

MINUTES

**Meeting of the Board of Trustees
University of Kentucky
1:00 P.M.
January 27, 2004
18th Floor Patterson Office Tower**

Minutes

Accompanying items:

President's Report and Action Items

- PR 1 President's Report to the Trustees
- PR 2 Personnel Actions
- PR 3 Amendment to the Governing Regulations Regarding Staff Trustee Election
- PR 4 Report of Results of Alumni Member Election
- PR 5 Reappointment of Board of Directors – University of Kentucky Gluck Equine Research Foundation, Inc.
- PR 6 Establishment of the Baxter Healthcare Chair in Engineering
- PR 7 Establishment of a 401(a) Retirement Plan
- PR 8 Ethical Principles and Code of Conduct

Academic Affairs Committee Report

- AACR 1 Candidates for Degrees – Community College System
- AACR 2 College of Pharmacy Reorganization

Finance Committee Report

- FCR 1 Acceptance of Interim Financial Report for the University of Kentucky for Six Months Ended December 31, 2003
- FCR 2 Capital Construction Report
- FCR 3 Report of Lease
- FCR 4 Authorization to Convey .7978 Acres, More or Less, in Breathitt County to Department of Highways for Right-of-way Purposes
- FCR 5 BB&T Company and BB&T Charitable Foundation Pledges
- FCR 6 Bill Gatton Foundation Pledge
- FCR 7 Nolan C. Allen Pledge
- FCR 8 James W. Stuckert Pledge
- FCR 9 Ale-8-One Bottling Company Gift and Pledge
- FCR 10 Ruth Virginia Alcorn Ludwick Estate Gift
- FCR 11 Burt L. Sims Graduate Fellowship Gift and Pledge
- FCR 12 H. E. Katterjohn Gift and Pledge
- FCR 13 Kohl's Department Stores, Inc. Gift
- FCR 14 Boehringer Ingelheim Gift
- FCR 15 Gifts to Barnstable-Brown Chair
- FCR 16 Telford Foundation Gift
- FCR 17 Kleberg Foundation Gift
- FCR 18 Marion E. McKenna Professorship in Nursing Leadership Gifts and Pledges
- FCR 19 Anonymous Pledge (1)
- FCR 20 Anonymous Gift and Pledge (2)
- FCR 21 Anonymous Gift and Pledge (3)
- FCR 22 Clark's Pump-N-Shop, Inc. Gift and Pledge
- FCR 23 Reynolds Bell, Jr. Gift and Pledge
- FCR 24 H. Greg Goodman Gift and Pledge
- FCR 25 Ernest A. Sampson Gift and Pledge
- FCR 26 Greg Wells Gift and Pledge

Minutes of the Meeting of the Board of Trustees of the University of Kentucky, Tuesday, January 27, 2004.

The Board of Trustees of the University of Kentucky met at 1:00 p.m. (Lexington time) on Tuesday, January 27, 2004 in the Board Room on the 18th Floor of Patterson Office Tower.

A. Meeting Opened

Mr. Steven S. Reed, Chair, called the meeting to order at 1:13 p.m., and Ms. Rachel Watts gave the invocation.

B. Roll Call

The following members of the Board of Trustees answered the call of the roll: James F. Hardymon, Marianne Smith Edge, Davy Jones, Michael Kennedy, Pamela R. May, Phillip Patton, Elissa Plattner, Steven S. Reed (Chair), Frank Shoop, Marian Moore Sims, Alice Stevens Sparks, Myra Leigh Tobin, Rachel Watts, JoEtta Y. Wickliffe, Russ Williams, Elaine A. Wilson, and Barbara S. Young. Absent from the meeting were Robert P. Meriwether, Billy Joe Miles, and Billy B. Wilcoxson. The University administration was represented by President Lee T. Todd, Jr., Provost Michael Nietzel, Executive Vice President for Finance and Administration Dick Siemer, Executive Vice President of Health Affairs Michael Karpf and Acting General Counsel Barbara Jones.

Members of the various news media were also in attendance. A quorum being present, the Chair declared the meeting officially open for the conduct of business at 1:16 p.m.

C. Consent Agenda

Mr. Reed said that there were 25 items on the consent agenda, noting that this is the first time that gifts and pledges have been on the consent agenda. He asked if anyone wanted any of the items removed. Ms. Smith Edge moved that the items be approved. Ms. Wilson seconded the motion, and the consent agenda was approved without dissent.

Minutes – December 9, 2003

PR 2 – Personnel Actions

AACR 1 – Candidates for Degrees – Community College System

FCR 5 thru 26 – Gift and Pledges

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

President Todd mentioned a few items in PR 1. He said that many of the Board members attended the groundbreaking for the CPST building which is the University's initiative on Coldstream to focus on pharmaceutical activities. He commented that many Board members also attended the press conference when Mr. Carol Martin "Bill" Gatton and BB&T Charitable Foundation gave \$5 million for the building program for the College of Business and Economics.

The only other item he mentioned in PR 1 was the push for increased support for the Robinson Scholars Program. He reported that visits have been made to Hazard, Harlan, Prestonsburg, and London. He noted that Ms. May attended the event in Prestonsburg. He explained that the intent of those meetings was to meet with the local press, to talk to them about the virtues of the program, the status the University is in relative to the endowment, the University's decision not to mine the Forest at this time for additional revenue, and the need for the University to raise funding. There was an open session for the community and business leaders. Students were put in front of these leaders, and they were powerful. These students are some of the University's best sales agents. He reminded the Board that Keith Madison has been assigned by Vice President Terry Mobley to work in that arena, and he has done an outstanding job.

President Todd expressed appreciation to Ms. May for attending the event and asked other Board members to let him know if they knew of particular contact points the administration should be contacting. He mentioned that the University wants to start having some events in southeast Kentucky, and the Board would be informed of those as they are scheduled. An event may be held this summer in the Forest to try to attract people and round up community support. He said this is something that the Board needs to be aware of, and they would be hearing more about these efforts.

President Todd talked about the public safety issues around and on campus the last few weeks. He gave the following information that Mr. Siemer had provided to him about the University's actions in combating the problem:

- The University has 41 uniform patrol officers on its force.
- Three officers were added this year, and there are additional people in training.
- The pay for officers has been adjusted because an analysis showed they were underpaid.
- The University is not losing experienced officers because of budget cutbacks.
- The ROTC program is offering escort service off campus.
- The on-call bus service for campus has been extended all week until 3:00 a.m.
- The University invested \$250,000 this year in new police equipment.
- The Hospital and parking security people are now being used to augment campus patrols at nights and on weekends on an overtime basis just to help.
- There will be a new cellular service announced shortly. It will allow cell phone users to program one number into their phones which will immediately connect them to the University dispatch.
- There are conversations taking place with the city about how to police the area near campus in a way that allows the University to have as much information as possible and also help the city as much as possible.

President Todd said that the Governor was giving his budget presentation that night. He reviewed the variety of cuts assessed to the University and said that all of the cuts will be taken into consideration when the next budget is presented to the Board. He explained that the University was able to cover the \$5.5 million cut announced in early January from unbudgeted tuition dollars and redirecting a classroom renovation fund plus funds that Provost Nietzel had asked the deans to hold back. He said that a plan to cover the reduction on a recurring basis is

being developed and the administration would do its best to try to spare academic programs. He noted that there will not be any across-the-board cuts. They will be more strategic in nature.

President Todd also discussed the \$41 million nonrecurring cut to postsecondary education, which is expected to be in the Governor's budget. The University's original allocation was \$22.5 million. Through negotiations, the cut has been reduced to \$16.7 million. It is a nonrecurring cut and the administration is investigating various ways of how to cover the reduction. He indicated that the University would be in a better position to assess the impact of the reduction after the Governor's speech and based upon the legislators' reaction to the Governor's budget. He said that he wanted the Board to know that it is a major concern and the administration is working on how best to implement the reduction.

President Todd said that he wanted to talk about page 13 in PR 2 that had been revised. He said that he is very pleased to announce that the University has a new executive director of Coldstream Research Campus, Mr. John Parks. He reported that Mr. Parks had been on campus a couple times. During those visits, Mr. Parks had attended a town meeting with economic development leaders and Dr. Bill Brundage, Commissioner of the Office for the New Economy, to talk about new economy.

President Todd briefly reviewed Mr. Parks' credentials. Mr. Parks is currently the Director of the Research Park at the University of Illinois Urbana-Champaign campus which is literally a top 10 university. President Todd said that he knew it was always in the top three in engineering. There was MIT, Stanford, and the University of Illinois. It is a very technologically advanced university. Mr. Parks got their park up and running, and today, it has 33 high-tech companies with 650 employees. He also launched their technology incubator called Enterprise Works with 19 startup companies. Prior to that, Mr. Parks was president and CEO of a research park at Iowa State where it is home to 41 companies employing over 1,100 people. Mr. Parks has an M.B.A. from Iowa State. He served on the Iowa Seed Capital Corporation for eight years and the Ames, Iowa City Council for five years. He has quite a bit of experience in the government sector, and he was on the Economic Development Commissions in both Ames and Champaign, Illinois for 15 years. President Todd said that he is extremely pleased to have someone of Mr. Parks stature come to campus. Mr. Parks will be at the Coldstream Research Park April 1st.

President Todd talked about the strategy toward Coldstream and the development work in general. He referred to an Entrepreneurship Club that had been started to get the students to think about startups, to get them exposed to ideas, and to bring back the University's graduates who have been successful. He said that there has also been a Venture Club for about a year and a half since the University got Professor Dean Harvey to head the VonAllmen Center for Entrepreneurship. The Club has a regular attendance of about 75 people a week, consisting of entrepreneurs, venture capitalists, bankers, and accountants, who meet at the Lafayette Club.

President Todd reported that a Bluegrass Angel network was announced last month. These are high net worth individuals who will pay a slight fee to be a member. They receive a package of information on start-up companies so that they can make a decision whether they want to put money into the companies. The Bluegrass Angel organization has about 20

members. Dick Furst and Dean Harvey are working with that organization, and that is a significant move forward to try to get some capital locally to try to help some of the companies that start at the ASTeCC Center and elsewhere.

President Todd said that Professor Harvey has done an inventory of about 35 start-up companies in the Lexington area. Last year, they received \$14 million as start-up funding. They received zero from venture capital. Most of it was from friends, families, and angels that they had already found. The other major source of money was from Kentucky Commercialization Investment Funds and Federal SBIR grants. In getting this information out, bringing on the CPST building at Coldstream, and bringing in a director of Mr. Parks' capabilities, gets the University on the move at Coldstream. With the economy beginning to show some signs of coming back, the University can, in his opinion, have some successes at Coldstream.

President Todd mentioned a press release that came out of Senator McConnell's office about Mr. McConnell securing over \$11 million in funding for the University of Kentucky. Senator McConnell, Senator Bunning, Congressman Rogers, and Congressman Fletcher have been very good to the University of Kentucky in the last few years, and the University has been able to get several things. He pointed out that, through Congressman Rogers, the University received a \$1 million grant to start cataloging and finding lung cancer patients in the Fifth Congressional District early so that they can be treated with the best practices. Drs. Al Cohen and Wendy Baldwin met with Congressman Rogers about this grant. Congressman Rogers put the earmark in there to get it started because his congressional district is the worst in the country with respect to lung cancer.

President Todd talked about Bill Schweri and Jim Duff, who are doing a good job in Washington. He provided some background information about Mr. Duff and said that Mr. Duff knows the Washington delegation and their staff. He has been a big help to Mr. Schweri. A lot of credit goes to Mr. Schweri for the Washington success. Mr. Duff is somebody that is in place, and Mr. Schweri can call on him. President Todd then provided the following information regarding funding:

Fiscal year 2001 UK received \$8,000,000 (targeted funds).

Fiscal year 2002, UK received \$16,700,000.

Fiscal year 2003, UK received \$19,600,000.

Fiscal year 2004, there is more than what is indicated in Senator McConnell's Announcement - \$22,700,000 from the state government.

The University has made a significant improvement in what it gets from the federal government which is a great way to jump-start the research programs and get them up to a competitive level where they can go after the competitive funding.

President Todd said that concluded his report and asked for any questions.

Dr. Plattner said that she was in Prestonsburg the day after his speech about Robinson Scholars, and it was widely appreciated.

President Todd thanked Dr. Plattner for her comment. He talked about his, Mrs. Todd's and Mr. Madison's visit to London and Harlan. Many people said that it was so nice for them to come to their counties. He emphasized that the University of Kentucky is not the University of Lexington. It is the University of Kentucky. He said they were fun trips, and there needed to be more of them.

President Todd noted that PR 2 had already been approved on the consent agenda.

E. Proposed Amendment to the Governing Regulations Regarding Staff Trustee Election (PR 3)

President Todd said that PR 3 is an Amendment to the Governing Regulations Regarding Staff Trustee Election. He noted that this is the second time this has been before the Board. It is a recommendation that the Board approve the proposed amendment which was received by the Board in December regarding the transfer of the responsibility for the election of the Staff Trustee from the Executive Vice President for Finance and Administration to the Staff Senate. He explained that amendments to the Governing Regulations require two readings before the vote can be taken, and this is considered the second reading. On motion made by Mr. Williams, seconded by Ms. Wilson and carried, PR 3 was approved without dissent. (See PR 3 at the end of the Minutes.)

F. Report on Results of Alumni Member Election (PR 4)

President Todd said that PR 4 is a recommendation that the report of the Secretary of the Board on the results of the election authorized by the Alumni Association be received and put to record, and that the Secretary be authorized to certify to the Governor the names of the three persons receiving the largest number of votes from which a successor to Marian Moore Sims, whose term expires in June, will be appointed to that position. The three top individuals from the list are James Stuckert, Ann Haney and Thomas Spragens. The Governor will make the selection from those three individuals. He recommended approval of PR 4. Ms. Sparks moved approval, and her motion was seconded by Ms. Smith Edge. The motion carried without dissent. (See PR 4 at the end of the Minutes.)

G. Reappointment of Board of Directors – University of Kentucky Gluck Equine Research Foundation, Inc. (PR 5)

President Todd said that PR 5 is a recommendation that approval be given to the reappointment of David Switzer for a four-year term ending December 14, 2007 and John Phillips and Phil Scott for one-year terms ending December 14, 2004 to the Board of Directors of the Gluck Equine Research Foundation. There was a Nominating Committee of the Foundation that met and recommended these appointments to the Provost. They now need to be approved by the Board of Trustees. Mr. Shoop so moved. His motion, seconded by Ms. Sims, carried without dissent. (See PR 5 at the end of the Minutes.)

Mr. Williams said that the Board routinely approves these reappointments; however, a couple of years ago the Board asked for brief biographies on people being appointed to the

various Boards. These are just names to the Board members, and the Board would like to have some background information on these appointments in the future.

President Todd said it was a good suggestion, and it would be done for future appointments.

H. Establishment of the Baxter Healthcare Chair in Engineering (PR 6)

President Todd said that PR 6 recommends that the Board authorize the establishment of the Baxter Healthcare Chair in Engineering in the College of Engineering. Over the past five years, Baxter Healthcare has provided in excess of \$650,000 in support of research initiatives in the College, and the College felt that it would be nice to name a position for them. The selection of the recipient will be under the rules of the College of Engineering.

Dr. Jones asked if the selection of the recipient would be governed by the rules of the College or the administrative rules (dean's rules process or faculty rules process).

Provost Nietzel said he presumed it had been through the Faculty Council, and it would be the rules of the College of Engineering in the selection of endowed chairs and professorships.

On motion made by Ms. Sims, seconded by Dr. Jones and carried, PR 6 was carried without dissent. (See PR 6 at the end of the Minutes.)

I. Establishment of a 401(a) Retirement Plan (PR 7)

President Todd said that PR 7 is a recommendation that the Board approve the establishment of a 401(a) retirement plan effective January 1, 2004, for regular full-time employees who have exceeded the Internal Revenue Service limits allowed for retirement contributions available under the University's 403(b) retirement plan. He provided an explanation and said that this will extend the opportunity for employees with a 401 to be able to defer that income in a retirement plan as well. Ms. Wilson moved approval.

Ms. May asked how many people does this impact and is there any additional cost to the University.

Mr. Siemer replied that there were about 90 people impacted, and there is no cost to the University.

Ms. Wilson's motion, seconded by Ms. Smith Edge, carried without dissent. (See PR 7 at the end of the Minutes.)

J. Proposed University of Kentucky Ethical Principles and Code of Conduct (PR 8)

President Todd reminded the Board that they had previously seen the Ethical Principles and Code of Conduct that had been circulated. He noted that there was some input from some of the Board members. He pointed out that Dr. Phyllis Nash had overseen the committee to prepare

the Ethical Principles and Code of Conduct, and it now comes to the Board for action. He said that he was surprised when he came to the University and learned that the University did not have one. He informed the Board that there is a piece of legislation that is being attempted in Frankfort to try to put out an ethics policy. The presidents of the institutions would like to see a resolution in Frankfort to tell the Council on Postsecondary Education to insure that each president has an ethics policy rather than them trying to define the ethics policy that takes over for everyone because the University of Kentucky has a wide variety of things that are unique from some of the other institutions. He said that this proposed draft had been circulated to other universities so they can see what the University of Kentucky is doing, and in his opinion, UK will be taking the lead on this. He said that this has been talked about for some time and recommended approval of PR 8. Ms. Wilson so moved. Her motion was seconded by Professor Kennedy.

Dr. Jones said that he would like to offer a friendly amendment on the second page. He asked that Senate Rules be added to the listing of additional, official University documents.

Ms. May apologized for not submitting her comments when the Board was suppose to return them. She said that one of the things you want in a code of conduct is for everybody to be familiar with it and everybody understand fundamentally what the rules are. For the most part, you cannot expect people to walk around with multiple documents in their hands to go back and refer to. She pointed out that it is not perfectly clear on page 3 where it talks about employment of relatives, and this probably impacts a lot of people. Relatives are not a defined term within this particular document and given some of the restrictions on other education things, she believes it would be much cleaner if it were added to this document. She said she was sure it is somewhere within the University policy.

Mr. Siemer indicated that this can be linked to other University policies.

Mr. Williams reviewed the background information about the inspiration for the document. He reminded the Board that Mr. Miles had asked the Ad Hoc Committee on Board Structure to review the various corporations associated with the University. He asked what plan was in place to communicate the expectations of compliance with this code to those corporations.

President Todd indicated that each chair of those affiliated corporations would be informed of the passage of this code and the need for them to abide by it.

Mr. Siemer reported that an implementation committee was already being put into place to circulate the code. He indicated that he would report at the next Board meeting on the progress of the committee.

Dr. Plattner said that she would like to reiterate under the non-discrimination policy that when equal opportunity for all throughout the University is discussed that that opportunity would include benefits for all those who are entitled to them through their family, their employment or in any other way. She indicated that she knows the issue has been discussed and will continue to

be discussed, but that if the code is adopted today or in the future, it will bind the University to not having several levels of benefits.

President Todd said he was not sure that this was intended by this paragraph.

Dr. Plattner clarified that when she referred to the topic of payment, it included the provision of benefits and that it is her opinion that the inclusion of this language means that the payments would be issued for the good of that employee and that this would be done in a like and evenhanded manner. She went on to say that her point was equitable distribution. She asked if the policy was inclusive or not? Her reading is that it is inclusive and that she simply wanted the record to reflect her interpretation of the non-discrimination policy.

Mr. Williams asked Dr. Plattner if her intent was to emphasize that the passage of this code would bind the University ethically to certain principles but not in a legal or administrative manner. He further stated that the code sets forth an ethical principle of equity when it comes to the treatment of employees and their families.

Dr. Plattner thanked Mr. Williams for his clarification and that indeed she felt the legal determination would be made by those dealing with the legality, but the moral principle is what she has assumed the academic world is built upon. The foundation is a moral principle. Dr. Plattner further stated that she is simply stating that under the non-discrimination policy, we need to live up to it and that she does not intend to bind the University in a legal way.

Ms. Tobin asked who is to enforce these codes. And to whom are the reports of violations sent? She also stated that it is one thing for the Board of trustees to expect a high level of ethical conduct but at what juncture is this to be enforced or is it just hanging out there?

Mr. Siemer said that it is the Office of Legal Counsel that is supposed to make the determination. He went on to say that the existing administrative processes would work to identify the actions that do or could occur and that probably as an outcome of that, a small committee would be formed to deal with these issues as they come forward and by this process they would assess if the University is in fact in compliance with the policy.

Ms. Tobin stated that anyone reading this would like to know a little more definitively the process.

Ms. May used the example of her, an employee or the President accepting a gift of over \$200 and how this code would tie back to the committee that Mr. Siemer mentioned. She supported Ms. Tobin's question about the process for enforcement and penalties.

Mr. Siemer indicated that there was not a quick answer for that question. Internally there have been discussions about identification of violations and assessment of compliance, but the issue of penalties had not been discussed at great length.

Mr. Williams asked Mr. Siemer if it would be helpful for Mr. T. Lynn Williamson, Human Resource Director, to address the question.

Mr. Williamson made reference to the specific Administrative Regulations that outline the types of violations and penalties that exist now, including the disciplinary policy for employees.

Ms. May stated that those included everybody except the Board of Trustees. She feels that we should probably look at an expansion of the code as it related to trustees since the Administration Regulations do not apply to Board members.

Dr. Todd indicated that perhaps this could happen in another committee.

Mr. Shoop stated that he had never had anyone give him anything.

Ms. Sparks responded that they already do.

Dr. Todd asked what.

Ms. Sparks responded "tickets", "basketball and football tickets" and that they are a monetary gift.

Mr. Siemer stated that the University had dealt with the ticket issue.

Ms. May state that through statutory authority on how you handle conflict of interest with Board members.

Ms. Wickliffe indicted that we should pass this code before the legislature dictates to us.

Dr. Todd asked Mr. Siemer to address the ticket issue. Mr. Siemer reviewed the process with Clay (Owen) and the Legal Office, and they determined they were fine with what was being done. If, however, the Board received goods from the Athletics Department, that would be a problem under the policy. The tickets (and attendance at ballgames) are a part of the duties and responsibilities as Board members and attending the function is also in that category.

Dr. Jones asked that he not be quoted, but he believed the Governor could remove a Board member for cause.

Professor Kennedy pointed out that the expectation of reporting violations to the "appropriate individual" may not be sufficient and that the Board ought to somewhere, perhaps not in this document, indicate who is the most appropriate individual to report violations to. He stated that "whistle blowing" is very scary for an employee and to have a channel for reporting is important.

Mr. Siemer indicated that it was his understanding that working through the supervisory process, as is the case with other issues, would be the same process followed in violations under the code rather than setting up a separate process where Legal Counsel would be the person to whom violations are reported.

Professor Kennedy indicated that the problem with that approach is that it is often the supervisor who is being reported.

Mr. Siemer made references to certain policies that now allow for the by-passing of the chain of command or the circumvention of the immediate supervisor. He stated that it made sense to align this policy with our existing administrative infrastructure.

Mr. Williams disagreed with that statement and said that he was stopping short of asking that this code be tabled until these issues were resolved. He indicated that we should consider the establishment of a "one number, one stop" reporting mechanism much like the Corporate Compliance reporting process in the Medical Center. He further stated that the current administrative structure may actually get in the way or intimidate people enough that they don't report things that ought to be reported.

Ms Smith Edge said that she feels there are two different issues: one is the code and the other how it will be executed.

Mr. Williams stated that he felt it needed to be a part of the code.

Ms. Smith Edge said that her experience with other associations is that when there is a violation by a professional, it goes to an ethics committee.

Ms. Wickliffe called the question.

Professor Kennedy asked Ms. Wickliffe if the Board could add "to an appropriate individual or office" to that sentence and that would leave room for further procedures to be developed.

Mr. Williams asked if the Board could change "appropriate individual to the "University's Legal Counsel" but several people said no.

Ms. May urged the Board to pass the code of ethics because many, many hours of work had gone into it. She felt that it was important that this organization go on record with a code of ethics and that if certain changes need to be made in the future, they could be addressed at that time.

Mr. Shoop asked to be recognized. He seconded the motion on the question and went on to say that he felt it was positive for the Board and the University to have a code of ethics.

Chairman Reed clarified what the board was voting on since there were changes agreed to.

Ms. Wilson stated that the addition of Dr. Jones' "Senate Rules" was agreed to as was Professor Kennedy's addition of the term "office."

Mr. Reed said he felt that we came up short on Professor Kennedy's recommendation.

Mr. Siemer reminded the chair that they would insert definition of the term "relative" as defined in Human Resource (HR) policies so those definitions could be included.

Ms. May was not sure there was adequate support for her suggestion of the addition of the definition of relatives.

Chairman Reed stated that there were then two amendments. He asked Mr. Siemer to respond to Dr. Plattner's concerns.

Mr. Siemer stated that the intent of language in the policy was from the HR policies so it is consistent with all past University practices and statements concerning equality of the opportunity and pay. The code was not intended to open new ground.

There being a motion by Ms. Wilson and a second by Professor Kennedy, Mr. Reed called for a vote. The motion passed without dissent.

President Todd thanked the Ad Hoc Committee on Board Structure and said he appreciated their work. He said that he hoped the Committee feels gratified in seeing some of this come to fruition.

K. College of Pharmacy Reorganization (AACR 2)

Ms. Sparks, Chair of the Academic Affairs Committee, noted that AACR 1 was on the consent agenda.

She said that AACR 2 is the College of Pharmacy Reorganization. This reorganization would include the creation of the Department of Pharmaceutical Sciences and the Department of Pharmacy Practice and Science. The new structure will optimize the utilization of college resources and provide a governance model that is more appropriate for its function, thereby, enhancing the ability to continue success in teaching, research and service. In keeping with the university-wide change to a Provost model of administration, the proposed reorganization encourages greater flexibility, accountability and responsibility in the decisions that are made by the units. This proposal has gone through the normal steps and is recommended for approval by the Academic Affairs Committee. She moved approval of AACR 2. Ms. Smith Edge seconded the motion, and it carried without dissent. (See AACR 2 at the end of the Minutes.)

Ms. Sparks reported that the Academic Affairs Committee has been very active lately. The Committee has had two rather lengthy meetings on the Lexington Community College (LCC) question. The Committee is not ready to make any recommendation at this time other than to suggest that there be a special Board meeting to devote its time solely to this issue as soon as possible. She said that she would be meeting Monday at 3:00 p.m. with the Senate Faculty and hopefully some students. She said that a lot of material was sent to the Board, and she hoped the Board got it by e-mail. She asked the Board to thoroughly read the material so it

would be as informed as the Committee. She again requested that Chairman Reed call a special Board meeting as soon as possible to deal with the LCC question.

