult with third-party reviewer/consultant(s) regarding the investigation. The designee or Fact-finding Investigation Committee may interview any person with knowledge of any deficiency, problem, conduct, behavior or incident serving as grounds for the Request for Corrective Action. These interviews shall be confidential.

The designee or Ad Hoc Fact-finding Investigation Committee shall notify and conduct an interview with the Affected Practitioner, unless the Affected Practitioner declines. This interview is informal and does not constitute a hearing. The Affected Practitioner shall have an opportunity to discuss the subject matter of the Request for Corrective Action

The designee or Ad Hoc Fact-finding Investigation Committee shall make a written Report of its investigation to the ~~Clinical Board~~ Medical Staff Executive Committee. The Report shall indicate whether, based on the information obtained and/or reviewed during the investigation, sufficient factual support exists for Corrective Action to be considered, but it shall not make a specific recommendation as to what Corrective Action, if any, should be taken. The Report may inform the ~~Clinical Board~~ Medical Staff Executive Committee of additional incidents, deficiencies, problems or other relevant information learned in the course of investigation. If the investigation concludes there is no basis for the Request for Corrective Action, this should be reported to the ~~Clinical Board~~ Medical Staff Executive Committee which may dismiss the Request.

The Report shall include any information obtained and/or reviewed by designee or Ad Hoc Fact-finding Investigation Committee.

The Report shall be delivered to the ~~Clinical Board~~ Medical Staff Executive Committee within 30 business days from the date the Request was received, unless the designee or Ad Hoc Fact-finding Investigation Committee informs the Chief of Staff that it requires an additional 30 days to complete the investigation, because further information is reasonably requested.

6. Recommendation

The ~~Clinical Board~~ Medical Staff Executive Committee shall determine what action, if any, is to be taken and notify the Affected Practitioner.

7. Corrective Action Options

The following forms of corrective action are available to be taken against any member of the Medical Staff, and not limited to, include :

~~a.~~ oral or written warning to Medical Staff member;

b. formal written reprimand to Medical Staff member with notice to his/her immediate superior;

c. summary suspension of privileges;

~~d. automatic suspension of privileges~~

d. Putting the Affected Practitioner on probation according to the terms and conditions stated in a written Corrective Action Plan, which may include (but is not limited to):

(1) Education/Training/Re-training.
(2) Consultation or Second Opinion
(3) Monitoring/Proctoring
(4) Retrospective Review
(5) Psychiatric/Psychological Evaluation, Counseling, Treatment Therapy.

e. Reduction of some or all clinical privileges for less than thirty (30) days;

f. Reduction of some or all clinical privileges for more than thirty (30) days;

g. Suspension from the Medical Staff for less than thirty (30) days;

h. Suspension from the Medical Staff for thirty (30) days or more;

i. Revocation of Medical Staff appointment and/or privileges.

~~e. reduction of privileges;~~

~~f. revocation of privileges~~

The Chief of Staff (or his/her designee) shall notify the National Practitioner Data Bank for automatic suspensions of more than thirty (30) days, and the appropriate state licensure board under the laws of the Commonwealth of Kentucky.

Section 2 Corrective Action with Summary Suspension.

1. Grounds

Whenever reasonable belief exists that immediate action must be taken in the interest of quality care or to protect the safety of patients, other practitioners, Hospital employees, and personnel, the Affected Ppractitioner or to others because of the risk of harm, the Chief of Staff (or his/her designee), or the Chief of Clinical Service (department chairperson), or the Hospital Director, or the ~~Clinical Board~~Medical Staff Executive Committee,, or the Board of Directors shall each have the authority to suspend all or any portion of the Affected Practitioner's clinical privileges and/or Medical Staff appointment. Summary suspension may be instituted at any time, including during the pendency and processing of a Request for Corrective Action Investigation, described in Article ~~VIII, Section 1.B~~X, section 1.

2. Immediate Effect and Coverage Arrangement

Summary suspension shall be effective immediately upon imposition. The Chief of Staff (or his/her designee) and/or Chief of Clinical Services (department chairperson) shall arrange for appropriate alternate coverage by a member of the medical staff to patients of the Affected Practitioner, so that continuity of care is not interrupted or compromised.

3. Notice

Notice to the Affected Practitioner may first be made orally, but must be in writing and delivered to the Affected Practitioner in person or by certified mail within 24 hours. The notice shall identify or describe any act, incident, problem, deficiency or risk that is reasonably believed to constitute grounds for Summary Suspension and shall inform the Affected Practitioner of his/her right to request a Hearing, within ~~thirty (30)~~twenty one (21) business days from the date he/she first is notified that Summary Suspension has been imposed. A copy of the written notice shall be delivered as soon as practicable to the ~~Clinical Board~~Medical Staff Executive Committee, the Chief of Clinical Service (department chairperson) and the Hospital Director.

4. Request for Summary Suspension Reconsideration

~~a.~~ The Affected Practitioner whose privileges and/or appointment have been summarily suspended may request a reconsideration before the Chief of Staff by delivering a written request to the Chief of Staff within 24 hours from the date and time the Affected Practitioner first received written notice that his/her privileges and/or appointment have been summarily suspended.

5. Corrective Action Options for a Practitioner who has been Summarily Suspended

An Affected Practitioner, who has been Summarily Suspended under this Section, shall be subject to the same Corrective Action options, which may be recommended at the hearing and acted upon by the Board, that are described in Section 1, 7 of this Article.

5. Summary Suspension Reporting

Any Summary Suspension in effect for fourteen (14) days or longer shall be reported to appropriate licensure board under the laws of the Commonwealth of Kentucky by the Chief of Staff (or his/her designee), and if in effect for thirty (30) days or longer shall be reported to the National Practitioner Data Bank by the Chief of Staff (or his/her designee).

D. Voluntary Remediation

1. It is in the best interest of the Hospital, through its Medical Staff, to enhance patient care quality and for issues or potential issues involving the clinical competency and/or conduct or behavior of practitioners to be identified early and, if possible, remedied in a productive manner. Depending on the particular circumstances presented, determined on a case-by-case basis, remediation may be sought by voluntary, non-confrontational and informal means, rather than by formal Corrective Action.

2. Voluntary Remediation may be appropriate when a problem or potential problem, though cause for concern, may or may not constitute grounds for formal Corrective Action and is of such a nature that voluntary measures can be taken to resolve it. Nothing in this Article, however, limits or restricts in any way the taking of Corrective Action, at any time when warranted, nor shall Voluntary Remediation be interpreted as a mandatory first step or pre-condition to taking Corrective Action.

3. Voluntary Remediation is an authorized peer review activity of the Hospital and its Medical Staff. It can, depending on circumstances, function through a variety of ways, including, but not limited to, informal interviews between a practitioner with the Chief of Staff (or his/her designee)and/or the ~~Clinical Board~~Medical Staff Executive Committee. It may involve the use of outside consultants, reviewers, medical practitioners, counselors/therapists, mediators and monitors. Those participating in Voluntary Remediation shall be deemed agents of the Hospital. Voluntary Remediation sessions shall not constitute a formal Corrective Action Hearing. No attorneys shall attend any Voluntary Remediation session. Voluntary Remediation sessions, those participating in them and the data presented are considered to be peer review protected by the

confidentiality and immunity provisions under these Bylaws, as well as by federal and Kentucky law.

4. Any of the following -- the Chief of Staff or the Hospital Director (or his/her designee) or the Chairman (Chief of Clinical Services) or other physician -- may request Voluntary Remediation.

5. Voluntary Remediation, which may include, but is not limited to, education, training, monitoring, psychiatric and/or medical evaluation, counseling, treatment or therapy, may be continued, as warranted, with the goal, if reason exists, of having the ~~physician~~ practitioner voluntarily sign a Remedial Action Plan that outlines what steps that physician needs to take to remedy the problem. The Remedial Action Plan may also contain language providing for Corrective Action if the terms of the Voluntary Remedial Action Plan are violated.

6. A copy of the Remedial Action Plan shall be kept in the practitioner's credentialing file. As a product of peer review, it shall be marked "Confidential Peer Review Document" and shall not be disclosed or released to any party without written authorization by the practitioner, unless disclosure is required by applicable law.

7. Because Voluntary Remediation does not constitute a "professional review activity," as described by the Health Care Quality Improvement Act of 1986. ~~Voluntary Remediation~~ it shall not be deemed a reportable event to the State Medical Board of Kentucky or to the National Practitioners Data Bank.

B. Practitioner Assistance.

1. The Hospital and its Medical Staff recognize that, on occasion, a practitioner may become impaired. It is the intent to promptly identify, treat and correct impairment or a condition that may lead to impairment in a confidential, dignified and sensitive manner.

2. When impairment is reasonably suspected, the Chief of Staff (or his/her designee) shall investigate the issue. The Practitioner Effectiveness committee may assist the Chief of Staff in the evaluation process

3 Nothing in this Article shall limit or restrict, in any way, the taking of Corrective Action, at any time when warranted, nor shall referral to the Practitioner Effectiveness committee be interpreted as a mandatory first step or pre-condition to taking Corrective Action.

4. Notwithstanding this Article, a practitioner's violating the terms of an aftercare agreement shall result in an automatic suspension or termination, without the right to a Hearing or Appeal, as provided in Article IX, Section A.5. of these Bylaws.

SECTION 2 PROFESSIONAL REVIEW ACTIVITY HEARING AND APPEAL

A. Right to Hearing

1. No Right to Hearing. The following Practitioners shall not be entitled to a Professional Review Activity Hearing:

a. An applicant or practitioner whose application, appointment and/or privileges has lapsed, expired or Automatically Suspended / Terminated.

b. An applicant who does not have his/her application for appointment and/or clinical privileges granted because that applicant does not meet the minimum prescribed training, education and experience requirements necessary to qualify for appointment and/or to exercise privileges.

c. An Affected Practitioner for whom Corrective Action has been imposed that does not revoke, restrict or limit his/her Medical Staff membership and/or ability to exercise clinical privileges for (thirty) 30 days or more and is, thus, not reportable to the applicable licensure board under the laws of the Commonwealth of Kentucky, nor the National Practitioner Data Bank, according to the Health Care Quality Improvement Act of 1986 and the regulations promulgated thereunder, as each may be amended from time to time.

2. Right to a Professional Review Activity Hearing. The following Practitioners shall be entitled to request a Professional Review Activity Hearing:

a Any Practitioner whose appointment or reappointment to the Medical Staff has been denied because of quality and/or behavioral reasons or concerns.

b. Any Practitioner whose clinical privileges have been curtailed, Summarily Suspended, revoked, restricted or denied because of quality and/or behavioral reasons or concerns.

c. Any Practitioner who has received any adverse Corrective Action recommendation from the ~~Clinical Board~~ Medical Staff Executive Committee that would affect that Practitioner's Medical Staff membership and/or ability to exercise clinical privileges (thirty) 30 days or more, and if imposed, constitute a "professional review action" reportable to the National Practitioner Data Bank, according to the Health Care Quality Improvement Act of 1986 and the regulations promulgated thereunder, as each may be amended from time to time.

B. Request for A Professional Review Activity Hearing

1. The Affected Practitioner must request in writing a Professional Review Activity Hearing. The Request must be delivered to the ~~Clinical Board~~ Medical Staff Executive Committee through the Chief of Staff (or his/.her designees) within (thirty) 30 calendar days from the date notified of an action that gives rise to a right to a Professional Review Activity Hearing.

2. Failure by the Affected Practitioner to request a Professional Review Activity Hearing in writing within the time required above shall constitute a waiver.

C. Scheduled Professional Review Activity Hearing

1. A Professional Review Activity Hearing shall be scheduled no early than 30 days and no later than 60 days following receipt of the Request for Professional Review Activity Hearing by the Affected Practitioner.

2. The ~~Clinical Board~~ Medical Staff Executive Committee shall notify the Affected Practitioner of the date, time and place of the scheduled Professional Review Activity Hearing.

3. Either the Affected Practitioner or the ~~Clinical Board~~ Medical Staff Executive Committee may, for good cause, request a continuance of the Professional Review Activity Hearing. Both parties shall cooperate in good faith in re-scheduling the hearing at a mutually-convenient time.

D. The Hearing Body

1. The ~~Clinical Board~~ Medical Staff Executive Committee or a hearing panel appointed by it shall conduct the hearing. Members shall be entitled to all protection and immunity afforded by Federal and Commonwealth law.

2. No member of the ~~Clinical Board~~ Medical Staff Executive Committee or a hearing panel appointed by it shall be in direct competition with the Affected Practitioner.

E. Hearing Officer.

1. The ~~Clinical Board~~ Medical Staff Executive Committee may appoint an attorney to act as a hearing officer for purposes of conducting the hearing process.

2. The hearing officer may answer procedural questions and other questions as related to these Bylaws and federal and Commonwealth legal requirements, but he/she shall not vote or otherwise participate in any deliberation (other than to answer procedural questions by hearing panel members) resulting in a recommendation made.

F. Exchange of Exhibits and Witness Lists

1. The Affected Practitioner and the ~~Clinical Board~~ Medical Staff Executive Committee or hearing panel shall exchange proposed Exhibit and Witness lists as soon as reasonably practicable, but no later than 5 business days prior to the scheduled hearing. Each party shall inform the other of any changes in the Exhibit or Witness lists prior to the hearing.

2. Documents, if necessary, may be reproduced, provided that reasonable precautions are taken to ensure their confidentiality, since these documents shall be considered matters of peer review.

G. Due Process and Fairness Rights

1. The Professional Review Activity Hearing is a confidential peer review action that shall be closed to the public.

2. The Affected Practitioner has the right to be present at the Professional Review Activity Hearing. Failure to be present without good cause shall constitute a waiver to the right of a Professional Review Activity Hearing.

3. The Affected Practitioner requesting the hearing shall be entitled to be represented at the hearing by an attorney or any other person of the practitioner's choice. The attorney or other person representing the practitioner may participate fully in the hearing.

4. The Chief of Staff (or his/her designee), who shall present the case on behalf of the Hospital and its Medical Staff, shall be represented by an attorney.

5. Both parties shall have the opportunity to submit written memoranda at the beginning and at the conclusion of the Professional Review Activity Hearing.

6. Both parties shall have the opportunity to make opening statements and closing arguments.

7. Both parties shall have the opportunity to introduce written exhibits and testimony of witnesses in the form of reliable reports and/or direct and cross examination, which may include rebuttal and impeachment. Formal rules of evidence that would apply in a court of law need not be strictly followed; however, documents and testimony should be relevant and may be excluded by the hearing officer if not relevant or helpful or if duplicative.

8. The Hospital, through the Chief of Staff(or his/her designee), shall proceed first in the presentation of the case, unless otherwise agreed by the parties and the ~~Clinical Board~~ Medical Staff Executive Committee.

9. The ~~Clinical Board~~ Medical Staff Executive Committee may ask questions of both parties at any time.

10. The burden of proof of showing, by a preponderance of evidence, that the Corrective Action is not warranted shall rest with the Affected Practitioner

11. A record, by stenographic or audio means, shall be made of the entire Professional Review Activity Hearing.

H. Recess and Need for Additional Information.

1. It is the intent to complete a thorough and fair Professional Review Activity Hearing in as few of sessions and as quickly as practicable unless circumstances and fairness warrant the need for additional sessions and time.

2. The chairperson of the ~~Clinical Board~~ Medical Staff Executive Committee or hearing panel may recess the hearing and reconvene the same within fifteen (15) days for the convenience of the participants or for the purpose of obtaining new or additional evidence or consultation, all without special notice.

I. Deliberation and Report

1. Upon conclusion of the presentation of oral and written evidence, the hearing shall be closed. The ~~Clinical Board~~ Medical Staff Executive Committee or hearing panel may, at a time convenient to itself, conduct its deliberations outside the presence of the Affected Practitioner for whom the hearing was convened.

2. Within fifteen (15) calendar days of the final adjournment of the hearing, the ~~Clinical Board~~ Medical Staff Executive Committee or hearing panel shall make a written report and recommendation to the Board of Directors. Such report and recommendation shall include a statement of the basis for the recommendation. The report may recommend confirmation, modification, or rejection of the adverse action. A copy of that report and recommendation shall be sent to the Affected Practitioner on the same day it is forwarded to the Board of Directors.

3. The Affected Practitioner shall have fifteen (15) calendar days from the date he/she receives a copy of the report and recommendation to submit a written appeal to the Board of Directors with a copy to the Medical Staff Executive Committee, which may submit a written reply to the Affected Practitioner's written appeal.

J. Final Action by the Board of Directors

1. Within thirty (30) calendar days after receipt of the report and recommendation, the Board of Directors shall meet at a regular or special meeting to consider the report and recommendation, as well as the Affected Practitioner's written appeal and the Medical Staff Executive Committee's written reply, and render a written decision in the matter, including a statement of the basis for the Board's decision, and shall forward a copy of its decision to the Hospital Director for transmittal to the practitioner for whom the hearing was held. The decision by the Board of Directors is final

2. Any reporting to the National Practitioner Data Bank and/or applicable licensure board under the laws of the Commonwealth of Kentucky shall be made by the Board of Directors through the Chief of Staff (or his/her designee).

ARTICLE IX

CHIEF OF STAFF

SECTION 1. Qualifications and Selection

The Chief of Staff shall be a member of the Active Medical Staff. A qualified and competent candidate for the position of Chief of Staff shall be nominated by the Dean of the College of Medicine and the Director of University Hospital, recommended by the ~~Clinical Board~~Medical Staff Executive Committee, and appointed in accordance with University Governing Regulations.

SECTION 2. Term of Office and Removal

A. The Dean and Hospital Director, shall periodically review and evaluate the duties, activities, performance, accomplishments and appointment of the Chief of Staff. Such review shall be completed at least annually.

B. Removal

~~The Chief of Staff may, at any time, be removed at the discretion of the University.~~ Except in cases of financial emergency, the termination of the Chief of Staff prior to the expiration of appointment , shall be, in accordance with KRS 164.230, only for reasons of incompetence, neglect of or refusal to perform duties, or for immoral conduct. (AR II-1.0-1)

SECTION 3. Vacancies in Office

A. In the event the Chief of Staff should be temporarily unable to fulfill the duties of the office for a period of no more than four (4) months, the duties shall be assumed by an acting Chief of Staff appointed by the Dean, and reported to the Hospital Board of Directors and University Board of Trustees.

B. In the event the position becomes permanently vacant, an Acting Chief of Staff shall be nominated by the Dean of the College of Medicine of the University of Kentucky and the Director of University Hospital, recommended by the ~~Clinical Board~~Medical Staff Executive Committee, and appointed in accordance to University Governing Regulations. Within one year from the time the post becomes vacant, a permanent appointment shall be made or a written review of the reason why an acting appointment must be continued for an additional period shall be made to the ~~Clinical Board~~Medical Staff Executive Committee, and University Officials as defined in University of Kentucky Governing Regulations.

SECTION 4. Duties of the Chief of Staff

The Chief of Staff shall serve as the Chief Administrative Officer of the Medical Staff. Duties of the Chief of Staff include, but are not limited to:

A. acting in coordination and cooperation with the Hospital Director in all matters of mutual concern within the Hospital;

B. serving in the absence of the Dean as Chairman of the ~~Clinical Board~~ Medical Staff Executive Committee;

C. calling, being responsible for the agenda for all regular and special meetings of the Medical Staff and the ~~Clinical Board~~Medical Staff Executive Committee;

D. serving as ex-officio member of all other Medical Staff committees without vote;

E. being responsible for the enforcement of Medical Staff Bylaws and Rules and Regulations, for implementation of corrective action where these are indicated, and for the Medical Staff's compliance with procedural safeguards in all instances where corrective action has been requested against a practitioner;

F. annually recommending to the Dean for appointment, committee chairmen and committee members to all standing, special and multi-disciplinary Medical Staff committees except the ~~Clinical Board~~Medical Staff Executive Committee;

G. representing the views, policies, needs and grievances of the Medical Staff to the Hospital Director;

H. being responsible for the continuing educational activities of the Medical staff;

I. representing the views, policies, and needs of the Medical Staff to the Administration of the University of Kentucky Medical Center; and being the spokesman for the Medical Staff in its external professional and public relations;

J. in cooperation with the office of the Hospital Director, maintaining accurate up-to-date files on all staff members, which shall include all application and reapplication forms, recommendations, evaluations and any other information pertinent to the medical staff members functions and membership status;

K. ~~r~~Requesting from National Practitioner Data Bank and State Licensure Boards information regarding Medical/Dental and related Health Professions Practitioners at the time of application for medical staff or clinical privileges; and biannually at the time of reappointment thereafter and bringing information so obtained to the attention of the ~~Clinical Board~~ Medical Staff Executive Committee at the time of appointment or reappointment;

L. rReporting to National Data Bank, State Licensure Board and other organizations as required by law (1) restriction, reduction, cancellation or non-renewal of privileges for Quality Care reasons; (2) malpractice settlements or judgments; and.

