

## AGENDA

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

**Invocation**

**Roll Call**

**Approval of Minutes**

**Resolutions**

**President's Report and Action Items**

- PR 1 President's Report to the Trustees
- PR 2 Personnel Actions
- PR 3 Central Administration
  - A. University Research Professorships
  - B. Honorary Degree Recipients
- PR 4 Community College System
  - A. Appointment to Advisory Board - Lexington Community College
  - B. Associate Degree Program in the Community College System - Jefferson Community College
  - C. Associate Degree Program in the Community College System - Prestonsburg Community College
  - D. Associate Degree Program in the Community College System
- 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 Eight Months Ended February 28, 1997
- 2. Capitalization Policy Non-Expendable Moveable Equipment
- 3. Report of Lease
- 4. Approval of Leases
- 5. Alan F. & Irene Bloomfield Gift and Pledge
- 6. Incentive Retirement Program
- 7. Special Early Retirement Incentive Plan

8. University of Kentucky Medical Benefits Plan (An Employer Self-Insured Plan)
9. A Resolution of the Board of Trustees of University of Kentucky Authorizing the Issuance of Said Board's Housing and Dining System Revenue Bonds, Series Q, to be Dated the First Day of the Month in Which Sold; Authorizing Proper Proceedings Relative to the Public Sale of the Bonds and the Disposition of the Proceeds Thereof; Authorizing Execution of a Ninth Supplemental Trust Indenture Between the Board and Farmers Bank & Capital Trust Company, Frankfort, Kentucky as Trustee in Compliance with the Provisions of the Trust Indenture Dated June 1, 1965
10. Patent and Copyright Assignments Report

Minutes of the Meeting of the Board of Trustees of the University of Kentucky, Tuesday, April 1, 1997.

The Board of Trustees of the University of Kentucky met at 1:00 p.m. (Lexington time) on Tuesday, April 1, 1997 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 1:07 p.m., and the invocation was pronounced by Mr. John "Jack" Guthrie.

B. Roll Call

The following members of the Board of Trustees answered the call of the roll: Mr. Alan Aja, Mr. Ted Bates, Mrs. Kay Shropshire Bell, Governor Edward T. Breathitt (Chairperson), Mr. Paul W. Chellgren, 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, Mr. Steven S. Reed, Mr. C. Frank Shoop, and Mr. Martin Welenken. Absent from the meeting were Professor Deborah Powell, Mrs. Lois C. Weinberg, and Mr. Billy B. Wilcoxson. 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. Piccoro, Assistant to the President for Administrative Affairs; Dr. Juanita Fleming, Special Assistant for Academic Affairs; Mr. C. M. Newton, Director of Athletics, 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 1:10 p.m.

C. Approval of Minutes

Governor Breathitt said that the Minutes of the Board meeting on March 4, 1997 had been distributed and asked for any additions or corrections. Mr. Shoop moved that the Minutes be approved as distributed. Mr. Guthrie seconded the motion, and it carried.

D. Resolutions

Professor Miller, representative of the Community College System on the Board, said that he would like to present the following Resolution to the Board:

WHEREAS, The Governor of Kentucky is seriously studying higher education and recommending measures for improvement, and

WHEREAS, the General Assembly has assigned the University of Kentucky the mission of providing Kentuckians throughout the Commonwealth with higher education opportunities, and

WHEREAS, the University of Kentucky Community College System benefits from its association with a nationally ranked research university, and

WHEREAS, the University has the potential of becoming one of the top 20 research universities in the nation if significant additional funding is provided by the General Assembly, and

WHEREAS, community college students resoundingly report that they want to continue to be UK students to reap the tangible benefit and prestige of earning college credits and a diploma from the "University of Kentucky," and

WHEREAS, almost a half a million Kentucky citizens have attended the community colleges associated with the University of Kentucky, and

WHEREAS, half a million Kentucky citizens annually benefit from the wide range of community-based programs available at the community colleges, and

WHEREAS, business and government leaders in cities and towns of Kentucky served by the community colleges recognize that the services provided by those community colleges enhance economic development, and

WHEREAS, students from the community colleges transfer to Kentucky four-year institutions at a rate that rivals any community college system in the nation, and

WHEREAS, separating the community colleges from UK would create new layers of needless bureaucracy in Frankfort, at a high cost to Kentucky taxpayers, and

WHEREAS, the members of the Board and the University administration are committed to working with the Governor and the General Assembly to achieve

a blueprint for progress leading into the next century and providing the best educational opportunities for Kentucky's youth, our most precious resource.

NOW THEREFORE BE IT RESOLVED:

The University of Kentucky Board of Trustees strongly opposes any move to separate the Community College System from UK and reaffirms its belief that the statewide land-grant mission of the University of Kentucky of teaching, research and public service can best be accomplished through the retention of the community colleges as an integral part of the University of Kentucky.

The Board of Trustees, in furtherance of the stated ambition of the Governor to enhance academic excellence at the University of Kentucky, commits to establish a Fund for Excellence to provide additional scholarships, endowed chairs, professorships, and rewards for outstanding teachers and students, and hereby authorizes the President and the development Council to launch a fund raising effort so that the University will be prepared to augment the funds promised by the Governor.

The Board of Trustees reaffirms its support for Charles T. Wethington, Jr. for his effective leadership as President of the University of Kentucky.

This the 1st day of April, 1997.

Professor Miller moved that the resolution be adopted. Mr. Bates seconded the motion, and it passed.

Governor Breathitt said that a resolution had been prepared in honor and support of the basketball team and asked Mr. Plymale to read the following resolution to the Board:

WHEREAS, the 1996-97 University of Kentucky Wildcat basketball team has brought tremendous glory to the University by winning the West Regional Championship and making the Final Four for the second consecutive year and three of the past five years, and playing in the national championship game, and

WHEREAS, the 1996-97 University of Kentucky Wildcats again won the Southeastern Conference tournament, and

WHEREAS, under the capable leadership of UK basketball Coach Rick Pitino and his valued assistants, Jim O'Brien, Delray Brooks and Winston Bennett, and the rest of the support staff, the team has solidified the support of Kentuckians all across the state, and UK fans throughout the world, and

WHEREAS, each member of the UK Wildcat basketball team has proved to be a fine representative of this University and has distinguished himself as someone who has made the most of considerable talents, and

WHEREAS, this particular group of UK athletes has proved to all who have thrilled to their fast breaks, pressing defense and daring dunks that practice, discipline, determination, hustle, grit, and Teamwork with a capital "T" are ingredients that can bring maximum success, accomplishment and acclaim, and

WHEREAS, the Wildcats, through their unquestioned talent, exceptional teamwork and unselfish play, have brought a fantastic pride and positive national and international attention to their University.

NOW THEREFORE BE IT RESOLVED, that the University of Kentucky Board of Trustees officially gives its highest commendation and registers its great appreciation to Coach Rick Pitino and the UK Wildcats for again representing this University in the NCAA Final Four. This Board, and the citizens of the Commonwealth of Kentucky, shall be forever grateful to the 1996-97 team for its considerable national achievements and accomplishments on the hardwood.

This the 1st day of April, 1997.

Governor Breathitt entertained a motion to adopt the resolution. Mr. Shoop so moved. Mrs. Bell seconded the motion, and it carried.

E. Student Trustee Comments

Mr. Aja, student representative on the Board, asked to make the following statement:

"Ladies and Gentlemen of the Board, as the student representative on this board I find myself with a difficult task, representing the students who elected me on the Lexington campus, but also representing the students of the UK community college campuses. I am the sole student member on this board, and I believe that is not only my job to represent the opinions of those I represent but also work and strive for what I feel is right and just for the UK Lexington campus and community college student populations as a whole.

My background which included my living environment, family, education, religion and community are all factors of what I stand for and what I strive for as an individual. I have been raised to see society from all sides and spectrums and higher education has allowed me to question what I stand for and where my loyalties, beliefs, values and morals remain and will lead me.

As a Sociology and Communications major, I see society as an arena of conflict. Someone is always struggling to achieve certain needs and goals in order to survive. When I see my friend in Eastern Kentucky who attends Ashland Community College because of its affordability and direct access not only to UK, but to the regional universities, I am pleased that he is pursuing his right to an education. Yet, when I heard the student's parent on the phone last week telling me that she was afraid that her son's tuition would raise if current reform efforts were to take place, I was disappointed that she had to have that fear in the midst of her intellect.

As I look at the current proposal, I must admit a lot of the principles of what I stand for as a student, a young sociologist, and as the student representative are evident. Decentralization is always something I've stood for, equaling out control and access. I believe such a process would bring about a social equilibrium. However, the principles I can easily agree with, but the notions and intention behind them in the way they are presented are not the answer to the way higher education should be reformed in Kentucky. I read the proposal and I believe I saw the word "student" seven times out of a fourteen page document. As the student representative I want to know why this is so? I also want to know what this proposal will do for the students and how it will do it? I think that these questions are valid because neither in the proposed Council on Postsecondary Education (CPE) nor in the Strategic Committee on Postsecondary Education (SCOPE) proposals is there reference to or any language leading to that there will be a student serving on these established entities. I can't find it. Correct me if I misread. This disturbs me, why? Because it allows me to believe that the students were not in focus here, but rather it was the business and industrial super giants of our state that will have stake and claim in the community colleges if they are separated from UK. These aren't just my concerns. These are the concerns of the students across the state.

If there was a balance in this proposal between the student needs, the insights of faculty and staff, and how the universities and community colleges should operate in relation to economic factors, I would be more than happy to support this, but it doesn't.

If you look at the students who attend the community colleges in terms of socio-economic characteristics, you will notice that many of these students are attending these schools because they either want a two-year education that will prepare them for a regional university or UK, want an associate degree before they enter the work force, or are basically attending them so they can balance school, family and work in an affordable setting. UK's strong ties with the community colleges keep the community colleges full of educational richness, diversity, economic affordability, and a preparation for not just UK but regional universities as well. The whole state benefits. If the community

colleges separate then I know a massive exploitation of these students, who are barely making ends meet, will grow to a stage where we might as well say that education, whether you believe it is a right or a privilege, is neither. Local small and large business, industry and other forms of capitalistic enterprises will make their mark on these colleges and the students will suffer. It happens everywhere in society now, and I am not willing to allow this to happen anymore. The purpose and mission of the community colleges will be destroyed.

