

## **AGENDA**

**Meeting of the Board of Trustees  
University of Kentucky  
10:00 A.M .  
December 11, 2007  
18 th Floor Patterson Office Tower**

### **Roll Call**

### **Approval of Minutes - (Consent)**

Minutes – October 16, 2007

### **President's Report and Action Items**

- PR 1      President's Report to the Trustees
- PR 2      Personnel Actions (Consent)
- PR 3      University Staff Emeritus Be Conferred upon Henry Clay Owen

### **Academic Affairs Committee Report**

- AACR 1    Candidates for Degrees
- AACR 2    Candidates for Degrees – Bluegrass Community and Technical College
- AACR 3    Proposed Revision to Administrative Regulation: Conflict of Interest/Financial Disclosure Policy - Research

### **Finance Committee Report**

- FCR 1      Resolution Establishing Authority for Banking and Investment Transactions
- FCR 2      Establishment of University of Kentucky Other Postemployment Benefits (OPEB) Trust Quasi Endowment Fund
- FCR 3      Authorization to Sell 1503 Cochran Road , Lexington , Kentucky
- FCR 4      Acceptance of Interim Financial Report for the University of Kentucky for the Three Months Ended September 30, 2007
- FCR 5      2007-08 Budget Revisions
- FCR 6      Approval of the 2006-07 Endowment Match Program Annual Report
- FCR 7      Patent Assignment Report
- FCR 8      Capital Construction Report

### **Human Resources Committee Report**

- HRCR 1    Proposed Revision to Administrative Regulation: University of Kentucky Retirement Plan

### **Investment Committee Report**

**Joint Student Affairs Committee and University Relations Committee Report**

**University Health Care Committee Report**

**Other Business**

**Adjourn**



Office of the President  
December 11, 2007

1. UK Hosts Conference on Strategies, Tactics to Engage Communities

The University of Kentucky brought leaders from several out-of-state universities and *The New York Times* to discuss strategies and tactics for deeper community involvement at the Kentucky Engagement Conference 2007 held November 28 at the Radisson Plaza Hotel. Organized by UK Associate Provost for University Engagement Phil Greasley, the conference featured speakers on topics including “Engaging Communities through the Arts,” “Engaging Minority and Underserved Communities,” “Building and Sustaining Campus-Community Partnerships,” and “Assessing the Impact of Engagement.” Speakers included Randy Jones, regional education manager for *The New York Times*; Samory T. Pruitt, vice president for community affairs at the University of Alabama; and Hiram Fitzgerald, associate provost for university outreach and engagement at Michigan State University. The event brought together administrators and faculty from UK, the University of Louisville, Northern Kentucky University, and several other Kentucky regional universities.

2. Engineering's Extended Campus Receives \$2.25 Million for Research Wing

The University of Kentucky College of Engineering Extended Campus Program has received final approval for a \$2.25 million research wing to be included with the \$16.5 million Emerging Technology Center on the West Kentucky Community and Technical College (WKCTC) campus in Paducah. The UK College of Engineering provided \$1 million. The remaining \$1.25 million was raised from private donations in the Purchase region. The research wing will be named after the late Fred Paxton, a longtime supporter of engineering initiatives in Paducah. UK's Paducah engineering program, in collaboration with Murray State University and WKCTC, offers studies leading to bachelor's degrees from UK in mechanical engineering and chemical engineering.

3. UK Researcher Wins Nearly \$4 Million to Develop “Dirty Bomb” Treatments

Michael Jay, a researcher in the UK College of Pharmacy Department of Pharmaceutical Sciences, has received \$3.96 million from the National Institutes of Health for further development of treatments to be used in radiation emergencies such as after exposure to dirty bombs. Jay received \$1.2 million in 2005 to begin the study and says after synthesizing a series of compounds, he and his colleagues quickly focused in on one that they will continue to study in the product development phase.

4. Terry B. Mobley Development Awards Announced

Four University of Kentucky employees have received the third annual Terry B. Mobley Development Awards for outstanding performance and professional achievement. The awards honor the career of Terry B. Mobley, longtime development officer who is currently UK vice president for institutional advancement. Winners of the Professional Achievement awards are Kathy Farah, administrative director for the UK Development Office and Betty Hickey, donor relations specialist in the College of Engineering. The winner of the Central Development Front Line Award is Nikki Russell, senior administrative services assistant in the UK Development Office. The Development Service Award, given to a UK employee who is not a professional fund raiser, but who has demonstrated tremendous support for fundraising efforts, went to Terry L. Birdwhistell, associate dean for special collections and digital programming in UK Libraries. In addition to earning a \$500 cash stipend, the award recipients' names were added to a permanent display in the lobby of the William B. Sturgill Development Building on Rose Street.

5. Lexington Fourth-grader Wins \$40,000 Scholarship to UK

A lucky fourth-grader has some extra motivation for earning good grades in elementary, middle, and high school after winning a grand-prize drawing for a scholarship to the University of Kentucky worth a total of \$40,000. Emily Rogers had the lucky ticket for the giveaway that took place at the finale of a celebration November 12 honoring Fayette County elementary students who earned “Distinguished” marks on all subjects of their Commonwealth Accountability Testing System (CATS) tests. The scholarship entitles 9-year-old Rogers, a fourth-grader at Julius Marks Elementary, to \$10,000 per year for four years at the University of Kentucky if she has continued to perform well academically in high school and meets UK's admission requirements at the time of enrollment.

6. Fox News Praises College of Medicine Student's Pathology Blog

UK College of Medicine student Trent McBride has a lot to blog about these days. McBride, a third-year pathology resident, along with fellow pathology residents Kenneth Youens, Diana Cardona, and Gretchen Galiano, founded a pathology blog called Pathtalk.org that was recently recognized on the Fox News Health home page as Best Health Blog. Pathtalk.org is an informal pathology blog that serves multiple purposes including education, entertainment, advice, discussion, and commentary. McBride found that many of the UK pathology residents were interested in the blog when he first began soliciting participation. However, it is his hope that down the road, the audience goes beyond resident participation and that more practicing pathologists join the conversation and add content.

7. UK Cosmetic Surgery Researchers Show Breastfeeding Does Not Cause Sagging

A new study shows that breastfeeding does not increase breast sagging. UK plastic surgeon Brian Rinker and his colleagues conducted the study with patients at UK HealthCare Cosmetic Surgery Associates. The study found that breastfeeding does not adversely affect breast shape. Rinker and his colleagues interviewed 132 women who had

come to UK for a breast lift or augmentation between 1998 and 2006. The women were, on average, 39 years old; 93 percent had had at least one pregnancy, and most of the mothers – 58 percent – had breastfed at least one child. Additionally, the research team evaluated the patients' medical history, body mass index, pre-pregnancy bra cup size, and smoking status. The results showed no difference in the degree of breast ptosis – the medical term for sagging of the breast – for those women who breastfed and those who didn't. However, researchers found that several other factors do affect breast sagging, including age, the number of pregnancies, and whether the patient smoked.

8. UK Law Grads Excel in Passing Kentucky Bar Exam

UK College of Law graduates had the highest bar-passage rate of all Kentucky law school graduates on the July 2007 bar exam, according to the Kentucky Board of Bar Examiners. Graduates of the UK College of Law achieved an overall passage rate of 89 percent compared to an 81 percent passage rate among all candidates who took the Kentucky Bar. Among those attempting to pass the bar for the first time, 91 percent of UK law graduates passed on their first attempt compared to 88 percent overall.

9. UK Libraries Dedicates Papers of Appalachian Author James Still

UK Libraries held a dedication ceremony in honor of the James Still Papers October 21, in the Great Hall of Special Collections and Digital Programs in the Margaret I. King Building. The papers of the esteemed Appalachian author contain nearly 50 cubic feet of material including literary manuscripts, notes, correspondence, memorabilia, newspaper clippings, photographs, and personal records. The program included a panel discussion on Still led by UK professor and author Gurney Norman and featured Still biographer Carol Boggess, former Berea College Appalachian Center director Loyal Jones, and Appalachian poet and essayist Anne Shelby. The program featured a talk by author Ted Olson, associate professor at East Tennessee State University and editor of *From the Mountain, From the Valley: New and Collected Poems* by James Still (published by the University Press of Kentucky), and a musical performance by noted Appalachian musician and storyteller Randy Wilson.

10. Kentucky Geological Survey Provides Maps to Science Teachers

The Kentucky Geological Survey set up a display at the annual fall conference of the Kentucky Science Teachers Association in Lexington held November 1 through 3. Hundreds of copies of maps, charts, posters, and other publications were given to science teachers for classroom use. The free publications ranged from large-scale geologic maps of Kentucky to posters on karst and carbon sequestration, to page-size geologic, physiographic, and county maps of the state.

11. Kentucky Women Writers Conference Brings Novelists, Poets, Filmmakers

The 28th annual Kentucky Women Writers Conference was presented September 27 through 29 in downtown Lexington under the leadership of Julie Wrinn, new director for the conference. Featured presenters included: Nickole Brown, poet and marketing director at Louisville's Sarabande Books; Lee Byrd, novelist, children's author, and founder of Cinco Puntos Press; Nathalie Handal, poet and playwright; Sally Jenkins,

Washington Post sportswriter and author of eight books; Sedika Mojadidi, documentary filmmaker; Jessica Care Moore, poet, publisher, and creator of the Black Family Channel's SPOKEN!; Naomi Shihab Nye, poet and author of more than 20 books; Helen Oyeyemi, a popular young British-Nigerian novelist; Ann Pancake, a fiction writer whose first novel concerns mountaintop removal; and Michelle Slatalla, *New York Times* columnist and author of the Eastern Kentucky memoir *The Town on Beaver Creek*.

12. UK Symphony Orchestra Performs Again with Arlo Guthrie at UK, Carnegie Hall

UK Symphony Orchestra (UKSO), under the direction of John Nardolillo, presented a second concert with folk icon Arlo Guthrie November 2 at the Singletary Center for the Arts. The concert celebrated UKSO's successful collaboration with the artist on the CD *In Times Like These*, recorded in March 2006 at the Singletary Center and released in July, and served as a preview to a Thanksgiving weekend concert with Guthrie at New York City's famed Carnegie Hall. The CD continues to garner recognition for the orchestra across the nation. Since July, the CD and project have been mentioned in numerous publications read by audiences of every walk of life. Recent mentions included articles and reviews by *The Washington Post*, *Vanity Fair* magazine, the *Lexington Herald-Leader*, and publications in Illinois, Massachusetts, Michigan, and Virginia.

13. College of Agriculture Group Wins USDA Partnership Award

The UK College of Agriculture's Wheat Science Group has been selected to receive the first ever U.S. Department of Agriculture Cooperative State Research, Education, and Extension Service (CSREES) Partnership Award for Mission Integration. This national award recognizes the UK wheat group's implementation of a program which incorporates integration of research, education, and extension and exhibits an understanding of the complementary nature of these three functions. In establishing this new award program, the CSREES recognizes the outstanding contributions made by its partners in the land-grant universities and other cooperating institutions.

14. College of Design, Manufacturing Center Exhibit Is Displayed in Europe

The UK College of Design and the UK Center for Manufacturing opened a new architecture installation, "Pitch-Black," in partnership with architect Hernán Díaz Alonso and MP Foundry in October. The installation is currently on exhibit at the prestigious MAK Center in Vienna, Austria. The installation's design was the subject of an independent fabrication seminar led by Drura Parrish, an instructor at the UK School of Architecture, which included students Nick Kinney, Louis Koehl, and James Rich. The College of Design and UK Center for Manufacturing completed the project and cut costs on the installation. The fabrication of the components for "Pitch-Black" took approximately two months at the center under the direction of engineering faculty members Charles Arvin and R. J. Robinson. The opening reception for "Pitch-Black" drew more than 300 people to a private showing at the MAK Center. "Pitch-Black" will be on display in Vienna through February 2, 2008. The work will travel to multiple other locations for exhibition in 2008.

15. UK Hosts Schmidt Youth Vocal Competition for High School Singers

Thirteen young vocalists took honors at the 2007-08 William E. Schmidt Youth Vocal Competition in Kentucky held October 20 at UK. The high school vocal competition saw 29 talented 10th, 11th, and 12th graders compete against peers from Kentucky and surrounding states for nearly \$6,000 in cash awards. The 13 honored vocalists received cash prizes at the inaugural competition and included these top three finalists: first-place winner Alyssa Scott, a West High School senior from Knoxville, Tennessee; second-place winner Alexandra Foote, a South Oldham High School senior from Crestwood, Kentucky; and third-place winner Sarah Tubbesing, a Lafayette High School senior from Lexington. This is the first year the vocal competition has been presented in Kentucky. The contest was made possible as part of a gift presented by the William E. Schmidt Foundation, on behalf of William E. Schmidt and his wife Casiana Schmidt, to UK Opera Theatre (UKOT). Lexington and UK became the third site to host the competition. UKOT is now home to all three William E. Schmidt Youth Vocal Competitions and will coordinate the three states' future competitions.

16. Iron Pour Gives Attention to UK Student Sculptors

The College of Fine Arts Sculpture Program and the SCRAP Student Sculpture Club presented the 15th annual Iron Pour and a week of festivities celebrating the metal arts programs October 29 through November 3. Programming included mold workshops, iron casting lectures, sculpture presentations and exhibits, as well as events scheduled with visiting artist George Beasley, known internationally for site-specific sculpture installations and visual performances that enable viewers to briefly experience the “dance” of iron making. The iron pour, which demonstrates the most dramatic part of the metal-casting process and attracts a national audience of artists, students, and art enthusiasts alike, capped off the week at the metal arts studio at Reynolds Building Number 2.

17. High Court Streamed Live on College of Law Web Site

Kentuckians across the commonwealth can now watch courtroom arguments from the comfort of their homes. Through a unique partnership with the Kentucky Supreme Court, oral arguments before the court are being streamed live on the UK College of Law Web site at [www.uky.edu/Law/news/07\\_10\\_23\\_KYSupremeLIVE.html](http://www.uky.edu/Law/news/07_10_23_KYSupremeLIVE.html). This allows the general public, students and media to have easy access to oral arguments being presented to the Supreme Court, to see how the Supreme Court of Kentucky works, and to bring a more open court system to Kentucky.

18. UK Opera Alumnus Sojola Performs in Off-Broadway Production

UK Opera Theatre alumnus Phumzile Sojola received rave reviews for his performance in the off-Broadway production of “Three Mo' Tenors.” The show that features the extensive musical repertoire of six classically trained black vocalists has toured the country with a program that includes music from various genres including opera, pop, jazz, gospel, blues, and spirituals. The show and Sojola received acclaim for performances at New York's Little Schubert Theater in the New York *Daily News* and

*The New York Times*. Sojola and the cast's success was also recognized again as the cast rang the NASDAQ Stock Market Opening Bell on October 9.

19. JAMA Features UK Art Museum Painting on Its Cover

A painting from the UK Art Museum collection graced the cover of the October 10 issue of the *Journal of the American Medical Association*. "Self-Portrait," a painting by Philip Evergood, was given to the UK Art Museum in 1976 in memory of Robert B. Mayer by his wife and family. The *JAMA* issue includes a full-page artist biography by Kristen Quaranta, the publication's assistant editor.

20. Student Awards and Achievements

Sara Abdmishani, Library and Information Studies graduate student, was recently awarded the American Library Association's (ALA) Spectrum Scholarship. Established in 1997, the Spectrum Scholarship Program recruits students and awards scholarships to American Indian, Alaskan native, Asian, black, Hispanic, native Hawaiian, and other Pacific Islander students for graduate programs in library and information studies.

Doug Carr, Martin School of Public Policy and Administration, won honorable mention for the best dissertation award presented by the Association for Public Policy Analysis and Management. He was recognized at the APPAM conference last month.

Yu Fan Cheung, Matthew Storrie, and Brian Buckner, Design, received second place honors in Columbus Re-Wired, an urban design ideas competition focused on downtown Columbus, Ohio. The UK team members graduated with architecture degrees from the College of Design in May 2007. Columbus Re-Wired asked participants to create a design for an integrated transportation network that transforms the livability and sustainability of the Columbus area. The UK team's entry, "Stop/Gap," proposed an alternative downtown nexus site. The design moved the intermodal downtown transportation hub site from the Arena District to a new site that would straddle the Scioto River and connect downtown and Franklinton. "Stop/Gap" earned the UK team a \$4,000 cash prize.

Chris DeLotell, Journalism and Telecommunications, won third place for Sports Story of the Year at the Associated Collegiate Press' national meeting in Washington, D.C.

Brad Luttrell, Journalism and Telecommunications, won honorable mention for Picture Story of the Year at the Associated Collegiate Press' national meeting in Washington, D.C.

Beth McDonald, Music, took home first place in the Tuba Artist Division of the 22nd Annual Leonard Falcone International Euphonium and Tuba Festival held in Twin Lake, Michigan. McDonald defeated 10 semifinalists and more than 120 total competitors to take home a \$2,250 cash award, a gold medal, and the chance to perform with a band in the final round. A student of UK tuba professor Skip Gray, McDonald is a member of the UK Honors Program majoring in both music performance and political science.

Sean Rose, Journalism and Telecommunications, won the national collegiate Reporter of the Year Award from the Associated Collegiate Press.

Keith Smiley, Journalism and Telecommunications, won honorable mention for News Photo of the Year at the Associated Collegiate Press' national meeting in Washington, D.C.

Adam Sovkoplas, Music Composition doctoral student, premiered a new composition at the second annual Festival of New Organ Music in London, England. The work, titled *George Frederic Handel*, was performed by renowned organist Paul Ayres at St. George's Church Hanover Square in London October 19.

Will Vincent, a second-year critical care Pharmacy resident, was named Kentucky Society of Health-System Pharmacists Resident of the Year.

Three UK College of Pharmacy students were elected to regional offices for the American Pharmacists Association Academy of Student Pharmacists. Noelle Rizzo was elected member at large. Amanda Rapson was elected regional delegate. Emily Antony was elected midyear regional meeting coordinator. Rizzo is a third-year pharmacy student, and Rapson and Antony are both second-year students.

## 21. Faculty and Staff Awards and Achievements

Joseph Baber, Music, received the 2007-08 ASCAPPLUS Award for writers in the concert music division presented by the American Society of Composers, Authors, and Publishers (ASCAP). ASCAPPLUS is an annual cash and recognition awards program recognizing the recent activity of member writers in three divisions of music – concert, jazz, and popular. Winners are selected based on the merit of their catalog activity, with special emphasis given to their recent performances.

Beth Barnes, Journalism and Telecommunications, was elected to and will serve as a member of the Hearst Journalism Awards Program Steering Committee. This fall, she chaired the accreditation site visit team that evaluated the Communication Department at Buffalo State University and served as an accreditation consultant for the journalism and mass communication programs at Michigan State University and Northwestern State (Louisiana) University.

Tom Barnes, Forestry, received the 2007 Naturalist of the Year Award, presented by the Kentucky Society of Natural History.

Anna Brzyski, Art, is the editor of the new art history anthology *Partisan Canons*. Brzyski's anthology has pulled together evidence from various art historians and researchers that demonstrates that the canon's content is always historically and culturally specific and dependent on who is responsible for its production and maintenance. Released by Duke University Press, the publication includes examinations of art canons found in the United States, Europe, Asia, and Africa from the 17th century to the present day.

Paul Bummer, Pharmaceutical Sciences and Membrane Sciences, received a five-year, \$1.59 million grant from the National Cancer Institute for his project "Formulation of Dosage Forms and Drug Delivery Systems for Anti-tumor Agents."

Aaron Cook, UK HealthCare Pharmacy Services and Department of Pharmacy Practice and Science, was named Pharmacist of the Year by the Kentucky Society of Health-System Pharmacists. Cook is a neurosurgery/critical care clinical pharmacy specialist for UK HealthCare Pharmacy Services and adjunct assistant professor for the UK College of Pharmacy Department of Pharmacy Practice and Science.

Debra Cotterill, Cooperative Extension Family and Consumer Sciences agent in Mason County, was elected in September to serve a two-year term as the treasurer for the National Extension Association of Family and Consumer Sciences.

Nancy Cox, University of Kentucky College of Agriculture associate dean for research and director of the Agricultural Experiment Station, was selected to be a member of the National Agricultural Research, Extension, Education, and Economics



Advisory Board. The board advises the secretary of agriculture and land grant colleges and universities.

Gary Cromwell, Animal and Food Sciences, received the New Frontiers in Animal Nutrition Award from the Federation of Animal Science Societies at the American Society of Animal Science meeting in July.

Burt Davis, Center for Applied Energy Research, was awarded \$328,200 by the Governor's Office of Energy Policy for his project titled "Catalysts Studies in Support of Commercial CTL projects in Kentucky."

Mark L. Farman, Plant Pathology, is principal investigator, and Michael Goodin, Plant Pathology, is co-principal investigator on a three-year, \$990,000 grant awarded by the U.S. Department of Agriculture-National Research Initiative to study the localization of secreted proteins during penetration and invasive growth of the rice blast fungus, *Magnaporthe oryzae*.

Merl Hackbart, Martin School of Public Policy and Administration, received the S. Kenneth Howard Award, presented by the Association for Budgeting and Financial Management. This award recognizes "exemplary work and professional integrity of an individual who has devoted a significant part of his or her public service career to the advancement of public budgeting and financial management."

Bob Haven, Theatre, was interviewed in a report done for CBS's *The Early Show*. The report took viewers to the 2007 Montana World of WearableArt Awards Show, where Haven had one of only four finalist garments from the United States entered in the 10-day international design competition. Haven's interview aired October 31.

Kim Henken, Human Environmental Sciences, received the Laura Clay Leadership Award from Kentucky Women in Agriculture at their annual conference in November.

Judy Hetterman, Cooperative Extension Family and Consumer Sciences agent in Owen County, was elected in September to serve a two-year term as the Southern Region Director for the National Extension Association of Family and Consumer Sciences.

Clair Hicks, Animal and Food Sciences, was named a Productivity Enhancement Program Distinguished Volunteer by the Center for Citizen Initiatives for his involvement in hosting and training Russian delegates.

John Hussey, University Press of Kentucky sales manager, was selected for the Whiting Week-in-Residence Program presented by the Professional Development Committee of the Association of American University Presses. Hussey has completed his five-day residence with Columbia University Press, where he collaborated with staff members on the publishing and promotion of university press books.

Ronald J. Hustedde, Community and Leadership Development, received the 2007 National Excellence in Extension Award given by the National Association of State Universities and Land-Grant Colleges. In his nomination, it was noted that Hustedde has established outreach programs that "embody visionary leadership, anticipate emerging trends, and demonstrate a commitment to diversity and significant community impacts." He also received the 2007 Excellence in Extension and Public Outreach Award from the Rural Sociological Society.

Richard Labunski, Journalism and Telecommunications, published two op-ed pieces, "Madison and Mozart: June 1788," in the Louisville *Courier-Journal* on June 22, and "The Truth about College Grades" in the *Lexington Herald-Leader* on August 13. He appeared on the June 29 airing of KET's "Comment on Kentucky" to discuss a Supreme Court decision and his book on James Madison.



Doreen Maloney and Dmitry Strakovsky, Art, discussed the intersection of the fine arts and technology through their personal work and research on a new program on the Research Channel. The program, which was created by the Center for Visualization and Virtual Environments, aired several times on October 3 and 6.

Doug McLaren, Forestry, received the 2007 Outstanding Individual Award for Excellence in Environmental Education, presented by the Kentucky Association for Environmental Education.

Bob Perry, Food Systems Initiative, has been elected to the Board of Overseers of Chefs Collaborative, a prominent culinary organization whose mission is to cultivate a more sustainable food supply.

