

## **AGENDA**

**Meeting of the Board of Trustees  
University of Kentucky  
1:00 P.M.  
March 4, 1997**

**Invocation**

**Roll Call**

**Approval of Minutes**

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

- PR 1 President's Report to the Trustees  
Report on Monte Verde Archaeological Site in Chile
- PR 2 Personnel Actions
- PR 3 Central Administration
  - A. Revision of Administrative Regulations
- PR 4 Community College System (No items to report)
- PR 5 Lexington Campus (No items to report)
- PR 6 Medical Center (No items to report)

### **Finance Committee**

- 1. Acceptance of Interim Financial Report for the University of Kentucky for the Seven Months Ended January 31, 1997
- 2. Report of Leases
- 3. Approval of Leases
- 4. Capital Construction Report
- 5. Patent and Copyright Prosecution
- 6. Hilary J. Boone Gift and Pledge
- 7. Violet Showers Couch Gift
- 8. Katherine Longyear Gift
- 9. John Jacob Niles Charitable Trust Gift
- 10. George B. Tuggle Charitable Remainder Annuity Trust
- 11. Sale of the South Farm, Tract A

Minutes of the Meeting of the Board of Trustees of the University of Kentucky, Tuesday, March 4, 1997.

The Board of Trustees of the University of Kentucky met at 1:00 p.m. (Lexington time) on Tuesday, March 4th in the Board Room on the 18th floor of Patterson Office Tower.

A. Meeting Opened

Governor Edward T. Breathitt, Chairperson, called the meeting to order at 1:02 p.m., and the invocation was pronounced by Dr. Elissa Plattner.

B. Roll Call

The following members of the Board of Trustees answered the call of the roll: Mr. Alan Aja, Mr. Ted Bates, Governor Edward T. Breathitt, (Chairperson), Mr. Robert N. Clay, Mr. Merwin Grayson, Mr. John "Jack" Guthrie, Mr. James F. Hardymon, Professor Loys L. Mather, Dr. Robert P. Meriwether, Mr. Billy Joe Miles, Professor Jim Miller, Dr. Elissa Plattner, Professor Deborah Powell, Mr. C. Frank Shoop, Mrs. Lois C. Weinberg, Mr. Martin Welenken, and Mr. Billy B. Wilcoxson. Absent from the meeting were Mrs. Kay Shropshire Bell, Mr. Paul W. Chellgren, and Mr. Steven S. Reed. The University administration was represented by President Charles T. Wethington, Jr.; Chancellors Ben W. Carr, James W. Holsinger, and Elisabeth Zinser; Vice Presidents Joseph T. Burch, Fitzgerald Bramwell, Edward A. Carter, George DeBin, and Eugene Williams; John J. Piecoro, Assistant to the President for Administrative Affairs; Dr. Juanita Fleming, Special Assistant for Academic Affairs; and Mr. Richard E. Plymale, General Counsel.

Members of the various news media were also in attendance. A quorum being present, the Chairperson declared the meeting officially open for the conduct of business at 1:05 p.m.

C. Approval of Minutes

Governor Breathitt said that the Minutes of the Board meeting on January 21, 1997 had been distributed and asked for any additions or corrections. Professor Miller moved that the Minutes be approved as distributed. Professor Mather seconded the motion, and it carried.

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

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

1. University of Kentucky alumnus Ervin J. Nutter donated \$1 million through an estate trust that will establish up to four professorships in mechanical engineering.



2. The College of Medicine faculty members were awarded \$27.2 million in National Institutes of Health funding during fiscal year 1996, an increase of 16 percent over the \$25.4 million awarded in fiscal year 1995. The increase raised the College of Medicine's ranking among the 126 NIH-funded medical schools in the nation from 63rd to 58th.
3. The Kentucky Council on Higher Education has approved the state's first joint degree program, a Ph.D. in social work. It will be offered by the University of Kentucky and the University of Louisville.
4. The College of Social Work is providing UK's first course offered exclusively on the Internet. The course, Graduate Social Work Research, will be taught by Professor David Royse from his computer in the Patterson Office Tower to students at Northern Kentucky University.
5. Officials from Midway College and Maysville Community College have agreed to an educational partnership that will allow area students to receive a four-year degree. This partnership will deliver baccalaureate degree offerings in Cynthiana.
6. The University of Kentucky Martin Luther King, Jr. Cultural Center located in the Student Center is celebrating its 10th anniversary this year. The Director, Frank Walker, says that the Center has the largest African/American library collection in the state.

President Wethington asked the members to peruse the other items in the report at their leisure.

As a part of his report, President Wethington said that he was pleased to have Professor Tom Dillehay, Department of Anthropology, make a report on Monte Verde Archaeological Site in Chile. He asked Chancellor Zinser to introduce Professor Dillehay.

Chancellor Zinser reviewed Professor Dillehay's impressive credentials, noting some of his post-doctoral honors and awards, eight Fulbright Fellowships and his numerous scholarly publications. She expressed pleasure in introducing Professor Dillehay.

Professor Dillehay thanked President Wethington and the Board members for the opportunity to make the report. He also thanked his colleagues for coming to share the moment with him. He displayed some artifacts and talked about the importance of the research, prehistory in Kentucky, and the rich archeological heritage of the state.

He noted three reasons why this kind of research is important:

1. to try to rewrite the first chapter of human history on this side of the world,
2. to give other disciplines a lot of data they do not have, and
3. to fill in the history of Chile.

He said there were more than 80 scientists from all over the world with most of them concentrated at UK and at the Chilean University involved in the Monte Verde project. He introduced his colleagues attending the Board meeting: Dr. Vernon Case, Dr. Anastasios Karathanasis, Graduate Student David Pollack, Professor Richard Jefferies, Graduate Student Gwynn Henderson, and Michael Murphy.

Professor Dillehay noted some of his findings at Monte Verde; arrow heads, extremely well preserved organic remains, extremely well preserved bone remains, cortege, slip knots, and human foot prints. He displayed a rib fragment from the mastodon and said they found hundreds of artifacts. He said that the site is extremely well preserved, and it gives an opportunity to look deep into the past. As a result of these findings, the chapter of human history on this side of the world has been completely rewritten.

Professor Dillehay thanked the University of Kentucky for this project. He informed the Board that in 1980, when he first came to UK, much of this work was rejected for grants by the National Science Foundation, the Fulbright Commission, and the National Geographic Society. He reported that the University of Kentucky Research Foundation gave him a small grant of \$6,000 that allowed him to go back to Chile and get the data. The key year was 1981, and it was after 1981 that he received a series of National Science Foundation grants and spin off grants from his students and others. He noted that the University of Kentucky played a very important role in all of this research. The project has involved 30 to 40 students not only from Kentucky but another 60 students from different Latin American countries as well.

He said that the whole issue of the peopling of the Americas involves not only Chile but all of the Americas. The Commonwealth has a very rich tradition in doing archaeological research, going back to 1918. The names of Funkhouser, Colonel Webb and a number of other people who established the University of Kentucky are some of the pioneers in archaeology in the United States, and the tradition is still maintained.

He called attention to a publication by David Pollack entitled *Slack Farm* that had been given to the Board and said this site was reported on several years ago in the National Geographic Magazine. It is a publication that deals with the archaeology of this area and is an important site. He mentioned another book entitled *Kentucky before Boone* which won a prize

in history, and the author is Gwynn Henderson. These are professional archaeologists who are also finishing up their Ph.D.'s at the University of Kentucky.

He said that when he travels across the state of Kentucky and talks with people in the local communities he is always proud of the fact that people point out to him that they take great pride not only in their industries but also in the Civil War sites, the cemeteries and the archaeological sites. He said that he was trying to produce a computerized record of all the historical and prehistoric sites in the state so they can be preserved in the future with the grant. This is a public service that is provided for the Commonwealth. He said that he was involved in Kentucky mainly as a result of working with a good group of students and colleagues.

Professor Dillehay thanked Dean Edwards for providing him support. He expressed appreciation for his help with the project as well as some other endeavors, particularly in setting up more efforts by the University to engage in Kentucky archaeology.

President Wethington asked Professor Dillehay to expand on the recent publicity about the project.

Professor Dillehay said that the second volume on Monte Verde site is going to be published by the Smithsonian Institution Press and some of the staunchest critics in the field. He said that he invited them to read the book and come to the site. A donor provided the funds, and they visited the site. They looked at the materials in the laboratory there and spent two days at the University of Kentucky. The finality brought to the project is what everyone is now seeing in the press. People are now accepting it, accepting the fact it has broken the old paradigm and that the first chapter of human history needs to be rewritten. He said that this is something they have known for about 20 years, and science takes a long time to unfold if you do it correctly, particularly if it is interdisciplinary science.

Professor Dillehay entertained questions from the members of the Board.

Governor Breathitt said that Professor Dillehay had certainly brought distinction to himself and his colleagues, and thanked him for his presentation.

Professor Dillehay expressed his appreciation for the opportunity to address the Board and thanked President Wethington. He then received a round of applause.

President Wethington expressed his appreciation to Professor Dillehay and to his colleagues who were in attendance. He said the Board and the

Administration appreciates the good work that Professor Dillehay does for the University of Kentucky. They have brought good positive attention to the University and to themselves, and they are valued.

Professor Mather pointed out that Professor Dillehay came to the University of Kentucky from graduate school and stayed. He is now an internationally known archaeologist and the greatest in his field. He said that the University has been a good place to get people's careers started, but it has been difficult in some fields to retain them at the University. Retaining good faculty is critically important for the institution. He said that he strongly suspected that the University is well behind its benchmarks for the kind of institution it aspires to be. But, the University has the greatness that it has in this area because Tom Dillehay chose to stay at the University of Kentucky. He commended the Administration for their efforts in retaining good faculty.

President Wethington thanked Professor Mather for his comments and said they were well stated.

E. Personnel Actions (PR 2)

President Wethington recommended that approval be given to the appointments, actions and/or other staff changes which require Board action; and that the report relative to appointments and/or changes already approved by the administration be accepted. Mr. Aja moved approval. The motion, seconded by Mr. Welenken, carried. (See PR 2 at the end of the Minutes.)

F. Revision of Administrative Regulations (PR 3A)

President Wethington said PR 3A is a recommendation for two revisions in the Administrative Regulations (AR's) regarding the University's retirement plan. He asked George DeBin to comment on the two revisions.

Mr. DeBin stated PR 3A recommends that the Board approve two changes in the Administrative Regulations: Retirement Regulation Plan AR II-1.6-1 and the Phased Retirement Policy and Program AR II-1.6-2. He explained that early retirement is authorized when the combination of the employee's age and years of continuous service equal or exceed 75. The revision proposed to the University of Kentucky Retirement Plan is to require individuals electing early retirement to have a minimum of 15 years of continuous service at the time of retirement.

He said that a further revision entitles an individual electing early participation in the Phased Retirement Policy and Program to activate any or all of retirement benefits that have been acquired under the University of Kentucky Retirement Plan. The revision in the Phased Retirement Policy

and Program is to make it possible for those electing Phased Retirement to access retirement plan funds without separating from the University after the effective date initiating participation in the Phased Retirement Program.

President Wethington elaborated on Mr. DeBin's explanation stating that the 15 years of continuous service in the first policy change applies to those electing early retirement. He said that the Board could approve an exception in the case of financial exigency or in the case of a university employee loaned temporarily to an outside entity such as state government.

He said that the second policy change would make it possible for faculty members, who have elected to take a phased retirement program over a three-year period or less. He reminded the Board that they passed such a plan in the last year that would allow a faculty member to do this. This change would allow that faculty member to start drawing his or her retirement at the time that the election is made. In other words, a faculty member could still be working in the phased retirement program and be drawing his or her retirement benefits during that time. The faculty members who have expressed interest in the plan are ones that are likely to exercise the phased retirement program.

On motion made by Mr. Shoop and seconded by Mr. Grayson, PR 3A was approved. (See PR 3A at the end of the Minutes.)

Governor Breathitt thanked President Wethington for including Professor Tom Dillehay and his colleagues in the President's Report. Without the Tom Dillehays, his outstanding colleagues and others of that distinction on campus, it is empty.

G. Acceptance of Interim Financial Report for the University of Kentucky for the Seven Months Ended January 31, 1997 (FCR 1)

Mr. Hardymon, Chairperson of the Finance Committee, reported that the Finance Committee met and considered 11 items for action. FCR 1 is the monthly interim financial report for the first seven months of the year ending January 31, 1997. He noted that this is a time when the realized income runs ahead of the expenditures because of the state appropriation timing and because of the student fees. He noted that realized income for the estimated budget for the year is 69%, and expenditures/commitments are about 59% of the approved budget for the year. The University has a strong balance sheet and a strong financial condition. He moved approval of FCR 1. Mrs. Weinberg seconded the motion, and it passed. (See FCR 1 at the end of the Minutes.)

H. Report of Leases (FCR 2)

Mr. Hardymon reviewed the lease agreements in FCR 2, noting the value is less than \$30,000 per year for each agreement. He said that the Finance Committee accepted the report and moved approval of FCR 2. His motion, seconded by Mr. Welenken, passed. (See FCR 2 at the end of the Minutes.)

I. Approval of Leases (FCR 3)

Mr. Hardymon reviewed the leases in excess of \$30,000 per year and stated that the leases are recommended for approval by the Finance Committee. He moved approval of FCR 3. Mr. Bates seconded the motion, and it carried. (See FCR 3 at the end of the Minutes.)

J. Capital Construction Report (FCR 4)

Mr. Hardymon said FCR 4 is a quarterly report for the three months ending December 31, 1996. The Finance Committee reviewed and accepted the report after discussing the change orders in the report. He moved that the report be accepted. His motion, seconded by Professor Powell, passed. (See FCR 4 at the end of the Minutes.)

K. Patent and Copyright Prosecution (FCR 5)

On motion made by Mr. Hardymon, seconded by Mr. Guthrie and carried, the Board approved FCR 5 which involves a new method for reporting patent and copyright prosecution. (See FCR 5 at the end of the Minutes.)

L. Hilary J. Boone Gift and Pledge (FCR 6)

Mr. Hardymon stated that FCR 6 recommends that the Board accept a gift from Hilary J. Boone of \$200,000 and a pledge of \$200,000 for an outdoor tennis stadium. Mr. Boone's \$200,000 pledge will be fulfilled with equal payments in 1997 and 1998. Mr. Hardymon reminded everyone that Mr. Boone was a member of the university varsity tennis team and is one of the University's most generous donors. He moved approval of FCR 6. His motion, seconded by Mr. Grayson, carried. (See FCR 6 at the end of the Minutes.)

M. Violet Showers Couch Gift (FCR 7)

Mr. Hardymon reported that Mrs. Couch is the surviving spouse of Virgil Couch, a 1930 graduate of the University of Kentucky. Mr. Couch gained recognition during his 40 years of federal government service for his expertise in personnel administration, training and executive management. In his memory and that of his sister, Lucille E. Couch, a 1932 UK graduate, Mrs. Couch has endowed scholarships in the School of Music and the Martin School of Public Policy and Administration. The music scholarship will benefit students who want to teach vocal music, and the Martin School scholarship will benefit students who have been public policy or administration professionals in government. He moved that the Board accept a gift of \$100,397 from Violet Showers Couch of Arlington, Virginia, to benefit the College of Fine Arts School of Music and the Martin School of Public Policy and Administration. His motion was seconded by Professor Mather and carried. (See FCR 7 at the end of the Minutes.)

Governor Breathitt gave praise to Virgil Couch for his attendance at the UK Alumni meetings in Washington for 20 years. He said that Mr. Couch always made a speech about this great institution that he loved. The University of Kentucky has outstanding centers, and this is another example of somebody showcasing the College of Fine Arts and the Martin School of Public Policy and Administration.

N. Katherine Longyear Gift (FCR 8)

Mr. Hardymon said that Professor Rey M. Longyear taught music at the University of Kentucky for 30 years prior to his death in 1995. He explained that under the terms of Mrs. Longyear's gift to the University, she will live in the residence until her death, at which time the property, presently appraised at \$101,000, will be sold and the proceeds used to fund the Rey M. Longyear Memorial Fund in Musicology. The fund will provide fellowships, scholarships, prizes and other awards to support graduate students in musicology. He moved that the Board accept the gift of a remainder interest in the residence from Katherine Longyear of Lexington, Kentucky, and, upon her death, the Board further authorizes the sale of the residence to fund an endowment in the College of Fine Arts School of Music in memory of her deceased husband, Rey M. Longyear. Mr. Grayson seconded the motion, and it passed unanimously. (See FCR 8 at the end of the Minutes.)

O. John Jacob Niles Charitable Trust Gift (FCR 9)

Mr. Hardymon stated that FCR 9 recommends that the Board accept a gift of \$250,000 from the John Jacob Niles Charitable Trust of Lexington, Kentucky to establish the John Jacob Niles Center for American Music in the new Fine Arts Library. Before her death in June 1996, Rena Niles worked with the library staff to plan a special reading room and library program to



honor the life's work of her late husband, John Jacob Niles. John Jacob Niles was a Kentucky musical treasure. The Finance Committee accepted this gift and recommends the Board's approval of FCR 9. Mr. Hardymon moved approval of FCR 9. Professor Powell seconded the motion, and it unanimously carried. (See FCR 9 at the end of the Minutes.)

P. George B. Tuggle Charitable Remainder Annuity Trust (FCR 10)

Mr. Hardymon stated that FCR 10 is a recommendation that the Board of Trustees accept the George B. Tuggle Charitable Remainder Annuity Trust, an irrevocable trust valued at \$403,313, established by George B. Tuggle of Somerset, Kentucky. He noted that Mr. Tuggle graduated from the University in 1949 with a degree in journalism and retired to Somerset after a career in banking in Cincinnati, Ohio. The annuity trust, of which the University is trustee, designates a portion of the corpus for a professorship in English in memory of his parents, William J. and Nina B. Tuggle, and a portion to establish the George B. Tuggle Scholarship Fund at the University of Kentucky to benefit students from Boyle, Wayne and Pulaski counties. He moved approval of FCR 10. His motion, seconded by Mrs. Weinberg, carried. (See FCR 10 at the end of the Minutes.)

Q. Sale of the South Farm, Tract A (FCR 11)

Mr. Hardymon reported that at the September 17, 1996, meeting of the Board, the administration was authorized to conduct a sale of Tract A of the South Farm. Formal appraisals of Tract A were obtained from two qualified firms. The bid by JDN Development Co., Inc. exceeds the highest of the two appraisals and, accordingly, has been found to be acceptable to the administration. JDN Development Co., Inc. has been so advised. Board approval of the bid is required before the sale can be completed.

He said that the recommendation is that the Board authorize the administration to accept the high bid of \$18,365,400 submitted by JDN Development Co., Inc. of Atlanta, Georgia, for Tract A (containing 42.96 acres) of the University's South Farm; further, that the administration be authorized to finalize the sale within 30 days after the Board's approval of the bid.

Mr. Hardymon said that the proceeds from the sale of Tract A will be used by the University for the construction of a Plant Sciences Building for the College of Agriculture in accordance with the "Twenty-First Century Plan," thus assuring that these funds will be used to advance research in support of the College of Agriculture. It seems to be a very well-done project by the Administration. The Finance Committee reviewed it and accepted it. On motion made by Mr. Hardymon, seconded by Mr. Bates and carried, FCR 11 was approved. (See FCR 11 at the end of the Minutes.)



R. Investment Committee Report

Mr. Wilcoxson, Chairperson of the Investment Committee, reported the Investment Committee met for two hours prior to the Finance Committee to discuss the Investment Committee's performance results for the endowment for 1996. He reported that the market value of the endowment in July of 1996 was \$161 million, and at the end of December 1996, the market value of the endowment was \$177 million. He noted the upside was approximately \$16 million during that six months period, about \$13 million market appreciation and the other \$3 million gifts.

He said that in July of 1992 when the Investment Committee first addressed the long-range asset allocation plan, the market value was approximately \$96 million. Since 1992 it has gone from \$96 million to \$177 million through December of 1996. He reported that from December 1996 through January 1997, the endowment went from \$177 million to \$182.5 million, up another \$5.5 million.

Governor Breathitt thanked Mr. Wilcoxson for the excellent report. He also expressed appreciation to the members of the Investment Committee and the staff of the University that work with the outside consultants.

Mr. Wilcoxson thanked Mr. Henry Clay Owen and his staff for their outstanding work on a day-to-day basis. He said that they were the greatest people to work with, following which they received a round of applause.

S. Dr. Deborah Powell Bid Farewell

Governor Breathitt stated that this was Dr. Deborah Powell's last Board meeting. He congratulated Dr. Powell on her distinct honor of being named Dean of the Medical School at the University of Kansas. He thanked her for her long-time commitment to the University and the Chandler Medical Center and her outstanding service to the Board. He wished her God speed.

President Wethington said he would like to echo Governor Breathitt's sentiments. He thanked Dr. Powell for her service on the Board and her service to the University. As a faculty representative on the Board, she certainly has represented the views of the faculty on the campus and has done so in a manner that makes it extremely easy for a President to work with a faculty representative. Dr. Powell's administrative experience, her leadership and her dedication have been long recognized. He thanked her for everything she has done and wished her well at Kansas.

Dr. Powell said that she had been at the University of Kentucky for 21 years, and it is very hard to leave. She said, "I owe a lot to this University and clearly I will never forget it." She said that she had learned a lot at the University and from her participation on the Board which she would take

with her. She thanked Governor Breathitt and President Wethington for their good words. Dr. Powell was given a round of applause.

T. Meeting Adjourned

There being no further business to come before the Board, the Chairperson adjourned the meeting at 1:59 p.m.

Respectfully submitted,

Lois C. Weinberg  
Secretary  
Board of Trustees

(PR 2, 3A, and FCR 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, and 11 which follow are official parts of the Minutes of the meeting.)

Office of the President  
March 4, 1997

## PRESIDENT'S REPORT TO THE BOARD OF TRUSTEES

### 1. Ervin J. Nutter Gives \$1 Million For Engineering Professorships

University of Kentucky alumnus Ervin J. Nutter has donated \$1 million through an estate trust that will establish up to four professorships in mechanical engineering. The gift, which will be donated after the deaths of Mr. Nutter and his wife, Zoe Dell Nutter, will bring to more than \$3.5 million the contributions from the Nutter family at Beavercreek, Ohio. Mr. Nutter earned a bachelor's degree in mechanical engineering from UK in 1943.