There is another issue at hand here as well. My African-American friends and members of various ethnic minorities across the state are frightened. Demographically and socio-economically one can see that many African-American and ethnic minorities across the state come from lower to middle class backgrounds. Community colleges are important to them, as they were to my family as middle class Latinos (Cuban-American), because they allow access to a quality education so that they can either enter the work force and/or transfer to a university after they were able to save up and/or receive state and federal assistance. Prove to me that this plan will benefit not just my African-American, Asian-American, Latinos and other under-represented groups, but also people of all walks of life in lower and middle class status, and I will support it. It doesn't, why? Because we live in a country where there isn't enough funding for higher education, not enough loans, not enough grants, plenty of scholarships but not enough access to them.

I am willing to work for change. I have been a strong advocate for KERA in this state. I believe in the democratic process and my liberal political views, I believe, are of equal access for all, especially those who are under-represented. But if you ask me, if you want to decentralize aspects of our state, you decentralize the coal industry, decentralize government and decentralize big business, but let higher education reform to the needs of the students, not to the needs of those who will capitalize and gain profit; mainly business and industry. Keep the community colleges working with UK not because they should have the power or control over them, but because they bring about a balance, access, and a preparation for life's many battles for the students of the state. Students and faculty will continue to win whether they're on main campus, or over in Ashland, Somerset or Owensboro.

I have a suggestion: Let's make a new plan, let's call it "the students plan." Let's see what they have to say. I know changes have to be made, but I know that the changes proposed here are not only not what the students want, but won't lead to the changes that the students do need.

Imagine if we lived in a society where peoples needs are met, where structures weren't in place that oppress people who are of different race or ethnicity, where education was a right not a privilege, where business and



industry actually paid workers what they deserve, and where poverty, like in Eastern Kentucky, wouldn't exist. The issue at hand is not just about the future of higher education in Kentucky. It is about the future of our children, our people, our state, our country, and our world. It truly is a sociological issue. UK and the State of Kentucky can be at the helm to bringing about a truly equal society, but we're going about it all wrong. Why? Because we are keeping this political, listening to those who have the power and control in society and we are ignoring the needs and concerns of the masses, and in this case the students, the future leaders and educators of our state and our country."

Governor Breathitt said: "We are alright if we have concerned students like that on our campuses."

President Wethington thanked Governor Breathitt and members of the board for their unqualified support and for their support of what the community college students, faculty, and staff are seeking. He said they truly are seeking to be heard in this debate and making themselves known all across the Commonwealth. It is very important to them that they know and understand that the Board of Trustees, the governing body of this university, and the president do hear them and do join them in raising their voices of concern about an approach that would separate these community colleges from the University of Kentucky.

He noted that most of the community college presidents were in the audience and said that it is good for them to be present and see the board in action. It is good for them and other members of the University community deans and colleagues in the audience to know the feeling of the Board and to hear the position of the University and the board in regard to the "One University" concept which has been supported for several years.

President Wethington commented on the second resolution honoring the basketball team and also mentioned that the university's rifle team was runner up in the NCAA competition. He commended the teams and coaching staffs for an exceptional performance.

President Wethington said that Governor Paul Patton would be speaking to the Board. The chairman and he had agreed to proceed with the business of the board as outlined in the agenda and to pause when the governor arrived and allow him to speak.

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

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

1. The College of Pharmacy is ranked third among all U.S. pharmacy schools offering graduate degrees in the "America's Best Graduate Schools" issue of U.S. News & World Report.
2. The University of Kentucky community colleges have raised \$36.8 million in their statewide capital campaign. The number of alumni and friends who have contributed to the campaign has reached 5,592.
3. Grants, contracts and gifts to the University of Kentucky Research Foundation are coming in at a record pace -- more than \$91 million during the first eight months of the fiscal year.
4. Research out of the University of Kentucky Sanders-Brown Center on Aging was presented March 11, 1997 at a national media briefing on Alzheimer's disease by the American Medical Association in New York City. The research also appeared in the March 12 issue of *The Journal of the American Medical Association (JAMA)*.
5. The Maxwell H. Gluck Equine Research Center has announced the development of a device that measures airflow output in race horses and helps state racing officials detect sponges or other airway obstructions in horses. The Kentucky Racing Commission, which sponsored the research, has announced that the device will be used for pre-race screening of horses at Kentucky tracks.
6. An environmental method for managing all water quantity and quality in the state is the goal of a study to be done by the Kentucky Water Resources Research Institute for the Kentucky Division of Water. The study is in accordance with new emphasis of the federal Environmental Protection Agency on watershed-based environmental improvement.
7. The Carol Martin Gatton College of Business and Economics and Transylvania University have reached an agreement to offer an accelerated Master of Science degree to Transylvania accounting students whereby Transylvania liberal arts students can complete a specified program in accounting while fulfilling liberal arts requirements for Transylvania with a Bachelor of Arts degree.

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

G. 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. Shoop moved approval. The motion, seconded by Mr. Welenken, carried. (See PR 2 at the end of the Minutes.)

H. University Research Professorships (PR 3A)

President Wethington expressed pleasure in recommending that the Board approve the naming of Professors Dennis J. Clouthier, Department of Chemistry, Mark P. Mattson, Department of Anatomy and Neurobiology, and Mark W. Summers, Department of History, as University Research Professors for 1997-98. He noted that the first research professors were named by the Board of Trustees in 1977. He recognized Professors Mattson and Summers in the audience and asked them to stand and be recognized, following which they received a round of applause. Mr. Chellgren moved approval of PR 3A. His motion, seconded by Mr. Reed, passed. (See PR 3A at the end of the Minutes.)

I. Honorary Degree Recipients (PR 3B)

President Wethington recommended that approval be granted to awarding the honorary degree of Doctor of Laws to Gerald L. Baliles, the Doctor of Letters to Gwendolyn Brooks, the Doctor of Science to David M. Lawrence, and the Doctor of Arts to Lucille Caudill Little. The committee on honorary degrees has recommended these individuals to the Graduate Faculty and the University Senate, and they have recommended that honorary degrees be awarded to these individuals. He noted that according to policy these individuals must be present at the 1997 Commencement to receive an honorary degree. Mr. Miles moved approval of PR 3B. Mr. Guthrie seconded the motion, and it carried. (See PR 3B at the end of the Minutes.)

President Wethington said that Mr. Baliles, former Governor of Virginia, will be the university's graduation speaker on May 10th. Governor Breathitt pointed out that Mr. Baliles has probably made the greatest contribution to higher education in this country of all the governors that he has served with or observed. He is chairing the Southern Regional Education Board's commission and has made many appearances in Kentucky in the furtherance and improvement of higher education. Governor Breathitt said, in his opinion, it is entirely appropriate that Mr. Baliles be awarded this degree.

J. Appointment to Advisory Board - Lexington Community College (PR 4A)

President Wethington said he was pleased to recommend that approval be given to the reappointment of Mr. Richard E. Blanchard to the Advisory Board of Lexington Community College for a four-year term ending June 30, 2001. The motion, made by Professor Miller and seconded by Mr. Chellgren, passed. (See PR 4A at the end of the Minutes.)

K. Associate Degree Program in the Community College System - Jefferson Community College (PR 4B)

President Wethington recommended that the board authorize for submission to the Council on Higher Education a new degree program, Associate Degree in Applied Science, Industrial Plastics Technology for the Jefferson Community College. He reminded the Board that the Council must approve all degree programs, including associate degree programs, and approval by the Board of Trustees is required prior to submission to the Council for consideration. Mr. Welenken moved approval. His motion, seconded by Mr. Grayson, passed. (See PR 4B at the end of the Minutes.)

L. Associate Degree Program in the Community College System - Prestonsburg Community College (PR 4C)

President Wethington said that PR 4C is another associate degree program. The recommendation is that the Board authorize for submission to the Council on Higher Education a new degree program, Associate Degree in Applied Science, Occupational Therapist Assistant at Prestonsburg Community College, and adopt a resolution requesting a one-year qualitative waiver of a restriction on new degree program proposals imposed by the Council on Higher Education under its Equal Opportunity Program. This board must approve the submission of this new degree program for the Council's consideration and must at the same time adopt a resolution requesting a one-year qualitative waiver. Mr. Shoop moved approval. Mr. Chellgren seconded the motion, and it passed. (See PR 4C at the end of the Minutes.)

M. Associate Degree Program in the Community College System (PR 4D)

President Wethington said that PR 4D is the third associate degree program. It is a new program called Associate Degree in Applied Science, Technical Studies in the Community College System. The recommendation is that the board approve this new degree program for submission to the Council on Higher Education. The Technical Studies program will allow students who have earned a diploma in a Kentucky Tech post secondary program to be

awarded credit in technical coursework upon admission to colleges in University of Kentucky Community College System. Again, this is part of the effort to increase and improve the programs and work with Kentucky Tech which the University has done for several years. The motion, made by Mr. Chellgren and seconded by Mr. Welenken, passed. (See PR 4D at the end of the Minutes.)

President Wethington noted that there were no items to report from the Lexington Campus (PR 5) and the Medical Center (PR 6).

N. Acceptance of Interim Financial Report for the University of Kentucky for the Eight Months Ended February 28, 1997 (FCR 1)

Mr. Hardymon, Chairperson of the Finance Committee, reported that the Finance Committee met and reviewed 10 items to bring to the Board for consideration. He said that FCR 1 is the monthly report of the financial condition for the eight months that ended February 28, 1997. As of February 28, the University had realized income of \$840,461,000 representing 73% of the 1996-97 estimate of \$1,143,495,000. Expenditures and commitments total \$753,994,000 or 66% of the approved budget of \$1,143,495,000. He noted this report is on target and is consistent with prior years. He moved approval of FCR 1. Mr. Shoop seconded the motion, and it carried. (See FCR 1 at the end of the Minutes.)

O. Capitalization Policy Non-Expendable Moveable Equipment (FCR 2)

Mr. Hardymon said that FCR 2 is a policy change in accounting and comes to the Board as a result of the federal government raising the capitalization level for dollar amounts for equipment acquired with federal funds. The federal government has approved raising the capitalization level from \$500 to \$1,000 for equipment acquired with federal funds effective July 1, 1997. This is the only change in the capitalization policy that was approved by the Board of Trustees in June, 1993. He provided an explanation of Category I, II, III and Fully Depreciated Equipment, and moved approval of the policy change for the capitalization of non-expendable movable equipment effective July 1, 1997. Mr. Welenken seconded the motion, and it passed. (See FCR 2 at the end of the Minutes.)