Ms. Sparks reported that the Committee heard the report from the Ad Hoc Committee on Early Childhood. She reminded the Board that when it approved the transfer of Human Environmental Sciences to the College of Agriculture, there was a stipulation or comment that the Committee request the President and Provost to commence an immediate review of the Early Childhood component of the Department of Family Study in order to determine its optimal position in the University structure to fulfill its mission. She reported that the Committee also received the Ad Hoc Committee Minority report and discussed it, but again, the Committee is not recommending any action at this point. She said the Committee would probably meet again very soon.

L. Acceptance of Interim Financial Report for the University of Kentucky for Six Months Ended December 31, 2003 (FCR 1)

Mr. Hardymon, Chair of the Finance Committee, reported that the Committee met that morning with a quorum, and there were a number of other Board members present. The Committee spent most of its time on two items, the financial statement and the capital projects. He said he would try to be brief on these because a number of the Board members attended the Committee's meeting.

Mr. Hardymon said that it is, however, the Board's task to accept the University of Kentucky Consolidated Financial Report for the Six Months Ended December 31, 2003, which is a quarterly report. It is a comparison of where the University is on three months, six months, nine months and a year basis. He said that the most important item on a balance sheet is cash, and the University is in rather good shape. He reviewed the assets, revenues, expenditures and investments. He noted that the University has been rewarded by the way its investments have been made during the last period. Obviously, the stock market has been pretty good, but obviously, the investment group has done a good job. He reminded the Board of the period when investments were going down and said that this positive change in the stock market is good for the University.

During the time when there is a big restraint on the amount of money the University has and the concern about its cuts, it is a good time to look at reserves. The Committee did have quite a bit of discussion on liability for self insurance and on some of the reserves involving bad debt at the hospital. The Committee will continue to look at those as time moves forward and will report what it finds, if there is anything, to report.

Mr. Hardymon pointed out that some of the future budgeting items are not in the document. The Committee will be getting a report of a different looking budget in the future, and it will report back to the Board after the next meeting. He recommended approval of the financial statements. Ms. Sparks seconded his motion, and it carried without dissent. (See FCR 1 at the end of the Minutes.)

M. Capital Construction Report (FCR 2)

Mr. Hardymon said that FCR 2 is a quarterly report that ended December 31, 2003. It is a Capital Construction Report that is required by the state as well as the Finance Committee and the Board of Trustees. This report involves projects over \$400,000 and change orders greater than \$25,000. He pointed out that there was one new project for a student housing facility, and eight change notices. The Committee was led through each of those by the appropriate people.

He said that the Committee is trying to make this a more meaningful report for the Committee and the Board. It is asking for some more in-depth information on some of the major projects so it can understand how the projects are going versus original project. This report will be expanded, and it might be moved to an off month from the financials in order to give the Committee more time. He recommended the approval of the Capital Construction Report. Ms. Sparks seconded his motion, and it carried without dissent. (See FCR 2 at the end of the Minutes.)

N. Report of Lease (FCR 3)

Mr. Hardymon said that FCR 3 is a Report of Lease that the administration has approved. The lease is under \$30,000 per year. The Finance Committee's responsibility is to look at the report and question anything to be questioned. This report involves a rather small lease. This particular lease is for 800 square feet of office space at an annual rate of \$6,360. He moved approval of FCR 3. Ms. Smith Edge seconded the motion, and it carried without dissent. (See FCR 3 at the end of the Minutes.)

O. Authorization to Convey .7978 Acres, More or Less, in Breathitt County to Department of Highways for Right-of-way Purposes (FCR 4)

Mr. Hardymon said that FCR 4 involves a right-of-way for .7978 acres in Breathitt County. The Department of Highways wants to widen the roadways to have a space for a left turn. The University gets \$850 for this right-of-way sell off. He recommended approval of FCR 4. Ms. Watts seconded the motion, and it carried without dissent. (See FCR 4 at the end of the Minutes.)

Mr. Hardymon said that FCR 5 through 26 involve pledges and gifts over \$10 million, and they were on the consent agenda. They will be included with the Minutes.

P. Other Business

Dr. Jones gave a brief report on the work of the committee revising the Governing Regulations of the Board to reflect a full Provost system. He expressed appreciation for the Board's input and reported that the committee is 99.9% finished with its work. The report should be sent to the President's Office following a meeting of the committee in February. The committee has been working very hard to get this out in a way that the Board will have the

ability to act on it and have it in force by July 1, 2004 for the new academic year. He said he was pleased to report that the committee is on schedule.

Mr. Reed recognized T. Lynn Williamson in the audience and asked him to stand and comment on the cheerleaders' recent award as national champions.

Mr. Williamson reported that the cheerleaders had a great victory. Many times one cheerleading squad gets their routine, and everybody else does not get theirs. The top five cheerleading squads got their routines this year, and the University of Kentucky cheerleaders were chosen as the national champions. The squad first received a congratulatory phone call from Mitch Barnhart, the Athletics Director, and then Dr. and Mrs. Todd called to congratulate everybody. It was a great victory. A round of applause followed Mr. Williamson's comments.

Mr. Reed said that there were a couple of resolutions to come before the Board. He called on Mr. Williams to read the first resolution.

Mr. Williams said that someone was missing from the Board meeting, and he wanted the Board to recognize Paul C. Van Booven through the following resolution:

**RESOLUTION OF THE UNIVERSITY OF KENTUCKY
BOARD OF TRUSTEES
HONORING PAUL C. VAN BOOVEN
January 27, 2004**

WHEREAS Paul C. Van Booven who was born in Jackson, Tennessee, and grew up in Hopkinsville, Kentucky, earning a bachelor's degree from DePauw University in 1973 and a Juris Doctor degree from the University of Kentucky in 1976 where he served as the managing editor of the Kentucky Law Journal, and

WHEREAS Mr. Van Booven began a long and distinguished career at the University of Kentucky starting in 1976 when he became assistant and, later, associate dean of the UK College of Law where he served until 1989, and

WHEREAS Mr. Van Booven joined the UK Office of Legal Counsel in 1989 and served in various capacities there before being named by the UK Board of Trustees as General Counsel for the University of Kentucky in November 2002, and

WHEREAS In his official position as General Counsel, Mr. Van Booven ably served as a wise counselor and knowledgeable adviser and supporter to two UK Presidents, generously sharing with them his incomparable institutional memory of the University of Kentucky, and

WHEREAS Mr. Van Booven's passing is a tremendous loss to his family, his legions of friends and colleagues at the University of Kentucky he so treasured and across the Commonwealth of Kentucky,

THEREFORE, BE IT RESOLVED, that the University of Kentucky Board of Trustees extends its sincere sympathy to Mr. Van Booven's family, friends and colleagues and vows to continue to uphold the principles of high character and service that he exhibited in his own life.

Executed this 27th day of January 2004 in Lexington, Kentucky.

Steven S. Reed, Chair
University of Kentucky Board of Trustees

Mr. Williams moved approval of the resolution. Ms. Sparks seconded the motion, and the resolution was adopted unanimously by the Board.

Mr. Reed said that he befriended Mr. Van Booven at the Law School when Paul was an associate dean. He certainly had a lot of respect for him there and as he moved to the administrative offices, too. The President drew upon Mr. Van Booven's counsel quite frequently with great admiration. Mr. Van Booven will certainly be missed.

Ms. Sparks requested that a copy of the resolution be sent to Mr. Van Booven's family.

President Todd said that he had mentioned at the memorial service and had also talked with several people about naming one of the offices in the legal suite in the Administration Building for Mr. Van Booven. He said that Allan Vestal would have no trouble in finding people who would want to stand up and be counted in Mr. Van Booven's chain of friends. He commented about Mr. Van Booven's parents and said it was one of the most memorable services that he has attended. Mr. Van Booven was a great guy.

Mr. Reed said that he was going to read a resolution that pertained to someone who not only caused morning at the University but for the state, the country and around the world. The resolution pertains to Mr. William T. Young.

Before reading the resolution, Mr. Reed made some personal comments about Mr. Young. He said that Mr. Young was someone that he watched with great admiration and it had been a joy and a learning experience to know Mr. Young. He learned more from Mr. Young in the last year or two than he had from many people with years and years of relationships. Mr. Young was the state's finest citizen. Kentucky was so proud to have Mr. Young represent it around the world. There was no finer person. Mr. Reed said that he was honored to have gotten to know Mr. Young. He read the following resolution:

**RESOLUTION OF THE UNIVERSITY OF KENTUCKY
BOARD OF TRUSTEES
HONORING WILLIAM T. YOUNG
January 27, 2004**

WHEREAS William T. Young, a native of Lexington, Kentucky, who became one of the city's, the Commonwealth of Kentucky's and even the nation's most prominent businessmen, horsemen and philanthropists died January 12, 2004, at his home in Gulf Stream, Florida, and

WHEREAS Mr. Young served diligently – if all too briefly – as a member of the University of Kentucky Board of Trustees which pays homage to him today, and

WHEREAS Mr. Young's personal generosity and vision for the University of Kentucky will be both apparent and beneficial to untold generations of current and future scholars and visitors to the University of Kentucky who study in the state-of-the-art library which bears his name, and

WHEREAS those same generations of scholars will be able to keep current in their fields of study because of the library book endowment which he inspired and zealously promoted and which is now the single, largest such endowment at any public university in the United States, and

WHEREAS Lexington, the University of Kentucky and the Commonwealth of Kentucky have been abundantly blessed by the gentlemanly kindness, benevolence and leadership of this truly great man,

THEREFORE, BE IT RESOLVED, that the University of Kentucky Board of Trustees extends its heartfelt sympathy to the family, business associates, and legions of friends and benefactors whose good fortune brought them into the company of this great citizen and who now and for a very long time, indeed, will mourn his passing.

Steven S. Reed, Chair
University of Kentucky Board of Trustees

Mr. Reed moved that the Board adopt the resolution honoring Mr. William T. Young. Several Board members seconded the motion.

Ms. Young said that she never liked to speak for anybody, but Bill loved the University of Kentucky, and in her opinion, the William T. Young Library was his crowning achievement. He valued that achievement more than anything he did in the state of Kentucky. She felt that Mr. Young would be physically moved by the resolution. She apologized to the Board for being emotional.

The resolution was adopted unanimously by the Board.

Ms. Tobin called attention to the appointment of Carol Jordan as Director of the Center for Research on Violence Against Women. Ms. Jordan was asked to stand and be recognized, following which she received a round of applause.

Ms. Sparks called attention to an invitation the Board received inviting them to join friends of Kentucky football and the UK football coaching staff at a signing day celebration. It is at Keeneland in the Phoenix Room, Wednesday, February 4th from 6:00-8:00 p.m. She asked Mr. Barnhart to tell everyone the meaning of signing day.

Mr. Barnhart said that it is the National Letter of Intent signing date of football players.

Ms. Watts extended an invitation on behalf of the Student Government to the Board and the President's Office to attend their annual Valentine's Day gala. It will be February 12th at 9 p.m. at the Hyatt Regency Hotel. She told the Board that it is really going to be a great time this year. They will have a band playing a lot of oldies and a disc jockey. She said the students would appreciate seeing the Board members there, especially with everything going on with a tuition increase.

Ms. Tobin said that the Board had received a couple of letters from her in regard to the contributions to the Main Building. She thanked the Trustees who had responded and requested that other Trustees make a contribution so the Board could state that 100% of the Trustees contributed to this effort.

President Todd said that he wanted to make a comment in regard to Mr. Young. He said that he knew Mr. Young in about three different ways, and he counted it a blessing to have known him. He reflected on the different ways that he knew Mr. Young, telling fond stories about each of them. He said that he knew him as a gentleman. After being in office for only a short period of time, Mr. Young advised him that when approaching a couple to always shake the woman's hand first and address her. Mr. Young told him that his wife was many times looked over because people wanted to come and talk to him. This advice was a pure indication of Mr. Young's gentleman nature. Mr. Young always reached out to meet the needs of the University whenever he felt there was a need. He was humble and remained appreciative of even the small things. Mr. Young was an unbelievable individual, and he will be sorely missed by everybody. President Todd said that it was an honor to have known someone of Mr. Young's stature, of his humility, of his capabilities, and of his vision and wisdom.

Q. Meeting Adjourned

With no further business to come before the Board, Mr. Reed adjourned the meeting at 2:38 p.m.

Respectfully submitted,

Russ Williams
Secretary, Board of Trustees

(PR 2, 3, 4, 5, 6, 7, and 8; AACR 1 and 2; and 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.)

PR 1

Office of the President January 27, 2004

1. UK Breaks Ground for Center for Pharmaceutical Science and Technology at Coldstream

Kentucky Governor Ernie Fletcher joined University of Kentucky officials at Coldstream Research Campus at groundbreaking ceremonies for a \$12 million, 20,000-square-foot facility to house the UK College of Pharmacy's Center for Pharmaceutical Science and Technology. When completed in the spring of 2005, the center will be the largest sterile pharmaceutical manufacturing facility in the state. College of Pharmacy researchers will continue to develop and produce non-sterile pharmaceutical products such as drug tablets and capsules at the existing 5,000-square-foot facility in the UK College of Pharmacy Building. Researchers at the new Coldstream facility will develop and manufacture sterile pharmaceutical products that will be used in human clinical research studies, including vaccines, freeze-dried products, and other drugs that can be injected. Governor Fletcher described the facility as "the cornerstone of the type of enterprises we want in Kentucky." Lexington Mayor Teresa Isaac also participated in the ceremonies.

2. UK, State Department of Corrections Launch Initiative to Improve Inmate Health

UK has joined forces with the Kentucky Department of Corrections to launch the Kentucky Corrections Health Services Network, aimed at saving millions of dollars for health care while providing more effective care to the state's inmate population. The project establishes a statewide health network that delivers hospital and specialty care for approximately 16,000 state inmates. UK political science professor Phillip Roeder of the College of Arts and Sciences said the new system, which began operations in October, saved 35 percent over previous costs. Since the annual health care cost for inmates of 12 Kentucky prisons and 75 jails around the state is \$15 million, officials expect a substantial savings.

3. Gatton College Gets \$5 Million in Pledges to Support New Facilities, Research

UK's Gatton College of Business and Economics received pledges totaling \$5 million to support new facilities planned on Euclid Avenue, research grants, an annual speaker series, and more. BB&T Corporation and the BB&T Charitable

Foundation each pledged \$1.25 million for a learning laboratory on capitalism, a speaker series, an annual student paper competition, and annual fellowship and research grant awards. The funds also will assist construction of the college's new faculty and administrative building at the Gatton College's planned four-building mini-campus. UK graduate Carol Martin "Bill" Gatton, for whom the college is named, matched the BB&T gifts by pledging \$2.5 million. Gatton is also a member of the BB&T board of directors.

4. Public Forums Seek Input to Review and Revise Mission of UK Appalachian Center

UK conducted public forums in Hazard and Pikeville earlier this month to obtain ideas and opinions regarding the mission of the UK Appalachian Center. The forums were guided by Joe Fink, vice president for research and economic development, who also is serving as acting director of the Appalachian Center while a new mission statement is being drafted. A new director will be chosen based on the revised mission statement. In addition to participating in the forums, members of the public can offer input on the center's Web site at www.uky.edu/RGS/AppalCenter/.

5. UK Online Employment System Celebrates First Anniversary

UK's Online Employment System (OES) celebrated its first anniversary in November and scores high on customer satisfaction surveys. None of the responses dropped below 4.0 on the rating scale in which 5.0 was the top rating. Human Resources officials report a much faster process of screening and evaluating job applicants, as well as substantial savings created by reduced need for position advertisements. In its first year, 2,440 positions were posted on the OES, with 1,650 being filled, 328 being canceled, and 462 in process. The system referred 34,438 candidates to hiring officials. More than 18,000 regular employment applications were created by people interested in jobs at the university.

6. UK Department Offers Holiday Cheer to Soldiers in Iraq

The staff of the Department of Physical Medicine and Rehabilitation in Kentucky Clinic provided a brighter holiday for more than 30 soldiers in the U.S. Army's 16 Signal Battalion. The members of Charley Company received 15 boxes filled with items not necessarily issued by the military, such as baby wipes; small personal care items; flea powder and collars; condiment packets of salt, pepper, ketchup and mustard; beef jerky; and reading materials and small crafts to help pass the time. Office staff raised funds by donating \$5 a month to wear blue jeans on Fridays. Physicians matched the staff's donations, raising \$325 to purchase the gift items and pay for shipping.

7. Kentucky Geological Survey Studies Ways to Mitigate Climate Change

Geologists at the Kentucky Geological Survey (KGS) are studying how greenhouse gases from burning coal and other fossil fuels can be captured and stored in reservoirs beneath the earth's surface as a strategy to mitigate climate change. KGS is a partner in the Midwest Regional Carbon Sequestration Partnership, which has won a \$2.4 million grant from the U.S. Department of Energy, Ohio Coal Development Office, and other participants for the two-year project. The project will focus on "carbon sequestration," a process that would capture emissions from coal-burning power plants and large industrial facilities and store them in reservoirs beneath the earth's surface, rather than releasing the emissions into the atmosphere.

8. College of Social Work to Help Incarcerated Fathers Bond With Their Children

A three-year, \$600,000 grant from the U.S. Department of Health and Human Services will support the UK College of Social Work's participation in a program to help incarcerated fathers bond with their children. The Fathers and Children Together Program aims at reducing the potential of child abuse and neglect by promoting fathers' involvement in their children's lives. It attempts to create positive father/child experiences and opportunities for learning inside prison. The program is jointly sponsored by Prevent Child Abuse Kentucky and Blackburn Correctional Complex, located near Lexington. Mary Secret, associate professor in the College of Social Work, will serve as principal investigator examining the costs and benefits of the Lexington-based program, which began in 1992.

9. UK Travel Management Services Negotiates New Airline Discounts, Streamlines Services

UK Travel Management Services has made changes in its operations by trimming the required paperwork, offering new airline discounts, and expanding use of the University Procurement Card for business-related travel. The office has negotiated discounts with Delta Air Lines, Northwest Airlines, and American Trans Air, with these fares available only through UK's designated travel vendors. The office also has eliminated a "request for travel authorization" form previously required for business travel.

10. President Todd Continues Push for Increased Support for Robinson Scholars Program

UK President Lee T. Todd Jr. talked with dozens of Eastern Kentucky residents about the importance of the Robinson Scholars Program during a mid-January trip to Jenny Wiley State Resort Park near Prestonsburg. Todd spoke with school officials, local government officials, and private citizens about the program, which has helped more than 200 Eastern Kentucky students with college expenses since its inception in 1997. In November, Todd visited residents of Hazard, London and Benham in southeastern Kentucky to encourage greater private financial support for the Robinson Scholars Program.

11. Former Congressman Ronald Dellums Speaks at Martin Luther King Jr. Celebration

Ronald V. Dellums, who served nearly three decades in the U.S. House of Representatives, was the featured speaker at the 2004 Martin Luther King Jr. Day program in downtown Lexington. Dellums, who represented a district in Oakland, Calif., had a distinguished career as an advocate of peace and disarmament. Since retiring from Congress, he has focused on health issues such as AIDS and is president of the international health care consulting firm Dellums, Bauer and Halterman. The King Day celebration, which marks the birthday of the famed civil rights leader, is co-sponsored by UK and the Lexington-Fayette Urban County Government.

12. UK Officials Join Governor Fletcher's Team in Frankfort

James W. Holsinger, former UK senior vice president and chancellor of the Chandler Medical Center, and Tony Goetz, UK director of government relations, have joined Governor Fletcher's administration in Frankfort. Holsinger was appointed secretary of the Cabinet for Health and Family Services. Goetz was named the governor's legislative liaison to the state Senate.

13. Tracy Farmer Center's Team Works on Project to Protect Firefighters

Researchers at the Tracy Farmer Center for the Environment are working on a project to protect firefighters from unseen dangers of possibly contaminated fire suits. The researchers are developing a test for hazardous, work-related chemical residue that may cause cancer and respiratory problems. Chemistry professor David Atwood became interested in the project after a student, Jerrod Dempsey, reported an excessively high morbidity rate for retired firefighters from heart and respiratory diseases. Their research has shown that three barriers in firefighters' "turnout coats" are often contaminated with a wide

range of problematic chemicals. The team hopes to develop ways to clean the suits.

14. Kentucky Injury Prevention and Research Center Urges "Keep Kids Safe" in 2004

The Kentucky Injury Prevention and Research Center at UK developed a set of New Year's resolutions aimed at preventing injuries, the top cause of death for children aged 17 and younger. Among the recommendations for parents are making sure children properly use age-appropriate car safety seats; child-proofing cabinets containing medications, vitamins, cosmetics and household cleaners; constantly monitoring children in bathtubs; and testing smoke alarm batteries regularly. The full set of recommendations is available online at www.uky.edu/PR/News/04-01_safe_children.htm.

15. Schardl Leads Off Spring Semester's Distinguished Scholars Lecture Series

Christopher L. Schardl, the Harry E. Wheeler Chair in Plant Mycology, will deliver the initial 2004 spring semester's Distinguished Scholars Lecture at 4 p.m. today (January 27) in the William T. Young Library auditorium. Schardl will discuss fungi found in tall fescue, a common grass that grows in Kentucky lawns and pastures, and genetically altering tall fescue seeds. The Distinguished Scholars Lecture Series spotlights the research of UK's outstanding professors of the Research Challenge Trust Fund, or "Bucks for Brains" program. The other scheduled speakers are Sabire Ozcan, assistant professor of biochemistry, on February 10; Mark T. Filmore, associate professor of psychology, on March 2; Mary J. Davis, the Stites and Harbison Professorship of Law, on March 30; and Joe Peek, Gatton Endowed Chair in International Banking and Finance, on April 20. All the lectures will be presented in the library auditorium.

16. UK Hospital's Liver Transplant Program Passes 200th Procedure Milestone

UK Hospital recently performed its 200th liver transplant. UK's liver transplant program is recognized nationally by the United Network of Organ Sharing and the University Hospital Consortium for maintaining excellent outcomes. The program has survival rates in excess of 85 percent, matching or exceeding national standards.

17. Development, WUKY Win Awards in CASE/Kentucky Competition

The UK Office of Development won four awards at the annual meeting of the Kentucky chapter of the Council for Advancement and Support of Education (CASE/Kentucky) in December. In the category for printed publications, Development won Awards of Excellence for the 2002 Fellows Society Dinner Invitation, Fellows Program and New Fellows Listing, and Estate and Gift Planning Folder and Inserts. In the specific projects/events category, Development won an Award of Excellence for the "Tri for Sight" fundraiser. WUKY, the University's public radio station, won five awards at the annual meeting. In the category of specific projects/events, the station won an Award of Excellence for the annual fund-raiser "Heard It Through the Grapevine," and Awards of Merit for another annual fund-raising event "Blues, Brews & Barbecue" and the station's on-air fund-raiser "Spring 2003 Fund Drive." In the printed publications category, WUKY won an Award of Merit for the "WUKY Spring Program Guide." In the category of audiovisual communications, "Hoofbeats Through History," a multi-part series produced by the WUKY news department in conjunction with "The Blood-Horse" magazine, won a Grand Award.

18. UK Hospital, Fayette SAFE KIDS Dedicate Van to Promote Child Safety Seats

Fayette County SAFE KIDS Coalition, led by UK Children's Hospital, recently dedicated a 2004 Chevy Express Cargo Van to assist with child safety seat checkups. The van was donated by SAFE KIDS BUCKLE UP Program sponsors, including the National SAFE KIDS Campaign, United Auto Workers-General Motors Center for Human Resources, and General Motors. The van is equipped with tools necessary for technicians to do child safety seat checkups.²⁰

19. College of Agriculture's On-farm Demonstration Project Wins \$2.1 Million Grant

Dewayne Ingram, professor of horticulture in the College of Agriculture, received a \$2.1 million grant from the Kentucky Horticulture Council to continue and expand on-farm demonstrations and consulting services by Cooperative Extension Service associates. The grant, funded through Kentucky's Agricultural Development Board, also continues statewide multi-departmental variety trial and production systems research for fruit and vegetable, greenhouse and nursery/landscape enterprises.

20. UK's Salvation Army Free Clinic Wins State Accolade as 'Model That Works'

The UK College of Medicine's Free Clinic at the Salvation Army in Lexington has been chosen as a "Model That Works" by the Foundation for a Healthy Kentucky. John Bennett, Geriatric Medicine and director of the clinic, noted the clinic is operated by students and faculty who volunteer their time to meet the health needs of low-income and homeless persons. The "Models That Work" competition recognizes health care facilities making strides toward delivering health care to persons whose needs otherwise would be unmet.

21. Physician Assistant Students Receive White Coats to Begin Clinical Education

Fifty-three students in the UK College of Health Sciences physician assistant studies program received their white coats in a mid-January ceremony marking their entry into the program's newest class. The students are embarking on their clinical experience. As part of the annual convocation, the students took their physician assistant oath.

22. UK School of Music Faculty Perform in China

Four faculty members from the UK School of Music performed a great work a great distance from home in early January. Conductor and China native Julian Shew, violinist Daniel Mason, pianist Irina Voro, and cellist Benjamin Karp played the "Triple Concerto" of Beethoven with the Tianjin Philharmonic in Tianjin, China. The concert will be performed by the UK Symphony Orchestra on April 2, 2004, in the Concert Hall of the UK Singletary Center for the Arts. This concert will be a benefit for the scholarship fund of the School of Music.

23. Amadeus Trio to Perform in UK Singletary Center

UK will welcome in the new year with a celebration of chamber music as the acclaimed Amadeus Trio presents the world premiere of UK alumnus David Ott's work, "Trio Piece," at 8 p.m. today (January 27) in the Concert Hall of the UK Singletary Center for the Arts. The Amadeus Trio includes pianist Marian Hahn, violinist Timothy Baker, and cellist Jeffrey Solow. The concert is part of a weeklong residence program featuring Ott. A collaboration between the Amadeus Trio and the UK Orchestra in the School of Music in the College of Fine Arts will be held in the Singletary Center's Concert Hall at 8 p.m. Friday, Jan. 30. Ticket prices for the performances are \$20 for the general public, \$16 for UK faculty/staff and senior citizens, and \$12 for students. Each night is sold separately. Tickets may be purchased at the Singletary Center Ticket Office or by calling (859) 257-4929 or online at www.uky.edu/scfa/events.htm.

