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Minutes of the Meeting of the Board of Trustees of the University of Kentucky, Tuesday, September 19, 1989.

The Board of Trustees of the University of Kentucky met at 1 p.m. Lexington time on Tuesday September 19, 1989 in the Board Room on the 18th floor of the Patterson Office Tower on the Lexington Campus.

A. Meeting Opened

Mr. Foster Ockerman, Sr., Chairman, called the meeting to order at 1:00 p.m., and the invocation was pronounced by Judge Julia Tackett.

B. Roll Call

The following members of the Board of Trustees answered the call of the roll: Mr. Foster Ockerman, Sr. (Chairman), Mr. Ted B. Bates, Professor Raymond F. Betts, Jr., Governor Albert B. Chandler, Professor Mary Sue Coleman, Mr. Tracy Farmer, Mr. Lawrence E. Forgy Jr., Mrs. Edythe Jones Hayes, Senator Walter D. Huddleston, Mr. Sean Lohman, Dr. Nicholas J. Pisacano, Professor Judith Rhoads, Mr. James L. Rose, Judge Robert F. Stephens, Mr. Jerome A. Stricker, Mr. William B. Sturgill, and Judge Julia K. Tackett. Absent from the meeting were Mr. William E. Burnett, Jr., Mr. Billy B. Wilcoxson, and Judge Henry R. Wilhoit, Jr. The University administration was represented by President David P. Roselle; Chancellors Peter P. Bosomworth, Robert Hemenway and Charles T. Wethington; Vice Presidents Edward A. Carter, Wimberly C. Royster and Eugene R. Williams; and Mr. John C. Darsie, General Counsel.

Members of the news media were also in attendance. Mrs. Hayes reported a quorum present, and Mr. Ockerman declared the meeting officially open for the conduct of business at 1:03 p.m.

C. Nomination of Officers and Executive Committee

Under the Governing Regulations, officers of the Board and the Executive Committee are elected annually at the September meeting. Mr. Ockerman, who had appointed a Nominating Committee comprised of Senator Huddleston (Chairman), Mr. Burnett, Professor Coleman, Mrs. Hayes, Mr. Rose, Mr. Wilcoxson, and Judge Wilhoit, called on Senator Huddleston to present the Committee's recommendations and asked Mr. Sturgill to preside in receiving the nominations and actions.

Senator Huddleston placed the following slate of officers for 1989-90 in nomination:

Foster Ockerman, Sr., Chairman
William E. Burnett, Jr., Vice Chairman
Edythe Jones Hayes, Secretary
John C. Darsie, Assistant Secretary

There being no nominations from the floor, on motion by Senator Huddleston, seconded by Mr. Rose and passed, the slate was elected as proposed.

Senator Huddleston placed the following slate of Executive Committee members for 1989-90 in nomination:

Foster Ockerman, Sr. Chairman
William E. Burnett, Jr.
Tracy Farmer
James L. Rose
Lawrence E. Forgy, Jr.

Mr. Sturgill asked for any discussion or nominations from the floor and there were none. On motion by Senator Huddleston, seconded by Jerome Stricker and passed, the slate was elected as proposed.

Mr. Ockerman expressed appreciation to the members of the Board and assured them that he would work with the members of the Board, the administration, the Governor and the legislature to get something done for education.

Mr. Ockerman stated that these are challenging times -- the period the University of Kentucky and higher education is about to enter and the many problems that face the State of Kentucky. He referred to the recent workshop sponsored by the Council on Higher Education and stated that it was indeed a worthwhile session. He noted that approximately half of the Board members were present for the workshop and stated that a number of politicians were in attendance: Former Governors Edward Breathitt and Louie Nunn, Mr. Larry Forgy, and Mr. Wendell Ford. All of the politicians had, he said, expressed the opinion that now is the time for those interested in higher education to get to work to not only sell the product but sell the need for improvement. Mr. Ockerman explained that this needs to be done in a practical manner by working for the people that are responsible for getting the budget adopted in its final form -- the Governor and the members of the legislature.

Mr. Forgy stated that now is the time to put the needs of the State of Kentucky ahead of some of the possibilities of re-election of certain members of the legislature of Kentucky. After citing several remarks from former governors, he expressed that higher education must be kept in the same boat with the remainder of education. He noted that the politicians do not agree on the best method to present higher education's case. He indicated that at the conclusion of the workshop, it was understood that a formula would be devised along with a method for accomplishment and everyone would work together for that purpose. Mr. Forgy also expressed appreciation to the members of the Board that attended the workshop.

Mr. Ockerman stated that the Budget Request would be considered later in the meeting and noted the considerable amount of time the members had spent not only in work sessions but also reading the document. He pointed out that the document is a request, and if the request is adopted, there is a lot of work that must follow. It is hoped that a program will be put forward later indicating how everyone can participate in the measure. The purpose will be to get the best benefit possible even though it may not be as much as the request.

D. Minutes Approved

Mr. Ockerman stated that the Minutes of the August 22, 1989 Board of Trustees meeting had been distributed and asked for corrections or additions. The Minutes were approved as distributed.

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

Before beginning PR 1, President Roselle joined Mr. Ockerman in thanking the members of the Board that were able to attend the Council on Higher Education Workshop in Louisville. He expressed appreciation to the members and stated that it was a good meeting.

He also expressed appreciation for the extra time the members had spent attending budget briefings. He noted that this is an extremely important year for everyone to understand the budget and to be able to say things that are supportive of the request.

President Roselle then called attention to the following items in the special bulletin to the UK Board of Trustees published by the College of Fine Arts:

October 12 - The Rosemary Clooney Homecoming Concert Event
October 13 - UK Marching Band in a concert setting
October 17 - UK College of Fine Arts Benefit Performance
Doc Severinsen, Trumpet, headlines the performance

President Roselle reported that one of the long-time members of the media, Dick Wilson, had suffered a heart attack. He asked the members to sign a get well card and wished Mr. Wilson a speedy recovery.

Mr. Sturgill put President Roselle's comments in the form of a Resolution, and it was adopted by acclamation.

President Roselle called particular attention to the following items in PR 1:

Another record enrollment represents a nearly six percent overall increase. The 14 community colleges have a 3,000-plus growth while the Lexington Campus is seeing some stability in enrollment. The stability in enrollment, however, is by design. This year there is a slight increase in enrollment with a substantially smaller freshman class which signifies growth in the Graduate programs and retention of the young people who have cast their educational future with the University in Lexington.

The University Hospital's Aeromedical Service celebrated its second anniversary, and it is a record of success for the first two years.

The Community College System in cooperation with the Bluegrass State Skills Corporation has initiated a mobile business and industry program, the first of its kind in Kentucky. The program will offer on-site, hands-ons experience with highly technical equipment. The unit is a specially designed vehicle donated by the Ford Motor Company.

Thomas R. Ford, director, Center for Developmental Change and professor of sociology, has become the third member of the sociology faculty to be awarded the title Distinguished Rural Sociologist by the Rural Sociological Society.

The Community Fine Arts Center at Madisonville Community College was dedicated on September 6, with Governor Wallace Wilkinson as the principal speaker. The citizens of Madisonville, Kentucky contributed more than $1.1 million to the success of the project.

President Roselle also called attention to the significant activities of the faculty and staff.

F. Personnel Actions (PR 2)

President Roselle recommended that approval be given to the appointments, actions and/or staff changes that require Board action and that the report relative to appointments and changes already approved by the administration be accepted. Mr Stricker moved, and Professor Betts seconded, that PR 2 be approved. The motion carried unanimously. (See PR 2 at the end of the Minutes.)

G. Amendments to the Governing Regulations (PR 3A)

President Roselle recommended that the proposed amendments to the Governing Regulations of the University of Kentucky which were received by the Board at its August 22, 1989 meeting be approved. He provided an explanation of the proposed amendments and stated that the amendments were bookkeeping in nature. Mr. Bates so moved. His motion was seconded by Dr. Pisacano and carried. (See PR 3A at the end of the Minutes.)

H. Approval of an Agreement Between University of Kentucky and University of Kentucky Student Agencies, Inc. (PR 5A)

President Roselle recommended that the Board of Trustees approve the agreement between the Board of Trustees of the University of Kentucky and University of Kentucky Student Agencies, Inc. for the period of July 1, 1989 through June 30, 1990. The contract was negotiated pursuant to the Board of Trustees action of May 4, 1982, establishing a "Student Service Program." He noted that there were no changes from the contract approved last year. Mr. Sturgill moved approval. His motion was seconded by Mr. Lohman and passed. (See PR 5A at the end of the Minutes.)

I. Acceptance of Audit Reports for the University of Kentucky for 1988-89 (FCR 1)

Mr. Forgy, Chairman of the Finance Committee, reported that FCR 1 is the audit for the fiscal year 1988-89, and stated that it has a clean opinion from Coopers & Lybrand. He moved its adoption. The motion, seconded by Senator Huddleston, carried without dissent. (See FCR 1 at the end of the Minutes.)

J. Disposal of Personal Property (FCR 2)

Mr. Forgy stated that FCR 2 addresses the disposal of personal property under the statutes. He reviewed some of the items in Exhibit I and moved its adoption. His motion was seconded by Dr. Pisacano and passed. (See FCR 2 at the end of the Minutes.)

K. Capital Construction Report (FCR 3)

After reminding the Board that the Capital Construction Report was in compliance with House Bill 622, Mr. Forgy moved it adoption. The motion was seconded by Mrs. Hayes and unanimously carried. (See FCR 3 at the end of the Minutes.)

L. Strategic Plan and Biennial Request 1990-92 (FCR 4)

Mr. Forgy deferred FCR 4 to President Roselle and reserved the right to make a motion at the conclusion of President Roselle's presentation.

President Roselle called on Mr. Carter to make the budget presentation.

Mr. Carter stated that the budget request is a critical request for the University and the Commonwealth. It contains two significant items:

(1) The Strategic Plan

The Strategic Plan for the University of Kentucky establishes the long-term direction for the institution. The Plan will be reviewed and updated in terms of any external and internal changes that may take place through time. The Plan provides a sense of direction for the institution including goals, objectives and strategies. The Plan will provide a filter through which the administration will allocate scarce resources and a means for assessing the accomplishments of the institution.

(2) Biennial Budget Request

The Biennial Budget Request is developed under the Strategic Plan and set forth to accomplish the goals outlined in the Plan. It is developed in the context of full formula funding of the Council on Higher Education formula and is done in accordance with other guidelines and time frame that are

dictated by the Council by statute. The approved request will go from the University to the Council on Higher Education, the Governor, and the legislature and will result in the passage of an appropriations bill by the legislature in late spring, 1990.

Mr. Carter provided a brief overview of the budget. He discussed the priorities for the Main Campus and the Community College System and reminded the members that the legislature had previously appropriated only a half year's debt service for bonds issued in the 1988-90 biennium. Therefore, the University does not have enough resources to pay the annual debt service -- lacking $400,000 on the Main Campus issue and $800,000 in the Community College System issue. He stated that if the debt service is not appropriated by the legislature, it will have to come out of other sources of the institution.

Mr. Carter provided a breakdown of the budget request -- 5% salary increase to employees of the institution, 5% increase for supplies and services, 5% increase on the capital outlay, and a 15% increase for library materials. He then gave a breakdown of the cost of the various programs at the University and noted that much of the revenue anticipated in the next biennium is already committed for existing programs. He reviewed the competitive problems in salaries and benefits (retirement, health insurance, and life insurance), and stated that these were the big items that needed additional funding. After noting the continued increase in enrollment in the Community College System, he reviewed the capital construction needs for the community colleges and concluded his presentation.

President Roselle stated that he was proposing a significant change in the Biennial Budget Request for the Board's consideration and expressed hope that the change would have their approval.

President Roselle provided some background information by stating that the administration developed the budget in the context of the new Strategic Plan for the University and under the guidelines of the Council on Higher Education. He explained that during the past year the Council had revised their guidelines based on a statutory required review of the formula for funding higher education in the Commonwealth of Kentucky. He stated that the review process resulted in an affirmation of funding higher education in the Commonwealth by way of a formula which the the Council on Higher Education already has in place. The administration of the University endorses the continuation of the formula review process and is pleased with the conclusion.

He stated that there is a provision in the Council guidelines which enables universities to request funds either over or under the formula generated amount. He noted that the state's statute which prescribes the process for developing the budget for the public institutions in Kentucky, according to the Council on Higher Education guidelines, permits the Board to deviate from the formula. If there is good reason for such deviation, a budget request which does not strictly follow the Council guidelines can be made.

President Roselle, therefore, proposed that the University deviate from the Council guidelines and requested that the Board approve a biennial budget in an amount that would have been generated by the 1982 formula, reducing the request to the Commonwealth of Kentucky by $10.2 million.

He stated that it is clear that the Commonwealth of Kentucky is at a critical crossroads in its educational programs at every level, and those in higher education want the elementary and secondary schools in the state to meet with success. The University of Kentucky supports improvements in the Commonwealth's educational programs from preschool through elementary, secondary and higher education. The improvements, however, are going to need additional funding from the state.

He pointed out that other state programs are at a critical juncture (prisons, human resources, transportation, etc.), and these programs will also require additional funding. He stated that now is the time for one of the single largest components of the education program of the state, the University of Kentucky, to be understanding of the totality of the economic needs of the Commonwealth. This is a time for all components of state government to work together. The University of Kentucky should look forward to being a partner with Governor Wilkinson and the legislature as they attempt to address the state's problems and help to advance all of the critical programs of the Commonwealth.

He explained that the proposed revision, to trim the biennial budget request back by $10.2 million, will bring the University of Kentucky's request to the Council on Higher Education, the Governor, and the Kentucky General Assembly in line with what would have been produced by the formula prior to the Council's revision of it last year. In addition, President Roselle proposed that the University follow the same procedure until higher education in Kentucky reaches a funding level which would be closer to full funding of the 1982 formula. He explained that this can be done by deferring some of the programmatic priorities toward the bottom of the list; however, priorities dealing with faculty and staff would remain at the top of the list. The faculty and staff priorities will be retained in any revised budgetary request. He emphasized that the faculty and staff are the most important assets that the University has and the administration looks forward to bringing them up to competitive levels of salary and fringe benefits.

President Roselle pledged to the Board that he would work with the Council and other public universities in getting them to join the University in this demonstration of fiscal responsibility. A revised FCR 4 was distributed to the Board. President Roselle asked the Chairman and the members of the Finance Committee to support the revised request and recommend its adoption to the full Board.

Mr. Forgy moved the adoption of FCR 4 as revised. The motion was seconded by Senator Huddleston.

Mr. Ockerman expressed appreciation to President Roselle, Mr. Carter, Ms. Joan McCauley and other members of the University staff for the considerable amount of time and effort put in the budget. He also thanked the members of the Board for the interest they exhibited in attending a number of budget/strategic plan work sessions.

Senator Huddleston commended President Roselle for his action and stated that it is a real demonstration of leadership by the institution in an area that can be very difficult. The University will achieve greater success by being realistic even though it is not unrealistic to think of the total figure in terms of the University's needs and the needs for higher education throughout the state. He stated that it is a realistic approach and the Board should accept it. The University and higher education throughout the Commonwealth will fare much better because of it.

Mr. Sturgill stated that he echoed Senator Huddleston's remarks. By acting affirmatively on President Roselle's recommendation, the proper kind of signals will be sent regarding the Board's concern about the availability of public fund dollars for higher education and certainly the Board's willingness to work with other institutions as well as the Council, the Governor and the legislature.

Mr. Ockerman reminded the members that as a part of the motion they would also be adopting the Strategic Plan. He reiterated that it is a good document and the people who worked on it are to be congratulated. The document will serve as a guide and a measuring point for the Board. FCR 4 was voted on and passed unanimously. (See the Revised FCR 4 at the end of the Minutes.)

M. 1989-90 Budget Revisions (FCR 5)

Mr. Forgy stated that FCR 5 consists of routine budget revisions that occur as the budget is implemented, and he moved it adoption. The motion was seconded by Dr. Pisacano and carried. (See FCR 5 at the end of the Minutes.)

N. Resolution of the Board of Trustees of the University of Kentucky Accepting the Successful Bid for the Purchase of $9,200,000 Principal Amount of University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series K, Dated September 1, 1989 (FCR 6)

Mr. Forgy announced that bids had been received for the purchase of University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series K, dated September 1, 1989, on this date of September 19, 1989, pursuant to a Notice of Sale of Bonds which had been published. Such bids had been referred to the Treasurer of the Board and the Fiscal Agent of the University for analysis. The Finance Committee had considered such bids and was recommending that the best bid be accepted as had been recommended by the Treasurer and the Fiscal Agent with reference to the issuance of such Bonds.

The Treasurer and the Fiscal Agent presented to the Finance Committee, after the analysis, the best offer for the purchase of said Consolidated Educational Buildings Revenue Bonds, Series K, dated September 1, 1989, and thereupon Mr. Forgy moved that a Resolution, the form of which had been distributed to the members of the Board of Trustees prior to the meeting and was available at such meeting, be adopted, which Resolution was entitled:

RESOLUTION OF THE BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY ACCEPTING THE SUCCESSFUL BID FOR THE PURCHASE OF $9,200,000 PRINCIPAL AMOUNT OF UNIVERSITY OF KENTUCKY CONSOLIDATED EDUCATIONAL BUILDINGS REVENUE BONDS, SERIES K, DATED SEPTEMBER 1, 1989.

The motion for adoption of said Resolution was seconded by Trustee Stephens. Upon a vote being taken on such motion the result was as follows:

| Yeas for the Motion | Nays for the Motion | Abstain |
|---|---|---|
| Ted B. Bates | | Jerome A. Stricker |
| Raymond F. Betts | | |
| Albert B. Chandler | | |
| Mary Sue Coleman | | |
| Tracy Farmer | | |
| Lawrence E. Forgy, Jr. | | |
| Edythe Jones Hayes | | |
| Walter D. Huddleston | | |
| Sean Lohman | | |
| Foster Ockerman, Sr. | | |
| Nicholas J. Pisacano | | |
| Judith Rhoads | | |
| James L. Rose | | |
| Robert F. Stephens | | |
| William B. Sturgill | | |
| Julia K. Tackett | | |

Thereupon, the Chairman declared that such motion had carried and that such Resolution, a copy of which Resolution is attached to the Minutes of this meeting, was adopted. (See FCR 6 at the end of the Minutes.)

O. Memorandum of Agreement Between the University of Kentucky and the Office for Investment and Debt Management (ICR 1)

Mr. Stricker, Chairman of the Investment Committee, provided background information about ICR 1. He stated that Mr. Owen had been working with the Investment Committee for many months on how to improve the total return on short-term investments. ICR 1 presents the findings and results of the study. He explained that the Office of Investment and Debt Management (OIDM) of the Commonwealth of Kentucky will assist the University in a short-term investment program. It will provide market information and economic forecasts to

the University, assist in placing and executing short-term investments, and provide access to the state's securities lending program. All investment decisions, however, will be made by the University under the authority of the Investment Committee of the Board of Trustees and not by the OIDM. With the assistance of OIDM, the Investment Committee believes that the University can enhance the investment earnings from short-term investments. He noted that there is a modest fee involved which basically covers their expenses to provide the service, and stated that OIDM is already doing work for the University in the area of overnight repurchase agreements. He moved that ICR 1 be approved, and the motion was seconded by Mr. Bates. Mr. Ockerman confirmed that ICR 1 had the support of the Investments Committee, and the motion passed.

P. Committee Appointments

Mr. Ockerman announced that he would be making the committee appointments and everyone would be notified.

Q. Meeting Adjourned

There being no further business to come before the Board, the Chairman adjourned the meeting at 2:00 p.m.

Respectfully submitted,

Edythe Jones Hayes
Secretary
Board of Trustees

(PR's 2, 3A, and 5A; FCR's 1, 2, 3, 4, 5, and 6 which follow are official parts of the Minutes of the meeting.)

/5691

Office of the President
September 19, 1989

PR2

Members, Board of Trustees:

PERSONNEL ACTIONS

Recommendation: (1) that approval be given to the attached appointments, actions and/or other staff changes which require Board action; and (2) that the report relative to appointments and/or changes already approved by the administration be accepted.

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

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Action taken: Approved ✓ Disapproved _____ Other _____

Date: September 19, 1989

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# COMMUNITY COLLEGE SYSTEM

## I. BOARD ACTION

### A. ADMINISTRATIVE APPOINTMENTS

Paducah Community College

Adams, Neil D., Professor in the Community College System (with tenure), Chairman, Division of Sciences and Related Technologies, 8/1/89 through 6/30/92.

Somerset Community College

Findt, William C., Assistant Professor in the Community College System, Dean of Academic Affairs, 8/21/89.

### B. RETIREMENTS

Public Relations

Evans, Mildred A., Graphic Artist, after 15 consecutive years of service, under Section III.A.1(a) of AR II.1-6-1, effective September 5, 1989.

Maysville Community College

Jefferson, Gene D., Audio-Visual Technician in the Community College System, after 20 consecutive years of service, under Section III.A.2(b) of AR II 1.6-1, effective November 6, 1989.

## II. ADMINISTRATIVE ACTION

### A. ACADEMIC APPOINTMENTS

Transfer from Hopkinsville Community College to Lexington Community College

Edney, James, Librarian IV in the Community College System, 8/21/89 through 6/30/90.

Transfer from Somerset Community College to Jefferson Community College

Patel, Amrit, Assistant Professor in the Community College System, 7/1/89 through 6/30/90.

Ashland Community College

Back, Jackie, Instructor in the Community College System, 8/1/89 through 6/30/90.
Christian, Sue, Instructor in the Community College System, 8/1/89 through 12/31/89.
D'Aoust, Jean-Jacques, Instructor in the Community College System, 8/1/89 through 6/30/90.
Dillon, Amy P., Instructor in the Community College System 8/1/89 through 6/30/90.
Lynd, Mary E., Assistant Professor in the Community College System, 8/1/89 through 6/30/90.
Messer, Sharon, Instructor in the Community College System, 8/1/89 through 6/30/90.
Miller, Debra G., Instructor in the Community College System, 8/1/89 through 6/30/90.
Salih, Sabah, Instructor in the Community College System, 8/1/89 through 6/30/90.
Strauss, Jeanne H., Assistant Professor in the Community System, 8/1/89 through 6/30/90.
Sullivan, Susan, Instructor in the Community College System, 8/1/89 through 6/30/90.
Weaver, Samuel, Instructor in the Community College System, 8/1/89 through 6/30/90.

Elizabethtown Community College

Reiss, Mary Anne, Assistant Professor in the Community College System, 8/1/89 through 6/30/90.
Rinaldi, Deborah G., Instructor in the Community College System, 8/1/89 through 6/30/90.

Hazard Community College

Arduini, Tony, Instructor in the Community College System, 8/1/89 through 6/30/90.
Ellenberger, Gary N., Assistant Professor in the Community College System, 8/1/89 through 6/30/90.
Flannery, Madeline K., Instructor in the Community College System, 8/1/89 through 6/30/90.
Hodges, L. Riley, Assistant Professor in the Community College System, 8/1/89 through 6/30/90.
Hogg, Deborah K., Instructor in the Community College System, 8/1/89 through 6/30/90.
Phipps, Sandra, Instructor in the Community College System, 8/7/89 through 6/30/90.
Reed, Debra, Instructor in the Community College System, 8/21/89 through 12/31/89.
Strickland, William M., Instructor in the Community College System, 8/1/89 through 6/30/90.

Lexington Community College

Brady, Barbara B., Assistant Professor in the Community College System, 8/1/89 through 6/30/90.
Haskett, Cynthia S., Instructor in the Community College System, 8/7/89 through 6/30/90.
Knapp, Karen, Instructor in the Community College System, 8/14/89 through 12/31/89.
Kolasa, James R., Instructor in the Community College System, 8/15/89 through 6/30/90.
McDaniel, Gina G., Instructor in the Community College System, 8/25/89 through 6/30/90.
Ruggles, Doug, Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92
Soo, Diana L., Instructor in the Community College System, 8/1/89 through 5/31/90.

Madisonville Community College

Bennett, Tate R., Instructor in the Community College System, 8/1/89 through 6/30/90.
Champion, Elaine M., Instructor in the Community College System, 8/1/89 through 6/30/90.
Davis, Susan K., Instructor in the Community College System, 8/1/89 through 6/30/90.
Lindeman, Peter V., Instructor in the Community College System, 8/1/89 through 6/30/90.
Maddocks, Ruth Ann, Instructor in the Community College System, 8/1/89 through 6/30/90.
Phillips, Kenneth J., Instructor in the Community College System, 8/1/89 through 6/30/90.
Ramsey, M. Cecilia, Assistant Professor in the Community College System, 8/1/89 through 6/30/90.

Maysville Community College

Braboy, James M., Assistant Professor in the Community College System, 8/1/89 through 6/30/90.
Frye, Wayne T., Assistant Professor in the Community College System, 8/1/89 through 6/30/90.
Grannis, Elisabeth L., Instructor in the Community College System, 8/1/89 through 6/30/90.

Owensboro Community College

Dayman, Christopher M., Assistant Professor in the Community College System, 8/1/89 through 6/30/90.

Paducah Community College

Ghaicepour, Gholam Hassan, Instructor in the Community College System, 8/1/89 through 6/30/90.

Rushing, Randall L., Instructor in the Community College System, 8/1/89 through 6/30/90.
Vos, John D., Instructor in the Community College System, 8/1/89 through 6/30/90.

Prestonsburg Community College

Cunningham, Rose Ann, Instructor in the Community College System, 8/1/89 through 6/30/90.
Lewandowski, Eileen M., Instructor in the Community College System, 8/1/89 through 6/30/90.
Lowry, Gregory K., Assistant Professor in the Community College System, 8/1/89 through 6/30/90.
Monson, Barbara J., Assistant Professor in the Community College System, 8/1/89 through 6/30/90.
Ojan, Raphie S., Instructor in the Community College System, 8/1/89 through 6/30/90.
Perry, Melissa L., Instructor in the Community College System, 8/1/89 through 6/30/90.
Perry, Robert L., Assistant Professor in the Community College System, 8/1/89 through 6/30/90.
Thomas, Shirley L., Instructor in the Community College System, 8/1/89 through 6/30/90.

Somerset Community College

Findt, William C., Assistant Professor in the Community College System, 8/21/89 through 6/30/90.
Howard, Buford P., Assistant Professor in the Community College System, 8/14/89 through 6/30/90.
Jacques, Kenneth R., Assistant Professor in the Community College System, 8/1/89 through 6/30/90.
Speck, F. Elizabeth, Instructor in the Community College System, 8/21/89 through 6/30/90.

Southeast Community College

Anderson, Christian D., Assistant Professor in the Community College System, 8/1/89 through 6/30/90.
Atkins, James M., Assistant Professor in the Community College System, 8/1/89 through 6/30/90.
Bargo, Bonnie L., Instructor in the Community College System (voluntary), 8/23/89 through 12/16/89.
Croushorn, Susan, Instructor in the Community College System (voluntary), 8/23/89 through 12/16/89.
Gaddie, Gerald L., Instructor in the Community College System (voluntary), 8/23/89 through 12/16/89.
Gibson, Madeline, Instructor in the Community College System, 8/1/89 through 6/30/90.
Hickey, Elaine, Instructor in the Community College System (voluntary), 8/23/89 through 12/16/89.
Jones, Lynn Y., Instructor in the Community College System, 8/1/89 through 6/30/90.

Lux, Maryanne, Instructor in the Community College System, 8/1/89 through 6/30/90.
Miller, Evelyn, Instructor in the Community College System, 8/16/89 through 12/31/89.
Silver, Roy, Assistant Professor in the Community College System, 8/1/89 through 6/30/90.
Weierich, Andre' J., Assistant Professor in the Community College System, 8/1/89 through 6/30/90.

B. REAPPOINTMENTS

Jefferson Community College

Truitt, Judi, Instructor in the Community College System, 8/1/89 through 12/31/89.

Lexington Community College

Baker, Johnny K., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Beihn, Robert, Instructor in the Community College System (voluntary), 8/1/89 through 12/31/89.
Brandenburg, Sara S., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92
Brown, Thomas K., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Carroll, Wesley G., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Collins, Barry R., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Collins, Judith A., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Coupal, John J., Instructor in the Community College System (voluntary), 1/1/90 through 6/30/90.
Eads, Joe L., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Farris, James K., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Gross, Kelly K., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Hall, Ray, Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Heath, Anne L., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Highland, Denise R., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92
Holland, William O., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92
King, Darryl W., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
King, Patsy A., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.

Kissman, Richard A., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92
Little, Stephen, Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Magoun, Sylvia, Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
McCrady, Charles A., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92
McCrady, Rosemary, Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Scully, Bridget, Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Simmons, Guy H., Instructor in the Community College System (voluntary), 8/1/89 through 12/31/89.
Smith, Leisha S., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Stipp, Vickie H. Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Wierzbinski, Becky, Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Wilcox, David G., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.
Wolverton, Lloyd K., Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92
Younger, Robyn, Instructor in the Community College System (voluntary), 7/1/89 through 6/30/92.

Madisonville Community College

Bowles, Delores L., Instructor in the Community College System, 7/1/89 through 6/30/90.
Hailey, William J., Assistant Professor in the Community College System, 7/1/89 through 6/30/90.
Hodge, Phillip L., Instructor in the Community College System, 7/1/89 through 6/30/90.
Leasure, Anna L., Instructor in the Community College System, 7/1/89 through 6/30/90.
Lovingood, Deborah F., Instructor in the Community College System, 7/1/89 through 6/30/90.

Maysville Community College

Hall, Cindy F., Instructor in the Community College System, 8/1/89 through 6/30/90.

Paducah Community College

Cartwright, Christopher, Assistant Professor in the Community College System, 7/1/89 through 6/30/90.

Prestonsburg Community College

Campbell, Robert E., Instructor in the Community College System, 8/1/89 through 6/30/90.
Logsdon, Kathy A., Assistant Professor in the Community College System, 8/1/89 through 6/30/90.

Southeast Community College

Garrison, Neville, Instructor in the Community College System (voluntary), 8/23/89 through 12/16/89.
Hubbard, Richard, Instructor in the Community College System (voluntary), 8/23/89 through 12/16/89.
Lewis, Cheryl L., Instructor in the Community College System, 7/1/89 through 6/30/90.
Sherr, Blanche, Instructor in the Community College System, 8/15/89 through 12/31/89.

LEXINGTON CAMPUS

I. BOARD ACTION

A. ACADEMIC APPOINTMENTS

College of Arts and Sciences

Ammar, Gregory S., Visiting Associate Professor, Mathematics, 8/16/89 through 5/15/90.
Steirn, Janice N., Visiting Assistant Professor, Psychology, 7/1/89 through 6/30/90.

College of Engineering

Stevens, James D., Associate Professor (temporary), Civil Engineering, 8/16/89 through 5/15/90.

B. JOINT APPOINTMENTS

College of Arts and Sciences

Brock, Gregory W., Associate Professor (with tenure), Family Studies, College of Home Economics, joint appointment as Associate Professor (without tenure), Psychology, 7/1/89 through 6/30/92.

College of Home Economics

Quandt, Sara A., Associate Professor (with tenure), Anthropology, College of Arts and Sciences and Associate Professor (without tenure), Behavioral Science, College of Medicine, joint appointment as Associate Professor (without tenure), Nutrition and Food Science, 7/1/89 through 6/30/92.

C. RETIREMENTS

Vice Chancellor for Student Affairs

Scott, Anthony O., Custodial Supervisor I, Student Center Director's Office, after 21 consecutive years of service, under Section III.B of AR II-1.6-1, effective 9/29/89.
Weaver, Addie Mae, Staff Assistant VIII, Residence Life, after 15.5 consecutive years of service, under Section III.B of AR II-1.6-1. effective 9/8/89.

D. EARLY RETIREMENTS

College of Arts and Sciences

Dunn, Hilda B., Senior Administrative Assistant - Exempt, Spanish and Italian, after 22 consecutive years of service, under Section III.A.2(b) of AR II-1.6-1, effective 9/30/89.

*Special Title Series

College of Engineering

Hutchinson, John W., Professor (with tenure), Civil Engineering, after 25.5 consecutive years of service, under Section III.A.2(b) of AR II-1.6-1, effective 12/31/89.

College of Social Work

Rudd, Martha C., Senior Administrative Assistant - Exempt, after 30.5 consecutive years of service, under Section III.A.2(b) of AR II-1.6-1, effective 10/20/89.

Vice Chancellor for Academic Affairs

Rice, Nicholas M., Administrative Staff Officer III, International Affairs, after 30 consecutive years of service, under Section III.A.2(a) of AR II-1.6-1, effective 9/30/89.

Vice Chancellor for Administration

Florian, Lester F., Roofer, Carpentry Shop, Physical Plant Division, after 24 consecutive years of service, under Section III.A.2(b) of AR II-1.6-1, effective 12/21/89.

Phillips, William C., Painter First Class, Paint Shop, Physical Plant Division, after 24 consecutive years of service, under Section III.A.2(b) of AR II-1.6-1, effective 10/16/89.

Silkirk, Orion A., Custodial Supervisor I, Undergraduate Housing, Auxiliary Services, after 34.5 consecutive years of service, under Section III.A.1(b) of AR II-1.6-1, effective 9/29/89.

E. POST-RETIREMENT APPOINTMENT

College of Agriculture

Rodriguez, Lorraine D., Extension Specialist, Entomology, 10/1/89 through 10/31/89.

II. ADMINISTRATIVE ACTION

A. ACADEMIC APPOINTMENTS

College of Arts and Sciences

Collins, Timothy, Instructor (part-time), Sociology, 8/16/89 through 12/31/89.

Finney, Nikky, Assistant Professor (temporary), English, 8/16/89 through 5/15/90.

Holle, Bruce F., Instructor (part-time), Classics, 8/16/89 through 12/31/89.

Leedham, Cynthia, Instructor (part-time), Sociology, 8/16/89 through 12/31/89.

Nnoromele, Patrick C., Assistant Professor (temporary), Philosophy, and Assistant Professor (temporary), Honors, Academic Affairs, 8/16/89 through 5/15/90.

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*Special Title Series

Pool, Christopher A., Instructor (part-time), Anthropology, 8/16/89 through 5/15/90.
Taylor, Craig H., Instructor (part-time), Sociology, 8/16/89 through 12/31/89.
Tian, Alice Wenkan, Instructor (part-time), Russian and Eastern Studies, 8/16/89 through 12/31/89.

College of Communications

Ryan, Elizabeth H., Visiting Assistant Professor, Journalism, 8/16/89 through 5/15/90.

College of Engineering

Athanasopoulos, George A., Visiting Associate Professor, Civil Engineering, 8/1/89 through 1/31/90.

College of Fine Arts

Bloomfield, Philip J., Instructor (part-time), Art, 8/16/89 through 12/31/89.
Brock, Walter L., Instructor (part-time), Art, 8/16/89 through 12/31/89.
Ettensohn, Beth, Instructor (part-time), Art, 8/16/89 through 12/31/89.
Felty, William H., Instructor (part-time), Theatre, 8/16/89 through 5/15/90.
Freyman, Marcia H., Instructor (part-time), Art, 8/16/89 through 12/31/89.
May, Robert C., Instructor (part-time), Art, 8/16/89 through 12/31/89.
Mendes, Guy M., Instructor (part-time), Art, 8/16/89 through 12/31/89.
Pickett, Irwin L., Instructor (part-time), Art, 8/16/89 through 12/31/89.
Shepherd, Robert M., Instructor (part-time), Art, 8/16/89 through 12/31/89.
Stanko, Julie, Instructor (part-time), Art, 8/16/89 through 12/31/89.
Yaes, Joyce, Instructor (part-time), Art, 8/16/89 through 12/31/89.

College of Home Economics

Hay, Audrey, Adjunct Assistant Professor, Nutrition and Food Science, 7/1/89 through 6/30/92.

B. ADMINISTRATIVE APPOINTMENTS

College of Agriculture

Timoney, Peter J., Professor (with tenure), Veterinary Science, appointed Acting Chairman, Veterinary Science, 9/1/89 through 6/30/90, and Acting Director, Gluck Equine Research Center, 9/1/89 through 6/30/90.

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*Special Title Series

C. REAPPOINTMENTS

College of Arts and Sciences

Christ, Alice T., Instructor (part-time), Classics, 8/16/89 through 12/31/89.
Cooper, John B., Instructor (part-time), English, 8/16/89 through 12/31/89.
Foreman, Nancy, Instructor (part-time), English, 8/16/89 through 12/31/89.
Graddy, Dorothy M., Instructor (part-time), Classics, 8/16/89 through 12/31/89.
Hardesty, Sharon L., Instructor (part-time), Sociology, 8/16/89 through 12/31/89.
Janecek, Susan M., Instructor (part-time), Russian and Eastern Studies, 8/16/89 through 12/31/89.
Mullinax, Maureen C., Instructor (part-time), Sociology, 8/16/89 through 12/31/89.
Neill, Thomas K., Adjunct Assistant Professor, Psychology, 7/1/89 through 6/30/91.
Seager, Robert II, Adjunct Professor, History, 7/1/89 through 6/30/91.
Wilson, David J., Instructor (part-time), Classics, 8/16/89 through 12/31/89.

College of Education

Alston, Reginald J., Assistant Professor, Educational and Counseling Psychology, 7/1/89 through 6/30/91.
Bush, William S., Assistant Professor, Curriculum and Instruction 7/1/89 through 6/30/91.
Smith, Douglas C., Assistant Professor, Vocational Education, 7/1/89 through 6/30/91.
Wilson, Patricia I., Assistant Professor, Vocational Education, 7/1/89 through 6/30/91.

College of Fine Arts

Kagan-Moore, Patrick, Assistant Professor, Theatre, 7/1/89 through 6/30/90.

D. LEAVES OF ABSENCE

College of Agriculture

Cockrel, Velva J., Home Economics Extension Specialist, Cooperative Extension Service, Study leave with full salary, 10/1/89 through 3/31/90.
Parrish, Debra, County Extension Agent, Cooperative Extension Service, Study leave with full salary, 10/11/89 through 12/15/89 and 1/10/90 through 4/30/90.

College of Arts and Sciences

Reid, Herbert, Professor (with tenure), Political Science, Sabbatical leave with full salary, Spring Semester 1990.

*Special Title Series

Rhodes, Susan, Assistant Professor, Political Science, to change from Leave without pay for Fall Semester 1989 to Sick leave with full salary, Fall Semester 1989.

Sands, Donald E., Professor (with tenure), Chemistry, and Leave without pay, 10/1/89 through 8/15/90.

Widiger, Thomas A., Associate Professor (with tenure), Psychology, To rescind Leave without pay for Fall Semester 1989 and Spring Semester 1990.

College of Communications

Baseheart, John R., Associate Professor (with tenure), Communication, Sabbatical leave with full salary, Spring Semester 1990.

Palmgreen, Philip C., Professor (with tenure), Communication, Sabbatical leave with full salary, Spring Semester 1990.

College of Education

Liddle, Gordon, Professor (with tenure), Educational and Counseling Psychology, Sabbatical leave with full salary, Spring Semester 1990.

*Special Title Series

MEDICAL CENTER

I. BOARD ACTION

A. ACADEMIC APPOINTMENTS

College of Allied Health Professions

Brasseur, Jeanette E., Assistant Professor, Clinical Sciences, 9/1/89 through 6/30/90.

College of Dentistry

Breeding, Larry C., Associate Professor (with tenure), Oral Health Practice, effective 11/1/89.
Mullins, Richard Keith, Associate Professor (without tenure) (part-time), Oral Health Practice, 8/1/89 through 6/30/90.

College of Medicine

Berk, Martin R., Assistant Professor, Medicine, 7/1/89 through 6/30/90.
Griffen, Ward O., Jr., Clinical Professor (voluntary), Medicine, 7/1/89 through 6/30/91.
Hettel, Kathryn L., Assistant Professor*, Rehabilitation Medicine, 8/14/89 through 6/30/90.
Horstman, Sanford W., Associate Professor (without tenure), Preventive Medicine and Environmental Health, 8/1/89 through 6/30/90.
John, William J., Clinical Assistant Professor, Medicine, 7/1/89 through 6/30/90.
Markesbery, William R., Professor (with tenure), Pathology, and Director of Sanders-Brown Center on Aging, appointed Commonwealth Chair in Aging, effective 9/1/89.
Marsano, Luis, Assistant Professor, Medicine, 7/1/89 through 6/30/90.
McGauley, Brian T., Clinical Assistant Professor, Emergency Medicine, 7/1/89 through 6/30/90.
Montgomery, Christopher L., Clinical Instructor, Anesthesiology, 7/17/89 through 6/30/90.
Pettigrew, Luther C., Assistant Professor, Neurology, 9/1/89 through 6/30/90.
Rich, Eugene C., Associate Professor (without tenure), Medicine, 7/1/89 through 6/30/90.
Smith, Charles D., Assistant Professor, Neurology, 7/1/89 through 6/30/90.

*Special Title Series

Weeks, Lorne E., Assistant Professor, Surgery, 7/31/89 through 6/30/90.
Wicker, Joseph B., Assistant Professor, Anesthesiology, 8/1/89 through 6/30/90.

B. ADMINISTRATIVE APPOINTMENTS

College of Dentistry

Mullaney, Thomas P., Professor (with tenure), named Acting Chairman, Oral Health Practice, 7/1/89 through 6/30/90.

College of Medicine

Glenn, James F., Professor (without tenure) (part-time), Surgery, named Executive Director, Markey Cancer Center, 9/1/89 through 8/31/90.
Greene, John W., Jr., Professor (with tenure), named Chairman, Obstetrics and Gynecology, 7/1/89 through 6/30/90.

University Hospital

Hunt, Max L., named Director, Pharmacy Central Supply, effective 8/13/89.

C. CORRECTION IN MINUTES

College of Allied Health Professions

Adkisson, William H. Jr., reported in August 22, 1989 Minutes as Assistant Professor, Health Services, 7/24/89 through 6/30/89. Change to: Adkisson, William H. Jr., Assistant Professor*, Health Services, 7/24/89 through 6/30/89.

College of Dentistry

Minton, Charlene, Assistant Professor, Community Colleges, joint appointment as Assistant Professor, Oral Health Practice, 7/1/89 through 6/30/90. Change to: Minton, Charlene, Assistant Professor, Community Colleges, joint appointment as Instructor, Oral Health Practice, 7/1/89 through 6/30/90.

D. CHANGES

College of Pharmacy

Parker, Chester L., Instructor (voluntary), to Associate Professor (without tenure) (part-time), 7/1/89 through 6/30/90.

*Special Title Series

## II. ADMINISTRATIVE ACTION

### A. ACADEMIC APPOINTMENTS

College of Allied Health Professions

Babbage, Laura, Instructor (voluntary), Health Services, 7/1/89 through 6/30/91.
Botkin, John R., Instructor (voluntary), Health Services, 7/1/89 through 6/30/91.
Brooks, Robert W., Instructor (voluntary), Health Services, 7/1/89 through 6/30/91.
Cimala, Derek W., Instructor (voluntary), Health Services, 7/1/89 through 6/30/91.
Clarke, Ben, Instructor (voluntary), Health Services, 7/1/89 through 6/30/91.
Cox, Ann, Instructor (voluntary), Health Services, 7/1/89 through 6/30/91.
Gillihan, Kerry, Instructor (voluntary), Health Services, 7/1/89 through 6/30/91.
Hays, Dan, Instructor (voluntary), Health Services, 7/1/89 through 6/30/91.
Henahan, Julie H., Instructor (voluntary), Health Services, 7/1/89 through 6/30/91.
Horner, Lori, Instructor (voluntary), Health Services, 7/1/89 through 6/30/91.
Krueger, Kevin P., Clinical Instructor (voluntary), Clinical Sciences, 6/1/89 through 6/30/91.
Lynch, L. Maude, Clinical Instructor (voluntary), Clinical Sciences, 4/17/89 through 6/30/91.
Pierson, Charles G., Instructor (voluntary), Health Services, 7/1/89 through 6/30/91.
Powers, Terry C., Instructor (voluntary), Health Services, 7/1/89 through 6/30/91,
Smiley, Roger L., Instructor (voluntary), Health Services, 7/1/89 through 6/30/91.
Stanerson, Barbara, Clinical Instructor (voluntary), Clinical Sciences, 8/1/89 through 6/30/91.

College of Dentistry

Brown, Garnett C., III, Assistant Professor (part-time), Oral Health Practice, 8/1/89 through 6/30/90.
Ray, Deborah S., Assistant Professor (part-time), Oral Health Practice, 7/1/89 through 6/30/90.
Wright, Terry Wayne, Clinical Instructor (voluntary), Oral Health Practice, 7/1/89 through 6/30/91.

College of Medicine

Davey, W. Patrick, Assistant Professor (part-time), Medicine, 7/1/89 through 6/30/90.
Pettigrew, Anjana L., Assistant Professor, Pathology, joint appointment as Assistant Professor, Pediatrics, also joint appointment as Assistant Professor, Obstetrics and Gynecology, 9/1/89 through 6/30/90.

*Special Title Series

College of Nursing

O'Neill, Nancy, Instructor*, 7/1/89 through 6/30/90.
Roper, Kathleen, Instructor*, 7/1/89 through 6/30/90.

College of Pharmacy

Abraham, Catherine T., Instructor (voluntary), 7/1/89 through 6/30/91.
Anderson, Michael J., Instructor (voluntary), 7/1/89 through 6/30/91.
Baise, Edward L., Instructor (voluntary), 7/1/89 through 6/30/91.
Bryant, Vickie A., Instructor (voluntary), 7/1/89 through 6/30/91.
Carnes, Timothy D., Instructor (voluntary), 7/1/89 through 6/30/91.
Chesnut, Michael K., Instructor (voluntary), 7/1/89 through 6/30/91.
Conyers, William A., III, Instructor (voluntary), 7/1/89 through 6/30/91.
Denney, Douglas Wayne, Instructor (voluntary), 7/1/89 through 6/30/91.
Eadens, Barry L., Instructor (voluntary), 7/1/89 through 6/30/91.
Gaddis, Barry Lee, Instructor (voluntary), 7/1/89 through 6/30/91.
Hines, Gregory S., Instructor (voluntary), 7/1/89 through 6/30/91.
Joyce, Melinda C., Instructor (voluntary), 7/1/89 through 6/30/91.
Mallory, Alan, Instructor (voluntary), 7/1/89 through 6/30/91.
Napier, Burnice N., Instructor (voluntary), 7/1/89 through 6/30/91.
Norvell, James D., Instructor (voluntary), 7/1/89 through 6/30/91.
Pierce, Verlon Lane, Instructor (voluntary), 7/1/89 through 6/30/91.
Sauer, Karen Ann, Instructor (voluntary), 7/1/89 through 6/30/91.
Stevenson, Lisa Marie, Instructor (voluntary), 7/1/89 through 6/30/91.
Stone, Robert W., Instructor (voluntary), 7/1/89 through 6/30/91.

B. ADMINISTRATIVE APPOINTMENTS

College of Medicine

DeSimone, Philip, Professor (with tenure), Medicine, named Assistant Dean for Ambulatory Medical Services, effective 7/1/89.

*Special Title Series

Norton, James C., Associate Professor (with tenure), Psychiatry, named Assistant Dean for Graduate Medical Education, effective 7/1/89.

Scott, Samuel R., Professor* (with tenure), Medicine, named Assistant Dean for Continuing Medical Education, effective 7/1/89.

Wilson, H. David, Professor (with tenure), Pediatrics, named Associate Dean for Academic Affairs, effective 7/1/89.

C. JOINT APPOINTMENTS

College of Medicine

Dempsey, Robert J., Associate Professor (with tenure), Surgery, joint appointment as Associate Professor (without tenure), Anatomy and Neurobiology, effective 8/1/89.

Schwartz, Richard, Assistant Professor, Surgery, joint appointment as Assistant Professor, College of Allied Health Professions, Department of Clinical Sciences, 8/1/89 through 6/30/90.

D. REAPPOINTMENTS

College of Nursing

Hall, Lynne A., Assistant Professor, joint appointment as Assistant Professor, College of Medicine, Department of Behavioral Science, 7/1/89 through 6/30/90.

Lueken, Sr. Mary Judeann, Clinical Assistant Professor (voluntary), 7/1/89 through 6/30/91.

E. CHANGES

College of Medicine

Richardson, Joseph W., from Assistant Professor*, Emergency Medicine, to Assistant Professor (part-time), Emergency Medicine, 7/1/89 through 6/30/90.

*Special Title Series

## INFORMATION SYSTEMS

### I. BOARD ACTION

#### A. ADMINISTRATIVE APPOINTMENTS

##### Early Retirements

###### University Libraries

Bushnell, Sara M., Library Technician, Libraries, after 26.5 total years of service, under AR II-1.6-1 Section III.A.1(b), effective 11/3/89.

###### Postal Services

English, George W., Postal Worker, Postal Services, after 24.5 total years of service, under AR II-1.6-1 Section III.A.2(b), effective 10/31/89.

Kirk, Carol S., Postal Worker, Postal Services, after 25.0 total years of service, under AR II-1.6-1 Section III.A.2(b), effective 8/31/89.

#### B. POST-RETIREMENT APPOINTMENT

##### University Libraries

McDowell, Agnes S., Library Assistant, Agriculture Library, effective 9/25/89 through 1/15/90.

### II. ADMINISTRATIVE ACTION

#### A. ACADEMIC APPOINTMENTS

##### University Libraries

Buckland, Gillian M., Temporary Librarian IV, Library-Reference, effective 8/14/89 through 6/30/90.

Carrington, Bradley D., Librarian III, Library-Cataloging, effective 9/11/89 through 6/30/90.

## INFORMATION SYSTEMS

B. ADMINISTRATIVE APPOINTMENTS

Information Systems

Willmott, Karen J., Institutional Staff Officer II, appointed Administrative Staff Officer IV, Information Systems, Vice President's Office, effective 7/1/89.