M. dDelegating duties and activities as deemed necessary and appropriate.

ARTICLE X

ORGANIZATIONAL STRUCTURE AND OPERATION

SECTION 1. Departmental Organization

The direct patient care segment of the University Hospital, administrative organization shall be structured parallel to the major clinical activities of the Chandler Medical Center. The Clinical Departments shall be as follows:

Anesthesiology
Dentistry
Emergency Medicine
Family Practice
Internal Medicine
Neurology
Obstetrics/Gynecology
Ophthalmology
Pathology
Pediatrics
Physical Medicine & Rehabilitation
Preventive Medicine & Environmental Health
Psychiatry
Diagnostic Radiology
Radiation Medicine
Surgery

SECTION 2. Functions of Departments

Subject to the authority of the ~~Clinical Board~~ Medical Staff Executive Committee and Board of Directors, departments/services shall perform the following, delegated functions:

A. oversee the provision, evaluation and improvement of quality patient care and periodically report to the ~~Clinical Board~~Medical Staff Executive Committee;~~.~~

B. require and provide appropriate continuing medical and professional education of Practitioners, residents, medical students, health related professional staff members, nursing and other health personnel;~~.~~ and

C. review and recommend for approval by the ~~Clinical Board~~ Medical Staff Executive Committee and Board of Directors rules, regulations, policies and standards regarding qualifications and requirements for determining current competence, credentialing, governing, promoting effective interdisciplinary communication and function, and governance. These recommendations, which must be consistent with these Bylaws, and the Medical Staff Rules, Regulations and Policies, the Behavioral Standards in Patient Care, as well as the Hospital's Rules, Regulations and Policies, shall not be effective until reviewed and approved by the ~~Clinical Board~~Medical Staff Executive Committee and the Board of Directors.

SECTION 3. Chiefs of Services/Chairpersons

A. Each Chief of Service shall be Board Certified, or demonstrate equivalent competence and shall be a member in good standing of the Active Medical Staff.

B. Chiefs of the Clinical Services within the University Hospital shall usually be those appointed as Chairmen of the respective departments, and/or divisions, in the Colleges of Medicine and Dentistry with concurrence of the ~~Clinical Board~~Medical Staff Executive Committee and confirmation by the Board of Directors. In unusual circumstances, an individual may be made chief of a clinical service who is not a department or division chairperson. Such appointments shall be made by the deans of the specific colleges, subject to approval by the ~~Clinical Board~~Medical Staff Executive Committee and the Board of Directors in accordance with the selection qualification criteria and process described in the Governing Regulations.

C. Every person appointed to be a Chief of Service and/or department chairperson shall, prior to his/her beginning service, undergo an orientation and training, at which time duties, responsibilities and expectations of the office shall be reviewed.

SECTION 4. Duties of the Chief of Service/Department Chairperson

The Chiefs of Services/Department Chairperson shall have corporate responsibility for the care and treatment of the patients in their departments. Responsibilities of Chief of Service/Department Chairperson includes:

A. Membership on the ~~Clinical Board~~Medical Staff Executive Committee.

B. All clinically related activities of the department to include:

1. Continuous assessment and improvement of the quality of care and services provided.

2. Recommending to the ~~Clinical Board~~Medical Staff Executive Committee clinical privileges for each member of the department.

3. Continuous surveillance of the professional performance of all individuals in the department who have delineated clinical privileges.

4. Recommending to the medical staff criteria for clinical privileges relevant to the care provided in the department.

5. Determining the qualifications and competence of department or service personnel who are not licensed practitioners and who provide patient care services, unless otherwise provided for by the Hospital.

C. All administratively related activities of the department to include:

1. Acting as the presiding officer at departmental meetings.

2. Oversight responsibility for education and research programs in the department.

3. Orienting staff to Medical Staff Bylaws, Rules and Regulations; Hospital Policies Behavioral Standards in Patient Care and the ~~Hospital~~Medical Center's Corporate Compliance Policy as applicable to practitioners; and enforcing bylaws, rules, regulations, policies, and procedures within the department.

4. Integrating the department into the primary functions of the Hospital.

5. Coordinating and integrating interdepartmental and intradepartmental services.

6. Participating in every phase of administration of the department through promoting interdepartmental and interdisciplinary communication including, without limitation, cooperation with the Nursing Service and the Hospital Administration in matters affecting patient care, including personnel, supplies, special regulations, standing orders and techniques..

7. Assessing and recommending to the ~~Clinical Board~~Medical Staff Executive Committee or the Hospital, through the Chief of Staff or Hospital Director, off-site sources of needed patient care service not provided by the department and/or the Hospital or Kentucky Clinic.

8. Recommending a sufficient number of qualified and competent persons to provide care and service.

9. Maintaining quality control programs as appropriate.

10. Oversight to ensure that members of the department or service receive appropriate continuing medical education.

11. Considering appointing an Associate Chief of Service who shall, in case of the Chief of Service's incapacity or absence from the community, assume the duties of Chief of Service. This Associate shall be identified to the Dean, the Chief of Staff and the Hospital Director. The Associate Chief shall be the only acceptable alternate to attend ~~Clinical Board~~ Executive Committee meetings.

SECTION 5. Term of Office, Evaluation and Removal

The term of office shall be in accordance with the terms prescribed in the University's Governing and Administrative Regulations.

SECTION 6. Vacancies

In the event a Chief of Service is temporarily unable to fulfill the duties of office, such duties shall be assumed by the Associate Chief of Service. In the event the position becomes permanently vacant, the Associate Chief of Service shall serve as Acting Chief of Service until such time as a new Chief of Service is appointed according to the procedure described in Section 3.

ARTICLE XI

COMMITTEES

SECTION 1. ~~Clinical Board~~ Medical Staff Executive Committee

There shall be an executive committee of the medical staff called the ~~Clinical Board~~ Medical Staff Executive Committee (which previously had been called the Clinical Board)..

SECTION 2 Composition

The ~~Clinical Board~~ Medical Staff Executive Committee shall consist of the Chiefs of the Clinical Services, the Director of the University Health Service, the Dean and Chief of Staff of the College of Medicine, and the Hospital Director. The Deans of all the Colleges of the Medical Center, the Chief Operating Officer of the Group Practice Governance Council, ~~the Director of the University Health Service~~, the Associate Dean for Veterans Affairs, the Director of Nursing of University Hospital, Director of the Lucille Parker Markey Cancer Center, Director of Sanders-Brown Center on Aging, and the Chancellor for the Medical Center (or their respective designates) shall be ex-officio without vote.

The Dean of the College of Medicine shall serve as the Chairman of the ~~Clinical Board~~ Medical Staff Executive Committee; the Hospital Director shall serve as Secretary.

SECTION 3 Functions

A. The ~~Clinical Board~~ Medical Staff Executive Committee is empowered to transact business on behalf of the medical staff and to act for the medical staff in the intervals between medical staff meetings. The ~~Clinical Board~~ Medical Staff Executive Committee shall receive and act on reports and recommendations from medical staff committees, clinical departments, and assigned activity groups. The ~~Clinical Board~~ Medical Staff Executive Committee shall be responsible for making recommendations on matters pertaining to medical staff and related issues directly to the Hospital Board of Directors for its approval.

B. Recommendations shall pertain to at least:

1. The Medical Staff structure.

2. Appointment of a Medical Staff representative to serve and participate on the Hospital Board of Directors.

~~2~~3. The mechanism used to review credentials and to delineate individual practitioner privileges.

~~3~~4. Granting of Medical Staff membership.

~~4~~5. The specific delineation of clinical privileges for each eligible practitioner.
~~5~~6. The participation of the Medical Staff in organization performance-improvement activities.
~~6~~7. The mechanism for Medical Staff membership termination.
~~7~~8. The mechanism for fair-hearing procedures.
~~8~~9. The modification of medical policy and programs.

D. Meetings

The ~~Clinical Board~~Medical Staff Executive Committee shall meet ~~at least ten times per year~~ as often as necessary in order to fully discharge its duties and responsibilities in a timely, efficient manner. Minutes of the ~~Clinical Board~~ Medical Staff Executive Committee shall be forwarded to the Hospital Board of Directors. Those members attending and capable of voting shall constitute a quorum.

ARTICLE XII

MEDICAL STAFF MEETINGS

SECTION 1. Regular Meetings

A. An annual meeting shall be held in June or another suitable date. The agenda of such meeting shall include review of activity and accomplishments of the past year and plans for the coming year by the Chief of Staff, the Hospital Director, Chief Operating Officer of the ~~Group Practice Governance Council~~ University Physicians Governing Council, and the Dean of the College of Medicine. Complex reviews and reports shall be provided in writing. Appropriate new and old business shall be transacted.

B. Other regular meetings may be held during each fiscal year. These meetings may consist of brief reports by the Dean, the Hospital Director, the Director of the Kentucky Clinic and the Chief of Staff. Any necessary business of the medical staff may be conducted.

C. The agenda of the required meeting may be adjusted in order to provide opportunity for the staff to receive a scientific presentation or another pertinent presentation of general interest. In this event, reports which would have otherwise been made, shall be made available to staff by other means.

SECTION 2. Special Meetings

A. The Dean or Chief of Staff may call a special meeting of the Medical Staff at any time. The Dean or Chief of Staff shall call a special meeting within thirty days after receipt by him/her of a written request for same, signed by not less than one-fourth of the active staff and stating the purpose of such meeting. The Chief of Staff shall designate the time and place of any special meeting.

B. Written or printed notice stating the purpose, the place, day and hour of any special meeting of the active Medical Staff shall be delivered, either personally or by mail, to each member of the active staff not less than seven nor more than thirty days before the date of such meeting, by or at the direction of the Chief of Staff (or other persons authorized to call the meeting).

SECTION 3. Quorum

The presence of those members in good standing, present and attending, and capable of voting shall constitute a quorum, for all other actions. If an appropriate quorum is not present, the ~~Clinical Board~~ Medical Staff Executive Committee shall, at its next meeting, act for the staff on all issues requiring vote.

SECTION 4. Attendance Requirements

Each member of the Active and Associate Medical Staff shall be required to attend the regular meetings of the Medical Staff. A member who is compelled to be absent from any regular staff meeting shall promptly ~~submit to~~ notify the Chief of Staff ~~in writing,~~ of his/her reason for such absence. Unless excused for cause by the Chief of Staff, the failure to meet the foregoing annual attendance requirements shall be grounds for action possibly leading to automatic transfer of Medical Staff Category or revocation of Medical Staff membership. Reinstatement of members whose membership has been revoked because of absence from staff meetings shall be made only upon application, and all such applications shall be processed in the same manner as applications for original appointment.

SECTION 5. Parliamentary Authority

All meetings of the Medical Staff shall be conducted according to Robert's Rules of Order, Revised, except in cases where such rules are inconsistent with these Bylaws.

SECTION 6. Manner of Action

The action of a majority of the members present at a meeting at which a quorum is present shall be the action of a committee or department. Action may be taken without a meeting by unanimous consent in writing (setting forth the action so taken) signed by each member entitled to vote thereat.

SECTION 7. Minutes

Minutes of each regular and special meeting of a committee or department shall be prepared and shall include a record of the attendance of members and the vote taken on each matter. The minutes shall also show whether any member recused himself/herself from voting on any matter or participating in [illegible]on in which that member may have a conflict or duality of interest. The minutes shall be signed by the Dean and copies thereof shall be promptly submitted to the attendees for approval and after such approval is obtained, forwarded to the Chief of Staff. Medical Staff Committee Minutes shall also be forwarded to the ~~Clinical Board~~Medical Staff Executive Committee and Hospital Director for appropriate review and action. Each committee and department shall maintain a permanent file of the minutes of each meeting.

ARTICLE XIII

COMMITTEE AND DEPARTMENT MEETINGS

SECTION 1. Regular Meetings

Committees may, by resolution, provide the time for holding regular meetings without notice other than such resolution. Departments shall hold regular meetings at least ten times a year to review and evaluate the clinical work of practitioners with privileges in the department. Reports of all committee and departmental meetings shall be forwarded to the Chief of Staff within fifteen days of the meeting.

SECTION 2. Special Meetings

A special meeting of any committee or department may be called by or at the request of the Chairperson; by the Chief of Staff; or by one-third of the group's then members, but not fewer than two members.

SECTION 3. Notice of Meetings

Written or oral notice stating the place, day and hour of any special meeting or of any regular meeting not held pursuant to resolution shall be given to each member of the committee or department not less than five days before the time of such meeting, by the person(s) calling the meeting.

SECTION 4. Quorum

Members in good standing of the active Medical Staff members of a committee or department, but not fewer than two members, shall constitute a quorum at any meeting.

SECTION 5. Manner of Action

The action of a majority of the members present at a meeting at which a quorum is present shall be the action of a committee or department. Unless otherwise specified, action may be taken without a meeting by unanimous consent in writing (setting forth the action so taken) signed by each member entitled to vote thereat. Certain action may be taken by committees, in the absence of a meeting by a written vote of two-thirds of the members of the committee, as specified in the Rules and Regulations.

SECTION 6. Rights of Ex-Officio Members

Persons serving under these Bylaws as ex-officio members of a committee shall have all rights and privileges of regular members except they shall not be counted in determining the existence of a quorum and they shall not be entitled to a vote.

SECTION 7. Minutes

Minutes of each regular and special meeting of a committee or department shall be prepared and shall include a record of the attendance of members and the vote taken on each matter. Minutes shall also show whether a member recused himself/herself from voting on any matter. The minutes shall be signed by the presiding officer and copies thereof shall be promptly submitted to the attendees for approval and after such approval is obtained, forwarded to the Chief of Staff. Medical Staff Committee Minutes shall also be forwarded to the ~~Clinical Board~~ Medical Staff Executive Committee and Hospital Director for appropriate review and action. Each committee and department shall maintain a permanent file of the minutes of each meeting.

ARTICLE XIV

CONFIDENTIALITY AND IMMUNITY FROM LIABILITY

The following shall express conditions to any practitioner's application for, or exercise of, clinical privileges at this Hospital:

First, that any act, communication, report, recommendation, or disclosure, with respect to any such practitioner, performed or made in good faith and without malice and at the request of any authorized representative of this or any other health care facility, for the purpose of achieving and maintaining quality patient care in this or any other health care facility, shall be confidential/privileged to the fullest extent permitted by law.

Second, that such privilege shall extend to members of the Hospital's Medical Staff and of its governing body, its other practitioners, its executive officers and representatives and to third parties, who supply information to any of the foregoing authorized to receive, release, or act upon the same. For the purpose of this Article IV, the term "Third Parties" means both individuals and organizations from whom information has been requested by an authorized representative of the governing body or of the Medical Staff.

Third, that there shall, to the fullest extent permitted by law, be absolute immunity from civil liability arising from any such act, communication, report, recommendation, or disclosure, even where the information involved would otherwise be deemed privileged.

Fourth, that such immunity shall apply to all acts, communications, reports, recommendations, or disclosures performed or made in connection with this or any other health care institution's activities related, but not limited to:

- applications for appointment or clinical privileges,
- periodic reappraisals for reappointment or clinical privileges,
- corrective action, including summary suspension,
- hearing and appellate reviews,
- medical care evaluations,
- utilization and ~~PSRO~~ PRO reviews,
- other Hospital, departmental, service or committee activities related to quality patient care and inter-professional conduct.

Fifth, that the acts, communications, reports, recommendations and disclosures referred to in this Article IV may relate to a practitioner's professional qualifications, clinical competency, character, mental or emotional stability, physical condition, ethics, or any other matter that might directly or indirectly have an effect on patient care.

Sixth, that in furtherance of the foregoing, each practitioner shall upon request of the Hospital execute releases in accordance with the tenor and import of this Article IV in favor of the individuals and organizations specified in paragraph "second", subject to the requirements, of good faith and absence of malice.

Seventh, that the consents, authorizations, releases, rights, privileges and immunities provided by Article V, Section 1.a. of these Bylaws for the protection of this Hospital's practitioners, other appropriate Hospital officials and personnel and third parties, in connection with applications for initial appointment, shall also be fully applicable to the activities and procedures covered by this Article IV.

ARTICLE XV

REVIEW AND PUBLICATION OF BYLAWS AND RULES AND REGULATIONS

The Bylaws and the Rules and Regulations of the Medical Staff of the University of Kentucky Hospital, will be reviewed annually by the ~~Clinical Board~~ Medical Staff Executive Committee, which ~~who~~ will make recommendations for necessary changes in accordance with Articles XVII and XVIII of these Bylaws. If changes are made, such changes will be published and appropriately communicated to the members of the medical and related health professions staff. At least once every ~~four~~ three ~~(4)~~ (3) years and as frequently as annually, if the number of changes require, the complete up-to-date Bylaws will be republished and distributed to the medical and related health professions staffs.

ARTICLE XVI

RULES AND REGULATIONS

The Medical Staff shall adopt such rules and regulations as may be necessary to implement more specifically the general principles found within these Bylaws, subject to the approval of the Board of Directors. These shall relate to the proper conduct of Medical Staff organizational activities as well as embody the level of practice that is to be required of each practitioner in the Hospital. Such rules and regulations shall be a part of these Bylaws, except that they may be amended or repealed at any regular meeting of the ~~Clinical Board~~ Medical Staff Executive Committee at which a quorum is present and without previous notice or at any special meeting on notice by a two-thirds vote of those present of the active Medical Staff. Such changes shall become effective when approved by the Board of Directors.

If there is a conflict between the Medical Staff Bylaws and the Rules and Regulations, the Medical Staff Bylaws shall prevail.

ARTICLE XVII

AMENDMENTS

These Bylaws may be amended after submission of the proposed amendment at any regular or special meeting of the ~~Clinical Board~~ Medical Staff Executive Committee. A proposed amendment shall be referred to a special committee which shall report on it at the next regular meeting of the ~~Clinical Board~~ Medical Staff Executive Committee or at a special meeting called for such purpose. To be adopted, an amendment shall require a two-thirds vote of total ~~Clinical Board~~Medical Staff Executive Committee members. Amendments so made shall be effective when approved by the Board of Directors and the Board of Trustees.

Notwithstanding, nothing shall be deemed to limit the authority of the Board of Directors and Board of Trustees of the University.

Members of the Medical Staff shall be provided with copies of all material amendments to these Bylaws.

ARTICLE XVIII

ADOPTION

These Bylaws shall be adopted at any regular or special meeting of the ~~Clinical Board~~,Medical Staff Executive Committee shall replace any previous Bylaws, and shall be come effective when approved by the Board of Directors of the Hospital and the Board of Trustees.

Approved by the ~~Hospital Clinical Board~~Medical Staff Executive Committee:
~~7/97~~3/25/2000

Approved by the Hospital Board of Directors: ~~8/97~~5/2/2000

Approved by the University Board of Trustees: Pending

Revised 11/28/00

PR 6D

Office of the President
June 19, 2001

Members, Board of Trustees:

AGREEMENT BETWEEN UNIVERSITY OF KENTUCKY AND KENTUCKY MEDICAL SERVICES FOUNDATION

Recommendations: that the Board of Trustees approve the attached agreement between the Board of Trustees of the University of Kentucky and Kentucky Medical Services Foundation, Inc., which was negotiated pursuant to the "Board of Trustees Resolution Regarding Medical Practice Plan" adopted on June 20, 1978 and later amended.

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

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

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

The format of the attached document reflects additions (underlined) and deletions (struck through) and modifies the 2000-01 agreement with respect to dates; states the annual allocation of the Dean's academic enrichment fund (Sections 8 and 17A); adds Section 8C authorizing the deposit of supplemental payments under the State Medicaid Fund in an account maintained by the Foundation for use by the Dean of the College of Medicine for the further development of clinical programs of the College and for related purposes; removes the Foundation's authorization to bill and collect certain specified items (Section 10D); and clarifies in Section 23 the University's right to terminate the agreement for certain violations of corporate compliance.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

THIS AGREEMENT made and entered into this ~~6th~~ 5th day of June, ~~2000~~ 2001 by and between the BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY, a statutory body corporate existing pursuant to Section 164.100 et seq. of the Kentucky Revised Statutes (hereinafter referred to as the University) and KENTUCKY MEDICAL SERVICES FOUNDATION, INC., a non-stock, non-profit corporation formed pursuant to Chapter 273 of the Kentucky Revised Statutes (hereinafter referred to as the Foundation).

WITNESSETH:

Section 1. RECITALS

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

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

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

D. The University recognizes that the medical practice activities of its faculty members can be conducted in a more efficient and economical manner if those faculty members who produce income are permitted, through the medium of the Foundation, to exercise a larger voice in the expenditure of the funds so produced.