### 2. College of Medicine Increases Ranking Among NIH-Funded Medical Schools

During Fiscal Year 1996, College of Medicine faculty members were awarded \$27.2 million in National Institutes of Health (NIH) funding, an increase of 16 percent over the \$25.4 million awarded in Fiscal Year 1995. The increase raised the College of Medicine's ranking among the 126 NIH-funded medical schools in the nation from 63rd to 58th.

### 3. Joint UK-U of L Social Work Doctorate Approved by Council

The Kentucky Council on Higher Education has approved the state's first joint degree program, a Ph.D. in social work. It will be offered by the University of Kentucky and the University of Louisville. The program will begin next fall with 10 students from each university. Each institution was planning to offer the degree, and decided to combine their efforts.

4. Jenny Hansen Sets Yet Another Record

Jenny Hansen, who won three straight NCAA All-Around titles in gymnastics while a student at UK, has also won her third straight national Gymnastics Honda Award, given to an outstanding female athlete who “embodies the ideals of team contribution, scholastic endeavor, school and community involvement and those personal characteristics that are reflected in the philosophy of intercollegiate athletics.” It is the first time that an athlete has won the prestigious award three times in any single sport. She was honored, along with athletes from 10 other sports, at the presentation of the Honda-Broderick Cup during the recent NCAA Convention.

5. Architect Chosen for New Classroom Building at Prestonsburg CC

Ross-Tarrant Architects Inc. of Lexington has been announced as architect for a new classroom/health education building at Prestonsburg Community College. The new building is a joint project with Morehead State University and has been called a model of cooperation for Kentucky higher education by state officials. Last winter, the Kentucky General Assembly appropriated \$5.5 million for design and construction on the new building which will be attached to the PCC Martin Student Center.

6. Social Work Course on the Internet

The College of Social Work is providing UK’s first course offered exclusively on the Internet. The course, Graduate Social Work Research, will be taught by Professor David Royse from his computer in the Patterson Office Tower to students at Northern Kentucky University. Royse travels to Northern Kentucky to meet with the students three times during the semester for the class introduction, mid-term and final exam.

7. Four to Be Inducted Into Kentucky Journalism Hall of Fame

Four persons will be inducted into the Kentucky Journalism Hall of Fame April 14 as part of the annual UK Journalism Alumni Association dinner and the Joe Creason Lecture. The 1997 inductees are Judith Clabes, former editor of the Kentucky Post and now president and chief executive officer of the Scripps Howard Foundation; Hugh Morris, retired chief of the Courier-Journal Frankfort bureau; Ken Rowland, former WLKY-TV news director and WHAS-TV news anchor in Louisville and now a business commentator on WDRB-TV, Louisville, and Fred Wiche, popular farm and garden director at WHAS radio and television in Louisville. Al Neuharth, founder of USA Today, will give the Creason Lecture.

8. Midway College and Maysville CC Team Up for Four-Year Degree Program

Officials from Midway College and Maysville Community College have agreed to an educational partnership that will allow area students to receive a four-year degree. The degree in organizational management will be from Midway College. The courses will be taught at Maysville CC's Licking Valley Center in Cynthiana. The partnership, which has been praised as a unique link between a private and public institution, is designed for working adults who seek to reduce their time in the classroom in order to maximize time, work and family.

9. UK's King Cultural Center Celebrates 10th Anniversary

The University of Kentucky Martin Luther King Jr. Cultural Center located in the Student Center is celebrating its 10th anniversary this year. Frank Walker, director, says the center has the largest African-American library collection in the state with more than 1,500 books, 300 videos and 20 magazines. The library serves as a support mechanism for UK's academic departments and as a resource for researchers around the state.

10. Somerset CC Chosen as RCCI Institution

Somerset Community College is one of 17 community colleges nationwide invited to participate in the Rural Community College Initiative (RCCI), a national demonstration project that helps community colleges in distressed regions move their people and communities toward prosperity. It challenges community colleges to become catalysts for economic development, and supports aggressive and creative efforts to increase access to education in rural communities. RCCI is a partnership among the pilot colleges; MDC, a non-profit corporation which promotes economic development; the American Council on Education and the Ford Foundation.

11. 1997 "Ask Your Pharmacist" Call-In Show Was a Winner

The College of Pharmacy's hour-long, community call-in show, "Let's Talk Drugs — Ask Your Pharmacist," airing for the sixth consecutive year, drew questions about medications from 400 callers on WKYT-TV, channel 27 on January 25.

12. UKExcel Programs Are a Success

The latest results show that the UKExcel programs in chemistry and physics are a success. In the Fall 1996 semester, 24 ChemExcel students had an average final grade almost a full point higher than those in their control group. Eleven PhysExcel students had a final average that also was well above the national average in their control group. Minority students in both ChemExcel and PhysExcel exceeded performances of their counterparts in previous years.

ChemExcel and PhysExcel, along with MathExcel, are being held up as models by the National Science Foundation's Appalachian Rural Systemic Initiative College Project, whose goal is to inspire adaptation by community colleges serving 66 designated Appalachian counties in Kentucky and five adjoining states.

13. Law College To Operate Free Elder Law Clinic

The UK College of Law will open a clinic this summer to provide low-income older persons with free legal services. Five third-year law students will provide services in the clinic located across South Limestone Street from the Law Building. The clinic will handle such issues as landlord-tenant disputes, consumer fraud, wills and living wills.

14. Somerset Community College Chosen as State and Regional SIFE Headquarters

Somerset Community College's Students in Free Enterprise (SIFE) program has been selected the state and regional headquarters for the national SIFE organization. As SIFE regional headquarters, the local chapter will continue to lead discussions about recruiting and motivating students, planning and implementing projects, fund raising, community service, scholarship and career development. In receiving the directorship the chapter was praised for winning four awards at last year's international meeting -- the Regional Championship, Success 2000, Rookie of the World, and the International Bronze medal.

15. Student Tours of UK Art Museum Triple in Two Years

UK student tours of the University Art Museum located in the Singletary Center for the Arts tripled from 1994-96. Student tours now account for nearly 20 percent of all the museum's tours.

16. Kentucky Water Resources Institute Completes Study of Kentucky River Basin

The Kentucky River Authority, charged with developing comprehensive plans for the management of the Kentucky River Basin, has completed a study of long-range water supply, drought response, and ground-water protection plans for the Kentucky Water Resources Research Institute. The study reassessed potential deficits in a drought due to population growth or as the result of potential changes in demand.

17. Student Art Displayed at University Health Service

The University Health Service hosted the grand opening of a student art exhibit February 5 in the student art gallery of the health clinic. The exhibit features the work of six UK art education students who are part of the UK Student Art League. Each year, 52,000 visits are made to the University Health Service from over half the student body, which makes the health service a highly visible setting for the featured art, which will be on exhibit for this semester. New exhibits will be planned for every semester.

18. Student Awards and Honors

Five UK College of Engineering students are participating in a reduced-gravity environment program sponsored by the National Aeronautics and Space Administration. The students will conduct tests in a low-gravity environment created aboard NASA's KC-135 aircraft which is used to train astronauts. The students are Kathleen Sienko, of Maine, New York; Jennifer Ditz, Fairfield, Ohio; Shawn Smith, Pippa Passes; James Jackson, Charleston, West Virginia, and Aaron Smith, Lakeville, Minnesota.

Twenty-two UK students were initiated into Phi Beta Kappa, the nation's oldest honorary society. Most of the students are senior liberal arts majors and all of them are in the top 10 percent of their class. The UK chapter is the oldest in Kentucky.

Six College of Communications and Information Studies students have had papers accepted for the Undergraduate Honors Conference held at the Southern States Communication Association convention in Savannah, Georgia, in April. The students and their hometowns are Carolyn Humphries, Bowling Green; Annmarie Hester, Westwood, New Jersey; Claire Villavicencio and Becky Hoehler, Louisville; Sandra Williams, Nicholasville, and Kathy Wallace, Lexington.

Hazard CC students have formed an Ambassadors Club designed to help new students. Officers for the new organization are Mary Flannery, Busy, president; Robyn Mize, Chavies, vice president; Bucky Ison, Hallie, secretary, and Donna Mayor, Hazard, treasurer.

Pharmacy students Jackie Hamilton (first place) and Brian Carter (second place) were the winners in the recent College of Pharmacy Patient Counseling Competition.

David Whitfield and 1996 graduates Jeff Pickett and Mindy Levine, College of Architecture, have won a regional design competition sponsored by Trus Joist MacMillan.

Justin Smith, a senior in the acting program, has been named winner of the Irene Ryan Acting Scholarship competition, and Karen Hornberger, a senior in the design program, is the winner of the Barbizon Award for Design Excellence in Lighting Design. They will compete at the national finals at the Kennedy Center in Washington, D.C. April 19-21. Alternates are Matt Wheeler, a senior in the acting program, and Deborah Uttenreither, a graduate student in design.

Five students from the Lees College Campus of Hazard Community College received first place in a college stock market investment game sponsored by "Economics America" of Louisville. The student-team included Kevin Rice of Jackson, team leader; Brian Gilbert of Jackson; John Gillum of Vancleve, Sharon Vires of Beattyville, and Melissa Watts of Jackson. Robert Smoot is the faculty adviser for the team.

19. Significant Activities of Faculty and Staff

Kenneth Ain, James Anderson, Sanford Archer, Robert Baker, Joseph Berger, David Booth, Robert Broughton, N. K. Burki, David Caborn, Berry Campbell, Rebecca Collins, David E. Cowen, W. Patrick Davey, Paul DePriest, Kenneth Foon, Holly Gallion, Richard Glassock, James Glenn, Donna Grigsby, Michael Hagen, W. David Hager, Kelly Hill, Laurie Humphries, Gordon Hyde, Rick Isernhagen, Raleigh Jones, Dennis Karounos, Edward Kasarskis, Herbert Kaufer, W. Ben Kibler, Robert Lightfoot, Bruce Lucas, Priscilla Lynd, Grace Maguire, Hartmut Malluche, Samuel Matheny, Alan Maxwell, William Markesbery, Craig McClain, Patrick McGrath, William McRoberts, Frank Miller, Douglas Milligan, Roger Mills, Mohammed Mohiuddin, Edward Moody, Larry Munch, Kevin Nelson, Paul Nicholls, Nicholas Nickl, Jacqueline Noonan, Mark Parrott, Roy Patchell, Thomas Pauly, L. Creed Pettigrew, Deborah Powell, John Read, James Reed, U. Yun Ryo, Samuel Scott, Harsha Sen, Wei-Jen Shih, Truman Simmons, David Sloan, Julia Stevens, William Strodell, Ellen Sutherland, Phillip Tibbs, Dale Toney, Woodford Van Meter, John van Nagell, Joseph Valentino, Henry Vasconez, Benjamin Warf, William Witt, Peter Wong, Shelia Woods and Byron Young were named in *The Best Doctors in America: Midwest Region, 1996-97*.

Mary Abrams, Jefferson/Southwest CC, has been elected president of the National Association of Women in Education.

Lysbeth Barnett, Ashland CC, has been elected education chair of the Appalachian Section, American Society for Quality Control. She also has been appointed to the board of the Cabell County coalition for Position Change.

Hailu Bogale, Prestonsburg CC, will present the paper "Integrating AutoCAD with Engineering Mechanics-Statics," at the 1997 American Society for Engineering Education Annual Conference, to be held in Milwaukee, Wisconsin.

Lois Brown, oral health educator, UK College of Dentistry, is one of 24 recipients nationwide of the 1996 Access Recognition Awards, sponsored by the American Dental Association.

Lisa Cassis, pharmacy, has been appointed to a four-year term as a reviewer of the NIH Study Section for Pharmacology.

Delwood Collins, vice chancellor for Medical Center research and graduate studies, has been appointed to a four-year term on the National Research Resources Advisory Council for the National Center for Research Resources (NCRR). As part of the National Institutes of Health, the NCRR supports NIH-funded investigators at major academic medical centers.



John H. DeBerry, Somerset CC, has an article, "Kirby Smith's Bluegrass Invasion," published in the March 1997 issue of *America's Civil War* magazine.

Frank Derbyshire, director of the Center for Applied Energy Research and professor of chemical engineering, has been named recipient of the Henry H. Storch Award by the American Chemical Society. It is one of the top honors given each year by the society.

Jonathan Glixon, music history, has received a National Endowment for the Humanities fellowship to study the music of nuns in pre-19th Century Venice.

Dwaine Green, pharmacy, was named the first executive vice president of the Kentucky Society of Health-System Pharmacists.

Ramesh Gupta, preventive medicine and environmental health, has been appointed to a three-year term on the editorial board of the journal *Mutation Research*.

Michael Healy, law, is on sabbatical this semester teaching at the Coventry University School of Law and International Studies in Coventry, England.

George Herring and Jeremy Popkin, history, delivered papers at the annual meeting of the American Historical Association in New York City January 2-5.

Randolph Hollingsworth, Lexington CC, has been appointed a faculty consultant to the Advanced Placement (AP) Reading of the Educational Testing Service.

Gordon Hyde, surgery, has been named a fellow of The American Society of Addiction Medicine.

Myron Jacobson, pharmacy, has been appointed to the program committee of an international symposium focusing on diet and cancer, scheduled for May 1997 in Cancun, Mexico. The symposium, comprised of scientists from 15 countries, will look at the influence of niacin in cancer prevention and/or development.

Janet Keltz-Hicks, Lexington CC, is the recipient of the 1996 National League for Nursing's education award.

Linda Kuder, director of the Council on Aging and associate director for education and community service at the Sanders-Brown Center on Aging, and Wilson Wong, Donovan Scholar and instructor for the Donovan Program, have been appointed by Secretary John Morse, Cabinet for Health Services, and Secretary Viola Miller, Cabinet for Families and Children, to serve on a special study committee for the CARE 2000 Strategic Planning Task Force authorized by the legislature. The committee will make recommendations on the long-term care delivery system in Kentucky.

Alexander Lai, veterinary science, has received a \$210,975 grant from the Hong Kong Jockey Club for his research on "An improved DNA vaccine vector for equine influenza virus" being conducted at the Gluck Equine Research Center.

ChengBin Lin, veterinary science, has received a second place award in a poster competition sponsored by the American Association of Veterinary Immunologists.

Mark Meier (chemistry), Brad Weedon (graduate student in chemistry) and Peter Spielmann (biochemistry), researchers in the carbon-based materials group, have recently published two papers in the *Journal of American Chemical Society*, describing the structure of a new class of fullerene compounds.

Jim Nance, associate professor of kinesiology and health promotion, is co-author of a new book titled, "Gymnastics Fun and Games," published by the Human Kinetics Press.

Joseph Napora, Ashland CC, has been appointed to the editorial board of *First Intensity*, a magazine of new writing.

Jan Nemes, Elizabethtown CC, is president-elect of the Kentucky Association of Developmental Educators.

Michael Piascik, pharmacology, has been invited to serve as a member of the pharmacology study section, division of research grants, for the Department of Health and Human Services.

Jeremy Popkin, history, and his father, the philosopher Richard Popkin, organized a conference on "The Abbe Gregoire and His Causes" at the University of California at Los Angeles's Center for 17th and 18th Century Studies in February.

Zhongwei Shen, assistant professor of mathematics, has won an American Mathematical Society Centennial Research Fellowship, one of just a handful presented each year to outstanding young mathematicians.

John Shiber, Prestonsburg CC, reviewed a chapter for *Conservation Biology: Concepts and Applications*.

Daniel Smith, history, has won a southern regional "Emmy" award for his historical film "Alamance."

A book by Mark Summers, history, which is a major new synthesis of U.S. history in the late 19th Century, has just been published by Prentice Hall.

Roger Tate, Somerset CC, had an article, "The Daniel Boone National Forest," published in *Kentucky Living* magazine.

John Thelin, professor of higher education in the Department of Educational Policy Studies and Evaluation, has been selected for the 1997 edition of *Who's Who in America*.

Michael Toborek, surgery, has been appointed to the editorial board of *The Journal of the American College of Nutrition*

Steve Vasek, law, and five third-year law students will go to Vienna, Austria, in April to participate with law student teams from 19 countries in the Willem C. Vis International Commercial Arbitration Moot Court competition. The students travel and lodging expenses were provided by a gift from the law firm of Jackson and Kelly.

Carolyn Bardwell Wheeler, Interdisciplinary Human Development Institute, will be presenting a workshop at an international conference on advocacy and protection of individuals with disabilities in Brisbane, Queensland, Australia.

John Williamson, Prestonsburg CC, has an endorsement of *The Bedford Introduction to Literature* in the latest edition of the popular literary compilation published by Bedford Books.

Ron Witte, assistant professor, has been awarded the Prix Gabriel, a \$15,000 prize intended to further the study of French architecture from 1530-1830. He will spend three months in Paris, documenting the Place de la Concorde.

# PR 2

Office of the President  
March 4, 1997

Members, Board of Trustees:

## PERSONNEL ACTIONS

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

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

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

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

## **CENTRAL ADMINISTRATION**

### **I. BOARD ACTION**

#### **A. EARLY RETIREMENT**

##### **Vice President for Information Systems**

Mullins, Norris R., Postal Worker, Postal Services, after 26 years 1 month total years of service, under Section AR II-1.6-1 Section III.A.2 effective 4/30/97.

### **II. ADMINISTRATIVE ACTION**

#### **A. ADMINISTRATIVE APPOINTMENTS**

##### **Vice President for Information Systems**

Bates, Rennie L., Associate Director Technical Services, Communications & Network Services, effective 1/13/97.

##### **Vice President for Research and Graduate Studies**

Beck, Ennis G., Geologist II, Kentucky Geological Survey, effective 2/3/97.

#### **B. PROMOTIONS WITHOUT TENURE**

##### **Vice President for Information Systems**

Hale, Gracie, from Librarian IV, University Libraries, Equine Center Library, joint appointment as Librarian IV, Agriculture, to Librarian III, University Libraries, Equine Center Library, joint appointment as Librarian III, Agriculture, 7/1/97 through 6/30/98.

McClure, Wanda L., from Librarian IV, University Libraries, Serials Department to Librarian III, University Libraries, Serials Department, 7/1/97 through 6/30/98.

Spears, Charles Andrew, from Librarian IV, University Libraries, Director's Office, to Librarian III, University Libraries, Director's Office, 7/1/97 through 6/30/98.

Wood, Lisa R., from Librarian IV, University Libraries, Special Collections, to Librarian III, University Libraries, Special Collections, 7/1/97 through 6/30/98.

**C. CHANGES**

Metzmeier, Kurt X., from Librarian IV, Lexington Campus, College of Law, to Librarian IV, University Libraries, Law Library, 2/1/97 through 6/30/97.

**D. LEAVE OF ABSENCE**

Vice President for Research and Graduate Studies

Connolly, John W. D., Director, Center for Computational Sciences, miscellaneous leave with full salary, 5/21/97 through 6/20/97.

## **COMMUNITY COLLEGE SYSTEM**

### **I. BOARD ACTION**

#### **A. PROMOTIONS**

##### **Hazard Community College**

Petrey-Blandau, Sandra, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.

##### **Henderson Community College**

Bishop, Fern, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.  
Thompson, Michael E., from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.

##### **Hopkinsville Community College**

Liles, Betty P., from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.  
Von Lanken, George, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.

##### **Jefferson Community College**

Bonnell, Loretta G., from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.  
Brown, Robert P., from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.  
Recktenwald, Rita, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.

##### **Lexington Community College**

Carpenter, Gail, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.

Crowley, Lillie, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.  
Singleton, Debbie, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.

Madisonville Community College

Jewell, Greg, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.

Owensboro Community College

Mowers, Kathy, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.

Paducah Community College

Stephenson, Lisa, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.  
Wallace, Pat, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.

Prestonsburg Community College

Carlson, Dorothy, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.  
Herrin, Gay, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.  
Milon, Theresa, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.  
Sturgill, Monnette, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.

Somerset Community College

Powell, Nancy, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.  
Rogers, Sharon, from Associate Professor in the Community College System (with tenure), to Professor in the Community College System (with tenure), 7/1/97.

**B. EARLY RETIREMENTS**

Ashland Community College

Stephens, John R., Operations Superintendent, under AR II-1.6-1 Section III.A.2, following 21.1 consecutive years of service, 3/31/97.

**II. ADMINISTRATIVE ACTION**

**A. ACADEMIC APPOINTMENTS**

Hazard Community College

Jacobs, Burnis, Instructor in the Community College System, 1/8/97 through 5/31/97.

Rollinger, Jeanette, Assistant Professor in the Community College System, 1/6/97 through 6/30/97.

Hopkinsville Community College

Hancock, Deborah C., Instructor in the Community College System, 1/1/97 through 6/30/97.

Jefferson Community College

Johnson, Mary T., Instructor in the Community College System, 1/1/97 through 5/31/97.

Lexington Community College

Acker, Deborah A., Instructor in the Community College System (voluntary), 1/15/97 through 5/9/97.

Moore, Sarah, Instructor in the Community College System (voluntary), 1/15/97 through 5/9/97.

Strobel, Norman E., Instructor in the Community College System, 1/2/97 through 5/31/97.

Taghizadeh, Rasoul, Instructor in the Community College System, 1/14/97 through 5/31/97.

Madisonville Community College

Englebright, Mary P., Instructor in the Community College System (voluntary), 1/1/97 through 12/31/99.

Groves, Jennifer, Instructor in the Community College System (voluntary), 1/1/97 through 12/31/99.



Hamilton, Venita, Instructor in the Community College System (voluntary, 1/1/97 through 12/31/99.

James, Douglas K., Instructor in the Community College System (voluntary), 1/1/97 through 12/31/99.

Lee, Karla D., Instructor in the Community College System (voluntary), 1/1/97 through 12/31/99.

Vespie, Patricia Kay, Instructor in the Community College System, 1/13/97 through 5/31/97.

Owensboro Community College

Cary, Shannon N., Librarian IV in the Community College System, 1/13/97 through 6/30/97.

Paducah Community College

Elrod, Theresa, Instructor in the Community College System (voluntary), 1/31/97 through 1/30/00.

Ruttinger, Mary Jane, Instructor in the Community College System (voluntary), 2/15/97 through 2/14/00.

Smith, Judy N., Instructor in the Community College System (voluntary), 2/1/97 through 1/31/00.

Prestonsburg Community College

Wright, Terry, Instructor in the Community College System (voluntary), 1/1/97 through 4/30/97.

Somerset Community College

Cochran, Carlos F., Instructor in the Community College System, 1/1/97 through 6/30/97.