C. REAPPOINTMENT

University Libraries

Trimble, Jeanne S., Librarian III, Library-Newspapers/ Periodicals/Micro Department, effective 9/1/89 through 12/31/89.

RESEARCH AND GRADUATE STUDIES

II. ADMINISTRATIVE ACTION

A. ADMINISTRATIVE APPOINTMENT

Survey Research Center

Wolf, James G., Staff Associate PR, effective August 1, 1989.

B. JOINT APPOINTMENT

Martin School of Public Administration

Bowlyow, Joyce E., Assistant Professor (without tenure), College of Allied Health Professions, joint appointment as Assistant Professor (without tenure), Martin School of Public Administration, 7/1/89 through 6/30/90.

*Special Title Series

Office of the President
September 19, 1989

PR 3A

Members, Board of Trustees:

AMENDMENTS TO THE GOVERNING REGULATIONS

Recommendation: that the following amendments to the Governing Regulations of the University of Kentucky, which were received by the Board of Trustees for preliminary consideration on August 22, 1989, be approved.

(Note: Proposed additions are underlined; proposed deletions are bracketed.)

Amendment #1 -- Change the first paragraph of Part II.A.2 to read:

The Board of Trustees of the University of Kentucky consists of sixteen competent citizens of Kentucky appointed by the Governor, three members of the faculty of the University (two from the University System and one from the Community College System) who shall have the right to vote on all matters except that of faculty compensation, and one member of the student body of the University of Kentucky. The [initial] terms of the appointed members shall be for four years and until their successors are appointed and qualif[y]ied. Four of the sixteen appointed members shall be appointed each year. [Whenever terms expire after July 14, 1980, the terms of the members appointed by the Governor to fill the vacancies shall be for six years.] Three of the appointed members shall be representative of agricultural interests, three shall be alumni of the University, and ten shall be other distinguished citizens of the [Commonwealth] state representative of the learned professions. The Governor shall so make the appointments as to divide the representation on the Board as equally as possible between the two leading political parties of Kentucky. Appointments to fill vacancies shall be made for any unexpired terms in the same manner as provided for the original appointments. (KRS 164.130 as amended by the General Assembly)

Background: The changes will make this section of the University of Kentucky Governing Regulations consistent with the current Kentucky Revised Statutes.

Amendment #2 -- Change the next-to-last paragraph of Part II.A.2 to read:

[The student member is the president of the student body of the University except that, if the president of the student body is not a full-time student who maintains permanent residency in the Commonwealth of

Kentucky, a special election must be held to select a full-time student who does maintain permanent residency in this Commonwealth as the student member. (KRS 164.130)]

The student member shall be the president of the student body of the University during the appropriate academic year. If the student member does not maintain the position as student body president or the status of a full-time student at any time during that academic year or does not maintain permanent residency in the Commonwealth of Kentucky, a special election shall be held to select a full-time student who does maintain permanent residency in this Commonwealth as the student member. The student member shall serve for a term of one year beginning with the first meeting of the fiscal year which contains that academic year. (KRS 164.130)

Background: Same as that for Amendment #1.

Amendment #3 -- Change the following two paragraphs in Part IV to read:

The ex officio voting members shall number 13 or 14. In academic years beginning with an even number (e.g., 1982-83, 1984-85), this group shall be composed of the following: Chancellor for the Medical Center, [Vice Chancellor for Research and Dean of the Graduate School,] Vice President for Research and Graduate Studies, Director of Libraries, Vice Chancellor for Academic Affairs for the Community College System, and Deans of the Colleges of Allied Health Professions, Architecture, Communications, Dentistry, Education, Engineering, Law, and Social Work. In academic years beginning with an odd number, the ex officio voting members shall be: Chancellor for the Lexington Campus, Chancellor for the Community College System and University Relations, Vice Chancellor for Academic Affairs for the Medical Center, Dean of the Graduate School, President of the Student Government Association, and Deans of the Colleges of Agriculture, Arts and Sciences, Business and Economics, Fine Arts, Home Economics, Library and Information Science, Medicine, Nursing, and Pharmacy.

The ex officio non-voting membership shall include the President, all other vice presidents, University Registrar, [Director of Undergraduate Admissions,] Associate Vice Chancellor for Academic Affairs for the Lexington Campus and Director of Admissions, [Dean] Executive Director of University Extension, Dean of Students, Professor of Military Science, Professor of Aerospace Studies, Director of the University Studies Program, and, if they are not already elected members of the Senate, the University System faculty members of the Board of Trustees, Academic Ombudsman, Director of the Honors Program, and chairmen of the University Senate Committees, include University Senate Advisory Committees. All officials mentioned in the preceding paragraph who are not ex officio voting members in any year shall be considered ex officio non-voting members. Other ex officio non-voting members may be added by the University Senate Council for the purpose of supplying information and viewpoints on problems considered by the Senate. Ex officio non-voting members shall enjoy all privileges of the elected membership except the right to vote.

Background: These changes are needed to obtain consistency between the wording in the Governing Regulations and current administrative titles and responsibilities.

Amendment #4 -- Change the sixth paragraph of Part VII.A.1 to read:

A multidisciplinary research center or institute is an educational unit established for the administration of multidisciplinary programs which are primarily research in nature. Such an educational unit is administratively responsible to the [Vice Chancellor for Research and Dean of the Graduate School] Vice President for Research and Graduate Studies unless the administrative responsibility specifically has been delegated otherwise. The chief administrative officer of a multidisciplinary research center or institute is a director.

Background: On June 21, 1988, the Board of Trustees approved a restructuring of research and graduate education administration effective July 1, 1988, by changing the title of the Vice Chancellor for Research and Dean of the Graduate School to Vice President for Research and Graduate Studies, creating a new position of Dean of the Graduate School, and changing the title of the two sector-based positions from Associate Dean for Research to Vice Chancellor for Research and Graduate Studies. This change brings the language of the Governing Regulations into consistency with current administrative practice.

Amendment #5 -- Change the first three paragraphs of Part VII.A.3 to read:

The Graduate Faculty shall consist of the [Vice Chancellor for Research and] Dean of the Graduate School, associate and/or assistant dean of the Graduate School, members, and associate members.

Graduate Faculty members must possess the following qualifications:

A doctor's 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.

Membership in the Graduate Faculty is conferred upon recommendations of the [Vice Chancellor for Research and] Dean of the Graduate School and the Vice President for Research and Graduate Studies/appropriate chancellor and approval of the President. The recommendations of the [Vice Chancellor-]Dean are made following review by the Graduate Council of the qualifications of the persons proposed for membership by the college deans, department chairmen, and directors of graduate study.

Associate and other classes of members in the Graduate Faculty or in other faculty bodies or councils of the Graduate School may be appointed by the [Vice Chancellor for Research and] Dean of the Graduate School or elected, with appropriate duties and privileges as provided by the rules of the

Graduate School and approved by the University Senate.

Background: Same as that for Amendment #4.

Amendment #6 -- Change the sixth paragraph of Part VII.A.3 to read:

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. The Graduate Council shall have the authority and responsibilities delegated to it by the [Vice Chancellor for Research and] Dean of the Graduate School, the Graduate Faculty, and the University Senate.

Background: Same as that for Amendment #4.

Amendment #7 -- Change the first paragraph of Part VII.A.7 to read:

The staff of a multidisciplinary research center or institute shall consist of: (1) a director who also shall be a faculty member of a department, school, or college; (2) faculty members on a joint appointment basis; (3) faculty members on a faculty associate basis (each such faculty associate appointed, on recommendations of both the director of the center or institute and the appropriate educational unit administrator, by the [Vice Chancellor for Research and Dean of the Graduate School] Vice President for Research and Graduate Studies or other administrator who has administrative responsibility for the center or institute); and (4) non-faculty employees appointed for the duration of a specific project.

Background: Same as that for Amendment #4.

Amendment #8 -- Change the third paragraph of Part VII.A.7 to read:

A multidisciplinary research center or institute shall be administratively responsible to the [Vice Chancellor for Research and Dean of the Graduate School] Vice President for Research and Graduate Studies unless specifically designated otherwise. A faculty advisory committee shall be appointed for each research center or institute by the officer to whom the unit is administratively responsible.

Background: Same as that for Amendment #4.

Amendment #9 -- Change Part VII.B.2 to read:

2. [Vice Chancellor for Research and] Dean of the Graduate School

The [Vice Chancellor for Research and] Dean of the Graduate School is chairman of the Graduate Faculty and the Graduate Council. Under the broad direction of the President, the Vice President for Research and Graduate Studies, the Chancellor for the Lexington Campus, and the Chancellor for the Medical Center, the [Vice Chancellor-]Dean provides general planning,

guidance, [and] review, and coordination for all of the University's endeavors in graduate education [instruction and research and bears responsibility for the total research activity of the University, including the University of Kentucky Research Foundation, and for the coordination of research and graduate education. The Vice Chancellor-Dean has direct responsibility for the interdisciplinary research institutes, except for those for which responsibility specifically has been delegated otherwise.] The [Vice Chancellor-]Dean appoints associate members of the Graduate Faculty and recommends to the Vice President for Research and Graduate Studies/appropriate chancellor on the appointment of regular members requiring the approval of the President. The [Vice Chancellor-]Dean recommends to the Vice President for Research and Graduate Studies/appropriate chancellor on the following actions affecting faculty members who are or may be involved in research or graduate programs of the University: initial appointments of associate professors and professors; promotions of assistant professors and associate professors; and granting of tenure. The [Vice Chancellor-]Dean also recommends on budgets as these may affect [research and] graduate education [programs] 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 [Vice Chancellor for Research and] Dean of the Graduate School.

The President, [and the Vice Chancellor for Research and Dean of the Graduate School,] the Vice President for Research and Graduate Studies, and the Dean of the Graduate School shall be ex officio members of all committees of the Graduate School. The Chancellor for the Lexington Campus and the Chancellor for the Medical Center are ex officio members of all committees of the Graduate School which affect their respective sectors.

Background: Same as that for Amendment #4.

Amendment #10 -- Change the second paragraph of Part VII.B.6 to read:

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 chairman relative to faculty with joint appointments and non-faculty personnel 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 and appointment of faculty associates 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 [Vice Chancellor for Research and Dean of the Graduate School] Vice President for Research and Graduate Studies or other administrator to whom the center or institute is administratively responsible.

Background: Same as that for Amendment #4.

Amendment #11 -- Change the fifth and sixth paragraphs of Part VIII.A.3 to read:

Search committees for chairmen 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 [Vice Chancellor for Research and] Dean of the Graduate School if the department is involved in a graduate program.

Search committees for directors of interdisciplinary institutes shall be appointed, after consultation with the Graduate Council, by the [Vice Chancellor for Research and Dean of the Graduate School] Vice President for Research and Graduate Studies or other specific officer to whom administrative responsibility has been delegated.

Background: Same as that for Amendment #4.

Amendment #12 -- Change chancellor or chancellors to chancellor/vice president or chancellors/vice presidents, respectively, in Parts VII.A.4, VII.A.5, VII.A.6, VII.B.3, VII.B.5, VIII.A.1, VIII.A.2, VIII.A.3, X.A, X.B.1, X.B.3, X.B.4, X.B.5.b, X.C.2, X.C.3, and X.C.5.

Background: Since the appointment of the Vice President for Research and Graduate Studies and the Vice President for Information Systems effective July 1, 1988, their authority and responsibilities in many areas have been the same as those of the chancellors. The proposed changes in the parts of the Governing Regulations designated above will provide clarification and also bring the language of the Governing Regulations into consistency with current administrative practice.

Amendment #13 -- Change the title of Chancellor for the Community College System to Chancellor for the Community College System and University Relations in Parts V, VII.A.8, VII.B.8, and VIII.A.3.

Background: On June 21, 1988, the Board of Trustees approved the change in title from Chancellor for the Community College System to Chancellor for the Community College System and University Relations. Changing the title for this position in the parts of the Governing Regulations designated above will update these parts of the Governing Regulations.

2545

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Action: Approved ✓ Disapproved _____ Other _____

Date: September 19, 1989

Office of the President
September 19, 1989

PR5A

Members, Board of Trustees:

APPROVAL OF AN AGREEMENT BETWEEN UNIVERSITY OF KENTUCKY AND UNIVERSITY OF KENTUCKY STUDENT AGENCIES, INC.

Recommendation: that the Board of Trustees approve the attached agreement between the Board of Trustees of the University of Kentucky and University of Kentucky Student Agencies, Inc. for the period of July 1, 1989, through June 30, 1990. This contract was negotiated pursuant to the Board of Trustees action of May 4, 1982, establishing a "Student Service Program."

Background: The Board action approved on May 4, 1982, provided that:

> "In furtherance of the purpose stated above, the President is authorized to negotiate and execute a contract, subject to approval of the Board of Trustees with an organizational entity qualified to carry out a program consonant with the Board's objectives."

The Board of Trustees has previously approved contracts for the years 1983-84, 1984-85, 1985-86, 1986-87, 1987-88, and 1988-89. The attached agreement conforms to the provisions of the May 4, 1982, Board policy and is in substance the same contract as that approved for the 1988-89 year.

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Action taken: Approved ✓ Disapproved _____ Other _____

Date: September 19, 1989

STUDENT AGENCIES AGREEMENT

between

UNIVERSITY OF KENTUCKY BOARD OF TRUSTEES

and

UNIVERSITY OF KENTUCKY STUDENT AGENCIES, INC.

July 1, 1989

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# STUDENT SERVICES AGREEMENT

This is a Student Services Agreement (the "Agreement") between the University of Kentucky Board of Trustees (the "University") and University of Kentucky Student Agencies, Inc. ("UKSA") dated as of September 19, 1989.

## Recitals

A. The University has observed the recent reduction in funds available from governmental sources for financial aid to students. Due to the need for alternative sources of financial support to enable students to finance their education, the University has adopted a policy statement that establishes a student services program which will provide both practical job experience and extra income for students at the University.

B. UKSA, a non-profit corporation which is a tax-exempt corporation as an educational organization under §501(c)(3) of the Internal Revenue Code of 1954, as amended, desires to operate a student services program that will fulfill its educational objectives.

C. The University recognizes UKSA as a "qualifying entity" as described in the policy statement adopted by the University establishing the student employment program.

D. The University and UKSA desire to enter into this Agreement, whereby UKSA will operate a student services program, in order to advance the goals set forth above.

SECTION 1

Definitions

As used in this Agreement, the following terms shall have the following meanings:

(a) "Campus" shall mean the University campus in Lexington, Kentucky including any dormitories, classrooms or other instructional facilities, student center, offices and any other areas over which the University has authority.

(b) "Coordinator" shall mean the full time staif member to be hired by UKSA who will act as the chief operating officer of UKSA.

(c) "Program" shall mean the student agencies program that was established by the University pursuant to a policy statement dated May 4, 1982.

(d) "University Contracts" shall mean any contracts for goods or services between the University and any other entity other than UKSA.

SECTION 2

Nature of Agreement

The University hereby gives UKSA full authority and the exclusive right to operate the Program and UKSA agrees to

operate the Program subject to the terms and conditions set forth in this Agreement.

SECTION 3

The Program

3.1 Scope. UKSA shall develop student employment opportunities for the Program that will aid students in financing their education. These jobs shall be designed to provide goods and services to the University community and to provide education related work experience for students.

3.2 Administration. UKSA shall assume all responsibility for the Program including the payment of wages to students and the payment of all expenses incurred in the operation of the Program. UKSA shall keep all books, records, and other documents which are necessary for the proper administration of the Program, and shall make necessary filings with federal, state, and local agencies.

3.3 Revenue. Any revenue from the operation of the Program which is in excess of wages and other operating expenses shall be used to increase the rate of wages paid to students and to explore and develop other employment opportunities. UKSA may invest available funds in short term securities from time to time at its discretion.

SECTION 4

Covenants of UKSA

4.1 Non-Profit Status. UKSA shall be organized and operated as a non-profit corporation pursuant to Chapter 273 of the Kentucky Revised Statutes at all times during the term of this Agreement.

4.2 Personnel. All officers, members, and employees of UKSA shall be University students except for the Coordinator who may or may not be a University student.

4.3 Wages. Wages paid by UKSA to its employees will be equal to or greater than Kentucky's minimum wage as set by Chapter 337 of the Kentucky Revised Statutes.

4.4 Prior Approval of Campus Services and Solicitation. UKSA shall secure prior written approval by the University Dean of Students for all services to be provided on Campus pursuant to the Program and for any solicitation on Campus.

4.5 Equal Opportunity. UKSA shall not discriminate against any student, or anyone with whom it does business, on the basis of race, color, religion, sex, national origin, age, or handicap.

4.6 Availability of Records. UKSA shall make available all of its books, records, and accounts for inspection and audit by representatives of the University within forty-eight hours of receiving written notice by the University.

4.7 Annual Audit. UKSA shall have an annual audit to be conducted by a firm of Certified Public Accountants approved in writing by the University. An audit report and any compliance letters shall be submitted to the University on request.

4.8 Fund Raising Efforts. UKSA shall coordinate all of its fund raising efforts through Dr. Blanton for University Relations.

4.9 Organizational Documents. UKSA shall not amend or otherwise alter its Articles of Incorporation or adopt any bylaw or other operating practice that would alter the character of UKSA without the prior written consent of the University.

4.10 Merger. UKSA shall not merge with any other corporation or convey any substantial portion of its assets to any other person, corporation, partnership, or other entity.

4.11 University Contracts. UKSA shall not provide any goods or services or take any action that would conflict or interfere with any University Contracts.

## SECTION 5

## Right to Bid on University Contracts

The University shall allow UKSA to submit bids on contracts for the furnishing of goods and services to the University.

SECTION 6

Indemnification

UKSA shall indemnify and hold the University harmless for the full amount of any loss, claim, damage, liability, or expense resulting to the University either directly or indirectly from (a) any breach of the covenants by UKSA set forth in this Agreement, and (b) any injury to any employee during the course of his or her employment with UKSA.

SECTION 7

Dissolution of UKSA

In the event of the dissolution of UKSA pursuant to Chapter 273 of the Kentucky Revised Statutes, the assets of UKSA shall be applied and distributed as follows:

(a) First, liabilities and obligations of UKSA shall be paid and discharged, or adequate provisions shall be made therefor,

(b) Second, assets held by UKSA upon a condition which occurs by reason of the dissolution, shall be returned, transferred, or conveyed in accordance with such condition,

(c) Third, the remaining assets of UKSA shall be transferred or conveyed to the University, or its successors, to be used for the financial aid of its students if the University, or its successor, qualifies as an instrumentality of the Commonwealth of Kentucky and an organization described in

Section 170(c) of the Internal Revenue Code of 1954, as amended. If the University, or its successor, does not so qualify, the remaining assets shall be distributed to some other organization or organizations that are organized exclusively for educational purposes under Section 501(c)(3) of the Internal Revenue Code of 1954, as amended.

## SECTION 8

## Miscellaneous

8.1 Entire Agreement. This Agreement incorporates the policy statement by the University of May 4, 1982 that established a student agencies program. The Agreement constitutes the entire agreement of the parties with respect to the subject matter hereof, and supersedes all prior understandings with respect to the subject matter hereof. No change, modification, addition or termination of this Agreement shall be enforceable unless in writing and signed by the party against whom enforcement is sought.

8.2 Notices. All notices and other communications required by Section 8.1, shall be in writing and shall be deemed to have been duly given if mailed by registered mail, return receipt requested, postage pre-paid, to the addresses set forth below or to such other address as to which a party has given the other parties written notice:

(a) If to the University:

Dean of Students
513 Patterson Office Tower
Lexington, Kentucky 40506

(b) If to UKSA:

John M. Bradford
Room 109, Student Center
University of Kentucky
Lexington, KY 40506

with copy to:

Mr. C. Edward Glasscock
Brown, Todd & Heyburn
1600 Citizens Plaza
Louisville, Kentucky 40202

8.3 Headings. The headings used in this Agreement have been included solely for ease of reference and shall not be considered in the interpretation or construction of this Agreement.

8.4 Waiver. No waiver of any of the provisions hereof shall be effective unless in writing and signed by the party to be charged with such waiver. No waiver shall be deemed a continuing waiver in resepct of any breach or default, whether of a similar or different nature, unless expressly stated in writing.

8.5 Severability. If any provision of this Agreement or its application shall be invalid, illegal or unenforceable in any respect, the validity, legality and enforceability of all other applications of that provision and of all other provisions and applications thereof shall not in any way be effected or impaired.

8.6 Governing Law. The validity, construction and interpretation of this Agreement shall be governed in accordance with the law of the Commonwealth of Kentucky.

8.7 Term. The term of this Agreement shall be from July 1, 1989 to June 30, 1990. This Agreement may be renewed on an annual basis upon the mutual agreement in writing of UKSA and the University.

IN WITNESS WHEREOF, the parties have executed four originals of this Agreement as of the date first set forth above, but actually on the dates set forth below.

UNIVERSITY OF KENTUCKY BOARD OF TRUSTEES

By David Roselle
President, University of Kentucky

Date: 9/19/89

UNIVERSITY OF KENTUCKY STUDENT AGENCIES, INC.

By John Major Bradford
John M. Bradford, CEO

Date 8/10/89

Office of the President
September 19, 1989

FCR 1

Members, Board of Trustees:

ACCEPTANCE OF AUDIT REPORTS
FOR THE UNIVERSITY OF KENTUCKY FOR 1988-89

Recommendation: that the Board of Trustees accept the University of Kentucky financial statements for the year ended June 30, 1989, consisting of the Consolidated Balance Sheet, Consolidated Statement of Changes in Fund Balances, Consolidated Statement of Current Funds Revenues, Expenditures and Other Changes, Summary of Significant Accounting Policies, Notes to the Financial Statements, and a Cash Reconciliation of amounts on deposit with the Kentucky State Treasurer.

Background: The Finance Committee of the University of Kentucky has reviewed the consolidated financial statements for the year ended June 30, 1989, which have been audited by Coopers and Lybrand, Certified Public Accountants. The consolidated financial statements are presented on a comparative basis for fiscal years 1987-88 and 1988-89, and include the financial operations of the University of Kentucky and its affiliated corporations, consisting of the University of Kentucky Research Foundation, The Fund for Advancement of Education and Research in the University of Kentucky Medical Center, University of Kentucky Athletic Association, University of Kentucky Mining Engineering Foundation, Inc., University of Kentucky Business Partnership Foundation, Inc., University of Kentucky Humanities Foundation, Inc., University of Kentucky Equine Research Foundation, Inc., University of Kentucky Center on Aging Foundation, Inc., and Health Care Collection Service, Inc.

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Action taken: Approved ✓ Disapproved _____ Other _____

Date: September 19, 1989

Coopers
&Lybrand

certified public accountants

## REPORT OF INDEPENDENT ACCOUNTANTS

To the Board of Trustees of the
University of Kentucky

and

the Secretary of Finance and
Administration Cabinet of the
Commonwealth of Kentucky

We have audited, in accordance with generally accepted auditing standards, the financial statements of the University of Kentucky (an agency of the Commonwealth of Kentucky) for the year ended June 30, 1989, and have issued our report thereon dated August 25, 1989. In connection with this audit, we have also audited the accompanying reconciliation of appropriations and trust and revolving funds, as reported on the University of Kentucky's financial statements, with unexpended balances reported by the Commonwealth Department of Finance as of June 30, 1989. This reconciliation is the responsibility of the University's management. Our responsibility is to express an opinion on this reconciliation based on our audit.

We conducted our audit in accordance with generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the accompanying schedule presents fairly the reconciliation of appropriations and trust and revolving funds with unexpended balances reported by the Commonwealth Department of Finance as of June 30, 1989.

Coopers + Lybrand

Lexington, Kentucky
August 25, 1989

Reconciliation of Appropriations and Trust and Revolving Funds
With Unexpended Balances Reported by the Commonwealth Department of Finance

As of June 30, 1989

| | Total | Mines and Minerals Trust Funds | Trust and Revolving Funds | Tobacco Research Trust Funds | Unexpended Plant Funds | Retirement of Indebtedness Funds | Bond Revenue Accounts | Medical Malpractice | General Appropriation Funds |
|---|---|---|---|---|---|---|---|---|---|
| Cash balances reported on University of Kentucky financial statements as of June 30, 1989, representing cash on deposit with state Treasurer and unexpended balances of state appropriations | $ 95,475,720 | $ 3,191,172 | $ 25,123,061 (1) | $ 531,750 | $ 43,923,715 | $ 50,074 | $ 17,148,641 (1) | $ 5,507,307 (1) | $ 0 |
| Cash balances held as temporary investments by the Commonwealth Department of Finance | (36,237,575) | | | | (36,237,575) | | | | |
| Net amount of items in transit between the Commonwealth Dept. of Finance and the University of Kentucky | 30,777,090 | 0 | 17,783,874 | 7,627 | (137,384) | 49,086 | 13,048,756 | (869) | 26,000 |
| Unexpended balances as reported by the Commonwealth Department of Finance as of June 30, 1989 | $ 90,015,235 | $ 3,191,172 | $ 42,906,935 | $ 539,377 | $ 7,548,756 | $ 99,160 | $ 30,197,397 | $ 5,506,438 | $ 26,000 |

(1) Invested but not reflected on the Commonwealth's records

| | |
|---|---|
| Bond Revenue Accounts | $ 39,258,068 |
| Medical Malpractice | $ 5,481,414 |

# UNIVERSITY OF KENTUCKY

## REPORT ON EXAMINATION OF CONSOLIDATED FINANCIAL STATEMENTS
for the year ended June 30, 1989

Coopers
&Lybrand

Certified Public Accountants

Coopers
&Lybrand

certified public accountants

# REPORT OF INDEPENDENT ACCOUNTANTS

To the Board of Trustees of the
University of Kentucky

and

the Secretary of Finance and
Administration Cabinet of the
Commonwealth of Kentucky

We have audited the accompanying consolidated balance sheet of the University of Kentucky (an agency of the Commonwealth of Kentucky) and affiliated corporations as of June 30, 1989, and the related consolidated statements of changes in fund balances and current funds revenues, expenditures, and other changes for the year then ended. We previously audited and reported on the consolidated financial statements of the University for the year ended June 30, 1988, for which condensed statements are presented for comparative purposes only. These financial statements are the responsibility of the University's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the consolidated financial position of the University of Kentucky and affiliated corporations as of June 30, 1989, and the consolidated changes in fund balances and current funds revenues, expenditures, and other changes for the year then ended in conformity with generally accepted accounting principles.

Coopers & Lybrand

Lexington, Kentucky
August 25, 1989

CONSOLIDATED BALANCE SHEET
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
JUNE 30, 1989
with comparative totals at June 30, 1988
(in thousands)

| | 1989 | | | | | 1988 |
|---|---|---|---|---|---|---|
| | Current Funds | Loan Funds | Endowment Funds | Plant Funds | Totals | Totals |
| ASSETS | | | | | | |
| Cash and cash equivalents | $ 67,999 | $ 2,706 | $ 185 | $ 86,336 | $ 157,226 | $ 185,214 |
| Notes, loans, and accounts receivable (less bad debt allowances of $5,585 in 1989 and $5,042 in 1988) | 53,107 | 14,237 | | 865 | 68,209 | 56,198 |
| Investments | 47,684 | | 66,468 | 64,502 | 178,654 | 160,530 |
| Property, plant, and equipment | | | | 789,347 | 789,347 | 706,542 |
| Inventories and other | 9,894 | | | | 9,894 | 8,750 |
| Total Assets | $ 178,684 | $ 16,943 | $ 66,653 | $ 941,050 | $ 1,203,330 | $ 1,117,234 |
| LIABILITIES AND FUND BALANCES | | | | | | |
| Liabilities | | | | | | |
| Accounts payable | $ 13,544 | $ 5 | | $ 4,714 | $ 18,263 | $ 16,188 |
| Accrued expense | 16,023 | | | 3,612 | 19,635 | 18,376 |
| Employee withholdings and deposits | 10,309 | | | | 10,309 | 9,532 |
| Other liabilities | 1,109 | | | | 1,109 | 980 |
| Liability for self insurance | 12,584 | | | | 12,584 | 9,096 |
| Deferred income | 8,140 | | | | 8,140 | 7,587 |
| Bonds payable | | | | 245,788 | 245,788 | 253,154 |
| Capitalized lease obligation | | | | 27,172 | 27,172 | 30,197 |
| Total Liabilities | 61,709 | 5 | | 281,286 | 343,000 | 345,110 |
| Interfund Balances | 8,655 | | | (8,655) | | |
| Fund Balances | | | | | | |
| Current–Unrestricted | | | | | | |
| Working capital | 50,453 | | | | 50,453 | 40,913 |
| Future operations | 24,073 | | | | 24,073 | 34,238 |
| Funded hospital depreciation | | | | | | 13,000 |
| Other | 1,475 | | | | 1,475 | 6,393 |
| Current–Restricted | 32,319 | | | | 32,319 | 29,476 |
| Loan | | | | | | |
| Unrestricted | | 94 | | | 94 | 95 |
| Restricted | | 3,492 | | | 3,492 | 3,490 |
| U.S. Government | | 13,352 | | | 13,352 | 12,743 |
| Endowment | | | | | | |
| True | | | $ 37,030 | | 37,030 | 28,864 |
| Term | | | 877 | | 877 | 710 |
| Quasi | | | 28,746 | | 28,746 | 24,424 |
| Plant | | | | | | |
| Unrestricted allocated for designated projects | | | | 77,655 | 77,655 | 44,002 |
| Restricted | | | | 35,462 | 35,462 | 35,574 |
| Net investment in plant | | | | 555,302 | 555,302 | 498,202 |
| Total Fund Balances | 108,320 | 16,938 | 66,653 | 668,419 | 860,330 | 772,124 |
| Total Liabilities and Fund Balances | $ 178,684 | $ 16,943 | $ 66,653 | $ 941,050 | $ 1,203,330 | $ 1,117,234 |

The accompanying summary of significant accounting policies and notes are an integral part of the consolidated financial statements.

CONSOLIDATED STATEMENT OF CHANGES IN FUND BALANCES
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE YEAR ENDED JUNE 30, 1989
(in thousands)

| | 1989 | | | | |
|---|---|---|---|---|---|
| | Current Funds | Loan Funds | Endowment Funds | Plant Funds | Totals |
| REVENUES AND OTHER ADDITIONS | | | | | |
| Unrestricted current fund revenues | $ 519,152 | | | | $ 519,152 |
| Gifts | 12,464 | $ 6 | $ 6,223 | $ 3,248 | 21,941 |
| Endowment and investment income | 5,367 | 689 | 1,040 | 10,161 | 17,257 |
| Endowment gains and losses | | | 339 | | 339 |
| Grants and contracts | 71,367 | 739 | | 1,275 | 73,381 |
| Plant facilities transferred to investment in plant (including $28,007 charged to current expenditures) | | | | 46,539 | 46,539 |
| Retirement of indebtedness | | | | 12,706 | 12,706 |
| Other sources | 234 | | | 89 | 323 |
| Total Revenues | 608,584 | 1,434 | 7,602 | 74,018 | 691,638 |
| EXPENDITURES AND OTHER DEDUCTIONS | | | | | |
| Unrestricted current fund expenditures | 463,363 | | | | 463,363 |
| Restricted current fund expenditures | 78,789 | | | | 78,789 |
| Plant facilities transferred to investment in plant | | | | 18,870 | 18,870 |
| Non capitalized expenditures | | | | 6,006 | 6,006 |
| Retirement of indebtedness | | | | 12,381 | 12,381 |
| Interest on indebtedness | | | | 17,409 | 17,409 |
| Disposal of plant facilities | | | | 5,639 | 5,639 |
| Other deductions | | 877 | | 98 | 975 |
| Total Expenditures | 542,152 | 877 | | 60,403 | 603,432 |
| TRANSFERS AMONG FUNDS - ADDITIONS/(DEDUCTIONS) | | | | | |
| Mandatory: | | | | | |
| Debt service | | | | | |
| Educational and general | (19,567) | | | 19,567 | |
| Hospital and clinics | (1,602) | | | 1,602 | |
| Auxiliary enterprises | (2,126) | | | 2,126 | |
| Matching grants | (53) | 53 | | | |
| Total Mandatory Transfers | (23,348) | 53 | | 23,295 | |
| Net Increase Before Nonmandatory Transfers | 43,084 | 610 | 7,602 | 36,910 | 88,206 |
| Nonmandatory: | | | | | |
| To plant | | | | | |
| Educational and general | (18,658) | | | 18,658 | |
| Hospital | (31,174) | | | 31,174 | |
| Auxiliary enterprises | (3,899) | | | 3,899 | |
| To endowment | (5,053) | | 5,053 | | |
| Total Nonmandatory Transfers | (58,784) | | 5,053 | 53,731 | |
| Net increase/(decrease) for the year | (15,700) | 610 | 12,655 | 90,641 | 88,206 |
| Fund Balances, June 30, 1988 | 124,020 | 16,328 | 53,998 | 577,778 | 772,124 |
| Fund Balances, June 30, 1989 | $ 108,320 | $ 16,938 | $ 66,653 | $ 668,419 | $ 860,330 |

The accompanying summary of significant accounting policies and notes are an integral part of the consolidated financial statements.

CONSOLIDATED STATEMENT OF CURRENT FUNDS
REVENUES, EXPENDITURES AND OTHER CHANGES
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE YEAR ENDED JUNE 30, 1989
with comparative totals for June 30, 1988
(in thousands)

| | 1989 | | | 1988 |
|---|---|---|---|---|
| | Unrestricted | Restricted | Total | Total |
| REVENUES | | | | |
| Educational and general | | | | |
| Student tuition and fees | $ 61,846 | | $ 61,846 | $ 54,970 |
| Government appropriations | | | | |
| Federal | 13,050 | | 13,050 | 13,362 |
| State | 238,096 | | 238,096 | 223,970 |
| County | 3,759 | | 3,759 | 3,493 |
| Government grants and contracts | | | | |
| Federal | 473 | $ 46,465 | 46,938 | 37,709 |
| State | 188 | 9,663 | 9,851 | 14,649 |
| Private gifts and grants | 1,043 | 20,417 | 21,460 | 13,756 |
| Indirect cost reimbursement | 7,989 | | 7,989 | 7,142 |
| Endowment income | 768 | 2,787 | 3,555 | 3,321 |
| Investment income | 11,849 | 461 | 12,310 | 9,806 |
| Sales and services | 16,226 | | 16,226 | 15,126 |
| Other sources | 153 | 121 | 274 | 155 |
| Total educational and general | 355,440 | 79,914 | 435,354 | 397,459 |
| Hospital and clinics | 121,701 | | 121,701 | 102,173 |
| Auxiliary enterprises | 42,011 | 103 | 42,114 | 39,150 |
| Total Revenues | 519,152 | 80,017 | 599,169 | 538,782 |
| EXPENDITURES | | | | |
| Educational and general | | | | |
| Instruction | 140,041 | 9,116 | 149,157 | 139,993 |
| Research | 35,142 | 35,324 | 70,466 | 61,953 |
| Public service | 39,872 | 10,942 | 50,814 | 45,929 |
| Libraries | 8,275 | 142 | 8,417 | 9,644 |
| Academic support | 25,974 | 1,861 | 27,835 | 24,693 |
| Student services | 14,808 | 178 | 14,986 | 13,985 |
| Institutional support | 21,411 | 499 | 21,910 | 21,214 |
| Operation and maintenance | 28,343 | 4 | 28,347 | 25,779 |
| Student financial aid | 7,156 | 19,496 | 26,652 | 21,348 |
| Other expenses | | 46 | 46 | 131 |
| Total educational and general | 321,022 | 77,608 | 398,630 | 364,669 |
| Hospital and clinics | 107,403 | | 107,403 | 88,577 |
| Auxiliary enterprises | 34,938 | 1,181 | 36,119 | 33,776 |
| Total Expenditures | 463,363 | 78,789 | 542,152 | 487,022 |
| Mandatory Transfers: | | | | |
| Debt service | | | | |
| Educational and general | 18,136 | 1,431 | 19,567 | 18,716 |
| Hospital and clinics | 1,602 | | 1,602 | 1,602 |
| Auxiliary enterprises | 2,126 | | 2,126 | 2,168 |
| Matching grants | 256 | (203) | 53 | (44) |
| Total Expenditures and Mandatory Transfers | 485,483 | 80,017 | 565,500 | 509,464 |
| OTHER TRANSFERS AND ADDITIONS/(DEDUCTIONS) | | | | |
| Nonmandatory Transfers: | | | | |
| To plant fund | | | | |
| Educational and general | (17,126) | (1,532) | (18,658) | (10,830) |
| Hospital and clinics | (31,174) | | (31,174) | (3,116) |
| Auxiliary enterprises | (3,899) | | (3,899) | (2,630) |
| To endowment fund | (12) | (5,041) | (5,053) | (289) |
| Excess restricted receipts over transfer to revenues | | 9,415 | 9,415 | 8,449 |
| Total Other Transfers and Additions/(Deductions) | (52,211) | 2,842 | (49,369) | (8,416) |
| Net Increase/(Decrease) in Fund Balances | $ (18,542) | $ 2,842 | $ (15,700) | $ 20,902 |

The accompanying summary of significant accounting policies and notes are an integral part of the consolidated financial statements.

UNIVERSITY OF KENTUCKY

SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Scope of Statements

The consolidated financial statements of the University of Kentucky include the operations of the University and its affiliated corporations as follows: The University of Kentucky Research Foundation; The Fund for Advancement of Education and Research in the University of Kentucky Medical Center; University of Kentucky Athletic Association; Health Care Collection Service, Inc.; University of Kentucky Mining Engineering Foundation, Inc.; University of Kentucky Business Partnership Foundation, Inc.; University of Kentucky Equine Research Foundation, Inc.; University of Kentucky Humanities Foundation, Inc.; and Center on Aging Foundation, Inc.

Accrual Basis

The financial statements of the University have been prepared on the accrual basis of accounting, except that costs of an unfunded pension plan liability are expensed when paid to retirees (see Note 7).

Fund Accounting

The University maintains its accounts and reports its financial transactions in accordance with the principles of fund accounting. This is the procedure by which resources for various purposes are classified for accounting and reporting purposes into funds that are in accordance with activities or objectives specified and funds that have similar characteristics are combined for reporting purposes into fund groups.

Within each fund group, fund balances restricted by outside sources are so indicated and are distinguished from unrestricted funds allocated to specific purposes by action of the Board of Trustees. The Board retains full control over allocated fund balances to use in achieving its institutional purposes.

Restricted gifts, grants, appropriations, endowment income, and other restricted resources are accounted for in the appropriate restricted funds. Restricted current funds are reported as revenues and expenditures when expended for current operating purposes.

Endowment funds are subject to the restrictions of gift instruments requiring in perpetuity that the principal be invested permanently and only the income be utilized by the donee. Term endowment funds are similar to endowment funds except that upon the passage of a stated period of time or the occurrence of a particular event, all or part of the principal may be expended as well. Quasi-endowment funds are established by the governing board for the same general purposes as endowment funds, and any portion may be expended.

Ordinary income derived from investments, notes receivable, and the like, is accounted for in the fund owning the assets, except that income derived from investments of endowments and similar funds and the majority of current restricted funds is accounted for in the fund to which the income is designated.

All unrestricted revenue is accounted for in the unrestricted fund.

Current Funds

The statement of current funds revenues, expenditures, and other changes is a summary of financial activities of current funds related to the current reporting period.

To the extent that current funds are used to finance plant asset acquisitions, the amounts are accounted for as (1) expenditures, in the case of normal replacement of movable equipment and library books; (2) mandatory transfers, in the case of required provisions for debt amortization and interest; and (3) transfers of a nonmandatory nature for all other cases.

The Board allocates unrestricted current fund balances for specific purposes. These purposes include (a) the working capital needs of the University (including the hospital, the housing and dining system, and other auxiliary enterprises); (b) certain unrestricted income from private sources and (c) budget appropriations for future operating purposes.

Investments

Investments are stated at cost or, in the case of gifts, at market value at the date of donation.

Inventories

Inventories are stated principally at the lower of average cost or market.

Liability for Self-Insurance

The University self-insures certain employee benefits to the extent not covered by insurance carriers. Current fund expenditures include claims paid by the University and an estimated liability for asserted claims at the end of the year.

The University and its agents are insured against medical malpractice by a combination of self-insurance, and an excess liability fund established by the Commonwealth of Kentucky. As of June 30, 1989, the University has a malpractice liability reserve of $10,286,261. To the extent judgements might exceed the reserve and excess liability insurance coverages, the Commonwealth of Kentucky has made provision for such excesses.

The University has established a 501(c)(9) trust with the Commerce National Bank, Lexington, as trustee, to administer a self-funded long-term disability income program. The University remits premiums to the Trustee for purposes of paying claims and establishing necessary reserves.

Land, Buildings, and Equipment-Depreciation

Land, land improvements, buildings and equipment are stated at cost at date of acquisition or, in the case of gifts, at fair market value at date of gift except for the following: (1) The University has title to certain tracts of land which were either donated or purchased at a nominal price with no book value assigned to these properties; and (2) buildings acquired prior to June 30, 1958, were recorded at appraised value of $33,000,000 at that date. In conformity with college and university accounting practices, no provision is made for depreciation of buildings and equipment.

Other

Other significant accounting policies are set forth in the financial statements and notes thereto.

## NOTES TO CONSOLIDATED FINANCIAL STATEMENTS

1. Investments

A comparison of the carrying value and approximate market value of the University's investments is shown below:

| | Carrying Value | Approximate Market Value |
|---|---|---|
| June 30, 1989 | | |
| Type of investment | | |
| United States Government | $137,114,342 | $139,268,457 |
| State and municipal bonds | 174,001 | 174,001 |
| Corporate bonds | 15,900,706 | 16,327,791 |
| Certificates of deposit | 6,762,130 | 6,762,130 |
| Common stocks | 6,676,385 | 8,982,819 |
| Real property and mineral rights | 507 | 507 |
| Money market | 12,019,959 | 12,019,959 |
| Other | 5,578 | 5,578 |
| | $178,653,608 | $183,541,242 |
| Fund Group- | | |
| Current unrestricted | $ 9,114,957 | $ 9,133,344 |
| Current restricted | 38,569,090 | 38,578,497 |
| Endowment | 66,467,836 | 70,631,849 |
| Plant | 64,501,725 | 65,197,552 |
| | $178,653,608 | $183,541,242 |

Investments of $46,594,271 are held by the University or its agents in the University's name and $132,059,337 of investments are held by the University trustees.

The University has cash or cash equivalents deposited in local bank accounts of which $505,767 are insured by FDIC and $55,332,401 are in U.S. Government/Agency repurchase agreements.

2. Investment in Plant

The major components of investment in plant as of June 30, 1989 are as follows:

| | (In Thousands) |
|---|---|
| Land and improvements | $ 38,225 |
| Buildings and structures | 441,602 |
| Equipment and library books | 259,975 |
| Construction in progress | 49,545 |
| | $789,347 |

3. Bonds Payable

Bonds payable at June 30, 1989, consisted of the following:

| | Outstanding | Current Maturities 1989-90 |
|---|---|---|
| Lexington Campus: | | |
| Consolidated Educational Buildings Revenue Bonds, Series C-J, and refunding issues G, H, I, issued 1970 to 1987, maturities to 2007, interest rates 3.0% to 8.45% (including fully funded issues outstanding of $29,510,000 at interest rates 6.75% to 9.3%, maturities to 2006). | $135,040,000 | $ 4,780,000 |
| Consolidated Housing and Dining System Revenue Bonds, Series A-L, issued 1965 to 1986, maturities to 2018, interest rates 2.75% to 7.0% (including fully funded issue outstanding of $688,000 at interest rates 3.0% to 3.25%, maturities to 1995). | 29,443,000 | 1,316,000 |
| Other, issued 1956 to 1968, maturities to 1994, interest rates 4.0% to 5.4%. | 400,000 | 51,000 |
| Hospital Revenue Bonds, Series A, issued 1986, maturities to 2006, interest rates 6.2% to 8.0%. | 21,000,000 | -0- |
| Community Colleges: | | |
| Consolidated Educational Buildings Revenue Bonds, Series A-F, and refunding issue D, issued 1969 to 1987, maturities to 2009, interest rates 3.0% to 7.2% (including fully funded issue outstanding of $7,250,000 at interest rates 8.0% to 10.2%, maturities to 2008). | 59,905,000 | 1,675,000 |
| Total | $245,788,000 | $ 7,822,000 |
| Interest | | |
| Fully funded issues | | 3,378,806 |
| Other issues | | 12,484,823 |
| Total debt service for 1989-90 | | $23,685,629 |

The aggregate amount of maturities for the next five years is as follows:

(In thousands)

| | Fully Funded Issues | Other Issues | Total |
|---|---|---|---|
| 1990 | $231 | $ 7,591 | $ 7,822 |
| 1991 | 244 | 8,672 | 8,916 |
| 1992 | 263 | 9,208 | 9,471 |
| 1993 | 281 | 9,796 | 10,077 |
| 1994 | 305 | 10,418 | 10,723 |

The fully funded bond issues totaling $37,448,000 at June 30, 1989 are funded by investments which are on deposit with the bond trustees. Income on these investments will be allocated to pay current indebtedness.

Revenues from student housing and dining facilities, certain other auxiliary enterprises, hospital and student fees are pledged for the retirement of the bonds.

4. Capital Lease Obligations

Plant assets acquired by capitalized leases include the football stadium ($10,992,000) and various items of equipment ($33,802,647) which are included in the plant funds.

The minimum future lease payments on the capital lease obligations, which are principally with the Commonwealth of Kentucky, are as follows:

| | (In Thousands) |
|---|---|
| 1990 | $ 6,060 |
| 1991 | 5,961 |
| 1992 | 5,952 |
| 1993 | 5,863 |
| 1994 | 4,249 |
| 1995-2009 | 3,988 |
| Total | 32,073 |
| Less: Amount representing interest | (4,901) |
| Present value of net minimum lease payment | $27,172 |

5. Funds Held in Trust by Others

The University is the income beneficiary of various trusts which are held and controlled by independent trustees. For the years ended June 30, 1989 and 1988, the University received from these trusts income amounting to $872,339 and $779,192, respectively. The University has no equity interest in the principal of the trusts which, accordingly, is recorded at a nominal value of $1 each. The 1989 income received from these funds is recorded in the current unrestricted fund for $340,819 and in the current restricted fund for $531,520.

6. Pension Plans

Regular full-time employees, including faculty, are participants in the University of Kentucky Retirement Plan. The University of Kentucky Retirement Plan consists of five groups as follows:

| | |
|---|---|
| Group I | Established July 1, 1964, for faculty and certain administrative officials. |
| Group II | Established July 1, 1971, for staff members in the clerical, technical and service categories. |
| Group III | Established July 1, 1972, for staff members in the managerial, professional and scientific categories. |
| Group IV | Established January 1, 1973, for staff members having U.S. Civil Service Retirement entitlement. |
| Group V | Established July 1, 1987, for staff members covered under the Federal Employees Retirement System that replaced Civil Service (those whose employment began during the period from January 1, 1984 to March 31, 1987). Staff members whose employment began after March 31, 1987 are under one of the above University of Kentucky Retirement Plans. |

Participation in the University of Kentucky Retirement Plan in groups I, II, and III is mandatory for all faculty and staff members age 30 and older who have completed one year of service. Participation is voluntary to age 30 (after completion of one year of service). Participation in groups IV and V is voluntary.

The University of Kentucky has authorized three retirement plan carriers, effective July 1, 1988, as follows:

Teachers Insurance and Annuity Association/College Retirement Equities Fund (TIAA/CREF)
Fidelity Institutional Services Company
Twentieth Century Investors, Inc.

Under these fully funded group retirement plans, the University and plan participants make annual contributions to provide fully vested retirement benefits to employees upon retirement. The University's share of costs for these plans was $17,981,917 and $17,074,224 for 1989 and 1988, respectively. The University makes retirement contributions to the U. S. Civil Service for certain Cooperative Extension Service Employees in the College of Agriculture. These contributions amounted to $1,144,219 and $1,245,401 for 1989 and 1988, respectively.

In addition to retirement benefits provided from the group retirement plans, the University provides supplemental retirement income benefits to certain eligible employees in each of the retirement groups (see Note 7).

7. Minimum Annual Retirement Benefits and Supplemental Retirement Income

Employees in retirement groups I, II and III who were age 40 or older prior to the date of establishment of each group plan, and who were employed by the University prior to that date, qualify for the minimum annual retirement benefit provisions of the retirement plan.

Benefits for these eligible employees are based upon a percentage, determined through years of service, of the participant's annual salary in the last year of employment prior to retirement. Retirement benefits as determined are funded by each individual retiree's accumulation in the group retirement plan, with the balance, if necessary, provided by the University as supplemental retirement income.

The costs of supplemental retirement income benefits are not accrued but are recognized when payments are made to retirees. Supplemental retirement benefit payments were approximately $3,960,000 for 1989 and $3,981,000 for 1988. The projected estimate of annual payments for supplemental retirement benefits for each of the next five fiscal years is as follows:

| | (In Thousands) |
|---|---|
| 1990 | $4,131 |
| 1991 | 4,127 |
| 1992 | 4,105 |
| 1993 | 4,079 |
| 1994 | 4,029 |

The Legislature of the Commonwealth of Kentucky has appropriated funds to the University for the payment of supplemental retirement income benefits since adoption of the group retirement plans, and is expected to continue this practice; however, the Constitution of the Commonwealth of Kentucky prohibits the commitment of future revenues beyond the end of the current biennium.

Accordingly, the University does not recognize the liability for supplemental retirement income benefits during the service life of covered employees, but recognizes its costs when funds are appropriated by the Legislature and payments are made.

The University intends to continue paying supplemental retirement income benefits contingent upon the Legislature continuing to appropriate funds required to make these payments.

