

Minutes of the Board of Trustees of the University of Kentucky, Tuesday, March 27, 2012.

The Board of Trustees of the University of Kentucky met at 1:00 p.m. (Lexington time) on Tuesday, March 27, 2012 in the Board Room on the 18th Floor of Patterson Office Tower.

A. Meeting Opened

Dr. E. Britt Brockman, chair of the Board of Trustees, called the meeting to order at 1:10 p.m. Dr. Brockman asked Ms. Sandy Patterson, secretary of the Board, to call the roll.

B. Roll Call

The following members of the Board of Trustees answered the call of the roll: C.B. Akins, Sr., William C. Britton, E. Britt Brockman (chair), Sheila Brothers, Jo Hern Curris, William S. Farish, Jr., Micah Fielden, Oliver Keith Gannon, Carol Martin "Bill" Gatton, Pamela T. May, Billy Joe Miles, Terry Mobley, Sandy Bugie Patterson, Erwin Roberts, Charles R. Sachatello, C. Frank Shoop, James W. Stuckert, John Wilson, Irina Voro, and Barbara Young. . Dr. Brockman announced that a quorum was present.

The University administration was represented by President Eli Capilouto, Provost Kumble Subbaswamy, and General Counsel Barbara W. Jones.

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

Members of the various news media were also in attendance.

C. Consent Items

Dr. Brockman called attention to the two consent items on the agenda. They included the minutes for the regular meeting of the Board on February 21, 2012 and PR 2 which deals with personnel actions. Dr. Brockman asked Secretary Patterson for amendments or additions to the February 21, 2012 minutes.

Ms. Patterson noted that there was an amendment to page 14. There should be an addition of a second paragraph which reads "Mr. Roberts reported that a motion was made at the committee meeting to request that the full report be presented to the full Board of Trustees later this spring. He also wanted to mention that the report and presentation are available from Ms. Pease at any time."

Dr. Voro also asked that a correction be made on page 10, paragraph 5. The line "Provost Subbaswamy and General Counsel Barbara Jones explained that the proposed changes in the GR's were cosmetic and not substantial" should be added.

Dr. Brockman asked if there were questions relative to Dr. Voro's suggested addition to the minutes. Having none, Dr. Brockman moved to accept the consent items. Mr. Mobley,

moved approval and his motion was seconded by Ms. May. Dr. Brockman asked if there was any discussion on the consent items. There being no further discussion, a vote was taken and the motion in favor of the consent items carried without dissent. (See consent items listed below on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

Minutes – February 21, 2012
PR 2 Personnel Actions

D. Chairman's Report (CR1)

Dr. Brockman began by reporting that there had been no requests since the last meeting to speak or appear before the Board. He noted however of one prior request that was sent to the Finance Committee and they appeared today.

Dr. Brockman then asked to read aloud CR 1 and have a discussion as to why this action item was being brought before the Board. The recommendation of CR 1 is “that The Board of Trustees receives, review, and approve the attached example outline process for the President’s annual evaluation.” As background, “pursuant to Section E, which is titled (Evaluation), of President Eli Capilouto’s Employment Agreement with the University of Kentucky Board of Trustees, an annual performance evaluation shall be performed in accordance with what was at one time Governing Regulation, Part II.A.6(a), which dealt with the Executive Committee being in charge of the Presidential Evaluation and that has since been amended to GR II. E.2(a).”

Dr. Brockman continued that “the proposed outline of this evaluation process would replace the previous evaluation procedure. In addition to the University and Staff Senates and the Student Government Association, the proposed process also would include an identified number of individuals. Input from the various constituencies would be conducted by a Human Resources professional.” He stated that the next line is being amended and it will read as follows: “the Chair of the Board of Trustees and the Executive Committee, in consultation with the President, will establish a set of interview questions. The performance assessment document will contain both qualitative and quantitative components.”

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

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

Dr. Brockman continued that attached to CR 1 and referenced in CR 1 as a working document in progress are three (3) pages labeled Draft and that there was also a change under Section 1A. The sixth (6th) line down, will read as follows: “The Board Chair and the Executive Committee, in consultation with the President, shall select the choice of the professional based on experience”. Dr. Brockman asked for a motion for approval of CR1. Mr. Mobley moved for the approval of CR1, with a second by Ms. Patterson.

Dr. Brockman, as a point of discussion, explained that for the last eight years, the Board has used the attached draft document as the entire evaluation process for the President. It is a list of ten (10) questions or metrics, which were used to grade the President. He stated that primarily with some input from the Senate Councils (Faculty Senate Council and Staff Senate Council), and Student Government, this was the process by which the Board of Trustees evaluated the President at the University of Kentucky. He noted that it may have had usefulness in the past, but felt it is time to change the process by which we evaluate the President. The new process, proposed before the Board today, would encompass many more constituency groups, in addition to those, that by the General Regulations, are required to give input. It would, in addition to the Faculty Senate Council, the Staff Senate Council, Student Government and this Board, encompass 20 to 30 other constituency groups. This would include members from the community, from government relations, from the administration, from alumni and other constituency groups that might be felt appropriate. Dr. Brockman remarked that this will allow not only the Board, to evaluate the president, but will allow the individuals that work with the president to also be involved in the process.

Dr. Brockman stated that a professional evaluator would be used, along with both subjective and objective metrics. This would be done on an annual basis and every 3 to 4 years, the Board would substantially increase the process from 20 to 30 to 40 interviewees. He commented that he thought this would not only allow the Board to look back on what the president's past performance has been, but will give it an opportunity to look forward. As times change, the questions and metrics may change. It will allow the Board an opportunity to help the President going forward as new issues and challenges face the University of Kentucky.

Dr. Brockman opened the floor for comments. Dr. Voro asked how the faculty was going to be involved in the process. Would they be given an opportunity to complete a questionnaire to rate the President? Dr. Brockman replied that the faculty will be represented by various constituency groups as well as the Faculty Senate Council, which is the faculty representative body. He continued that the Faculty Senate Council will have an opportunity to suggest questions through this process. He continued that the questions that we ask this year might not necessarily be the questions that are relevant and pertinent three or four years from now.

Ms. Brothers commended the individuals that worked on the document and felt it was a positive improvement for evaluation and a wonderful step forward.

Ms. May noted how each new version of the evaluation process had improved over the previous versions. She complemented the Chair and those that worked on this iteration. She requested that if the second document was going to be attached or in some way maintained as an

official document, then it should be notated that these are “sample or example” questions to be revised annually.

Chair Brockman agreed that the word “example questions” would be inserted. With no further comments, the question was called and passed by a vote of 19 in favor and 1 opposed. (See CR 1 on the Board of Trustees website, www.uky.edu/Trustees, under agenda)

E. President’s Report (PR 1)

Before beginning PR 1, President Capilouto took a moment to say a special word about Provost Kumble Subbaswamy. He reported that the Provost was formally offered the position of chancellor at the University of Massachusetts, Amherst -- the flagship, land-grant institution for another Commonwealth. He expressed no surprise that another exemplary institution of higher learning would be interested in having someone of Swamy's caliber and quality as a leader.

President Capilouto continued that as Provost, Swamy has been the leader and driving force behind many of this institution's most pressing challenges and unquestioned successes. From the “War on Attrition”, he had helped foster historic gains in the University’s retention rates to significant and meaningful growth in the levels of diversity and inclusion among faculty and students, and the internationalization of the campus. With over a 30 year history with this institution, he knows Swamy and his family will always consider this place their home. He offered that the University will always consider Swamy to be part of our family as well.

At a date in the near future, working with Provost Subbaswamy, the University will find an appropriate venue and time in which to celebrate his time and his family’s time at UK and also this next, important chapter in his professional journey. Dr. Capilouto offered that his hope for Swamy was that he receive as warm a welcome as he extended to me and that he has received at this campus.

As a point of interest, President Capilouto pointed out that for those who keep up with higher education and athletics, must realize that our current men’s basketball coach started his career at the University of Massachusetts at Amherst. Provost Subbaswamy interjected “and I promise to bring him back.” There was laughter by all. The President continued that when the University of Massachusetts let Coach Calipari go, they got as part of the deal, a future number one draft choice. “You are their number one draft choice. We wish you the very best and thanks.” There was a warm round of applause.

President Capilouto explained that he would be conferring with the Deans and other academic leaders, as well as Provost Subbaswamy, regarding the transition. He hoped to have details about that process in the coming days.

President Capilouto also wanted to draw the Board’s attention to the copy of this month's Lane Report. A statewide business and economic development publication, its cover story this month is about Trustee Bill Gatton. The excellent article talks not only about his business success, but also his devotion and generosity to education. President Capilouto stated that Mr. Gatton sets a wonderful example for us and our students. He makes his alma mater most proud

and he commended this reading to the Board, so they too could learn more about one of their own, as it says in the article, "Wild Bill Gatton."

President Capilouto pointed out that as the Board reviewed PR 1, to please note how this campus always seems to find ways to give back to those in need throughout the Commonwealth. He wanted to draw attention to a few items in particular. The first, being the reminder of how the state was hit by horrific storms earlier this month. In some cases, communities were literally ripped apart. He continued that not surprisingly, several University of Kentucky groups responded with an outpouring of concern and aid to Kentucky tornado victims.

A few examples included Greek organizations, which initiated donation drives or used their Spring Break to go to devastated areas and volunteer. Groups such as the Robinson Scholars, the Appalachian Center, Student National Pharmacy Association, UK Staff Senate and College of Agriculture Ambassadors held donation drives. UK Student Services' Alternative Spring Break plans were altered to include disaster relief and the Center for Community Outreach made plans to provide relief as well.

President Capilouto noted how the University health system geared up to take in victims who were seriously injured by the storm. He also had the opportunity, once again, to learn about the remarkable work performed by our extension centers. Morgan County and the town of West Liberty were particularly hard hit by these storms. West Liberty was virtually destroyed. He told how the University's extension service, led by Agent Sarah Fannin, never stopped working. President Capilouto recalled the day he reached Agent Fannin on the phone. She was establishing a makeshift extension office in her home. The permanent office had been destroyed. Agent Fannin and her colleagues were making calls to ensure that equipment and supplies were being delivered to farmers and others in need. "Whatever needs to happen ... it doesn't matter," she said. "We are a community. Extension is a community. There's not much difference between opening up an office in my home and coming up with an office somewhere else. That's how we operate in extension."

President Capilouto also wanted to thank those among the University leadership team in emergency preparedness. The University prepared for the worst. It was decided to close the University, to ensure faculty, staff, students, and everyone that is a part of the UK family would be safe. Equally important, was the debriefing after that storm. This meeting will allow the University to be even better the next time we face a situation as critical.

President Capilouto also noted that due to the threat of tornadoes on March 2nd, DanceBlue, UK's 24-hour dance marathon, was reduced to a 12-hour event. As he visited with the students at Memorial Coliseum on the morning of March 3rd, it was clear to him that the spirit of the dancers and the generosity of the community could not be dampened. At 8:00pm that evening, the DanceBlue Committee members revealed a grand fundraising total of \$834,424.57, a record amount. All monies go to the Golden Matrix Fund benefiting children with cancer and their families at the UK Pediatric Oncology Clinic.

President Capilouto also noted another first that happened on the University campus in past few months. UK surgeons Dr. Charles Hoopes and Dr. Mark Plunkett led a surgical team on

February 10 in the state's first implantation of the SynCardia Total Artificial Heart. He commented that this remarkable device may serve as a critical bridge to transplant for patients who are simply too sick to wait. Remarkably, UK is one of only 29 medical centers in the country certified to perform this procedure.

The recipient, Mr. Zack Poe, a 20 year old native of Maysville, became the state's first recipient to receive this device. It contains the same components as a human heart. The surgery took about four hours and was extremely successful, with the patient up and walking around in just a few days. President Capilouto had the opportunity to meet Zack and his family prior to a news conference with Dr. Karpf and the surgical team.

President Capilouto moved on to spotlight the four professors being recognized as University Research Professors. He explained that this is the 36th year of the University Research Professors program at UK. The purpose is to enhance and encourage scholarly research productivity, provide an opportunity for concentrated research effort for selected faculty members, and to recognize outstanding research achievement by members of the faculty. The University Research Professorships carry an award of \$40,000 to enable professors to devote full time to their research or continue to teach and use the award to support research activities. Funds for these annual awards are provided by the Office of the Vice President for Research.

President Capilouto introduced Vice President for Research, Dr. Jim Tracy, to announce and introduce this year's distinguished scholars. Dr. Tracy explained that in 1976, the University Research Professorships were established and it was recommended that they be permanent. While the University was still at the point of only providing a one year financial award, the Professors do have the right now to use the term "University Research Professor" as long as they are at UK.

Dr. Tracy introduced this year's recipients as follows:

The first recipient was Professor Douglas Andres, Professor and Vice Chair in the Department of Molecular and Cellular Biochemistry. Dr. Andres received his PhD in Biochemistry from Purdue University in 1990. After completing his postdoctoral training at the University of Texas Southwest Medical Center in Dallas, he joined the faculty at the University of Kentucky in 1993. His research focuses on Ras-related GTPases. These are enzymes that have their roles in both normal and pathological processes and potential therapeutic development for controlling a number of human diseases.

The second recipient was Professor Mark Dignan, from the Department of Internal Medicine and is the director of the Prevention Research Center in the College of Medicine. Dr. Dignan received his PhD in Public Health Education from the University of Tennessee in 1977. He held several other faculty positions and joined the UK faculty in 2001. His research is focused on cancer prevention, particularly in Appalachian Kentucky.

The third recipient was Professor Mark T. Fillmore of the Department of Psychology in the College of Arts and Sciences. Dr. Fillmore received his PhD in Psychology from the University of Waterloo in Canada in 1993 and joined the University of Kentucky faculty in

1999. His research is focused on understanding the role that cognitive processes have in promoting risk taking behavior with an emphasis on recreational drug use including alcohol dependence and abuse.

The final recipient was Professor Christopher Pool of the Department of Anthropology. Dr. Pool received his PhD in Anthropology from Tulane University in 1990. He has been on the faculty at the University here since 1996. His research focuses on the evolution of complex societies, political and economic archeology, ethnicity, cultural ecology, ceramic analysis, archeometry, and geoarcheology in meso-America and the eastern United States.

President Capilouto asked each recipient to come forward to briefly tell the audience about their research and themselves. Each recipient was grateful for their award and the opportunity to share with the Board of Trustees their past and current research projects.

President Capilouto then introduced Mr. Reginald Smith, Jr., a vocal performance and choral music education senior from Atlanta, Ga. In January, Mr. Smith took first place in the scholarship division (undergraduate level) of the 2012 National Opera Association Vocal Competition. While at UK, the baritone has performed in every season of the sold out performances of "It's a Grand Night for Singing!" and several UK Opera Theatre productions -- including his most recent turn in the title role of "Falstaff." Mr. Smith's previous honors and awards include an invitation to do summer studies at the Seagle Music Colony and the Brevard Music Center, as well as first place honors in the undergraduate division of the 2007 Alltech Vocal Scholarship Competition. Last fall, he took third place in the regionals of the 2011 Metropolitan (Met) Opera National Council Auditions. Mr. Smith plans to pursue a singing and teaching career after he graduates.

Mr. Smith came forward and thanked the audience for the opportunity to be a part of the Opera Program at the University, pointing out that it is one of the top twenty training programs in America. He shared his future plans of being a part of the COST program, the Consortium on Overseas Student Teaching, through the College of Education, that allows him to do his student teaching abroad. He plans to audition both in Berlin and in America. After graduation, his goal is to sing, hopefully have a wonderful long career, then return to teach in the public schools.

President Capilouto extended on behalf of the board and himself, heartfelt congratulations to both the University's men's and women's basketball teams on their stellar seasons. He commented that their competitive zeal, talent and success have been remarkable. Their stories join several others this year in athletics, from the historic win against Tennessee in football to another incredible season by the cheerleading squad, the rifle team, and the baseball team, which has been ranked as high as second in the country this year. He related that our student athletes are poised and dedicated young men and women and commented that our sports programs attract and bring outstanding students to our campus.

On behalf of Athletics Director Mitch Barnhart, President Capilouto presented the Board of Trustee members with a NCAA Final Four baseball cap as a memento to wear throughout the championship weekend.

F. Appointment of the Executive Director of the University of Kentucky Research Foundation (PR 3)

President Capilouto explained that PR 3 asked for the approval of the appointment of Dr. James Tracy as the Executive Director of the University of Kentucky Research Foundation, effective March 27, 2012.

Dr. Brockman asked for a motion for approval of PR 3. Ms. May so moved. It was seconded by Mr. Stuckert and the motion passed without dissent. (See PR 3 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

G. Honorary Degree Recipients (PR 4)

President Capilouto introduced PR 4, the recommendation for Honorary Degree Recipients. It asked that the Board of Trustees approve the awarding of the Honorary Doctor of Engineering to Vijay K. Dhir and Honorary Doctor of Science to Sally Mason as approved and recommended by the University Faculty.

Dr. Brockman asked for a motion for approval of PR 4. Mr. Shoop so moved. It was seconded by Ms. Curris and the motion passed without dissent. (See PR 4 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

H. University Research Professorships (PR 5)

President Capilouto explained that PR 5 approved the naming of the Professors introduced earlier as our University Research Professors for 2012-2013.

Dr. Brockman asked for a motion for approval of PR 5. Dr. Sachatello so moved. It was seconded by Dr. Akins and the motion passed without dissent. (See PR 5 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

I. Proposed Revisions to the Governing Regulations (PR 6)

Chair Brockman reminded the Board that the contents of PR 6 were introduced at the February 21st Board Meeting as PR 4. The motion was made for PR 4 to be sent to the Academic Affairs Committee. Dr. Brockman asked Dr. Gannon, chair of the Academic Affairs Committee for a report.

Dr. Gannon explained that PR 6 relates to revisions of the University Governing Regulations and reminded the Board that the revisions were brought before the full Board during the last meeting on February 21, 2012 as PR 4. He reminded the Board that some questions were raised about the process by which revisions in PR 4 had been vetted through the University. Dr. Brockman referred PR 4 to the Academic Affairs Committee and the committee was asked to review and make recommendations.

Dr. Gannon continued that as a bit of background, the last complete review of the Governing Regulations occurred in 2005. The 2005 review was used to 1) accommodate the reorganization of the University from the Chancellor model to the Provost Model, and 2) to address statutory changes in the relationship between the University of Kentucky and Lexington Community College. Since 2005, only some governing regulations had received revision on specific topics. The current set of proposed revisions to the governing regulations is necessary to ensure compliance with SACs accreditation standards, as the next audit is set to begin in September of this year. Dr. Gannon noted that the Draft Agenda book contains behind PR6, a complete set of the revisions that are being made. Those General Regulations being revised in PR 6 are GR 1, 3, 4, 7, 8, 9, 12, and 13, and generally these revisions are general updates and housekeeping.

The current PR 6 proposed today has differences in two places, from the original proposed changes in PR 4. Dr. Gannon stated that they were as follows: 1) GR1, section C and D on page 4, two values which were removed from PR4 are now retained. These are “personal and institutional responsibility and accountability” and “a sense of community.” These values were eliminated in the 2009-2014 Strategic Plan, which was approved by the Board of Trustees. As such, during preparation for SACs reaccreditation, it was presumed that these GR’s would be adjusted to reflect the Strategic Plan. However, questions were raised about the vetting process used during the Strategic Development process to approve and revise core values. Dr. Gannon explained that since the February 21st meeting, there has been an incredible amount of work on this issue and all the appropriate campus constituencies have reviewed and approved the core values that are PR 6. This final set of values was supported by the University Senate, Staff Senate, SGA, Provost, and the President. With the approval of these GR’s, the 2009-2014 Strategic Plan will be necessarily changed to reflect these changes.

Dr. Gannon went on to explain that the second change was in GR 4, item 2 on page 3. This had been revised in such a way that it more clearly defines and explains the approval process used to establish and close a degree granting program. Dr. Gannon also added that there was an amendment made on the floor earlier in the day, in section D of GR1, to change the date. Under Ethical Principles and Code of Conduct, it should read that these ethical principles were adopted “January 27, 2004 and modified on March 27, 2012.”

Dr. Gannon, on behalf of the Academic Affairs Committee, expressed his appreciation and respect for the diligence and professionalism shown throughout this process. He commented on the unbelievable amount of work by the many different constituency groups. Dr. Gannon moved the acceptance of PR 6. Mr. Farish, seconded the motion, as amended.

Ms. Brothers asked a question regarding GR 4 on behalf of faculty member Davy Jones, regarding a possible footnote. Mr. Miles responded that the footnote pertained to another GR.

Ms. Young commended Dr. Gannon on the professional and collegial handling of this Governing Regulations matter.

Dr. Brockman asked for the vote on PR 6 and it passed without dissent. (See PR 6 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

J. Approval of Patent License Agreement (PR 7)

President Capilouto explained that PR 7 was the recommendation that the Board of Trustees approve the purchase of sensor products from Signal Solutions, LLC by the University per a subcontract for upgrading a health science center's sleep-wake system and for purchases of the Signal Solution's products for research at the University in the sleep-wake area through June 30, 2015. He noted the extensive background provided to the Board.

Dr. Brockman asked for a motion of approval for PR 7. Mr. Shoop moved approval. Mr. Britton seconded and it passed without dissent. (See PR 7 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

K. Candidate for Degree (AACR 1)

Dr. Gannon, chair of the Academic Affairs Committee, thanked Dr. Heidi Anderson for her presentation to the Committee on the processes for establishing tenure for faculty members.

Dr. Gannon continued that the first item of business was AACR 1, Candidate for Degree. The recommendation was that the president be authorized to confer upon the individual whose name is listed the behind AACR1, the attached degree which she is entitled, upon certification by the university registrar and she has satisfactorily completed all requirements for the degree for which application has been made and as approved by the elected faculty of the University Senate and the Academic Affairs Committee of the Board of Trustees.

On behalf of the Academic Affairs Committee, Dr. Gannon moved for approval of AACR 1 and it passed without dissent. (See AACR 1 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

L. Change in Degree – College of Agriculture (AACR 2)

AACR 2 was related to a change in degree in the College of Agriculture. It is the recommendation that the Board of Trustees approve a change in the name of the Bachelor of Science in Community Communications and Leadership Development with a major in Community Communications and Leadership Development, to Bachelor of Science in Community and Leadership Development with a major in Community and Leadership Development. Dr. Gannon continued that the background for this change consolidates the previous separate majors of Public Service and Leadership and Agricultural Communications. The new curriculum allows students to take advantage of all areas of faculty expertise in Community Communications, Leadership, Community and Community Development, and Non-formal Education and consolidates core courses into one set of requirements instead of two.

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

M. Establishment of the Institute of Sustainable Manufacturing (AACR 3)

AACR 3 is the recommendation that the Board of Trustees approve the establishment of the Institute for Sustainable Manufacturing in the College of Engineering, effective April 1, 2012. Dr. Eric Grulke, Associate Dean for Research and Graduate Studies in the College of Engineering, explained that this institute is being established to take advantage of the new opportunities and needs in the manufacturing, specifically the advanced manufacturing areas. It will do so by employing new research approaches in the manufacturing scheme, link into our educational programs and will also conduct outreach. It is seen as a way to help the state and the nation move to the next generation of manufacturing systems.

On behalf of the Academic Affairs Committee, Dr. Gannon asked for approval of AACR 3 and it passed without dissent. (See AACR 3 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

N. Audit Subcommittee Report

Mr. Stuckert reported that the Audit Subcommittee of the Finance committee met this morning and the first item for discussion was a report from BKD by Ms. Mary McKinley, the partner in charge. A number of different items were reviewed, including risk areas and what they will do to investigate certain areas.

He continued that Joe Reed (Internal Audit) presented and the committee approved the fiscal year 2012 work plan, which is already in progress. The Committee was given a fiscal year 2011-2012 internal audit update, and then discussed the internal audit staffing benchmark data.