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

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

NOW THEREFORE, the parties hereto agree as follows:

Section 2. DEFINITIONS

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

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

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

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

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

Section 3. NATURE OF THE AGREEMENT

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

Section 4. BILLING AND COLLECTION

Foundation agrees that it will accept, pursuant to practice agreements, the assignment of all clinical income by participants in the plan and, in accordance with such assignment,

agrees to bill the amount of duly established charges for professional services to parties determined to be responsible for payment of such charges.

Section 5. PAYMENTS TO UNIVERSITY

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

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

Payments hereunder shall be in the following manner:

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

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

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

Payments hereunder shall be made in the following manner:

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

Section 6. REIMBURSEMENT OF FOUNDATION

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

B. University agrees to pay to Foundation on behalf of members of the Department of Diagnostic Radiology for the provision of x-ray interpretation services to the University Health Service during the period July 1, ~~2000~~ 2001 - June 30, ~~2001~~ 2002 a sum not to exceed Twenty One Thousand Seven Hundred Ninety Five ($21,795.00) Dollars.

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

D. University agrees to pay Foundation on behalf of clinical faculty members of the Department of Pathology and Laboratory Medicine, for provision of pathology services to the University Health Service, a fee of $6.00 per patient for pap smears, whether normal or abnormal, for the professional component. All other pathology professional services are to be reimbursed at 50% of the usual and customary fee for each service rendered.

E. University will make payment to Foundation quarterly, on the last calendar day of each quarter beginning September 30, ~~2000~~2001, for services as described in paragraph B hereinabove. University will make payment to Foundation monthly, on the last calendar day of each month beginning July 31, ~~2000~~2001, for services as described in paragraphs C and D.

F. University agrees to pay one half salary and one half benefits and one half of other related expenses for a Compliance Analyst III to be an employee of Foundation.

Section 7. COST SETTLEMENTS

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

will be developed and mutually agreed to by the parties, which may result in payment by the University to the Foundation, or by the Foundation to the University.

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

1. Discounts to University of Kentucky employees and their dependents as part of the University of Kentucky Health Plan.
2. The operation of the UK Health Care Plans.
3. The operation of certain marketing efforts.
4. Payment to the Fund for Advancement of Education and Research for the Medical Center for services rendered to clinical departments or units of the College of Medicine by members of practice plans of the Colleges of Allied Health Professions, Dentistry, ~~———~~Nursing, or Pharmacy.

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

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

Section 8. ACADEMIC ENRICHMENT FUND

A. Consonant with Section II, D. 3 of the plan adopted by University's Board of Trustees on June 20, 1978, as amended on March 3, 1980, September 15, 1981, June 19, 1984 and June 13, 1995, Foundation agrees that it will pay to The Fund for Advancement of Education and Research in the University of Kentucky Medical Center (hereinafter Fund), an amount equal to one and one-half (1.5%) percent of the actual clinical income collected by

said Foundation. The Fund will deposit said payments in an account maintained for the purpose of providing an academic enrichment fund to be used by the Dean of the College of Medicine in support of the programs of said College and for related purposes. Amounts due hereunder will be computed by Foundation on a monthly basis as income is received and remitted to the Fund within twenty-five (25) days after the close of each monthly accounting period.

B. Foundation further agrees that it will deposit, in an account maintained by Foundation, on the same basis as provided in subsection A. herein above, an additional amount equal to eight and one half (8.5%) percent of the actual clinical income collected by said Foundation, said funds to be used by the Dean of the College of Medicine for the enrichment of the programs of the College and for related purposes in his sole discretion.

C. Foundation further agrees that it will deposit in an account maintained by the foundation any payments obtained by inter-government transfers related to supplemental payments to the College of Medicine under State Medicaid Programs. Upon receipt of such payments, any funds previously expended by the Dean to qualify for supplemental payments under this paragraph (as documented by the Dean to the Foundation by memorandum in advance of the funds transfer) will be transferred to the account described in Subsection B. The remainder of the funds will be designated to be used by the Dean of the College of Medicine for the further development of clinical programs of the College and for related purposes. The Dean is responsible for developing a process by which these funds may be expended in accordance with applicable state and federal laws and regulations. These funds will not be subject to the charges identified in Section 17A. Foundation agrees that funds deposited in this account shall be invested consistent with the University policy for investment of short term funds and any investment income derived from balances attributed to this fund shall be credited to said account.

Section 9. PARTICULAR COVENANTS OF THE FOUNDATION

A. Foundation's Articles of Incorporation, as filed with the Secretary of State of the Commonwealth of Kentucky on June 19, 1978, as amended have been inspected by the University as a condition precedent to University's entry into this agreement. Foundation covenants that it will not, absent the written agreement of the University, amend or otherwise alter said Articles or adopt any by-law or other operating practice which would effectively alter the character of said Foundation.

B. Foundation covenants it will not engage in the practice of medicine, nor will it without the written consent of the University solicit, administer, receive, perform, or accept any gift, grant, devise or bequest with or from any governmental unit, entity, or subdivision or any person, corporation, partnership, association or other entity whatsoever except as specifically permitted herein or as necessary for normal business operations. Provided, however, that nothing contained herein shall be construed to prohibit the Foundation (subject to the approval of the Dean of the College of Medicine) from negotiating and executing contracts providing exclusively for professional services by faculty who have executed practice agreements.

C. Foundation covenants that it will not without the written consent of the University merge with any other corporation or convey all or substantially all of its assets to any other corporation, partnership, or other entity except as specifically provided herein and that, in the event of its dissolution its Board of Directors shall cause its assets to be applied and distributed as follows: (a) all liabilities and obligations of the corporation shall be paid, satisfied and discharged, or adequate provisions shall be made therefore; (b) assets held by the corporation upon a condition which occurs by reason of the dissolution, shall be returned, transferred or conveyed in accordance with such requirements; and (c) all of the remaining assets of the corporation shall be transferred or conveyed to the Board of Trustees of the University of Kentucky, or its successor, to be used for medical education and research, if said University or its successor, shall qualify as a public corporation and an instrumentality of the

State of Kentucky or as an exempt organization under Section 501(c) (3) of the Internal Revenue Code of 1954, as amended; and if said University or its successor shall not so qualify, then to some other organization or organizations organized and operated exclusively for charitable, educational, or scientific purposes in the field of medicine as shall at the time qualify as an exempt organization or organizations under Section 501(c) (3) of the Internal Revenue Code of 1954, as amended.

Section 10. MEMBERSHIP AND BENEFITS

A. University agrees that it will assist the Foundation to enforce the terms of the Practice Agreements entered into by members of University's clinical departments of its College of Medicine by requiring adherence to said agreements as a condition of continued employment as a member of University's faculty.

B. University agrees that it will require, as a condition of employment as a member of University's faculty in a clinical department or unit that members of its faculty execute Practice Agreements and Assignments in the form of same which may be modified by mutual agreement of the parties hereto from time to time.

C. Foundation agrees that it will not, absent the written consent of University, bill for, collect or administer any item of income for any person or entity not holding membership in the plan, nor will it permit persons not members of the plan to serve as voting members on its Board of Directors, nor will it provide any benefit or other thing of value to any person or entity not a member of the plan except ~~for~~ (1) termination benefits to former members as provided by action of Foundation's Board of Directors; (2) incidental benefits indirectly accruing to employees of the Medical Center by virtue of Foundation's activities; (3) students and House Staff of University; (4) payment to nurses incident to their recruitment to the University Medical Center; (5) education and technical training costs of persons involved in patient care activities; (6) education and technical training costs of persons indirectly involved in patient care activities if approved on a case by case basis by the Dean of the College of

Medicine or the Chancellor for the Medical Center; (7) to persons who engage the services of the Foundation pursuant to the provisions of Section 22 - Additional Activities; (8) to persons whose employment is authorized by Section 11.B.; (9) payments in the ordinary course of its business or (10) benefits or other things of value approved by the Foundation's Board of Directors but which do not violate any express prohibition in any other section of this Agreement.

~~D. In order to provide University of Kentucky Health Plan patients with a unified bill, Foundation is authorized to bill and collect the following items: Clinic Pharmacy charges, patient deductible and non-covered items, fees generated by the faculty in the clinical practice plans of the colleges in the Medical Center and Oral Surgery fees. The collection and billing shall be in accord with that certain contract entered into between the University and the Foundation.~~

~~E.~~D. In certain contractual relationships for the provisions of patient care services it may be necessary or advantageous to present a unified billing, incorporating charges from a University patient care organizational entity(ies) and faculty physicians. In such cases, the Foundation is authorized to bill and collect on behalf of the University patient care organizational entity(ies) provided a proposed unified billing arrangement has been developed and agreed to by the parties and has been reviewed by University legal counsel.

Examples of such unified billing include but are not limited to:

1. Charges for hospital and physician services under the terms of an agreement with Humana or Healthwise Health Care Plans for the provision of kidney transplantation services.

~~2. Hourly charges for physician, dental, and nursing services rendered at the Family Care Center under the terms of an agreement with the Lexington-Fayette Urban County Department of Social Services.~~

~~3.~~2. University of Kentucky Health Care Plans.

~~F.~~E. Foundation shall assume responsibility for the costs of drugs and supplies to be used in the patient care programs in the clinics and is hereby authorized to bill, collect, and deposit in Foundation accounts revenue from these non ancillary items.

~~G.~~ F. Foundation agrees that it will strictly enforce the terms of its Practice Agreements and Assignments, report promptly to University in the event any individual fails or refuses to abide thereby and join with University in any appropriate action, in law or equity, necessary to secure compliance therewith.

Section 11. PERSONNEL

The parties ~~parties~~ recognize that the Foundation must employ various individuals to carry out its functions hereunder; however, the parties also recognize, and hereby declare their intention to adhere to, those provisions of the plan adopted by University's Board of Trustees on June 20, 1978, as amended on March 3, 1980, September 15, 1981, June 19, 1984 and June 13, 1995, particularly those portions which provide that University must retain responsibility and authority for the appointment of faculty and house staff, the determination of institutional staffing patterns and the maintenance of balance among programs and their component activities.

Accordingly, with respect to employment of personnel by Foundation, the parties agree as follows:

A. Foundation staff

The Foundation may employ an executive director and such assistants, including secretarial and clerical personnel as may be determined by its Board of Directors to be necessary or appropriate to permit said Foundation to bill and collect professional fee income, to administer its funds in accord with the terms of the geographic full-time plan, and to fulfill any other authorized activities of Foundation.

The Foundation is authorized to house computer equipment as may be required to communicate with its central computer and house sufficient employees in the Kentucky Clinic Buildings for the purpose of providing billing and financial information to patients of University physicians who are members of the plan and other activities as mutually agreed. In addition, Foundation is also authorized to utilize designated storage space in the basement of the Kentucky Clinic Building for information necessary to the billing function.

B. Other personnel

During the term of this contract Foundation agrees that it will not have any employees other than the employees authorized in Section 11. A. to perform services in University's patient care or college programs. Provided, however, that this provision shall not be construed to prohibit specific agreements between the parties whereby Foundation will employ personnel for service duties which generate income, provided, however, that such professionals may be employed only upon the recommendation and approval of the Dean of the College of Medicine and approval of same by the Chancellor for the Medical Center, with payment of salary and related costs to be from income produced by such professional activity.

C. Equal opportunity-affirmative action

Foundation agrees that it will not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin, age, handicap or disability. The Foundation agrees that it will take affirmative action to ensure that applicants are employed and employees are treated during employment, without regard to their race, color, religion, sex, national origin, age, handicap, or disability. Such action shall include, but not be limited to the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising; layoff or termination; rates of pay or other compensation; and selection for training. The Foundation agrees that it will, in all solicitations or advertisements for employees, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, age, handicap, or disability. The Foundation agrees that it will indemnify and save harmless the University, the Board of

Trustees of the University including the individual members thereof, officers, agents and employees of the University by reason of any action by law or equity or by reason of any administrative proceeding initiated by any person arising out of any such employment action or practice of Foundation, including the payment of attorney fees and other costs of such action or proceeding.

Section 12. USE OF UNIVERSITY FACILITIES

The parties recognize that paragraphs III, B. 4, b, d, g and i of the "geographic full-time plan" adopted by University's Board of Trustees on June 20, 1978, as amended on March 3, 1980, September 15, 1981, June 19, 1984 and June 13, 1995, require that institutional control be maintained with respect to direction and supervision of institutional activities and programs, assignment and use of space in institutional facilities, determination of goals, objectives and priorities and the maintenance of balance among programs and their component activities.

Accordingly, Foundation and University agree that University will provide space within the University Hospital, Kentucky Clinic and other space officially designated for the conduct of the patient care operations.

With respect to any other facilities which University may from time to time provide to Foundation, Foundation shall be deemed a licensee without any property right whatsoever in said premises or facilities and shall, upon demand of University, vacate same.

Section 13. MEDICAL RECORDS

The parties agree that all medical records relating to the care of patients in University facilities or as a part of University programs, are and shall remain the property of University and that Foundation has no right or property interest therein. ~~P~~provided, however, that nothing herein shall be construed to limit access to said records by members of University's faculty, staff, and students pursuant to existing University procedures. ~~Provided, F~~further, ~~that~~

the University agrees to provide or make available to Foundation such information and data from patient records and program data maintained by ~~university~~ University as may be necessary for Foundation to perform its billing and collection functions herein provided, including such information and data as may be necessary to meet the requirements of third-party or other payers as the basis for payment for services.

Section 14. INSPECTION AND AUDIT

A. Foundation agrees that, in accord with paragraph II, B. 1, of the action of University's Board of Trustees dated June 20, 1978, as amended on March 3, 1980, September 15, 1981, June 19, 1984 and June 13, 1995, its books and accounts are open at all reasonable times to inspection and audit by appropriately designated University representatives.

B. The parties agree that the University's Internal Auditors may conduct an audit of Foundation's operations and accounts for the period ending June 30, ~~2000~~ 2001 and such other audits, including audits to determine compliance with this agreement, the terms of the action of University's Board of Trustees on June 20, 1978, as amended on March 3, 1980, September 15, 1981, June 19, 1984 and June 13, 1995, the terms of the departmental agreements referred to in Section 20 hereof, as may be deemed necessary or advisable by the University of Kentucky Controller and Treasurer, and that Foundation's agents and employees will cooperate to the fullest extent possible with University's auditors designated to conduct same. Further, the parties agree that a firm of Certified Public Accountants, mutually agreeable to the parties, will be employed by the Foundation to perform an independent audit of the Foundation's books, records and accounts for the year ended June 30, ~~2000~~2001.

C. The Parties agree that Foundation will be furnished information by University sufficient for Foundation to verify the nature and detail of expenditure of funds paid to University under the provisions of Section 5 B. hereinabove.

Foundation agrees that it will furnish to University the following reports.

Annually

Audited Financial Statements to include:
- Opinion of Independent Certified Public Accountants
- Balance Sheet
- Statement of Changes in Fund Balances
- Statement of Current Revenues and Expenditures
- Supplementary Schedules

Quarterly

Financial Statements to include:
- Balance Sheet
- Statement of Operations
- Gross Billings
- Collections
- Financial Allowances
- Bad Debts

Aging Trial Balance of Accounts Receivable by:
- Patient liability
- Third party payer

Reports of Delinquent Account Activity upon written request of University Treasurer to include:
- Referrals
- Collections

Section 15. DEFAULT

A. In the event of any failure of Foundation to pay any sum due to University hereunder within thirty (30) days after written notice of such default shall have been mailed to Foundation, or any failure to perform any other of the terms, conditions or covenants of this agreement to be observed or performed by Foundation for more than thirty (30) days after written notice of such default shall have been mailed to Foundation, or if Foundation shall become bankrupt or insolvent, or file any debtor proceedings, or take or have taken against Foundation in any court pursuant to any statute either of the United States or of any State a petition in bankruptcy or insolvency or for reorganization or for the appointment of a receiver or trustee of all or a portion of Foundation's property, or if Foundation makes an assignment for the benefit of creditors, or petitions for or enters into an arrangement therewith, then University may terminate this agreement. Provided however, that should any default occur

which cannot reasonably be corrected within such thirty (30) day period then Foundation shall have such additional time to correct said default as may be reasonably necessary if Foundation promptly initiates, and expeditiously carries out, appropriate action to correct such default.

B. University may at its election terminate this agreement with respect to any department without termination of the entire agreement for the same reasons and in the same manner as provided hereinabove.

Section 16. PROFESSIONAL LIABILITY

Nothing contained herein shall be construed to provide that any member of University's clinical faculty, house staff or student is acting as an agent of Foundation when providing care to patients in University facilities or as a part of an approved University program. University agrees that, when so acting, said faculty, house staff and students shall be considered agents of said University and that payment of claims or judgments may be made on their behalf from the fund provided pursuant to KRS 164.941 or other University funds.

Section 17. MANAGEMENT AND INVESTMENT POLICIES

A. The parties recognize and agree that the reimbursement of University costs incurred attendant to the production of clinical income and the provision of a sum equal to ten (10%) percent (which sum is the ten (10%) percent described in Sections 8A. and B.) of Foundation's gross clinical income received for the purpose of providing an academic enrichment fund for University's College of Medicine constitute the second and third charges, respectively, upon Foundation's gross income, the first charge being Foundation's ordinary and necessary expenses incurred for costs of administration and in billing and collecting said income and providing for the central administration of Foundation. The fourth charge being other expenses which are incurred by the Foundation.

B. Foundation agrees that funds deposited in a separate account pursuant to Section 8B., Academic Enrichment Fund shall be invested consistent with the University Policy for investment of short term funds.

Foundation shall be entitled to the investment income derived from said account, provided however investment income derived from balances attributed to the academic enrichment fund identified in subparagraph A. and Section 8B. hereinabove shall be credited to said account.

C. Foundation agrees that it shall maintain a separate account pursuant to its contributing for self-insurance identified in Section 18B. to be invested consistent with the University's policy for investment of endowed funds with all income to be accumulated in said separate account. The investment plan of Foundation for said separate account is subject to the approval of the University's Treasurer.

Section 18. PROVISION OF PROFESSIONAL LIABILITY INSURANCE

A. Under the professional liability insurance program, Foundation agrees that it will pay the University, as reimbursement, for the physicians' pro rata share of the malpractice contributions as determined by the Medical Malpractice Claims Committee, of the costs of the following: (i) payments required pursuant to KRS 164.941 in one (1) lump sum payment within five (5) working days of receipt of amount due; (ii) costs of claims administration in twelve (12) equal installments the first said installment being due and payable on July 31, ~~2000~~ 2001 and monthly thereafter until June 30, ~~2001~~2002; and (iii) the physicians' pro rata share of the costs of excess commercial insurance within five (5) working days of receipt of amount due.

B. In addition, Foundation has agreed that between July 1, ~~2000~~ 2001 and June 30, ~~2001~~2002, if required by the ~~medical review of malpractice~~ Malpractice ~~claims~~ Claims ~~committee~~ Committee, it will cause to be deposited in a separate account within the Foundation the physicians' pro rata share of the malpractice contributions as determined by

the Medical Malpractice Claims Committee of the additional contributions for self insurance, said account together with interest accruing thereto to be held solely for the purpose of payment of legal fees, settlements, judgments arising for liabilities defined in KRS 164.941(3) and for lump sum payments referenced in previous paragraph 18A. No monies in said account shall be expended for any other purpose than as provided in this Section without the written agreement of University, nor shall such monies be encumbered, pledged or otherwise hypothecated. The monies in said account shall be invested only as provided in Section 17 hereof. Payment to the separate account may be in equal installments, provided that the full pro rata share of the malpractice contributions as determined by the Medical Malpractice Claims Committee shall be deposited by June 30, ~~2001~~2002.

C. In sum, Foundation agrees to pay in both assessments and contributions of the pro rata share of the malpractice contributions as determined by the Medical Malpractice Claims Committee of the total program costs of ~~2000~~2001-~~2001~~ 2002 as determined by KRS 164.941 and the Medical Malpractice Claims Committee.