24. Jarrett's Holiday House Offers Cheer to UK Children's Hospital at Yuletide

The legacy of Jarrett Mynear – the young cancer patient who launched “Jarrett's Joy Cart” at UK Children's Hospital four years ago – continued during the 2003 holiday season with a twist. Instead of patients picking out toys for themselves, the patients were able to pick out presents for their parents, caregivers or siblings at Jarrett's Holiday House. After a long, courageous battle with his illness, Jarrett died in October 2002, but the toy cart he envisioned continues to deliver toys to UK Children's Hospital patients.

25. Children Hear 'Winter Tales' at Arboretum

Dozens of children participated in a storytelling adventure early this month at the UK/Lexington-Fayette Urban County Government Arboretum. The stories included tales of insects, animals and nature in the Dorothea Smith Oatts Visitor Center.

26. Student Awards and Achievements

- Jennifer A. Robertson, Journalism, placed seventh in the opinion writing competition in the recent 44th Hearst Journalism Awards Program. For her seventh place finish, Robertson earned a \$500 scholarship for the UK Journalism School.
- Blake Jones, Social Work doctoral student, was a co-presenter of “Seeing the Forest AND the Trees: Comprehensive Family Services and Customer Satisfaction Outcomes” in November at the Child Welfare League of America, 2003 Tools That Work Conference, in Miami.
- William Messer, Journalism, placed 15th in the recent 44th Hearst Journalism Awards Program, in a continuing overall Intercollegiate Writing Competition sponsored by the Hearst Journalism Awards Program.

27. Faculty and Staff Awards and Achievements

- Susan Bordo, English, was featured in the Dec. 19 issue of the Chronicle of Higher Education. The article features a new preface Bordo wrote for the 10th anniversary publication of her popular book, “Unbearable Weight: Feminism, Western Culture and the Body.” The new edition of the book will be published this month by the University of California Press.
- Stanley D. Brunn, Geography, edited a book of essays titled “11 September and Its Aftermath: The Geopolitics of Terror” for the Journal of Geopolitics. The book includes articles by three persons who earned their doctorates in geography at UK and a current geography doctoral student.

The book was published this month by Frank Cass Publishers of Portland, Ore.

- Dan Chesire, Social Work, co-presented "Program Reviews as Interventions to Improve Treatment Process and Outcomes in Residential Treatment Programs" at the Child Welfare League of America, 2003 Tools That Work Conference, Miami, in November.
- Bob Coleman, Animal Sciences, was a featured speaker at the first Southern Horse Fair in Raleigh, N.C., held December 5-7 with more than 8,000 horse owners attending.
- Crystal Collins-Camargo and Chris Groeber, Social Work, presented "Using Public Agency, University and Community Partnerships to Create a Toolbox to 'Fix' Child Welfare" at the Child Welfare League of America, 2003 Tools That Work Conference, in Miami, in November.
- Gary Cromwell, Animal Sciences, was honored by the National Academies of Science for his outstanding service as animal nutrition committee chair and swine nutrition committee member during its preparation of the most widely used nutrition guide for swine in the world.
- Surjit Dhooper, Social Work, was recently appointed to the National Association of Social Work, Aging Section Committee.
- Surjit Dhooper, Social Work, served on the Social Work Dictionary, 5th Edition, Editorial Review Board for the National Association of Social Workers.
- Sherry Fairchild, Social Work, co-presented "Reproductive Rights and Reproductive Health in Developing Countries: Implications for Social Work" at the 13th International Symposium of the Inter-University Consortium for International Social Development (IUCSD) in Mumbai, India, December 29, 2003-January 2, 2004.
- James A. Francis, Classics, published "Living Icons: Tracing a Motif in Verbal and Visual Representation from the Second to Fourth Centuries, C.E." in the December 2003 edition of the American Journal of Philology.
- Robert A. Gayheart, Ophthalmology, was elected treasurer of Vision Share for 2004 and 2005. Vision Share is a national consortium of eye banks working to advance cornea transplantation and ophthalmic research in America and abroad.
- Ari Geertsema, Center for Applied Energy Research, presented an overview of the energy research and development now under way at Kentucky universities to the Energy Subcommittee in Frankfort. The focus of his testimony was that better coordination in the state could lead to more federal dollars for energy-related research.
- Uschi Graham, Center for Applied Energy Research, gave the keynote address at the Painting Technology Workshop in October in

Lexington. Her talk was titled "Nanotechnology: Towards Smart Coatings."

- Jim Hower, Center for Applied Energy Research, chaired all three coal geoscience sessions and the coal geoscience poster session at the 20th Annual International Pittsburgh Coal Conference in September.
- Alan Lytle, WUKY, won a Crystal Award for Excellence from the Dallas, Texas-based Communicator Awards for his multi-part news series "Seabiscuit in the Bluegrass."
- Mary Marchant, Agricultural Economics, traveled to China as part of the U.S. Department of Agriculture-Economic Research Service agricultural biotechnology team to gain a better understanding of Chinese biotech regulations and U.S. trade implications.
- Lee Meyer and Kenny Burdine, Agricultural Economics, are working on a joint project with colleagues at the National Establishment for Higher Education in Agriculture at Dijon (ENESAD) in France, comparing beef system in Burgundy and Kentucky, and gaining insights into multifunctional farming practices.
- Jerry Skees, Agricultural Economics, presented a paper on index-based insurance for developing countries at a December symposium in Rome, Italy, sponsored by the United Nations Food and Agriculture Organization Commodities and Trade Division.
- Ginny Sprang, Social Work, wrote the essay "Psychological Impact of Isolated Acts of Terrorism" in *Terrorist, Victims and Society: Psychological Perspectives on Terrorism*, published by Wiley and Sons, London.
- Ginny Sprang and Jim Clark, Social Work, and Otto Kaak and Alan Brenzel, Psychiatry, co-presented "Efficacy of Relational Treatments for Traumatized Children and Families" at the 19th Annual International Society for Traumatic Stress Studies Conference in November.
- Jeff Stringer, Forestry, earned the 2003 Governor's Environmental Excellence Award for his efforts in educating producers about best management practices in timber production.
- Martin Tracy, Social Work, lead a weeklong conference in Budapest, Hungary, in December on "Good Practices in Social Service Delivery" with participants from Albania, Bosnia/Herzegovina, Bulgaria, Croatia Macedonia, Moldova, Romania, and Serbia/Montenegro.
- Rick S. Zimmerman, Communication, has been named a member of the Behavioral and Social Science Approaches to Preventing HIV/AIDS Study Section, Center for Scientific Review.

28. Research Activities

- James Anderson, Internal Medicine, Clinical Trial, A Parallel, Six-Month, Double-blind, Randomized, Placebo-Controlled, Multicenter, Dose-Ranging Study to Evaluate the Efficacy, Safety and Tolerability of Orally Administered GI181771X on Weight Loss in Overweight and Obese Subjects.
- Warren Anderson and William Andrews, Kentucky Geological Survey, a one-year, \$245,350 grant from the U.S. Geological Survey (USGS) for the continuation of the USGS State Map Program.
- John Armitstead, PCS Central Services, \$36,735, Rural Health Bioterrorism and Emergency Preparedness.
- P. Berger, Martin School of Public Policy, \$40,000, Worker Health and Safety Cooperative Agreement.
- William Boatright, AES/Animal Sciences, \$118,000, Residual Soybean Sulfur Metabolism in Isolated Soy Proteins: Sulfate to Cysteine.
- Subbarao Bondada, Microbiology and Immunology, \$1,083,899, Growth Regulation and Therapy of Leukemias and Lymphomas.
- Subbarao Bondada, Microbiology and Immunology, \$249,693, Growth Regulation and Therapy of Leukemias and Lymphomas (Project 2).
- Maria Boosalis, Clinical Sciences, \$14,920, KSEF Emerging Ideas: Development of Nutrition Education CD on Healthy Eating to Combat Overweight and Obesity in Kentucky.
- Ben Brammell, Biological Sciences, \$600, Effects of Pollution Resistance on Polychlorinated Biphenyl Mediated Endocrine Disruption.
- Allen Brenzel, Psychiatry, \$219,988, UTC-Title IV-E/TCM Project 4-50401.
- James Bryson, Microbiology and Immunology, \$281,520, Growth Regulation and Therapy of Leukemias and Lymphomas (Project 4).
- Susan Cantrell, Education Reform and Research, \$58,515, KAELI: Alumni Project.
- Vincent Capece, OISTL/Engineering Distance Learning, \$29,996, An Experimental Investigation of Flutter Precursors in Compression Systems.
- Thomas Chambers, AES/Veterinary Science, \$85,220, Combination Vaccination for Equine Influenza Flu Avert Plus Encevac TC-4.
- Roger Chesser, WUKY, \$142,020, Community Service Grant (CSG).
- Alfred Cohen, Cancer Center-Core Support, Clinical Trial, ACOSOG Statistics and Data Coordinating Center Studies.
- Delwood Collins, Senior Associate Vice President for Research and Infrastructure, \$150,000, Human Subjects Research Enhancement and Outreach.

- Glenn Collins, AES/Agronomy, \$331,515, Soybean Tissue Culture and Genetic Engineering Center.
- Gary Cromwell, AES/Animal Sciences, \$30,000, Shared Faculty Position With CSREES/USDA.
- Ralph Crystal, Special Education and Rehabilitation Counseling, \$21,000, Satisfaction Survey of Consumers.
- Larry Cunningham Jr., Oral Health Science, \$5,400, Mentor Grant – Career Training in Therapeutics & Translational Research.
- Subodh Das, Center for Aluminum Technology, \$9,999, Automotive Aluminum Roadmap.
- Willem DeVilliers, Internal Medicine, Clinical Trial, A Pilot Study of the Safety and Efficacy of ALX-0600 in Subjects with Moderately Active Crohn's Disease.
- Mark Dignan, Kentucky Community Cancer Program, \$24,200, State Nutrition and Physical Activity Programs to Prevent Obesity and Other Chronic Diseases.
- Carl Dillon, Agricultural Economics, \$138,000 from the U.S. Department of Agriculture's Cooperative State Research, Education and Extension Service for research on the economics of precision agriculture for Kentucky producers.
- Dennis Domer, Historic Preservation Master's Program, \$95,136, Keene Family Estate.
- James Drahovzal, Kentucky Geological Survey, \$200,840, Midwest Geological Sequestration Consortium.
- James Drahovzal, Kentucky Geological Survey, \$153,469, Creating a Geologic Play Book for Trenton-Black River Appalachian Basin Exploration.
- Linda Dwoskin, Pharmaceutical Tech, \$65,081, Novelty, Dopamine and Response to Amphetamine.
- Toufic Fakhoury, Neurology, Clinical Trial, A Randomized Double Blind Parallel Group Multicenter Study of the Safety and Efficacy of Depakote Sprinkle Capsules in the Treatment of Partial Seizures in Children.
- Toufic Fakhoury, Neurology, Clinical Trial, A Multi Center Double Blind Randomized Placebo Controlled Parallel Group Trial to Investigate the Efficacy and Safety of SPM 927 (200mg day, 400mg day, 600 mg day) as Adjunctive Therapy in Subjects with Partial Seizures.
- Victor Ferraris, Cardiothoracic Surgery, Clinical Trial, A Study Comparing Aniomax (bivalirudin) to Heparin Protamine Reversal in Patients Undergoing Off-Pump Coronary Artery Bypass (OPCAB) Surgery. Protocol No. TMC-B1V-02-07.
- Victor Ferraris, Cardiothoracic Surgery, Clinical Trial, A Phase III Study of Angiomax (bivalirudin) in Patients with HIT/HITTS Type II

Undergoing Off-Pump Coronary Artery Bypass (OPCAB) Surgery. Protocol No. TMC-BIV-02-02.

- R. Fisher, Kentucky Geological Survey, \$150,000, Groundwater Education, Training, and Technology Transfer.
- James Geddes, Spinal Cord and Brain Injury Research Center, \$336,256, Calpain Inhibition Strategies for Spinal Cord Injury.
- Beth Goldstein, Educational Policy Studies, \$14,700, ITR: Decision-Theoretic Planning with Constraints – Education I.
- Paul Goodrum, Civil Engineering, \$28,226, Lessons Learned Proof of Concept and Implementation.
- Richard Greenberg, Internal Medicine, Clinical Trial, A Long Term Open Label Rollover Trial Assessing the Safety and Tolerability of Combination Tipranavir and Ritonavir use in HIV-1 Infected Subjects.
- Richard Greenberg, Internal Medicine, Clinical Trial, 03-BMT-149: Investigation of the Natural History of Patients With, or at Risk for, Progression to West Nile Virus (WNV).
- Richard Greenberg, Internal Medicine, Clinical Trial, 03-BMT-148: A Phase I/II, Randomized, Placebo-Controlled Trial to Assess the Safety and Efficacy of IV Immunoglobulin G Containing High Anti-West Nile Virus Antibody Titers in Patients with, or at High-Risk.
- Chris Groeber and Crystal Collins-Camargo, Social Work, a \$200,000 supplement from the Federal Children's Bureau to further the work of the Southern Regional Quality Improvement Center in the Training Resource Center.
- Theodore Grossardt, Kentucky Transportation Center, \$62,075, Successful Community Workshops.
- Theodore Grossardt, Kentucky Transportation Center, \$50,000, Strategic/System Planning Support for LexTran: Service Delivery Analysis – Federal Aid Research Task No. 133.
- Ted Hasselbring, Special Education and Rehabilitation Counseling, \$68,180, Project CARE: Curriculum Access Through Reading Electronically.
- Jane Hayes, RCTF-Computer Science, \$100,272, Fault-Based Analysis: Requirements Risk Reduction.
- Lawrence Holloway, Electrical and Computer Engineering, \$6,300, Remote Temperature Sensing Tags for Cattle.
- Joseph Holtman, Anesthesiology, Clinical Trial, A Randomized Double Blind Placebo Controlled Multicenter Phase IIb Study to Evaluate the Efficacy and Safety of Multiple Alvimopan Dosage Regimens for the Treatment of Opioid-Induced Bowel Dysfunction in Subjects with Chronic Pain of Non-Malignant Origin.
- Joseph Holtman, Anesthesiology, \$60,000, STTR: Norketamine for Treatment of Pain.

- Patricia Howard, Nursing Instruction, \$23,838, CSH Kentucky Medication Algorithm Project – FIDELITY ASSESSMENTS.
- Michael Jay, Pharmaceutical Science and Technology, \$21,735, Continued Stability Assessment of Modified Aqueous Gels Containing Recombinant Lactoferrin.
- Chester Jennings, Microbiology and Immunology, \$99,243, Growth Regulation and Therapy of Leukemias and Lymphomas (Core B).
- Pradeep Kachroo, AES/Plant Pathology, \$124,840, Characterization of HRT Mediated Resistance to Turnip Crinkle Virus in Arabidopsis.
- James Kipp, Kentucky Water Resources Institute, \$986,284, Kentucky Research Consortium for Energy and Environment (KWRII Scope).
- Barbara Kucera, Computational Sciences, \$27,441, Implementing a Web-based Kentucky EPSCOR Reporting System.
- Linda Levstik, Curriculum and Instruction, \$5,000, American Legacies: Revitalizing American History in our Public Schools.
- Carolyn Lewis, Nursing Instruction, \$67,100, Public Health Preparedness and Response for Bioterrorism.
- Donald Linebaugh, Anthropology, \$11,076, Keene Family Estate.
- Donald Linebaugh, Program for Archaeological Research, \$7,856, A Proposal to Perform Phase I Archaeological Survey for the US 25W Widening, Whitley County, Kentucky – Item No.:11-1200-00.
- T.K. Logan, Center on Drug and Alcohol Research, \$30,000, Bluegrass Prevention Services Fetal Alcohol Syndrome.
- E. Lorch, Psychology, \$41,607, Development of Attention and Comprehension in ADHD.
- Victor Marek, Computer Science, \$179,500, IPA Agreement for Victor Marek.
- Catherine Martin, Psychiatry, Clinical Trial, Adolescent HIV/STD Risk of Exposure Screen Development.
- Ali Meigooni, Radiation Medicine, \$24,365, Dosimetric Characterization of the isoAid Pd-103 Brachytherapy Source.
- Jeffrey Moscow, Pediatrics, Clinical Trial, A Prospective Randomized Double Blind Multicenter Pilot Study of the Safety and Efficacy of Interferon Gamma-Ib plus Voriconazole Versus Placebo plus Voriconazole in the Treatment of Invasive Aspergillosis and Other Filamentous Fungal Infections.
- Russell Mumper, RCTF-Clinical Pharmaceutical Science, \$24,911, Feasibility Studies of Nanoengineered Vaccines.
- James Norton, Graduate Medical Education, \$393,404, Rural Health Bioterrorism and Emergency Preparedness.
- Melissa Ochsenbein, Center for Applied Energy Research, \$2,610, EPSCoR Marketing Brochure.

- Kevin Pearce, Family Practice, \$58,433, CaRESS Restricted Scope Account for Subcontract Funds.
- Robert Perry, Microbiology and Immunology, \$51,942, Antimicrobials Against the Plague Yersinia bacterium System.
- David Pollack, Kentucky Archaeological Survey, \$14,675, Eastern Kentucky New Deal Era.
- Vivek Rangnekar, Radiation Medicine, \$36,200, Restricted Scope for Year 8 Mechanism of Apoptosis by Par-4.
- Brian Rymond, Biological Sciences, \$73,500, Function of snRNP particles in pre-mRNA Splicing.
- Kiran Saraff, Internal Medicine, \$25,000, AngII Induced AAAs Occur Via Stimulation of Aortic Cell uPA Activity That Promotes Leukocyte Infiltration in a uPA Receptor Dependent Manner.
- Mark Schneider, Kentucky Injury Prevention and Research Center (KSPH), \$95,920, UK Chemical Terrorism Preparedness.
- Jimmy Smart, OISTL/Engineering Distance Learning, \$18,571, Evaluation of Air/Water Quality Around the Paducah Gaseous Diffusion Plant.
- Douglas Smith, Curriculum and Instruction, \$1,700, Improvement of Business/Marketing Education Programs Through Preservice and Inservice Teacher Education Programs.
- Ernest Snow, Microbiology and Immunology, \$258,773, Growth Regulation and Therapy of Leukemias and Lymphomas (Project 1).
- Brett Spear, Microbiology and Immunology, \$147,091, Growth Regulation and Therapy of Leukemias and Lymphomas (Core A).
- Mary Sprang, Social Work, \$158,604, Rural Health Bioterrorism and Emergency Preparedness.
- Susan Straley, Microbiology and Immunology, \$103,122, New Vaccine Candidates for Pneumonic Plague.
- Mark Swanson, CES/Community and Leadership Development, \$180,000, Local Food Systems and Agricultural Diversification: Opportunities and Obstacles.
- Richard Sweigard, Mining Engineering, \$489,148, Ukrainian Mine Safety Project.
- Pamela Teaster, Gerontology, \$149,578, Wards of the State: A Study of Public Guardianship Programs in Seven Jurisdictions.
- Anand Vaishnav, Neurology, Clinical Trial, Secondary Prevention of Small Subcortical Strokes (SPS3).
- James Walker, Center on Drug and Alcohol Research, \$74,136, Turning It Around Project.
- Thomas Waid, Internal Medicine, Clinical Trial, The Use of Cytomegalovirus Hyperimmune Gammaglobulin in Combination with Plasmapheresis in Highly or Specifically Sensitized Solid Organ Transplant Candidates.

- Zhenming Wang, Kentucky Geological Survey, \$117,485, Kentucky Research Consortium for Energy and Environment.
- Thomas Whayne Jr., Internal Medicine, Clinical Trial, Clinical Protocol for an Open Label Extension Study Evaluating the Safety of Eplerenone in Patients With Heart Failure.
- Florence Witte, Kentucky Community Cancer Program, \$18,312, Gender Discrimination and Sexual Harassment in American Medical Education.
- Edward Woolery, Geology, \$86,885, Kentucky Research Consortium for Energy and Environment.
- Stephen Wyatt, Kentucky Community Cancer Program, \$49,061, UT Breast Health Outreach Program Restricted Scope for Pilot.
- Alfred Young, Neurosurgery, Clinical Trial, A Multicenter Phase II Study of TP-38 in those Patients with Glioblastoma Multiforme Who Have Recurred or Progressed After Previous Resection and Radiation Therapy and Are Scheduled for Gross Total Resection.
- Alfred Young, Neurosurgery, Clinical Trial, Two Compartment Models to Improve Brain Tumor Therapy.
- Youling Xiong, Animals Sciences, \$130,000 from the U.S. Department of Agriculture's Cooperative State Research and Extension Service and subcontracted through Kentucky State University to research stability of red claw crayfish under frozen conditions, and identification of pawpaw genotypes.

PR 2

Office of the President
January 27, 2004

Members, Board of Trustees:

PERSONNEL ACTIONS

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

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

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

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PRESIDENT
AND
EXECUTIVE VICE PRESIDENT FOR FINANCE AND ADMINISTRATION

I. BOARD ACTION

A. APPOINTMENTS

Office of Legal Counsel

Jones, Barbara W., Office of Legal Counsel, appointed Acting General Counsel, effective January 12, 2004.

B. RETIREMENTS

Executive Vice President For Finance and Administration

Marshall, Robert R., Office of Controller and Treasurer, Associate Controller, after 29 years of consecutive service under AR II-1.6-1 Section III.A.2, effective 12/31/03.

C. POST-RETIREMENT APPOINTMENTS

Executive Vice President For Finance and Administration

Marshall, Robert R., Office of Controller and Treasurer, Associate Controller (part-time), 1/5/04 through 6/30/04.

II. ADMINISTRATIVE ACTION

A. RETIREMENTS

Associate Vice President for Facilities

Brown, John Y., Sheet Metal Worker III, Physical Plant Division, after 15 total years of service, under AR II-1.6-1, Section III 1.2, effective 4/2/04.

Davidson, William E., Building Operator, Physical Plant Division, after 27 years, 9 months of consecutive years of service and a total of 30 years of service, under AR II-1.6-1, Section III 1.2, effective 1/30/04.

Ingram, Lillian J., Staff Support Associate I, Physical Plant Division, after 16 years, 3 months of total years of service, under AR II-1.6.1, Section III.B, effective 1/1/04.

Kidwell, Ora L., Heat/Cool Plant Operator III, Physical Plant Division, after 36 years, 1 month of consecutive years of service and a total of 37 years, 2 months of service, under AR II-1.6-1, Section III 1.2, effective 3/12/04.

Associate Vice President External Affairs

Chesser, Roger, General Manager, WUKY, after 20 years, 11 months of consecutive years of service and a total of 21 years, 10 months years of service, under AR II-1.6-1, Section III.A.2, effective 1/30/04.

Associate Vice President for Auxiliary Services

George, William L., Administrative Services Assistant, Auxiliary Services, after 25 years, 5 months total years of service, under AR II-1.6-1, Section III 1.2, effective 2/2/04.

B. LEAVE OF ABSENCE

Executive Vice President for Finance and Administration

Goetz, Bernard Anthony, Government Relations Director, External Affairs, leave of absence without pay, effective 1/2/04 through 12/31/04.

PROVOST

I. BOARD ACTION

A. ACADEMIC APPOINTMENTS

Blackburn, Richard R., College of Medicine, Clinical Assistant Professor, Radiation Medicine, 4/5/04 through 6/30/04.

Chen, Jinhui, College of Medicine, Assistant Professor, Anatomy and Neurobiology, 12/1/03 through 6/30/04.

Gewirtz, Amy S., College of Medicine, Associate Professor (voluntary), Pathology and Laboratory Medicine, 2/1/04 through 6/30/06.

Grossmann, Etienne G, College of Engineering, Assistant Research Professor, Computer Science, 11/17/03 through 6/30/04.

Jahania, Mohammed S., College of Medicine, Clinical Assistant Professor, Surgery, 12/1/03 through 6/30/04.

Lane, Derek R., College of Communications and Information Studies, Associate Professor (with tenure), Communication, appointed to the H. Lester Reynolds Professorship in the College of Engineering, 1/1/04 through 12/31/06.

Li, Mengtao, College of Dentistry, Assistant Research Professor, Oral Health Science, 1/28/04 through 6/30/04.

Rodenberg, Richard E., College of Medicine, Assistant Professor*, Family Practice and Community Medicine, joint appointment as Assistant Professor*, Surgery, 1/1/04 through 6/30/04.

Rodrigue, Daniel, College of Medicine, Associate Professor (voluntary), Family Practice and Community Medicine, 1/1/04 through 6/30/06.

Scherbenske, James, College of Medicine, Clinical Assistant Professor, Internal Medicine, 11/19/03 through 6/30/04.

Tanney, Joseph D., College of Design, Visiting Professor, Architecture, 8/15/03 through 5/15/04.

Tannock, Lisa R., College of Medicine, Assistant Professor, Internal Medicine, 1/1/04 through 6/30/04.

B. ADMINISTRATIVE APPOINTMENTS

Haug, Richard H., College of Dentistry, Professor* (with tenure), Oral Health Science, appointed Executive Associate Dean, College of Dentistry, effective 1/1/04.

C. JOINT APPOINTMENTS

Anglin, Mary, College of Arts and Sciences, Associate Professor (with tenure), Anthropology, joint appointment as Associate Professor (without tenure),

*Special Title Series

Kentucky School of Public Health, College of Medicine, 1/1/04 through 12/31/07.

Brown, Raeford E., College of Medicine, Professor* (with tenure), Anesthesiology, joint appointment as Professor* (without tenure), Pediatrics, effective 1/1/01.

D. REAPPOINTMENTS

Shah, Vinod, College of Pharmacy, Adjunct Professor, 7/1/03 through 6/30/04.

E. PROMOTIONS

Blonder, Lee X., College of Medicine, Associate Professor (with tenure), Behavioral Science, joint appointments as Associate Professor (without tenure), Neurology, and Associate Professor (without tenure), Anthropology, College of Arts and Sciences, to Professor (with tenure), Behavioral Science, joint appointments as Professor (without tenure), Neurology, and Associate Professor (without tenure), Anthropology, College of Arts and Sciences, effective 7/1/03.

Johnson, Mitzi M., College of Medicine, Associate Professor (with tenure), Behavioral Science, joint appointment as Assistant Professor, Psychology, College of Arts and Sciences, to Professor (with tenure), Behavioral Science, joint appointment as Professor (without tenure), Psychology, College of Arts and Sciences, effective 7/1/03.

Matthews, James C., College of Agriculture, from Assistant Professor, Animal Science, to Associate Professor (with tenure), Animal Science, effective 1/1/04.

McNeill, Samuel G., College of Agriculture, from Assistant Extension Professor, Biosystems and Agricultural Engineering, to Associate Extension Professor (with tenure), Biosystems and Agricultural Engineering, effective 1/1/04.