The next subcommittee items were the approval of the audit subcommittee chart of revisions and the approval of the internal audit charter revision. Ms. Angie Martin gave an update regarding the work being done to expedite travel reimbursements, Department Authorization Vouchers (DAV) processing, and more time efficient payroll transactions.

O. Patent Assignment Report (FCR 1)

Dr. James Tracy, Vice President for Research, gave the report on the Patent Assignment Report, noting that three patents have been filed. He reported the number of patents applications, nine (9), through the first six months of the fiscal year ending in December. The number of patents issued, ten (10), and the patent gross revenue through the first six months was a little under \$592,000.

Mr. Stuckert moved for the approval of FCR 1 and the motion carried without dissent. (See FCR 1 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

Mr. Stuckert updated the Board on the presentation of Ms. Elaine Alvey, a student who petitioned the Board and appeared before the committee. She, along with 15-20 additional supporters, spoke to the Finance Committee regarding renewable energy and she encouraged the

use of geothermal energy to coal-fired plants.

P. Appointment of Trustee to the University of Kentucky Research Foundation Board of Directors (NCR 1)

Mr. Shoop reported that the nominating committee met this morning and received one item for discussion. NCR 1 recommends that the Board approve the appointment of Mr. William C. Britton as a trustee member to the University Of Kentucky Research Foundation Board Of Directors for a term ending September 30 2014. The bylaws of the foundation require that the Board of Trustees approve appointments to the Board of Directors. Mr. Shoop moved for approval of NCR 1 and it passed without dissent. (See NCR 1 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

Q. Student Affairs Committee Report

Ms. Patterson, chair of the Student Affairs Committee, reported that the committee welcomed Ms. Britney Begley, a graduate student in the Student Center, who presented an overview of the Student Center Professional Enhancement Program. A program for student employees, Ms. Begley has created a national model for training and assisting student employees with the refinement of skills in professional resume and cover letter writing, interview skills, and public speaking.

The second presentation was from the Center on Community Outreach. The CCO's mission is to serve, volunteer, and advocate. Last fall, they had a weekend trip, in October, to the Center for Courageous Kids, a center in Scottsville, Kentucky that is for children with Dravet Syndrome, a form of autism. Ms. Patterson continued that this spring, they visited a school in Appalachia and also focused on tornado relief efforts to that area. They have been to Atlanta, to Biloxi rebuilding after Katrina, to Washington DC, Santo Domingo, and to the Dominican Republic. They had 72 participants, 15 site leaders, 10 faculty and staff and 47 students.

Ms. Patterson reported that Student Government President Micah Fielden reported to the committee about the Wildcat Interest Group, WIG. He explained there are six US congressional offices that have positions for UK students at this time. He also reported that the student fee group, voted to increase student fees to support the Student Center and the Center for Community Outreach.

R. University Health Care Committee Report

Ms. Young, chair of the University Health Care Committee, reported that the committee met yesterday afternoon. Dr. Paul Depriest presented an update of the Enterprise Quality and Safety Goals scorecard for the UHC, the University Health Consortium. This is the scorecard that provides a comparison of UK Healthcare's performance with that of other academic medical centers in terms of mortality, effectiveness, safety, equity, patient centeredness, and efficiency. He also presented a review of UK Healthcare's core measures. The reports indicate a steady improvement in meeting goals regarding quality and safety.

Ms. Young reported that Colleen Schwartz, chief nurse executive, presented an update of operation service goals. Included in her report, was a broad and detailed compilation of patient satisfaction data. While the University Healthcare System is making progress, it still has a number of issues that must be addressed before the UK system can be considered a top performer in terms of patient satisfaction, among academic medical centers. UK Healthcare is taking a number of steps to improve services in clinical and nonclinical service and physician excellence. Patient satisfaction will be added to criteria to determine reimbursement. Ms. Schwartz also reviewed plans to develop an employee engagement survey.

Sergio Melgar presented the February and January financials. Discharges for the month of January were 2791 or 90 per day which is .2 discharges per day less than the budget of 90.2. Operating revenue net of bad debt for the month totaled \$68.2 million, which is \$4.6 million less than the budget for the month. Overall operating expenses for the month were \$2.6 million above budget. UK Healthcare Hospital System posted an operating loss of \$6.0 million this month reflecting higher personnel expenses due to growing pains related to the opening of Pavilion A. He reported that the way the CMI or case mix index shook out for the month was due to the extended patient length of stay and also lower outpatient activity. In comparing the balance sheet of January fiscal year 2012 and fiscal year 2011, cash has decreased \$51.3 million. Cash remains the same as the December 31, 2011 balance. Cash continues to be used to fund the remainder of phase 1A of the patient care facility. The February financials indicate that the January trend of high-volume extended length of stay reversed itself. Discharges for the month of February were 2886 or 99.5 per day or 1098 higher than in the past year. Operating revenue for the month totaled \$74.7 million which is \$3.4 million greater than the budget for the month. Overall operating expenses for the month were \$3.4 million above budget. UK Healthcare Hospital system posted an operating income of \$1.6 million for the month of February. Comparing the balance sheet of February fiscal year 2012 and fiscal year 2011, cash has decreased \$ 28.1 million.

Mr. Melgar continued that the next few months will indicate if the growing volume of patients is a trend or if UK Healthcare will need to reassess its ongoing assumption about volumes and revenue. The committee plans to meet late April or early May to evaluate budget and long range strategy.

Dr. Kevin Nelson presented for approval the current list of privileges and credentials for Chandler and Good Samaritan Hospitals. The committee made a motion and all privileges and credentials were approved.

S. University Relations Committee Report

Ms. Curris, chair of the University Relations Committee, began her report by asking the Board to review the University of Kentucky Alumni Association packet provided for them. She reported that Stan Key, Director of Alumni Affairs, provided an excellent presentation about the Alumni Association to the committee that morning. She stated he mentioned the primary mission of the Alumni Association is to support the University's goals and mission. The Alumni Association was founded in 1889 by a professor who was also a University of Kentucky alumna. Another purpose of the Alumni Association was to be an associate of "friend raising not

fundraising.” It was established as a 501(c)(3), however, its first fundraising initiative was in the development of the W.T. Young Library. It was the University of Kentucky Alumni Association that actually held the deed until the fundraising portion of the campaign was completed.

The group is managed by a 130 member Board of Directors and is currently housed at the Helen G. King Alumni House. King Alumni House provides staff offices and meeting places for the Alumni Association. In support of its mission and goals, the Alumni Association has approximately \$2.5 million in annual funding for alumni related programs and events, services and staff. Since 1992, there have been more than \$1.5 million in gifts given to the University of Kentucky by the Alumni Association. The UK Athletic Association has been the beneficiary of \$7 million, which has been generated from the official University Credit Card royalty income. Additionally, there has been annual funding of over \$64,000 for academic college alumni relations and activities.

In support of its mission and goals, the Alumni Association maintains a database of over 260,000 living alumni. This particular database is used to benefit the entire University. Ms. Curris reminded the Board that if it had not been for the Alumni Association, the University of Kentucky Presidential Tour of the Commonwealth would not have been possible. In the database, over 183,000 are graduates with graduate or undergraduate degrees received from the University in the last 18 years.

Ms. Curris went on to report that the Alumni Association communicates with its alumni through the Wildcat Connection, an email newsletter, the Kentucky Alumni Magazine, and through its website and social media presence. The Alumni Association also holds recruitment fairs. There were over 246 activities last year using over 40 clubs in those efforts. For a club to remain in good standing, it has to actually perform works in support of the University in order to maintain its status as a club. The Alumni Association also is responsible for The Great Teacher Award and career services counseling. They are very proud of the fact that this year they have developed a student program coordinator. The purpose is to help students understand what they need to do to be a good alumnus. There is a \$3 million budget in terms of membership with \$1 million paid by dues. \$2 million comes from endowments for scholarships.

Ms. Curris reported that alumni who are members of an alumni association are 4.8 times more likely than non-members to be donors. Life members are 5.7 times more likely than non-members to be current donors. Members are 11.5 times more likely than non-members to have donated at least \$10,000.

Ms. Curris stated that there has been a great effort within the last five years to promote diversity and inclusion which is also part of the Strategic Plan and purpose and mission of the University. To that effect, the Board of Directors, as compared to 9% diversity within the student body, now has a representation of 14.5%.

Ms. Curris also mentioned the flyer announcing the Wildcat Alumni Plaza. A bronze sculpture will be unveiled on April 20 at 3:30 pm. For \$250, alumni can purchase a paver. Also included was a booklet on UK Legacy, a program for children of out-of-state University of

Kentucky alumni.

T. Other Business:

President Capilouto reminded the Board that it was important to get updates and provide time for discussion regarding the University's strategic initiatives. Providing updates on their workgroups, which ranged from the housing program, to the University budgeting system, to the processes by which we can maximize the growth and development of our faculty, were Vice President and Treasurer Angie Martin, College of Pharmacy Dean Tim Tracy, and Faculty Senate Chair, Dr. Hollie Swanson.

Ms. Martin updated the Board on the Phase 1 Ground Lease, and the New Central Residence Hall. Additional work is being done on the affiliation agreement and the demolition and abatement agreement. EdR will provide the funding for the full cost of the demolition and abatement of Haggin Hall, which will occur right before the opening of New Central Housing. The University will perform these services.

Also currently being discussed are property taxes for what is now being called Phase 2A. We are also looking at an evaluation of our outstanding debt. She explained that the University issues tax exempt bonds for the housing enterprise and that we currently have about \$47 million dollars outstanding. The committee has also been working through the build-out and demolition schedule. 2013 is going to reflect the addition of the 601 beds for the Haggin field building. In 2014, one year later, the University may realize an addition of over 2100 beds, hopefully closer to 2500 beds. The Committee has two studies underway to help with the build-out and construction schedule. One is a traffic/parking study and the other, being conducted by Facilities Management, is looking at a campus master plan update. This will assist with the decision on the location of the facilities.

April 17th is the groundbreaking for New Central Residence Hall and July 2012 hopefully will be the effective date for the authorization from the General Assembly for our Phase 2A. Currently, we have in the bill, a \$175 million authorization to move forward. Ms. Martin reported that in September, she hopes to bring to the Board a recommendation for another ground lease or two, possibly graduate and undergraduate housing. In spring 2013, we would have the groundbreaking for fall 2014 and then in August 2013 we would have our first move-in in New Central.

Dean Tim Tracy, College of Pharmacy and chair of the Budget Model Development workgroup, explained that the committee, as charged by President Capilouto, has been working on a new financial model for the University. He explained that the committee began with a Current State Assessment; a where we are, in terms of a financial model here at the University of Kentucky. Over 100 stakeholder interviews have been conducted to date. Information regarding their perspectives on the current challenges and the desired benefits of a new financial model was collected. Challenges reported were 1) an absence of an assessment culture, 2) an undefined and complicated process for budgeting and finances, 3) a separation of responsibility and authority (those with responsibility didn't always have authority to make decisions that they needed to make), 4) insufficient incentives to promote revenue growth and 5) the current process

does not facilitate the mission and it makes it very difficult to fund strategic initiatives.

Dean Tracy explained that the desired characteristics or benefits to come out of this workgroup would be 1) improved ties to our mission, 2) increase planning effectiveness, and 3) to increase unit responsibility. A set of guiding principles was formulated. The first principle being mission; the University is committed to its mission of instruction, research and creative work, service, and healthcare. The budget model is a tool for facilitating that mission. Secondly with regard to strategy, resource allocation should promote long-term planning and support the evolving institutional strategy with the strategic plan as an articulation of University goals. Thirdly, we matched authority with responsibility. To ensure the alignment of authority for financial management decisions and responsibility for those decisions, for example, if you have feedback loops, that is responsiveness. Additionally, we need to determine the right balance between centralization and decentralization and the balance between units. We have a number of diverse units on campus. Fourth is rewards and entrepreneurship. The budget should support a culture that responsibly rewards performance, collaboration and entrepreneurial behavior. Finally, the budget model should have transparency and simplicity. The budget process in its decision-making practices should be clearly communicated to all stakeholders and simple to understand, explain, and maintain.

Dean Tracy continued that in order to carry out those principles, the committee identified enablers that will help with the implementation of the new financial model. The first is planning documents, or common templates, by which we can evaluate a new program, calculate a response estimate, and figure out if it is the right investment to make for a strategic priority. Secondly, adequate personnel and adequate training for personnel and resources, so they can carry out a model in which there is probably more local unit control. Third, is the current use of tools. SAP, is a robust system, but we need good queries and reporting mechanisms to pull good data, from which to make decisions. We are also advocating for a monthly close. This will generate monthly reports and allow us to match our variances according to our budget. The last three principles are coordination across units, flexibility, and data.

Dean Tracy explained the Current Funds Flow and how different sources of revenue to the University (tuition, appropriations, research, other revenues and clinical revenues) flow to divisions of the University. Basically, money comes in first to centralized units and then goes out to colleges or other places and then expenses. In the case of rewards, which is one of our principles, it is apparent that tuition funds are not distributed to the college where it is earned. As a result, colleges do not realize the tuition dollars that they are bringing in.

A proposed funds flow was illustrated. As an example, tuition revenue comes directly to colleges, clinical revenue to the enterprise, and research revenue comes to UKRF. Fundamentally, the revenues go to the units that generate the revenue and then you have the service units below who are supporting those academic units to carry out their mission. This possible model matches authority where there can be a feedback loop in terms of services that are provided. It allows a central fund for strategic priorities. It allows transparency as the colleges know the rules by which they will receive their allocations and they can begin to make appropriate adjustments to that. There are also reward systems and there is a strategy to allocation. In summary, Dean Tracy reported that the workgroup was creating the framework

for the model.

Dr. Hollie Swanson, Chair of the Faculty Senate, reported on the Committee on Faculty Review, Rewards, and Retention. The objectives are 1) to review the policies and procedures relating to faculty evaluation, promotion and tenure and 2) to define the opportunities and incentives, aligned with the University priorities, which hold the greatest possibility to improve faculty satisfaction and overall outcomes for the University.

The committee will be eventually be broken into three sub-components. The first will look at criteria and to make sure they align with our priorities. Also the task is to look at the promotion and tenure processes and to look at the way we report innovative effort. Are we currently doing that and how could we do that better? We want to look at the process, and how that occurs within each unit. Are they aligned with the faculty rewards and then what are professional development opportunities that we could be discovering? The third sub-component is the development and accountability of the process. What are the opportunities currently available? What could we develop or do we need formal mentoring? How do we handle those with less than satisfactory performance and then how do we handle accountability?

Dr. Swanson continued that the committee wanted to develop both quantitative and qualitative data. The committee is also in the process of identifying those faculty members to be interviewed, asking the elected faculty groups of each college for the names of individuals to interview. Dr. Swanson is also working on how to interact with the Deans and obtain strong feedback from them. The committee will also be looking at external views, such as peer institutions and their policies. Also the committee wants an exploration of what are the trends, where we want to be, and how to get out in front. What do we look like with respect to our peers?

The committee is large to provide inclusiveness of not only faculty title series, but different colleges and different disciplines.

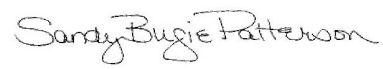
Ms. Curris reminded the Board that the installation of the wildcat sculpture would be Monday, April 2, 2012.

Ms. Brothers passed out the 2011 Work-Life report, information about the University's Work-Life Office activities during the 2011 year. They include an elder care office, supervisor of the year, various new initiatives through Work-Life, a new social worker that is one-on-one counseling with employees, as well as information regarding education and outreach. She reminded the Board members there will be a presentation to the full Board from Robyn Pease in May about the Work-Life survey results.

U. Meeting Adjourned

Hearing no suggestions for additional matters, Dr. Brockman asked for a motion to adjourn and the meeting ended at 3:05 p.m.

Respectfully submitted,

A handwritten signature in cursive script that reads "Sandy Bugie Patterson".

Sandy Bugie Patterson
Secretary, Board of Trustees

(CR 1, PR 2, 3, 4, 5, 6 and 7; AACR 1, 2, and 3; FCR 1, and NCR 1 are official parts of the Minutes of the meeting.)

PATENT ASSIGNMENT
QUARTERLY FOR THE PERIOD THROUGH December 31, 2011

Patents

The following assignments on behalf of the Board of Trustees of the University of Kentucky Research Foundation have been executed:

1. **U.S. Patent Application Serial Number: 13/274,049**
Filed: October 14, 2011
Title: Compositions and Methods for Selectively Targeting Cancer Cells Using a Thiaminase Compound
Inventors: Jeffrey A. Moscow, Shuqian Liu (Pediatrics), and Younsoo Bae (Pharmaceutical Sciences)
Technical Description: A method, kit, and compositions useful for treating cancer by administering a thiaminase compound and a thiamine-dependent enzyme (TDE) inhibitor.
Summary: This invention describes variations of a thiaminase compound and a thiamine-dependent enzyme (TDE) inhibitor useful in the treatment of cancer and a kit containing both. The thiaminase compound can be a thiaminase enzyme alone, modified with a lipophilic moiety, encapsulated in a lipophilic carrier, or modified with a lipophilic moiety and encapsulated in a lipophilic carrier. The thiaminase compound can be administered subcutaneously, intramuscularly or intravenously and is administered prior to the administration of the TDE inhibitor. Use of the thiaminase compound and the TDE inhibitor produces a synergistic effect. Traditional treatments such as anti-cancer agents and/or radiation can be administered to patients along with this invention.

2. **PCT Application Serial Number: PCT/US10/36202**
Filed: November 22, 2011
Title: CCR3 and its Ligands are Therapeutic and Diagnostic Targets for Neovascular Age-Related Macular Degeneration
Inventor: Jayakrishna Ambati (Ophthalmology and Visual Science)
Technical Description: CCR3 activation is essential for *in vivo* angiogenesis in the most widely used preclinical mode of neovascular age-related macular degeneration.
Summary: Age-related macular degeneration (AMD) affects 30-50 million people globally. Most blindness in AMD results from invasion of the retina by choroidal neovascularization (CNV), and CNV is the cause of approximately 90 percent of severe vision loss. Treating CNV patients with vascular endothelial growth factor (VEGF)-A, a pro-angiogenic cytokine, results in substantial improvement only one-third of the time, and continual treatment poses safety concerns. Thus, treatment strategies based on more specific targeting of CNV are desirable, but no molecular marker for human CNV has been reported. This invention reveals a highly specific expression pattern of CCR3, a chemokine receptor also known as CD193, in human

choroidal endothelial cells (CECs) in neovascular AMD. This invention also determined the expression pattern of the CCR3 ligands eotaxin-1, -2, and -3 in surgically excised CNV tissue from patients with AMD. CNV was induced in a mouse model using laser injury, and a single intraocular administration of either CCR3 neutralizing antibodies or a small molecule CCR3 reception antagonist both suppressed laser injury-induced CNV in a dose-dependent fashion.

3. **U.S. Patent Application Serial Number: 13/290,752**

Filed: November 7, 2011

Title: Compounds and Methods for Reducing Oxidative Stress

Inventors: Thomas D. Dziubla, J. Zach Hilt, Dipti Biswal, David B. Cochran, and Paritosh P. Wattamwar (Chemical and Materials Engineering)

Technical Description: The invention relates to compounds and methods for reducing oxidative stress, which is a key mechanism in the pathogenesis of a multitude of diseases and disorders.

Summary: This technology includes compounds and methods for reducing oxidative stress, wherein biodegradable, antioxidant polymeric compounds are configured to degrade over a time period and provide sustained release of an antioxidant molecule. The antioxidant polymeric compound is comprised of multiple monomeric portions. Each monomeric portion includes an antioxidant molecule interposed between at least two acrylate molecules. One or more acrylate molecules in adjacent monomeric portions are linked by a diamine molecule.

Patent Activities
Fiscal year to date as of December 31, 2011

Number of Patent Applications	9
Number of Patents Issued	10
Patent Gross Revenue	\$591,540.39

CR 1

March 27, 2012

Members, Board of Trustees:

PROPOSED PROCESS FOR THE PRESIDENT'S EVALUATION

Recommendation: that the Board of Trustees receive, review, and approve the attached example outline process for the President's annual evaluation.

Background:

Pursuant to Section E. (Evaluation), of President Eli Capilouto's Employment Agreement with the University of Kentucky Board of Trustees, an annual performance evaluation shall be performed in accordance with what was at the time Governing Regulation, Part II.A.6(a) (Executive Committee). That Governing Regulation has since been amended to GR II. E.2(a).

The proposed outline of this evaluation process would replace the previous evaluation procedure. In addition to the University and Staff Senates and the Student Government Association, the proposed process also would include an identified number of individuals. Input from the various constituencies would be conducted by a Human Resources professional. The Chair of the Board of Trustees and the Executive Committee, in consultation with the President, will agree on a set of interview questions. The performance assessment document will contain both qualitative and quantitative components.

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

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

Action taken: Approved Disapproved Other _____

PR 1

Office of the President
March 27, 2012

1. Campus Community Reaches Out to Tornado Victims

University of Kentucky groups responded with an outpouring to concern and aid to Kentucky tornado victims in March. Several Greek organizations initiated donation drives or used their Spring Break to go to devastated areas and volunteer. Other groups such as the Robinson Scholars, Appalachian Center, Student National Pharmacy Association, UK Staff Senate and College of Agriculture Ambassadors held donation drives. Also, UK Student Services' Alternative Spring Break plans were altered to include disaster relief and the Center for Community Outreach made plans to provide relief as well.

2. UK Surgical Team Implants State's First Total Artificial Heart

UK surgeons Dr. Charles Hoopes and Dr. Mark Plunkett led a surgical team on February 10 in the state's first implantation of the SynCardia Total Artificial Heart as a bridge to transplant. UK is one of 29 medical centers in the country certified to perform this procedure. Zack Poe, 20, of Maysville, became the state's first patient to receive the device, which contains the same components as a real human heart. The surgery took about four hours and was extremely successful, with the patient up and walking within several days.

3. University Enters Master Alliance With Alltech

The University of Kentucky has entered into a "Master Alliance Agreement" with Alltech, one of the world's leading animal health and nutrition enterprises. The agreement contemplates three areas of collaboration: Proposals jointly sponsored and conducted by Alltech and UK scientists that will lead to research grants in a number of health and nutrition areas; collaborative contracts for targeted research and development; and student sponsorships targeted to support research focusing on Alltech products. Alltech officials estimate the agreement will help generate annual funding of research activities of \$2.5 million within the next year, growing to more than \$5 million annually by the end of the third year of the strengthened partnership.

4. DanceBlue Raises \$834,424 for Children with Cancer

The tornadoes on March 2 cut DanceBlue, UK's 24-hour dance marathon, down to a 12-hour event, but the spirit of the dancers and the generosity of the community could not be dampened. Just before 8 p.m., committee members revealed a grand fundraising total of \$834,424.57 to a huge crowd at Memorial Coliseum. All of the money raised at this annual no-sitting, no-sleeping dance marathon goes to the Golden Matrix Fund benefiting children with cancer and their

families at the UK Pediatric Oncology Clinic at Kentucky Children's Hospital and cancer research.

5. Awards Given for Community Service, Research and Graduate Education

The University of Kentucky's Founders Day, February 22, served as a day to recognize outstanding teaching and service at the university. Several awards were presented in a special ceremony at Worsham Theater in the Student Center. Winners of the Sullivan Medallion for community service are: graduating male, Joshua Nadzam; graduating female, Elizabeth Rebmann; and non-student Earl T. Ogata. The Kirwan Prize, awarded to a full-time faculty member for outstanding contributions to original research or (creative) scholarship went to John Anthony of the UK Department of Chemistry. The William B. Sturgill Award, presented to a graduate faculty member for outstanding contributions to graduate education, went to Philip Crowley, in the UK Department of Biology.