P. Governor Paul Patton's Comments

Governor Breathitt expressed appreciation to Governor Patton for taking the time to appear before the Board and explain his plan for higher education. He said that the Board was for Governor's Patton plan in principle, with the exception of one provision and that was to permit the University of Kentucky

to keep the Community College System. He assured Governor Patton that the Board will continue to support his plan and to work to continue a dialogue to find common ground that would pull the two plans together in such a way that would serve the people of Kentucky.

Governor Breathitt said that the Board was very appreciative of the Governor's plan to see that the University become a major research institution in the next 20 years.

He informed Governor Patton that the Board had endorsed a Fund for Excellence campaign to raise money to match and hopefully add to the money that Governor Patton had very generously offered to all of the institutions to advance the higher education program. He said that the Board appreciates Governor Patton's leadership in placing higher education first on his agenda, and he expressed hopes that in this dialogue the cause of higher education could be advanced.

Governor Breathitt said that the Trustees feel that they have a responsibility to the 43,000 community college students, the nearly half million people who have attended the University of Kentucky, and the community leaders who have raised over \$36 million to help enrich the programs in these communities without the benefit of large foundations. The Board has the responsibility to help them get their message out that it is in the Commonwealth's best interest to all of the citizens that the community colleges remain a part of the University of Kentucky system. He said that President Wethington has assured him and the Board that he will be receptive to work in every way to support Governor Patton's plan and to work towards the resolution of the community college issue.

Governor Patton thanked Governor Breathitt for his kind introduction. He said he was there to discuss a very important topic; the future of Kentucky and the University of Kentucky's role in that future. He indicated that he had tried to present to the Board some information prior to the meeting and he hoped they would review it. The information consist of two or three videos that sort of give the tenor of the program that he is proposing, the kind of debate that is ongoing, a copy of the plan, and certain other details that, in his opinion, will be helpful to the Board. He said that he would not go into details of the plan but rather summarize them and then go directly to some of the issues that concern him very deeply and should concern the Board.

Governor Patton said the plan recognizes that Kentucky needs three different kinds of post secondary education. The first is a research based educational component centered around the University of Kentucky and the University of Louisville that will be that cauldron of intellectual energy that will move Kentucky forward in the long run. He said that he recognizes that

doctoral research program will not come quickly nor cheaply but Kentucky cannot be the state that he aspires it to be without that. He indicated it would take about 20 years to reach that goal and perhaps another 20 to reap the benefits, but he is as confident as he was standing there that had the people in Kentucky made that commitment 40 years ago when North Carolina did that Kentucky would be much closer to North Carolina today than it is to Kentucky. This is one of the elements that he believes is vital and a central part of his plan.

He said that the second kind is to have baccalaureate and masters degrees institutions providing that staple of higher education and making it more accessible to all of the people throughout the state. He said that the plan addresses that need.

Thirdly, the plan addresses a rather new element of post secondary education, that is new in the context of the last 50 years or so as the economy has become more complex and as the need to train a work force has become more necessary. That is an element of community college education not exactly like the University of Kentucky Community College System but a system designed to do those things such as prepare continuing education courses and remedial education courses for personal improvement and community development, courses to provide training for education to be transferred to a baccalaureate program at a four year institution and the workforce development component that is so vital to our overall economy.

In general, the characteristics of those institutions around this nation that have evolved over the last half century or so. They are generally unified, almost always independent, and never a component of a land-grant flagship research university. In fact, Kentucky is the only state that has that kind of a system. That in and of itself does not mean that Kentucky's system is wrong. He said that it certainly indicates that Kentucky's system is not sacred, and, in his opinion, the data that he has presented indicates that Kentucky's system is not serving the people as it should and as it must if it is going to be able to supply the needs of Kentucky's economy and serve the needs of the citizens. He said that the program encompasses all three of those elements and, in his opinion, it is a comprehensive program that must work in its entirety to achieve those goals.

Governor Patton stated that one of the fundamental things that must be done is to have a Council of Higher Education that is effective, and it can only be effective if the political leaders depend upon it. He said that he has tipped it as best he can to develop a scenario where there can be communications so as the Council will understand the direction of the political leadership, and the political leadership will understand the important things that need to be done to improve higher education and can look to the Council for guidance. But,

that will only work if the various institutions understand that they are a part of a larger system designed to provide a service to all of the people of Kentucky and that their mission is in fact to be a part of that system. He said that he had a problem with that. He had a problem with this institution and them understanding their place as a part of a comprehensive network to provide service to all of the people. That problem is not limited to this institution but certainly being the largest institution in the system it becomes more of a problem with the University of Kentucky. The University of Kentucky has begun to believe that it is an entity in and of itself and has begun to lose focus of the fact that its ultimate purpose is to serve the people of Kentucky and not just itself. He said that he had a problem with that. That is an overview of the program and he would be glad to discuss it in more detail, but, in his opinion, it has been adequately documented.

Governor Patton said that he wanted to talk to the Board about a problem that he had with the way that Dr. Wethington and the University of Kentucky has conducted itself. He said that he is a politician and is accustomed to debating other politicians based on rhetoric, based on one liners, based on don't rip away something from this beloved institution of mine, but, quite frankly, he did not expect this debate to deteriorate to that of two politicians. He said that he expected the issue would be decided based on the facts and based on an intelligent debate of the subject. He did not expect this university to use its resources to distort the position of the Governor of the Commonwealth. He said that disturbs him greatly, and, in his opinion, it should disturb the members of the Board.

He said that he had traveled over the last week to the community college campuses and found great stories of misinformation. He found students that have been led to believe that they will lose scholarships, students that have been led to believe they will lose library services, students that have been led to believe that their credits will not transfer as they have in the past, and a whole litany of fears that are common throughout the system. Students who have been led to believe that their institutions would lose their accreditation and that particular statement he could attribute to a high official of the University of Kentucky. It is not fitting that this issue so important to the people of Kentucky be decided on false information. He said that he had tried to be accurate in his statements and moderate in his rhetoric, and he had not found that to be the same field upon which the University of Kentucky is playing.

Governor Patton said that he had an even more serious problem that he wanted the Board to consider and investigate. He would assume that the Board had at least reviewed the letter from Dr. Wethington to him relating to what it would take to make the University of Kentucky a great research university. As he understands that letter, it would take about \$700 million in an investment with about \$104 million ongoing commitment. He said he thought it was fairly



well known that he has said that he is willing to the extent that he can as governor to make a commitment to try to make this university a rank one top 20 public university. In his opinion, it should be possible to do in about 20 years. He said he had not done extensive research as to exactly what that would cost. He could say, however, that in discussion with other knowledgeable people within the state who have been reviewing what other public universities are spending in terms of taxpayer dollars on becoming a nationally recognized research university, it was probably affordable for this Commonwealth when other states that are not dissimilar to Kentucky have been able to do it. He stated that he felt it is within the state's capacity.

Governor Patton said that the document that Dr. Wethington had provided to him is not affordable. If you were to amortize that \$700 million investment over 20 years, it would cost \$70 million for the investment and then \$104 million annual investment. That is \$175 or so million devoted to making the University of Kentucky a great research university, and that is not affordable. Now, if that document is accurate, that goal may as well be abandoned. He said he could tell the Board that he did not believe that the document is accurate, but he thought that the Board should investigate and find out themselves and satisfy themselves on the validity of the document. He said that he would be asking Sheryl Snyder, an alumna of the University of Kentucky, to try to accumulate some data and other individuals to express an opinion on the document. He stated that if the document is not a valid, scholarly document, then he has serious problems that Dr. Wethington will try to use the document to discredit him, the governor. Under any circumstances, the document distorts his position. He said that the document infers that it could be done for \$5 to \$8 million and anyone that has followed the debate knows that is not true, and Dr. Wethington knows it is not true. He said that Dr. Wethington knows that he has said that if this plan is enacted he will include \$100 million in new money over and above inflation in the budget that he will submit to the General Assembly in January of this year. As a good faith effort he will include amendments to the current budget of \$36 million to bring equity as best he can to the system and to make a good faith effort to demonstrate his commitment to funding funds for excellence. Dr. Wethington says that the \$100 million is a promise. It is a commitment by the Governor of the Commonwealth of Kentucky. He said that he did not believe that is incumbent on the President of the University of Kentucky to question the sincerity of the Governor of this Commonwealth. He stated that he was personally offended by this statement which was made on television last Monday and reiterated by Dr. Wethington on other occasions. He said that he had a problem with the university and with the administration of the university. He reminded the Board that they are ultimately responsible for the administration of the University of Kentucky.

He said that he does not think anyone could legitimately question his loyalty. It has been demonstrated in more than one arena. He does not know that anyone would conclude he would come to this position of great personal distress for him and great personal political peril if he did not believe that it was worth it. If he did not believe it was the right thing to do for the Commonwealth. He stated that he believed it so strongly that he was willing to suffer any insult, to endure any risk, and to go to any honorable extent to try to get the plan adopted as the policy of the Commonwealth of Kentucky.

Governor Patton questioned his ability to win this argument based on the emotional rhetoric in which the university is trying to carry on the debate. He said that he had every confidence that he could win the argument with rational people that will sit down and reason based on the facts. If the Board will follow the press of this Commonwealth it will find that he is, in fact, winning the argument with all people except with a few people who have some kind of inherent interest in the University of Kentucky.

He said that he knows that each of members on the Board has a particular dedication to this university as does he. But, he also knows that the members have a greater dedication to the people of this Commonwealth as does he. He asked the Board to evaluate the subject in the context of what is good for the state of Kentucky in the long run and to make their decision based on the facts. The Board can only conclude as have he and other people that the time has come to set the child free.

Governor Patton complimented the University of Kentucky on the great stewardship of the community colleges. He said, in his opinion, it was a wise decision to start these colleges out with the University of Kentucky and allow the University to nurture them and cause them to grow and to build in them a tradition of academic excellence. That was a wise decision, but the child is grown. He said that it would be wrong for him to keep his 35 year old son in his household and try to keep him dependent upon him. It is also wrong to keep these community colleges tied to the University when their missions should be so different. He asked for the Board's consideration of these subjects and said that he would be glad to discuss them at their convenience in whatever forum they find appropriate. He said, "This is bigger than the University of Kentucky, this is bigger than Charles Wethington, and it is certainly bigger than Paul Patton." He expressed hopes that the Board would consider it that way. He thanked the Board and asked for any comments. There were no questions or comments.