Melynda J. Price, Law, received the "Best Dissertation Award" from the American Political Science Association for the best American dissertation on race, ethnicity, and politics. Her dissertation is "At the Cross: Race and Religion in the Politics of the Death Penalty among African Americans." Her scholarly work investigates the role of race and religion in the politics and legal processes of the death penalty as well as race and gender issues in both domestic and international politics.

Deanna D. Sellnow, Communication, was inducted into the North Dakota Communication and Theatre Association's Hall of Fame. As an undergraduate competitor for North Dakota State University (NDSU), Sellnow won the Interstate Oratory Contest and placed first in Communication Analysis while competing for NDSU at the American Forensic Association's national tournament. She is still the only national champion from North Dakota. Her induction marks the 25th anniversary of her first national championship.

Michele Staton-Tindall, Center for the Study of Violence Against Children and Center on Drug and Alcohol Research, received a \$91,800 federal grant from the Center for Substance Abuse Treatment to evaluate a new program at Chrysalis House Inc. in Lexington. The program is designed to increase services to pregnant, postpartum, and parenting mothers in substance abuse treatment at the drug and alcohol treatment facility for women and their children.

William Thom, Regulatory Services, received the Career Achievement Award in Water Quality Education and Research from the Southern Region Extension Water Quality Committee.

Kenneth V. Yeargan, Entomology, has been named a Fellow of the Entomological Society of America. This honor recognizes his outstanding contributions to entomology.

Chan Yun Yoo, Journalism and Telecommunications, recently published a book, *Preattentive Processing of Web Advertising* (Youngstown, NY: Cambria Press). His journal article, "Implicit Memory Measures for Web Advertising Effectiveness," was published in *Journalism and Mass Communication Quarterly*.

# PR 2

Office of the President  
December 11, 2007

Members, Board of Trustees:

## PERSONNEL ACTIONS

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

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

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

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Action taken:     ☒ Approved     ☐ Disapproved     ☐ Other \_\_\_\_\_

**PRESIDENT**  
**AND**  
**EXECUTIVE VICE PRESIDENT**  
**FOR**  
**FINANCE AND ADMINISTRATION**

**I. BOARD ACTION**

**A. RETIREMENTS**

Executive Vice President for Finance and Administration

Owen, Henry Clay, Treasurer, Office of the Treasurer, after 43 years and 6 months of consecutive service, under AR II-1.6-1 Section VI.B, effective 1/2/08.

**B. EARLY RETIREMENTS**

Executive Vice President for Finance and Administration

Smith, Jack C., Jr., Heat/Cool Plant Operator III, Human Resources, after 25 years and 3 months of consecutive service, under AR II-1.6-1 Section VI.A, effective 10/31/07.

Ward, Charles A., Bio Medical Equipment Technician, Human Resources, after 20 years and 10 months of consecutive service, under AR II-1.6-1 Section VI.A, effective 9/30/07.

Vice President for Facilities Management

Corman, William A., Sheet Metal Supervisor, Physical Plant Division, after 18 years and 5 months of consecutive service, under AR II-1.6-1 Section VI.A, effective 1/1 08.

Woosley, Kenny, Maintenance Technician II, Medical Center Physical Plant, after 20 years and 10 months of consecutive service, under AR II-1.6-1 Section VI.A, effective 10/4/07.

Associate Vice President for Human Resources

Fooks, Linda B., Administrative Staff Officer II, Human Resources, after 24 years and 11 months of consecutive service, under AR II-1.6-1 Section VI.A, effective 1/4/08.

Office of Legal Counsel

Haulk, Linda H., Administrative Support Associate II, Office of Legal Counsel, after 37 years of consecutive service, under AR II-1.6-1 Section VI.A, effective 1/4/08.

**C. ADMINISTRATIVE APPOINTMENTS**

Executive Vice President for Finance and Administration

Mathews, Marc, Treasurer, Office of the Treasurer, effective, 1/2/08.

**D. POST-RETIREMENT APPOINTMENT**

Owen, Henry Clay, Office of the Treasurer, 1/3/08 through 6/30/08.

**II. ADMINISTRATIVE ACTIONS**

**A. APPOINTMENTS**

Executive Vice President for Finance and Administration

Beatty, Anthany, Assistant Vice President for Public Safety, Campus Services, effective 1/2/08.

Associate Vice President for Facilities Management

Haunsz, Raymond, Project Manager III, Capital Project Management, Facilities Management, effective 11/5/07.

Athletics Department

Brinson, Larry, Assistant Football Coach, Athletics Department, effective 1/19/07.

Brooks, Richard, Head Football Coach, Athletics Department, effective 1/2/03.

Brown, Steven, Assistant Football Coach, Athletics Department, effective 1/7/03.

Butler, John, Athletics Director Assistant/Compliance, Athletics Department, effective 7/1/06.

Butts, Niya, Assistant Women's Basketball Coach, Athletics Department, effective 4/17/03.

Cohen, John, Head Baseball Coach, Athletics Department, effective 7/1/03.

Cox, Jeremy, Assistant Men's Basketball Coach, Athletics Department, effective 4/12/07.

Cyprien, Glynn, Assistant Men's Basketball Coach, Athletics Department, effective 4/16/07.

Drada, Carlos, Head Women's Tennis Coach, Athletics Department, effective 8/19/05.

Gillespie, Billy, Head Men's Basketball Coach, Athletics Department, effective 4/6/07.

Gleason, Melissa, Accounting Manager II, Athletics Department, effective 7/1/07.  
Heggins, Jimmy, Assistant Football Coach, Athletics Department, effective 1/14/05.  
Hellyer, Steven, Football Relations Director Senior, Athletics Department, effective 1/3/03.  
Lawson, Rachel, Head Softball Coach, Athletics Department, effective 7/27/07.  
Lockwood, David, Assistant Football Coach, Athletics Department, effective 1/19/07.  
Mitchell, Hajile, Head Gymnastics Coach, Athletics Department, effective 6/1/03.  
Mitchell, Matthew, Head Women's Basketball Coach, Athletics Department, effective 4/23/07.  
Ortmayer, Steve, Assistant Football Coach, Athletics Department, effective 1/17/03.  
Palmer, Wendy, Assistant Women's Basketball Coach, Athletics Department, effective 9/4/07.  
Peterson, Lisa, Athletics Financial Officer, Athletics Department, effective 1/6/03.  
Petri, Rick, Assistant Football Coach, Athletics Department, effective 3/1/05.  
Phillips, Joe, Assistant Football Coach, Athletics Department, effective 1/8/03.  
Read, Vonn, Assistant Women's Basketball Coach, Athletics Department, effective 5/23/05.  
Sanders, Randall, Assistant Football Coach, Athletics Department, effective 1/23/06.  
Sharpe, Joseph, Athletics Director Assistant/Tickets, Athletics Department, effective 9/16/02.  
Skinner, John Craig, Head Volleyball Coach, Athletics Department, effective 12/22/04.  
Smith, Charles, Assistant Football Coach, Athletics Department, effective 1/3/05.  
Stricklin, Scott, Athletics Director Assistant/Media Relations, Athletics Department, effective 8/25/03.  
Webster, Tracy, Assistant Men's Basketball Coach, Athletics Department, effective 9/7/07.

## **B. CHANGES**

### Associate Vice President for Human Resources

Davis, Darren Bront, from Technical Project Specialist I, Agriculture Communications, to Technical Project Specialist III, Human Resources, effective 10/22/07.

### Vice President for Facilities Management

Collins, William, D., from Project Manager II, Capital Project Management, Facilities Management to Project Manager III, Capital Project Management, Facilities Management, effective 11/06/07.

Williams, Robert S., from Project Manager III, Capital Project Management, Facilities Management to Project Manager IV, Capital Project Management, Facilities Management, effective 10/8/07.

Vice President for Information Technology

McClure, Nicholas J., Programmer System Sr., IT/CNS Business Services, Information Technology to Programmer System Lead, IT/CNS Business Services, Information Technology, effective 11/1/07.

Hucaby, David R., Programmer System Lead, IT/CNS Network, Information Technology to Network Solutions Architect, IT/CNS Network, Information Technology, effective 11/1/07.

**PROVOST**

**I. BOARD ACTION**

**A. ACADEMIC APPOINTMENTS**

Borgatti, Stephen P., College of Business and Economics, Professor (with tenure), Management, effective 8/16/07.

Desai, Sameer M., College of Medicine, Clinical Assistant Professor, Emergency Medicine, 12/1/07 through 6/30/08.

Jagger, James A., College of Medicine, Clinical Assistant Professor, Orthopaedic Surgery, 11/19/07 through 6/30/08.

Muha, Sherry L., College of Medicine, Clinical Assistant Professor, Family and Community Medicine, 9/13/07 through 6/30/08.

Patton, Amy D., College of Medicine, Clinical Assistant Professor, Family and Community Medicine, 10/15/07 through 6/30/11.

Pearson, P. A., College of Medicine, Professor (with tenure), Ophthalmology and Visual Sciences, appointed to the Robert L. Bergen Professorship in Ophthalmology, 10/1/07 through 6/30/12.

Reda, Hassan K., College of Medicine, Clinical Assistant Professor, Surgery, 11/1/07 through 6/30/08.

Rowell, A. B., College of Agriculture, Adjunct Professor, Horticulture, 7/1/07 through 6/30/08.

Saykaly, Ronald J., College of Medicine, Professor (part-time), Internal Medicine, 10/15/07 through 6/30/08.

Sithisarn, Thitinart, College of Medicine, Assistant Professor, Pediatrics, 11/5/07 through 6/30/08.

Stills, Harold F., College of Medicine, Professor\* (with tenure), Microbiology, Immunology and Molecular Genetics, effective 10/1/07.

Vargas, H. David, College of Medicine, Clinical Associate Professor, Surgery, 9/1/07 through 6/30/08.

Wujcik, Len F., College of Design, Professor\* (with tenure), Architecture, appointed to the Robert Leininger Endowed Professorship in Furniture Design, 7/1/07 through 6/30/10.

Xin, Hongwei, College of Agriculture, Adjunct Professor, Biosystems and Agricultural Engineering, 9/1/07 through 6/30/08.

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\*Special Title series

## **B. ADMINISTRATIVE APPOINTMENTS**

- Leukefeld, Carl G., College of Medicine, Professor (with tenure), Behavioral Science, and joint appointments as Professor (without tenure), Oral Health Science, College of Dentistry and Professor (without tenure), Psychiatry and Professor (without tenure), Health Behavior, College of Public Health and Professor (without tenure), College of Social Work, appointed Chair, Behavioral Science, 8/1/07 through 7/31/13.
- Oates, M. Elizabeth, College of Medicine, Professor (with tenure), Diagnostic Radiology, appointed Chair, Diagnostic Radiology, 9/30/07 through 9/29/13.
- Stills, Harold F., College of Medicine, Professor\* (with tenure), Microbiology, Immunology and Molecular Genetics, appointed Director, Division of Laboratory Animal Resources, effective 11/1/07.
- Teaster, Pamela B., College of Public Health, Associate Professor (with tenure), Gerontology, and joint appointment as Associate Professor (without tenure), Health Behavior, appointed Chair, Gerontology, 7/1/08 through 6/30/12.
- Young, A. B., College of Medicine, Professor (with tenure), Surgery, from Acting Chair, Neurosurgery, to Chair, Neurosurgery, 7/1/07 through 6/30/08.

## **C. JOINT APPOINTMENTS**

- Boissonneault, Gilbert A., College of Health Sciences, Professor (with tenure), Clinical Sciences, joint appointment as Professor (without tenure), Nutritional Sciences, Graduate School, effective 11/1/07.
- Boosalis, Maria G., College of Health Sciences, Associate Professor (with tenure), Clinical Sciences, and joint appointment as Associate Professor (without tenure), Internal Medicine, College of Medicine, new joint appointment as Associate Professor (without tenure), Nutritional Sciences, Graduate School, effective 11/1/07.
- Bruckner, Geza G., College of Health Sciences, Professor (with tenure), Clinical Sciences, joint appointment as Professor (without tenure), Nutritional Sciences, Graduate School, effective 11/1/07.
- Given, Curtis A., College of Medicine, Associate Professor\* (with tenure), Diagnostic Radiology, joint appointment as Associate Professor\* (without tenure), Neurosurgery, effective 9/1/07.
- MacLeod, James N., College of Agriculture, Professor (with tenure), Veterinary Science, joint appointment as Professor (without tenure), Orthopaedic Surgery, College of Medicine, effective 1/1/08.
- Smyth, Susan S., College of Medicine, Associate Professor (with tenure), Internal Medicine, and joint appointment as Associate Professor (without tenure), Physiology, new joint appointment as Associate Professor (without tenure), Molecular and Biomedical Pharmacology, effective 10/1/07.
- Studts, Jamie L., College of Medicine, Associate Professor (without tenure), Behavioral Science, joint appointment as Associate Professor (without tenure), Psychology, College of Arts and Sciences, 10/1/07 through 6/30/08.

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\*Special Title series



#### **D. REAPPOINTMENTS**

Ahrenkiel, Richard K., College of Engineering, Professor (visiting), Electrical and Computer Engineering, 7/1/07 through 6/30/08.

Griffen, Ward O., College of Medicine, Professor (voluntary), Surgery, 7/1/06 through 6/30/11.

Kleinert, Harold, College of Education, Associate Adjunct Professor, Special Education and Rehabilitation Counseling, 8/16/07 through 6/30/08.

Wheeler, Eileen F., College of Agriculture, Associate Adjunct Professor, Biosystems and Agricultural Engineering, 7/1/07 through 6/30/08.

#### **E. CHANGES**

Purcell, Marguerite, College of Medicine, from Associate Professor (part-time), Diagnostic Radiology, to Associate Adjunct Professor, Diagnostic Radiology, 7/1/07 through 6/30/08.

Stamm, Stefan, College of Medicine, from Associate Professor (part-time), Molecular and Cellular Biochemistry, to Associate Professor (with tenure), Molecular and Cellular Biochemistry, effective 11/1/07.

Wilhoit, John, College of Agriculture, from Associate Professor (temporary), Biosystems and Agricultural Engineering, to Associate Extension Professor (without tenure), Biosystems and Agricultural Engineering, 9/1/07 through 6/30/08.

#### **F. RETIREMENTS**

Christopher, John, College of Arts and Sciences, Associate Professor (with tenure), Physics and Astronomy, after 36 years and 10 months of consecutive service, under AR II-1.6-1, Section III.B, effective 6/30/07.

Eastwood, Bruce, College of Arts and Sciences, Professor (with tenure), History, after 34 years and 4 months of consecutive service, under AR II-1.6-1, Section III.B, effective 11/30/07.

Hart, K. Marie, College of Business and Economics, Staff Support Associate II, Center for Business and Economic Research, after 22 years and 7 months of consecutive service, under AR II-1.6-1, Section III.B, effective 1/3/08.

Johnson, Keith, College of Business and Economics, Professor (with tenure), Management, after 38 years and 4 months of consecutive service, under AR II-1.6-1, Section III.B, effective 1/4/08.

Logan, Joyce, College of Education, Associate Professor (with tenure), Educational Leadership Studies, after 13 years of consecutive service, under AR II-1.6-1, Section III.B, effective 12/31/07.

Todd, Celinda, College of Law, Staff Support Associate II, Law Instruction, after 41 years and 5 months of consecutive service, under AR II-1.6-1, Section III.B, effective 1/4/08.

## **G. EARLY RETIREMENTS**

- Bhavsar, Suketu, College of Arts and Sciences, Associate Professor (with tenure), Physics and Astronomy, after 20 years and 11 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 6/30/07.
- Broun, Ethel L., College of Agriculture, County Extension Clerk, Cooperative Extension Service, after 40 years and 4 months of consecutive service, under AR II-1.6-1, Section III. A.2, effective 1/2/08.
- Green, Dwaine, College of Pharmacy, Pharmacy Program Coordinator Senior, after 23 years and 8 months of consecutive service, under AR II-1.6-1, Section III. A.2, effective 12/31/07.
- Guskey, Tom, College of Education, Professor (with tenure), Educational Policy Studies and Evaluation, after 29 years and 5 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 12/31/07.
- McAllister, Kay P., College of Agriculture, Senior Laboratory Technician, Plant and Soil Sciences, after 15 years and 2 months of consecutive service, and a total of 16 years and 5 months of service, under AR II-1.6-1, Section III. A.2, effective 1/1/08.
- Neeley, James C., College of Agriculture, Auto Mechanic III, Management Operations, after 23 years and 10 months of consecutive service, under AR II-1.6-1, Section III. A.2, effective 1/4/08.
- Raizor, Brenda S., College of Agriculture, County Extension Clerk, Cooperative Extension Service, after 21 years of consecutive service, under AR II-1.6-1, Section III. A.2, effective 9/14/07.
- Redman, Alesa, College of Agriculture, County Extension Clerk, Cooperative Extension Service, after 31 years and 6 months of consecutive service, under AR II-1.6-1, Section III. A.2, effective 1/4/08.
- Scolly, Susan, College of Education, Associate Professor (with tenure), Educational Leadership Studies, and joint appointment as Associate Professor (without tenure), Educational Policy Studies and Evaluation, after 24 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 12/31/07.

## **H. POST-RETIREMENT APPOINTMENTS**

- Brown, David R., College of Medicine, Scientist IV, Physiology, 7/1/07 through 6/30/08.
- Bruce, Doug, College of Pharmacy, Chief of Staff, 9/1/07 through 6/30/08.
- Drahovzal, James, Research, Research Geologist (part-time), Kentucky Geological Survey, 10/1/07 through 6/30/08.
- Green, Dwaine, College of Pharmacy, Pharmacy Program Coordinator Senior (part-time), 1/1/08 through 6/30/08.

## **I. PHASED RETIREMENT APPOINTMENTS**

Coughlin, Barbara, College of Agriculture, Administrative Support Associate I, Plant Pathology, 1/6/08 through 12/31/12.

Force, James, College of Arts and Sciences, Professor (with tenure), Philosophy, 1/1/08 through 12/31/12.

Houglan, Linda D., Student Affairs, Administrative Staff Officer II, Counseling and Testing Center, 1/1/08 through 12/31/10.

## **II. ADMINISTRATIVE ACTION**

### **A. ACADEMIC APPOINTMENTS**

Adams, Stephanie, College of Social Work, Instructor (part-time), 8/16/07 through 6/30/08.

Allahham, Yahya H., College of Medicine, Assistant Professor (part-time), Psychiatry, 1/1/08 through 6/30/08.

Andrus, William M., College of Fine Arts, Instructor (part-time), Art, 8/1/07 through 6/30/08.

Allen, Mary E., College of Health Sciences, Clinical Assistant Professor, Rehabilitation Sciences, 7/2/07 through 6/30/08.

Auxier, Judy H., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 11/1/07 through 6/30/11.

Bartlett, Jennifer, Libraries, Librarian IV, 10/1/07 through 6/30/09.

Black, Ann E., College of Health Sciences, Assistant Professor (voluntary), Rehabilitation Sciences, 11/1/07 through 6/30/11.

Camargo, Fernanda C., College of Agriculture, Assistant Extension Professor, Animal and Food Sciences, 9/17/07 through 6/30/08.

Cobetto, Gregory A., College of Dentistry, Assistant Professor (part-time), Oral Health Science, 10/1/07 through 6/30/08.

Cosby, Michelle, Libraries, Librarian IV, 11/1/07 through 6/30/09.

Cox, Elissa A., College of Fine Arts, Lecturer, Art, 8/1/07 through 6/30/08.

Dawson, Steven, College of Pharmacy, Assistant Professor (voluntary), 10/2/07 through 6/30/11.

Delisle, Brian P., College of Medicine, Assistant Professor, Physiology, 1/1/08 through 6/30/08.

Dove, Ken, College of Pharmacy, Assistant Professor (voluntary), 9/20/07 through 6/30/11.

Evans, Lori F., College of Health Sciences, Assistant Professor (voluntary), Rehabilitation Sciences, 11/1/07 through 6/30/11.

Faragasso, Devin J., College of Medicine, Assistant Professor (voluntary), Emergency Medicine, 10/1/07 through 6/30/11.

Faulkner, Cynthia, College of Social Work, Instructor (part-time), 7/1/07 through 6/30/08.

Foster-Harper, Susan, Libraries, Librarian III, 10/1/07 through 6/30/09.

Fraley, Michelle D., College of Pharmacy, Clinical Assistant Professor, 7/23/07 through 6/30/08.

Gebert, Mark A., College of Arts and Sciences, Lecturer, Statistics, 8/16/07 through 6/30/08.

Gray, Jennifer J., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 10/1/07 through 6/30/11.

Grider, Logan, College of Fine Arts, Assistant Professor, Art, 8/1/07 through 6/30/08.

Hains, Bryan J., College of Agriculture, Assistant Professor, Community and Leadership Development, 8/13/07 through 6/30/08.

Hall, Debra S., College of Nursing, Assistant Adjunct Professor, 10/1/07 through 6/30/08.

Hashem, Abul, College of Medicine, Assistant Adjunct Professor, Diagnostic Radiology, 7/1/07 through 6/30/08.

Hewett, Donna T., College of Engineering, Lecturer, Mechanical Engineering, 8/16/07 through 6/30/08.

Hyden, Seth, College of Dentistry, Assistant Professor (part-time), Oral Health Science, 10/1/07 through 6/30/08.

Jackson, Melody F., College of Design, Assistant Professor (temporary), Architecture, 8/16/07 through 6/30/08.

Jung-Yim, Hyae Rhun, College of Fine Arts, Instructor (part-time), Music, 9/1/07 through 6/30/08.

Khawari, Abbas A., College of Medicine, Instructor (voluntary), Internal Medicine, 10/1/07 through 6/30/11.

Knisely, Kristina L., College of Medicine, Assistant Professor (voluntary), Pediatrics, 10/1/07 through 6/30/11.

Liu, Jinze, College of Engineering, Assistant Professor, Computer Science, 8/16/07 through 6/30/09.

Markham-Abedi, Courtney A., College of Medicine, Assistant Professor (voluntary), Psychiatry, 10/1/07 through 6/30/11.

Maske, Andrew L., College of Fine Arts, Assistant Professor, Art, 8/1/07 through 6/30/08.

McComb, Neil G., College of Design, Instructor (voluntary), Architecture, 8/1/07 through 6/30/08.

Metzgar, Donna E., College of Health Sciences, Assistant Professor (voluntary), Rehabilitation Sciences, 11/1/07 through 6/30/11.

Moncayo, Alison N., College of Medicine, Assistant Professor (voluntary), Pediatrics, 10/1/07 through 6/30/11.

Neapolitan, Vickie, College of Social Work, Instructor (part-time), 1/15/07 through 6/30/07.

Nieder, Kathy, College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 8/1/07 through 6/30/11.

Patterson, Ebony G., College of Fine Arts, Assistant Professor, Art, 8/1/07 through 6/30/08.

Peden, Susan, College of Health Sciences, Assistant Professor (voluntary), Rehabilitation Sciences, 11/1/07 through 6/30/11.

Perry, Jack R., College of Medicine, Instructor (voluntary), Internal Medicine, 8/1/07 through 6/30/11.

Reese, Robert J., College of Education, Assistant Professor, Educational and Counseling Psychology, 8/16/07 through 6/30/08.

Richards-Adams, Ingrid K., College of Agriculture, Assistant Extension Professor, Nutrition and Food Science, 12/1/07 through 6/30/08.

Shin, Hainsworth Y., Graduate School, Assistant Professor, Biomedical Engineering, 9/17/07 through 6/30/08.

Smith, Douglas F., College of Medicine, Assistant Professor (voluntary), Emergency Medicine, 10/1/07 through 6/30/11.

Soporowski, Lynn J., College of Engineering, Instructor (part-time), Civil Engineering, 8/16/07 through 6/30/08.