6. UK's Provost's Awards Presented at Founders Day Ceremony

The Provost's Awards for teaching and service were presented as part of the university's Founders Day Award Ceremony February 22, 2012. Provost's Public Scholar Award winner was Ellen Hahn, a professor in the colleges of Nursing and Public Health. Provost's Distinguished Service Professorships were presented to: Francie R. Chassen-Lopez, professor in the departments of History and Gender and Women's Studies in the College of Arts and Sciences; Mark Dignan, professor in the Department of Internal Medicine, College of Medicine; Laurie M. Lawrence, professor in the College of Agriculture's Department of Animal and Food Sciences; and Joseph Straley, physics professor in A&S's Department of Physics and Astronomy. Faculty recipients of the Provost's Awards for Outstanding Teaching are: Kimberly W. Anderson, professor in the Department of Chemical and Materials Engineering, College of Engineering; Irene Chico-Wyatt, senior lecturer in the Department of Hispanic Studies, College of Arts and Sciences; James F. Fox, associate professor in the Department of Civil Engineering, College of Engineering; Sue E. Nokes, chair of the Department of Biosystems and Agricultural Engineering, College of Agriculture; and William J. Silvia, professor in the Department of Animal and Food Sciences. Teaching assistant recipients of the outstanding teaching awards are: Mahan Ellison, Department of Hispanic Studies; Joshua T. Guerin, Department of Computer Science, College of Engineering; Pauline Stratman, Department of Chemistry, College of Arts and Sciences; and Nesa Wasarhaley, Department of Psychology, College of Arts and Sciences.

7. Admission's Facebook App Earns High Praise

UK Office of Undergraduate Admission's Facebook application is gaining attention and praise from social media experts. The folks at Merge Web Excellence recently highlighted the application as one of the best examples in higher education. The application merges UK's "see blue." campaign with fun, light-hearted hand drawn elements and information that a prospective student would need to learn more about UK. The application also has a video player to feature alumni stories.

8. UK Launches Outdoor Recycling Pilot Project

The University of Kentucky has launched an outdoor recycling pilot project, first proposed by Mabruk Quabili, a graduate student in the College of Public Health. Quabili worked with the Student Sustainability Council, UK's Physical Plant Division (PPD) and the University Architect to make this project possible. Nine single-stream recycling bins will be placed along high traffic walkways surrounding Patterson Plaza, The design allows all types of recyclable materials to be placed in the same bin.

9. UK Hospital is Lexington's First to Implement 'Kangaroo Care'

The University of Kentucky is the first hospital in Lexington to implement "Kangaroo Care" practices, a special training program based on the widely held belief that "skin-to-skin" contact between mothers and infants promotes breastfeeding and bonding. Named for its similarity to the manner in which certain marsupials carry their young, the program was initially developed to care for preterm infants in areas where incubators are either unavailable or unreliable.

10. Russell Cave Elementary and CAER: 10 Years Strong

Fayette County Schools recently covered the decade-old relationship between the Center for Applied Energy Research (CAER) and Russell Cave Elementary. The story highlights a recent CAER tour, in-classroom demos, and the annual Energy Fair. As part of the CAER tour, fourth-grade students saw demonstrations including metal melting and algae. The next collaboration will be a six-week long experiment in the school's science lab.

11. Tour of UK Power Plant Arranged by Energy Club

The UK Chapter of the Kentucky Energy Club toured one of the university's two coal-fired steam plants to show how the campus is heated. Some 60 participants took the tour, including students and the public. The Kentucky Kernel covered the event.

12. Nursing Videos Show Contributions of Researchers, Ph.D. Students

Recently developed videos for the College of Nursing's Ph.D. program describe examples of how nurse researchers and Ph.D. students contribute to the prevention of health problems and improvement of outcomes of people with existing health issues.

13. Dentistry Provides Free Dental Care to Kids in Need

The annual Give Kids A Smile event on February 18 provided free dental care to 51 underserved children, for a total of \$4,924 in unreimbursed care. A total of 14 faculty members, 3 residents, 54 student dentists, and 13 staff members worked hard to make this event possible. The college participated in the Brush Off! event at Booker T. Washington Academy on February 23. Dean Sharon Turner and Professor Sue Humphrey provided instruction on proper brushing techniques to 350 primary school children.

14. 'What's New in Science Series' Shares Discoveries with High School Teachers

The departments of Physics and Astronomy; Chemistry; Biology; and Psychology are hosting the "What's New in Science Series." This series is designed as an open, round-table forum in which UK professors discuss new scientific discoveries and developments with high school teachers. These events are filmed, and the teachers can then use the video in their classes.

15. A&S, Local Government Partner to Advance Open Data Practices

A&S plans to share resources with Lexington Fayette Urban County Government to open data practices in municipal government. Matt Wilson (Geography) is heading the UK effort to increase transparency in government and to make government data available.

16. Outreach Series Focuses on Topics Concerning African-American Men

The African American and Africana Studies Program is hosting a community outreach series called "Rebuilding the Block," which focuses on African-American men. In this series, different experts at UK will present various lectures corresponding with topics surrounding African-American men. The lectures take place at the Lyric Theater in East Lexington.

17. \$19.7 Million USAID Project Focuses on Higher Ed in Indonesia

UK is part of a team receiving a \$19.7 million contract from the U.S. Agency for International Development (USAID) for a five-year project to develop institutional capacity and independence in Indonesian higher education.

18. Opera Takes Home 'Outstanding Production' Award

UK Opera Theatre's Academy for Creative Excellence (ACE) took one of seven Outstanding Production Awards presented at the Junior Theater Festival held January 13-15, in Atlanta. CE student Patrick Garr received one of the festival's seven Outstanding Male Performer Awards. Patrick and ACE students Joshua Dhir, Carson Hardee, Mariah Mowbray and Elise Parker were chosen for final callbacks to perform on a MTI DVD for the Broadway Junior Collection. Emma Becker and Jackson Becker took home Broadway All-Stars honors as the outstanding female and male in the ACE cast performance of "Seussical JR." Callan Hogan was chosen to perform on the main stage for the Broadway JR. Slam program.

19. Special Collections Presents Rives Exhibition

Special Collections presented an exhibition of the Rives Collection, featuring first editions, early reprints, photographs and paintings of Hopkinsville author Hallie Erminie Rives (1876-1956). The free public exhibit was on display through March at Margaret I. King Library Building.

20. Libraries Presents Chinese Postcard Exhibition

UK Libraries is presenting an exhibition of postcards and artifacts from China in celebration of the Chinese New Year. The free public exhibit, which runs through the spring semester, is on display at Lucille C. Little Fine Arts Library and Learning Center, Medical Center Library and William T. Young Library.

21. Energy-Saving Houseboat Prototype Revealed

A ribbon cutting was held for the first or two prototypes from College of Design's Houseboat to Energy Efficient Residences (HBEER) initiative with local, state and federal dignitaries on January 27, in Monticello, Kentucky. A partnership between the college, Center for Applied Energy Research, Kentucky Highlands Investment Corporation and Kentucky Housing Corporation, the multi-year project has resulted in two low-cost, energy efficient houses constructed by houseboat manufacturer Stardust Cruisers. More than 80 percent of the labor and products originated in Kentucky.

22. Theatre Department's New Dance Minor Presents Inaugural Concert

Department of Theatre presented the inaugural concert of the new dance minor, "3Dimensions: Winter Concert of Dance." The show, which featured the work of choreographers Susie Thiel, Blake Pearson, Lyndy Franklin Smith and Jeromy Smith, was presented January 27-28, Guignol Theatre.

23. Appalachian Poetry and Music Featured at Event

Department of Art presented an evening of poetry and music at "StereoType: Unexpected Appalachian Stories," an event that hoped to combat preconceived notions of the region. The evening's featured Kentucky and regional poets included Theo Edmonds, Paulette Hansel, Hope Johnson, Dale Marie Prenatt, Eric Scott Sutherland and Frank X Walker January 28, at Tuska Center for Contemporary Art.

24. Art Museum Continues Photography Lectures

Art Museum at the UK continued presenting photography lectures as part of the 2011-2012 Robert C. May Lecture Series. The most recent lecture and exhibition featured award-winning photographer Amy Stein, known for depicting close encounters between humans and animals in suburbia.

25. Music Students' Works Selected Presented in Concert

Compositions by music sophomore Ben Norton and doctoral candidate Adam Sovkoplak were selected for workshops and a concert as part of the Lexington Philharmonic's New Music Experiment, a new initiative to foster musical creativity and innovation. Both works were presented in concert February 17, at the Singletary Center.

26. Libraries Launches Online Reference Service Platform

UK Libraries has launched LibAnswers, a new online reference service platform featuring a continuously-updated, fully searchable knowledge base of frequently asked questions covering everything from library policies and hours to tips for searching popular databases and finding library materials.

27. Sesquicentennial Committee Named

The sesquicentennial committee, being chaired by Mike Richey, vice president of development, and Deirdre Scaggs, associate dean of Special Collections at UK Libraries, has been named. Other members of the committee are: Dean Terry Birdwhistell (UK Libraries); Dean Tom Lester (College of Engineering); Tom Harris (University Relations); Stan Key (Alumni Association); Richard Greissman (Office of the Provost); John Herbst (Student Affairs); Kelley Bozeman (Public Relations and Marketing); Nancy Cox (College of Agriculture); Terry Mobley (Board of Trustees); Frank X Walker (College of Arts and Sciences); Holly Clark (Staff Senate); and agricultural biotechnology junior Claci Ayers.

28. Gaines Center Presents 'Vision into Action'

Gaines Center for the Humanities presented the 2012 Lafayette Seminar "Vision into Action," a free public seminar examining what it takes for a city to take a community vision and make it a reality, February 20-27, at Hyatt Regency Lexington. The seminar featured architect and urbanist Dhuru A. Thadani, urban retail planner Robert Gibbs and lawyer and consultant Daniel K. Slone.

29. 'Falstaff' Takes Stage at Lexington Opera House

UK Opera Theatre presented Giuseppe Verdi's "Falstaff" at the Lexington Opera House February 24-26. The production was double-cast with 17 award-winning vocalists from the Alltech Vocal Scholarship Competition and William E. Schmidt Youth Vocal Competition.

30. Art in Bloom Fundraiser Presented for 12th Year

Art Museum at UK presented its premier fundraiser, "Art in Bloom 2012," for its 12th year February 24-26. The three-day event featured floral installations by 50 designers inspired by art from the museum's permanent collection and the special exhibition "RICHARD BELL: Uz Vs. Them." This year's fundraiser was presented in honor of Isabel Yates, former vice mayor of Lexington and longtime supporter of the museum and celebrated the artwork of local painter and UK education alumna Mary Seymour Neely.

31. UK Bands Host Army Field Band, Soldiers' Chorus

UK Bands hosted a concert featuring the United States Army Field Band and Soldiers' Chorus, currently on national tour. The free public concert was presented February 29, at Singletary Center for the Arts.

32. Theatre Presents 'August: Osage County'

Department of Theatre continued its 2011-2012 season with Pulitzer prize winner "August: Osage County." The production, which featured students, faculty and alumni and was directed by UK alumnus Vic Chaney, ran February 23 to March 4, at Guignol Theatre.

33. Exhibition Challenges Views of Female Body

As part of National Eating Disorder Awareness Week, University Health Service and Tuska Center for Contemporary Art presented a free public exhibition that challenged views of the female body. "The Century Project," which ran February 27-March 2, featured a chronological series of nude photographic portraits of more than 80 women and girls from the moment of birth to nearly a hundred years of age by noted photographer Frank Cordelle.

34. Design Hosts Preservation Symposium

College of Design hosted its sixth annual historic preservation symposium, "New Voices, Current Needs," March 1 and 2, at Lexington History Museum. The symposium explored how preservation can address needs of underserved communities and help correct modern and historical injustices.

35. Undergraduate Admissions Reaches Out to Magnet Programs

The UK Office of Undergraduate Admission reached out to students at magnet programs across Fayette County by inviting these top high school juniors to experience the quality education they can take advantage of in their own community. Students from Tates Creek International Baccalaureate Diploma Programme, Henry Clay Liberal Arts Academy, Lafayette School for the Creative and Performing Arts, Dunbar Math, Science and Technology Center, and Bryan Station Spanish Immersion programs visited campus on five different dates throughout March. They heard from faculty and staff representing some of UK's top programs, took tours of campus, and were treated to lunch.

36. Engineers Day Draws Crowd of 2,000

Approximately 2,000 people attended the 2012 Engineers Day Open House on Saturday, February 25, 2012. Elementary, middle school and high school students, along with their families and friends were treated to exhibits, demonstrations of research and contests by academic departments, student organizations and corporate sponsors. Hosted by the UK College of Engineering, E-Day is the college's largest community outreach event.

37. Undergraduate Researchers Present Work to State Legislature

Fifteen undergraduate researchers from UK presented their research to the state legislature at the 2012 Posters-at-the-Capitol event January 26 at the state Capitol in Frankfort.

38. UK to Participate in 2013 Solar Decathlon

UK will participate in a team that will compete in the U.S. Department of Energy's 2013 Solar Decathlon. Led by the University of Louisville, the team, titled Kentuckiana, will represent a combined Kentucky-Indiana effort with Ball State University in Muncie, Ind., and UK. UK will advise the team in the project logistics, energy analysis, HVAC systems (heating, ventilation and air conditioning) and photovoltaic design systems.

39. UK Part of Multi-State NSF-Funded STEM Initiative

The National Science Foundation (NSF) has awarded the School of Education at Virginia Tech and the UK College of Education \$1.3 million to implement and evaluate an inquiry-based after school program for middle school students in rural Appalachia. The three-year project, titled "Studio STEM: Engaging Middle School Students in Networked Science and Engineering Projects," uses engineering design activities that integrate digital modeling, social media and game development tools to engage youth in investigating concepts and skills to integrate science, technology, engineering, and mathematics (STEM). Christine Schnittka (Education) is serving as principal investigator on the UK portion of the collaborative project.

40. Chinese Acts Highlighted

The Confucius Institute's Spring Gala brought authentic Chinese acts to the Singletary Center on February 26. The UK Confucius Institute was selected as one of the sites for this performance group, selected by the Confucius Institute headquarters in Beijing, to visit.

41. Faculty and Staff Achievements

Kimberly Anderson (Center of Membrane Sciences Faculty Associate; Chemical and Materials Engineering) received the Provost Award for Outstanding Teaching in February; she was awarded NSF renewal of Research Experience for Undergraduates (REU) on Engineered Bioactive Interfaces and Devices.

John Anthony (Chemistry) won the Elizabeth H. Kirwan Memorial Prize, awarded to a full-time faculty member for outstanding contributions to original research or (creative) scholarship.

Doug Boyd (UK Libraries) was named Digital Initiatives Editor for the Oral History Review and charged with "taking the lead in transforming the Review into a multimedia journal.

D. Allan Butterfield (Center of Membrane Sciences) has been appointed Director of Free Radical Biology in the Cancer Shared Resource Facility at the Markey Cancer Center.

Jody Clasey (Education) was honored as a 2011 Ambassador of Science Literacy.

Philip Crowley (Biology) won the William B. Sturgill Award, presented to a graduate faculty member for outstanding contributions to graduate education.

Janet Eldred, Michael Kovash and Carl Lee (Arts and Sciences) were named Chellgren Endowed Professors.

Robert Fehr (Engineering) received a grant for \$200,704 from the Kentucky Energy and Environment Cabinet for Kentucky Cooperative Extension Service Energy Efficiency Awareness and Action program.

Courtney Fisk (Center for Applied Energy Research) was featured in a recent *Minority Engineer* article "Corporate Profiles: Energy, Gas & Utilities," which described her work as project manager for construction of CAER's new laboratory building.

Craig Fowler (Dentistry) joined the Division of Oral and Maxillofacial Pathology in the Department of Oral Health Science.

Ellen Hahn (Nursing) received the 2012 Provost's Public Scholar Award.

Bruce Hinds (Engineering) and his team of researchers were featured in the top-tier journal "Nature Nanotechnology" for their discovery of ions that can pump fluids thousands of times faster through carbon nanotubes than through conventional materials.

Kevin Holm-Hudson's (Music) article "The Future is Now... and Then: Sonic Historiography in Post-1960s Rock" appears in the new anthology "Rock Music."

Gerald Janecek, (Russian and Eastern Studies), won the Outstanding Contribution to the Profession Award for 2011 from AATSEEL, the American Association of Teachers of Slavic and East European Languages.

Janice Kuperstein (Physical Therapy) completed her one-year term as the Kentucky State Board of Physical Therapy Examiners President on December 31 and continues to serve on the Board.

Chad Lee (Plant and Soil Sciences) received a \$70,000 United Soybean Board grant to study the agronomic maximization of soybean yield and quality.

Terry Lennie (Nursing) has been appointed as an associate editor for the Journal of Cardiac Failure. The journal is the official publication of the Heart Failure Society of America.

Sarah Lyon (Anthropology) was appointed editor of Journal of the American Anthropological Association.

Terry Malone (Physical Therapy) received the Lifetime Achievement in Education Award from the Sports Section of the American Physical Therapy Association.

David Mohney (Design) was elected to the College of Fellows of the American Institute of Architects.

Debra Moser (Nursing) received the 2012 Distinguished Researcher Award from the Southern Nursing Research Society.

Donald Mullineaux (Business) is the 2012 recipient of the Kenneth N. Robertson Faculty Leadership Research Award.

Brian Noehren (Physical Therapy) received the Research Award from the Sports Section of the American Physical Therapy Association; he also received a KL2 award associated with the Center for Clinical and Translational Science.

Sue Nokes (Biosystems and Agricultural Engineering) received the 2012 Provost's Award for Outstanding Teaching.

Anthony Ogden, (Education Abroad) was selected for a Fulbright to India.

Jeremy Popkin (History) was awarded a research fellowship from the National Humanities Center in North Carolina.

Ellen Riggle (Gender and Women's Studies and Political Science) published a book, "A Positive View of LGBTQ: Embracing Identity and Cultivating Well-Being."

Joseph Ross (Biosystems and Agricultural Engineering) is the 2012 recipient of the American society of Agricultural and Biological Engineers' Cyrus Hall McCormick-Jerome Increase Case Gold Medal.

Kevin Schuer (Physician Assistant) will be presenting at the national Association of American Medical Colleges (AAMC) meeting in Chicago, and at the IMPACT 2012 American Academy of Physician Assistants (AAPA) 40th Annual PA Conference, in Toronto, Canada.

Brad Schwarz (Physician Assistant) has been elected as the Director at Large to the Kentucky Association of Physician Assistants; he also been named as the Commander of the 123rd Air Guard CBRNE Enhanced Response Force Package.

Surendranath Suman (Animal and Food Sciences) received a \$421,000 four-year grant from the U.S. Department of Agriculture's National Institute of Food and Agriculture to draw up a proteome profile of economically important muscles in beef hindquarters.

Keiko Tanaka (Asia Center) and Srimati Basu (Gender and Women's Studies) traveled to India as part of a delegation formed by the Institute of International Education (IIE), to foster ties in higher education between India and the U.S.

Mary Beth Thomson (UK Libraries) has been selected as one of 15 top administrators of academic research libraries after international search for participation in 2012 UCLA Senior Fellows Program.

Mark Williams (Horticulture) is incorporating row covers into muskmelon integrated pest management with a farming systems approach through a \$76,000 grant from Iowa State University.

Craig Woods (Agriculture) was awarded \$394,000 from the University of Nebraska for "New Technologies for Agriculture Extension."

Tim Woods (Agricultural Economics) and Gregg Rentfrow (Animal and Food Sciences), along with Woodland Farms and UK Food Systems Innovation Center, received a U.S. Department of Agriculture Value-Added Producer Planning grant for \$137,000 for meat hook butcher shop planning.

Xuguo Zhou (Entomology) is developing a framework for assessing the risks of in planta RNAi on non-target arthropods through a National Institute of Food and Agriculture three-year grant of \$500,000.

42. Student Accomplishments

Michael Baker's (Music) paper of Felix Mendelssohn's songs was accepted to the 17th Biennial International Conference on 19th Century Music in Edinburgh, Scotland, this June, and his essay on signature transformations in Benjamin Britten's "Nocturne" will appear in the journal TEMPO anticipated in April 2013.

Jaime Hardy (Psychology) will present research on fibromyalgia in Athens, Greece, at the annual meeting of the American Psychosomatic Society.

Jason Hobert's (Music) paper on Elliott Carter has been accepted at the 2012 meeting of Music Theory Society of the Mid-Atlantic to be presented March 30-31, at the University of Delaware.

Rachel Malof (Nursing) presented her poster, "Perceived Barriers to Communication with Health Providers and Influences on Health Outcomes in Appalachian Communities" at Posters at the Capitol in Frankfort.

Matthew Massey, (Earth and Environmental Sciences), won Journal of Structural Geology's Student Author of the Year Award for 2011, an international award.

Viktoria Melnyk (Nursing) was awarded for presenting the Top Student Poster at the 2012 Southern Nursing Research Society conference.

Nicole Schladt (International Studies and Gender and Women's Studies) and Sarah Smith, (History) have been awarded two of six English-Speaking Union (ESU) Scholarships presented by the English-Speaking Union Kentucky Branch.

Adam Sovkoplas' (Music) composition "Sorrow" has been selected for performance at the College Music Society - South Central Chapter Regional Conference held March 1-3, at East Central University in Ada, Okla.

Ainsley Wagoner (Architecture) was chosen by the Gaines Center for the Humanities to present the 18th annual Edward T. Breathitt Undergraduate Lectureship in the Humanities January 26, at William T. Young Library.

PR 2

Office of the President
March 27, 2012

Members, Board of Trustees:

PERSONNEL ACTIONS

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

Background: The attached recommended appointments and/or other staff changes require approval by the Board of Trustees in accordance with Part VIII of the Governing Regulations of the university. These recommendations are transmitted to the Board by the appropriate provost/executive vice president through the president and have the president's concurrence.

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

Action taken: Approved Disapproved Other _____

PRESIDENT
AND
EXECUTIVE VICE PRESIDENT
FOR
FINANCE AND ADMINISTRATION

I. BOARD ACTION

A. RETIREMENT

Office of the President

Heller, Leonard E., Vice President Commercial & Economic Development, Office of the President, after 14 years and 6 months of total service, and 5 years and 3 months of consecutive service under AR 3.1 Section VIII.B, effective 3/1/12.

Vice President for Facilities Management

Howard, Rosalind R., Custodial Worker Supervisor I, Physical Plant Division, after 15 years of consecutive service under AR 3.1 Section VIII.B, effective 2/24/12.

Mackin, Mike O., Custodial Worker I, Auxiliary Services, after 6 years and 3 months of total service and 5 years, and 10 months of consecutive service under AR 3.1, Section VIII.B, effective 3/19/12.

Russell, James, Custodial Worker I, Physical Plant Division, after 37 years and 11 months of consecutive service under AR 3.1 Section VIII.B, effective 2/29/12.

B. EARLY RETIREMENTS

Assistant Vice President for Campus Services

Sayre, Elsworth R., Police Officer, UK Police Department, after 26 years and 5 months of consecutive service under AR 3.1 Section VIII.A, effective 1/25/12.

Vice President for Facilities Management

Neal, Christopher W., Roofing Supervisor, Campus Physical Plant Division, after 37 years and 2 months of consecutive service under AR 3.1 Section VIII.A, effective 3/27/12.

Owens, Flora, Custodial Worker III, Physical Plant Division, after 32 years and 7 months of consecutive service under AR 3.1 Section VII.A, effective 1/10/12.

II. ADMINISTRATIVE ACTION

A. APPOINTMENTS

CIO for Information Technology

Bradley, Marcus B., Enterprise Application Group Team Lead, Information Technology, effective 2/13/12.