Governor Breathitt thanked Governor Patton and then asked Mr. Hardymon to continue with FCR 3.

Q. Report of Lease (FCR 3)

Mr. Hardymon reviewed the lease agreement in FCR 3 and moved that the Board accept the President's Report of the lease agreement which did not exceed \$30,000 in value. Mr. Reed seconded the motion, and it carried. (See FCR 3 at the end of the Minutes.)

R. Approval of Leases (FCR 4)

Mr. Hardymon said that FCR 4 involves leases that have an annual value in excess of \$30,000. One is an addition to a lease for office space on Waller Avenue, Lexington, Kentucky and the other is for educational and recreational facilities on Main Street, London, Kentucky. He explained the rental rates and costs per square footage and moved approval of FCR 4. His motion, seconded by Mr. Chellgren, passed. (See FCR 4 at the end of the Minutes.)

S. Alan F. and Irene Bloomfield Gift and Pledge (FCR 5)

Mr. Hardymon said that FCR 5 is a gift and pledge from Alan F. and Irene Bloomfield. He moved that the Board accept a gift of \$100,000 and a pledge of \$400,000 from Alan F. and Irene Bloomfield of Lexington, Kentucky to benefit the Carol Martin Gatton College of Business and Economics and the Athletics Department. The commitment provides for endowments in the Gatton College of \$300,000 for the Alan F. and Irene Bloomfield Scholarships, \$50,000 for the Center for Entrepreneurship, and \$50,000 for the Kentucky Scholars program to recruit outstanding Kentucky students to the college. The Athletics Department will receive \$100,000 for the expansion of the Center for Academic and Tutorial Services. The pledge will be paid in four annual installments beginning in 1998. The motion was seconded by Mr. Reed and passed. (See FCR 5 at the end of the Minutes.)

T. Incentive Retirement Program (FCR 6)

Mr. Hardymon said that FCR 6, 7 and 8 are very important items involving some incentive retirement programs. FCR 6 is an Incentive Retirement Program for regular full-time tenured faculty in the Community College System who have a combination of age and years of service equal to 75 and who have completed at least 15 years of continuous service as of June 30, 1997. He explained that employees who elect to retire under this program must remain in a full-time employment status until the date of retirement. The University will pay to the faculty members 100% of their 1996-97 annual salary if they retire on June 30, 1997 and 50% of their 1996-97 annual salary if they retire on December 31, 1997. The University is offering this Incentive Retirement Program for tenured faculty in the Community College System to

create some long-term program and financial flexibility. Mr. Chellgren seconded the motion, and it carried. (See FCR 6 at the end of the Minutes.)

U. Special Early Retirement Incentive Plan (FCR 7)

Mr. Hardymon said that FCR 7 is a Special Early Retirement Incentive Plan to be offered to regular full-time staff employees in the University of Kentucky Hospital who meet defined criteria. This Plan is to be offered to regular full-time staff who will have a combination of age and service equal to or greater than 65 and who have completed at least fifteen years of continuous regular full-time service as of April 1, 1997. The University Hospital will pay the individual staff member whose application is approved a lump sum amount equal to 100% of their 1996-97 annual base salary as of April 1, 1997. He noted that retirement has to occur between April 1, 1997 and December 31, 1997. On motion made by Mr. Hardymon, seconded by Mr. Reed and passed, FCR 7 was approved. (See FCR 7 at the end of the Minutes.)

V. University of Kentucky Medical Benefits Plan (An Employer Self-Insured Plan) (FCR 8)

Mr. Hardymon said FCR 8 involves a University of Kentucky Medical Benefits Plan. He explained that a self-insured plan allows the University to lower its costs substantially because the profits of the insurance company would be avoided, and it provides the same to slightly better coverage for the employees. He said that the University will be fully insured and have an aggregate cap which, in his opinion, is very important in case there should be a major problem in a particular year. He said that the Finance Committee considered this to be a very aggressive plan by the administration and moved approval. His motion, seconded by Mr. Welenken, passed. (See FCR 8 at the end of the Minutes.)

W. A Resolution of the Board of Trustees of University of Kentucky Authorizing the Issuance of Said Board's Housing and Dining System Revenue Bonds, Series Q, to be Dated the First Day of the Month in Which Sold; Authorizing Proper Proceedings Relative to the Public Sale of the Bonds and the Disposition of the Proceeds Thereof; Authorizing Execution of a Ninth Supplemental Trust Indenture Between the Board and Farmers Bank and Capital Trust Company, Frankfort, Kentucky as Trustee in Compliance with the Provisions of the Trust Indenture Dated June 1, 1965 (FCR 9)

Mr. Hardymon said FCR 9 is a Resolution authorizing the issuance of University of Kentucky Housing and Dining System Revenue Bonds, Series Q, to be dated the first day of the month in which they are sold. Sealed bids for the purchase of the Series Q Bonds will be opened and considered by the Finance Committee on the date of the sale. The lowest and best bid will be brought to

the Board for final approval. He noted that this is for funds for financing the renovation of Cooperstown Apartment Buildings C and D and Shawneetown Apartment Buildings C and D, the installation of a sprinkler system at Donovan Hall, the renovation of elevators in Kirwan Blanding Residence Halls, the installation of an HVAC System in the Donovan Hall food services area and the construction of a new student residence building to accommodate approximately 50 students for housing and dining purposes. He moved approval of FCR 9. Mr. Shoop seconded the motion, and it passed. (See FCR 9 at the end of the Minutes.)

X. Patent and Copyright Assignments Report (FCR 10)

Mr. Hardymon said FCR 10 is the Patent and Copyright Assignments Report. He reminded the Board that these assignments had been reviewed individually prior to the Board's action to do a summary report at the last meeting. He reviewed the assignments in the report, and said that he liked the new format. On motion made by Mr. Hardymon, seconded by Mr. Chellgren and passed, FCR 10 was approved. (See FCR 10 at the end of the Minutes.)

Y. Finance Committee Information Item

Mr. Hardymon said that the Finance Committee did have an information item to report to the Board. He reminded the Board that the Health Associates of Kentucky was established in December 1995 as a management service organization that owns, develops, and operates medical practices as a link between the University of Kentucky and the private sector. When this organization was established, one of the criteria was to give an annual report on the organization. He reported that the Finance Committee received that report as an information item at its meeting and he merely wanted the Board to know that this had taken place. He noted that the report does not require the Board's approval.

Governor Breathitt thanked Mr. Hardymon for the report and said that he deeply appreciated his continued efforts to be an effective chairperson of the Finance Committee.

Z. Governor Breathitt's Comments

Governor Breathitt made a brief comment to the presidents of the Community College System, friends, and students in the audience. He said that the resolution passed by the Board at the beginning of the meeting reaffirms the Board's support for the Community College System being a part of the University of Kentucky family. The Board feels that it has a duty to follow up on the resolution to help them get their message out to the state on the reasons they feel that the community colleges can best serve the people of Kentucky and

its students by remaining a part of the University system. Ultimately, this decision should be made by the people of Kentucky by them expressing their views to their elected representatives in the legislature. Everyone will abide by whatever they decide. He assured those in attendance that the Board will help in getting that message out.

Governor Breathitt also thanked the Board for its vote of confidence for President Wethington, for his integrity and his commitment, following which President Wethington received a standing ovation.

AA. Meeting Adjourned

There being no further business to come before the Board, the Chairperson adjourned the meeting at 2:18 p.m.

Respectfully submitted,

Richard E. Plymale  
Assistant Secretary  
Board of Trustees

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

Office of the President  
April 1, 1997

## PRESIDENT'S REPORT TO THE BOARD OF TRUSTEES

### 1. College of Pharmacy Ranked Third in Nation by *U.S. News & World Report*

The College of Pharmacy is ranked third among all U.S. pharmacy schools offering graduate degrees in the "America's Best Graduate Schools" issue of *U.S. News & World Report*. The pharmacy school of the University of California-San Francisco ranked first, and the University of Texas-Austin pharmacy school ranked second. *U.S. News* determined the ranking by sending surveys to deans, faculty and administrators of accredited graduate programs.

### 2. Community Colleges Fund Raising Tops \$36.8 Million Mark

University of Kentucky community colleges have raised \$36.8 million in their statewide capital campaign. The number of alumni and friends who have contributed to the campaign has reached 5,592. Six of the colleges have topped 100 percent of their goal and three have topped 60 percent. Madisonville Community College has raised more than \$5.7 million in gifts, pledges and in-kind services. These gifts include \$3 million for an off-campus facility in eastern Muhlenberg County; \$1.8 million for the Joe C. Davis Science and Technology Building; \$660,000 for scholarships; \$250,000 for programs, equipment and parking improvements and \$70,000 for the Fine Arts Center Endowment.

### 3. Record Pace Set in Grants, Contracts and Gifts

Grants, contracts and gifts to the University of Kentucky Research Foundation are coming in at a record pace -- more than \$91 million during the first eight months of the fiscal year. From July 1 through February 28, the UK faculty brought in \$91,958,206 -- a 21 percent increase over the \$79 million generated for the same period a year ago. The largest dollar increase occurred in the Chandler Medical Center.

4. Nun Study Research Featured in JAMA

Research out of the University of Kentucky Sanders-Brown Center on Aging was presented March 11, 1997 at a national media briefing on Alzheimer's disease by the American Medical Association in New York City. The research is part of The Nun Study, a longitudinal study of aging and Alzheimer's disease in a group of elderly Roman Catholic nuns. The research also appeared in the March 12 issue of *The Journal of the American Medical Association* (JAMA). The JAMA article contained findings from The Nun Study which conclude that small strokes in the brain may produce and intensify the clinical symptoms of Alzheimer's disease.

5. Gluck Center Develops Device to Detect Sponges in Horses' Nostrils

The Maxwell H. Gluck Equine Research Center has announced the development of a device that measures airflow output in race horses and helps state racing officials detect sponges or other airway obstructions in horses. The Kentucky Racing Commission, which sponsored the research, has announced that the device will be used for pre-race screening of horses at Kentucky tracks.