F. RETIREMENTS

Cole, Henry P., College of Education, Professor (with tenure), Educational and Counseling Psychology, after 32 years and 10 months of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/04.

Gallagher, Eugene B., College of Medicine, Professor (with tenure), Behavioral Science, after 41 years, 3 months of consecutive service, under AR II-1.6-1, Section III.B, effective November 10, 2003.

Ledbetter, Louise C., College of Business and Economics, Conference Coordinator, Small Business Development Center, after 23 years of consecutive service, and a total of 23 years and 4 months of service, under AR II-1.6-1, Section III.B, effective 1/1/04.

Miller, Peggy Ann, College of Agriculture, Program Assistant (EFNEP), Cooperative Extension Service, Family and Consumer Sciences, after 16 years and 9

*Special Title Series

months of consecutive service, under AR II-1.6-1, Section III.B, effective 11/28/03.

G. EARLY RETIREMENTS

- Biroschik, Barbara J., College of Business and Economics, Information Coordinator, Small Business Development Center, after 19 years and 8 months of consecutive service, and a total of 19 years and 11 months of service, under AR II-1.6-1, Section III.A.2, effective 1/30/04.
- Burdette, Joan, Student Affairs, Patient Registration Counselor I, University Health Service, after 16 years and 4 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 1/31/04.
- Chambers, Paul, College of Agriculture, Heavy Equipment Operator, Management Operations, after 31 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 1/1/04.
- Craigmyle, Lois J., College of Medicine, Nurse Clinician, Pediatrics, after 23 years 6 months of consecutive service, and a total of 23 years, 7 months, under AR II-1.6-1, Section III.A.2, effective 1/30/04.
- Finley, Janet R., College of Agriculture, Principal Laboratory Technician, Plant Pathology, after 27 years and 8 months of consecutive service, and a total of 31 years and 7 months of service, under AR II-1.6-1, Section III.A.2, effective 2/27/04.
- Ginter, Gerald B., College of Agriculture, Research Coordinator, Agriculture Research Office, after 19 years and 4 months of consecutive service, and a total of 27 years and 8 months of service, under AR II-1.6-1, Section III.A.2, effective 12/31/03.
- Herald, Carolyn Sue, College of Agriculture, Research Analyst, Regulatory Services, after 40 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 2/3/04.
- Williams, Susan L., College of Dentistry, Staff Support Associate I, Oral Health Science, after 24 years, 5 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 2/6/04.

H. POST-RETIREMENT APPOINTMENTS

- Crum, Ruth Ann, College of Education, Associate Professor (part-time), Curriculum and Instruction, 12/1/03 through 5/15/04.

I. PHASED RETIREMENT APPOINTMENTS

- Poonacha, K.B., College of Agriculture, Professor* (half time), Veterinary Science, effective 7/1/04.
- Ulack, Richard, College of Arts and Sciences, Professor (half time), Geography, effective 7/1/04.

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II. ADMINISTRATIVE ACTION

A. ACADEMIC APPOINTMENTS

Adams, Heath P., College of Pharmacy, Assistant Professor (voluntary), 12/10/03 through 6/30/06.

Ahmed, Naveed, College of Medicine, Assistant Professor (voluntary), Family Practice and Community Medicine, 1/1/04 through 6/30/06.

Akers, Scott R., College of Medicine, Assistant Professor (part-time), Physical Medicine and Rehabilitation, 12/1/03 through 6/30/04.

Allencherill, Paul J., College of Medicine, Assistant Professor (voluntary), Emergency Medicine, 12/1/03 through 6/30/06.

Artiushin, Sergey C., College of Agriculture, Assistant Research Professor, Veterinary Science, 12/1/03 through 6/30/04.

Barnwell, Patricia A., College of Health Sciences, Instructor (voluntary), Clinical Sciences, 7/1/03 through 6/30/06.

Bone, William M., College of Medicine, Assistant Professor (voluntary), Family Practice and Community Medicine, 12/1/03 through 6/30/06.

Butler, Danny N., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 12/1/03 through 6/30/06.

Carlson, Judy, College of Medicine, Assistant Professor (voluntary), Family Practice and Community Medicine, 1/1/04 through 6/30/06.

Clements, Stephen, College of Education, Instructor (part-time), Educational Policy Studies and Evaluation, 1/1/04 through 5/15/04.

Dodge, James T., College of Health Sciences, Instructor (voluntary), Clinical Sciences, 7/1/03 through 6/30/06.

Francis, Larry B., College of Medicine, Assistant Professor (voluntary), Family Practice and Community Medicine, 1/1/04 through 6/30/06.

Gardner, Melissa E., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 1/1/04 through 6/30/04.

Garibaldi, Abel A., College of Medicine, Assistant Professor (voluntary), Family Practice and Community Medicine, 12/1/03 through 6/30/06.

Gibson, Kermit D., College of Health Sciences, Instructor (voluntary), Clinical Sciences, 7/1/03 through 6/30/06.

Groves, Christopher, College of Arts and Sciences, Assistant Adjunct Professor, Geological Sciences, 12/1/02 through 6/30/04.

Gowdar, Paranjyothi R., College of Medicine, Assistant Professor (voluntary), Family Practice and Community Medicine, 12/1/03 through 6/30/06.

Herrin, David W., College of Engineering, Assistant Research Professor, Mechanical Engineering, 1/1/04 through 6/30/04.

Jackson, Rodney A., College of Dentistry, Assistant Professor (voluntary), Oral Health Science, 12/1/03 through 6/30/06.

Mahmood, Ijaz, College of Medicine, Assistant Professor (voluntary), Internal Medicine, 12/1/03 through 6/30/06.

Meers, Donna, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/04 through 5/15/04.

Omer, Katherine W., College of Medicine, Assistant Professor (voluntary), Pediatrics, 12/1/03 through 6/30/06.

Potter, Ira B., College of Medicine, Assistant Professor (voluntary), Family Practice and Community Medicine, 12/1/03 through 6/30/06.

Pund, Christopher R., College of Medicine, Assistant Professor (voluntary), Emergency Medicine, 1/1/04 through 6/30/06.

Pyle, Christian L., Lexington Community College, Instructor (temporary), Lexington Community College, 1/1/04 through 5/31/04.

Rechtin, Robert M., College of Health Sciences, Instructor (voluntary), Clinical Sciences, 7/2/03 through 6/30/06.

Roeding, Richard L., College of Pharmacy, Assistant Professor (voluntary), 12/10/03 through 6/30/06.

Shpilberg, Victor J., College of Health Sciences, Instructor (voluntary), Clinical Sciences, 7/1/03 through 6/30/06.

Sirk, Charles L., College of Business and Economics, Instructor (part-time), Management (Finance), 1/16/04 through 5/15/04.

Staley, Stella R., College of Health Sciences, Instructor (voluntary), Clinical Sciences, 7/1/03 through 6/30/06.

Stephenson, Joel C., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 12/1/03 through 6/30/06.

Taylor, Gregory, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/04 through 5/15/04.

Thomas, Brian N., College of Agriculture, Instructor (temporary), Agricultural Economics, 8/27/03 through 6/30/04.

Wang, Zhenming, College of Arts and Sciences, Assistant Adjunct Professor, Geological Sciences, 12/1/02 through 6/30/04.

Westerfield, Traci J., College of Medicine, Assistant Professor (voluntary), Family Practice and Community Medicine, 1/1/04 through 6/30/06.

Wicker, Mitchell, College of Medicine, Assistant Professor (voluntary), Internal Medicine, 12/1/03 through 6/30/06.

B. ADMINISTRATIVE APPOINTMENTS

McEwen, Melanie, College of Medicine, Scientist III, Anatomy and Neurobiology, effective 12/10/03.

C. REAPPOINTMENTS

Adair, Gerald M., Lexington Community College, Instructor (temporary), Lexington Community College, 1/1/04 through 5/31/04.

Allen, Lawrence, College of Education, Instructor (part-time), Administration and Supervision, 1/1/04 through 5/15/04.

Anneken, Michael W., College of Pharmacy, Assistant Professor (voluntary), 7/1/03 through 6/30/06.

Armistead, Jane, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/04 through 5/15/04.

Batsel, William M. Jr., Lexington Community College, Instructor (temporary), Lexington Community College, 1/1/04 through 5/31/04.

Bell, Jennifer, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/04 through 5/15/04.

Blackport, Ross, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/04 through 5/15/04.

Boyle, Karen R., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 1/1/04 through 6/30/04.

Buck, Patrick, Lexington Community College, Instructor (temporary), Lexington Community College, 1/1/04 through 5/31/04.

Burk, Charles, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/04 through 5/15/04.

Chen, Mei, College of Engineering, Assistant Professor, Civil Engineering, 1/1/04 through 6/30/05.

Cleaver, Becke, College of Education, Instructor (part-time), Administration and Supervision, 1/1/04 through 5/15/04.

Daniel, Lois, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/04 through 5/15/04.

Daugherty, Deborah, College of Communications and Information Studies, Instructor (part-time), Communication, 8/16/03 through 12/31/03.

Day, Richard, College of Education, Instructor (part-time), Administration and Supervision, 1/1/04 through 5/15/04.

Dove, Edward, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/04 through 5/15/04.

Dulin, Michael B., College of Agriculture, Instructor (temporary), Landscape Architecture, 1/14/04 through 5/15/04.

Evans, Constance, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/04 through 5/15/04.

Gassaway, Linda, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/04 through 5/15/04.

Goldberg, Sarah T., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 1/1/04 through 6/30/04.

Hamilton, Phyllis, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/04 through 5/15/04.

Hammonds, Pam, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/04 through 5/15/04.

Hayslett, Kris, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/04 through 5/15/04.

Helm, David, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/04 through 5/15/04.

Howard, Chad E., Lexington Community College, Instructor (temporary), Lexington Community College, 1/1/04 through 5/31/04.

Hutchinson, Judy, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/04 through 5/15/04.

Jackson, Jim, College of Education, Instructor (part-time), Administration and Supervision, 1/1/04 through 5/15/04.

Kalinski, Michael E., College of Engineering, Assistant Professor, Civil Engineering, 1/1/04 through 6/30/05.

Leet, Vicki, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/04 through 5/15/04.

Manley, Peggy, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/04 through 5/15/04.

McEachin, Neal, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/04 through 5/15/04.

McFarland, Martha, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/04 through 5/15/04.

McKenzie, Patricia, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/04 through 5/15/04.

Meck, Constance I., Lexington Community College, Instructor (temporary), Lexington Community College, 1/1/04 through 5/31/04.

Mullaney, Sean T., Lexington Community College, Instructor (temporary), Lexington Community College, 1/1/04 through 5/31/04.

Muntz, Charlie, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/04 through 5/15/04.

Nixon, Neal D., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 1/1/04 through 6/30/04.

Nuckols, Leslie, College of Education, Instructor (part-time), Curriculum and Instruction, 1/1/04 through 5/15/04.

Prewitt, Sallie, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/04 through 5/15/04.

Rogers, Michael L., Lexington Community College, Instructor (temporary), Lexington Community College, 1/1/04 through 5/31/04.

Schultz, Lois E., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 1/1/04 through 6/30/04.

Snapp, William M., College of Business and Economics, Lecturer, Management (Finance), 8/16/03 through 12/31/03.

Snodgrass, H.M., College of Education, Instructor (part-time), Administration and Supervision, 1/1/04 through 5/15/04.

Sprague, Dennis, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/04 through 5/15/04.

Storer, Robert, College of Education, Instructor (part-time), Administration and Supervision, 1/1/04 through 5/15/04.

Strobl, Bryan, College of Pharmacy, Assistant Professor (voluntary), 7/1/03 through 6/30/06.

Walls, Danny, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/04 through 5/15/04.

White, Tanya, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/04 through 5/15/04.

D. CHANGES

- Hollins, Bettye M., College of Medicine, from Assistant Research Professor, Physiology, to Assistant Professor, Clinical Sciences, College of Health Sciences, 10/1/03 through 6/30/04.
- Miller, Gus E., Academic Affairs, from Project Manager III, Capital Project Management, Facilities, to Space Planning Director, Academic Affairs, effective 12/1/03.
- Plummer, Elizabeth, College of Medicine, from Research Associate Clinical III, Internal Medicine, to Research Protocol Manager/Clinical, Internal Medicine, effective 11/15/03.
- Thibault, Olivier H., College of Medicine, from Assistant Research Professor, Molecular and Biomedical Pharmacology, to Assistant Professor, Molecular and Biomedical Pharmacology, 1/1/04 through 6/30/04.

E. LEAVES OF ABSENCE

- Anderman, Lynley, College of Education, Associate Professor (with tenure), Educational and Counseling Psychology, Scholarly leave with full salary, 7/1/04 through 12/31/04.
- Boulden, George, College of Fine Arts, Associate Professor* (with tenure), Music, Sabbatical leave with half salary, 7/1/04 through 6/30/05.
- Carpenter, Dennis, College of Fine Arts, Associate Professor (with tenure), Art, to change from Sabbatical leave with full salary, 1/1/04 through 6/30/04, to Miscellaneous leave with full salary, 7/1/04 through 12/31/04, and Sabbatical leave with full salary, 1/1/05 through 6/30/05.
- Glixon, Jonathan, College of Fine Arts, Associate Professor (with tenure), Music, Sabbatical leave with half salary, 7/1/04 through 6/30/05.
- Hetzel, Lori, College of Fine Arts, Associate Professor* (with tenure), Music, Sabbatical leave with full salary, 1/1/05 through 6/30/05.
- Jensen, Robert, College of Fine Arts, Associate Professor (with tenure), Music, Sabbatical leave with full salary, 7/1/04 through 12/31/04.
- Jones, Nancy C., College of Fine Arts, Associate Professor* (with tenure), Theatre, Sabbatical leave with full salary, 1/1/05 through 6/30/05.
- Lane, Derek, College of Communications and Information Studies, Associate Professor (with tenure), Communication, Sabbatical leave with full salary, 8/1/04 through 12/31/04.
- Mullineaux, Donald, College of Business and Economics, Professor (with tenure), Management (Finance), Sabbatical leave with full salary, 1/1/05 through 6/30/05.
- Peffer, Sean, College of Business and Economics, Associate Professor (with tenure), Accountancy, Sabbatical leave with full salary, 7/1/04 through 12/31/04.
- Pienkowski, David, Graduate School, Associate Professor (with tenure), Biomedical Engineering, joint appointment as Associate Professor (without tenure),

*Special Title Series

Surgery, College of Medicine, miscellaneous leave, without pay, 1/1/04 through 6/30/04.

Sogin, David, College of Fine Arts, Associate Professor (with tenure), Music, Sabbatical leave with full salary, 1/1/05 through 6/30/05.

Vines, Cynthia, College of Business and Economics, Associate Professor (with tenure), Accountancy, Sabbatical leave with full salary, 7/1/04 through 12/31/04.

EXECUTIVE VICE PRESIDENT FOR HEALTH AFFAIRS

I. BOARD ACTIONS

A. ADMINISTRATIVE APPOINTMENTS

Tuteja, Sony, University Hospital, Clinical Staff Pharmacist II, Hospital Pharmacy, effective 1/5/04.

B. EARLY RETIREMENTS

Lloyd, Brenda M., Staff Tech Supervisor, Clinical Lab-Blood Bank, after 40 years, 7 months of consecutive service under AR II-1.6-1, Section III.A.2, effective 2/6/04.

Warren, Helen Lee, Medical Records Clerk Sr., Medical Records, after 33 years, 6 months of consecutive service under AR II-1.6-1, Section III.A.2, effective 1/9/04.

EXECUTIVE VICE PRESIDENT FOR RESEARCH

I. BOARD ACTION

A. ADMINISTRATIVE APPOINTMENTS

Jordan, Carol E., College of Social Work, Assistant Adjunct Professor, and College of Arts and Sciences, Assistant Adjunct Professor, Psychology, appointed Director, Center for Research on Violence Against Women, 12/1/03 through 11/30/09.

II. ADMINISTRATIVE ACTION

A. ADMINISTRATIVE APPOINTMENTS

Wickham, Donna R., Interdisciplinary Human Development Institute, Disability Program Administrator Associate, effective 12/1/03.

B. CHANGES

Sheppard-Jones, Kathleen, Interdisciplinary Human Development Institute, from Disability Program Administrator II, to Disability Program Administrator Associate, effective 12/8/03.

EXECUTIVE VICE PRESIDENT FOR RESEARCH

I. BOARD ACTION

A. ADMINISTRATIVE APPOINTMENTS

Jordan, Carol E., College of Social Work, Assistant Adjunct Professor, and College of Arts and Sciences, Assistant Adjunct Professor, Psychology, appointed Director, Center for Research on Violence Against Women, 12/1/03 through 11/30/09.

Parks, John B., Coldstream Research Campus, appointed Executive Director, effective 4/1/04.

II. ADMINISTRATIVE ACTION

A. ADMINISTRATIVE APPOINTMENTS

Wickham, Donna R., Interdisciplinary Human Development Institute, Disability Program Administrator Associate, effective 12/1/03.

B. CHANGES

Sheppard-Jones, Kathleen, Interdisciplinary Human Development Institute, from Disability Program Administrator II, to Disability Program Administrator Associate, effective 12/8/03.

PR 3

Office of the President
January 27, 2004

Members, Board of Trustees:

PROPOSED AMENDMENT TO THE GOVERNING REGULATIONS
REGARDING STAFF TRUSTEE ELECTION

Recommendation: that the Board of Trustees approve the proposed amendment to the Governing Regulations of the University of Kentucky, which was received by the Board for preliminary consideration on December 9, 2003, regarding the transfer of the responsibility for the election of the Staff Trustee from the Executive Vice President for Finance and Administration to the Staff Senate. Amendments to the Governing Regulations require two readings before the vote can be taken, and this is considered the second reading.

Background: When the Governing Regulations were amended in the summer of 2001, the election of the Staff Trustee was delegated to the Vice President for Administration (now the Executive Vice President for Finance and Administration) because, at that time, the Staff Senate had not been established. In order to meet the timeline for the spring 2004 election of the Staff Trustee and to make the election process consistent with the fact that the University Senate conducts the election of the faculty Trustees, it is necessary to make this shift of responsibility to the Staff Senate now rather than delaying the change until all Governing Regulation amendments are brought before the Board for consideration.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PR 4

Office of the President
January 27, 2004

Members, Board of Trustees:

REPORT ON RESULTS OF ALUMNI MEMBER ELECTION

Recommendation: that the report of the Secretary of the Board of Trustees on the results of the election authorized by the Alumni Association be received and put to record, and that the Secretary be authorized to certify to the Governor the names of the three persons receiving the largest number of votes, from which list a successor to Marian Moore Sims, whose term expires June 30, 2004, will be appointed

Background: The term of Marian Moore Sims as alumna member of the Board of Trustees expires June 30, 2004. An election has been held among the graduates of the University of Kentucky as prescribed by statute and in accordance with the rules and regulations of the Board of Trustees. The attached letter from the Secretary of the Board of Trustees to the President of the University reports the results of the election.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

January 7, 2004

President Lee T. Todd, Jr.
Office of the President
103 Gillis Building
University of Kentucky
Lexington, Kentucky 40506-0033

Dear President Todd:

The term of Marian Moore Sims as alumna trustee of the Board of Trustees expires June 30, 2004. An election has been held among graduates of the University, as prescribed by statute and by the rules and regulations of the Board of Trustees, to nominate to the Governor three graduates from whom a successor will be appointed. Mr. Stan Key, Director of Alumni Affairs, conducted the actual tabulation of the votes, and the results of the election follows:

James W. Stuckert	1,371
Ann Brand Haney	1,262
Thomas Eugene Spragens, Jr.	1,184
Sandy Bugie Patterson	945
Michael A. Burleson	879
Dan Gipson	566

Will you please submit this information to the Board of Trustees that same may be approved, and the names of the three receiving the highest number of votes be certified to the Governor of the Commonwealth of Kentucky from which list he may appoint one to serve a six-year term.

Respectfully submitted,

Russ Williams
Secretary
Board of Trustees

/pfw

PR 5

Office of the President
January 27, 2004

Members, Board of Trustees:

REAPPOINTMENT OF BOARD OF DIRECTORS
UNIVERSITY OF KENTUCKY GLUCK EQUINE RESEARCH FOUNDATION, INC.

Recommendation: that approval be given to the reappointment of David Switzer for a four-year term ending December 14, 2007 and John Phillips and Phil Scott for one-year terms ending December 14, 2004 to the Board of Directors of the University of Kentucky Gluck Equine Research Foundation.

Background: The Nominating Committee of the University of Kentucky Gluck Equine Research Foundation, which includes the Dean of the College of Agriculture, recommended these appointments to the Provost. These recommended appointments require approval by the Board of Trustees in accordance with the Articles of Incorporation and By-Laws for the University of Kentucky Gluck Equine Research Foundation approved by the Board of Trustees at its meeting on September 18, 1984.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

PR 6

Office of the President
January 27, 2004

Members, Board of Trustees:

ESTABLISHMENT OF THE
BAXTER HEALTHCARE CHAIR IN ENGINEERING

Recommendation: that the Board of Trustees authorize the establishment of the Baxter Healthcare Chair in Engineering in the College of Engineering.

Background: Over the past five years, Baxter Healthcare has provided in excess of \$650,000 in support of research initiatives in the College of Engineering. The named position is in recognition of Baxter's generous support to the University. Selection of the recipient will be governed by the rules of the College of Engineering.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

Office of the President
January 27, 2004

Members, Board of Trustees:

ESTABLISHMENT OF A 401(a) RETIREMENT PLAN

Recommendation: that the Board of Trustees approve the establishment of a 401(a) retirement plan (the “Plan”), effective January 1, 2004, for regular full-time employees of the University who have exceeded the Internal Revenue Service (IRS) limits allowed for retirement contributions available under the University’s 403(b) retirement plan.

It is further recommended that the “Plan” attached hereto as Exhibit A be adopted and that the Executive Vice President for Finance and Administration be authorized to execute the “Plan,” any required Trust Agreements and any and all documents reasonably necessary to obtain its qualification with the Internal Revenue Service including, but not limited to, the Power of Attorney, Notice, Treasury Form 5300 and any amendments required by the Internal Revenue Service. It is further recommended that the Office of General Counsel is designated to represent the University before the Internal Revenue Service in regard to obtaining qualification of the “Plan.”

Background: The University of Kentucky Employee Benefits Office has developed a 401(a) retirement plan for employees whose salaries exceed the limits for 403(b) retirement contributions under federal laws, e.g., Omnibus Budget Reconciliation Act of 1993 (OBRA 93) or section 415 of the Internal Revenue Code (IRC).

The establishment of a 401(a) retirement plan will give employees an additional OBRA 93 limit (if applicable) and section 415 of the IRC limit. The University will be able to make full retirement contributions on salaries up to \$410,000 for employees under the OBRA 93 limit and \$546,666 for employees under the section 415 limit of the IRC. Currently, the University gives employees who have exceeded one of the aforementioned limits a temporary salary increase, meaning the 10% University retirement contribution is paid to the employee as taxable salary instead of being remitted as a tax deferred retirement contribution.

The establishment of the 401(a) retirement plan will give the medical faculty the ability to tax defer more of their salaries and allow the University to be more consistent in its treatment of employees in the retirement program. Contributions to the 401(a) plan may

only be made after employees have exceeded the contribution limits available under 403(b).

In order for the 401(a) "Plan" to be a qualified plan, it is advisable that a request for a favorable determination letter be filed with the Internal Revenue Service utilizing Treasury Form 5300. The University's Office of General Counsel is capable of filing such application and making any modifications necessary to obtain said qualification. The form of the "Plan" to be adopted is attached hereto as Exhibit A. Contributions do not commence until the Internal Revenue Service issues a favorable determination letter. Participants will have some opportunity to catch-up amounts of contributions that otherwise could have been made during the Plan Year after the favorable determination letter is received. The University official responsible for making any amendments to said "Plan" should be the Executive Vice President for Finance and Administration. The Office of General Counsel should be authorized to file the Form 5300 and take such other actions as necessary to obtain qualification. The Executive Vice President for Finance and Administration should be authorized to execute the Plan document, any required Trust Agreements, Power of Attorney and any necessary amendments, subject to such reporting requirements as the Board of Trustees may impose.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

UNIVERSITY OF KENTUCKY

401(a) Qualified Pension Plan

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Article I - Definitions

- 1.1 **Accumulation Account** means the separate account established for each Participant under the Funding Vehicles. The current value of a Participant's Accumulation Account includes the current value of all Plan contributions and any amounts transferred from another plan less expense charges and reflecting credited investment experience. A Participant's account balance is the Accumulation Account attributable to contributions made or accepted under this Plan from all sources including both forfeitable and non-forfeitable amounts.
- 1.2 **Annual Compensation Limit** shall mean the limit for contributions to a 403(b) and 401(a) Plan set forth in Code Section 401(a) (17), as the same is adjusted from year to year.
- 1.3 **Beneficiary(ies)** “Beneficiary” means the individual, institution, trustee, or estate designated by the Participant to receive benefits on the death of the Participant.
- 1.4 **Board** means the Institution's Board of Trustees
- 1.5 **Catch-up Contribution** shall refer to the contributions from both the Participant and the Institution necessary to make contributions during the first Plan Year during which a favorable determination letter is received from the Internal Revenue Service made after the Initial Contribution Commencement Date equal to the contributions from both Participant and Institution that would have been made to each Participant’s account during the said Plan Year if contributions were commenced when a Participant was first eligible and enrolled to participate without regard for the requirement for the Internal Revenue Service favorable determination letter required for the Initial Contribution Commence Date to occur. The amount of said Catch-up contribution, if any, per pay period shall be selected by the Participant. The Institutional match for the Catch-up contribution said be based upon the Participant’s election amount in the same ratio as the other contributions by the Institution (\$2 from Institution for every \$1 from Participant). In no event shall such Catch-up Contribution extend into any other Plan Year, even if the full amount needed to Catch-up has not been contributed. Any amounts that could have been contributed by the Participant or Institution without regard to the requirements for the Initial Contribution Commencement Date, but which are not made by the end of the PlanYear in which Catch-up Contributions commenced, shall be forfeited.
- 1.6 **Code** means the Internal Revenue Code of 1986, as amended. Reference to a specific section of the Code includes not only the section, but any comparable section or sections of any future legislation that amends, supplements, or supercedes the section.
- 1.7 **Compensation** means wages in excess of the current Annual Compensation Limit stated in IRC Section 401(a)(17) paid to a Participant by the University of Kentucky, that must be reported as wages on the Participant's W-2 Form. “Compensation” includes those wages that are not included in the Participant's gross income due to Participant participation in an IRC Section 125, 132(f)(4), 401(k), 403(b) elective deferral plan, 414(h)(1)(B), 414(h)(2), or 457 salary reduction agreement.