**B. REAPPOINTMENTS**

Jefferson Community College

Baker, Brian G., Instructor in the Community College System, 1/1/97 through 5/31/97.

Somerset Community College

Brosi, George, Instructor in the Community College System, 1/1/97 through 5/31/97.

### C. LEAVES OF ABSENCE

#### Elizabethtown Community College

Sparks, Linda, Assistant Professor in the Community College System, leave of absence without pay, 2/24/97 through 6/30/97.

#### Henderson Community College

Uzzle, Ruby, Associate Professor in the Community College System (with tenure), sabbatical leave with full pay, 7/1/97 through 12/31/97.

#### Jefferson Community College

Briley, Rebecca L., Associate Professor in the Community College System (with tenure), leave of absence without pay, 1/1/97 through 6/30/97.

#### Owensboro Community College

Dupont, Joan, Associate Professor in the Community College System (with tenure), sabbatical leave with full pay, 1/1/98 through 6/30/98.

West, William, Associate Professor in the Community College System (with tenure), sabbatical leave with half pay, 7/1/97 through 6/30/98.

#### Prestonsburg Community College

Bell, Daniel E., Associate Professor in the Community College System (with tenure), leave of absence without pay, 7/1/97 through 6/30/98.

#### Somerset Community College

Cleberg, Steven, Associate Professor in the Community College System (with tenure), sabbatical leave with full pay, 1/1/98 through 6/30/98.

Fries, Wanda, Associate Professor in the Community College System (with tenure), sabbatical leave with full pay, 7/1/97 through 12/31/97.

**LEXINGTON CAMPUS**

**I. BOARD ACTION**

**A. ACADEMIC APPOINTMENTS**

**College of Agriculture**

Richey, Margaret G., Visiting Associate Professor, Plant Pathology, 1/9/97 through 6/30/97.

**College of Arts and Sciences**

Parker, James S., Professor (without tenure), Aerospace Studies, 7/1/97 through 6/30/2000.

**College of Education**

Chandler, T. Jeff, Adjunct Professor, Kinesiology and Health Promotion, 7/1/97 through 6/30/2000.

Prout, H. Thompson, Professor (with tenure), Educational and Counseling Psychology, effective 1/1/97.

Warford, Malcolm Lyle, Adjunct Professor, Educational Policy Studies and Evaluation, 1/1/97 through 12/31/98.

**College of Law**

Wiseman, Rena G., Professor (part-time), Law, 1/13/97 through 5/15/97.

**B. ADMINISTRATIVE APPOINTMENTS**

**College of Education**

Van Meter, Eddy J., Professor (with tenure), Administration and Supervision, and Chair, Administration and Supervision, reappointed Chair, Administration and Supervision, 7/1/97 through 6/30/2000.

**College of Engineering**

Grulke, Eric A., Professor (with tenure), Chemical and Materials Engineering, and Chair, Chemical and Materials Engineering, reappointed Chair, Chemical and Materials Engineering, 7/1/97 through 6/30/2001.

College of Fine Arts

Clarke, William Harry, Associate Professor\* (with tenure), Music, and  
Director, Music, reappointed Director, Music, 7/1/97 through 6/30/2001.

**C. REAPPOINTMENT**

College of Arts and Sciences

Baskin, Carol C., Adjunct Professor, Biological Sciences, 7/1/97 through 6/30/99.

**D. PROMOTION**

College of Business and Economics

Lee-Post, Anita, from Assistant Professor, Management, to Associate  
Professor (with tenure), Management, effective 7/1/97.

**E. RETIREMENTS**

College of Arts and Sciences

Garrett, Cecil D., Administrative Staff Officer I, Physics and Astronomy, after  
16.8 consecutive years of service, under Section III.B of AR II-1.6-1, effective  
1/31/97.

College of Social Work

Case, Elizabeth G., Staff Assistant VI, Social Work, after 8 consecutive years of  
service, under Section III.B of AR II-1.6-1, effective 3/14/97.

**F. EARLY RETIREMENTS**

College of Agriculture

Hounsshell, Novella, Senior Lab Technician, Agronomy, after 25.6 consecutive  
years of service, under Section III.A.2 of AR II-1.6-1, effective 3/14/97.

Vice Chancellor for Administration

Warren, Delbert, Painter III, Paint Shop, Physical Plant Division, after 18.7  
consecutive years of service, under Section III.A.2 of AR II-1.6-1, effective  
4/11/97.

Vice Chancellor for Student Affairs

Perkins, Ralph W., Custodial Worker IV, Student Center Director's Office, after 17.1 consecutive years of service, under Section III.A.2 of AR II-1.6-1, effective 2/28/97.

**G. POST-RETIREMENT APPOINTMENTS**

College of Agriculture

King, Granville, Technical Paraprofessional (part-time), Cooperative Extension Service, 3/1/97 through 11/30/97.

College of Architecture

Graves, Charles P., Professor (part-time), Architecture, 1/1/97 through 6/30/97.

College of Arts and Sciences

Ehmann, William, Professor (part-time), Chemistry, 7/1/97 through 6/30/98.

College of Engineering

Dillon, Oscar W. Jr., Professor (part-time), Mechanical Engineering, 1/1/97 through 6/30/97.

**II. ADMINISTRATIVE ACTION**

**A. ACADEMIC APPOINTMENTS**

College of Agriculture

Farman, Mark L., Assistant Professor, Plant Pathology, 3/1/97 through 6/30/97.

McCraith, Rebecca, Instructor (part-time), Horticulture and Landscape Architecture, 2/1/97 through 5/31/97.

Singer, Jeffrey Lee, Instructor (part-time), Horticulture and Landscape Architecture, 1/1/97 through 5/31/97.

College of Architecture

Wall, Alexander M., Assistant Professor (temporary), Architecture, 1/1/97 through 6/30/97.

Whiting, Sarah, Assistant Professor (part-time), Architecture, 1/1/97 through 6/30/97.

College of Arts and Sciences

Campbell, Bruce A., Instructor (part-time), Statistics, 1/1/97 through 5/31/97.  
Ferrall, Eric A., Instructor (part-time), Chemistry, 1/1/97 through 5/31/97.  
Gavaskar, Amita K., Instructor (part-time), Chemistry, 1/1/97 through 5/31/97.  
Gibson, Onecia M., Instructor (part-time), Statistics, 1/1/97 through 5/31/97.  
Huffman, Melissa, Instructor (part-time), Statistics, 1/1/97 through 5/31/97.  
Leung, Suzanne K., Instructor (part-time), Chemistry, 1/1/97 through 5/31/97.  
Marksbury, Thomas A., Instructor (part-time), English, 1/1/97 through 5/15/97.  
McGrath, Michael, Instructor (part-time), Spanish and Italian, 1/1/97 through 5/31/97.  
Millin, Ann Mann, Instructor (part-time), Russian and Eastern Studies, 1/1/97 through 5/31/97.  
Morford, Michal L., Instructor (part-time), Psychology, 1/1/97 through 5/31/97.  
Parks, John H., Instructor (voluntary), Russian and Eastern Studies, 1/1/97 through 5/31/97.  
Taylor, Tracy, Instructor (part-time), German, 1/1/97 through 5/31/97.  
Thompson, Patricia A., Instructor (part-time), Sociology, 1/1/97 through 5/31/97.

College of Business and Economics

Borkosky, Bart T., Instructor (part-time), Management, 1/15/97 through 5/15/97.

College of Communications and Information Studies

Bronson, Harold L., Instructor (part-time), Communication, 1/1/97 through 5/15/97.  
Campbell, Robert H., Instructor (part-time), Journalism and Telecommunications, 1/15/97 through 5/31/97.  
Pember, Mary Annette, Instructor (part-time), Journalism and Telecommunications, 1/15/97 through 5/31/97.  
Tolzmann, Don, Instructor (part-time), Library and Information Science, 1/1/97 through 5/31/97.

College of Education

Beach, David, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/97 through 5/15/97.  
Chandler, T. Jeff, Instructor (part-time), Kinesiology and Health Promotion, 1/1/97 through 5/15/97.  
Daopoulos, Jim, Instructor (part-time), Kinesiology and Health Promotion, 1/1/97 through 5/15/97.  
Dunn, Cynthia, Instructor (part-time), Educational and Counseling Psychology, 1/1/97 through 5/15/97.  
Ferlan, Mary, Instructor (part-time), Kinesiology and Health Promotion, 1/1/97 through 5/15/97.

Gater, Denise, Instructor (part-time), Kinesiology and Health Promotion, 1/1/97 through 5/15/97.  
Haynes, Diane, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/97 through 5/15/97.  
Merchant, Debra, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/97 through 5/15/97.  
Muntz, Charlie, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/97 through 5/15/97.  
Prout, Susan, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/97 through 5/15/97.  
Sprague, Dennis, Instructor (part-time), Kinesiology and Health Promotion, 1/1/97 through 5/15/97.  
Stanley, Sue, Instructor (part-time), Kinesiology and Health Promotion, 1/1/97 through 5/15/97.

#### College of Engineering

Ban, Heng, Assistant Professor (temporary), Mechanical Engineering, 1/1/97 through 6/30/97.  
Goble, Christine A., Instructor (part-time), Civil Engineering, 1/1/97 through 12/31/97.  
Rao, Prasada, Visiting Assistant Professor, Civil Engineering, 1/1/97 through 12/31/97.

#### College of Fine Arts

Johnson, Lucy Carol, Instructor (part-time), Art, 1/1/97 through 5/31/97.  
Landrum, Baylor III, Instructor (part-time), Theatre, 1/15/97 through 5/16/97.

#### College of Human Environmental Sciences

Chappell, Carol, Instructor (voluntary), Nutrition and Food Science, 2/1/97 through 6/30/99.  
Fillman, Deborah, Instructor (voluntary), Nutrition and Food Science, 2/1/97 through 6/30/99.  
Fluty, Janet, Instructor (voluntary), Nutrition and Food Science, 2/1/97 through 6/30/99.  
Franklin, Cindy, Instructor (voluntary), Nutrition and Food Science, 4/1/97 through 6/30/99.  
Ralph, Sharon, Instructor (voluntary), Nutrition and Food Science, 2/1/97 through 6/30/99.  
Riches, Susan, Instructor (voluntary), Nutrition and Food Science, 2/1/97 through 6/30/99.  
Robinson, Sherry, Instructor (voluntary), Nutrition and Food Science, 2/1/97 through 6/30/99.

Smith, Beth, Instructor (voluntary), Nutrition and Food Science, 2/1/97 through 6/30/99.

Smith-Edge, Marianne, Instructor (voluntary), Nutrition and Food Science, 2/1/97 through 6/30/99.

Stinnett, Daniel, Instructor (voluntary), Nutrition and Food Science, 4/1/97 through 6/30/99.

Tussey, Danielle, Instructor (voluntary), Nutrition and Food Science, 2/1/97 through 6/30/99.

#### College of Social Work

Smith, Lynn R., Assistant Professor (part-time), Social Work, 1/1/97 through 5/15/97.

### **B. ADMINISTRATIVE APPOINTMENTS**

#### College of Education

Danner, Frederick W., Professor (with tenure), Educational and Counseling Psychology, appointed Acting Chair, Educational and Counseling Psychology, 7/1/97 through 6/30/98.

#### Vice Chancellor for Academic Affairs and Research

Albisetti, James C., Professor (with tenure), History, and Acting Director, Honors, reappointed Acting Director, Honors, 7/1/97 through 6/30/98.

#### Vice Chancellor for Student Affairs

Herbst, John H., appointed Director of the Student Center, effective 2/1/97.

### **C. JOINT APPOINTMENT**

#### College of Arts and Sciences

Daunert, Sylvia, Assistant Professor, Chemistry, joint appointment as Assistant Professor, Division of Medicinal Chemistry and Pharmaceuticals, College of Pharmacy, 3/5/97 through 6/30/97.

### **D. REAPPOINTMENTS**

#### College of Architecture

Arnold, Mark C., Instructor (part-time), Horticulture and Landscape Architecture, 1/15/97 through 5/31/97.



Aten, D. Lyle, Instructor (part-time), Horticulture and Landscape Architecture, 1/15/97 through 5/31/97.  
Bennett, Stephen, Instructor (part-time), Architecture, 1/1/97 through 6/30/97.  
Biagi, David M., Instructor (part-time), Architecture, 1/1/97 through 6/30/97.  
Chavance, Philippe, Assistant Professor (part-time), Architecture, 1/1/97 through 6/30/97.  
Guyon, Scott, Instructor (part-time), Architecture, 1/1/97 through 6/30/97.  
Huestis, George C., Instructor (part-time), Architecture, 1/1/97 through 6/30/97.  
Jacobs, Michael, Instructor (part-time), Architecture, 1/1/97 through 6/30/97.  
Pickett, Jeffery, Assistant Professor (temporary), Architecture, 1/1/97 through 6/30/97.  
Romanowitz, Byron, Instructor (part-time), Architecture, 1/1/97 through 6/30/97.  
Stevens, Randall S., Instructor (part-time), Architecture, 1/1/97 through 6/30/97.

#### College of Arts and Sciences

Ades, Harriet F., Instructor (part-time), Chemistry, 1/1/97 through 5/31/97.  
Battista, Philip C., Instructor (part-time), Sociology, 1/1/97 through 5/31/97.  
Beasley, Stephanie R., Instructor (part-time), Spanish and Italian, 1/1/97 through 5/31/97.  
Bebensee, George, Instructor (part-time), English, 1/1/97 through 5/15/97.  
Buck, Patrick L., Instructor (part-time), Spanish and Italian, 1/1/97 through 5/31/97.  
Cole, William, Instructor (part-time), Sociology, 1/1/97 through 5/31/97.  
Contreras, Elisa M., Instructor (part-time), Spanish and Italian, 1/1/97 through 5/31/97.  
Cooper, John B., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Darby, Sydney L., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Darrat, Suleiman A., Instructor (part-time), Russian and Eastern Studies, 1/1/97 through 5/31/97.  
Dunlop, Amy J., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Edwards, Kim A., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Ellis, Kelly A., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Emerick, Ellen, Instructor (part-time), History, 1/1/97 through 5/15/97.  
Emmerich, Robert J. Jr., Instructor (part-time), Sociology, 1/1/97 through 5/31/97.  
Estes, Yolanda, Instructor (part-time), Philosophy, 1/1/97 through 5/15/97.  
Everts, Nancy C., Instructor (part-time), Spanish and Italian, 1/1/97 through 5/31/97.  
Fritts, Priscilla I., Instructor (part-time), Spanish and Italian, 1/1/97 through 5/31/97.  
Gabhart, Mitchell, Instructor (part-time), Philosophy, 1/1/97 through 5/15/97.  
Giles, Donald A., Instructor (part-time), Philosophy, 1/1/97 through 5/15/97.  
Graves, George W., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Hardesty, Sharon L., Instructor (part-time), Sociology, 1/1/97 through 5/31/97.

Johnson, Tanya R., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Kaiser, David A., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Ketz, Laura R., Instructor (part-time), Spanish and Italian, 1/1/97 through 5/31/97.  
Krause, Margaret H., Instructor (part-time), Chemistry, 1/1/97 through 5/31/97.  
Leedham, Cynthia, Instructor (part-time), Sociology, 1/1/97 through 5/31/97.  
LeRoy, Francois, Instructor (part-time), History, 1/1/97 through 5/15/97.  
Mattone, Frank M., Instructor (part-time), Geography, 1/1/97 through 5/31/97.  
Medina, Georgie, Instructor (part-time), Spanish and Italian, 1/1/97 through 5/31/97.  
Meegan, William J., Instructor (part-time), Psychology, 1/1/97 through 5/31/97.  
Morley, Elizabeth L., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Mwagbe, Jerry M., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Norris, Debra G., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Otis, Melanie, Instructor (part-time), Sociology, 1/1/97 through 5/31/97.  
Pichard, Leisa D., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Pitts, Melissa M., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Pruett, J. Lynn, Instructor (part-time), English, 1/1/97 through 5/15/97.  
Seals, Alvin M., Instructor (part-time), African-American Studies, 1/1/97 through 5/31/97.  
Shannon, Elizabeth T., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Sherer, Scott A., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Slaton, Eric R., Instructor (part-time), Russian and Eastern Studies, 1/1/97 through 5/31/97.  
Stamatiadis, Ann-Marie, Instructor (part-time), Spanish and Italian, 1/1/97 through 5/31/97.  
Suggs, Thomas F., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Susman, David T., Instructor (part-time), Psychology, 1/1/97 through 5/31/97.  
Toumey, Christopher P., Instructor (part-time), Anthropology, 1/1/97 through 5/31/97.  
Trumbo, Geoffrey B., Instructor (part-time), English, 1/1/97 through 5/15/97.  
Vanderpool, Betty L., Instructor (part-time), Mathematics, 1/1/97 through 5/15/97.  
Verburg, John, Instructor (part-time), Sociology, 1/1/97 through 5/31/97.  
Wardle, Linda S., Instructor (part-time), Sociology, 1/1/97 through 5/31/97.  
Wegrzyn, Joseph F., Instructor (part-time), English, 1/1/97 through 5/15/97.  
White, C. Patrick, Instructor (part-time), English, 1/1/97 through 5/15/97.  
Wilke, David, Instructor (part-time), Philosophy, 1/1/97 through 5/15/97.  
Wolfgang, Steve, Instructor (part-time), History, 1/1/97 through 5/15/97.  
Zahniser, Ann H., Instructor (part-time), English, 1/1/97 through 5/15/97.

College of Business and Economics

Wertzler, Jon, Instructor (part-time), Management, 1/1/97 through 5/15/97.

College of Communications and Information Studies

Clay, John Carter, Instructor (part-time), Journalism and Telecommunications, 1/15/97 through 5/31/97.  
Gibbons, Judith, Instructor (part-time), Library and Information Science, 1/1/97 through 5/31/97.  
Harrison, Tyler, Instructor (part-time), Communication, 1/1/97 through 5/15/97.  
Hornsby, Donna, Instructor (part-time), Library and Information Science, 1/1/97 through 5/31/97.  
Ireland, Sandra, Instructor (part-time), Library and Information Science, 1/1/97 through 5/31/97.  
Miller, Robert O., Instructor (part-time), Communication, 1/1/97 through 5/15/97.  
Roberts, Randall, Instructor (part-time), Library and Information Science, 1/1/97 through 5/31/97.  
Saunders, Dudley F., Instructor (part-time), Journalism and Telecommunications, 1/15/97 through 5/31/97.  
Schultz, Lois, Instructor (part-time), Library and Information Science, 1/1/97 through 5/31/97.  
Young, Victoria L., Instructor (part-time), Library and Information Science, 1/1/97 through 5/31/97.

College of Education

Bell, Jennifer, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/97 through 5/15/97.  
Chandler, Redonna, Instructor (part-time), Educational and Counseling Psychology, 1/1/97 through 5/15/97.  
Cole, Kathy, Instructor (part-time), Kinesiology and Health Promotion, 1/1/97 through 5/15/97.  
Martin, Terri, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/97 through 5/15/97.  
McFarland, Martha, Instructor (part-time), Kinesiology and Health Promotion, 1/1/97 through 5/15/97.  
Meyer, Stacie A., Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/97 through 5/15/97.

College of Fine Arts

Adams, Jeffrey, Instructor (part-time), Art, 1/1/97 through 5/31/97.  
Buchanan, Margo, Instructor (part-time), Theatre, 1/1/97 through 5/31/97.  
Chaney, Victor, Instructor (part-time), Theatre, 1/1/97 through 5/31/97.  
Ellis, Carey, Instructor (part-time), Art, 1/1/97 through 5/31/97.  
Freyman, Marcia H., Instructor (part-time), Art, 1/1/97 through 5/31/97.  
Glixon, Beth, Instructor (part-time), Music, 1/1/97 through 5/31/97.

Harper, Tatiana, Instructor (part-time), Theatre, 1/1/97 through 5/31/97.  
Henderson, Marie, Instructor (part-time), Theatre, 1/1/97 through 5/31/97.  
Heying, Patti Lynn, Instructor (part-time), Theatre, 1/1/97 through 5/31/97.  
McLaughlin, John, Instructor (part-time), Art, 1/1/97 through 5/31/97.  
Osland, Lisa, Instructor (part-time), Music, 1/1/97 through 5/31/97.  
Pickett, Irwin, Instructor (part-time), Art, 1/1/97 through 5/31/97.  
Slade, Susan, Instructor (part-time), Art, 1/1/97 through 5/31/97.  
Stofer, Jill, Instructor (part-time), Art, 1/1/97 through 5/31/97.  
Stucky, Rodney, Instructor (part-time), Music, 1/1/97 through 5/31/97.

College of Human Environmental Sciences

Burchfield, Meredith, Instructor (part-time), Family Studies, 1/1/97 through 5/15/97.  
Crump, Jennifer, Instructor (part-time), Family Studies, 1/1/97 through 5/15/97.  
Robertson, Donna, Instructor (voluntary), Nutrition and Food Science, 2/1/97 through 6/30/99.  
Thomas, Willa, Instructor (voluntary), Nutrition and Food Science, 2/1/97 through 6/30/99.  
Zahn, Brenda K., Instructor (voluntary), Nutrition and Food Science, 2/1/97 through 6/30/99.

**E. LEAVES OF ABSENCE**

College of Agriculture

Adkins, Judy, County Extension Agent, Cooperative Extension Service, Leave without pay, 1/1/97 through 3/31/97.  
Davis, Rachel, County Extension Agent, Cooperative Extension Service, Educational leave with full salary, 6/2/97 through 12/1/97.

College of Architecture

Groves, John R., Professor (with tenure), Architecture, Leave without pay, 1/1/97 through 12/31/97.

College of Arts and Sciences

Haddon, Robert C., Professor (with tenure), Chemistry, Leave without pay, 1/1/97 through 2/28/97.

College of Business and Economics

Tepper, Ben, Associate Professor (with tenure), Management, Sabbatical leave with full salary, 1/1/98 through 6/30/98.

**MEDICAL CENTER**

**I. BOARD ACTION**

**A. ACADEMIC APPOINTMENTS**

**College of Medicine**

Deaciuc, Ion V., Associate Research Professor, Internal Medicine,  
3/5/97 through 6/30/97.

Mentzer, Robert M., Professor (with tenure), Surgery, joint  
appointment as Professor (without tenure) Physiology, effective  
3/1/97.