Stoehr, Roy W., College of Arts and Sciences, Instructor, Military Science, 7/1/07 through 6/30/10.

Stone, Leslie, College of Health Sciences, Assistant Professor (voluntary), Rehabilitation Sciences, 11/1/07 through 6/30/11.

Stringfellow, Jennifer, College of Education, Assistant Professor, Special Education and Rehabilitation Counseling, 8/16/07 through 6/30/08.

Taylor, Eleanor J., College of Social Work, Instructor (part-time), 7/1/07 through 6/30/08.

Trinkle, Christine A., College of Engineering, Assistant Professor, Mechanical Engineering, 1/1/08 through 12/31/09.

Usher, Ellen L., College of Education, Assistant Professor, Educational and Counseling Psychology, 8/16/07 through 6/30/08.

Valentin, Ryan A., Libraries, Librarian IV, 1/1/08 through 6/30/09.

Webber, Kelly H., College of Agriculture, Assistant Professor, Nutrition and Food Science, 1/1/08 through 6/30/08.

Westerfield, Larry H., College of Medicine, Assistant Professor (part-time), Diagnostic Radiology, 11/1/07 through 6/30/08.

Wheeler, Kathy, College of Nursing, Assistant Professor (part-time), 10/8/07 through 12/16/07.

Wilkerson, Erin G., College of Agriculture, Assistant Adjunct Professor, Biosystems and Agricultural Engineering, 9/1/07 through 6/30/08.

Winchester, Kimberly S., College of Medicine, Assistant Professor (part-time), Anesthesiology, 10/1/07 through 6/30/08.

Wiseman, Adam D., College of Design, Instructor (part-time), Architecture, 8/16/07 through 12/31/07.

Yu, Guoqiang, Graduate School, Assistant Professor, Biomedical Engineering, 10/22/07 through 6/30/08.

## **B. ADMINISTRATIVE APPOINTMENTS**

Canales, Denise, College of Medicine, Clinical Research Protocol Manager, Internal Medicine, effective 11/11/07.

Coyle, Kathryn, Office of the Provost, Laboratory Animal Veterinary Director Assistant, effective 12/1/07.

Lu, Hong, College of Medicine, Scientist III, Internal Medicine, effective 10/22/07.

Martin, Erin, College of Medicine, Physician Assistant, Pediatrics, effective 10/1/07.

Pierce, Jerry, College of Agriculture, Farm Management Specialist IV, Agricultural Economics, effective 10/1/07.

### **C. JOINT APPOINTMENTS**

Fernander, Anita F., College of Medicine, Assistant Professor, Behavioral Science, joint appointment as Assistant Professor, Psychology, College of Arts and Sciences, 10/1/07 through 6/30/08.

Northrip, Kimberly R., College of Medicine, Clinical Assistant Professor, Pediatrics, joint appointment as Clinical Assistant Professor, Health Behavior, College of Public Health, 10/1/07 through 6/30/08.

Oser, Carrie B., College of Arts and Sciences, Assistant Professor, Sociology, joint appointment as Assistant Professor, Behavioral Science, College of Medicine, 7/1/07 through 6/30/08.

### **D. REAPPOINTMENTS**

Armistead, Jane, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/07 through 6/30/08.

Beighle, Aaron E., College of Education, Assistant Professor, Kinesiology and Health Promotion, 7/1/07 through 6/30/08.

Carter, Janis, College of Education, Assistant Research Professor, Curriculum and Instruction, 7/1/07 through 6/30/08.

Clarke, Benita J., College of Arts and Sciences, Adjunct Instructor, Hispanic Studies, 8/16/07 through 12/31/07.

Crawford, Charles W., College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/1/07 through 6/30/08.

Daniel, Lois, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/07 through 6/30/08.

Davidson, Melissa, College of Social Work, Instructor (part-time), 7/1/07 through 6/30/08.

Erwin, Anne B., College of Social Work, Instructor (part-time), 8/16/07 through 6/30/08.

Estes, Nancy, College of Design, Instructor (part-time), Historic Preservation, 9/1/07 through 12/31/07.

Evans, Connie, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/07 through 6/30/08.

Faulkner, Samuel S., College of Social Work, Instructor (part-time), 8/16/07 through 6/30/08.

Fessler, Nancy A., College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/07 through 6/30/08.

Hamilton, Phyllis, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/07 through 6/30/08.

Helm, David, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/07 through 6/30/08.

Hutchinson, Judy, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/07 through 6/30/08.

Keating, Mark D., College of Agriculture, Lecturer, Horticulture, 7/1/07 through 6/30/08.

Keogh, Jill, College of Social Work, Clinical Instructor, 7/1/07 through 6/30/08.

Kilgore-Bowling, Genesia, College of Social Work, Instructor (part-time), 8/16/07 through 6/30/08.

Kim, Sujin, College of Communications and Information Studies, Assistant Professor, Library and Information Science, and joint appointment as Assistant Professor, Pathology and Laboratory Medicine, College of Medicine, 7/1/07 through 6/30/08.

Lester, Denis, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/07 through 6/30/08.

Lopez, Josefina C., College of Arts and Sciences, Adjunct Instructor, Hispanic Studies, 8/16/07 through 12/31/07.

Medina, Jorge, College of Arts and Sciences, Instructor (temporary), Hispanic Studies, 8/16/07 through 5/15/08.

Muntz, Charlie, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/07 through 6/30/08.

Neapolitan, Vickie, College of Social Work, Instructor (part-time), 8/16/07 through 6/30/08.

Pena Rivera, Carlos A., College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 8/16/07 through 12/31/07.

Poore, Christopher L., College of Communications and Information Studies, Adjunct Instructor, Journalism and Telecommunications, 8/16/07 through 6/30/08.

Quarles, Clinton R., College of Agriculture, Instructor (temporary), Agricultural Economics, 7/1/07 through 6/30/08.

Saffari, Kay, College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 8/16/07 through 12/31/07.

Sampson, Shannon O., College of Education, Instructor (part-time, visiting), Educational Policy Studies and Evaluation, 1/1/08 through 6/30/08.

Stewart, William S., College of Social Work, Instructor (part-time), 8/16/07 through 6/30/08.

Stults, Sandra W., College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/07 through 6/30/08.

Thomas, Brian N., College of Agriculture, Instructor (part-time), Agricultural Economics, 7/1/07 through 6/30/08.

## **E. CHANGES**

Elkhairi, Dalia S., College of Medicine, Clinical Assistant Professor, Obstetrics and Gynecology, from 7/1/07 through 8/17/07, to 7/1/07 through 8/16/07.

Fleming, Ronald C., College of Medicine, Clinical Assistant Professor, Family and Community Medicine, from 7/1/07 through 6/30/08, to 7/1/07 through 7/31/07.

Hammell, Dana C., College of Pharmacy, from Research Associate, Pharmaceutical Sciences, to Scientist III, Pharmaceutical Sciences, effective 10/17/07.

Kincer, Jeanie, Research, from Veterinarian, Division of Laboratory Animal Resources, to Laboratory Animal Veterinarian Senior, Division of Laboratory Animal Resources, effective 10/1/07.

Loeffler, Diane N., College of Social Work, from Instructor (part-time), to Lecturer, 7/1/07 through 6/30/08.

Smiley, Jeffrey, Research, from Veterinarian, Division of Laboratory Animal Resources, to Laboratory Animal Veterinarian Senior, Division of Laboratory Animal Resources, effective 10/1/07.

Villagran, Salvador, College of Fine Arts, from Instructor (temporary), Art, to Instructor (part-time), Art, 8/1/07 through 6/30/08.

Wheeler, Kathy, College of Nursing, from Assistant Professor (part-time), to Clinical Assistant Professor, 12/17/07 through 6/30/08.

Xiang, Tian-Xiang, College of Pharmacy, from Research Professor, Pharmaceutical Sciences, to Scientist III, Pharmaceutical Sciences, effective 10/19/07.

#### **F. TERMINAL REAPPOINTMENTS**

Chen-Izu, Ye, College of Medicine, Assistant Professor, Internal Medicine, 10/1/07 through 9/30/08.

Izu, Leighton T., College of Medicine, Assistant Professor, Internal Medicine, 10/1/07 through 9/30/08.

#### **G. LEAVES OF ABSENCE**

Adams, David, College of Arts and Sciences, Professor (with tenure), Mathematics, Sabbatical leave at full salary, 1/1/09 through 6/30/09.

Baer, Ruth, College of Arts and Sciences, Professor (with tenure), Psychology, and joint appointment as Associate Professor (without tenure), Behavioral Science, College of Medicine, Sabbatical leave at full salary, 7/1/08 through 12/31/08.

Bathke, Arne, College of Arts and Sciences, Associate Professor (with tenure), Statistics, Sabbatical leave at three-quarters salary, 7/1/08 through 6/30/09.

Bentley, Glenna Sherrill, College of Agriculture, County Extension Agent, Cooperative Extension Service, Educational leave at full salary, 1/2/08 through 5/31/08.

Bhatt, Ramesh, College of Arts and Sciences, Professor (with tenure), Psychology, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.

Bruzina, Ronald, College of Arts and Sciences, Professor (with tenure), Philosophy, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.

Cammers-Goodwin, Arthur, College of Arts and Sciences, Associate Professor (with tenure), Chemistry, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.

Cao, Gang, College of Arts and Sciences, Professor (with tenure), Physics and Astronomy, Sabbatical leave at full salary, 7/1/08 through 12/31/08.

Edwards, Kim, College of Arts and Sciences, Associate Professor (with tenure), English, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.

Eldred, Janet, College of Arts and Sciences, Professor (with tenure), English, Sabbatical leave at full salary, 7/1/08 through 12/31/08.

Finney, L. N., College of Arts and Sciences, Professor (with tenure), English, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.

Fleming, Steven T., College of Public Health, Associate Professor (with tenure), Epidemiology, and joint appointment as Associate Professor (without tenure),



- Health Services Management, Sabbatical leave at half salary, 7/1/08 through 6/30/09.
- Francis, James, College of Arts and Sciences, Associate Professor (with tenure), Modern and Classical Languages, Literatures, and Cultures, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.
- Gardner, Susan, College of Arts and Sciences, Professor (with tenure), Physics and Astronomy, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.
- Goldstein, Beth, College of Education, Associate Professor (with tenure), Educational Policy Studies and Evaluation, and joint appointment as Associate Professor (without tenure), Anthropology, College of Arts and Sciences, Sabbatical leave at half salary, 8/16/08 through 6/30/09.
- Gottlob, Lawrence, College of Arts and Sciences, Associate Professor (with tenure), Psychology, Sabbatical leave at full salary, 1/1/09 through 6/30/09.
- Inoue, Masamichi, College of Arts and Sciences, Associate Professor (with tenure), Modern and Classical Languages, Literatures, and Cultures, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.
- Karan, Paul, College of Arts and Sciences, Professor (with tenure), Geography, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.
- Kern, Monica H., College of Arts and Sciences, Associate Professor (with tenure), Psychology, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.
- Khraisheh, Marwan, College of Engineering, Associate Professor (with tenure), Mechanical Engineering, Leave without pay, 7/1/09 through 2/28/10.
- Kim, Sung Hee, College of Arts and Sciences, Associate Professor\* (with tenure), Psychology, Sabbatical leave at full salary, 1/1/09 through 6/30/09.
- Korsch, Wolfgang, College of Arts and Sciences, Associate Professor (with tenure), Physics and Astronomy, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.
- Lee, Carl, College of Arts and Sciences, Professor (with tenure), Mathematics, Sabbatical leave at full salary, 7/1/08 through 12/31/08.
- Levenson, Nancy, College of Arts and Sciences, Associate Professor (with tenure), Physics and Astronomy, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.
- McKnight, Robert H., College of Public Health, Professor (with tenure), Preventive Medicine and Environmental Health, and joint appointment as Professor (without tenure), Family and Community Medicine, College of Medicine, Sabbatical leave at half salary, 1/1/08 through 6/30/08.
- Molzon, Robert, College of Arts and Sciences, Associate Professor (with tenure), Mathematics, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.
- Moser, Debra K., College of Nursing, Professor (with tenure), from Sabbatical leave at full salary, 7/1/07 through 12/31/07, to Sabbatical leave at full salary, 7/1/07 through 10/5/07.
- Nagel, Uwe, College of Arts and Sciences, Associate Professor (with tenure), Mathematics, Sabbatical leave at full salary, 7/1/08 through 12/31/08.
- Palmer, Brent, College of Arts and Sciences, Associate Professor (with tenure), Biology, and joint appointment as Associate Professor (without tenure), Toxicology, Graduate School, Sabbatical leave at full salary, 1/1/09 through 6/30/09.

- Paz, Yanira, College of Arts and Sciences, Associate Professor (with tenure), Hispanic Studies, Sabbatical leave at full salary, 7/1/08 through 12/31/08.
- Phillips, Jane, College of Arts and Sciences, Professor (with tenure), Modern and Classical Languages, Literatures, and Cultures, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.
- Rabel, Robert, College of Arts and Sciences, Professor (with tenure), Modern and Classical Languages, Literatures, and Cultures, Sabbatical leave at full salary, 1/1/09 through 6/30/09.
- Raitz, Karl, College of Arts and Sciences, Professor (with tenure), Geography, Sabbatical leave at full salary, 7/1/08 through 12/31/08.
- Reed, Deborah B., College of Nursing, Associate Professor (with tenure), and joint appointment as Associate Professor (without tenure), Preventive Medicine and Environmental Health, College of Public Health, from Sabbatical leave at full salary, 1/1/08 through 5/31/08, to Sabbatical leave at full salary, 1/1/08 through 12/31/08.
- Scott, Shaunna, College of Arts and Sciences, Associate Professor (with tenure), Sociology, Sabbatical leave at two-thirds salary, 1/1/09 through 12/31/09.
- Scott, Theresa M., College of Agriculture, County Extension Agent, Cooperative Extension Service, Educational leave at full salary, 1/2/08 through 6/30/08.
- Shlosman, Isaac, College of Arts and Sciences, Professor (with tenure), Physics and Astronomy, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.
- Smith, Gerald, College of Arts and Sciences, Associate Professor (with tenure), History, Sabbatical leave at full salary, 1/1/09 through 6/30/09.
- Tanaka, Keiko, College of Agriculture, Associate Professor (with tenure), Community and Leadership Development, and joint appointment as Assistant Professor, Sociology, College of Arts and Sciences, Sabbatical leave at full salary, 2/1/08 through 7/30/08.
- Uhl, Timothy L., College of Health Sciences, Associate Professor (with tenure), Rehabilitation Sciences, Sabbatical leave at half salary, 8/1/08 through 6/30/09.
- Viele, James, College of Arts and Sciences, Associate Professor (with tenure), Statistics, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.
- Widiger, Thomas, College of Arts and Sciences, Professor (with tenure), Psychology, Sabbatical leave at full salary, 1/1/09 through 6/30/09.
- Woolery, Edward, College of Arts and Sciences, Associate Professor (with tenure), Earth and Environmental Sciences, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.
- Worley, Linda, College of Arts and Sciences, Associate Professor (with tenure), Modern and Classical Languages, Literatures, and Cultures, Sabbatical leave at two-thirds salary, 7/1/08 through 6/30/09.

## **H. RESIGNATIONS**

- Bailey, George, College of Dentistry, Clinical Assistant Professor, Oral Health Science, effective 10/31/07.
- Bruce-Keller, Annadora J., College of Medicine, Associate Professor (with tenure), Anatomy and Neurobiology, effective 12/24/07.

Cappe, Yvonne, College of Communications and Information Studies, Associate Professor\* (with tenure), Journalism and Telecommunications, effective 6/30/07.

Carlyon, Jason A., College of Medicine, Assistant Professor, Microbiology, Immunology and Molecular Genetics, effective from 10/12/07 to 10/31/07.

Geurin, Danni L., College of Social Work, Clinical Instructor, effective 8/14/07.

Curl-Nagy, Deborah J., College of Social Work, Clinical Instructor, effective 6/30/06.

Gross, Roy S., College of Arts and Sciences, Assistant Professor, Military Science, effective 9/30/07.

Guindon, Lynn, College of Arts and Sciences, Senior Lecturer, English, effective 12/31/07.

Hiestand, David M., College of Medicine, Assistant Professor, Internal Medicine, effective 12/31/07.

Horn, Ronald L., College of Arts and Sciences, Assistant Professor, Military Science, effective 9/30/07.

Huhn, Jeniffer L., College of Medicine, Clinical Assistant Instructor, Radiation Medicine, effective 12/15/07.

Jarley, Paul, College of Business and Economics, Professor (with tenure), Management, effective 7/31/07.

Keller, Jeffrey N., College of Medicine, Associate Professor (with tenure), Anatomy and Neurobiology, effective 12/24/07.

Li, Guohong, College of Medicine, Assistant Research Professor, Internal Medicine, effective 9/26/07.

Little, Peter, College of Arts and Sciences, Professor (with tenure), Anthropology, effective 12/31/07.

Perrier, Donald G., College of Pharmacy, Professor (with tenure), Pharmacy Practice and Science, effective 9/30/07.

Schroeder, Valerie A., College of Medicine, Assistant Professor\*, Pediatrics, effective 11/24/07.

Sellitti, Marguerite A., College of Medicine, Clinical Assistant Professor, Radiation Medicine, effective 11/30/07.

Sushko, Yuri, College of Arts and Sciences, Assistant Professor, Physics and Astronomy, effective 6/30/07.

Turner, Lue K., College of Agriculture, Lecturer, Family Studies, effective 6/30/07.

Williams, John P., College of Medicine, Associate Professor (with tenure), Internal Medicine, effective 10/31/07.

Wilson, Annabelle R., College of Fine Arts, Lecturer, Art, effective 6/30/07.

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\*Special Title series

**EXECUTIVE VICE PRESIDENT FOR HEALTH AFFAIRS**

**I. BOARD ACTION**

**A. CHANGES**

Hall, Debra, University Hospital, from Clinical Nurse Researcher to Staff Development Director, Nursing Administration, effective 10/28/07.

Lockhart, David, University Hospital, from Radiation Medicine Therapist Master to Radiation Medicine Therapist Supervisor, Radiation Medicine, effective 11/11/07.

**B. EARLY RETIREMENTS**

Bradley, Victoria, M., Computing Services Director Patient Services, Healthcare Information Technology - Integrated Clinical Information System, after 18 years and 11 months of consecutive service, under AR II.6-1, Section VI.A, effective 10/15/07.

Estepp, Bonnie B., Coordinator, Radiology, after 18 years and 1 month of consecutive service under AR II.6-1, Section VI.A, effective 1/11/08.

Jones, Lucy Mae, Food Services Worker, Support Services, after 25 years and 11 months of consecutive service, under AR II.6-1, Section VI.A, effective 8/18/07.

Lindsey, Christine E., Clinical Nurse – Weekend Premium Plan Hospital Director, Emergency and Trauma Services, after 18 years and 9 months of consecutive service under AR II.6-1, Section VI.A, effective 12/22/07.

Stefaniak, Karen, Associate Patient Care, Hospital Administration, after 22 years and 6 months of consecutive service, under AR II.6-1, Section VI.A, effective 1/18/08.

Stevenson, Bonnie, Nurse Clinical Patient Relations, Cancer Services, after 20 years and 8 months of consecutive service, under AR II.6-1, Section VI.A, effective 9/29/07.

Sutton, Patricia A., Assistant III, Perioperative Services, after 29 years and 8 months of consecutive service, under AR II.6-1, Section VI.A, effective 8/30/07.

Velotta, Catherine L., Technical Project Specialist II, Executive Vice President for Health Affairs Information Technology, after 24 years and 6 months of consecutive service, under AR II.6-1, Section VI.A, effective 11/2/07.

Williams, Randy D., Pharmacy Technician Senior, Pharmacy Services, after 40 years and 10 months of consecutive service, under AR II.6-1, Section VI.A, effective 1/1/08.

### **C. RETIREMENTS**

Riggs, Willa, Medical Technologist, Clinical Laboratory Services, after 5 years and 5 months of consecutive service, under AR II-1.6-1, Section VI.B, effective 1/5/08.

Vinton, Yvonne E., Nurse Clinical, Children's Maternal and Psychiatric Services, after 15 years and 7 months of consecutive service, under AR II-1.6-1, Section VI.B, effective 1/30/07.

## **II. ADMINISTRATIVE ACTION**

### **A. ADMINISTRATIVE APPOINTMENTS**

Horseman, Shirley B., University Hospital, Pre-Operative/Post-Operative Manager, Perioperative Services, effective 10/29/07.

Slover, Mark, University Hospital, Development Director Kentucky Children's Hospital, UK HealthCare, effective 11/5/07.

### **B. CHANGES**

Pennington, Kimberly, University Hospital, from Research Protocol Manager/Clinical, Division of Medicine/Department of Cardiology to Patient Care Manager, Gill Heart Institute, effective 10/1/07.

Short, R. Brett, University Hospital, from Privacy Officer to Assistant Chief Compliance and Privacy Officer/UK HealthCare, Corporate Compliance, effective 11/11/07.

Office of the President  
December 11, 2007

Members, Board of Trustees:

UNIVERSITY STAFF EMERITUS BE CONFERRED UPON  
HENRY CLAY OWEN

Recommendation: that the Board of Trustees confer upon Henry Clay Owen the title of University Staff Emeritus in recognition of his many years of service, dedication, and loyalty to the University of Kentucky.

Background: Henry Clay Owen began his service to the University of Kentucky and the people of the Commonwealth on July 1, 1964. Mr. Owen joined the university as a staff accountant in sponsored projects. He was named controller in 1969, with the title of treasurer being added in 1982. Dr. Lee T. Todd, Jr. is the sixth university president to benefit from Mr. Owen's hard work and wise counsel.

Henry Clay Owen will retire from active service to the University of Kentucky on January 2, 2008. During these last 43 years, Mr. Owen's work has been consistently defined by "the wisdom to see right; the courage to choose it; and the strength to make it endure." With keen intellect, integrity, vision, and sheer force of will, Mr. Owen has been the chief steward of the resources of Kentucky's flagship university, constructing a financial foundation that remains strong and stable. While presidents and other executive officers have come and gone, Mr. Owen's thoughtful steadiness has been integral to the cause of building a flagship university worthy of Kentucky's people. His guidance has shaped the university through times of growth and challenge. During his tenure, university assets have grown from \$15 million to over \$3.1 billion. His time as treasurer has seen the endowment grow from approximately \$10 million to \$1 billion.

Henry Clay Owen has dedicated his time, his talents, and his faithful service to the University of Kentucky since 1964. The university will be forever grateful to him for what he has done and how far it has come during his time in its service. Let it be said of Mr. Owen, most of all, that he is a person of remarkable courage. The poet reminds us that courage is not "the marvelous act" or "the bounty of impulse." Courage is instead "The even loyalty. The amazed understanding. The beauty that is of many days. Steady and clear. It is the normal excellence of long accomplishment."

Henry Clay Owen's "normal excellence of long accomplishment" makes him truly deserving of the honor of University Staff Emeritus, as conferred by the Board of Trustees.

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Action taken:     ☒ Approved     ☐ Disapproved     ☐ Other \_\_\_\_\_

# AACR 1

Office of the President  
December 11, 2007

Members, Board of Trustees:

## CANDIDATES FOR DEGREES

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

Background: In order that the degrees may be conferred upon the individuals completing requirements in December as soon after the close of the semester as possible, it is recommended that the Board of Trustees give its approval contingent upon certification by the university registrar that all requirements have been satisfactory completed.