Notwithstanding any other stated Plan provision to the contrary, for retirement Plan years beginning on or after January 1, 1996, the annual compensation to be considered for each 401(a) Plan Participant shall not exceed the OBRA '93 annual compensation limit. The OBRA '93 annual compensation limit for Plan Year 2004 is \$205,000. The annual compensation limit will be adjusted by the Commissioner of the Internal Revenue Service for increases in the cost-of-living and will be consistent with Section 401(a)(17)(B) of the Internal Revenue Code. The cost-of-living adjustment in effect for a calendar year applies to any period, not exceeding 12 months, over which compensation is determined (determination period) beginning in such calendar year. If a determination period consists of fewer than 12 months, the OBRA '93 annual compensation limit will be multiplied by a fraction, the numerator of which is the number of months in the determination period, and the denominator of which is 12.

For retirement Plan years beginning on or after January 1, 1996, any reference in this 401(a) Plan to the compensation limitation shall mean the OBRA '93 annual compensation limit stated IRC Section 401(a)(17).

- 1.8 ***Date of Employment or Reemployment*** means the first day in which an Employee is paid for the performance of services for the most recent period of service with the Institution. For a faculty member Date of Employment or Reemployment is the date of appointment.
- 1.9 ***Eligible Compensation*** shall mean all such compensation, in excess of the Annual Compensation Limit that can be utilized for contributions to the University of Kentucky 403(b) Plan, based upon the limits of Code Section 401(a) (17), as the same are adjusted from year to year.
- 1.10 ***Effective Date*** means January 1, 2004.
- 1.11 ***Eligible Employee*** means regular full-time employees whose annual compensation for the current Plan Year exceeds or is reasonably expected to exceed the Annual Compensation Limit under the University of Kentucky's 403(b) Plan. The term Eligible Employee shall not include self-employed individuals, as defined by Code Section 401(c)(1).
- 1.12 ***Fund Sponsor*** means the insurance, variable annuity or investment company providing the Funding Vehicles.
- 1.13 ***Funding Vehicles*** means a tax deferred annuity, fixed or variable in nature or a combination thereof, or a mutual fund issued for the purpose of funding accrued benefits under the 401(a) Plan, in which annuity contracts are described in Section 401(g) of the IRC, or mutual funds are held in trust.
- 1.14 ***Initial Contribution Commencement Date*** means the date of the first payroll after the Institution has received a favorable determination letter for the Plan from the Internal Revenue Service.

- 1.15 ***Institution*** or ***Employer*** means the University of Kentucky, which is an agency and instrumentality of the Commonwealth of Kentucky.
- 1.16 ***Institution Contribution*** or ***Employer Contribution*** means contributions made by the Institution under this Plan.
- 1.17 ***Limitation Year*** means the calendar year.
- 1.18 ***Normal Retirement Age*** means age 65.
- 1.19 ***Participant*** means any Eligible Employee of the Institution who participates in the Plan in accordance with Article II.
- 1.20 ***Participant Plan Contributions*** means contributions made by a Participant under this Plan. Required participant plan contributions are designated “picked-up” by the Institution by which such participant is employed so as not to be included in Participant’s gross income for Federal tax purposes as provided by section 414(h)(2) of the Code.
- 1.21 ***Plan*** means the Institution's 401(a) Defined Contribution Retirement Plan as set forth in this document.
- 1.22 ***Plan Entry Date*** means the first day after the date that the employee has met the participation requirements set forth in Article II.
- 1.23.1 ***Plan Rescission Date*** means January 1, 2006 if a favorable determination letter for the Plan has not been received by the Institution from the Internal Revenue Service by that date, unless the Plan is extended by the Board of the Institution.
- 1.24. ***Trust Accounts.*** Trust Accounts established in accordance with Section 4.4 for the purpose of providing mutual fund investments.
- 1.25 ***Plan Year*** means the calendar year.

Article II - Eligibility for Participation

- 2.1 **Participation.** All eligible employees can begin participation in this Plan on the Plan Entry Date during the first Plan Year beginning on or after the Effective Date; with contributions to commence on the Initial Contribution Commencement Date after the Eligible Employee has been declared eligible to participate in the Plan by the Institution and made a written election to participate.

If an individual is classified as an independent contractor or leased employee during any period of providing services to the Institution, such individual will be deemed to be in an ineligible class of employees for purposes of the Plan during such period, even if the individual is determined to be a common law employee during such period pursuant to a government audit or litigation.

- 2.2 **Notification.** The Institution will notify each Eligible Employee in writing of eligibility to participate in the Plan. Each Participant is entitled to the benefits and is bound by all of the terms, provisions, and conditions of this Plan, including any and all amendments which from time to time may be adopted, including the terms, provisions and conditions of any Funding Vehicle(s) to which Plan contributions have been applied.

- 2.3 **Reemployment.** A Participant shall resume participation in the Plan immediately upon reemployment provided that he/she meets the qualifications set forth in Section 2.1 of Article II.

- 2.4 **Return to Eligible Class.** In the event a Participant is no longer a member of an eligible class of employees and becomes ineligible to participate, such Employee will participate immediately upon returning to an eligible class of employee.

- 2.5 **Enrollment in Plan.** To participate in this Plan, an Eligible Employee must complete and return to the Institution the appropriate enrollment form(s). An election to participate in the University of Kentucky 401(a) Plan is irrevocable, and shall be in writing and filed with the University.

- 2.5.1 **Termination of Participation.** A Participant will continue to be eligible for the Plan until one of the following conditions occur:

- he or she retires or is separated from employment from the University;
- the Plan is terminated;
- he or she elects phased retirement.

Article III - Plan Contributions

- 3.1 ***Contributions.*** After the Initial Contribution Commence Date, the Institution shall contribute to the Plan for those Eligible Employees who have satisfied requirements of Article II in accordance with the scheduled enrollment period.

Plan Contributions as a Percentage of Eligible Compensation

<u>By the Institution</u>	<u>By the Eligible Employee</u>
10%	5%

In addition, during the Plan Year in which the Initial Contribution Commencement Date occurs, Institution and Participant shall make the Catch-up Contributions, if necessary and as required, in the same ratio as the other contributions under this Plan (\$2 from Institution for every \$1 from Eligible Employee/ Participant).

Plan Contributions are considered to be credited to Participants no later than the next business day following the day for which the Plan contributions are made.

The annual compensation limit will be adjusted by the Commissioner of the Internal Revenue Service for increases in the cost-of-living and will be consistent with Section 401(a)(17)(B) of the Internal Revenue Code. The cost-of-living adjustment in effect for a calendar year applies to any period, not exceeding 12 months, over which compensation is determined (determination period) beginning in such calendar year. If a determination period consists of fewer than 12 months, the OBRA '93 annual compensation limit will be multiplied by a fraction, the numerator of which is the number of months in the determination period, and the denominator of which is 12.

Participant Plan Contributions will be made on a tax-deferred basis. Plan Contributions, made by a Participant on a before-tax basis, will be made under a written salary reduction agreement with his/her Institution. Under the agreement, the salary that is paid to a Plan Participant, after he/she signs a salary reduction agreement, is reduced. The amount of the reduction in salary is applied as a Contribution to one or more available Funding Vehicles offered by an approved Fund Sponsor.

The salary reduction agreement will be legally binding and irrevocable while the agreement is in effect. The agreement is subject to termination should the Plan Participant cease to meet the requirements for an Eligible Employee.

- 3.2 ***Transfer of Funds from Another Plan.*** Except as otherwise provided in Section 3.3, each Fund Sponsor shall accept amounts which are transferred directly from any other plan qualified under Code Sections 401(a) or 403(a) whether such plans are funded through a

trustee arrangement, custodial account or through an annuity contract, to the extent that such contributions are attributable to amounts contributed by the employer and employee on a pre-tax basis and earnings attributable to both employer and employee contributions. Such funds and the accumulation generated from them shall be fully vested and nonforfeitable at all times.

- 3.3 ***Acceptance of Rollover Contributions.*** If a Participant is entitled to receive a distribution from another plan qualified under Code Sections 401(a) or 403(a), a tax sheltered annuity plan described in Section 403(b) of the Code or a Code Section 457 (b) plan maintained by a government employer which separately accounts for amounts rolled over from plans other than Section 457(b) plans and such distribution is an eligible rollover distribution under Section 402 of the Code, a Fund Sponsor will accept such amount under this Plan provided the rollover to this Plan is made 1) directly from another plan; or 2) by the Participant within 60 days of the receipt of the distribution.
- 3.4 ***Rollover of IRAs.*** A Participant, with the written consent of the Plan Administrator, may at any time after becoming a Participant transfer to one or more Funding Vehicles all or a portion of the amount received by the Participant from an individual retirement account or annuity as defined respectively in Section 408(a) or 408(b) of the Code maintained for his benefit, if no part of the amount rolled over is required to be distributed under Section 401(a)(9) of the Code.
- 3.5 ***Allocation of Contributions.*** Institution Contributions shall be forwarded to the Fund Sponsors of the Funding Vehicles selected by a Participant, in accordance with the procedures established by the Institution and the Fund Sponsors. Contributions may be allocated by the Participant to one or more Funding Vehicles in whole-number percentages.
- 3.6 ***Participant Statements.*** At least once a year the Fund Sponsors to whom the Participant has allocated contributions will send the Participant a report summarizing the status that portion of his or her Accumulation Account with that Fund Sponsor.
- 3.7 ***Limitations.*** Notwithstanding anything to the contrary contained in this Plan, the obligation of the Institution to make contributions is subject to the provisions relating to the amendment and termination of the Plan. However, no amendment or termination will affect any obligation of the Institution to make contributions with respect to Compensation earned by Participants prior to the date of amendment or termination.
- 3.8 ***Military Service Credit.*** Notwithstanding any provision of this plan to the contrary, contributions, benefits and service credit with respect to qualified military service will be provided in accordance with §414(u) of the Internal Revenue Code.
- 3.9 ***Maximum Plan Contributions.*** Notwithstanding anything contained in this Plan to the contrary, the total Annual Additions made for any Participant for any year will not exceed the amount permitted under section 415 of the Code. The limitations of Code Section 415 are hereby incorporated by reference.

For the purpose of calculating the limits of Code Section 415, compensation means a Participant's earned income, wages, salaries, and fees for professional services and other

amounts received for personal services actually rendered in the course of employment with the employer maintaining the plan and excluding the following: (a) employer contributions to a plan of deferred compensation that are not includible in the employee's gross income for the taxable year in which contributed, or employer contributions under a simplified employee pension plan to the extent such contributions are deductible by the employee, or any distributions from a plan of deferred compensation; and (b) other amount that received special tax benefits, or contributions made by the employer (whether or not under a salary reduction agreement towards the purchase of an annuity described in Code Section 403(b) (whether or not the amounts are actually excludable from the gross income of the employee)). For years beginning after December 31, 1997, compensation shall include any elective deferral (as defined in Code Section 402(g)(3)) and any amount which is contributed or deferred by the Institution at the election of the Participant and which is not includible in the gross income of the Participant by reason of Code Section 125, 132(f)(4) or 457.

To the extent permitted by Code Section 415 and the regulations promulgated thereunder, if the Annual Additions exceed the Section 415 limitations, the excess amounts will be disposed of as follows: (a) any Participant Plan Contributions (plus any gain attributable to the excess), to the extent they would reduce the excess amount, will be returned to the Participant; and, to the extent necessary, (b) if, after the application of (a) an excess still exists, the excess will be held unallocated in a suspense account and will be applied to reduce Institution Plan Contributions in succeeding limitation years.

If the limitations are exceeded because the Participant is also participating in another Plan required to be aggregated with this Plan for Code Section 415, then the extent to which annual contributions under this Plan will be reduced, as compared with the extent to which annual benefits or contributions under any other plans will be reduced, will be determined by the Institution in a manner as to maximize the aggregate benefits payable to the Participant from all plans. If the reduction is under this Plan, the Institution will advise affected Participants of any additional limitation on their annual contributions required by this paragraph.

Article IV - Funding Vehicles

- 4.1 ***Investment of Plan Contributions.*** Plan Contributions must be invested in one or more Funding Vehicles of the Sponsoring Organizations and any other Funding Vehicles for the Plan that the Employer makes available to Participants.
- 4.2 ***Funding Vehicles.*** Plan Contributions are invested in one or more Funding Vehicles available to Participants under the University of Kentucky's 401(a) Plan. The Fund Sponsors are:
- A. American Century Services Corporation (American Century)
 - B. Fidelity Investments Tax-Exempt Services Company (Fidelity)
 - C. Teachers Insurance and Annuity Association (TIAA)
TIAA Group Retirement Annuity
College Retirement Equities Fund (CREF)
CREF Group Retirement-Unit Annuity
- 4.3. ***Fund Transfers.*** Subject to a Funding Vehicle's rules for transfers and in accordance with the provisions of the Code for maintaining the tax deferral of the Accumulation Account(s), a Participant may transfer funds accumulated under the Plan among the Plan's approved Funding Vehicles to the extent permitted by the Funding Vehicles.
- 4.4 ***Trust Accounts.*** All contributions under this Plan used to purchase mutual funds shall be paid to one or more Trustees as appointment by the Board and deposited in one or more Trust Funds. All assets of the Trust Funds, including investment income, shall be retained for the exclusive benefit of Participants, Former Participants and Beneficiaries and shall be used to pay benefits to such persons or to pay administrative expenses of the Plan and Trust Fund.

Article V - Vesting

- 5.1 ***Plan Contributions.*** Plan Contributions shall be fully vested and non-forfeitable when such Plan Contributions are made.

Article VI - Benefits

- 6.1 ***Retirement and Termination Benefits.*** Following retirement, phased retirement, or termination of employment at any age, a Participant may elect to receive retirement benefits under any of the options set forth in the contracts between the Fund Sponsor(s) and the Participant and/or Institution. Notwithstanding any other provision in this Plan, distribution of an amount that has, at any time, been invested in a mutual fund custodial account may be paid only when a Participant: (1) separates from service or (2) dies.
- 6.2 ***Death Benefits.*** In the event that a Participant dies prior to the commencement of retirement benefit payments, the full current value of the vested amount in the Accumulation Account(s) is then payable to the Beneficiary or Beneficiaries named by the Participant, under one of the options offered by the Fund Sponsor(s).
- 6.3 ***Application for Benefits.*** Procedures for the receipt of benefits are initiated by writing directly to the Fund Sponsor(s). An employing Institution will be required to submit appropriate evidence of termination of employment of a Plan Participant to the Fund Sponsor(s). Benefits will be payable by the Fund Sponsor(s) upon receipt of a satisfactorily completed application for return of benefits and supporting documents. The Fund Sponsor(s) will provide the necessary forms to the Participant or Beneficiary.
- 6.4 ***Distribution Requirements.***
- (A) General Rules. The requirements of this section shall apply to any distribution of a Participant's interest, and will take precedence over any inconsistent provisions of this Plan or any Funding Vehicle.
 - (B) Required Beginning Date. The entire interest of a Participant must be distributed or begin to be distributed no later than the Participant's Required Beginning Date.
 - (C) Limits on Distribution Periods. Distributions, if not made in a single sum, may only be made over one of the following periods (or a combination thereof):
 - (i) the life of the Participant;
 - (ii) the life of the Participant and a Designated Beneficiary;
 - (iii) a certain period not extending beyond the Life Expectancy of the Participant;
or
 - (iv) a certain period not extending beyond the joint and last survivor expectancy of the Participant and a Designated Beneficiary.
 - (D) Determination of Amount to be Distributed Each Year. If the Participant's interest is to be distributed in other than a single sum, the following minimum distribution rules shall apply on or after the Required Beginning Date:

With respect to distributions under the Plan made for calendar years beginning on or after January 1, 2001, the Plan will apply the minimum distribution requirements of IRC Section 401(a)(9) that were proposed on January 17, 2001.

This amendment shall continue in effect until the end of the last calendar year beginning before the effective date of the final regulations under IRC Section 401(a)(9) or such other date as may be specified in guidance published by the Internal Revenue Service.

The final regulations for IRC Section 401(a)(9) were issued on April 17, 2002, and become effective January 1, 2003.

(E) Death Distribution Provisions.

Distribution Beginning Before Death. If a Participant dies after the distribution of his/her interest has begun, the remaining portion of such interest will continue to be distributed at least as rapidly as under the method of distribution being used prior to the Participant's death.

Distribution Beginning After Death. If a Participant dies before his/her retirement benefits have begun to be distributed, the interest on his/her retirement benefits must normally be distributed by December 31 of the calendar year following the fifth anniversary of the Participant's death. Under a special IRC rule, death benefits may be payable over the life or the life expectancy of a designated beneficiary, if the distribution of benefits begins no later than December 31 of the calendar year immediately following the calendar year in which the Plan Participant died. If the Plan Participant's designated beneficiary is his/her spouse, payment of benefits may be deferred until December 31 of the calendar year in which the Plan Participant would have attained age 70 ½, had he/she continued to live.

The payment of retirement benefits, consistent with the rules presented above, is extremely important. Federal tax law imposes a 50 percent excise tax on the difference between the amount of benefits required to be distributed by law, and the amount actually distributed; if, the amount distributed is less than the required minimum amount.

Information regarding a Fund Sponsor's retirement benefit distribution options will be provided, upon request, to a Plan Participant from his/her selected Fund Sponsor(s). A Plan Participant will be responsible for notifying the selected Fund Sponsor(s) of his/her decision to seek a distribution from the accumulated funds within the Plan.

(F) Definitions.

Required Beginning Date. The Required Beginning Date of a Participant is the first day of April of the calendar year following the later of: (1) the calendar year in which

the Participant attains age 70 ½; or (2) the date that the Participant terminates his/her employment.

A Plan Participant must normally begin receiving his/her retirement benefits no later than April 1 of the calendar year, following his/her attainment of age 70 ½. If a Plan Participant retires after attaining age 70 ½, he/she must begin receiving his/her retirement benefits no later than April 1, following the calendar year in which he/she retires. Failure by a Plan Participant to begin receiving his/her annuity income by the required April 1 date may subject him/her to a substantial federal tax penalty.

- 6.5 ***Direct Rollover of Eligible Rollover Distributions.*** Notwithstanding any provision of the Plan to the contrary that would otherwise limit a distributee's election under this Section, a distributee may elect, at the time and in the manner prescribed by the Plan Administrator, to have any portion of an eligible rollover distribution paid directly to an eligible retirement plan specified by the distributee in a direct rollover.

For the purposes of this Section, the following definitions apply:

(a) **Eligible rollover distribution:** An eligible rollover distribution is any distribution of all or any portion of the balance to the credit of the distributee, except that an eligible rollover distribution does not include: any distribution that is one of a series of substantially equal periodic payments (not less frequently than annually) made for the life (or life expectancy) of the distributee or the joint lives (or joint life expectancies) of the distributee and the distributee's designated Beneficiary, or for a specified period of ten years or more; any distribution to the extent such distribution is required under Section 401(a)(9) of the Code; any hardship distribution described in §401(k)(2)(B)(i)(IV) received after December 31, 1998; and the portion of any distribution that is not includible in gross income (determined without regard to the exclusion for net unrealized appreciation with respect to Employer securities).

(b) **Eligible retirement plan:** An eligible retirement plan is an individual retirement account described in Section 408(a) of the code, an individual retirement annuity described in Section 408(b) of the Code, an annuity plan described in Section 403(a) or 403(b) of the Code, a qualified trust described in Section 401(a) of the Code, or an eligible plan under Section 457(b) of the Code which is maintained by a state, political subdivision of a state, or any agency or instrumentality of a state that accepts the distributee's eligible rollover distribution and agrees to separately account for amounts transferred into such plan from this Plan. The definition of eligible retirement plan shall also apply to a surviving spouse or to a spouse or former spouse who is the alternate payee under a qualified domestic relations order as defined in section 414(p) of the Code.

(c) **Distributee:** A distributee includes an Employee or former Employee. In addition, the Employee's or former Employee's surviving spouse and the Employee's or former Employee's spouse or former spouse who is the alternate payee under a qualified domestic relations order, as defined in Section 414(p) of the Code, are distributees with regard to the interest of the spouse or former spouse.

(d) **Direct rollover:** A direct rollover is a payment by the Plan to the eligible retirement plan specified by the distributee.

Article VII - Administration

- 7.1 ***Plan Administrator.*** The Institution, located at Director's Office, 101 Scovell Hall, Lexington, KY 40506-0064, is the administrator of this Plan and is responsible for enrolling Participants, sending Plan Contributions for each Participant to the Fund Sponsors, and for performing other duties required for the operation of the Plan.
- 7.2 ***Authority of the Institution.*** The Institution, by action of its board, may designate a person or persons other than the Institution to carry out any of its powers, authority, or responsibilities. Any delegation will be set forth in writing. The Institution has all the powers and authority expressly conferred upon it herein and further has the discretionary and final authority to determine all questions concerning eligibility and contributions under the Plan, including any uncertain terms and to resolve any disputes arising under and all questions concerning administration of the Plan. Any determination made by the Institution shall be given deference, if it is subject, if it is subject to judicial review, and shall be overturned only if its arbitrary or capricious. [In exercising these powers and authority, the Institution will at all times exercise good faith, apply standards of uniform application, and refrain from arbitrary action.] The Institution may employ attorneys, agents, and accountants as it finds necessary or advisable to assist it in carrying out its duties.
- 7.3 ***Action of the Institution.*** Any act authorized, permitted, or required to be taken by the Institution under the Plan, which has not been delegated in accordance with Section 7.2, may be taken by a majority of the members of the Board, either by vote at a meeting, or in writing without a meeting. All notices, advice, directions, certifications, approvals, and instructions required or authorized to be given by the Institution under the Plan will be in writing and signed by either (i) a majority of the members of the Board, or by any member or members as may be designated by an instrument in writing, signed by all members, as having authority to execute the documents on its behalf, or (ii) a person who becomes authorized to act for the Institution in accordance with the provisions of Section 7.2. Any action taken by the Institution which is authorized, permitted, or required under the Plan and is in accordance with Funding Vehicle's contractual obligations, is final and binding upon the Institution, all persons who have or who claim an interest under the Plan, and third parties dealing with the Institution.
- 7.4 ***Indemnification.*** In addition to whatever rights of indemnification the members of the board, or any other person or persons (other than the Sponsoring Organizations) to whom any power, authority, or responsibility of the Institution is delegated pursuant to Section 7.2, may be entitled under the articles of incorporation, regulations, or by-laws of the Institution, under any provision of law, or under any other agreement, the Institution will satisfy any liability actually and reasonably incurred by any member or other person or persons, including expenses, attorney's fees, judgement, fines, and amounts paid in settlement or in connection with any threatened, pending, or completed action, suit, or proceeding which is related to the exercise or failure to exercise by the member or other person or persons of any

of the powers, authority, responsibilities, or discretion of the Institution as provided under the Plan or trust, or reasonably believed by the member or other person or persons to be provided thereunder or any action taken by the member or other person or persons in connection with it. This indemnity is granted only to the extent and limits of the ability of an instrumentality of the Commonwealth of Kentucky to grant an indemnity under Kentucky law.

- 7.5 ***No reversion.*** Under no circumstances or conditions will any contributions of the Institution revert to, be paid to or inure to the benefit of, directly or indirectly the Institution. However, if Plan contributions are made by the Institution by mistake of fact, these contributions may be returned to the Institution within one year of the date that the mistake of fact is discovered.
- 7.6 ***Relationship of Federal and State Law.*** The Plan is intended to satisfy the applicable requirements of Code Section 401(a) that apply to government plans as defined in Section 414(d) including regulations and other authoritative pronouncements. To the extent not governed by the provisions of the Code or other federal laws, the Plan shall be administered and interpreted in accordance with the law of the Commonwealth of Kentucky in which the Employer is located.

Article VIII - Amendment And Termination

- 8.1 ***Amendment and Termination.*** While it is expected that this Plan will continue indefinitely, the Institution reserves the right at any time to amend, otherwise modify, or terminate the Plan, or to discontinue any further contributions or payments under the Plan by resolution of its board. In the event of a termination of the Plan or a complete discontinuance of Plan contributions, the Institution will notify all Participants of the termination. As of the date of complete or partial termination, all Accumulation Accounts of affected Participants will become nonforfeitable to the extent funded.
- 8.2 ***Limitation.*** Notwithstanding the provisions of the "Amendment and Termination" section of Article VIII, the following conditions and limitations apply:
- (a) No amendment will be made which will operate to recapture for the Institution any contributions previously made under this Plan. However, Plan Contributions made based on a mistake of fact may be returned to the Institution within one year of the date on which the Plan Contribution was made. Also, Plan Contributions made in contemplation of approval by the Internal Revenue Service may be returned to the Institution if the Internal Revenue Service fails to approve the Plan.
 - (b) No amendment will deprive, take away, or alter any then accrued right of any Participant insofar as Plan Contributions are concerned.

Article IX – Miscellaneous

- 9.1 ***Plan Non-Contractual.*** Nothing contained in this Plan will be construed as a commitment or agreement on the part of any person to continue his or her employment with the Institution, and nothing contained in this Plan will be construed as a commitment on the part of the Institution to continue the employment or the rate of compensation of any person for any period, and all Employees of the Institution will remain subject to discharge to the same extent as if the Plan had never been put into effect.
- 9.2 ***Claims of Other Persons.*** The provisions of the Plan will in no event be construed as giving any Participant or any other person, firm, or corporation, any legal or equitable right against the Institution, its officers, employees, or directors, except the rights as are specifically provided for in this Plan or created in accordance with the terms and provisions of this Plan.
- 9.3 ***Non-Alienation of Retirement Rights or Benefits.*** Except to the extent required under applicable law, no benefit under the Plan may, at any time be subject in any manner to alienation, encumbrance, the claims of creditors or legal process. No person will have power in any manner to transfer, assign alienate or in any way encumber his or her benefits under the Plan, or any part thereof, any attempt to do so will be void and of no effect. However, this Plan will comply any judgment, decree or order which establishes the rights of another person to all or a portion of a Participant's benefit under this Plan to the extent that is a determined to be a qualified domestic relations order, as defined in Section 414(p) of the Code.
- 9.4 ***Merger, Consolidation, or Transfers of Plan Assets.*** The Plan will not be merged or consolidated with any other Plan, nor will any of its assets or liabilities be transferred to another plan; unless, immediately after a merger, consolidation, or transfer of assets and liabilities, each Participant would receive a benefit under the Plan that is at least equal to the benefit that he/she would have received immediately prior to a merger, consolidation, or transfer of assets or liabilities assuming in each instance that the Plan had then been terminated).
- 9.5 ***Contracts.*** The terms of the Funding Vehicles and the terms of the trust in which a Funding Vehicle may be held and any certificates issued to a Participant are a part of the Plan as if fully set forth in the Plan document and the provisions of which are incorporated by reference into the Plan. In cases where there is any inconsistency or ambiguity between the terms of the Plan and those of the Funding Vehicles, certificates and trust, the terms of the Plan control.