6. Business Honor Society Names Business Person of Year

The University of Kentucky chapter of Beta Gamma Sigma, national student business and management honor society, has named Lee Todd Jr., an Earlington, Ky., native, former UK faculty member, and currently president and chief executive officer of DataBeam Corporation, the 1997 Kentucky Outstanding Business Leader of the Year. Todd founded two high-technology Lexington-based corporations -- DataBeam and Projectron. The chapter also selected Professor James W. Freeman, School of Management, as the 1997 Outstanding Teacher of the Year.

7. Water Quality and Quantity Subject of Study

An environmental method for managing all water quantity and quality in the state is the goal of a study to be done by the Kentucky Water Resources Research Institute for the Kentucky Division of Water. The study is in accordance with new emphasis of the federal Environmental Protection Agency on watershed-based environmental improvement. Through the use of Geographical Information System (GIS) technology, the method will provide a useful tool for identifying and estimating pollutant sources and impacts.

8. Masters in Accounting Partnership Formed with Transylvania

The Carol Martin Gatton College of Business and Economics and Transylvania University have reached an agreement to offer an accelerated master of science degree to Transylvania accounting students. Under the agreement, Transylvania liberal arts students can complete a specified program in accounting while fulfilling the liberal arts requirements for Transylvania with a bachelor of arts degree.



9. Animal Sciences Associate Professor Reappointed Academic Ombud

Lee A. Edgerton, associate professor of animal sciences, has been reappointed academic ombud for the 1997-98 academic year. Edgerton came to UK in 1975. A member of several professional organizations, Edgerton serves on the University Senate and on the University Admissions and Academic Standards Committee.

10. Mobile Dental Hygiene Program Arrives at Henderson CC This Summer

Henderson Community College has received some 100 student applications for a dental hygiene program that can accommodate 14 students per year. The mobile two-year technical program moves from college to college in the University of Kentucky Community College System -- staying at one college for three years and then moving to another college. Students who graduate from the program receive a two-year associate of applied science degree and can begin practice upon completion of the national dental hygiene exam and a state or regional board.

11. Appalachian Center Launches Year-Long 20th Anniversary Celebration

The Appalachian Center has launched a year-long 20th anniversary celebration of its research, teaching, and public service to the Appalachian region. The festivities began Saturday, March 1, with a concert by the Reel World String Band at the Singletary Center for the Arts. In addition to the Appalachian Center, sponsors included WUKY-FM, UK Women's Studies, and the UK Women's Law Caucus.

12. Hopkinsville CC Receives Grant for Minority Student Preparation Programs

Hopkinsville Community College's C.H.I.L.L. Program (Children of Higher Intelligence are Listening and Learning) has received a \$6,000 Governor's Minority Student College Preparation Program grant, awarded from the Kentucky Council on Higher Education. This is the sixth year Hopkinsville CC has received this award.

13. Lexington Woman Is 1997 Ockerman Award Winner

Edna Fischer of Lexington has been named the 1997 Frances J. Ockerman Award winner. The award honors Lexington residents who offer assistance and friendship to international students attending the University of Kentucky. Mrs. Fischer, and her husband, Warren, have been involved in UK's International Hospitality Family Program for 26 years.

14. Human Development Institute Develops Training Packet for Families

The Human Development Institute's Kentucky Early Childhood Transition Project has developed a new training packet for families of infants, toddlers and preschool children with disabilities. The purpose of the Kentucky Early Childhood Transition Project is to facilitate the development of community-wide systems for the transition of young children from early intervention into preschool and from preschool into primary grades.

15. Black Law Students Establishing Civil Rights Fellowship

The UK Black Law Students Association is raising money for a fellowship that will allow a law student to spend the summer working on civil rights cases. The association intends to award a \$3,000 grant for the summer fellowship.

16. Student Awards and Honors

Forty-seven students in the Carol Martin Gatton College of Business and Economics were inducted into the UK chapter of Beta Gamma Sigma, a national student business and management honor society, March 20.

**Brandy Babb**, Hopkinsville CC, has been named to Kentucky's Scholars Bowl team, sponsored by the Kentucky Association of Educational Opportunity Program Personnel. The Kentucky team will participate next in regional competition in Atlanta.

**Stacie J. Fisher** of Greenville, a pre-physical therapist assistant major at Madisonville CC, has been awarded an F.O. Baker Jr. Scholarship valued at \$1,000.

**Jeff Fugate**, Hazard CC nursing student, is the new Eastern Regional Director of the Kentucky Association of Nursing Students (KANS).

**Alex Hardesty**, Owensboro CC sophomore, was named the top community college speaker in impromptu speaking and programmed oral interpretation.

**John Jones**, Owensboro CC sophomore, was honored as the outstanding community college student for 1997 at the Kentucky Forensics Association state tournament, and received top awards in extemporaneous speaking, prose interpretation and after dinner speaking.

**Gregory Kolodziej** and **Donald Aubrey** have each received a 1996-97 James W. Martin Award for the Outstanding Graduating Senior in economics.

**Vicki S. Likens** of Graham, a special education major at Madisonville CC, has been awarded a \$1,000 Bettie Crawford scholarship awarded annually to an outstanding music or special education student.

17. Significant Activities of Faculty and Staff

**Orvil Abner**, Lexington CC, has been appointed to the Greater Lexington Chamber of Commerce Manufacturers' Council.

**Robin Green-Avison**, MRI Spectroscopy Research Center, will receive the prestigious Crues-Kressel Award for 1997 from the Section of Magnetic Resonance

Technologists at that organization's annual meeting in April in Vancouver, British Columbia, Canada.

**Pat Blaine**, Paducah CC, presented a paper on "The Electronic Student" at the Southeastern Higher Education Student Symposium held at Vanderbilt University.

**John Clouse**, Owensboro CC, has been awarded a past president scholarship from the Indiana Society of Radiologic Technologists.

**Joan Dupont**, Owensboro CC, presented a paper on "The Inner Circle: Perceptions of Faculty Leadership," at the Southeastern Higher Education Student Symposium, Feb. 7-8 at Vanderbilt University.

**Kathy Fields**, Lexington CC, presented a paper "From Admission Through Orientation: Making the Process Easy," at the New Directions for Student Development Conference in South Carolina.

**Janice N. Friedel**, Lexington CC president, has been nominated to serve on the American Association of Community Colleges Board of Directors for 1997-1999 by the National Council for Research and Planning.

**Abraham Gharavi**, Hopkinsville CC, presented a workshop on teaching psychology at the 9th annual conference of Teaching of Psychology at Kennesaw State University.

Three College of Medicine faculty members have been appointed to national committees of the United States Medical Licensing Examination (USMLE). They are **Charles Griffith**, internal medicine; **Michael D. Hagen**, family practice medicine and **C. Darrell Jennings**, pathology and laboratory medicine.

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

**Linda Levstik**, curriculum and instruction, and former doctoral student and part-time instructor Keith Barton are authors of a new book, "Doing History: Investigating with Children in Elementary and Middle School," published by Erlbaum.

**Peter V. Lindeman**, Madisonville CC, is the recipient of a 1997 Chelonian Research Foundation Linnaeus Fund Turtle Research award.

**John Alan Main**, mechanical engineering, has received a National Aeronautics and Space Administration \$250,000 grant to design lightweight, inflatable structures that could reduce the cost of space missions.

**Ed Morris**, Owensboro CC, has an article in the February issue of Psychology Teacher's Network.

**Erla Mowbray**, Lexington CC, presented a paper at the Southeast Higher Education Student Symposium Feb. 8 at Vanderbilt University.

**Kathy Mowers**, Owensboro CC, has been elected president-elect of the Kentucky Council of Teachers of Mathematics (KCTM).

**Vipul Pareky**, Jefferson CC Downtown, received the Southern Society for Pediatric Research (SSPR) award, sponsored by Mead Johnson Nutritionals. His abstract on his research on diabetes was judged best in the SSPR's 1997 competition.

**Debbie Poelhuis**, Owensboro CC, is a candidate for the Education Chapter Delegate of the American Society of Radiologic Technologists (ASRT).

**Judy Rutledge**, Lexington CC, is a grant reader for new applications to the Interagency Task Force on Family Resource and Youth Services Centers, sponsored by the State Cabinet for Human Resources.

**Thomas J. Sabetta**, Jefferson CC, has been elected vice chair-elect of the community college section of the Speech Communication Association.

**Zhongwei Shen**, mathematics, has won the American Mathematical Society Centennial Research Fellowship.

**Dianne Siewert**, Henderson CC, received the Leader of Leaders award at the Kentucky Association of Nursing Students convention in Lexington.

**Paul Taylor**, Lexington CC, was installed as president of the Southern Association of Collegiate Registrars and Admissions Officers (SACRAO) at its 50th anniversary meeting in Louisville.

# PR 2

Office of the President  
April 1, 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. **ADMINISTRATIVE ACTION**

A. **ADMINISTRATIVE APPOINTMENTS**

**Vice President for Research and Graduate Studies**

Burgess, Patricia D., Interdisciplinary Human Development Institute,  
Disability Program Specialist IV, Interdisciplinary Human Development  
Institute, effective 3/3/97.

Lewis, Richard J., Interdisciplinary Human Development Institute, Disability  
Program Specialist IV, Interdisciplinary Human Development Institute,  
effective 2/10/97.

**COMMUNITY COLLEGE SYSTEM**

**I. BOARD ACTION**

**A. PROMOTIONS**

**Ashland Community College**

Besmark, Tracey, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Crum, Donna, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Elswick, Terri, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Karen Flannery, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Flouhouse, Steve, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Frye, Bettie, from Librarian III in the Community College System, to Librarian II in the Community College System (with tenure), 7/1/97.  
Swetnam, Mark, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.

**Elizabethtown Community College**

Hart, Judy, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Hornback, Carla, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Morgan, Darla, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Nussbaumer, David, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Stearns, Gary, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Williams, Richard, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.

**Hazard Community College**

Davison, Patrick, from Librarian III in the Community College System, to Librarian II in the Community College System (with tenure), 7/1/97.

Hoppe, John, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Holl, Richard, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Sizemore, Elizabeth, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Strong, Ella, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Terry, Homer, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Watts, Bernard, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.