Dillow, Jason T., Enterprise Application Group Team Member Level II, Information Technology, effective 2/13/12.

B. PROMOTIONS

Athletics Director

Adrianse, Andy, from Facilities Supervisor to Athletic Events Supervisor Senior, effective 3/1/12.

Bell, Sandra, from Athletics Director Associate Senior/Compliance, to Athletics Director Executive Associate, effective 3/1/12.

Chaffin, Jaynna, from Development Assistant IV to Athletics Director Associate Senior, effective 3/1/12.

Clark, Scott, Athletics Facility Director to Athletics Director Assistant, effective 3/1/12.

Eiserman, Kathrin, from Development Assistant II to Athletics Director Associate, effective 3/1/12.

Gleason, Melissa, from Accounting Manager II to Athletics Director Associate, effective 3/1/12.

Hardie, Katie, from Athletics Relations Coordinator I to Athletics Compliance Director, effective 3/1/12.

Hill, Marcus, from Special Assistant/Athletic Director to Athletics Director Executive Associate, effective 3/1/12.

McAtee, Heather, from Athletics Compliance Director to Athletics Director Assistant, effective 3/1/12.

Pear, Russell, from Athletics Director Associate to Athletics Director Associate Senior, effective 3/1/12.

Peevy, Alfred, from Athletics Director Associate Senior to Athletics Director Executive Associate, effective 3/1/12.

Perry, Alfred, from Athletics Director Assistant/Media Relations to Athletics Director Executive Associate, effective 3/1/12.

Saal, Kevin, from Athletics Director Assistant/Event Manager & Championships to Athletics Director Associate, effective 3/1/12.

Schlafer, Jason, from Athletics Director Assistant/Marketing to Athletics Director Associate Senior, effective 3/1/12.

Schwake, Nathan, from Athletic Relations Coordinator II to Athletics Director Assistant, effective 3/1/12.

PROVOST

I. BOARD ACTION

A. ACADEMIC APPOINTMENTS

Brooks, Sandra E., College of Public Health, Professor (voluntary), Health Behavior, 3/1/12 through 6/30/16.

Guo, Peixuan, College of Pharmacy, Professor (with tenure), Pharmaceutical Sciences, effective 1/1/12, and appointed to the William Stamps Farish Fund Chair in Cancer Research, 1/1/12 through 6/30/17.

Hersh, Joseph H., College of Medicine, Associate Professor (part-time), Pediatrics, 2/1/12 through 6/30/12.

Krohmer, Steven J., College of Medicine, Clinical Assistant Professor, Radiology, 4/1/12 through 6/30/12.

Ravinuthala, Ravi V., College of Medicine, Associate Professor (part-time), Internal Medicine, 2/15/12 through 6/30/12.

Shu, Dan, College of Pharmacy, Associate Research Professor, Pharmaceutical Sciences, 1/1/12 through 6/30/12.

Simon, Michael W., College of Medicine, Professor (voluntary), Pediatrics, 2/1/12 through 6/30/16.

B. ADMINISTRATIVE APPOINTMENTS

Anderson, Heidi M., College of Pharmacy, Professor (with tenure), Pharmacy Practice and Science, appointed Vice President for Institutional Research, Planning, and Effectiveness, effective 3/1/12.

Pearce, Kevin A., College of Medicine, Professor* (with tenure), Family and Community Medicine, and joint appointments as Professor* (without tenure), Preventive Medicine and Environmental Health, College of Public Health and Professor* (without tenure), Epidemiology, College of Public Health, appointed Chair, Family and Community Medicine, 3/1/12 through 2/28/18.

C. JOINT APPOINTMENTS

Chappell, Joseph, College of Agriculture, Professor (with tenure), Plant and Soil Sciences, joint appointment as Professor (without tenure), Molecular and Cellular Biochemistry, College of Medicine, 1/1/12 through 6/30/13.

Schatzki, Theodore, College of Arts and Sciences, Professor (with tenure), Philosophy, joint appointment as Professor (without tenure), Geography, effective 2/2/12.

D. REAPPOINTMENTS

- Cassidy, Ryan C., College of Medicine, Clinical Associate Professor, Orthopaedic Surgery, 7/1/12 through 6/30/13.
- Chen, Kuey C., College of Medicine, Associate Research Professor, Molecular and Biomedical Pharmacology, 7/1/12 through 6/30/13.
- Dhawan, Vikas, College of Medicine, Associate Professor* (without tenure), Orthopaedic Surgery, 7/1/12 through 6/30/13.
- Donovan, James M., College of Law, Associate Professor (without tenure), 7/1/11 through 6/30/13.
- Ireland, Mary L., College of Medicine, Clinical Associate Professor, Orthopaedic Surgery, 7/1/12 through 6/30/13.
- Iwinski, Henry J., College of Medicine, Clinical Professor, Orthopaedic Surgery, and joint appointment as Clinical Professor, Pediatrics, 7/1/12 through 6/30/13.
- Kamineni, Srinath, College of Medicine, Associate Professor* (without tenure), Orthopaedic Surgery, 7/1/12 through 6/30/13.
- Popkin, Jeremy, College of Arts and Sciences, Professor (with tenure), History, reappointed to the T. Marshall Hahn, Jr. Professorship, 7/1/12 through 6/30/17.
- Rymond, Brian, College of Arts and Sciences, Professor (with tenure), Biology, reappointed to the Jack and Linda Gill Professorship, 7/1/12 through 6/30/17.
- Schmitt, Frederick A., College of Medicine, Professor (with tenure), Neurology, and joint appointments as Professor (without tenure), Behavioral Science and Professor (without tenure), Psychiatry and Professor (without tenure), Psychology, College of Arts and Sciences, reappointed to the Werner F.S. Schmitt Professorship in Aging and Neurobehavior, 7/1/12 through 6/30/17.
- Scutchfield, Scott B., College of Medicine, Associate Professor (part-time), Orthopaedic Surgery, 7/1/12 through 6/30/13.
- Selby, Jeffrey B., College of Medicine, Clinical Associate Professor, Orthopaedic Surgery, 7/1/12 through 6/30/13.
- St. Clair, Daret K., College of Medicine, Professor (with tenure), Graduate Center for Toxicology, reappointed to the Endowed Chair in Neuroscience, 7/1/12 through 6/30/17.
- Stephan, Maria, College of Medicine, Clinical Associate Professor, Emergency Medicine, 7/1/12 through 6/30/13.
- Talwalkar, Vishwas R., College of Medicine, Clinical Associate Professor, Orthopaedic Surgery, and joint appointment as Clinical Associate Professor, Pediatrics, 7/1/12 through 6/30/13.
- Van Zant, Gary, College of Medicine, Professor (with tenure), Internal Medicine, and joint appointments as Professor (without tenure), Pathology and Laboratory Medicine and Professor (without tenure), Physiology, reappointed to the Lucille P. Markey Chair in Oncology Research, 7/1/12 through 6/30/17.
- Werner-Wilson, Ronald J., College of Agriculture, Professor (with tenure), Family Sciences, reappointed to the Kathryn Louise Chellgren Endowed Professorship for Research in Family Studies, 7/1/12 through 6/30/13.
- Young, William F., College of Medicine, Clinical Associate Professor, Emergency Medicine, 7/1/12 through 6/30/13.

E. CHANGES

- Herrin, David W., College of Engineering, from Associate Research Professor, Mechanical Engineering, to Associate Professor (without tenure), Mechanical Engineering, 1/1/12 through 12/31/13.
- White, Connie G., College of Public Health, from Professor (part-time), Health Services Management, to Professor (part-time), Health Behavior, 1/1/11 through 6/30/11.

F. TERMINAL REAPPOINTMENTS

- Salazar, Abraham J., College of Engineering, Associate Research Professor, Mechanical Engineering, 3/1/12 through 4/30/12.
- White, Connie G., College of Public Health, Professor, Health Behavior, 7/1/11 through 6/30/12.

G. RETIREMENTS

- Froelich, Suzanne M., College of Medicine, Regional Project Manager, Kentucky Community Care Program/Markey Cancer Center, after 17 years and 9 months of consecutive service, under AR 3:1, Section VIII.B, effective 5/1/12.
- Hanlin, Patia L., Research, Data Coordinator, Center for Applied Research, after 15 years and 1 month of consecutive service, under AR 3:1, Section VIII.B, effective 4/20/12.
- Hicks, Frank V., College of Agriculture, County Extension Agent, after 15 years and 9 months of consecutive service, under AR 3:1, Section VIII.B, effective 3/15/12.
- Kennedy, Kay A., College of Agriculture, County Extension Agent, Cooperative Extension Service, after 17 years and 4 months of consecutive service, under AR 3:1, Section VIII.B, effective 3/30/12.

H. EARLY RETIREMENTS

- Fisher, Steve B., College of Medicine, Advanced Practice Provider II, Neurosurgery, after 24 years and 10 months of consecutive service, under AR 3:1, Section VIII.A, effective 4/2/12.
- Gonzalez, Lori S., College of Health Sciences, Professor (with tenure), Rehabilitation Sciences, after 20 years and 7 months of consecutive service, under AR 3:1, Section VIII.A, effective 4/7/12.
- Perkins, Diane M., College of Agriculture, County Extension Agent, Cooperative Extension Service, after 22 years and 2 months of consecutive service, under AR 3:1, Section VIII.A, effective 5/3/12.
- Ryder, Rebecca J., Libraries, Librarian I (with tenure), after 19 years and 7 months of consecutive service, under AR 3:1, Section VIII.A, effective 5/2/12.

I. POST-RETIREMENT APPOINTMENTS

Clawson, D. K., College of Medicine, Professor (part-time), Orthopaedic Surgery, 7/1/12 through 6/30/13.

Lawson, James D., College of Agriculture, Senior Assistant Dean and Chief Business Officer (part-time), Agriculture Administration, 4/1/12 through 3/31/13.

Long, Joy, College of Agriculture, Administrative Staff Officer (part-time), Agriculture Administration, 7/1/12 through 6/30/13.

Stevens, David B., College of Medicine, Professor (part-time), Orthopaedic Surgery, 7/1/12 through 6/30/13.

Stilwell, William, College of Education, Professor (part-time), Educational, School, and Counseling Psychology, 7/1/12 through 6/30/13.

J. PHASED RETIREMENT APPOINTMENTS

Billings, Dwight, College of Arts and Sciences, Professor (with tenure), Sociology, 7/1/12 through 6/30/17.

Cooper, Patricia, College of Arts and Sciences, Associate Professor (with tenure), Gender and Women's Studies, 7/1/12 through 6/30/17.

Hougland, James, College of Arts and Sciences, Professor (with tenure), Sociology, 7/1/12 through 6/30/17.

Labunski, Richard E., College of Communications and Information Studies, Professor (with tenure), Journalism and Telecommunications, 8/1/12 through 7/31/17.

Lewis, John, College of Arts and Sciences, Professor (with tenure), Mathematics, 7/1/12 through 6/30/17.

Robinson, Schuyler W., College of Fine Arts, Professor* (with tenure), Music, 1/1/12 through 12/31/16.

II. ADMINISTRATIVE ACTION

A. ACADEMIC APPOINTMENTS

Clay, Marianna J., College of Law, Instructor (part-time), 8/1/11 through 6/30/12.

Crump, Kathy R., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 2/1/12 through 6/30/16.

Fiscella, Suzanne J., College of Health Sciences, Lecturer, Clinical Sciences, 3/1/12 through 6/30/12.

Fitzgerald, Jenrose, College of Arts and Sciences, Instructor (part-time), Dean's Office, 1/1/12 through 6/30/12.

Foley, Heather M., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 1/1/12 through 6/30/16.

Grijalva, Galo E., College of Medicine, Assistant Professor (part-time), Pediatrics, 3/1/12 through 6/30/12.

Hannemann, Jens, College of Engineering, Instructor (part-time), Computer Science, 1/1/12 through 6/30/12.

Hayes, Jonathan S., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 11/1/11 through 6/30/16.

Howard, Vylinda, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 1/1/12 through 6/30/16.

Kokocinski, Michael J., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 12/1/11 through 6/30/16.

Libert, Keith E., College of Medicine, Assistant Professor (voluntary), Anesthesiology, 2/1/12 through 6/30/16.

Marashdeh, Mohammad M., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 2/1/12 through 6/30/16.

McCaffrey, Paul C., College of Law, Instructor (part-time), 8/1/11 through 6/30/12.

McKinley, Samantha S., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 1/1/12 through 6/30/16.

Milam, John D., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 12/1/11 through 6/30/16.

Moosnick, Nora R., College of Arts and Sciences, Instructor (part-time), Dean's Office, 1/1/12 through 6/30/12.

Pinkston, Charity M., College of Health Sciences, Assistant Professor (voluntary), Rehabilitation Sciences, 2/1/12 through 6/30/16.

Podapati, N. R., College of Medicine, Instructor (voluntary), Family and Community Medicine, 3/1/12 through 6/30/16.

Roach, John M., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 9/1/11 through 6/30/16.

Thompson, Amy W., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 1/1/12 through 6/30/16.

Thompson, Thomas M., College of Dentistry, Assistant Professor (voluntary), Oral Health Science, 6/1/12 through 6/30/16.

Tingey, Brent, College of Dentistry, Instructor (voluntary), Oral Health Science, 2/1/12 through 6/30/16.

Valentin, Virginia L., College of Health Sciences, Assistant Professor*, Clinical Sciences, 4/1/12 through 6/30/12.

Weinberger, Gary A., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 2/1/12 through 6/30/16.

Woosley, Lynne M., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 11/1/11 through 6/30/16.

B. ADMINISTRATIVE APPOINTMENTS

Barber, Gina, College of Medicine, Advanced Practice Provider III, Pediatrics, effective 2/13/12.

Conley, Christina, College of Medicine, Advanced Practice Provider II, Pediatrics, effective 2/20/12.

Holsinger, James W., College of Public Health, Professor (with tenure), Preventive Medicine and Environmental Health, and joint appointments as Professor (without tenure), Anatomy and Neurobiology, College of Medicine and Professor (without tenure), Internal Medicine, College of Medicine and

- Professor (without tenure), Surgery, College of Medicine and Professor (without tenure), Health Services Management, appointed Interim Chair, Health Services Management, 2/1/12 through 12/31/12.
- Landfield, Philip W., College of Medicine, Professor (with tenure), Molecular and Biomedical Pharmacology, appointed Interim Chair, Molecular and Biomedical Pharmacology, 3/1/12 through 2/28/13.
- Secor, Anna, College of Arts and Sciences, Associate Professor (with tenure), Geography, appointed Interim Chair, Geography, 7/1/12 through 6/30/13.
- Weaver, Kelly, College of Medicine, Advanced Practice Provider II, Internal Medicine, effective 2/20/12.

C. JOINT APPOINTMENTS

- Diaz Guzman Zavala, Enrique, College of Medicine, Clinical Assistant Professor, Internal Medicine, joint appointment as Clinical Assistant Professor, Surgery, 3/1/12 through 6/30/12.
- Rebel, Annette, College of Medicine, Clinical Assistant Professor, Anesthesiology, joint appointment as Clinical Assistant Professor, Surgery, 3/1/12 through 6/30/12.
- Roach, John M., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, joint appointment as Assistant Professor (voluntary), Pediatrics, College of Medicine, 9/1/11 through 6/30/16.
- Rusu, Daniel M., College of Medicine, Clinical Assistant Professor, Anesthesiology, joint appointment as Clinical Assistant Professor, Surgery, 3/1/12 through 6/30/12.
- Timoney, Peter J., College of Medicine, Clinical Assistant Professor, Ophthalmology and Visual Sciences, joint appointment as Clinical Assistant Professor, Surgery, 3/1/12 through 6/30/12.

D. REAPPOINTMENTS

- Ault, Melinda, College of Education, Assistant Professor, Special Education and Rehabilitation Counseling, 7/1/12 through 6/30/13.
- Bathon, Justin M., College of Education, Assistant Professor, Educational Leadership Studies, 7/1/12 through 6/30/13.
- Colella, Joseph A., College of Arts and Sciences, Instructor, Aerospace Studies, 7/1/12 through 6/30/13.
- Desai, Sameer M., College of Medicine, Clinical Assistant Professor, Emergency Medicine, 7/1/12 through 6/30/13.
- Fedewa, Alicia L., College of Education, Assistant Professor, Educational, School, and Counseling Psychology, 7/1/12 through 6/30/13.
- Hinkson-Lee, Kimberley, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/12 through 6/30/12.
- Huang, Cai, College of Medicine, Assistant Professor, Molecular and Biomedical Pharmacology, 7/1/12 through 6/30/13.
- Ickes, Melinda J., College of Education, Assistant Professor, Kinesiology and Health Promotion, 7/1/12 through 6/30/13.

Jackson, Christa D., College of Education, Assistant Professor, STEM Education, 7/1/12 through 6/30/13.

Jagger, James A., College of Medicine, Clinical Assistant Professor, Orthopaedic Surgery, 7/1/12 through 6/30/13.

Knight, Victoria, College of Education, Assistant Professor, Special Education and Rehabilitation Counseling, 7/1/12 through 6/30/13.

Lewis, Nicole, College of Education, Assistant Professor, Educational Policy Studies and Evaluation, 7/1/12 through 6/30/13.

McLay, Carol M., College of Nursing, Instructor (part-time), 1/1/12 through 6/30/12.

Moghadamian, Eric S., College of Medicine, Clinical Assistant Professor, Orthopaedic Surgery, 7/1/12 through 6/30/13.

Perry, Kristen, College of Education, Assistant Professor, Curriculum and Instruction, 7/1/12 through 6/30/13.

Rains, Allison C., College of Medicine, Assistant Professor (part-time), Emergency Medicine, 7/1/12 through 6/30/13.

Richardson, Jayson W., College of Education, Assistant Professor, Educational Leadership Studies, 7/1/12 through 6/30/13.

Schnittka, Christine, College of Education, Assistant Professor, STEM Education, 7/1/12 through 6/30/13.

She, Qing-Bai, College of Medicine, Assistant Professor, Molecular and Biomedical Pharmacology, 7/1/12 through 6/30/13.

Spriggs, Amy, College of Education, Assistant Professor, Special Education and Rehabilitation Counseling, 7/1/12 through 6/30/13.

Stearley, Seth T., College of Medicine, Clinical Assistant Professor, Emergency Medicine, 7/1/12 through 6/30/13.

Toland, Michael D., College of Education, Assistant Professor, Educational, School, and Counseling Psychology, 7/1/12 through 6/30/13.

Wright, Raymond D., College of Medicine, Clinical Assistant Professor, Orthopaedic Surgery, 7/1/12 through 6/30/13.

Wu, Yadi, College of Medicine, Assistant Research Professor, Molecular and Biomedical Pharmacology, 7/1/12 through 6/30/13.

Xu, Ren, College of Medicine, Assistant Professor, Molecular and Biomedical Pharmacology, 7/1/12 through 6/30/13.

Yang, Xiuwei, College of Medicine, Assistant Professor, Molecular and Biomedical Pharmacology, 7/1/12 through 6/30/13.

E. CHANGES

Hardin, Kimberly M., from UK HealthCare, Nurse Clinical, Critical Care Services, to Advanced Practice Provider II, Internal Medicine, College of Medicine, effective 2/12/12.

Sizemore, Stephen, Libraries, from Administrative Staff Officer III, to Dean Assistant/Administration, effective 1/1/12.

F. LEAVES OF ABSENCE

- Arnold, Cecil B., College of Fine Arts, Professor (with tenure), Music, Sabbatical leave at full salary, 7/1/12 through 12/31/12.
- Badurdeen, F. Fazleena, College of Engineering, Associate Professor (with tenure), Mechanical Engineering, Sabbatical leave at full salary, 7/1/12 through 12/31/12.
- Campbell, James B., College of Fine Arts, Professor* (with tenure), Music, Sabbatical leave at full salary, 1/1/13 through 6/30/13.
- Capece, Vincent R., College of Engineering, Associate Professor* (with tenure), Mechanical Engineering, to rescind Leave without pay, 7/1/12 through 12/31/12.
- Elliott, David G., College of Fine Arts, Associate Professor* (with tenure), Music, Sabbatical leave at full salary, 7/1/12 through 12/31/12.
- Howard, Patricia B., College of Nursing, Professor (with tenure), Sabbatical leave at full salary, 2/1/13 through 7/31/13.
- Jensen, Robert W., College of Fine Arts, Associate Professor (with tenure), Art, Sabbatical leave at full salary, 1/1/13 through 6/30/13.
- Kimbrough, Andrew M., College of Fine Arts, Associate Professor (with tenure), Theatre, Sabbatical leave at full salary, 7/1/12 through 12/31/12.
- McCorvey, Everett D., College of Fine Arts, Professor* (with tenure), Music, Sabbatical leave at full salary, 1/1/13 through 6/30/13.
- Patterson, Ebony G., College of Fine Arts, Assistant Professor, Art, Scholarly fellowship leave, 1/19/12 through 3/18/12.
- Roberts, Kenneth B., College of Pharmacy, Professor (with tenure), Pharmacy Practice and Science, Leave at full salary, 7/1/12 through 6/30/13.
- Scroggins, Robert L., College of Fine Arts, Associate Professor (with tenure), Art, Sabbatical leave at full salary, 7/1/12 through 12/31/12.
- Smith, Donna R., College of Agriculture, Associate Professor* (with tenure), Family Sciences, Sabbatical leave at full salary, 8/15/12 through 12/30/12.
- Visona, Monica B., College of Fine Arts, Associate Professor (with tenure), Art, Sabbatical leave at full salary, 7/1/12 through 12/31/12.
- Wang, Cecilia H., College of Fine Arts, Professor (with tenure), Music, Sabbatical leave at half salary, 7/1/12 through 6/30/13.

G. RESIGNATIONS

- Arsenescu, Violeta, College of Medicine, Assistant Professor*, Graduate Center for Nutritional Sciences, effective 3/30/12.
- Conigliaro, Rosemarie L., College of Medicine, Clinical Professor, Internal Medicine, effective 6/15/12.
- Crozier, Gordon J., College of Medicine, Clinical Assistant Professor, Obstetrics and Gynecology, effective 7/31/12.
- Drake, Angela R., College of Medicine, Clinical Assistant Professor, Anesthesiology, effective 4/6/12.

Eckhardt, Erik, College of Medicine, Assistant Professor, Internal Medicine, and joint appointment as Assistant Professor, Microbiology, Immunology and Molecular Genetics, effective 6/30/12.

Everson, William V., College of Medicine, Associate Research Professor, Pediatrics, and joint appointment as Associate Research Professor, Physiology, effective 6/30/12.

Farzam, Farjam, College of Medicine, Clinical Assistant Professor, Neurology, and joint appointment as Assistant Professor, Pediatrics, effective 6/15/12.

Ge, Tingjian, College of Engineering, Assistant Professor, Computer Science, effective 1/20/12.

Harris, Torrie T., College of Public Health, Clinical Assistant Professor, Health Services Management, effective 3/30/12.

Jahanshahi, Feerozeh, College of Medicine, Clinical Assistant Professor, Internal Medicine, effective 5/31/12.

Kakaji, Hazem, College of Medicine, Clinical Assistant Professor, Internal Medicine, effective 6/30/12.

Misdary, John S., College of Medicine, Clinical Assistant Professor, Emergency Medicine, and joint appointment as Clinical Assistant Professor, Pediatrics, effective 4/30/12.

Newman, Ronald L., College of Medicine, Clinical Assistant Professor, Anesthesiology, and joint appointments as Clinical Assistant Professor, Physical Medicine and Rehabilitation Sciences, and Clinical Assistant Professor, Rehabilitation Sciences, College of Health Sciences, effective 2/17/13.

O'Keeffe, Shane D., College of Medicine, Assistant Professor*, Surgery, effective 5/11/12.