IN WITNESS WHEREOF, the University of Kentucky has, by action duly taken, caused this Plan to be executed this _____ day of _____, 2004.

By: _____
Title: _____

ATTEST:

By: _____
Title: _____

Employer Identification number _____

Plan Number _____

PR 8

Office of the President
January 27, 2004

Members, Board of Trustees:

PROPOSED UNIVERSITY OF KENTUCKY
ETHICAL PRINCIPLES AND CODE OF CONDUCT

Recommendation: that the Board of Trustees adopt the attached University of Kentucky Ethical Principles and Code of Conduct.

Background: At the December 11, 2001 Board of Trustees meeting, Billy Joe Miles, who was Chairman of the Board, reconstituted the Ad Hoc Committee on Board Structure. The Committee's charge was to review the bylaws of all UK affiliated corporations and all corporations where UK holds shares or interest. The Ad Hoc Committee completed its report and recommendations on May 28, 2002. The Board of Trustees adopted the report and recommendations on June 11, 2002. The first recommendation of the report was for a University-wide Code of Ethics to be written. A draft was reviewed by the Board of Trustees before arriving at this final document.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

University of Kentucky Ethical Principles and Code of Conduct

Ethical Principles

The University of Kentucky Ethical Principles and Code of Conduct are intended to document expectations of responsibility and integrity. Exemplary ethical conduct is critically important in our relationships with colleagues, trustees, students, volunteers, contractors, and the public. This statement reflects the values of the University approved by the Board of Trustees on April 1, 2003. The following core values guide our decisions and behavior.

- Integrity
- Academic excellence and freedom
- Mutual respect and human dignity
- Diversity of thought, culture, gender, and ethnicity
- Personal and institutional responsibility and accountability
- Shared governance
- A sense of community
- Sensitivity to work-life concerns
- Civic responsibility

Each member of the University must endeavor to:

1. promote the best interests of the University of Kentucky
2. foster the Vision, Mission, and Values of the University
3. preserve the public's respect and confidence in the University of Kentucky
4. exhibit personal integrity, honesty, and responsibility in all actions
5. provide an environment of mutual respect, impartiality, and collaboration
6. maintain confidentiality in all matters deemed confidential
7. assure independence of judgment free from conflicting interests
8. ensure that relationships that constitute or could be perceived as conflicts of interest are fully and properly disclosed and University guidelines are followed
9. comply with the policies and procedures of the University of Kentucky and applicable state and federal laws and regulations
10. demonstrate stewardship of University property and resources

Code of Conduct

Those acting on behalf of the University of Kentucky have a duty to conduct themselves in a manner that will maintain the public's trust in the integrity of the University and to act compatibly with their obligation to the University. The Code of Conduct establishes guidelines for professional conduct for University members, including trustees, executive officers, faculty, staff, and other individuals employed by the University, those using University resources or facilities, and volunteers and representatives acting as agents of the University (collectively "University members"). The conduct of students is addressed in the *Student Rights and Responsibilities*.

The Code of Conduct is intended as a general guide to determine what conduct is expected and to help individuals to determine behaviors that should be avoided. Employees are strongly urged to consult with their supervisor to review and evaluate specific situations. In addition to the Code, University members are generally subject to all University codes, regulations, and policies and state and federal law. Violations of this code will be subject to appropriate penalties.

While this Code of Conduct provides overall guidance and in some instances interpretation, additional guidance is found in other official University policy documents, such as the Governing Regulations, Administrative Regulations, Human Resources Policy and Procedures Manual, Business Procedures Manual, and University Senate Rules.

Nondiscrimination Policy

Equal opportunities shall be provided for all persons throughout the University in recruitment, appointment, promotion, payment, training, and other employment practices without regard to sex, sexual orientation, race, ethnic origin, national origin, color, creed, religion, age, uniform service or veteran status, physical or mental disability, or political belief. All University members are expected to comply with the institution's nondiscrimination policy (*Governing Regulation XII*).

Confidentiality of Information

University members are entrusted with personal and institutional information that should be treated with confidentiality and used only for conducting University business. Respect for individual and institutional privacy requires the exercise of care and judgment. Unless required or permitted by law or University regulations, personal and official information provided by and about faculty, staff and students must not be given to third parties without the consent of the individuals concerned. When doubt exists regarding the confidentiality of information, University members should presume information is confidential until determined otherwise.

Use of the University's Name

University members have a public association with the University, but are also private citizens, thus care must be taken to appropriately differentiate between the two roles. University members may not use or allow the use of the name of the University or identify themselves as employees of the University of Kentucky in the public promotion or advertising of commercial products without prior written approval. Individuals writing or speaking publicly in a professional or expert capacity may identify themselves by their relationship with the University, but if so identified then in all instances where the individual might give even the appearance of speaking on behalf of the University, care must be taken to emphasize that any views expressed are their own and are not representative of the University of Kentucky. University members are encouraged to contribute to public debate as citizens. In instances where University members comment publicly as part of their official University duties, they should do so using University stationery and e-mail accounts; when commenting as citizens, University members must use personal stationery and personal e-mail accounts.

University Resources

University members should be responsible stewards of University resources. University members are entrusted with protecting the property, equipment, and other assets of the University and exercising responsible, ethical behavior when using the University's resources. University assets are intended for University activities. Limited personal use of fixed University resources, such as computers and telephones, which does not result in a charge to the University is permitted as long as the use does not interfere with assigned job duties. In some instances, a University member may use University equipment outside of the realm of his or her professional duties when the goals of the individual and the University coincide. Any such use must have the prior, written approval from the dean or appropriate administrator where the resources are located, and must provide that the University will be reimbursed for the full cost of the use of the equipment. Such use must not interfere with the University of Kentucky's uses, and must occur outside of the University member's regular employment assignment. The Office of the University Legal Counsel can provide an appropriate form of agreement.

Sexual Harassment

To foster an environment of respect for the dignity and worth of all members of the University community, the University is committed to maintain a work-learning environment free of sexual harassment. The

policy of the University of Kentucky, approved by the Board of Trustees, prohibits sexual harassment of students, faculty and staff and assures that complaints of sexual harassment will be treated and investigated with full regard for the University's due process requirements. The University policy and procedures on sexual harassment can be found in *Governing Regulation XII and Administrative Regulation II-1.1-9*.

Personal Relationships

The quality of decisions may be affected when those making decisions have personal relationships with those who are the subjects and possible beneficiaries of these decisions. The critical concern is that personal relationships, whether positive or negative, should not inappropriately or unfairly affect decisions. Conflicts of interest may arise when people are involved in making decisions affecting any members of their families, relatives, or those with whom they have or have had intimate relationships. Decisions affecting present or former business partners should also be avoided. Individuals with personal relationships should excuse themselves from such decision-making. In many cases, potential conflicts can be managed by candid but discreet disclosure of those relationships.

The University strongly urges those individuals in positions of authority not to engage in conduct of an amorous or sexual nature with a person they are, or are likely in the future to be, in a position of evaluating. The existence of a power differential may restrict the less powerful individual's freedom to participate willingly in the relationship. If one of the parties in an apparently welcomed amorous or sexual relationship has the responsibility for evaluating the performance of the other person, the relationship must be reported to the dean, department chair or supervisor so that suitable arrangements can be made for an objective evaluation of the student or employee (*Administrative Regulation II-1.1-9*).

Employment of Relatives

In order to assure independence of judgment that is free from conflicting interest and to avoid relationships that could be perceived as conflicts of interest, no relative of the President shall be employed in a position at the University. Similarly, no relative of the Provost, or any executive vice president, vice president, or any associate provost or associate vice president shall be employed in a position in that officer's administrative area. The Board of Trustees on a stated temporary basis may permit waiver of the above regulation, not to exceed two years, when it is otherwise impractical to fill a position with another fully qualified person. The same individual shall not be eligible for reappointment under the terms of this exception unless approval is given by the Board of Trustees. No relative of any employee of the University may be appointed to any position in the University over which the related employee exercises supervisory or line authority. Employment of relatives within the same department or division shall be approved specifically by the Provost or senior vice president, as appropriate (*Governing Regulation X*).¹ The University shall employ no relative of a member of the Board of Trustees. Members of the Board of Trustees, except those elected to the Board as faculty, staff, or student representatives, are ineligible for employment at the University.²

Intellectual Property

University members should be responsible stewards of University resources. All intellectual property conceived, first reduced to practice, written, or otherwise produced by faculty, staff, or students of the University of Kentucky using University funds, facilities, or other resources shall be owned and controlled by the University. Any member of the faculty or staff of the University who produces such intellectual property using University funds, facilities, or other resources shall assign personal rights to the property

¹ For purposes of this section relative is defined pursuant to Human Resources Policy and Procedure Number 19.1 which states: "Relatives by blood or marriage" include parents and children, husbands and wives, brothers and sisters, brothers- and sisters-in law, mothers- and fathers-in-law, uncles, aunts, nieces and nephews, and step-relatives in the same relationship.

² For purposes of this provision as it relates to members of the Board of Trustees, relative is defined by statute, and provides: "Relative" means a person's father, mother, brother, sister, husband, wife, son, daughter, aunt, uncle, son-in-law, or daughter-in-law. KRS 164.001 (19).

to the University, or its designate. The traditional products of scholarly activity which have customarily been considered the unrestricted property of the originator, such as journal articles, textbooks, reviews and monographs, and which have been created without involving a material use of University resources, shall be the unrestricted property of the author (*Administrative Regulation II-1.1-3*).

Conflict of Commitment

Decisions and the judgment upon which the decisions are based must be independent from conflicting interests and must hold the best interest of the University of Kentucky foremost. Conflicts of commitment relate to an individual's distribution of effort between University appointment and outside activities. The University of Kentucky permits external employment or self-employment in an employee's profession or specialty (with the exception of employees participating in a practice plan) where there is not a conflict of interest or commitment. Faculty and professional administrative employees are expected to devote their primary professional loyalty, time, and energy to University of Kentucky teaching, research and service endeavors; activities outside the University must be conducted without detracting from these primary commitments. A conflict of commitment generally occurs when the pursuit of outside activities interferes with obligations to students, to colleagues and to the missions of the University. These conflicts may become apparent in regular performance reviews, in connection with annual salary decisions and scheduled reviews incident to promotion, reappointment or tenure decisions and should be addressed by the appropriate department head. The University policy and procedures on outside consulting can be found in *Administrative Regulation II-1.1-1*.

A staff employee may be employed outside the University when the employment does not constitute a conflict with University interests and when the hours of outside employment do not coincide or conflict with hours of scheduled work or affect the employee's ability to perform satisfactorily. A staff employee may also perform outside employment while on vacation, holiday, or special leave as long as the outside employment does not constitute a conflict of interest. Adherence with this policy is the responsibility of the staff employee who seeks outside employment; however, it is recommended the employee advise his or her department head of the outside employment.

Conflict of Interest

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

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

Financial Advantage

Members of the University community must exhibit personal integrity, honesty and responsibility in all actions. Official position or office shall not be used to obtain financial gain or benefits for oneself or

members of one's family or business associates. Any action that creates the appearance of impropriety should be avoided. Purchases and contracts shall not be made with an employee of the University of Kentucky for any item of supply, equipment, or service, nor may an employee have any interest, directly or indirectly, in any purchase made by the University of Kentucky (*Business Procedures Manual B.2.C*). An indirect interest may be defined as a real or perceived use of a University position or office with respect to a purchase or contract, leading to financial or other benefits to the individual or a member of his or her family. An indirect interest includes situations where a business owned or controlled by a family member does business with the University area where the employee is assigned.

Acceptance of Gifts or Benefits

University members' decisions and actions should be based on the best interest of the University. No member should accept any type of reward, monetary or non-monetary, if there is an explicit or implicit assumption that influence has been exchanged for the favor. When no favor is asked for or gained, gifts of nominal value or moderate acts of hospitality, such as meals, in relation to one's position with the University may be accepted. The following guidelines should be observed:

- Gifts or acts of hospitality valued up to \$50 annually from any one source need not be reported
- Gifts or acts of hospitality valued between \$50 to \$200 should be reported to the supervisor prior to acceptance
- Acts of professionally related hospitality above \$200 must be specifically justified and reported through the chain of command. Written approval for acceptance must be provided by the Provost or executive vice president, in advance.
- Individuals may not accept gifts valued above \$200. These gifts or benefits acknowledged and accepted on behalf of the University should be directed to the Executive Vice President for Finance and Administration, where they can be acknowledged and accepted on behalf of the University.

Clarifications and Reporting Violations

Like all policies, this policy could not possibly cover all possible situations. When any doubt about the propriety of an action exists, the University's policy requires a full and frank disclosure to an appropriate individual with sufficient authority to address the matter. For interpretation, counsel or advice regarding this policy, contact the Office of the University Legal Counsel.

University members are expected to report violations of this policy to an appropriate individual. The University will not tolerate any retaliation against a University member who makes a good faith report of a violation.

2/3/04

AACR 1

Office of the President
January 27, 2004

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 completed.

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 Applying for Credentials July 1, 2003 through October 20, 2003

Big Sandy Community and Technical College (Prestonsburg Community College)

Associate in Arts — KCTCS/UK

Cox, Mark Reed Life & Natural Sciences Associate in Arts

Associate in Applied Science — KCTCS/UK

Damron, Diane Soc & Behav Sci Law Enforcement Tech

Elizabethtown Community College

Associate in Arts — KCTCS/UK

Edmonds, Lynn Marie	Humanities	Russo, Ashley C	Humanities	Associate in Arts
Knight, Katrina M	Humanities	Watson, Darnell	Humanities	Associate in Arts
Newton, Tonya A	Humanities	Zimmerman, David R	Humanities	Associate in Arts

Associate in Science — KCTCS/UK

Bumpas, Brandy Nicole	Life & Natural Sciences	Murray, Sara B	Life & Natural Sciences	Associate in Science
Cheek, Warren H	Life & Natural Sciences			

Associate in Applied Science — KCTCS/UK

Keene, Catherine E	Soc & Behav Sci	Mitchell, Michele R	Business	Comp Info Sys Prog
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Henderson Community College

Associate in Arts — KCTCS/UK

Kinnin, Jennifer Rae	Humanities	Associate in Arts	Utley, Jill Renee	Humanities	Associate in Arts
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Hopkinsville Community College

Associate in Arts — KCTCS/UK

Laycock, Marla Jeannette	Humanities	Associate in Arts	Moten, Able A	Humanities	Associate in Arts
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Associate in Science — KCTCS/UK

Justice, Tanja L	Life & Natural Sciences	Associate in Science			
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Jefferson Community College

Credential, College, and Student

Associate in Arts — KCTCS/UK

Bagley, Shella C	Humanities	Associate in Arts	Montgomery, Cynthia L	Humanities	Associate in Arts
Cameron, Devin B	Humanities	Associate in Arts	Skopljak, Sanjin B	Humanities	Associate in Arts
Deberry, Patrice E	Humanities	Associate in Arts	Walker, Kamaria M	Humanities	Associate in Arts
Fritz, Amy M	Humanities	Associate in Arts	Weston, Kevin B	Humanities	Associate in Arts
Goble, Melissa K	Humanities	Associate in Arts	White, Amy E	Humanities	Associate in Arts
Kaufman, Steven S	Humanities	Associate in Arts	Wright, Shannon L	Humanities	Associate in Arts
McGowen, Margot	Humanities	Associate in Arts			

Associate in Science — KCTCS/UK

Isabele, Marvin E	Life & Natural Sciences	Associate in Science	McGavie, Ronald L	Life & Natural Sciences	Associate in Science
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Jefferson Community College, continued

Associate in Applied Science — KCTCS/UK

Eagle, Angela	Allied Health	Nursing	Eddington, Louis C	Business	Comp Info Sys Micro
Egnor, Nicole L	Allied Health	Radiography	Sellinger, Renee' D	Allied Health	Radiography
Freeman, James	Business	Comp Info Sys Prog	Shekhovtsova, Kira V	Business	Comp Info Sys Prog
French, Lisa L	Business	Ofc Sys	Smith, Amy L	Allied Health	Nursing
Gnativ, Igor Y	Business	Comp Info Sys Prog	Smith, Shannon L	Allied Health	Nursing
Jackson, Yvonne O	Business	Culinary Arts	Stone, Marie Antoinette	Allied Health	Nursing
Johnson, Thomas L	Engineering Technology	IT Netwk Admin Opt	Strickland, Maria Sushine Douglas	Business	Bus Tech: Mgmt Opt
McIntyre, April D	Business	Accg Tech	Sutton, Darryl O	Engineering Technology	IET Electrical Opt
Metten, Sara B	Business	Comp Info Sys Prog	Washburn, Janet L	Allied Health	Nursing
Moran, Stacey B	Allied Health	Nursing	Wells, Larry A	Allied Health	Nursing
Nix, Rodney L	Business	Bus Tech: Mgmt Opt	Wheatley, Penny A	Business	Comp Info Sys Micro
Pointer, Cherrrie M	Soc & Behav Sci	Early Child Educ	Williams, Djenne E	Business	Comp Info Sys Prog

Madisonville Community College

Associate in Applied Science — KCTCS/UK

Hendrix, Alicia R	Allied Health	Nursing
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Maysville Community College

Associate in Arts — KCTCS/UK

Barlow, Lottie C	Humanities	Associate in Arts	Northcutt, Tonya L	Humanities	Associate in Arts
Daff, William B	Humanities	Associate in Arts	Ritchie, Olivia H	Humanities	Associate in Arts
Fryman, Andrea Gibson	Humanities	Associate in Arts	Schroeder, Jennifer E	Humanities	Associate in Arts
Ginn, Laurie Wise	Humanities	Associate in Arts	Welch, Charles I	Humanities	Associate in Arts
Murphy, Bonnie G	Humanities	Associate in Arts			

Associate in Science — KCTCS/UK

Snodgrass, Amanda G	Life & Natural Sciences	Associate in Science
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Maysville Community College, continued

Credential, College, and Student

Associate in Applied Science — KCTCS/UK

Bellamy, Jeffrey T	Engineering Technology	IET Electrical Opt	Grubbs, Freda	Business	Bus Tech: Mgmt Opt
French, Robin R	Business	Bus Tech: Mgmt Opt	Hampton, Clifford Michael	Engineering Technology	IET Electrical Opt
Gibbs, Kandi G	Business	Bus Tech: Mgmt Opt	McFarland, Carin A	Business	Bus Tech: Mgmt Opt

Owensboro Community and Technical College

Associate in Arts — KCTCS/UK

Benningfield, Sheila C	Humanities	Associate in Arts	Hamilton, Eric Franklin	Humanities	Associate in Arts
Capps, James D	Humanities	Associate in Arts	White, Kari Shawnte	Humanities	Associate in Arts
Cunningham, Jennifer Lea	Humanities	Associate in Arts			

Associate in Science — KCTCS/UK

Johnson, Brian C	Life & Natural Sciences	Associate in Science			
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Associate in Applied Science — KCTCS/UK

Foster, Rosemary	Business	Bus Tech:Acctg Opt	Westmoreland, Ursula Marie	Soc & Behav Sci	Human Services
Johnson, Christopher Wayne	Allied Health	Nursing	Wilgus, Sharon Evans	Business	Bus Tech: Mgmt Opt

Somerset Community College

Associate in Arts — KCTCS/UK

Blevins, Rhon Alan	Humanities	Associate in Arts	Vanover, Wilda Ann	Soc & Behav Sci	Associate in Arts
Godsey, Sue N	Humanities	Associate in Arts	Wesley, Courtney R	Business	Associate in Arts

Associate in Science — KCTCS/UK

Blevins, Rhon Alan	Life & Natural Sciences	Associate in Science			
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Southeast Community College

Associate in Arts — KCTCS/UK

Banks, Charlotte A	Humanities	Associate in Arts	Florek, Chasity A	Humanities	Associate in Arts
Brock, Amanda K	Humanities	Associate in Arts	Lloyd, Donna H	Humanities	Associate in Arts
Broome, Brian P	Humanities	Associate in Arts	Pace, Robert R	Humanities	Associate in Arts
Bush, Ellen R	Humanities	Associate in Arts	Ward, Shannon M	Humanities	Associate in Arts
Carney, Marion L	Humanities	Associate in Arts			

Associate in Science — KCTCS/UK

Carney, Marion L	Life & Natural Sciences	Associate in Science	Gibbons, Jeffrey	Life & Natural Sciences	Associate in Science
Fultz, Joshua Adam	Life & Natural Sciences	Associate in Science	Helle, Scott M	Life & Natural Sciences	Associate in Science

Associate in Applied Science — KCTCS/UK

Caldwell, Dellene C	Business	Bus Tec:Mgt Infor Sys
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West Kentucky Community and Technical College (Paducah Community College)

Associate in Arts — KCTCS/UK

Adams, Michael Corrine	Humanities	Associate in Arts	Mills, Trina Lynn	Humanities	Associate in Arts
Baker, Rebecca J	Humanities	Associate in Arts	Nesler, Mykala	Humanities	Associate in Arts
Barnett, Carla E	Humanities	Associate in Arts	Northington, Jana Lee	Humanities	Associate in Arts
Beckham, Maria E	Soc & Behav Sci	Associate in Arts	Parks, Steven E	Business	Associate in Arts
Brown, Misty Lynette	Soc & Behav Sci	Associate in Arts	Pendley, Jennifer Gail	Business	Associate in Arts
Carroll, Christopher Dale	Humanities	Associate in Arts	Ramage, Ashley Brooke	Humanities	Associate in Arts
Clark, David Wayne	Humanities	Associate in Arts	Rushing, Pamela Michele	Soc & Behav Sci	Associate in Arts
Conceal, Renita Joyce	Humanities	Associate in Arts	Slaton, James Michael	Humanities	Associate in Arts
Dale, Yolanda Lynette	Soc & Behav Sci	Associate in Arts	Smith, Nicholas P	Soc & Behav Sci	Associate in Arts
Flemous, Laroyce William	Humanities	Associate in Arts	Teasley, Jessica Dean	Humanities	Associate in Arts
Harris, Andrew J	Humanities	Associate in Arts	Teasley, Kasey Rebecca	Business	Associate in Arts
Harris, Lesa	Humanities	Associate in Arts	Thompson, Amanda Ruth	Humanities	Associate in Arts
Hayden, Faye M	Humanities	Associate in Arts	Tucker, Vickie Chevalier	Soc & Behav Sci	Associate in Arts
Henderson, Heather L	Humanities	Associate in Arts	Walker, Amanda L	Humanities	Associate in Arts
Hicks, Rebecca Kay	Humanities	Associate in Arts	Walker, Amy Kathleen	Business	Associate in Arts

Associate in Science — KCTCS/UK

Brown, Phillip A	Engineering Technology	Associate in Science	Kirkham, Donna Joyce	Life & Natural Sciences	Associate in Science
Byrd, Donald	Life & Natural Sciences	Associate in Science	Palmer, Mary Allyne	Life & Natural Sciences	Associate in Science
Carter, Gregory Lee	Life & Natural Sciences	Associate in Science	Poff, Joseph Hillman	Life & Natural Sciences	Associate in Science
Coleman, Michelle Elaine	Life & Natural Sciences	Associate in Science	Puckett, Michael Shane	Life & Natural Sciences	Associate in Science
Doughty, Jennifer D	Life & Natural Sciences	Associate in Science	Reynolds, Deborah N	Life & Natural Sciences	Associate in Science
Doyle, Gregory Keith	Life & Natural Sciences	Associate in Science	Rohrer, Paul Ellis	Life & Natural Sciences	Associate in Science
Fulcher, Pamela Lea	Life & Natural Sciences	Associate in Science	Smith, Donna K	Life & Natural Sciences	Associate in Science
Harris, Crystal Dawn	Life & Natural Sciences	Associate in Science			

AACR 2

Office of the President
January 27, 2004

Members, Board of Trustees:

COLLEGE OF PHARMACY REORGANIZATION

Recommendation: that the Board of Trustees approve the reorganization of the College of Pharmacy at the University of Kentucky. The reorganization would include the creation of the Department of Pharmaceutical Sciences and the Department of Pharmacy Practice and Science. With the creation of these two departments, the Division of Pharmaceutical Sciences and the Division of Pharmacy Practice and Science would be dissolved, effective July 1, 2004.

Background: The College of Pharmacy is recognized as a leader in national and international pharmaceutical education and research. The growth and development of the programs have had a major impact on the local, regional, and national scene. New, important initiatives have emerged in basic sciences, clinical pharmaceutical sciences, nontraditional professional education, continuing education, and managed care. The profession of pharmacy has totally reformed its practice model with the adoption of pharmaceutical care as the new national standard for pharmacy practice. The college has played a leadership role in that evolution, resulting in a complete overhauling of the professional curriculum and experiential programs.

The proposed reorganization is needed to maintain a national leadership position in pharmacy education. The new structure will optimize the utilization of college resources and provide a governance model that is more appropriate for its function, thereby enhancing the ability to continue success in teaching, research and service. In many ways, the divisions have been operating as departments, but without the fiscal management and faculty governance granted to departments. In keeping with the university-wide change to a Provost model of administration, the proposed reorganization encourages greater flexibility, accountability, and responsibility in the decisions which are made by units.

The proposal has been reviewed and recommended by the Senate Committee on Academic Organization and Structure and the Senate Council; and recommended for approval by the University Senate. The Provost of the University supports this recommendation.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

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Office of the President
January 27, 2004

Members, Board of Trustees:

ACCEPTANCE OF INTERIM FINANCIAL REPORT FOR THE
UNIVERSITY OF KENTUCKY FOR SIX MONTHS ENDED
DECEMBER 31, 2003

Recommendation: that the Board of Trustees accept the University of Kentucky consolidated financial report for the six months ended December 31, 2003.