The latest actuarial valuation was prepared as of June 30, 1988 by TIAA. The actuarial present value of vested and non-vested accumulated supplemental retirement income benefits as determined by this valuation, utilizing an assumed rate of return of 8%, was $37,068,000.

8. Health Insurance Benefits for Retirees

The University provides health care benefits to retirees who have minimum of fifteen years service. The University recognizes the cost of providing those benefits by expensing the insurance premiums in the year paid. These premiums were $757,831 and $574,973 for the years ended June 30, 1989 and 1988, respectively.

9. Construction Commitments

Estimated cost to complete construction under contract at June 30, 1989 is approximately $18,192,000. Such construction is principally financed by Commonwealth of Kentucky appropriations and long-term bonds payable.

10. Contingencies

The University is defendant in several lawsuits; however, University officials are of the opinion, based on advice of in-house legal counsel, that the ultimate outcome of all litigation will not have a material effect on the future operations or financial position of the University beyond the amounts already provided.

11. Pledges

Pledges from The University of Kentucky Fellows totaling approximately $6,100,000, primarily for various restricted uses, are expected to be collected over the next ten years. Pledges totaling $212,751 have been made for construction of the football sports complex and are payable over the next two years. Also, deferred gifts through insurance, known bequests and irrevocable trusts in which the University has a remainder interest are estimated to be at least $18,000,000.

Pledges to the affiliated corporations are as follows: University of Kentucky Business Partnership Foundation, Inc., $1,923,079 expected to be collected over the next three years; University of Kentucky Equine Research Foundation, Inc., $1,552,626 expected to be collected over the next six years.

It is not practical to estimate the net realizable value of such pledges and deferred gifts.

12. Grants and Contracts Awarded

At June 30, 1989, grants and contracts awarded to the University and the University of Kentucky Research Foundation, but not expended, amounted to $49,497,000, and are not shown in these financial statements.

13. Reclassifications

Certain account classifications for fiscal 1988 have been reclassified to reflect comparability with account classifications adopted for fiscal 1989 with no effect on previously reported fund balances.

Office of the President
September 19, 1989

FCR 2

Members, Board of Trustees:

Disposal of Personal Property

Recommendation: that the Board of Trustees approve the disposition of surplus and obsolete equipment as described in Exhibit I.

Background: KRS 164A.575 requires that the governing board sell or otherwise dispose of all personal property which is not needed by the institution. The Board will be provided with a description of the property, the reason why the disposal should be effected, and the method of disposition.

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Action taken: Approved ✓ Disapproved _____

Other _____

Date: September 19, 1989

Exhibit I

UNIVERSITY OF KENTUCKY

SALE OF SURPLUS CAMERA SYSTEM

TYPE OF DISPOSAL: Bid process.

REASON: This equipment is obsolete and surplus to the needs of the University and would bring very little at surplus auction.

ITEMS: 1 - GE Maxi II Camera System
Property #A422527
Serial #79091295

a. Camera Head
Model #46-402130

b. Camera Control Console
Model #46-40032161

c. Formatter System
Model #46-400540GS

d. Collimator Stacker and 4 Collimators
Model # N/A

SALE OF SURPLUS AIR CONDITIONER

TYPE OF DISPOSAL: Bid process.

REASON: This equipment is surplus to the needs of the University and would bring very little at surplus auction.

ITEMS: 1 - Liebert Air Conditioner
Model #FS40A

UNIVERSITY OF KENTUCKY

SALE OF SURPLUS VEHICLES

TYPE OF DISPOSAL: Public auction.

REASON: Vehicles are obsolete, damaged, aged, high mileage and no longer needed by the institution.

SALE DATE: September 28, 1989

ITEMS:

VEHICLES

| LICENSE# | FLEET# | SERIAL# | MAKE | YEAR | MILEAGE |
|---|---|---|---|---|---|
| 0T5378 | 01-161 | G1256P123062 | CHEV | 1966 | 123,330 |
| KW2706 | 01-203 | CS248F149242 | CHEV | 1968 | 106,151 |
| 0T4485 | 01-208 | CS249F849121 | CHEV | 1969 | 95,815 |
| 0T7150 | 01-220 | E16AHH56826 | FORD | 1970 | 83,534 |
| KW4176 | 01-260 | D24BB2U569090 | DODGE | 1972 | 68,418 |
| MC0003 | 01-416 | 554149 | CUSHMAN | 1981 | 9,663 |
| 0T5364 | 02-209 | F10JK447593 | FORD | 1964 | 64,550 |
| TT2019 | 02-529 | 55L4793 | HEIL | 1953 | TRAILER |
| 0T7758 | 02-574 | 24155 | THEW | 1952 | 9,824 |
| 0T8252 | 02-720 | 3H1COCHB80462 | INTL | 1973 | 80,901 |
| 0T8421 | 02-735 | 3H2COCHB98443 | INTL | 1973 | 73,251 |
| 0T8669 | 02-782 | D14AE4S130929 | DODGE | 1974 | 64,233 |
| 0T8755 | 02-788 | 148A164984 | CHEV | 1968 | 119,810 |
| 003500 | 02-808 | PM41M5D182264 | PLYM | 1975 | 33,882 |
| 003750 | 02-838 | PM45M6D176884 | PLYM | 1976 | 58,338 |
| TT2059 | 02-858 | 9784 | UNKN | 1965 | TRAILER |
| KW0281 | 02-891 | 3H1COCHB78391 | INTL | 1973 | 58,348 |
| 003978 | 02-907 | A8A857N387624 | MATADOR | 1978 | 96,481 |
| KR0026 | 02-953 | 8A27F266913 | FORD | 1978 | 100,332 |
| KR0131 | 02-983 | 1T19KAR447010 | CHEV | 1980 | 100,177 |
| KR0132 | 02-984 | 1T19KAR447015 | CHEV | 1980 | 96,170 |
| KR0137 | 02-987 | 1T19KAR447296 | CHEV | 1980 | 90,923 |
| KR0145 | 02-997 | 1T19KAR448307 | CHEV | 1980 | 73,946 |
| KW0172 | 04-117 | CGL368U126207 | CHEV | 1978 | 82,895 |
| KR0156 | 05-005 | 1B689AA259962 | CHEV | 1980 | 41,877 |
| KR0148 | 05-006 | 1B689AA260578 | CHEV | 1980 | 39,670 |
| KR0151 | 05-009 | 1B689AA260358 | CHEV | 1980 | 47,985 |
| KR0152 | 05-010 | 1B689AA259976 | CHEV | 1980 | 48,056 |
| KR0155 | 05-011 | 1B689AA260334 | CHEV | 1980 | 46,767 |

## VEHICLES

| LICENSE# | FLEET# | SERIAL# | MAKE | YEAR | MILEAGE |
|---|---|---|---|---|---|
| KR0161 | 05-013 | 1B689AA260733 | CHEV | 1980 | 43,413 |
| KR0160 | 05-014 | 1B689AA259871 | CHEV | 1980 | 52,652 |
| KR0159 | 05-015 | 1B689AA260616 | CHEV | 1980 | 62,000 |
| KR0158 | 05-016 | 1B689AA259980 | CHEV | 1980 | 61,808 |
| KR0157 | 05-017 | 1B689AA261025 | CHEV | 1980 | 61,221 |
| KR0154 | 05-018 | 1B689AA263895 | CHEV | 1980 | 58,325 |
| KR0164 | 05-020 | 1B689AA260667 | CHEV | 1980 | 60,448 |
| KR0165 | 05-021 | 1B689AA260735 | CHEV | 1980 | 54,891 |
| KR0166 | 05-022 | 1B689AA260293 | CHEV | 1980 | 37,501 |
| KR0167 | 05-023 | 1B689AA263981 | CHEV | 1980 | 60,585 |
| KR0184 | 05-034 | 1B3BK46B1BC210256 | DODGE | 1981 | 100,847 |
| KR0200 | 05-053 | 1B3BK46B3BC210274 | DODGE | 1981 | 100,600 |
| KW1981 | 05-054 | 2B5WB31P4BK249378 | DODGE | 1981 | 136,779 |
| KW1983 | 05-056 | 2B5WB31P2BK249377 | DODGE | 1981 | 131,158 |
| KW1992 | 05-057 | 2B5WB31P2BK249380 | DODGE | 1981 | 128,264 |
| KR0277 | 05-091 | 1B3BD26B9CC168628 | DODGE | 1982 | 78,394 |
| KR0276 | 05-092 | 1B3BD26B4CC168634 | DODGE | 1982 | 114,974 |
| KR0272 | 05-096 | 1B3BD26B1CC168638 | DODGE | 1982 | 108,881 |
| KR0260 | 05-107 | 1B3BD26B3CC168639 | DODGE | 1982 | 95,477 |
| KR0261 | 05-108 | 1B3BD26B0CC168615 | DODGE | 1982 | 111,069 |
| KR0258 | 05-109 | 1B3BD26B0CC168629 | DODGE | 1982 | 113,676 |
| KR0256 | 05-111 | 1B3BD26B9CC168631 | DODGE | 1982 | 107,649 |
| KR0257 | 05-112 | 1B3BD26BXCC168640 | DODGE | 1982 | 106,847 |
| KR0254 | 05-113 | 1B3BD26B7CC168630 | DODGE | 1982 | 119,016 |
| KR0251 | 05-118 | 1B3BD26B6CC168621 | DODGE | 1982 | 106,765 |
| KR0416 | 05-128 | 1G1AW19X7D6838191 | CHEV | 1983 | 133,552 |
| KR0415 | 05-129 | 1G1AW19XXD6842252 | CHEV | 1983 | 124,409 |
| KR0480 | 05-168 | 1G1AW19XXE6983050 | CHEV | 1984 | WRECKED |
| KW4582 | 05-217 | 1GAFG35L8G7171101 | CHEV | 1986 | UNKNOWN |
| KW5581 | 05-262 | CGL357U196736 | CHEV | 1977 | 104,058 |
| 0T5623 | 09-115 | 1261537741 | DODGE | 1965 | 139,120 |
| 0T9524 | 09-195 | CGV156U208080 | CHEV | 1976 | 85,747 |
| KW1622 | 09-208 | CGL25A7102282 | CHEV | 1980 | 106,467 |
| 0T5730 | 10-206 | C70DUF55798 | FORD | 1969 | 68,763 |
| 0T7787 | 12-113 | B31BE2U553503 | DODGE | 1972 | 79,482 |
| 0T9110 | 12-125 | A10AE5X088230 | DODGE | 1975 | 78,622 |
| 0T9547 | 12-132 | F26YUD01580 | FORD | 1976 | 13,201 |
| KW0135 | 12-135 | CKU188F105091 | CHEV | 1978 | 120,823 |
| KW0136 | 12-136 | CKU188F107455 | CHEV | 1978 | 83,305 |
| KW0280 | 12-137 | H0062HGD28686 | INTL | 1978 | 62,001 |
| KW0279 | 12-138 | H0062HGD28689 | INTL | 1978 | 77,675 |
| KR0353 | 22-133 | PM41K5D238700 | PLYM | 1975 | 60,745 |
| KR0355 | 22-145 | 8A27S274978 | FORD | 1978 | 80,796 |
| KR0811 | 22-149 | NL41L9B267661 | DODGE | 1979 | 95,000 |
| KR0458 | 22-157 | 2FABP43F3EX173599 | FORD | 1984 | 90,028 |

Office of the President
September 19, 1989

FCR3

Members, Board of Trustees:

CAPITAL CONSTRUCTION REPORT

RECOMMENDATION: that the capital construction report for the twelve months ending June 30, 1989, be accepted.

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

The report shows that during the twelve months ending June 30, 1989, the University has:

1. Awarded thirty-nine (39) architect and engineer contracts.
2. Made twenty-four (24) amendments to architect and engineer contracts.
3. Made thirty-four (34) final payments for thirty-four (34) architect and engineer contracts.
4. Awarded or requisitioned for the award of eighty-three (83) construction contracts.
5. Made one hundred eighty-eight (188) change orders to construction contracts.
6. Made sixty-three (63) final payments for sixty-three (63) construction contracts.

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Action taken: Approved ✓ Disapproved _____ Other _____

Date: September 19, 1989

DIVISION OF DESIGN AND CONSTRUCTION
REPORT TO FINANCE COMMITTEE OF BOARD OF TRUSTEES
UNIVERSITY OF KENTUCKY
FOR THE PERIOD JULY 1, 1988 - JUNE 30, 1989

## I. ARCHITECT & ENGINEER CONTRACTS

| ARCHITECT & ENGINEER | PROJECT | PROJECT SCOPE | ARCHITECT & ENGINEER FEES | EFFECTIVE CONTRACT DATE |
|---|---|---|---|---|
| WIREMAN & WIREMAN JACKSON | QUICKSAND BOUNDARY SURVEY Project No. 591.0 | $ 9,080 | $ 8,580 | 7/29/88 |
| OMNI ARCHITECTS LEXINGTON | HOSPITAL THIRD FLOOR RENOVATION & EXPANSION Project No. 580.0 | 1,100,000 | 135,780 | 8/31/88 |
| MASON & HANGER ENGINEERS LEXINGTON | MCVEY HALL COMMUNICATIONS CONDUIT AND ELECTRICAL Project No. 597.0 | 100,000 | 18,732 | 9/30/88 |
| LOUIS & HENRY ARCHITECTS LOUISVILLE | PADUCAH COMMUNITY COLLEGE ALLIED HEALTH BUILDING Project No. 620.0 | 5,350,500 | 239,500 | 11/10/88 |
| LAW ENGINEERING LEXINGTON | PER DIEM CONSULTANT GEOTECHNICAL SERVICES | N/A | N/A | 11/30/88 |
| KAISER-TAULBEE LEXINGTON | KY. CENTER FOR ENERGY RESEARCH Project No. 612.0 | 400,000 | 9,650 | 12/22/88 |
| MCCLOSKEY & ASSOCIATES LEXINGTON | AMERICAN BUILDING GEOLOGICAL SURVEY RENOV. Project No. 613.0 | 199,000 | 15,500 | 1/31/89 |
| SHERMAN/CARTER/BARNHART LEXINGTON | BUSINESS AND ECONOMICS BUILDING Project No. 587.0 | 8,075,000 | 425,000 | 1/31/89 |
| BELCAN ENGR. SERVICES CINCINNATI, OH | BUSINESS & ECONOMICS BUILDING CHILLED WATER EXPANSION Project No. 587.1 | 875,000 | 40,440 | 1/31/89 |
| ARRASMITH, JUDD, RAPP LOUISVILLE | PRESTONSBURG COMMUNITY COLLEGE SCIENCE BUILDING Project No. 624.0 | 3,100,000 | 150,000 | 1/31/89 |
| ARRASMITH, JUDD, RAPP LOUISVILLE | MARKEY CANCER CENTER THIRD FLOOR COMPLETION Project No. 579.0 | 3,500,000 | 267,175 | 1/31/89 |
| COLLIGNON & NUNLEY ARCH. OWENSBORO | HOPKINSVILLE COMMUNITY COLLEGE AUDITORIUM Project No. 596.0 | 3,400,000 | 154,450 | 2/28/89 |
| STAGGS & FISHER ENGRS. LEXINGTON | HOSPITAL COOLING TOWER REPAIR Project No. 655.0 | 949,700 | 17,800 | 2/28/89 |
| OMNI ARCHITECTS LEXINGTON | HOSPITAL UPGRADE DIAGNOSTIC SERVICES Project No. 645.0 | 400,000 | 30,225 | 2/28/89 |
| BOOKER ASSOCIATES LEXINGTON | ADMINISTRATION DRIVE REALIGNMENT Project No. 635.0 | 35,000 * | 22,500 | 2/28/89 |
| OMNI ARCHITECTS LEXINGTON | ASHLAND COMMUNITY COLLEGE Project No. 630.0 | 4,300,000 | 205,050 | 4/28/89 |
| PEARSON + BENDER + JOLLY LEXINGTON | SOUTHEAST COMMUNITY COLLEGE FALKENSTEIN HALL RENOVATION Project No. 628.0 | 275,000 | 28,461 | 5/31/89 |
| PEARSON + BENDER + JOLLY LEXINGTON | SOUTHEAST COMMUNITY COLLEGE NEWMAN HALL RENOVATION Project No. 629.0 | 350,000 | 33,083 | 5/31/89 |
| STAGGS & FISHER ENGRS. LEXINGTON | MEDICAL CENTER UPGRADE FUME HOODS Project No. 644.0 | 1,200,000 | 49,000 | 6/21/89 |

* The scope of this project represents an estimate for a study.

## I. ARCHITECT & ENGINEER CONTRACTS (CONTINUED)

| ARCHITECT & ENGINEER | PROJECT | PROJECT SCOPE | ARCHITECT & ENGINEER FEES | EFFECTIVE CONTRACT DATE |
|---|---|---|---|---|
| WATKINS & ASSOCIATES LEXINGTON | COOLING PLANTS #1 AND #2 Project No. 614.0 | $ 400,000 | $ 31,662 | 6/21/89 |
| BIAGI,CHANCE,CUMMINS, LONDON & TITZER, INC. SHELBYVILLE, KENTUCKY | VARIOUS PROJECTS-PER DIEM MECHANICAL AND ELECTRICAL SERVICES | N/A | 85,000** | 6/21/89 |
| W.H. BROWN & ASSOCIATES SHELBYVILLE, KENTUCKY | VARIOUS PROJECTS-PER DIEM CIVIL ENGINEERING SERVICES | N/A | 85,000** | 6/21/89 |
| CHRISMAN/MILLER/WOODFORD LEXINGTON | VARIOUS PROJECTS-PER DIEM ARCHITECTURAL SERVICES | N/A | 120,000** | 6/21/89 |
| FULLER, MOSSBARGER, SCOTT & /MAY LEXINGTON | VARIOUS PROJECTS-PER DIEM GEOLOGICAL/CIVIL ENGINEERING SERVICE | N/A | 85,000** | 6/21/89 |
| GRW ENGINEERS, INC. LEXINGTON | VARIOUS PROJECTS-PER DIEM CIVIL ENGINEERING SERVICES | N/A | 85,000** | 6/21/89 |
| KAISER-TAULBEE ASSOC. LEXINGTON | VARIOUS PROJECTS-PER DIEM MECHANICAL AND ELECTRICAL SERVICES | N/A | 85,000** | 6/21/89 |
| LAW ENGINEERING LEXINGTON | VARIOUS PROJECTS-PER DIEM GEOLOGICAL/CIVIL ENGINEERING SERVICE | N/A | 85,000** | 6/21/89 |
| LOSS CONTROL, INC. LEXINGTON | VARIOUS PROJECTS-PER DIEM ENVIRONMENTAL TESTING/INVESTIGATION SERVICES | N/A | 120,000** | 6/21/89 |
| MASON & HANGER ENGR. LEXINGTON | VARIOUS PROJECTS-PER DIEM MECHANICAL & ELECTRICAL SERVICES | N/A | 85,000** | 6/21/89 |
| MCCOY & MCCOY, INC. LEXINGTON | VARIOUS PROJECTS-PER DIEM ENVIRONMENTAL TESTING/INVESTIGATION SERVICES | N/A | 160,000** | 6/21/89 |
| PEARSON + BENDER + JOLLY LEXINGTON | VARIOUS PROJECTS-PER DIEM ARCHITECTURAL SERVICES | N/A | 85,000** | 6/21/89 |
| STAGGS & FISHER ENGRS. LEXINGTON | VARIOUS PROJECTS-PER DIEM MECHANICAL & ELECTRICAL SERVICES | N/A | 85,000** | 6/21/89 |
| WHITE, WALKER & MCREYNOLDS LEXINGTON | VARIOUS PROJECTS-PER DIEM STRUCTURAL ENGINEERING SERVICES | N/A | 85,000** | 6/21/89 |
| WITT & ASSOCIATES, INC. LEXINGTON | VARIOUS PROJECTS-PER DIEM CIVIL ENGINEERING SERVICES | N/A | 85,000** | 6/21/89 |
| DAVID C. BANKS, ARCH. FRANKFORT, KENTUCKY | VARIOUS PROJECTS-PER DIEM ENVIRONMENTAL SERVICES | N/A | 120,000** | 6/30/89 |
| DAVID C. BANKS, ARCH. FRANKFORT, KENTUCKY | VARIOUS PROJECTS-PER DIEM ARCHITECTURAL SERVICES | N/A | 85,000** | 6/30/89 |
| CENTRAL ASSOCIATED ENGRS. LEXINGTON | ELECTRIC SUBSTATION #2 EXPANSION Project No. 615.0 | 250,000 | 11,272 | 6/30/89 |
| PROCTOR/DAVIS/RAY LEXINGTON | COOPERSTOWN FIRE ALARM SYSTEM Project No. 651.0 | 300,000 | 19,600 | 6/30/89 |
| CENTRAL ASSOCIATED ENGRS. LEXINGTON | FINE ARTS BUILDING FIRE SAFETY Project No. 884.0 | 105,750 | 11,272 | 6/30/89 |

**Maximum fee through 6/30/89 on an as needed basis.

## II. CHANGES TO ARCHITECT & ENGINEER CONTRACTS

| ARCHITECT & ENGINEER | PROJECT | CHANGE NUMBER | DATE TO IRC | AMOUNT |
|---|---|---|---|---|
| PROCTOR DAVIS RAY LEXINGTON | FUNKHOUSER PHASE III AIR CONDITIONING Project No. 104.0 | 4 | 10/31/88 | + $ 8,500 |

Nature of Change: Additional consultant services.

Reason for Change: During construction it was necessary to make numerous changes for adjustments to the project because of items left out of the project. In addition, because of problems with the contractor, it was necessary to involve the consultant long after the project should have been concluded.

| | | | | |
|---|---|---|---|---|
| JOHNSON/ROMANOWITZ ARCH. LEXINGTON | MINING & MINERALS RESOURCE BUILDING Project No. 115.6 | 11 | 3/31/89 | + 5,000 |

Nature of Change: Provide design services necessary to produce a concept for placement of sculpture in the atrium of the Mining & Minerals Building.

Reason for Change: There is a strong need to express, through artistic works, the nature of the research that takes place in this facility. The design concept will be used to facilitate fund raising for the creation and installation of the sculpture.

| | | | | |
|---|---|---|---|---|
| JOHNSON/ROMANOWITZ ARCH. LEXINGTON | MINING & MINERALS RESOURCE BUILDING Project No. 115.7 & 115.8 | 12 | 6/21/89 | + 13,301 |

Nature of Change: Provide full consulting services to design a gas storage facility.

Reason for Change: A gas storage facility is required to meet current safety requirements for handling bottled gas cylinders needed to support research program in Mines & Minerals Building.

| | | | | |
|---|---|---|---|---|
| OMNI/CMW ARCHITECTS LEXINGTON | HOSPITAL EXPANSION PHASE II Project No. 304.0 | 8 | 09/31/88 | + 302,211 |

Nature of Change: To increase Phases "A", "B", and "C" of the contract.

Reason for Change: The schematic design of the Hospital Expansion allowed for the future addition of two floors. The U.K. Hospital, in consultation with the Construction effective and less disruptive to shell in those two floors immediately. This increase in fee is to cover the design fees necessary to prepare change orders and bid documents for the two additional floors.

| | | | | |
|---|---|---|---|---|
| OMNI/CMW ARCHITECTS LEXINGTON | HOSPITAL EXPANSION PHASE II Project No. 304.0 | 9 | 10/31/88 | + 140,000 |

Nature of Change: Increase the scope of services to include mechanical and electrical design necessary to plan for the expansion of the chilled water plant that services the Medical Center.

Reason for Change: It is necessary to increase the capacity of this facility in order to serve the new buildings currently under construction.

| | | | | |
|---|---|---|---|---|
| OMNI/CMW ARCHITECTS LEXINGTON | HOSPITAL EXPANSION PHASE II Project No. 304.0 | 10 | 1/31/89 | + 40,000 |

Nature of Change: Increase services in design phase.

Reason for Change: This amendment increases the fee for mechanical, electrical and plumbing design in order to expand the mechanical, electrical and plumbing systems of the new facility to better meet user program needs and adjust to recent changes in technology. These adjustments will provide the required support system for many items of state of the art equipment necessary to keep the University Hospital competitive with other facilities of this type.

## II. CHANGES TO ARCHITECT & ENGINEER CONTRACTS (CONTINUED)

| ARCHITECT & ENGINEER | PROJECT | CHANGE NUMBER | DATE TO IRC | AMOUNT |
|---|---|---|---|---|
| TATE, FITZSIMONS LEXINGTON | HOSPITAL CAFETERIA RENOVATION Project No. 304.7 | 1 | 1/31/89 | + $ 5,100.00 |
| Nature of Change: | Increase scope of services. | | | |
| Reason for Change: | When this project was initiated it was estimated that there would be limited resources available to apply to the renovation of the cafeteria. Now that other components of the overall project have been bid and overall, the total Hospital relocation project is below the initially budgeted amount, reallocation of resources to this project is possible. | | | |
| JOHNSON/ROMANOWITZ ARCH. LEXINGTON | AGRICULTURE REGULATORY SERVICES FACILITY Project No. 395.0 | 4 | 3/31/89 | + 2,415 |
| Nature of Change: | Extend Resident Inspector services. | | | |
| Reason for Change: | Continue the services of the Resident Inspector on a half time basis, to coincide with the project completion (January 1, thru February 28, 1989.) | | | |
| OMNI ARCHITECTS LEXINGTON | OWENSBORO COMMUNITY COLLEGE Project No. 425.0 | 4 | 1/31/89 | + 17,000.00 |
| Nature of Change: | Design changes required by state review agencies and users. | | | |
| Reason for Change: | This project was bid in phases making it difficult for the review agencies to understand the overall project resulting in many items being reviewed in the field. There are also items that were requested by the using agency for similar reasons to those stated above. Adjustments were required to better meet program needs. | | | |
| SHERMAN, CARTER, BARNHART LEXINGTON | ROBOTICS FACILITY Project No. 431.0 | 2 | 6/30/89 | + 9,240 |
| Nature of Change: | Extend Resident Inspector services from May 15, 1989 through September 15, 1989. | | | |
| Reason for Change: | Project completion has been extended to September and Resident Inspector services are required through this time. | | | |
| BOOKER ASSOCIATES LEXINGTON | HAGGIN HALL SHOWER REPAIR III Project No. 441.0 | 2 | 2/28/89 | + 17,390 |
| Nature of Change: | Additional service required. | | | |
| Reason for Change: | Preparation of bid packages for the final two construction phases of the Haggin Hall Shower Repair III. (Consultant designed Phases I & II.) | | | |
| ENVIRONMENTAL PLANNING & DESIGN PITTSBURGH, PA | ARBORETUM DEVELOPMENT PHASE I Project No. 453.1 | 1 | 5/31/89 | + 59,341 |
| Nature of Change: | Provide services for schematics, design development and contract administration of Phase I, Development of the University of Kentucky Arboretum. | | | |
| Reason for Change: | Original contract was for master plan development only. | | | |

## II. CHANGES TO ARCHITECT & ENGINEER CONTRACTS (CONTINUED)

| ARCHITECT & ENGINEER | PROJECT | CHANGE NUMBER | DATE TO IRC | AMOUNT |
|---|---|---|---|---|
| SHERMAN/CARTER/BARNHART<br>LEXINGTON | HAZARD COMMUNITY COLLEGE<br>TECHNICAL/L.R.C. BUILDING<br>Project No. 469.0 | 3 | 11/30/88 | + $ 4,873 |
| Nature of Change: | Extend the service of the resident inspector. | | | |
| Reason for Change: | Construction not complete and requires resident inspector services from 10/17/88 to 11/30/88. | | | |
| ARRASMITH, JUDD, RAPP, INC.<br>LOUISVILLE | PRESTONSBURG COMMUNITY COLLEGE<br>TECHNICAL LEARNING RESOURCE BUILDING<br>Project No. 471.0 | 3 | 09/30/88 | + 1,335 |
| Nature of Change: | Increase Phase "C" of the contract. | | | |
| Reason for Change: | To provide for an extension of time for the Resident Inspector. The time period is to extend from August 1, 1988 to August 19, 1988. | | | |
| KNAPP, GIVENS, VEAZEY & SHOULDERS<br>HENDERSON | MADISONVILLE COMMUNITY COLLEGE<br>ACADEMIC/AUDITORIUM BUILDING<br>Project No. 472.0 | 4 | 3/31/89 | + 9,472 |
| Nature of Change: | Extend Resident Inspector Services | | | |
| Reason for Change: | Continue the services of the Resident Inspector through the fit-up phase of the project (April 13 through July 31, 1989). | | | |
| BICKEL-GIBSON ARCHITECTS<br>LOUISVILLE | AGRICULTURAL ENGINEERING BLDG.<br>Project No. 475.0 | 2 | 09/31/88 | - 5,102 |
| Nature of Change: | To decrease Phase "C" of the contract. | | | |
| Reason for Change: | Original Resident Inspector was dismissed after five and a half (5 1/2) months of service. Replacement Resident Inspector will provide services. Replacement Resident Inspector to receive $2,500, per month with reimbursement to the Architect at $2,625 per month. Savings results from Resident Inspector from another project being used until a replacement could be found. | | | |
| BICKEL-GIBSON ARCHITECTS<br>LOUISVILLE | AGRICULTURAL ENGINEERING BLDG.<br>THIRD & FOURTH FLOOR COMPLETION<br>Project No. 475.1 | 3 | 04/30/89 | + 52,543 |
| Nature of Change: | To prepare contract documents and construction administration for the completion of the shelled third and fourth floors. | | | |
| Reason for Change: | Services to prepare separate bid package were not included in their original contract. | | | |
| BIAGI, CHANCE, CUMMINS, LONDON, TITZER, INC.<br>SHELBYVILLE | HOSPITAL/MEDICAL CENTER<br>SUPPRESSION SYSTEM<br>Project 542.0 | 1 | 04/30/89 | + 89,780 |
| Nature of Change: | Prepare construction documents & perform construction administration to retrofit the Hospital portion of the Medical Center Complex with a 100% fire suppression system. | | | |
| Reason for Change: | Original contract was to perform a master plan study for installing a fire suppression system. Owner has accepted the study and wishes to proceed with design and installation. | | | |

## II. CHANGES TO ARCHITECT & ENGINEER CONTRACTS (CONTINUED)

| ARCHITECT & ENGINEER | PROJECT | CHANGE NUMBER | DATE TO LRC | AMOUNT |
|---|---|---|---|---|
| TATE-FITZSIMONS ARCHITECTS<br>LEXINGTON | HOSPITAL COFFEE SHOP RENOVATION<br>Project No. 544.0 | 1 | 3/31/89 | + $ 900 |
| Nature of Change: | Additional architectural services required. | | | |
| Reason for Change: | Include the design of replacement of galvanized overhead piping and installation of a sprinkler system. This service was not in the original scope of services. | | | |
| KAISER-TAULBEE ASSOC.<br>LEXINGTON | KY. CTR. FOR ENERGY RESEARCH HVAC & EXHAUST SYSTEM<br>Project No. 612.0 | 1 | 04/30/89 | + 26,000 |
| Nature of Change: | Expand services to include design documents and construction administration. | | | |
| Reason for Change: | Original contract was for a feasibility study only. Owner now wishes to continue with design and construction of the project and perform work as outlined by consultants. | | | |
| BOOKER ASSOCIATES, INC.<br>LEXINGTON | ADMINISTRATION DRIVE REALIGNMENT<br>Project No. 635.0 | 1 | 6/21/89 | + 27,751 |
| Nature of Change: | Extend service to include design development, construction contract documents and construction inspection and administration. | | | |
| Reason for Change: | Original contract required consultant to perform a feasbility study only. The University has accepted proposal for development and wishes to go forth with the design and construction of the project. | | | |
| GRW ENGINEERS<br>LEXINGTON | MEDICAL SCIENCE WING SMOKE DETECTION<br>Project No. 853.0 | 2 | 09/31/88 | + 2,175 |
| Nature of Change: | To increase Phase "C" of the contract. | | | |
| Reason for Change: | Due to the presence of asbestos, all construction work on this had to be temporarily halted while a separate contract was issued for asbestos abatement. The delay lasted for several months. This Amendment is to cover added costs for remobilization of the project following the abatement process. | | | |
| GRW ENGINEERS<br>LEXINGTON | DENTAL SCIENCE WING SMOKE DETECTION<br>Project No. 854.0 | 2 | 09/31/88 | + 725 |
| Nature of Change: | To increase Phase "C" of the contract. | | | |
| Reason for Change: | Due to the presence of asbestos, all construction work on this had to be temporarily halted while a separate contract was issued for asbestos abatement. The delay lasted for several months. This Amendment is to cover added costs for remobilization of the project following the abatement process. | | | |
| LOSS CONTROL<br>LEXINGTON | PER DIEM CONSULTANT ENVIRONMENTAL SERVICES | 1 | 12/22/88 | -0- |
| Nature of Change: | Add Radon Testing to schedule of rates. | | | |
| Reason for Change: | Radon Testing has been required on several projects and the University does not have the ability to perform such testing. | | | |

## III. ARCHITECT & ENGINEER FINAL PAYMENTS

| ARCHITECT & ENGINEER | PROJECT | FINAL CONTRACT AMOUNT | DATE |
|---|---|---|---|
| DCT DESIGN GROUP, LTD.<br>LEXINGTON | HOSPITAL RENOVATION<br>INTERIOR DECOR/3RD FLOOR OBSTETRICS<br>Project No. 129.6 | $ 40,534 | 8/10/88 |
| BICKEL-GIBSON ARCHITECTS<br>LOUISVILLE | MAXWELL H. GLUCK EQUINE CENTER<br>Project No. 230.1 | 441,875 | 8/12/88 |
| DRIES & ALEXANDER ARCHITECTS<br>LEXINGTON | HOSPITAL RENOVATION<br>PATIENT CARE/2ND FLOOR<br>Project No. 349.0 | 18,700 | 8/25/88 |
| LUCKETT & FARLEY ARCHITECTS<br>LOUISVILLE | MEDICAL SCIENCES RESEARCH LABS<br>Project No. 310.0 | 31,034 | 9/23/88 |
| BOOKER & ASSOCIATES<br>LEXINGTON | HAGGIN HALL SHOWER REPAIRS<br>Project No. 441.0 | 52,328 | 10/11/88 |
| BOOKER & ASSOCIATES<br>LEXINGTON | SHAWNEETOWN ROOF/TYPE B<br>Project No. 444.0 | 16,831 | 11/01/88 |
| ROSS-FELDMAN<br>LEXINGTON | STUDENT CENTER ROOFS<br>FEASIBILITY STUDY/BALLROOM<br>Project No. 527.0 | 16,337 | 12/19/88 |
| JOHNSON/ROMANOWITZ<br>LEXINGTON | MINING & MINERALS RESOURCE BLDG.<br>PHASE II SHELL<br>Project No. 115.0 | 718,632 | 12/23/88 |
| MCCLOSKEY & ASSOCIATES<br>LEXINGTON | AMERICAN BUILDING<br>LIFE SAFETY<br>Project No. 376.0 | 5,800 | 1/18/89 |
| CHRISMAN, MILLER, WOODFORD<br>LEXINGTON | MCVEY HALL<br>RENOVATION<br>Project No. 105.1 | 214,264 | 2/23/89 |
| PROCTOR, DAVIS, RAY<br>LEXINGTON | FUNKHOUSER PHASE III<br>AIR CONDITIONING<br>Project No. 104.0 | 98,500 | 3/01/89 |
| WIREMAN & WIREMAN<br>JACKSON | QUICKSAND BOUNDARY SURVEY<br>Project No. 591.0 | 8,580 | 3/15/89 |
| TERRY B. SIMMONS<br>LEXINGTON | AMERICAN BUILDING<br>ANTHROPOLOGY RENOVATION<br>Project No. 375.0 | 14,814 | 3/17/89 |
| LOUIS & HENRY<br>LOUISVILLE | ELIZABETHTOWN COMMUNITY COLLEGE<br>ACADEMIC TECHNICAL BUILDING<br>Project No. 470.0 | 195,341 | 3/30/89 |
| GRW ENGINEERS<br>LEXINGTON | MEDICAL SCIENCE WING<br>FIRE SAFETY<br>Project No. 853.0 | 54,968 | 4/21/89 |
| GRW ENGINEERS<br>LEXINGTON | DENTAL SCIENCE WING<br>FIRE SAFETY<br>Project No. 854.0 | 19,103 | 4/21/89 |
| SHERMAN, CARTER, BARNHART<br>LEXINGTON | HAZARD COMMUNITY COLLEGE<br>TECHNICAL LEARNING RESOURCE BUILDING<br>Project No. 469.0 | 162,763 | 6/20/89 |
| JOHNSON/ROMANOWITZ<br>LEXINGTON | KIRWAN/BLANDING<br>BRICK REPLACEMENT<br>Project No. 423.0 | 103,545 | 6/20/89 |
| DAVID C. BANKS, ARCHITECT<br>FRANKFORT | VARIOUS PROJECTS - PER DIEM<br>ARCHITECTURAL SERVICES | 17,311 | 6/30/89 |
| DAVID C. BANKS, ARCHITECT<br>FRANKFORT | VARIOUS PROJECTS - PER DIEM<br>ENVIRONMENTAL CONSULTING SERVICES | 10,227 | 6/30/89 |

## III. ARCHITECT & ENGINEER FINAL PAYMENTS (CONTINUED)

| ARCHITECT & ENGINEER | PROJECT | FINAL CONTRACT AMOUNT | DATE |
|---|---|---|---|
| BIAGI, CHANCE, CUMMINS, LONDON, TITZER, INC. SHELBYVILLE | VARIOUS PROJECTS - PER DIEM MECHANICAL/ELECTRICAL SERVICES | $ 15,468 | 6/30/89 |
| W. H. BROWN & ASSOCIATES SHELBYVILLE | VARIOUS PROJECTS - PER DIEM ARCHITECTURAL SERVICES | 21,020 | 6/30/89 |
| CHRISMAN, MILLER, WOODFORD LEXINGTON | VARIOUS PROJECTS - PER DIEM ARCHITECTURAL SERVICES | 54,642 | 6/30/89 |
| FULLER, MOSSBARGER, SCOTT & MAY LEXINGTON | VARIOUS PROJECTS - PER DIEM GEOTECHNICAL SERVICES | 15,306 | 6/30/89 |
| GRW ENGINEERS LEXINGTON | VARIOUS PROJECTS - PER DIEM CIVIL ENGINEERING SERVICES | 15,333 | 6/30/89 |
| KAISER-TAULBEE LEXINGTON | VARIOUS PROJECTS - PER DIEM MECHANICAL/ELECTRICAL SERVICES | 1,063 | 6/30/89 |
| LAW ENGINEERING LEXINGTON | VARIOUS PROJECTS - PER DIEM GEOTECHNICAL SERVICES | 11,634 | 6/30/89 |
| LOSS CONTROL, INC. LEXINGTON | VARIOUS PROJECTS - PER DIEM ENVIRONMENTAL SERVICES | 11,040 | 6/30/89 |
| MCCOY & MCCOY MADISONVILLE | VARIOUS PROJECTS - PER DIEM ENVIRONMENTAL SERVICES | 24,826 | 6/30/89 |
| MASON & HANGER LEXINGTON | VARIOUS PROJECTS - PER DIEM MECHANICAL/ELECTRICAL SERVICES | 18,294 | 6/30/89 |
| PEARSON + BENDER + JOLLY LEXINGTON | VARIOUS PROJECTS - PER DIEM ARCHITECTURAL SERVICES | 15,991 | 6/30/89 |
| STAGGS & FISHER LEXINGTON | VARIOUS PROJECTS - PER DIEM MECHANICAL/ELECTRICAL SERVICES | 4,566 | 6/30/89 |
| WHITE, WALKER & MCREYNOLDS LEXINGTON | VARIOUS PROJECTS - PER DIEM STRUCTURAL CONSULTING SERVICES | 10,337 | 6/30/89 |
| WITT & ASSOCIATES LEXINGTON | VARIOUS PROJECTS - PER DIEM CIVIL ENGINEERING SERVICES | 44,605 | 6/30/89 |

## IV. CONSTRUCTION CONTRACTS

| CONTRACTOR | PROJECT | CONTRACT PRICE | AWARD DATE | NO. OF BIDDERS | BID RANGE |
|---|---|---|---|---|---|
| ATLAS METAL PRODUCTS LOUISVILLE | HOSPITAL EXPANSION PHASE II WORK CATEGORY #15-FINISH HARDWARE Project No. 304.1 | $ 130,680 | 7/1/88 | 4 | $ 130,680 - 152,683 |
| FIDELITY CONSTRUCTION ALVANTON | MADISONVILLE COMMUNITY COLLEGE RESEAL/SIRIP EXTERIOR WINDOWS Project No. 367.0 | 13,114 * | 7/14/88 | 4 | 8,976 - 59,307 |
| * Second low bidder accepted. Low bidder did not meet qualifications. | | | | | |
| BROADVIEW ACOUSTICAL LEXINGTON | HOSPITAL EXPANSION PHASE II WORK CATEGORY #3-FIREPROOFING Project No. 304.1 | 698,000 | 7/22/88 | 3 | 698,000 - 780,000 |

## IV. CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CONTRACT PRICE | AWARD DATE | NO. OF BIDDERS | BID RANGE |
|---|---|---|---|---|---|
| EUBANK & STEEL<br>LEXINGTON | MINES & MINERALS ELEVATED PLATFORM FOR FIXED SEATING<br>Project No. 115.2 | $ 3,170 | 7/25/88 | 5 | $ 3,170 - 7,400 |
| INTEGRATED TELECOM CORP.<br>LEXINGTON | PRESTONSBURG COMMUNITY COLLEGE TELEPHONE SYSTEM<br>Project No. 471.1 | 22,051 | 7/26/88 | 1 | 22,051 |
| GTE SOUTH, INC.<br>ASHLAND | HAZARD COMMUNITY COLLEGE TELEPHONE SYSTEM<br>Project No. 469.2 | 19,565 | 8/10/88 | 1 | 19,565 |
| WHEELER GENERAL CONTRACTORS<br>LEXINGTON | SOMERSET COMMUNITY COLLEGE SIGNAGE<br>Project No. 112.4 | 10,033 | 8/15/88 | 3 | 10,033 - 13,063 |
| LITTLE FLOOR COMPANY<br>SUGAR GROVE, OH | LANCASTER AQUATIC CENTER DECK FINISH PACKAGE<br>Project No. 146.3 | 30,895 | 8/18/88 | 2 | 30,895 - 42,215 |
| STEEL TRAILER CORPORATION<br>CYNTHIANA | MEDICAL CENTER ANNEX #4 STAIRWAY REPAIRS<br>Project No. 549.0 | 21,500 | 8/15/88 | 1 | 21,500 |
| WEBER & WEBER GENERAL CONTR.<br>LOUISVILLE | JEFFERSON COMMUNITY COLLEGE COMMUNICATION DUCT BANKS | 34,200 | 9/14/88 | 2 | 34,200 - 67,949 |
| AKERS & AKERS, INC.<br>DANA | PRESTONSBURG COMMUNITY COLLEGE PARKING LOT PAVING & LIGHTING<br>Project No. 271.0 | 129,944 | 9/19/88 | 2 | 129,944 - 171,804 |
| CHAMBERS COMMERCIAL COATINGS<br>NICHOLASVILLE | LANCASTER AQUATIC CENTER POOL FINISH<br>Project No. 146.2 | 26,128 | 9/19/88 | 1 | 26,128 |
| FINNEY COMPANY<br>LEXINGTON | PHARMACY EQUIPMENT INSTALLATION<br>Project No. 555.0 | 215,947 | 9/28/88 | 1 | 215,947 |
| MEADE CONSTRUCTION CO.<br>CATLETTSBURG | ASHLAND COMMUNITY COLLEGE BOOKSTORE EXPANSION<br>Project No. 498.0 | 17,733 | 10/6/88 | 5 | 17,733 - 28,407 |
| GTE SOUTH<br>ELIZABETHTOWN | ELIZABETHTOWN COMMUNITY COLLEGE TELEPHONE UPGRADE<br>Project No. 470.1 | 72,299 | 10/6/88 | 5 | 72,299 - 97,256 |
| MIDWEST COMMUNICATION CORP.<br>LOUISVILLE | ROBOTICS & MCVEY HALL SATELLITE DISH & INSTALLATION<br>Project No. 431.2 & 609.0 | 241,521 | 10/10/88 | 4 | 241,521 - 267,920 |
| McNABB CONSTRUCTION CO.<br>MT. STERLING | DEMOLITION OF STRUCTURES CLIFTON, ROSE ST. & S. LIME<br>Project No. 626.0 | 10,520 | 10/14/88 | 1 | 10,520 |
| PEARCE PHELPS ROOFING, INC.<br>LEXINGTON | SOMERSET COMMUNITY COLLEGE MEECE HALL ROOF REPLACEMENT<br>Project No. 581.0 | 41,897 | 10/25/88 | 3 | 41,897 - 45,350 |
| CENTRAL ROCK & MINERAL CO.<br>LEXINGTON | AQUATIC CENTER PARKING LOT<br>Project No. 598.0 | 51,600 | 10/25/88 | 7 | 51,600 - 66,703 |
| THERMAL BALANCE INC.<br>LEXINGTON | HOSPITAL EXPANSION PHASE II BID PACK II, WORK CAT. #12<br>Project No. 304.1 | 47,600 * | 10/31/88 | 2 | 42,805 - 47,600 |
| * Second low bidder accepted. Low bidder did not meet qualifications. | | | | | |
| FRANK MESSER & SONS CONSTR.<br>CINCINNATI, OH | HOSPITAL EXPANSION PHASE II BID PACK III, WORK CAT. #1<br>Project No. 304.1 | 1,796,000 | 11/7/88 | 1 | 1,796,000 |
| LITTLE FLOOR COMPANY<br>SUGAR GROVE, OH | AQUATIC CENTER DECK FINISH<br>Project No. 146.3 | 30,895 | 11/11/88 | 2 | 30,895 - 42,215 |

## IV. CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CONTRACT PRICE | AWARD DATE | NO. OF BIDDERS | BID RANGE |
|---|---|---|---|---|---|
| KOORSEN PROTECTION SERVICES<br>LOUISVILLE | PATTERSON OFFICE TOWER<br>HALON SUPPRESSION SYSTEM<br>Project No. 852.2 | $ 12,500 | 11/11/88 | 2 | $ 12,500 - 22,150 |
| BROADVIEW ACOUSTICAL CONTR.<br>LEXINGTON | HOSPITAL EXPANSION PHASE II<br>BID PACK III, WORK CAT. #4 - DRYWALL<br>Project No. 304.1 | 58,700 | 11/21/88 | 2 | 58,700 - 106,514 |
| JOHNSON CONTROLS<br>LOUISVILLE | HOSPITAL EXPANSION PHASE II<br>BID PACK II, WORK CAT. #11<br>Project No. 304.1 | 689,329 | 11/22/88 | 1 | 689,329 |
| LEXINGTON FIRE PROTECTION<br>LEXINGTON | HOSPITAL EXPANSION PHASE II<br>BID PACK III, WORK CAT. #4<br>Project No. 304.1 | 11,886 | 11/23/88 | 4 | 11,886 - 34,500 |
| WIDES MATERIAL CO.<br>LEXINGTON | HOSPITAL EXPANSION PHASE II<br>BID PACK III, WORK CAT. 6<br>Project No. 304.1 | 10,636 | 11/23/88 | 3 | 10,636 - 11,755 |
| ATLAS METAL PRODUCTS CO.<br>LOUISVILLE | HOSPITAL EXPANSION PHASE II<br>BID PACK III, WORK CAT. 7<br>Project No. 304.1 | 10,045 | 11/23/88 | 2 | 10,045 - 11,886 |
| CENTRAL KENTUCKY GLASS CO.<br>LEXINGTON | HOSPITAL EXPANSION<br>PARKING STRUCTURE<br>Project No. 304.3 | 15,793 | 11/23/88 | 1 | 15,793 |
| ROY E. PELFREY ASSOCIATES<br>LEXINGTON | CENTER FOR THE ARTS CURTAIN<br>Project No. 494.0 | 19,600 | 11/23/88 | 2 | 19,600 - 22,137 |
| LAGCO<br>LEXINGTON | HOSPITAL EXPANSION PHASE II<br>BID PACK III, WORK CAT. 5<br>Project No. 304.1 | 105,300 | 11/29/88 | 5 | 105,300 - 141,493 |
| CENTRAL ROCK MINERAL CO.<br>LEXINGTON | SEATON CENTER<br>SITE DEVELOPMENT<br>Project No. 588.0 | 69,503 | 12/01/88 | 5 | 69,503 - 90,000 |
| GTE SOUTH<br>ELIZABETHTOWN | OWENSBORO COMMUNITY COLLEGE<br>TELEPHONE SYSTEM<br>Project No. 425.1 | 120,000 | 12/05/88 | 5 | 120,000 - 147,694 |
| E.C. MATTHEWS CO.<br>LEXINGTON | MED PLAZA ROOFTOP ENCLOSURE<br>WORK CAT. 1<br>Project No. 576.0 | 249,800 | 12/07/88 | 1 | 249,800 |
| CENTRAL GREETING CO.<br>LEXINGTON | MED PLAZA ROOFTOP ENCLOSURE<br>WORK CAT. 2<br>Project No. 576.0 | 195,000 | 12/07/88 | 1 | 195,000 |
| PEARCE PHELPS ROOFING INC.<br>LEXINGTON | MED PLAZA ROOFTOP ENCLOSURE<br>WORK CAT. 3<br>Project No. 576.0 | 127,763 | 12/08/88 | 6 | 127,763 - 176,520 |
| PANEL TECH. INC.<br>LEXINGTON | MED PLAZA ROOFTOP ENCLOSURE<br>WORK CAT. 5<br>Project No. 576.0 | 36,890 | 12/07/88 | 2 | 36,890 - 61,400 |
| BROWN SPRINKLER CORPORATION<br>LEXINGTON | MED PLAZA ROOFTOP ENCLOSURE<br>WORK CAT. 8<br>Project No. 576.0 | 28,900 | 12/07/88 | 4 | 28,900 - 36,500 |
| PARSONS ELECTRIC<br>LEXINGTON | MED PLAZA ROOFTOP ENCLOSURE<br>WORK CAT. 9<br>Project No. 576.0 | 12,200 | 12/08/88 | 5 | 12,200 - 18,233 |
| ECONOMY GLASS SERVICE<br>LEXINGTON | MED PLAZA ROOFTOP ENCLOSURE<br>WORK CAT. 6<br>Project No. 576.0 | 34,985 | 12/08/88 | 3 | 34,985 - 42,967 |
| GREEN MECHANICAL CONST.<br>LEXINGTON | MED PLAZA ROOFTOP ENCLOSURE<br>WORK CAT. 7<br>Project 576.0 | 15,052 | 12/08/88 | 3 | 15,052 - 31,400 |