Section 19. ADMINISTRATION OF DEPARTMENTAL FUNDS

A. Foundation, after making provision for (1) the costs of its administration and costs relating to billing and collection; (2) reimbursement of University expenses pursuant to Section 5 hereof; (3) the College of Medicine Academic Enrichment Fund pursuant to Section 8 hereof; (4) provision of professional liability insurance pursuant to Section 18 hereof; (5) provision of payment of actual expenses incurred by it which are attendant to the production of clinical income; (6) such reserves as are reasonably determined by the Foundation's Board of Directors; and (7) other obligations which are agreed to by the Foundation and are made pursuant to any agreement with, at the written request of, approved, or ratified in writing by the University of Kentucky, agrees that it will maintain its accounts in such a manner that income attributable to the professional clinical activities of

each of the following departments or divisions shall be shown separately on books maintained by the Foundation from any other fund or funds held by said Foundation:

Anesthesiology
Clinical Program Units
Diagnostic Radiology
Emergency Medicine
Family Practice
~~Kentucky Clinic Frankfort~~
Kentucky Clinic Hazard
Kentucky Clinic South
Internal Medicine
Neurology
~~Ob/Gyn~~Obstetrics and Gynecology
Ophthalmology
Pathology and Laboratory Medicine
Pediatrics
Preventive Medicine ~~&~~ and Environmental Health
Psychiatry
Radiation Medicine
Physical Medicine and Rehabilitation
Surgery

B. Thereafter, Foundation agrees that it will expend the funds maintained by it in the aforementioned accounts only in accord with the departmental or divisional agreement relating to each department or division. Said departmental agreements are recognized as a material portion of this agreement. Therefore the parties agree that University shall retain custody of all funds accruing to the account of departments for which an approved departmental agreement has not been executed. Said departmental or divisional agreements may be amended from time to time, as provided in said agreements, with the approval of the Dean of the College of Medicine and/or the Chancellor for the Medical Center. The Dean and the Chancellor have the authority to approve or disapprove all departmental or divisional agreements as deemed necessary.

Section 20. NOTICES

All notices, demands and requests hereunder shall be in writing and shall be given by United States Registered or Certified Mail or by messenger delivery, in the case of University to:

Vice Chancellor for Clinical Services
MN-150
University Medical Center
800 Rose Street
Lexington, Kentucky 40536-0084

In the case of Foundation to:

Kentucky Medical Services Foundation, Inc.
729 South Limestone
Lexington, Kentucky 40508

Each party may from time to time change its address for purposes of notice by giving to the other party notice of such change of address. Any notice, demand or request given by United States Registered or Certified Mail, as provided herein, shall be deemed served on the date it is deposited in the United States mails properly addressed and with postage fully prepaid.

Section 21. RECORDS ACCESS

Pursuant to Public Law 96-499, Section 952, the Foundation agrees to make available upon written request from the Secretary of Health and Human Resources, the Comptroller General, or the Department of Human Services of the State of Kentucky or any of their duly authorized representatives, access to this contract and all other service agreements written or oral entered into or renewed since December 5, 1980, and access to books, documents, and records necessary to verify costs of services provided by such arrangements exceeding $10,000 in a 12-month period. Access will be permitted until four years have expired after completion of services furnished, and in accordance with the applicable federal regulations.

If the Foundation carries out any of the duties under this contract through a sub-contract with a related organization, with a value or cost of $10,000 or more over a 12-month period, such sub-contract shall contain a clause to the effect that until the expiration of four years after the furnishing of such services pursuant to the sub-contract, the related organization shall make available, upon written request from the Secretary or Comptroller General, or any of their duly authorized representatives, the sub-contract, books, documents and records of such organization that are necessary to verify the nature and extent of such costs.

Section 22. ADDITIONAL ACTIVITIES

The University recognizes that in the changing health care delivery environment, the future condition of the University of Kentucky Medical Center and the University of Kentucky College of Medicine will depend on adjusting to those changes. The Foundation recognizes that it can assist the University to make these adjustments and that it should do so when such assistance can be provided without having a material negative impact on the Foundation's primary duty to bill and collect on behalf of its members. Thus, subject only to the limitation that the Foundation not engage in the practice of medicine or duplicate other activities of the University of Kentucky Medical Center, the Foundation with the prior written approval of the University shall be entitled and is authorized to engage in and pay for the expenses of business activities of any and/or all types, (directly or indirectly, as an owner, investor or through a wholly or partly owned subsidiary, pursuant to a contract and/or joint venture and/or in any other manner) including but not limited to the provision of administrative services, a Management Services Organization (MSO), and other services to individuals and entities within and/or outside the Plan. It is also authorized with prior written approval of the University to incur obligations in connection therewith, as contemplated by or authorized pursuant to this Agreement. The University shall determine whether duplication of activities exists and a means for resolution of same.

Section 23. CORPORATE COMPLIANCE

Foundation affirms that it is not excluded from participation, and is not otherwise ineligible to participate in a "Federal health care program" as defined in 42 U.S.C. section 1320a-7b(f) or in any other state or federal government payment program. In the event that Foundation is excluded from participation, or becomes otherwise ineligible to participate in any such program, during the term of this agreement, Foundation will notify the University of Kentucky Chandler Medical Center, hereinafter "UKCMC", Office of Compliance, A301 KY Clinic, Lexington, Kentucky 40536 in writing, by certified mail within 48 hours after said event, and upon the occurrence of any such event, whether or not appropriate notice is given, the University of Kentucky, shall have the right to terminate this Agreement upon written notice if such matter is not cured within a reasonable timeframe as determined at the sole discretion of the University.~~immediately terminate this Agreement upon written notice~~.

Additionally, Foundation affirms that it is aware that UKCMC operates in accordance with a corporate compliance program, employs a Corporate Compliance Officer and operates a 24 hour, seven day a week compliance Comply-line. Foundation has been informed that a copy of the UKCMC compliance plan is on file in the purchasing office and that it is encouraged to review the plan during normal business hours. It is understood that should Foundation be found to have violated the UKCMC compliance plan, UKCMC can, at its sole discretion, terminate this Agreement upon written notice if such matter is not cured within a reasonable timeframe as determined at the sole discretion of the University. Foundation recognizes that it is under an affirmative obligation to immediately report to UKCMC's Corporate Compliance Officer through the comply-line 1-887-898-6072, in writing, or directly (859) 323-6044 any actions by an agent or employee of UKCMC which Foundation believes, in good faith, violates an ethical, professional or legal standard.

Nothing in this Agreement contemplates or requires that any party act in violation of federal or state law. Nonetheless, should any term or condition set forth in this Agreement

later be creditably alleged, suspected or determined to be illegal, the parties agree to immediately cease the questioned activity and negotiate modification to the effected portion of the Agreement for a thirty (30) day period. If at the end of this period, no compromise can be reached, the Agreement will terminate.

Section 24. NO THIRD-PARTY BEENFICIARIES

This Agreement shall not confer any right, remedy or benefit upon any employee of the University or the Foundation or any other person or entity other than the University and the Foundation.

Section 25. TERM

The term of this agreement shall begin on July 1, ~~2000~~ 2001 and end on June 30, ~~2001~~2002.

IN WITNESS WHEREOF, the parties hereto have executed this agreement, pursuant to proper authorization of their respective governing boards, as of the day and year first above written.

BOARD OF TRUSTEES OF
THE UNIVERSITY OF KENTUCKY

BY: _____
Charles T. Wethington, Jr.
President
University of Kentucky

ATTEST: _____

KENTUCKY MEDICAL SERVICES
FOUNDATION, INC.

BY: _____
Robert M. Mentzer, Jr., M.D.
President

ATTEST: _____

RECOMMENDED BY:

_____
James W. Holsinger, Jr., M.D., Ph.D.
Chancellor for the Medical Center

_____
Emery A. Wilson, M.D.
Vice Chancellor for Clinical Services

Examined for Form & Legality
Office of Legal Counsel
University of Kentucky

By: _____
Attorney at Law

AACR 1

Office of the President
June 19, 2001

Members, Board of Trustees:

CHANGE IN NAME OF EDUCATIONAL UNIT

Recommendation: that the Board of Trustees approve the proposed change in name of the department in the College of Human Environmental Sciences from the Department of Interior Design, Merchandising and Textiles to the Department of Merchandising, Apparel and Textiles.

Background: The change of the name of the department will more accurately reflect the disciplines in the department. The proposed name change is in keeping with the approved establishment of a School of Interior Design in the College of Human Environmental Sciences. The proposed change in the name of the unit is supported by the faculty, the Dean of the College of Human Environmental Sciences and the Chancellor of the Lexington Campus. It has been approved by the University Senate.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 1

Office of the President
June 19, 2001

Members, Board of Trustees:

ACCEPTANCE OF INTERIM FINANCIAL REPORT FOR THE UNIVERSITY OF KENTUCKY FOR THE TEN MONTHS ENDED APRIL 30, 2001

Recommendation: that the Board of Trustees accept the University of Kentucky consolidated financial report for the ten months ended April 30, 2001.

Background: The consolidated financial report includes the financial activities of the University of Kentucky and its affiliated corporations, consisting of the University of Kentucky Research Foundation, The Fund for Advancement of Education and Research in the University of Kentucky Medical Center, University of Kentucky Athletic Association, University of Kentucky Mining Engineering Foundation, University of Kentucky Business Partnership Foundation, University of Kentucky Humanities Foundation, University of Kentucky Equine Research Foundation, University of Kentucky Center on Aging Foundation, and Health Care Collection Service.

As of April 30, 2001, the University had realized income of $1,087,558,000 representing 88% of the 2000-01 estimate of $1,230,164,000. Expenditures and commitments total $950,173,000 or 77% of the approved budget of $1,230,164,000.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

CONSOLIDATED BALANCE SHEET
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
APRIL 30, 2001
with comparative totals for April 30, 2000
(in thousands)

	2000-01						1999-00
	Current Unrestricted Funds	Current Restricted Funds	Loan Funds	Endowment Funds	Plant Funds	Totals	Totals
ASSETS							
Cash and cash equivalents	$ 168,518	-	$ 3,555	-	$ 204,330	$ 376,403	$ 294,553
Notes, loans, and A/R (less bad debt allowances of $ 16,632)	144,208	$ 20,477	23,228	$ 1,327	2,942	192,182	177,068
Investments	33,192	129,118		415,943	47,653	625,906	578,463
Property, plant, and equipment					1,427,563	1,427,563	1,342,996
Inventories and other	13,683	51				13,734	14,477
Total Assets	$ 359,601	$ 149,646	$ 26,783	$ 417,270	$ 1,682,488	$ 2,635,788	$ 2,407,557
LIABILITIES AND FUND BALANCES							
Liabilities							
Accounts payable	$ 24,260	$ 1,580	$ 257		$ 899	$ 26,996	$ 28,985
Employee withholdings and deposits		16,479				16,479	17,586
Other liabilities	5,841	3,622		$ 6,364	1,944	17,771	18,329
Liability for self insurance	54,197					54,197	50,858
Deferred income	12,579	17,207				29,786	21,979
Bonds payable					242,916	242,916	196,376
Capitalized lease obligation					47,050	47,050	45,877
Total Liabilities	96,877	38,888	257	6,364	292,809	435,195	379,990
Interfund Balances	(55,228)	62,902		13,849	(21,523)		
Net deferred revenues and appropriated fund balances	146,746	(2,434)				144,312	122,712
Fund Balances							
Current unrestricted							
Working capital	167,211					167,211	159,336
Future operating purposes	3,457					3,457	4,910
Other	538					538	2,901
Current restricted		50,290				50,290	50,136
Loan			26,526			26,526	26,448
True endowments				318,791		318,791	278,949
Term endowments				4,678		4,678	6,082
Quasi endowments				73,588		73,588	87,872
Plant							
Retirement of indebtedness					34,946	34,946	29,390
Renewal and replacement					45,710	45,710	15,777
Allocated for designated projects					239,285	239,285	212,839
Net investment in plant					1,091,261	1,091,261	1,030,215
Total Fund Balances	171,206	50,290	26,526	397,057	1,411,202	2,056,281	1,904,855
Total Liabilities and Fund Balances	$ 359,601	$ 149,646	$ 26,783	$ 417,270	$ 1,682,488	$ 2,635,788	$ 2,407,557

CONSOLIDATED STATEMENT OF CURRENT FUNDS REVENUES AND APPROPRIATED FUND BALANCES
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE TEN MONTHS ENDED APRIL 30, 2001
with comparative totals for April 30, 2000
(in thousands)

	2000-01				1999-00	
	Original Budget	Revised Budget	Realized To Date	%	Realized To Date	%
General Fund						
(1) State appropriations	$ 307,830	$ 307,830	$ 307,530	100	$ 290,349	100
(2) Student fees	125,910	126,106	121,531	96	116,195	100
(3) Federal appropriations	15,553	15,553	12,297	79	13,866	89
(4) County appropriations	7,674	8,270	6,828	83	5,757	75
(5) Endowment income	875	875	648	74	638	71
(6) Investment income	11,901	11,900	12,423	104	11,370	127
Gifts and grants						
(7) Affiliated corporations	14,348	14,392	10,423	72	11,037	76
(8) Other	55,519	58,097	41,600	72	44,077	73
(9) Sales and services	62,486	61,540	48,718	79	45,167	77
(10) Fund balance	19,478	21,292	21,292	100	28,303	100
(11) Total General Fund	621,574	625,855	583,290	93	566,759	94
(12 **Auxiliary Enterprises**	33,549	33,549	31,507	94	29,513	90
(13 **Restricted Funds**	72,561	72,835	51,338	70	40,594	60
(14 **Affiliated Corporations**	173,359	173,382	150,996	87	133,088	83
Hospital						
(15) Revenues	294,817	324,543	270,428	83	250,235	82
(16) Fund balance						
Total Revenues and (17) Appropriated Fund Balances	$ 1,195,860	$ 1,230,164	$ 1,087,558	88	$ 1,020,189	88

CONSOLIDATED STATEMENT OF CURRENT FUNDS EXPENDITURE SUMMARY BY PROGRAM - ALL FUNDS
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE TEN MONTHS ENDED APRIL 30, 2001
with comparative totals for April 30, 2000
(in thousands)

	2000-01				1999-00	
	Original Budget	Revised Budget	Expended/ Encumbered To Date	%	Expended/ Encumbered To Date	%
(1) Instruction	$ 257,926	$ 251,571	$ 198,091	79	$ 189,915	80
(2) Research	159,906	158,190	125,165	79	111,799	74
(3) Public service	155,726	153,351	127,472	83	122,311	82
(4) Academic support	72,221	74,178	56,552	76	57,308	80
(5) Student services	22,859	26,293	19,341	74	17,704	75
(6) Institutional support	48,670	53,104	38,487	72	41,116	76
(7) Student financial aid	50,234	51,139	48,038	94	41,268	90
(8) Operation and maintenance	42,637	46,122	36,748	80	32,671	75
(9) Mandatory transfers (debt service)	18,879	19,688	17,976	91	16,572	100
(10) Hospital	295,588	325,314	218,814	67	212,978	70
(11) Auxiliary enterprises	71,214	71,214	63,491	89	64,004	93
(12) Total Expenditure by Program	$ 1,195,860	$ 1,230,164	$ 950,173	77	$ 907,646	78

EXPENDITURE SUMMARY BY CATEGORY OF EXPENDITURE
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE TEN MONTHS ENDED APRIL 30, 2001
with comparative totals for April 30, 2000
(in thousands)

	2000-01				1999-00	
	Original Budget	Revised Budget	Expended/ Encumbered To Date	%	Expended/ Encumbered To Date	%
(13) Personnel costs	$ 673,523	$ 664,674	$ 546,097	82	$ 526,072	82
(14) Operating expenses	456,099	494,149	340,147	69	307,950	71
(15) Mandatory transfers (debt service)	29,936	30,745	19,765	64	20,254	73
(16) Capital outlay	36,302	40,596	44,163	109	53,370	79
(17) Total Expenditure by Category	$ 1,195,860	$ 1,230,164	$ 950,173	77	$ 907,646	78

UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE TEN MONTHS ENDED APRIL 30, 2001
with comparative totals for April 30, 2000
(in thousands)

		2000-01		1999-00
(1)	**Realized Revenues**		$ 1,066,266	$ 991,886
	Appropriated Fund Balances			
(2)	Current Unrestricted Fund	$ 21,292		28,303
(3)	University Hospital			
(4)	Total Appropriated Fund Balances		21,292	28,303
(5)	Total Revenues and Appropriated Fund Balances		1,087,558	1,020,189
(6)	**Expenditures/Encumbrances**	950,173		907,646
(7)	Less: Reserve for Encumbrances	(7,825)		(9,493)
(8)	Total Expenditures		942,348	898,153
(9)	**Excess/(Deficit) Restricted Receipts Over Transfers to Revenues**		(898)	676
(10)	**Net Deferred Revenues and Appropriated Fund Balances**		$ 144,312	$ 122,712

FCR 2

Office of the President
June 19, 2001

Members, Board of Trustees:

DISPOSITION OF PERSONAL PROPERTY

Recommendation: that the Board of Trustees approve a plan for fiscal year 2001-2002 authorizing routine disposition of personal property having a value of less than $10,000 per item, to include equipment and machinery, vehicles, library books and materials, livestock and recyclable materials as listed on Attachment I.

Background: Kentucky Revised Statute 164A.575 requires that the Board of Trustees approve disposition of equipment and other property. Administrative Regulation II-1.3-3, approved by the Board of Trustees on August 16, 1994 establishes the policies and procedures, including required approvals for the disposition of personal property. This plan will provide an efficient and timely process for the disposition of property having a value of less than $10,000. Dispositions of personal property having a value greater than $10,000 will be approved by the Board of Trustees on a case by case basis.

Action taken: ☒ Approved ❑ Disapproved ❑ Other _____

ATTACHMENT I

CATEGORIES OF PERSONAL PROPERTY DISPOSITIONS

A. Equipment and Machinery
   Method of Disposal
   Public auction
   Sealed bid
   Fixed price
   Reason for Disposal
   Equipment and machinery surplus to the needs of the University due to depreciation, obsolescence, program changes or termination.

B. Vehicles
   Method of Disposal
   Public auction
   Reason for Disposal
   Vehicles of excessive age and/or mileage or in need of major repairs.

C. Library Books and Materials
   Method of Disposal
   Public auction
   Sealed bid
   Fixed price
   Reason for Disposal
   Library books and materials that are obsolete or outdated.

D. Livestock
   Method of Disposal
   Public auction
   Sealed bid
   Fixed price
   Reason for Disposal
   Livestock surplus to the needs of the College of Agriculture or otherwise unsuitable for use (completion of research projects, carcass data requirements, normal culling of herds).

E. Recyclable Materials
   Method of Disposal
   Price contracts
   Fixed price
   Reason for Disposal
   To comply with regulations for proper and timely disposition of waste products and recyclable materials (as directed by the Office of Environmental Health and Safety).

FCR 3

Office of the President
June 19, 2001

Members, Board of Trustees:

CAPITALIZATION POLICY
PROPERTY, PLANT AND EQUIPMENT

Recommendation: that the Board of Trustees approve a policy for capitalization of property, plant and equipment as set forth in Attachment I, effective July 1, 2001.

Background: Current capitalization levels as shown on Attachment I for Capital Asset Categories were established over many years. The Governmental Accounting Standards Board (GASB) Statement No. 35 (*Basic Financial Statements – and Management's Discussion and Analysis – for Public Colleges and Universities*) is effective for the University of Kentucky for fiscal year 2001-02, and requires depreciation of all capital assets and disclosure of the capitalization policy in the financial statement footnotes. Adoption of these capitalization levels effective July 1, 2001 will allow the University to comply with GASB Statement No. 35 requirements and Federal cost accounting standards.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

ATTACHMENT I

University of Kentucky
Capitalization Levels
Property, Plant and Equipment
Effective July 1, 2001

Capital Asset Category	Capitalization Levels effective July 1, 2001	Current Capitalization Levels
Land	Capitalize all	Capitalize All
Land improvements – inexhaustible	$100,000	$10,000
Land improvements – exhaustible	$100,000	$10,000
Buildings and fixed equipment	$100,000	$10,000
Building improvements	$100,000	$10,000
Infrastructure assets	$100,000	N/A
Communications and network equipment	$5,000	N/A
Equipment and machinery, including vehicles	$2,000 ($1,000 for computers)	$1,000
Leased equipment	$2,000 ($1,000 for computers)	$1,000
Computer software	$400,000	Not required to be capitalized
Library books and reference materials	Capitalize all	Capitalize all
Works of art and historical treasures – inexhaustible	Capitalize all	Capitalize all
Works of art and historical treasures – exhaustible	Capitalize all	Capitalize all

FCR 4

Office of the President
June 19, 2001

Members, Board of Trustees:

REPORT OF LEASES

Recommendation: that the Board accept the President's Report of the following lease agreements in accordance with Board Policy:

A renewal lease between the University of Kentucky (College of Nursing) and Barbara Sellers, 1721 Upper Second Creek Road, Hazard, Kentucky, for space located at 1721 Upper Second Creek Road, Hazard, Kentucky, effective July 1, 2001 through June 30, 2002, for the use of a 650 square foot apartment, at an annual rate of $5,400.00, be accepted and made a matter of record.

A renewal lease between the University of Kentucky (Japanese Saturday School) and Board of Education of Fayette County, Kentucky, 701 East Main Street, Lexington, Kentucky, for space located at Tates Creek Middle School and Tates Creek Elementary School, Lexington, Kentucky, effective July 1, 2001 through June 30, 2002, for the use of 10,100 square feet of classroom space, at an annual rate of $3,600.00, be accepted and made a matter of record.