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 December 31, 2003, the University had realized income of \$741,637,000 representing 53% of the 2003-04 estimate of \$1,408,338,000. Expenditures and commitments total \$672,458,000 or 48% of the approved budget of \$1,408,338,000.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____



*Consolidated Financial
Statements*

For the six months ended December 31, 2003

CONSOLIDATED BALANCE SHEET
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
DECEMBER 31, 2003
with comparative totals for December 31, 2002
(in thousands)

	2003-04					2002-03	
	Current Unrestricted Funds	Current Restricted Funds	Loan Funds	Endowment Funds	Plant Funds	Totals	Totals
ASSETS							
Cash and cash equivalents	\$ 126,538		\$ 4,365	\$ 1,064	\$ 304,473	\$ 436,440	\$ 377,767
Notes, loans, and A/R (less bad debt allowances of \$81,241)	96,582	\$ 37,258	24,873	500	2,606	161,819	156,536
Investments	47,493	116,012		498,536	49,103	711,144	606,834
Property, plant, and equipment, net of depreciation					922,602	922,602	860,519
Inventories and other	17,201	213				17,414	14,431
Total Assets	\$ 287,814	\$ 153,483	\$ 29,238	\$ 500,100	\$ 1,278,784	\$ 2,249,419	\$ 2,016,087
LIABILITIES AND FUND BALANCES							
Liabilities							
Accounts payable	\$ 30,729	\$ 1,025	\$ 394		\$ 466	\$ 32,614	\$ 39,150
Employee withholdings and deposits		14,433				14,433	13,899
Other liabilities	5,175	1,014	20,767	\$ 5,778	3,250	35,984	35,760
Liability for self insurance	52,851					52,851	49,403
Deferred income	47,760	21,460				69,220	73,353
Bonds payable					290,385	290,385	208,606
Capitalized lease obligation					45,453	45,453	48,806
Total Liabilities	136,515	37,932	21,161	5,778	339,554	540,940	468,977
Interfund Balances	(68,881)	59,810		12,431	(3,360)		
Net deferred revenues and appropriated fund balances	84,547	(5,716)				78,831	61,879
Fund Balances							
Current unrestricted							
Working capital	122,580					122,580	133,136
Future operating purposes	4,920					4,920	7,849
Other	8,133					8,133	2,980
Current restricted		61,457				61,457	59,539
Loan			8,077			8,077	7,754
True endowments				405,609		405,609	319,474
Term endowments				3,375		3,375	2,762
Quasi endowments				69,732		69,732	53,297
Charitable trusts				2,791		2,791	854
Gift annuities				384		384	49
Plant							
Retirement of indebtedness					23,156	23,156	26,777
Renewal and replacement					148,881	148,881	117,454
Allocated for designated projects					106,975	106,975	144,811
Net investment in plant					663,578	663,578	608,495
Total Fund Balances	135,633	61,457	8,077	481,891	942,590	1,629,648	1,485,231
Total Liabilities and Fund Balances	\$ 287,814	\$ 153,483	\$ 29,238	\$ 500,100	\$ 1,278,784	\$ 2,249,419	\$ 2,016,087

CONSOLIDATED STATEMENT OF CURRENT FUNDS REVENUES AND APPROPRIATED FUND BALANCES
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE SIX MONTHS ENDED DECEMBER 31, 2003

with comparative totals for December 31, 2002
(in thousands)

		2003-04				2002-03	
		Original Budget	Revised Budget	Realized To Date	%	Realized To Date	%
General Fund							
(1)	State appropriations	\$ 308,519	\$ 308,519	\$ 169,659	55	\$ 172,285	55
(2)	Student fees	157,256	157,872	85,760	54	74,224	53
(3)	County appropriations	9,883	10,897	3,204	29	4,309	44
(4)	Endowment and investment income	7,200	7,200	3,901	54	5,537	48
(5)	Non governmental grants and contracts	84,590	84,563	36,165	43	35,646	42
(6)	Grants, donations, pledges						
	Affiliated corporations	20,818	20,955	10,091	48	9,866	49
	Other	1,979	3,579	2,587	72	677	8
(7)	Sales and services	33,475	33,589	16,410	49	14,933	53
(8)	Transfers	7,299	7,299	3,508	48	10,435	177
(9)	Fund balance	20,768	32,557	32,557	100	29,181	100
(10)	Total General Fund	651,787	667,030	363,843	55	357,093	55
(11)	Auxiliary Enterprises	48,676	49,144	30,066	61	28,646	66
Restricted Funds							
(12)	Federal appropriations	16,119	16,119	6,861	43	7,823	49
(13)	Other	95,983	96,947	37,607	39	38,881	45
(14)	Affiliated Corporations	259,996	260,051	129,440	50	116,263	50
(15)	Hospital						
	Revenues	319,047	319,047	173,821	54	165,546	52
(16)	Fund balance						
(17)	Total Revenues and Appropriated Fund Balances	<u>\$ 1,391,608</u>	<u>\$ 1,408,338</u>	<u>\$ 741,637</u>	53	<u>\$ 714,252</u>	53

**CONSOLIDATED STATEMENT OF CURRENT FUNDS EXPENDITURE SUMMARY BY PROGRAM - ALL FUNDS
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE SIX MONTHS ENDED DECEMBER 31, 2003**

with comparative totals for December 31, 2002

(in thousands)

	2003-04				2002-03	
	Original Budget	Revised Budget	Expended/ Encumbered To Date	%	Expended/ Encumbered To Date	%
(1) Instruction	\$ 275,921	\$ 274,303	\$ 127,733	47	\$ 127,461	47
(2) Research	230,698	233,326	100,900	43	95,316	46
(3) Public service	172,223	176,494	83,650	47	81,251	48
(4) Academic support	76,328	81,569	36,243	44	40,562	48
(5) Student services	23,485	25,093	11,745	47	10,455	48
(6) Institutional support	59,970	59,768	27,579	46	24,923	43
(7) Student financial aid	72,786	73,626	42,422	58	36,300	56
(8) Operation and maintenance	45,855	49,480	22,796	46	22,078	43
(9) Mandatory transfers (debt service)	16,777	16,647	13,652	82	16,466	85
(10) Hospital	321,982	321,982	148,379	46	152,039	48
(11) Auxiliary enterprises	95,583	96,050	57,360	60	53,422	63
(12) Total Expenditure by Program	<u>\$ 1,391,608</u>	<u>\$ 1,408,338</u>	<u>\$ 672,458</u>	48	<u>\$ 660,273</u>	49

**EXPENDITURE SUMMARY BY CATEGORY OF EXPENDITURE
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE SIX MONTHS ENDED DECEMBER 31, 2003**

with comparative totals for December 31, 2002

(in thousands)

	2003-04				2002-03	
	Original Budget	Revised Budget	Expended/ Encumbered To Date	%	Expended/ Encumbered To Date	%
(13) Personnel costs	\$ 792,158	\$ 794,315	\$ 379,182	48	\$ 372,290	48
(14) Operating expenses	524,647	543,338	251,874	46	240,025	48
(15) Mandatory transfers (debt service)	28,071	27,940	16,312	58	20,919	68
(16) Capital outlay	46,732	42,745	25,091	59	27,039	64
(17) Total Expenditure by Category	<u>\$ 1,391,608</u>	<u>\$ 1,408,338</u>	<u>\$ 672,458</u>	48	<u>\$ 660,273</u>	49

CONSOLIDATED SUMMARY OF NET DEFERRED REVENUES AND APPROPRIATED FUND BALANCES
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE SIX MONTHS ENDED DECEMBER 31, 2003

with comparative totals for December 31, 2002

(in thousands)

	2003-04	2002-03
(1) Realized Revenues	\$ 709,080	\$ 685,071
Appropriated Fund Balances		
(2) Current Unrestricted Fund	\$ 32,557	29,181
(3) University Hospital		
(4) Total Appropriated Fund Balances	32,557	29,181
(5) Total Revenues and Appropriated Fund Balances	741,637	714,252
(6) Expenditures/Encumbrances	672,458	660,273
(7) Less: Reserve for Encumbrances	(9,651)	(7,900)
(8) Total Expenditures	662,807	652,373
(9) Net Deferred Revenues and Appropriated Fund Balances	\$ 78,831	\$ 61,879

FCR 2

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Office of the President
January 27, 2004

Members, Board of Trustees:

CAPITAL CONSTRUCTION REPORT

Recommendation: that the capital construction report for the three months ending December 31, 2003 be accepted. This report refers only to projects that had activity within this quarter.

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

For the period October 1, 2003 thru December 31, 2003:

There was one new contract:

Project 2153.0	Student Housing Facilities
	Messer Construction, \$33,775,000

One contract was completed. It was as follows:

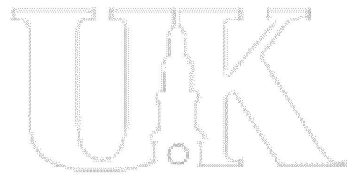
Project 2138.1	Renovate Parking Structure # 1 – Phase Two
	Volunteer Restoration, \$994,900

There were no amendments.

There were eight change orders.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

University of Kentucky



*Capital Construction
Quarterly Activity Report*

For the three months ending December 31, 2003

CAPITAL CONSTRUCTION CONTRACTS QUARTERLY ACTIVITY REPORT

This report contains capital projects that have a dollar scope value of \$400,000 and above. The projects are listed in alphabetical order and contain the project number, the dollar scope, a brief description of the project work and information pertaining to the primary consultant's contract and the primary contractor's contract. This information includes:

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY REPORT

Glossary

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

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

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

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

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

Feasibility Study: refers to investigation, usually commissioned through an outside consultant, to advise the University of the merits of an anticipated construction project, and to evaluate and comment on matters such as need, probably cost, preliminary program issues, and so forth.

Gross square feet: the total area of the project, generally measured from the outside of exterior walls for all floors of the project, including mechanical spaces.

H.B.C.: refers to the Commonwealth of Kentucky Department of Housing, Buildings and Construction, the state agency having responsibility for review and approval of University construction projects to assure compliance with applicable building codes.

Penthouse: refers generally to the enclosure around roof mounted mechanical spaces in a project. Not considered occupied (or net assignable) space.

Percent complete: as used in the report refers to the expenditure to date divided by the total amount of the construction contract for the work.

Net assignable square feet: the usable area of the project excluding corridors, rest rooms, storage areas, mechanical spaces, etc.

Phase: The various stages of design and construction of a capital project, including:

- Programming phase: refers to the initial planning phase of a project, during which the University (with or without participation by a consultant) defines in detail the needs and requirements of a project. This program becomes the basis for consultant selection, fee negotiation, and design of the project.
- Schematic design (S/D or Phase 1): refers to the first formal phase of design by the consultant, in which a general design solution to project programmatic requirements is developed.
- Design development (D/D or Phase 2): refers to the second formal phase of design by the consultant, during which the schematic design is expanded to identify solutions to design issues in broad terms, sufficient to insure the stated programmatic needs can be met.
- Construction document phase (C/D or Phase 3): refers to the final phase of the design process in which the details and specific project requirements are identified and incorporated in a final set of biddable construction documents.
- Bidding phase: refers to the stage of a project during which proposals for construction are solicited, culminating in the award of one or more contracts for construction.
- Construction phase (or Phase 5): refers to the actual construction of the project by contractors.

Scope: The total estimated value of a capital project on completion, including all design, construction and administrative costs as well as the cost of capitalized furnishings and equipment.

Substantial Completion: refers to the time during construction, certified by the consultant, when the work is sufficiently complete for the University to occupy the facility for its intended use without significant interruption. Upon certification of substantial completion, the University assumes operational and maintenance responsibility and insurance liability for the project and the warranty period begins for most elements of the construction. Some work generally remains, including correction of minor punchlist items, before the work is certified finally complete.

Trade Contractor: Sub-contractors, or individual bid package contractors, who practice a specific, trade (electrical, painting, structural steel, for example).

MAJOR PROJECT SUMMARY REPORT

January 2, 2004

CPST

Proposals from design/build contractors have been received and evaluated, and Messer Construction of Lexington is the apparent successful firm. Negotiations are currently underway to confirm the scope of work and contract details, and the final contract should be executed in early January, 2004. Completion of design will begin immediately thereafter, and on site work may begin as early as February, 2004. Construction is anticipated to be substantially complete in late Spring, 2005.

BBSRB

This \$72M project designed by A. M. Kinney of Cincinnati in association with ZBA of Cincinnati and Venturi, Scott Brown of Philadelphia and others is located near the intersection of South Limestone Street and Virginia Av. The project includes a major research building with vivarium; a central utility plant (CUP) to include new chiller, boiler and substation; a spine to connect the new CUP to the existing systems as well as serve future buildings in the Virginia Avenue area; and a bridge connecting the new structure to the existing campus. Over the last three months construction has continued on schedule. Over the past 90 days, the mechanical rough in on the ground floor has reach 90% completion, the hanging of dry wall on the 1st and 2nd floor has been 75% completed, the roofing on the bridge has been completed and the installation of the veneer has begun, the tunneling under South Limestone Street for the steam and chill water piping has been completed and the boiler has been set in the CUP.

The current completion date is October 21, 2004 although Gilbane, the construction-manager-at-risk, is committed to bettering that date. Work over the next three months will include continuing the MEP rough in though-out the buildings; initial hanging and finishing of dry wall on the lower floors; completion of the "skin" of the BBSRB; installation of the duct banks and piping to complete the spine; continuing construction of the bridge over South Limestone Street; cutting of the opening for the entry into the third floor of the Kentucky Clinic, piping and wiring associated with the various units in the CUP; completion of UK's portion of the substation; and completion of the cooling tower.

PRIMARY CARE/OUTPATIENT DIAGNOSTIC & TREATMENT CENTER

(Gill Heart Institute/Outpatient Surgery Center)

This \$24,491,723 project, designed by CMW, Inc. and currently under construction, is scheduled to be completed in two (2) phases, and the first phase was scheduled for substantial completion in early January. Failure by the contractor to complete stairwells finishes, lobby flooring and final air balancing, while delaying issuance of the certificate of occupancy, has not delayed acceptance of the 3rd and 4th floor areas so that the users can proceed with installation of furnishings and equipment. The Hospital wants to occupy the upper floors and begin training and to open the Cath Labs in mid April (17th and 18th).

The 2nd floor connector to the hospital is progressing and is expected to complete by the end of January. The second phase is scheduled for completion by the end of January or early February, although the contractor continues to miss targeted milestone dates. The cast stone on the bridge is nearing completion, with start of the brick work pending. Punch inspections have begun and will continue on the lower floors as those floors are made ready for inspection. The project is behind the original target schedule. It is currently within budget, but the budget has been substantially impacted by required changes.

PARKING STRUCTURE #6:

Two sites for these structures to be constructed under this \$16,280,000 project were selected on September 30. The Virginia Avenue site and the Tennis Court Parking lot site were determined to represent the best combination of economy, utility and aesthetic acceptability. HNTB of Kansas City, Mo. has been selected to assist in preparation of the RFP for design build services. The project kick-off meeting is scheduled for January 15th. The consultant has been issued the University's preliminary program. The project is currently approximately nine weeks behind the initial schedule. Over the next two months, program verification will be completed and schematic design will be started. Initial discussion with the selected consultant indicates that the schedule can be adjusted to meet the targeted date for substantial completion of August 2005.

UK CENTER FOR RURAL HEALTH

The new Center for Rural Health in Hazard, a \$13,065,000 Project designed by Omni Architects and being constructed by D. W. Wilburn, Inc. of Lexington. Work completed during the last quarter includes paving and concrete work, drywall installation, and the plumbing systems. Work that is ongoing at this time is the suspended ceiling grid which is 95% complete; base coat painting which is 80% complete. Building systems, including Electrical are at 88% complete, HVAC is 90% complete and the Sprinkler/Fire Alarm System is at 98% completion. Site work has commenced and is approximately 45% complete.

The current contracted substantial completion date is January 17, 2004. However, in the last few days, D. W. Wilburn notified Omni Architects/UK CPMD of the failure of Central Kentucky Glass to receive and commence installation of the Alucobon Panels for the building exterior. However, no official confirmation has been received that the panels have been ordered and the contractor has stated that once an order was placed, the panels could not be delivered and installed in less than six weeks. Based on the recent events regarding the Alucobon Panels, the earliest anticipated substantial completion date is now late February, 2004.

The existing Center for Rural Health, utilizing rental space, is currently planning to move in March of 2004.

MAIN BUILDING

Construction continues and completion is currently scheduled for August 2004, although wet weather has slowed progress during recent weeks. Messer Construction, the project manager, will re-sequence the schedule and work with finish trades to minimize any impact that may result. Most underground utility construction is now complete, the upper portion of the POT plaza is now accessible to pedestrians, and construction on Patterson Drive and in the area between the Main Building and The Gillis Building will be sufficiently complete prior to start of classes in January to allow re-opening of these access routes. Most notable progress in recent weeks includes installation of roof framing and the start of installation of the new windows. Less apparent progress has been made in interior plumbing rough-in, ductwork installation, and wall framing,

During the next three months the roof framing will be complete and the building will be ready for the start of drywall and interior finishes. Construction of the elevator shaft will be completed, and the assembly of the new tower on the ground prior to setting it in place will begin in January.

PHARMACY FUME HOODS

This \$750,000 indoor air quality project began with Med Center PPD correcting conditions that hindered the full operation of existing exhaust systems. Med Center PPD is installing new monitoring devices on existing fume hoods using \$45 K of project funds. The project team met in December to review the results of a total building air balance report and determine the priority areas in which indoor air quality issues will be addressed with the remaining available funds.

Additional air balance investigation will now proceed in designated "worst case" areas to determine the extent of additional exhaust and control modifications needed. Staggs & Fisher Consulting Engineers is now developing a work plan that will be reviewed by the project team in late January 2004. A set schedule for design and construction activities will then be developed.

STUDENT HOUSING FACILITIES

The RFP for design/build services for this \$46,000,000 (\$33,800,000 construction budget) project, programmed by Ayers Saint Gross, is currently under construction. Messer and Sherman Carter Barnhart were selected as the successful bidder (\$33,775,00) and construction completion remains unchanged at June 2005. Over the last month, site mobilization and completion of the final design documents has begun. The next two months will include submittal of the final design documents to the University and continuation of foundation excavation and construction. Design work continues on related programs to provide an elevator in the existing Kirwan-Blanding Commons and a new steam boiler in the new central Plant. Relocation of the basketball courts adjacent to Blazer Hall has been completed but some finishing work remains pending more favorable weather

AG SCIENCE NORTH – RENOVATE 5 LABS AND OFFICES:

The firm of Johnson-McAdams, designers for the U. S. Department of Agriculture, has received final review comments on the Construction Documents from the State of Kentucky Department of Housing, Buildings and Construction, Division of Building Code Enforcement & Division of Plumbing. This document reflected a revised-and-reduced construction scope for this project of \$550,000. Subsequently, the Project was advertised on December 9, 2003 and a pre-bid meeting was held on December 16, 2003. A bid opening is scheduled for January 14, 2004. The Base bid remains with renovating 3 labs and offices with an add alternate for the remaining two labs due to the reduction in federal funds. The next two months will include selection of the contractor and beginning the 6 month construction work. This project has been following the design schedule as proposed and managed by USDA in accordance with the lease agreement between USDA and UK. CPMD remains design reviewer and construction administration with USDA performing design coordination tasks.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Biomedical /Biological Sciences Research Bldg

Project Number: 1876.0

Scope: \$72,978,900

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

Total Amendments to Date: 3

Original Contract Amount: \$5,600,000

Cumulative Amendment Amount: \$786,154

Revised Contract Amount: \$6,386,154

Describe all amendments :

Amendment #1, 12/11/01, an increase of \$485,742.00, was approved to provide consultant services to include the addition of a pedestrian bridge to the main campus, expanded Vivarium facilities and the addition of space for an amenity feature.

Amendment #2, 10/8/02, an increase of \$204,750.00, was approved to provide for owner requested changes to the design during the construction document phase and for reimbursable expenses for printing and HB&C plan review fees. **Amendment**

#3, 6/10/03, an increase of \$95,662, was approved for additional service during the Bidding Process which includes Specification and Bidding of a Boiler for the CUP, Revision of Division 1700 Specifications to current standards and analysis of multiple bid packages. **No amendments this quarter.**

Contractor: Gilbane (Construction Manager At-Risk)

Note: This is 'CM-At-Risk' contract. The contracted amount will be increased as sub-contracts are bid and added.

*Gilbane's contract was awarded by RFP process.

Contract # X203535

Total Change Orders to Date: 108

Low Bid:

High Bid:

Number of Bids:

Original Contract Amount: \$59,379,657

Cumulative Change Order Amount: \$1,360,503

Revised Contract Amount: \$60,740,160

Contract Percent Complete: 66%

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

Change Order #26, 1/9/03, was approved for \$35,958 to extend 30" condenser water pipe from bullhead tee to future cooling tower well. **Change Order #27**, 1/9/03, was approved for \$32,683 to delete Adscos steam expansion joints from Specification 15121CUP. After bid, issues were discovered with one of the specified expansion joints, as such this manufacturer was eliminated from specification, resulting in additional cost for alternate joints. **Change Order #30**, 1/15/03, was approved for \$42,019 to revise material for 48" and 30" condenser water pipe to ductile iron pipe. **Change Order #40**, 3/14/03 was approved for \$72,705 to incorporate revisions to pumping systems and valves. **Change Order #44**, 3/17/03, was approved for \$82,037 to change direct buried steam piping Multitherm 500 System Class A. This will provide a more durable protective jacket for steam piping. **Change Order #45**, 3/28/03, was approved for \$48,745 to revise circuit breaker specification and to relocate bus differential relays. **Change Order #49**, 4/8/03, was approved for \$42,430 to undercut BBSRB ground floor from column line 8 north as required due to unsuitable soils and uneven rock. **Change Order #52**, 4/24/03, was approved for \$28,102 to undercut CUP area beyond 7' depth indicated on documents due to unsuitable soils not previously identified in soils investigation. **Change Order #59**, 5/20/03, was approved for \$87,614 because it was determined that certain portions of the plumbing design did not comply with the Kentucky HB&C requirements as interpreted by the reviewer. **Change Order #61**, 5/23/03, was approved for \$117,246 to revise the RO/DI water system in the BBSRB to increase the quality of water provided at the labs to a Level II. **Change Order #70**, 6/11/03, was approved for \$26,383 to revise routing of ductbanks east of CUP. **Change Order #71**, 6/11/03 was approved for \$35,484 to provide additional down leads for the Lightning Protection System required to obtain U.L. Listing. **Change Order #77**, 7/21/03, was approved for \$170,684 to revise the electrical switch gear and associated bus ducts. The feeds for the CUP were converted from the 4160V to 480V to accommodate operational safety considerations. **Change Order #89**, 8/22/03, was approved for \$112,333, to provide reimbursement for costs incurred as a result of the storm event on May 15, 2003. This was reimbursed thru the Builders Risk Insurance Policy held by the University. **Change Order #109**, 10/21/03, was approved for \$36,466 to provide temporary heating. **Change Order #110**, 10/21/03, was approved for \$57,460, to provide a resinous flooring system. **Change Order #120**, 11/24/03, was approved for \$47,518 to modify ground floor ceiling to a stud frame. **Change Order #121**, 12/3/03, was approved for \$25,793 to provide freezer monitoring. **Change Order #125**, 12/9/03, was approved for \$40,000 to modify concrete columns at bridge.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Building/Site Upgrade III (RO system upgrade)

Project Number: 2074.0

Scope: \$753,250

Project Description:

This project consists of providing separate Reverse Osmosis Water recirculation systems for Riser A/B and Riser C of the University of Kentucky Medical Science wing. Common softener and carbon filter equipment will be located in Mechanical Room MA2. R.O. equipment, storage tanks, distribution pumps, deionized equipment, UV unit and final filters will be located in Mechanical Room MA2 and H46 for Riser A/B and Riser C respectively. Piping and fittings will be schedule 80 PVC.

Consultant: Biagi, Chance, Cummins, London, Titzer, Inc.

Contract # A021190

Total Amendments to Date: 0

Original Contract Amount: \$40,000

Cumulative Amendment Amount:

Revised Contract Amount: \$40,000

Describe all amendments :

No amendments this quarter.

Contractor: Finney Company

Contract # X301139

Total Change Orders to Date: 7

Low Bid: \$413,000

High Bid: \$604,965

Number of Bids: 3

Original Contract Amount: \$413,000

Cumulative Change Order Amount: \$26,889

Revised Contract Amount: \$439,889

Contract Percent Complete: 99%

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

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

Infrastructure Utility Upgrade Phase I - Hospital Drive Steam

Project Number: 1949.2

Scope: \$637,400

Project Description:

Replace steam and condensate lines under the Medical Center Hospital Drive.

Consultant: Staggs & Fisher (Amendment to 1949.0 Contract)

Contract # A011180

Total Amendments to Date: 0

Original Contract Amount: \$67,600

Cumulative Amendment Amount:

Revised Contract Amount: \$67,600

Describe all amendments :

No amendments this quarter.

Contractor:

Contract # No Construction contracts awarded to date.

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:

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Main Building Reconstruction (Administration Bldg.)

Project Number: 2025.0

Scope: \$16,075,000

Project Description:

The Administration Building Reconstruction project involves rebuilding the interior and exterior portions of the building while re-using the exterior masonry wall shell that remained after the May 2001 fire. In general, the President's office and related functions will be housed in the building along with a visitor's center, a smart classroom, public ceremonial space and other administrative offices. All building systems will be new and include state of the art HVAC, electrical, communications, fire/smoke detection and suppression components and will be connected to the central campus utility systems. Structural and architectural systems and details are now being developed but will include new toilets, elevator and other amenities associated with new construction to meet current building codes and accessibility standards. Sitework will include the creation of a Patterson Plaza entrance at the east side of the building and a connecting link to the Gillis Building. Other sitework details are now being programmed.

Consultant: James W. Potts Architects

Contract # A021160

Total Amendments to Date: 1

Original Contract Amount: \$841,340

Cumulative Amendment Amount: \$172,000

Revised Contract Amount: \$1,013,340

Describe all amendments :

Amendment #1, 9/10/02, was approved for \$172,000 to provide for an increase in scope for additional design services. The additional services include the design and construction of increased site work that includes re-grading, utilities relocation and installation, roadwork and landscaping to incorporate the reconstruction of the building into the surrounding campus buildings and grounds. **No amendments this quarter.**

Contractor: Messer Construction Company (Construction Manager At-Risk)

Note: This is 'CM-At-Risk' contract. The contracted amount will be increased as sub-contracts are bid and added.

*Messer's Contract was awarded by RFP process.