**B. ADMINISTRATIVE APPOINTMENTS**

**College of Medicine**

Mentzer, Robert M., Professor (with tenure), Surgery, joint  
appointment as Professor (without tenure) Physiology, named  
Chair, Department of Surgery, 3/1/97 through 2/28/03, and named  
to the Frank C. Spencer, M.D. Endowed Chair in Surgery, effective  
3/1/97.

**C. ADMINISTRATIVE REAPPOINTMENTS**

**College of Medicine**

Landfield, Philip W., Professor (with tenure), Pharmacology, named  
Chair, Department of Pharmacology, 3/1/97 through 2/28/03.

**D. JOINT APPOINTMENTS**

**College of Medicine**

de Leon, Jose, Associate Professor (without tenure), Psychiatry, joint  
appointment as Associate Professor (without tenure), College of  
Pharmacy, 2/6/97 through 6/30/97.

## **E. TENURE**

### College of Pharmacy

Chen, Ching-Shih, Associate Professor (without tenure), to Associate Professor (with tenure), effective 3/5/97.

## **F. PROMOTIONS**

### College of Allied Health Professions

Boosalis, Maria G., Assistant Professor, Clinical Sciences, joint appointment as Assistant Professor, College of Medicine, Department of Internal Medicine, to Associate Professor (with tenure), Clinical Sciences, joint appointment as Associate Professor (without tenure), College of Medicine, Department of Internal Medicine, effective 1/1/97.

### College of Medicine

Pan, Bin-Tao, Assistant Professor, Surgery, joint appointment as Assistant Professor, Microbiology and Immunology, to Associate Professor (with tenure), Surgery joint appointment as Associate Professor (without tenure), Microbiology and Immunology, effective 1/1/97.

### College of Pharmacy

Howard, Georgette, Assistant Professor, to Associate Professor (with tenure), effective 7/1/97.

## **G. EARLY RETIREMENTS**

### College of Medicine

Chan, Shung K., Professor (with tenure), Biochemistry, after 30.33 consecutive years of service, under AR II-1.6-1 Section III.A.2, effective 4/15/97.

Quillen, Donald L., Principle Lab Technician, Medicine, after 32.75 consecutive years of service, under AR II-1.6-1 Section III.A.2, effective 10/31/96.

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\*Special Title Series

University Hospital

Clouse, Betty J., Food Service Worker III, Dietetics and Nutrition, after 27.58 consecutive years of service, under AR II-1.6-1 Section III.A.2, effective 4/1/97.

Vinson, Truscilla, Custodial Worker III, Environmental Services, after 17.83 consecutive years of service, under AR II-1.6-1 Section III.A.2, effective 3/14/97.

II. **ADMINISTRATIVE ACTION**

**A. ACADEMIC APPOINTMENTS**

College of Allied Health Professions

Barker-Ward, Robin, Instructor (voluntary), Clinical Sciences, 3/5/97 through 6/30/97.

Bowling, Chasity, Instructor (voluntary), Health Services, 3/5/97 through 6/30/97.

Bright, Lisa A., Instructor (voluntary), Clinical Sciences, 3/5/97 through 6/30/97.

Brown, David E., Assistant Professor (voluntary), Health Services, 3/5/97 through 6/30/97.

Ciancio, Elizabeth, Instructor (voluntary), Clinical Sciences, 3/5/97 through 6/30/97.

Duncan, Cynthia D., Instructor (voluntary), Clinical Sciences, 3/5/97 through 6/30/97.

Gonzalez, Alberto, Assistant Professor (voluntary), Health Services, 3/5/97 through 6/30/97.

Hagerman, Ellen C., Clinical Assistant Professor, Clinical Sciences, 3/5/97 through 6/30/97.

King, Kyle J., Assistant Professor (voluntary), Health Services, 3/5/97 through 6/30/97.

Lybarger, Janet E., Instructor (voluntary), Clinical Sciences, 3/5/97 through 6/30/97.

Napier, Michael W., Instructor (voluntary), Health Services, 3/5/97 through 6/30/97.

Newman, Jerry L., Instructor (voluntary), Health Services, 3/5/97 through 6/30/97.

Owens, R. B., Clinical Assistant Professor, Clinical Sciences, 3/5/97 through 6/30/97.

Pennington, Lisa, Instructor (voluntary), Health Services, 3/5/97 through 6/30/97.  
Roberts, Sandra J., Instructor (voluntary), Clinical Sciences, 3/5/97 through 6/30/97.  
Shea, Raymond, Assistant Professor (voluntary), Health Services, 3/5/97 through 6/30/97.  
Sorace, Edward F., Instructor (voluntary), Health Services, 3/5/97 through 6/30/97.  
Stephens, Grady J., Assistant Professor (voluntary), Health Services, 3/5/97 through 6/30/97.  
Welling, Curtis M., Instructor (voluntary), Health Services, 3/5/97 through 6/30/97.  
Welling, Michele M., Assistant Professor (voluntary), Health Services, 3/5/97 through 6/30/97.  
Willging, Paul R., Assistant Professor (voluntary), Health Services, 3/5/97 through 6/30/97.  
Williams, Brent, Instructor (voluntary), Clinical Sciences, 3/5/97 through 6/30/97.  
Wilson, Elizabeth, Instructor (voluntary), Clinical Sciences, 3/5/97 through 6/30/97.  
Yezerksi, John A., Assistant Professor (voluntary), Health Services, 3/5/97 through 6/30/97.

#### College of Dentistry

Kelly, Huong D., Clinical Assistant Professor, Oral Health Practice, 2/1/97 through 6/30/97.

#### College of Medicine

Alnahhas, Mohamad, Assistant Professor (voluntary), Pediatrics, 3/5/97 through 6/30/97.  
Auslander, Michael, Assistant Professor (voluntary), Preventive Medicine and Environmental Health, 3/5/97 through 6/30/97.  
Brandt, Paul C., Assistant Professor (temporary), Biochemistry, 3/5/97 through 6/30/97.  
Brannick, William J., Assistant Professor (voluntary), Diagnostic Radiology, 3/5/97 through 6/30/97.  
Bucevic, Marin, Assistant Professor (voluntary), Psychiatry, 3/5/97 through 6/30/97.  
Carter, Richard A., Assistant Professor (voluntary), Family Practice, 3/5/97 through 6/30/97.



Concotelli, James, Assistant Professor (voluntary), Preventive Medicine and Environmental Health, 3/5/97 through 6/30/97.  
Gladden, Michael C., Assistant Professor (voluntary), Preventive Medicine and Environmental Health, 3/5/97 through 6/30/97.  
Hartley, Dianna E., Assistant Professor (voluntary), Psychiatry, 3/5/97 through 6/30/97.  
Horsford, William H., Assistant Professor (voluntary), Preventive Medicine and Environmental Health, 3/5/97 through 6/30/97.  
Huffman, James G., Assistant Professor (voluntary), Ophthalmology, 3/5/97 through 6/30/97.  
Lipsenthal, Lee, Assistant Professor (voluntary), Preventive Medicine and Environmental Health, 3/5/97 through 6/30/97.  
Miller, Robert A., Assistant Professor (voluntary), Family Practice, 3/5/97 through 6/30/97.  
Oskins, Douglas J., Assistant Professor (voluntary), Preventive Medicine and Environmental Health, 3/5/97 through 6/30/97.  
Rowe, Melinda G., Assistant Professor (voluntary), Preventive Medicine and Environmental Health, 3/5/97 through 6/30/97.  
Shankar, R. R., Assistant Professor (voluntary), Pediatrics, 3/5/97 through 6/30/97.  
Telle, Terri, Assistant Professor (voluntary), Family Practice, 3/5/97 through 6/30/97.  
Troutman, Kenneth, Assistant Professor (voluntary), Preventive Medicine and Environmental Health, 3/5/97 through 6/30/97.  
Young, Vicky L., Assistant Professor (voluntary), Preventive Medicine and Environmental Health, 3/5/97 through 6/30/97.

#### College of Pharmacy

Burt, Theresa R., Instructor (voluntary), 3/5/97 through 6/30/97.  
Fields, Gayle, Instructor (voluntary), 3/5/97 through 6/30/97.  
Garner, Phil A., Instructor (voluntary), 3/5/97 through 6/30/97.  
Geoghegan, Jill G., Instructor (voluntary), 3/5/97 through 6/30/97.  
Grider, Eric B., Instructor (voluntary), 3/5/97 through 6/30/97.  
McClure, Sandra S., Instructor (voluntary), 3/5/97 through 6/30/97.  
Oestereich, Sharon, Instructor (voluntary), 3/5/97 through 6/30/97.  
Payne, Cheryl, Instructor (voluntary), 3/5/97 through 6/30/97.  
Reilly, Ann, Instructor (voluntary), 3/5/97 through 6/30/97.  
Richard, Susan C., Instructor (voluntary), 3/5/97 through 6/30/97.  
Soltis, Teresa D., Instructor (voluntary), 3/5/97 through 6/30/97.  
Stengel, Nancy, Instructor (voluntary), 3/5/97 through 6/30/97.

Welch, Laura P., Instructor (voluntary), 3/5/97 through 6/30/97.  
Wells, Lucy B., Instructor (voluntary), 3/5/97 through 6/30/97.

## **B. ADMINISTRATIVE APPOINTMENTS**

### College of Medicine

Markesbery, William R., Professor, Pathology and Laboratory  
Medicine and Director, Multidisciplinary Center on  
Gerontology/Sanders-Brown Center on Aging, named Acting Chair,  
Department of Pathology and Laboratory Medicine, 4/16/97  
through 12/31/97.

## **C. JOINT APPOINTMENTS**

### College of Allied Health Professions

Sikder, Ayesha M., Assistant Professor (voluntary), Health Services,  
joint appointment as Assistant Professor (voluntary), College of  
Medicine, Department of Internal Medicine, 3/5/97 through  
6/30/97.

## **D. REAPPOINTMENTS**

### College of Medicine

Huffman, James G., Assistant Professor (voluntary), Ophthalmology,  
7/1/97 through 6/30/00.

## **E. CHANGES**

### College of Medicine

Diana, Louise, from Assistant Research Professor, Surgery, to  
Assistant Professor (part-time), Surgery, 3/5/97 through 6/30/97.  
Fisher, Phoebe D., from Clinical Assistant Professor, Anesthesiology.  
1/1/97 through 6/30/97, to Clinical Assistant Professor,  
Anesthesiology. 2/1/97 through 6/30/97.  
Miller, S. J., from Clinical Instructor, Anesthesiology, 8/21/96 through  
6/30/97, to Clinical Instructor, Anesthesiology, 1/1/97 through  
6/30/97.

Ritchie, Rosalind, from Clinical Assistant Professor, Anesthesiology, 7/1/96 through 6/30/97, to Clinical Instructor, Anesthesiology, 7/1/96 through 6/30/97.

**F. TERMINAL REAPPOINTMENTS**

College of Medicine

Ibbott, Geoffrey S., Assistant Professor, Radiation Medicine, joint appointment as Assistant Professor, College of Allied Health Professions, Department of Clinical Sciences, 3/21/97 through 3/20/98.

College of Pharmacy

Howard, Georgette, Assistant Professor, 4/15/97 through 4/14/98.

# PR 3A

Office of the President  
March 4, 1997

Members, Board of Trustees:

## REVISION OF ADMINISTRATIVE REGULATIONS

Recommendation: that the Board of Trustees approve the attached revisions of the University of Kentucky (AR II-1.6-1) Retirement Plan and (AR II-1.6-2) Phased Retirement Policy and Program.

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

Background: Early retirement is authorized when the combination of the employee's age and years of regular full time service equals or exceeds 75.

The revision proposed in AR II-1.6-1 University of Kentucky Retirement Plan, page 18, is to require individuals electing early retirement to have a minimum of 15 years of continuous service at the time of retirement. A further revision, page 20, entitles an individual electing participation in the Phased Retirement Policy and Program, AR II-1.6-2, to activate any or all of retirement benefits that have been acquired under the University of Kentucky Retirement Plan.

The revision in AR II-1.6-2 Phased Retirement Policy and Program, page 2, is to make it possible for those electing the Phased Retirement Program to access retirement plan funds without separating from the University after the effective date initiating participation in the Phased Retirement Program.

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Action taken:



Approved

☐ Disapproved

☐ Other

UNIVERSITY OF KENTUCKY <b>ADMINISTRATIVE REGULATIONS</b>	IDENTIFICATION AR II-1.6-1		PAGE i
	DATE EFFECTIVE 6/11/96	SUPERSEDES REGULATION DATED 8/21/90 6/16/92 12/12/95	

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(APPROVED BY THE BOARD OF TRUSTEES)

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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 three retirement plan carriers, effective July 1, 1988, to be utilized by University of Kentucky employees: Teachers Insurance and Annuity Association/College Retirement Equities Fund (TIAA/CREF); Fidelity Institutional Services Company (Fidelity Investments); and Twentieth Century Investors, Inc. (Twentieth Century). 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 all three retirement plan carriers that have been authorized by the Board of Trustees.

The policies governing insurance benefits for University retirees are a part of the Staff Personnel Policy and Procedure Administrative Regulations and are found in Numbers 91, 93, and 94. Information on these insurance programs is not included in this Administrative Regulation.

II. Retirement Groups and Plans

A. Group I Personnel and Plan

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 I Plan - Participation Requirements

Participation of Group I personnel employed prior to July 1, 1964, is as follows:

a. Voluntary for employees who had attained age 56 prior to July 1, 1964, and for employees who have completed one year of continuous service but have not

attained age 30.

b. Mandatory for employees who had completed one year of continuous service and attained age 30 but not age 56 as of July 1, 1964.

c. Mandatory upon the completion of one year of continuous service and attainment of age 30 for all other such employees.

Participation of Group I personnel employed on or after July 1, 1964, is voluntary upon completion of one year of continuous service for those employees who have not attained age 30 and mandatory upon the completion of one year of continuous service and the attainment of 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.

The preliminary service period shall be waived, upon request, for employees with tenure or for employees who own retirement contracts issued by one or more of the authorized retirement plan carriers.

3. Group I Plan - Contributions and Vesting

Notwithstanding any provision to the contrary contained herein, all Group I 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 personnel 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%



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 \$150,000, as 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. 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. If a determination period consists of fewer than 12 months, the OBRA '93 annual limit will be multiplied by a fraction, the numerator of which is the number of months in the determination period, and the denominator of which is 12.

For 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 July 1 of a calendar year and end June 30 of the next calendar year.

If compensation for any prior determination period is taken into account in determining an employee's benefits accruing in the current plan year, the compensation for that prior determination period is subject to the OBRA '93 annual limit in effect for that prior determination period. For this purpose, the OBRA '93 annual limit is \$150,000 for the first day of the first plan year beginning on or after January 1, 1996.

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.

a. 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.

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

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.

Retirement benefits purchased with the combined employee and University contributions shall become the property of individual participants immediately upon purchase. All benefits are for the sole purpose of providing retirement and/or death benefits.

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 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.

4. Group I Plan - Termination of Contributions

Contributions on behalf of Group I personnel in the Retirement Plan through December 31, 1987, shall terminate at the end of the fiscal year in which the employee attains age 65 or upon the earliest occurrence of any one or more of the following.

- a. Cessation of regular full-time employment
- b. Retirement

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

B. Group II Personnel and Plan

1. 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.

2. Group II Plan - Participation Requirements

Participation of Group II personnel employed prior to July 1, 1971, is as follows:

a. Voluntary for employees who had attained age 56 before July 1, 1971, and for employees who have completed one year of continuous service but have not attained age 30.

b. Mandatory for employees who had completed one year of continuous service and attained age 30 but not age 56 as of July 1, 1971.

c. Mandatory upon the completion of one year of continuous service and the attainment of age 30 for all other such employees.

Participation of Group II personnel employed on or after July 1, 1971, is voluntary upon the completion of one year of continuous service for those employees who have not attained age 30 and mandatory upon the completion of one year of continuous service and the attainment of 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.

The preliminary service period shall be waived, upon request, for employees who own retirement contracts issued by one or more of the authorized retirement plan carriers.

3. Group II Plan - Contributions and Vesting

Notwithstanding any provision to the contrary contained herein, all Group II 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 to the retirement plan shall be made in accordance with the following schedule:

Contributions as a Percent of Basic Annual Salary

<u>For the Fiscal Year</u>	<u>By the Participant</u>	<u>By the University</u>	<u>Total</u>
1971-72	0.5%	1.0%	1.5%
1972-73	1.2	2.0	3.2
1973-74	1.9	3.0	4.9
1974-75	2.6	4.0	6.6
1975-76	3.3	5.0	8.3
1976-77	4.0	6.0	10.0
1977-78	4.0	6.5	10.5
1978-79	4.0	7.0	11.0
1979-80	4.0	7.5	11.5
1980-6/30/91	4.0	8.0	12.0
1991-93	4.25	8.5	12.75
1993-94	4.5	9.0	13.5
1994-95	4.625	9.25	13.875
1995-96	4.75	9.5	14.25
1996-97	4.875	9.75	14.625

Beginning July 1, 1996, the University shall withhold the contribution of the participant from regular wage 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 \$150,000, as 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. 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. If a determination period consists of fewer than 12 months, the OBRA '93 annual limit will be multiplied by a fraction, the numerator of which is the number of months in the determination period, and the denominator of which is 12.

For plan years beginning on or after January 1, 1996, any reference in the plan to the limitation under section 401(a)(17) of the Code shall mean the OBRA '93 annual maximum compensation includable limit stated in this provision. The University of Kentucky Retirement Plan Year is deemed to begin July 1 of a calendar year and end June 30 of the next calendar year.

If compensation for any prior determination period is taken into account in determining an employee's benefits accruing in the current plan year, the compensation for that prior determination period is subject to the OBRA '93 annual limit in effect for that prior determination period. For this purpose, the OBRA '93 annual limit is \$150,000 for the first day of the first plan year beginning on or after January 1, 1996.

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.

a. 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.

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

Each retirement contract issued in accordance with the foregoing is for the sole purpose of providing retirement and/or death benefits.

Retirement benefits purchased by University contributions shall become the property of individual participants as follows:

c. If the participant was employed prior to July 1, 1971: upon the

completion of five years of continuous University service. Only years of continuous service immediately prior to July 1, 1971, are to be included in this computation.

d. If the participant was employed on or after July 1, 1971: upon the completion of five years of continuous participation in this plan or on July 1, 1988, whichever event occurs first.

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 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.

4. Group II Plan - Termination of Contributions

Contributions on behalf of Group II personnel in the Retirement Plan through December 31, 1987, shall terminate at the end of the fiscal year in which the employee attains age 65 or upon the earliest occurrence of any one or more of the following:

- a. Cessation of regular full-time employment
- b. Retirement

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

C. Group III Personnel and Plan

1. 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.

2. Group III Plan - Participation Requirements

Participation of Group III personnel employed prior to July 1, 1972, is as follows:

a. Voluntary for employees who had attained age 56 before July 1, 1972, and for employees who have completed one year of continuous service but have not attained age 30.

b. Mandatory for employees who had completed one year of continuous service and attained age 30 but not age 56 as of July 1, 1972.

c. Mandatory upon the completion of one year of continuous service and attainment of age 30 for all other such employees.

Participation of Group III personnel employed on or after July 1, 1972, is voluntary upon the completion of one year of continuous service for those employees who have not attained age 30 and mandatory upon the completion of one year of continuous service and the attainment of 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.

The preliminary service period shall be waived, upon request, for employees who own retirement contracts issued by one or more of the authorized retirement plan carriers.

3. Group III Plan - Contributions and Vesting

Notwithstanding any provision to the contrary contained herein, all Group III 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 to the retirement plan shall be made in accordance with the following schedule:

Contributions as a Percent of Basic Annual Salary

<u>For the Fiscal Year</u>	<u>By the Participant</u>	<u>By the University</u>	<u>Total</u>
1972-73	1.0%	2.0%	3.0%
1973-74	2.0	4.0	6.0
1974-75	3.0	6.0	9.0
1975 through 6/30/91	4.0	8.0	12.0
1991-93	4.25	8.5	12.75
1993-94	4.5	9.0	13.5
1994-95	4.625	9.25	13.875
1995-96	4.75	9.5	14.25
1996-1997	4.875	9.75	14.625

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 \$150,000, as 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. 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. If a determination period consists of fewer than 12 months, the OBRA '93 annual limit will be multiplied by a fraction, the numerator of which is the number of months in the determination period, and the denominator of which is 12.

For plan years beginning on or after January 1, 1996, any reference in the plan to the limitation under section 401(a)(17) of the Code shall mean the OBRA '93 annual maximum compensation includable limit stated in this provision. The University of Kentucky Retirement Plan Year is deemed to begin July 1 of a calendar year and end June 30 of the next calendar year.

If compensation for any prior determination period is taken into account in determining an employee's benefits accruing in the current plan year, the compensation for that prior determination period is subject to the OBRA '93 annual limit in effect for that prior



determination period. For this purpose, the OBRA '93 annual limit is \$150,000 for the first day of the first plan year beginning on or after January 1, 1996.

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.

a. 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.

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

Each retirement contract issued in accordance with the foregoing is for the sole purpose of providing retirement and/or death benefits.

Retirement benefits purchased by University contributions shall become the property of individual participants as follows:

c. If the participant was employed prior to July 1, 1972: upon completion of three years of University service. Only years of continuous service immediately prior to July 1, 1972, are to be included in this computation.

d. If the participant was employed on or after July 1, 1972: upon completion of three years of participation in this plan or on July 1, 1988, whichever event occurs first.

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 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.

4. Group III Plan - Termination of Contributions

Contributions on behalf of Group III personnel in the Retirement Plan through December 31, 1987, shall terminate at the end of the fiscal year in which the employee attains age 65 or upon the earliest occurrence of any one or more of the following:

- a. Cessation of regular full-time employment
- b. Retirement

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

D. Group IV Personnel and Plan

1. 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.

2. Group IV Plan - Participation Requirements

Participation of Group IV personnel employed on or after January 1, 1973, is voluntary upon the completion of one year of continuous service.

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.

The preliminary service period shall be waived, upon request, for employees with tenure or for employees who own retirement contracts issued by one or more of the authorized retirement plan carriers.

3. Group IV Plan - Contributions and Vesting

Contributions to the retirement plan shall be made in accordance with the

following schedule for the period of January 1, 1973, through June 30, 1987:

Contributions as a Percent of Basic Annual Salary

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

Beginning July 1, 1987, contributions to the retirement plan shall be increased as follows:

Contributions as a Percent of Basic Annual Salary

<u>By the Participant</u>	<u>By the Institution</u>	<u>Total</u>
4.0%	8.0%	12.0%
4.25%	8.5%	12.75%
4.5%	9.0%	13.5%
4.625%	9.25%	13.875%
4.75%	9.5%	14.25%
4.875%	9.75%	14.625%

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 \$150,000, as 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. 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. If a determination period consists of fewer than 12 months, the OBRA '93 annual limit will be multiplied by a fraction, the numerator of which is the number of months in the determination period, and the denominator of which is 12.