Henderson Community College

Jackson, DeLisa, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Jones, Mary Jane, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Tutt, Doris, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.

Hopkinsville Community College

Baker, Judy, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Montgomery, Frank, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Pearson, Alissa, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Sandifer, Dana, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.

Jefferson Community College

Ashman, Allen, from Librarian III in the Community College System, to Librarian II in the Community College System (with tenure), 7/1/97.  
Chieffi, April, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Crawford, Candice, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.



Dockstader, Brita, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Duncan, Carol, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Ewing, Shirley, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Kaufman, Gerald, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Mattingly, Robert, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Sabetta, Thomas, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Stewart, James, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Stokes, Kevin, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Villiger, Martha, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.

#### Lexington Community College

Austin, Vincent, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Ball, Andrew, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Flanary, Patricia, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Hardwick, Donald, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Mullins, Larry M., from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Ripley, Michael B., from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Scott, John C., from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.

#### Madisonville Community College

Cook, Sandra, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
McLaughlin, Pamela, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.

Maysville Community College

Hamm, Mary Margo, from Librarian III in the Community College System, to Librarian II in the Community College System (with tenure), 7/1/97.

Owensboro Community College

Boyd, Vicki, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Wallace, Abby, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Yates, Deborah, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.

Paducah Community College

Akojie, Felix, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Jordan, Jeff, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Lindsay, Dennice, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Mandrell, Constance, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
McMullen, DeAnn, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Wolfrom, David, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.

Prestonsburg Community College

Mauk, Craighton, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Watts, Randall, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.

Somerset Community College

Allen, Valerie, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Barnes, Virgie, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.

Bolze, Wanda, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Grover, Alyce, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Hansel, Charles, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Sargent, Steven, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Stanton, Oris, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.

Southeast Community College

Cloud, Harriet, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Elliott, Richard, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
England-Breedlove, Rhonda, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Maciula, Terry, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Marcum, Joseph, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Omar, Saeb, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Scopa, Joseph, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Simpson, Astor, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Vaught, James, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.  
Wright, Edward, from Assistant Professor in the Community College System, to Associate Professor in the Community College System (with tenure), 7/1/97.

**II. ADMINISTRATIVE ACTION**

**A. ACADEMIC APPOINTMENTS**

Madisonville Community College

Diaz, L. A., Instructor in the Community College System (voluntary),  
3/1/97 through 8/21/98.  
Moriarty, Amie, Instructor in the Community College System (voluntary),  
3/1/97 through 8/21/98.

Paducah Community College

Mills, Angela M., Instructor in the Community College System (voluntary),  
3/3/97 through 3/2/00.

Morris, Russell A., Instructor in the Community College System (voluntary),  
3/3/97 through 3/2/00.

Somerset Community College

Armes, Kim, Instructor in the Community College System (voluntary),  
3/5/97 through 3/4/00.

Davis, Marianna N., Instructor in the Community College System (voluntary),  
3/5/97 through 3/4/00.

Jackson, Amy L., Instructor in the Community College System (voluntary),  
3/5/97 through 3/4/00.

Jones, Cynthia, Instructor in the Community College System (voluntary),  
4/2/97 through 4/1/00.

Pillow, Linda, Instructor in the Community College System (voluntary),  
3/5/97 through 3/4/00.

Speck, F. Elizabeth, Instructor in the Community College System (voluntary),  
4/2/97 through 4/1/00.

Turner, Debra S., Instructor in the Community College System (voluntary),  
3/5/97 through 3/4/00.

West, Kathleen K., Instructor in the Community College System (voluntary),  
3/5/97 through 3/4/00.

**B. ADMINISTRATIVE APPOINTMENTS**

Office of the Chancellor

O'Daniel, Carolyn, Professor in the Community College System (with tenure),  
appointed Community College Program Planning & Development  
Coordinator, effective 6/1/97.

**C. REAPPOINTMENTS**

Paducah Community College

Gutfreund, Mark J., Instructor in the Community College System (voluntary),  
4/1/97 through 3/31/00.

Harris, Tamma, Instructor in the Community College System (voluntary),  
3/3/97 through 3/2/00.

McIntosh, Jeff, Instructor in the Community College System (voluntary),  
3/3/97 through 3/2/00.

Somerset Community College

Blanton, Ruth, Instructor in the Community College System (voluntary),  
3/5/97 through 3/4/00.

Bullock, Larry, Instructor in the Community College System (voluntary),  
3/5/97 through 3/4/00.

Burton, Terry, Instructor in the Community College System (voluntary),  
3/5/97 through 3/4/00.

Dowell, Sandra, Instructor in the Community College System (voluntary),  
3/5/97 through 3/4/00.

Phelps, Shelley, Instructor in the Community College System (voluntary),  
3/5/97 through 3/4/00.

**D. LEAVES OF ABSENCE**

Lexington Community College

Hollingsworth, Randolph, Associate Professor in the Community College  
System (with tenure), sabbatical leave at one-half salary, 7/1/97 through  
6/30/98.

**LEXINGTON CAMPUS**

**I. BOARD ACTION**

**A. ADMINISTRATIVE APPOINTMENTS**

**College of Arts and Sciences**

Mingst, Karen, Professor (with tenure), Political Science, and Chair, Political Science, reappointed Chair, Political Science, 7/1/97 through 6/30/01.

Rabel, Robert J., Associate Professor (with tenure), Classics, appointed Chair, Classics, 7/1/97 through 6/30/01.

**College of Engineering**

Toussaint, Paul E., appointed Director, Kentucky Transportation Center, effective 4/3/97.

**B. REAPPOINTMENTS**

**College of Agriculture**

Cothran, E. Gus, Associate Research Professor, Veterinary Science, 7/1/97 through 6/30/98.

Mikel, William Benjamin, Associate Extension Professor, Animal Sciences, 7/1/97 through 6/30/98.

Scharko, Patricia B., Associate Extension Professor, Veterinary Science, 7/1/97 through 6/30/98.

Wiedenbeck, Janice K., Associate Professor, Forestry, 7/1/97 through 6/30/98.

**C. RETIREMENTS**

**Vice Chancellor for Administration**

Hall, James C., Building Operator Supervisor, Building Operators, Physical Plant Division, after 28 consecutive years of service, under Section III.B of AR II-1.6-1, effective 2/28/97.

McQuery, Gene A., Disabled Staff, Employee Benefits, Physical Plant Division, after 17.5 consecutive years of service, under Section III.B of AR II-1.6-1, effective 3/31/97.

**D. EARLY RETIREMENTS**

**Vice Chancellor for Administration**

Jackson, Vivian W., Food Service Supervisor, Blazer Cafeteria, Auxiliary Services, after 28.4 consecutive years of service, under Section III.A.2 of AR II-1.6-1, effective 5/9/97.

Popham, Franklin T., Cook/Baker III, Blazer Cafeteria, Auxiliary Services, after 16.75 consecutive years of service, under Section III.A.2 of AR II-1.6-1, effective 5/9/97.

**E. POST-RETIREMENT APPOINTMENTS**

College of Agriculture

Herron, James, Agronomy Specialist (part-time), Agronomy, 7/1/97 through 6/30/98.

King, Granville, Technical Paraprofessional (part-time), Cooperative Extension Service, 7/1/97 through 11/30/97.

Marshall, Andrew, Laborer (part-time), Forestry, 7/1/97 through 6/30/98.

Morrison, Mason, Special Program Coordinator (part-time), Forestry, 7/1/97 through 6/30/98.

Parks, Eula, Administrative Assistant (part-time), Agricultural Administration, 7/1/97 through 6/30/98.

Stevens, Raymond R., Technical Technician (part-time), Agronomy, 7/1/97 through 6/30/98.

College of Engineering

Funk, James E., Professor (part-time), Mechanical Engineering, 7/1/97 through 6/30/98.

Vice Chancellor for Administration

Hall, James C., Building Operator (part-time), Building Operators, Physical Plant Division, 3/17/97 through 6/30/97.

**F. POST-RETIREMENT APPOINTMENT CHANGE**

College of Agriculture

King, Granville, Technical Paraprofessional (part-time), Cooperative Extension Service, to change post-retirement date from 3/1/97 through 11/30/97, to 3/1/97 through 6/30/97.

**II. ADMINISTRATIVE ACTION**

**A. ACADEMIC APPOINTMENTS**

College of Agriculture

Thompson, James A., Assistant Professor, Agronomy, 5/1/97 through 6/30/98.

Williams, David W., Assistant Professor, Agronomy, 5/1/97 through 6/30/98.

College of Communications and Information Studies

Lane, Derek R., Assistant Professor\*, Communication, 8/16/97 through 6/30/98.

College of Education

Jensen, Jane McEldowney, Assistant Professor, Educational Policy Studies and Evaluation, 7/1/97 through 6/30/98.

College of Fine Arts

Bratton, Thomas L., Instructor (part-time), Music, 1/1/97 through 5/31/97.

Burgess, Phillipa E., Instructor (part-time), Music, 1/1/97 through 5/31/97.

McVay, Vicki, Instructor (part-time), Music, 1/1/97 through 5/31/97.

Witt, Ruth, Instructor (part-time), Music, 1/1/97 through 5/31/97.

**B. ADMINISTRATIVE APPOINTMENT**

College of Arts and Sciences

Sands, Donald E., Professor (with tenure), Chemistry, and Chair, Chemistry, appointed Acting Dean, College of Arts and Sciences, 4/1/97 through 3/31/98.

**C. JOINT APPOINTMENT**

College of Arts and Sciences

Hogstrand, Christer, Assistant Professor, Biological Sciences, joint appointment as Assistant Professor, Toxicology, Graduate School, Medical Center, 7/1/97 through 6/30/98.

**D. JOINT REAPPOINTMENT**

College of Agriculture

Samson, Scott A., Assistant Extension Professor, Sociology, joint reappointment as Assistant Extension Professor, Horticulture and Landscape Architecture, 7/1/97 through 6/30/98.

**E. REAPPOINTMENTS**

College of Agriculture

Antonious, George F., Adjunct Assistant Professor, Horticulture and Landscape Architecture, 7/1/97 through 6/30/98.