## IV. CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CONTRACT PRICE | AWARD DATE | NO. OF BIDDERS | BID RANGE |
|---|---|---|---|---|---|
| BILL TUCKER CONSTRUCTION CO.<br>LAGRANGE | JEFFERSON COMMUNITY COLLEGE<br>HARTFORD BLDG. HARDWARE<br>Project No. 454.0 | $ 15,410 | 12/09/88 | 4 | $ 15,410 -<br>19,300 |
| D.W. WILBURN, INC.<br>LEXINGTON | 4-H LEADERSHIP TRAINING CENTER<br>PHASE III<br>Project No. 333.2 | 510,200 | 12/15/88 | 7 | 510,200 -<br>653,640 |
| GENE RAY ELECTRIC CO.<br>ELIZABETHTOWN | ELIZABETHTOWN COMMUNITY COLLEGE<br>TELEPHONE UPGRADE<br>Project No. 470.1 | 4,800 | 12/20/88 | 3 | 4,800 -<br>7,325 |
| SIEMENS MEDICAL SYSTEMS<br>ISELIN, NEW JERSEY | MRI BUILDING<br>Project No. 457.0 | 676,772 | 12/21/88 | 2 | 676,772 -<br>993,600 |
| ARC CONSTRUCTION CO.<br>EVANSVILLE, INDIANA | MADISONVILLE COMMUNITY COLLEGE<br>ACADEMIC/TECHNICAL BLDG. PHASE II<br>Project No. 472.1 | 969,960 | 12/23/88 | 2 | 969,960 -<br>1,046,600 |
| BAC PRITCHARD<br>BALTIMORE, MD | HOSPITAL COOLING TOWER<br>REPAIR<br>Project No. 655.0 | 515,224 | 1/13/89 | 1 | 515,224 |
| LINKERS PROF. INSULATOR<br>LOUISVILLE | MEDICAL PLAZA ROOFTOP CONVERSION<br>WORK CAT. #4 - FIREPROOFING<br>Project No. 576.0 | 38,500 | 1/27/89 | 2 | 38,500 -<br>38,858 |
| MMR/WALLACE CONSTRUCTORS<br>LEXINGTON | HOSPITAL EXPANSION PHASE II<br>COOLING PLANT IMPROVEMENTS<br>Project No. 304.8 | 1,275,104 | 1/26/89 | 6 | 1,275,104 -<br>1,579,797 |
| DOVER ELEVATOR<br>LEXINGTON | MEDIAL SCIENCE<br>REPLACE FOUR ELEVATORS<br>Project No. 311.0 | 299,834 * | 1/31/89 | 2 | 213,850 -<br>299,834 |
| * Second low bidder accepted. Low bidder did not meet qualifications. | | | | | |
| MARCO CONSTRUCTION<br>NICHOLASVILLE | HOSPITAL OUTPATIENT<br>SURGERY RENOVATION<br>Project No. 590.0 | 98,600 | 2/15/89 | 4 | 98,600 -<br>124,755 |
| MARCO CONSTRUCTION<br>NICHOLASVILLE | HOSPITAL RENOVATION<br>ENDOSCOPY/DIALYSIS<br>Project No. 589.0 | 111,600 | 2/22/89 | 5 | 111,600 -<br>124,095 |
| ARC CONSTRUCTION<br>EVANSVILLE, IN | MADISONVILLE COMMUNITY COLLEGE<br>MECHANICAL ROOM STRUCTURAL INVEST.<br>Project No. 594.0 | 6,160 | 2/23/89 | 1 | 6,160 |
| WHEELER CONSTRUCTION<br>LEXINGTON | LEXINGTON COMMUNITY COLLEGE<br>ACAD./TECH. BLDG. NOISE PROBLEM<br>Project No. 468.1 | 5,040 | 3/9/89 | 1 | 5,040 |
| WARREN BUILDERS<br>MT. STERLING | ALLEN HOUSE<br>ROOF REPLACEMENT<br>Project No. 553.0 | 98,250 | 3/9/89 | 5 | 98,250 -<br>131,950 |
| WARREN BUILDERS<br>MT. STERLING | NOE HOUSE<br>ROOF REPLACEMENT<br>Project No. 553.0 | 96,233 | 3/9/89 | 5 | 96,233 -<br>131,131 |
| GORDON CONSTRUCTION<br>SHELBYVILLE | COMPLEX BASKETBALL COURTS<br>RECREATIONAL BUILDING RENOVATION<br>Project No. 391.1 | 9,700 | 3/22/89 | 9 | 9,700 -<br>19,329 |
| STEVENS CONTRACTORS, INC.<br>LOUISVILLE | JEFFERSON COMMUNITY COLLEGE<br>BROADWAY BLDG. RENOV. PHASE II<br>Project No. 478.1 | 240,300 | 3/23/89 | 11 | 240,300 -<br>279,600 |
| ARROW ELECTRIC<br>LEXINGTON | BLAZER HALL<br>FIRE SAFETY<br>Project No. 536.0 | 126,874 | 3/23/89 | 4 | 126,874 -<br>149,000 |

## IV. CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CONTRACT PRICE | AWARD DATE | NO. OF BIDDERS | BID RANGE |
|---|---|---|---|---|---|
| BROADVIEW BUILDINGS<br>LEXINGTON | SHAWNEETOWN KITCHEN UNIT REPLACEMENT<br>Project No. 567.0 | $ 56,888 | 3/27/89 | 6 | $ 56,888 - 81,300 |
| BURDETTE ELECTRIC<br>LEXINGTON | KEENELAND HALL<br>FIRE SAFETY<br>Project No. 561.0 | 125,665 | 3/27/89 | 8 | 125,665 - 193,784 |
| BLUEGRASS LANDSCAPE DESIGN<br>LEXINGTON | AQUATIC CENTER<br>PARKING LOT LANDSCAPING<br>Project No. 598.1 | 27,350 | 3/27/89 | 3 | 27,350 - 41,724 |
| PARSONS ELECTRIC<br>LEXINGTON | DONOVAN HALL<br>FIRE SAFETY<br>Project No. 560.0 | 171,037 | 3/28/89 | 4 | 171,037 - 202,774 |
| C. C. LEE<br>LEXINGTON | MEDICAL CENTER-ALLIED HEALTH<br>ADMINISTRATIVE OFFICE RENOVATION<br>Project No. 625.0 | 20,987 | 4/14/89 | 7 | 20,987 - 38,666 |
| E.C. MATTHEWS<br>LEXINGTON | FOOD SERVICE FREEZER #2<br>Project No. 610.0 | 109,500 | 4/21/89 | 2 | 109,500 - 152,200 |
| MB MCGREGOR CO.<br>LEXINGTON | HAGGIN HALL SHOWER REPAIR<br>Project No. 650.0 | 130,878 | 4/24/89 | 4 | 130,878 - 149,890 |
| BROADVIEW BUILDINGS<br>LEXINGTON | MEDICAL CENTER ANNEX II<br>STRUCTURAL REPAIRS<br>Project No. 632.0 | 17,766 | 4/26/89 | 5 | 17,766 - 32,700 |
| LAGCO<br>LEXINGTON | HOSPITAL EXPANSION/PHASE II<br>BID PACKAGE #4 MEDICAL GAS SYSTEMS<br>Project No. 304.1 | 369,969 | 4/28/89 | 5 | 369,969 - 462,654 |
| LANDMARK SPRINKLER<br>LEXINGTON | KEENELAND HALL BASEMENT<br>STORAGE ROOM SPRINKLERS<br>Project No. 638.0 | 22,625 | 5/7/89 | 3 | 22,625 - 24,927 |
| BROWN SPRINKLER<br>LEXINGTON | BLAZER HALL BASEMENT SPRINKLERS<br>Project No. 637.0 | 52,422 | 5/17/89 | 3 | 52,422 - 59,974 |
| MCKNIGHT & ASSOCIATES<br>LONDON | SOUTHEAST COMMUNITY COLLEGE<br>CONCRETE CONCOURSE<br>Project No. 611.0 | 58,500 | 5/19/89 | 2 | 58,500 - 65,000 |
| K V CONSTRUCTION CO.<br>LEXINGTON | DONOVAN HALL<br>HANDICAP IMPROVEMENTS<br>Project No. 407.0 | 107,990 | 5/23/89 | 4 | 107,990 - 142,485 |
| KEMPER ELECTRIC<br>LEXINGTON | MCVEY HALL ELECTRICAL &<br>COMMUNICATIONS UPGRADE<br>Project No. 597.0 | 61,469 | 6/1/89 | 5 | 61,469 - 87,636 |
| LAGCO<br>LEXINGTON | ROBOTICS FACILITY<br>WATER LINE INSTALLATION<br>Project No. 431.4 | 27,180 | 6/5/89 | 5 | 27,180 - 46,800 |
| MARTINA BROTHERS INC.<br>LEXINGTON | ANIMAL CARE FACILITY<br>RESINOUS FLOORING<br>Project No. 406.4 | 12,859 | 6/6/89 | 3 | 12,859 - 14,840 |
| PERRY CONSTRUCTION<br>LEXINGTON | AMERICAN BUILDING RENOVATION<br>GEOLOGICAL SURVEY PHASE II<br>Project No. 613.0 | 115,343 | 6/7/89 | 4 | 115,343 - 198,750 |
| DEERINGER & SON<br>LEXINGTON | BLANDING IV ROOF REPLACEMENT<br>Project No. 653.0 | 52,394 | 6/8/89 | 3 | 52,394 - 58,950 |
| MID CONTINENTAL RESTORATION<br>FT. SCOTT, KANSAS | PATTERSON HALL TUCKPOINTING<br>Project No. 566.0 | 21,674 | 6/8/89 | 3 | 21,674 - 37,014 |
| SHERROD CONSTRUCTION<br>WINCHESTER | HOSPITAL COFFEE SHOP RENOVATION<br>CHANDLER MEDICAL CENTER<br>Project No. 544.0 | 156,744 | 6/12/89 | 5 | 156,744 - 182,900 |

## IV. CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CONTRACT PRICE | AWARD DATE | NO. OF BIDDERS | BID RANGE |
|---|---|---|---|---|---|
| EDWIN BRADY CONSTRUCTION<br>PARIS | KIRWAN/BLANDING COMPLEX<br>EXTERIOR CONCRETE COLUMN REPAIR<br>Project No. 564.0 | $ 14,950 | 6/19/89 | 2 | $ 14,950 -<br>16,500 |
| YOUNG SALES CORPORATION<br>JEFFERSONVILLE, IN | JEFFERSON COMMUNITY COLLEGE<br>LVIII AUDITORIUM ROOF REPLACEMENT<br>Project No. 584.0 | 22,770 | 6/20/89 | 2 | 22,770 -<br>24,600 |
| P & R ROOFING, INC.<br>LEXINGTON | SPINDLETOP ANIMAL CARE FACILITY<br>ROOF REPLACEMENT<br>Project 548.0 | 36,575 | 6/23/89 | 4 | 36,575 -<br>79,000 |
| CLEAVER CONSTRUCTION<br>MURRAY | PADUCAH COMMUNITY COLLEGE<br>FINE ARTS BLDG. SETTLEMENT REPAIRS<br>Project No. 383.0 | 23,850 | 6/26/89 | 2 | 23,850 -<br>29,299 |

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| THE WAGNER COMPANY<br>LEXINGTON | JOURNALISM/MCVEY HALL PHASE II<br>Project No. 105.1 | 9 | 9/8/88 | - $ 465.00 |

Nature of Change:
1. Delete sod work from contract.
2. Delete cost for demolition of wall partition.
3. Delete ceiling painting in the electrical equipment room.

Reason for Change:
1. University has decided to perform work.
2. Work was shown in Addendum; User decided not to remove wall.
3. Risk of damage to Liebert equipment due to over spray and/or shutdown.

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|---|---|---|---|---|
| WOODFORD BUILDERS, INC.<br>LEXINGTON | HOSPITAL INTERIOR RENOVATION<br>4TH FLOOR PEDIATRICS<br>Project No. 129.5 | 4 | 11/18/88 | - 100.00 |

Nature of Change: Delete installation of Pharmacy intercom.

Reason for Change: Intercom specified is not compatible with existing system.

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|---|---|---|---|---|
| LICHTEFELD-MASSARO, INC.<br>LOUISVILLE | HARRY C. LANCASTER<br>AQUATIC CENTER<br>Project No. 146.0 | 34 | 8/11/88 | + 1,316.32 |

Nature of Change:
1. Provide "B" label construction floor hatch in Stair #2.
2. Change type "C" fixtures in Lobby from 2 florescents to 6 incandescent down lights.
3. Delete rubber base and concrete sealer on floors of rooms 109, 112, 123 and 132.

Reason for Change:
1. Change required to meet building code.
2. Change required to avoid conflict with items above ceiling.
3. Deck coating will be turned up at wall and will replace the vinyl base originally specified.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| LICHTEFELD-MASSARO, INC.<br>LOUISVILLE | HARRY C. LANCASTER<br>AQUATIC CENTER<br>Project No. 146.0 | 35 | 10/11/88 | + $ 801.55 |
| Nature of Change: | Provide surge tank grating as requested. | | | |
| Reason for Change: | To prevent large objects from entering surge tank. Change required by Urban County Health Department. | | | |
| LICHTEFELD-MASSARO, INC.<br>LOUISVILLE | HARRY C. LANCASTER<br>AQUATIC CENTER<br>Project No. 146.0 | 36 | 5/24/89 | + 243.22 |
| Nature of Change: | Replace lockset. | | | |
| Reason for Change: | Owner contracted with a flooring manufacturer who damaged lockset. Requested Lichtefeld-Massaro to repair. | | | |
| CHAMBERS COMMERCIAL COATINGS<br>NICHOLASVILLE | AQUATICS POOL FINISH<br>LANCASTER AQUATIC CENTER<br>Project No. 146.2 | 1 | 12/2/88 | + 2,500.00 |
| Nature of Change: | Repair all voids, pinholes, etc., on pool bottom, perform six step acid etching and neutralizing procedure for pool tank bottom. | | | |
| Reason for Change: | Contractor is removing paint, etc., from pool bottom by grinding that has left a surface unacceptable to apply pool finish. | | | |
| R & W CONSTRUCTION CO.<br>LOUISVILLE | MAXWELL H. GLUCK<br>EQUINE RESEARCH CENTER<br>Project No. 230.0 | 10 | 7/18/88 | + 8,934.30 |
| Nature of Change: | 1. Furnish & install booster pump in north penthouse to serve deionization equipment.<br>2. Make revisions to air handling unit and to certain exhaust fans.<br>3. Delete maintenance of landscape plantings.<br>4. Install drains below floor for sterilizers.<br>5. Modify controls of ATB and EB Boxes. | | | |
| Reason for Change: | 1. To assure uninterrupted service to deionization equipment.<br>2. To provide additional ventilation for Mechanical Room.<br>3. University landscape department prefers to do this work.<br>4. Equipment supplied was not in accordance with original information.<br>5. Incorrect and/or change of hood exhaust criteria. | | | |
| STRUCK CONSTRUCTION CO.<br>LOUISVILLE | MEDICAL CENTER<br>ANIMAL CARE FACILITY<br>Project No. 259.0 | 5 | 1/24/89 | + 12,715.96 |
| Nature of Change: | Add a new fire department connection to the east wing of the Hospital as directed by Engineers. | | | |
| Reason for Change: | Change required to satisfy the local Fire Department's concern about ready access to the existing Fire Department connections on the north wing due to new buildings and projects under construction. | | | |

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| AKERS & AKERS CONSTRUCTION DANA | PRESTONSBURG COMMUNITY COLLEGE PARKING LOT PAVING AND LIGHTING Project No. 271.0 | 1 | 12/22/88 | + $ 6,537.00 |

Nature of Change:
1. Extend 15" Reinforced Concrete Pipe 104 l.f. and add 1 catch basin.
2. Add one catch basin at end of parking lot.
3. Add 58 l.f. of 15" reinforced concrete pipe and one catch basin to catch water from existing gravel parking lot.
4. Add 64 l.f. of 12" reinforced concrete pipe and one catch basin at low spot near handicap ramp.
5. Delete six feet wide strip of sod.

Reason for Change:
1. A ditch from end of pipe to stream would contribute to erosion.
2. After extending the pipe it was necessary to add a basin for clean out.
3. Existing grades would not permit gravel lot to drain. Additional basin will drain hazardous waterhold.
4. Sidewalk elevations were unavailable when drawings were completed. Final elevations did not permit drainage. New catch basin will alleviate problem.
5. Due to dry summer, sod is not available at this time; contractor will hydro-seed the area.

| | | | | |
|---|---|---|---|---|
| LICHTEFELD-MASSARO, INC. LOUISVILLE | HOSPITAL EXPANSION/PHASE II BID PACK #1 - GENERAL WORK Project No. 304.1 | 2 | 7/27/88 | - 25,437.53 |

Nature of Change:
1. Credit, caisson rock.
2. Delete footing at northeast corner.
3. Reduce fill slope.

Reason for Change:
1. Unit quantity adjustment per Contract Documents.
2. Work has been bid under Bid Package #2 and will be done at a later date for better coordination of work.
3. After inspection by Consultant it was found that less area needed filled than that specified.

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|---|---|---|---|---|
| LICHTEFELD-MASSARO, INC. LOUISVILLE | HOSPITAL EXPANSION/PHASE II BID PACK #1 - GENERAL WORK Project No. 304.1 | 3 | 9/13/88 | + 7,757.32 |

Nature of Change:
1. Compensation due to gas line rupture. Extend completion date by 28 calendar days.
2. Relocate 92 l.f. of drain tile from south of the parking structure to the north side of the new tunnel.

Reason for Change:
1. Delay of completing road work south of the parking garage due to new gas line installation.
2. To provide ground water seepage protection.

| | | | | |
|---|---|---|---|---|
| LICHTEFELD-MASSARO, INC. LOUISVILLE | HOSPITAL EXPANSION/PHASE II BID PACKAGE #1 - GENERAL WORK Project No. 304.1 | 4 | 11/16/88 | - 2,255.12 |

Nature of Change: Credit for sod.

Reason for Change: Work requested by contractor not required due to existing sod not being disturbed and was acceptable.

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|---|---|---|---|---|
| LICHTEFELD-MASSARO, INC. LOUISVILLE | HOSPITAL EXPANSION/PHASE II BID PACKAGE #1 - GENERAL WORK Project No. 304.1 | 5 | 12/22/88 | + 10,169.98 |

Nature of Change: Replace insulation in steam tunnel; paint, pump out, and remove trash.

Reason for Change: Repairs and replacement of damaged insulation needed due to water damage.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| HENDERSON ELECTRIC CO.<br>LEXINGTON | HOSPITAL EXPANSION/PHASE II<br>BID PACK I, ELECTRICAL WORK<br>Project No. 304.1 | 2 | 9/7/88 | - $ 4,160.00 |

Nature of Change: A credit of 26 cubic yards for rock removal.

Reason for Change: Rock removal quantity less than anticipated.

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| FRANK MESSER & SONS<br>CINCINNATI, OH | HOSPITAL EXPANSION/PHASE II<br>BID PACK II, WORK CAT. 1, GENERAL<br>Project No. 304.1 | 1 | 9/27/88 | + 35,692.00 |

Nature of Change:
1. Add reinforcing steel to concrete slab at mechanical room, first floor slab.
2. Install pavement trench drain across emergency room drive for collection of spills from leading of jet fuel into tanker, used for the helicopter.
3. Provide and install two stainless steel scrub sinks at tramma room.
4. Provide 72 task lights at laboratory wall shelving, heavy duty shelving, stillwater generator, fold-down grab bars at ICU patient rooms, ice matching, and increase height of laboratory controlled room for 8'0" finished ceiling height.

Reason for Change:
1. Design was not complete at time of bidding.
2. Required for safety in case of spillage of jet fuel during unloading operations.
   Required to prevent spillage in storm sewer system.
3. Items omitted from bid documents.
4. Post-bid review of contract indicated duplication and/or omissions of the above listed items.

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| FRANK MESSER & SONS<br>CINCINNATI, OH | HOSPITAL EXPANSION/PHASE II<br>BID PACK II, WORK CAT. 1 - GENERAL<br>Project No. 304.1 | 2 | 10/5/88 | + 85,133.00 |

Nature of Change: Provide materials and installation of two additional floors to hospital project.

Reason for Change: Design team decided it would be more cost effective and less disruptive to shell the two additional floors immediately; rather than wait until present hospital project was completed.

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| FRANK MESSER & SONS<br>CINCINNATI, OH | HOSPITAL EXPANSION/PHASE II<br>BID PACK II, WORK CAT. #1, GENERAL<br>Project No. 304.1 | 3 | 11/28/88 | + 10,178.00 |

Nature of Change:
1. Door and frame revision.
2. Provide quarry tile at emergency entrance.
3. Heliport drainage system revision.
4. Furnish Hill-Rom headwalls in lieu of Hospital systems.

Reason for Change:
1. Code requirement for electrical panel clearance.
2. Shown on drawings but not included in any of the bid category contracts.
3. Rerouting of roof drainage systems to reduce expensive containment piping for heliport.
4. The Hospital systems track was originally specified. During the post-bid review, it was found that their track assembly was incompatible with existing equipment to mount into the track and thus Hill-Rom is required.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| FRANK MESSER & SONS CONST.<br>CINCINNATI, OH | HOSPITAL EXPANSION PHASE II<br>BID PACK II; WORK CAT. #1 - GENERAL WORK<br>Project No. 304.1 | 4 | 2/16/89 | + $ 35,599.00 |

Nature of Change:
1. Beam changes for 4th to 6th floor.
2. Changes to embed plates on 4th to 6th floors.
3. Revisions to main entrance skylight.
4. Changes in signage.

Reason for Change:
1. Beam changes required in order to accommodate the associated revisions in the precast wall cladding.
2. Embeds for columns from 4th to 6th floor to maintain job progress and not stop project from pouring concrete.
3. Skylight manufacturer will not warrant original design as pitch is less than 15 degrees from horizontal. A new design was created to avoid the low sill problem and provide a warrantable higher pitch on the skylights. The new design adds more facets to skylights and more framing.
4. Changes required to clarify movement of traffic, not known until signs installed. Added sign at VA Medical Center to clarify different buildings.

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| FRANK MESSER & SONS CONST.<br>CINCINNATI, OH | HOSPITAL EXPANSION PHASE II<br>BID PACK II; WORK CAT. #1 - GENERAL WORK<br>Project No. 304.1 | 5 | 3/27/89 | + 26,458.00 |

Nature of Change:
1. Add steel at elevator shafts.
2. Add access door for Logo.
3. Rock elevation, actual verses design.
4. Add elevator sump pumps.
5. Add hangar access ladder.

Reason for Change:
1. Additional requirement of Dover Elevator to provide support for their vertical elevator rails.
2. Access required for large building mounted logo due to relocation of logo.
3. Actual rock elevations verses design rock elevations indicated on structural drawings.
4. No sump pumps were indicated on drawings prepared by H.O.K., but are required.
5. There was no access ladder indicated to the hanger roof which is 35' above adjoining roof. A thoroughly safe access ladder and hatch is required to the hanger roof to replace lamps at windsock and obstruction lights.

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| FRANK MESSER & SONS CONSTRUCTION<br>CINCINNATI, OH | HOSPITAL EXPANSION PHASE II<br>BID PACK II, WORK CAT. #1 - GENERAL WORK<br>Project No. 304.1 | 6 | 6/2/89 | - 10,523.00 |

Nature of Change:
1. Changes to ICU columns.
2. Changes to deionized water system.
3. Delete landscaping east, south and west sides of garage.

Reason for Change:
1. The placement of outlets needed to be revised for better function.
2. The original design by H.O.K. did not provide a continuous return circulation system and could not have prevented contamination.
3. Future parking garage expansion in 1990.

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| MMR/WALLACE CONSTRUCTORS<br>JEFFERSONVILLE, IN | HOSPITAL EXPANSION/PHASE II<br>BID PACK II, WORK CAT. 9, MECHANICAL<br>Project No. 304.1 | 1 | 10/21/88 | - 75,422.00 |

Nature of Change:
1. Provide drop inlet manholes at column lines 5-T and 19-W.
2. Delete twelve surgical scrub sinks and above ceiling thermometers.

Reason for Change:
1. Due to a conflict of the sewer line exiting the building, the elevation could not be adjusted to eliminate the drop manhole.
2. Post bid review of contract documents indicated duplication and/or omissions of the above items.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| MMR/WALLACE CONSTRUCTORS<br>JEFFERSONVILLE, IN | HOSPITAL EXPANSION/PHASE II<br>BID PACK II; WORK CAT. #9 - MECHANICAL<br>Project No. 304.1 | 2 | 1/24/89 | + $ 114,248.00 |

Nature of Change:
1. Delete prefabricated insulation jackets.
2. Revision to air handling unit motors.
3. Extra work required due to addition of two floors.
4. Revision to heliport drainage system.

Reason for Change:
1. After re-evaluation of system, the engineers determined that the jackets were not required and the University agrees.
2. Revisions required due to recalculation of static pressures.
3. Upon approval to add two additional floors to the structure under construction, this contractor was requested to make a proposal for additional work required in this work category.
4. Due to addition of two floors, rerouting of roof drainage systems was required in order to reduce expensive containment piping for heliport.

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| MMR/WALLACE CONSTRUCTORS<br>JEFFERSONVILLE, IN | HOSPITAL EXPANSION PHASE II<br>BID PACK II, WORK CAT. #9 - MECHANICAL<br>Project No. 304.1 | 3 | 4/12/89 | + 31,943.00 |

Nature of Change:
1. Add manhole west of steam tunnel.
2. Add chair type plumbing fixture carriers.
3. Revised specifications on medical air & vacuum pumps.
4. Add steel bases for air handling units.

Reason for Change:
1. To allow flow conditions to run in a straight line.
2. Necessary to keep plumbing fixtures from pulling away from wall.
3. Owner revised specified equipment.
4. Frames were changed from original to allow the steam heating coils to drain properly.

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| MMR/WALLACE CONSTRUCTORS<br>JEFFERSONVILLE, IN | HOSPITAL EXPANSION PHASE II<br>BID PACK II, WORK CAT. #9 - MECHANICAL<br>Project No. 304.1 | 4 | 5/16/89 | + 136,878.00 |

Nature of Change:
1. Additions and changes to terminal boxes and their controls.
2. Changes required to Deionized Water System.
3. Changes required to domestic water system; routing of hot & and cold water for lower & upper three floors, revise pipe sizing, and add hot water heater.
4. Revise grills, registers, diffusers and flexible ducts.

Reason for Change:
1. Problems existed due to unclear drawings prepared by H.O.K.
2. The original design by H.O.K. did not provide a continuous return circulation system and could not have possibly prevented contamination.
3. Revisions to the domestic water system due to incorrect drawings by H.O.K.
4. Potential noise problem with smaller equipment. H.O.K. design problem. Improper size selection.

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| BROWN SPRINKLER CORP.<br>LEXINGTON | HOSPITAL EXPANSION/PHASE II<br>BID PACK II, WORK CAT. #10 - FIRE PROTECTION<br>Project No. 304.1 | 1 | 11/18/88 | + 17,017.00 |

Nature of Change: Additional sprinklers required.

Reason for Change: Addition of two floors to hospital project required sprinklers.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| ARROW ELECTRIC CO., INC. LEXINGTON | HOSPITAL EXPANSION/PHASE II BID PACK II, WORK CAT. 13 - ELECTRICAL Project No. 304.1 | 1 | 9/30/88 | - $ 2,199.00 |

Nature of Change:
1. Install vacuum switch, manhole #E-115 and extend wiring to this manhole.
2. Provide fire alarm speaker light in lieu of fire horn/light at each signal location.
3. Delete providing magnetic door closers and provide smoke detectors at each hold/open door location.

Reason for Change:
1. Electric manhole E-115 not suitable for new vacuum switch.
2. Fire alarm system revised to match existing Hospital system.
3. Changes are needed in order to meet electrical code requirements.

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| ARROW ELECTRIC CO., INC. LEXINGTON | HOSPITAL EXPANSION/PHASE II BID PACK II, WORK CAT. #13 - ELECIRICAL Project No. 304.1 | 2 | 12/08/88 | + 159,456.00 |

Nature of Change:
1. Additional electrical work required.
2. Revisions of air handling unit's motor.

Reason for Change:
1. Additional work required by the addition of two floors to this project.
2. Recalculation of static pressures.

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| ARROW ELECTRIC CO., INC. LEXINGTON | HOSPITAL EXPANSION PHASE II BID PACK II; WORK CAT. #13 - ELECIRIC Project No. 304.1 | 3 | 2/16/89 | - 3,096.00 |

Nature of Change:
1. Provide concrete encasement on two 5 inch conduits beyond the fence area to existing electrical manhole.
2. Furnish and install all power and control wiring for two dock levelers at door on rear loading dock.
3. Electrical revisions pertaining to light fixtures, intercoms and nurse call stations.

Reason for Change:
1. To safeguard tne pipe and wiring against future excavation in area.
2. Power to dock levelers provided by work category No. 1, General Work, was not indicated on the electrical drawings.
3. Using agency requested fluorescent in lieu of incadescent light fixtures for maintenance & energy reasons. Deleted nurse presence stations as they were not required by Hospital.

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| ARROW ELECTRIC CO., INC. LEXINGTON | HOSPITAL EXPANSION PHASE II BID PACK II, WORK CAT. #13 - ELECIRICAL Project No. 304.1 | 4 | 5/02/89 | + 23,034.00 |

Nature of Change:
1. Electrical revisions.
2. Provide 3-way light switches in ICU/CCU surgical rooms.
3. Add explosion-proof type devices in Room HAM026D.
4. Provide power wiring to medical gas equipment.
5. Install proper mounting of heliport lighting system.

Reason for Change:
1. Electrical revisions required by Department of Human Resources, Division of Licensing and Regulations.
2. Three-way switching for over bed light fixtures not indicated in H.O.K. plans and specifications.
3. To comply with National Electrical Codes.
4. Power wiring required for medical gas system not shown on original drawings prepared by H.O.K.
5. H.O.K. coordination problem - no mounting shown.

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| TRI-STATE ROOFING & SHEET METAL LEXINGTON | HOSPITAL EXPANSION PHASE II BID PACK II; WORK CAT. #2 - SHEET METAL Project No. 304.1 | 1 | 2/16/89 | - 27,278.00 |

Nature of Change: Delete Carlisle membrane and Dow Insulation below helipad.

Reason for Change: Owens Corning Derbigum membrane with 1/8" protection board and 20 year warranty would be more beneficial and less costly.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| BROADVIEW ACOUSTICAL LEXINGTON | HOSPITAL EXPANSION PHASE II BID PACK #2; WORK CAT. #3 - PLASTER, FIRE-PROOFING & DRYWALL Project No. 304.1 | 1 | 2/16/89 | + $ 35,078.00 |

Nature of Change:
1. Locate door to south east corner of room HAM011. Swing door from room HAM005B into HAM011, against south wall. Install 5/8" gyp. board on 7/8" furring in entire room of HAM011. Revise door frame depth of door.
2. Additional work required from this contractor.

Reason for Change:
1. Code requirement for electrical panel clearance.
2. Additional work required because of the addition of two floors.

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| ATLAS METAL PRODUCTS CO. LOUISVILLE | HOSPITAL EXPANSION PHASE II BID PACK II, WORK CAT. #15 - FINISH HARDWARE Project No. 304.1 | 1 | 6/15/89 | + 2,607.00 |

Nature of Change:
1. Provide door and frame in Room HAM0005B.
2. Change hardware sets in six rooms.
3. Hardware revisions to two doors.
4. Access for large building mounted logo.
5. Change door hardware to double swing type.

Reason for Change:
1. Code requirement for electrical panel clearance.
2. Doors must swing out to remain operable.
3. After review of shop drawings for the actual lead lined doors to be provided, it was necessary to revise the hardware to support the weight of doors in order to prevent future maintenance problems.
4. Logo was relocated.
5. Staff door to operating room must be double swing so that staff may back through with scrubbed hands without touching.

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| HOOT CONSTRUCTION COMPANY PARIS | HOSPITAL EXPANSION/PHASE II PARKING STRUCTURE Project No. 304.3 | 1 | 1/24/89 | + 900.00 |

Nature of Change: Additional striping to block off portion of garage so as to prevent parking and likewise widen traffic corridor.

Reason for Change: Additional striping required to better facilitate safe traffic flow in and out of the garage.

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| MMR/WALLACE CONSTRUCTORS JEFFERSONVILLE, IN | HOSPITAL EXPANSION PHASE II COOLING PLANT IMPROVEMENTS Project No. 304.8 | 1 | 5/16/89 | + 37,566.00 |

Nature of Change:
1. Replace 24" condenser water riser.
2. Replace existing 4" gas line.
3. Relocate 6" water line service at existing fire hydrant.
4. Replace existing 16" valve on the ECWR system.

Reason for Change:
1. Due to piping schedule not being compatible with material.
2. The existing underground gas line was in very poor condition after several years of service and needed replaced.
3. Due to interference with the new underground chilled water piping.
4. Valve was leaking and would not hold for the hydrostatic test required by the contract documents.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| DOVER ELEVATOR COMPANY<br>LEXINGTON | MEDICAL SCIENCE BLDG.<br>REPLACE FOUR ELEVATORS<br>Project No. 311.0 | 1 | 2/7/89 | + $ 4,392.00 |

Nature of Change:
1. Relocate the existing electrical distribution panel and add new heat detector.
2. Change single 3'-0" x 7'-0" door to double 2'-6" x 7'-0" doors.
3. Add 3/16 metal bent plate.

Reason for Change:
1. The elevator code requires that the electrical disconnect panel be located inside the machine room enclosure. In order to met this requirement, after the change in wall location, the panel must be relocated. The heat detector is being added to meet NFPA code requirements.
2. Change desired to provide easier removal of elevator equipment.
3. Metal plate is necessary for safety reasons. To fill 1'0" void between new wall and machine room platform.

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| HONEYWELL, INC.<br>DETROIT, MI | ENERGY MANAGEMENT SYSTEM<br>LEXINGTON CAMPUS<br>Project No. 341.1 | 1 | 2/20/89 | - 40,437.00 |

Nature of Change:
1. Delete Rosey Printers (4) and add Genicom Printers.
2. Delete MZ unit #3.
3. Liquidated damages.

Reason for Change:
1. Computer would not interface with Rosey Printers; replaced with Genicom Printers.
2. Position for MZ Unit does not exist. Records error.
3. Liquidated damages from scheduled completion time of June 10, 1986 to actual completion date of January 1, 1989 (936 calendar days @ $100/day).

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| GORDON CONSTRUCTION CO.<br>SHELBYVILLE | COMPLEX BASKETBALL COURTS<br>RECREATION BUILDING RENOV.<br>Project No. 391.1 | 1 | 6/22/89 | + 747.00 |

Nature of Change:
1. Remove existing shingles & felt from recreational building roof.
2. Provide new felt and nails for all roof areas.

Reason for Change:
1&2. Poor conditions of existing shingles, will not allow new shingles to be installed as specified.

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| GORDON CONSTRUCTION CO.<br>SHELBYVILLE | COMPLEX BASKETBALL COURTS<br>RECREATION BUILDING RENOV.<br>Project No. 391.1 | 2 | 6/22/89 | + 1,369.95 |

Nature of Change:
1. Change type of nails used on Tectum roof system.
2. Change type of stain and sealer specified.

Reason for Change:
1. Contract did not specify the need for special nails; however, the type of existing tectum deck required use of special nails.
2. Contract specified a combined finish system. Due to a problem with finish, a change was made to a two part finish system.

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| WHITE CONSTRUCTION CO.<br>LEXINGTON | AGRICULTURAL REGULATORY SERVICES<br>Project No. 395.0 | 8 | 7/12/88 | + 17,025.47 |

Nature of Change:
1. Provide & install drain valves and pit cooling tower.
2. Enlarge existing electrical manhole.

Reason for Change:
1. To provide complete drainage of cooling tower to eliminate any potential freezing of cooling tower piping.
2. To provide additional working space around new vacuum switch (high voltage switch).

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| WHITE CONSTRUCTION CO. LEXINGTON | AGRICULTURAL REGULATORY SERVICES Project No. 395.0 | 9 | 7/12/88 | + $ 1,752.60 |

Nature of Change:
1. Provide and install 6" x 6" WS series interior signs with raised copy & vinyl insert.
2. Change two locksets.

Reason for Change:
1. Change required to provide signage with additional area for copy.
2. To provide additional security.

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| WHITE CONSTRUCTION CO. LEXINGTON | AGRICULTURAL REGULATORY SERVICES Project No. 395.0 | 10 | 7/15/88 | + -0- |

Nature of Change: Tennesco Company will provide steel library shelving in lieu of the Andrew Wilson Company.

Reason for Change: The supplier of library shelving has received notice that the manufacturer he had listed in his bid to the General Contractor has entered Chapter 11 Bankruptcy and can no longer supply the materials. The supplier has therefore requested to substitute manufacturers.

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| WHITE CONSTRUCTION CO. LEXINGTON | AGRICULTURAL REGULATORY SERVICES Project No. 395.0 | 11 | 8/10/88 | + 11,792.02 |

Nature of Change: Provide and install cast bronze plaque.

Reason for Change: Plaque requested by using Department.

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| WHITE CONSTRUCTION CO. LEXINGTON | AGRICULTURAL REGULATORY SERVICES Project No. 395.0 | 12 | 9/6/88 | + 4,894.40 |

Nature of Change:
1. Provide and install 1" diameter conduit in lieu of 3/4" diameter conduit in location where two computer outlets are supplied by one common conduit.
2. Provide and install insulation in single wall high pressure ductwork.

Reason for Change:
1. In certain locations, the 3/4" conduit was not large enough to pull two computer cables; 1" conduit was substituted.
2. Insulation necessary to avoid possible condensation.

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| WHITE CONSTRUCTION CO. LEXINGTON | AGRICULTURAL REGULATORY SERVICES Project No. 395.0 | 13 | 9/8/88 | + 8,398.45 |

Nature of Change:
1. Install 20 ampere, three phase circuit from panel "C" to exhaust fan #7 in penthouse; delete magnetic starter.
2. Install 7" round duct from existing duct work to 7" round opening on fume hoods E23 & #24.
3. Install 60" long fume hood and 4-leg multi-flex table 33" deep as outlined for fume hoods 13 and 15.
4. Install 27" x 8" sheet metal chase for plumbing risers in Sample Prep Lab.

Reason for Change:
1. Electrical items were not included when fan was added in Addendum No. 1.
2. Added to conform to the actual units supplied. Catalog cuts used during design and shop drawings did not indicate two openings.
3. Adjustment to casework and fume hood revision was required to accommodate the gas griddles which are owner furnished/-contractor installed.
4. The sheet metal chase was added to cover plumbing lines.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| WHITE CONSTRUCTION CO. LEXINGTON | AGRICULTURAL REGULATORY SERVICES Project No. 395.0 | 14 | 11/11/88 | + $ 10,726.39 |

Nature of Change:
1. Provide additional plumbing services as indicated.
2. Revise sump pit in electrical manhole.

Reason for Change:
1. Inadvertently omitted from construction documents.
2. Detail provided to design team did not provide appropriate clearance for maintenance of high voltage equipment.

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| WHITE CONSTRUCTION CO. LEXINGTON | AGRICULTURAL REGULATORY SERVICES Project No. 395.0 | 15 | 11/11/88 | - 12,000.00 |

Nature of Change: Credit to the Owner for installing black iron piping for the hydronic loop system in lieu of the copper piping specified.

Reason for Change: Black iron piping was installed by the contractor instead of copper piping that was specified. The contractor installed this pipe without the approval of the Consultant and/or University. Once piping was installed it was decided that the University would accept the black iron piping in lieu of the copper.

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| WHITE CONSTRUCTION CO. LEXINGTON | AGRICULTURAL REGULATORY SERVICES Project No. 395.0 | 16 | 12/23/88 | + 9,413.63 |

Nature of Change:
1. Provide and install two pole 90 amp at circuit breaker in panel K. Change wiring connect through existing 100 amp disconnect.
2. Install owner purchased water system.
3. Provide and install wall switches for fume hoods 8, 9, 17, 18 & 19.
4. Relocate humidifier and all piping, conduit/electrical circuits as required.
5. Provide and install concrete cap above fuel oil storage tank. Install perforated PVC pipe at each corner.
6. Provide and install ground wires in 3/4" conduit from Panel "Q" to new drying oven on west wall in room 146.

Reason for Change:
1. Needed to increase wiring size for installation of drying oven.
2. Owner requested Contractor install water system while working in area.
3. Wall switches were not included in casework bid and change was necessary in order to install switches.
4. Routine maintenance dictated relocation to below ceiling.
5. Required by State Fire Marshal.
6. Necessary to provide power supply to drying oven.

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| WHITE CONSTRUCTION CO. LEXINGTON | AGRICULTURAL REGULATORY SERVICES Project No. 395.0 | 17 | 12/23/88 | + 2,366.70 |

Nature of Change:
1. Install Hand-Off-Automatic switches on all magnetic starters which control the HVAC system and are operated by the EMS system. Provide all magnetic starters with an auxiliary set of contacts; the supply fan starter shall have two auxiliary sets of contacts.
2. Provide an additional zone to the existing fire alarm system and install new thermal detectors to provide proper coverage in accordance with all state and local fire codes.

Reason for Change:
1. Change allows manual operation of heating and air conditioning system should the energy management system fail.
2. Required by the State Fire Marshal.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| WHITE CONSTRUCTION CO.<br>LEXINGTON | AGRICULTURAL REGULATORY SERVICES<br>Project No. 395.0 | 18 | 2/14/89 | + $ 1,107.45 |

Nature of Change: 1. Delete vinyl base in 15 rooms and turn material over to the University. Prepare floor and install VCT in Corridor E.
2. Remove existing lockset & add exit device, cylinder and rework door and frame for one door.
3. Replace existing lockset in two door and add outside lever.

Reason for Change: 1. Flooring to be installed be separate contract in these rooms and corridor was not included to receive VCT in original contract.
2.&3. The change of hardware in these three doors was required for quick exit from these rooms in case of fire.

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| WHITE CONSTRUCTION CO.<br>LEXINGTON | AG. REGULATORY SERVICES<br>Project No. 395.0 | 19 | 5/9/89 | -0- |

Nature of Change: Extend contract completion date by 31 days.

Reason for Change: Extension granted due to increment weather and additional work.

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| WHITE CONSTRUCTION CO.<br>LEXINGTON | AG. REGULATORY SERVICES<br>Project No. 395.0 | 20 | 6/30/89 | - 3,500.00 |

Nature of Change: 1. Delete mechanical maintenance services.
2. Delete interlocking of fire alarm panel.

Reason for Change: 1. Owner requested deletion of one year maintenance contract due to the financial position of the mechanical contractor
2. This work will be done by the University.

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| WHITE & CONGLETON CO.<br>LEXINGTON | MEDICAL SCIENCE<br>ANIMAL CARE FACILITY<br>Project No. 406.1 | 1 | 10/20/88 | + 3,838.00 |

Nature of Change: 1. Repair existing wood doors for new paint finish.
2. Make electrical corrections to existing conduit and raceways above ceilings.

Reason for Change: 1. Upon removal of armor plates, it was discovered doors had deterioriated.
2. Removal of existing ceilings revealed electrical work not in compliance with code.

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| WHITE & CONGLETON CO.<br>LEXINGTON | MEDICAL SCIENCE<br>ANIMAL CARE FACILITY<br>Project No. 406.1 | 2 | 12/2/88 | + 1,895.00 |

Nature of Change: Perform preliminary air readings for Phases A & B.

Reason for Change: Due to excessive static pressure and erratic air volume readings for existing ductwork in Phase C, the University requested preliminary readings prior to new work in Phases A & B.

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| WHITE & CONGLETON CO.<br>LEXINGTON | MEDICAL SCIENCE<br>ANIMAL CARE FACILITY<br>Project No. 406.1 | 3 | 2/1/89 | + 4,628.75 |

Nature of Change: Extra work required (cleaning old ducts, motor changes, and rebalancing) to HVAC system.

Reason for Change: University required contractor to research problems with the HVAC system.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| WHITE & CONGLETON CO. LEXINGTON | MEDICAL SCIENCE ANIMAL CARE FACILITY Project No. 406.1 | 4 | 5/1/89 | + $ 1,184.53 |

Nature of Change: Move animal cages from Phase "B".

Reason for Change: U.K. used contractor's manpower for relocation of animal cages.

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| WHITE & CONGLETON CO. LEXINGTON | MEDICAL SCIENCE ANIMAL CARE FACILITY Project No. 406.1 | 5 | 5/1/89 | + 5,556.40 |

Nature of Change:
1. Repair existing wood doors for paint.
2. Remove above ceiling duct and related work.

Reason for Change:
1. Removal of stainless armor plate during door refinishing revealed deterioration.
2. Removal of existing ceiling revealed existing duct and piping that conflicted with new work.

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| WHITE & CONGLETON CO. LEXINGTON | MEDICAL SCIENCE ANIMAL CARE FACILITY Project No. 406.1 | 6 | 5/9/89 | + 17,102.68 |

Nature of Change:
1. Remove existing door and frame; install 4' x 7' metal door and frame.
2. Bring electrical work up to code.

Reason for Change:
1. Cage Washer purchased by Owner would not fit through existing opening.
2. Removal of existing electrical rough-in; did not meet code requirements.

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| WHITE & CONGLETON CO. LEXINGTON | MEDICAL SCIENCE ANIMAL CARE FACILITY Project No. 406.1 | 7 | 5/24/89 | + 2,584.00 |

Nature of Change: Remove existing cage washer, furnish service to new cage washer purchased by Owner and move new washer into room for installation.

Reason for Change: Owner purchased new cage washer and felt it was more cost effective to have contractor on site to move it in and install.

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| WHITE & CONGLETON CO. LEXINGTON | MEDICAL SCIENCE ANIMAL CARE FACILITY Project No. 406.1 | 8 | 6/15/89 | + 10,736.50 |

Nature of Change:
1. Add 25 painted steel access doors and 18 stainless steel access doors.
2. Change electrical panel in Mechanical Room.

Reason for Change:
1. Design estimates anticipated 80 ceiling access doors for new and existing hidden conditions above ceiling. Final count was 123.
2. Manufacturer notified contractor that new cage washer required different electric service than replaced unit. Contractor required to bring panel up to code.

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| WHITE & CONGLETON CO. LEXINGTON | MEDICAL SCIENCE ANIMAL CARE FACILITY Project No. 406.1 | 9 | 6/20/89 | + 15,990.00 |

Nature of Change: Disconnect the cage washer exhaust from the central system. Provide a separate exhaust system with stainless steel ductwork and exhaust fan on roof. Patch damaged ceiling in front of cage washer.

Reason for Change: Steam was dripping from joints in the exhaust ductwork.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| WHITE & CONGLETON CO.<br>LEXINGTON | MEDICAL SCIENCE ANIMAL CARE FACILITY<br>Project No. 406.1 | 10 | 6/30/89 | + $ 2,499.45 |

Nature of Change:
1. Repair deteriorated wood doors.
2. Provide necessary revisions to plumbing & ductwork to lower ceilings in seven rooms.

Reason for Change:
1. Removal of armor plate during construction revealed deterioration.
2. Removal of existing ceiling revealed ductwork and sprinkler piping against the suspension system. Clearance was required for necessary light fixtures.

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| HIBBITTS CONSTRUCTION<br>LEXINGTON | ASBESTOS REMOVAL<br>ANIMAL CARE FACILITY<br>Project No. 406.2 | 1 | 12/2/88 | + 2,050.00 |

Nature of Change:
1. Additional mobilization for abatement work.
2. Asbestos removal from 50 additional fittings.

Reason for Change:
1. University requested a change in the abatement schedule.
2. Additional asbestos uncovered during abatement work.

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| HIBBITTS CONSTRUCTION CO.<br>LONDON | ASBESTOS ABATEMENT<br>MED. SCIENCE ANIMAL CARE RENOV.<br>Project No. 406.2 | 2 | 4/20/89 | + 1,200.00 |

Nature of Change: Mobilization and additional Health Department permit for rooms MA8 and MA10, Phase A (work being performed at a different time).

Reason for Change: Asbestos removal required to provide above ceiling access for Phase B sprinkler piping accessed through Phase A.

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| K. V. CONSTRUCTION CO.<br>LEXINGTON | DONOVAN HALL<br>HANDICAP IMPROVEMENTS<br>Project No. 407.0 | 1 | 6/27/89 | + 8,059.20 |

Nature of Change:
1. Rework of existing grade beams that stabilize concrete canopy columns.
2. Provide new cafeteria masonry wall, rated hollow metal frame and rated wood doors with hardware.

Reason for Change:
1. Grade beams were not on original building plans.
2. Fire safety; original plans indicated masonry wall (wood frame was installed).