For plan years beginning on or after January 1, 1996, any reference in the 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 July 1 of a calendar year and end June 30 of the next calendar year.

If compensation for any prior determination period is taken into account in determining an employee's benefits accruing in the current plan year, the compensation for that prior determination period is subject to the OBRA '93 annual limit in effect for that prior determination period. For this purpose, the OBRA '93 annual limit is \$150,000 for the first day of the first plan year beginning on or after January 1, 1996.

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.

a. 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.

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

Retirement benefits purchased with the combined employee and University contributions shall become the property of individual participants immediately upon purchase. All benefits are for the sole purpose of providing retirement and/or death benefits.

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 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.

4. Group IV Plan - Termination of Contributions

Contributions on behalf of Group IV personnel in the Retirement Plan through December 31, 1987, shall terminate at the end of the fiscal year in which the employee

attains age 65 or upon the earliest occurrence of any one or more of the following:

- a. Cessation of regular full-time employment
- b. Retirement

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

E. Group V Personnel and Plan

1. 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.

2. Group V Plan - Participation Requirements

Participation of Group V personnel hired on or after January 1, 1973, but no later than March 31, 1987 is voluntary upon completion of one year of continuous service.

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.

The preliminary service period shall be waived, upon request, for employees with tenure or for employees who own retirement contracts issued by one or more of the authorized retirement plan carriers.

3. Group V Plan - Contributions and Vesting

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%

Beginning July 1, 1988, the University shall withhold the contribution of the participant from the 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 \$150,000, as 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. 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. If a determination period consists of fewer than 12 months, the OBRA '93 annual limit will be multiplied by a fraction, the numerator of which is the number of months in the determination period, and the denominator of which is 12.

For plan years beginning on or after January 1, 1996, any reference in the 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 July of a calendar year and end June 30 of the next calendar year.

If compensation for any prior determination period is taken into account is determining an employee's benefits accruing in the current plan year, the compensation for that prior determination period is subject to the OBRA '93 annual limit in effect for that prior determination period. For this purpose, the OBRA '93 annual limit is \$150,000 for the first day of the first plan year beginning on or after January 1, 1996.

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.

a. 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.

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

Retirement benefits purchased with the combined employee and University contributions shall become the property of individual participants immediately upon purchase. All benefits are for the sole purpose of providing retirement and/or death benefits.

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 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.

#### 4. Group V Plan - Termination of Contributions

Contributions on behalf of Group V personnel in the Retirement Plan through December 31, 1987, shall terminate at the end of the fiscal year in which the employee attains age 65 or upon the earliest occurrence of any one or more of the following:

- a. Cessation of regular full-time employment
- b. Retirement

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

#### F. President, Vice Presidents, and Chancellors

Annual contributions to the Retirement Plan shall be made on behalf of the President, each Vice President, and each Chancellor in an amount equal to the aggregate of employee and University contributions otherwise provided herein for Group I employees.

Provided, however, that nothing contained herein shall be construed to impair the retirement entitlement of any President or Vice President employed in that capacity as of September 18, 1979. The Chairperson of the Executive Committee of the Board of Trustees, on behalf of the Board, shall execute contracts with the individual officers providing for the age of retirement of the officers and the other details of the arrangement authorized by this Retirement Plan.

### III. 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. [Service needs not be continuous, and r]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 appropriate chancellor or vice president at least three months in advance of the desired retirement date.

1. An employee who is taking early retirement and who is eligible for benefits as provided in Section IV.B shall be permitted to retire with entitlement to all University benefits except supplemental retirement income if applicable (as calculated under Section IV.B) at the time of retirement. Any supplemental retirement income is subject to the following conditions:

(a) Payment of supplemental retirement income shall not begin until the month in which the early retiree attains age 65;

(b) Service credit for supplemental retirement income shall not accrue after the person retires;

(c) The salary used to determine supplemental retirement income shall be the basic annual salary for the last year of active employment;

(d) An early retiree who elects to proceed under this option shall not receive supplemental retirement benefits which exceed 20% of the basic annual salary received during the last year of active employment plus 1% of such salary for each year of active service to the University.;

(e) The computation of supplemental retirement income will be based on the assumptions in Section IV.B.6, except that the value of the single life annuity option is to be



computed on the basis of the employee's age at the time early retirement commences; and

(f) Supplemental retirement benefits are not payable to survivors in the event the retiree dies prior to the attainment of age 65.

2. An employee who is taking early retirement but is not eligible for benefits as provided for in Section IV.B shall be permitted to retire with entitlement to all other University benefits.

B. Normal Retirement

The normal retirement date for all employees of the University of Kentucky employed on or after July 1, 1964, and those employed prior to that date who attain age 56 after June 30, 1964, is hereby established as the end of the University's fiscal year in which the employee attains age 65 or, upon administrative approval at least three months in advance, during the month in which the employee attains age 65.

C. Mandatory Retirement

1. General

With the exceptions described in Sections III.C.2, III.C.3, and III.C.4, no mandatory retirement date is applicable to employees of the University of Kentucky.

2. Executives

The mandatory retirement date, as an executive, for all employees of the University of Kentucky employed in bona fide executive or high policy making positions for two or more years prior to the attainment of age 65 and who are entitled to an immediate nonforfeitable annual retirement benefit from the University which equals or exceeds the amount per year specified by federal statute is hereby established as the end of the University's fiscal year in which the employee attains age 65.

3. Law Enforcement Officers

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.

3. In Conjunction with Long Term Disability Plan

An employee entitled to disability benefits after age 65 under the Long Term Disability Program, who qualifies for retirement and supplemental retirement income pursuant to this plan, will be eligible to retire and activate supplemental retirement income under the following conditions:

a. The amount of annual supplemental retirement income to be provided shall be determined according to the formula provided in Section IV.B.1;

b. University-sponsored disability plan benefits are to be deducted from supplemental retirement income; and

c. Supplemental retirement income will be adjusted at the time disability benefits cease according to the formula provided in Section IV.B.1.

IV. Retirement Benefits

A. Benefits Through Retirement Plan Carriers

Each participant is entitled, 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 nonannuitized 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. Minimum Annual Retirement Benefit and University Supplemental Retirement Income

1. Group I Personnel

For each Group I employee (see II.A.1) who was age 40 or older prior to July 1, 1964, and who was employed by the University prior to July 1, 1964, and who retires pursuant to the provisions hereof, the University will provide an annual supplemental retirement income during the lifetime of the employee, where necessary, to assure a minimum annual retirement benefit. The minimum annual retirement benefit shall be the following percentage of the basic annual salary at the employee's retirement date (unless the employee is serving outside the country on a University project and, in which case, the salary to be used in the computation shall be the basic annual salary received at the University during the year immediately preceding such foreign service):

- a. 20% plus 1% for each year of eligible service to the University

plus

- b. For the employee who had attained age 56 prior to July 1, 1964, 1% for each full year by which retirement precedes the end of the fiscal year in which the employee's 70th birthday is attained.

or

For the employee who had attained age 51, but not age 56 prior to July 1, 1964, the following percentage:

<u>Age</u>	<u>Percentage</u>
51	1
52	2
53	3
54	4
55	5

In no event shall the applicable percentage exceed 20% plus 1% for each year of eligible service. Any service credit allowed for years of part-time employment shall be computed on an appropriate fractional basis.

Annual supplemental retirement income, if any, shall be determined according to the following equation or formula:

Fixed Annual Supplemental Retirement Benefit	=	Computed <sup>1</sup> Minimum Annual Retirement Benefit	-	Computed <sup>2</sup> Annual Retirement Benefit from the Funded Plan Accumulations
---	---	---	---	--

<sup>1</sup>Computed as explained above in this section

<sup>2</sup>Computed on the basis of assumptions in Section IV.B.6.a.

Under the conditions of this formula, an employee would receive supplemental retirement income only if the computed annual retirement benefit from the funded plan accumulations is less than the computed minimum annual retirement benefits to which the employee is entitled.

## 2. Group II Personnel

For each Group II employee (See II.B.1) who was employed prior to July 1, 1971, and who had attained age 40 as of that date and has at least 15 years of consecutive service as of the employee's retirement date the University will provide an annual supplemental retirement income during the lifetime of the employee where necessary to assure a minimum annual retirement benefit under the plan equal to 20% of the basic annual salary received by the participant at the retirement date plus 1% of that salary for each year of eligible service at the University. The amount of annual supplemental retirement income to be provided shall be determined according to the formula provided in IV.B.1.

Information regarding computation of the minimum annual retirement benefit and annual supplemental retirement income for the participant employed prior to July 1, 1964, and who has been continuously employed since that date, is provided in Section IV.B.1.

## 3. Group III Personnel

For each Group III employee (see II.C.1) who was employed prior to

July 1, 1972, and who had attained age 40 as of that date and has at least 15 years of consecutive service at the employee's retirement date the University will provide an annual supplemental retirement income during the lifetime of the employee, where necessary, to assure a minimum annual retirement benefit under the plan equal to 20% of the basic annual salary received by the participant at the retirement date plus 1% of that salary for each year of eligible service at the University. The amount of annual supplemental retirement income to be provided shall be determined according to the formula provided in IV.B.1.

Information regarding computation of the minimum annual retirement benefit and annual supplemental retirement income for the participant employed prior to July 1, 1964, and who had been continuously employed since that date, is provided in Section IV.B.1.

#### 4. Group IV Personnel

For each Group IV employee (see II.D.1) who was employed by the University prior to January 1, 1973, and whose University employment includes periods of eligible service covered in part by the United States Civil Service Retirement Plan and in part by the Group IV Plan and/or by the older University unfunded plan, the University will provide an annual supplemental retirement income during the lifetime of the employee, where necessary, to assure a minimum annual retirement benefit equal to that which would have been received had all eligible service been exclusively under the University's unfunded retirement plan. The amount of supplemental retirement income, if any, to be provided shall be computed using the following equation or formula:

Fixed Annual Supplemental Retirement Income	=	Computed <sup>1</sup> Minimum Annual Retirement Benefit	-	Computed <sup>2</sup> Annual Benefit from the Funded Plan Accumulations	-	Computed <sup>3</sup> Annual Benefit from Civil Service Retirement
--	---	---	---	---	---	--

<sup>1</sup>Computed as explained in Section IV.B.1.

<sup>2</sup>Computed on the basis of assumptions in Section IV.B.6.a.

<sup>3</sup>Computed on the basis of assumption in Section IV.B.6.b.

Under the conditions of this formula, an employee would receive supplemental retirement income only if the sum of the computed annual benefit from the Civil Service retirement plan plus the computed annual retirement benefit received from the funded plan accumulations is less than the computed minimum annual retirement benefit to which the employee is entitled.

If an employee eligible for Civil Service retirement benefits elects to retire at an age earlier than the normal University retirement age of 65, all retirement benefits will be calculated on the age attained at retirement rather than age 65. Any University supplemental retirement benefit due the employee will be deferred until the employee attains age 65.

The policy described herein applies to retirements which become effective on or after January 1, 1974. Employees whose service is in part with the University of Kentucky and in part with the U.S. Veterans Administration are not covered under the Group IV Plan.

5. Group V Personnel

Employees covered under the Group V plan do not have minimum annual retirement benefit rights.

6. Assumptions in Computation of Supplemental Retirement Income

In determining whether participation in the Civil Service and/or the funded retirement plan(s) has produced the minimum annual retirement benefit described in Sections IV.B.1 through IV.B.4, the following assumptions shall be used:

a. Assumptions Applicable to Calculation of Benefit from the Funded Plan

(1) That all retirement contributions, both from the employee and the University, were invested in a TIAA annuity contract (regardless of the percentages actually allocated to the authorized retirement plan carriers), and

(2) That the retiring employee elected the single life annuity option the value of which is computed on the basis of the employee's age at time of normal retirement (regardless of the option(s) actually elected).

b. Assumption Applicable to Calculation of Benefit from Civil Service

That the retiring employee elected the single life annuity option (regardless of the option(s) actually elected).

7. Periods of Service

As used in this retirement plan, "period of service" means the number of years of full-time employment plus credit allowed for part-time employment plus periods in an approved leave of absence status. Periods of service and eligible service shall be computed to the nearest half year.

The term "eligible service" means the number of years of full-time employment plus credit allowed for part-time employment plus periods in an approved leave of absence status plus periods in an approved disability status occurring prior to the retirement date. Eligible service also includes service that is derived from Staff Personnel Policy and Procedure regulations that govern utilization of temporary disability leave in conjunction with retirement under this Administrative Regulation.

Only years of continuous service immediately preceding retirement shall be counted in computing periods of eligible service, except where a leave of absence approved by the Board of Trustees or its Executive Committee is of record. When an approved leave is for employment other than by the University, and when the absence is in excess of one year, years of absence in excess of one shall not be counted in determining supplemental retirement income, except by specific agreement at the time the leave is taken or in exceptional instances upon recommendation of the President and approval of the Board of Trustees. The period during which an employee receives benefits under the University's Total Disability Program will be included in the total period of service factor used in the computation of benefits under the non-funded retirement program.

An employee who has had a break in continuous service with the University and, except for the required minimum of fifteen years of continuous service at retirement, otherwise qualifies for retirement benefits may count total service at the University in order to establish a minimum annual retirement benefit, provided total service is equal to at least fifteen years. In any event, the last re-employment date must have preceded the establishment of the funded retirement plan for the group of employees, in which the retiring employee is or was eligible to participate.

8. Retirement Age

The retirement age required under each of the various subsections of Section III may be modified by the provisions of Staff Personnel Policy and Procedure regulations that govern utilization of temporary disability leave in conjunction with retirement age.

C. Retirement Benefits Offset(s)

Any University employee who, at the time of retirement, is eligible for payments by the University under provisions of the unfunded retirement plan or under provisions for supplemental retirement income associated with the funded retirement plan, shall have any continuing benefits that are payable after retirement under the Workers' Compensation Laws or Unemployment Compensation Laws deducted from the University benefit payment. It is intended that the employee receive the total amount of the greatest single benefit but in no event receive any combination of benefits that will exceed the greatest single benefit.

Reduction in University benefit rates as a result of Workers' Compensation payments and/or Unemployment Compensation payments will be adjusted in the event that all or any portion of such payments are discontinued.

D. 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.

V. Survivorship Option

A. Employees eligible for supplemental retirement income pursuant to Section II.F. or IV.B. may elect a spouse survivor option as to such benefits.

B. The election may be filed at any time prior to the month in which the employee attains age 65, or thereafter at any time prior to retirement.

C. If the survivor option is elected supplemental retirement income will be reduced to an amount which is the actuarial equivalent (as determined by TIAA at the time of retirement) of a joint and two-thirds benefit to the surviving spouse payable for life.

D. Election of this option is revocable prior to the beginning of the month in which the employee attains age 65 unless, at an earlier date, benefits have been paid or accrued pursuant to said election. In all other cases the election is irrevocable.

E. Election of this option may not be exercised posthumously.



F. Survivor benefits pursuant to the provisions of this section are not payable, even though an election has been filed prior to retirement, unless the employee has (1) attained normal retirement age or (2) has been granted disability retirement pursuant to Section III.D.1.

VI. Contributions During Leave of Absence With Pay

During the participant's leave of absence with pay (whether full or partial salary), the University will continue contributions toward retirement benefits, as provided for in Section II, at the same percentage rate on the basic salary as was in effect during the participant's last monthly pay period prior to the leave of absence, if the participant elects to continue contributions in a like manner.

VII. 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.

<b>UNIVERSITY OF KENTUCKY</b> <b>ADMINISTRATIVE REGULATIONS</b>	IDENTIFICATION AR II-1.6-2		PAGE 1
	DATE EFFECTIVE 4/30/96	SUPERSEDES REGULATION DATED	

## PHASED RETIREMENT POLICY AND PROGRAM

(Approved by the Board of Trustees)

### I. PURPOSE

The Phased Retirement Program is designed to provide an opportunity for eligible full-time tenured faculty members to make an orderly transition to retirement through part-time service. It is entirely voluntary and will be implemented by written agreement between faculty members and the University. The Program is ongoing but may be eliminated at any time by the University. The effective date of the Program is July 1, 1996.

### II. ELIGIBILITY AND APPROVAL

A. The Phased Retirement Program is available to all full-time tenured faculty members who have completed fifteen (15) years of full-time faculty service at the University of Kentucky and who have reached the date of normal retirement as defined in AR II-1.6-1. Individuals who have already taken regular retirement are not eligible for phased retirement under this Program.

B. A decision to request or not request phased retirement appointments rests entirely with individual faculty members. A request for phased retirement by any faculty member who satisfies the eligibility requirements set out in subsection II-A must be made:

- (1) during the period from July 1, 1996 to June 30, 1997 if such eligibility requirements are satisfied before July 1, 1996, or
- (2) within one (1) calendar year after satisfying such eligibility requirements if such requirements are satisfied on July 1, 1996 or thereafter.

Phased retirement that is requested and approved must commence at the beginning of the first fiscal year following approval of the request.

C. The Phased Retirement Program does not create an absolute right of faculty members to a phased retirement. Phased retirement appointments must be requested by eligible faculty members but shall be granted only when such appointments are in the best interests of the University.

D. A faculty request for phased retirement shall be submitted to the department/division and college for initial endorsement, shall be reviewed and recommended by the appropriate chancellor, and is subject to final approval by the President. A request for phased retirement shall be submitted at least six (6) months before the date upon which such appointment would become effective, unless a later submission of such a request would be totally acceptable to the affected department and college.

### III. TERMS AND CONDITIONS

A. Phased retirement appointments under this Program shall be subject to the following terms and conditions:

1. Phased retirement appointments involve a reduction of employment from full-time to half-time. Such appointments may consist of full-time work for one-half of a regular appointment period (e.g., full-time work for one semester of an academic year appointment) or half-time work for a full regular appointment period (e.g., half-time work in each of the two semesters of an academic year appointment). Teaching, research, and service assignments under such an appointment shall be determined by agreement between the faculty member and a department/division chair, a dean/community college president, or a director of an academic unit and shall be set forth in detail in the written phased retirement agreement.

2. The salary of a faculty member on a phased retirement appointment shall be reduced by fifty percent (50%) from the salary such faculty member would have received but for the election of phased retirement under this program. Faculty members electing phased retirement appointments shall not be eligible for proportional merit salary increases during the period of their phased retirement program. A faculty member on a phased retirement appointment shall be considered for disability benefits on the basis of the salary such faculty member received as a full-time faculty member immediately before electing phased retirement under this program. A faculty member electing the Phased Retirement Program may access their retirement plan funds, without separating from the University, after the effective date initiating their participation in the Phased Retirement Program.

3. Phased retirement under this program shall not exceed three (3) years in duration. Faculty members who request and receive phased retirement appointments shall agree in writing to accept full retirement from the University no later than three (3) years after the

commencement of reduced employment under this program. The agreement to retire at the end of the reduced employment period is irrevocable once executed (except as provided in subsection IV-A and IV-B below).

B. The University's contributions to retirement for faculty on phased retirement appointments, and the faculty members' own contributions as well, shall be based upon their actual (i.e., reduced) salaries during their periods of reduced employment. Faculty members on phased retirement appointments are entitled to fifty percent (50%) of the paid vacation leave to which they would have been entitled had they not elected phased retirement under this Program. In all other respects, such faculty members shall be entitled to the employee benefits normally offered to regular full-time faculty members. Faculty privileges, such as parking and reduced-cost athletic tickets, will be made available to faculty on phased retirement appointments as if they were on full-time regular faculty appointment. Requests for travel expenses and support services for faculty on phased retirement appointments shall be considered and evaluated under normal processes. A faculty member's use and occupancy of office or lab space shall not be adversely affected by electing to accept a phased retirement appointment.

#### IV. GENERAL PROVISIONS

A. Nothing in this regulation shall preclude eligible faculty members from electing regular retirement from the University at any point in time (even though such faculty members may have executed an agreement requiring retirement at some point in the future). Nothing in this regulation shall preclude a post-retirement appointment of an individual who has elected phased retirement under this Program.

B. Each phased retirement agreement executed under this program shall include a waiver of rights and claims by the faculty member under the Federal Age Discrimination Act. Such waiver shall fully comply with the requirements for knowing and voluntary waivers provided in this Act. After a phased retirement agreement is drafted, it shall be delivered to the faculty member in question together with written statements that the faculty member shall have no less than forty five (45) days within which to consider the agreement and that he or she is advised to consult with an attorney prior to executing the agreement. In addition, each phased retirement agreement shall provide that the agreement shall not become effective and enforceable for a period of ten (10) calendar days following execution of the agreement and that during such period the faculty member may unilaterally revoke the agreement. In the event the faculty member elects to revoke the agreement within such ten (10) day period, the faculty member shall immediately be restored to the full-time employment status as a faculty member which existed prior to execution of the agreement.

AR II-1.6-2

4/30/96

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C. Faculty members on phased retirement appointments will have the same academic freedoms and responsibilities as other faculty members and will have access to all grievance and appeal procedures available to other members of the faculty.

AR II-1.6-2

# FCR 1

Office of the President  
March 4, 1997

Members, Board of Trustees:

ACCEPTANCE OF INTERIM FINANCIAL REPORT FOR THE  
UNIVERSITY OF KENTUCKY FOR THE SEVEN MONTHS ENDED  
JANUARY 31, 1997

Recommendation: that the Board of Trustees accept the University of Kentucky consolidated financial report for the seven months ended January 31, 1997.

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

As of January 31, 1997, the University had realized income of \$794,067,000 representing 69% of the 1996-97 estimate of \$1,143,495,000. Expenditures and commitments total \$674,417,000 or 59% of the approved budget of \$1,143,495,000.