Petrea, Rodica E., College of Medicine, Clinical Assistant Professor, Neurology, effective 7/20/12.

EXECUTIVE VICE PRESIDENT FOR HEALTH AFFAIRS

I. BOARD ACTION

A. ADMINISTRATIVE APPOINTMENTS

Lang, Angela, Customer Service Director/ UKHC, Office of Service Excellence, effective 12/27/11

Howes, Christopher, Citrix Engineering Technology Manager/ UKHC, EVPHA Information Technology, effective 01/30/12

Henson, David, Decision Support Database Administrator/UKHC, EVPHA Finance, effective 01/17/12

B. CHANGES

Edwards, Earnest, from Programs System Lead/ UKHC, EVPHA Information Technology to Windows Server Engineering Technical Manager/ UKHC, EVPHA Information Technology, effective 02/12/12

Adkisson, Bill, from Physician Assistant Surgical Senior/ UKHC, Orthopaedic Surgery to Advanced Practice Provider III/UKHC, Orthopaedic Surgery, effective 02/12/12

Hurbert, Melissa, from Physician Assistant Surgical/ UKHC, Orthopaedic Surgery to Advance Practice Provider II/ UKHC, Orthopaedic Surgery, effective 02/12/12

Mercer, Rebecca, from Physician Assistant Surgical/ UKHC, Orthopaedic Surgery to Advance Practice Provider II/ UKHC, Orthopaedic Surgery, effective 02/12/12

Raisley, Jennifer, from Physician Assistant Surgical/ UKHC, Orthopaedic Surgery to Advance Practice Provider II/ UKHC, Orthopaedic Surgery, effective 02/12/12

C. RETIREMENTS

Jelf, Jr., Edward P. Programmer Systems Sr., after 39 years and 5 months of consecutive service , under AR 3:1 Section VIII.A., effective 01/31/12

Wilson, Gerry, Respiratory Therapist, after 25 years and 4 months of consecutive service, under AR 3:1 Section VIII.A., effective 05/04/12

Collins, Estelle, Nuclear Medical Technologist, after 4 years and 8 months of consecutive service, under AR 3:1 Section VIII.A., effective 03/03/12

II. ADMINISTRATIVE ACTION

A. ADMINISTRATIVE APPOINTMENTS

Cheung, Robyn, Clinical Nurse researcher/ UKHC, Nursing Practice, effective 10/10/11
Smith, Jimmy, Endoscopy Patient Care Manager/ UKHC, Endoscopy, effective 08/29/2011
Cone, Marilyn, Application Analyst II/UKHC, EVPHA Information Technology, effective 02/13/12
Moskalev, Irina, Clinical Programmer Analyst III/UKHC, EVPHA Information Technology, effective 02/06/12

B. CHANGES

Kirchbaum, Kristen, from Registered Nurse/UKHC, PACU to Nurse Practitioner/ UKHC, Hospital Pre-op Anesthesia Clinic, effective 02/12/12
Butcher, Lisa, from Patient Care manger Assistant/ UKHC, Pediatric Administration to Patient Care Manager/ UKHC, Kentucky Children's Hospital, effective 09/11/11
Taylor, Anita, from Nurse Coordinator Clinical/ UKHC, OB Administration to Patient Care Manager/ UKHC, OB Administration, effective 11/06/11
Noriega, Carol, from Clinical Nurse Specialist/ UKHC, Nursing Administration to Staff Development Specialist/ UKHC, Nursing Practice Improvement, effective 11/20/11
Kellenbarger, Tricia, from Faculty Instructor,/ UK College of Nursing, Nursing Instruction to Staff Development Specialist/UKHC, Nursing Practice Improvement, effective 11/07/12
Gray, Susan, from Nurse Coordinator Clinical/ UKHC, Hospital Operating Room Administration to Staff Development Specialist/ UKHC, Nursing Practice Improvement, effective 11/06/11
Hutchins, Jessica from Nurse Coordinator Clinical/UKHC, Pediatric Administration to Patient Care Manager Assistant/UKHC, Pediatric Administration, effective 01/01/12
Brown, Sophia W., from Patient Care Manager/UKHC, Administration to Patient Care Manager/UKHC, Markey Chemo Infusion, effective 02/12/2012
Young, Raymond, from Nurse Clinical/UKHC, Perioperative Services to Patient Care Manager/ UKHC, OR Administration, effective 11/20/12
Branson, Pamela, from Clinical Nurse Specialist/ UKHC, Nursing Administration to Nursing Operations Administrator/ UKHC, Nursing Administration, effective 11/06/11
Trivette, Mary, from Nurse Clinical/ UKHC, 7Main to Patient Care Manger/UKHC, Markey Cancer Center, MCC Administration, effective 02/12/12

Boyle, Eulene, from Staff Development Instructor/ UKHC, Nursing Practice Improvement to Staff Development Instructor/UKHC, Nursing Practice Improvement, effective 10/09/11

Murray, Linda, from Staff Development Instructor/ UKHC, ED Administration to Staff Development Instructor/UKHC, Hospital ED Administration, effective 10/09/11

Osman, Laura, from Staff Development Instructor/ UKHC, Division Nursing Practice Improvement to Staff Development Instructor/UKHC, Nursing Practice Improvement, effective 10/09/11

Watts, Linda, from Staff Development Instructor/ UKHC, Nursing Practice Improvement to Staff Development Instructor/UKHC, Nursing Practice Improvement, effective 10/09/11

Bradley, Heather, from Staff Development Specialist/UKHC, Nursing Practice Improvement to Staff Development Specialist/UKHC, Nursing Practice Improvement, effective 11/20/11

Chase, Teresa, from Staff Development Specialist/ UKHC, Nursing Practice Improvement to Staff Development Specialist/UKHC, Nursing Practice Improvement, effective 11/20/11

Cisney, Kathy, from Staff Development Specialist/UKHC, Nursing Practice Improvement to Staff Development Specialist/UKHC, Nursing Practice Improvement, effective 11/20/2011

Hiler, Rhonda, from Staff Development Specialist/UKHC, Nursing Practice Improvement to Staff Development Specialist/ UKHC, Nursing Practice Improvement, effective 11/20/11

Holtzclaw, Linda, from Staff Development Specialist/ UKHC, Nursing Practice Improvement to Staff Development Specialist/UKHC, Nursing Practice Improvement, effective 11/20/11

Kijek, Elizabeth, from Staff Development Specialist/ UKHC, Nursing Practice Improvement to Staff Development Specialist/UKHC, Nursing Practice Improvement, effective 11/20/11

Murphy, Shannon, from Staff Development Specialist/ UKHC, Nursing Practice Improvement to Staff Development Specialist/UKHC, Nursing Practice Improvement, effective 11/20/11

Thornton, Dana, from Practice Manger III/UKHC, Peds, Cardiology to Practice Manger III/UKHC, Peds, Cardiology, effective 01/29/12

PR 3

Office of the President
March 27, 2012

Members, Board of Trustees:

APPOINTMENT OF THE EXECUTIVE DIRECTOR OF THE
UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION

Recommendation: that the approval be given to the appointment of Dr. James W. Tracy as Executive Director of the University of Kentucky Research Foundation (UKRF), effective March 27, 2012.

Background: In accordance with the Bylaws, the Executive Director of the University of Kentucky Research Foundation is appointed by the Board of Trustees upon the recommendation of the President of the University.

Action taken: Approved Disapproved Other _____

PR 4

Office of the President
March 27, 2012

Members, Board of Trustees:

HONORARY DEGREE RECIPIENTS

Recommendation: that the Board of Trustees approve awarding the degree of Honorary Doctor of Engineering to Vijay K. Dhir and Honorary Doctor of Science to Sally Mason as approved and recommended by the University Faculty.

Background: Pursuant to the Conditions of Merit for Honorary Degrees, the University Joint Committee on Honorary Degrees has recommended to the elected Faculty Senators that the specified honorary degree be awarded to Vijay K. Dhir and Sally Mason. The elected Faculty Senators have approved the recommendation.

Biographical sketches of the recipients are attached.

Action taken: Approved Disapproved Other _____

Vijay K. Dhir
Recommended for Honorary Doctor of Engineering
May 6, 2011 Commencement

Vijay K. Dhir, professor of mechanical and aerospace engineering, was named Dean of UCLA's Henry Samueli School of Engineering and Applied Science in March 2003.

Born in India, Dr. Dhir received his Bachelor of Science degree from Punjab Engineering College in Chandigarh, India, in 1965 and his Master of Technology degree from the Indian Institute of Technology in Kanpur, India, in 1968. He came to the United States in 1969 to continue his studies in mechanical engineering, receiving his Ph.D. from the University of Kentucky in 1972. Dr. Dhir joined the faculty at UCLA in 1974. In the late 1960s he worked for a short period in industry as an engineer, and for the past 35 years he has been a consultant for numerous organizations, including GE Corp., Rockwell International, Hughes Aircraft, the Nuclear Regulatory Commission, and the Los Alamos and Brookhaven National Labs.

Dr. Dhir served as vice chair of the UCLA Department of Mechanical and Aerospace Engineering from 1988 to 1991, and was chair of that department from 1994 to 2000. From July 2001 to February 2002, he served as the school's associate dean for academic and faculty issues and as Interim Dean from February 2002 to March 2003. He has worked to make UCLA Engineering a hub for interdisciplinary research. In recent years, the School has won seven competitive research centers from the federal government and private industry that will bring more than \$150 million dollars to Southern California to spur research and development on emerging technologies. In 2006, he was elected to the National Academy of Engineering – among the highest honors awarded to engineers – for his work in boiling heat transfer and nuclear reactor thermal hydraulics and safety.

In 2004, Dr. Dhir received the 2004 Max Jakob Memorial Award, the first person from UCLA to receive the award since L. M. K. Boelter, the founding dean of the School. He is a fellow of ASME and the American Nuclear Society. In 2004, he was selected as an inductee into the University of Kentucky's Engineering Hall of Distinction. He has also received the American Society of Mechanical Engineers (ASME) Heat Transfer Memorial Award in the Science category and the Donald Q. Kern award from the American Institute of Chemical Engineers. He is recipient of the Technical Achievement Award of the Thermal Hydraulics Division of the American Nuclear Society. In 2008, he received the Thurston Lecture Award of ASME. Dr. Dhir has been the senior technical editor for the American Society of Mechanical Engineers' Journal of Heat Transfer since 2000. Prior to being named senior technical editor, he also served as the Journal's associate editor. He is also a former assistant editor of Applied Mechanics Review. He is on the advisory boards of several other journals.

He also leads the boiling heat transfer lab, which has conducted pioneering work in fundamental and applied sciences involving boiling, an efficient process of heat removal. Currently the lab is involved in the study of flow boiling, micro-gravity boiling, and nuclear

reactor thermal hydraulics. Since 1999 a team of researchers led by Dr. Dhir has been taking part in a NASA research program to examine the effects of boiling in space. He has also partnered with UCLA electrical engineering professor Elliott Brown on an innovative method of removing high heat fluxes from power amplifier chips. Thirty PhD students and forty MS students have graduated under Dr. Dhir's supervision. He is also author or co-author of more than 300 papers published in archival journals and proceedings of conferences.

Sally Mason
Recommended for Honorary Doctor of Science
May 6, 2012 Commencement

Sally Mason became the 20th President of The University of Iowa on August 1, 2007. She holds a full professorship with tenure in the Department of Biology in the College of Liberal Arts and Sciences.

The daughter of an immigrant family and the first child to attend college, President Mason received her B.A. in zoology from The University of Kentucky in 1972, her M.S. from Purdue University in 1974, and her Ph.D. in cellular, molecular, and developmental biology from The University of Arizona in 1978. She subsequently spent two years at Indiana University in Bloomington doing postdoctoral research before joining The University of Kansas in 1981. A strong advocate of undergraduate education, she received awards for outstanding undergraduate advising and teaching, and she was awarded a prestigious Kemper Teaching Fellowship. During her 21 years at Kansas, President Mason served as a full professor in the Department of Molecular Biosciences, Acting Chair of the Department of Physiology and Cell Biology, and Associate Dean in the College of Liberal Arts and Sciences. In 1995, she was appointed Dean of the College of Liberal Arts and Sciences, the largest academic unit on the University of Kansas campus. President Mason served as Provost of Purdue University from 2001-2007, where she was responsible for planning, managing, and reviewing all academic programs at Purdue's West Lafayette campus and four affiliated branch campuses throughout Indiana.

At Iowa, President Mason began a sustainable university initiative, making sustainability a central priority of all aspects of the University enterprise—its operations, its academic mission, and its greater responsibilities to society. An unexpected priority for President Mason was the historic flooding of the UI campus and the greater community in 2008, and her leadership helped bring the campus community together to preserve as much of the University's resources as possible and rebuild essential facilities in time to open the campus for a full complement of fall semester courses. Currently, she is overseeing campus rebuilding, especially the renewal of an arts campus for the 21st century. Under President Mason's leadership, the UI has successfully weathered major budget cuts during the country's recent economic crisis through careful planning, strategic prioritization, and increased efficiency. This was accomplished while maintaining top priorities of protecting the University's people, maintaining an affordable and accessible education while enhancing core teaching excellence, and providing critical base support for the University's growing research and clinical enterprises. Other major initiatives during President Mason's tenure have been a student success initiative, which has already seen results in both increased enrollment and student retention, and a marked expansion of partnership agreements with Iowa's community colleges that offer UI degrees to place-bound students throughout the state through on-site and distance learning programs.

President Mason is the author of many scientific papers and has obtained a number of research grants from the National Science Foundation, the National Institutes of Health, the Wesley Research Foundation, and the Lilly Endowment. Her research interests have focused on the developmental biology, genetics, and biochemistry of pigment cells and pigments in the skin of vertebrates, and she served as President of the PanAmerican Society for Pigment Cell Research. Since 2006, President Mason has been appointed by the President of the United States to three terms on the National Medal of Science Selection Committee, which she currently chairs. She has also served as Chair of the Advisory Committee to the National Science Foundation (NSF) Directorate for Education and Human Resources (EHR) and Chair of the American Association for the Advancement of Science (AAAS) review panel of the NSF Science and Technology Centers Program.

As Chair of the Council of Presidents, President Mason is a member of the Board of Directors Executive Committee of the Association of Public and Land-grant Universities (APLU), formerly the National Association of State Universities and Land-Grant Colleges (NASULGC). She currently also serves as a member of the Board of Directors of the American Council on Education (ACE), and as Chair of the Iowa Coordinating Council for Post-High School Education (ICCPHSE). President Mason also served as President of the Council of Colleges of Arts and Sciences, as a member of the Executive Committee of the Committee on Institutional Cooperation (CIC), and she has been a member of The Washington Center Council of Presidents since 2007.

In 2008-2009, President Mason co-chaired the Task Force on National Energy Policy and Midwestern Competitiveness of the Chicago Council on Global Affairs. Its report, *Embracing the Future: The Midwest and a New National Energy Policy*, was published in June 2009 and had an immediate impact on the national debate over how climate change legislation will impact Midwestern economic competitiveness. In 2009, President Mason became a member of the Board of Trustees of the Herbert Hoover Presidential Library Association, and in 2010 was appointed to the National Transportation Policy Task Force.

PR 5

Office of the President
March 27, 2012

Members, Board of Trustees:

UNIVERSITY RESEARCH PROFESSORSHIPS

Recommendation: that the Board of Trustees approve the naming of Professors Douglas A. Andres, Molecular and Cellular Biochemistry, Mark B. Dignan, Internal Medicine, Mark T. Fillmore, Psychology and Christopher A. Pool, Anthropology as University Research Professors for 2012-13.

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

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

Action taken: Approved Disapproved Other _____

PR 6

Office of the President
March 27, 2012

Members, Board of Trustees:

PROPOSED REVISIONS TO THE GOVERNING REGULATIONS

Recommendation: that the Board of Trustees approve the attached amendments to the Governing Regulations of the University, which were received for preliminary consideration as PR 4 on February 21, 2012 . The proposed revisions consist of updates and housekeeping changes that are necessary to ensure compliance with the Southern Association of Colleges and Schools (SACS) accreditation standards. The proposed revisions also reflect recommendations from the Academic Affairs Committee since the first reading.

Background: The last complete review of the Governing Regulations occurred in 2005, to accommodate the reorganization of the university from the Chancellor Model to a Provost Model and to address statutory changes in the relationship between UK and Lexington Community College. Since 2005, some Governing Regulations have received isolated revisions on specific topics and others have not received any revisions.

In order to prepare for the University's upcoming SACS accreditation review, several Governing Regulations require revisions to ensure compliance with the SACS principles of accreditation. The following Governing Regulations require revision: GR I, GR III, GR IV, GR VII, GR VIII, GR IX, GR XII, and GR XIII. At the February 21, 2012 Board of Trustees Meeting, some concern was expressed regarding the proposed changes to GR I. Specifically there was concern that changes to the University's "Values" statement per the 2009-2014 Strategic Plan had not been appropriately vetted during the Strategic Plan development process. Chair Brockman asked the Academic Affairs Committee to review the matter. All appropriate campus constituencies have reviewed and approved changes to the University's "Values" statement proposed since the February 21, 2012 Board of Trustees meeting. In addition the Academic Affairs Committee recommends a revision to section C of GR IV, related to the review of Academic Programs. This revision has the full support of the University Senate.

The revisions to the "Values" statement and all other Governing Regulations are supported by the University Senate, Staff Senate, and Student Government Association. The Provost and President of the University support these revisions.

Revised copies of the "Values" statement and all other Governing Regulations are attached. Proposed additions are underlined; proposed deletions are lined through.

Action taken: Approved Disapproved Other _____



The University of Kentucky (Definition)

Major Topics

- A. [Statutory Definition](#)
- B. [University Programs and Requirements](#)
- C. [Vision, Mission and Values](#)
- D. [Ethical Principles and Code of Conduct](#)
 - 1. [Ethical Principles](#)
 - 2. [Code of Conduct](#)
 - (a) [Nondiscrimination Policy](#)
 - (b) [Confidentiality of Information](#)
 - (c) [Use of the University's Name](#)
 - (d) [Civic Responsibility of the Individual](#)
 - (e) [University Resources](#)
 - (f) [Sexual Harassment](#)
 - (g) [Personal Relationships](#)
 - (h) [Employment of Relatives](#)
 - (i) [Intellectual Property](#)
 - (j) [Conflict of Commitment](#)
 - (k) [Conflict of Interest](#)
 - (l) [Auditing Services](#)
 - (m) [Financial Advantage](#)
 - (n) [Financial Responsibility](#)
 - (o) [Acceptance of Gifts or Benefits](#)
 - (p) [Clarifications and Reporting Violations](#)
- E. [Diversity](#)
- F. [Shared Governance](#)
- G. [Order of Communication and Reports](#)

- H. [Use of University Facilities](#)
- I. [Political Activity](#)
- J. [Tobacco Policy](#)
- K. [Solicitation of Funds](#)
- L. [Campus Sales](#)

A. Statutory Definition

1. The term University of Kentucky refers to the institution described in the Kentucky Revised Statutes (KRS) in Chapter 164. KRS 164.100 states that the University of Kentucky is hereby recognized as established and maintained. The legislation states that the University of Kentucky is the institution that was founded under the land grant of 1862 by the United States Congress under the corporate designation and title of “Agricultural and Mechanical College of Kentucky.” Further, KRS 164.100 provides that the University shall be maintained by the state with such endowment, incomes, buildings, and equipment as will enable it to do work such as is done in other institutions of corresponding rank, both undergraduate and postgraduate, while embracing instruction as well as research.
2. Legislation in KRS 164.120¹ states that that the colleges, schools, divisions, department, bureaus and offices that are now established and maintained or that in the future may be established by the Board of Trustees shall constitute the University of Kentucky. The legislation also notes that the branches of learning required by the Land Grant Act of Congress approved July 2, 1862, shall be integral and indispensable courses of instruction at the University.
3. Through KRS 164.125, the legislation provides that the University of Kentucky shall be the principal state institution for the conduct of statewide research and statewide service programs and shall be the primary institution authorized to expend State General Fund appropriations on research and service programs of a statewide nature financed principally by state funds. Further, this legislation states that (a) the University’s research and service programs of a statewide nature, as noted in KRS 164.125, shall be programs requiring the establishment and operation of facilities or centers outside of the primary service area of the institution; (b) in carrying out its statewide mission, the University of Kentucky shall conduct statewide research and provide statewide services including, but not limited to, agricultural research and

¹ The dates of establishment of the colleges listed in the statute are: *Arts and Sciences* (1908); *Agriculture* (1908); *Law* (1908); *Education* (1925); *Graduate* (1912); *Engineering* (1918, as the merger of the College of Civil Engineering, the College of Mechanical Engineering, and the College of Mines and Metals); and Commerce (1925, renamed the College of Business and Economics February 18, 1966; renamed the *Gatton College of Business and Economics*, 1996). In accordance with this statute, the following colleges have been subsequently established by the Board of Trustees: *Pharmacy* (July 1, 1947); *Medicine* (June 1, 1954); *Dentistry* (May 28, 1956); *Nursing* (May 28, 1956); Architecture (separated from Engineering as a School July 1, 1964; raised to a college May 5, 1970; renamed *Design*, October 29, 2002); Allied Health Personnel (as a ~~separate~~ school January 1, 1966); ~~renamed *Allied Health Professions* (January 20, 1967)~~, raised to a college, May 5, 1970, ~~renamed *Allied Health Professions*, January 20, 1967~~; renamed *Health Sciences*, April 30, 2002); *Public Health* (May 4, 2004); Home Economics (separated from the College of Agriculture, 1916; merged back into College of Agriculture, 1917; separated from Agriculture as a school July 1, 1967; raised to a college May 5, 1970; renamed Human Environmental Sciences, January 22, 1991; merged into the College of Agriculture July 1, 2003 as ~~the~~ *School of Human Environmental Sciences*); Library Science (separated from Arts and Sciences as a school April 2, 1968; raised to a college May 5, 1970; renamed Library and Information Science, April 6, 1982; merged with Communications and renamed *Communications and Information Studies*, June 22, 1993); Social Professions (separated from Arts and Sciences as a school June 24, 1968; raised to a college May 5, 1970; renamed *Social Work*, May 6, 1980); Communications (May 4, 1976; renamed *Communications and Information Studies*, June 22, 1993); and *Fine Arts* (separated from Arts and Sciences May 4, 1976).

extension services, industrial and scientific research, industrial technology extension services to Kentucky employers, and research related to the doctoral, professional, and post-doctoral programs offered within the University; (c) the University may establish and operate centers and utilize state appropriations and other resources to carry out the necessary research and service activities throughout the state; and (d) the University may enter into joint research and service activities with other universities in order to accomplish its statewide mission. The legislation specifically notes that nothing contained in KRS 164.125(2) shall limit the authority of the Council on Postsecondary Education to establish instructional programs that are consistent with the strategic agenda.

B. University Programs and Requirements

1. The University of Kentucky shall provide:
 - (a) Upon approval of the Council on Postsecondary Education, baccalaureate programs of instruction;
 - (b) Upon approval of the Council on Postsecondary Education, master degree programs, specialist degree programs above the master's degree level, and joint doctoral programs in cooperation with other public postsecondary educational institutions in the state;
 - (c) Upon approval of the Council on Postsecondary Education, doctoral and post-doctoral programs and professional instruction including law, medicine, dentistry, education, architecture, engineering and social professions. (KRS 164.125)
2. The Board of Trustees is an independent agency and an instrumentality of the Commonwealth of Kentucky with exclusive jurisdiction, power over and control of appointments and terminations, qualifications, salaries and compensation, as well as promotions, relations and retirement benefits of all employees of the University.

C. Vision, Mission and Values

The University of Kentucky Board of Trustees adopted the following amended Vision, Mission and Values Statement on on January 23, 2007, and modified it on March 27, 2012.