For details on degree candidate listings,  
please contact

Jacquie Hager  
Registrar's Office  
Room 10 Funkhouser Building  
University of Kentucky  
Lexington, KY 40506-0057  
859-257-7157

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Action taken:    ☒ Approved    ☐ Disapproved    ☐ Other \_\_\_\_\_

**OFFICE OF UNDERGRADUATE ADMISSION AND UNIVERSITY REGISTRAR**  
**CANDIDATES FOR DEGREES - Decembe 2007**

Graduate Degrees:		Undergraduate Degrees:		Education	
Ph.D.	172			B.A.EDU.	110
D.M.A.	4	Agriculture		B.S.EDU.	8
D.N.P.	2	B.S.AB.	10		
Ed.D.	4	B.S.AEC.	36	TOTAL	118
Ed.S.	5	B.S.AECL.	3		
M.A.	52	B.S.AG.	1	Engineering	
M.A.EDU.	14	B.S.AS.	13	B.S.BAE.	8
M.B.A.	10	B.S.CCLD.	10	B.S.CHE.	2
M.E.	1	B.S.DIE.	7	B.S.CE.	35
M.H.A.	1	B.S.FAM.	1	B.S.COE.	1
M.H.P.	6	B.S.FCS.	22	B.S.CS.	12
M.M.	8	B.S.FOS.	1	B.S.EE.	18
M.P.A.	1	B.S.HM.	33	B.S.ME.	13
M.P.H.	13	B.S.HN.	7	B.S.MAE.	1
M.R.C.	28	B.S.MAT.	35	B.S.MIN	2
M.S.	100	B.S.PSS.	8		
M.S.ACC.	2	B.S.NRC.	4	TOTAL	92
M.S.BE.	2				
M.S.BAE.	5	TOTAL	191	Fine Arts	
M.S.C.E.	12			B.A.	29
M.S.CHE.	1	Arts and Sciences		B.F.A.	9
M.S.C.T.L.E.	5	B.A.	270	B.M.	2
M.S.EDU.	19	B.S.	70	B.M.ME.	5
M.S.E.E.	25				
M.S.FAM.	4	TOTAL	340	TOTAL	45
M.S.FOR.	4				
M.S.IDM.	3	Business and Economics		Health Sciences	
M.S.L.S.	36	B.B.A.	111	B.H.S.	2
M.S.MSCE.	1	B.S.A.	51		
M.S.MSE.	13	B.S.BE	7	TOTAL	2
M.S.ME.	11				
M.S.MIN.	5	TOTAL	169	Nursing	
M.S.N.	3			B.S.N.	49
M.S.N.S.	2	Comm. & Information Studies			
M.S.PAS	6	B.A.	80	TOTAL	49
M.S.PT	2	B.S.	37		
M.S.RMP	3			Social Work	
M.S.W.	18	TOTAL	117	B.A.SW.	19
TOTAL	603	Design		TOTAL	19
		B.ARCH.	5		
		B.A.ARC.	5		
		B.A.ID.	1		
Professional Degrees:		TOTAL	11	Graduate Degrees	603
J.D.	4			Professional Degrees	12
M.D.	2			Undergraduate Degrees	1,153
Dr.P.H.	6				
				TOTAL	1,766
TOTAL	12				



# AACR 2

Office of the President  
December 11, 2007

Members, Board of Trustees:

CANDIDATES FOR DEGREES  
BLUEGRASS COMMUNITY AND TECHNICAL COLLEGE

Recommendation: that the president be authorized to confer upon each individual whose name appears on the attached list the degree to which he or she is entitled, upon certification by the Kentucky Community and Technical College System (KCTCS) Board and the University of Kentucky registrar that the individual has satisfactorily completed all requirements for the degree for which application has been made and as approved by the chair of the Senate Council on behalf of the elected faculty of the University Senate and the Academic Affairs Committee of the Board of Trustees.

Background: On July 1, 2004, the Memorandum of Agreement among the University of Kentucky, the Kentucky Community and Technical College System, and Lexington Community College (LCC) pursuant to House Joint Resolution 214 was approved. The agreement states that LCC students who were or are officially enrolled on or before September 2004 in associate degree programs approved by the UK Board of Trustees, and who complete the associate degree program on or before August 31, 2010, shall have their degrees conferred by the UK Board of Trustees.

Subsequent to passage of that agreement, the Lexington Community College name has been changed to the Bluegrass Community and Technical College.

For details on degree candidate listings,  
please contact

Jacquie Hager  
Registrar's Office  
Room 10 Funkhouser Building  
University of Kentucky  
Lexington, KY 40506-0057  
859-257-7157

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Action taken:    ☒ Approved    ☐ Disapproved    ☐ Other \_\_\_\_\_

# AACR 3

Office of the President  
December 11, 2007

Members, Board of Trustees:

PROPOSED REVISION TO ADMINISTRATIVE REGULATION:  
CONFLICT OF INTEREST/FINANCIAL DISCLOSURE POLICY - RESEARCH

Recommendation: that the Board of Trustees approve the attached revision of Administrative Regulation (AR) II-4.0-4, Conflict of Interest/Financial Disclosure Policy – Research. The proposed revision consists primarily of clarifying the requirements and procedure for employees to disclose potential financial conflicts of interest related to research, and adding human subject research to the regulation in accordance with the requirements of the Association for the Accreditation of Human Research Protection Programs (AAHRPP).

Background: The university's mission involves three primary functions: instruction, research, and service. In compliance with state and Federal law, this regulation sets forth policies, principles, and procedures to ensure that the personal financial interests of university employees do not compromise: (a) the objectivity with which research is designed, conducted, and reported; (b) the welfare of research participants; or (c) the objectivity with which intellectual property is developed. The revision is intended to:

- Add human subject research to the regulation to conform to the standards of the Association for the Accreditation of Human Research Protection Programs (AAHRPP);
- Clarify the requirements and procedures for disclosing potential conflicts and the procedure by which the university reviews such disclosures;
- Update the language to conform to the current university administrative organization (i.e., provost model) and update the general formatting to make the regulation consistent with other revised university regulations;
- Change the name of the regulation to “Research Conflict of Interest and Financial Disclosure Policy” to clarify that it relates only to research; and
- Allow the Senate Council to make nominations to the president for appointment to the Research Conflict of Interest Committee.

A revised copy of AR II-4.0-4 is attached. Proposed additions are underlined; proposed deletions are lined through.

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Action taken:      ☒ Approved      ☐ Disapproved      ☐ Other \_\_\_\_\_

UNIVERSITY OF KENTUCKY <b>ADMINISTRATIVE REGULATIONS</b>	IDENTIFICATION AR II-4.0-4		PAGE 1
	DATE EFFECTIVE 9/19/95/07	SUPERSEDES REGULATION DATED 9/19/95	

## **RESEARCH CONFLICT OF INTEREST AND FINANCIAL DISCLOSURE POLICY--** **RESEARCH**

(Approved by the Board of Trustees)

### I. Statement of General Policy

A.—Integrity, objectivity, and absence of self-dealing are essential at all levels and in all aspects of University governmental and private activities, including research. The University of Kentucky and its employees are committed to conducting themselves and their activities in accordance with the highest standards of integrity and ethics. B.—The University recognizes that actual or potential conflicts of interest may occur in the normal conduct of research and other activities. Thus, it is essential that investigators disclose their and their family members' the significant potential for conflicts financial interests related to research be disclosed and for review reviewed by the University. After disclosure the University can make an informed judgment about a particular activity and require appropriate oversight, limitations, or prohibitions in accordance with this policy.

C.—It is the purpose of this regulation: (i) to set forth policies, principles, and procedures to ensure that the financial interests of University of Kentucky employees do not compromise the objectivity with which research is designed, conducted, and reported, as well as the objectivity with which intellectual property is developed; and (ii) to comply with state and federal regulations that are designed to promote objectivity in research activities.

### II. Purpose

In compliance with state and Federal law, this regulation sets forth policies, principles, and procedures to ensure that the personal financial interests of University employees do not compromise:

A.- the objectivity with which research is designed, conducted, and reported;

B.- the welfare of research participants; or

C.- the objectivity with which intellectual property is developed. ; and

(NOTE: For regulations on consulting activities and conflict of interest, see AR II-1.1-1)

### III. ScopeApplicability

This regulation policy applies to all faculty, and staff employees, and students involved in research and related activities and to the disclosure and subsequent development of intellectual property.

### IV. Definitions

The following definitions apply to this regulation policy, unless a different definition is used by an applicable federal agency. In that case, the definition used in the federal agency's regulations will apply.

A. "Investigator" means the principal investigator, a co-principal investigator, and any other person at the University who is responsible for the design, conduct, or reporting of research.

B. "Family Member" means spouse or dependent child.

C. "Associated Entity" means any trust, organization, or enterprise over which an investigator or a family member of the investigator, individually or collectively, exercises a controlling interest.

D. "Relevant Significant Financial Interest" means an interest that would reasonably appear to be affected by the research for which funding is sought.

E. "Research" or "Research Activity" means a systematic investigation designed to develop or contribute to generalizable knowledge. The term encompasses basic and applied research such as bench work, clinical trials ~~and/or~~ other work and product development, and other forms of creative activity. The term includes any such research or creative activity conducted at the University, by University personnel under the auspices of the University, or conducted in situations in which University positions or titles are utilized in resultant publications, ~~/presentations, /~~ or other forms of intellectual property, irrespective of whether such research is funded by contract, gift, cooperative agreement, ~~and/or~~ general funds of the Commonwealth. The term also includes collaborative work with a manufacturer, a distributor, or a sponsor of the research and includes any tangible or intangible inventions, discoveries, patents, or ideas necessary for development, utilization or processes associated with the activity.

F. "Significant Financial Interest" means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria), equity interests (e.g., stocks, stock options, or other ownership interests), and intellectual

property rights (e.g., patents, copyrights, and royalties from such rights). For research involving human subjects, "significant financial interest" also includes employee or executive relationships with entities that have a financial interest in the research even when no remuneration is involved. The term does not include any of the following:

1. Salary; ~~royalties~~; or other remuneration from the University;
2. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
3. Income from service on advisory committees or review panels for public or nonprofit entities;
4. Income (e.g., salary, fees, or other continuing payments) in an amount of \$10,000 or less per annum from any one business enterprise or entity when aggregated for the investigator and members of the investigator's family; and
5. Financial interests in any one business enterprise or entity if the value of those interests does not exceed \$10,000.00 in value as determined through public prices or other reasonable measures of fair market value, and does not represent more than a five percent (5%) ownership interest when aggregated for the investigator and members of the investigator's family.

~~G. "Conflict of Interest Committee" means a committee of at least five members recommended by the Vice President for Research and Graduate Studies and appointed by the President. Membership on the committee shall be limited to deans of colleges, directors of centers or institutes, faculty members, and other persons employed by the University of Kentucky. Appointments to the Committee shall normally be for three (3) year terms.~~

V. Research Conflict of Interest Committee (RCOIC)

A. Membership

1. The RCOIC is appointed by the President and reports to the Vice President for Research (VPR). The President shall designate the chair and appoint ex officio members.
- 2.- The RCOIC shall be composed of a minimum of five (5) members appointed by the President and selected from recommendations submitted separately by the VPR and the University Senate Council.
- 3.- A majority of the membership shall consist of faculty employees without administrative appointments. The remaining appointments shall be comprised of

faculty employees with administrative appointments (e.g., associate deans, deans, directors of centers or institutes) or staff.

4.— The RCOIC members, other than those with ex officio status, shall have staggered three (3)-year appointments.

B. Responsibilities

1. The RCOIC provides assistance on matters involving conflicts of interest and disclosures of significant financial interests in research as defined by this regulation. The RCOIC makes recommendations on courses of action designed to manage, reduce, or eliminate the conflict. More specific responsibilities are outlined in section VIII of this regulation.

2. The RCOIC shall maintain written minutes of meetings and, on request, shall prepare reports for the VPR.

VI.HH. Conflicts of Interest

A. A potential or actual conflict of interest exists when a significant financial interest (as defined herein) of an investigator, a family member of the investigator or an associated entity, would reasonably appear to be affected by the research activities of the investigator or the development of intellectual property.

B. An investigator may not engage in research activities in which a potential or actual conflict of interest exists in fact or develop intellectual property for which actual or potential conflict exists, unless authorized in writing by the ~~Vice President for Research and Graduate Studies~~ VPR and conducted in full accord with conditions and restrictions imposed by the ~~Vice President~~ VPR.

IVII. Disclosure Requirements

A. No application for funding from an external agency may be submitted to the agency until all investigators have completed required disclosure forms. Disclosure forms must be completed even if no relevant significant financial interest exists.

BA. An investigator shall disclose relevant significant financial interests of the investigator and the investigator's family members:

1.(i) at the time ~~an~~ of the application is submitted for external research support (from internal or external sources); and

~~2.(ii)~~ prior to submission of intellectual property (specifically, e.g., copyrights, patents, and trademarks) for registration ~~and/or~~ filing, ~~or~~ and.

~~3.(iii)~~ at the time an application is submitted for review by the Institutional Review Board (IRB).

C. For so long as the research is ongoing, disclosures under this provision relating to ongoing research must be updated any time a relevant significant financial interest, not originally disclosed, develops or is acquired. Disclosures under this provision related to intellectual property shall be updated prior to the execution of any contract, license, or other transaction involving the intellectual property. The ~~VPRice President~~ may also require an investigator to update a disclosure at any time.

~~D.B.~~ Disclosures required by this provision shall be submitted to the dean of the investigator's college or the director of the institute or center, or other appropriate senior administrator of the educational or non-academic administrative unit where the investigator has a primary appointment. In any instance in which the required disclosure statement(s) are not submitted at the time the application is submitted to the Office of Sponsored Projects Administration (OSPA) or an application is submitted to the IRB, the dean or director shall solicit such statements from the investigator.

~~E.C.~~ Disclosures shall be made on standard disclosure forms available from OSPA~~the Office of Sponsored Projects Administration~~;  
<http://www.uky.edu/eForms/forms/discfin.pdf>

#### VIII. Review of Financial Interest Disclosure Statements and Management of Conflicts

##### A. Review of Financial Interest Disclosure Statements

Disclosure statements shall be promptly reviewed by the dean, ~~or~~ director, or senior administrator for the purpose of determining if a relevant significant financial interest is disclosed. If the disclosure statement reveals any relevant significant financial interest, a potential or actual conflict exists.

##### B. No Relevant Significant Financial Interest Disclosed

If the review reveals no relevant significant financial interest, disclosure statements shall immediately be forwarded to ~~the Office of Sponsored Projects Administration (OSPA)~~, and no further action is required.

##### C. Significant Financial Interest Disclosed and Management

A conflict of interest exists and management of a relevant significant financial interest is required if a person could reasonably conclude that the interest could directly and significantly affect the design, conduct, or reporting of the research activity under consideration, the protection of research participants, or the interest could affect the development of intellectual property. When a relevant significant financial interest is disclosed, the following actions must be completed prior to expenditure of any funds under the award, prior to approval by the IRB or prior to the submission of intellectual property for registration:

1. The dean, ~~or director,~~ or senior administrator shall consult with the investigator and the parties ~~shall~~ will jointly review the disclosure statement. If a potential or actual conflict of interest is eliminated by agreement of the parties (e.g., through divestiture of interest, severance of relationships, ~~etc.~~), no further action is required except that the dean ~~or director,~~ or senior administrator shall provide a written confirmation of the agreement of the parties to the ~~VPR~~ President for Research and Graduate Studies and forward the disclosure statement to ~~OSPA~~ the Office of Sponsored Projects Administration.

2. If elimination of the conflict or potential conflict is not possible, the investigator shall propose a course of action to manage or reduce the conflict. ~~The parties will attempt to make a joint recommendation for the management or reduction of the conflict to the Vice President. If the parties are unable to propose a joint management plan, each individual may submit a proposed management plan. If the parties have submitted a joint plan, the Vice President may either accept the proposed course of action or refer the matter to the Conflicts of Interest Committee. If the parties have been unable to agree to a joint plan, the matter shall automatically be submitted to the Committee. The dean, or director, or senior administrator may offer assistance with the plan and OSPA may also be consulted for guidance. In any case, the dean, or director, or senior administrator shall review the plan proposed by the investigator and may attach additional comments or information. For research involving human subjects the plan shall~~ must be designed so that the financial interest does not affect the risk to or welfare of research participants.

3. The plan shall be forwarded to OSPA, either directly or through the IRB in the case of non-externally funded human subjects research. OSPA shall review the disclosure for completeness and may request additional information. The disclosure and recommended management plan shall be forwarded to the RCOIC for review. In such instances, the Committee shall formulate a course of action to be taken in the management, reduction, or elimination of the conflict.



4. The RCOIC shall review all the material. The RCOIC may accept the recommended plan, add to the plan or formulate a different course of action to be taken in the management, reduction, or elimination of the conflict.

(a)- The RCOICCommittee shall provide the investigator an opportunity to meet with the RCOICCommittee to discuss the situation and possible courses of action. The RCOICCommittee may request the investigator, and/or the dean, or director, or senior administrator to meet with the RCOICCommittee or to provide information pertinent to the issue. The RCOICCommittee may, in its discretion, consult with experts if necessary or advisable.

(b)- The RCOICCommittee shall propose appropriate conditions or restrictions to the VPRice President for Research and Graduate Studies. The RCOICCommittee may also conclude that the potential or actual conflict is sufficiently remote or unrelated to the research or intellectual property so that no action, other than the disclosure and annual reporting requirements, is required. In either event, the proposal shall be in writing, and a copy of the proposal shall will be provided to the investigator. The investigator may also submit written objections or exceptions to the proposal to the VPRice President. The investigator's response must be submitted within five (5) business days following delivery of the proposal, unless time requirements of any agency or sponsor require shorter time frames.

(c)- The RCOICCommittee has wide discretion to recommend, —and the VPRVice President to impose, —conditions or restrictions on investigators in formulating courses of action designed to deal with potential or actual conflicts of interest. Examples of conditions or restrictions that may be employed to —manage, reduce, or eliminate such conflicts include:

(i.1)- public disclosure of significant financial interests;

(ii.2)- monitoring of the research by independent reviewers;

(iii.3)- modification of the research plan;

(iv.4)- disqualification from participation in all or a portion of the research;

(v.5)- divestiture of the significant financial interest; or

(vi.6) severance of relationships that create the actual or potential conflict of interest.

5. The ~~VPR~~ ~~ice President~~ may accept the report and recommendations of the ~~RCOIC Committee~~, or return the matter to the ~~RCOIC Committee~~ with stated concerns or suggestions. The ~~VPRice President~~ shall ~~will~~ render the final decision, and shall notify the researcher, the dean, or director and the ~~RCOIC Committee~~ of any terms and conditions that shall ~~will~~ be employed to manage, reduce or eliminate the conflict.

6. If the research involves human subjects, a copy of the final accepted report and recommendations of the RCOIC shall be forwarded to the IRB. Disclosure of the financial interest to the research participant alone is not a sufficient plan.

~~5. Decisions of the Vice President are final, although affected parties may request the Vice President to reconsider the decision.~~ D. Conflict of Interest Management Reports

The plan recommended by the RCOIC and accepted by the VPR may require a report. In most cases a report shall be filed annually and at the end of the project. Reports shall be submitted to the RCOIC and shall document the actions taken to implement the conditions outlined in the plan.

#### VIIX. Enforcement

A. The following acts and failures violate the provisions of this regulation ~~policy~~:

(1.) intentionally or recklessly providing incomplete, erroneous, or misleading information on a disclosure form;

(2.) failing for any reason to make any required disclosure; and

(3.) failing to provide requested information needed for an appropriate review of potential or actual conflict of interest situations.

B. A violation of this regulation ~~policy~~ is grounds for the discipline of an investigator or other employee. Sanctions that may be imposed for such a violation include but are not limited to any one or more of the following:

(1.) involuntary termination of employment;

(2.) non-renewal of appointment;

- (3.) \_\_suspension;
- (4.) \_\_letter of admonition;
- (5.) \_\_public disaffirmation of the research;
- (6.) \_\_notification to regulatory bodies (e.g., U.S. Patent Office, Copyright Office, etc.);
- (7.\_\_\_\_) notification to actual or potential research funding agencies; and
- (8.) \_\_protest to editorial boards. Additionally, the University may decline the sponsored research agreement, or decline to submit or further process any intellectual property.

C. Disciplinary proceedings initiated under this regulation policy ~~shall will~~ be conducted in accordance with the Governing and Administrative Regulations ~~and, where appropriate, the Staff Personnel Policy and Procedure Administrative Regulations Human Resources Policy and Procedures, and or the Manual~~ Student Code of Conduct.

#### X.VII. Miscellaneous

A. Disclosure statements, other documentation used in the review of such statements, and records of institutional action taken pursuant to this policy shall be maintained in OSPA for a period of three (3) years following completion of the research project that generated the disclosure statements, documentation, ~~and/or~~ or institutional actions, for a period of time needed for resolution of government action involving such records, or for a period of time fixed by the VPRice President for Research and Graduate Studies, whichever is longer. To the extent permitted by law, such records shall be maintained confidentially.

B. The University ~~shall will~~ make the information described in the preceding paragraph available as prescribed by the sponsoring agency's policy ~~or~~, upon request, to external funding agencies, along with requested information as to how a relevant potential or actual conflict of interest was managed, reduced, or eliminated to protect the objectivity of the research. If a potential or actual conflict of interest is identified after a grant or contract has been awarded, the University ~~will~~ shall inform the awarding agency of that conflict within sixty (60) days of its discovery (or as otherwise required by law) along with actions taken to manage, reduce, or eliminate the actual or potential conflict of interest.

C. If the University ever determines that it is unable to manage satisfactorily a potential or actual conflict of interest that threatens the objectivity of particular research

activity, the University ~~shall~~will promptly inform the relevant external funding agencies of that fact as required by the agency policy.

D. ~~The University shall~~will publish this policy so that it is known to University investigators.—In making applications for external funding of research activities, investigators will be required to certify that they have read and understand this regulation~~policy~~.

References:

National Institutes of Health 42 CFR Part 50 Subpart F

National Science Foundation "Award and Administrative Guide" Chapter IV.A.

Association for the Accreditation of Human Research Protection Programs (AAHRPP)

# FCR 1

Office of the President  
December 11, 2007

Members, Board of Trustees:

## RESOLUTION ESTABLISHING AUTHORITY FOR BANKING AND INVESTMENT TRANSACTIONS

Recommendation: that the Board of Trustees authorize the treasurer of the University of Kentucky to (1) establish bank accounts in the name of the university and its affiliated corporations and be the designated signatory authority for the disbursement of funds (checks, ACH, wires, EFT, etc.), (2) establish investment contracts and authorize endowment and short-term/overnight investment transactions under the supervision of the Investment Committee of the Board of Trustees, and (3) assign, sell, or otherwise dispose of securities received as gifts.

Further, the Board of Trustees authorizes that the treasurer may delegate, in writing, signature authority for the above transactions to the treasury operations director or the assistant treasurer for investments.

Background: The Board of Trustees, in an action dated June 22, 1982 named Henry Clay Owen, then as controller and treasurer, as the university officer to sign checks, drafts, and orders. In a further resolution dated September 21, 1982, the Board appointed the treasurer as the university official authorized to assign, sell, or otherwise dispose of securities received as gifts. The Investment Committee of the Board of Trustees approved the Short-Term Current Funds Investment Policy, dated December 12, 1995, which stated that the controller and treasurer performs short-term investments under the supervision of the Investment Committee. Governing Regulation II.A.6.(f) establishes that the Investment Committee of the Board of Trustees is responsible for the review and oversight of the endowment investment programs of the university and its affiliated corporations and that the policies of the committee are implemented by the Office of the Treasurer in carrying out the day-to-day operations of the university's endowment funds.