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

**CONSOLIDATED BALANCE SHEET**  
**UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS**  
**JANUARY 31, 1997**  
with comparative totals for January 31, 1996  
(in thousands)

	1996-97					1995-96	
	Current Unrestricted Funds	Current Restricted Funds	Loan Funds	Endowment Funds	Plant Funds	Totals	Totals
<b>ASSETS</b>							
Cash and cash equivalents	\$ 130,377	\$ 43,575	\$ 3,058	\$ 123	\$ 185,209	\$ 362,342	\$ 351,540
Notes, loans, and A/R (less bad debt allowances of \$11,005)	105,397	17,016	20,984	328	2,933	146,658	136,991
Investments	25,141	68,554		157,821	82,355	333,871	288,142
Property, plant, and equipment					1,318,300	1,318,300	1,231,963
Inventories and other	16,794	65				16,859	14,790
<b>Total Assets</b>	<b>\$ 277,709</b>	<b>\$ 129,210</b>	<b>\$ 24,042</b>	<b>\$ 158,272</b>	<b>\$ 1,588,797</b>	<b>\$ 2,178,030</b>	<b>\$ 2,023,426</b>
<b>LIABILITIES AND FUND BALANCES</b>							
<b>Liabilities</b>							
Accounts payable	\$ 21,156	\$ 2,291	\$ 203		\$ 138	\$ 23,788	\$ 26,155
Employee withholdings and deposits		30,761				30,761	17,548
Other liabilities	3,336	1,158			5,197	9,691	8,671
Liability for self insurance	37,501					37,501	34,672
Deferred income	8,652	11,508				20,160	19,743
Bonds payable					330,534	330,534	348,314
Capitalized lease obligation					34,101	34,101	37,342
Net deferred revenues and appropriated fund balances	126,759	4,186				130,945	134,944
<b>Total Liabilities</b>	<b>197,404</b>	<b>49,904</b>	<b>203</b>		<b>369,970</b>	<b>617,481</b>	<b>627,389</b>
<b>Interfund Balances</b>	<b>(95,228)</b>	<b>36,310</b>			<b>(1,082)</b>		
<b>Fund Balances</b>							
Current unrestricted							
Working capital	101,686					101,686	103,356
Future operating purposes	9,504					9,504	9,374
Other	4,343					4,343	3,334
Current restricted		42,996				42,996	33,807
Loan			23,839			23,839	22,067
True endowments				\$ 94,839		94,839	76,920
Term endowments				10,163		10,163	8,708
Quasi endowments				53,270		53,270	50,060
Plant							
Retirement of indebtedness					41,151	41,151	41,136
Renewal and replacement					102,763	102,763	84,134
Allocated for designated projects					153,906	153,906	107,521
Net investment in plant					922,089	922,089	855,620
<b>Total Fund Balances</b>	<b>115,533</b>	<b>42,996</b>	<b>23,839</b>	<b>158,272</b>	<b>1,219,909</b>	<b>1,560,549</b>	<b>1,396,037</b>
<b>Total Liabilities and Fund Balances</b>	<b>\$ 277,709</b>	<b>\$ 129,210</b>	<b>\$ 24,042</b>	<b>\$ 158,272</b>	<b>\$ 1,588,797</b>	<b>\$ 2,178,030</b>	<b>\$ 2,023,426</b>

**CONSOLIDATED STATEMENT OF CURRENT FUNDS REVENUES AND APPROPRIATED FUND BALANCES**  
**UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS**  
**FOR THE SEVEN MONTHS ENDED JANUARY 31, 1997**  
with comparative totals for January 31, 1996  
(in thousands)

	(A)	(B)	(C)	(D)	(E)	(F)
	<b>1996-97</b>				<b>1995-96</b>	
	Original Budget	Revised Budget	Realized To Date	%	Realized To Date	%
<b>General Fund</b>						
(1) State appropriations	\$ 345,946	\$ 345,946	\$ 259,460	75	\$ 247,547	75
(2) Student fees	130,677	130,770	120,793	92	115,846	93
(3) Federal appropriations	15,240	15,240	8,680	57	7,857	52
(4) County appropriations	6,194	6,463	3,519	54	3,148	51
(5) Endowment income	822	822	363	44	382	48
(6) Investment income	8,599	8,599	6,832	79	7,187	87
Gifts and grants						
(7) Affiliated corporations	11,492	11,492	5,612	49	4,600	47
(8) Other	54,601	56,131	26,672	48	2,306	40
(9) Sales and services	45,436	45,860	23,310	51	16,937	56
(10) Fund balance	15,820	20,952	20,952	100	17,338	100
(11) Total General Fund	634,827	642,275	476,193	74	423,148	77
(12) Auxiliary Enterprises	42,603	42,904	25,654	60	25,544	66
(13) Restricted Funds	89,460	90,870	56,725	62	49,646	61
(14) Affiliated Corporations	140,679	141,065	86,240	61	78,781	63
<b>Hospital</b>						
(15) Revenues	226,381	226,381	149,255	66	138,809	62
(16) Fund balance					15,600	
Total Revenues and						
(17) Appropriated Fund Balances	<u>\$ 1,133,950</u>	<u>\$ 1,143,495</u>	<u>\$ 794,067</u>	69	<u>\$ 731,528</u>	71



**CONSOLIDATED STATEMENT OF CURRENT FUNDS EXPENDITURE SUMMARY BY PROGRAM - ALL FUNDS  
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS  
FOR THE SEVEN MONTHS ENDED JANUARY 31, 1997**

with comparative totals for January 31, 1996

(in thousands)

	(A)	(B)	(C)	(D)	(E)	(F)
	1996-97				1995-96	
	Original Budget	Revised Budget	Expended/ Encumbered To Date	%	Expended/ Encumbered To Date	%
(1) Instruction	\$ 275,018	\$ 273,543	\$ 157,842	58	\$ 132,831	56
(2) Research	130,517	132,097	73,034	55	66,192	54
(3) Public service	141,226	142,675	75,814	53	54,106	61
(4) Academic support	76,883	77,059	40,797	53	37,398	56
(5) Student services	25,559	27,798	15,724	57	14,487	56
(6) Institutional support	48,288	50,968	25,333	50	23,315	49
(7) Student financial aid	61,666	62,419	57,106	91	49,737	83
(8) Operation and maintenance	46,847	48,689	26,399	54	24,743	52
(9) Mandatory transfers (debt service)	33,018	33,018	32,932	100	32,624	99
(10) Hospital	227,014	227,014	128,922	57	134,052	56
(11) Auxiliary enterprises	67,914	68,215	40,514	59	38,382	62
(12) Total Expenditure by Program	<u>\$ 1,133,950</u>	<u>\$ 1,143,495</u>	<u>\$ 674,417</u>	59	<u>\$ 607,867</u>	59

**EXPENDITURE SUMMARY BY CATEGORY OF EXPENDITURE  
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS  
FOR THE SEVEN MONTHS ENDED JANUARY 31, 1997**

with comparative totals for January 31, 1996

(in thousands)

	(A)	(B)	(C)	(D)	(E)	(F)
	1996-97				1995-96	
	Original Budget	Revised Budget	Expended/ Encumbered To Date	%	Expended/ Encumbered To Date	%
(13) Personnel costs	\$ 647,590	\$ 650,222	\$ 382,688	59	\$ 321,536	58
(14) Operating expenses	393,908	397,707	220,589	55	205,637	58
(15) Mandatory transfers (debt service)	41,529	41,529	38,341	92	38,186	92
(16) Capital outlay	50,923	54,037	32,799	61	42,508	55
(17) Total Expenditure by Category	<u>\$ 1,133,950</u>	<u>\$ 1,143,495</u>	<u>\$ 674,417</u>	59	<u>\$ 607,867</u>	59

**CONSOLIDATED SUMMARY OF NET DEFERRED REVENUES AND APPROPRIATED FUND BALANCES**  
**UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS**  
**FOR THE SEVEN MONTHS ENDED JANUARY 31, 1997**  
with comparative totals for January 31, 1996  
(in thousands)

	(A)	(B)	(C)
	1996-97		1995-96
(1) <b>Realized Revenues</b>		\$ 773,115	\$ 698,590
<b>Appropriated Fund Balances</b>			
(2) Current Unrestricted Fund	\$ 20,952		17,338
(3) University Hospital			15,600
(4) <b>Total Appropriated Fund Balances</b>		20,952	32,938
(5) <b>Total Revenues and Appropriated Fund Balances</b>		794,067	731,528
(6) <b>Expenditures/Encumbrances</b>	674,417		607,867
(7) Less: Reserve for Encumbrances	(8,631)		(7,900)
(8) <b>Total Expenditures</b>		665,786	599,967
(9) <b>Excess/(Deficit) Restricted Receipts Over Transfers to Revenues</b>		2,664	3,383
(10) <b>Net Deferred Revenues and Appropriated Fund Balances</b>		\$ 130,945	\$ 134,944

# FCR 2

Office of the President  
March 4, 1997

Members, Board of Trustees:

## REPORT OF LEASES

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

The renewal of a lease between the University of Kentucky (Agronomy Department) and Homer Mitchell, P. O. Box 16-A, Route 2, Princeton, Kentucky, for space located on Route 2, Princeton, Kentucky, effective April 1, 1997 through March 31, 1998, for the use of 2 acres of land used for soil research, at a rate of \$200.00, be accepted and made a matter of record.

The renewal of a lease between the University of Kentucky (Agronomy Department) and Wilbert Perkins, Route 1, Frankfort, Kentucky, for space located on Route 1, Frankfort, Kentucky, effective May 1, 1997 through September 30, 1997, for the use of 2.3 acres of land for tobacco experimentation, at a rate of \$1,750.00, be accepted and made a matter of record.

Background: FCR 5, dated October 5, 1985, authorized the President or his designated representative to enter into leases and easements not exceeding \$30,000 in value and required that all leases entered into under this authority be reported to the Board.

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

# FCR 3

Office of the President  
March 4, 1997

Members, Board of Trustees:

## APPROVAL OF LEASES

Recommendation: that the Vice President for Fiscal Affairs be authorized to negotiate and execute the following:

The renewal of a lease between the University of Kentucky (Rural Health) and Appalachian Regional Healthcare, P. O. Box 8086, Lexington, Kentucky, for property located at 100 Airport Gardens Road, Hazard, Kentucky, effective July 1, 1997 through June 30, 1998, for the use of 42,203 square feet of office/classroom space, at an annual rate of \$357,593.10.

An addendum of a lease between the University of Kentucky (Rural Health) and Appalachian Regional Healthcare, P. O. Box 8086, Lexington, Kentucky, for property located at 100 Airport Gardens Road, Hazard, Kentucky, effective March 1, 1997 through June 30, 1998, for the use of a 500 square foot apartment and renovation of 8,000 square feet of existing space, at an annual rate of \$25,800.00, bringing the total amount to \$383,393.10.

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

# FCR 4

Office of the President  
March 4, 1997

Members, Board of Trustees:

## CAPITAL CONSTRUCTION REPORT

Recommendation: that the capital construction report for the three months ending December 31, 1996, be accepted. This report refers to only projects that had activity within this quarter.

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

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Action taken:

☒ Approved

☐ Disapproved

☐ Other \_\_\_\_\_

## **CAPITAL CONSTRUCTION QUARTERLY ACTIVITY REPORT**

This report contains capital projects which have been active within this quarter. There are two (2) sections included in the Quarterly Report. The first section contains information on the Consultant Contracts while the second section contains information on the Construction Contracts.

**Consultant Contracts:** This section contains the name of the project, the project number, the project scope, the name of the consultant, the city in which the consultant resides, the contract number, the contract amount, the total number of amendments, the cumulative amendment amount, the revised contract amount, a brief project description, and a notes section that can be used for additional information regarding the consultant.

**Construction Contracts:** This section contains the name of the project, the project number, the name of the contractor, the city in which the contractor resides, the contract number, the construction award 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 notes section that can be used for additional information regarding the contractor.

Note: Several projects have Construction Managers whose responsibility is to assist with the contract documents, bidding and coordination of the project. When Construction Managers are employed there are multiple construction contracts. In the following report Construction Managers are listed first in the Construction Contracts section followed by each contract which they oversee.

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSULTANT CONTRACTS**

<b>CONSULTANT</b>	<b>PROJECT INFORMATION</b>	<b>SCOPE</b>
Pearson + Bender + Jolly Lexington Contract# A961260	Aging/Allied Health Phase I Project Number: 405.1	\$9,640,000
	Consultant Contract Amount:	\$525,000
	Total Amendments: (1) Consultant Cumulative Amendment Amount:	\$15,000
	Revised Consultant Contract Amount:	\$540,000
<b>Project Description:</b> Adds laboratory space to the Sanders-Brown Center on Aging Building. The present Sanders-Brown Building houses research laboratories dedicated to aging research and also contains support spaces such as animal housing, equipment, and offices. This addition connects directly to the existing building through the existing main corridor and the lab module. This is a very successful design used in other biomedical facilities on campus.		
Pearson + Bender + Jolly Lexington Contract# A961470	Animal Research Center Project Number: 1626.0	\$12,480,000
	Consultant Contract Amount:	\$630,000
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$630,000
<b>Project Description:</b> Implements a development plan for the former Pin Oak #1 Farm. The plan includes seven research sub-centers for discovery and application research thrusts focusing on the major livestock enterprises of Kentucky. These include: infrastructure (fencing, roads, water, electricity, waste handling facilities), learning center, field research buildings, equipment, and other facilities for beef, swine, and sheep research.		
Pearson + Bender + Jolly Lexington Contract# A94118	Ashland CC Classroom Building Project Number: 1459.0	\$5,810,000
	Consultant Contract Amount:	\$234,910
	Total Amendments: (1) Consultant Cumulative Amendment Amount:	\$31,745
	Revised Consultant Contract Amount:	\$266,655
<b>Project Description:</b> A new Academic Classroom Building of approximately 35,000 gross square feet, to include classrooms, a learning center, and faculty offices.		
Adams-Frazier-Anderson Lexington Contract# A961390	Ashland Community College Fourth Floor Sprinklers Project Number: 1620.0	\$266,650
	Consultant Contract Amount:	\$20,000
	Total Amendments: (1) Consultant Cumulative Amendment Amount:	\$7,000
	Revised Consultant Contract Amount:	\$27,000
<b>Project Description:</b> Furnish and install new wet pipe sprinklers in all areas of the existing fourth floor of Ashland Community College. Underground campus water lines, water meter vaults, fire pumps and indoor piping will be included as necessary for proper sprinkler water pressure. The existing fire alarm panel shall be upgraded or replaced as necessary to meet current building codes.		
James W. Potts, Architect Lexington Contract# A961200	Boyd Hall Restroom Renovation Project Number: 1606.0	\$199,000
	Consultant Contract Amount:	\$18,000
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$18,000
<b>Project Description:</b> Complete renovation of all restrooms in Boyd Hall. Renovation shall upgrade restrooms to meet current ADA guidelines.		

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSULTANT CONTRACTS**

<b>CONSULTANT</b>	<b>PROJECT INFORMATION</b>	<b>SCOPE</b>
James W. Potts, Architect Lexington Contract# A961190	Bradley Hall Fire Safety Renovation Project Number: 1597.0	\$150,000
	Consultant Contract Amount:	\$12,000
	Total Amendments: (1) Consultant Cumulative Amendment Amount:	\$3,000
	Revised Consultant Contract Amount:	\$15,000
<b>Project Description:</b> Provides fire enclosed stairways at the three existing stair locations in Bradley Hall.		
Tate, Hill, Jacobs Architects Lexington Contract# A94146	Cardiac Catheterization Suite Project Number: 1495.0	\$3,750,000
	Consultant Contract Amount:	\$42,000
	Total Amendments: (1) Consultant Cumulative Amendment Amount:	\$66,000
	Revised Consultant Contract Amount:	\$108,000
<b>Project Description:</b> The suite includes the ICU Waiting Room, Reception/Nursing Station and related support offices, plus the Cardiac Catheterization Office Suite, relocated Single Plane Lab, new EP Lab and related support spaces. The work includes total demolition and complete renovation of finishes, new partition walls, new/relocated HVAC ductwork, new lighting, convenience outlets, medical gases and rework of fire protection to accommodate new floor plan lay-out. A new HVAC unit will be a part of this project and impact renovation occurring in the adjacent Diagnostic Radiology Department. <b>Notes:</b> \$3,750,000 reflects the total project scope of projects 1495.0 and 1495.1.		
Sherman-Carter-Barnhart Lexington Contract# A971080	Center For Academic And Tutorial Services-Memorial Coliseum Project Number: 1588.0	\$2,000,000
	Consultant Contract Amount:	\$115,000
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$115,000
<b>Project Description:</b> Construct a two-story facility, within the existing area occupied by a pool and locker rooms, in Memorial Coliseum, to include a study hall, computer lab, administrative offices and tutorial spaces for the "Center for Academic and Tutorial Services" (C.A.T.S.). All existing services will be demolished and new mechanical, electrical, and communications services will be installed to the C.A.T.S. facility. Upon completion of construction, the C.A.T.S. program will relocate to the new space, having outgrown the existing, and the present location of C.A.T.S. will be utilized in some other fashion. <b>Notes:</b> No construction contract(s) awarded to date.		
Booker Associates, Inc. Lexington Contract# A961140	Chemistry Organic Teaching Lab Renovation Project Number: 1571.0	\$499,200
	Consultant Contract Amount:	\$17,378
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$17,378
<b>Project Description:</b> Remove the existing laboratory benches, repainting the floors and walls, installing the utilities, and making the final connections to the lab benches installed by another contract in Room 336 and 340 of the Chemistry/Physics Building. Also included are the miscellaneous items such as door closers, relocation of the showers and installing a rooftop vacuum pump. <b>Notes:</b> This is a per diem contract.		



**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSULTANT CONTRACTS**

<b>CONSULTANT</b>	<b>PROJECT INFORMATION</b>	<b>SCOPE</b>
Central Associated Engineers Lexington Contract# A961460H	Columbia Avenue Communications Infrastructure Project Project Number: 1664.0	\$252,030
	Consultant Contract Amount:	\$20,000
Total Amendments: (0)	Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$20,000
<b>Project Description:</b> Installs underground duct encased in concrete for communications wiring along Columbia Avenue between Rose Street and Pennsylvania Avenue and from Pennsylvania Avenue to an existing communications manhole to the north. This communications infrastructure is to serve the area bounded by Rose Street, Columbia Avenue, Woodland Avenue and Rose Lane.		
CMW, Inc. Lexington Contract# A94151	Critical Care Shell Pediatric Facility Enhancement Project Number: 1521.0	\$10,600,000
	Consultant Contract Amount:	\$630,000
Total Amendments: (1)	Consultant Cumulative Amendment Amount:	\$21,000
	Revised Consultant Contract Amount:	\$651,000
<b>Project Description:</b> Renovation of approximately 23,000 gross square feet and fit-up of 31,000 gross square feet to create a Children's Hospital. The space is located on the fourth floor of the Hospital and Critical Care Center. The basic concept is that of a "hospital within a hospital". The types of spaces provided in the project include intensive care units, acute care units, child life spaces, family support, ancillary services and staff support. The consultant shall provide several studies to recommend the allocation of functions between the Critical Care Center and existing Hospital. <b>Notes:</b> Project contains multiple construction contracts. Under management of a Construction Manager. \$10,600,000 reflects the total project scope of projects 1521.0 and 1521.1.		
James W. Potts, Architects Lexington Contract# A961120	Dental Clinic Teaching Lab Renovation Project Number: 1574.0	\$1,497,420
	Consultant Contract Amount:	\$24,000
Total Amendments: (1)	Consultant Cumulative Amendment Amount:	\$32,000
	Revised Consultant Contract Amount:	\$56,000
<b>Project Description:</b> Renovate clinical teaching laboratory spaces in the College of Dentistry to improve operational efficiency of the clinics; to enhance the instructional training of dental students; and to improve patient care. The renovation will involve the correction of functional deficiencies; improvement in the aesthetic quality of the clinics; and replacement of outdated equipment which no longer meets the new training methods as taught in the Dental College.		
Kaiser-Taulbee Associates Lexington Contract# A971150	Donovan Hall Food Service HVAC Project Number: 1656.0	\$400,000
	Consultant Contract Amount:	\$35,000
Total Amendments: (0)	Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$35,000
<b>Project Description:</b> Completion of the HVAC upgrade in Donovan Hall. <b>Notes:</b> No construction contract(s) awarded to date.		

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSULTANT CONTRACTS**

<b>CONSULTANT</b>	<b>PROJECT INFORMATION</b>	<b>SCOPE</b>
Mason & Hanger Engineering Lexington Contract# A93134	Environmental Quality Management Center Project Number: 1456.0	\$2,440,000
	Consultant Contract Amount:	\$78,000
	Total Amendments: (3) Consultant Cumulative Amendment Amount:	\$25,161
	Revised Consultant Contract Amount:	\$103,161
<b>Project Description:</b> Design and construction of a new waste storage/treatment facility. The warehouse type building will be approximately 9,000 to 10,000 square feet.		
CMW, Inc. Lexington Contract# A94107	Hazard CC Student/Performing Arts Conference Center Project Number: 1460.0	\$8,722,963
	Consultant Contract Amount:	\$860,000
	Total Amendments: (3) Consultant Cumulative Amendment Amount:	\$405,074
	Revised Consultant Contract Amount:	\$1,265,074
<b>Project Description:</b> A new facility comprised of a Student Center, to include a Counseling Center, a Student Activities Center, a Classroom/Office area, and Auxiliary Services areas; BITAC, the Business and Industry Technical Assistance Center/Continuing Education/Community Service Center which will include conference/exhibit halls with flexibility for use in regional and economic development programs, a video center and training rooms; and a Black Box Theater instructional area which will also be used for limited presentations. The Performing Arts Center has been deleted from the program. The building site has been modified. The project scope has been revised to \$8,722,963, plus private funds. There is a cost of \$1,657,291 for furnishings and equipment, making a total construction cost of \$9.8 million.		
<b>Notes:</b> No construction contract(s) awarded to date.		
Lyle Associates, Architects Lexington Contract# A961220	Hopkinsville CC LRC Sprinklers and ADA Project Number: 1603.0	\$198,556
	Consultant Contract Amount:	\$20,000
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$20,000
<b>Project Description:</b> Provide sprinklers in the LRC building to protect the physical plant, and to upgrade entrances and rest room facilities so that all parts of the campus are fully accessible to disabled students, teachers, staff and visitors to the Community College.		
<b>Notes:</b> \$198,556 represents the total project scope of projects 1603.0 and 1603.1.		
Staggs & Fisher Lexington Contract# A94148	Hospital Electrical Distribution Project Number: 1518.0	\$1,000,000
	Consultant Contract Amount:	\$79,000
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$79,000
<b>Project Description:</b> Improvements to the existing electrical distribution system within the Chandler Medical Center, to include connection of the hospital emergency power to the Critical Care Center generator, removal of existing PCB transformers and installation of a new unit substation, modifications to system switching and system identification.		
<b>Notes:</b> \$1,000,000 reflects the total project scope of projects 1518.0 and 1518.1.		