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| LICHTEFELD-MASSARO, INC.<br>LOUISVILLE | BLANDING TOWER BRICK REPLACEMENT<br>Project No. 423.1 | 1 | 7/11/88 | + 105,165.00 |

Nature of Change: Provide patching of existing concrete block work as required.

Reason for Change: Change necessary due to unforeseen site conditions.

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| LICHTEFELD-MASSARO, INC.<br>LOUISVILLE | BLANDING TOWER BRICK REPLACEMENT<br>Project No. 423.1 | 2 | 10/11/88 | + 7,482.92 |

Nature of Change:
1. Provide 923 l.f. new relief angles at unit price to replace damaged existing relief angles.
2. Provide 2,036 4" x 4" steel snims at unit price.
3. Provide 100 linear feet of 5" x 5" x 3/8" relief angles in lieu of size specified.
4. Saw cut irregular concrete slab at northeast corner on 19tn floor.

Reason for Change:
1. New angles required due to poor condition of existing.
2. Shims required to compensate for inconsistency of floor slabs.
3. Angles required due to irregularities in the floor slab.
4. Saw cut necessary due to irregularities in the concrete floor slab.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| LICHTEFELD-MASSARO, INC.<br>LOUISVILLE | BLANDING TOWER BRICK REPLACEMENT<br>Project No. 423.1 | 3 | 10/19/88 | - $ 4,205.54 |

Nature of Change:
1. Credit to Owner for replacement of carpet and tile due to water damage and cleanup by custodial and maintenance support.
2. Credit to Owner for replacement of four 10' concrete light poles.
3. Remove and replace caulk at bottom of windows on East and West faces of building; install caulk around base of building.
4. Anchor existing conduits to full height of building.

Reason for Change:
1. Necessary due to water leakage into building.
2. Poles damaged during construction.
3. Change necessary due to unforeseen site conditions.
4. Change required to secure conduit.

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| LICHTEFELD-MASSARO, INC.<br>LOUISVILLE | BLANDING TOWER BRICK REPLACEMENT<br>Project No. 423.1 | 4 | 12/12/88 | - 1,273.48 |

Nature of Change: Credit for 1,612 ledge brick at $.79 each which exceeded the allowance.

Reason for Change: Contractor used 1,612 ledge brick over and above the amount the University was to supply. This change order is to charge the contractor for the extra brick used.

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| RUSHER CONSTRUCTION<br>OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. 1 - GENERAL<br>Project No. 425.0 | 4 | 9/6/88 | + 32,076.63 |

Nature of Change:
1. Add wire mesh and vapor barrier to all sidewalks. Move site drainage catch basin at LRC building to eliminate conflict between Bid Pack I & Bid Pack II site plans.
2. Provide 2 hour rating (fire protection) in elevator equipment rooms. Add closure, 2 layers of drywall on each side of studs, 1 fire damper added to 5" round duct, add VAV box 21 relocated outside of this room, add all required interlocks to the AHUs and monitoring equipment.
3. Provide hollow metal frames, glass, structural supports for grid system, eliminate wall and replace with moveable wall; plaster & drywall in the TV Production Department in the Humanities Building as required.
4. Delete clear sealer for all scored block. Paint all scored block with the colors indicated on the Room Finish Schedule.
5. Add pass thru window to Administration Room A-102. Move electrical rough-in for light switch and fire alarm to accommodate new window.

Reason for Change:
1. Change required to utilize vehicular maintenance traffic on all sidewalks.
2. The elevator equipment rooms are required to be constructed to a 2 hour fire rating by code.
3. As the Community College fully staff this department, the curriculum and facility requirements have been established and defined. This change will implement the TV Production area program definition for the Humanities studies. This is necessary as some of Bid Pack III work cannot be completed until certain restraining work operations of Bid Pack II are complete.
4. The clear sealer will show any and all imperfections in the concrete blocks and their installation. Painting will cover these imperfections and will allow all concrete block to have the same finish. This change will also require less maintenance.
5. The campus information office originally had no easy means to service the students/public. This pass-thru window will allow the students/public easy access to this office without requiring them to enter the office.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| RUSHER CONSTRUCTION CO.<br>OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. #1 - GENERAL<br>Project No. 425.0 | 5 | 9/13/88 | - $ 2,389.64 |

Nature of Change:
1. Delete the present bathroom finishes in the areas that will be replaced by ceramic tile.
2. Revise brick pavers and base at East end of Administration Building. Delete brick pavers, delete the base under eliminated brick pavers.
3. Revise door hardware. Revise wood door and hollow metal frame to accept Group 17. Wood doors to carry "B" label.

Reason for Change:
1. The utilizing entity requires this type of room finish to keep this facility consistent with other facilities within the UK system. This room finish will require less maintenance and provide a more sanitary environment and esthetic appearance. This work is required to extend electrical rough-in and light fixtures out from present wall to accommodate ceramic tile.
2. The brick paver area was revised in size to eliminate the conflict between Bid Pack I catch basins and Bid Pack II brick paver landscaping. This change will bring the two phases into agreement with the overall site plans as defined by the Architect.
3. Special utilization of these areas require certain type doors and door hardware to be installed in order to be in compliance with the applicable codes. These doors and hardware require upgrading to meet these current codes.

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| RUSHER CONSTRUCTION<br>OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. #1 - GENERAL<br>Project No. 425.0 | 6 | 1/10/89 | - 59.23 |

Nature of Change:
1. Change vinyl tile to carpet. Prep the floor at the trench as required. Eliminate accent paint on south & north walls. Add accent paint to drinking fountain alcoves, telephone alcoves and toilet room alcove entrances.
2. Provide labor, material & equipment to revise all above sink mirrors to a 30" x 36" mirror.
3. Delete cleaning and polishing resilient flooring.
4. Sandblast the door glass in the Administration Building.
5. Replace the base bid trash receptacles with 6" deep receptacles.

Reason for Change:
1. The utilizing entity requires this room finish to allow the TEB to be used as a bookstore until the Student Center is constructed. The other painted areas require change so that the overall paint scheme will be consistent throughout the campus.
2. This change is being made to standardize the mirror size throughout the project and to reduce future stocking of excessive inventory.
3. The utilizing entity already has a cleaning contract with an outside vendor to perform this same work.
4. These areas require obscure glass for privacy and technical reasons. This process was the most cost effective. It is also consistent with the other obscure glass throughout the campus.
5. The original trash receptacles were too deep to allow easy handicap accessibility to all areas of the toilet rooms. This change eliminates these possible inconveniences and barriers.

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| RUSHER CONSTRUCTION CO.<br>OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. #1 - GENERAL<br>Project No. 425.0 | 7 | 4/20/89 | - 7,990.09 |

Nature of Change: Credit due for unused portion of fence.
Credit due for winter weather protection allowance.

Reason for Change: There was an allowance in the specifications for fencing and weather protection. These credits represent the unused portion of those allowances.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| RUSHER CONSTRUCTION OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK III, WORK CAT. 1 - LANDSCAPING<br>Project No. 425.0 | 1 | 8/29/88 | -0- |
| Nature of Change: | Increase completion date by 54 calendar days. | | | |
| Reason for Change: | This increase is necessary as some of Bid Pack III work cannot be completed until certain restraining work operations of Bid Pack II are complete. This time extension will not adversely affect the completion date of the project. | | | |
| RUSHER CONSTRUCTION OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK III, WORK CAT. 2 - GENERAL<br>Project No. 425.0 | 1 | 8/29/88 | + 4,183.40 |
| Nature of Change: | Provide & install carpet and ceiling tile. Paint and perform finish work where required in the TV Production Department of the Humanities Bldg. | | | |
| Reason for Change: | As the Community College fully staff this department, the curriculum and facility requirements have been established and defined. This change will implement the TV Production area program definition for the Humanities studies. This is necessary as some of Bid Pack III work cannot be completed until certain restraining work operations of Bid Pack II are complete. | | | |
| RUSHER CONSTRUCTION OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK III, WORK CAT. #2 - GENERAL<br>Project No. 425.0 | 2 | 9/13/88 | - 3,756.77 |
| Nature of Change: | Add casework in two rooms of LRC Building. Revise/relocate wall hydrant on LRC to miss downspout. All LRC casework to be keyed separately to new master group. Add casework in one room of Administration Building. | | | |
| Reason for Change: | These pieces of casework were eliminated from Bid Pack III. The utilizing entity now requires these items to implement their academic mission in these buildings. | | | |
| RUSHER CONSTRUCTION OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK III, WORK CAT. #2 - GENERAL<br>Project No. 425.0 | 3 | 1/10/89 | + 3,657.14 |
| Nature of Change: | Change vinyl tile to carpet. Prep the floor at the trench as required. Eliminate accent paint on south & north walls. Add accent paint to drinking fountain alcoves, telephone alcoves and toilet room alcove entrances. | | | |
| Reason for Change: | The utilizing entity requires this room finish to allow the TEB to be used as a bookstore until the Student Center is constructed. The other painted areas require change so that the overall paint scheme will be consistent throughout the campus. | | | |
| HARTZ CONSTRUCTION CORP. OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK I, WORK CAT. #1 - GENERAL<br>Project No. 425.0 | 3 | 9/14/88 | + 116,150.00 |
| Nature of Change: | Add ceramic tile to the bathrooms. Delete the present bathroom finishes in these areas that will be replaced by ceramic tile. | | | |
| Reason for Change: | The utilizing entity requires this type of room finish to keep this facility consistent with other facilities within the UK system. This room finish will require less maintenance and provide a more sanitary environment and aesthetic appearance. | | | |

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| LOYD EVANS MASONRY<br>MURRAY | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. 2 - MASONRY<br>Project No. 425.0 | 2 | 8/29/88 | + $ 825.00 |

Nature of Change:
1. Delete hollow metal frame between two openings. Leave square corners on masonry opening. Change out with another door and hardware.
2. Add pass thru window to Administration Room A-102. Move electrical rough-in for light switch and fire alarm to accommodate new window.

Reason for Change:
1. Since the Student Center was not constructed during this building phase, several modifications and adaptations to the other buildings had to be made to accommodate the Student Center facilities. This change will help facilitate these requirements.
2. The campus information office originally had no easy means to service the students/public. This pass-thru window will allow the students/public easy access to this office without requiring them to enter the office.

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| LOYD EVANS MASONRY<br>MURRAY | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. 2 - MASONRY<br>Project No. 425.0 | 3 | 9/27/88 | + 2,599.00 |

Nature of Change:
1. Repair walls & replace concrete blocks due to setting of ceramic tile.
2. Add casework. Revise/relocate wall hydrant on LRC at column D2 to miss downspout.

Reason for Change:
1. The utilizing entity requires this type of room finish to keep this facility consistent with other facilities within the U.K. system. This room finish will require less maintenance and provide a more sanitary environment and esthetic appearance. This work repairs walls where plumbing rough-ins were extended for ceramic tile.
2. These pieces of casework were eliminated from Bid Pack II. The utilizing entity now requires these items to implement their academic mission in these buildings.

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| LOYD EVANS MASONRY<br>MURRAY | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. #2 - MASONRY<br>Project No. 425.0 | 4 | 3/8/89 | - 8,553.00 |

Nature of Change: Credit for unused portion of Weather Protection.

Reason for Change: Credit allowance allowed per contract documents.

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| HAGERMAN PLUMBING/HEATING<br>OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. #3 - MECHANICAL<br>Project No. 425.0 | 3 | 8/29/88 | + 1,455.90 |

Nature of Change: Provide 2 hour rating (fire protection) in elevator equipment rooms. Add closure, 2 layers of drywall on each side of studs, 1 fire damper added to 5" round duct, add VAV box 21 relocated outside of this room, add all required interlocks to the AHUs and monitoring equipment.

Reason for Change: The elevator equipment rooms are required to be constructed to a 2 hour fire rating by code.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| HAGERMAN PLUMBING & HEATING<br>OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. #3 - MECHANICAL<br>Project No. 425.0 | 4 | 2/28/89 | - $ 24,362.57 |

Nature of Change:
1. Provide combustion air deflectors as required for freeze protection of water piping in mechanical rooms.
2. Credit the Heating Allowance line of contract.

Reason for Change:
1. Directional intake louvers were required to prevent sub-zero air from blowing across water mains. Additional precautions were deemed necessary to protect pipes from possibility of freezing.
2. Credit due Owner for unused portion of heating allowance.

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| HAGERMAN PLUMBING/HEATING<br>OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. #4 - PLUMBING<br>Project No. 425.0 | 4 | 8/29/88 | + 379.36 |

Nature of Change:
1. Add steam valve & piping to instructor's table in Science S-205.
2. Change casework.
3. Modify twelve seats in Humanities Bldg. Room H-132 to be removable.

Reason for Change:
1. Steam is required at this station. It is already present at the students' stations.
2. Casework relocation to different positions within this room will now require certain pieces to have end panels installed. This relocation of casework will allow more efficient use of the room space.
3. This change will allow for removable seating in the lecture/classroom to accommodate handicap access/utilization.

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| HAGERMAN PLUMBING/HEATING<br>OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. #4 - PLUMBING<br>Project No. 425.0 | 5 | 9/14/88 | + 7,073.94 |

Nature of Change: Extend plumbing lines and fixtures due to ceramic tile addition.

Reason for Change: The utilizing entity requires this type of room finish to keep this facility consistent with other facilities witnin the UK system. This room finish will require less maintenance and provide a more sanitary environment and aesthetic appearance. This work is required to extend plumbing rough-in and plumbing fixtures out from present wall to accommodate ceramic tile.

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| HAGERMAN PLUMBING & HEATING<br>OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. #4 - PLUMBING<br>Project No. 425.0 | 6 | 4/11/89 | + 1,594.91 |

Nature of Change:
1. Install Delta 175 single mount mixing faucet with spray and dishwasher air gap.
2. Insulate steam piping in two casework piping reagent racks.
3. Install backflow preventors on domestic water lines in casework reagent racks.

Reason for Change:
1. To comply with Kentucky State Plumbing Code.
2. Insulation of lines not part of original contract.
3. Required by State Plumbing Inspector.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| LEONARD JOHNSON ELECTRIC GLASGOW | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. #6 - ELECTRICAL<br>Project No. 425.0 | 3 | 8/29/88 | + $ 95,155.00 |

Nature of Change:
1. Delete hollow metal frame between two openings. Leave square corners on masonry opening. Change out with another door and hardware.
2. Supply dimmer equipment and all accessories for electrical system in the TV Production Department of the Humanities Building as required.

Reason for Change:
1. Since the Student Center was not constructed during this building phase, several modifications and adaptations to the other buildings had to be made to accommodate the Student Center facilities. This change will help facilitate these requirements.
2. As the Community College fully staff this department, the curriculum and facility requirements have been established and defined. This change will implement the TV Production area program definition for the Humanities studies.

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| LEONARD JOHNSON ELECTRIC GLASGOW | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. #6 - ELECTRICAL<br>Project No. 425.0 | 4 | 9/13/88 | + 692.26 |

Nature of Change: Extend electrical rough-in and light fixtures and receptacles due to the addition of ceramic tile.

Reason for Change: The utilizing entity requires this type of room finish to keep this facility consistent with other facilities within the UK system. This room finish will require less maintenance and provide a more sanitary environment and aesthetic appearance. This work is required to extend electrical rougn-in and light fixtures out from present wall to accommodate ceramic tile.

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| LEONARD JOHNSON ELECTRIC GLASGOW | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. #6 - ELECTRIC<br>Project No. 425.0 | 5 | 2/28/89 | + 12,374.44 |

Nature of Change:
1. Add computer outlets, telephone outlets, microphone outlets, casework outlets, and counter top.
2. Add type "D" light fixtures and type "H" light fixtures in the Humanities Building.
3. Change Maintenance Building emergency power transformer. Change fire alarm system dialer from a tape dialer to a digital dialer tied directly into the City Fire Department.

Reason for Change:
1. These changes were necessary so Owner could use these rooms as a Bookstore until the Student Center is built.
2. Light fixtures were added in classrooms where soffits were built because of structural steel conflicts with the grid ceiling. These resolved the conflict between the architectural and electrical plans and are required for proper lighting.
3. Maintenance Building requires a 15KVA transformer to power the equipment located in it. Current code requirements necessitated this upgrade in the fire alarm system.

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| KENTUCKY-INDIANA FIRE PROTECTIONS OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>BID PACK II, WORK CAT. #5 - FIRE PROTECTION<br>Project No. 425.0 | 2 | 8/29/88 | + 428.00 |

Nature of Change: Provide additional sprinkler heads in the TV Production area of the Humanities Building as required.

Reason for Change: As the Community College fully staffs this department, the curriculum and facility requirements have been established and defined. This change will implement the TV Production area program definition for the Humanities studies.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| KY-INDIANA FIRE PROTECTION OWENSBORO | OWENSBORO COMMUNITY COLLEGE BID PACK II, WORK CAT. #5 - FIRE PROTECTION Project No. 425.0 | 3 | 3/8/89 | + $ 480.00 |

Nature of Change: Add three Class "C" fire extinguishers to elevator equipment rooms and three sump covers to elevator pits.

Reason for Change: Kentucky Building Inspector required these modifications before granting Permanent Occupancy Permit.

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| R & W CONSTRUCTION LOUISVILLE | ROBOTICS FACILITY Project No. 431.0 | 12 | 8/10/88 | + 20,867.29 |

Nature of Change:
1. Provide labor & materials to remove existing mud seam discovered along column line E and place additional concrete and reinforcing to prepare stable footing support for building foundation wall and footings.
2. Provide labor and materials to extend electrical service to dock leveler and control switch.
3. Provide two additional 3' wide personnel gates, in chain link construction fence.
4. Provide labor and materials to install four additional 3" rigid conduit from existing mechanical room; Anderson Hall to Communications Room B-11.

Reason for Change:
1. Mud seam not found during subsurface exploration.
2. Electrical service not shown on bid documents.
3. Required by Lexington Fire Department.
4. Item requested by Daryoush Marefat to provide a conduit connection between Robotics and Anderson Hall.

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| R & W CONSTRUCTION LEXINGTON | ROBOTICS FACILITY Project No. 431.0 | 13 | 11/11/88 | + 27,728.00 |

Nature of Change:
1. Provide three epoxy sinks with Hamilton hot/cold faucets & sink supports.
2. Provide additional materials to plumbing waste and vent piping.
3. Provide fuel oil storage tank.
4. Provide acoustical ceiling panels (Type A).

Reason for Change:
1. Sink requested by Owner and shown on drawings was not correctly specified in contract documents.
2. Additional piping required to accommodate changes noted on state plumbing approval set.
3. Fuel tank installation was revised to meet local codes.
4. Original specifications noted incorrect product listing for acoustical ceiling.

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| R & W CONSTRUCTION LEXINGTON | ROBOTICS FACILITY Project No. 431.0 | 14 | 2/2/89 | + 5,576.23 |

Nature of Change:
1. Extend & connect new steam and condensate lines 42' from point of original connection to existing lines into lower level existing quadrangle. Install lines 36" below subgrade of asphalt drive.
2. Revise concrete steps and handrails adjacent to existing storage building and column line 1.
3. Revise parapet copings at various locations and handrails at 3rd floor terrace.
4. Delete building plaque & labor to install.
5. Delete wall mounted "K" light fixtures and provide tube florescent light fixtures in soffit above lavatory counters.
6. Credit to Owner for work not required with steam expansion loop and relocation of fire hydrant and domestic water line.

Reason for Change:
1. Existing steam line not compatible with new lines.
2. Original site survey had wrong elevations.
3. Copings revised to allow field painting custom color railing revised to allow for better coping installation.
4. Signage package was deleted at the request of the end user.
5. Incorrect light fixtures noted on electrical plans.
6. Installation of chilled water lines were revised such that existing hydrant and domestic water line did not have to be relocated.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| R & W CONSTRUCTION<br>LEXINGTON | ROBOTICS FACILITY<br>Project No. 431.0 | 15 | 5/31/89 | + $ 10,779.00 |

Nature of Change:
1. Install two additional passenger elevator hoist beams at basement floor.
2. Relocate the roofing tar kettle from original contractor selected location to alternate location.
3. Increase domestic water piping, fittings and valve size.
4. Install 400 amp, 600 volt disconnect on secondary side of transformer.
5. Cut opening and install new hollow metal door and frame at Anderson Tower, south side.
6. Incorporate water meter pit changes.
7. Revised materials for sanitary manhole work previously completed.

Reason for Change:
1. Beams not shown on structural drawings required by elevator manufacturer.
2. Owner requested relocation of roofing tar kettle to avoid fumes entering engineering quadrangle office area adjacent to robotics facility.
3. Pipe sizes on original contract drawings incorrect. Belcan changed size to provide proper water pressure.
4. Changes required by State Electrical Inspector, code interpretation different from that of Belcan.
5. Failure of program to allow clearance required for concrete truck.
6. Kentucky American Water Company requirement.
7. Existing sanitary manhole was leading sewage into ground and required replacement. This was a concealed condition.

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| C. C. LEE, INC.<br>LEXINGTON | MEDICAL CENTER<br>DIETARY CONVEYOR REPLACEMENT<br>Project No. 433.0 | 2 | 7/12/88 | -0- |

Nature of Change: Adjust project completion for Phase III work from 91 calendar days to 113 calendar days.

Reason for Change: Contractor incurred 22 calendar days delay by other contractor's equipment not being delivered and could not work until equipment as received.

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| EAGLE ROOFING INC.<br>SOUTH POINT, OH | PATTERSON HALL<br>ROOF & GUTTER REPLACEMENT<br>Project No. 442.0 | 3 | 10/6/88 | - 1,053.33 |

Nature of Change: Decrease contract amount for repair of damage to building.

Reason for Change: Building damaged by water from roof while being replaced.

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| MCNEESE CONSTRUCTION CO.<br>LEXINGTON | HOLMES HALL SUNDECK REPAIR<br>Project No. 446.0 | 1 | 10/12/88 | + 1,402.00 |

Nature of Change:
1. Delete buff color portland cement; replace with standard portland cement.
2. Additional demolition required to remove motor bed and concrete cant.

Reason for Change:
1. Product not available in this area.
2. Demolition required removal of more materials than indicated in contract documents.

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| BILL TUCKER CONSTRUCTION<br>LAGRANGE | JEFFERSON COMMUNITY COLLEGE<br>HARTFORD TOWER HARDWARE<br>Project No. 454.0 | 1 | 3/20/89 | -0- |

Nature of Change: Extend time of completion date 40 calendar days.

Reason for Change: Documented delays in delivery of exit devices. New completion date: March 18, 1989.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| WHITE AND CONGLETON LEXINGTON | LEXINGTON COMMUNITY COLLEGE ACADEMIC/TECHNICAL BUILDING Project No. 468.0 | 8 | 7/14/88 | + $ 1,597.00 |

Nature of Change: 1. Provide two door pulls.
2. Remove circuits as installed and re-circuit to Mechanical Room.

Reason for Change: 1. Door hardware schedule did not include exterior pulls.
2. Recircuiting was required to bring first floor corridor lighting to feed from same panel as second floor.

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| WHITE AND CONGLETON LEXINGTON | LEXINGTON COMMUNITY COLLEGE ACADEMIC/TECHNICAL BUILDING Project No. 468.0 | 9 | 9/30/88 | - 687.00 |

Nature of Change: 1. Revise frame for door 105.
2. Provide magnetic door holders for openings.
3. Provide aluminum coping with exposed cover plates in lieu of concealed plates as specified.

Reason for Change: 1. Door and frame schedule called for 7'-2" frame. Actual height of pre-cast wall was 8'-0".
2. Doors were roughed-in electrically for hold-open devices and Community College requested installation be completed to benefit handicapped students.
3. Manufacturer provided exposed plates in lieu of concealed plates. They have been installed and contractor has offered the credit to leave as is.

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| WHITE AND CONGLETON LEXINGTON | LEXINGTON COMMUNITY COLLEGE ACADEMIC/TECHNICAL BUILDING Project No. 468.0 | 10 | 10/13/88 | + 764.00 |

Nature of Change: Provide additional rough-in for a bypass meter on 2" domestic service.

Reason for Change: Required for meter maintenance without building water outage.

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| WHITE AND CONGLETON LEXINGTON | LEXINGTON COMMUNITY COLLEGE ACADEMIC/TECHNICAL BUILDING Project No. 468.0 | 11 | 10/19/88 | + 10,840.00 |

Nature of Change: 1. Provide marker boards, shelf brackets and standards.
2. Provide two (2) automatic door openers.

Reason for Change: 1. LCC occupants required additional marker boards and shelving.
2. Provide easier access for handicapped students. Openers scheduled for future installation, now required to be installed under this contract.

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| WHITE & CONGLETON CO. LEXINGTON | LEXINGTON COMMUNITY COLLEGE ACADEMIC/TECHNICAL BUILDING Project No. 468.0 | 12 | 11/3/88 | + 330.00 |

Nature of Change: Install one audible fire alarm with light in Mechanical Room.

Reason for Change: Field inspector for Fire Marshal's Office required additional light.

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| WHITE & CONGLETON CO. LEXINGTON | LEXINGTON COMMUNITY COLLEGE ACADEMIC/TECHNICAL BLDG. Project No. 468.0 | 13 | 2/6/89 | - 338.00 |

Nature of Change: Credit to delete fireman's service from elevator.

Reason for Change: Fireman's service was specified but not required per code.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| AKERS & AKERS CONSTR.<br>DANA, KY | HAZARD COMMUNITY COLLEGE<br>TECHNICAL/L.R.C. BUILDING<br>Project No. 469.0 | 2 | 8/4/88 | + $ 5,402.25 |

Nature of Change:
1. Provide 2" telephone conduit.
2. Relocate 6" x 6" wireway from vertical chase to location as required.
3. Stain & finish all wood doors.
4. Install one junction box with corner plate in concrete floor. Tie 2" conduits into wireway. Relocate 240V duplex from wall to location in floor.

Reason for Change:
1. To accommodate relocated (future) switchboard and revised location of library furniture.
2. Code violation.
3. To match furniture color selection.
4. Needed to accommodate school's new computer.

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| AKERS & AKERS CONSTRUCTION<br>DANA | HAZARD COMMUNITY COLLEGE<br>TECHNICAL/L.R.C. BUILDING<br>Project No. 469.0 | 3 | 2/9/89 | + 9,786.16 |

Nature of Change:
1. Relocate site lighting and refeed pole.
2. Provide and install computer cable in 28 outlets.
3. Provide and install silent knight digital dialer.

Reason for Change:
1. To provide even light distribution at site and make use of existing pole and fixture.
2. Computer wiring was not included in contract documents. Community College requested wiring to be performed by electrical contractor already on project to expedite installation in lieu of bringing in another contractor.
3. Fire Marshal will no longer accept the tape dialer that was originally specified.

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| AKERS & AKERS CONSTRUCTION<br>DANA | HAZARD COMMUNITY COLLEGE<br>TECHNICAL/L.R.C. BUILDING<br>Project No. 469.0 | 4 | 2/24/89 | - 1,987.50 |

Nature of Change: Delete sod in certain areas and replace with seed.

Reason for Change: Desired sod was unavailable due to tne drought experience this summer.

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| BOXLEY CONSTRUCTION CO.<br>LOUISVILLE | ELIZABETHTOWN COMMUNITY COLLEGE<br>ACADEMIC/TECHNICAL BUILDING<br>Project No. 470.0 | 9 | 7/14/88 | + 16,323.00 |

Nature of Change:
1. Furnish and install additional materials and related work for providing one Simplex annunciator panel, one telephone dialer and one printer.
2. Furnish and install additional materials and related work for providing six floor receptacles in Room 139. Work shall consist of saw cutting existing floor slab, installing new floor boxes at the new locations, filling in the new trench with concrete and capping six floor receptacles at east end of room.

Reason for Change:
1. Required to meet Kentucky Building Code Compliance.
2. Floor mounted electrical receptacles to work with intended layout of work stations in Room 139.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| BOXLEY CONSTRUCTION CO. LOUISVILLE | ELIZABETHTOWN COMMUNITY COLLEGE ACADEMIC/TECHNICAL BUILDING Project No. 470.0 | 10 | 8/8/88 | + $ 553.00 |

Nature of Change: Provide 170 lineal feet of additional wiring and wireway from Simplex Annunciator panel in the vestibule of the main entrance to the Simplex printer located in the Business Manager's office at the east side of the building.

Reason for Change: Simplex printer was relocated.

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| BOXLEY CONSTRUCTION CO. LOUISVILLE | ELIZABETHTOWN COMMUNITY COLLEGE ACADEMIC/TECHNICAL BUILDING Project No. 470.0 | 11 | 9/14/88 | + 1,850.00 |

Nature of Change: Provide reinforced concrete supports for two condenser units. Supports shall be 8" wide concrete grade beams extending 2'-6" below grade and 6" above the gravel base.

Reason for Change: Above described supports required for condensing units. Supports omitted from specifications.

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| DENHAM-BLYTHE CO., INC. LEXINGTON | PRESTONSBURG COMMUNITY COLLEGE L.R.C./TECHNICAL BUILDING Project No. 471.0 | 8 | 7/11/88 | + 3,099.47 |

Nature of Change:
1. Furnish and install computer circuits on second floor.
2. Furnish and install additional wall phone outlets on the second floor.
3. Delete two light poles.

Reason for Change:
1. Community College is standardizing their computer rooms (including furnishings) and outlets had to be relocated to match revisions.
2. Additional outlets required due to revisions of furnishings and outlets missing on drawings.
3. Removal of existing parking lot light poles were in contract, but utility company will not permit private contractor to perform work on their distribution lines.

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| DENHAM-BLYTHE CO., INC. LEXINGTON | PRESTONSBURG COMMUNITY COLLEGE L.R.C./TECHNICAL BUILDING Project No. 471.0 | 9 | 8/16/88 | + 4,608.00 |

Nature of Change:
1. Pre-cast yard main, piping and associated grading.
2. Hook-up water line to steam generator.
3. Replace existing sidewalk and extend new sidewalk.

Reason or Change:
1. Alleviate potential high water into Martin Building.
2. Consultant omission.
3. Required for grade change to promote positive drainage.

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| DENHAM-BLYTHE CO., INC. LEXINGTON | PRESTONSBURG COMMUNITY COLLEGE L.R.C./TECHNICAL BUILDING Project No. 471.0 | 10 | 8/16/88 | + 1,657.00 |

Nature of Change:
1. Delete tape dialer; add digital dialer.
2. Fire extinguisher added in elevator pump room.
3. Add drywall soffits to two windows.
4. Raise manhole rim elevations.
5. Wall modification in mechanical room.

Reason for Change:
1. Retroactive code requirement.
2. Code requirement
3. Not shown on drawings, but required to conceal unfinished structural framing of building.
4. Grading adjustments required to tie new walks to existing walks. Raising of manhole required to bring them to finish grade.
5. Damper had to be relocated from location shown on drawings due to equipment placement in the room.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| DENHAM-BLYTHE CO., INC.<br>LEXINGTON | PRESTONSBURG COMMUNITY COLLEGE<br>TECHNICAL/LEARNING RESOURCE CTR.<br>Project No. 471.0 | 11 | 11/18/88 | + $ 896.00 |

Nature of Change: 1. Add lock detector outlet.
2. Add fire alarm module.

Reason for Change: 1. Revised outlet configuration.
2. Required by the State Fire Marshal to receive Certificate of Occupancy.

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| ARC CONSTRUCTION CO.<br>EVANSVILLE, IN | MADISONVILLE COMMUNITY COLLEGE<br>ACADEMIC/AUDITORIUM BLDG.<br>BID PACK #1 - BLDG. SHELL<br>Project No. 472.0 | 1 | 1/10/89 | - 610.00 |

Nature of Change: Credit from contractor for resale of abandoned chiller and adjusted for costs incurred by contractor to remove and load onto truck.

Reason for Change: Owner requested that contractor remove old chiller and transport for resale. Credit has been adjusted for costs to contractor for labor and equipment during the move.

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| ARC CONSTRUCTION CO.<br>EVANSVILLE, IN | MADISONVILLE COMMUNITY COLLEGE<br>ACADEMIC/AUDITORIUM BLDG.<br>BID PACK #1 - BLDG. SHELL<br>Project No. 472.0 | 2 | 1/10/89 | + 1,327.38 |

Nature of Change: 1. Relay and programming work required for operation and cooling tower fan.
2. Install HOA auto selector switches in the existing college and furnish spares.
3. Move existing power fused switches to allow room for new chiller switch and add made space in front cover.

Reason for Change: All changes listed above were necessary to physically install new system in existing conditions.

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| ARC CONSTRUCTION CO.<br>EVANSVILLE, IN | MADISONVILLE COMMUNITY COLLEGE<br>ACADEMIC/AUDITORIUM BLDG.<br>BID PACK #1 - BLDG. SHELL<br>Project No. 472.0 | 3 | 1/10/89 | + 2,924.90 |

Nature of Change: 1. Delete concrete inertia bases for pumps.
2. Delete type 2 and 3 isolators replace with type 6 isolators.
3. Add duct silencers.

Reason for Change: These changes were design improvements; recommended by acoustical consultant and architect.

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| ARC CONSTRUCTION CO.<br>EVANSVILLE, IN | MADISONVILLE COMMUNITY COLLEGE<br>ACADEMIC/AUDITORIUM BLDG.<br>BID PACK #1 - BLDG. SHELL<br>Project No. 472.0 | 4 | 1/10/89 | + 3,265.00 |

Nature of Change: Additional labor and materials required to concrete tunnel and floor penetrations.

Reason for Change: Ductwork required additional tolerance for installation beyond tolerances given.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| ARC CONSTRUCTION CO.<br>EVANSVILLE, IN | MADISONVILLE COMMUNITY COLLEGE<br>ACADEMIC/AUDITORIUM BLDG.<br>BID PACK #1 - BLDG. SHELL<br>Project No. 472.0 | 5 | 1/10/89 | + $ 25,357.50 |
| Nature of Change: | Add hot and cold chilled water piping through concrete tunnel and connect to piping in Academic Building. | | | |
| Reason for Change: | To complete the system's piping and hook-up between chiller and new Auditorium Building. | | | |
| ARC CONSTRUCTION CO.<br>EVANSVILLE, IN | MADISONVILLE COMMUNITY COLLEGE<br>ACADEMIC/AUDITORIUM BLDG.<br>BID PACK #1 - BLDG. SHELL<br>Project No. 472.0 | 6 | 3/16/89 | + 946.00 |
| Nature of Change: | Additional length of pilings. | | | |
| Reason for Change: | An additional 43' length of pilings required beyond that shown on the drawings. | | | |
| ARC CONSTRUCTION CO.<br>EVANSVILLE, IN | MADISONVILLE COMMUNITY COLLEGE<br>ACADEMIC/AUDITORIUM BLDG.<br>BID PACK #1 - BLDG. SHELL<br>Project No. 472.0 | 7 | 3/16/89 | + 12,931.20 |
| Nature of Change: | Additional rock removal. | | | |
| Reason for Change: | Additional rock removal required for installation of storm sewers and domestic water lines. | | | |
| ARC CONSTRUCTION CO.<br>EVANSVILLE, IN | MADISONVILLE COMMUNITY COLLEGE<br>ACADEMIC/AUDITORIUM BLDG.<br>BID PACK #1 - BLDG. SHELL<br>Project No. 472.0 | 8 | 3/16/89 | + 956.18 |
| Nature of Change: | Extend 8" masonry block wall between rooms 120 and 121 to bottom of roof deck from elevation 10' above finished floor. | | | |
| Reason for Change: | Additional work required by this contractor in lieu of adding another subcontractor in Bid Pack #3. | | | |
| ARC CONSTRUCTION CO.<br>EVANSVILLE, IN | MADISONVILLE COMMUNITY COLLEGE<br>ACADEMIC/AUDITORIUM BLDG.<br>BID PACK #1 - BLDG. SHELL<br>Project No. 472.0 | 9 | 3/16/89 | + 223.00 |
| Nature of Change: | Remove 8" masonry block and install hollow metal frame between two rooms. | | | |
| Reason for Change: | To allow access between work shop and prop room by double door. | | | |
| ARC CONSTRUCTION CO.<br>EVANSVILLE, IN | MADISONVILLE COMMUNITY COLLEGE<br>ACADEMIC/AUDITORIUM BLDG.<br>BID PACK #1 - BLDG. SHELL<br>Project No. 472.0 | 10 | 3/16/89 | + 1,770.00 |
| Nature of Change: | Additional tapered insulation to meet level gravel stop at all roof edges where gravel stop/fascia members occur. | | | |
| Reason for Change: | Contractor and "Goodyear" representative recommended this solution, along with Architect. This additional insulation would be more effective in lieu of metal termination bar that would be prone to leakage. | | | |

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| ARC CONSTRUCTION CO.<br>EVANSVILLE, IN | MADISONVILLE COMMUNITY COLLEGE<br>ACADEMIC/AUDITORIUM BLDG.<br>BID PACK #3<br>Project No. 472.1 | 1 | 4/20/89 | + $ 2,863.00 |
| Nature of Change: | Furnish & install vertical angles between top and bottom chords of bar joists approximately 5'0" on center above north and south catwalks. | | | |
| Reason for Change: | Change required to increase head height below horizontal catwalk framing members. | | | |
| R & W CONSTRUCTION<br>LOUISVILLE | AGRICULTURAL ENGINEERING BUILDING<br>Project No. 475.0 | 3 | 9/27/88 | + 22,621.91 |
| Nature of Change: | 1. Add entrance chase with High Pressure End Main Drip for the steam line entrance in mechanical room.<br>2. Revise natural gas line.<br>3. Provide test wells.<br>4. Install outlet box, conduit, wire and connection to closest receptacle circuit and connect to a motorized projection screen in two rooms. Install circuit wire and switch.<br>5. Revise specifications to require Leslie Model GPD or equal control valve.<br>6. Revise roof drains and storm sewer connections as indicated on drawings.<br>7. Relocate floor drains in three rooms and add a floor drain in room 172.<br>Install 4" gate valve in condensate return line in seedhouse mechanical room. | | | |
| Reason for Change: | 1. Required to permit draining of high pressure steam piping system at the building.<br>2. Required to comply with Columbia Gas requirements for ownership of gas line.<br>3. Agency regulations required additional tests and protection.<br>4. Use of motorized screen required electrical outlet box adjacent to screen controller. Installation of manual control switch and hard wiring to 110 volt power source. Electrical power service to those doors was not included in the original design.<br>5. Required to meet UK standards. Leslie Model GPD required for ease of maintenance and inventory of spare parts.<br>6. These items were not included in the original design.<br>7. Required to reflect location shown on latest issue of Drawings. Floor drain was omitted from drawings. | | | |
| R & W CONSTRUCTION<br>LOUISVILLE | AGRICULTURAL ENGINEERING BUILDING<br>Project No. 475.0 | 4 | 10/11/88 | + 564,909.20 |
| Nature of Change: | Assignments of subcontractors for Bid Package #2 - Elevators, Bid Package #3 - Lab Equipment and Bid Package #4 - Controlled Temperature Cold Rooms. | | | |
| Reason for Change: | Subcontractors assigned to General Contractor per the terms and conditions of their contract. | | | |

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| R & W CONSTRUCTION COMPANY LOUISVILLE | AGRICULTURAL ENGINEERING BUILDING Project No. 475.0 | 5 | 3/9/89 | + $ 51,872.34 |

Nature of Change:
1. Provide additional structural steel.
2. Adjust depth of cassions to accommodate field conditions.
3. Provide an insulated low pressure return from South Equipment Room to North Equipment Room of Laboratory Building.
4. Relocate two 8" water lines that interfere with a Pedway footing.
5. Modify foundations of the Pedway; repair utilities damaged.

Reason for Change:
1. Change required to appropriately support concrete panels & arched skylite structure once detailed construction methods were indicated on shop drawings.
2. Conditions not known in advance since soil tests were not obtained in advance at each cassion. Cost to do so would have been excessive.
3. Line was not shown on the original drawings issued for construction but is required for services.
4. Required in order that construction of the Pedway over Cooper Drive can proceed. Water lines exact location was not known prior to excavation for foundations.
5. Exact location of underground utilities could not be determined prior to excavation for foundations. Modifications of structure is less costly and disruptive than relocating the utilities.

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| R & W CONSTRUCTION LEXINGTON | AGRICULTURAL ENGINEERING BUILDING Project No. 475.0 | 6 | 5/31/89 | + 42,581.29 |

Nature of Change:
1. Change one door frame to type "G", transom with side glass from Type "B" with transom only.
2. Install couplings capable of breaking away in all pipe lines passing through the fire wall of the office building.
3. Install low suction control valve on fire pump.
4. Revise steel beams at top of window wall at lobby skylight.
5. Add precast beam and column cover over louver opening.
6. Change preheat control from pneumatic to Digital Dialer Communicator (DDC) and interface to EMS. Change pneumatic control of all spaces to DDC to allow software control of hot and cold decks.
7. Install an enclosure and HEPA filter above the ceiling in Biohazard Lab 171 and connect to the 12" diameter exhaust duct from fume hood 171-11. Access to the filter must be through the side of the enclosure into a recess in the ceiling.

Reason for Change:
1. Visual communications required between computer room and printer room. This was not provided for in original documents.
2. Required by Kentucky Building Codes.
3. Requirement of Kentucky American Water Company.
4. The two beams to be revised are rolled to a semi-circular shape. The size of the beams to sustain structural loading are too large for the supplier to roll and several different pieces of steel must be rolled and fabricated.
5. Requirement for precast members was not determined until actual field assembly was underway.
6. Modifications required by U.K. to the energy management system to improve the quality of the system effecting energy cost savings.
7. Previous location (mechanical room above lab) was determined to be inconvenient and hazardous.

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| R & W CONSTRUCTION LOUISVILLE | JEFFERSON COMMUNITY COLLEGE BROADWAY BUILDING RENOVATION Project NO. 478.0 | 5 | 8/10/88 | + 5,622.35 |

Nature of Change:
1. Replace 6" diameter ceiling diffuser with 8" diffuser.
2. Close openings in third floor mechanical shaft.

Reason for Change:
1. Required to reduce noise level in office area.
2. Code requirement.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| R & W CONSTRUCTION LOUISVILLE | JEFFERSON COMMUNITY COLLEGE BROADWAY BUILDING RENOVATION Project NO. 478.0 | 6 | 9/27/88 | + $ 711.77 |

Nature of Change:
1. Remove wood 2 x 4's in top of elevator hoistway. Plug holes with non-shrink grout.
2. Install pressure taps at the two chilled water pumps.

Reason for Change:
1. Code states that no combustible material is allowed in hoistway. Holes must be sealed for isolation of shaft.
2. Required for evaluation of chilled water system.

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| STEVENS CONTRACTORS LOUISVILLE | JEFFERSON COMMUNITY COLLEGE BROADWAY BUILDING RENOVATION PHASE II Project No. 478.1 | 1 | 5/11/89 | + 1,177.90 |

Nature of Change:
1. Add wood door at designated opening, including hardware set.
2. Close opening in mechanical shaft; use 4" solid concrete masonry block.
3. Raise sprinkler lines in two offices.

Reason for Change:
1. This door and hardware was not included on door schedule and therefore not included in contract price. It was Architect's intent to have a door at this location.
2. Required to maintain fire rating of mechanical shaft per building code. Opening was hidden by sheet metal from previous construction.
3. Specified height of sprinkler line interferes with installation of HVAC duct and lighting fixtures.

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| MEADE CONSTRUCTION CO. CATLETTSBURG | ASHLAND COMMUNITY COLLEGE BOOKSTORE RENOVATION Project No. 498.0 | 1 | 12/22/88 | + 263.00 |

Nature of Change: Paint all exposed concrete at ceilings of bookstore.

Reason for Change: During design budgetary restraints dictated minimal finishes. The painting described above will present a new finish through the bookstore.

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| GRIGGS ENTERPRISES, INC. LEXINGTON | MCVEY HANDICAP ACCESS Project No. 502.0 | 3 | 7/19/88 | + 1,740.00 |

Nature of Change: Provide smoke detectors in each elevator lobby and in elevator equipment room.

Reason for Change: State Fire Marshal requirements.

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| GRIGGS ENTERPRISES, INC. LEXINGTON | MCVEY HALL HANDICAP ACCESS Project No. 502.0 | 4 | 1/24/89 | + 876.00 |

Nature of Change: Provide new smoke detectors in lieu of existing.

Reason for Change: Existing smoke detectors no longer meet code, due to recent revisions.

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| JOE M. HAWKINS & CO. LEXINGTON | TENNIS BUILDING INTERIOR RENOVATION Project No. 510.0 | 1 | 8/4/88 | + 245.00 |

Nature of Change: Add extra lighting materials.

Reason for Change: Some items were omitted from plans.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| THE WAGNER COMPANY<br>LEXINGTON | STUDENT CENTER<br>INTERIOR RENOVATION<br>Project No. 524.0 | 1 | 7/21/88 | + $ 1,962.15 |
| Nature of Change: | 1. Paint vestibule, including window units at entry.<br>2. Provide fascia boards where shade boxes were removed. | | | |
| Reason for Change: | 1. Schedule on plans did not include Vestibule as part of contract.<br>2. Plaster finish has been omitted behind shade boxes. Information was not shown on as-built drawings. | | | |
| WEBER AND WEBER<br>GENERAL CONTRACTOR<br>LOUISVILLE | JEFFERSON COMMUNITY COLLEGE<br>BOOKSTORE EXPANSION<br>Project No. 525.0 | 1 | 10/12/88 | - 462.00 |
| Nature of Change: | Delete fabric banners from contract. | | | |
| Reason for Change: | The Community College requested this item be deleted from the contract. | | | |
| STEEL TRAILER CORP.<br>CYNTHIANA | MEDICAL CENTER ANNEX NO.4<br>STAIRCASE ENCLOSURE<br>Project No. 549.0 | 2 | 12/1/88 | + 297.50 |
| Nature of Change: | Add braces to landings because of changed cantilever proportions to accommodate new treads and risers. | | | |
| Reason for Change: | New treads and riser dimensions required by building code. | | | |
| STEEL TRAILER CORP.<br>CYNTHIANA | MEDICAL CENTER ANNEX NO. 4<br>STAIRCASE REPAIRS<br>Project No. 549.0 | 3 | 2/16/89 | + 4,800.00 |
| Nature of Change: | Apply three coats of paint to all exposed metal parts of steel stairs. | | | |
| Reason for Change: | Paint not specified in original contract documents, due to time constraints during programming and bidding process. | | | |
| WARREN BUILDERS, INC.<br>MT. STERLING | NOE HOUSE ROOF REPLACEMENT<br>Project No. 552.0 | 1 | 6/16/89 | -0- |
| Nature of Change: | Increase completion date by sixty calendar days. | | | |
| Reason for Change: | Delay in delivery of fire retardant treated wood roof trusses. | | | |
| WARREN BUILDERS, INC.<br>MT. STERLING | ALLEN HOUSE ROOF REPLACEMENT<br>Project No. 553.0 | 1 | 6/16/89 | -0- |
| Nature of Change: | Increase completion date by sixty calendar days. | | | |
| Reason for Change: | Delay in delivery of fire retardant treated wood roof trusses. | | | |
| FINNEY COMPANY, INC.<br>LEXINGTON | PHARMACY EQUIPMENT INSTALLATION<br>Project No. 555.0 | 1 | 1/13/89 | -0- |
| Nature of Change: | Extend final completion date 60 days; from February 24 to April 24, 1989. | | | |
| Reason for Change: | The specialty pharmaceutical subcontractor withdrew over a month after contract award. This has resulted in both contractor and materials delivery delays unforseen and out of the control of Finney Company. | | | |

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| FINNEY COMPANY, INC.<br>LEXINGTON | PHARMACY - WATER FOR INJECTION EQUIPMENT INSTALLATION<br>Project No. 555.0 | 2 | 6/7/89 | - $ 5,835.00 |
| Nature of Change: | Eliminate two point-of-use coolers & local steam sterilization at coolers. | | | |
| Reason for Change: | To improve the system. Determination was made that one central point-of-use cooler would be adequate to serve all use points because of their close proximity. | | | |
| LUTHER STONE CONSTRUCTION<br>HENDERSON | MADISONVILLE COMMUNITY COLLEGE MECH. & ELECT. CONNECTOR TUNNEL<br>Project No. 558.0 | 1 | 12/2/88 | + 739.00 |
| Nature of Change: | Re-connection of 4" cast iron storm water line excavated during tunnel floor excavation at existing stairwell. | | | |
| Reason for Change: | Unknown and unanticipated storm water line uncovered during excavation. | | | |
| LUTHER STONE CONSTRUCTION<br>HENDERSON | MADISONVILLE COMMUNITY COLLEGE MECH. & ELECT. CONNECTOR TUNNEL<br>Project No. 558.0 | 2 | 1/10/89 | + -0- |
| Nature of Change: | Delete cable tray and #2-3C 15KV cable. | | | |
| Reason for Change: | Requested by owner. | | | |
| C. C. LEE<br>LEXINGTON | HAGGIN HALL SHOWER REPAIRS<br>Project No. 559.0 | 1 | 10/6/88 | + 2,109.00 |
| Nature of Change: | Add two check valves in hot water recirculating lines. Replace four 1/2" gate valves in the utility tunnel, four 3/4" globe valves in the tunnel, and the hot and cold water supply valves in all shower chases. | | | |
| Reason for Change: | Check valves will prevent the possibility of untempered hot water from entering the shower valves. Existing gate and globe valves were in poor condition. | | | |
| C. C. LEE<br>LEXINGTON | HAGGIN HALL SHOWER REPAIRS<br>Project No. 559.0 | 2 | 10/6/88 | + 2,305.00 |
| Nature of Change: | Replacement of hot water supply and drain lines to fine tube heaters. | | | |
| Reason for Change: | Lines were in poor condition due to external corrosion. | | | |
| C. C. LEE<br>LEXINGTON | HAGGIN HALL SHOWER REPAIRS<br>Project No. 559.0 | 3 | 10/6/88 | - 52.18 |
| Nature of Change: | 1. Use 28 ga. metal decking in lieu of 26 ga.<br>2. Delete 25 concrete blocks. | | | |
| Reason for Change: | 1. 26 ga. metal deck was not available to meet project time schedule.<br>2. Wall where demolition was required was solid concrete, not block. | | | |
| C. C. LEE<br>LEXINGTON | HAGGIN HALL SHOWER REPAIRS<br>Project No. 559.0 | 4 | 10/6/88 | + 900.00 |
| Nature of Change: | Install plates over cut outs for hardware and paint two coats. Prep door to install push/pull latch sets at 45" from floor. | | | |
| Reason for Change: | Housing, Building & Construction Division required the hardware lowered for more functional use. | | | |

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| C. C. LEE<br>LEXINGTON | HAGGIN HALL SHOWER REPAIRS<br>Project No. 559.0 | 5 | 12/1/88 | - $ 686.00 |
| Nature of Change: | Delete installation of shower partitions. | | | |
| Reason for Change: | Shower partitions did not arrive while project was on going. Shower partitions will be installed by University at a later date. | | | |
| HIBBITTS CONSTRUCTION<br>LONDON | ASBESTOS ABATEMENT<br>STUDENT CENTER BALLROOM ROOF<br>Project No. 562.0 | 1 | 7/14/88 | -0- |
| Nature of Change: | 1. Change manufacturer of metal roof deck.<br>2. Extend time of completion. | | | |
| Reason for Change: | 1. Original manufacturer could not deliver items on time.<br>2. Work order dates were incorrect. | | | |
| E. C. MATTHEWS COMPANY<br>LEXINGTON | WARREN WRIGHT MEDICAL PLAZA<br>ROOFTOP CONVERSION<br>Project No. 576.0 | 1 | 3/16/89 | + 1,141.18 |
| Nature of Change: | Level top profile of existing precast with cementitious grout. | | | |
| Reason for Change: | To provide level heights at new window sills. | | | |
| E.C. MATTHEWS CO.<br>LEXINGTON | WARREN WRIGHT MEDICAL PLAZA<br>ROOFTOP CONVERSION<br>Project No. 576.0 | 2 | 5/9/89 | + 4,014.66 |
| Nature of Change: | Remove additional sections of roofing, apply roofing membrane to temporarily protect roof openings, cut openings in interior side of exterior wall, and provide temporary weather protection in the area where the walls to be removed intersect the existing corridor walls, and elsewhere while the panels are removed. | | | |
| Reason for Change: | Work required by this contractor to allow other trade to access precast panels and perform additional work. | | | |
| CENTRAL KENTUCKY ERECTING<br>LEXINGTON | WARREN WRIGHT MEDICAL PLAZA<br>ROOFTOP CONVERSION<br>Project No. 576.0 | 1 | 3/16/89 | + 550.00 |
| Nature of Change: | Provide larger angles at column lines to align the new dryvit panels. | | | |
| Reason for Change: | Larger angle required to align new dryvit panels with existing precast panels. Field measurements misalignment of precast. | | | |
| CENTRAL KY ERECTING<br>LEXINGTON | WARREN WRIGHT MEDICAL PLAZA<br>ROOFTOP CONVERSION<br>Project No. 576.0 | 2 | 5/9/89 | + 9,868.00 |
| Nature of Change: | Remove existing precast concrete panels at third floor. Furnish and install new structural steel; modify existing beams. | | | |
| Reason for Change: | Pre-cast panels would interfere with fit-up. Clinic and office layouts were not available at time shell was bid. Removing panels will allow for more flexibility in any future renovations. | | | |

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| GREEN MECHANICAL CONSIRUCTION LEXINGTON | WARREN WRIGHT MEDICAL PLAZA ROOFTOP CONVERSION Project No. 576.0 | 1 | 3/30/89 | + $ 361.00 |

Nature of Change: Furnish & install new pipe hangers to support existing plumbing & HVAC piping at the third floor roof corridor.