Contract # X301712

Total Change Orders to Date: 60

Low Bid:

High Bid:

Number of Bids:

Original Contract Amount: \$12,393,282

Cumulative Change Order Amount: \$565,217

Revised Contract Amount: \$12,958,499

Contract Percent Complete: 42%

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

Change Order #16, 7/24/03, was approved for \$30,906 to add additional storm drainage to the scope. **Change Order #38**, 10/21/03, was approved for \$56,544 for "test holes "and additional rock associated with interior caissons.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Nursing Unit Modification IX (5-North GCRC Unit)

Project Number: 2057.0

Scope: \$1,080,000

Project Description:

The project involves the design of a renovation to the 5th floor, north GCRC Unit. . The outpatient services will be relocated and the space evacuated will be renovated to provide additional inpatient rooms. When the outpatient services of the GCRC Unit are relocated, this project will provide for possibly 5 additional inpatient rooms and support facilities. The remaining rooms will be upgraded aesthetically with new finishes to the extent the project budget will allow.

Consultant: Gartner, Burdick, Bauer-Nilsen, Inc. (GBBN)

Contract # A021140

Total Amendments to Date: 1

Original Contract Amount: \$49,900

Cumulative Amendment Amount: \$7,150

Revised Contract Amount: \$57,050

Describe all amendments :

Amendment #1, 3/7/03, in the amount of \$7,150. was approved to provide drawing revisions due to a change in function of the new patient rooms from "in-patient" to "exam/procedure" rooms. **No amendments this quarter.**

Contractor: E H Construction

Contract # X304381

Total Change Orders to Date: 10

Low Bid: \$314,990

High Bid: \$359,986

Number of Bids: 5

Original Contract Amount: \$314,990

Cumulative Change Order Amount: \$21,210

Revised Contract Amount: \$336,200

Contract Percent Complete: 91%

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Primary Care Ctr/Outpatient Diagnostic & Treatment Ctr

Project Number: 1764.0

Scope: \$24,771,723

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: 1

Original Contract Amount: \$2,147,765

Cumulative Amendment Amount: \$217,894

Revised Contract Amount: \$2,365,659

Describe all amendments :

Amendment #1, 12/10/02, an increase of \$217,894.00 was approved for additional design services as a result of value added changes. **No amendments this quarter.**

Contractor: D.W. Wilburn, Inc.

Contract # X014454

Total Change Orders to Date: 130

Low Bid: \$18,670,000

High Bid: \$20,799,000

Number of Bids: 4

Original Contract Amount: \$18,670,000

Cumulative Change Order Amount: \$1,954,308

Revised Contract Amount: \$20,624,308

Contract Percent Complete: 90%

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.

Change Order #9, 5/8/01, was approved for \$62,186.00 to relocate 5 existing water lines that are in conflict with the ramp in the courtyard area, and to relocate existing storm drainage structures that are also in conflict with new construction. **Change Order #12**, 5/16/01, was approved for \$39,302.40 to add lantern light fixtures to match Allied Health Project. **Change Order #33**, 2/7/02, was approved for \$42,875.27 to make architectural and structural modifications to the electrical room to accommodate electrical gear. **Change Order #37**, 4/8/02, was approved for \$34,909.40 to change the key switches to a Yale seven pin cylinder. **Change Order #44**, 5/29/02, was approved for \$31,459.40 to add light fixtures consisting of 21 Holophane Bollards and 9 Holophane Pole lights. Cost of fixture installation is included in the original contract work. These fixtures were originally planned to be owner provided and contractor installed. This change order will have the contractor provide these fixtures. **Change Order #46**, 10/15/02, was approved for \$64,896.34 to install a Hill-Rom Nurse Call System compatible with the Nurse Call in the rest of the hospital. **Change Order #51**, 11/27/02, was approved for \$669,115.00 to add mechanical chase through the building and to modify wall configurations. The revisions include widening of corridors 000H and 000I to 8'-0", relocation of the elevator equipment room 503, construction of a vertical chase adjacent to same elevator from Penthouse through the floor slab of the first floor. This change is to allow the ground floor to become a diagnostic center in the future for both outpatients and inpatients and provide sufficient HVAC support for future diagnostic center. **Change Order #53**, 12/17/02, was approved for \$30,164.50 to relocate the roof leader from the stairwell as required by code. **Change Order #57**, 1/13/03, was approved for \$38,882.39 for electrical revisions for equipment in the O.R.'s. **Change Order #58**, 1/10/03, was approved for \$45,198.45 was approved to extend the communication conduit from outlets to cable tray per CCR #76. **Change Order #67**, 2/27/03 was approved for \$65,055.08 to install new vibration isolation system support. **Change Order #68**, 3/31/03 was approved for \$93,035.58 to revise the decontamination room. **Change Order #72**, 4/1/03, was approved for \$38,981.55 to provide the 1/2" thick Corian-Sierra Eclipse material solid surface countertops in lieu of the 1/8" veneer solid surface. **Change Order #75**, 4/14/03, was approved for \$46,262.77 to provide fire rated enclosures on tops of elevator shafts and adjacent machine rooms. **Change Order #76**, 4/14/03, was approved for \$28,606.25 to provide fire rated enclosures of the duct chase. **Change Order #77**, 4/29/03, was approved for \$80,447.10 to add door position switches, this change indicates connections for electronic door security not previously covered in the contract documents. **Change Order #114**, 9/4/03, was approved for \$254,842.30 to add an elevator in the shell of elevator bank B. **Change Order #121**, 10/7/03, was approved for \$34,386.15 to add card readers for the elevators. **Change Order #122**, 10/9/03, was approved for \$33,662.60 to align the existing pedway elevation with the entrances to the new Gill Building.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovation of Urology Clinic

Project Number: 2061.0

Scope: \$560,000

Project Description:

The Urology Clinic is currently located on the first floor of the Kentucky Clinic and shares some functions with the Orthopaedics clinic. The intent of this project is to provide services allowing Urology to function as an independent clinic, with a new and distinctive entrance. The project is also to provide the clinic with a registration/medical records/phone area, waiting room, eight exam rooms, two Cysto/Flouro rooms (one of which will require lead lined walls), a consultation room, manager's office, clean utility, soiled utility, lab, staff toilet, and a handicap accessible patient toilet.

Consultant: James W. Potts Architects

Contract # A021150

Total Amendments to Date: 1

Original Contract Amount: \$35,000

Cumulative Amendment Amount: \$3,290

Revised Contract Amount: \$38,290

Describe all amendments :

Amendment #1, 11/12/02 was approved for an increase of \$3,290 for additional design services for added scope of work. **No amendments this quarter.**

Contractor: Jarboe Construction Company

Contract # X304214

Total Change Orders to Date: 14

Low Bid:

High Bid:

Number of Bids:

Original Contract Amount: \$387,000

Cumulative Change Order Amount: \$18,206

Revised Contract Amount: \$405,206

Contract Percent Complete: 99%

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

No change orders over \$25,000 this quarter.

Research Lab Fit-up (Aging Allied/Health) 5th Floor

Project Number: 1984.0

Scope: \$5,250,000

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

Total Amendments to Date: 1

Original Contract Amount: \$410,000

Cumulative Amendment Amount:

Revised Contract Amount: \$410,000

Describe all amendments :

Amendment #1, 7/8/03, in the amount of \$2,275 was approved for additional design services as required to provide modification to 4th floor labs. **No amendments this quarter.**

Contractor: Woodford Builders

Contract # X301038

Total Change Orders to Date: 23

Low Bid: \$3,877,000

High Bid: \$4,428,000

Number of Bids: 8

Original Contract Amount: \$3,877,000

Cumulative Change Order Amount: \$42,766

Revised Contract Amount: \$3,919,766

Contract Percent Complete: 99.9%

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

Change Order #19, 7/15/03 was approved for \$34,510 to furnish and install three fume hoods. **No change orders over \$25,000 this quarter.**

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Student Housing Facilities

Project Number: 2153.0

Scope: \$46,000,000

Project Description:

The University is construction four (4) new residence halls located on two sites at the University of Kentucky, one on the south campus and one site on the north campus. On the south campus the site is east of the Kirwan Blanding complex, bounded by Sports Center drive and Complex Boulevard. Three (3), three-story residential halls on the south campus total 534 beds. The residential hall on the north campus site at the corner of Euclid Avenue and MLK Boulevard will be four-stories with 150 beds. The total gross square footage is expected to be approximately 220,000 SF, totaling 684 beds, comprised mostly of semi-suite units. Occupancy is scheduled for the fall of 2005. New housing may include ancillary components including common areas, student activity spaces, academics, food services, parking and central campus utilities.

Consultant: Ayers/Saint/Gross

Contract # A031090

Total Amendments to Date: 0

Original Contract Amount: \$545,000

Cumulative Amendment Amount:

Revised Contract Amount: \$545,000

Describe all amendments :

No amendments this quarter.

Contractor: Messer Construction

* Messer's contract was awarded by RFP process.

Contract # X401834

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

Original Contract Amount: \$33,775,000

Cumulative Change Order Amount:

Revised Contract Amount: \$33,775,000

Contract Percent Complete:

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

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

UK Center for Rural Health

Project Number: 1965.0

Scope: \$13,065,000

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: 1

Original Contract Amount: \$879,845

Cumulative Amendment Amount: \$140,682

Revised Contract Amount: \$1,020,527

Describe all amendments :

Amendment #1, 3/12/02, was approved for an increase of \$140,682.00 for consultant services to expand the scope of the project. Federal funding was received requiring re-programming and design. **No amendments this quarter.**

Contractor: D.W. Wilburn

Contract # X301039

Total Change Orders to Date: 28

Low Bid: \$8,320,000

High Bid: \$8,990,000

Number of Bids: 3

Original Contract Amount: \$8,320,000

Cumulative Change Order Amount: \$22,091

Revised Contract Amount: \$8,342,091

Contract Percent Complete: 92%

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

No change orders greater than \$25,000.00 this quarter.

FCR 3

Office of the President
January 27, 2004

Members, Board of Trustees:

REPORT OF LEASE

Recommendation: that the Board of Trustees accept the President's Report of the following lease agreements in accordance with Board Policy:

A new lease between the University of Kentucky (Center on Drug and Alcohol Research) and Wes Denham, P.O. Box 396, Brownsville, Kentucky, for space located at 104 South Main Street, Brownsville, Kentucky, effective January 5, 2004 through June 30, 2011, for the use of 800 square feet of office space, at an annual rate of \$6,360.00, 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 4

Office of the President
January 27, 2004

Members, Board of Trustees:

AUTHORIZATION TO CONVEY .7978 ACRES, MORE OR LESS,
IN BREATHITT COUNTY
TO DEPARTMENT OF HIGHWAYS FOR RIGHT-OF-WAY PURPOSES

Recommendation: that the Board of Trustees authorize the Executive Vice President for Finance and Administration to convey .7978 acres, more or less, in Breathitt County, Kentucky to the Department of Highways for public highway improvement.

Background: The Department of Highways proposes to widen the roadway at the junction of Kentucky Highway 15 and Kentucky Highway 30, approximately 2 ½ miles east of Jackson, Kentucky, to create a left turn lane.

The Department of Highway proposes to pay a total of \$850.00 for the right-of-way acquisition which will be acquired in fee simple. This purchase price is based upon comparable land sales in Breathitt County, as reviewed and determined by the Department of Highways.

Documents to be executed by the University include a Memorandum of Agreement 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 5

Office of the President
January 27, 2004

Members, Board of Trustees:

BB&T COMPANY AND BB&T CHARITABLE FOUNDATION PLEDGES

Recommendation: that the Board of Trustees accept pledges totaling \$2,500,000 from the BB&T Company and the BB&T Charitable Foundation, both of Winston-Salem, North Carolina, to the Gatton College of Business and Economics.

Background: BB&T Company, which has offices in Lexington, will pay its \$1,250,000 pledge over 10 years beginning in 2004. The gift will fund a speaker's series, an annual student paper competition, annual fellowship and research grants, and construction of the new Gatton College faculty and administration building. The BB&T Charitable Foundation's pledge of \$1,250,000 will be paid over five years beginning in 2004. The gift is designated for programs and for construction of a new Gatton College faculty and administration building, which would be part of a new Gatton College campus planned on Euclid Avenue west of Memorial Coliseum. C. M. "Bill" Gatton, for whom the College is named, is a member of the BB&T Company Board of Directors.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 6

Office of the President
January 27, 2004

Members, Board of Trustees:

BILL GATTON FOUNDATION PLEDGE

Recommendation: that the Board of Trustees accept a pledge of \$2,500,000 from the Bill Gatton Foundation of Bristol, Tennessee, for the Gatton College of Business and Economics.

Background: The Bill Gatton Foundation is the foundation of C. M. "Bill" Gatton of Bristol, Tennessee, the Gatton College's major benefactor for whom the College is named. The pledge will be paid over six years beginning December 31, 2004. A total of \$2,450,000 of the pledge is designated for the construction of a new Gatton College campus to be located on Euclid Avenue west of Memorial Coliseum. The remaining \$50,000 of the pledge is designated for a scholarship fund in honor of former dean Richard Furst. The Gatton Foundation pledge matches a \$2,500,000 pledge made by BB&T Company and its charitable foundation. Mr. Gatton serves on the Board of Directors of BB&T Company.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 7

Office of the President
January 27, 2004

Members, Board of Trustees:

NOLAN C. ALLEN PLEDGE

Recommendation: that the Board of Trustees accept a pledge of \$100,000 from Nolan C. Allen of Louisville, Kentucky, for the Gatton College of Business and Economics' building program.

Background: Mr. Allen is a 1952 graduate of the Gatton College and is the former chair of Cotton & Allen, a Louisville accounting firm. His pledge will be paid in five annual payments of \$20,000 beginning in 2004. The Gatton College has plans to build a new college campus on Euclid Avenue west of Memorial Coliseum.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 8

Office of the President
January 27, 2004

Members, Board of Trustees:

JAMES W. STUCKERT PLEDGE

Recommendation: that the Board of Trustees accept a pledge of \$250,000 from James W. Stuckert of Louisville, Kentucky, for the restoration of the Administration Building.

Background: Mr. Stuckert, CEO of J.J.B. Hilliard, W. L. Lyons, Inc., in Louisville, is chair of the UK Capital Campaign Steering Committee. A UK alumnus, he holds a bachelor's degree in engineering and a master's in business administration. He and his wife, Diane, are among the University's most generous benefactors. His pledge will be paid over four years.

The Administration Building was nearly destroyed by fire in May, 2001. It is undergoing a \$16 million restoration that will be completed in April. The building will be renamed the Main Building, which it was called upon its completion in 1882.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 9

Office of the President
January 27, 2004

Members, Board of Trustees:

ALE-8-ONE BOTTLING COMPANY GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$20,000 and a pledge of \$80,000 from Ale-8-One Bottling Company of Winchester, Kentucky, to support the Lexington Community College's Winchester building fund.

Background: Ale-8-One President and CEO Frank A. Rogers and his family own the company, which has been located in Winchester since 1926. The gift is made in memory of Carolyn A. White, an Ale-8-One employee who was a vocal supporter of the Lexington Community College (LCC) branch in Winchester. A classroom in the new building will be named in her honor. The LCC classroom building will be located on a 20-acre tract in the Winchester-Clark County industrial park.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 10

Office of the President
January 27, 2004

Members, Board of Trustees:

RUTH VIRGINIA ALCORN LUDWICK ESTATE GIFT

Recommendation: that the Board of Trustees accept distribution of \$336,604.52 from the estate of Ruth Virginia Alcorn Ludwick to create and endow a scholarship fund in the College of Agriculture.

Background: Mrs. Ludwick wanted to create a scholarship fund in memory of her late husband, Leslie Ludwick, and son, David E. Ludwick, a 1972 graduate of the College of Engineering with a concentration in agricultural engineering. David died in a drowning accident in 1981 at the age of 30. Mrs. Ludwick died May 27, 2002. The Ludwick family lived in Louisville, Kentucky.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 11

Office of the President
January 27, 2004

Members, Board of Trustees:

BURT L. SIMS GRADUATE FELLOWSHIP GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$10,000 and a pledge of \$40,000 from William R. & Suwapee N. Sims of San Antonio, Texas, to establish and endow the Burt L. Sims Graduate Fellowship Fund in the College of Engineering.

In accordance with the Council on Postsecondary Education guidelines, the Board of Trustees acknowledges that it has primary responsibility for the implementation of the Endowment Match Program and is responsible for providing oversight of all endowment funds.

Background: William R. Sims graduated from UK in 1958 with a bachelor's degree in civil engineering. His engineering career included 23 years with the U.S. Air Force, followed by positions with the Ralph G. Parson Company and the Walt Disney Corporation, where he retired as senior vice president. Presently, he is chairman of Windemere Teams, Inc., a human and fiscal resource management consulting firm. Mr. Sims is a member of the Engineering Dean's Advisory Council. Mr. and Mrs. Sims are UK Barker Fellows. The fellowship is named in memory of Mr. Sims' father. The commitment is eligible for matching funds from the state's Research Challenge Trust Fund.

Action taken: ☒ Approved q Disapproved q Other_____

FCR 12

Office of the President
January 27, 2004

Members, Board of Trustees:

H. E. KATTERJOHN GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept gifts of \$146,811 and a pledge of \$103,189 from H. E. Katterjohn of Paducah, Kentucky, to create and endow the H. E. Katterjohn Professorship in Engineering in the College of Engineering.

In accordance with the Council on Postsecondary Education guidelines, the Board of Trustees acknowledges that it has primary responsibility for the implementation of the Endowment Match Program and is responsible for providing oversight of all endowment funds.

Background: Mr. Katterjohn is a retired Paducah businessman and a generous supporter of education, the arts and economic development in the region. He is a graduate of Purdue University. Mr. Katterjohn strongly believes that the University's presence in Paducah – especially the College of Engineering – is vital to the economic future of his community and the western region of Kentucky. The professorship will be awarded to a mechanical or chemical engineering professor working with the UK engineering program in Paducah. While not a graduate of the University, Mr. Katterjohn believes in its mission as a land-grant institution. His commitment is eligible for matching funds from the state's Research Challenge Trust Fund.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 13

Office of the President
January 27, 2004

Members, Board of Trustees:

KOHL'S DEPARTMENT STORES, INC. GIFT

Recommendation: that the Board of Trustees accept a gift of \$101,575 from Kohl's Department Stores, Inc. of Milwaukee, Wisconsin, to the University of Kentucky Children's Hospital.

Background: Kohl's is making the gift to support the purchase of equipment for a Pediatric Cardiac Non-invasive Diagnostic Center to help children with cardiac problems and diseases. Kohl's has given \$211,651 to support pediatric initiatives over the past three years.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 14

Office of the President
January 27, 2004

Members, Board of Trustees:

BOEHRINGER INGELHEIM GIFT

Recommendation: that the Board of Trustees accept a gift of \$60,000 from Boehringer Ingelheim Pharmaceuticals, Inc. of Ridgefield, Connecticut, for the Boehringer Ingelheim Endowed Research Professorship in the College of Medicine's Division of Pulmonary Medicine.

In accordance with the Council on Postsecondary Education guidelines, the Board of Trustees acknowledges that it has primary responsibility for the implementation of the Endowment Match Program and is responsible for providing oversight of all endowment funds.

Background: The Board of Trustees accepted a pledge of \$50,000 in May, 1999 from Boehringer Ingelheim to establish an endowed professorship to enhance medical research in lung diseases. The company fulfilled this pledge and made an additional contribution of \$75,000 in April 2003 to augment funding for the professorship. This new gift of \$60,000, as were the previous gifts, is eligible to be matched by the state's Research Challenge Trust Fund. Boehringer Ingelheim Pharmaceuticals is a leading manufacturer of drugs to treat pulmonary disease.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 15

Office of the President
January 27, 2004

Members, Board of Trustees:

GIFTS TO BARNSTABLE-BROWN CHAIR

Recommendation: that the Board of Trustees accept a gift of \$97,500 from the Barnstable-Brown Party Diamond Derby, Inc. of Louisville, Kentucky, and a gift of \$2,500 from W. Bruce Lunsford of Louisville for the Barnstable-Brown Chair in Pediatric Diabetes Research in the College of Medicine's Department of Pediatrics.

In accordance with the Council on Postsecondary Education guidelines, the Board of Trustees acknowledges that it has primary responsibility for the implementation of the Endowment Match Program and is responsible for providing oversight of all endowment funds.

Background: The Barnstable-Brown chair in diabetes research was established in March, 1999 with a pledge by the Barnstable-Brown Party Diamond Derby organization of \$500,000 that was matched by the state's Research Challenge Trust Fund (RCTF). These new gifts totaling \$100,000 from the Barnstable-Brown organization and Mr. Lunsford, a UK graduate and generous supporter of the University, are also eligible for matching funds from the RCTF.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 16

Office of the President
January 27, 2004

Members, Board of Trustees:

TELFORD FOUNDATION GIFT

Recommendation: that the Board of Trustees accept a gift of \$145,000 from the Telford Foundation of Naples, Florida, to support ovarian cancer research in the College of Medicine.

Background: The Telford Foundation was created through the generosity of the late Robert L. Telford, chairman of the board of Mason and Hanger-Silas Mason Co., Inc. from 1976-1987. The Telford Foundation provides annual gifts to support the ovarian cancer research program of Dr. John R. van Nagell, Jr. in the Department of Obstetrics and Gynecology. The Telford Foundation has given more than \$1.4 million to support ovarian cancer research at UK.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 17

Office of the President
January 27, 2004

Members, Board of Trustees:

KLEBERG FOUNDATION GIFT

Recommendation: that the Board of Trustees accept a gift of \$100,000 from the Robert J. Kleberg, Jr. and Helen C. Kleberg Foundation of San Antonio, Texas, to support the ovarian cancer screening program in the College of Medicine.

Background: The Kleberg Foundation is providing the gift to support early detection of ovarian cancer through the ovarian cancer screening program at UK. The program, established in 1987, provides screening services for the early detection of ovarian cancer, the fourth most common type of cancer found in Kentucky women. The Kleberg Foundation has been a generous supporter of programs in the Colleges of Medicine and Agriculture.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 18

Office of the President
January 27, 2004

Members, Board of Trustees:

MARION E. MCKENNA PROFESSORSHIP
IN NURSING LEADERSHIP GIFTS AND PLEDGES

Recommendation: that the Board of Trustees accept gifts of \$41,994 and pledges of \$13,169 from friends, faculty, colleagues and family of the late Dr. Marion E. McKenna to create and endow the Marion E. McKenna Professorship in Nursing Leadership in the College of Nursing.

In accordance with the Council on Postsecondary Education guidelines, the Board of Trustees acknowledges that it has primary responsibility for the implementation of the Endowment Match Program and is responsible for providing oversight of all endowment funds.

Background: Dr. McKenna was the second dean of the College of Nursing, serving from 1972-1984. She helped plan the College of Nursing building and instituted the Master of Science in Nursing degree program. She also was involved in the early planning of the college's doctoral program. The professorship initiative was announced at the College of Nursing's fortieth anniversary celebration attended by Dr. McKenna. She died soon thereafter in July, 2001. The gifts and pledges totaling \$55,163 are eligible to be matched by the state's Research Challenge Trust Fund.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 19

Office of the President
January 27, 2004

Members, Board of Trustees:

ANONYMOUS PLEDGE (1)

Recommendation: that the Board of Trustees accept from a donor who wishes to be anonymous a pledge of \$600,000 to be used by the Department of Athletics toward construction of a building adjacent to the Nutter Fieldhouse.

Background: The pledge will be paid over four years beginning in 2004. The new facility will be multi-purpose, including use for football recruiting.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 20

Office of the President
January 27, 2004

Members, Board of Trustees:

ANONYMOUS GIFT AND PLEDGE (2)

Recommendation: that the Board of Trustees accept from three donors who wish to be anonymous a gift of \$150,000 and a pledge of \$450,000 to be used by the Department of Athletics toward construction of a building adjacent to the Nutter Fieldhouse.

Background: The pledge will be paid over three years beginning in 2004. The new facility will be multi-purpose, including use for football recruiting.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 21

Office of the President
January 27, 2004

Members, Board of Trustees:

ANONYMOUS GIFT AND PLEDGE (3)

Recommendation: that the Board of Trustees accept a gift of \$250,000 and a pledge of \$750,000 from an anonymous donor to support the activities of the University of Kentucky Department of Athletics.

Background: The donor is making an unrestricted gift to be used at the discretion of the Director of Athletics. The pledge will be paid over three years.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 22

Office of the President
January 27, 2004

Members, Board of Trustees:

CLARK'S PUMP-N-SHOP, INC. GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$40,000 and a pledge of \$120,000 from Clark's Pump-N-Shop, Inc., of Ashland, Kentucky, to support the activities of the Department of Athletics.

Background: The Clark family owns several Pump-N-Shop gasoline and convenience stores in Kentucky and West Virginia. They have been supporters of University athletics for many years. The pledge will be paid over three years beginning this year and will be used at the discretion of the Director of Athletics.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 23

Office of the President
January 27, 2004

Members, Board of Trustees:

REYNOLDS BELL, JR. GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$25,000 and a pledge of \$225,000 from Reynolds Bell, Jr., of Lexington, Kentucky, to support the activities of the Department of Athletics.

Background: Bell is a Lexington horseman and longtime supporter of University athletics. His pledge will be paid over nine years. The gift will be used at the discretion of the Director of Athletics.

Action taken: ☒ Approved ☐ Disapproved ☐ Other _____

FCR 24

Office of the President
January 27, 2004

Members, Board of Trustees:

H. GREG GOODMAN GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$25,000 and a pledge of \$225,000 from H. Greg Goodman of Lexington, Kentucky, to support the activities of the University of Kentucky Department of Athletics.

Background: Mr. Goodman is the owner of Mount Brilliant Farm. His gift will be used at the discretion of the Director of Athletics. The pledge will be paid in nine annual installments of \$25,000.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 25

Office of the President
January 27, 2004

Members, Board of Trustees:

ERNEST A. SAMPSON GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$63,000 and a pledge of \$252,000 from Ernest A. Sampson of Louisville, Kentucky, to support the activities of the University of Kentucky Department of Athletics.

Background: Mr. Sampson is a Louisville businessman. His unrestricted gift of \$315,000 will be used at the discretion of the Director of Athletics. The pledge will be paid in four annual installments of \$63,000.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____

FCR 26

Office of the President
January 27, 2004

Members, Board of Trustees:

GREG WELLS GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a pledge of \$630,000 from Greg Wells of Hazard, Kentucky, to support the activities of the Department of Athletics.

Background: Mr. Wells is a businessman and longtime supporter of University athletics. His pledge will be completed over five years. The gift will be used at the discretion of the Director of Athletics.

Action taken: ☒ Approved ☐ Disapproved ☐ Other_____