A new lease between the University of Kentucky (Cooperative Extension Service) and S & T Investment Properties, 1109 Lovers Lane, Bowling Green, Kentucky, for space located at 1109 Lovers Lane, Suite 1-A, Bowling Green, Kentucky, effective July 1, 2001 through June 30, 2003, for the use of 1,200 square feet of office space, at an annual rate of $15,600.00, be accepted and made a matter of record.

An addendum to a lease between the University of Kentucky (Kentucky Transportation Center) and Imperial-Waller LLC, 343 Waller Avenue, Lexington, Kentucky, for space located at 343 Waller Avenue, Lexington, Kentucky, effective June 15, 2001 through June 30, 2002, for the use of 368 square feet of office space, at an annual rate of $4,140.00 and a total annual rate of $27,427.50, be accepted and made a matter of record.

Background: FCR 5, dated October 5, 1985, authorized the President or his designated representative to enter into leases and easements not exceeding $30,000 in value and required that all leases entered into under this authority be reported to the Board.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 5

Office of the President
June 19, 2001

Members, Board of Trustees:

APPROVAL OF LEASE

Recommendation: that the Vice President for Fiscal Affairs be authorized to negotiate and execute the following:

A renewal lease between the University of Kentucky (Kentucky Injury Prevention/Dentistry/Behavioral Science) and Henry E. Cravens and Rudy G. Bicknell, %Cravens Properties, 651 Perimeter Drive, Lexington, Kentucky, for space located at 333 Waller Avenue, Lexington, Kentucky, effective July 1, 2001 through June 30, 2002, for the use of 10,281 square feet of office space, at an annual rate of $118,232.00.

Background: FCR 5, dated October 5, 1985, authorized the President or his designated representative to enter into leases and easements not exceeding $30,000 in value and required that all leases in excess of $30,000 be approved by the Board of Trustees.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 6

Office of the President
June 19, 2001

Members, Board of Trustees:

DRS. MICHAEL AND ELIZABETH KENNAN BURNS GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of $10,000 and a pledge of $400,000 from Drs. Michael and Elizabeth Kennan Burns of Danville, Kentucky, to create and endow the Joe A. and Cecil Dulin Wallace Fund to provide graduate fellowships for three departments in the College of Agriculture.

Background: Dr. Elizabeth Kennan Burns is the former president of Mount Holyoke College in South Hadley, Massachusetts. Dr. Michael Burns was a history professor at Mount Holyoke. They moved to Danville for their retirement after purchasing the farm formerly owned by the Wallaces, now deceased. Mrs. Wallace was a Mount Holyoke alumnae. The donors were motivated to support the University of Kentucky due to their longtime relationship to Lexington horseman and former UK Board of Trustees member, Ted Bates. The endowment is named in memory of the Wallaces and will provide fellowships to graduate students in forestry, veterinary science and horticulture.

The endowment is being funded by an annuity that will provide $40,000 a year for 10 years beginning in February 2003. Four of the annuity payments for years 2003 through 2006, which total $160,000, and the $10,000 gift are eligible to be matched by the state's Research Challenge Trust Fund.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 7

Office of the President
June 19, 2001

Members, Board of Trustees:

EVERETT H. METCALF, JR. ESTATE GIFT

Recommendation: that the Board of Trustees accept the anticipated distribution of $200,000 from the estate of Everett H. Metcalf, Jr., to create and endow the Everett H. Metcalf, Jr. Professorship of Law in the College of Law.

Background: Everett H. Metcalf, Jr., was a 1949 graduate of the UK College of Law. He practiced real estate law in Fort Lauderdale, Florida. He was a member of the College of Law Lafferty Society and the UK Fellows Society. In his will, Mr. Metcalf directed that $200,000 be given to the University of Kentucky College of Law to endow the Everett H. Metcalf, Jr. Professorship. The distribution is expected before the end of 2001. The gift is eligible for matching funds from the state's Research Challenge Trust Fund.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 8

Office of the President
June 19, 2001

Members, Board of Trustees:

FOUNDATION FOR A HEALTHY KENTUCKY PLEDGE

Recommendation: that the Board of Trustees accept a $1,000,000 pledge from the Foundation for a Healthy Kentucky to establish the Endowed Chair/Distinguished Scholar in Rural Health Policy for the University.

Background: The Foundation for a Healthy Kentucky administers an endowment fund from which the accrued interest is used to support and promote better health for the citizens of Kentucky. The Foundation board has voted to provide $1,000,000 to the University to establish the chair/distinguished scholar initiative to support rural health policy research and development. The pledge, which will be paid in 2001, is contingent on receiving $1,000,000 in matching funds from the state's Research Challenge Trust Fund.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 9

June 19, 2001

Members, Board of Trustees:

FIVE PLEDGES FOR DIVISION OF UROLOGY

Recommendation: that the Board of Trustees accept pledges of $90,000 from five individuals to create and endow the UKCUP Endowment for Urologic Research in the Division of Urology in the College of Medicine.

Background: The five donors are all members of the UK Committee for Urologic Progress (UKCUP). Four of the donors – Paul W. Chellgren of Villa Hills, Kentucky, and John R. Hall, James F. Hardymon and Harry "Mac" Zachem, all of Lexington, Kentucky – have pledged $4,000 a year each for five years beginning in 2001 and ending in 2005. Paul W. Honeycutt of Lexington has pledged $2,000 a year for five years beginning in 2001 and ending in 2005. The endowment will support research projects in the Division of Urology. The pledges are contingent on the University's receiving matching funds from the state's Research Challenge Trust Fund.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 10

Office of the President
June 19, 2001

Members, Board of Trustees:

GIFTS AND PLEDGES TO CREATE
THE CHARLES PARKER GRAVES PROFESSORSHIP

Recommendation: that the Board of Trustees accept a pledge of $50,000 from James P. Gray II of Lexington, Kentucky and $7,335 in gifts from other donors to establish and endow the Charles Parker Graves Endowed Professorship in the College of Architecture.

Background: As dean of the College of Architecture from 1964-1972, Charles Parker Graves set high standards for the Kentucky architecture program from its beginning. He enjoyed much early success in recruiting outstanding faculty and students. Mr. Graves served as chairman of the Architecture Department from 1960-1963 when it was part of the College of Engineering, then built the program into a separate college in 1964. The program has been fully-accredited since its inception.

The lead donor in this effort is James P. Gray II, who established this professorship in Mr. Graves' name to assist the college in recruiting and retaining excellent faculty members. Dean Emeritus Graves worked in the architecture offices of the James N. Gray Company upon his retirement from the full-time faculty of the College of Architecture in 1993. Mr. Graves died on April 30, 2001. Memorial gifts have been directed to this endowed professorship in Mr. Graves' name. Gifts totaling $7,335 have been received in memorial to Mr. Graves.

The $50,000 pledge from Mr. Gray will be paid over four years beginning in December 2002. A condition of Mr. Gray's pledge to give $50,000 is that it be matched by the state's Research Challenge Trust Fund. The $7,335 given by friends of Mr. Graves is also eligible to be matched by the RCTF.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 11

Office of the President
June 19, 2001

Members, Board of Trustees:

GLAXOSMITHKLINE GIFT

Recommendation: that the Board of Trustees accept, at the request of the donor, a gift of $60,000 from GlaxoSmithKline, headquartered in London, England, to support the patient database development needs of the Gill Heart Institute through the Division of Cardiology in the College of Medicine.

Background: GlaxoSmithKline is committed to support the stimulation of scientific achievement, medical innovation and healthcare education. The company is a leading, research-based pharmaceutical company with offices throughout the United States and 40 other countries. The company was formed from a merger of Glaxo Wellcome and SmithKline Beecham.

Action taken: ☒ Approved ❑ Disapproved ❑ Other _____

FCR 12

Office of the President
June 19, 2001

Members, Board of Trustees:

HELEN THACKER HILL GIFT OF $40,000 AND LESLIE L. MARTIN GIFT OF $10,000

Recommendation: that the Board of Trustees accept a gift of $40,000 from Helen Thacker Hill of Milledgeville, Georgia, and a gift of $10,000 from Leslie L. Martin of Versailles, Kentucky, to create and endow the Leslie L. Martin Endowed Fellowship Fund in the College of Education.

Background: Helen Thacker Hill received her bachelor's and master's degrees from the UK College of Education where her mentor was Leslie L. Martin, a long-time professor in the college. The fellowship fund will support graduate students in the Department of Educational and Counseling Psychology. The donors made the gift with the expectation that the state's Research Challenge Trust Fund will match the $50,000. Mrs. Hill has made several gifts to the College of Education in recent years.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 13

Office of the President
June 19, 2001

Members, Board of Trustees:

JAMES M. LASSITER ESTATE GIFT

Recommendation: that the Board of Trustees accept a distribution of $250,000 and an anticipated distribution of $50,000 from the estate of James M. Lassiter of Murray, Kentucky, for the College of Law to create and endow the James and Mary Lassiter Endowed Fellowship funded at $200,000 and to create and endow the James and Mary Lassiter Endowed Professorship funded at $100,000.

Background: Judge James M. Lassiter was a 1949 graduate of the College of Law. He served as judge of the 42nd Judicial Circuit of Kentucky for 18 years and as commonwealth attorney for the circuit for 13 years. He died in May, 2000. The initial distribution of $500,000 from the Lassiter estate was accepted by the Board in January 2001 and created an endowed chair when matched by the state's Research Challenge Trust Fund (RCTF).

This $250,000 distribution and $50,000 anticipated distribution accepted today are eligible for matching funds from the RCTF. The professorship will provide the resources to recruit prominent legal scholars to the college. The fellowship will assist in attracting outstanding students. The Lassiter estate executor anticipates that the $50,000 distribution will be made within four years.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 14

Office of the President
June 19, 2001

Members, Board of Trustees:

JONNIE WILLIAMS GIFT

Recommendation: that the Board of Trustees accept a gift of $221,875 from Jonnie Williams of Chester, Virginia, for the Harold R. Burton Endowed Professorship in Plant Biochemistry in the Department of Agronomy in the College of Agriculture.

Background: Mr. Williams and Star Scientific, Inc., the company he founded, has maintained a longstanding relationship with UK researcher and professor, Dr. Harold R. Burton. Star Scientific made a gift of $396,875 in January 2001, to establish the professorship in honor of Dr. Burton. The company's gift was matched by the state's Research Challenge Trust Fund (RCTF). Mr. William's gift is contingent on a match by the RCTF. Star Scientific is a manufacturer of tobacco products and is engaged in research and development of smoking cessation products.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 15

Office of the President
June 19, 2001

Members, Board of Trustees:

MADELINE F. JAMES CANCER RESEARCH ENDOWMENT CHANGE

Recommendation: that the Board of Trustees approve changing the Madeline F. James Cancer Research Endowment to the Madeline F. James Professorship/Chair in Cancer Research.

Background: The Board of Trustees accepted in May 2001 a $171,336 gift from the estate of Madeline F. James to create the Madeline F. James Cancer Research Endowment in the Markey Cancer Center. The state's Research Challenge Trust Fund matched the gift. Markey Cancer Center desires to change the focus of the initiative to support an endowed professorship/chair to be used for retention and recruitment of outstanding faculty. The cancer center plans to raise additional funds over the next five years to elevate the initiative from a professorship to a chair.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 16

Office of the President
June 19, 2001

Members, Board of Trustees:

MEDTRONIC, INC. GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of $50,000 and pledge of $50,000 from Medtronic, Inc., of Minneapolis, Minnesota, to support educational programs in the Division of Cardiology of the College of Medicine.

Background: Medtronic, Inc. is making the gift to support development of educational programs, data gathering and statistical analysis of heart failure rates for people in Kentucky. The company is recognized as the world leader in medical technology for heart disease, neurological disorders and vascular illnesses. Medtronic plans to fulfill the pledge by December 31, 2001.

Action taken: ☒ Approved ❑ Disapproved ❑ Other _____

FCR 17

Office of the President
June 19, 2001

Members, Board of Trustees:

SPINAL CORD AND BRAIN INJURY ENDOWMENT CHANGE

Recommendation: that the Board of Trustees approve changing the Spinal Cord and Brain Injury Postdoctoral/Graduate Student Fellowship Endowment to the Spinal Cord and Brain Injury Chair No. 5 in the College of Medicine.

Background: In March 1999 the Kentucky Spinal Cord and Head Injury Trust pledged $2,000,000 to establish three endowed chairs funded at $500,000 each and an endowment for spinal cord and brain injury graduate student and fellowship research support also funded at $500,000. The state's Research Challenge Trust Fund matched the pledge. The Kentucky Spinal Cord and Head Injury Trust board subsequently decided to provide fellowship support directly to the program rather than through an endowment. As a result of that decision, the UK Spinal Cord and Brain Injury program requested and was granted permission by the trust to use the $500,000 designated for the graduate student fellowship to support an endowed chair. It will be the brain injury program's fifth endowed chair.

By this action, the board is approving renaming the initiative and redesignating use of the funds for an endowed chair.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 18

Office of the President
June 19, 2001

Members, Board of Trustees:

THE OXLEY FOUNDATION PLEDGE

Recommendation: that the Board of Trustees accept a pledge of $500,000 from The Oxley Foundation of Tulsa, Oklahoma, for the William T. Young Library Endowment to support the library collection for the benefit of research and graduate programs of the University.

Background: The Oxley Foundation was established in 1986 by businessman and horseman John T. Oxley, owner of 2001 Kentucky Derby winner Monarchos and Fawn Leap Farm in Midway, Kentucky. He is a friend of horseman William T. Young after whom the University library and its endowment are named. The pledge will be paid in five annual installments of $100,000 beginning in May 2002. The pledge is eligible for matching funds from the state's Research Challenge Trust Fund.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 19

Office of the President
June 19, 2001

Members, Board of Trustees:

LUCILLE CAUDILL LITTLE PLEDGE

Recommendation: that the Board of Trustees accept a pledge of $1,000,000 from Mrs. Lucille C. Little to establish and endow the Lucille Caudill Little Fine Arts Library and Learning Center Fund. The income from the endowment will be used to purchase books and other research materials for the library that supports the graduate and research programs of the College of Fine Arts.

Background: Mrs. Little, a philanthropist and longtime patron of the arts in Lexington and Central Kentucky, is one of the University's most generous benefactors. Two other recent gifts include a donation of $1,000,000 to establish the Lucille C. Little Fine Arts Library and Learning Center, and $500,000 to establish the Lucille C. Little Endowment for Theater, a fund to support historical research, productions and other creative activity, as well as to provide graduate fellowships. The endowment is being funded by a cash gift of $1,000,000 from Mrs. Little, and the gift is eligible to be matched by the state's Research Challenge Trust Fund.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 20

Office of the President
June 19, 2001

Members, Board of Trustees:

GRANT OF WATER PIPELINE EASEMENT TO U.S. FILTER OPERATING SERVICES, INC., AND GRANT OF POWER LINE EASEMENT TO KENTUCKY MOUNTAIN POWER LLC, TO SUPPORT A REGIONAL INDUSTRIAL PARK IN KNOTT COUNTY, KENTUCKY AND ITS FIRST TENANT, A 500-MEGAWATT POWER PLANT

Recommendation: that the Board of Trustees authorize the Administration to execute easements to U.S. Filter Operating Services, Inc. for construction of a 9600 foot water pipeline across the Rose Branch and Bear Branch tracts owned by the University of Kentucky in Breathitt County and to Kentucky Mountain Power, LLC for construction of a power line across the Hurricane Branch tract owned by the University in Knott County.

Background: These tracts are three of the "outlying" Robinson Forest tracts which have been or will be mined. The easements are in support of a new regional industrial park in Knott County and its first tenant, a 500-megawatt power plant employing clean coal technology, owned by Kentucky Mountain Power. Kentucky Mountain Power has donated 800 acres of land to the Commonwealth of Kentucky for development of the industrial park. The state has committed to road and bridge funds for an access road into the industrial site. The industrial park will be located at the Starfire Coal Mine immediately south of the Robinson Forest. Other areas of the mine are currently used for University research projects, including the Department of Forestry's surface mine reforestation demonstration project. The water treatment facilities and 21-mile long pipeline will be built and operated by U.S. Filter and will transport water from the Kentucky River near Jackson to the industrial park. The pipeline will assure a reliable supply of water for the industrial park, the power plant and area residents, although a significant amount of the water will be supplied from an aquifer constructed by the coal company in cooperation with the Kentucky Geological Survey. The power line will connect the power plant to the transmission grid. U.S. Filter has agreed to relocate the pipeline if it interferes with future coal mining on the Rose Branch tract.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 21

Office of the President
June 19, 2001

Members, Board of Trustees:

SETTLEMENT OF BOUNDARY DISPUTE
ROBINSON FOREST ROSE BRANCH TRACT

Recommendation: that the Board of Trustees authorize the President to resolve a boundary line dispute at the Rose Branch tract of the Robinson Forest in Breathitt County by executing a quitclaim deed conveying approximately 20 acres to Ms. Gloria Prater, et al.

Background: The 450-acre Rose Branch tract of the Robinson Forest lies in central Breathitt County about eight air miles from the main block of the Forest, and adjoins the property of the Quicksand Substation. It is one of the outlying tracts of the Forest which is under lease for coal mining. Mining activities are not currently scheduled for the tract. The ownership of approximately 20 acres of surface rights has been in dispute for many years. Both the University's and the Prater's deeds arguably cover the disputed surface area. Because of the uncertainty of the outcome of a lawsuit to determine ownership, the University administration has determined that relinquishing the University's claim to the surface rights is the most cost-effective way to resolve the issue. There is no significant coal on this portion of the Rose Branch tract. In return for the quitclaim deed, Ms. Prater has agreed to grant an easement over her property allowing the University access to the remainder of its Rose Branch tract.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 22

Office of the President
June 19, 2001

Members, Board of Trustees:

AUTHORIZATION TO CONVEY 0.2126 ACRES AT
JEFFERSON COMMUNITY COLLEGE
TO THE CITY OF LOUISVILLE, KENTUCKY, FOR SECOND STREET WIDENING

Recommendation: that the Board of Trustees authorize the Vice President for Fiscal Affairs to convey to the City of Louisville, Kentucky, for the use and benefit of the City Department of Public Works, 0.2126 acres (with necessary construction and access easements) for public roadway improvement (Second Street Widening) along a portion of Jefferson Community College property.

Background: The City of Louisville proposes to pay a total of $322,500.00 for the right-of-way which will be acquired in fee simple. This purchase price is based upon an appraisal by the City of Louisville. The City of Louisville (or its representatives) will relocate any utilities within the project area.

This public roadway improvement project has been identified as Second Street Widening (with state and federal funds), the plans for which are on file in the office of the Transportation Cabinet in Frankfort, Kentucky. This project extends along Jefferson Community College on Second Street between Gray Street and Broadway. The work will include doing grade work as well as adding travel lanes and other construction which will include curb, gutter and sidewalks.

Documents to be executed by the University include a Memorandum of Understanding with the Department of Highways and a Deed conveying the property in fee simple to the City of Louisville, for the use and benefit of the City Department of Public Works.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 23

Office of the President
June 19, 2001

Members, Board of Trustees:

AUTHORIZATION TO CONVEY 0.287 ACRES AT
PRESTONSBURG COMMUNITY COLLEGE
TO DEPARTMENT OF HIGHWAYS FOR RIGHT-OF-WAY PURPOSES

Recommendation: that the Board of Trustees authorize the Vice President for Fiscal Affairs to convey to the Department of Highways 0.287 acres (with necessary construction and access easements) for public highway improvement along a portion of Prestonsburg Community College property.

Background: The Department of Highways proposes to pay a total of $82,850.00 for the right-of-way which will be acquired in fee simple. This purchase price is based upon an appraisal by the Department of Highways. The Department of Highways (or its representatives) will relocate any utilities within the project area.

This public highway improvement project will three-lane a portion of KY 1428 (University Drive) in front of Prestonsburg Community College. The work will include doing grade work as well as adding travel lanes and other construction which will include curb, gutter and sidewalks.

Documents to be executed by the University include a Memorandum of Understanding with the Department of Highways and a Deed conveying the property in fee simple to the Commonwealth, for the use and benefit of the Department of Highways.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 24

Office of the President
June 19, 2001

Members, Board of Trustees:

PATENT ASSIGNMENT REPORT

Recommendation: that the patent assignment report for the period April 1 through May 31, 2001, be accepted.