Reason for Change: Existing plumbing and HVAC piping is now supported by a steel beam which is to be removed.

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| GREEN MECHANICAL CONSTRUCTION LEXINGTON | WARREN WRIGHT MEDICAL PLAZA ROOFTOP CONVERSION Project No. 576.0 | 2 | 5/1/89 | + 287.50 |

Nature of Change: Relocate exhaust fan at existing third floor women's toilet room roof.

Reason for Change: Exhaust fan now located on precast concrete pad at north side of roof curb penetration; which is in conflict with roof tie-in once precast concrete panels are removed. Exhaust fan will be relocated to the east side of roof curb penetration. This will require new duct from exhaust fan to roof curb penetration.

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| GREEN MECHANICAL CONSIRUCTION LEXINGTON | WARREN WRIGHT MEDICAL PLAZA ROOFTOP CONVERSION Project No. 576.0 | 3 | 5/2/89 | + 800.00 |

Nature of Change: Provide eight (8) 30" long 4" cast iron vent pipes through the roof. Provide friction clamp support at metal deck and lead flange flashing set in flashing cement nailed to treated wood nailer at 4" o.c. crimp lead flashing inside pipe and cap pipe.

Reason for Change: Use of vents required during the fit-up phase of project.

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| LINKER'S PROF. INSULATORS LOUISVILLE | WARREN WRIGHT MEDICAL PLAZA ROOFTOP CONVERSION Project No. 576.0 | 1 | 5/2/89 | + 675.00 |

Nature of Change: Install spray applied fireproofing to three additional steel beams.

Reason for Change: To make fit-up phase easier; will permit the removal of precast walls.

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| PARSON'S ELECTRIC, INC. LEXINGTON | WARREN WRIGHT MEDICAL PLAZA ROOFTOP CONVERSION Project No. 576.0 | 1 | 5/2/89 | + 160.00 |

Nature of Change: Re-work temporary construction electric at precast concrete removal.

Reason for Change: Rerouting of circuitry was necessary after removal of pre-cast exterior panels.

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| PEARCE-PHELPS ROOFING LEXINGTON | WARREN WRIGHT MEDICAL PLAZA ROOFTOP CONVERSION Project No. 576.0 | 1 | 5/1/89 | + 3,484.00 |

Nature of Change:
1. Temporarily waterproof area at existing roof perimeter to new plywood partition at the existing third floor women's toilet room; maintain watertight during roof installation.
2. Install expansion joint between existing roof and new roof at the third floor women's toilet room.

Reason for Change: Pre-cast panels would interfere with fit-up. Clinic and office layouts were not available at time shell was bid. Removing panels will allow for more flexibility in any future renovations.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| PEARCE-PHELPS ROOFING<br>LEXINGTON | WARREN WRIGHT MEDICAL PLAZA<br>ROOFTOP CONVERSION<br>Project No. 576.0 | 2 | 5/18/89 | + $ 634.00 |
| Nature of Change: | Install derbigum in existing reglet in concrete knee walls to exterior entrances and torch to existing concrete slab prior to installing new concrete fill. | | | |
| Reason of Change: | To assure a watertight seal at expansion joint between Medical Plaza Building and Sanders-Brown bridges. Condition was hidden by slab. | | | |
| ECONOMY GLASS SERVICE<br>LEXINGTON | WARREN WRIGHT MEDICAL PLAZA<br>ROOFTOP CONVERSION<br>Project No. 576.0 | 1 | 5/24/89 | + 310.00 |
| Nature of Change: | Remove glazing from the two windows adjacent to precast concrete. Remove frame anchorage to precast. Temporary weather tight openings with plywood. Re-install glazing when precast is removed. | | | |
| Reason for Change: | This will cut work time out of fit-up package. | | | |
| WEBER & WEBER GENERAL CONTRACTOR<br>LOUISVILLE | JEFFERSON COMMUNITY COLLEGE<br>COMMUNICATION DUCT BANKS<br>Project No. 577.0 | 1 | 6/27/89 | - 820.00 |
| Nature of Change: | Delete cable pull box and four inch conduits. | | | |
| Reason for Change: | Field revisions. Conduits were to be deleted from the Broadway Building basement; pull box not necessary for transition of cables in Seminary Bldg. | | | |
| PEARCE-PHELPS ROOFING<br>LEXINGTON | SOMERSET COMMUNITY COLLEGE<br>MEECE HALL ROOF REPLACEMENT<br>Project No. 581.0 | 1 | 12/22/88 | + 1,475.00 |
| Nature of Change: | Removal of concrete pad. | | | |
| Reason for Change: | The pad removal had been deleted in the addenda because the method of removal was vague. After surrounding roofing had been torn off it was possible to estimate the cost of removal. The removal will alleviate a potential leak point. | | | |
| MARCO CONSTRUCTION CO.<br>NICHOLASVILLE | MEDICAL CENTER<br>ENDOSCOPY/DIALYSIS RENOV.<br>Project No. 589.0 | 1 | 6/22/89 | + 429.00 |
| Nature of Change: | Provide American Standard Bedpan washer in restroom area. | | | |
| Reason for Change: | The bedpan washer was omitted from the contract documents. | | | |
| MARCO CONSTRUCTION CO.<br>NICHOLASVILLE | MEDICAL CENTER<br>OUTPATIENT SURGERY RENOV.<br>Project No. 590.0 | 1 | 6/22/89 | + 1,116.00 |
| Nature of Change: | Plumbing and electrical changes. | | | |
| Reason for Changes: | Code requirements. | | | |
| MARCO CONSTRUCTION CO.<br>NICHOLASVILLE | MEDICAL CENTER<br>OUTPATIENT SURGERY RENOV.<br>Project No. 590.0 | 2 | 6/30/89 | + 724.00 |
| Nature of Change: | Replace area of floor topping. | | | |
| Reason for Change: | Unforeseen conditions in field. Floor was uneven in one room. Contractor replaced floor topping. | | | |

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| E. C. MATTHEWS COMPANY<br>LEXINGTON | FOOD STORAGE BUILDING<br>FREEZER REPAIRS<br>Project No. 610.0 | 1 | 6/23/89 | - $ 3,000.00 |
| Nature of Change: | Delete built-up insulation for walls & ceiling, plaster, elastomeric vapor barrier membrane on walls and ceiling, and interior epoxy wall paint. Add 4" prefabricated metal insulated freeze wall and ceiling panels as manufactured by Vollrath. Reinforce concrete curb detail as recommended with optional dowel rods into floor. | | | |
| Reason for Change: | The prefabricated metal insulation system was more desirable and cost effective. Changing to this system insured an earlier completion of work by Contractor. | | | |
| C.C. LEE, INC.<br>LEXINGTON | MEDICAL CENTER ALLIED HEALTH<br>Project No. 625.0 | 1 | 5/16/89 | - 503.00 |
| Nature of Change: | Change the conduit from the specified rigid conduit to Electric Metalic Tubing (EMT). | | | |
| Reason for Change: | EMT is less expensive and it is judged that the extra spanning capability of the rigid conduit was offsetting the cost of the conduit and the patches required by the EMT. | | | |
| C.C. LEE, INC.<br>LEXINGTON | MEDICAL CENTER ALLIED HEALTH<br>Project No. 625.0 | 2 | 6/6/89 | + 460.00 |
| Nature of Change: | Additional electrical, telephone & computer outlet required. | | | |
| Reason for Change: | Shortens computer cable required to standard length. Eliminates trip situation in traffic path. | | | |
| C.C. LEE, INC.<br>LEXINGTON | MEDICAL CENTER ALLIED HEALTH<br>Project No. 625.0 | 3 | 6/15/89 | + 299.55 |
| Nature of Change: | 1. Add one access door.<br>2. Add plaster rings at existing light locations. | | | |
| Reason for Change: | 1. To eliminate work in an occupied waiting room.<br>2. Code update required by the electrical inspector. | | | |
| JERRY GROT ELECTRIC, INC.<br>LEXINGTON | SOUTH CAMPUS FIRE ALARMS<br>Project No. 842.0 | 1 | 2/16/89 | + 5,110.00 |
| Nature of Change: | 1. Install 50 door holders in Funkhouser Building.<br>2. Credit to contract for pull stations. | | | |
| Reason for Change: | 1. Door holders were required to meet code.<br>2. Pull stations did not meet U.K.'s standards. | | | |

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| WHITE CONSTRUCTION CO.<br>LEXINGTON | PATTERSON OFFICE TOWER<br>FIRE SAFETY IMPROVEMENTS<br>Project No. 852.0 | 1 | 8/30/88 | + $ 12,350.04 |

Nature of Change:
1. Extend sprinkler risers to 19th floor & paint.
2. Remove existing concealed spline ceiling and grid on 19th floor stairs. Install new ceiling tile in same areas per Unit Cost.
3. Install additional fire stop material in existing holes and penetrations found in corridor walls, as directed in field by Resident Inspector.
4. Add piping valve on 19th floor, rewire speakers on 18th floor, and add 3-way switch in basement.

Reason for Change:
1. Sprinkler risers was a concealed field condition and could not be verified by Engineers until pipe chase was opened up during construction. Existing paint colors could not be matched, therefore, contractor requested to perform additional painting.
2. Architect did not realize ceiling would have to be partially removed to hang pipe supports to structure above. The sprinkler pipes are below ceiling height, but hung from above to structure. Concealed spline ceiling can not be patched.
3. This work was anticipated when designing the project, but unknown quantities until field verified.
4. Piping valve and rewiring speakers were not shown on plans; 3-way switch was relocated.

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|---|---|---|---|---|
| WHITE CONSTRUCTION CO.<br>LEXINGTON | PATTERSON OFFICE TOWER<br>FIRE SAFETY IMPROVEMENTS<br>Project No. 852.0 | 2 | 10/12/88 | + 1,996.40 |

Nature of Change:
1. Install time delay relays on return air fan.
2. Remove existing panel serving radio transponders and re-feed from panel EC. Remove existing EPA, 2-200A disconnects, re-feed.

Reason for Change:
1. Necessary due to new motor controls. Not able to slant fans when spinning backwards.
2. Due to existing panel not being appropriately wired.

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| WHITE CONSTRUCTION CO.<br>LEXINGTON | PATTERSON OFFICE TOWER<br>FIRE SAFETY IMPROVEMENTS<br>Project No. 852.0 | 3 | 1/24/89 | + 5,955.85 |

Nature of Change: Install new circuit to existing fire pump from new emergency generator.

Reason for Change:e Wiring required for this change was not indicated on the electrical drawings.

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| WILLIAM HEPBURN ELECTRIC<br>LEXINGTON | MEDICAL SCIENCE WING<br>SMOKE DETECTION<br>Project No. 853.0 | 4 | 5/31/89 | + 5,356.85 |

Nature of Change: Additional compensation to contractor for delays; material storage, labor remobilization and supervision.

Reason for Change: All delays due to asbestos removal.

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|---|---|---|---|---|
| WILLIAM HEPBURN ELECTRIC<br>LEXINGTON | DENTAL SCIENCE WING<br>SMOKE DETECTION<br>Project No. 854.0 | 3 | 5/31/89 | + 3,470.69 |

Nature of Change: Additional compensation to contractor for delays; material storage, labor remobilization and supervision.

Reason for Change: All delays due to asbestos removal.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| THE WAGNER COMPANY<br>LEXINGTON | MCVEY HALL<br>FIRE SAFETY<br>Project No. 867.0 | 6 | 10/20/88 | + $ 1,018.00 |

Nature of Change: Stain and seal wood doors in lieu of paint finished specified.

Reason for Change: Change initiated to match motiff of technical buildings surrounding McVey Hall for proposed skywalk entrances.

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|---|---|---|---|---|
| THE WAGNER COMPANY<br>LEXINGTON | MCVEY HALL<br>FIRE SAFETY<br>Project No. 867.0 | 8 | 12/02/88 | - 428.75 |

Nature of Change:
1. Delete installation and finish of doors, transom & hardware.
2. Delete installation of 15 door stops.
3. Delete ceiling paint in sub-basement.

Reason for Change:
1. Fire Marshal did not require entry area doors to be changed.
2. User has miscellaneous bookshelves/filing cabinets, etc. behind the doors, stops not required.
3. Due to paint spatter being engulfed by Liebert manufactured 400 HZ static conversion system.

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|---|---|---|---|---|
| MCNEESE CONSTRUCTION<br>LEXINGTON | FARMHOUSE FRATERNITY<br>FIRE SAFETY<br>Project No. 870.0 | 1 | 9/22/88 | + 1,840.00 |

Nature of Change: Upgrade horn and strobe lights in fire alarm system in first floor & second floor corridors.

Reason for Change: Alarm horns originally installed did not create high enough db rating inside rooms for sleeping occupants to detect.

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|---|---|---|---|---|
| MCNEESE CONSTRUCTION<br>LEXINGTON | KAPPA ALPHA FRATERNITY<br>FIRE SAFETY<br>Project No. 871.0 | 1 | 9/22/88 | + 1,955.00 |

Nature of Change: Upgrade horn and strobe lights in fire alarm system in first floor & second floor corridors.

Reason for Change: Alarm horns originally installed did not create high enough db rating inside rooms for sleeping occupants to detect.

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| WILLIAM HEPBURN ELECTRIC<br>LEXINGTON | KAPPA SIGMA FRATERNITY<br>FIRE SAFETY<br>Project No. 872.0 | 1 | 6/30/89 | + 1,754.50 |

Nature of Change: Upgrade horn and strobe lights in fire alarm system in first floor corridor and second floor corridor.

Reason for Change: Alarm horns originally installed did not create high enough db ratings inside rooms while occupants were sleeping.

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|---|---|---|---|---|
| WILLIAM HEPBURN ELECTRIC<br>LEXINGTON | PHI SIGMA KAPPA FRATERNITY<br>FIRE SAFETY<br>Project No. 873.0 | 1 | 6/30/89 | + 1,754.50 |

Nature of Change: Upgrade horn and strobe lights in fire alarm system in first floor corridor and second floor corridor.

Reason for Change: Alarm horns originally installed did not create high enough db ratings inside rooms while occupants were sleeping.

## V. CHANGE ORDERS TO CONSTRUCTION CONTRACTS (CONTINUED)

| CONTRACTOR | PROJECT | CHANGE NUMBER | DATE APPROVED | AMOUNT |
|---|---|---|---|---|
| WILLIAM HEPBURN ELECTRIC<br>LEXINGTON | LAMBDA CHI ALPHA FRATERNITY<br>FIRE SAFETY<br>Project No. 874.0 | 1 | 6/30/89 | + $ 1,754.50 |
| Nature of Change: | Upgrade horn and strobe lights in fire alarm system in first floor corridor and second floor corridor. | | | |
| Reason for Change: | Alarm horns originally installed did not create high enough db ratings inside rooms while occupants were sleeping. | | | |
| FAYETTE ELECTRICAL SER.<br>LEXINGTON | FIRE SAFETY - THREE BUILDINGS<br>Project No. 881.0 | 1 | 10/12/88 | + 709.00 |
| Nature of Change: | 1. Change two existing horns to two new audio visual units and pull new wire through existing conduit.<br>2. Change one EM-2 to a recessed brick light. | | | |
| Reason for Change: | 1. Horns have to be 12 volts to be compatible.<br>2. Lights have to be changed to mount in brick/glass wall. | | | |
| S.C. NEAL ELECTRICAL CONT.<br>GEORGETOWN | PORTER BUILDING<br>FIRE SAFETY<br>Project No. 883.0 | 1 | 4/12/89 | + 638.00 |
| Nature of Change: | Add four (4) heat detectors and three (3) pull stations. | | | |
| Reason for Change: | To meet all applicable Kentucky Fire Safety Codes. | | | |

## VI. TOTAL CONTRACTOR PAYMENTS FOR COMPLETED PROJECTS

| CONTRACTOR | PROJECT | FINAL CONTRACT AMOUNT | DATE |
|---|---|---|---|
| CONTRAX, INC.<br>LEXINGTON | TENNIS BUILDING<br>EXTERIOR COMPLETION<br>Project No. 402.0 | $ 914,672 | 7/13/88 |
| HAGERMAN PLUMBING & HEATING<br>OWENSBORO | MADISONVILLE COMMUNITY COLLEGE<br>COOLING TOWER<br>Project No. 476.0 | 75,073 | 7/21/88 |
| DEERINGER & SON, INC.<br>LEXINGTON | CENTRAL FACILITY<br>ROOF REPLACEMENT<br>Project No. 505.0 | 111,145 | 7/28/88 |
| DAVID ENGINEERING<br>LOUISVILLE | FOOTBALL TRAINING FACILITY<br>DOOR CHANGES/HOLLOW METAL<br>Project No. 211.3 | 5,570 | 8/10/88 |
| EPPERSON ELECTRIC<br>SOMERSET | SOMERSET COMMUNITY COLLEGE<br>PARKING LOT LIGHTING<br>Project No. 466.1 | 16,400 | 8/19/88 |
| EPPERSON ELECTRIC<br>SOMERSET | SOMERSET COMMUNITY COLLEGE<br>STONER HALL DARKROOM VENTILATION<br>Project No. 546.0 | 3,236 | 8/26/88 |
| KENTUCKY POWER COMPANY<br>PIKEVILLE | PRESTONSBURG COMMUNITY COLLEGE<br>A/T BUILDING<br>Project No. 471. | 7,696 | 8/29/88 |

## VI. TOTAL CONTRACTOR PAYMENTS FOR COMPLETED PROJECTS

| CONTRACTOR | PROJECT | FINAL CONTRACT AMOUNT | DATE |
|---|---|---|---|
| NORWOOD CONSTRUCTION COMPANY<br>LEXINGTON | DEMOLITION OF STRUCTURES<br>448 CLIFTON AVENUE<br>Project No. 592.0 | $ 3,764 | 8/31/88 |
| NORWOOD CONSTRUCTION COMPANY<br>LEXINGTON | DEMOLITION OF STRUCTURES<br>417 LINDEN WALK<br>Project No. 593.0 | 3,900 | 8/31/88 |
| P & R ROOFING COMPANY<br>LEXINGTON | KIRWAN III & IV<br>ROOF REPLACEMENT<br>Project No. 503.0 | 83,406 | 9/2/88 |
| EUBANK & STEEL<br>LEXINGTON | MINING & MINERALS RESOURCE BLDG.<br>PHASE III - INTERIOR<br>Project No. 115.2 | 3,170 | 9/6/88 |
| FIDELITY CONSTRUCTION CO.<br>ALVANTON | MADISONVILLE COMMUNITY COLLEGE<br>RESEAL/STRIP EXTERIOR WINDOWS<br>Project No. 367.0 | 13,114 | 9/14/88 |
| MODERN WELDING CO., INC.<br>OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>Project No. 425.0 | 599,284 | 10/4/88 |
| BLUEGRASS PAVING CORP.<br>LEXINGTON | COLLEGE VIEW PARKING LOT<br>Project No. 512.0 | 105,140 | 10/4/88 |
| THOMPSON ENGINEERING CO.<br>LEXINGTON | FUNKHOUSER/PHASE II<br>AIR CONDITIONING<br>Project No. 104.0 | 598,610 | 10/7/88 |
| WHEELER GENERAL CONTRACTORS<br>LEXINGTON | OHARA-RICE HOUSE<br>ROOF REPLACEMENT<br>Project No. 550.0 | 124,500 | 10/4/88 |
| JOE HAWKINS COMPANY<br>LEXINGTON | TENNIS BUILDING<br>INTERIOR SPACE<br>Project No. 510.0 | 20,695 | 10/13/88 |
| JERRY GROT, INC.<br>LEXINGTON | ANIMAL PATHOLOGY & COOPER<br>DAIRY RENOVATION<br>Project No. 194.0 | 490 | 10/20/88 |
| INTEGRATED TELECOM SERVICES<br>LEXINGTON | PRESTONSBURG COMMUNITY COLLEGE<br>TECHNICAL/LEARNING RESOURCE CTR.<br>TELEPHONE<br>Project No. 471.1 | 22,051 | 10/20/88 |
| C.C. LEE, INC.<br>LEXINGTON | MEDICAL CENTER DIETARY<br>CONVEYER REPLACEMENT<br>Project No. 433.0 | 327,125 | 10/26/88 |
| ENGLE CONSTRUCTION CO.<br>LEXINGTON | CAWEIN HOUSE<br>ROOF REPLACEMENT<br>Project No. 551.0 | 76,890 | 11/10/88 |
| THE WAGNER COMPANY<br>LEXINGTON | HOSPITAL EXPANSION, PHASE II<br>TEMPORARY HELIPORT<br>Project No. 304.5 | 73,616 | 11/11/88 |
| LOUISVILLE PAVING<br>LOUISVILLE | COMPLEX TENNIS COURTS<br>RESURFACE<br>Project No. 530.0 | 76,302 | 11/18/88 |
| HIBBITTS CONSTRUCTION CO.<br>LONDON | STUDENT CENTER ROOF<br>ASBESTOS ABATEMENT<br>Project No. 562.0 | 124,900 | 11/18/88 |
| C.C. LEE, INC.<br>LEXINGTON | HAGGIN HALL SHOWERS<br>PHASE II<br>Project No. 559.0 | 162,277 | 11/21/88 |
| ENGLE CONSTRUCTION CO.<br>LEXINGTON | SHAWNEETOWN ROOF/TYPE B<br>Project No. 444.0 | 139,940 | 11/18/88 |

## VI. TOTAL CONTRACTOR PAYMENTS FOR COMPLETED PROJECTS (CONTINUED)

| CONTRACTOR | PROJECT | FINAL CONTRACT AMOUNT | DATE |
|---|---|---|---|
| HENDERSON ELECTRIC INC.<br>LEXINGTON | HOSPITAL EXPANSION, PHASE II<br>Project No. 304.1 | $ 295,040 | 12/07/88 |
| THE BRI-DEN COMPANY<br>FLATWOODS | STUDENT CENTER ROOFS<br>FEASIBILITY STUDY/BALLROOM<br>Project No. 527.0 | 53,800 | 12/19/88 |
| HINKLE CONTRACTING<br>BURNSIDE | SOMERSET COMMUNITY COLLEGE<br>PAVE & GRAVEL LOT<br>Project No. 466.0 | 137,709 | 12/22/88 |
| CHAMBERS COMMERCIAL COATINGS<br>NICHOLASVILLE | AQUATIC CENTER<br>POOL FINISH<br>Project No. 146.2 | 28,609 | 12/22/88 |
| CHAMBERS COMMERCIAL COATINGS<br>NICHOLASVILLE | AQUATIC CENTER POOL<br>WALL SURFACES<br>Project No. 146.4 | 5,025 | 12/13/88 |
| CHAMBERS COMMERCIAL COATINGS<br>NICHOLASVILLE | POOL MODIFICATIONS<br>Project No. 500.0 | 2,370 | 12/13/88 |
| MCCARTHY BROTHERS COMPANY<br>ST. LOUIS, MO | OWENSBORO COMMUNITY COLLEGE<br>Project No. 425.0 | 790,651 | 12/19/88 |
| WHEELER GENERAL CONTRACTORS<br>LEXINGTON | AMERICAN BUILDING<br>LIFE SAFETY<br>Project No. 376.0 | 145,389 | 1/19/89 |
| WOODFORD BUILDERS<br>LEXINGTON | HOSPITAL RENOV. - INTERIOR DECOR<br>3RD FLOOR OBSTETRICS<br>Project No. 129.6 | 216,508 | 1/19/89 |
| GIVENS CONSTRUCTION<br>LEXINGTON | MINING & MINERALS<br>SITE DEVELOPMENT<br>Project No. 115.3 | 255,045 | 1/26/89 |
| LICHTEFELD-MASSARO<br>LOUISVILLE | KIRWAN TOWER<br>BRICK REPLACEMENT<br>Project No. 423.0 | 901,762 | 1/31/89 |
| THE WAGNER COMPANY<br>LEXINGTON | STUDENT CENTER INTERIOR RENOVATION<br>Project No. 524.0 | 29,814 | 2/07/89 |
| STRUCK CONSTRUCTION<br>LOUISVILLE | JOURNALISM RENOVATION<br>Project No. 105.0 | 1,369,779 | 2/21/89 |
| DIVERSIFIED CONSTRUCTION<br>LEXINGTON | ANIMAL PATHOLOGY & COOPER<br>DAIRY RENOVATION<br>Project No. 194.0 | 155,791 | 2/24/89 |
| MCNEESE CONSTRUCTION<br>LEXINGTON | KAPPA ALPHA FIRE SAFETY<br>Project No. 871.0 | 62,302 | 2/24/89 |
| MCNEESE CONSTRUCTION<br>LEXINGTON | FARMHOUSE FIRE SAFETY<br>Project No. 870.0 | 55,657 | 3/01/89 |
| BOXLEY CONSTRUCTION<br>LOUISVILLE | ELIZABETHTOWN COMMUNITY COLLEGE<br>ACADEMIC/TECHNICAL BUILDING<br>Project No. 470.0 | 2,861,495 | 3/08/89 |
| STEEL TRAILER CORPORATION<br>CYNTHIANA | MEDICAL CENTER ANNEX #4<br>STAIRCASE REPAIR<br>Project No. 549.0 | 26,048 | 3/09/89 |
| WHEELER GENERAL CONTRACTORS<br>LEXINGTON | SOMERSET COMMUNITY COLLEGE SIGNAGE<br>Project No. 112.4 | 10,033 | 3/15/89 |
| JOE HAWKINS & CO.<br>LEXINGTON | AMERICAN BUILDING<br>ANTHROPOLOGY RENOVATION<br>Project No. 375.0 | 107,803 | 3/17/89 |

## VI. TOTAL CONTRACTOR PAYMENTS FOR COMPLETED PROJECTS (CONTINUED)

| CONTRACTOR | PROJECT | FINAL CONTRACT AMOUNT | DATE |
|---|---|---|---|
| RUSHER CONSTRUCTION<br>OWENSBORO | OWENSBORO COMMUNITY<br>Project No. 425.0 | $ 398,597 | 3/23/89 |
| BECK STUDIOS<br>MILFORD, OHIO | ASBESTOS REMOVAL-PADUCAH COMMUNITY COLLEGE STAGE CURTAIN<br>Project No. 583.0 | 11,864 | 3/23/89 |
| R & W CONSTRUCTION<br>LOUISVILLE | GLUCK EQUINE RESEARCH CENTER<br>Project No. 230.1 | 6,913,830 | 3/30/89 |
| THE WAGNER COMPANY<br>LEXINGTON | MEDICAL SCIENCES RESEARCH LABS<br>Project No. 310.0 | 280,812 | 3/30/89 |
| BILL TUCKER CONSTRUCTION CO.,INC.<br>LAGRANGE | JEFFERSON COMMUNITY COLLEGE HARTFORD HARDWARE<br>Project No. 454.0 | 15,410 | 4/03/89 |
| WHITE CONSTRUCTION<br>LEXINGTON | PATTERSON OFFICE TOWER FIRE SAFETY IMPROVEMENT<br>Project No. 852.0 | 1,043,302.25 | 4/21/89 |
| LEONARD JOHNSON ELECTRIC<br>GLASGOW | OWENSBORO COMMUNITY COLLEGE<br>Project No. 425.0 | 1,207,302.25 | 4/21/89 |
| KY-IND FIRE PROTECTION<br>OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>Project No. 425.0 | 88,532 | 4/21/89 |
| LOYD EVANS MASONRY<br>MURRAY | OWENSBORO COMMUNITY COLLEGE<br>Project No. 425.0 | 1,104,084.50 | 4/21/89 |
| RUSHER CONSTRUCTION<br>OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>Project No. 425.0 | 3,356,721.89 | 4/27/89 |
| WEBER & WEBER CONTRACTORS<br>LOUISVILLE | JEFFERSON COMMUNITY COLLEGE BOOKSTORE EXPANSION<br>Project No. 525.0 | 38,838 | 5/04/89 |
| S.C. NEAL ELECTRICAL CONTRACTORS<br>GEORGETOWN | PORTER BUILDING FIRE SAFETY<br>Project No. 883.0 | 25,033 | 5/04/89 |
| HAGERMAN PLUMBING & HEATING<br>OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>Project No. 425.0 | 344,424.59 | 5/05/89 |
| HAGERMAN PLUMBING & HEATING<br>OWENSBORO | OWENSBORO COMMUNITY COLLEGE<br>Project No. 425.0 | 1,171,009.78 | 5/05/89 |
| MEADE CONSTRUCTION<br>CATLETTSBURG | ASHLAND COMMUNITY COLLEGE BOOKSTORE<br>Project No. 498.0 | 17,996 | 6/07/89 |
| LITTLE FLOOR COMPANY<br>SUGAR GROVE, OHIO | AQUATICS CENTER DECK FINISH<br>Project No. 146.3 | 30,895 | 6/08/89 |
| CENTRAL KENTUCKY ERECTING<br>LEXINGTON | MEDICAL PLAZA ROOFTOP ENCLOSURE<br>Project No. 576.0 | 205,418 | 6/20/89 |

REVISED

Office of the President
September 19, 1989

FCR 4

Members, Board of Trustees:

STRATEGIC PLAN
and
BIENNIAL REQUEST 1990-92

Recommendation: that the Strategic Plan for the University of Kentucky be approved as submitted. That the Biennial Request 1990-92 be approved for submission to the Council on Higher Education, the Governor and the General Assembly for a state appropriation of $328.3 million in 1990-91 and $386.4 million in 1991-92, a change from $254.1 million in 1989-90. This represents a change from the state appropriation generated under the Council's revised formula of $333.4 million for 1990-91 and $396.6 million for 1991-92.

Background: The Strategic Plan is intended to clarify the mission and direction of the University and to serve as a unifying force for the University and its constituencies. In turn, the Biennial Request has been developed so as to accomplish the goals and objectives established within the Strategic Plan. The Biennial Request 1990-92 includes the operating request and the capital construction plan for the institution.

This revised request is submitted for the Board's consideration for several reasons.

The Commonwealth of Kentucky is at a critical crossroad in its education programs at all levels. Other state programs also are at a critical juncture -- prisons, human resources, transportation, and so on.

Now is the time, therefore, for one of the single largest components of the education program of the state -- the University of Kentucky -- to be understanding of the totality of the economic needs of the Commonwealth.

This is a time for all components of state government to work together. The University of Kentucky looks forward to being a partner with Governor Wilkinson and Legislators in addressing the state's problems and helping to advance all of the critical programs of our Commonwealth.

This revision will bring the University of Kentucky's request to the Council on Higher Education, the Governor, and the Kentucky General Assembly more in line with what would have been produced by the formula prior to the Council's revision of the formula last year.

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Action taken: Approved ✓ Disapproved _____ Other _____

Date: September 19, 1989

NOTE: The Strategic Plan and Biennial Request 1990-92 are not included in the Minutes of the meeting but are included in the official files.

Office of the President
September 19, 1989

FCR5

Members, Board of Trustees:

1989-90 BUDGET REVISIONS
CENTRAL ADMINISTRATION

Recommendation: that the following revisions in the 1989-90 budget be authorized and approved.

| | Approved Budget | Revised Budget | Change |
|---|---|---|---|
| A. GENERAL FUND | | | |
| 1. Income Estimates | | | |
| Student Fees | | | |
| Registration Fees | | | |
| Summer Session-Community College | $ 1,142,200 | $ 1,170,700 | $ 28,500 |
| Continuing Education | 5,168,900 | 5,458,300 | 289,400 |
| Miscellaneous Fees | 741,300 | 751,800 | 10,500 |
| Gifts and Grants | | | |
| Other Gifts and Grants | 2,887,100 | 3,074,400 | 187,300 |
| Sales and Services | | | |
| Ag Public and Regulatory Services | 1,783,400 | 1,788,400 | 5,000 |
| Departmental Sales and Services | 10,853,600 | 11,333,100 | 479,500 |
| | | | $1,000,200 |
| 2. Expenditures | | | |
| Central Administration | | | |
| University Relations | 704,900 | 706,400 | 1,500 |
| Community College System | | | |
| Elizabethtown | 3,924,300 | 3,934,300 | 10,000 |
| Hazard | 2,524,900 | 2,616,300 | 91,400 |
| Henderson | 2,538,300 | 2,720,800 | 182,500 |
| Hopkinsville | 2,508,500 | 2,553,500 | 45,000 |
| Jefferson | 11,518,900 | 11,613,100 | 94,200 |
| Owensboro | 2,654,600 | 2,682,100 | 27,500 |
| Paducah | 3,921,100 | 3,935,200 | 14,100 |
| Logo Scholarships | 13,800 | 28,400 | 14,600 |
| Information Systems | | | |
| Communications & Distributed Systems | 1,787,800 | 1,992,300 | 204,500 |
| Printing, Duplicating & Postal Services | 810,500 | 860,500 | 50,000 |
| Lexington Campus | | | |
| College of Agriculture | | | |
| Agronomy | 264,500 | 314,500 | 50,000 |
| Animal Sciences | 665,400 | 671,500 | 6,100 |

| | Approved Budget | Revised Budget | Change |
|---|---|---|---|
| A. GENERAL FUND (continued) | | | |
| 2. Expenditures (continued) | | | |
| College of Architecture | $ 1,383,000 | $ 1,401,500 | $ 18,500 |
| Counseling and Testing | 375,400 | 413,300 | 37,900 |
| Logo Scholarships | 163,000 | 214,100 | 51,100 |
| Medical Center | | | |
| College of Medicine | | | |
| Medicine-Allergy Lab | -0- | 10,000 | 10,000 |
| -Cardiology Studies | -0- | 10,000 | 10,000 |
| Pediatrics | 1,205,600 | 1,215,600 | 10,000 |
| Surgery | 2,107,300 | 2,139,300 | 32,000 |
| Logo Scholarships | 18,300 | 37,600 | 19,300 |
| Research and Graduate Studies | | | |
| Program Development | -0- | 20,000 | 20,000 |
| | | | $1,000,200 |

3. Comments - The increase in summer registration fees supports enrollment growth in the summer programs for Hazard, Jefferson, and Henderson Community Colleges. The increase in continuing education registration fees supports growth in those programs in the College of Architecture, Hazard and Henderson Community Colleges, and Research and Graduate Studies. The increase in the miscellaneous tuition and fees supports the College of Architecture's European travel and workshop and their expanded computer aided design laboratory. The increase in Other Gifts and Grants supports research activity in the Agronomy Department and the purchase of items for student activities for Hopkinsville, Jefferson, and Paducah Community Colleges. The increase in departmental sales and services includes support for the consulting and diagnostic services in Agriculture laboratory analysis, the Pediatrics home antibiotic program and the Cardiology Studies program; scholarships supported by funds received from the use of the Athletics logo; student long distance telephone service; and parking lot maintenance.

| | Approved Budget | Revised Budget | Change |
|---|---|---|---|
| B. RESTRICTED FUNDS | | | |
| 1. Income Estimates | $41,145,300 | $42,147,000 | $1,001,700 |
| 2. Expenditures | | | |
| Central Administration | | | |
| Public Relations | $ -0- | $ 4,200 | $ 4,200 |
| Community College System | | | |
| Elizabethtown | 50,100 | 116,900 | 66,800 |
| Hazard | 128,100 | 232,700 | 104,600 |
| Henderson | 285,600 | 295,100 | 9,500 |
| Hopkinsville | 66,700 | 69,200 | 2,500 |
| Southeast | 56,700 | 82,700 | 26,000 |

| | Approved Budget | Revised Budget | Change |
|---|---|---|---|
| B. RESTRICTED FUNDS (continued) | | | |
| 2. Expenditures (continued) | | | |
| Information Systems | | | |
| Libraries | | | |
| Oral History | $ 2,700 | $ 4,500 | $ 1,800 |
| Japanese Endowment Fund | -0- | 100,000 | 100,000 |
| Toyota Japanese Books | -0- | 20,000 | 20,000 |
| Lexington Campus | | | |
| Agricultural Experiment Station | | | |
| Agronomy | 540,100 | 583,200 | 43,100 |
| Animal Sciences | 471,900 | 551,900 | 80,000 |
| Entomology | 167,200 | 187,900 | 20,700 |
| Plant Pathology | 315,300 | 437,300 | 122,000 |
| College of Communications | 68,600 | 74,400 | 5,800 |
| First Amendment Center | 1,800 | 6,000 | 4,200 |
| College of Engineering | | | |
| Center for Robotics and Manufacturing | 200 | 2,200 | 2,000 |
| General Scholarships | 1,827,400 | 1,834,700 | 7,300 |
| Medical Center | | | |
| Administration | | | |
| Lecture Series | -0- | 3,200 | 3,200 |
| College of Allied Health Professions | | | |
| Allied Health Study | -0- | 15,000 | 15,000 |
| College of Medicine | | | |
| Medicine | 1,923,500 | 2,008,500 | 85,000 |
| Neurology | 303,400 | 310,700 | 7,300 |
| College of Dentistry | | | |
| Pediatric - Mobile Clinic | -0- | 162,500 | 162,500 |
| College of Pharmacy | 81,800 | 105,300 | 23,500 |
| Research | 678,400 | 725,400 | 47,000 |
| Student Aid | 616,700 | 617,700 | 1,000 |
| Research and Graduate Studies | | | |
| Toxicology | 400 | 6,100 | 5,700 |
| Patterson School of Diplomacy | 171,000 | 191,000 | 20,000 |
| Graduate School Program | | | |
| Extended Campus Feasibility | -0- | 11,000 | 11,000 |
| | | | $1,001,700 |

3. Comments - Income restricted for the purposes indicated above will fund the proposed additional program activities.

| | Approved Budget | Revised Budget | Change |
|---|---|---|---|
| C. AUXILIARY SERVICES | | | |
| 1. Income Estimates | $ 29,969,500 | $ 31,454,700 | $ 1,485,200 |
| 2. Expenditures | | | |
| Community College System | | | |
| Hopkinsville | 349,700 | 394,700 | 45,000 |
| Jefferson | 1,430,500 | 1,480,600 | 50,100 |
| Paducah | 445,800 | 459,900 | 14,100 |
| Lexington Campus | | | |
| Housing and Dining | | | |
| Vending | -0- | 1,370,000 | 1,370,000 |
| Student Affairs | | | |
| Residence Hall Programming | 74,700 | 80,700 | 6,000 |
| | | | $ 1,485,200 |

3. Comments - The proposed expenditure increases will be supported by additional income generated by the respective auxiliary operations.

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Action Taken: Approved ✓ Disapproved _____ Other _____

Date: September 19, 1989

Office of the President
September 19, 1989

FCR 6

Members, Board of Trustees:

RESOLUTION OF THE BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY ACCEPTING THE SUCCESSFUL BID FOR THE PURCHASE OF $9,200,000 PRINCIPAL AMOUNT OF UNIVERSITY OF KENTUCKY CONSOLIDATED EDUCATIONAL BUILDINGS REVENUE BONDS, SERIES K, DATED SEPTEMBER 1, 1989

Recommendation: (i) that the Board of Trustees approve a Resolution accepting the successful bid of John Nuveen & Co., Inc. with reference to the sale of the $9,200,000 University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series K, dated September 1, 1989, at a net interest cost of 7.2681%; and (ii) that the Board of Trustees approve the form of Official Statement as prepared by Seasongood & Mayer, the Financial Advisor to the Board of Trustees.

Background: On June 20, 1989, the Board of Trustees approved a Resolution authorizing the issuance of $9,200,000 University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series K, dated September 1, 1989. Said Resolution also authorized the public advertising for sealed, competitive bids to be received on September 19, 1989. Bids have been reviewed by the Finance Committee and the recommended bid is the lowest net interest cost to the University.

Three bids were received and tabulated as follows:

| | |
|---|---|
| John Nuveen & Co., Inc. | 7.2681% |
| Merrill Lynch Pierce Fenner & Smith, Inc. | 7.2713% |
| Smith Barney Harris Upham & Co., Inc. | 7.285123% |

Action taken: Approved ✓ Disapproved _____ Other _____

Date: September 19, 1989

SALE RESOLUTION

RESOLUTION OF THE BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY ACCEPTING THE SUCCESSFUL BID FOR THE PURCHASE OF $9,200,000 PRINCIPAL AMOUNT OF UNIVERSITY OF KENTUCKY CONSOLIDATED EDUCATIONAL BUILDINGS REVENUE BONDS, SERIES K, DATED SEPTEMBER 1, 1989.

WHEREAS, Notice of Sale of $9,200,000 principal amount of University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series K, dated September 1, 1989, has heretofore been advertised, and information as to such sale has been distributed in strict compliance with all legal requirements, which action is hereby authorized, ratified and confirmed, and

WHEREAS, all bids received for the purchase of said Bonds from the University have been duly considered, copies of such bids are attached to this Resolution, and made a part hereof, and a summary of said respective bids is as follows:

| 1. | 2. | 3. |
|---|---|---|
| BIDDERS | AMOUNTS BID FOR SAID $9,200,000 PRINCIPAL AMOUNT OF BONDS, PLUS ACCRUED INTEREST FROM SEPTEMBER 1, 1989 | NET INTEREST COST |

| 1. | 2. | 3. |
|---|---|---|
| BIDDERS | AMOUNTS BID FOR SAID $9,200,000 PRINCIPAL AMOUNT OF BONDS, PLUS ACCRUED INTEREST FROM SEPTEMBER 1, 1989 | NET INTEREST COST |

WHEREAS, the matter of which bid is the most advantageous and with the most favorable net interest cost to the University has been sufficiently considered, and

NOW, THEREFORE, BE IT AND IT IS HEREBY RESOLVED AND ORDERED BY THE BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY, AS FOLLOWS:

1. Determination of Best Bid; Acceptance. That the bid of _____ for the purchase of said $9,200,000 principal amount of University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series K, dated September 1, 1989, be accepted and confirmed, said bid being at a price of $_____ for said $9,200,000 principal amount of Bonds, plus accrued interest from September 1, 1989, to the date of delivery of the Bonds, such interest to be payable semiannually at the following annual rates:

| Maturing May 1 | Maturity Amount | Rate | Maturing May 1 | Maturity Amount | Rate |
|---|---|---|---|---|---|
| 1991 | $225,000 | _____% | 2001 | $440,000 | _____% |
| 1992 | 240,000 | _____% | 2002 | 470,000 | _____% |
| 1993 | 255,000 | _____% | 2003 | 505,000 | _____% |
| 1994 | 275,000 | _____% | 2004 | 540,000 | _____% |
| 1995 | 290,000 | _____% | 2005 | 580,000 | _____% |
| 1996 | 310,000 | _____% | 2006 | 620,000 | _____% |
| 1997 | 335,000 | _____% | 2007 | 665,000 | _____% |
| 1998 | 355,000 | _____% | 2008 | 715,000 | _____% |
| 1999 | 380,000 | _____% | 2009 | 765,000 | _____% |
| 2000 | 410,000 | _____% | 2010 | 825,000 | _____% |

and being a bid at an average net interest cost to the University of _____% per annum; and said bid is hereby determined to be the best bid and with the most favorable net interest cost to the University for said Bonds; and the interest rates on said Bonds are hereby fixed at the rates set out in said successful bid.

2. All Other Bids Rejected; Return of Good Faith Checks of Unsuccessful Bidders. That all other bids are hereby rejected, and the Treasurer of the University is ordered to return the good faith checks of unsuccessful bidders immediately. The good faith check of the successful purchaser will be deposited immediately by the University and credited (without interest) against the purchase price of the Bonds on the date of delivery to such purchaser.

3. Delivery of Bonds; Application of Proceeds. That said Bonds shall be delivered by the Treasurer and/or other appropriate officials of the University in accordance with the terms of the Resolution authorizing the Bonds, adopted by the University on June 20, 1989, as soon as said Bonds are printed, executed, authenticated and ready for delivery in accordance with such Resolution,

and all of the proceeds of the Bonds shall be used only as provided in said Resolution.

4. Acceptance of Bid is Subject to Approving Legal Opinion of Bond Counsel. That said bid is accepted subject to the condition that such acceptance subjects the University to no obligation to deliver the Bonds if for any reason the University is unable to obtain the final approving legal opinion of the firm of Rubin & Hays, Municipal Bond Attorneys, Louisville, Kentucky, as to said Bonds, or if such Bonds shall be subject to ad valorem taxation by the Commonwealth of Kentucky, or if the receipt of interest on said Bonds shall be subject to income taxation by the Federal Government or by the Commonwealth of Kentucky, prior to or on the delivery date of said Bonds; and the purchasers shall not be required to take delivery of said Bonds without the final approving opinion of said attorneys accompanying said Bonds, or if said Bonds or the interest thereon should become subject to such ad valorem or income taxation prior to such delivery; provided such exemption from taxation shall be subject to compliance by the Board of Trustees with certain covenants necessary to establish that interest on the Bonds will continue to be exempt from Federal income taxation under the Internal Revenue Code of 1986.

5. Approval of Official Statement. That the form of Official Statement prepared and presented to the Board of Trustees by Seasongood & Mayer for distribution to prospective purchasers of the Series K Bonds is hereby approved and the Chairman and Secretary are authorized and directed to execute and deliver said Official Statement.

6. Repeal of Conflicting Resolutions. That all resolutions, or parts thereof, in conflict herewith, be and the same are hereby amended or repealed to the extent of such conflict, and this Resolution shall be effective immediately upon its adoption.

Passed and adopted by the Board of Trustees of the University of Kentucky at a properly convened meeting of the University held on September 19, 1989.

BOARD OF TRUSTEES
UNIVERSITY OF KENTUCKY

By_____
Chairman

Attest:

_____
Secretary

CERTIFICATE

I hereby certify that I am the duly qualified and acting Secretary of the Board of Trustees of the University of Kentucky, and I certify further as follows:

1. That the foregoing is a true copy of a Resolution adopted by said Board; signed by the Chairman of the Board and attested under seal by me as Secretary of the Board at a properly convened meeting of said University held on September 19, 1989, as shown by the official records of said University in my custody and under my control;

2. That there are attached hereto reproduced duplicate copies of each of the bids received for the purchase of $9,200,000 principal amount of University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series K, dated September 1, 1989, referred to in said Resolution;

3. That there is attached hereto the form of Official Statement for the Series K Bonds, approved by the foregoing Resolution; and

4. That said meeting was duly held in accordance with all applicable requirements of Kentucky law, including KRS 61.810, 61.815, 61.820 and 61.825, that a quorum was present at said meeting, that said Resolution has not been modified, amended, revoked or repealed, and that said is now in full force and effect.