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Action taken:      ☒ Approved      ☐ Disapproved      ☐ Other\_\_\_\_\_

# FCR 2

Office of the President  
December 11, 2007

Members, Board of Trustees:

ESTABLISHMENT OF UNIVERSITY OF KENTUCKY OTHER POSTEMPLOYMENT  
BENEFITS (OPEB) TRUST QUASI ENDOWMENT FUND

Recommendation: that the Board of Trustees authorize the establishment of the University of Kentucky Other Postemployment Benefits (OPEB) Trust Quasi Endowment Fund. The quasi endowment will consist of university funds transferred to and invested by U.S. Bank, as trustee, under the University of Kentucky Other Postemployment Benefits (OPEB) Trust, for the payment of postemployment benefits, primarily retiree health insurance credits.

Background: Governmental Accounting Standards Board (GASB) Statement No. 45, "Accounting and Financial Reporting by Employers for Postemployment Benefits Other Than Pensions" became effective for the university July 1, 2007. This statement requires the university to record, as a current expense, the actuarially determined cost of providing future benefits to employees during their postemployment period.

The standard allows this expense to be reduced by estimated future earnings on funds set aside specifically for these purposes. The university has established, and will begin to fund, the University of Kentucky Other Postemployment Benefits (OPEB) Trust which will be administered by U.S. Bank. U.S. Bank will invest the funds at the university's direction.

Given the time horizon for the future payment of these benefits, investment strategies such as those used for the university's pooled endowment fund are appropriate. In addition, investing these funds as a quasi endowment within the university's pooled endowment funds will greatly reduce the administrative costs that would be incurred if the trust funds were invested separately.

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Action taken:      ☒ Approved      ☐ Disapproved      ☐ Other\_\_\_\_\_

# FCR 3

Office of the President  
December 11, 2007

Members, Board of Trustees:

AUTHORIZATION TO SELL 1503 COCHRAN ROAD,  
LEXINGTON, KENTUCKY

Recommendation: that the Board of Trustees authorize the executive vice president for finance and administration to sell the house and real property (the "Property") situated at 1503 Cochran Road, Lexington, Kentucky for a sale price not less than the appraised fair market value; further, that the executive vice president for finance and administration be authorized to execute any and all documents required for such sale.

Background: The Property was a gift to the university in October 2007 by Edward and Anne Elliot. The Property consists of a single-family residence situated on a double-lot measuring approximately 4,792 square feet. The university will obtain two appraisals to determine fair market value.

The Property is now surplus to the needs of the university, and the university proposes to sell by sealed bid or public auction in accordance with the laws on disposition of real property.

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Action taken:    ☒ Approved    ☐ Disapproved    ☐ Other \_\_\_\_\_

# FCR 4

Office of the President  
December 11, 2007

Members, Board of Trustees:

ACCEPTANCE OF INTERIM FINANCIAL REPORT FOR THE  
UNIVERSITY OF KENTUCKY FOR THE THREE MONTHS ENDED  
SEPTEMBER 30, 2007

Recommendation: that the Board of Trustees accept the University of Kentucky consolidated financial report for the three months ended September 30, 2007.

Background: The consolidated financial report includes the financial activities of the University of Kentucky and its affiliated corporations, consisting of the University of Kentucky Research Foundation, The Fund for Advancement of Education and Research in the University of Kentucky Medical Center, University of Kentucky Athletic Association, University of Kentucky Mining Engineering Foundation, University of Kentucky Business Partnership Foundation, University of Kentucky Humanities Foundation, University of Kentucky Equine Research Foundation, University of Kentucky Center on Aging Foundation, and Central Kentucky Management Services.

As of September 30, 2007, the university had realized income of \$636,180,000 representing 31 percent of the 2007-08 estimate of \$2,072,188,000. Expenditures total \$507,585,000 or 24 percent of the approved budget of \$2,072,188,000.

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Action taken:      ☒ Approved      ☐ Disapproved      ☐ Other\_\_\_\_\_





*Consolidated Financial  
Statements*

*For the three months ended September 30, 2007*

**CONSOLIDATED BALANCE SHEET**  
**UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS**  
**SEPTEMBER 30, 2007**

with comparative totals for September 30, 2006  
(in thousands)

	2007-08					2006-07	
	Current Unrestricted Funds	Current Restricted Funds	Loan Funds	Endowment Funds	Plant Funds	Totals	Totals
<b>ASSETS</b>							
Cash and cash equivalents	\$ 299,627	\$ 46,262	\$ 7,059		\$ 149,634	\$ 502,582	\$ 571,153
Notes, loans, and A/R (less bad debt allowances of \$27,120)	140,551	76,878	24,652	\$ 2,000	575	244,656	216,568
Investments	27,175	81,099		990,277	47,959	1,146,510	973,807
Property, plant, and equipment, net of depreciation					1,208,102	1,208,102	1,083,266
Inventories and other	50,427				1,923	52,350	30,302
<b>Total Assets</b>	<b>\$ 517,780</b>	<b>\$ 204,239</b>	<b>\$ 31,711</b>	<b>\$ 992,277</b>	<b>\$ 1,408,193</b>	<b>\$ 3,154,200</b>	<b>\$ 2,875,096</b>
<b>LIABILITIES AND FUND BALANCES</b>							
<b>Liabilities</b>							
Accounts payable	\$ 73,228	\$ 5,877	\$ 297		\$ 1,908	\$ 81,310	\$ 52,620
Employee withholdings and deposits		23,380				23,380	25,227
Other liabilities	11,487	639	21,894	\$ 6,702	9,737	50,459	46,999
Liability for self insurance	76,590					76,590	63,014
Deferred income	29,599	32,998				62,597	57,825
Bonds payable					372,415	372,415	392,445
Capitalized lease obligation	12,500				116,638	129,138	65,195
<b>Total Liabilities</b>	<b>203,404</b>	<b>62,894</b>	<b>22,191</b>	<b>6,702</b>	<b>500,698</b>	<b>795,889</b>	<b>703,325</b>
<b>Interfund Balances</b>	<b>(67,915)</b>	<b>48,999</b>		<b>22,059</b>	<b>(3,143)</b>		
<b>Net deferred revenues and appropriated fund balances</b>	<b>125,460</b>	<b>3,136</b>				<b>128,596</b>	<b>109,606</b>
<b>Fund Balances</b>							
Current unrestricted							
Working capital	241,940					241,940	187,707
Future operating purposes	3,311					3,311	3,332
Other	11,580					11,580	45,097
Current restricted		89,210				89,210	82,761
Loan			9,520			9,520	8,737
True endowments				655,882		655,882	548,689
Term endowments				3,940		3,940	3,762
Quasi endowments				299,813		299,813	218,176
Charitable trusts				2,997		2,997	2,747
Gift annuities				884		884	769
Plant							
Retirement of indebtedness					19,898	19,898	19,295
Renewal and replacement					20,906	20,906	70,751
Allocated for designated projects					103,643	103,643	121,792
Net investment in plant					766,191	766,191	748,550
<b>Total Fund Balances</b>	<b>256,831</b>	<b>89,210</b>	<b>9,520</b>	<b>963,516</b>	<b>910,638</b>	<b>2,229,715</b>	<b>2,062,165</b>
<b>Total Liabilities and Fund Balances</b>	<b>\$ 517,780</b>	<b>\$ 204,239</b>	<b>\$ 31,711</b>	<b>\$ 992,277</b>	<b>\$ 1,408,193</b>	<b>\$ 3,154,200</b>	<b>\$ 2,875,096</b>

**CONSOLIDATED STATEMENT OF CURRENT FUNDS REVENUES AND APPROPRIATED FUND BALANCES**  
**UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS**  
**FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2007**

with comparative totals for September 30, 2006

(in thousands)

	2007-08				2006-07	
	Original Budget	Revised Budget	Realized To Date	%	Realized To Date	%
<b>General Fund</b>						
State appropriations	\$ 335,017	\$ 335,017	\$ 100,505	30	\$ 95,570	30
Student fees	242,994	242,994	118,406	49	110,767	53
County appropriations	14,453	14,453	3,053	21	3,048	24
Endowment and investment income	13,229	13,229	5,096	39	3,476	27
Non governmental grants and contracts	98,315	98,315	26,260	27	24,094	26
Grants, donations, pledges						
Affiliated corporations	28,151	28,151	6,863	24	6,349	23
Other	11,737	11,737	2,377	20	86	2
Sales and services	24,778	24,778	5,834	24	6,022	26
Transfers	15,827	15,827	2,368	15	1,940	12
<b>Total General Fund</b>	<b>784,501</b>	<b>784,501</b>	<b>270,762</b>	<b>35</b>	<b>251,352</b>	<b>35</b>
<b>Auxiliary Enterprises</b>	<b>70,284</b>	<b>70,284</b>	<b>19,428</b>	<b>28</b>	<b>17,020</b>	<b>27</b>
<b>Restricted Funds</b>						
Federal appropriations	15,911	15,911	4,487	28	5,355	35
Other	114,234	114,234	25,288	22	23,558	25
<b>Affiliated Corporations</b>	<b>337,189</b>	<b>337,189</b>	<b>81,520</b>	<b>24</b>	<b>78,277</b>	<b>24</b>
<b>Health Affairs</b>	<b>683,141</b>	<b>683,141</b>	<b>167,768</b>	<b>25</b>	<b>138,047</b>	<b>23</b>
<b>Total Revenues</b>	<b>2,005,260</b>	<b>2,005,260</b>	<b>569,253</b>	<b>28</b>	<b>\$ 513,609</b>	<b>28</b>
<b>Appropriated Fund Balance</b>						
Current unrestricted fund	66,928	66,928	66,928	100	32,462	100
<b>Total Revenues and Appropriated Fund Balance</b>	<b>\$ 2,072,188</b>	<b>\$ 2,072,188</b>	<b>\$ 636,180</b>	<b>31</b>	<b>\$ 546,071</b>	<b>30</b>

**CONSOLIDATED STATEMENT OF CURRENT FUNDS EXPENDITURE SUMMARY BY PROGRAM - ALL FUNDS  
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS  
FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2007**

with comparative totals for September 30, 2006  
(in thousands)

	2007-08				2006-07	
	Original Budget	Revised Budget	Expended To Date	%	Expended To Date	%
Instruction	\$ 285,313	\$ 283,146	\$ 58,021	20	\$ 54,942	22
Research	273,976	274,937	59,940	22	58,936	22
Public service	244,028	244,398	58,969	24	55,896	26
Academic support	106,734	107,102	23,150	22	21,264	23
Student services	27,651	28,164	6,967	25	6,305	28
Institutional support	153,452	152,076	25,288	17	21,562	18
Student financial aid	87,463	88,663	41,233	47	39,483	49
Operation and maintenance	54,796	54,927	12,681	23	15,271	27
Mandatory transfers (debt service)	17,446	17,446	16,286	93	15,581	91
Health affairs	684,194	684,194	167,315	24	116,589	20
Auxiliary enterprises	137,135	137,135	37,734	28	30,636	25
<b>Total Expenditure by Program</b>	<b>\$ 2,072,188</b>	<b>\$ 2,072,188</b>	<b>\$ 507,585</b>	<b>24</b>	<b>\$ 436,465</b>	<b>24</b>

**EXPENDITURE SUMMARY BY CATEGORY OF EXPENDITURE  
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS  
FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2007**

with comparative totals for September 30, 2006  
(in thousands)

	2007-08				2006-07	
	Original Budget	Revised Budget	Expended To Date	%	Expended To Date	%
Personnel costs	\$ 1,047,165	\$ 1,048,510	\$ 271,253	26	\$ 246,442	26
Operating expenses	927,069	927,103	205,012	22	160,288	20
Mandatory transfers (debt service)	36,662	36,662	16,661	45	15,938	55
Capital outlay	61,292	59,913	14,659	24	13,797	28
<b>Total Expenditure by Category</b>	<b>\$ 2,072,188</b>	<b>\$ 2,072,188</b>	<b>\$ 507,585</b>	<b>24</b>	<b>\$ 436,465</b>	<b>24</b>

**CONSOLIDATED SUMMARY OF NET DEFERRED REVENUES AND APPROPRIATED FUND BALANCES  
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS  
FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2007**

with comparative totals for September 30, 2006  
(in thousands)

	2007-08	2006-07
<b>Realized Revenues</b>	<b>\$ 569,253</b>	<b>\$ 513,609</b>
<b>Appropriated Fund Balances</b>		
Current Unrestricted Fund	\$ 66,928	32,462
Total Appropriated Fund Balances	66,928	32,462
Total Revenues and Appropriated Fund Balances	636,180	546,071
<b>Expenditures</b>	<b>507,585</b>	<b>436,465</b>
<b>Net Deferred Revenues and Appropriated Fund Balances</b>	<b>\$ 128,596</b>	<b>\$ 109,606</b>

# FCR 5

Office of the President  
December 11, 2007

Members, Board of Trustees:

## 2007-08 BUDGET REVISIONS

Recommendation: that the Board of Trustees authorize and approve the following revisions to the 2007-08 budget. The budget revisions outlined below will increase the University of Kentucky's total budget by \$23,069,500 – from \$2,072,187,800 to \$2,095,257,300.

	<u>Approved Budget</u>	<u>Revised Budget</u>	<u>Change</u>
<b>A. <u>GENERAL FUND</u></b>			
1. Income Estimates			
State Appropriations	\$334,271,000	\$336,271,000	\$2,000,000
Mandatory Registration Fees	6,927,900	6,867,900	(60,000)
County Appropriations	14,452,800	14,376,600	(76,200)
Gifts, Grants, and Contracts – Other	10,537,100	10,787,100	250,000
Departmental Sales and Services	20,068,800	20,067,000	(1,800)
Transfers – UKAA	1,000,000	1,120,000	120,000
Fund Balances	66,927,700	87,426,100	<u>20,498,400</u>
			\$22,730,400
2. Expenditures			
Provost			
Agricultural Cooperative Extension Service			
Field Programs	\$34,971,900	\$34,895,700	\$(76,200)
Student Affairs			
Campus Recreation	2,081,800	2,021,800	(60,000)
Student Financial Aid			
Commonwealth Scholarships	2,000,000	2,120,000	120,000
UK Libraries	20,795,700	20,793,900	(1,800)

	<u>Approved Budget</u>	<u>Revised Budget</u>	<u>Change</u>
Research			
Center for Applied Energy			
Research	\$5,242,800	\$7,242,800	\$2,000,000
Kentucky Geological Survey	4,254,100	4,504,100	250,000
University Wide			
General Operating and Capital			
Projects	67,125,000	87,623,400	<u>20,498,400</u>
			\$22,730,400

3. Comments – The Kentucky General Assembly approved a \$2 million increase in state appropriations during the special session for the Center for Applied Energy Research to increase the Center’s research capabilities.

Anticipated revenue from the Seaton Center Mandatory Fee was overestimated during the development of the 2007-08 budget. The 2007-08 budget is adjusted to reflect actual enrollment.

County memoranda agreements for labor expenses for the county secretaries and assistants in the College of Agriculture Cooperative Extension Service Field Programs have now been established. The 2007-08 budget is adjusted to reflect these agreements.

Gifts, Grants, and Contracts will increase \$250,000 as a result of a transfer of funds from the Local Government Economic Development Fund to support the Kentucky Geological Survey.

The University of Kentucky Athletic Association (UKAA) will transfer \$120,000 to support the Singletary Scholars Program. UKAA has agreed to support the program until the year 2015.

The 2007-08 Operating Budget approved by the Board of Trustees included a projected fund balance of \$66,927,700. The actual fund balance was higher as a result of unspent funds in various reserve accounts, actual tuition revenue in excess of budget and other over realized revenues in many areas of the University. Additional expenditure authority of \$20,498,400 is requested to fully recognize the funds available.

	Approved <u>Budget</u>	Revised <u>Budget</u>	<u>Change</u>
<b>B. <u>RESTRICTED FUND</u></b>			
1. Income Estimates			
Endowment and Investment			
Income	\$19,613,800	\$19,589,600	\$(24,200)
Gifts, Grants and Contracts – Other	93,664,200	93,581,000	<u>(83,200)</u>
			\$(107,400)

2. Expenditures			
Provost			
College of Engineering			
Mechanical Engineering	\$471,300	\$440,700	\$(30,600)
College of Medicine			
Office of Academic Affairs	16,000	33,000	17,000
Center for Excellence in			
Rural Health	194,600	113,300	(81,300)
College of Pharmacy			
Dean's Office	168,300	169,100	800
Student Financial Aid – Other	15,020,000	15,006,700	<u>(13,300)</u>
			\$(107,400)

3. Comments – Anticipated revenue expected from a few endowment income and gift accounts were over estimated during the development of the 2007-08 budget. Expenditure plans have adjusted accordingly. In addition, \$17,000 of gift proceeds will be used to support medical students.

**C. AFFILIATED CORPORATIONS**

1. Income Estimates			
The Fund for Advancement of			
Education and Research	\$9,543,500	\$9,990,000	\$446,500
2. Expenditures			
The Fund for Advancement of			
Education and Research	\$9,543,500	\$9,990,000	\$446,500

3. Comments – Prior year fund balance from the Dean of the College of Medicine's Academic Enhancement Fund will be used for faculty recruitment and retention efforts.

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Action taken:    ☒ Approved    ☐ Disapproved    ☐ Other \_\_\_\_\_



# FCR 6

Office of the President  
December 11, 2007

Members, Board of Trustees:

## APPROVAL OF THE 2006-07 ENDOWMENT MATCH PROGRAM ANNUAL REPORT

Recommendation: that the Board of Trustees accept the 2006-07 Endowment Match Program Annual Report. The report is provided as a separately bound document.

Background: The Research Challenge Trust Fund (RCTF) was established in 1997 with the passage of House Bill 1, the *Kentucky Postsecondary Education Improvement Act*. The RCTF is designed to encourage research activities at the University of Kentucky and the University of Louisville. The Endowment Match Program, also known as “Bucks for Brains,” is one of several programs created as part of the trust fund. Pursuant to the Council on Postsecondary Education’s Endowment Match Program Request and Reporting Procedures, the Board of Trustees must review and approve the annual report on UK’s participation in the program. The annual report and additional information about the program is available online at:

<http://www.research.uky.edu/ca/rctf/index.html>

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Action taken:     ☒ Approved     ☐ Disapproved     ☐ Other \_\_\_\_\_

# FCR 7

Office of the President  
December 11, 2007

Members, Board of Trustees:

## PATENT ASSIGNMENT REPORT

Recommendation: that the Board of Trustees accept the patent assignment report for the period ending October 31, 2007.

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

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Action taken:    ☒ Approved    ☐ Disapproved    ☐ Other \_\_\_\_\_

PATENT ASSIGNMENT  
QUARTERLY FOR THE PERIOD AUGUST 1, 2007 THROUGH OCTOBER 31, 2007

Patents

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

**1. U.S. Patent Application Serial Number: (to be assigned)**

**Filed:** July 25, 2007

**Title:** "Biomarkers of Mild Cognitive Impairment and Alzheimer's Disease"

**Inventors:** Drs. Mark Lovell and Bert Lynn (Chemistry)

**Technical Description:** The present invention relates to the field of detection and monitoring of neurodegenerative disorders, including Alzheimer's disease and mild cognitive impairment (MCI). More specifically, the invention relates to proteinaceous biomarkers that can be measured in biological fluids, biomarkers which can be used to aid in the detection of neurodegenerative disorders, including Alzheimer's disease and mild cognitive impairment.

**Summary:** Attempts to diagnose early-stage Alzheimer's disease relies on a battery of behavioral observations. The diagnosis remains inaccurate because behaviors associated with early-stage Alzheimer's disease also are associated with a variety of other disease states. Here, the inventors have identified combinations of proteins in spinal fluids that appear to be elevated in early-stage Alzheimer's patients but not other patients. This discovery promises to lead to more accurate early diagnosis, which will permit a more careful analysis of the progress of Alzheimer's disease and in turn may provide better clues about the cause and treatment of the disease.

Patent Activities

Fiscal year to date as of October 30, 2007

Number of Patent Applications	3
Number of Patents Issued	4
Patent Income	\$284,227

# FCR 8

Office of the President  
December 11, 2007

Members, Board of Trustees:

## CAPITAL CONSTRUCTION REPORT

Recommendation: that the Board of Trustees accept the capital construction report for the three months ending September 30, 2007. This report refers only to projects that had activity within this quarter.

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

***For the period June 1, 2007 thru September 30, 2007:***

***One new contract this quarter:***

Project 2271.0	Fit-Up Education Space in Health Science Bldg. Lucas/Schwering Architects, \$52,319
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***Three contracts were completed:***

Project 2236.0	Expand Emergency Services – Hospital Eubank & Steele Construction, \$3,297,840.35
Project 2239.31	PCF-Hospital-Cooling Plant # 1 Modifications Messer Construction Co., \$4,442,949.10
Project 2262.0	Lease Purchase Hospital Dining Facilities and Equipment Denham Blythe, \$540,494.80

***Seven change orders greater than \$25,000:***

Project 2228.0	Construct Student Health Facility <ul style="list-style-type: none"><li>- Increase the amount of crushed stone necessary to maintain basement floor elevation and increased footer depths. (+) \$48,480</li></ul>
Project 2235.0	Construct Biological Pharmaceutical Complex Building <ul style="list-style-type: none"><li>- Additional excavation and a storm manhole. (+) \$46,616</li></ul>

- Project 2239.0      Construct Patient Care Facility
- Relocate existing sanitary sewer manhole and associated lines.  
(+) \$58,928
  - Replace and relocate deteriorated and inaccessible direct buried steam lines.  
(+) \$49,439
- Project 2251.0      Renovate – Expand Boone Faculty Center
- Reflects final decisions regarding the FF&E and finishes and finalizes the allowance adjustment, leaving the total project scope unchanged.  
(+) \$445,922.06
  - Replace the original cable tray design for data cabling with conduit and pull boxes. (+) \$29,541.20
- Project 2271.0      Fit-Up Education Space in Health Science Building
- Changes to the fourth floor generic lab space in order to accommodate the requirements of the SCoBIRB lab. (+) \$321,773.24

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Action taken:      ☒ Approved      ☐ Disapproved      ☐ Other \_\_\_\_\_

## CAPITAL CONSTRUCTION CONTRACTS QUARTERLY ACTIVITY REPORT

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

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

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

## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY REPORT

### Glossary

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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



**Major Projects  
Capital Project Management Division  
October 31, 2007**

**Construct Biological Pharmaceutical Complex Building**

***Project Description:***

Phase I of the Biological Sciences/Pharmaceutical Complex, was authorized by the 2005 General Assembly and funded in 2006 at \$40,000,000. Phase II was funded at \$92,792,000 and together these phases will complete the 279,000 gross square foot facility that includes some "shell space" to allow for the growing research needs. This "shell space" will be fitted out for research laboratories at a later date as university funds and/or grant dollars become available. This new building will provide the college with a state-of-the-art facility that will also allow the college to expand enrollment to address the shortage of pharmacists in Kentucky. The College of Pharmacy will relocate to this new facility and vacate their existing space. In addition to the current Pharmacy Building, college faculty members are housed in 10 buildings on and off campus. Consolidation of the research and teaching expertise of the eighth ranked College of Pharmacy in the U.S. will further strengthen the instruction of students and research collaboration among faculty. The vacated Pharmacy Building will be reassigned to the Department of Biology to provide needed expansion space for classrooms, research, and faculty to meet the needs of the growing student enrollment in UK's largest department. The project is expected to be complete by October 2009.

***Project Status:***

Construction Bid Package #3 Structural Steel continues with the Shop Drawing process. Construction of building foundations continues. Construction of concrete walls and slabs have begun. BP # 4 will advertise in December 2007 and Bid Opening will be in January 2008. Additional Bid Packages BP#5 through BP#6 will be advertised at a later date in the Spring of 2008.