Background: FCR 5, dated March 4, 1997, authorized that all future copyright and patent filings and prosecutions be conducted by the University of Kentucky Research Foundation (UKRF), and that the Vice President for Research and Graduate Studies or his designee be authorized to execute any needed documents to obtain appropriate patent or copyright protection. 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 REPORT FOR THE PERIOD APRIL 1 THROUGH MAY 31, 2001

Patents

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

1. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "METHOD TO IMPAIR HEMATOLOGIC CANCER PROGENITOR CELLS AND COMPOUNDS RELATED THERETO." Inventor: Craig Jordan. Primitive or progenitor hematologic cancer cells have been implicated in the early stages and development of leukemia and malignant lymphoproliferative disorders, including acute myelogenous leukemia (AML), chronic myelogenous leukemia (CML) and chronic lymphoid leukemia (CLL). Interleukin-3 receptor alpha chain (IL-3r alpha or CE123) is strongly expressed on progenitor hematologic cancer cells, but is virtually undetectable on normal bone marrow cells. The present invention provides methods of impairing progenitor hematologic cancer (e.g., leukemia and lymphomic) cells by selectively targeting cells expressing CD123. These methods are useful in the detection and treatment of leukemia and malignant lymphoproliferative disorders. Also provided are compounds useful for selectively binding to CD123 and impairing progenitor hematologic cancer cells. These compounds may include cytotoxic moieties such as, for example, radioisotopes or chemotherapeutics.

2. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "TECHNOLOGY AND METHODOLOGY FOR THE PRODUCTION OF HIGH QUALITY POLYMER FILLER AND SUPER-POZZOLAN FROM FLY ASH." Inventors: Thomas L. Robl and John G. Groppo. This invention provides a novel method for producing fly ash with a range of particle sizes from about 2.0 to about 4.0 micro-meter is provided utilizing superplasticizers. The method produces fly ash material suitable for use as filler material in the plastics industry and super pozzolan for the concrete industry

3. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "PH-SENSITIVE MUCOADHESIVE FILM-FORMING GELS AND WAX-FILM COMPOSITES SUITABLE FOR TOPICAL AND MUCOSAL DELIVERY OF MOLECULES." Inventors: Russell Mumper and Michael Jay. This invention provides for the preparation of novel microemulsions to be used as precursors for solid nanoparticles. The microemulsion precursors consist of either alcohol-in-fluorocarbon microemulsions, liquid hydrocarbon-in-fluorocarbon microemulsions, or liquid hydrocarbon-in-water microemulsions. The formed solid nanoparticles have diameters below 200 nanometers and can be made to entrap various materials including drugs, magnets, and sensors. The solid nanoparticles can be made to target different cells in the body by the inclusion of a cell-specific targeting ligand. The invention also provides methods of preparing the novel microemulsion precursors and methods to cure solid nanoparticles.

4. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "MICROEMULSIONS AS PRECURSORS TO SOLID NANOPARTICLES." Inventors: Russell Mumper and Michael Jay. This invention provides for the preparation of novel microemulsions to be used as precursors for solid nanoparticles. The microemulsion precursors consist of either alcohol-in-fluorocarbon microemulsions, liquid hydrocarbon-in-fluorocarbon microemulsions, or liquid hydrocarbon-in-water microemulsions. The formed solid nanoparticles have diameters below 200 nanometers and can be made to entrap various materials including drugs, magnets, and sensors. The solid nanoparticles can be made to target different cells in the body by the inclusion of a cell-specific targeting ligand. The invention also provides methods of preparing the novel microemulsion precursors and methods to cure solid nanoparticles.

5. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "TRICHOME SPECIFIC REGULATORY SEQUENCE." Inventors: George Wagner, Susheng Gan, Erming Wang, and Rui Wang. This invention relates to a trichome specific regulatory sequence such as a promoter, and heterologous constructs comprising the trichome specific regulatory sequence and DNAs encoding a single or multiple polypeptide of interest.

6. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "IODINE UPTAKE RESTORATION IN THYROID CANCER." Inventors: Kenneth B. Ain and Gopalakrishnan Venkataraman. This invention provides a method of expressing a tumor specific therapeutic response element in a cancer cell in which a response element was previously blocked from expression. The method comprises the step of administering an unblocking agent to the cancerous cell harboring a gene encoding the response element, thereby resulting in the expression of the response element.

7. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "PACKET-SWITCHING NETWORK WITH SYMMETRICAL TOPOLOGY AND METHOD OF ROUTING PACKETS." Inventor: Nader F. Mir. This invention provides a mesh network for routing a plurality of data segments therethrough, where each of the data segments contains address information. The network includes: a first, second, and third switch element each having a respective external output for routing data segments into the network and a respective external output for routing data segments out of the network; a bi-directional coupling between each of the switch elements; and a first controller for interrogating the address information of each of the data segments inbound into the first switch element. The exit pathway for any inbound data segment received by a switch element is selected according to the address information of that data segment, and if a contention exists for the exit pathway, further according to a priority designator of that data segment. The first external output, if free and if the first switch element is the outbound destination for that data segment, will be selected as the exit pathway, otherwise one of said bi-directional couplings in communication with the first switch element will be selected as the exit pathway. Also, an associated method and computer executable program code on a computer readable storage medium for routing a plurality of data segments through a mesh network.

8. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "HUMAN REV1 GENE AND PROTEIN AS DIAGNOSTIC, PREVENTIVE, AND THERAPEUTIC TARGETS." Inventors: Zhigang Wang, Wensheng Lin, Hua Xin and Xiaohua Wu. This invention relates to a human cDNA homologous to the yeast REV1 gene. The sequence of human REV1 (hREV1) gene is described.

9. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "METHOD OF SOLUBILIZING SINGLE-WALLED CARBON NANOTUBES IN ORGANIC SOLUTIONS." Inventors: Robert C. Haddon and Jian Chen. Naked single-walled nanotube carbon metals and semiconductors were dissolved in organic solutions by derivatization with SOC12 and octadecylamine. Both ionic (charge transfer) and covalent solution phase chemistry with concomitant modulation of the single-walled carbon nanotubes (SWNT) band structure were demonstrated. Solution phase near-IR spectroscopy was used to study the effects of chemical modifications on the bond gaps of the SWNTs. Reaction of solubilized SWNTs with dichlorocarbene led to functionalization of the nanotube walls.

FCR 25

Office of the President
June 19, 2001

Members, Board of Trustees:

CAPITAL CONSTRUCTION REPORT

Recommendation: that the capital construction report for the three months ending March 31, 2001, be accepted. This report contains capital projects that have a dollar value of $400,000 and above.

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.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

CAPITAL CONSTRUCTION CONTRACTS
QUARTERLY ACTIVITY REPORT

This report contains capital projects that have a dollar scope value of $400,000 and above. The projects are listed in alphabetical order and contain the project number, the dollar scope, a brief description of the project work and information pertaining to the primary consultant's contract and the primary contractor's contract. This information includes:

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY REPORT

Glossary

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Aging/Allied Health Phase II

Project Number: 1651.1

Scope: $35,600,000

Project Description:

Expansion of the Aging/Allied Health facilities to include approximately 184,000 gross square feet of new space for the College of Allied Health; offices for the Center on Aging; Administrative Offices; the Medical Center Bookstore; and a Nursing Teaching Facility.

Consultant: CMW, Inc.

Contract # A981240		Original Contract Amount:	$310,500
Total Amendments to Date:	(3)	Cumulative Amendment Amount:	$2,030,841
		Revised Contract Amount:	$2,341,341

Describe all amendments :

Amendment #1, 5/19/99 an increase of $1,829,926 was approved to provide additional design services. This amendment covers additional Consultant services for Phases 2-5. **Amendment #2**, 1/5/00, an increase of $125,000 was approved to provide reimbursable services for a resident inspector and vibration monitoring. **Amendment #3**, 2/21/00, an increase of $75,915 was approved to provide additional design services required for increasing the project scope and reimbursable services for a constructability review.

No amendments this quarter.

Contractor: D.W. Wilburn, Inc.

Contract # X012376		Original Contract Amount:	$29,770,000
Total Change Orders to Date:	(36)	Cumulative Change Order Amount:	$972,448
Low Bid:	$29,770,000	Revised Contract Amount:	$30,742,448
High Bid:	$33,000,000	Contract Percent Complete:	51%
Number of Bids:	5	Contract Substantially Complete:	01/14/2002

Describe all change orders greater than $25,000.00:

Change Order #4, 5/10/00, an increase of $56,268 was approved to raise the height of Hospital Drive and adjoining access drives. **Change Order #6**, 5/25/00, an increase of $96,735 was approved to provide various modifications to the direct bury steam line. **Change Order #8**, 8/30/00, an increase of $83,302 was approved to change external expansion joints to internal expansion joints in the steam line. **Change Order #17**, 9/30/00, an increase of $49,395 was approved to change the signaling at Rose Street and to add equipment as mandated by state review. **Change Order #25**, 12/14/00, an increase of $51,813.25 was approved to modify architectural, structural, mechanical and electrical requirements per the post bid addendum. **Change Order #26, 1/9/01, an increase of $34,460.90, was approved to relocate four existing water lines found to be in the path of tunnel construction. Change Order #27, 1/11/01, an increase of $35,180.05, was approved to modify grading and clarify sign replacement work in front of the Nursing College and Pharmacy College. Change Order #29, 1/25/01, an increase of $54,022.24, was approved to lower vault MH-407-1 in order to allow grading at Hospital Drive to work with the building and pedway. Change Order #30, 1/31/01, an increase of $418,664.90, was approved to add chilled water piping to basement and west yard.**

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Animal Science Research Center

Project Number: 1626.0

Scope: $12,480,000

Project Description:
Implement a development plan for the Woodford County Farm.

Consultant: Pearson + Bender + Jolly, Architects

Contract # A961470		Original Contract Amount:	$630,000
Total Amendments to Date:	(3)	Cumulative Amendment Amount:	$73,677
		Revised Contract Amount:	$703,677

Describe all amendments :

Amendment #1, 3/20/98, an increase of $10,820 was approved to provide additional Consultant services for Phases 3-5 to separate the site utilities portion of the project for separate bidding and contract administration. **Amendment #2**, 1/7/99, an increase of $1,002 was approved to provide an additional site visit by the consultant to inspect the delivery of the precast concrete floor drainage slats for the swine unit and to reimburse actual travel costs for the site visit. **Amendment #3,** 12/13/00, an increase of $61,855 was approved to provide additional Consultant services for Phase 5 to design and administer additional work associated with the coordination of owner furnished equipment.

No amendments this quarter.

Contractor: D.W, Wilburn

Contract # U-003971-97		Original Contract Amount:	$10,146,000
Total Change Orders to Date:	(71)	Cumulative Change Order Amount:	$566,935
Low Bid:	$10,146,000	Revised Contract Amount:	$10,712,935
High Bid:	$11,746,000	Contract Percent Complete:	99%
Number of Bids:	5	Contract Substantially Complete:	09/30/2000

Describe all change orders greater than $25,000.00:

Notes: Change Order #17, 12/14/98, an increase of $59,102.26 was approved to install concrete footings for silos at the Beef Nutrition Center, the Sheep Nutrition Center, and the waste storage areas. **Change Order #19**, 12/4/98, an increase of $38,231.75 was approved to redesign the run-off and collection system at three paved beef lots. **Change Order #23**, 2/12/99, an increase of $47,222.50 was approved to excavate rock for the site water line. **Change Order #42**, 6/21/99, an increase of $41,755 was approved to excavate rock for the swine waste piping system. **Change Order #59**, 2/29/00, an increase of $29,031.75 was approved to install supports for the tubeaxial fan stacks. **Change Order #61**, 5/10/00, an increase of $96,489.75 was approved to change motors and controls on overhead coiling doors.

No change orders to report this quarter.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Arboretum Visitor Education Center Phase I

Project Number: 1903.0

Scope: $563,385

Project Description:
Construction of a 3,000 gross square foot Visitor Center to include: Gift Shop, Storage, Administration, and Multi-purpose Storage Room.

Consultant: Pearson / Bender Associates PLC

Contract # A001410		Original Contract Amount:	$36,750
Total Amendments to Date:	(1)	Cumulative Amendment Amount:	$5,512
		Revised Contract Amount:	$42,262

Describe all amendments :

Amendment #1, 2/13/01, an increase of $5,512.00, was approved to provide additional schematic design services for Phase 1.

Contractor:

Contract #		Original Contract Amount:	
Total Change Orders to Date:	(0)	Cumulative Change Order Amount:	
Low Bid:		Revised Contract Amount:	
High Bid:		Contract Percent Complete:	
Number of Bids:		Contract Substantially Complete:	

Describe all change orders greater than $25,000.00:
No construction contracts awarded to date.

Biomedical /Biological Sciences Research Bldg

Project Number: 1876.0

Scope: $65,000,000

Project Description:
The new structure will serve as a state of the art facility for collaboration in research and graduate education, biological chemistry, genetics, molecular and cellular biology, neuroscience and related fields. The design will allow the faculty of multidisciplinary teams to be housed in adjoining labs.

Consultant: A.M. Kinney

Contract # A001400		Original Contract Amount:	$5,600,000
Total Amendments to Date:		Cumulative Amendment Amount:	
		Revised Contract Amount:	$5,600,000

Describe all amendments :

No amendments this quarter.

Contractor:

Contract #		Original Contract Amount:	
Total Change Orders to Date:	(0)	Cumulative Change Order Amount:	
Low Bid:		Revised Contract Amount:	
High Bid:		Contract Percent Complete:	
Number of Bids:		Contract Substantially Complete:	

Describe all change orders greater than $25,000.00:
No construction contracts awarded to date.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Central Fire Alarm Systems

Project Number: 1718.0

Scope: $690,000

Project Description:
Upgrade/install new fire alarm systems in Bowman, Bradley, Breckinridge and Kinkead Halls. Project will also include evaluation of existing central system and a long range plan for future development of the central fire alarm system.

Consultant: Staggs & Fisher
Contract # A981230
Total Amendments to Date: (0)

Original Contract Amount: $56,300
Cumulative Amendment Amount:
Revised Contract Amount: $56,300

Describe all amendments :
No amendments this quarter.

Contractor: Simplex
Contract # X102556
Total Change Orders to Date: (0)
Low Bid: $444,575
High Bid: $0
Number of Bids: 1

Original Contract Amount: $444,575
Cumulative Change Order Amount:
Revised Contract Amount: $444,575
Contract Percent Complete:
Contract Substantially Complete:

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

Chemotherapy Infusion Center Expansion

Project Number: 1894.0

Scope: $471,840

Project Description:
Renovate approximately 2,400 gross square feet of the first floor of the Markey Cancer Center's Roach Building to house the chemotherapy infusion center.

Consultant: Gartner, Burdick, Bauer-Nilsen, Inc. (GBBN)
Contract # A001370
Total Amendments to Date: (0)

Original Contract Amount: $39,170
Cumulative Amendment Amount:
Revised Contract Amount: $39,170

Describe all amendments :
No amendments this quarter.

Contractor:
Contract #
Total Change Orders to Date: (0)
Low Bid:
High Bid:
Number of Bids:

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

Describe all change orders greater than $25,000.00:
No construction contracts awarded to date.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Classroom Building Lexington Community College

Project Number: 1967.0

Scope: $1,000,000

Project Description:
The approximately 85,000 gross square foot new facility will meet the need for additional space.

Consultant: Ross / Tarrant Architects

Contract # A011170		Original Contract Amount:	$950,000
Total Amendments to Date:	(0)	Cumulative Amendment Amount:	
		Revised Contract Amount:	$950,000

Describe all amendments :

No amendments this quarter.

Contractor:

Contract #		Original Contract Amount:	
Total Change Orders to Date:	(0)	Cumulative Change Order Amount:	
Low Bid:		Revised Contract Amount:	
High Bid:		Contract Percent Complete:	
Number of Bids:		Contract Substantially Complete:	

Describe all change orders greater than $25,000.00:

No construction contracts awarded to date.

Coldstream Development Project III

Project Number: 1768.0

Scope: $1,200,000

Project Description:
Design and construct a 10,000 gross square foot single story building to house the Aluminum Research Facility for Southeastern Center for Aluminum Technology.

Consultant:

Contract #		Original Contract Amount:	
Total Amendments to Date:	(0)	Cumulative Amendment Amount:	
		Revised Contract Amount:	

Describe all amendments :

NOTE: This project is a design/build project. Therefore, no additional consultant services are required.

Contractor: Denham Blythe

Contract # X012066		Original Contract Amount:	$1,022,296
Total Change Orders to Date:	(0)	Cumulative Change Order Amount:	
Low Bid:		Revised Contract Amount:	$1,022,296
High Bid:		Contract Percent Complete:	97%
Number of Bids:		Contract Substantially Complete:	09/29/2000

Describe all change orders greater than $25,000.00:

Note: This project is for design/build services. Therefore, the contractor was selected by Request For Proposal competitive negotiation rather than the normal bid process.

No change orders greater than $25,000.00 this quarter.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Commonwealth Stadium Field Renovation

Project Number: 1919.0

Scope: $1,375,000

Project Description:
Renovate the playing field at Commonwealth Stadium.

Consultant: Jeffrey L. Bruce & Co

Contract # A011050		Original Contract Amount:	$147,000
Total Amendments to Date: (0)		Cumulative Amendment Amount:	
		Revised Contract Amount:	$147,000

Describe all amendments :

No amendments this quarter.

Contractor: Randall & Blake, Inc.

Contract # X102522		Original Contract Amount:	$997,522
Total Change Orders to Date: (0)		Cumulative Change Order Amount:	
Low Bid: $997,522		Revised Contract Amount:	$997,522
High Bid: $1,612,228		Contract Percent Complete:	41%
Number of Bids: 4		Contract Substantially Complete:	06/15/2001

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

Crisp Building Replacement

Project Number: 1751.0

Scope: $5,200,000

Project Description:
This project will construct a 20,000 gross square foot, two story Education and Challenger Learning Center as part of the University's effort to provide higher level engineering courses to students in Western Kentucky. The project is located on the Campus of Paducah Community College.

Consultant: Sherman Carter Barnhart

Contract # A001390		Original Contract Amount:	$309,800
Total Amendments to Date:		Cumulative Amendment Amount:	
		Revised Contract Amount:	$309,800

Describe all amendments :

No amendments this quarter.

Contractor:

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:		Contract Substantially Complete:	

Describe all change orders greater than $25,000.00:
No construction contracts awarded this quarter.

Electrical Distribution Utility System II

Project Number: 1673.0

Scope: $1,500,000

Project Description:
Improve and upgrade the existing electrical distribution system within the University Hospital, including: replacement of a substation in the Patient Care Addition; replace control system switch gear with new solid state controls; add an additional emergency generator; and replace the ambulant wing transformers.

Consultant: Staggs and Fisher

Contract # A981160		Original Contract Amount:	$110,000
Total Amendments to Date: (1)		Cumulative Amendment Amount:	$18,730
		Revised Contract Amount:	$128,730

Describe all amendments :

Notes: Amendment #1, 8/30/99, an increase of $18,730 was approved to provide additional Consultant services for Phase 3 (construction documents).

Contractor: Spectrum Contracting, Belco Inc.

Contract # X016178, X102658		Original Contract Amount:	$738,920
Total Change Orders to Date: (10)		Cumulative Change Order Amount:	$25,435
Low Bid: $738,920		Revised Contract Amount:	$764,355
High Bid: $2,197,116		Contract Percent Complete:	35%
Number of Bids: 5		Contract Substantially Complete:	04/09/2001

Describe all change orders greater than $25,000.00:

Notes: Low Bid, High Bid and number of bidders represents two contracts awarded. One contract awarded to Spectrum Contracting for installation of owner purchased switch gear and emergency generator; the contract was $329,530. The second contract was awarded to Belco, Inc. at $409,390, and represents an upgrade to the electrical distribution system.

Enhancement of Research Facilities DLAR

Project Number: 1953.0

Scope: $938,133

Project Description:
This project will include the renovation of several rooms, installation of a watering system, and installation of an environmental monitoring system in a research facility support space located in the basements of the Combs building, the Dentistry building, and the Medical Science building. The second site is the College of Pharmacy.

Consultant: Gartner, Burdick, Bauer-Nilsen, Inc. (GBBN)

Contract # A011120		Original Contract Amount:	$92,000
Total Amendments to Date: (0)		Cumulative Amendment Amount:	
		Revised Contract Amount:	$92,000

Describe all amendments :

No amendments this quarter.

Contractor:

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:		Contract Substantially Complete:	

Describe all change orders greater than $25,000.00:

No construction projects awarded to date.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Fine Arts Information Center - King North Renovation

Project Number: 1680.0

Scope: $3,166,761

Project Description:

Renovation of two floors of the King North building following completion of the William T. Young Library.