1. Vision

The University of Kentucky will be one of the nation's 20 best public research universities, ~~an institution recognized world-wide for excellence in teaching, research, and service and a catalyst for intellectual, social, cultural, and economic development.~~

2. Mission

The University of Kentucky is a public, ~~research-extensive,~~ land grant university dedicated to improving people's lives through excellence in ~~education~~teaching, research ~~and creative work,~~ service and health care, ~~cultural enrichment, and economic development.~~ As Kentucky's flagship institution, the University plays a critical leadership role by promoting diversity, inclusion, economic development and human well-being.

The University of Kentucky:

- facilitates learning, informed by scholarship and research;
- expands knowledge through research, scholarship and creative activity; and
- serves a global community by disseminating, sharing and applying knowledge.

The University, as the flagship institution, plays a critical leadership role for the Commonwealth by contributing to the economic development and quality of life within Kentucky's borders and beyond. The University nurtures a diverse community characterized by fairness and equal opportunity.

3. Values

The ~~values of the~~ University of Kentucky is guided by its ~~decisions and the behavior of its community.~~ Its core values ~~are~~:

- integrity;
- ~~academic~~ excellence ~~and academic freedom~~;
- mutual respect and human dignity;
- ~~embracing~~ diversity and inclusion;
- academic freedom;
- personal and institutional responsibility and accountability;
- shared governance;
- a sense of community;
- ~~sensitivity to~~ work-life ~~sensitivity~~ concerns;
- ~~civic~~ engagement ~~responsibility~~; and
- social responsibility.
- ~~service to society.~~

D. Ethical Principles and Code of Conduct

The Board of Trustees adopted the document, Ethical Principles and Code of Conduct, on January 27, 2004, and modified it on March 27, 2012.

1. Ethical Principles

(a) The University of Kentucky Ethical Principles and Code of Conduct are intended to document expectations of responsibility and integrity. Exemplary ethical conduct is critically important in our relationships with colleagues, trustees, students, volunteers, contractors, and the public. This statement reflects the values of the University approved by the Board of Trustees on January 27, 2004 and modified on March 27, 2012.

(b) The following core values guide our decisions and behavior:

- integrity;
- ~~academic~~ excellence; ~~and freedom~~
- mutual respect and human dignity;
- ~~diversity~~ and inclusion; ~~of thought, culture, gender and ethnicity~~
- academic freedom;
- personal and institutional responsibility and accountability;
- shared governance;
- a sense of community;
- ~~sensitivity to~~ work-life ~~sensitivity~~ concerns
- ~~civic~~ engagement ~~responsibility~~; and
- social responsibility

(c) Each member of the University must endeavor to:

- promote the best interests of the University of Kentucky

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

2. Code of Conduct

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

The Code of Conduct is intended as a general guide to determine what conduct is expected and to help individuals to determine behaviors that should be avoided. Employees are strongly urged to consult with their supervisor to review and evaluate specific situations. Violations of this code will be subject to appropriate penalties. 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.~~ As applicable, University members shall comply with:

- Federal laws, regulations, and policies;
- Kentucky Revised Statutes (KRS) and Kentucky Administrative Regulations (KAR);
- University and unit-level policies and procedures including, but not limited to, the *Governing Regulations (GR)*, *Administrative Regulations (AR)*, *Human Resources Policy and Procedure Manual*, the *Business Procedures Manual*, and *University Senate Rules*;
- Contract, grant, and donor stipulations;
- Accreditation requirements; and
- Generally accepted accounting principles.

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

(a) Nondiscrimination Policy

Equal opportunities shall be provided for all persons throughout the University in recruitment, appointment, promotion, payment, training, and other employment and education practices without regard for economic or social status and will not discriminate on the basis of race, color, ethnic origin, national origin, creed, religion, political belief, sex, sexual orientation, marital status, or age. The University does not discriminate on the basis of uniform service, veteran status, or physical or mental disability when an individual otherwise meets the minimum qualifications for application or participation. All University members are expected to comply with the institution's nondiscrimination policy. The President is responsible for the development of an affirmative action plan by which full implementation of this policy shall be effected in the University. (See Human Resources Policy and

Procedures Number 2.0)

(b) Confidentiality of Information

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

(c) Use of the University's Name

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

(d) Civic Responsibility of the Individual

In their roles as citizens, staff employees and faculty members have the same freedoms as other citizens, without institutional censorship or discipline, although they should be mindful that accuracy, forthrightness, and dignity befit their association with the University. (Also see D., above.) When staff employees or faculty members speak or write as citizens, they should indicate that they are not speaking for the University.

(ed) 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.

(fe) Sexual Harassment

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

harassment. The policy of the University of Kentucky, approved by the Board of Trustees, prohibits sexual harassment of or by students, faculty, and staff and assures that complaints of sexual harassment will be treated and investigated with full regard for the University's due process requirements. The University policy and procedures on sexual harassment can be found in *Administrative Regulation 6:1H-1.1-9*.

(gf) 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 6:1H-1.1-9*).

(hg) 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 executive vice president, as appropriate (*Governing Regulation X-1*).

The University shall employ no relative of a member of the Board of Trustees. Members of the Board of Trustees, except those elected to the Board as faculty, staff, or student representatives, and relatives of any member of the Board of Trustees are ineligible for employment at the University.

(ih) Intellectual Property

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

intellectual property using University funds, facilities, or other resources shall assign personal rights to the property to the University, or 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 7:6H-1.1-3*).

(j) 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 3:9H-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.

(k) 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 7:2H-4.0-4 Research Conflict of Interest and Financial Disclosure Policy – *Research* sets forth specific relationships and activities that pose a potential conflict of interest for faculty, staff, and students involved in research and related activities. The University recognizes that actual or potential conflicts of interest may occur in the normal conduct of research and other activities. A conflict of interest can also arise if an employee's professional judgment is or may appear to be influenced by personal interests. It is essential that potential conflicts be disclosed and reviewed by the University. After disclosure, the University can make an informed judgment about a particular activity and require appropriate oversight, limitations, or prohibitions in accord with this policy. It is important to remember that each relationship is different, and many factors often will need to be considered to determine whether a conflict of interest exists.

(k) Auditing Services

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

(m) 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. Except as specifically approved by the Board, 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). [\(See KRS 164.131 and KRS 164.367\)](#) 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.

An employee seeking approval under this section shall first make an application to the University Ethics Committee by submitting in writing a full disclosure of all aspects of his or her relationship with the contracting company or business. The Ethics Committee shall make a recommendation to the President, who shall forward to the Board the Committee's recommendation together with his or her recommendation. In recommending approval of a contractual relationship, the Committee shall determine that:

- (i) the contractual relationship is in the best interest of the University;
- (ii) the employee has taken whatever actions are necessary to avoid any conflict of interest or any appearance of a conflict of interest;
- (iii) if the conflict is subject to the provision of KRS Chapter 45A, the employee's contract shall be the lowest price bid or otherwise provides the best value to the University;
- (iv) the employee's interest in the contract does not present a conflict with the employee performing his or her job; and,
- (v) the nature of the contract and the nature of the employee's interest in the contract or business shall be fully disclosed to the University community by as broad communications as feasibly possible.

Action taken by the Board shall be in open session, by affirmative vote. The action item shall fully disclose the nature of the conflict, and the reasons for the action.

(n) Fiscal Responsibility

[The Board of Trustees, President, executive officers, administrators, deans, department chairs, directors, principal investigators, and all others functioning as area or unit heads are responsible for setting a tone of accountability and high ethical standards in financial matters. All employees are expected to comply with the requirements outlined in:](#)

- Governing Regulation Part I;
- UK Ethical Principles and Code of Conduct;
- A01-005 UK HealthCare Code of Ethics;
- AR 3:9 External Consulting, Other Outside Employment and Internal Overload Activity
- AR 7:2 Research Conflict of Interest and Financial Disclosure Policy; and
- AR 7:9 Institutional Conflicts of Interest Involving Research

All organizational units (e.g., administrative area, college, department, division, center, or office) are expected to maintain a strong internal control environment for the University as defined in the Business Procedures Manual. (see Business Procedure E-1-3, Fiscal Roles and Responsibilities, and E-1-4, Internal Control.)

Each organizational unit head is accountable for the sound financial management of the unit and retains this fiscal responsibility if authority for transactional processing, record keeping, approving and monitoring is delegated to others.

(om) 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 shall be directed to the Executive Vice President for Finance and Administration, where they can be acknowledged and accepted on behalf of the University.

(pa) 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 Legal Counsel.

~~3.~~ University members are expected to report violations of this policy to an appropriate individual. The University will not tolerate any retaliation against a University member who makes a good faith report of a violation.

~~E. Kentucky Ethics Statutes~~

~~1. Unless specifically approved by the Board, no employee of the University shall be directly or indirectly interested in any contract with the University for the sale of property, materials, supplies, equipment, or services, with the exception of compensation to the two (2) faculty members and the one (1) staff~~

~~employee who are members of the Board of Trustees. (KRS 164.131) 2. No member of a board of trustees shall have an interest in any contract with a state university unless such contract shall have been subjected to competitive bidding in compliance with KRS Chapter 45A, unless such trustee shall have been the lowest bidder and unless such trustee shall have first notified in writing the remaining members of the board, and to the newspaper having the largest circulation in the county in which the state university is located, of his intention to bid on such contract. (KRS 45A.340 (7))~~

EF. Diversity

The University is committed to diversity as a vital characteristic of an optimal education and workplace. The University maintains a firm conviction that it must strengthen the diversity of its communities, support free expression, reasoned discourse and diversity of ideas; and take into account a wide range of considerations, including but not limited to, ethnicity, race, disability, and sex, when making personnel and policy decisions. The University is committed to periodically evaluating progress made toward diversity and to communicating the results of such evaluations. Based upon these assessments, the University will give diversity factors consideration to ensure achievement of its mission of instruction, research and service and gain the broadest benefits for the University community.

EG. Shared Governance

The diverse expertise collectively available to the University in its faculty, administration, staff employees, and students is a valuable resource. The University as a whole will be able to function at maximum effectiveness where there is an environment in which the sharing of this expertise is valued and promoted. If this expertise is shared, it will enable policy-makers at every level of the organization to make better decisions. To achieve this objective in an environment of shared governance, faculty bodies and administrators will reciprocally solicit and utilize the expertise of the other as each makes decisions in their respective areas of policy-making authority. Through these empowering processes of shared governance, the administration, faculty members, staff employees and students all share the responsibility of attainment of the University's goals.

~~H.~~ Civic Responsibility of the Individual

GI. Order of Communication and Reports

All University faculty members and staff employees shall have full rights of communication with administrative officers of the University and the Board of Trustees through established administrative channels. Official recommendations and communications from any faculty member or staff employee shall be sent by the individual to the individual's immediate supervisor. When requested, the supervisor shall transmit such recommendations or communications, with the supervisor's own comments and recommendations to that supervisor's own immediate supervisor.

All faculty members and staff employees shall be entitled to appeal any decision affecting terms of their employment by the University through regularly established channels.

When a supervisory decision or reporting relationship involves a conflict of interest, the next higher-level administrative officer shall designate an alternative officer for the purpose of the decision or reporting.

This regulation shall in no way limit the President in communicating with faculty members or staff employees, nor shall it prevent communication between faculty members, staff employees, or administrative officers, and the Board of Trustees for purposes other than the submission of official recommendations and communications.

HJ. Use of University Facilities

Kentucky Revised Statutes 164.160 and 164.200, respectively, grant to the Board of Trustees the power to receive, hold, and administer on behalf of the University, all types of property and to establish proper regulations for the government of same.

By virtue of the above, University of Kentucky facilities shall be used only for educational, cultural or charitable purposes, or other purposes as determined by the President or by the administrative officer to whom the President has delegated this responsibility in accordance with these *Governing Regulations*, *Administrative Regulations*, and *University Senate Rules*.

IK. Political Activity

The University cannot endorse, support or promote any political candidate or any partisan political activity. Therefore, University facilities shall not be used for conventions, rallies, or any campaign activities that would further the interests of a political party² or of a candidate or candidates for public office. The facilities of the University may be used for public forums to *Governing Regulations* which all legally qualified candidates for a public office are invited to speak provided that all such candidates are given equal access and opportunity to speak.

University facilities may be used by registered student organizations for meetings with a candidate or candidates for public office when meetings are open in attendance to students, faculty members, and staff employees of the University.

In accordance with the Constitution of the Commonwealth of Kentucky, the decisions of the United States Supreme Court, and the opinions of the Office of the Attorney General to the Commonwealth of Kentucky, University facilities shall not be used to advance or inhibit religion.

JL. Tobacco Policy

Kentucky Revised Statute 61.165 requires the Board of Trustees to adopt a written policy related to smoking in buildings owned, operated, or under the jurisdiction of the University. The President is delegated authority to promulgate an Administrative Regulation regarding the use of tobacco products.

KM. Solicitation of Funds

Various charitable organizations desire, from time to time, to conduct on-campus solicitations of contributions from faculty and staff. These charitable solicitations are generally carried out: (1) through use of University mail service; (2) through use of University email systems; and, (3) through access to the payroll deduction system. The University does not intend to convert its mail service, its email systems, or its payroll process into either a limited or unlimited public forum, but prefers to maintain its systems as a non-public forum.

The following criteria will be applied by the President in determining which, if any, charitable organizations will be permitted to engage in the on-campus solicitation of faculty and staff:

1. Whether the charity maintains a diversity plan;

² "Political party" is defined as a voluntary association of persons formed and organized for the purpose of nominating or electing candidates for public office. This definition includes, but is not limited to, the meaning of "political party" as defined in KRS [118.015\(1\)](#)~~119.010~~.

2. In cases where access to the payroll deduction is involved, whether the charity can demonstrate that at least 30 percent of the on-campus, University employees have given to the charity in four out of five years or that 30 percent of the on-campus, University employees intend to give to the charity in the current year;
3. In cases of federated or "umbrella" charities, whether the charity provides a health or human service in Fayette County or the University and the extent of such service in the local area;
4. Whether the charity maintains a local office or service center;
5. Whether the charity maintains a reasonable ratio (not more than 15 percent for administration and fund raising) of administrative expenses to program expenses;
6. In the case of federated or "umbrella" charities, whether the charity makes it a practice to submit to an annual review by local citizens of financial and program activity;
7. Whether the charity maintains, from year to year, an active board of local volunteers;
8. In the case of federated or "umbrella" charities, whether the federated charity requires its recipient agencies to maintain operational standards in order to maintain their status as recipients;
9. Require an annual audit and that the charity receives an unqualified audit opinion;
10. Whether the charity is a non-profit organization; and,
11. Whether the charity provides services on an annual basis to employees and students of the University.

LN. Campus Sales

Solicitations for subscriptions, sales of merchandise of any kind whatsoever, publications, or services upon University property other than by the regularly authorized stores, food service places, departments, or divisions of the University are prohibited except upon written permission of the Dean of Students. Any person violating these provisions shall be subject, upon proper notice, to eviction from the University property.

References and Related Materials

KRS 45A - Kentucky Model Procurement Code

KRS 61.165 - Smoking policy for governmental office buildings or workplaces and postsecondary education institutions

KRS 164.100 - University of Kentucky recognized

KRS 164.120 - Colleges maintained

KRS 164.125 - University Programs

KRS 164.131 - Board of Trustees of University of Kentucky - Membership - Terms

KRS 164.160 - Trustees - power to receive and administer revenue and property

KRS 164.200 - Regulations for university - Physical training and discipline of students

Governing Regulation, Part X - Regulations Affecting Employment

Administrative Regulation 3:9 - Faculty Consulting and Other Overload Employment
Administrative Regulation 6:1 - Policy on Discrimination and Harrassment
Administrative Regulation 7:2- Research Conflict of Interest and Financial Disclosure Policy
Administrative Regulation 7:6- Intellectual Property Disposition
HRP&P 2.0 - Equal Opportunity, Discrimination, and Harassment
BPM B.2.C - General Purchasing and Contracting Authority

Revision History

6/14/2005, 10/10/2006, 1/23/2007, 9/11/2007, 4/22/08

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



The President of the University of Kentucky

Introduction

Pursuant to KRS 164.220, the Board of Trustees is vested with authority to appoint a president for the University. This Governing Regulation establishes the authority and responsibilities of the President.

The President is the chief executive officer of the University and has full authority and responsibility over the administration of the academic, athletic, administrative, and financial operations of the University. It is the duty of the President to make recommendations relating to the general policies of the institution and to the maintenance of coordination among its several functions. It is also the President's duty, directly or through the various University officers, to supervise and administer all phases of the University's operations, both business and academic, including all departments, divisions, and colleges, and to perform all other administrative functions, whether expressly enumerated herein or not, necessary or appropriate for the effective operation of the University.

A. Authority and Responsibilities

1. Administrative Officers, Faculty and Staff, Committees and Councils

All administrative officers, including but not limited to the Provost, executive vice presidents, vice presidents, deans, directors, and other subordinate officers, shall be subject to the supervision and direction of the President.

The President may delegate any of the President's assigned authorities or responsibilities to any faculty member or staff employee of the University. The President shall, however, have the prior consent of the Board of Trustees before delegating major areas of authority or responsibility.

The President may utilize subordinate administrative officers as appropriate. The President may appoint, or have appointed, temporary or standing advisory or administrative committees and, with the approval of the Board of Trustees, may establish academic and/or administrative councils.

2. University Senate and Staff Senate

The President is Chair of the University Senate and an ex officio member of the Staff Senate and of the various college faculties. The President may call meetings of the University Senate, the Staff Senate, the University Assembly, or any college faculty. The President may be asked to address a meeting of the University Senate, the Staff Senate, or a college faculty. (*Governing Regulations, Part IV & Part V*)

3. External Relations

Subject to the regulations of the Board of Trustees, the President ~~is the~~ officially spokespersons speaks for the University before all international, federal, state, and local government offices, boards, and agencies and is the non-voting representative of the University on the Council on Postsecondary Education.

4. Budget

The President is responsible for the preparation of the annual budget for approval by the Board of Trustees and for the administration of the annual budget after approval by the Board of Trustees. In the administration of the annual budget, the President shall exercise authority delegated by the Board of Trustees for the transfer of funds within major fund groups, provided that all such transfers of funds shall be reported to the Board of Trustees.

5. Communications

The President ~~shall serve~~ serves as the official medium of communication between the Board of Trustees, ~~on the one hand,~~ and the University Senate, Staff Senate, Student Government Association, administrative officers, individual members of the faculty and staff employees, student organizations, and students ~~on the other hand.~~ In this connection it ~~shall be~~ is the President's responsibility to transmit to the Board of Trustees all formal communications from the University Senate, the Staff Senate, and the Student Government Association along with the viewpoints of the body submitting a communication, including any minority opinions, and the President's own recommendations for action.

6. Regulations and Policies

The President is responsible for fostering and promoting instruction education, research and creative work, and service and health care, as the primary functions of the University. In this connection the President may make policy recommendations to the Board of Trustees and the University Senate, which are recognized as the primary educational policy-forming agencies of the University. (KRS 164.180; KRS 164.200; *Governing Regulations, Part IV*)

The President must, of necessity, in the day-to-day direction of University affairs, interpret existing policies and, when necessary, establish new policy with respect to academic, administrative and financial matters. While responsible for the enforcement of the *Governing Regulations* of the Board of Trustees and the *University Senate Rules*, the President also shall provide for the application of these rules and regulations to individual cases. Under extraordinary circumstances, and with written justification to the University Senate through the University Senate Council, the President may suspend a rule of the University Senate in a particular case; however, under no circumstance may the President suspend rules concerning admission and the number of credits and quality points required for graduation.

7. Vehicle Traffic and Parking

~~The Board of Trustees delegates to the~~ The President ~~is responsible~~ the responsibility for the development and enforcement of regulations for the control of ~~motor~~ vehicle traffic and parking on University property. For this purpose, University property is defined as all real property owned, used, or occupied ~~and exclusively operated~~ by the University. (KRS 164.975)

B. Vacancy or Disability of the President

In the event of a vacancy in the Office of President or disability of the President, the Provost shall exercise the functions of the President in the absence of the appointment of an interim President by the Board of Trustees. If the Board of Trustees finds it desirable to appoint an interim President, it shall seek advice from

a committee composed of representatives of Board of Trustees members, faculty members, staff employees, and students.

References and Related Materials

KRS 164.180, KRS 164.200, KRS 264.220, KRS 164.975

Governing Regulation IV

Governing Regulation V

Revision History

6/14/2005

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The University Senate

Major Topics

Membership

Officers, Committees, and Councils of the University Senate

University Senate Functions

[I. Introduction](#)

[This Governing Regulation describes the composition, authority, and functions of the University Senate at the University of Kentucky.](#)

[A. Membership](#)

The University Senate shall be composed of both elected and *ex officio* members.

The ninety-four (94) elected faculty shall be full-time faculty elected from and by the respective college faculties. The elected faculty representatives ~~in~~ of the University Senate have the authority assigned to “the faculty of the University” under KRS 164.240 to recommend to the Board of Trustees the conferral of earned degrees from the University and the conditions for and award of honorary degrees. The University Senate membership, composed of both elected and *ex officio* members, is authorized to perform all other functions delegated by the Board of Trustees to the University Senate.

The University student body shall be represented by the student senators, one elected from and by the full-time student body of each college. The one elected emeritus faculty member shall be elected by and represent the University of Kentucky Association of Emeriti Faculty. The procedures for election of representatives to the University Senate and University Senate Council shall be prescribed in the *University Senate Rules*.

In even numbered academic years, the *ex officio* voting members of the University Senate shall be composed of the following: Provost ~~Executive Vice President for Research~~, Associate Provost for Undergraduate Education, student member of the Board of Trustees, two (2) faculty members of the Board of Trustees, Dean of Libraries, and deans of the Colleges of Communications and Information Studies, Dentistry, Design, Education, Engineering, Health Sciences, Law, and Social Work. In odd numbered academic years, the *ex officio* voting members shall be the following: Provost, student member of the Board of Trustees, two (2) faculty members of the Board of Trustees, Associate Provost for ~~Faculty Academic~~ Affairs, Dean of the Graduate School, Associate Provost for Undergraduate Education, and deans of the

Colleges of Agriculture, Arts and Sciences, Business and Economics, Fine Arts, Medicine, Nursing, Public Health, and Pharmacy. The University Senate may recommend to the Board of Trustees changes to the above list of *ex officio* voting members and determines *ex officio* nonvoting membership, as necessary.

B. Officers, Committees, and Councils of the University Senate

The University Senate is authorized to develop *University Senate Rules* for the conduct of its functions, copies of these rules being furnished to the President and the Board of Trustees. It may perform its functions directly, through the Senate Council¹, through standing or special committees which it may appoint or authorize for appointment, or through delegation of authority and responsibility to the faculties of the Graduate School, or the faculties of the colleges, schools, departments, centers and institutes. The University Senate Council shall appoint standing or special committees of the University Senate, responsible to the University Senate, unless the University Senate has authorized other methods of appointment.

The President is the Chair of the University Senate and shall be the presiding officer except as the President may delegate this function to the University Senate Council Chair. As its Chair, the President may be called upon by the University Senate to address or represent the University Senate or to transmit its recommendations. The President, as Chair of the University Senate, may establish and appoint academic committees to advise the President in this capacity.

The University Senate may establish University Senate committees that are responsible, in an advisory capacity, to the President or other administrative officer(s) or administrative unit(s). These committees are also responsible for reporting upon issues that bear upon the functions of the University Senate and for making recommendations for action. These University Senate advisory committees shall be appointed by the President, as the University Senate Chair, from nominations made by the University Senate Council.

A member of the University Faculty (not necessarily a member of the University Senate), appointed by the University Senate Council, shall serve as parliamentarian. The two (2) sergeants-at-arms, appointed by the University Senate Council, shall be members of the University Faculty and/or a staff employee. The University Senate shall hold regular monthly meetings during the academic year when classes are in session and, after adequate notice by its Secretary, special meetings on the call of the President or the University Senate Council or on the written request of ten (10) members.