**Construct Law School Building**

***Project Description:***

The new College of Law building will provide additional and reconfigured classrooms, teaching technology, and study spaces to support modern teaching techniques, collaborative learning, distance education, and a comprehensive and innovative law school curriculum. Also to these ends, the building will alleviate the College's critical current and future needs for a single integrated facility housing the College's faculty, library, legal clinic, student activities, outreach programs, and administration. The building consists of approximately 200,000 GSF located on Scott Street. Construction financing for the building will be sought from the General Assembly in the 2010 session.

***Project Status:***

Robert A.M. Stern Architects (RAMSA) of New York City has completed the programming and conceptual design services.

**Construct Patient Care Facility**

***Project Description:***

The Hospital's present patient bed tower is approximately 40 years old. Although the space served patients well, the infrastructure is aging, and the facility can not accommodate present anticipated technology. This project will provide the site location evaluation, building programming, planning, and design services for a new bed tower. The project design team is lead by GBBN with major sub consultants including AM Kinney, Ellerbe-Becket, Staggs and Fisher, Affiliated Engineers, THP Limited as well as a number of specialty consultants. This project will construct a new hospital addition to include patient beds, patient diagnostic and treatment areas, support areas, support facilities, medical equipment and infrastructure. this project also includes the replacement of the hospital parking garage and a connecting bridge to clear the site for the new hospital addition as well as land acquisition and utility relocation costs.

**PCF – Parking Garage (GMP # 2):**

***Project Description:***

This package will construct a seven level parking structure that will have an approximate 1,600-car capacity. The new garage will be located on the west side of Limestone Street, between Conn. Terrace and Transcript Avenue. This structure will replace the existing Medical Center parking garage that must be demolished in order to tie the new Patient Care Facility to the existing Medical Center. A future pedestrian bridge will connect the new structure to the Patient Care Facility and the design has allowed for the future

addition of approximately 15,000 square feet of retail space fronting Limestone. The garage is currently scheduled to open to temporary occupancy in November with full occupancy by March 2008.

***Project Status:***

All elevated slab pours have been made and all major foundation and below grade concrete have been placed. Forming and pouring of remaining crash walls will progress as curing times allow the relocation of forms. This process will repeat for the next month. Pouring of the stairwell walls continue. Structural steel is being erected on the top level. Erection is complete with the exception of final welds and tightening of the fasteners to required torque. Stairwell hand rails and other metal items are being installed as they arrive on site. The cable barrier system anchor bars have been installed. Masonry exterior walls are being laid on the Southeast corner and at the East elevation; the Northeast elevation has been topped out. The West elevation will be topped prior to the November occupancy. Concrete curbs have been placed on part of Conn Terrace and on Transcript Ave. Under deck painting continues on the third to fourth level. The first 3 levels will be occupied in November 2007 as the remainder of the structure is completed. Work has begun on the installation of the new traffic signals at the Transcript and Conn Terrace intersections of Limestone. New signal pole bases have been placed and conduit bored under Limestone at both intersections. The elevators are nearing completion and the inspection has been scheduled. Glass and glazing has started on the lower levels with framing and vision glass being installed.

**BP 3.2 CUP Expansion:**

***Project Description:***

The project includes an 18,000 square foot addition to the existing CUP on Press Avenue. The expansion will include provisions for two new 125,000 lb/hr boilers and additional chillers. The structure will include an enlarged cold well and basement in the cooling section. The boilers and supporting equipment will be installed under this project.

***Project Status:***

The construction of the addition to the CUP is well underway. The finalizing of submittals will be a major activity during the month of November. The forming and pouring of the grade beams and foundation walls for the pipe gallery completed during October. The slabs on grade and elevated slabs will be formed and poured during November. The schedule calls for the two boilers associated with the project to be set in place in mid December of 2007.

**PCF – Building (BP #'s 4, 5 & 6):**

***Project Description:***

This project includes:

- (BP #4) The demolition of the existing Parking Structure #4. The work will involve the start of all deep foundations up to the grade of the excavation.
- (BP #5) The construction of the new 1,022,000 gross square feet building's structural frame, fireproofing, exterior wall enclosure for all new building spaces, windows, exterior doors and roofs. Also included will be all exterior site improvements, civil design for roadways, drainage systems, landscaping, hardscape surfaces and walks.
- (BP #6) The interior fit-out partitions, interior finishes, doors and frames, ceilings, mechanical systems, electrical systems, technology systems, medical equipment and fire protection for approximately 490,000 occupiable square feet; and 532,000 square feet of shell space. The work also will include drawings and specifications for signage, interior furnishings and lighting.

***Project Status:***

- Mass Excavation and Foundations (BP # 4A & 4)

The bids for the Mass Excavation and Foundations Package which includes the demolition of the existing parking garage were opened during September. Contracts for four bid packages were released during October. The Demolition package which includes the demolition of the existing Hospital Parking Garage was awarded to O'Rourke Wrecking. The drilled pier package was awarded to Hayes Drilling. The mechanical package was awarded to TJ Dryer. The Electrical package was awarded to Arts Electric. The excavation within the building footprint began in early November. The demolition of the parking garage is scheduled to begin November 26<sup>th</sup>. The processing of submittals and excavation will be the next major activities.

- Core and Shell (BP # 5)

Fifty percent construction documents for the Core and Shell have been published and the review and estimating process is complete. An early package for pre-cast concrete has been released. These documents were in the hands of bidders during the month of October. These bidding results will be

analyzed during November with the contract being let if the bids are found to be acceptable. The completing of the Construction Documents will be the major activity during the month of November. The Final CDs are due December 7, 2007. Final review and estimating will begin when the documents are in hand. The bidding of the work is currently scheduled for May 2008, and the award of the various packages will occur during May and June of 2008.

- Fit Up (BP # 6)

During September the project team continued to evaluate the value engineering options for BP 6. The documents for the Fit-Up portion of the Patient Care Facility are now moving into the CD phase. The decision was made to break the final CDs into approximated 10 packages for maximum bidding flexibility. Fifty percent Construction Documents are to be published in November. An estimate based on the 50% documents will be generated after Construction Document completion. Decisions as to what elements of the Patient Care Facility will be included in Phase 1A will be considered in detail based on the estimates.

#### **Construct Student Health Facility**

*Project Description:*

University Health Services will be an outpatient clinic to house University Health Services for students with support spaces and some administrative offices. This project will create additional space by constructing a new building of 72,714 gross square feet. The site will be in the courtyard framed by the Wethington Building, Warren Wright Medical Plaza and the Sanders Brown Center on Aging.

*Project Status:*

Construction continues to make steady progress. The north stairway is being used for construction access through the building. HVAC ductwork is in progress on all floors. Metal stud layout also continues on all floors. Curtain wall framing and glazing is nearing completion. Mechanical, electrical, sprinkler and plumbing roughin work is progressing on all floors. Exterior brick work continues to make steady progress. Roofing work continues over the 4th floor. The sidewalk at the south end of Sanders-Brown remains closed to facilitate utility work in that area. The projected completion date is April 30, 2008. University Health Services plans to move in May 2008 after the Spring Semester ends.

#### **Expand & Upgrade Livestock Disease Diagnostic Lab**

*Project Description:*

New space is needed for more than one veterinary pathologist to perform animal postmortem examinations in addition to renovation of current necropsy space. New space is also needed to add molecular biology/special procedures capabilities to the laboratory. New technology in the form of an alkaline hydrolysis digester is needed to replace an aging incinerator. The LDDC is an office and laboratory building with net assignable space of 3,860 square feet for offices and 28,100 square feet of laboratories and support space. It is proposed to add 6,300 and 1,200 square feet (net) of new laboratory and office space, respectively. An existing necropsy laboratory and support space will be renovated (2,000 square feet net). An aging incinerator is the present means of carcass disposal. An alkaline hydrolysis digester will be installed for carcass disposal after renovating 2,000 square feet (net) of space to contain the digester.

*Project Status:*

A preliminary Purchase Order as been tentatively negotiated with Bio-Safe last month. Work continues on the Scope of Work to execute a new Purchase Order with Bio-Safe. Anticipate Purchase Order to be finalized next month with manufacturing of new digester to begin immediately thereafter. Anticipate digester complete and delivered to the University by February 2008. An additional Facility Feasibility Study will be initiated this month to evaluate all animal carcass disposal options including necessary pretreatment alternatives. The study will also include an evaluation of the existing facility to meet the long term needs of the University. A final report is anticipated by late December 2007.

#### **4<sup>th</sup> Floor Fit-up BBSRB**

*Project Description:*

This project will fit-up approximately 32,750 square feet in the currently "shelled space" on the fourth floor of the BBSRB Building. The fit-up will include wet bench laboratory space, support space, and dry computational labs. The University has received a federal grant award of \$3,685,000 from the National Center for Research Resources Extramural Research Facilities Improvement Program. The space will

primarily be utilized by Pharmacology. The final construction cost estimate is \$7,618,000, and the project scope has been revised to \$9,663,925.

*Project Status:*

All spaces have now been occupied. The contractor is responding to warranty issues as they arise.

**Fit-up Education Space in Health Science Bldg**

*Project Description:*

This project will fit-up approximately 4,000 net square feet of shelled education space in the basement of the Health Science Building. The building, constructed in 2002, is approximately 210,000 gross square feet, and is in good condition. The building consists of classrooms, class labs, student spaces, patient clinic, research labs, faculty offices, administrative offices, and support space. The fit-up space will include the latest in technology for an auditorium/classroom. The room will seat approximately 165 students. The space was originally designed and shelled for this use.

*Project Status:*

Lucas/Schwering Architects are providing architectural design services for the fit-up of the classroom in the basement of the Health Science Building. The initial design kick-off meeting was held on August 23rd, and Phase 2 design development documents were submitted in October. The project is scheduled to be completed in August 2008. The project is on schedule and within budget.

**Fit-Up Gill Building Ground Floor - Hospital**

*Project Description:*

Champlin-Haupt/ Kohrs Lonnemann Heil are the consultant's designing to a \$1,550,000 construction budget. This Project encompasses renovations to 5,000 square feet of existing Ground Floor Shell Space within the Gill Heart Institute to accommodate the creation of a new Cardiology Center, including Cardiology Diagnostics and Clinical Research Programs. The scope of work shall include, but not be limited to the following: Cardiology Diagnostic Suite that shall consist of: Waiting room, Interview, Reception, Nurse Station, Prep/Recovery, Patient Toilet/Dress, Soiled Workroom, MRI/CT Control, CT Exam, MRI Exam (1.5T), MRI Equipment (1.5T), Storage, and Cardiology Reading. The Clinical Research Suite shall consist of: Clinical Research Offices, MRI Control, MRI Exam (3.0T), MRI Equipment (3.0T), Clinical Research Workroom, and Staff Toilet..

*Project Status:*

Final Schematic Design Documents were received in October. The design consultants have begun work on the Construction Documents. Phase 3 – 50% documents are to be received in late November, with Phase 3 – 100% documents to be delivered on December 13th. The anticipated bid date is February 12th with substantial completion scheduled for August 27, 2008.

**Memorial Coliseum Expansion**

*Project Description:*

The basketball practice facility consists of the addition of men's and women's basketball offices, practice facility, weight training, medical support, locker/shower, facilities ticket office, administrative offices, and minor renovation of existing locker rooms. The estimated total cost of the facility is \$30 million, consisting of the \$2.5 million for design plus \$27.5 million for construction. This project involves the design of a 92,300 square foot Basketball Practice Facility to enhance the University's ability to attract top student athletes. The new facility will alleviate scheduling problems at Memorial Coliseum and will provide amenities in line with other NCAA basketball facilities in the country. The practice facility will be connected to Memorial Coliseum, which is located near the intersection of Lexington Avenue and the Avenue of Champions, and will renovate 7,700 square feet to support volleyball, gymnastics, offices and ticketing. Sherman-Carter-Barnhart, Inc. is the prime architect for the project. They are working in conjunction with HNTB as the design architect, Staggs and Fisher as the M/E/P engineers, and the Structural Design Group as the structural engineer. Fuller, Mossbarger, Scott and May perform geotechnical and survey work for the project.

*Project Status:*

The renovation work has been accepted as substantially complete and the users have occupied all spaces. The contractor is responding to warranty issues as they arise.

### **Renovate 3<sup>rd</sup> Floor Lucille Little Library**

#### ***Project Description:***

This project addresses life safety and ADA concerns in the Little Library in addition to providing permanent instructional and research space for Kentucky's only accredited Library and Information Science program which places graduates in industry, research, non-profit, and government organization. This project includes final renovations to provide new classrooms, student facilities, faculty offices, and a student technology center for the School of Library and Information Sciences. Approximately, 20,380 gross square feet is being renovated in all phases.

#### ***Project Status:***

All rooms being renovated on the west side of the 3<sup>rd</sup> floor are complete. A temporary certificate of occupancy was issued by Housing, Buildings & Construction and furniture installation is complete. Work in November will include the completion and activation of the building sprinkler system. The demolition of the existing elevator/installation of the new elevator was delayed to minimize the impact/inconvenience to the building users and occupants.

### **Renovate Central Vivarium**

#### ***Project Description:***

The project will involve the purchase of a new Primate Cage Wash unit to be installed in a renovated cage wash area within the existing DLAR facility.

#### ***Project Status:***

Bid documents were submitted and the project was advertised for construction. Bids will be received in November.

### **Renovate - Expand Boone Center**

#### ***Project Description:***

The Boone Faculty Center was built in 1986 and has only received minor maintenance repairs in the interim. This project will renovate the original 19,561 square feet of the Boone Faculty Center on the Lexington Campus and construct an addition of approximately 3,300 square feet. The center as constructed is able to host small to medium size meetings, functions, luncheons and dinners, but due to space constraints it is unable to accommodate the numerous larger scale conferences and symposia that university departments frequently host. These departments then contract with local hotels and the convention center. Since the center is to operate and be maintained on a self supporting basis the inability to reasonably host the 300 to 400 attendee events causes a loss of potential campus dollars to off campus sites, that if able to be captured could help defray the annual operating expenses of the center.

#### ***Project Status:***

Copper roofing and exterior masonry work are substantially complete. Work is in progress to implement the revisions in the design of the kitchen and public restroom areas. Drywall finishing in the west portion of the building is nearly complete and ready for primer to be applied. Final coordination of electrical conduit system required to support the A/V vendor's equipment is ongoing. Preparations are being made to allow for restoration of steam to the building to supply heat and allow for finish wood products to be moved into the building.

### **Replace Steam and Condensate Pipe**

#### ***Project Description:***

This project will replace central steam and condensate piping systems. The Central Utilities Systems of the University of Kentucky have proven to be very economical to maintain and operate. It reduces the construction cost of new building by eliminating redundancy in buildings and reduces the operations cost of new and existing buildings by providing reliable and low cost energy alternatives at central locations. The Central Steam and Condensate system on the University of Kentucky Campus is an extensive layout of underground piping, tunnels, and steam pits. A large portion of this system has deteriorated through corrosion, and much of it is beyond design life expectancy. Condensate returns and steam lines need to be improved. Most of the direct bury steam lines consist of Class A conduit systems, which have deteriorated and corroded to the point that increased loads on the central heating system have been experienced. Repairing these steam and condensate lines will improve the ability of the campus heating system to deliver steam to all campus buildings.

*Project Status:*

All steam piping is complete, tested and inspected. Backfill of the piping from Main Gate, south, to the Gattton College will complete in early November. Restoration of landscape materials, sidewalks at Main Gate, Administration Drive paving and removal of staging areas will complete by mid-November.

**Student Housing - Supporting Utility Plant Upgrades (Boiler/Chilled Water)**

*Project Description:*

This project includes expanding the Virginia Ave. CUP to accommodate future expansion in steam and chilled water capacity. The project was established in support of the Student Housing Project.

*Project Status:*

The funds from this project are scheduled to be expended for the purchase the 125,000 lb/hr boiler with emissions controls for installation in the expanded CUP. The boiler is being purchased from English Tube and Boiler of Richmond, Virginia and the production of the boiler is nearing completion. The unit will be undergoing final assembly during November including installation of burners. The unit is scheduled to be shipped via rail in late November.

**Renovate Cancer Center Radiologic Facility**

*Project Description:*

The University of Kentucky Hospital needs to significantly upgrade and improve the current clinical space in the Lower Level of University Hospital. This will include therapy rooms, clinic exam areas, infusion space, office, education, and support space for the clinical practice. Given that the clinic will need to continue operations during the project, it is anticipated that areas will be taken down, or phased, during the construction. Surge space to allow the phasing has been identified. The addition will be located along the west side of the Markey Cancer Center/Ben F. Roach Cancer Care Facility, while the renovation will occur in existing research space on the on the Lower Level of the same building. Development of Radiation Medicine clinical areas is essential to growth of cancer programs supportive of the strategic plans for UK HealthCare. Current facilities are split between the Lower Level of the hospital and the Roach Building. Several initial facility studies have been completed that identified expansion and renovation of the areas of the Lower Level of the Roach Building to respond to immediate needs and is consistent with the Ambulatory Master Plan.

*Project Status:*

Phase 3 review documents were submitted and distributed to all project team members. The Phase 3 review meeting is scheduled for 2<sup>nd</sup> week of November. Bid documents are to be completed and submitted the latter part of November and the project will be transmitted to bid at that time.

**Upgrade Surgical Services**

*Project Description:*

Stengel-Hill/CMTA are the consultant's designing to a \$3,369,450 construction budget. This project will renovate existing space to develop a Same Day Surgery Intake Unit; will relocate surgical offices adjacent to the operating rooms in the Critical Care Center to expand the Post Anesthesia Care Unit; will develop a Pre-op, PACU, and waiting space in the main hospital building dedicated to pediatric patients; and will renovate the 1st floor surgical waiting area. The current layout and size of unit causes numerous inefficiencies in the department. The amount of PACU beds is too few based on industry standards. This renovation will allow for improved operational efficiencies of the operating rooms and will provide for an improved patient experience with the development of the same day surgery intake unit. This space is connected to the Hospital's central chilled water and steam systems.

*Project Status:*

Work in Phase III, PACU Annex, was completed on August 28<sup>th</sup>. The hospital requested that the work in Phase IV be delayed until mid-November 2007 as the hospital has been at capacity and can not temporarily give up the PACU beds at this time. However, the hospital requested that the contractor complete the work in the corridor as scheduled. The duration of Phase IV is 60 days.

### **ARS - Agriculture Project**

#### ***Project Description:***

The Forage Animal Production Research Laboratory will serve the Forage Animal Production Research Unit for the USDA - ARS on the campus of the University of Kentucky. The mission of the FAPRU is to improve productivity, profitability, competitiveness and environmental sustainability of forage based enterprises within the transition zone of the Eastern and Midwestern United States. Multidisciplinary teams to work to identify, evaluate, and manipulate genetic and physiological factors, using for the enhancement of food animal and equine health and performance in forage based enterprises as well as to improve forage plant persistence, quality, and production. Three to four story building with approximately 65,000 GSF for research labs, equipment and support rooms, offices and conferences rooms. The program also includes approximately 12,000 GSF for greenhouses and head house.

#### ***Project Status:***

Schematic design meeting was held in October. The schedule is being developed.

### **Construct Gatton Building Project**

#### ***Project Description:***

The proposed Gatton College Complex will include a state of the art Classroom component which will enable the Gatton College to provide the type of "world ready" business education demanded by today's students and business leaders. The Classrooms will include tiered and flat smart classrooms furnished with computer/video and projection systems as well as smaller break-out rooms that will permit high impact peer-to-peer learning. This complex also will house the business research and study library as well as the Undergraduate and Graduate Advising Centers. The complex will contain signature spaces including a large auditorium, trading floor, innovative laboratories to support action learning, creative problem-solving and leadership development. The building also will house the Von Allmen Center for Entrepreneurship and E-Commerce Laboratory. The Faculty/Administration component will consist of office space for faculty, staff, and graduate assistants. The Outreach component will host nationally competitive professional and life-long learning experiences, and house the College's economic development related service centers including the Center for Business and Economic Research, Kentucky Small Business Development Center and the Center for a Sustainable Aluminum Industry. The program is currently projected at approximately 214,000 GSF of new space. The proposed site is located off Martin Luther King Blvd. and Euclid Avenue, moving UK's Business and Economics efforts closer to downtown Lexington and the business community.

#### ***Project Status:***

Kohn Pederson Fox Architects (KPF) are providing programming and conceptual design services for the Gatton College. The initial kick-off meeting was held on August 27th and programming meetings are being held every two weeks. The next design meetings were held on November 2nd. Programming and conceptual design services are scheduled for completion in December 2007, with final documents to be submitted in January 2008. With legislative authorization and funding approval, a solicitation will be issued in July 2008 requesting submittals for Prime architectural firms to take the project through the traditional design phases. It is anticipated KPF will be added to the Prime Firm's overall design team.

### **Expand Chemistry Physics Building**

#### ***Project Description:***

To accommodate expanding enrollment, an additional organic chemistry teaching lab must be provided for fall 2008. This additional lab will be created via a major renovation of six adjoining rooms in the Chemistry Physics Building totaling approximately 2,300 net square feet. The dividing walls will be removed to create one large open room, and all finishes will be replaced. New bench casework will be installed with 20 instructional fume hoods spaced along the benches; five additional hoods will be located on a side wall. Each student workstation will be provided with water, cup sink, certain lab gases, electrical power and some storage space. Wall cabinets, safety stations, and high quality lighting will be installed. The building's ventilation capacity will be upgraded by installing a new AHU to accommodate this hood-intensive room, as well as additional future lab work planned.

#### ***Project Status:***

The combined Schematic/Design Development documents were delivered to the University on October 26th. A review meeting was held in November. The University and consultants are working aggressively



to complete the project documents to allow for a bid date before the holiday season. Substantial completion is scheduled for mid-July, 2008.

#### **Renovate Hospital Nursing Units - Hospital (NICU)**

##### *Project Description:*

The project is for renovation of the existing nursing units in the University Hospital to upgrade the facilities to provide better care with newer space and technology. The existing nursing units are outdated and need upgrading. The project provides for the renovation of the Third floor CCC Nursery area. The renovated space will provide for the relocation of the Newborn Nursery and for the installation of eight level II NICU beds and eight level III NICU beds. The Project will involve the relocation of walls, Med gas headwalls, utilities, etc. and systems to make these functions operational.

##### *Project Status:*

The bids were opened on October 2nd, and The Wagner Company was the low bidder. A work order was issued on October 12<sup>th</sup>. Substantial completion date for Phase I is scheduled on January 10, 2008, and Phase II substantial completion is scheduled for March 5, 2008. Temporary barriers have been installed and approved; demolition began on October 24th. Asbestos abatement began on October 29th. A meeting to discuss necessary utility outages occurred on October 31st. Bi-weekly progress meetings are underway.

#### **Renovate King Library South**

##### *Project Description:*

This project is for the renovation of the 2nd and 3rd floors of the M. I. King Library, 1962 addition, to accommodate the relocation of the Chemistry Library, Physics Library and a computer lab, all currently housed in the Chemistry-Physics Building, as well as the Math Library, currently housed in the lower level of the Patterson Office Tower. The majority of the renovation will occur on the 3rd floor of the M. I. King Library, with a smaller area on the 2nd floor and minor work on the 4th floor. An existing elevator, located inside the south entrance vestibule, is to be replaced with new components within the existing elevator shaft. All staff areas are to include hard wired computer outlets and wireless capability throughout.

##### *Project Status:*

The Phase 1/Phase 2 Combined review documents were submitted and the review meeting was held in late October. The Project is now in Phase 3 and Construction Documents are being produced.