Consultant: Pearson Bender Associates, PLC

Contract # A971360		Original Contract Amount:	$148,500
Total Amendments to Date:	(6)	Cumulative Amendment Amount:	$142,443
		Revised Contract Amount:	$290,943

Describe all amendments :

$3,166,761 reflects the total project scope of Projects 1680.0 and 1680.1. **Amendment #1**, 10/31/97, an increase of $1,800 was approved to provide Consultant services for air flow testing. **Amendment #2**, 6/30/98, an increase of $43,625 was approved to provide Consultant services through Phase 5 for the redesign of the existing air handling system. **Amendment #3**, 9/28/98, an increase of $48,000 was approved to provide for additional Consultant services through Phase 5 for renovation in M.I. King South to provide space for Special Collections. **Amendment #4**, 1/5/00, an increase of $16,000 was approved to provide additional Consultant services for Phases 3 - 5 to include the facade reconstruction for each building. **Amendment #5, 1/23/01, an increase of $6,270.00, was approved to provide Consultant services for Phase 5 (Construction Administration) for services related to the increased scope of work involving additional mechanical & electrical systems required for completing HVAC and security monitoring controls. Amendment #6, 2/13/01, an increase of $25,443.00, was approved to provide design and construction services related to replacement of existing chilled water valves, communications wiring and equipment, electrical connections to owner purchased equipment and HVAC control wiring.**

Contractor: Eubank & Steele

Contract # X011792		Original Contract Amount:	$2,043,000
Total Change Orders to Date:	(27)	Cumulative Change Order Amount:	-$44,832
Low Bid: $2,043,000		Revised Contract Amount:	$1,998,168
High Bid: $2,087,500		Contract Percent Complete:	99%
Number of Bids: 3		Contract Substantially Complete:	10/02/2000

Describe all change orders greater than $25,000.00:

No change orders greater than $25,000.00 this quarter.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Football Office Complex

Project Number: 1778.0

Scope: $2,875,000

Project Description:

The project involves an addition of approximately 6200 net assignable square feet of space to the existing Nutter Football Training Facility for the construction of a football office complex.

Consultant: Arrasmith, Judd, Rapp, Inc.

Contract # A001040	Original Contract Amount:	$110,000
Total Amendments to Date: (0)	Cumulative Amendment Amount:	
	Revised Contract Amount:	$110,000

Describe all amendments :

No amendments this quarter.

Contractor: E.H. Construction, LLC

Contract # X102785	Original Contract Amount:	$2,345,000
Total Change Orders to Date: (0)	Cumulative Change Order Amount:	
Low Bid: $2,345,000	Revised Contract Amount:	$2,345,000
High Bid: $2,636,000	Contract Percent Complete:	9%
Number of Bids: 8	Contract Substantially Complete:	11/15/2001

Describe all change orders greater than $25,000.00:

No change orders greater than $25,000.00 this quarter.

Gluck Equine Research Center Renovation

Project Number: 2005.0

Scope: $4,700,000

Project Description:

The project consists of the renovation of 18,000 gross square feet of existing laboratory space within the Maxwell H. Gluck Equine Research Center. The newly created space will include both offices and laboratories and will also include renovation of three laboratories on the fourth floor.

Consultant: Sherman / Carter / Barnhart

Contract #	Original Contract Amount:	
Total Amendments to Date:	Cumulative Amendment Amount:	
	Revised Contract Amount:	

Describe all amendments :

No amendments this quarter.

Contractor:

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:	Contract Substantially Complete:	

Describe all change orders greater than $25,000.00:

No contracts awarded to date.

Holmes Hall HVAC

Project Number: 1851.0

Scope: $950,000

Project Description:
Provide an HVAC system for Holmes Hall and connection to the University's chilled water system.

Consultant: Biagi, Chance, Cummins, London, Titzer, Inc.

Contract # A001360 — Original Contract Amount: $70,000

Total Amendments to Date: (0) — Cumulative Amendment Amount:

Revised Contract Amount: $70,000

Describe all amendments :

No amendments this quarter.

Contractor: — Original Contract Amount:

Contract # — Cumulative Change Order Amount:

Total Change Orders to Date: — Revised Contract Amount:

Low Bid: — Contract Percent Complete:

High Bid: — Contract Substantially Complete:

Number of Bids:

Describe all change orders greater than $25,000.00:

No construction contracts awarded to date.

Hospital Entrance Lobby Improvements

Project Number: 1979.0

Scope: $465,800

Project Description:
Renovation of University Hospital Lobby.

Consultant: CMW Architects

Contract # A011000B — Original Contract Amount: $90,000

Total Amendments to Date: (0) — Cumulative Amendment Amount:

Revised Contract Amount: $90,000

Describe all amendments :

No amendments this quarter.

Contractor: — Original Contract Amount:

Contract # — Cumulative Change Order Amount:

Total Change Orders to Date: — Revised Contract Amount:

Low Bid: — Contract Percent Complete:

High Bid: — Contract Substantially Complete:

Number of Bids:

Describe all change orders greater than $25,000.00:

No construction contracts awarded to date.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Infrastructure & Lab Module #1 (Hunt Morgan Bldg)

Project Number: 1896.1

Scope: $575,000

Project Description:

Renovate approximately 1250 square feet of vacated library space on the third floor of the Thomas Hunt Morgan Building into a wet bench laboratory.

Consultant: Voelker Winn

Contract # A011100 — Original Contract Amount: $48,000

Total Amendments to Date: (0) — Cumulative Amendment Amount:

Revised Contract Amount: $48,000

Describe all amendments :

No amendments this quarter.

Contractor: — Original Contract Amount:

Contract # — Cumulative Change Order Amount:

Total Change Orders to Date: — Revised Contract Amount:

Low Bid: — Contract Percent Complete:

High Bid: — Contract Substantially Complete:

Number of Bids:

Describe all change orders greater than $25,000.00:

No construction contracts awarded to date.

Infrastructure Utility Upgrade Phase II - Cooling Plant #1

Project Number: 1997.0

Scope: $13,185,000

Project Description:

Project consists of replacing cooling towers, pumps, chillers, and piping in Cooling Plant #1. New chilled water and condenser piping will be installed and sized for future replacement of all chillers.

Consultant: Staggs and Fisher

Contract # — Original Contract Amount:

Total Amendments to Date: — Cumulative Amendment Amount:

Revised Contract Amount:

Describe all amendments :

Consultant selected, contract being negotiated.

Contractor: — Original Contract Amount:

Contract # — Cumulative Change Order Amount:

Total Change Orders to Date: — Revised Contract Amount:

Low Bid: — Contract Percent Complete:

High Bid: — Contract Substantially Complete:

Number of Bids:

Describe all change orders greater than $25,000.00:

No contracts awarded to date.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Infrastucture Utility Upgrade Phase I

Project Number: 1949.0

Scope: $10,865,275

Project Description:
The project consists of an upgrade to utilities that feed the Southern most portion of Campus. The project is composed of seven (7) major components as follows: (1) A primary electrical duct back along the east side of Limestone Street (2) A new communications duct bank along the east side of Rose Street (3) Revovation of Cooling Plant #3 to add cooling tower capacity & replace an existing chiller. (4) Construct a new utility tunnel & installation of chilled water & steam piping from the Critical Care Ctr. across Hosptial Drive to Cooling Plant #3. (5) Install a new steam line in the ground floor of the UK Hospital. (6) A new communications duct bank from the Med. Ctr. to the Agricultural Sciences Campus. (7) A new primary duct bank from Substation #1 to MH #E413.

Consultant: Staggs and Fisher

Contract # A011180	Original Contract Amount:	$252,583
Total Amendments to Date:	Cumulative Amendment Amount:	
	Revised Contract Amount:	$252,583

Describe all amendments :

No amendments this quarter.

Contractor: English Paving

Contract # X104409	Original Contract Amount:	$6,905,000
Total Change Orders to Date:	Cumulative Change Order Amount:	
Low Bid: $6,905,000	Revised Contract Amount:	$6,905,000
High Bid: $7,735,000	Contract Percent Complete:	4%
Number of Bids: 5	Contract Substantially Complete:	03/05/2002

Describe all change orders greater than $25,000.00:

No change orders greater than $25,000.00 this quarter.

Lex Campus Fume Hood Upgrade (Anderson Tower)

Project Number: 1653.3

Scope: $2,454,612

Project Description:
Upgrade the existing mechanical fume hood systems in the buildings.

Consultant: Biagi, Chance, Cummins. London, Titzer, Inc.

Contract # A991080	Original Contract Amount:	$74,636
Total Amendments to Date: (1)	Cumulative Amendment Amount:	$105,204
	Revised Contract Amount:	$179,840

Describe all amendments :

Amendment #1, 10/1/99, an increase of $105.204 was approved to provide additional Consultant services for Phases 2-5.

Contractor: Spectrum Contracting

Contract # X015823	Original Contract Amount:	$1,648,305
Total Change Orders to Date: (9)	Cumulative Change Order Amount:	$23,278
Low Bid: $1,648,305	Revised Contract Amount:	$1,671,583
High Bid: $1,985,650	Contract Percent Complete:	86%
Number of Bids: 3	Contract Substantially Complete:	03/26/2001

Describe all change orders greater than $25,000.00:

No change orders greater than $25,000.00 this quarter.

King South Renovation (Facade)
Project Number: 1770.0
Scope: $976,000

Project Description:
Renovation of the exterior of M.I. King South using brick veneer facade replicating details of the original building.

Consultant: Pearson/Bender Associates

Contract # A991220		Original Contract Amount:	$61,430
Total Amendments to Date: (3)		Cumulative Amendment Amount:	$26,605
		Revised Contract Amount:	$88,035

Describe all amendments :

Notes: Amendment #1, 3/31/00, an increase of $2,202 was approved to provide additional Consultant services for design improvements to the entrance plaza. **Amendment #2,** 10/10/00, an increase of $9,217 was approved to provide additional Consultant services for Phase 5 services related to the increased scope of work. **Amendment #3, 2/09/01, an increase of $15,186 was approved to provide Consultant services for Phase 5 services related to the increased scope of work involving expansion of the plaza area between King South, Pence Hall and Chemistry/Physics Buildings.**

Contractor: Spectrum Contracting Services, Inc.

Contract # U-004994-98		Original Contract Amount:	$519,107
Total Change Orders to Date:	(13)	Cumulative Change Order Amount:	$79,345
Low Bid:	$519,107	Revised Contract Amount:	$598,452
High Bid:	$669,200	Contract Percent Complete:	99%
Number of Bids:	3	Contract Substantially Complete:	06/20/2000

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

Mechanical Engineering Building
Project Number: 1740.1
Scope: $24,775,000

Project Description:
Construct a 114,000 gross square foot facility located adjacent to the Civil Engineering Building and Miller Hall, on the site previously occupied by the Engineering Quadrangle (Anderson Hall).

Consultant: Anshen & Allen Architects, Inc.

Contract # A991110		Original Contract Amount:	$1,865,000
Total Amendments to Date:	(2)	Cumulative Amendment Amount:	$194,535
		Revised Contract Amount:	$2,059,535

Describe all amendments :

Amendment #1, 4/14/00, an increase of $100,000 was approved to provide resident inspector services. **Amendment #2, 2/13/01, an increase of $94,535.00, was approved to provide additional design services that include reconstructing and extending campus walkways, restoring the area to a natural landscaped condition and designing a utility tunnel extension.**

Contractor: Whittenberg Construction Company

Contract # X012689		Original Contract Amount:	$20,238,000
Total Change Orders to Date:	(15)	Cumulative Change Order Amount:	$176,311
Low Bid:	$20,238,000	Revised Contract Amount:	$20,414,311
High Bid:	$21,973,000	Contract Percent Complete:	48%
Number of Bids:	7	Contract Substantially Complete:	02/06/2002

Describe all change orders greater than $25,000.00:
Change Order #10, 2/19/01, was approved for $33,630.00 to remove mud seams under column locations and fill with concrete; remove bad soil in administration block and fill with stone.

North Campus Chilled Water Main Phase II

Project Number: 1779.0

Scope: $793,503

Project Description:
The project is the second phase of a multi-phase effort to expand the north campus chilled water lines of the Central Chilled Water System of the University of Kentucky. The installation will include a new connector line into Holmes Hall.

Consultant: Staggs and Fisher Consulting

Contract # A001060		Original Contract Amount:	$59,500
Total Amendments to Date: (2)		Cumulative Amendment Amount:	$13,528
		Revised Contract Amount:	$73,028

Describe all amendments :

Notes: Amendment #1, 11/11/99, an increase of $1,632.75 was approved to provide geotechnical services. **Amendment #2,** 12/31/00, an increase of $11,895 was approved to provide a design including plans and specifications of extending the chilled water piping within Manhole #2 under this contract to a location just within the basement in Blazer Hall and Patterson Hall.

Contractor: Lagco, Inc.

Contract # X013094		Original Contract Amount:	$587,970
Total Change Orders to Date:	(9)	Cumulative Change Order Amount:	$19,029
Low Bid:	$587,970	Revised Contract Amount:	$606,999
High Bid:	$648,100	Contract Percent Complete:	99%
Number of Bids: 2		Contract Substantially Complete:	08/14/2000

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

Parking Structure #2 Expansion & Renovation

Project Number: 1799.0

Scope: $11,000,000

Project Description:
Renovate and expand Parking Structure #2. This project includes a horizontal expansion of the structure to create 300 additional parking spaces. Underground office space and communications space will be retained.

Consultant: Gartner, Burdick, Bauer-Nilsen, Inc. (GBBN)

Contract # A001210		Original Contract Amount:	$770,896
Total Amendments to Date:	(1)	Cumulative Amendment Amount:	$89,280
		Revised Contract Amount:	$860,176

Describe all amendments :

Notes: Amendment #1, 4/27/00, an increase of $37,422 was approved to provide site surveys, subsurface investigation, and exploratory services associated with concrete evaluation.

Contractor: Frank Messer & Sons

Contract # X100827		Original Contract Amount:	$9,271,000
Total Change Orders to Date:	(8)	Cumulative Change Order Amount:	-$53,530
Low Bid:	$9,271,000	Revised Contract Amount:	$9,217,470
High Bid:	$11,000,000	Contract Percent Complete:	36%
Number of Bids: 3		Contract Substantially Complete:	10/02/2001

Describe all change orders greater than $25,000.00:
Change Order #7, 2/19/01, was approved for $26,366.00 to provide sump pumps at new utility tunnel and to revise traffic entrance island.

Patterson Hall Renovation
Project Number: 1908.0
Scope: $2,950,000

Project Description:
Major renovation of Patterson Hall.

Consultant: James W. Potts, Architects
Contract # A001380
Total Amendments to Date: (0)

Original Contract Amount:	$205,000
Cumulative Amendment Amount:	
Revised Contract Amount:	$205,000

Describe all amendments :
No amendments this quarter.

Contractor: E.H. Construction
Contract # X104260
Total Change Orders to Date: (0)
Low Bid: $1,862,000
High Bid: $1,998,838
Number of Bids: 4

Original Contract Amount:	$1,862,000
Cumulative Change Order Amount:	
Revised Contract Amount:	$1,862,000
Contract Percent Complete:	5%
Contract Substantially Complete:	02/04/2002

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

Plant Sciences Building
Project Number: 1745.0
Scope: $21,119,750

Project Description:
Construction of a 96,000 gross square foot facility to include faculty and staff offices, conference rooms, research labs, enviromentally controlled plant growth chambers and support services.

Consultant: Design:Louis & Henry Group/Const. Admin: BCCLT
Contract # A991100
Total Amendments to Date: (1)

Original Contract Amount:	$1,371,048
Cumulative Amendment Amount:	$11,163
Revised Contract Amount:	$1,382,211

Describe all amendments :
Amendment #1, 5/25/00, an increase of $11,163 was approved to provide additional design services required during the design phase including electronic CADD files of Construction Documents.

Contractor: D. W. Wilburn, Inc.
Contract # X013436
Total Change Orders to Date: (6)
Low Bid: $18,496,000
High Bid: $21,656,000
Number of Bids: 5

Original Contract Amount:	$18,496,000
Cumulative Change Order Amount:	-$10,633
Revised Contract Amount:	$18,485,367
Contract Percent Complete:	19%
Contract Substantially Complete:	04/23/2002

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Police/Parking Building
Project Number: 1922.0
Scope: $2,300,000

Project Description:
New facility for Parking and Transportation and the UK Police.

Consultant: James Potts
Contract # A011070
Total Amendments to Date: (0)

Original Contract Amount: $175,000
Cumulative Amendment Amount:
Revised Contract Amount: $175,000

Describe all amendments :
No amendments this quarter.

Contractor:
Contract #
Total Change Orders to Date:
Low Bid:
High Bid:
Number of Bids:

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

Describe all change orders greater than $25,000.00:
No construction contracts awarded to date.

Primary Care Ctr/Outpatient Diagnostic & Treatment (Center for
Project Number: 1764.0
Scope: $27,000,000

Project Description:
Construct a new facility of approximately 90,000 gross square feet of space to house the Center for Advanced Surgery and the Gill Heart Institute. The new facility will consist of an outpatient surgery center and an outpatient clinic devoted to diagnostic and treatment services.

Consultant: CMW, Inc.
Contract # A991240
Total Amendments to Date: (0)

Original Contract Amount: $2,147,765
Cumulative Amendment Amount:
Revised Contract Amount: $2,147,765

Describe all amendments :
No amendments this quarter.

Contractor: D.W. Wilburn, Inc.
Contract # X014454
Total Change Orders to Date: (8)
Low Bid: $18,670,000
High Bid: $20,799,000
Number of Bids: 4

Original Contract Amount: $18,670,000
Cumulative Change Order Amount: $66,461
Revised Contract Amount: $18,736,461
Contract Percent Complete: 17%
Contract Substantially Complete: 03/23/2002

Describe all change orders greater than $25,000.00:
Change Order #6,1/11/01, was approved for $35,748.88 to modify roof assembly, fire proofing, one hardware set, four doors, exit signs at penthouse and smoke detectors at air code system per review by Housing, Building and Construction Division.

Research Lab Fit-up (Aging Allied/Health) 5th Floor

Project Number: 1984.0

Scope: $5,000,000

Project Description:
This project consists of the construction to fit-up the shelled fifth floor of the Aging/Allied Health Building for the Research Lab use.

Consultant: James W. Potts Architects

Contract # A011160	Original Contract Amount:	$410,000
Total Amendments to Date: (0)	Cumulative Amendment Amount:	
	Revised Contract Amount:	$410,000

Describe all amendments :

No amendments this quarter.

Contractor:	Original Contract Amount:	
Contract #	Cumulative Change Order Amount:	
Total Change Orders to Date:	Revised Contract Amount:	
Low Bid:	Contract Percent Complete:	
High Bid:	Contract Substantially Complete:	
Number of Bids:		

Describe all change orders greater than $25,000.00:

No contracts have been awarded to date.

Safety Shower / Eyewash Upgrade - Phase I

Project Number: 1797.0

Scope: $509,600

Project Description:
Install safety showers/eyewash units in laboratories of Combs Building, Pharmacy Building, and Agriculture North.

Consultant: Staggs and Fisher

Contract # A001130	Original Contract Amount:	$34,600
Total Amendments to Date: (0)	Cumulative Amendment Amount:	
	Revised Contract Amount:	$34,600

Describe all amendments :

No amendments this quarter.

Contractor: Finney Co., Inc.		
Contract # X104896	Original Contract Amount:	$309,633
Total Change Orders to Date:	Cumulative Change Order Amount:	
Low Bid: $309,633	Revised Contract Amount:	$309,633
High Bid: $333,300	Contract Percent Complete:	5%
Number of Bids: 2	Contract Substantially Complete:	08/08/2001

Describe all change orders greater than $25,000.00:

No change orders this quarter.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Seaton Center Addition/Renovation

Project Number: 1781.0

Scope: $15,350,000

Project Description:
Construction of a 87,000 square foot recreation center. The building is being constructed as an addition to the existing Seaton Center and will include 4 basketball courts, 4 raquetball courts, 12,000 square feet of exercise equipment, a free weight room, a 4 lane running track, administrative offices, 2 aerobics rooms, and a climbing wall.

Consultant: HNTB Corporation

Contract # A001050		Original Contract Amount:	$997,000
Total Amendments to Date:	(1)	Cumulative Amendment Amount:	$79,730
		Revised Contract Amount:	$1,076,730

Describe all amendments :

Notes: Amendment #1, 10/12/00, an increase of $79,730, was approved to provide a full time, on-site resident inspector during the construction phase.

Contractor: CB&S Construction Company

Contract # X100530		Original Contract Amount:	$12,128,000
Total Change Orders to Date:	(4)	Cumulative Change Order Amount:	$103,412
Low Bid:	$12,128,000	Revised Contract Amount:	$12,231,412
High Bid:	$13,730,000	Contract Percent Complete:	28%
Number of Bids:	4	Contract Substantially Complete:	02/04/2002

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

Shawneetown/Cooperstown Phase III

Project Number: 1831.0

Scope: $4,500,000

Project Description:
Renovate and update the complexes to improve their energy efficiency.