Any University employee or student may attend a meeting of the University Senate as a visitor and request the privilege of the floor.

C. University Senate Functions

The University Senate is not assigned any management or administrative functions. The University Senate functions include the following:

1. Determine the broad academic policies of the University, including the similar academic policies that may be made necessary by governmental or accreditation agencies, and make rules to implement these policies.
- ~~2. Approve all new academic programs, make final academic decisions on recommendations to changes of these programs, and recommend the closing of degree-granting academic programs.~~

¹ Members and officers of the University Senate Council shall remain voting members of the University Senate until the end of their terms on the University Senate Council. They shall not be counted as a part of the quota of the educational unit that they have represented nor of the membership of the University Senate after the expiration of their elected University Senate memberships.

2. Upon the recommendation of the University Senate, the Board of Trustees shall make the final University decision on the establishment or closure of degree-granting academic programs. Other decisions on the academic status and content of academic programs shall be made by the University Senate, pursuant to procedures contained in the *University Senate Rules*.²
3. Make final decisions for the University on curricula, courses, certificates and diplomas offered at the University, ~~and on the termination of academic programs.~~
4. Adopt policies for the University academic calendar and establish the annual calendar upon recommendation by the University Registrar.
5. Recommend to the President and Provost on the establishment, alteration, abolition, and reporting relationships of educational units in the University.
6. Advise the President or the President's designated officer on the planning for physical facilities, personnel and other resources when these may affect the attainment of educational objectives of the University.
7. Advise the President or the President's designated officer, through appropriate committees, on criteria, policies and procedures for performance review, appointments, reappointments, promotions, granting of tenure, and benefits to faculty in the University.
8. Determine the conditions for admission and for degrees, other than honorary degrees, in the University, pursuant to KRS 164.240.
9. Recommend to the Board of Trustees all candidates that have been approved for degrees in the University, pursuant to KRS 164.240.
10. Address the President or, through the President, the Board of Trustees, regarding any University matter.

D. References and Related Materials

KRS 164.240

University Senate Rules

Revision History

[6/14/2005](#), [3/27/2012](#)

For questions, contact: [Office of Legal Counsel](#)

² Except when the Kentucky Council on Postsecondary Education or the Southern Association of Colleges and Schools requires final action by the Board of Trustees.



UNIVERSITY OF
KENTUCKY
Regulations

Governing Regulation, Part VII

Responsible Office: Board of Trustees

Date Effective: DRAFT

Supersedes Version: 7/1/2009

University Organization

Major Topics

[Educational Unit](#)

[Administrative Organization of Educational Units](#)

Introduction

For the purpose of administering the various programs of the University, there shall be established educational and administrative units within the University. All units of the University shall be established, altered, or abolished only on vote of the Board of Trustees. For matters having to do with the organization of the University as it affects academic policies, the Board relies upon the advice of the University Senate along with that of the President. It relies upon the advice of the President concerning administrative organization and powers and responsibilities of the officers of the University. Any existing or proposed unit that has as its primary mission the performance of educational activities in instruction, research, and service shall be defined as an educational unit if at least one full-time (tenured or tenurable) faculty appointment or its time equivalent is assigned to perform instruction, research, and service in that unit. This assignment provision excludes solely administrative assignments such as the chief administrative officer of the unit. An educational unit is subject to the University Senate review and the periodic review processes.

Any unit not meeting the definition of an educational unit is defined as an administrative unit.

The educational and administrative organization of the University shall be such as to minimize duplication of effort and to enable the University to operate as a single, closely integrated institution.

A. Educational Unit

1. Definitions of Educational Units and Their Chief Administrative Officers

Departments, schools, colleges, graduate centers, multidisciplinary research centers and institutes, and interdisciplinary instructional programs are the basic educational units of the University that deliver instruction, research, and service including extension activities.

Major educational units of the University are the colleges, the Libraries, and the Graduate School. For purposes of these *Governing Regulations*, the Libraries is equivalent to a college.

Schools are administratively responsible to a college, and departments are directly responsible to a college or sometimes directly to a school within their college.

Some instructional programs draw faculty exclusively from one department, school, or college whereas interdisciplinary instructional programs, such as the Honors Program, draw faculty from different departments, schools, and colleges.

A graduate center is an interdisciplinary educational unit that delivers graduate education degree programs, is equivalent to a department, and is located administratively in the Graduate School unless the administrative responsibility specifically has been delegated otherwise.

A multidisciplinary research center or institute is an educational unit established to provide multidisciplinary programs, which are primarily research in nature. Such an educational unit is administratively responsible to the ~~Executive~~-Vice President for Research unless the administrative responsibility specifically has been delegated otherwise.

The chief administrative officer of a major educational unit is a dean. The chief administrative officer of a graduate center, school or multidisciplinary research center or institute is a director.

The chief administrative officer of a department or an interdisciplinary instructional program is a chair.

2. Academic Ranks

Academic ranks in the University consist of lecturer, instructor, assistant professor, associate professor, professor, or the equivalent to these recognized in the librarian title series of librarian IV, librarian III, librarian II and librarian I, respectively.

The President establishes academic title series, the ranks within each series, and a description of the qualifications for each after consultation with appropriate administrative and faculty groups, including the University Senate Council. Emeritus ranks for retired faculty members and the rights of holders of emeritus titles are established by the President after consultation with the University Senate Council.

The establishment of new academic title series or ranks and major changes in criteria for ranks shall have the approval of the Board of Trustees.

3. The Graduate Faculty

(a) Membership

The membership of the Graduate Faculty shall consist of the Dean of the Graduate School, associate and/or assistant deans of the Graduate School, and regular faculty and associate faculty members.

Graduate Faculty members must possess the following qualifications:

A doctoral degree or its equivalent in scholarly reputation;

The rank of assistant professor (or equivalent) or higher;

Scholarly maturity and professional productivity as demonstrated by publications, editorial services, research surveys, creative work, patents, and research in progress at the time of appointment; and

Definite interest in graduate work and the willingness to participate in the graduate program.

The Dean of the Graduate School confers membership in the Graduate Faculty. The appointments are made following review by the Graduate Council of the qualifications of the persons proposed for

membership by the college deans, department chairpersons, and directors of graduate study, upon the recommendation of the Graduate Faculty of the respective graduate program.

Associate and other classes of members in the Graduate Faculty may be appointed by the Dean of the Graduate School, with appropriate duties and privileges, as provided by the *Rules of the Graduate Faculty* and approved by the University Senate.

(b) Officers, Committees and Councils

The Graduate Faculty may perform its functions directly, through the Graduate Council, or through standing or special committees which it may appoint or authorize for appointment, or through delegation to college, school, departmental or center graduate program faculties. Councils of the Graduate School may be appointed by the Dean of the Graduate School or elected, as prescribed by the *Rules of the Graduate Faculty* and approved by the University Senate. Copies of minutes of Graduate Faculty meetings and of meetings of Graduate Faculty committees and councils shall be made available to all members of the Graduate Faculty.

(c) Graduate Faculty Functions

Within the limits established by the *Governing Regulations* and the *University Senate Rules*, the Graduate Faculty shall have jurisdiction over all programs leading to graduate degrees and within those limits shall establish *Rules of the Graduate Faculty* necessary for the performance of its educational policymaking functions. Copies of these rules shall be made available to Graduate Faculty members and filed with the Graduate Faculty Dean, the Provost, and the University Senate Council. It is the responsibility of the Graduate Faculty to safeguard, promote, and assist in the development of research in all fields. The Graduate Faculty shall make recommendations to the University Senate on academic matters that require University Senate approval. The Graduate Faculty may make recommendations on other matters to the University Senate, to college or department faculties, to the President or other administrative officers.

The Graduate Council shall have the authority and responsibilities delegated to it by the Dean of the Graduate School, the Graduate Faculty, and the University Senate.

4. Faculties of Colleges

(a) Membership

The membership of the faculty of a college shall consist of its dean, associate and/or assistant deans, and regular full-time faculty having the rank of assistant professor, associate professor or professor in the regular, special title, or extension series or librarian III, II or I in the librarian title series. Membership, with or without voting privileges, also may be extended or withdrawn by the above college faculty to any other person assigned to the college for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one college; in this instance, one assignment shall be designated primary by the Provost (Part X.B.1).

(b) Officers, Committees and Councils

The faculty shall hold regularly scheduled meetings at which the dean shall preside except as the dean may delegate that function. In addition, it shall meet in special session on the call of the President, the Provost, the dean of the college, or at the request of a prescribed number of its voting membership. Each college faculty shall establish the quorum for the transaction of business. Copies of minutes of college faculty meetings and of meetings of college faculty committees and councils shall be made available to all members of the faculty of the college.

The faculty of each college shall establish its own rules, including a committee or council structure, necessary for the performance of the faculty's functions in educational policy-making. After approval of these rules by the Provost for consistency with these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules* and *Rules of the Graduate Faculty*, copies of the rules and a description of the committee or council structure shall be made available to members and filed with the dean of the college, the Provost and the University Senate Council.

(c) College Faculty Functions

Within the limits established by these *Governing Regulations*, *Administrative Regulations*, *University Senate Rules*, and *Rules of the Graduate Faculty* of the University, the faculty of a college shall determine the educational policies of that college, including primary responsibility for the development of policies on such matters as academic requirements, curricula, course offerings, undergraduate, graduate and research programs, professional programs, and service functions, to the extent that the responsibility has not been delegated to a school or department faculty.

In consultation with the college faculty, the Dean shall establish procedures used at the level of the college concerning: (1) recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint; (2) the faculty performance evaluations; and (3) faculty input in the evaluation of the performance of school directors and department chairs during the interval between periodic reviews. It shall make recommendations to the University Senate or Graduate Faculty on such matters as require the final approval of those bodies, and it may make recommendations on other matters to the University Senate, the Graduate Faculty, school/department faculties within the college, the President, or to other administrative officials. The academic or scholastic requirements of a college may exceed, but not be lower than, those established by the University Senate or the Graduate Faculty. The University Senate must approve any such differences in standards.

The faculty of a college may delegate by rule a defined part of the determination of its educational policies to an assembly of the college, which consists of the faculty and designated student representatives. The number of students voting and the method of selecting these students is determined by the rules of the college.

In addition to the functions and responsibilities described above, the faculty of a college without departments shall have any other functions and responsibilities which are delegated to a departmental faculty as set forth in Part VII.A.6.

5. Faculties of Schools

(a) Membership

The membership of a faculty of a school shall consist of the dean of its college of which it is an administrative unit, the director who is the chief administrative officer of the school, and the members of the faculty of the college who have been assigned regular, full-time duties in the school. (The faculty of a college is defined in Part VII.A.4 of these regulations.) Membership, with or without voting privileges, also may be extended or withdrawn by the above faculty of the school to any other person assigned to the school for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one school; in this instance, one assignment shall be designated primary by the Provost. (Part X.B.1)

(b) Officers, Committees and Councils

The faculty of a school shall hold regularly scheduled meetings at which the school director shall preside, except as the director may delegate this function. In addition, it shall hold special meetings on the call of the dean of the college, the director of the school, or by a prescribed number of its

voting faculty. The school director shall preside over school faculty meetings, except as the director may delegate this function. Copies of the minutes of school faculty meetings and meetings of committees and councils of the school faculty shall be made available to all members of the faculty of the school.

The faculty shall establish its own rules and determine its own committee structure that are necessary for its functions in educational policy making and shall prescribe the quorum necessary for the transaction of business. After approval of these rules by the dean of the college and by the Provost for consistency with University regulations and with these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, and college faculty rules, copies of the school faculty's rules and a description of its committee structure shall be made available to its members, and a copy shall be filed with the director of the school, the dean of the college of which it is a unit, with the Provost, and with the University Senate Council.

(c) School Faculty Functions

Within the limits established by these *Governing Regulations*, the *University Senate Rules*, *Rules of the Graduate Faculty*, and the rules of the faculty of the college of which it is a unit, the faculty of a school shall determine the educational policies of the school, including primary responsibility for the development of policies on such matters as academic requirements, curricula, course offerings, undergraduate, graduate and research programs, professional programs, and service functions, to the extent that this responsibility has not been delegated to a department faculty. It shall be responsible for functions and duties assigned to it by the faculty of the college. For these purposes, it shall make recommendations to the faculty of the college on matters that require the approval of that body. It may make recommendations on other matters to the University Senate, the Graduate Faculty, the college faculty, and the faculties within the school, and the dean or other administrative officers. The academic or scholastic requirements of a school may exceed, but not be lower than, those established by the college faculty. The University Senate must approve any such differences in standards.

In addition to the functions and responsibilities described above, the faculty of a school without departments shall have any other functions and responsibilities which are delegated to a department faculty as set forth in Part VII.A.6.

6. Faculties of Departments

(a) Membership

The membership of a faculty of a department shall consist of a chair and the regular, full-time members of the department who are members of the faculty of the school and/or college of which the department is a part. (The faculties of a college and a school are defined in Parts VII.A.4 and VII.A.5, respectively.) Membership, with or without voting privileges, also may be extended or withdrawn by the above department faculty to any person assigned to the department for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one department; in this instance, one assignment shall be designated as primary by the Provost (Part X.B.1).

(b) Officers and Committees

The department faculty shall hold regularly scheduled meetings, at which the department chair shall preside except as the chair may delegate this function. In addition, it shall hold special meetings on the call of the dean of the college, the chair of the department, or by a prescribed number of its voting faculty. The department chair shall be an *ex officio* member of all departmental committees. Copies of minutes of departmental faculty meetings and of meetings of department committees shall be made available to all members of the faculty of the department.

The department faculty shall establish rules, procedures and a committee structure concerning educational policy matters over which it has jurisdiction and responsibility, and shall establish its quorum for the transaction of business. These proposed rules, procedures and committee structure shall be submitted to the director of the school (if appropriate), the dean of the college, and the Provost for approval for consistency with these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, rules of the college and (if appropriate) rules of the school faculty. Copies of the approved rules, procedures and committee structure shall be made available to the members of the departmental faculty and shall be filed with the director of the school, (if appropriate) the dean of the college of which the department is a unit, the Provost, and the University Senate Council.

(c) Department Faculty Functions

Within the limits established by these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, or the rules of the faculties of the school or college of which the department is a part, the department faculty has jurisdiction over matters concerning its educational policies.

The department faculty has primary responsibility for the development of policies on such matters as academic requirements, courses of study, course offerings, graduate and research programs, and service functions. Jointly with the department chair, the department faculty shall establish procedures to be used within the department concerning (1) Recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, and the granting of tenure and decisions not to reappoint; (2) the Faculty performance evaluations and (3) Preparation of budget requests. The procedures in (1) and (2) above shall include consultation with directors of multidisciplinary research centers and institutes for those faculty members who are or shall be associated with such centers or institutes.

The department faculty shall develop statements describing the evidences of activity in instruction, research and service that are appropriate to their field(s) for use in guiding evaluations for promotion and tenure. If developed and approved by the department faculty, those statements must be submitted by the chair of the department to the dean for review and final approval before the statements are made operative in the department. Revisions to a department's statements, upon approval of the department faculty, must also be submitted by the department chair to the dean for review and final approval.

The academic or scholastic requirements of a department may exceed, but not be lower than, those of the school and/or college of which the department is a part. The University Senate must approve any such differences in standards.

7. Faculty of Multidisciplinary Research Centers and Institutes

(a) Faculty Membership and Functions

The faculty of a multidisciplinary research center or institute that is responsible for establishing the educational policies of the unit shall consist of: (1) a director who also shall be a faculty member of a department, school, or college; (2) faculty members with recurring, formally assigned instructional, research, and/or service duties in the unit. In addition, membership, with or without voting privileges, may be extended and withdrawn by the above center or institute faculty to any other person assigned to the unit for administrative, instructional, research, extension, clinical or librarian work.

Academic rank shall not be conferred by a multidisciplinary research center or institute nor tenure acquired solely through activities performed in such a unit.

(b) Officers and Committees

A multidisciplinary research center or institute shall be administratively responsible to the **Executive** Vice President for Research unless specifically designated to another chief academic officer. A faculty advisory committee shall be appointed for each research center or institute by the officer to whom the unit is administratively responsible.

8. Student Participation

Rules of procedure in educational units of the University shall provide, when appropriate, for participation of students in the development of educational policies.

B. Administrative Organization of Educational Units

1. Definition

The administrative organization of the University is determined by the educational organization of the University and the instruction, research, service, and other functions of the University. Each administrative officer, other than the President, is responsible to the President, directly or through one or more superior officers, for the efficient operation of the organizational unit or functions for which the administrative officer is responsible. The duties of administrative officers reporting directly to the President shall be those delegated by the President and described in the *Administrative Regulations*. Each administrative officer is expected to recommend to the appropriate next superior officer the administrative organization necessary to carry out assigned duties. The positions of deans, directors, and chairs of educational units, with descriptions of major duties assigned, are described in these *Governing Regulations*. The Board of Trustees must approve major changes in administrative organization.

Each administrative officer is authorized to establish and enforce such policies and procedures as are attendant to delegated administrative duties and to establish administrative and/or advisory committees to aid in the performance of assigned functions.

2. Dean of the Graduate School

The Dean of the Graduate School is chair of the Graduate Faculty and of the Graduate Council and serves as an ex-officio member of all committees of the Graduate School. Under the broad direction of the President and the Provost, the Dean provides general planning, guidance, review, and coordination for all of the University's endeavors in graduate education. The Dean appoints regular and associate members of the Graduate Faculty. The Dean also recommends on budgets as these may affect graduate education and shall have the same authority and responsibilities as those of a dean of a college in the administration of educational units that might be transferred to or developed under the Office of the Dean of the Graduate School.

The Dean shall speak for the Graduate Faculty. In the event that the Dean believes it necessary to depart from the recommendations of the Graduate Faculty, the Dean shall communicate the Graduate Faculty's recommendation as well as the Dean's recommendation, stating the reasons for differing from the Graduate Faculty's opinion, and notify the Graduate Faculty of such action.

3. Deans of the Colleges

A dean is the chief administrative officer of a college and is responsible for the enforcement of these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, and the rules of the college faculty. The dean is authorized to establish and enforce such

policies and procedures as are attendant to the administrative management of the operations of the college.

The dean is the chair of the college faculty and an *ex officio* member of all college committees. The dean is charged with overseeing the educational work of the college and its efficient conduct and management in all matters not specifically charged elsewhere. The dean is responsible for the implementation of the curricula of the college, for ensuring through the faculty the quality of instruction given therein, for the assignment of duties to all personnel, and for the service provided by the faculty of the college, individually and as a whole. The dean shall review faculty performance evaluations submitted by the department chairs and shall be responsible for recommendations on salaries, salary changes, appointments, reappointments, terminal appointments, post-retirement appointments, promotions, and granting of tenure and decisions not to reappoint for members of the college or for ultimate action thereon when such authority has been delegated by the President or the Provost.

The dean shall submit the budget request for the college and administer the budget when it is approved. The President or Provost may delegate further administrative responsibilities to the dean. These responsibilities may vary from college to college.

In connection with the above administrative functions, the dean shall seek the advice of the faculty of the college: 1) individually, 2) as a whole, 3) through the elected college faculty council, or 4) through the faculty advisory committees. In addition to the roles and responsibilities described above, the dean of a college without departments shall have any other roles and responsibilities which are delegated to a department chair as set forth in Part VII.B.6. Staff employees shall be consulted, when appropriate, in the development of administrative policies and decisions that directly affect staff employees.

The dean shall speak for the college. In the event that the dean believes it necessary to depart from recommendations of the college faculty, the dean shall communicate the college faculty's recommendation as well as the dean's recommendation, stating reasons for differing from the college faculty's opinion, and notify the college faculty of such action.

4. Directors of Schools

The director of a school serves as chair of the faculty of the school in the performance of its assigned functions and is an *ex officio* member of all committees of the school.

The director's administrative responsibilities shall be those delegated by the dean of the college of which the school is a part.

In connection with the above administrative functions, the director shall seek the advice of the faculty of the school: (1) individually, (2) as a whole, (3) through the elected school faculty council, or (4) through faculty advisory committees. In addition to the roles and responsibilities described above, the director of a school without departments shall have any other roles and responsibilities which are delegated to a department chair as set forth in Part VII.B.5. Staff employees shall be consulted by the school director (or associate director), when appropriate, in the development of administrative policies and decisions that directly affect staff employees.

The director shall speak for the school. In the event that the director believes it necessary to depart from the recommendations of the school faculty, the director shall communicate the school faculty's recommendation as well as the director's recommendation, stating reasons for differing from the school faculty's opinion, and notify the school faculty of such action.

5. Chairs of Departments

The department chair leads the department faculty in its development of policies on such matters as academic requirements, courses of study, class schedules, graduate and research programs, and

service functions. The chair presides at all department meetings, except as the chair may delegate this function, and is an ex officio member of all department committees. The chair has administrative responsibility for implementing the department's policies and programs within the limits established by these *Governing Regulations*, the *Administrative Regulations*, University Senate Rules, Rules of the Graduate Faculty, the rules of the college, and the rules of any school of which it is a part.

The department chair is responsible for recommendations on the appointment of new faculty employees of the department, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint.

Procedures used in preparing recommendations shall be those established by the University, the college, and the department faculty. At a minimum, on matters relating to decisions not to reappoint, reappointment, terminal reappointment, or the granting of tenure of persons in any title series, the department chair shall consult with all tenured faculty members of the department. At a minimum, on matters relating to appointment or promotion of any persons in any tenure-eligible title series, the department chair shall consult with all full-time tenured and tenure-eligible faculty members of the department, with a rank at or above the rank to which the individual being considered would be appointed or promoted. At a minimum, on matters relating to appointment, decisions not to reappoint, reappointment, terminal reappointment, or promotions of persons in any tenure-ineligible series, the department chair shall consult with all full-time tenured and tenure-eligible faculty members of the department (GR VII.A.6(a)). On matters relating to appointment or promotion in the Clinical Title Series, Research Title Series, or Lecturer Series, the department chair shall also consult with all full-time faculty employees in the series of the individual under consideration who are at or above the rank to which the individual would be appointed or promoted. All recommendations on matters listed above, excluding reappointments and post-retirement appointments, shall include the written judgment of each consulted member of the department and of each director of any multidisciplinary research centers or institutes, or graduate centers with which the individual is, or would be, associated, along with the recommendation of the chair.

On matters relating to appointment or promotion in the Clinical Title Series, Research Title Series, or Lecturer Series, the department chair shall also consult with all full-time faculty employees in the series of the individual under consideration who are at or above the rank to which the individual would be appointed or promoted. Faculty employees in the tenure-ineligible series shall not be consulted on matters relating to appointment, reappointment, terminal reappointment, decisions not to reappoint, promotion or the granting of tenure of faculty employees in the tenure-eligible title series, except by invitation of the department faculty as provided below.

A department faculty may establish policies that extend the above minimum consultation requirements in faculty personnel matters to include the specified participation of other full-time faculty employees in any series in the department. Once these policies on extended participation privileges are approved by the department faculty (GR VII.A.6(a)) and reviewed by the department chair, the dean and Provost for consistency with the *Governing Regulations*, *Administrative Regulations* and rules of the College, and approved, these policies shall be incorporated into the rules document of the department.

The following exceptions may be made: (1) faculty employees on approved leave of absence or with a primary administrative, service, or other assignment outside the department, who are otherwise eligible to participate, may, but are not required to, provide written judgments on all recommendations; (2) faculty employees at the rank of Instructor in any title series participate only upon the granting of participation privileges by the department faculty, and, (3) in a large and diverse department, upon prior recommendation by the department faculty (GR VII.A.6(a)) and approval of the dean and the Provost, consultation with faculty employees may be restricted to those associated with the concerned, previously-defined academic division or program area in the department.