#### **Upgrade Fume Hoods TH Morgan - Life Safety**

##### *Project Description:*

To accommodate the needs of contemporary research and biology instruction, this project will update the fume hood exhaust and air supply systems and perform needed renovations and upgrades of teaching and research labs to accommodate eight new biology faculty members.

##### *Project Status*

The scope of work and schematic design were reviewed and approved by the Dr. Cassone, in-coming Chairman of the Biology Dept. Design meetings have been held with the consultants and Biology faculty to determine their individual needs in their perspective labs. The engineering consultants met with the Physical Plant Dept. on October 26th to review the proposed HVAC design that will accommodate the increased number of fume hoods. Final construction documents and opinion of probable cost are scheduled to be delivered in mid-November. The current proposed schedule has the majority of the work in the T.H. Morgan Bldg. to be completed by July, 2008 for occupancy by the new Chairman and some new faculty. The remainder of the work is scheduled to be completed by July, 2009.



## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

### Construct Biological Pharmaceutical Complex Building

Project Number: 2235.00

Scope: \$132,792,000

#### Project Description:

Phase I of the Biological Sciences/Pharmaceutical Complex, was authorized by the 2005 General Assembly and funded in 2006 at \$40,000,000. Phase II was funded at \$92,792,000 and together these phases will complete the 279,000 gross square foot facility that includes some "shell space" to allow for the growing research needs. This "shell space" will be fitted out for research laboratories at a later date as university funds and/or grant dollars become available. This new building will provide the college with a state-of-the-art facility that will also allow the college to expand enrollment to address the shortage of pharmacists in Kentucky. The College of Pharmacy will relocate to this new facility and vacate their existing space. In addition to the current Pharmacy Building, college faculty members are housed in 10 buildings on and off campus. Consolidation of the research and teaching expertise of the eighth ranked College of Pharmacy in the U.S. will further strengthen the instruction of students and research collaboration among faculty. The vacated Pharmacy Building will be reassigned to the Department of Biology to provide needed expansion space for classrooms, research, and faculty to meet the needs of the growing student enrollment in UK's largest department. The project is expected to be complete by October 2009.

#### Consultant: EOP Architects

Contract # A061150/A071060

Total Amendments to Date: 1

Original Contract Amount: \$10,585,020

Cumulative Amendment Amount: \$220,700

#### Describe all amendments :

Revised Contract Amount: \$10,805,720

**Amendment #1**, 5/8/07, an increase of \$220,700, was approved for additional design services to provide an additional research floor as well as a new utility tunnel. This amendment also provides for wind tunnel testing as well as a specialized lighting consultant. **No amendments this quarter.**

**Contractor:** Messer Construction Co. (Construction Manager At-Risk) Note: This is a 'CM-At-Risk' contract.

The amount will be increased as subcontracts are bid and added. \*Messer's contract was awarded by RFP process.

Contract % complete was calculated using the estimated \$107 Million Construction Budget.

Contract # 4500007696

Total Change Orders to Date: 1

Low Bid:

High Bid:

Number of Bids:

Original Contract Amount: \$22,408,230

Cumulative Change Order Amount: \$46,616

Revised Contract Amount: \$22,454,846

Contract Percent Complete: 4%

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

**Change Order # 1**, 9/4/07, was approved for an increase of \$46,616 to provide additional excavation and a storm manhole. The design work for underslab perimeter drainage was completed after the excavation package was bid.

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## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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### Construct Law School Building - Design Only

Project Number: 2264.00

Scope: \$500,000

#### Project Description:

The new College of Law building will provide additional and reconfigured classrooms, teaching technology, and study spaces to support modern teaching techniques, collaborative learning, distance education, and a comprehensive and innovative law school curriculum. Also to these ends, the building will alleviate the College's critical current and future needs for a single integrated facility housing the College's faculty, library, legal clinic, student activities, outreach programs, and administration. The building consists of approximately 200,000 GSF located on Scott Street. Construction financing for the building will be sought from the General Assembly in the 2010 session.

**Consultant:** Robert A.M. Stern Architects

Contract # A071140

Total Amendments to Date:

**Describe all amendments :**

**No amendments this quarter.**

Original Contract Amount:

\$500,000

Cumulative Amendment Amount:

Revised Contract Amount:

\$500,000

**Contractor:** No construction contract awarded to date.

Contract #

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

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

Original Contract Amount:

Cumulative Change Order Amount:

Revised Contract Amount:

Contract Percent Complete:

## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

### Construct Patient Care Facility

Project Number: 2239.0

Scope: \$450,000,000

#### Project Description:

This project will construct a new hospital addition to include patient beds, patient diagnostic and treatment areas, support areas, support facilities, medical equipment and infrastructure. The project also includes the replacement of the hospital parking garage and a connecting bridge as well as land acquisition and utility costs.

**Consultant:** GBBN, Inc.

Contract #	A061080	Original Contract Amount:	\$30,400,226
Total Amendments to Date:		Cumulative Amendment Amount:	\$5,148,931
<b>Describe all Amendments:</b>		Revised Contract Amount:	\$35,549,157

**Amendment # 1**, 9/12/06, was approved for \$299,044 for additional design services required to design two additional floors for the parking garage. This amendment also provides for additional survey services associated with the rerouting of the ductbank; the addition of 12 receptor sources to be studied as part of the existing wind study; and the need for additional storm water modeling to review the impact on the new Patient Care Facility during heavy rain storm events. **Amendment # 2**, 2/13/07, was approved for additional design services associated with increased scope including but not limited to increased renovation of areas in the existing hospital (all phases); development of early bid packages for infrastructure and site utility packages and temporary emergency department access; development of an additional bed wing (all phases); development of partial cafeteria (all phases); design of fitup for two additional floors (shell only - all phases); design of a redundant communications feed (all phases); additional design services associated with security systems; development of design of Phase 1B air handlers (thru DD's) and

additional design of costs associated with relocation and installation of above ground and underground fuel tanks (all phases). Also included is additional reimbursable services for added geotechnical rock investigation; additional site survey and added construction testing. **No amendments this quarter.**

**Contractor:** Turner Construction Co. <sup>1</sup>

Note: This is a 'CM-At-Risk' contract. The amount will be increased as sub-contracts are bid and added. \*Turner's contract was awarded by RFP process. Contract % was complete was calculated using the estimated \$300 Million Construction Budget

Contract #	4500007616	Original Contract Amount:	\$63,432,866
Total Change Orders to Date:	7	Cumulative Change Order Amount:	\$336,801
Low Bid:		Revised Contract Amount:	\$63,769,667
High Bid:		Contract % complete:	3.97%
Number of Bids:			

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

**Change Order #1**, 6/4/07, was approved for an increase of \$91,344 to facilitate the procurement strategy and meet the project timeline. A portion of select infrastructure was transferred from Bid Pack 4A to the earlier Bid Pack 3B. **Change Order #2**, 5/31/07, was approved for an increase of \$65,296 to relocate the existing direct buried steam lines and pressurized drain found to be in conflict with the new tunnel. Since the lines must be moved they will be relocated into the new tunnel to make the lines accessible for maintenance. **Change**

**Order # 3**, 7/11/07, was approved for an increase of \$58,928 to relocate an existing sanitary sewer manhole and associated lines to resolve underground utility conflicts. **Change Order # 5**, 9/6/07, was approved for an increase of \$49,439 to replace and relocate deteriorated and inaccessible 2 1/2" and 1 1/2" underground direct buried steam lines that were revealed upon excavation.

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## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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### PCF - Hospital - GMP # 2 - Parking Garage

Project Number: 2239.20

Scope: \$32,766,968

#### Project Description:

GMP # 2. This is a portion of the larger Patient Care Facility Project (2239.0). This package will construct a seven level parking structure that will have an approximate 1,600 car capacity. The new garage will be located on the west side of Limestone Street, between Conn Terrace and Transcript Avenue. This structure will replace the existing Med. Center parking garage that must be demolished in order to tie the new Patient Care Facility to the existing Medical Center. A future pedestrian bridge will connect the new structure to the Patient Care Facility and the design has allowed for the future addition of approximately 15,000 square feet of retail space fronting Limestone.

**Consultant:** GBBN, Inc.

See project 2239.0

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

**Describe all amendments :**

Revised Contract Amount:

**Contractor:** Gilbane Building Company (GMP #2)

Contract # 4500001350

Original Contract Amount:

\$32,766,968

Total Change Orders to Date: 3 (time ext. only)

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

\$32,766,968

High Bid:

Contract Percent Complete:

70%

Number of Bids:

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

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

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### PCF - Hospital - Cooling Plant # 1 Modifications

Project Number: 2239.31

Scope: \$12,850,000

#### Project Description:

This is a portion of the larger Patient Care Facility Project (2239.0). This package will provide the University the ability to meet the utility requirements of the new Patient Care Facility. The Central Utility Plant on Press Avenue will be expanded with a new boiler; Chillier Plant No. 1 on University Drive will be renovated with new chillers; new emergency generators will be added to Chillier Plant No. 3 to serve the Patient Care Facility; critical steam and chilled water lines will be replaced and upsized in order to provide the capacity that will be required to service Phase 1A of the Patient Bed Tower.

**Consultant:** GBBN, Inc.

See project 2239.0

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

**Describe all amendments :**

Revised Contract Amount:

**Contractor:** Messer Construction Co.

Contract # 4500005952

Original Contract Amount:

\$4,252,000

Total Change Orders to Date: 19

Cumulative Change Order Amount:

\$190,949

Low Bid: \$4,252,000

Revised Contract Amount:

\$4,442,949

High Bid: \$4,464,000

Contract Percent Complete:

100%

Number of Bids: 3

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

**Change Order # 1**, 1/8/07, was approved for an increase of \$25,295 to provide for the delivery of 4 chillers from storage to the jobsite. **Change Order # 7**, 5/8/07, was approved for an increase of \$31,273 to clean existing condenser water piping due to excess interior buildup. This will prevent clogged strainers and equipment upon start up. **No change orders greater than \$25,000 this quarter.**

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## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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### PCF - Hospital - CUP Expansion

Project Number: 2239.32

Scope: \$13,150,000

#### Project Description:

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

**Consultant:** GBBN Inc.

See project 2239.0

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

**Describe all amendments :**

Revised Contract Amount:

**Contractor:** Messer Construction Co.

Contract # 4500008954

Original Contract Amount:

\$9,474,000

Total Change Orders to Date: 3

Cumulative Change Order Amount:

\$11,540

Low Bid: \$9,474,000

Revised Contract Amount:

\$9,485,540

High Bid: \$10,400,000

Contract Percent Complete:

22%

Number of Bids: 2

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

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

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## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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### Construct Student Health Facility

Project Number: 2228.00

#### Project Description:

Scope: \$24,000,000

University Health Services will be an outpatient clinic with support spaces and some administrative offices. This project will create additional space by constructing a new building of 72,714 gross square feet. The site will be in the courtyard framed by the Wethington Building, Warren Wright Medical Plaza and the Sanders Brown Center on Aging.

**Consultant:** Omni Architects

Contract # A061070

Original Contract Amount: \$1,332,600

Total Amendments to Date: 1

Cumulative Amendment Amount: \$77,203

#### Describe all amendments :

Revised Contract Amount: \$1,409,803

**Amendment #1**, 5/11/2006, an increase of \$77,203.00, was approved for additional programming and design services required for revisions to the BSA study, for adding a high pressure steam line through the Student Health Facility connecting inside the existing AAH Tunnel and to provide more thorough survey and geotechnical reports than originally anticipated. **Amendment #2**, 5/8/2007, an increase of \$10,000, was approved to provide an allowance for reimbursable services related to scanning and uploading submittal documents for construction document archival. **No amendments this quarter.**

**Contractor:** Turner Construction Company (Construction Manager-At-Risk)

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

\*Turner's contract was awarded by RFP process.

Contract # 4500004856

Original Contract Amount: \$19,454,490

Total Change Orders to Date: 23

Cumulative Change Order Amount: \$224,784

Low Bid:

Revised Contract Amount: \$19,679,274

High Bid:

Contract Percent Complete: 55%

Number of Bids:

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

**Change Order # 3**, 4/24/07, was approved for an increase of \$49,508 to provide additional drilling as required to hit bearing rock that was deeper than specified. **Change Order # 21**, 9/11/07, was approved for an increase of \$48,480 to increase the amount of crushed stone necessary to maintain basement floor elevation and increased footer depths due to the hidden condition of the existing rock strata.

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## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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### Expand Emergency Services - Hospital

Project Number: 2236.00

**Project Description:**

Scope: \$4,316,000

This renovation project consists of renovating approximately 18,400 square feet of ground floor space in the Critical Care Center. Materials Management and Purchasing Offices will be relocated to expand patient care services in the Emergency Department. The renovation will provide a new and separate Pediatrics Emergency area to include an exterior entrance, waiting room triage and support spaces; additional Emergency Department acute care bays, nursing space and support space; provide a new digital radiology room for exclusive use by the Emergency Department.

**Consultant:** GBBN, Inc.

Contract # A061090

Original Contract Amount: \$265,000

Total Amendments to Date: 2

Cumulative Amendment Amount: \$105,452

**Describe all amendments :**

Revised Contract Amount: \$370,452

**Amendment #1**, 11/08/05, was approved for \$87,500.00 for additional design services to design replacement air handlers, exhaust fans and return fans on the ground floor. It has been determined that the condition and capacity of the existing fans are inadequate to serve the renovated space. **Amendment #2**, 7/13/06, was approved for \$17,952.00 for additional design services for redesigning the Greeter/Security desk; revised electrical drawings due to additional patient monitoring equipment; revised finishes schedule due to requested changes by the Pediatric Department and commissioning of new Air Handling Units. **No amendments this quarter.**

**Contractor:** Eubank & Steele Construction

Contract # 4500003852

Original Contract Amount: \$3,594,750

Total Change Orders to Date: 52

Cumulative Change Order Amount: -\$296,910

Low Bid: \$3,594,750

Revised Contract Amount: \$3,297,840

High Bid: \$3,821,000

Contract Percent Complete: 100%

Number of Bids: 3

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

**Change Order #50**, 6/19/07, was approved for a decrease of \$434,218.87 to delete Phases 3, 4 and 5 from project documents. The scope of work was revised due to the construction schedule of the new Patient Care Facility running parallel. **No change orders greater than \$25,000 this quarter.**

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## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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### Expand & Upgrade Livestock Disease Diagnostic Lab

Project Number: 2234.00

**Project Description:**

Scope: \$8,500,000

New space is needed for more than one veterinary pathologist to perform animal postmortem examinations in addition to renovation of current necropsy space. New space is also needed to add molecular biology/special procedures capabilities to the laboratory. New technology in the form of an alkaline hydrolysis digester is needed to replace an aging incinerator. The Livestock Disease Diagnostic Lab is an office and laboratory building with net assignable space of 3,860 square feet for offices and 28,100 square feet of laboratories and support space. It is proposed to add 6,300 and 1,200 square feet (net) of new laboratory and office space, respectively. An existing necropsy laboratory and support space will be renovated (2,000 square feet net).

**Consultant:** CMW, Inc.

Contract # A061100

Original Contract Amount: \$648,000

Total Amendments to Date: 1

Cumulative Amendment Amount: \$90,000

**Describe all amendments :**

Revised Contract Amount: \$738,000

**Amendment # 1**, 12/12/06, was approved for \$90,000 to provide additional design services to accommodate a phased implementation consistent with the legislative budget action. Includes the additional design to study the new tissue digester effluent impact of the LFUCG Town Branch Wastewater Treatment Plant. **No amendments this quarter.**

**Contractor:** No construction contract awarded to date.

Contract #

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

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



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## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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### Fit-Up 4th Floor in BBSRB

Project Number: 2227.00

Scope: \$9,663,925

#### Project Description:

This project will fit-up approximately 32,750 square feet in the currently "shelled space" on the fourth floor of the BBSRB Building. The fit-up will include wet bench laboratory space, support space, and dry computational labs. The University has received a federal grant award of \$3,685,000 from the National Center for Research Resources Extramural Research Facilities Improvement Program. The space will primarily be utilized by Pharmacology.

**Consultant:** A.M. Kinney

Contract # A051120

Total Amendments to Date: 3

Original Contract Amount: \$415,000

Cumulative Amendment Amount: \$113,525

#### Describe all amendments :

Revised Contract Amount: \$528,525

**Amendment #1**, 04/11/2006, an increase of \$24,000, was approved for additional design services required for development of the Organic Synthesis Laboratory space in the southwest corner of the Fourth Floor Wet Lab area of the BBSRB. **Amendment # 2**, 2/13/07, an increase of \$68,000 was approved to extend construction phase services as well as provide vibration testing services and design services to renovate the 4th floor to accommodate SCoBIRC labs.

**Amendment # 3**, 6/12/07, an increase of \$21,525 was approved to extend construction administration services due to increased duration of construction. **No amendments this quarter.**

**Contractor:** WS Construction

Contract # 4500001420

Total Change Orders to Date: 22

Low Bid: \$5,342,000

High Bid: \$5,657,000

Original Contract Amount: \$5,342,000

Cumulative Change Order Amount: \$638,349

Revised Contract Amount: \$5,980,349

Contract Percent Complete: 99%

Number of Bids: 4

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

**Change Order # 11**, 10/16/06, was approved for \$27,365.10 for the provision of power for lights and receptacles in the penthouse. The power provisions were not defined in the panel schedules, but should be installed as part of the project scope. **Change Order # 12**, 11/29/06, was approved for \$206,837.85 for an addition of an organic synthesis laboratory to provide an isolated lab space and control chemical fumes. **Change Order # 21**, 7/3/07, was approved for an increase of \$321,773.24 to modify the Fourth Floor layout. Changes will be made to accommodate the specific needs of SCoBIRC Lab rather than to provide generic lab space.

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Fit-up Education Space in Health Science Building**

Project Number: 2271.00

Scope: \$1,000,000

**Project Description:**

This project will fit-up approximately 4,000 net square feet of shelled education space in the basement of the Health Science Building. The building, constructed in 2002, is approximately 210,000 gross square feet, and is in good condition. The building consists of classrooms, class labs, student spaces, patient clinic, research labs, faculty offices, administrative offices, and support space. The fit-up space will include the latest in technology for an auditorium/classroom. The room will seat approximately 165 students. The space was originally designed and shelled for this use.

**Consultant:** Lucas / Schwering Architects

Contract # A081060

Total Amendments to Date:

**Describe all amendments :****No amendments this quarter.**

Original Contract Amount:

\$52,319

Cumulative Amendment Amount:

Revised Contract Amount:

\$52,319

**Contractor:** No construction contract awarded to date.

Contract #

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

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

Original Contract Amount:

Cumulative Change Order Amount:

Revised Contract Amount:

Contract Percent Complete:

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**Fit-Up Gill Building Ground Floor - Hospital**

Project Number: 2253.00

Scope: \$6,500,000

**Project Description:**

Champlin-Haupt/ Kohrs Lonnemann Heil are the consultant's designing to a \$1,550,000 construction budget. This Project encompasses renovations to 5,000 square feet of existing Ground Floor Shell Space within the Gill Heart Institute to accommodate the creation of a new Cardiology Center, including Cardiology Diagnostics and Clinical Research Programs. The scope of work shall include, but not be limited to the following: Cardiology Diagnostic Suite that shall consist of: Waiting room, Interview, Reception, Nurse Station, Prep/Recovery, Patient Toilet/Dress, Soiled Workroom, MRI/CT Control, CT Exam, MRI Exam (1.5T), MRI Equipment (1.5T), Storage, and Cardiology Reading. The Clinical Research Suite shall consist of: Clinical Research Offices, MRI Control, MRI Exam (3.0T), MRI Equipment (3.0T), Clinical Research Workroom, and Staff Toilet.

**Consultant:** Champlin/Haupt

Contract # A071100

Total Amendments to Date:

**Describe all amendments :****No amendments this quarter.**

Original Contract Amount:

\$155,000

Cumulative Amendment Amount:

Revised Contract Amount:

\$155,000

**Contractor:** No construction contract awarded to date.

Contract #

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

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

Original Contract Amount:

Cumulative Change Order Amount:

Revised Contract Amount:

Contract Percent Complete:

## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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### Lease Purchase Hospital Dining Facilities and Equipment (Cafeteria Renovation)

Project Number: 2262.00

**Project Description:**

Scope: \$1,100,000

This project consists of renovations to existing University Hospital dining facilities (cafeteria and cafe). The project is located on the first floor of the hospital and will meet the requirements of the private vendor who will manage the dining facilities. Facility is in need of updating for aesthetics, patron flow, utility upgrade and new equipment. The project will include new finishes and serving equipment.

**Consultant: L2M**

Contract # A071000FF

Original Contract Amount: \$47,500

Total Amendments to Date:

Cumulative Amendment Amount:

**Describe all amendments :**

Revised Contract Amount: \$47,500

**No amendments this quarter.**

**Contractor: Denham Blythe Company**

Contract # 4500009493

Original Contract Amount: \$513,450

Total Change Orders to Date: 23

Cumulative Change Order Amount: \$27,045

Low Bid: \$513,450

Revised Contract Amount: \$540,495

High Bid: \$520,250

Contract Percent Complete: 100%

Number of Bids: 4

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

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

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Memorial Coliseum Expansion**

Project Number: 2196.00

Scope: \$30,000,000

**Project Description:**

This project consists of the addition of men's and women's basketball offices, practice facility, weight training, medical support, locker/shower, facilities ticket office, administrative offices, and minor renovation of existing locker rooms. The estimated total cost of the facility is \$30 million, consisting of the \$2.5 million for design plus \$27.5 million for construction. This project involves the design of a 92,300 square foot Basketball Practice Facility to enhance the University's ability to attract top student athletes. The new facility will alleviate scheduling problems at Memorial Coliseum and will provide amenities in line with other NCAA basketball facilities in the country. The practice facility will be connected to Memorial Coliseum, which is located near the intersection of Lexington Avenue and the Avenue of Champions, and will renovate 7,700 square feet to support volleyball, gymnastics, offices and ticketing.

**Consultant:** Sherman-Carter-Barnhart/HNTB

Contract # A041080

Total Amendments to Date:

Original Contract Amount:

\$2,000,000

Cumulative Amendment Amount:

Revised Contract Amount:

\$2,000,000

**Describe all amendments :****No amendments this quarter.****Contractor:** Messer Construction (Construction Manager-At-Risk)

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

\*Messer's contract was awarded by RFP process.

Contract # 4500000169

Total Change Orders to Date: 227

Low Bid:

High Bid:

Number of Bids:

Original Contract Amount:

\$25,250,566

Cumulative Change Order Amount:

\$554,499

Revised Contract Amount:

\$25,805,065

Contract Percent Complete:

99%

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

**Change Order #27**, 03/16/06, was approved for \$65,940.07, to adjust contract amount for actual length of drilled piers over the base length included in the base bid. **Change Order #33**, 03/31/06, was approved for -\$25,240.75 to adjust contract amount after receiving donation from Harrod Concrete & Stone. **Change Order #31**, 04/04/2006, was approved for -\$52,052.66, to delete the cost of finish hardware for Aluminum Doors from the Doors, Frames and Hardware bid as it was already included in another trade contractor's scope of work. **Change Order #32**, 04/04/2006, was approved for \$293,576.97, to provide a flexible security control system to facilitate frequent changes due to turnover of student athletes. Revision primarily consists of replacement of conventional mechanical hardware with stand alone electronic access control hardware. **Change order #75**, 08/23/2006, was approved for \$26,773.54 to install additional light fixtures in the men and women's basketball locker rooms to provide even illumination in these locations. **Change order #88**, 09/22/2006, was approved for \$26,384.92, to provide engraved pavers at front entrance. Donor brick pavers will acknowledge donations to the UK MCE Building Fund. **Change Order # 101**, 11/16/06, was approved for a decrease of \$39,115.30 to provide for the deletion of ductwork cleaning. The project work site was kept in such a condition that duct cleaning is unnecessary. **Change Order # 201**, 05/7/07, was approved for a decrease of \$200,000 for liquidation of all excess allowance funds. **No change orders greater than \$25,000 this quarter.**

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Renovate 3rd Floor Little Library**

Project Number: 2255.00

Scope: \$1,900,000

**Project Description:**

This project addresses life safety and ADA concerns in the Little Library in addition to providing permanent instructional and research space for Kentucky's only accredited Library and Information Science program which places graduates in industry, research, nonprofit, and government organizations. This project includes final renovations to provide new classrooms, student facilities, faculty offices, and a student technology center for the School of Library and Information Sciences. Approximately, 20,380 gross square feet is being renovated in all phases.