IN TESTIMONY WHEREOF, witness my signature as Secretary and the official seal of said University this September 19, 1989.

_____
Secretary, Board of Trustees

(Seal)

This Preliminary Official Statement and the information contained herein are subject to completion or amendment. These securities may not be sold nor may offers to buy be accepted prior to the time the Official Statement is delivered in final form. Under no circumstances shall this Preliminary Official Statement constitute an offer to sell or the solicitation of an offer to buy, nor shall there be any sale of these securities in any jurisdiction in which such offer, solicitation or sale would be unlawful prior to registration or qualification under the securities laws of such jurisdiction.

PRELIMINARY OFFICIAL STATEMENT DATED SEPTEMBER 5, 1989

NEW ISSUE

"NOT BANK QUALIFIED"

MOODY'S RATING:
STANDARD & POOR'S RATING:
(See "Ratings" herein)

*In the opinion of Bond Counsel, Rubin & Hays, interest on the Series K Bonds is exempt from Federal and Kentucky income taxation under existing statutes, court decisions, regulations and published rulings, and under existing laws the principal of the Series K Bonds is exempt from ad valorem taxation by the Commonwealth of Kentucky and any political subdivision thereof, assuming compliance by the University with certain tax covenants. For a more complete statement with reference to the foregoing see "Tax Exemption" and "Special Tax Exemption Considerations" herein.*

# $9,200,000

# UNIVERSITY OF KENTUCKY

## Consolidated Educational Buildings Revenue Bonds
## Series K

**Dated: September 1, 1989** **Due: May 1, as shown below**

The Series K Bonds bear interest payable on May 1, 1990, and semiannually thereafter on November 1 and May 1 until maturity. Principal shall be payable at the principal office of First Security National Bank and Trust Company, Lexington, Kentucky (the "Paying Agent"), and interest shall be payable by check or draft mailed by the Paying Agent no later than the due date thereof to the registered owners thereof of record as of the close of business on the 15th day of the month preceding each interest payment date (April 15 and October 15). The Series K Bonds shall be issued only as fully registered bonds in the denomination of $5,000, or integral multiples thereof, and shall mature on May 1, in accordance with the following schedule:

### SCHEDULE OF MATURITIES

| Due May 1 | Amount | Rate | Yield | Due May 1 | Amount | Rate | Yield |
|---|---|---|---|---|---|---|---|
| 1991 | $225,000 | | | 2001 | $440,000 | | |
| 1992 | 240,000 | | | 2002 | 470,000 | | |
| 1993 | 255,000 | | | 2003 | 505,000 | | |
| 1994 | 275,000 | | | 2004 | 540,000 | | |
| 1995 | 290,000 | | | 2005 | 580,000 | | |
| 1996 | 310,000 | | | 2006 | 620,000 | | |
| 1997 | 335,000 | | | 2007 | 665,000 | | |
| 1998 | 355,000 | | | 2008 | 715,000 | | |
| 1999 | 380,000 | | | 2009 | 765,000 | | |
| 2000 | 410,000 | | | 2010 | 825,000 | | |

(Plus Accrued Interest from September 1, 1989)

The Series K Bonds are subject to redemption prior to maturity as described herein.

The proceeds of the Series K Bonds will be used for the Business and Economic Building Project.

The Series K Bonds constitute special obligations of the University of Kentucky and do not constitute a debt, liability or obligation of the Commonwealth of Kentucky nor a pledge of the full faith and credit of the Commonwealth. Principal of and interest on the Series K Bonds are payable solely from the revenues of the Consolidated Educational Buildings Project.

The Series K Bonds are issued subject to the approval of legality by Rubin & Hays, Louisville, Kentucky, Bond Counsel.

## THE UNIVERSITY OF KENTUCKY

### Officers of the Board

| | |
|---|---|
| Foster Ockerman, Sr. | Chairman |
| William E. Burnett, Jr. | Vice Chairman |
| Edythe Jones Hayes | Secretary |

### Board of Trustees

| | |
|---|---|
| Ted B. Bates | Alumni Member |
| Raymond F. Betts | Faculty Member |
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| Albert Benjamin Chandler | Member |
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| Tracy Farmer | Member |
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| Walter D. Huddleston | Member |
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| Foster Ockerman, Sr. | Chairman |
| Nicholas J. Pisacano, M.D. | Member |
| Judith Rhoads | Faculty Member |
| James L. Rose | Member |
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| Jerome A. Stricker | Member |
| William B. Sturgill | Member |
| Julia K. Tackett | Alumni Member |
| Billy B. Wilcoxson | Member |
| Henry R. Wilhoit | Member |

### BOND COUNSEL

Rubin & Hays
Louisville, Kentucky

### FINANCIAL ADVISORS

Seasongood & Mayer
Cincinnati, Ohio

**No dealer, broker, salesman or other person has been authorized by the University of Kentucky or the Underwriters to give any information or to make any representations, other than those contained in this Official Statement, and, if given or made, such other information or representations must not be relied upon as having been authorized by any of the foregoing. This Official Statement does not constitute an offer to sell or the solicitation of any offer to buy, nor shall there be any sale of, the Series K Bonds by any person in any jurisdiction in which it is unlawful for such person to make such offer, solicitation or sale. The information set forth herein has been obtained from the University of Kentucky and other sources which are believed to be reliable but is not guaranteed as to accuracy or completeness. The information and expressions of opinion herein are subject to change without notice, and neither the delivery of this Official Statement nor any sale made hereunder shall, under any circumstances, create any implication that there has been no change in the affairs of the University of Kentucky since the date hereof.**

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PRELIMINARY OFFICIAL STATEMENT

# $9,200,000
# UNIVERSITY OF KENTUCKY

## Consolidated Educational Buildings Revenue Bonds
## Series K

Dated September 1, 1989

This Official Statement, which includes the cover page and the Exhibits appended hereto, is being distributed by the University of Kentucky (the "University") to furnish pertinent information to all who may become owners of its Consolidated Educational Buildings Revenue Bonds, Series K (the "Series K Bonds") being offered hereby pursuant to the provisions of Sections 162.340 through 162.380 and 58.010 to 58.140, inclusive, of the Kentucky Revised Statutes, and pursuant to the terms of a Basic Resolution (the "Resolution") adopted by the Board of Trustees of the University (the "Board") on September 20, 1960, and a Series K Resolution adopted by the Board on June 20, 1989.

The summaries and references to Sections of the Kentucky Revised Statutes, the Basic Resolution, and the Series K Resolution, as included in this Official Statement, do not purport to be comprehensive or definitive and are qualified in their entirety by reference to each such document.

## THE UNIVERSITY OF KENTUCKY

University of Kentucky is a comprehensive, Land-Grant institution located in Lexington (Fayette County), Kentucky. Founded in 1865 under the provisions of the Morrill Land-Grant Act, the University began as part of Kentucky University. In 1878, the Agricultural and Mechanical College was separated from Kentucky University and reestablished on land given by Lexington and Fayette County. To provide a separate campus for the new institution, Lexington donated its 50-acre fairground and park, and along with Fayette County, contributed construction of the buildings. Thirty years later the name was changed to State University, Lexington, Kentucky, and in 1916 it became University of Kentucky.

University of Kentucky is organized into seventeen colleges and graduate schools plus extension programs, and operates a growing system of fourteen community colleges located throughout the state. These two-year colleges offer prebaccalaureate education in addition to technical and adult continuing education.

From an enrollment of 273 students in 1876, the University has grown to more than 55,000 students and approximately 10,000 faculty and staff. The campus today has more than 100 major buildings including not only modern teaching and research facilities, but also renovated history-laden structures dating back to the 1800s.

The University has produced two Nobel Laureates and seven governors of the state including the first female governor. Scientific advances in medicine, energy, equine and other fields of research have caused the University to be ranked among the top 100 research universities in the nation, the only one in Kentucky to be so recognized.

## DESCRIPTION OF THE SERIES K BONDS

### Authority

The Series K Bonds are being issued and sold pursuant to a Series K Resolution adopted by the Board on June 20, 1989, and pursuant to authority contained in Sections 162.340 through 162.380 and 58.010 through 58.140 of the Kentucky Revised Statutes.

### Terms

The Series K Bonds are dated September 1, 1989, will bear interest payable May 1, 1990, and semiannually thereafter on each November 1 and May 1 at rates to be established by the University upon acceptance of a bid for said Bonds, and, subject to the redemption provisions set forth below, will mature on the dates and in the amounts set forth on the cover page hereof and in the Series K Resolution.

### Denominations and Payment

The Series K Bonds shall be issued only as fully registered bonds in the denominations of $5,000, or any integral multiple thereof. Principal shall be payable at the principal office of First Security National Bank and Trust Company, Lexington, Kentucky, (the "Paying Agent"), and interest shall be payable by check or draft mailed on or prior to the due date by the Paying Agent to the registered owners thereof of record as of the close of business on the 15th day of the month preceding each interest payment date (April 15 and October 15).

### Optional Redemption Provisions

The Series K Bonds maturing May 1, 2000 and thereafter shall be subject to redemption at the option of the Board prior to maturity in whole or in part (less than all of a single maturity to be selected by lot) in inverse order of maturity, on any interest payment date on or after May 1, 1999, at the redemption prices, expressed in percentages of the principal amount with respect to each redeemed Series K Bond as set forth below, plus accrued interest to the date of redemption:

On or after May 1, 1999, through November 1, 1999 at 102%
On or after May 1, 2000, through November 1, 2000 at 101½%
On or after May 1, 2001, through November 1, 2001 at 101%
On or after May 1, 2002, through November 1, 2002 at 100½%
On or after May 1, 2003, at 100%

## ESTIMATED SOURCES AND USES OF FUNDS

**Sources of Funds**

| | |
|---|---|
| Series K Bond Proceeds | $9,200,000.00 |

**Uses of Funds**

| | |
|---|---|
| Net Construction Fund Amount | $8,075,000.00 |
| Bond Discount (@ 2%) | 184,000.00 |
| Debt Service Reserve | 887,475.00 |
| Issuance Costs | 53,525.00 |
| | $9,200,000.00 |

## DESCRIPTION OF THE SERIES K PROJECT

The proceeds of the Series K Bonds will be used for the Business and Economic Building Project.

This project will include two primary components: 1) Building Addition of approximately 50,000 square feet, and 2) Existing Building Renovation that requires a full spectrum of interior alterations which will provide for classrooms and faculty offices.

## SECURITY FOR THE BONDS

The Series K Bonds, together with the Series A and B (which have been retired), Series C, Series D Refunding, Series E, Series F, and the uncalled portions of Series G, H, and I, Series J, Series G (Second Series), Series H (Second Series), Series I (Second Series) and additional parity bonds which may hereafter be issued and outstanding under the terms of the Resolution and subsequent Series Resolutions (the "Bonds" or "All Bonds"), will be payable from and will constitute a paramount charge upon the revenues (the "Revenues") to be derived by the University from the operation of its Consolidated Educational Buildings Project (the "Project") as defined in the Resolution. The fee imposed upon and collected from all students of the University of Kentucky at Lexington, Kentucky, as an incident to registration at the beginning of each semester of the regular academic year and each summer session, including fees imposed for part time students, night school and extension courses is designated as the source of Revenues of the Consolidated Educational Buildings Project. All collections of the student registration fee are to be set aside, as received, into the Consolidated Educational Buildings Project Revenue Fund (the "Revenue Fund") and are made subject to the lien and paramount charge for the security and source of payment of all outstanding Consolidated Educational Buildings Revenue Bonds.

The Resolution requires the establishment (within four years following the issuance of a Series of Bonds) and maintenance of a reserve in the Bond Fund in an amount equal to the maximum aggregate principal, interest and bond fund charges in any future twelve month period. The Trustee reports that there is an amount on deposit in the Bond Fund Reserve equal to $11,611,450, which amount equals the requirements of the Resolution for the Series C, D Refunding, E, F, G, H, I, J, Series G (Second Series), Series H (Second Series), and Series I (Second Series) Bonds. The Bond Fund Reserve is pledged equally to all of the Bonds. An additional deposit will be made into the Bond Fund Reserve from the proceeds of the Series K Bonds sufficient to bring the balance to the required amount.

As further security for the Series K Bonds, there is created and granted by Sections 162.350 and 162.200 of the Kentucky Revised Statutes a first statutory mortgage lien upon the Project on a parity with all Bonds outstanding.

## DISPOSITION OF SERIES K BOND PROCEEDS

There shall first be deposited into the Bond Fund (defined herein below) with the First Security National Bank and Trust Company, Lexington, Kentucky, (the "Trustee"), the amount received as accrued interest, if any, on the Series K Bonds from their date to the date of delivery, plus an amount sufficient to increase the Debt Service Reserve portion of the Bond Fund to the maximum annual debt service on All Bonds, provided, however, that this additional amount may not exceed 10% of the Series K Bonds.

The balance of the proceeds shall then be deposited with the Treasurer of the Commonwealth of Kentucky for immediate deposit into an account designated University of Kentucky Consolidated Educational Buildings Project – Bond Proceeds Series K Construction Account to be disbursed for the costs of issuance of the Series K Bonds and for the costs of the planned current construction.

## CERTAIN PROVISIONS OF THE BASIC RESOLUTION

On September 20, 1960, the Board adopted the Resolution which created the Project and authorized the issuance of its Consolidated Educational Buildings Revenue Bonds. The Project consists of all existing educational buildings and necessary appurtenances and all such buildings hereafter erected on property of the University in Fayette County, Kentucky, excluding housing facilities and facilities used exclusively for athletics, but including educational buildings of the Lexington Community College.

The following statements are intended to provide only brief summaries of selected pertinent provisions of the Resolution. For detailed and complete information, reference is hereby made to the Resolution, copies of which are on file with the University and with the Trustee. For purposes of this description, the Resolution and the Series C, D Refunding, E, F and G, H, I, J, G (Second Series, H (Second Series and I (Second Series) Resolutions, collectively, and the Bonds issued thereunder, collectively, shall be referred to as the "Resolutions" and the "Bonds" or "All Bonds", respectively.

### Application of Revenues

There is created and established a special fund known as the Consolidated Educational Buildings Project Revenue Fund (the "Revenue Fund") in the custody of the Treasurer of the Board, separate and apart from other funds of the University. Such Revenue Fund shall be maintained so long as any of the Bonds are outstanding and unpaid as a trust fund in one or more banks which shall be members of the Federal Deposit Insurance Corporation and shall be expended and used by the Treasurer only in the manner and order specified in these Resolutions. Upon the issuance and delivery of any Bonds pursuant to the Resolutions, all Revenues derived from the Consolidated Educational Buildings Project shall be deposited as collected in the Revenue Fund to be held and administered by the Treasurer of the Board and shall be paid out and applied for the uses and purposes set forth below.

1. *Bond and Interest Sinking Fund:* There is created and established a special account known as the Consolidated Educational Buildings Project Bond and Interest Sinking Fund (the "Bond Fund") which is maintained by and in the custody of the Trustee so long as any Bonds are outstanding and unpaid. The Bond Fund shall be used by the Trustee to pay interest on the Bonds as the same become due from time to time and to pay and retire the Bonds as they become due, or as otherwise provided in the Resolutions. From and after the issuance of any Bonds and thereafter commencing on May 1 of each year, the Treasurer shall transfer from the Revenue Fund, and deposit to the credit of the Bond Fund all the Revenues as and when the same are received and deposited into the Revenue Fund, until there has been so deposited and paid into the Bond Fund an amount equal to the total interest and principal becoming due on or prior to the succeeding May 1, on all Bonds then outstanding.

2. *Reserve Fund:* For the purpose of creating and maintaining a reserve in the Bond Fund equal to the maximum Aggregate Principal, Interest and Bond Fund Charges (defined herein below), the amount to be set aside into the Bond Fund shall be 125% of the amounts set forth above until such reserve is so accumulated and thereafter the same shall be resumed and continued whenever and so long as required to restore and maintain such reserve. Aggregate Principal, Interest and Bond Fund Charges is defined "as of any particular date of computation and with respect to a particular twelve month period, an amount of money equal to the aggregate of the amounts required by the provisions of the Resolution and all Series Resolutions, to be paid into the Bond Fund in such twelve month period for account of the interest on all outstanding Bonds becoming due during such twelve month period, and to accomplish the retirement of the principal of all outstanding Bonds at or prior to the maturity thereof.

The amounts by which the above payments exceed the Aggregate Principal, Interest and Bond Fund Charges in any particular twelve month period shall be held in the Bond Fund as a reserve. Moneys in the Bond Fund in excess of the Aggregate Principal, Interest and Bond Fund Charges and the prescribed reserve may be used to purchase or redeem Bonds in advance of maturity.

When all required payments into the Bond Fund have been made in any particular twelve month period ending May 1, any moneys remaining in the Revenue Fund may be used by the Board in its discretion to pay the operating costs of the Project to the extent that such costs are not otherwise provided, or may be used for the purchase or retirement of Bonds in advance of maturity, or for any other lawful purpose.

**Application of Bond Proceeds**

Any amounts received upon delivery of a Series of Bonds in payment of accrued interest thereon shall be deposited by the Treasurer into the Bond Fund to be applied to the payment of interest next becoming due on said Series of Bonds.

Upon the delivery of a series of Bonds and after the deposit of accrued interest into the Bond Fund, there shall be established in the State Treasury of the Commonwealth of Kentucky an account designated as a University of Kentucky Consolidated Educational Buildings Project—Bond Proceeds Series Construction Account (the "Construction Account") and proceeds of said Series of Bonds (remaining after the payment of interim loans) shall be deposited into said Construction Account and disbursements shall be made solely for defraying the costs of erecting and completing buildings and appurtenances which will become parts of the Consolidated Educational Buildings Project and in accordance with inspection, audit and disbursement procedures provided by law. The aforesaid costs may include engineering, accounting, legal and fiscal expenses incurred in connection with the issuance of said series of Bonds.

Any balance remaining in the Construction Account after erection and completion of the authorized educational buildings and appurtenances and the payment of all costs in connection therewith shall be deposited in the Bond Fund: provided, that if proceedings are then pending or imminently contemplated for the construction or completion of one or more additional educational buildings which are or will be financed by the issuance of bonds under a Series Resolution, the balances may be taken into account in determining the amount of bonds to be authorized therefor, or may otherwise be applied to the proper costs thereof.

**Additional Bonds**

The Board covenants and agrees that it will not hereafter create or permit the creation of or issue any bonds which will have a priority over the charge on the Revenues or the payments to be made into the Bond Fund.

Additional bonds ranking on a parity with the Bonds outstanding may be issued only for the purpose of erecting and completing an educational building or buildings and necessary appurtenances which building or buildings shall become and constitute a part of the Project, provided:

1. that at the time of the issuance of the additional bonds there is no deficiency in the amounts required to be paid into the Bond Fund, and

2. that the average of the annual Revenues from the Project for the two fiscal years immediately preceding the issuance of the additional bonds, as indicated in a statement by the Treasurer of the Board to be filed with the Trustee, was equal to not less than 1.25 times the maximum Aggregate

Principal, Interest and Bond Fund Charges in any succeeding twelve month period ending May 1 on the Bonds then outstanding and the additional bonds proposed to be issued. For the purpose of computing average annual Revenues, the Treasurer shall make an adjustment in the amount of annual Revenues to reflect any increase or decrease in the Student Registration Fee being imposed at the time for the services of the Project.

The issuance of such additional bonds shall be pursuant to the terms of an appropriate Series Resolution by the Board in accordance with the provisions of the Resolution.

**Default and Remedies**

The Resolution defines events of default, which include failure to pay principal or any installment of interest when same become due; the Board being rendered incapable of fulfilling its obligations under the Resolution; any buildings representing a part of the Project being destroyed or damaged and not being repaired or replaced and insurance proceeds not being deposited in the Bond Fund; an order or decree being entered appointing a Receiver of all or part of the Project or Revenues therefrom; and failure after written notice by the Trustee (who is required to give such notice at the written request of the owners of 15% in aggregate amount of the outstanding Bonds) to perform any covenant in the Resolution or any Series Resolution, in each case within or for the specified period of grace, if any.

Upon the happening and continuance of any event of default, then and in every such case the Trustee may, and upon the written request of the owners of not less than twenty-five percent (25%) in principal amount of the Bonds then outstanding shall, by a notice in writing to the Board, declare the principal of all the Bonds then outstanding to be due and payable immediately, and upon such declaration the same shall become and be immediately due and payable, anything contained in the Bonds or in the Resolution or any Series Resolution to the contrary notwithstanding; provided, however, that if at any time after the principal of the Bonds shall have been so declared to be due and payable, and before the entry of final judgment or decree in any suit, action or proceeding instituted on account of such default, or before the completion of the enforcement of any other remedy under the Resolution, moneys shall have been accumulated in the Bond Fund sufficient to pay all arrears of interest, if any, upon all the Bonds then outstanding (except the interest accrued on such Bonds since the last interest payment date), and the charges, compensation, expenses, disbursements, advances and liabilities of the Trustee and all other amounts then payable by the Board under the Resolution shall have been paid or a sum sufficient to pay the same shall have been deposited with the Trustee, and every other default known to the Trustee in the observance or performance of any covenant, condition or agreement contained in the Bonds or in the Resolution or any Series Resolution (other than a default in the payment of the principal of such Bonds then due only because of a declaration under the Resolution) shall have been remedied to the satisfaction of the Trustee, then and in every such case the Trustee may, and upon the written request of the owners of not less than twenty-five percent (25%) in principal amount of the Bonds then outstanding shall, by written notice to the Board, rescind and annul such declaration and its consequences, but no such recission or annulment shall extend to or affect any subsequent default or impair any right consequent thereon.

Upon the happening and continuance of any event of default, then and in every such case the Trustee may proceed, and upon the written request of the owners of not less than fifteen percent (15%) in principal amount of the Bonds then outstanding under the Resolution shall proceed to protect and enforce its rights and the rights of the bondowners under the laws of the Commonwealth of Kentucky or under the Resolution or any Series Resolution by such suits, actions or special proceedings in equity or at law, either for the specific performance of any covenant or agreement contained in the Resolution or in aid or execution of any power therein granted or for the enforcement of any proper legal or equitable remedy, as the Trustee, being advised by counsel, shall deem most effectual to protect and enforce such rights.

In the enforcement of any remedy under the Resolution, the Trustee shall be entitled to sue for, enforce payment of and receive any and all amounts then or during any default becoming, and at any time remaining, due from the Board for principal, interest or otherwise under any of the provisions of the Resolution or any Series Resolution or of the Bonds and unpaid together with any and all costs and expenses of collection and of all proceedings under the Resolution and under such Bonds, without prejudice to any other right or remedy of the Trustee or of the bondowners, and to recover and enforce judgment or decree against the Board, but solely as provided in the Resolution and in such Bonds, for any portion of such amounts remaining unpaid, with interest, costs and expenses, and to collect (solely from moneys in the Bond Fund and the Revenues of the Project pledged to the payment of the Bonds by the Resolution) in any manner provided by law, the moneys adjudged or decreed to be payable.

**Other Covenants of the Board**

The Board covenants with the owners of the Bonds, among other things, the following:

1. That it will establish, maintain and collect, as long as any Bonds are outstanding, such student registration fees for the services of the Project as may be necessary (a) to pay the interest on and principal of the Bonds as they respectively mature, to provide reserves therefor and (b) to pay the operating costs of the Project to the extent they are not otherwise provided. In order to assure full and continuous performance of the covenant with a margin for contingencies and temporary unanticipated reduction in Revenues the Board further covenants and agrees to establish, maintain and collect such student registration fees as will produce Revenues, in each twelve month period ending May 1, equal to at least 110% of the current Aggregate Principal, Interest and Bond Fund Charges;

2. That while any of the Bonds are outstanding, it will, except as hereinbefore set forth under "Application of Revenues", pay the current operating costs of the Project from available funds other than the Revenues derived from the Project;

3. That it will procure and maintain to the extent available, fire and extended coverage insurance on the Project in amounts sufficient to provide for not less than full recovery whenever the loss from causes covered by such insurance does not exceed 80% of the full insurable value of the Project;

4. That unless provision is otherwise made by law for disposition by the Commonwealth of Kentucky of claims made against the University for bodily injury and/or death which may arise from operations of the Board, it will, if such insurance is not already in force, procure and maintain public liability insurance with limits of not less than $100,000/$300,000 to protect the Board from claims for bodily injury and/or death which may arise from the operation of the Board, including any use or occupancy of its grounds, structures, and vehicles;

5. That it will keep accurate financial records and proper books relating to the Project; that such records and books shall be open to inspection by the bondowners and their agents and representatives; and that not later than 90 days after the close of each fiscal year it will furnish to the Trustee, and to any bondowner who shall request the same in writing, copies of audit reports prepared by an independent certified public accountant or a firm of such accountants, who shall be satisfactory to the Trustee, or by an appropriate State auditing official, reflecting in reasonable detail the financial condition and record of operation of the University, the Project, and the pledged Revenues during the preceding fiscal year;

6. That it will at all times maintain, preserve and keep the Project and every part thereof in good condition, repair and working order; and will from time to time make all needful and proper repairs, replacements, additions, betterments and improvements so that the operations and business of the Project shall at all times be conducted efficiently, properly and advantageously;

7. That whenever any portion of the Project shall have been worn out or destroyed or shall have become obsolete, inefficient or otherwise unfit for use, the Board will procure and install substitutes of at least equal utility and efficiency, so that the value of the Project will at all times be fully maintained; and

8. That it will faithfully observe, do and perform all of its agreements and obligations provided for by the Bonds and the Resolutions.

## CONSOLIDATED EDUCATIONAL BUILDINGS PROJECTS

Pursuant to the Resolution and subsequent supplemental Series Resolutions, the Board has issued its Consolidated Educational Buildings Revenue Bonds to provide funds for construction of facilities as follows:

Series A Bonds issued in 1960 in the amount of $8,000,000 for construction of a Chemistry-Physics Building and Library. These bonds were retired in 1986.

Series B Bonds issued in 1963 in the amount of $7,500,000 for construction of an Education Building, a Nuclear Accelerator, a Law Building, Engineering Building, and a Commerce Building. These bonds were retired in 1988.

Series C Bonds issued in 1970 in the amount of $4,290,000 and sold to the U.S. Department of Health, Education, and Welfare to provide funds, in part, for the construction of a Classroom-Office Building.

Series D Bonds dated May 1, 1971, and issued in the amount of $34,700,000 for the construction of various buildings and appurtenant facilities: Classroom-Office Building for the College of Arts and Sciences; Laboratory-Office Building for the Agriculture Science Program; Appurtenant Facilities construction including two parking and lighting; Laboratory, Office and Studio Facilities for various colleges; Memorial Hall Reconstruction; Library Service Building Reconstruction; Health, Physical Education and Recreation Building; Laboratory-Office Facilities for Medical and Biological Sciences programs; Patient Care Facility addition to the University Medical Center; and Addition to The University Library.

Series D Refunding Bonds, issued in 1973, replaced Series D at a savings.

Series E Bonds dated May 1, 1973, were issued in the amount of $4,750,000 to pay the costs, in part, of constructing a Biological Sciences Building, a Family Practice Facilities Building, and a Patient Care Facility addition to the University Medical Center (Federal funds anticipated at the time of issuance of the Series D Bonds were not received; therefore, funds for completion of the Patient Care Facility were included in the Series E Bond issue).

Series F Bonds, dated May 1, 1976, were issued in the amount of $7,500,000 to pay the costs, in part, of constructing a Fine Arts Building and various utility extensions and additions.

Series G Bonds, dated April 1, 1983, were issued in the amount of $17,100,000 to retire revenue bond anticipation notes, the proceeds of which provided interim financing to pay the costs, in part, of the construction of a Primary/Ambulatory Care Facility and a patient parking structure.

Series H Bonds, dated March 1, 1983, were issued in the amount of $8,500,000 for the construction of a building for the College of Pharmacy.

Series I Bonds, dated October 1, 1985, were issued in the amount of $16,100,000 for the construction of a new Mining and Minerals Resources Building and to add three levels to the Medical Plaza parking structure.

The Series J Bonds, dated March 1, 1987, were issued in the amount of $29,350,000,000 for the construction of a Robotics Facility, an Agricultural Engineering Building, and Agricultural Regulatory Services Building, a Lexington Community College Academic/Technical Building and a Fire Safety Project in the Patterson Office Tower.

The Series G (Second Series), Series H (Second Series), Series I (Second Series) Bonds, dated May 1, 1987, were issued in the amount of $34,715,000, for the purpose of advance refunding the callable bonds of the Series G, H and I issues.

## GENERAL OPERATIONS OF THE UNIVERSITY

The governing body of the University is the Board consisting of sixteen members, appointed by the Governor, three of whom are alumni of the University, the President of the Student Body, two members of the University teaching faculty, and one member of the Community Colleges teaching faculty. The Board is a public body corporate and has general supervision of the University's property and operations.

| | |
|---|---|
| Foster Ockerman, Sr.* | Chairman—Lexington, Kentucky |
| William E. Burnett, Jr.* | Vice Chairman—Lexington, Kentucky |
| Edythe Jones Hayes | Secretary—Lexington, Kentucky |
| Ted B. Bates | Alumni Member—Lexington, Kentucky |
| Raymond F. Betts | Faculty Member—Lexington, Kentucky |
| Albert Benjamin Chandler | Member—Lexington, Kentucky |
| Mary Sue Coleman | Faculty Member—Lexington, Kentucky |
| Tracy Farmer* | Member—Lexington, Kentucky Lawrence |
| E. Forgy, Jr.* | Member—Lexington, Kentucky |
| Walter D. Huddleston | Member—Elizabethtown, Kentucky |
| Sean Lohman | Student Member—Lexington, Kentucky |
| Nicholas J. Pisacano, M.D. | Member—Lexington, Kentucky |
| Judith Rhoads | Faculty Member—Madisonville, Kentucky |
| James L. Rose* | Member—Lexington, Kentucky |
| Robert F. Stephens | Member—Lexington, Kentucky |
| Jerome A. Stricker | Member—Covington, Kentucky |
| William B. Sturgill | Member—Lexington, Kentucky |
| Julia K. Tackett | Almuni Member—Lexington, Kentucky |
| Billy B. Wilcoxson | Member—Lexington, Kentucky |
| Henry R. Wilhoit | Alumini Member—Grayson, Kentucky |

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* Members of Executive Committee

The President and chief administrative officer of the University is Dr. David P. Roselle. Edward A. Carter is Vice President for Administration for the University, Dr. Robert E. Hemenway is Chancellor for the University's Lexington Campus, Dr. Peter P. Bosomworth is Chancellor for the Albert B. Chandler Medical Center, Dr. Charles Turner Wethington, Jr. is Chancellor for the Community College System and University Relations, Wimberly C. Royster is Vice Presdient for Research and Graduate Studies, Eugene R. Williams is Vice President for Information Systems at the University, and Mr. Henry Clay Owen is Controller and Treasurer of the University of Kentucky. Their biographies follow:

*Dr. David P. Roselle, President of the University of Kentucky*

Dr. David P. Roselle became the ninth president of the University of Kentucky on July 1, 1987.

Dr. Roselle came to the University from Virginia Polytechnic Institute & State University in Blacksburg, Va., where he served for four years as provost, the No. 2 administrative position there.

A native of Pennsylvania, Dr. Roselle earned a Ph.D. in mathematics from Duke University. He was a mathematics professor and researcher at the University of Maryland and Louisiana State University before going to Virginia Polytechnic Institute & State University, where he moved up through the administrative ranks.

He is a nationally-known mathematics scholar and editor of two books, and was on the editorial board of a third.

*Edward A. Carter, Vice President for Administration for The University*

Mr. Carter has a degree in Accounting from the University of Kentucky. He was named vice president for administration at the University of Kentucky in September 1987. He has served in that position on an acting basis since January 1987. He has held a variety of positions at the University including associate vice president for planning and budget, budget director, assistant budget director, budget analyst, fiscal affairs officer for the University's Community College system, and manager of payroll.

He has also served as the deputy executive director for finance with the Kentucky Council on Higher Education and has had extensive involvement in higher education activities at the national level. He has served on the faculty of the College Business Management Institute at the University of Kentucky; served on the faculty for National Association of College and University Business Officers workshops; and served on the faculty for an Ohio Association of College and University Business Officers.

*Dr. Robert E. Hemenway, Chancellor for the University's Lexington Campus*

Dr. Hemenway earned his B.A. degree from the University of Nebraska and earned his Ph.D. from Kent State University.

Dr. Hemenway came to the University of Kentucky in June 1989 from the University of Oklahoma where he was Dean of Arts and Sciences since 1986. Prior to that he was a Professor of English with the University of Kentucky from 1973-1986, an Associate Professor of American Studies at the University of Wyoming from 1969-73, and from 1966-68 an Assistant Professor of English at the University of Kentucky.

He has chaired and served on a multitude of board of directors, board of trustees, executive committees and task forces over the years as well as serving as a consultant. He has had numerous books and articles published and has editorial work to his credit.

*Peter P. Bosomworth, Chancellor for the Albert B. Chandler Medical Center*

Dr. Bosomworth received his B.S. degree from Kent State University and his M.D. from the University of Cincinnati and served his internship at the Cincinnati University Hospital. He received his M.M.S. at Ohio State University where he also served a residency in anesthesiology. Dr. Bosomworth came to the University of Kentucky in 1962 as Professor and Chairman of the Department of Anesthesiology. He served as Acting Hospital Administrator, Associate Dean for Clinical Affairs and Vice President for the Medical Center before becoming Chancellor in 1982. In this capacity, he is the Chief Administrative Officer with responsibility for five colleges, a 500 bed university hospital, research institutes in cancer and aging, and more than 4,000 employees and 2,000 health profession students. He is a member of many health related boards and councils, as well as professional associations. He recently served as Chairman of the Board of the Association of Academic Health Science Centers, an organization serving the health science centers of the United States and Canada. He is also active in a number of civic groups, and is the author of numerous publications.

*Charles Turner Wethington, Jr., Chancellor for the Community College System and University Relations*

Dr. Wethington has been Chancellor for the Community College System since 1982. He has been with the Community College System since 1971 first as Assistant Vice President and from 1981 to 1982 as Vice President. Prior to that he was Director, Maysville Community College from 1967 to 1971 and an Instructor in Educational Psychology at the University from 1964 to 1966. He earned his Ph.D. at the University of Kentucky in 1965, his M.A. at the University of Kentucky in 1962 and his A.B. from Eastern Kentucky University in 1956. He served in the United States Air Force Security Service as a Crypto-Linguist from 1957 to 1961. Dr. Wethington has served on Councils, Committees and Boards of numerous professional affiliations.

*Wimberly C. Royster, Vice President for Research and Graduate Studies*

Mr. Royster earned his B.A. degree from Murray State University in 1946 and his M.A. and Ph.D. in the area of Mathematics from the University of Kentucky in 1948 and 1952, respectively. He was Assistant Professor of Mathematics at Auburn University form 1952-56. At the University of Kentucky he has served as Assistant Professor (1956-58), Associate Professor (1958-62), and Professor (1962-). He was Chairman of the Department of Mathematics (1963-69), Director of the School of Mathematical Sciences (1967-69), Dean of the College of Arts and Sciences (1969-72), Dean of the Graduate School and Coordinator for Research (1972-82), and Vice Chancellor for Research and Dean of the Graduate School (1982-88). His current title is Vice President for Research and Graduate Studies. He has also been Vice President of the University of Kentucky Research Foundation since 1973.

Dr. Royster has served graduate education and research through his participation and leadership role in several committees, boards, and associations.

*Eugene R. Williams, Vice President for Information Systems at The University*

Mr. Williams has been appointed Vice President for Information Systems at the University of Kentucky and is responsible for all Communications, Computing Center, Data Processing, Library, Instructional Resources, Postal, Printing, Duplicating and Photographic systems.

He came to the University of Kentucky in 1977 as Director of Internal Audit and was later promoted to Assistant Vice Chancellor for Business Services at the University of Kentucky Lexington Campus; a position in which he managed the Physical Plant, Design and Construction, Human Resource Services, and Employee Benefits and Risk Management divisions as well as Communications and Data Processing.

He is an accounting graduate of Eastern Kentucky University. He has done graduate work at Xavier University and Northwestern University.

His work in private industry included serving as senior financial analyst with Cincinnati Electronics Corporation and as an auditor for the Cincinnati office of Arthur Andersen and Company.

*Henry Clay Owen, Controller and Treasurer*

Mr. Owen received the B.S. degree in Commerce and the M.S. degree in Education from the University of Kentucky, and is licensed as a Certified Public Accountant. He joined the staff of Price-Waterhouse and Co., Certified Public Accountants, Nashville, Tennessee in 1961. In 1963, he became Chief Accountant in Equitable Securities Corporation, an investment banking firm. Mr. Owen joined the University of Kentucky business staff in 1964, became Manager of Sponsored Projects Accounting in 1965, and was appointed Assistant Controller in 1967. He has held the position of Controller since 1969, and was appointed Treasurer July 1, 1982.

## Enrollment

The following schedule indicates the Fall Semester head count and full-time equivalent enrollment at the University campus in Lexington, Kentucky, for each of the academic years 1984-85 through 1988-89. The full-time enrollment calculation is made in accordance with the method used by the United States Office of Education. The University also operates a system of Community Colleges. The Community Colleges are strategically located thoughout the State of Kentucky. Their head count and full-time equivalent enrollment is also shown on the following schedule.

| Academic Year | Lexington Campus | | Community College | |
|---|---|---|---|---|
| | Head Count | FTE | Head Count | FTE |
| 1984-85 | 20,786 | 17,357 | 23,742 | 13,550 |
| 1985-86 | 20,510 | 17,077 | 23,767 | 13,398 |
| 1986-87 | 20,788 | 17,248 | 25,569 | 14,292 |
| 1987-88 | 22,000 | 17,869 | 29,776 | 16,445 |
| 1988-89 | 22,334 | 18,405 | 33,063 | 18,517 |

Approximately 16% of students enrolled at the Lexington campus are nonresidents of Kentucky and in the judgment of the University, the percentage should remain constant. Using regional and national surveys of future college age population and historic enrollment data, and taking into consideration the policies of the Kentucky Council on Higher Education relating to enrollment requirements, the University has projected estimated Fall Semester full-time equivalent enrollment at its Lexington campus for the academic years 1989-90 through 1993-94 as follows:

| Academic Year | Estimated Fall Semester Full-Time Equivalent Enrollment |
|---|---|
| 1989-90 | 18,590 |
| 1990-91 | 18,775 |
| 1991-92 | 18,960 |
| 1992-93 | 19,150 |
| 1993-94 | 19,340 |

The Lexington campus head count enrollment consists of students in undergraduate, graduate and professional programs. A breakdown of the head count enrollment for the five academic years 1984-85 to 1988-89 is as follows:

**Head Count Enrollment — Fall Semester — Main Campus**

| Academic Year | Undergraduate | Graduate | Professional | Total |
|---|---|---|---|---|
| 1984-85 | 16,298 | 3,468 | 1,020 | 20,786 |
| 1985-86 | 16,002 | 3,512 | 996 | 20,510 |
| 1986-87 | 16,245 | 3,544 | 999 | 20,788 |
| 1987-88 | 17,078 | 3,899 | 1,023 | 22,000 |
| 1988-89 | 17,260 | 4,036 | 1,038 | 22,334 |

**Admissions Information — Fall Semester — Main Campus**
**Undergraduate Admissions**

| | 1984 | 1985 | 1986 | 1987 | 1988 |
|---|---|---|---|---|---|
| Number of Applications | 7,156 | 7,753 | 8,734 | 9,395 | 10,563 |
| Number Approved for Enrollment | 5,935 | 5,733 | 6,039 | 8,159 | 8,240 |
| Number Enrolled | 2,337 | 2,408 | 2,442 | 2,739 | 2,932 |
| Average ACT Scores | 21.7 | 21.7 | 22.2 | 22.4 | 22.5 |

**Student Registration Fees**

The Board of Trustees with approval of the Kentucky Council for Higher Education has established a schedule of student registration fees (which include extended program fees) to be imposed, charged and collected for the services of the Project from all students attending the University. The present schedule of fees, effective September 1, 1988, and September 1, 1989, and excluding Student Center, Activity Fees and Health Fees, are as follows:

| | Registration Fee Full-Time Students | | | |
|---|---|---|---|---|
| | 1988 | | 1989 | |
| | Resident | Non-Resident | Resident | Non-Resident |
| All Colleges of the University Except Dentistry, Medicine, Pharmacy and Law | | | | |
| Semester Registration Fee | $ 680 | $2,040 | $ 690 | $2,070 |
| Summer School Registration Fee (Per Credit Hour) | 57 | 170 | 58 | 173 |
| Graduate School | | | | |
| Semester Registration Fee | 750 | 2,250 | 760 | 2,280 |
| Summer School Registration Fee (Per Credit Hour) | 84 | 250 | 85 | 254 |
| College of Law | | | | |
| Semester Registration Fee | 1,000 | 3,360 | 1,050 | 3,430 |
| Summer School Registration Fee (Per Credit Hour) | 100 | 336 | 105 | 343 |
| College of Pharmacy | | | | |
| Semester Registration Fee | 680 | 2,040 | 690 | 2,070 |
| Summer School Registration Fee (Per Credit Hour) | 57 | 170 | 58 | 173 |
| College of Dentistry and College of Medicine | | | | |
| Annual Registration Fee for Regular Academic Year of Two Semesters | | | | |
| Dentistry | 3,680 | 14,660 | 3,810 | 15,690 |
| Medicine | 4,380 | 15,640 | 4,470 | 16,840 |
| Extended Program Fee | | | | |
| Part-time Students, Evening and Extension Courses— All Colleges except Law, Pharmacy and Graduate School | | | | |
| Regular Semester Credit Hour Fee | 57 | 170 | 58 | 173 |
| Summer School Credit Hour Fee | 57 | 170 | 58 | 173 |
| College of Law | | | | |
| Regular Semester Credit Hour Fee | 100 | 336 | 105 | 343 |
| Summer School Credit Hour Fee | 100 | 336 | 105 | 343 |
| College of Pharmacy | | | | |
| Regular Semester Credit Hour Fee | 57 | 170 | 58 | 173 |
| Summer School Credit Hour Fee | 57 | 170 | 58 | 173 |
| Graduate School | | | | |
| Regular Semester Credit Hour Fee | 84 | 250 | 85 | 254 |
| Summer School Credit Hour Fee | 84 | 250 | 85 | 254 |

**Summary of Income From Student Registration Fees**

The proceeds received by the University from the imposition and collection of the student registration fees constitute the Revenues of the Project. The above fees do not include a variety of incidental and miscellaneous fees charged and collected from the students, no part of which are pledged as Revenues of the Project or to the security of the Bonds.

| Academic Year | Total Fees Collected |
|---|---|
| 1979-80 | $16,406,366 |
| 1980-81 | 19,004,082 |
| 1981-82 | 21,854,314 |
| 1982-83 | 23,563,301 |
| 1983-84 | 25,716,251 |
| 1984-85 | 28,523,183 |
| 1985-86 | 31,399,872 |
| 1986-87 | 34,155,651 |
| 1987-88 | 39,197,277 |
| 1988-89 | 42,234,645 |

**Estimated Income from Student Registration Fees**

On the basis of the Student Registration Fees which became effective September 1, 1988, it is estimated that the proceeds to be derived from these fees (which will be the Revenues of the Project) for each of the academic years 1989-90 through 1992-93 will be set forth in the following tabulation:

| Academic Year | Estimated Total Fees Collected |
|---|---|
| 1989-90 | $45,878,950 |
| 1990-91 | 46,337,740 |
| 1991-92 | 46,801,117 |
| 1992-93 | 47,269,128 |

**State Appropriations**

The Commonwealth of Kentucky Legislature, based on an initial request from the Governor, approves a biennial budget for the Kentucky Council on Higher Education which is for all the Commonwealth's public universities. The current biennium is for years 1988-90. The Council on Higher Education then distributes this budget to the universities based on a formula plus any special program appropriations approved by the Legislature.

| | | | |
|---|---|---|---|
| 1984-85 | $177,649,000 | 1987-88 | $223,970,000 |
| 1985-86 | 187,330,000 | 1988-89 | 238,103,000 |
| 1986-87 | 199,348,000 | | |

## UNIVERSITY OF KENTUCKY
### Comparative Report of Student Financial Aid

| | 1986-1987 | | | 1987-88 | | |
|---|---|---|---|---|---|---|
| | Community Colleges | Main Campus | Total | Community Colleges | Main Campus | Total |
| SCHOLARSHIPS & GRANTS | $ 443,511 | 8,159,363 | 8,602,874 | 508,683 | 9,517,109 | 10,025,792 |
| FEDERAL GRANTS: | | | | | | |
| Pell | 5,030,860 | 4,660,257 | 9,691,117 | 5,929,350 | 4,926,122 | 10,855,472 |
| Supplemental Educational Opportunty Grant (SEOG) | 120,538 | 567,486 | 688,024 | 75,038 | 641,201 | 716,239 |
| Other | 0 | 34,330 | 34,330 | 0 | 62,505 | 62,505 |
| College Work Study | 280,422 | 800,310 | 1,080,732 | 336,801 | 717,167 | 1,053,968 |
| FINANCIAL AID FROM OUTSIDE AGENCIES | | | | | | |
| State Grants | 606,209 | 595,791 | 1,202,000 | 682,476 | 723,056 | 1,405,532 |
| Agency Scholarships | 150,063 | 187,654 | 337,717 | 143,734 | 252,260 | 395,994 |
| LOANS | | | | | | |
| National Direct Student Loans (Perkins) | 279,202 | 1,306,562 | 1,585,764 | 342,842 | 1,353,922 | 1,696,764 |
| Health Professions | 28,800 | 597,100 | 625,900 | 0 | 426,673 | 426,673 |
| Guaranteed Student Loans Outside Agencies | 2,174,315 | 9,151,685 | 11,326,000 | 2,237,667 | 9,905,637 | 12,143,304 |
| Other | 4,399 | 245,354 | 249,753 | 3,860 | 181,736 | 185,596 |
| TOTAL | $9,118,319 | 26,305,892 | 35,424,211 | 10,260,451 | 28,707,388 | 38,967,839 |

Note — Community Colleges does not include Lexington Community Colleges Financial Aid, which is included in Main Campus

### TOTAL FINANCIAL AID

| | |
|---|---|
| 1983-84 | $31,909,575 |
| 1984-85 | 32,795,725 |
| 1985-86 | 36,133,390 |
| 1986-87 | 35,424,211 |
| 1987-88 | 38,967,839 |

### GRANTS AND CONTRACTS

| | Community Colleges | Main Campus | Total |
|---|---|---|---|
| 1983-84 | $2,969,256 | $30,619,368 | $33,588,624 |
| 1984-85 | 2,925,343 | 31,291,765 | 34,217,108 |
| 1985-86 | 2,987,339 | 34,239,834 | 37,227,173 |
| 1986-87 | 3,146,086 | 36,081,927 | 39,228,013 |
| 1987-88 | 3,511,137 | 45,318,445 | 48,829,582 |

## COVERAGE OF DEBT SERVICE REQUIREMENTS

This calculation of coverage of debt service requirements as set forth below is based on the schedule of annual debt service requirements for the Consolidated Educational Buildings Revenue Bonds as shown herein.

| | |
|---|---|
| Calculation for Parity Bonds* | |
| (Minimum Allowable Coverage — 1.25x) | |
| Average of Adjusted Revenues, 1987-88/1988-89 | $42,480,474 |
| Estimated Maximum Annual Debt Service Requirement | 12,494,853 |
| Times Estimated Maximum Debt Service Covered | 3.40x |
| | |
| 1989-90 Estimated Project Revenues | $45,878,950 |
| Estimated Maximum Annual Debt Service Requirement | 12,494,853 |
| Times Estimated Maximum Debt Service Covered | 3.67x |

*Certified by Treasurer of the University

## OUTSTANDING BONDS OF THE UNIVERSITY

*Educational Buildings*
Central Campus

| | Year of Issue | Amount of Issue | Amount Outstanding | Year of Final Maturity |
|---|---|---|---|---|
| Consolidated Educational Buildings Revenue Bonds* | | | | |
| Series C | 1970 | $ 4,290,000 | $ 1,450,000 | 1996 |
| Series D (Refunding) | 1973 | 31,000,000 | 23,645,000 | 1999 |
| Series E | 1973 | 4,750,000 | 3,990,000 | 2002 |
| Series F | 1976 | 7,500,000 | 6,615,000 | 2002 |
| Series G | 1983 | 17,100,000 | 2,530,000 | 2003 |
| Series H | 1983 | 8,500,000 | 1,305,000 | 2003 |
| Series I | 1985 | 16,100,000 | 3,755,000 | 2006 |
| Series J | 1987 | 29,350,000 | 28,210,000 | 2007 |
| Series G(2), Series H(2), Series I(2) | 1987 | 34,715,000 | 34,030,000 | 2006 |
| | | | 105,530,000 | |
| Series K** | 1989 | 9,200,000 | 9,200,000 | 2010 |
| Total | | | $114,730,000 | |

* Annual debt service payable from student registration fees received from students on the main campus.
** To be sold September 19, 1989

*Community Colleges*

| | Year of Issue | Amount of Issue | Amount Outstanding | Year of Final Maturity |
|---|---|---|---|---|
| Educational Buildings Revenue Bonds* | | | | |
| Series A | 1969 | $12,125,000 | $ 9,555,000 | 2009 |
| Series B | 1969 | 4,480,000 | 2,925,000 | 2009 |
| Series C | 1974 | 5,500,000 | 3,830,000 | 2004 |
| Series D (Second Series) | 1986 | 9,010,000 | 8,465,000 | 2008 |
| Series E | 1986 | 2,890,000 | 2,655,000 | 2006 |
| Series F | 1987 | 26,100,000 | 25,225,000 | 2007 |
| Series G | 1989 | 24,530,000 | 24,530,000 | 2010 |
| Total | | | $ 77,185,000 | |

* Annual debt service payable from student registration fees received from students enrolled in the Community Colleges.