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\* Special Title Series



- Arthur, Mary A., Assistant Professor, Forestry, 7/1/97 through 6/30/98.
- Barney, Robert J., Adjunct Assistant Professor, Entomology, 7/1/97 through 6/30/98.
- Bastin, Sandra P., Assistant Extension Professor, Home Economics Extension, 7/1/97 through 6/30/98.
- Boatright, William L., Assistant Professor, Animal Sciences, 7/1/97 through 6/30/98.
- Boults, Elizabeth, Assistant Professor, Horticulture and Landscape Architecture, 7/1/97 through 6/30/98.
- Brown, David L., Assistant Professor, Forestry, 7/1/97 through 6/30/98.
- Byers, Matthew E., Adjunct Assistant Professor, Biosystems and Agricultural Engineering, 7/1/97 through 6/30/98.
- Carey, Daniel, Adjunct Assistant Professor, Biosystems and Agricultural Engineering, 7/1/97 through 6/30/98.
- Cline, Gary R., Adjunct Assistant Professor, Horticulture and Landscape Architecture, 7/1/97 through 6/30/98.
- Coffey, Richard D., Assistant Extension Professor, Animal Sciences, 7/1/97 through 6/30/98.
- Dwyer, Roberta, Assistant Professor, Veterinary Science, 7/1/97 through 6/30/98.
- Falcone, Deane L., Assistant Professor, Agronomy, 7/1/97 through 6/30/98.
- Farman, Mark L., Assistant Professor, Plant Pathology, 7/1/97 through 6/30/98.
- Gan, Susheng, Assistant Professor, Agronomy, 7/1/97 through 6/30/98.
- Graves, Kathryn, Assistant Research Professor, Veterinary Science, 7/1/97 through 6/30/98.
- Gray, Kim Ragland, Assistant Extension Professor, Agricultural Communications Services, 7/1/97 through 6/30/98.
- Hunt, Randy E., Adjunct Assistant Professor, Entomology, 7/1/97 through 6/30/98.
- Larson, Brian Thomas, Assistant Professor, Animal Sciences, 7/1/97 through 6/30/98.
- Layne, Desmond R., Adjunct Assistant Professor, Horticulture and Landscape Architecture, 7/1/97 through 6/30/98.
- Nokes, Sue E., Assistant Professor, Biosystems and Agricultural Engineering, 7/1/97 through 6/30/98.
- Pearce, Robert C., Assistant Extension Professor, Agronomy, 7/1/97 through 6/30/98.
- Perfect, Edmund, Assistant Professor, Agronomy, 7/1/97 through 6/30/98.
- Phillips, Timothy D., Assistant Professor, Agronomy, 7/1/97 through 6/30/98.
- Rieske-Kinney, Lynne K., Assistant Professor, Entomology, 7/1/97 through 6/30/98.
- Rowell, Albert Brent, Assistant Extension Professor, Horticulture and Landscape Architecture, 7/1/97 through 6/30/98.
- Samson, Scott A., Assistant Extension Professor, Sociology, 7/1/97 through 6/30/98.

- Sedlacek, John D., Adjunct Assistant Professor, Entomology, 7/1/97 through 6/30/98.
- Sharkey, Michael J., Assistant Professor, Entomology, 7/1/97 through 6/30/98.
- Stringer, Jeffrey W., Assistant Extension Professor, Forestry, 7/1/97 through 6/30/98.
- Tidwell, James H., Adjunct Assistant Professor, Animal Sciences, 7/1/97 through 6/30/98.
- Vaillancourt, Lisa Jayne, Assistant Professor, Plant Pathology, 7/1/97 through 6/30/98.
- Wang, Changzheng, Adjunct Assistant Professor, Animal Sciences, 7/1/97 through 6/30/98.
- Weston, Paul A., Adjunct Assistant Professor, Entomology, 7/1/97 through 6/30/98.
- Williams, Neil M., Assistant Professor\*, Veterinary Science, 7/1/97 through 6/30/98.
- Woods, Timothy A., Assistant Extension Professor, Agricultural Economics, 7/1/97 through 6/30/98.
- Workman, Stephen R., Assistant Professor, Biosystems and Agricultural Engineering, 7/1/97 through 6/30/98.

College of Business and Economics

- Childs, Paul David, Assistant Professor, Management, 7/1/97 through 6/30/98.
- Folta, Timothy B., Assistant Professor, Management, 7/1/97 through 6/30/98.
- Goldman, Arthur H., Assistant Professor\*, Accountancy, 7/1/97 through 6/30/98.
- Hoyt, Gail Ann Mitchell, Assistant Professor\*, Economics, 7/1/97 through 6/30/98.
- Ott, Steve H., Assistant Professor, Management, 7/1/97 through 6/30/98.
- Ramsay, Robert J., Assistant Professor, Accountancy, 7/1/97 through 6/30/98.
- Schneck, Leonard Joseph, Assistant Professor, Management, 7/1/97 through 6/30/98.
- Thompson, Eric C., Assistant Research Professor, Economics, 7/1/97 through 6/30/98.

College of Education

- Anderman, Eric M., Assistant Professor\*, Educational and Counseling Psychology, 7/1/97 through 6/30/98.
- Arrington, Harriette J., Assistant Professor\*, Curriculum and Instruction, 7/1/97 through 6/30/98.
- Chard, Kathleen M., Assistant Professor, Educational and Counseling Psychology, 7/1/97 through 6/30/98.

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\* Special Title Series

- Ford, Harriett H., Assistant Professor, Educational and Counseling Psychology, 7/1/97 through 6/30/98.
- Grisham-Brown, Jennifer, Assistant Research Professor, Special Education and Rehabilitation Counseling, 7/1/97 through 6/30/98.
- Harley, Debra A., Assistant Professor, Special Education and Rehabilitation Counseling, 7/1/97 through 6/30/98.
- Lahm, Elizabeth A., Assistant Professor, Special Education and Rehabilitation Counseling, 7/1/97 through 6/30/98.
- Logan, Joyce P., Assistant Professor, Administration and Supervision, 7/1/97 through 6/30/98.
- MacMann, Gregg M., Assistant Professor, Educational and Counseling Psychology, 7/1/97 through 6/30/98.
- Moore, Sara Delano, Assistant Professor, Curriculum and Instruction, 7/1/97 through 6/30/98.
- Okorley, Emmanuel T., Assistant Professor, Educational Policy Studies and Evaluation, 7/1/97 through 6/30/98.
- Scott, Terrance, Assistant Professor, Special Education and Rehabilitation Counseling, 7/1/97 through 6/30/98.
- Spalding, Mary Elizabeth, Assistant Professor, Curriculum and Instruction, 7/1/97 through 6/30/98.
- Taylor, Lucian B., Assistant Professor\*, Kinesiology and Health Promotion, 7/1/97 through 6/30/98.
- Tice, Karen W., Assistant Professor\*, Educational Policy Studies and Evaluation, 7/1/97 through 6/30/98.
- Wright, Lynda Brown, Assistant Professor, Educational and Counseling Psychology, 7/1/97 through 6/30/98.

#### College of Fine Arts

- Beavers, Clyde E., Instructor (part-time), Music, 1/1/97 through 5/31/97.
- Hoffman, Dorotea, Instructor (part-time), Music, 1/1/97 through 5/31/97.
- Nelson, Lawrence, Instructor (part-time), Music, 1/1/97 through 5/31/97.
- Owens, Susan M., Instructor (part-time), Music, 1/1/97 through 5/31/97.

#### College of Human Environmental Sciences

- Jones, Jean H., Instructor (voluntary), Nutrition and Food Science, 4/1/97 through 6/30/99

### F. **TERMINAL REAPPOINTMENT**

#### College of Business and Economics

- Keep, William W., Assistant Professor, Management, 7/1/97 through 6/30/98.

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\* Special Title Series

**G. LEAVES OF ABSENCE**

College of Agriculture

Swanson, Louis, Professor (with tenure), Sociology, Sabbatical leave with half salary, 7/1/97 through 6/30/98.

College of Education

Atwood, Ronald K., Professor (with tenure), Curriculum and Instruction, Sabbatical leave with full salary, 1/1/98 through 6/30/98.

Davis-Nordin, Virginia, Associate Professor (with tenure), Educational Policy Studies and Evaluation, Sabbatical leave with full salary, 1/1/98 through 6/30/98.

College of Engineering

Stamatiadis, Nick, Associate Professor (with tenure), Civil Engineering, Sabbatical leave with full salary, 7/1/97 through 12/31/97.

**MEDICAL CENTER**

**I. BOARD ACTION**

**A. ACADEMIC APPOINTMENTS**

**College of Medicine**

Coleman, Richard J., Clinical Assistant Professor, Diagnostic Radiology, 7/1/97 through 6/30/98.

Hutchison, Alastair A., Professor (without tenure), Pediatrics, 4/2/97 through 4/1/98.

Park, Adrian, Associate Professor\* (without tenure), Surgery, 4/2/97 through 6/30/97.

**B. ADMINISTRATIVE REAPPOINTMENTS**

**College of Medicine**

Stapczynski, Joseph S., Associate Professor\*, Emergency Medicine, named Chair, Department of Emergency Medicine, 4/2/97 through 8/31/99.

**C. REAPPOINTMENTS**

**College of Dentistry**

Armentrout, Timothy M., Clinical Associate Professor, Oral Health Practice, 7/1/97 through 6/30/00.

Beckner, Archie W., Associate Professor (voluntary), Oral Health Practice, 7/1/97 through 6/30/00.

Blair, Herman A., Associate Professor (voluntary), Oral Health Practice, 7/1/97 through 6/30/00.

Cruise, Sidney E., Associate Professor (voluntary), Oral Health Practice, joint appointment as Associate Professor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Henry, Robert G., Associate Professor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Kaplan, Alan L., Associate Adjunct Professor, Oral Health Science, 7/1/97 through 6/30/98.

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\*Special Title Series

Lenox, John A., Associate Professor (voluntary), Oral Health Practice, 7/1/97 through 6/30/00.

McConnell, Thomas A., Clinical Associate Professor, Oral Health Practice, 7/1/97 through 6/30/00.

Ownby, Harold, Associate Professor (voluntary), Oral Health Practice, joint appointment as Associate Professor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

#### College of Medicine

Barton, Donald C., Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Barton, Paul B., Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Bowe, Edwin A., Associate Professor\* (without tenure), Anesthesiology, 7/1/97 through 6/30/98.

Bright, Katherine L., Associate Professor (part-time), Pediatrics, 7/1/97 through 6/30/98.