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSULTANT CONTRACTS**

<b>CONSULTANT</b>	<b>PROJECT INFORMATION</b>	<b>SCOPE</b>
Booker & Associates, Inc. Lexington Contract# A961090	Hunt Morgan Basement Renovation Project Number: 1578.0	\$199,000
	Consultant Contract Amount:	\$12,784
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$12,784
<b>Project Description:</b> Renovate a portion of the basement of the Thomas Hunt Morgan Biological Sciences Building, to include remodeling an existing animal care facility, a stockroom and a classroom into research laboratory space.		
Brighton Engineering Frankfort Contract# A961420	KY Clinic Parking Structure Structural Steel Repairs Project Number: 1628.0	\$195,000
	Consultant Contract Amount:	\$3,500
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$3,500
<b>Project Description:</b> Remove the exterior insulation finish system from the interior columns; removing sections of the exterior insulation finish system from the perimeter columns to permit ventilation of enclosed steel; and repairing and finish coating of the structural steel.		
Quest Engineers Lexington Contract# A961110	Madisonville Community College Auditorium Parking Lot Project Number: 1650.0	\$850,000
	Consultant Contract Amount:	\$4,500
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$4,500
<b>Project Description:</b> A new parking lot to serve the Auditorium/Fine Arts Center as well as the campus. The auditorium parking lot is located on the northeast side of the Madisonville Community College campus and consists of new parking for 382 vehicles and a drop-off at the Fine Arts Center. The area is presently an open grass area with some trees. A gravel parking area occupies a portion of the site. The project involves clearing, grading, drainage, bituminous and concrete paving, curbs, lighting and lawns.		
<b>Notes:</b> The consultant is Quest Engineers and design services are contracted through project 1459.0.		
CMW, Inc. Lexington Contract# A91157	Medical Center Research Building Shelled Space Fit Up Project Number: 1627.0	\$3,910,000
	Consultant Contract Amount:	\$185,060
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$185,060
<b>Project Description:</b> Interior fit-up of 10,474 square feet of underground animal care shelled space including the addition of a biochemistry lab and renovation of hospital security office.		
<b>Notes:</b> The consultant, CMW, Inc., is contracted through project 747.0, Medical Research Expansion Space, (amendments two and six).		

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSULTANT CONTRACTS**

<b>CONSULTANT</b>	<b>PROJECT INFORMATION</b>	<b>SCOPE</b>
TCI Roof Management Peewee Valley Contract# A961550	Medical Center Roofing Evaluation Project Number: 1614.0	\$30,000
	Consultant Contract Amount:	\$22,915
	Total Amendments: (1) Consultant Cumulative Amendment Amount:	\$1,050
	Revised Consultant Contract Amount:	\$23,965
<b>Project Description:</b> Investigate and report on the present condition of each roof assembly on the University of Kentucky Medical Center Campus. The report will include related penetrations, flashing, and other details on whose performance waterproof integrity depends. It also includes an analysis of the interrelationship of each of these assemblies and in an interactive computer generated systematic way, rate each roof as to its probable need for work and the probable cost of such work. <b>Notes:</b> No construction contract(s) awarded to date.		
CMW, Inc. Lexington Contract# A91157	Medical Research Expansion Space Project Number: 747.0	\$19,500,000
	Consultant Contract Amount:	\$1,163,862
	Total Amendments: (6) Consultant Cumulative Amendment Amount:	\$547,944
	Revised Consultant Contract Amount:	\$1,711,806
<b>Project Description:</b> Construction of a 100,000 GSF multidisciplinary Research Building on VA Drive, north of the VA Medical Center. The five floor (including a basement) facility will house over 50 new research laboratories, as well as the appropriate ancillary spaces. It will be used by the five colleges that comprise the University of Kentucky Medical Center. <b>Notes:</b> \$19,500,000 reflects the total scope of projects 747.0, 747.1, 747.2, and 747.3.		
Staggs & Fisher Lexington Contract# A961320	North Campus Chilled Water Main Project Number: 1592.0	\$1,250,000
	Consultant Contract Amount:	\$80,587
	Total Amendments: (1) Consultant Cumulative Amendment Amount:	\$63,291
	Revised Consultant Contract Amount:	\$143,878
<b>Project Description:</b> Install chilled water piping and related pits, valves and utility tunnels from the chilled water mains on the east side of Limestone Street near the Peterson Service Building, to the North Campus dormitory complex, East along Euclid Avenue to the Coliseum, and then South to connect to the existing tunnel system near MI King Library. Project will include branch installation for connection of North campus dormitories including Holmes Hall, Patterson Hall, Boyd Hall, Blazer Hall, Jewell Hall, and Keeneland Hall. <b>Notes:</b> No construction contract(s) awarded to date.		
Ross-Feldman Architects, Inc. Lexington Contract# A941850	Nursing Building Auditorium Renovation Project Number: 1550.0	\$189,426
	Consultant Contract Amount:	\$18,000
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$18,000
<b>Project Description:</b> Renovate room HSLC-201 in the Health Sciences Learning Center. New finishes, new ceilings, new lighting and new Auditorium seating will be provided. This renovation is undertaken to improve the functionality of the space and make the room more responsive to ever changing information technology needs.		

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSULTANT CONTRACTS**

<b>CONSULTANT</b>	<b>PROJECT INFORMATION</b>	<b>SCOPE</b>
James W. Potts, Architects Lexington Contract# A971000	Nursing Building Roof Repair Project Number: 1640.0	\$250,000
	Consultant Contract Amount:	\$22,950
Total Amendments: (0)	Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$22,950
<b>Project Description:</b> Repair of the existing patio roof on the sixth floor of the Nursing Building at the University of Kentucky Lexington campus. The patio roof consists of approximately 3,300 square feet. The scope of the work generally includes: 1) Remove existing concrete walking surface and haul off. Relocate existing benches. 2) Remove existing roof membrane and insulation board down to existing concrete structural deck. 3) Replace existing drains. 4) Install new insulation boards over existing concrete deck. 5) Install new 60 mil. EPDM roof membrane and new aluminum flashing. 6) Install new concrete pavers at patio area. 7) Do general caulking and 9) Install new steel railings.		
Gresham and Associates Paducah Contract# A971100	Paducah CC Waller Hall & Rosenthal Hall Elevators Project Number: 1601.0	\$244,000
	Consultant Contract Amount:	\$19,000
Total Amendments: (0)	Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$19,000
<b>Project Description:</b> Install elevators in Waller and Rosenthal Hall at Paducah Community College to comply with the American Disabilities Act. Consultant to make recommendation on elevator locations. <b>Notes:</b> No construction contract(s) awarded to date.		
Gresham and Associates Paducah Contract# A971090	Paducah Community College Waller Hall Roof Replacement Project Number: 1643.0	\$275,000
	Consultant Contract Amount:	\$25,000
Total Amendments: (0)	Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$25,000
<b>Project Description:</b> Installation of a new low-sloped metal roof over the existing roof on Waller Hall. <b>Notes:</b> No construction contract(s) awarded to date.		
Sherman, Carter, Barnhart Lexington Contract# A94165	Parking Structure Project Number: 1530.0	\$10,245,757
	Consultant Contract Amount:	\$550,000
Total Amendments: (1)	Consultant Cumulative Amendment Amount:	\$87,160
	Revised Consultant Contract Amount:	\$637,160
<b>Project Description:</b> Construction of a parking structure with a minimum of 1,000 parking spaces. <b>Notes:</b> \$10,245,757 reflects the total project scope of projects 1530.0 and 1530.1.		
James W. Potts, Architects Lexington Contract# A961300	Parking Structure #2 Life Safety Project Number: 1598.0	\$255,000
	Consultant Contract Amount:	\$27,000
Total Amendments: (0)	Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$27,000
<b>Project Description:</b> Life safety improvements for the Parking Structure located at Hilltop and Rose Street. These include a fire suppression system and a handicap elevator access to the Communications Office area.		

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSULTANT CONTRACTS**

<b>CONSULTANT</b>	<b>PROJECT INFORMATION</b>	<b>SCOPE</b>
CMW, Inc. Lexington Contract# A971130	Patterson Office Area Landscaping, Campus Core Masterplan Project Number: 1647.0	\$399,000
	Consultant Contract Amount:	\$32,000
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$32,000
<b>Project Description:</b> A feasibility study and master plan for the central campus outdoor space in the area of the Patterson Office Building, the Administration Building, and the area south of Whitehall Classroom Building between M. I. King Library and Miller Hall; and for the design and construction contract administration of the first phase of the plan to include redesign and reconstruction of the space around the Patterson Office Building.		
<b>Notes:</b> No construction contract(s) awarded to date.		
James W. Potts, Architects Lexington Contract# A961440D	Pediatric Laboratory Renovation Project Number: 1644.0	\$157,000
	Consultant Contract Amount:	\$11,000
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$11,000
<b>Project Description:</b> Renovation, including the removal and relocation of casework and finishes, of two suites for new Pediatric lab.		
<b>Notes:</b> This is a per diem contract.		
Fitzsimons O'Connor Lexington Contract# A961330	Peterson Service Building Sprinkler System Project Number: 1599.0	\$162,000
	Consultant Contract Amount:	\$12,883
	Total Amendments: (1) Consultant Cumulative Amendment Amount:	\$1,920
	Revised Consultant Contract Amount:	\$14,803
<b>Project Description:</b> Install sprinkler system to the areas of the basement and first floor of the Peterson Service Building.		
James W. Potts, Architects Lexington Contract# A971160	Quicksand Wood Utilization Center Renovation Project Number: 1660.0	\$290,400
	Consultant Contract Amount:	\$30,000
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$30,000
<b>Project Description:</b> Renovate the existing laminated timber structure, repair and stabilize damaged structural timbers, replace structural members with excessive damage and repair any elements disturbed by construction. Additional structural members will be added as needed to support roof deck between 20' bay spans.		
<b>Notes:</b> No construction contract(s) awarded to date.		
Quest Engineers, Inc. Lexington Contract# A94172	Relocate Soccer Field/Softball Field Project Number: 1528.0	\$1,587,698
	Consultant Contract Amount:	\$123,000
	Total Amendments: (1) Consultant Cumulative Amendment Amount:	\$18,500
	Revised Consultant Contract Amount:	\$141,500
<b>Project Description:</b> Provide an NCAA Varsity Soccer Field, a Varsity Soccer Practice Field and a Varsity Softball Field. Locker rooms, concession stands, restrooms, seating, and other ancillary construction is included. The consultant shall provide a long range development plan for the area.		

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSULTANT CONTRACTS**

<b>CONSULTANT</b>	<b>PROJECT INFORMATION</b>	<b>SCOPE</b>
GRW Engineers, Inc. Lexington Contract# A971200	Residence Hall Renovation Haggin Hall Life Safety Project Number: 773.9	\$111,550
	Consultant Contract Amount:	\$11,500
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$11,500

**Project Description:**

Address two life safety items at Haggin Hall on the University of Kentucky campus, with the possibility of a third item if funding can be found. One: the present fire alarm horn system in Haggin Hall does not produce a sound level of 70 dba in the sleeping rooms, per NFPA 72. Two: an upgrade of the existing emergency generator as the current generator is not able to provide enough power for all the corridor emergency lights. This results in only half the lights currently being on in the corridor emergency fixtures. Third: the installation of smoke alarms with an internal horn in lieu of just the horns stated in number one above.

Staggs & Fisher Lexington Contract# A971170	Rose-Lime Chilled Water Project Number: 1658.0	\$1,104,000
	Consultant Contract Amount:	\$107,000
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$107,000

**Project Description:**

Project taps into the central campus chilled water network at a point near the southwest corner of Scovell Hall. These new 24" diameter lines will then cross Kentucky Clinic Drive and extend southward past Research Building #3. These lines will continue on southward approximately parallel to Limestone to a point very near the Sanders Brown Building. The Sanders Brown Addition project will then tap into these lines for service required for the building addition. But the main 24" lines will be terminated for future extension by another project to serve the Rose-Lime triangle area, and ultimately, on across Rose Street to create the network loop.

**Notes:** No construction contract(s) awarded to date.

Ross-Feldman Architects, Inc. Lexington Contract# A94145	Shawneetown/Cooperstown Renovation Project Number: 1509.0	\$4,977,000
	Consultant Contract Amount:	\$175,000
	Total Amendments: (2) Consultant Cumulative Amendment Amount:	\$109,542
	Revised Consultant Contract Amount:	\$284,542

**Project Description:**

Selective renovation to buildings A and B at Shawneetown and buildings A and B at the Cooperstown complexes. The work in this project will include upgrading of the electrical systems to meet current codes; new air conditioning for the buildings; upgrading the existing bathrooms, including new fixtures as well as testing of supply and sanitary waste lines with correction of any found problems. The two Cooperstown buildings will also receive major renovations to the existing kitchens.

**Notes:** \$4,977,000 reflects the total project scope of projects 1509.0 and 1667.0.

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSULTANT CONTRACTS**

<b>CONSULTANT</b>	<b>PROJECT INFORMATION</b>	<b>SCOPE</b>
Ross-Feldman Architects, Inc. Lexington Contract# A90128	Somerset CC Economic Development/Cultural Center Project Number: 631.0	\$15,150,000
	Consultant Contract Amount:	\$476,862
	Total Amendments: (6) Consultant Cumulative Amendment Amount:	\$466,459
	Revised Consultant Contract Amount:	\$943,321
<b>Project Description:</b> Construction of approximately 98,000 gross square foot multipurpose facility on a 17.6 acre site adjacent to the existing Somerset Community College campus. The new building will contain a performance-quality theater with seating for approximately 800 persons, a conference/exhibition area of approximately 28,000 square feet, a 5,000 square foot regional K.E.T. Studio and office areas of 9,000 square feet that will house the Southern Kentucky Economic Development Commission and various other organizations involved in the economic development of southeastern Kentucky.		
<b>Notes:</b> Project contains multiple construction contracts. Under management of a Construction Manager.		
Booker & Associates, Inc. Lexington Contract# A971140	Southeast (Cumberland) CC Physical Development Plan Project Number: 1561.0	\$30,000
	Consultant Contract Amount:	\$29,000
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$29,000
<b>Project Description:</b> A report that addresses the physical needs of a campus including vehicular and pedestrian circulation, parking, building location, massing, open space, landscaping and infrastructure.		
James W. Potts, Architects Lexington Contract# A961000	Student Center Art Gallery Project Number: 1584.1	\$102,059
	Consultant Contract Amount:	\$6,500
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$6,500
<b>Project Description:</b> Renovation of space in the Student Center formerly used as the Student Billing Office. This space will be used as the Student Center Art Gallery. The space which has been used as the Art Gallery is now a branch office for the UK Credit Union. That work will be done outside of this contract. The work involves new flooring, new wall finishes, and new ceiling and gallery lighting. Mechanical and electrical work is limited.		
<b>Notes:</b> This is a per diem contract.		
CMW , Inc. Lexington Contract# A961400	Surface Parking Lexington Campus Project Number: 1596.1	\$1,040,000
	Consultant Contract Amount:	\$85,000
	Total Amendments: (0) Consultant Cumulative Amendment Amount:	\$0
	Revised Consultant Contract Amount:	\$85,000
<b>Project Description:</b> Consists of adding approximately 700 parking spaces in several locations on the Lexington Campus.		



**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSULTANT CONTRACTS**

<b>CONSULTANT</b>	<b>PROJECT INFORMATION</b>	<b>SCOPE</b>
Pearson+Bender+Jolly Lexington Contract# A961170	Tennis Stadium Project Number: 1594.0	\$1,254,500
	Consultant Contract Amount:	\$66,000
	Total Amendments: (1) Consultant Cumulative Amendment Amount:	\$5,000
	Revised Consultant Contract Amount:	\$71,000

**Project Description:**

The proposed site for this outdoor tennis facility is east of the Boone Indoor Tennis Center. Anticipated seating capacity will be 3,000. This consists of 1,000 permanent seats facing each bank of four courts and 500 bleacher seats facing each east court. The facility will include eight tennis courts, arranged in a North/South orientation, with four courts located on either side of the seating/stadium complex. Courts will be hard-court construction using the Deco-Turf system. All courts are to be lighted to NCAA night play specifications .

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSTRUCTION CONTRACTS**

CONTRACTOR		PROJECT INFORMATION			
D.W. Wilburn, Inc. Lexington		Ashland Community College Academic Classroom Building Project Number: 1459.0			
Contract# U010766-95				Contractor Award Amount:	\$3,672,500
Low Bid: \$3,672,500	Total Change Orders: (3)	Contractor Cum. Change Order Amount:	\$51,060		
High Bid: \$4,392,000		Revised Contractor Contract Amount:	\$3,723,560		
Number of Bids: 6		Contract Percent Complete:	34%		
JMK Electric Co. Grayson		Ashland Community College, Fourth Floor Sprinklers Project Number: 1620.0			
Contract# U003037-96				Contractor Award Amount:	\$204,000
Low Bid: \$204,000	Total Change Orders: (0)	Contractor Cum. Change Order Amount:	\$0		
High Bid: \$306,911		Revised Contractor Contract Amount:	\$204,000		
Number of Bids: 3		Contract Percent Complete:	40%		
Commercial Finishes Lexington		Boyd Hall Restroom Renovation Project Number: 1606.0			
Contract# U008343-95				Contractor Award Amount:	\$142,900
Low Bid: \$142,900	Total Change Orders: (8)	Contractor Cum. Change Order Amount:	\$18,735		
High Bid: \$153,300		Revised Contractor Contract Amount:	\$161,635		
Number of Bids: 3		Contract Percent Complete:	100%		
Spectrum Contracting Lexington		Bradley Hall Fire Safety Renovation Project Number: 1597.0			
Contract# U000270-96				Contractor Award Amount:	\$72,511
Low Bid: \$72,511	Total Change Orders: (4)	Contractor Cum. Change Order Amount:	\$19,247		
High Bid: \$103,073		Revised Contractor Contract Amount:	\$91,758		
Number of Bids: 6		Contract Percent Complete:	92%		
Centex Rodgers** Nashville, TN		Cardiac Catheterization Suite Renovation Project Number: 1495.0			
Contract# U003611-95				Contractor Award Amount:	\$363,399
Low Bid:	Total Change Orders: (3)	Contractor Cum. Change Order Amount:	\$55,295		
High Bid:		Revised Contractor Contract Amount:	\$418,694		
Number of Bids:		Project Percent Complete:	75%		
<b>Notes: **Centex Rodgers is the construction manager for this project. The following contracts pertaining to project 1495.0 are managed by Centex Rodgers Construction Company.</b>					
Arrow Electric Louisville		Cardiac Catheterization Suite Renovation Project Number: 1495.0			
Contract# U006173-95				Contractor Award Amount:	\$363,500
Low Bid: \$363,500	Total Change Orders: (8)	Contractor Cum. Change Order Amount:	\$86,145		
High Bid: \$447,450		Revised Contractor Contract Amount:	\$449,645		
Number of Bids: 4		Contract Percent Complete:	68%		

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSTRUCTION CONTRACTS**

<b>CONTRACTOR</b>		<b>PROJECT INFORMATION</b>	
Wehr Constructors, Inc. Louisville		Center on Aging/Allied Health Phase I Project Number: 405.1	
Contract# U002900-96			Contractor Award Amount: \$7,899,774
Low Bid: \$7,899,774	Total Change Orders: (4)	Contractor Cum. Change Order Amount:	\$70,444
High Bid: \$8,198,500		Revised Contractor Contract Amount:	\$7,970,218
Number of Bids: 6		Contract Percent Complete:	2%
Commercial Finishes Lexington		Chemistry Organic Teaching Lab Renovation Project Number: 1571.0	
Contract# U009319-95			Contractor Award Amount: \$188,000
Low Bid: \$188,000	Total Change Orders: (3)	Contractor Cum. Change Order Amount:	\$7,063
High Bid: \$208,500		Revised Contractor Contract Amount:	\$195,063
Number of Bids: 3		Contract Percent Complete:	99%
E.C. Matthews Co., Inc. Lexington		Columbia Avenue Utilities Project Number: 1664.0	
Contract# U004022-96			Contractor Award Amount: \$175,970
Low Bid: \$175,970	Total Change Orders: (0)	Contractor Cum. Change Order Amount:	\$0
High Bid: \$220,600		Revised Contractor Contract Amount:	\$175,970
Number of Bids: 3		Contract Percent Complete:	0%
Turner Construction** Cincinnati, OH		Critical Care Shell Pediatric Facility Enhancement Project Number: 1521.0	
Contract# U005034-94			Contractor Award Amount: \$430,000
Low Bid:	Total Change Orders: (1)	Contractor Cum. Change Order Amount:	\$283,593
High Bid:		Revised Contractor Contract Amount:	\$713,593
Number of Bids:		Project Percent Complete:	72%
<b>Notes: **Turner is the construction manager for this project. The following construction contracts pertaining to the Critical Care Shell are managed by Turner Construction.</b>			
Abell Elevator Louisville		Critical Care Shell Pediatric Facility Enhancement Project Number: 1521.0	
Contract# U005183-95			Contractor Award Amount: \$57,703
Low Bid: \$57,703	Total Change Orders: (1)	Contractor Cum. Change Order Amount:	-\$480
High Bid: \$76,827		Revised Contractor Contract Amount:	\$57,223
Number of Bids: 2		Contract Percent Complete:	57%
Central KY Glass Co. Lexington		Critical Care Shell Pediatric Facility Enhancement Project Number: 1521.0	
Contract# U002611-95			Contractor Award Amount: \$266,700
Low Bid: \$266,700	Total Change Orders: (3)	Contractor Cum. Change Order Amount:	\$10,020
High Bid: \$269,370		Revised Contractor Contract Amount:	\$276,720
Number of Bids: 2		Contract Percent Complete:	85%