*Housing and Dining*

| | Year of Issue | Amount of Issue | Amount Outstanding | Year of Final Maturity |
|---|---|---|---|---|
| Housing and Dining System Revenue Bonds | | | | |
| Series A | 1965 | $ 1,000,000 | $ 30,000 | 1990 |
| Series B | 1965 | 275,000 | 150,000 | 1994 |
| Series C | 1965 | 955,000 | 255,000 | 1995 |
| Series D | 1965 | 1,835,000 | 510,000 | 1996 |
| Series E | 1965 | 1,580,000 | 530,000 | 1997 |
| Series F | 1965 | 1,155,000 | 585,000 | 2001 |
| Series G | 1965 | 1,375,000 | 1,000,000 | 2002 |
| Series H | 1965 | 6,900,000 | 270,000 | 1990 |
| Series I | 1965 | 20,000,000 | 16,530,000 | 2005 |
| Series J | 1978 | 1,900,000 | 1,600,000 | 2008 |
| Series K | 1978 | 4,584,000 | 3,860,000 | 2018 |
| Series L | 1986 | 3,790,000 | 3,435,000 | 2006 |
| Total | | | $28,755,000 | |

*Fraternity and Sorority Dormitory*

| | Year of Issue | Amount of Issue | Amount Outstanding | Year of Final Maturity |
|---|---|---|---|---|
| Revenue Bonds | 1956 | $900,000 | $273,000 | 1996 |
| Revenue Bonds | 1956 | 150,000 | 45,000 | 1996 |
| Revenue Bonds | 1958 | 150,000 | 52,000 | 1998 |
| Revenue Bonds (Rose St.) | 1968 | 130,000 | 30,000 | 1994 |
| Total | | | $400,000 | |

NOTE: The above Fraternity and Sorority Dormitory Revenue Bonds are not secured by the pledge of the revenues of the Housing and Dining System nor do the facilities constitute a part of said System.

*Hospital Revenue*

| | Year of Issue | Amount of Issue | Amount Outstanding | Year of Final Maturity |
|---|---|---|---|---|
| University of Kentucky Hospital Revenue, Series A | 1986 | $21,000,000 | $21,000,000 | 2006 |
| Total | | | $21,000,000 | |

## TAX EXEMPTION

Based upon existing law, including existing statutes, court decisions, regulations, and published rulings, it is the opinion of Bond Counsel that interest on the Bonds is excludable from the gross income of the recipients for federal income tax purposes. It is Bond Counsel's further opinion that interest on the Series K Bonds is exempt from Commonwealth of Kentucky income taxes, and the Series K Bonds are exempt from all ad valorem taxes in the Commonwealth of Kentucky. See Special Tax Exemption Considerations.

## SPECIAL TAX EXEMPTION CONSIDERATIONS

In order to assure purchasers of the Series K Bonds that interest thereon will continue to be exempt from all Federal and Kentucky income taxation (subject to certain exceptions set out below), the Board covenants to and with the owners of such Bonds that (1) the Board will take all actions necessary to comply with the provisions of the Internal Revenue Code of 1986, as amended (the "Code"), (2) the Board will take no actions which will violate any of the provisions of such Code, or would cause the Bonds to become "private activity bonds" within the meaning of the Code, (3) none of the proceeds of the Bonds will be used for any purpose which would cause the interest on the Bonds to become subject to Federal income taxation, and the Board will comply with any and all requirements as to rebate (and reports with reference thereto) to the United States of certain investment earnings on the proceeds of the Series K Bonds.

The Board certifies that these Bonds are not "private activity bonds" within the meaning of the Code, and the Board has been advised by Bond Counsel and therefore believes that interest on the Bonds is not included as an item of tax preference in calculating the alternative minimum tax for individuals. However, the Board has been advised that these Bonds are not "qualified tax-exempt obligations" for bank investments and that banks are not permitted to deduct the interest cost attributable to the purchase of these Bonds.

The exemption from income taxation by the United States of America of interest on the Bonds is subject to the following exceptions:

1. For purposes of the alternative minimum tax imposed on corporations (as defined for federal income tax purposes), interest on the Series K Bonds is taken into account in determining adjusted net book income (adjusted current earnings for taxable years beginning after December 31, 1989).

2. Section 265 of the Code denies a deduction for interest on indebtedness incurred or continued to purchase or carry the Series K Bonds, or, in the case of a financial institution, that portion of a holder's interest expense allocated to interest on the Series K Bonds.

3. With respect to insurance companies subject to the tax imposed by Section 831 of the Code, Section 832(b)(5)(B)(i) reduces the deduction for loss reserves by 15% of the sum of certain items, including interest on the Series K Bonds.

4. For taxable years beginning before January 1, 1992, interest on the Series K Bonds earned by some corporations could be subject to the environmental tax imposed by Section 59A of the Code.

5. Interest on the Series K Bonds earned by certain foreign corporations doing business in the United States of America could be subject to a branch profits tax imposed by Section 884 of the Code.

6. Passive investment income, including interest on the Series K Bonds, may be subject to federal income taxation under Section 1375 of the Code for Subchapter S corporations that have Subchapter C earnings and profits at the close of the taxable year if greater than 25% of the gross receipts of such Subchapter S corporation is passive investment income.

7. Section 86 of the Code requires recipients of certain Social Security and certain Railroad Retirement benefits to take into account, in determining the taxability of such benefits, receipts or accruals of interest on the Series K Bonds.

The Board reserves the right to amend the Resolution authorizing these Series K Bonds without obtaining the consent of the owners of the Bonds (i) to whatever extent shall, in the opinion of Bond Counsel be deemed necessary to assure that interest on the Series K Bonds shall be exempt from Federal income taxation, and (ii) to whatever extent shall be permissible (without jeopardizing such tax exemption or the security of the owners of the Series K Bonds) to eliminate or reduce any restrictions concerning the Project, the investment of the proceeds of the Series K Bonds, or the application of such proceeds or of the revenues of the Project. The purchasers of the Series K Bonds are deemed to have relied fully upon these covenants and undertakings on the part of the Board as part of the consideration for the purchase of the Series K Bonds. To the extent that the Board obtains an opinion of nationally recognized bond counsel to the effect that non-compliance with any of the covenants contained in this Resolution or referred to in this Resolution would not subject interest on the Series K Bonds to Federal income taxes or Kentucky income taxes, the Board shall not be required to comply with such covenants or requirements.

Bond Counsel will render the customary opinion as to exemption of principal of the Bonds from Kentucky ad valorem taxation and as to exemption of interest on the Bonds from Federal and Kentucky income taxation, based on the assumption by Bond Counsel that the Board complies with covenants made by the Board with respect to compliance with the provisions of the Code, subject to the exceptions set out above, and based on the assumption of compliance by the Board with requirements as to any required rebate (and reports with reference thereto) to the United States of America of certain investment earnings on the proceeds of the Series K Bonds. Bond Counsel are of the opinion that, based on the foregoing assumption of compliance, the Bonds are not "arbitrage bonds" within the meaning of Section 148 of the Code.

## ABSENCE OF MATERIAL LITIGATION

There is no controversy or litigation of any nature now pending or threatened restraining or enjoining the issuance, sale, execution or delivery of the Series K Bonds, or in any way contesting or affecting the validity of the Series K Bonds or any proceedings of the University taken with respect to the issuance or sale thereof, or the pledge or application of any moneys or security provided for the payment of the Series K Bonds or the due existence or powers of the University.

## APPROVAL OF LEGALITY

Legal matters incident to the authorization, issuance, sale and delivery of the Series K Bonds are subject to the approval of Rubin & Hays, Louisville, Kentucky, Bond Counsel to the University. The approving legal opinion of Bond Counsel will be printed on the Series K Bonds and will contain a statement of tax exemption as represented herein. Bond Counsel has reviewed the information herein pertaining to the Series K Bonds under the headings "Description of the Series K Bonds", "Security for the Bonds", "Disposition of Series K Bond Proceeds", "Certain Provisions of the Basic Resolution", "Tax Exemption", and "Special Tax Exemption Considerations" and is of the opinion that such information is a fair summary of the principal provisions of the instruments and information therein described. Said firm has not otherwise participated in the preparation of the Official Statement or the Exhibits attached hereto and has not verified the accuracy or completeness of the information contained under any heading other than those stated above, nor of any financial information, enrollment numbers, projections, or computations relating thereto, and, therefore, can make no representation with respect to such information. The matters set forth under "Absence of Material Litigation" will be delivered by the University with the Series K Bonds.

## FINANCIAL ADVISOR

The Series K Bonds will be sold by the solicitation and receipt of sealed, competitive bids. Seasongood & Mayer, Cincinnati, Ohio, Financial Advisor to the University, has requested, and received, permission and approval of the Board of Trustees of the University to bid, either alone or in conjunction with others, on the Series K Bonds. The Financial Advisor has expressed its intent to so bid.

## APPROVAL OF ISSUANCE OF SERIES K BONDS

The issuance of the Series K Bonds by the University and the terms thereof are subject to the approval of the Kentucky State Property and Buildings Commission.

Pursuant to Chapter 42 of the Kentucky Revised Statutes, issuance of the Series K Bonds will also be approved by the Kentucky Finance and Administration Cabinet, Office for Investment and Debt Management.

## RATINGS

Moody's Investors Service and Standard & Poor's Corporation have given the Bonds the rating set forth on the cover page of this Official Statement. Such ratings reflect only the opinion of such organizations. There can be no assurance that such ratings will be maintained for any given period of time or that it will not be revised or withdrawn entirely. Any downward revision or withdrawal of such ratings may have a material adverse effect on the market price of the Bonds

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All quotations from, and summaries and explanations of, the Kentucky Revised Statutes, the Basic Resolution, and the Series K Resolution contained herein do not purport to be complete, and reference is made to such laws and documents for full and complete statements of their provisions. The Exhibits attached hereto are a part of this Official Statement. Copies, in reasonable quantity, of the Series K Resolution may be obtained from Seasongood & Mayer, 300 Mercantile Library Building, 414 Walnut Street, Cincinnati, OH 45202-3910.

Any statements in this Official Statement involving matters of opinion, whether or not expressly so stated, are intended as such and not as representations of fact. This Official Statement is not to be construed as a contract or agreement between the University and the purchasers or owners of any of the Series K Bonds.

UNIVERSITY OF KENTUCKY

/s/ _____
by: Foster Ockerman, Sr.
Chairman, Board of Trustees

Attest:

/s/ _____
Edythe Jones Hayes
Secretary

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EXHIBIT "A"

COMBINED ANNUAL DEBT SERVICE REQUIREMENTS

EXHIBIT "A"

UNIVERSITY OF KENTUCKY

CONSOLIDATED EDUCATIONAL BUILDINGS REVENUE BONDS
SERIES K

Combined Debt Service

| Fiscal Year Ending 6/30 | Principal Series K | Interest* | Total | Prior Debt Service | Combined Fiscal Total |
|---|---|---|---|---|---|
| 1990 | | 440,728.33 | 440,728.33 | 11,389,645.00 | 11,830,373.33 |
| 1991 | $ 225,000.00 | 661,092.50 | 886,092.50 | 11,408,345.00 | 12,294,437.50 |
| 1992 | 240,000.00 | 645,905.00 | 885,905.00 | 11,433,787.50 | 12,319,692.50 |
| 1993 | 255,000.00 | 629,585.00 | 884,585.00 | 11,458,310.00 | 12,342,895.00 |
| 1994 | 275,000.00 | 612,245.00 | 887,245.00 | 11,484,775.00 | 12,372,020.00 |
| 1995 | 290,000.00 | 593,407.50 | 883,407.50 | 11,512,755.00 | 12,396,162.50 |
| 1996 | 310,000.00 | 573,397.50 | 883,397.50 | 11,546,692.50 | 12,430,090.00 |
| 1997 | 335,000.00 | 551,852.50 | 886,852.50 | 11,580,900.00 | 12,467,752.50 |
| 1998 | 355,000.00 | 528,402.50 | 883,402.50 | 11,611,450.00 | 12,494,852.50 |
| 1999 | 380,000.00 | 503,375.00 | 883,375.00 | 11,124,455.00 | 12,007,830.00 |
| 2000 | 410,000.00 | 476,585.00 | 886,585.00 | 9,224,800.00 | 10,111,385.00 |
| 2001 | 440,000.00 | 447,475.00 | 887,475.00 | 9,261,605.00 | 10,149,080.00 |
| 2002 | 470,000.00 | 416,015.00 | 886,015.00 | 9,295,720.00 | 10,181,735.00 |
| 2003 | 505,000.00 | 382,410.00 | 887,410.00 | 7,319,480.00 | 8,206,890.00 |
| 2004 | 540,000.00 | 346,050.00 | 886,050.00 | 4,421,155.00 | 5,307,205.00 |
| 2005 | 580,000.00 | 307,170.00 | 887,170.00 | 4,446,635.00 | 5,333,805.00 |
| 2006 | 620,000.00 | 265,120.00 | 885,120.00 | 4,466,260.00 | 5,351,380.00 |
| 2007 | 665,000.00 | 219,860.00 | 884,860.00 | 2,816,955.00 | 3,701,815.00 |
| 2008 | 715,000.00 | 170,982.50 | 885,982.50 | | 885,982.50 |
| 2009 | 765,000.00 | 118,072.50 | 883,072.50 | | 883,072.50 |
| 2010 | 825,000.00 | 61,462.50 | 886,462.50 | | 886,462.50 |
| | $ 9,200,000.00 | 8,951,193.33 | 18,151,193.33 | 165,803,725.00 | 183,954,918.33 |
| Accrued | | 9,181.84 | 9,181.84 | | 9,181.84 |
| | $ 9,200,000.00 | 8,942,011.49 | 18,142,011.49 | 165,803,725.00 | 183,945,736.49 |

*Estimated, subject to change

EXHIBIT "B"

UNIVERSITY OF KENTUCKY

CONSOLIDATED FINANCIAL STATEMENTS

Coopers
&Lybrand

certified public accountants

# REPORT OF INDEPENDENT ACCOUNTANTS

To the Board of Trustees of the
University of Kentucky

and

the Secretary of Finance and
Administration Cabinet of the
Commonwealth of Kentucky

We have audited the accompanying consolidated balance sheet of the University of Kentucky (an agency of the Commonwealth of Kentucky) and affiliated corporations as of June 30, 1989, and the related consolidated statements of changes in fund balances and current funds revenues, expenditures, and other changes for the year then ended. We previously audited and reported on the consolidated financial statements of the University for the year ended June 30, 1988, for which condensed statements are presented for comparative purposes only. These financial statements are the responsibility of the University's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the consolidated financial position of the University of Kentucky and affiliated corporations as of June 30, 1989, and the consolidated changes in fund balances and current funds revenues, expenditures, and other changes for the year then ended in conformity with generally accepted accounting principles.

Coopers & Lybrand

Lexington, Kentucky
August 25, 1989

CONSOLIDATED BALANCE SHEET
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
JUNE 30, 1989
with comparative totals at June 30, 1988
(in thousands)

| | 1989 | | | | | 1988 |
|---|---|---|---|---|---|---|
| | Current Funds | Loan Funds | Endowment Funds | Plant Funds | Totals | Totals |
| ASSETS | | | | | | |
| Cash and cash equivalents | $ 67,999 | $ 2,706 | $ 185 | $ 86,336 | $ 157,226 | $ 185,214 |
| Notes, loans, and accounts receivable (less bad debt allowances of $5,585 in 1989 and $5,042 in 1988) | 53,107 | 14,237 | | 865 | 68,209 | 56,198 |
| Investments | 47,684 | | 66,468 | 64,502 | 178,654 | 160,530 |
| Property, plant, and equipment | | | | 789,347 | 789,347 | 706,542 |
| Inventories and other | 9,894 | | | | 9,894 | 8,750 |
| Total Assets | $ 178,684 | $ 16,943 | $ 66,653 | $ 941,050 | $ 1,203,330 | $ 1,117,234 |
| LIABILITIES AND FUND BALANCES | | | | | | |
| Liabilities | | | | | | |
| Accounts payable | $ 13,544 | $ 5 | | $ 4,714 | $ 18,263 | $ 16,188 |
| Accrued expense | 16,023 | | | 3,612 | 19,635 | 18,376 |
| Employee withholdings and deposits | 10,309 | | | | 10,309 | 9,532 |
| Other liabilities | 1,109 | | | | 1,109 | 980 |
| Liability for self insurance | 12,584 | | | | 12,584 | 9,096 |
| Deferred income | 8,140 | | | | 8,140 | 7,587 |
| Bonds payable | | | | 245,788 | 245,788 | 253,154 |
| Capitalized lease obligation | | | | 27,172 | 27,172 | 30,197 |
| Total Liabilities | 61,709 | 5 | | 281,286 | 343,000 | 345,110 |
| Interfund Balances | 8,655 | | | (8,655) | | |
| Fund Balances | | | | | | |
| Current–Unrestricted | | | | | | |
| Working capital | 50,453 | | | | 50,453 | 40,913 |
| Future operations | 24,073 | | | | 24,073 | 34,238 |
| Funded hospital depreciation | | | | | | 13,000 |
| Other | 1,475 | | | | 1,475 | 6,393 |
| Current–Restricted | 32,319 | | | | 32,319 | 29,476 |
| Loan | | | | | | |
| Unrestricted | | 94 | | | 94 | 95 |
| Restricted | | 3,492 | | | 3,492 | 3,490 |
| U.S. Government | | 13,352 | | | 13,352 | 12,743 |
| Endowment | | | | | | |
| True | | | $ 37,030 | | 37,030 | 28,864 |
| Term | | | 877 | | 877 | 710 |
| Quasi | | | 28,746 | | 28,746 | 24,424 |
| Plant | | | | | | |
| Unrestricted allocated for designated projects | | | | 77,655 | 77,655 | 44,002 |
| Restricted | | | | 35,462 | 35,462 | 35,574 |
| Net investment in plant | | | | 555,302 | 555,302 | 498,202 |
| Total Fund Balances | 108,320 | 16,938 | 66,653 | 668,419 | 860,330 | 772,124 |
| Total Liabilities and Fund Balances | $ 178,684 | $ 16,943 | $ 66,653 | $ 941,050 | $ 1,203,330 | $ 1,117,234 |

The accompanying summary of significant accounting policies and notes are an integral part of the consolidated financial statements.

CONSOLIDATED STATEMENT OF CHANGES IN FUND BALANCES
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE YEAR ENDED JUNE 30, 1989
(in thousands)

| | 1989 | | | | |
|---|---|---|---|---|---|
| | Current Funds | Loan Funds | Endowment Funds | Plant Funds | Totals |
| REVENUES AND OTHER ADDITIONS | | | | | |
| Unrestricted current fund revenues | $ 519,152 | | | | $ 519,152 |
| Gifts | 12,464 | $ 6 | $ 6,223 | $ 3,248 | 21,941 |
| Endowment and investment income | 5,367 | 689 | 1,040 | 10,161 | 17,257 |
| Endowment gains and losses | | | 339 | | 339 |
| Grants and contracts | 71,367 | 739 | | 1,275 | 73,381 |
| Plant facilities transferred to investment in plant (including $28,007 charged to current expenditures) | | | | 46,539 | 46,539 |
| Retirement of indebtedness | | | | 12,706 | 12,706 |
| Other sources | 234 | | | 89 | 323 |
| Total Revenues | 608,584 | 1,434 | 7,602 | 74,018 | 691,638 |
| EXPENDITURES AND OTHER DEDUCTIONS | | | | | |
| Unrestricted current fund expenditures | 463,363 | | | | 463,363 |
| Restricted current fund expenditures | 78,789 | | | | 78,789 |
| Plant facilities transfered to investment in plant | | | | 18,870 | 18,870 |
| Non capitalized expenditures | | | | 6,006 | 6,006 |
| Retirement of indebtedness | | | | 12,381 | 12,381 |
| Interest on indebtedness | | | | 17,409 | 17,409 |
| Disposal of plant facilities | | | | 5,639 | 5,639 |
| Other deductions | | 877 | | 98 | 975 |
| Total Expenditures | 542,152 | 877 | | 60,403 | 603,432 |
| TRANSFERS AMONG FUNDS – ADDITIONS/(DEDUCTIONS) | | | | | |
| Mandatory: | | | | | |
| Debt service | | | | | |
| Educational and general | (19,567) | | | 19,567 | |
| Hospital and clinics | (1,602) | | | 1,602 | |
| Auxiliary enterprises | (2,126) | | | 2,126 | |
| Matching grants | (53) | 53 | | | |
| Total Mandatory Transfers | (23,348) | 53 | | 23,295 | |
| Net Increase Before Nonmandatory Transfers | 43,084 | 610 | 7,602 | 36,910 | 88,206 |
| Nonmandatory: | | | | | |
| To plant | | | | | |
| Educational and general | (18,658) | | | 18,658 | |
| Hospital | (31,174) | | | 31,174 | |
| Auxiliary enterprises | (3,899) | | | 3,899 | |
| To endowment | (5,053) | | 5,053 | | |
| Total Nonmandatory Transfers | (58,784) | | 5,053 | 53,731 | |
| Net increase/(decrease) for the year | (15,700) | 610 | 12,655 | 90,641 | 88,206 |
| Fund Balances, June 30, 1988 | 124,020 | 16,328 | 53,998 | 577,778 | 772,124 |
| Fund Balances, June 30, 1989 | $ 108,320 | $ 16,938 | $ 66,653 | $ 668,419 | $ 860,330 |

The accompanying summary of significant accounting policies and notes are an integral part of the consolidated financial statements.

CONSOLIDATED STATEMENT OF CURRENT FUNDS
REVENUES, EXPENDITURES AND OTHER CHANGES
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS
FOR THE YEAR ENDED JUNE 30, 1989
with comparative totals for June 30, 1988
(in thousands)

| | 1989 | | | 1988 |
|---|---|---|---|---|
| | Unrestricted | Restricted | Total | Total |
| REVENUES | | | | |
| Educational and general | | | | |
| Student tuition and fees | $ 61,846 | | $ 61,846 | $ 54,970 |
| Government appropriations | | | | |
| Federal | 13,050 | | 13,050 | 13,362 |
| State | 238,096 | | 238,096 | 223,970 |
| County | 3,759 | | 3,759 | 3,493 |
| Government grants and contracts | | | | |
| Federal | 473 | $ 46,465 | 46,938 | 37,709 |
| State | 188 | 9,663 | 9,851 | 14,649 |
| Private gifts and grants | 1,043 | 20,417 | 21,460 | 13,756 |
| Indirect cost reimbursement | 7,989 | | 7,989 | 7,142 |
| Endowment income | 768 | 2,787 | 3,555 | 3,321 |
| Investment income | 11,849 | 461 | 12,310 | 9,806 |
| Sales and services | 16,226 | | 16,226 | 15,126 |
| Other sources | 153 | 121 | 274 | 155 |
| Total educational and general | 355,440 | 79,914 | 435,354 | 397,459 |
| Hospital and clinics | 121,701 | | 121,701 | 102,173 |
| Auxiliary enterprises | 42,011 | 103 | 42,114 | 39,150 |
| Total Revenues | 519,152 | 80,017 | 599,169 | 538,782 |
| EXPENDITURES | | | | |
| Educational and general | | | | |
| Instruction | 140,041 | 9,116 | 149,157 | 139,993 |
| Research | 35,142 | 35,324 | 70,466 | 61,953 |
| Public service | 39,872 | 10,942 | 50,814 | 45,929 |
| Libraries | 6,880 | 142 | 7,022 | 9,644 |
| Academic support | 27,369 | 1,861 | 29,230 | 24,693 |
| Student services | 14,808 | 178 | 14,986 | 13,985 |
| Institutional support | 21,411 | 499 | 21,910 | 21,214 |
| Operation and maintenance | 28,343 | 4 | 28,347 | 25,779 |
| Student financial aid | 7,156 | 19,496 | 26,652 | 21,348 |
| Other expenses | | 46 | 46 | 131 |
| Total educational and general | 321,022 | 77,608 | 398,630 | 364,669 |
| Hospital and clinics | 107,403 | | 107,403 | 88,577 |
| Auxiliary enterprises | 34,938 | 1,181 | 36,119 | 33,776 |
| Total Expenditures | 463,363 | 78,789 | 542,152 | 487,022 |
| Mandatory Transfers: | | | | |
| Debt service | | | | |
| Educational and general | 18,136 | 1,431 | 19,567 | 18,716 |
| Hospital and clinics | 1,602 | | 1,602 | 1,602 |
| Auxiliary enterprises | 2,126 | | 2,126 | 2,168 |
| Matching grants | 256 | (203) | 53 | (44) |
| Total Expenditures and Mandatory Transfers | 485,483 | 80,017 | 565,500 | 509,464 |
| OTHER TRANSFERS AND ADDITIONS/(DEDUCTIONS) | | | | |
| Nonmandatory Transfers: | | | | |
| To plant fund | | | | |
| Educational and general | (17,126) | (1,532) | (18,658) | (10,830) |
| Hospital and clinics | (31,174) | | (31,174) | (3,116) |
| Auxiliary enterprises | (3,899) | | (3,899) | (2,630) |
| To endowment fund | (12) | (5,041) | (5,053) | (289) |
| Excess restricted receipts over transfer to revenues | | 9,415 | 9,415 | 8,449 |
| Total Other Transfers and Additions/(Deductions) | (52,211) | 2,842 | (49,369) | (8,416) |
| Net Increase/(Decrease) in Fund Balances | $ (18,542) | $ 2,842 | $ (15,700) | $ 20,902 |

The accompanying summary of significant accounting policies and notes are an integral part of the consolidated financial statements.

UNIVERSITY OF KENTUCKY

SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Scope of Statements

The consolidated financial statements of the University of Kentucky include the operations of the University and its affiliated corporations as follows: The University of Kentucky Research Foundation; The Fund for Advancement of Education and Research in the University of Kentucky Medical Center; University of Kentucky Athletic Association; Health Care Collection Service, Inc.; University of Kentucky Mining Engineering Foundation, Inc.; University of Kentucky Business Partnership Foundation, Inc.; University of Kentucky Equine Research Foundation, Inc.; University of Kentucky Humanities Foundation, Inc.; and Center on Aging Foundation, Inc.

Accrual Basis

The financial statements of the University have been prepared on the accrual basis of accounting, except that costs of an unfunded pension plan liability are expensed when paid to retirees (see Note 7).

Fund Accounting

The University maintains its accounts and reports its financial transactions in accordance with the principles of fund accounting. This is the procedure by which resources for various purposes are classified for accounting and reporting purposes into funds that are in accordance with activities or objectives specified and funds that have similar characteristics are combined for reporting purposes into fund groups.

Within each fund group, fund balances restricted by outside sources are so indicated and are distinguished from unrestricted funds allocated to specific purposes by action of the Board of Trustees. The Board retains full control over allocated fund balances to use in achieving its institutional purposes.

Restricted gifts, grants, appropriations, endowment income, and other restricted resources are accounted for in the appropriate restricted funds. Restricted current funds are reported as revenues and expenditures when expended for current operating purposes.

Endowment funds are subject to the restrictions of gift instruments requiring in perpetuity that the principal be invested permanently and only the income be utilized by the donee. Term endowment funds are similar to endowment funds except that upon the passage of a stated period of time or the occurrence of a particular event, all or part of the principal may be expended as well. Quasi-endowment funds are established by the governing board for the same general purposes as endowment funds, and any portion may be expended.

Ordinary income derived from investments, notes receivable, and the like, is accounted for in the fund owning the assets, except that income derived from investments of endowments and similar funds and the majority of current restricted funds is accounted for in the fund to which the income is designated.

All unrestricted revenue is accounted for in the unrestricted fund.

Current Funds

The statement of current funds revenues, expenditures, and other changes is a summary of financial activities of current funds related to the current reporting period.

To the extent that current funds are used to finance plant asset acquisitions, the amounts are accounted for as (1) expenditures, in the case of normal replacement of movable equipment and library books; (2) mandatory transfers, in the case of required provisions for debt amortization and interest; and (3) transfers of a nonmandatory nature for all other cases.

The Board allocates unrestricted current fund balances for specific purposes. These purposes include (a) the working capital needs of the University (including the hospital, the housing and dining system, and other auxiliary enterprises); (b) certain unrestricted income from private sources and (c) budget appropriations for future operating purposes.

Investments

Investments are stated at cost or, in the case of gifts, at market value at the date of donation.

Inventories

Inventories are stated principally at the lower of average cost or market.

Liability for Self-Insurance

The University self-insures certain employee benefits to the extent not covered by insurance carriers. Current fund expenditures include claims paid by the University and an estimated liability for asserted claims at the end of the year.

The University and its agents are insured against medical malpractice by a combination of self-insurance, and an excess liability fund established by the Commonwealth of Kentucky. As of June 30, 1989, the University has a malpractice liability reserve of $10,286,261. To the extent judgements might exceed the reserve and excess liability insurance coverages, the Commonwealth of Kentucky has made provision for such excesses.

The University has established a 501(c)(9) trust with the Commerce National Bank, Lexington, as trustee, to administer a self-funded long-term disability income program. The University remits premiums to the Trustee for purposes of paying claims and establishing necessary reserves.

Land, Buildings, and Equipment-Depreciation

Land, land improvements, buildings and equipment are stated at cost at date of acquisition or, in the case of gifts, at fair market value at date of gift except for the following: (1) The University has title to certain tracts of land which were either donated or purchased at a nominal price with no book value assigned to these properties; and (2) buildings acquired prior to June 30, 1958, were recorded at appraised value of $33,000,000 at that date. In conformity with college and university accounting practices, no provision is made for depreciation of buildings and equipment.

Other

Other significant accounting policies are set forth in the financial statements and notes thereto.

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS

1. Investments

A comparison of the carrying value and approximate market value of the University's investments is shown below:

| | Carrying Value | Approximate Market Value |
|---|---|---|
| June 30, 1989 | | |
| Type of investment | | |
| United States Government | $137,114,342 | $139,268,457 |
| State and municipal bonds | 174,001 | 174,001 |
| Corporate bonds | 15,900,706 | 16,327,791 |
| Certificates of deposit | 6,762,130 | 6,762,130 |
| Common stocks | 6,676,385 | 8,982,819 |
| Real property and mineral rights | 507 | 507 |
| Money market | 12,019,959 | 12,019,959 |
| Other | 5,578 | 5,578 |
| | $178,653,608 | $183,541,242 |
| Fund Group- | | |
| Current unrestricted | $ 9,114,957 | $ 9,133,344 |
| Current restricted | 38,569,090 | 38,578,497 |
| Endowment | 66,467,836 | 70,631,849 |
| Plant | 64,501,725 | 65,197,552 |
| | $178,653,608 | $183,541,242 |

Investments of $46,594,271 are held by the University or its agents in the University's name and $132,059,337 of investments are held by the University trustees.

The University has cash or cash equivalents deposited in local bank accounts of which $505,767 are insured by FDIC and $55,332,401 are in U.S. Government/Agency repurchase agreements.

2. Investment in Plant

The major components of investment in plant as of June 30, 1989 are as follows:

| | (In Thousands) |
|---|---|
| Land and improvements | $ 38,225 |
| Buildings and structures | 441,602 |
| Equipment and library books | 259,975 |
| Construction in progress | 49,545 |
| | $789,347 |

3. Bonds Payable

Bonds payable at June 30, 1989, consisted of the following:

| | Outstanding | Current Maturities 1989-90 |
|---|---|---|
| Lexington Campus: | | |
| Consolidated Educational Buildings Revenue Bonds, Series C-J, and refunding issues G, H, I, issued 1970 to 1987, maturities to 2007, interest rates 3.0% to 8.45% (including fully funded issues outstanding of $29,510,000 at interest rates 6.75% to 9.3%, maturities to 2006). | $135,040,000 | $ 4,780,000 |
| Consolidated Housing and Dining System Revenue Bonds, Series A-L, issued 1965 to 1986, maturities to 2018, interest rates 2.75% to 7.0% (including fully funded issue outstanding of $688,000 at interest rates 3.0% to 3.25%, maturities to 1995). | 29,443,000 | 1,316,000 |
| Other, issued 1956 to 1968, maturities to 1994, interest rates 4.0% to 5.4%. | 400,000 | 51,000 |
| Hospital Revenue Bonds, Series A, issued 1986, maturities to 2006, interest rates 6.2% to 8.0%. | 21,000,000 | -0- |
| Community Colleges: | | |
| Consolidated Educational Buildings Revenue Bonds, Series A-F, and refunding issue D, issued 1969 to 1987, maturities to 2009, interest rates 3.0% to 7.2% (including fully funded issue outstanding of $7,250,000 at interest rates 8.0% to 10.2%, maturities to 2008). | 59,905,000 | 1,675,000 |
| Total | $245,788,000 | $ 7,822,000 |
| Interest | | |
| Fully Funded issues | | 3,378,806 |
| Other issues | | 12,484,823 |
| Total debt service for 1989-90 | | $23,685,629 |

The aggregate amount of maturities for the next five years is as follows:

(In thousands)

| | Fully Funded Issues | Other Issues | Total |
|---|---|---|---|
| 1990 | $231 | $ 7,591 | $ 7,822 |
| 1991 | 244 | 8,672 | 8,916 |
| 1992 | 263 | 9,208 | 9,471 |
| 1993 | 281 | 9,796 | 10,077 |
| 1994 | 305 | 10,418 | 10,723 |

The fully funded bond issues totaling $37,448,000 at June 30, 1989 are funded by investments which are on deposit with the bond trustees. Income on these investments will be allocated to pay current indebtedness. ness.

Revenues from student housing and dining facilities, certain other auxiliary enterprises, hospital and student fees are pledged for the retirement of the bonds.

4. Capital Lease Obligations

Plant assets acquired by capitalized leases include the football stadium ($10,992,000) and various items of equipment ($33,802,647) which are included in the plant funds.

The minimum future lease payments on the capital lease obligations, which are principally with the Commonwealth of Kentucky, are as follows:

| | (In Thousands) |
|---|---|
| 1990 | $ 6,060 |
| 1991 | 5,961 |
| 1992 | 5,952 |
| 1993 | 5,863 |
| 1994 | 4,249 |
| 1995-2009 | 3,988 |
| Total | 32,073 |
| Less: Amount representing interest | (4,901) |
| Present value of net minimum lease payment | $27,172 |

5. Funds Held in Trust by Others

The University is the income beneficiary of various trusts which are held and controlled by independent trustees. For the years ended June 30, 1989 and 1988, the University received from these trusts income amounting to $872,339 and $779,192, respectively. The University has no equity interest in the principal of the trusts which, accordingly, is recorded at a nominal value of $1 each. The 1989 income received from these funds is recorded in the current unrestricted fund for $340,819 and in the current restricted fund for $531,520.

6. Pension Plans

Regular full-time employees, including faculty, are participants in the University of Kentucky Retirement Plan. The University of Kentucky Retirement Plan consists of five groups as follows:

| | |
|---|---|
| Group I | Established July 1, 1964, for faculty and certain administrative officials. |
| Group II | Established July 1, 1971, for staff members in the clerical, technical and service categories. |
| Group III | Established July 1, 1972, for staff members in the managerial, professional and scientific categories. |
| Group IV | Established January 1, 1973, for staff members having U.S. Civil Service Retirement entitlement. |
| Group V | Established July 1, 1987, for staff members covered under the Federal Employees Retirement System that replaced Civil Service (those whose employment began during the period from January 1, 1984 to March 31, 1987). Staff members whose employment began after March 31, 1987 are under one of the above University of Kentucky Retirement Plans. |

Participation in the University of Kentucky Retirement Plan in groups I, II, and III is mandatory for all faculty and staff members age 30 and older who have completed one year of service. Participation is voluntary to age 30 (after completion of one year of service). Participation in groups IV and V is voluntary.

The University of Kentucky has authorized three retirement plan carriers, effective July 1, 1988, as follows:

Teachers Insurance and Annuity Association/College Retirement Equities Fund (TIAA/CREF)
Fidelity Institutional Services Company
Twentieth Century Investors, Inc.

Under these fully funded group retirement plans, the University and plan participants make annual contributions to provide fully vested retirement benefits to employees upon retirement. The University's share of costs for these plans was $17,981,917 and $17,074,224 for 1989 and 1988, respectively. The University makes retirement contributions to the U. S. Civil Service for certain Cooperative Extension Service Employees in the College of Agriculture. These contributions amounted to $1,144,219 and $1,245,401 for 1989 and 1988, respectively.

In addition to retirement benefits provided from the group retirement plans, the University provides supplemental retirement income benefits to certain eligible employees in each of the retirement groups (see Note 7).

7. Minimum Annual Retirement Benefits and Supplemental Retirement Income

Employees in retirement groups I, II and III who were age 40 or older prior to the date of establishment of each group plan, and who were employed by the University prior to that date, qualify for the minimum annual retirement benefit provisions of the retirement plan.

Benefits for these eligible employees are based upon a percentage, determined through years of service, of the participant's annual salary in the last year of employment prior to retirement. Retirement benefits as determined are funded by each individual retiree's accumulation in the group retirement plan, with the balance, if necessary, provided by the University as supplemental retirement income.

The costs of supplemental retirement income benefits are not accrued but are recognized when payments are made to retirees. Supplemental retirement benefit payments were approximately $3,960,000 for 1989 and $3,981,000 for 1988. The projected estimate of annual payments for supplemental retirement benefits for each of the next five fiscal years is as follows:

| | (In Thousands) |
|---|---|
| 1990 | $4,131 |
| 1991 | 4,127 |
| 1992 | 4,105 |
| 1993 | 4,079 |
| 1994 | 4,029 |

The Legislature of the Commonwealth of Kentucky has appropriated funds to the University for the payment of supplemental retirement income benefits since adoption of the group retirement plans, and is expected to continue this practice; however, the Constitution of the Commonwealth of Kentucky prohibits the commitment of future revenues beyond the end of the current biennium.

Accordingly, the University does not recognize the liability for supplemental retirement income benefits during the service life of covered employees, but recognizes its costs when funds are appropriated by the Legislature and payments are made.

The University intends to continue paying supplemental retirement income benefits contingent upon the Legislature continuing to appropriate funds required to make these payments.

The latest actuarial valuation was prepared as of June 30, 1988 by TIAA. The actuarial present value of vested and non-vested accumulated supplemental retirement income benefits as determined by this valuation, utilizing an assumed rate of return of 8%, was $37,068,000.

8. Health Insurance Benefits for Retirees

The University provides health care benefits to retirees who have minimum of fifteen years service. The University recognizes the cost of providing those benefits by expensing the insurance premiums in the year paid. These premiums were $757,831 and $574,973 for the years ended June 30, 1989 and 1988, respectively.

9. Construction Commitments

Estimated cost to complete construction under contract at June 30, 1989 is approximately $18,192,000. Such construction is principally financed by Commonwealth of Kentucky appropriations and long-term bonds payable.

10. Contingencies

The University is defendant in several lawsuits; however, University officials are of the opinion, based on advice of in-house legal counsel, that the ultimate outcome of all litigation will not have a material effect on the future operations or financial position of the University beyond the amounts already provided.

11. Pledges

Pledges from The University of Kentucky Fellows totaling approximately $6,100,000, primarily for various restricted uses, are expected to be collected over the next ten years. Pledges totaling $212,751 have been made for construction of the football sports complex and are payable over the next two years. Also, deferred gifts through insurance, known bequests and irrevocable trusts in which the University has a remainder interest are estimated to be at least $18,000,000.

Pledges to the affiliated corporations are as follows: University of Kentucky Business Partnership Foundation, Inc., $1,923,079 expected to be collected over the next three years; University of Kentucky Equine Research Foundation, Inc., $1,552,626 expected to be collected over the next six years.

It is not practical to estimate the net realizable value of such pledges and deferred gifts.

12. Grants and Contracts Awarded

At June 30, 1989, grants and contracts awarded to the University and the University of Kentucky Research Foundation, but not expended, amounted to $49,497,000, and are not shown in these financial statements.

13. Reclassifications

Certain account classifications for fiscal 1988 have been reclassified to reflect comparability with account classifications adopted for fiscal 1989 with no effect on previously reported fund balances.

EXHIBIT "C"

BOND COUNSEL OPINION

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WM. CARL FUST
CHARLES S. MUSSON
W. RANDALL JONES

JOSEPH R. RUBIN (RETIRED)
FRANKLIN P. HAYS (RETIRED)

Re: $9,200,000 University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series K, dated September 1, 1989

We have acted as bond counsel in connection with the issuance by the Board of Trustees of University of Kentucky, a public body corporate and educational institution and agency of the Commonwealth of Kentucky (the "Issuer") of $9,200,000 of University of Kentucky Consolidated Educational Buildings Revenue Bonds, Series K, dated September 1, 1989 (the "Bonds") pursuant to Sections 162.340 to 162.380 and 58.010 through 58.140, inclusive, of the Kentucky Revised Statutes, as amended (the "Act") and a resolution adopted by the Issuer on September 20, 1960 (the "Basic Resolution"), and a resolution adopted by the Issuer on June 20, 1989 (the "Series K Resolution"), for the purpose of financing the cost, not otherwise provided, of the Series K Project, as described in the Series K Resolution, as a part of the Consolidated Educational Buildings Project of the Issuer. We have examined the law and the transcript of proceedings pursuant to which the Bonds have been authorized and issued, and such other matters as we deem necessary to render this opinion.

As to questions of fact material to our opinion, we have relied upon representations of the Issuer contained in the Basic Resolution, the Series K Resolution, and in the transcript of proceedings and other certifications of public officials furnished to us, without undertaking to verify the same by independent investigation.

Based on our examination, we are of the opinion, as of the date hereof and under existing law, as follows:

1. The Issuer is a duly created and validly existing public body corporate and educational institution and agency of the Commonwealth of Kentucky, with the power to adopt the Basic Resolution and the Series K Resolution, perform the agreements on its part contained therein and issue the Bonds.

2. The Basic Resolution and the Series K Resolution have been duly adopted by the Issuer and constitute valid and binding obligations of the Issuer enforceable upon the Issuer.

3. The Bonds have been duly authorized, executed and delivered by the Issuer and are valid and binding special obligations of the Issuer payable solely from the sources provided therefor in the Basic Resolution and the Series K Resolution.

4. The Bonds, and any additional parity bonds heretofore and hereafter issued and outstanding under the terms of the

Basic Resolution are and will be payable from and constitute a first charge and lien upon the defined Revenues (student registration fees from all students attending the University of Kentucky at Lexington, Kentucky) derived by the Issuer from the operation of its Consolidated Educational Buildings Project, which consists of all of the educational buildings and appurtenant facilities of the University of Kentucky in Fayette County, Kentucky, now in existence and hereafter acquired, excluding housing facilities and facilities used exclusively for athletics and excluding educational buildings which are leased rather than owned by the Issuer. As further security for the Bonds and any additional parity bonds heretofore and hereafter issued pursuant to the Basic Resolution, there is created and granted by Sections 162.350 and 162.200 of the Kentucky Revised Statutes a statutory mortgage lien upon the Consolidated Educational Buildings Project of the Issuer.

5. The interest on the Bonds (a) is excluded from gross income for federal income tax purposes, and (b) is not an item of tax preference for purposes of the federal alternative minimum tax imposed on individuals and corporations; however, it should be noted that, for the purpose of computing the alternative minimum tax imposed on corporations (as defined for federal income tax purposes), such interest is taken into account in determining adjusted net book income (adjusted current earnings for taxable years beginning after December 31, 1989). The opinion set forth in clause (a) above is subject to the condition that the Issuer comply with all applicable requirements of the Internal Revenue Code of 1986, as amended (the "Code"), that must be satisfied subsequent to the issuance of the Bonds in order that interest thereon be (or continue to be) excluded from gross income for federal income tax purposes. Failure to comply with such requirements could cause the interest on the Bonds to be so included in gross income retroactive to the date of issuance of the Bonds. The Issuer has made a valid and binding covenant to comply with all such requirements. We express no opinion regarding other federal tax consequences arising with respect to the Bonds.

6. The interest on the Bonds is exempt from Kentucky income taxes and the Bonds are exempt from ad valorem taxation by the Commonwealth of Kentucky (except inheritance taxes) and all of its political subdivisions.

7. The Bonds are not "private activity bonds" within the meaning of Section 141 of the Code.

It is to be understood that the rights of the owners of the Bonds and the enforceability of the Bonds and the Basic Resolution and the Series K Resolution may be subject to bankruptcy, insolvency, reorganization, moratorium and other similar laws affecting creditors' rights heretofore or hereafter enacted to the extent constitutionally applicable, and that their enforcement may also be subject to the exercise of judicial discretion in appropriate cases.

Office of the President
September 19, 1989

ICR 1

Members, Board of Trustees:

MEMORANDUM OF AGREEMENT BETWEEN THE UNIVERSITY OF KENTUCKY AND THE OFFICE FOR INVESTMENT AND DEBT MANAGEMENT

Recommendation: that the Board of Trustees approve the attached Memorandum of Agreement between the University of Kentucky and the Commonwealth of Kentucky's Office for Investment and Debt Management (OIDM) appointing OIDM as an economic and investment advisor/manager for short-term investments.

Background: The Investment Committee has considered possible actions to increase earnings from the University's short-term investments. The Office for Investment and Debt Management has offered to assist the University by providing market information and assisting in the execution of investment transactions for a nominal fee. The Office for Investment and Debt Management recently expanded their professional staff and has the technical expertise to assist the University in short-term investments. Management of short-term investments will continue to be the full responsibility of the University.

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Action taken: Approved ✓ Disapproved _____ Other _____

Date: September 19, 1989

MEMORANDUM OF AGREEMENT

This AGREEMENT is entered into October 1, 1989, by and between the University of Kentucky (hereinafter called University) and The Office for Investment and Debt Management of the Finance and Administration Cabinet, Commonwealth of Kentucky (hereinafter called OIDM).

In consideration of the mutual covenants contained herein, the parties hereto agree as follows:

1. The University appoints OIDM as an economic and investment advisor/manager for short-term investments.

   a. OIDM will provide information, as requested by the University, relating to current market conditions and forecasts, available investment vehicles, and recommended asset allocations.

   b. OIDM will execute investment transactions for the University as requested by the Controller and Treasurer of the University or his designated representative.

   c. Securities purchased for the University by OIDM will be managed in efforts to take advantage of opportunities to add value to the University's portfolio.

   d. OIDM at its discretion will allow the University to participate in the Commonwealth's Securities Lending Program.

2. The University shall provide OIDM with a copy of the University's Policy Statement for Short-Term Investments prior to the execution of this Agreement.

3. OIDM will manage University Investment Assets subject to limitations and restrictions outlined in KRS 42.500, 200 KAR Chapter 14, and the University's Policy Statement for Short-Term Investments.

4. OIDM shall have authority and discretion to place brokerage orders on behalf of the University with such broker or brokers OIDM shall select at its discretion.

5. OIDM agrees to use a competitive bid process, when appropriate, to obtain best price and execution with respect to placement of short-term investments.

6. OIDM shall not be responsible for acts or omissions by any such broker or brokers, provided OIDM is not negligent in the selection of such broker or brokers.

7. OIDM shall not be liable for any actions taken or omitted by it in the management of the Investment Assets under this Agreement so long as OIDM has dealt with the University in good faith and within the guidelines of the University's Policy Statement for Short-Term Investments and is not guilty of negligence or malfeasance.

Nothing in this Agreement shall be interpreted as providing that the University waives compliance by OIDM with any other applicable laws or regulations.

8. OIDM will provide the University with the following reports:

   a. A verbal confirmation of each investment transaction will be given at the time of execution followed by a written confirmation and/or a facsimile transmission.

   b. A monthly summary of transactions.

   c. A monthly statement of account.

   d. A quarterly investment summary, including a performance review compared to an appropriate benchmark as mutually determined.

9. University will pay OIDM a fee of three-tenths of one percent (.3%) of investment income earned from securities purchased through OIDM. This fee will accrue monthly, payable quarterly.

10. The term of this Agreement shall be for two years, commencing October 1, 1989, and if mutually agreeable, be annually renewable.

11. This Agreement may be terminated by either party hereto upon thirty days written notice to the other party.

IN WITNESS WHEREOF, the parties hereto have executed this document in triplicate the date and year first written above.

FINANCE AND ADMINISTRATION CABINET

Recommended:

_____

James R. Ramsey
Executive Director
Office for Investment and
Debt Management

Approved as to Form/Legality:

_____

John C. Merchant
Legal Counsel
Finance and Administration Cabinet

Approved:

_____

L. Roger Wells, Jr.
Secretary
Finance and Administration Cabinet

THE UNIVERSITY OF KENTUCKY

_____

Henry Clay Owen
Controller and Treasurer

_____

John C. Darsie
Legal Counsel
University of Kentucky

_____

Edward A. Carter
Vice President for
Administration
University of Kentucky

UNIVERSITY OF KENTUCKY
POLICY STATEMENT FOR SHORT-TERM INVESTMENTS

I. Investment objective

With respect to short-term investment of available current funds, it is the objective of the University of Kentucky to maximize yield consistent with security, liquidity and the period of investment.

II. Investment guidelines

A. Such funds be invested in fixed income securities.

B. Investments be limited to:
   1. direct obligations of the U. S. Treasury
   2. other appropriate securities issued by federal agencies
   3. repurchase agreements of U. S. government obligations (described in (1) and (2) above)
   4. certificates of deposit collateralized by U. S. government obligations or general obligations of the University of Kentucky

C. Investments generally limited to periods up to 24 months.

D. The Investment Committee of the Board of Trustees be authorized to make investments under these policies. The Controller and Treasurer performs current funds investment activities under the supervision of the Investment Committee.