The department chair is responsible for the periodic evaluation of department members by procedures and criteria established by the University, the college, and the department faculty.

The department chair submits the budget request for the department and administers the budget after its approval. The chair also is responsible for making recommendations on salaries, salary changes, and distribution of effort.

In connection with the above major administrative functions, the chair shall seek the advice of members of the department, individually or as a group, or of advisory committees that the chair may appoint. Staff employees shall be consulted, when appropriate, by the chair, in the development of administrative policies and on decisions that directly affect staff employees.

The chair shall speak for the department. In the event that the chair believes it necessary to depart from the opinion of the department faculty, the chair shall communicate the department faculty's opinion as well as the chair's recommendation, stating reasons for differing from the department faculty's opinion, and notify the department faculty of such action.

6. Directors of Multidisciplinary Research Centers and Institutes

The administrative officer of a multidisciplinary research center or institute is a director, who also shall be a faculty member in a department, school, or college. The director of a multidisciplinary research center or institute is charged with the planning, implementation, coordination, and efficient management of the program and activities of the center or institute. The director shall have the same responsibilities as those of a department chair relative to faculty members and staff employees with assigned duties in the center or institute. The director shall provide recommendations and advice to appropriate educational unit administrators concerning space, financial, and other resources, as well as the identification of faculty members for assignment of duties in the center or institute. The director shall submit the core budget request for the center or institute and administer this budget after its approval. In addition, the director may have other responsibilities delegated by the ~~Executive~~ Vice President for Research or other academic administrator to whom the center or institute is administratively responsible. In connection with the above major administrative functions, the director shall seek the advice of the faculty members of the center or institute, individually or as a group, or of advisory committees that may be appointed by the director of the center or institute or by the administrator to whom the center or institute is administratively responsible. The director shall speak for the center or institute and be an *ex officio* member of all of its committees and shall transmit the recommendations of the consulted faculty along with the director's recommendation, if these recommendations are different. Staff employees shall be consulted, when appropriate, by the director, in the development of administrative policies and on decisions that directly affect staff employees.

7. Director/Chair of Interdisciplinary Instructional Programs

The director/chair of an interdisciplinary instructional program shall be a member of one of the academic departments participating in the program.

The director/chair shall be responsible to the dean(s) of the college(s) in which the program is located and advise the dean(s) on personnel and other needs of the program in connection with budget planning. For these administrative purposes, the director/chair shall rely upon the advice of a committee drawn from faculty members participating in the courses composing the curriculum and shall transmit the recommendations of the consulted faculty along with the director/chair's recommendation, if these recommendations are different. Staff employees shall be consulted by the director/chair, when appropriate, in the development of administrative policies and on decisions that directly affect staff employees.

References and Related Materials

Governing Regulation Part I – The University of Kentucky (Definition)

Governing Regulation Part IV – The University Senate

Governing Regulation Part IX – Reviews of Organizational Units and Their Chief Administrative Officers

Administrative Regulation 1:1 – University of Kentucky Administrative Organization

University Senate Rules

Rules of the Graduate Faculty

Revision History

12/11/2001, 6/14/2005, 7/1/2009

For questions, contact: [Office of Legal Counsel](#)



University Appointments

A. Administrative Appointments

1. Regular Appointments

The President is appointed by the Board of Trustees with the advice of a joint committee of the Board of Trustees, University Faculty, staff employees, student body, and alumni. The committee shall consist of six (6) members of the Board of Trustees, at least one (1) of whom shall be from among the three (3) alumni trustees, appointed by the Chair of the Board of Trustees; three (3) regular full-time faculty members, selected by a procedure determined by the University Senate; one (1) regular full-time staff employee appointed by the Chair of the Board of Trustees from a list of three (3) staff employees selected by a procedure determined by the Staff Senate; two (2) full-time students, one (1) undergraduate and one (1) graduate or professional student, appointed by the Chair of the Board of Trustees from a list of three (3) undergraduate students and three (3) graduate or professional students selected by a procedure determined by the Student Government Association; and one (1) member of the alumni appointed by the Chair of the Board of Trustees from a list of three (3) alumni selected by the Board of Directors or the Executive Committee of the University of Kentucky Alumni Association. The committee shall provide opportunity for discussion among representatives of administration, University Faculty, staff employees, student body, alumni groups, and prospective presidential candidates.

The Provost, executive vice presidents, vice presidents, chief administrative officers of educational units (deans, directors, and chairs), and every administrative and professional employee of the University who is to report directly to the President or whose position is at Level 50 or above in the Administrative and Professional Classification System shall be appointed by the Board of Trustees, acting upon recommendation of the President. Except in the cases of those individuals who report directly to the President, a recommendation from an appointee's superior officer shall be obtained prior to recommending an appointment or reappointment by the Board of Trustees. Staff employees, other than those described above may be appointed by the President, Provost, or appropriate executive vice president or vice president. The President shall report all appointments at Levels 47 through 49 in the Administrative and Professional Classification System to the Board of Trustees. The President, Provost, or the appropriate executive vice president or vice president may delegate the power to appoint personnel whose appointments are not made by the Board of Trustees to other appropriate administrative officers. If the Board of Trustees does not accept the recommendation of the President with respect to an appointment, it shall call upon the President to make another recommendation. Likewise, the President may refuse to approve a recommendation, but, in each such case, the President shall ask for a new recommendation from the same or a new search committee. The same principle shall apply at all levels of the administrative organization.

2. Acting Appointments

When vacancies occur in administrative positions other than the presidency, the President or the Provost or the appropriate executive vice president or vice president may appoint acting officers to fill the positions until it is possible to make regular appointments by the established procedure. When the officer is one who does not report directly to the President, the President or the Provost, or an executive vice president or a vice president, as appropriate, shall request a recommendation from that officer's superior. Acting appointments shall be for a maximum term of one (1) year; however, reappointments may be made after a satisfactory review. All appointments of acting officers shall be reported to the Board of Trustees. With the approval of the next higher administrative level, a regular administrative officer may designate a temporary officer to service in an acting capacity for a period not to exceed four (4) months while the regular officer is away from campus on University business or approved leave.

If the officer administers a college, center, school, or department, the Provost also shall request a recommendation on matters of acting appointment or acting reappointment from a committee which includes faculty members from that unit.

In the selection of an acting Provost, the President shall request a recommendation from a committee which includes faculty members and also recommendations from the University Senate Council.

The search processes for an acting provost or chief administrative officers of colleges, schools, departments and centers shall include the participation of staff employees of the unit, and shall provide for the participation of other affected groups as appropriate.

3. Search Committees

Recommendations on the appointment of a Provost or of the chief administrative officers of all educational units of the University shall be made after advice from search committees.

When vacancies in administrative positions are anticipated, search committees shall be appointed sufficiently in advance of the vacancy to avoid the appointment of an acting administrator.

When unanticipated vacancies occur, search committees shall be appointed as soon as the established procedures for appointment can be carried out. The selection of faculty members for membership on search committees for administrative appointments above the level of dean shall be made after consultation with the University Senate Council.

Recommendations of the search committee shall be transmitted to the President through the established administrative channels, along with the recommendation of the administrative officer responsible for the appointment. Recommendations on the appointment or reappointment of a chair of an academic department or division, or for the dean of a college or the director of a school that does not contain departments or divisions, shall be accompanied by written statements from at least the tenured members of the college, school, department or division.

Search committees for deans of colleges shall be appointed by the Provost after consultation with the University Senate Council, and either the faculty or elected faculty council of the college.

Search committees for directors of schools shall be appointed by the deans of the colleges after consultation with the appropriate bodies as these bodies are identified in the rules of the respective school faculty.

Search committees for chairs of academic departments shall be appointed by the deans of the colleges after consultation with (1) the associate dean or director of the school within the college if the department is in such a school; (2) the faculty of the department; and (3) the Dean of the Graduate School if the department is involved in a graduate program.

Search committees for directors of interdisciplinary research centers or institutes or interdisciplinary instructional programs shall be appointed, after consultation with the appropriate bodies, by the ~~Executive~~ Vice President for Research, or other officer to whom administrative responsibility has been delegated.

The search processes for a provost or for chief administrative officers of colleges, schools, departments and centers shall include the participation of staff employees of the unit and shall provide for the participation of other affected groups, as appropriate.

4. Terms of Chairs and Directors

(a) Department Chairs

The term of a department chair's appointment shall be four (4) years, except in the Colleges of Agriculture, Dentistry, Medicine, Nursing, and Pharmacy where it shall be six (6) years.

Ordinarily, a department faculty member will be asked to serve as chair for only one (1) term. A chair may be reappointed, however, when the faculty advisory committee appointed to review the work of the department (AR ~~1:4H-1.0-6~~) finds that the particular circumstances and needs of the department make such a reappointment desirable. Reappointment beyond the second term may occur under exceptional circumstances when it is deemed to be in the best interests of the University. This practice may vary from discipline to discipline.

(b) Chairs of Interdisciplinary Instruction Programs

Insofar as applicable, the rules for the appointment and reappointment of a department chair shall apply also to the appointment and reappointment of a chair of an interdisciplinary instructional program.

(c) Directors of Multidisciplinary Research Centers and Institutes

The director of a multidisciplinary research center or institute shall be appointed for a term of six (6) years. A director may be reappointed, however, when an ad hoc committee appointed to review and evaluate the center or institute (AR 1:4) finds that the particular circumstances and needs of the center or institute make such a reappointment desirable.

B. Academic Appointments, Reappointments, Promotions, and Granting of Tenure

All appointments and promotions of faculty members to positions which involve (1) an actual or equivalent academic rank of associate professor or professor, (2) tenure, or (3) an initial salary above \$100,000 shall be made by the Board of Trustees, acting upon recommendation of the President. Appointments and promotions of faculty members to positions which involve an actual or equivalent academic rank below associate professor and an initial salary not exceeding \$100,000 shall be made by the President who shall report such actions to the Board of Trustees.

The President may delegate the authority to make appointments and promotions that do not require approval by the Board of Trustees. The President, following consultation with the University Senate Council, shall establish such review systems as are appropriate to assist the President, or other appropriate administrative officers designated by the President, in making informed judgments concerning academic appointments, reappointments, promotions, and granting of tenure.

References and Related Materials

KRS 164.220 - Appointment, salaries and retirement benefits of university personnel.

KRS 164.225 - Board's exclusive jurisdiction over appointments, qualifications, compensation, promotions, and retirement programs.

Administrative Regulation 1:4 - The Planning, Budgeting, and Assessment Cycle

Revision History

12/11/2001, 6/14/2005

For questions, contact: [Office of Legal Counsel](#)



Reviews of Organizational Units and Their Chief Administrative Officers

Major Topics

Program Review
Review of Chief Administrative Officers
Policies and Procedures for Reviews

I. Program Review

The performance of each educational and administrative unit in the University* shall be reviewed comprehensively at regular intervals by an ad hoc committee. The review period shall normally be from five (5) to seven (7) years.

Ad hoc review committees for educational units shall be formed principally from faculty personnel, shall normally include members internal and external to the unit being reviewed, and may include members external to the University. Review committees for administrative units shall be formed from affected constituencies, including faculty and staff employees, shall normally include members internal and external to the unit being reviewed, and may include members external to the University.

*Includes departments, schools, graduate centers, colleges, interdisciplinary instructional programs, and multidisciplinary research centers and institutes.

II. Review of Chief Administrative Officers

The performance of chief administrative officers shall be reviewed comprehensively at regular intervals. The reviews shall be designed to provide information to enhance leadership and unit effectiveness and to guide compensation and employment decisions.

Ad hoc review committees for chief administrative officers at the level of Provost, executive vice presidents, and deans shall be formed with representatives from affected constituencies and may include members external to the unit or university.

III. Policies and Procedures for Reviews

Policies and procedures for conducting program reviews and reviews of chief administrative officers, as

established by the President after consultation with appropriate administrative and faculty groups, including the University Senate and Staff Senate, are described in the *Administrative Regulations* (AR ~~1:4H-1.0-6~~). Policies and procedures for conducting reviews of department chairs and school directors, as appropriate for the individual colleges, shall be established jointly by the dean and the college faculty.

A review of the performance of any unit at other than the regular interval may be initiated by the chief administrative officer of the unit, by an administrative officer responsible for the unit, or by the President. A review of the performance of any chief administrative officer at other than the regular interval may be initiated by the officer, the officer's supervisor, or the President. Ordinarily such reviews shall also be initiated if requested by a majority of the faculty of an educational unit or the staff employees of an administrative unit. Such requests shall be submitted to the administrative officer to whom the unit reports, who shall provide a written explanation if the officer disapproves the request.

IX. References and Related Materials

Administrative Regulation 1:4 – The Planning, Budgeting, and Assessment Cycle

Revision History

01/14/1998, 06/14/2005, 06/13/2006

For questions, contact: [Office of Legal Counsel](#)



University of Kentucky Development Council

I. Introduction

This Governing Regulation establishes the University of Kentucky Development Council and defines the Council's membership. The ~~University of Kentucky~~ Development Council ~~shall serves~~ in an advisory capacity to the President and, through the President, to the Board of Trustees on matters relating to private fund development for the entire University.

II. Membership

The Development Council shall consist of not more than three hundred (300) members.

Membership of the University of Kentucky Development Council includes individuals appointed by the President and ~~four~~ **five (45)** *ex officio* members: the Chair of the Board of Trustees, the President, the Vice President for ~~Development~~ **Institutional Advancement**, ~~the chief development officer~~, and the Chair of the Student Development Council. The appointed membership may include alumni, non-alumni, residents and non-residents of Kentucky. Qualifications for appointed members are: (1) positions of leadership in a regional, state or national community or a profession; and (2) willingness to support the University's role as a leading public university committed to excellence and nationally recognized for the quality of its instruction, research, service, and graduates.

The University of Kentucky Development Council shall be managed by a Board of Directors consisting of the *ex officio* members of the University of Kentucky Development Council and up to twenty-six (26) members elected by the Development Council.

The elected members of the Board of Directors of the University of Kentucky Development Council shall include at least fourteen (14) alumni and at least two (2) members of the Board of Trustees.

Revision History

1/14/1998, 6/14/2005

For questions, contact: [Office of Legal Counsel](#)



UNIVERSITY OF
KENTUCKY
Regulations

Governing Regulation, Part XIII

Responsible Office: Board of Trustees

Date Effective: DRAFT

Supersedes Version: 6/14/2005

University Regulations

A. Governing Regulations

These *Governing Regulations* describe the composition, powers and duties of the Board of Trustees and establish policies and procedures for the performance of the Board of Trustees functions. These *Governing Regulations* contain policies established by the Board of Trustees for the governance of the University. These *Governing Regulations* delineate the duties of the President and responsibilities of the University Senate, Staff Senate, Student Government Association, the educational units and their administrative officers. The Board of Trustees makes final approval of these *Governing Regulations*.

B. Administrative Regulations

As the chief administrative officer of the University, the President is authorized by the Board of Trustees to promulgate the *Administrative Regulations*, including the *Human Resources Policies and Procedures* and the *Business Procedures Manual*. (Governing Regulations, Part II) (See also, *Administrative Regulation 1:6, Formulation and Issuance of University Governing Regulations and Administrative Regulations*)

1. *Administrative Regulations*

The *Administrative Regulations* provide interpretation and implementation of University-wide policies set forth by the Board of Trustees in these Governing Regulations and the *Minutes of the Board of Trustees*. *Administrative Regulations* promote the responsible and efficient administration of the University and the accomplishment of its goals. The President makes final approval of the *Administrative Regulations* unless Board of Trustee approval is appropriate.

The *Administrative Regulations* are available on line on the University's web site at www.uky.edu/regs.

2. *Human Resources Policies and Procedures University Employees*

The *Human Resources Policies and Procedures* ~~*Administrative Regulations*~~ define University employees and provide interpretation and implementations of University policies concerning University their employment. The President, or designee, makes final approval of the *Human Resources Policies and Procedures*.

The *Human Resources Policies and Procedures* ~~*Administrative Regulations*~~ are available on-line on the University's web site at www.uky.edu/HR/policies/.

3. *Business Procedures*

The Business Procedures Manual ~~of Administrative Policies and Procedures~~ includes information related to the purchasing of goods and services, payroll activities, accounting for financial transactions, presents policy statements to aid in decision-making and procedure steps for implementation, and assists all University departments in handling their daily business transactions. The President, or designee, makes final approval of the *Business Procedures Manual*.

The *Business Procedures Manual* is available on line on the University's web site at www.uky.edu/Regs/BPM/.

C. Amendments of these Governing Regulations

These *Governing Regulations* may be amended at any meeting of the Board of Trustees provided at least one (1) month has elapsed between proposal of the amendment(s) and final passage. The President, or the University Senate, the Staff Senate, or the Student Government Association, through the President, may recommend amendments to these *Governing Regulations* to the Board of Trustees.

The President, the University Senate, the Staff Senate, and the Student Government Association, as appropriate, shall have an opportunity to recommend on all amendments before final action by the Board of Trustees.

As the basic law of the University, these *Governing Regulations* supersede any previously approved rules or regulations in conflict therewith. Matters not specifically covered in these *Governing Regulations*, the *Administrative Regulations*, including the *Human Resources Policies and Procedures* ~~Administrative Regulations and the Business Procedures Manual~~, *University Senate Rules*, and the *By-Laws of the University of Kentucky Staff Senate* ~~and the Business Procedures~~ are governed by administrative interpretation.

The *Governing Regulations* are available on line on the University's web site at www.uky.edu/regs.

References and Related Materials

[Governing Regulation, Part II – Governance of the University of Kentucky](#)

[Administrative Regulation 1:6 - Formulation and Issuance of University Governing Regulations and Administrative Regulations](#)

[University Senate Rules](#)

[By-Laws of the University of Kentucky Staff Senate](#)

[Human Resources Policies and Procedures](#)

[Business Procedures Manual](#)

Revision History

1/14/1998, 6/14/2005

For questions, contact: [Office of Legal Counsel](#)

PR 7

Office of the President
March 27, 2012

Members, Board of Trustees:

APPROVAL OF PATENT LICENSE AGREEMENT

Recommendation: that the Board of Trustees approves the purchase of sensor products from Signal Solutions, LLC by the University per a subcontract for upgrading a health science center's sleep-wake system and for purchases of the Signal Solution's products for research at the University in the sleep-wake area through June 30, 2015.

Background: Associate Professor Bruce F. O'Hara and Professor Kevin D. Donohue are majority owners of Signal Solutions, LLC. Kentucky law prohibits an employee from having an interest in a contract with the University, unless an exception is granted by the Board of Trustees.

Governing Regulation I.D.2.(1) provides a procedure for an exception whereby employees may have an interest in a contract with the University and avoid or manage any conflict of interest. Accordingly, the University Ethics Committee evaluates five criteria, and, if it determines that there is no conflict or that the conflict or the appearance of a conflict may be managed, makes a recommendation to the President who makes a recommendation that the Board approve the relationship.

In this case, the Ethics Committee has determined the following:

- that purchase of these sensors from Signal Solutions is in the best interest of the University;
- that Dr. O'Hara and Dr. Donohue have taken all actions necessary to avoid any conflict of interest and any appearance of a conflict of interest;
- that this agreement is not subject to Kentucky Revised Statutes Chapter 45A;
- that this agreement does not present a conflict with Dr. O'Hara's or Dr. Donohue's duties as employees; and
- that this purchase and Dr. O'Hara's and Dr. Donohue's interests in the purchase are being fully disclosed to the University community.

A copy of University Ethics Committee's opinion and recommendation is attached.

Action taken: Approved Disapproved Other _____

AACR 1

Office of the President
March 27, 2012

Members, Board of Trustees:

CANDIDATE FOR DEGREE

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

Background: The individual whose names appear on the attached list completed the work leading toward the degree for which application was made at the close of the 2011 Fall Semester. Due to an administrative error the name was not previously submitted.

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

Action taken: Approved Disapproved Other _____

AACR 2

Office of the President
March 27, 2012

Members, Board of Trustees:

CHANGE IN DEGREE – COLLEGE OF AGRICULTURE

Recommendation: that the Board of Trustees approve a change in the name of the Bachelor of Science in Community Communications and Leadership Development with a major in Community Communications and Leadership Development to Bachelor of Science in Community and Leadership Development with a major in Community and Leadership Development, effective in the fall 2012 semester.

Background: The proposed change consolidates the previous separate majors of Public Service and Leadership and Agricultural Communications. The new curriculum allows students to take advantage of all areas of faculty expertise in Community Communications, Leadership, Community and Community Development, and Non-formal Education and consolidates core courses into one set of requirements instead of two.

This proposal has the approval of the Undergraduate Council, Senate Council and University Senate. The provost of the University supports this recommendation.

Action taken: Approved Disapproved Other _____

AACR 3

Office of the President
March 27, 2012

Members, Board of Trustees:

ESTABLISHMENT OF THE INSTITUTE FOR SUSTAINABLE MANUFACTURING

Recommendation: that the Board of Trustees approve the establishment of the Institute for Sustainable Manufacturing in the College of Engineering, effective April 1, 2012.

Background: The Institute for Sustainable Manufacturing (ISM) will serve as a leading international organization committed to the development and deployment of sustainable manufacturing technologies for products, processes and systems for significantly enhancing productivity, efficiency and quality through its highly effective research and outreach aimed at developing new technology for next generation manufacturing.

The ISM, a multidisciplinary research institute, will actively pursue academic research (basic and applied) with the goal of producing new and innovative manufacturing technologies at product, process and systems levels, engaging in technology transfer/deployment and industry outreach for effective dissemination of the new knowledge generated, and coordinate with relevant educational programs offered by the college and individual departments.

The ISM will be the only university-based institute worldwide to focus on sustainability from a manufacturing perspective. Because it will serve as a model for how cross-disciplinary and interdisciplinary research can be brought to bear successfully on urgent 21st century problems, the ISM will help bring talented and adventurous students and faculty with relevant and unique expertise to the University and raise our profile for innovative approaches to R&D and technology transfer. Bringing faculty together from a number of different colleges, departments and centers will create synergies that enable more ambitious and effective research projects in sustainable manufacturing and the successful pursuit of large-scale cross disciplinary funding.

The proposal has been reviewed and recommended by the Senate Committee on Academic Organization and Structure and the Senate Council. The University Senate approved the proposal based upon academic merits, and endorsed the establishment of the Institute based upon non-academic merits. The provost of the University supports the establishment of the Institute.

Action taken: Approved Disapproved Other _____

FCR 1

Office of the President
March 27, 2012

Members, Board of Trustees:

PATENT ASSIGNMENT REPORT

Recommendation: that the Board of Trustees accept the patent assignment report for the period October 1 through December 31, 2011.

Background: The March 4, 1997 meeting of the Board of Trustees authorized the University of Kentucky Research Foundation to conduct all future copyright and patent filings and prosecutions. Quarterly reports on patent and copyright applications are to be submitted to the Finance Committee of the Board.

Action taken: Approved Disapproved Other _____

NCR 1

Office of the President
March 27, 2012

Members, Board of Trustees:

APPOINTMENT OF TRUSTEE TO THE UNIVERSITY OF KENTUCKY
RESEARCH FOUNDATION BOARD OF DIRECTORS

Recommendation: that the Board of Trustees approve the appointment of Mr. William C. Britton as a Trustee member to the University of Kentucky Research Foundation (UKRF) Board of Directors for a term ending September 30, 2014.

Background: In accordance with the Bylaws of the University of Kentucky Research Foundation, two members shall be from the Board of Trustees. The term shall be for three years. Trustee appointments to affiliated boards must be approved by the Nominating Committee before submission to the Board. Mr. Britton is replacing former Board member Dr. Joe Peek who resigned from the Board of Trustees December 30, 2011.

Action taken: Approved Disapproved Other _____