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSTRUCTION CONTRACTS**

<b>CONTRACTOR</b>		<b>PROJECT INFORMATION</b>	
Davis & Plomin Lexington		Critical Care Shell Pediatric Facility Enhancement Project Number: 1521.0	
Contract# U002511-95			Contractor Award Amount: \$2,812,800
Low Bid: \$2,812,800	Total Change Orders: (9)	Contractor Cum. Change Order Amount:	\$22,504
High Bid: \$4,117,000		Revised Contractor Contract Amount:	\$2,835,304
Number of Bids: 4		Contract Percent Complete:	69%
Kentucky Electric Co. Lexington		Critical Care Shell Pediatric Facility Enhancement Project Number: 1521.0	
Contract# U002654-95			Contractor Award Amount: \$941,900
Low Bid: \$941,900	Total Change Orders: (12)	Contractor Cum. Change Order Amount:	\$71,443
High Bid: \$1,550,800		Revised Contractor Contract Amount:	\$1,013,343
Number of Bids: 4		Contract Percent Complete:	72%
Woodford Builders Lexington		Critical Care Shell Pediatric Facility Enhancement Project Number: 1521.0	
Contract# U002487-95			Contractor Award Amount: \$3,803,500
Low Bid: \$3,803,500	Total Change Orders: (22)	Contractor Cum. Change Order Amount:	\$359,775
High Bid: \$4,158,895		Revised Contractor Contract Amount:	\$4,163,275
Number of Bids: 4		Contract Percent Complete:	78%
Grant's Excavating, Inc. Richmond		Demolition of Structures at Woodford County Farm Project Number: 1626.0	
Contract# U002506-96			Contractor Award Amount: \$72,500
Low Bid: \$72,500	Total Change Orders: (1)	Contractor Cum. Change Order Amount:	-\$3,100
High Bid: \$222,400		Revised Contractor Contract Amount:	\$69,400
Number of Bids: 5		Contract Percent Complete:	95%
Eubank & Steele Lexington		Dental Clinical Lab Renovation Project Number: 1574.0	
Contract# U009362-95			Contractor Award Amount: \$664,500
Low Bid: \$664,500	Total Change Orders: (5)	Contractor Cum. Change Order Amount:	\$36,294
High Bid: \$782,500		Revised Contractor Contract Amount:	\$700,794
Number of Bids: 6		Contract Percent Complete:	95%
Burchfield & Thomas Lexington		Environmental Quality Management Center Project Number: 1456.0	
Contract# U008888-95			Contractor Award Amount: \$2,045,000
Low Bid: \$2,045,000	Total Change Orders: (4)	Contractor Cum. Change Order Amount:	\$36,174
High Bid: \$2,307,573		Revised Contractor Contract Amount:	\$2,081,174
Number of Bids: 3		Contract Percent Complete:	68%

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSTRUCTION CONTRACTS**

<b>CONTRACTOR</b>		<b>PROJECT INFORMATION</b>			
Outlaw Contracting Hopkinsville		Hopkinsville CC LRC Sprinklers & ADA Accessibility Renovation Project Number: 1603.0			
Contract# U010529-95				Contractor Award Amount:	\$136,000
Low Bid:	\$136,000	Total Change Orders:	(2)	Contractor Cum. Change Order Amount:	-\$1,780
High Bid:	\$183,840			Revised Contractor Contract Amount:	\$134,220
Number of Bids:	3			Contract Percent Complete:	91%
Arrow Electric Co., Inc. Louisville		Hospital Electrical Distribution Upgrade Project Number: 1518.0			
Contract# U008507-95				Contractor Award Amount:	\$705,000
Low Bid:	\$720,000	Total Change Orders:	(2)	Contractor Cum. Change Order Amount:	\$25,885
High Bid:	\$745,000			Revised Contractor Contract Amount:	\$730,885
Number of Bids:	3			Contract Percent Complete:	98%
<b>Notes:</b> Low bid was negotiated down to 705,000.					
Commercial Finishes Lexington		Hunt Morgan Building Basement Renovation Project Number: 1578.0			
Contract# U008055-95				Contractor Award Amount:	\$120,700
Low Bid:	\$120,700	Total Change Orders:	(8)	Contractor Cum. Change Order Amount:	\$29,270
High Bid:	\$0			Revised Contractor Contract Amount:	\$149,970
Number of Bids:	1			Contract Percent Complete:	99%
Spectrum Contracting Lexington		Kentucky Clinic Parking Structure Structural Steel Repair Project Number: 1628.0			
Contract# U001316-96				Contractor Award Amount:	\$39,511
Low Bid:	\$39,511	Total Change Orders:	(2)	Contractor Cum. Change Order Amount:	\$19,380
High Bid:	\$59,860			Revised Contractor Contract Amount:	\$58,891
Number of Bids:	3			Contract Percent Complete:	95%
Star Construction, Inc. Madisonville		Madisonville Community College Auditorium Parking Lot Project Number: 1650.0			
Contract# U001958-96				Contractor Award Amount:	\$795,476
Low Bid:	\$795,476	Total Change Orders:	(1)	Contractor Cum. Change Order Amount:	\$10,366
High Bid:	\$800,000			Revised Contractor Contract Amount:	\$805,842
Number of Bids:	2			Contract Percent Complete:	48%
<b>Notes:</b> Due to bids over budget, a post bid addendum was done.					
Woodford Builders Lexington		Medical Research Building (Animal Care) Project Number: 1627.0			
Contract# U002799-96				Contractor Award Amount:	\$2,805,100
Low Bid:	\$2,805,100	Total Change Orders:	(1)	Contractor Cum. Change Order Amount:	\$0
High Bid:	\$2,966,900			Revised Contractor Contract Amount:	\$2,805,100
Number of Bids:	5			Contract Percent Complete:	4%

# CAPITAL CONSTRUCTION QUARTERLY ACTIVITY CONSTRUCTION CONTRACTS

CONTRACTOR	PROJECT INFORMATION			
Eubank & Steele Lexington Contract# U013399-94	Medical Research Fit-up & Security Project Number: 747.3			
Low Bid: \$2,158,000	Total Change Orders: (12)	Contractor Award Amount:	\$2,158,000	
High Bid: \$2,240,000		Contractor Cum. Change Order Amount:	\$72,448	
Number of Bids: 5		Revised Contractor Contract Amount:	\$2,230,448	
		Contract Percent Complete:	99%	
Eubank & Steele Lexington Contract# U003718-96	Nursing Building Patio Roof Repair Project Number: 1640.0			
Low Bid: \$114,250	Total Change Orders: (0)	Contractor Award Amount:	\$114,250	
High Bid: \$127,361		Contractor Cum. Change Order Amount:	\$0	
Number of Bids: 4		Revised Contractor Contract Amount:	\$114,250	
		Contract Percent Complete:	34%	
Murtco Mechanical, Inc. Paducah Contract# U003851-95	Paducah CC/Gymnasium HVAC Renovation Project Number: 1555.0			
Low Bid: \$162,891	Total Change Orders: (2)	Contractor Award Amount:	\$162,891	
High Bid: \$333,900		Contractor Cum. Change Order Amount:	\$5,186	
Number of Bids: 3		Revised Contractor Contract Amount:	\$168,077	
		Contract Percent Complete:	100%	
Frank Messer & Sons Cincinnati, OH Contract# U003333-95	Parking Structure Project Number: 1530.0			
Low Bid: \$8,088,000	Total Change Orders: (21)	Contractor Award Amount:	\$7,800,000	
High Bid: \$8,397,000		Contractor Cum. Change Order Amount:	\$281,333	
Number of Bids: 3		Revised Contractor Contract Amount:	\$8,081,333	
<b>Notes:</b> The low bid was negotiated down to \$7,800,000.		Contract Percent Complete:	82%	
Commercial Finishes Lexington Contract# U009363-95	Parking Structure #2, Life Safety Project Number: 1598.0			
Low Bid: \$169,000	Total Change Orders: (7)	Contractor Award Amount:	\$169,000	
High Bid: \$258,889		Contractor Cum. Change Order Amount:	-\$49,680	
Number of Bids: 6		Revised Contractor Contract Amount:	\$119,320	
		Contract Percent Complete:	99%	
M.B. McGregor Co. Lexington Contract# U003909-96	Pediatric Lab Renovation Project Number: 1644.0			
Low Bid: \$57,900	Total Change Orders: (0)	Contractor Award Amount:	\$57,900	
High Bid: \$85,618		Contractor Cum. Change Order Amount:	\$0	
Number of Bids: 10		Revised Contractor Contract Amount:	\$57,900	
		Contract Percent Complete:	0%	

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSTRUCTION CONTRACTS**

CONTRACTOR	PROJECT INFORMATION			
Spectrum Contracting Lexington Contract# U004161-96	Peterson Service Building Sprinkler System Project Number: 1599.0			
Low Bid: \$104,900	Total Change Orders: (0)	Contractor Award Amount:	\$104,900	
High Bid: \$147,910		Contractor Cum. Change Order Amount:	\$0	
Number of Bids: 6		Revised Contractor Contract Amount:	\$104,900	
		Contract Percent Complete:	0%	
Tree Top Landscaping Lexington Contract# U006802-95	Relocate Soccer/Softball Field Project Number: 1528.0			
Low Bid: \$249,823	Total Change Orders: (2)	Contractor Award Amount:	\$249,823	
High Bid: \$249,823		Contractor Cum. Change Order Amount:	\$57,418	
Number of Bids: 1		Revised Contractor Contract Amount:	\$307,241	
		Contract Percent Complete:	91%	
Tutt, Inc. Lexington Contract# U006801-95	Relocate Soccer/Softball Field Project Number: 1528.0			
Low Bid: \$309,600	Total Change Orders: (3)	Contractor Award Amount:	\$309,600	
High Bid: \$487,800		Contractor Cum. Change Order Amount:	\$44,667	
Number of Bids: 4		Revised Contractor Contract Amount:	\$354,267	
		Contract Percent Complete:	99%	
A & M United, Inc. Evansville, IN Contract# U001298-96	Removal of Underground Storage Tanks - Coldstream Farm Project Number: 894.8			
Low Bid: \$8,645	Total Change Orders: (1)	Contractor Award Amount:	\$8,645	
High Bid: \$18,779		Contractor Cum. Change Order Amount:	\$2,292	
Number of Bids: 4		Revised Contractor Contract Amount:	\$10,937	
		Contract Percent Complete:	100%	
Eubank & Steele Lexington Contract# U011531-94	Shawneetown/Cooperstown Renovation Project Number: 1509.0			
Low Bid: \$1,838,250	Total Change Orders: (9)	Contractor Award Amount:	\$1,838,250	
High Bid: \$2,160,000		Contractor Cum. Change Order Amount:	\$48,617	
Number of Bids: 6		Revised Contractor Contract Amount:	\$1,886,867	
		Contract Percent Complete:	99%	
Eubank & Steele Lexington Contract# U003720-96	Shawneetown/Cooperstown Renovation Phase II Project Number: 1667.0			
Low Bid: \$2,656,400	Total Change Orders: (0)	Contractor Award Amount:	\$2,656,400	
High Bid: \$3,296,000		Contractor Cum. Change Order Amount:	\$0	
Number of Bids: 6		Revised Contractor Contract Amount:	\$2,656,400	
		Contract Percent Complete:	0%	

# CAPITAL CONSTRUCTION QUARTERLY ACTIVITY CONSTRUCTION CONTRACTS

CONTRACTOR		PROJECT INFORMATION	
Branscum Construction**	Somerset CC Economic Development/Cultural Center		
Russell Springs	Project Number: 631.0		
Contract# U002977-93		Contractor Award Amount:	\$315,000
Low Bid:	Total Change Orders: (1)	Contractor Cum. Change Order Amount:	\$75,000
High Bid:		Revised Contractor Contract Amount:	\$390,000
Number of Bids:		Project Percent Complete:	99%
<b>Notes:</b> **Branscum is the construction manager for this project. The following contracts pertaining to project 631.0 are managed by Branscum Construction.			
D. W. Wilburn, Inc.	Somerset CC Economic Development/Cultural Center		
Lexington	Project Number: 631.0		
Contract# U006986-93		Contractor Award Amount:	\$1,790,000
Low Bid: \$1,654,000	Total Change Orders: (15)	Contractor Cum. Change Order Amount:	\$197,745
High Bid: \$2,189,500		Revised Contractor Contract Amount:	\$1,987,745
Number of Bids: 4		Contract Percent Complete:	99%
<b>Notes:</b> *Contractor error in low bid.			
Enterprise Electric, Inc.	Somerset CC Economic Development/Cultural Center		
Campbellsville	Project Number: 631.0		
Contract# U006963-93		Contractor Award Amount:	\$1,399,000
Low Bid: \$1,399,000	Total Change Orders: (14)	Contractor Cum. Change Order Amount:	\$403,718
High Bid: \$1,694,000		Revised Contractor Contract Amount:	\$1,802,718
Number of Bids: 7		Contract Percent Complete:	99%
Korfhage Landscape	Somerset CC Economic Development/Cultural Center		
Louisville	Project Number: 631.0		
Contract# U009434-94		Contractor Award Amount:	\$150,761
Low Bid: \$150,761	Total Change Orders: (2)	Contractor Cum. Change Order Amount:	-\$34,311
High Bid: \$187,947		Revised Contractor Contract Amount:	\$116,451
Number of Bids: 4		Contract Percent Complete:	90%
Modern Welding Co.	Somerset CC Economic Development/Cultural Center		
Elizabethtown	Project Number: 631.0		
Contract# U006895-93		Contractor Award Amount:	\$1,114,856
Low Bid: \$1,114,856	Total Change Orders: (5)	Contractor Cum. Change Order Amount:	\$62,682
High Bid: \$1,488,000		Revised Contractor Contract Amount:	\$1,177,538
Number of Bids: 5		Contract Percent Complete:	99%
MB McGregor & McGregor	Student Center Art Gallery Renovation		
Lexington	Project Number: 1584.1		
Contract# U011076-95		Contractor Award Amount:	\$79,202
Low Bid: \$79,202	Total Change Orders: (3)	Contractor Cum. Change Order Amount:	\$1,022
High Bid: \$107,800		Revised Contractor Contract Amount:	\$80,224
Number of Bids: 8		Contract Percent Complete:	95%
<b>Notes:</b> The Company's full name is MB McGregor and Malcolm B. McGregor A Joint Venture.			



**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY  
CONSTRUCTION CONTRACTS**

<b>CONTRACTOR</b>		<b>PROJECT INFORMATION</b>	
English Paving Co., Inc. Versailles		Surface Parking Lexington Campus Project Number: 1596.1	
Contract# U001532-96			Contractor Award Amount: \$774,800
Low Bid: \$774,800	Total Change Orders: (3)	Contractor Cum. Change Order Amount:	\$7,225
High Bid: \$956,720		Revised Contractor Contract Amount:	\$782,025
Number of Bids: 2		Contract Percent Complete:	56%
T.A. Construction, Inc. Louisville		U.K. Tennis Stadium Project Number: 1594.0	
Contract# U002774-96			Contractor Award Amount: \$1,088,000
Low Bid: \$1,088,000	Total Change Orders: (0)	Contractor Cum. Change Order Amount:	\$0
High Bid: \$1,252,000		Revised Contractor Contract Amount:	\$1,088,000
Number of Bids: 13		Contract Percent Complete:	7%

# FCR 5

Office of the President  
March 4, 1997

Members, Board of Trustees:

## PATENT AND COPYRIGHT PROSECUTION

Recommendation: that all future copyright and patent filings and prosecution be conducted by the University of Kentucky Research Foundation (UKRF), and that the Vice President for Research and Graduate Studies or his designee be authorized to execute any needed documents to obtain appropriate patent or copyright protection. It is further recommended that the Administration submit quarterly reports on patent and copyright applications to the Finance Committee as an information item.

It is further recommended that to the extent necessary for pending patent and copyright matters, that the President be authorized to execute routine assignments of patents and copyrights to the UKRF.

Background: The increasing volume of patent applications makes the present system of presentation of each patent application to the Board for assignment to UKRF cumbersome and time consuming. Pursuant to AR II-1.1-3 (approved by the Board of Trustees on June 22, 1993) UKRF is the University's designated agent, authorized to own and control all of the University's intellectual properties, and patent and copyright prosecution is consistent with those designated duties.

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

# FCR 6

Office of the President  
March 4, 1997

Members, Board of Trustees:

## HILARY J. BOONE GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept from Hilary J. Boone of Lexington, Kentucky, a gift of \$200,000 and a pledge of \$200,000 for an outdoor tennis stadium.

Background: Mr. Boone, a horseman and philanthropist, was a member of the university varsity tennis team before his graduation in 1941. He is one of the university's most generous donors. The outdoor tennis center is being built adjacent to an indoor tennis center that bears his name. At the September 17, 1996 meeting, the Board accepted the \$400,000 commitment from Mr. Boone, and the Board approved naming the entire tennis center, The Hilary J. Boone Tennis Center. His generosity also made possible the Hilary J. Boone Faculty Center. He will fulfill his \$200,000 pledge with equal payments in 1997 and 1998.

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Action taken:



Approved

☐ Disapproved

☐ Other

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# FCR 7

Office of the President  
March 4, 1997

Members, Board of Trustees:

## VIOLET SHOWERS COUCH GIFT

Recommendation: that the Board of Trustees accept a gift of \$100,397 from Violet Showers Couch of Arlington, Virginia, to benefit the College of Fine Arts School of Music and the Martin School of Public Policy and Administration.

Background: Mrs. Couch is the surviving spouse of Virgil Couch, a 1930 UK graduate. In his memory and that of his sister, Lucille E. Couch, a 1932 UK graduate, Mrs. Couch has endowed scholarships in the School of Music and the Martin School of Public Policy and Administration. The music scholarship will benefit students who want to teach vocal music. The Martin School scholarship will benefit students who have been public policy or administration professionals in government.

Mr. Couch gained recognition during his 40 years of federal government service for his expertise in personnel administration, training and executive management. He helped form the UK Alumni Association chapter in Washington, D.C. Lucille Couch was involved in music education for 48 years, primarily in the Louisville public school system. Both Virgil Couch and his sister, Lucille, are members of the UK Alumni Association's Hall of Distinguished Alumni.

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Action taken:



Approved

☐ Disapproved

☐ Other

# FCR 8

Office of the President  
March 4, 1997

Members, Board of Trustees:

## KATHERINE LONGYEAR GIFT

Recommendation: that the Board of Trustees accept the gift of a remainder interest in the residence from Katherine Longyear of Lexington, Kentucky, and, upon her death, the Board further authorizes the sale of the residence to fund an endowment in the College of Fine Arts School of Music in memory of her deceased husband, Rey M. Longyear.

Background: Under the terms of Mrs. Longyear's gift to the University, she will live in the residence until her death, at which time the property, presently appraised at \$101,000, will be sold and the proceeds used to fund the Rey M. Longyear Memorial Fund in Musicology. The fund will provide fellowships, scholarships, prizes and other awards to support graduate students in musicology. Professor Longyear taught music at UK for 30 years prior to his death in 1995. He was a well-known musicologist and wrote a book on 19th century music that became a standard college textbook in the United States.

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Action taken:



Approved



Disapproved



Other

# FCR 9

Office of the President  
March 4, 1997

Members, Board of Trustees:

## JOHN JACOB NILES CHARITABLE TRUST GIFT

Recommendation: that the Board of Trustees accept a gift of \$250,000 from the John Jacob Niles Charitable Trust of Lexington, Kentucky, to establish the John Jacob Niles Center for American Music in the new Fine Arts Library.

Background: Before her death in June, 1996, Library friend and benefactor, Rena Niles, worked with Library staff to plan a special reading room and library program to honor the life's work of her late husband, John Jacob Niles. The John Jacob Niles Center for American Music will be a premier resource for research. Funding is provided to renovate and establish a research room in which the books, personal papers, instruments, recordings, paintings and other memorabilia relating to the life and work of Mr. Niles will be displayed. Other aspects of the Center include a Graduate Fellowship in American Music, an acquisitions fund and an endowment to purchase materials in the American music genre.

John Jacob Niles was a Kentucky musical treasure. He was a balladeer, composer, arranger, recording artist, folk music historian and poet. Some of Mr. Niles' compositions are international favorites. "Go 'Way From My Window," "Black is the Color of My True Love's Hair" and "I Wonder As I Wander" are among his more famous works. In 1983, Mr. Niles contributed his personal papers, correspondence, hand-crafted dulcimers on which he frequently performed, a large grouping of photos by his colleague Doris Ullman, manuscripts for stories and plays, and more to the University of Kentucky Libraries. Rena Niles continued to add to the collection throughout the years.

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Action taken:



Approved

☐ Disapproved

☐ Other

# FCR 10

Office of the President  
March 4, 1997

Members, Board of Trustees:

## GEORGE B. TUGGLE CHARITABLE REMAINDER ANNUITY TRUST

Recommendation: that the Board of Trustees accept the George B. Tuggle Charitable Remainder Annuity Trust, an irrevocable trust valued at \$403,313 established by George B. Tuggle of Somerset, Kentucky.

Background: Mr. Tuggle graduated from the University in 1949 with a degree in journalism. He retired to Somerset after a career in banking in Cincinnati, Ohio. The annuity trust, of which the University is trustee, designates a portion of the corpus for a professorship in English in memory of his parents, William J. and Nina B. Tuggle, and a portion to establish the George B. Tuggle Scholarship Fund at the University of Kentucky to benefit students from Boyle, Wayne and Pulaski counties.

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

# FCR 11

Office of the President  
March 4, 1997

Members, Board of Trustees:

## SALE OF THE SOUTH FARM, TRACT A

Recommendation: that the Board authorize the Administration to accept the high bid of \$18,365,400 submitted by JDN Development Co., Inc. of Atlanta, Georgia, for Tract A (containing 42.96 acres) of the University's South Farm; further, that the Administration be authorized to finalize the sale within 30 days after the Board's approval of the bid.

Background: At the September 17, 1996, meeting of the Board, the Administration was authorized to conduct a sale of Tract A of the South Farm. Formal appraisals of Tract A were obtained from two qualified firms. The bid by JDN Development Co., Inc. exceeds the highest of the two appraisals and, accordingly, has been found to be acceptable to the Administration. JDN Development Co., Inc. has been so advised. Board approval of the bid is required before the sale can be completed.

The Board of Trustees adopted in September 1985 guidelines for the disposition of real property held by the University. These guidelines authorize the Board to dispose of lands that are no longer suited to serve the mission of the University.

The guidelines further require that proceeds from the sale of real property represent a net gain to the institution. Representatives of the Administration have met with the Secretary of Finance and Administration and have received his approval to proceed with this sale by the University.

Proceeds from the sale of Tract A will be used by the University for the construction of a Plant Sciences Building for the College of Agriculture in accordance with the "Twenty-First Century Plan," thus assuring that these funds will be used to advance research in support of the College of Agriculture. The remainder of the south farm, currently being used by the College of Agriculture for horticulture research, has been identified as the site for future development of a campus for Lexington Community College.

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