**Consultant:** Pearson & Peters Architects PLC

Contract # A071120

Original Contract Amount: \$112,875

Total Amendments to Date:

Cumulative Amendment Amount:

**Describe all amendments :**

Revised Contract Amount: \$112,875

**No amendments this quarter.****Contractor:** Woodford Builders

Contract # 4500009455

Original Contract Amount: \$1,208,000

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid: \$1,208,000

Revised Contract Amount: \$1,208,000

High Bid: \$1,241,225

Contract Percent Complete: 50%

Number of Bids: 3

**Describe all change orders greater than \$25,000.00:****No change orders greater than \$25,000 this quarter.**

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**Renovate Central Vivarium**

Project Number: 2261.00

Scope: \$650,000

**Project Description:**

The project will involve the purchase of a new Primate Cage Wash unit to be installed in a renovated cage wash area within the existing DLAR facility.

**Consultant:** BHDP

Contract # A071000C

Original Contract Amount: \$43,500

Total Amendments to Date:

Cumulative Amendment Amount:

**Describe all amendments :**

Revised Contract Amount: \$43,500

**No amendments this quarter.****Contractor:** No construction contract awarded to date.

Contract #

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

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

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## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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### Renovate - Expand Boone Center

Project Number: 2251.00

Scope: \$6,200,000

#### Project Description:

The Boone Faculty Center was built in 1986 and has only received minor maintenance repairs in the interim. This project will renovate the original 19,561 square feet of the Boone Faculty Center on the Lexington Campus and construct an addition of approximately 3,300 square feet. The center as constructed is able to host small to medium size meetings, functions, luncheons and dinners, but due to space constraints it is unable to accommodate the numerous larger scale conferences and symposia that university departments frequently host. These departments then contract with local hotels and the convention center. Since the center is to operate and be maintained on a self supporting basis the inability to reasonably host the 300 to 400 attendee events causes a loss of potential campus dollars to off campus sites, that if able to be captured could help defray the annual operating expenses of the center. The project is expected to be completed by February 2008.

#### Consultant: EOP Architects

Contract # A071070

Total Amendments to Date: 1

#### Describe all amendments :

**Amendment #1**, 6/12/07, an increase of \$2,611 was approved to provide for reimbursable expenses for state filing fees and document duplication beyond the contracted agreement. **No amendments this quarter.**

Original Contract Amount: \$275,000

Cumulative Amendment Amount: \$2,611

Revised Contract Amount: \$277,611

#### Contractor: Jarboe Construction

Contract # 4500007653

Total Change Orders to Date: 23

Low Bid: \$4,515,000

High Bid: \$4,724,000

Number of Bids: 2

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

**Change Order # 13**, 7/12/07, was approved for an increase of \$445,922.06. This change order reflects the final decisions regarding the FF&E and finishes and finalizes the allowance adjustment, leaving the total project scope unchanged. **Change Order # 14**, 8/6/07, was approved for an increase of \$ 29,541.20 to replace the original cable tray design for data cabling with 4" conduit and pull boxes. This will allow for easy access due to extreme ceiling heights and existing hard ceilings.

Original Contract Amount: \$4,515,000

Cumulative Change Order Amount: \$519,441

Revised Contract Amount: \$5,034,441

Contract Percent Complete: 55%

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Replace Steam and Condensate Piping - Multiple Projects****(04-2006)**

Project Number: 2248.00

Scope: \$3,223,900

**Project Description:**

This project will replace central steam and condensate piping systems. The Central Utilities Systems of the University of Kentucky have proven to be very economical to maintain and operate. It reduces the construction cost of new building by eliminating redundancy in buildings and reduces the operations cost of new and existing buildings by providing reliable and low cost energy alternatives at central locations. The Central Steam and Condensate system on the University of Kentucky Campus is an extensive layout of underground piping, tunnels, and steam pits. A large portion of this system has deteriorated through corrosion, and much of it is beyond design life expectancy. Condensate returns and steam lines need to be improved. Most of the direct bury steam lines consist of Class A conduit systems, which have deteriorated and corroded to the point that increased loads on the central heating system have been experienced. Repairing these steam and condensate lines will improve the ability of the campus heating system to deliver steam to all campus buildings.

**Consultant:** Staggs & Fisher

Contract # A071080

Total Amendments to Date:

**Describe all amendments :****No amendments this quarter.**

Original Contract Amount:	\$276,000
Cumulative Amendment Amount:	
Revised Contract Amount:	\$276,000

**Contractor:** Lagco, Inc.

Contract # 4500009203

Total Change Orders to Date:

Low Bid: \$1,725,900

High Bid: \$2,632,930

Number of Bids: 4

**Describe all change orders greater than \$25,000.00:****No change orders greater than \$25,000 this quarter.**

Original Contract Amount:	\$1,725,900
Cumulative Change Order Amount:	
Revised Contract Amount:	\$1,725,900
Contract Percent Complete:	91%

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**Student Housing - Supporting Utility Plant Upgrades**

Project Number: 2153.30

Scope: \$1,275,000

**Project Description:**

This project includes expanding the Virginia Avenue Central Utility Plant to accommodate future expansion in steam and chilled water capacity. The project was established in support of the Student Housing Project.

**Consultant:** AM Kinney

Contract # A041000GG

Total Amendments to Date:

**Describe all amendments :****No amendments this quarter.**

Original Contract Amount:	\$26,315
Cumulative Amendment Amount:	
Revised Contract Amount:	\$26,315

**Contractor:** English Boiler & Tube Inc.

\*English Boiler's contract was awarded by RFP process.

Contract # X500192

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

**Describe all change orders greater than \$25,000.00:****No change orders greater than \$25,000.00 this quarter.**

Original Contract Amount:	\$245,155
Cumulative Change Order Amount:	
Revised Contract Amount:	\$245,155
Contract Percent Complete:	98%

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## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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### Upgrade Cancer Center Radiologic Facility - Hospital

Project Number: 2252.00

**Project Description:**

Scope: \$6,000,000

The University of Kentucky Hospital needs to significantly upgrade and improve the current clinical space in the Lower Level of University Hospital. This will include therapy rooms, clinic exam areas, infusion space, office, education, and support space for the clinical practice. Given that the clinic will need to continue operations during the project, it is anticipated that areas will be taken down, or phased, during the construction. Surge space to allow the phasing has been identified. The addition will be located along the west side of the Markey Cancer Center/Ben F. Roach Cancer Care Facility, while the renovation will occur in existing research space on the on the Lower Level of the same building. Development of Radiation Medicine clinical areas is essential to growth of cancer programs supportive of the strategic plans for UK HealthCare. Current facilities are split between the Lower Level of the hospital and the Roach Building. Several initial facility studies have been completed that identified expansion and renovation of the areas of the Lower Level of the Roach Building to respond to immediate needs and is consistent with the Ambulatory Master Plan.

**Consultant:** BSA Lifestructures

Contract # AO71130

Original Contract Amount: \$535,000

Total Amendments to Date:

Cumulative Amendment Amount:

**Describe all amendments :**

Revised Contract Amount: \$535,000

**No amendments this quarter.**

**Contractor:** No construction contract awarded to date.

Contract #

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

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

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## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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### Upgrade Surgical Services

Project Number: 2231.00

Scope: \$4,500,000

#### Project Description:

This project will renovate existing space to develop a Same Day Surgery Intake Unit; will relocate surgical offices adjacent to the operating rooms in the Critical Care Center to expand the Post Anesthesia Care Unit; will develop a Pre-op, PACU, and waiting space in the main hospital building dedicated to pediatric patients; and will renovate the 1st floor surgical waiting area. The current layout and size of unit causes numerous inefficiencies in the department. The amount of PACU beds is too few based on industry standards. This renovation will allow for improved operational efficiencies of the operating rooms and will provide for an improved patient experience with the development of the same day surgery intake unit. This space is connected to the Hospital's central chilled water and steam systems (coal or gas fired boilers/chillers).

**Consultant:** Stengel Hill Architects

Contract # A061140

Total Amendments to Date:

**Describe all amendments :**

**No amendments this quarter.**

Original Contract Amount:	\$324,000
Cumulative Amendment Amount:	
Revised Contract Amount:	\$324,000

**Contractor:** Woodford Builders

Contract # 450000004839

Total Change Orders to Date: 22

Low Bid: \$3,280,000

High Bid: \$4,199,700

Number of Bids: 5

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

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

Original Contract Amount:	\$3,328,150
Cumulative Change Order Amount:	\$48,439
Revised Contract Amount:	\$3,376,589
Contract Percent Complete:	90%

# HRCR 1

Office of the President  
December 11, 2007

Members, Board of Trustees:

PROPOSED REVISION TO ADMINISTRATIVE REGULATION: UNIVERSITY OF  
KENTUCKY RETIREMENT PLAN

Recommendation: that the Board of Trustees approves changes to the University of Kentucky's Retirement Plan as defined in Administrative Regulation (AR) II-1.6-1, and declare that AR to be the Plan Document for purposes of the Internal Revenue Service and otherwise, until a new Plan Document is developed. The updated language and new sections of the retirement plan will allow the university to establish Fidelity and TIAA-CREF as the only retirement plan administrators, with American Century funds being available through Fidelity's administrative platform. A new section of the retirement plan has been added to allow for a more formal plan document to be created in the future.

Background: The university is moving to "online enrollment" for employee benefits in 2008 and will need to move American Century funds to Fidelity for plan administration to accommodate online enrollment.

Additionally, new 403(b) retirement plan regulations will require the university to establish a formal plan document for the 403(b) retirement plan by January 1, 2009. This action makes the AR the Plan Document until then and allows the Executive Vice President for Finance and Administration to execute the Plan Document when ultimately implemented.

A revised copy of AR II-1.6-2 is attached. Proposed additions are underlined; proposed deletions are lined through.

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Action taken:    ☒ Approved    ☐ Disapproved    ☐ Other \_\_\_\_\_

UNIVERSITY OF KENTUCKY  <b>ADMINISTRATIVE REGULATIONS</b>	AR II-1.6-1		1
	DATE EFFECTIVE  6/12/07	SUPERSEDES REGULATION DATED 8/21/90, 6/16/92, 12/12/95, 6/11/96, 3/4/97, 7/1/98, 9/19/00, 8/13/02, 3/1/03, 10/10/06	

UNIVERSITY OF KENTUCKY RETIREMENT PLAN  
(Approved by the Board of Trustees)

I. Introduction

The policies governing the University of Kentucky Retirement Plan are set forth in this administrative regulation. The University of Kentucky Board of Trustees has authorized ~~two~~three retirement plan carriers to provide retirement plan administrative services be utilized byfor University of Kentucky employees: Teachers Insurance and Annuity Association/College Retirement Equities Fund (TIAA-CREF); and Fidelity Investment Tax-Exempt Services Company (Fidelity Investments); Additionally, and American Century Investors, Inc. (American Century) funds shall be provided through Fidelity's administrative platform. It is the Board's intention that University employees be given a wide range of investment options during the years in which contributions are being made on the employees' behalf as well as a wide range of withdrawal options at the time of retirement. The term "retirement plan carrier," as used throughout this administrative regulation, includes both TIAA-CREF and Fidelity~~all three retirement plan carriers and may be modified from time to time that have been authorized by the Board of Trustees pursuant to section XI.~~

The policies governing insurance benefits for University retirees are a part of the Human Resources Policy and Procedure Administrative Regulations and are found in Numbers 91.0, 93.0, and 94.0. Information on these insurance programs is not included in this ~~a~~Administrative ~~r~~Regulation.

II. Retirement Groups

A. Eligibility

1. Group I Personnel

Eligibility of personnel for classification in Group I is conditioned upon:

- (a) regular full-time employment;

- (b) employment in a faculty position or a position otherwise specifically approved for Group I by the President; and,
- (c) occupation of a position not covered by the United States Civil Service Retirement Plan or the Federal Employees Retirement System.

2. Group II Personnel

Eligibility of personnel for classification in Group II is conditioned upon:

- (a) regular full-time employment with the University or, upon approval of the Board of Trustees, with an agency for which the University serves as fiscal and payroll agent;
- (b) employment in a position classified as technical and scientific staff, office and clerical staff, or service and maintenance staff; and,
- (c) occupation of a position not covered by the United States Civil Service Retirement Plan.

3. Group III Personnel

Eligibility of personnel for classification in Group III is conditioned upon:

- (a) regular full-time employment with the University or, upon approval of the Board of Trustees, with an agency for which the University serves as fiscal and payroll agent;
- (b) employment in a position classified as administrative staff, managerial specialist staff, or professional staff;
- (c) occupation of a position not covered by the United States Civil Service Retirement Plan or the Federal Employees Retirement System; and,
- (d) approval by the President or his delegate.

4. Group IV Personnel

Eligibility of personnel for classification in Group IV is conditioned upon:

- (a) regular full-time employment;
- (b) occupation of a position covered by the United States Civil Service Retirement Plan; and,
- (c) eligibility rights under the United States Civil Service Retirement Plan.

5. Group V Personnel

Eligibility of personnel for classification in Group V is conditioned upon:

- (a) regular full-time employment;
- (b) occupation in a position covered by the Federal Employees Retirement System (FERS) Act; and,
- (c) participation rights under the FERS retirement plan.

B. Participation Requirements

1. Mandatory Participation

Participation of Groups I, II and III personnel is mandatory upon attainment of age 30. Participation is voluntary prior to age 30. An employee who enrolls under the voluntary provisions of this policy shall make an irrevocable, one-time salary reduction agreement when entering the plan; that employee may not withdraw from the University's retirement plan as long as that employee remains eligible for plan participation.

2. Voluntary Participation

Participation of Groups IV and V personnel is voluntary. An employee who enrolls under the voluntary provisions of this policy shall make an irrevocable, one-time salary reduction agreement when entering the plan; that employee may not withdraw from the University's retirement plan as long as that employee remains eligible for plan participation.

III. Contributions and Vesting

A. Groups I, II, III and IV

Notwithstanding any provision to the contrary contained herein, all Groups I, II, III and IV personnel who have satisfied the age and service requirements for mandatory participation shall be required to contribute on a salary reduction (pre-tax) basis all contributions which are required to be made by the participant according to the applicable contributions schedule contained herein; provided; however, that this provision shall not apply to any participant who prior to December 22, 1986, was making contributions on a salary deduction (after-tax) basis.

Contributions toward retirement benefits for participating Group I, II, III and IV personnel, from FY 1997-98 forward, shall be made in accordance with the following schedule:

**Contributions as a Percent of Basic Annual Salary**

<u>By the Participant</u>	<u>By the Institution</u>	<u>Total</u>
5%	10%	15%

B. Group V

Contributions to the retirement plan shall be made in accordance with the following schedule:

**Contributions as a Percent of Basic Annual Salary**

<u>By the Participant</u>	<u>By the Institution</u>	<u>Total</u>
1%	2%	3%

C. President, Provost, Executive Vice Presidents, General Counsel, and Chief of Staff to the President

Annual contributions to the Retirement Plan shall be made on behalf of the President, Provost, each executive vice president, the General Counsel, and the Chief of Staff to the President in an amount equal to the aggregate of employee and University contributions otherwise provided herein for Group I employees

D. Excess Retirement Plan

In addition to the regular contributions referenced herein, excess contributions to the plan may be made to provide retention incentives to certain University

employees. The Excess Retirement Plan document defines eligibility, contributions, and vesting and provides other information related to the plan.

E. Vesting

Retirement benefits purchased with the combined employee and University contributions shall become the property of individual participants immediately upon purchase. The employee is 100% vested. All benefits are primarily for the purpose of providing retirement ~~and/or~~ and death benefits.

IV. Plan Limits (Groups I, II, III, IV and V)

A. Beginning July 1, 1996, the University shall withhold the contribution of the participant from regular salary payments, add its contribution, and remit the combined sum to the retirement plan carrier(s) selected by the participant for the purchase of retirement benefits.

In addition to other applicable limitations stated in the plan, and notwithstanding any other provisions of the University's retirement regulations to the contrary, for plan years beginning on or after January 1, 1996, the annual compensation of each employee taken into account under the plan shall not exceed the Omnibus Budget Reconciliation Act of 1993 (OBRA '93) annual maximum includable compensation limit. The OBRA '93 annual limit is adjusted by the Commissioner of the Internal Revenue Service for increases in the cost of living in accordance with section 401(a)(17)(B) of the Internal Revenue Code (Code). The cost-of-living adjustment in effect for a calendar year applies to any period, beginning in such calendar year over which compensation is determined (determination period); this period may not exceed 12 months.

B. For plan years beginning on or after January 1, 1996, any reference in this plan to the limitation under section 401(a)(17) of the Code shall mean the OBRA '93 annual maximum includable compensation limit stated in this provision. The University of Kentucky Retirement Plan Year is deemed to begin January 1 of a calendar year and end December 31 of the same calendar year.

C. Notwithstanding the above, employees who became participants in the University's retirement plan before the first day of the plan year beginning on or after January 1, 1996, will not be subject to this annual limit.

1. The participant will direct the portion of the combined retirement contribution that is to be remitted to each carrier, if two or more carriers are selected. The participant also must advise each retirement plan carrier of which investment options have been chosen and, if two or more options

are selected with a single carrier, of the part of the retirement contribution that is to be allocated to each option.

2. A participant may change the ratio of allocating funds among retirement plan carriers or change options by completing the appropriate paper work. Changes in allocating contributions among the plan options are accomplished by the participant directly with the retirement plan carrier.

D. In addition to contributions based on basic annual salary, contributions also shall be applied on compensation paid to faculty members for service during an interim between regular assignment periods, provided the faculty members are employed full-time by the University for at least one full month of continuous service in the interim, on a basis other than a fee schedule, without reduction in rate of earned salary per month as described in AR II-1.3-2. An interim between regular assignment periods for a faculty member on a regular nine-month, ten-month, or eleven-month assignment basis is defined in AR II-1.1-7.

E. If by applying the above-stated percentages there would be a violation of federal or state laws, as a result of the employer ~~and/or~~ and employee contributions, then these percentages shall not be applied to the extent of violating applicable laws. In such cases, the amount of the employer contribution that cannot be forwarded to a retirement plan carrier shall be paid to the employee as a temporary salary increase for the balance of the calendar year.

#### V. Termination of Contributions

Beginning January 1, 1988, retirement plan contributions on behalf of personnel shall terminate upon retirement or cessation of regular full-time employment.

#### VI. Retirement Dates

##### A. Retirement Prior to Age 65

Retirement prior to age 65 generally is considered as early retirement. Early retirement is authorized when the combination of the employee's age and years of regular full-time service (with a minimum of 15 years of continuous service at the time of retirement) equals or exceeds the number 75. Regular part-time service will be counted on a pro rata basis. Employees taking advantage of this early retirement must provide written notification through normal administrative channels to their the Provost or appropriate vice president at least three months in advance of the desired retirement date.



B. Normal Retirement

The normal retirement date for all employees of the University of Kentucky fiscal year in which the employee attains age 65.

C. Mandatory Retirement

With the exception of a mandatory retirement date for all law enforcement officers, no mandatory retirement date is applicable to employees of the University of Kentucky. The mandatory retirement date for all law enforcement officers of the University of Kentucky shall be at the end of the University's fiscal year in which the employee attains age 70.

D. Disability Retirement

1. Prior to Normal Retirement Date

An employee with an extended period of service to the University may, at the discretion of the President, be permitted to retire prior to age 65, upon the employee's request if same is supported by a statement of a licensed physician certifying that the employee cannot engage in normal employment because of physical or mental disability. The benefit level in such a special case shall be related to the period of service and rate of compensation at retirement, and shall be conditioned upon continuance of the employee's total disability.

2. Subsequent to Normal Retirement Date

An employee who has elected to continue in employment beyond his or her normal retirement date, as established herein, may be required to retire in the event that the said employee's condition of health becomes such that it prevents the discharge of assigned duties and responsibilities.

VII. Retirement Benefits

A. Benefits through Retirement Plan Carriers

Each participant is entitled, upon separation of service, at retirement or upon electing participation in the Phased Retirement Program under AR II-1.6-2, to activate any or all retirement benefits that have been acquired under the University of Kentucky Retirement Plan in accordance with procedures and rules established by the retirement plan carriers. In addition to lump sum or partial lump sum provisions, there will be both annuitized and non-annuitized methods of

withdrawal. There may be variances in the retirement withdrawal options among the carriers. All retirement plan carriers do not offer the same withdrawal options.

B. Benefits in Case of Death before Retirement

In the event of a University employee's death prior to the commencement of retirement benefits, an income or lump-sum benefit will be paid by the retirement plan carrier to the participant's designated beneficiary or beneficiaries according to policy established by the carrier.

VIII. Contributions during Leave of Absence with Pay

A participant on leave with pay shall make the employee contribution and receive the University contribution based on the amount of the salary that is paid through the University payroll. Contributions to a participant's retirement plan shall be made on the actual salary paid through the University payroll, not to exceed the annual salary.

IX. Contributions under Uniformed Services Leave

A participant on Uniformed Services Leave shall have the ability to continue making retirement contributions to the plan. The amount of employee contributions will be made for the entire salary not received while on leave and is eligible for the University match.

X. Employment beyond Retirement

Employees who have elected to retire from University service under any of the provisions hereof shall not be eligible for reemployment except to perform duties for which fee schedules have been approved or upon the specific prior action of the Board of Trustees granting approval of the appointment. Employees who have elected to retire and who have been reemployed under this provision will be considered temporary employees.

XI. Change in Retirement Plan Carriers

The Board of Trustees reserves the right in its sole discretion to remove, add, or otherwise modify the number of retirement plan carriers in any manner that it may determine by written notice to the affected carrier(s). In such event, the Board may direct that all accounts with the affected carrier shall be transferred to a carrier who is currently approved by the Board to accept contributions. In the event a change in the retirement plan carrier made by the University requires a participant to exchange one annuity contract/custodial account for another within the Plan, or in the event a participant voluntarily elects to exchange an annuity contract/custodial account for another within the Plan, each of the following requirements must be satisfied:

A. The participant's accumulated benefit under the annuity contract/custodial account immediately after the exchange at least equals the participant's accumulated benefit under such contract/account immediately before the change;

B. To the extent the exchanged annuity contract/custodial account is subject to distribution restrictions under Section 403(b) of the Code, as amended, the other annuity contract/custodial account imposes distribution restrictions no less stringent than those imposed by the exchanged annuity contract/custodial account; and

C. The University enters into an agreement with the issuer of the resultant contract under which the University and the issuer will from time to time in the future provide each other with information necessary for the resulting contract to satisfy Section 403(b) of the Code or other federal tax requirements.

## XII. Plan Document

This administrative regulation serves as the University's retirement plan document. Should federal or state law require a more formalized document, the Executive Vice President for Finance and Administration is authorized to execute such a plan document to the extent that it does not conflict with this administrative regulation.

Reference: KRS 164.220