Consultant: Ross / Tarrant Architects, Inc.

Contract # A001260		Original Contract Amount:	$240,000
Total Amendments to Date:	(0)	Cumulative Amendment Amount:	
		Revised Contract Amount:	$240,000

Describe all amendments :

No amendments this quarter.

Contractor: Eubank & Steele

Contract # X015858		Original Contract Amount:	$3,178,105
Total Change Orders to Date:	(17)	Cumulative Change Order Amount:	$83,692
Low Bid:	$3,178,105	Revised Contract Amount:	$3,261,797
High Bid:	$3,220,000	Contract Percent Complete:	75%
Number of Bids:	3	Contract Substantially Complete:	01/23/2001

Describe all change orders greater than $25,000.00:

Change Order #10, 2/22/01, was approved for $26,504.19 to reroute sprinkler piping due to the unforeseen conditions of space above the ceiling.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Student Center Sprinkler System

Project Number: 1782.0

Scope: $700,000

Project Description:
Installation of a fire suppression system in corridors, stairs and Great Hall.

Consultant: James W. Potts Architects

Contract #	A001070	Original Contract Amount:	$55,000
Total Amendments to Date:	(0)	Cumulative Amendment Amount:	
		Revised Contract Amount:	$55,000

Describe all amendments :

No amendments this quarter.

Contractor: Brown Sprinkler Corporation

Contract #	X015397	Original Contract Amount:	$558,446
Total Change Orders to Date:	(3)	Cumulative Change Order Amount:	$32,239
Low Bid:	$726,800	Revised Contract Amount:	$590,685
High Bid:	$0	Contract Percent Complete:	99%
Number of Bids:	1	Contract Substantially Complete:	08/15/2000

Describe all change orders greater than $25,000.00:
Original bid was over budget. Negotiations with the single bidder resulted in the lower amount.

Student Housing/Fraternity House Replacement

Project Number: 1747.0

Scope: $4,600,000

Project Description:
The design and construction of two (2) new student housing structures to be used as replacement fraternity houses. Both houses will be approximately 12,000 square feet and house 32 fraternity members and one (1) house director each.

Consultant: Omni Architects

Contract #	A001300	Original Contract Amount:	$272,393
Total Amendments to Date:	(0)	Cumulative Amendment Amount:	
		Revised Contract Amount:	$272,393

Describe all amendments :

No amendments this quarter.

Contractor: Woodford Builders, Inc.

Contract #	X-101911	Original Contract Amount:	$4,120,000
Total Change Orders to Date:	(0)	Cumulative Change Order Amount:	
Low Bid:	$4,120,000	Revised Contract Amount:	$4,120,000
High Bid:	$5,032,000	Contract Percent Complete:	2%
Number of Bids:	7	Contract Substantially Complete:	08/27/2001

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

UK Center for Rural Health
Project Number: 1965.0
Scope: $11,100,000

Project Description:
The University of Kentucky is undertaking the design and construction of a new Center for Rural Health to provide space to house the existing programs of the Center and the Health Professions programs of Hazard Community College.

Consultant: Omni Architects
Contract # A011110
Total Amendments to Date: (0)

Original Contract Amount: $788,000
Cumulative Amendment Amount:
Revised Contract Amount: $788,000

Describe all amendments :
No amendments this quarter.

Contractor:
Contract #
Total Change Orders to Date:
Low Bid:
High Bid:
Number of Bids:

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

Describe all change orders greater than $25,000.00:
No contracts awarded to date.

FCR 26

Office of the President
June 19, 2001

Members, Board of Trustees:

OPERATING BUDGET FOR 2001-02

Recommendation: that the 2001-02 Operating Budget as submitted, including the authorization set forth in the letter of transmittal, be approved and ordered recorded as an integral part of the University's financial system with the necessary fiscal control being exercised for the collection and appropriation of income and for the expenditure of departmental appropriations in accordance with authorized fiscal policies and procedures and accepted as a basis of maximum expenditures for the year 2001-02.

Background: The 2001-02 Operating Budget of the University of Kentucky is presented for approval by the Board of Trustees. Copies of the budget document have been made available to the members of the Board.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

REPORT ON ATHLETICS MATTERS

June 19, 2001

At the April meeting of the Board of Trustees, the Board Chairman appointed a Committee to make recommendations regarding how the Board could better be kept abreast of matters relating to Athletics. This report was prepared to assist the Committee and is divided into four parts: a description of current Athletics Department activities; a description of the University of Kentucky Athletic Association and its relationship to the University and NCAA regulations; a description of recent events; and a Committee recommendation on periodic reports to the Board of Trustees.

I.

Current Athletic Department Activities

The University of Kentucky athletics program currently consists of 22 sports (11 women; 10 men and 1 co-ed). For the spring semester of 2001, there were 343 athletes on full or partial scholarship (208 men and 135 women) and 128 non-scholarship athletes (101 men and 27 women).

The Athletics Department is totally self-supporting, with no tax dollars or University dollars allocated to fund a $41-million budget. Since 1989, the Athletics Department has expended significant amounts (almost $20,000,000) on general, non-athletic University programs. For example, $1,250,000 has been used to establish scholarships in the names of W. L. Matthews, Otis A. Singletary and Charles T. Wethington. The scholarships allow the University's brightest undergraduates to continue their graduate work at the University of Kentucky. The royalty income from the sale of licensed products (approximately $4,000,000 annually) is shared equally between the Athletics Department and the University.

The financial condition of the Athletic Association made possible the construction of the William T. Young Library.

The Athletics Department pays to the University full-rate for room, board and tuition for the scholarship athletes, which amounts to almost $[illegible],000,000 a year. In addition to athletically related scholarship dollars, 79 student-athletes receive $193,117.00 from the federally funded Pell Grant Program; depending on need, students may receive from $400.00 to $3,300.00 a year from this program. Student-athletes may also receive grants from the Special Assistance Fund established by the NCAA,

which covers such needs as clothing, medical and dental bills, family emergencies and course supplies. Last year, 160 University of Kentucky student-athletes participated in this program and received a total of $41,262.36.

In the last ten years UKAA has built an Aquatic Center ($7,000,000) and an indoor track facility ($8,500,000), both of which are open for use by University faculty, staff and students for recreational purposes.

During the last few years, the Athletics Department significantly expanded participation opportunities for UK students by sponsoring three new sports - women and men's soccer and women's softball. Financial support for female athletes increased 35% and participation of female athletes increased 41%. By 1999-2000 the Athletics Department was providing financial assistance to 548 UK students.

In 1998 the Athletics Department dedicated the $3,000,000 Center for Academic and Tutorial Services. This state-of-the-art facility ensures that the University of Kentucky remains a leader in academic support services for student-athletes. During the last decade the Department's financial commitment to academic support increased 300%, from $320,000.00 to almost $1,000,000.00 per year.

In the last decade the University of Kentucky has graduated over 90% of student-athletes who completed their athletic eligibility; 5 student-athletes won post-graduate scholarships and 41 were named to an Academic All-America Team. The University of Kentucky is one of the leaders in the number of All-Southeastern Conference academic performers. Since the inception of the Southeastern Conference Honor Roll in 1984, UK has had more football players named to the Honor Roll than any other SEC school. 70% of UK's men's basketball players who have completed their eligibility since 1990 have earned their degrees and additional players are enrolled in courses to complete their degrees with financial support from the athletics program.

According to the National Association of Academic Advisors for Athletics, the Center for Academic and Tutorial Services (Cats) at the University of Kentucky was the first academic center for student-athletes in the nation. Several institutions across the country have followed UK's lead in establishing their own centers.

The following is a list of academic achievements for the Spring Semester 2001:

- Of the 343 student-athletes on scholarship, 161 student-

athletes had a 3.00 g.p.a.

- 37 scholarship student-athletes had a 4.00 g.p.a.
- Only 35 scholarship student-athletes had a g.p.a. below a 2.00.

During the last decade, under the leadership of former Athletics Director C.M. Newton and President Charles T. Wethington, there has been a genuine commitment at UK to compliance with NCAA and SEC rules. In 1997 Dr. Wethington established the Academic Integrity Group (consisting of representatives from the faculty, the office of Admissions, and Athletics administration) as a standing committee Kentucky to insure that student-athletes meet UK, SEC and NCAA standards, make satisfactory progress toward a meaningful degree, and meet certification standards, and to provide general oversight to the Athletics Department academic support services.

The Athletics Department Compliance staff was expanded from one full-time employee to three -- an Assistant Athletics Director with direct reporting responsibility to the Athletics Director, a Director of Compliance, and an Eligibility Coordinator. This staff spends approximately 260 hours each year educating coaches, student-athletes, and boosters on NCAA rules and interpretations.

Finally, the decade was marked by facility construction and renovation. New athletic facilities include the Nutter Field House, the UK Softball/Soccer Complex and the Boone Outdoor Tennis Stadium. Significant renovations were done on Commonwealth Stadium, Cliff Hagan Baseball Stadium, Wildcat Lodge and Memorial Coliseum.

The University of Kentucky is one of a very few schools nationally that can boast of an athletics department that is totally financially self-sustaining.

II.

A Description of University of Kentucky Athletic Association, and its Relationship to the University and NCAA Regulations

A. Founding of the University of Kentucky Athletic Association

The University of Kentucky Athletic Association (UKAA) was incorporated as a Kentucky non-profit corporation on November 20, 1945, by action of seven University of Kentucky faculty and administrators. Earlier that day, the Kentucky Attorney General

had approved the Articles of Incorporation and had issued an opinion confirming that the Board of Trustees of the University was "possessed of sufficient power and authority" to enter into two agreements whereby UK would permit UKAA to use UK's athletic facilities "for the purpose of preparing for and holding athletic exhibitions and contests and to collect admission fees thereto . . . ." and for UK to pay UKAA for reserved seating space for students at all athletic events, tournaments excepted, conducted by UKAA in Lexington.

On November 24, 1945, the UKAA Articles of Incorporation were submitted to the Executive Committee of the Board of Trustees. The Executive Committee at that meeting approved the two agreements described above between UK and UKAA. Since that time, the corporate affairs of UK Athletics have been conducted through UKAA.

B. UKAA Board of Directors.

The Articles of Incorporation set out the membership in UKAA's Board of Directors:

> The affairs and business of the corporation shall be conducted by a Board of Directors which shall consist of the President of the University of Kentucky, the Chancellor - Lexington Campus of the University of Kentucky, the Vice Chancellor for Student Affairs, Lexington Campus, of the University of Kentucky, the Vice President for University Relations of the University of Kentucky, the Faculty Chairman of Athletics, the President of the K-Men's Association, and the Vice Chancellor - Administration, Lexington Campus, of the University of Kentucky, ex officio; and fifteen appointive members to be appointed by the President, two of whom shall be members of the Board of Trustees of the University of Kentucky; two of whom shall be alumni of the University of Kentucky; seven of whom shall be members of the University of Kentucky faculty; two of whom shall be at-large members; and two of whom shall be full time members of the University of Kentucky student body, appointed by the President for terms of one year each.

C. Powers of the University of Kentucky Athletic Association.

Pursuant to the Articles, UKAA has the power: (a) to aid and encourage education, particularly in the fields of physical culture and training and to furnish instructors, equipment, and other aid for this purpose; (b) to purchase, lease, receive, own, sell, and convey real and personal property of all kinds,

particularly lands, buildings and equipment necessary or convenient for participation in athletic training, games and contests; (c) to employ instructors, coaches, directors and other persons necessary for carrying out the purposes of the corporation; (d) to arrange, hold and conduct amateur athletic exhibitions, games, and contests, and to charge and receive admission fees to the same; (e) to receive and accept donations by gift or devise, absolutely or in trust, and to acquire in other lawful manner moneys and properties for its maintenance; (f) to borrow money and give its notes or other obligations therefor and to secure payment thereof by pledging, assigning or mortgaging any property it may own; (g) to provide for membership of persons interested in the purposes of the association and to issue certificates therefor; (h) to do any or all other lawful acts reasonably necessary to carry out the objects and purposes of the corporation.

D. NCAA Requirement of Institutional Control.

The National Collegiate Athletic Association Constitution states that it is the "responsibility of each member institution to control its intercollegiate athletics program in compliance with the rules and regulations of the Association." Specifically, NCAA Constitution § 2.1.1 requires that "The institution's chief executive officer is responsible for the administration of all aspects of the athletics program . . . ."

The Articles of Incorporation designate the President of the University of Kentucky as president of UKAA. The University Governing Regulations establish the President of the University as the "chief executive officer." The President is delegated the same degree of authority to administer the athletics program as he has for all other programs in the University, including the authority to hire (subject to approval of the Board of Trustees), evaluate, and terminate the athletic director, and to oversee all financial matters in athletics.

Because the President of the University also serves as President of the University of Kentucky Athletic Association, the University of Kentucky is in compliance with the requirements of NCAA Constitution § 2.1.1.

III.

Recent Events

A. Termination of Assistant Football Coach.

Background: Assistant coaches in football and basketball at the University of Kentucky have written contracts of employment,

a condition that does not prevail with respect to most of the University's employees (including most of those who work in the Athletics Department). This unusual treatment of these employees has resulted from a pursuit of two objectives: (1) a desire for fair and equitable employment practices for a group of employees who are uniquely vulnerable to sudden changes in their employment status, where termination almost surely follows the willing or unwilling departure of head coaches (not an uncommon event); and (2) a desire to provide head coaches a fair chance to obtain high quality assistants, which is probably not achievable without at least a minimal level of job security. Although they may vary in some instances, the contracts typically run for one year (usually in correlation with the University's fiscal year) and typically require payment of salary for the length of the contract period, the effect of which is to provide salary protection (and minimal job security) in the event a head coach departs and assistants are left to find other employment.

Findings: It came to light near the end of the football season in year 2000 that an assistant football coach, Claude Bassett, had endorsed and cashed a $500 check that had been made payable to the University of Kentucky. In a conversation with the Athletics Director, Mr. Bassett said that the check had been given for support of the "football camps" program and had in fact been used for that purpose; he provided personal assurances that the proceeds had not been put to personal or other improper use, although he was unable to provide documentary evidence of such. After conversations with the maker of the check and after other inquiries, the Athletics Director decided that it was advisable to terminate Mr. Bassett's employment with the University and undertook to accomplish that objective, action which brought Mr. Bassett's employment contract into operation and effect.

Conclusion: As described above, the contract provided Mr. Bassett with salary protection for the period of the contract (or until he obtained employment within that period) and it provided this protection without regard to the reasons for termination of the employment relationship. Specifically, it did not provide for an unsalaried termination for violation of University rules and regulations or for violation of NCAA rules and regulations; simply stated, if the University elected to end the employment relationship, it remained obligated to make salary payments for the period of the contract (as described above). The Athletics Director concluded that it was in the best interest of both the University and the Athletics Department to end the relationship and took the necessary actions to do so, resulting in a payment of salary to Mr. Bassett until he obtained employment in Texas in March of 2001.

It is easy to see in hindsight that the contract with Mr. Bassett should have provided for unsalaried termination for acts

of misconduct. Needless to say, no such shortcoming will be found in future contracts with assistant coaches.

B. Compliance Problems in the Football Program.

Background: The University has strived for full compliance with NCAA rules and regulations under the leadership of President Wethington and Athletics Directors Newton and Ivy. It has had a full time compliance director, monitoring and oversight programs, regular instruction on NCAA rules and regulations for coaches who participate in recruiting, and most importantly a genuine desire to conduct the athletics program in full accord with all rules of the NCAA. It has left no room for doubt in the mind of any coach about the seriousness of its commitment to the principle of full compliance, about its commitment to full disclosure of any and all violations, or about its willingness to take strong actions against violators should violations occur. It has experienced profound disappointment in recent activities within the football program and has been compelled to take strong corrective actions to confirm its commitment to compliance and to chart a different course for that program.

Investigation: Minor concern over compliance issues in football surfaced during the 2000 season with reports that prospects who had been in Lexington for official recruiting visits left in possession of UK athletics apparel. Inquiry led to reasonably plausible explanations and somewhat reduced concern. Substantially greater concern surfaced after the season and the termination of Coach Bassett for reasons set out above, especially with reports indicating that UK football might be implicated in recruiting violations involving prospects from Memphis. Because these events surfaced on the heels of the matters that led to the termination of Coach Bassett, the fact that his name appeared prominently in the reports of possible recruiting violations produced added concern over the possibility of major NCAA infractions in football.

The Athletics Director, in concurrence with the President, consulted with the NCAA and SEC, solicited assistance from both organizations, and initiated a comprehensive investigation of the University's football operation. The objective was preservation and restoration of at least some part of the University's damaged credibility in the operation of its athletics programs; the plan was to conduct an honest investigation, disclose findings to all interested parties, report rules violations to the NCAA, accept full responsibility and fair sanctions for those violations, and take necessary and appropriate corrective actions to fix problems in the football operation. The investigation extended beyond weeks into months, was conducted in full cooperation with the SEC and NCAA, looked into every crevice and under every stone, and produced persuasive evidence of major violations of NCAA rules

and University policies. The Athletics Department has released all findings to interested parties (including most importantly the Board of Trustees), has reported all violations to the NCAA, and has clearly indicated that it will accept full responsibility and appropriate sanctions for these violations.

Conclusion: The Athletics Director, in concurrence with President Wethington, concluded that the football program had not been managed appropriately by the head coach and that different leadership of the program was needed. The Department and head coach agreed upon separation and a new head coach and staff have been employed. These corrective actions were included in the report to the NCAA. The NCAA enforcement division has the case under advisement and is expected to render a final resolution in the near future. The University has conducted its inquiry in full accord with NCAA requirements and expectations and thus has reason to expect some restoration of its credibility with the NCAA and the general public.

C. Departure of Coach Hal Mumme.

Background: There were four years remaining on the contract between Coach Hal Mumme and the University when the decision was made to end the relationship. The contract required severance compensation upon an election by the University to terminate the relationship prematurely equal to one-half of the total that could have been earned during the full term of the contract (which came to a figure of $2.4 million due for premature termination). The contract required no compensation if the termination was for what the contract described as "cause" (essentially personal violation of NCAA rules by the head coach and/or prior knowledge and acquiescence of the head coach of major rules violations by members of his staff). Coach Mumme believed that he was entitled to the severance compensation, made demands for that compensation through legal counsel, and left no doubt that he would pursue relief through court action if necessary. His position raised several questions for the Athletics Director and the University's legal counsel. Did the head coach personally violate NCAA rules or have prior knowledge of major rules violations by members of his staff? Was evidence of violations and/or knowledge sufficient in quality and quantity to withstand the scrutiny to which it would be subjected in a court proceeding? Should the University draw a line in the sand and litigate or would its interests be better served by resolution of the dispute through agreement?

Evidence: The investigation produced no evidence showing that Coach Mumme had participated in violations of NCAA rules, none showing that Coach Mumme had ever promoted or approved of violations committed by members of his staff, and none showing that he had knowledge of the commission of offenses before the

time of their commission. It is easy to say that Coach Mumme should have known of violations, because of his close connection to the violators and because of his position at the head of the program; for legal purposes, however, it is well-settled that proof that a person should have known of some fact or condition falls far short of proof that he/she had knowledge of that fact or condition.

Settlement: The Athletics Director provided the findings of the investigation to the University's legal counsel and asked for an opinion as to whether there was "cause" under the contract for an uncompensated termination of the head coach. Legal counsel determined that there was no evidence of personal NCAA rules violations by Coach Mumme, no evidence showing that he had prior knowledge of, or had acquiesced in, a commission of major rules violations by members of his staff, and thus under the terms of the contract no basis for an uncompensated termination of the head coach for "cause." The Athletics Director, upon advice of and assistance from the University's legal counsel, entered into negotiations with Coach Mumme and his attorneys for a premature termination of his employment with the University. The agreement that resulted from these negotiations produced a resignation of Mr. Mumme as head football coach, a commitment by the University to make payments of compensation to Mr. Mumme totaling $1 million over time, and a mutual release of all obligations under the contract.

The Athletics Director determined that in fairness to those student-athletes being recruited by the University the negotiations regarding Coach Mumme should be concluded and the decision regarding Coach Mumme announced before the commencement of the national signing period. The negotiations were in fact concluded the day before the signing period began, and the Athletics Director made a pubic announcement regarding Coach Mumme's resignation and the appointment of Guy Morriss.

IV.

RECOMMENDATION

The Committee believes that concerns over inadequate information about athletics among members of the Board of Trustees could and should be remedied by periodic reports to the Board by the Athletics Director. Therefore, the Committee recommends that the Athletics Director provide a comprehensive report for the Board of Trustees in writing, and orally if needed, at least once in every semester and that the University of Kentucky Board of Trustees be notified of and invited to attend all meetings of the Board of Directors of the Athletic Association.