Briscoe, C. W., Associate Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Burkhart, Robert C., Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Burkhart, William K., Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Buyalos, Richard P., Associate Professor (without tenure), Obstetrics and Gynecology, 7/1/97 through 6/30/98.

Clawson, D. K., Clinical Professor, Surgery, 7/1/97 through 6/30/98.

de Leon, Jose, Associate Professor (without tenure), Psychiatry, 7/1/97 through 6/30/98.

Edelstein, Stephen G., Professor (voluntary), Internal Medicine, joint appointment as Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Eng, Erling W., Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Farley, Claude H., Associate Professor (voluntary), Internal Medicine, joint appointment as Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Ferrell, James L., Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Fisher, Norman, Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Foley, William S., Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

- French, Daniel L., Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Gerard, Paul, Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Gerson, Kenneth L., Associate Professor (part-time), Pediatrics, 7/1/97 through 6/30/98.
- Goldstein, Steven J., Associate Professor (voluntary), Diagnostic Radiology, 7/1/97 through 6/30/00.
- Granacher, Robert P., Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Green, Steven D., Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Halmi, Katherine, Professor (part-time), Psychiatry, 7/1/97 through 6/30/98.
- Jalalon, Seigfred, Associate Professor (voluntary), Emergency Medicine, 7/1/97 through 6/30/00.
- Kearl, Gary W., Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Kibler, W. B., Associate Professor (voluntary), Family Practice, joint appointment as Associate Professor (voluntary), Physical Medicine and Rehabilitation, 7/1/97 through 6/30/00.
- Littleton, John M., Professor (part-time), Pharmacology, 7/1/97 through 6/30/98.
- Maguire, Grace F., Associate Professor (part-time), Pediatrics, 7/1/97 through 6/30/98.
- Martin, Lowell D., Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Maxson, William T., Associate Professor (voluntary), Internal Medicine, joint appointment as Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- McKeown, John W., Clinical Associate Professor, Internal Medicine, 7/1/97 through 6/30/98.
- Miller, Jon W., Associate Professor (voluntary), Emergency Medicine, 7/1/97 through 6/30/00.
- Miller, Ralph, Clinical Associate Professor, Internal Medicine, 7/1/97 through 6/30/98.
- Moosnick, Franklin B., Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Ngai, Bernard C., Clinical Associate Professor, Internal Medicine, 7/1/97 through 6/30/98.
- Pohl, Stephen L., Associate Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

- Pratt, William D., Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Prunty, Marshall E., Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Purcell, Marguerite, Associate Adjunct Professor, Diagnostic Radiology, 7/1/97 through 6/30/98.
- Raitiere, Colin, Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Rakes, James A., Associate Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00
- Ralph, Donald E., Clinical Professor, Psychiatry, joint appointment as Clinical Professor, College of Arts and Sciences, Department of Psychology, 7/1/97 through 6/30/98.
- Reeb, Arvil C., Associate Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00
- Ruth, Douglas D., Associate Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Shraberg, David, Associate Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Sills, James G., Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Simmons, Guy H., Professor (part-time), Diagnostic Radiology, 7/1/97 through 6/30/98.
- Smith, Paul R., Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Steger, Herbert G., Clinical Associate Professor, Anesthesiology, 7/1/97 through 6/30/98.
- Stephens, Don R., Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Stumbo, W. G., Associate Professor (voluntary), Family Practice, joint appointment as Associate Professor (voluntary), Preventive Medicine and Environmental Health, 7/1/97 through 6/30/00.
- Swikert, Nancy C., Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Thraikill, Kathryn M., Associate Professor (without tenure), Pediatrics, 7/1/97 through 6/30/98.
- Vandenbrink, Keith D., Clinical Associate Professor, Surgery, 7/1/97 through 6/30/98.
- Waid, Thomas H., Clinical Associate Professor, Internal Medicine, 7/1/97 through 6/30/98.
- Weitzel, William D., Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.



Wayne, Thomas F., Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Williams, Kimberly D., Associate Professor (voluntary), Emergency Medicine, 7/1/97 through 6/30/00.

Wolf, Betty I., Clinical Associate Professor, Pediatrics, 7/1/97 through 6/30/98.

Womack, Glenn R., Associate Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Young, Thomas L., Clinical Associate Professor, Pediatrics, 7/1/97 through 6/30/98.

#### **D. TENURE**

##### College of Medicine

Maxwell, Alan J., Associate Professor\* (without tenure), Family Practice, to Associate Professor\* (with tenure), Family Practice, effective 7/1/97.

#### **E. PROMOTIONS**

##### College of Medicine

Andrykowski, Michael A., Associate Professor (with tenure), Behavioral Science, joint appointment as Associate Professor (without tenure), College of Arts and Sciences, Department of Psychology, to Professor (with tenure), Behavioral Science, joint appointment as Professor (without tenure), College of Arts and Sciences, Department of Psychology, effective 7/1/97.

#### **F. CHANGES**

##### College of Medicine

Mankad, Aparna V., from Associate Professor (part-time), Anesthesiology, to Clinical Associate Professor, Anesthesiology, 4/2/97 through 6/30/97.

Pan, Bin-Tao, from Associate Professor (with tenure), Surgery, joint appointment as Associate Professor, Microbiology and Immunology, effective 1/1/97, to Associate Professor (with tenure), Surgery, joint appointment as Associate Professor, Microbiology and Immunology, effective 2/15/97.

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\*Special Title Series

## G. EARLY RETIREMENTS

### College of Medicine

Powell, Deborah E., Professor (with tenure), Pathology and Laboratory Medicine, , after 21.25 consecutive years of service, under AR II-1.6-1 Section III.A.2, effective 4/15/97.

## H. POST-RETIREMENT APPOINTMENTS

### College of Medicine

Fischer, Doane, Professor (part-time), Pediatrics, 7/1/97 through 6/30/98.

Kraus, Robert F., Professor (part-time), Psychiatry, 7/1/97 through 6/30/98.

## II. ADMINISTRATIVE ACTION

### A. ACADEMIC APPOINTMENTS

#### College of Allied Health Professions

Brown, Margaret G., Instructor (voluntary), Clinical Sciences, 7/1/97 through 6/30/00.

Courtade, Daniel J., Assistant Professor (voluntary), Health Services, 4/2/97 through 6/30/97.

Daniel, Warren A., Assistant Professor (voluntary), Health Services, 4/2/97 through 6/30/97.

Fleming, Peter A., Assistant Professor (voluntary), Health Services, 4/2/97 through 6/30/97.

Glaser, Christopher C., Assistant Professor (voluntary), Health Services, 7/1/97 through 6/30/00.

Harris, John M., Assistant Professor (voluntary), Health Services, 4/2/97 through 6/30/97.

Hiller, A. J., Assistant Professor (voluntary), Health Services, 4/2/97 through 6/30/97.

Honaker, Bryan M., Assistant Professor (voluntary), Health Services, 7/1/97 through 6/30/00.

Howe, W. R., Assistant Professor (voluntary), Health Services, 7/1/97 through 6/30/00.

Kassman, Lawrence, Assistant Professor (voluntary), Health Services, 4/2/97 through 6/30/97.

KharaI, Mubashar S., Assistant Professor (voluntary), Health Services,  
7/1/97 through 6/30/00.  
Lea, Gerald A., Assistant Professor (voluntary), Health Services,  
4/2/97 through 6/30/97.  
Lowrey, Charles, Assistant Professor (voluntary), Health Services,  
7/1/97 through 6/30/00.  
Nestor, David E., Instructor (voluntary), Clinical Sciences, 7/1/97  
through 6/30/00.  
Sachatello, Charles R., Assistant Professor (voluntary), Health  
Services, 4/2/97 through 6/30/97.  
Shearer, G. R., Assistant Professor (voluntary), Health Services, 4/2/97  
through 6/30/97.  
Troutman, Adrianna L., Instructor (voluntary), Clinical Sciences,  
7/1/97 through 6/30/00.

College of Medicine

Agtarap, Cesar, Assistant Professor (voluntary), Family Practice,  
4/2/97 through 6/30/97.  
Ahsan, Jiaul, Assistant Professor (voluntary), Family Practice, 4/2/97  
through 6/30/97.  
Anand, Ashwini R., Assistant Professor (voluntary), Internal  
Medicine, 4/2/97 through 6/30/97.  
Bush, David K., Assistant Professor (voluntary), Internal Medicine,  
4/2/97 through 6/30/97.  
Franklin, Eugene H., Assistant Professor (voluntary), Emergency  
Medicine, 4/2/97 through 6/30/97.  
Ison, Charles G., Assistant Professor (voluntary), Pediatrics, 4/2/97  
through 6/30/97.  
Kunkel, Janice M., Assistant Adjunct Professor, Pediatrics, 4/2/97  
through 6/30/97.  
MacKinney, Theodore G., Instructor (voluntary), Family Practice,  
4/2/97 through 6/30/97.  
Makhija, Vinod, Assistant Professor (voluntary), Internal Medicine,  
4/2/97 through 6/30/97.  
Mamauag, Gilbert, Assistant Professor (voluntary), Family Practice,  
4/2/97 through 6/30/97.  
Mangun, Jennie, Assistant Professor (voluntary), Pediatrics, 4/2/97  
through 6/30/97.  
Meegan, William J., Assistant Professor (voluntary), Psychiatry,  
4/2/97 through 6/30/97.  
Nyland, John A., Assistant Research Professor, Surgery, 4/2/97  
through 6/30/97.

O'Reilly, David J., Assistant Professor (voluntary), Internal Medicine, 4/2/97 through 6/30/97.

Pica, Suzanne, Assistant Professor (voluntary), Internal Medicine, 4/2/97 through 6/30/97.

Reddy, Devender S., Assistant Professor (voluntary), Family Practice, 4/2/97 through 6/30/97.

Strunk, Danny J., Assistant Adjunct Professor, Pediatrics, 4/2/97 through 6/30/97.

Vazquez, Emilio J., Assistant Professor (voluntary), Family Practice, 4/2/97 through 6/30/97.

Wallace, Carmel, Assistant Adjunct Professor, Pediatrics, 4/2/97 through 6/30/97.

Weigel, Christian F., Assistant Professor (voluntary), Internal Medicine, 4/2/97 through 6/30/97.

Weigel, Nancy S., Assistant Professor (voluntary), Family Practice, 4/2/97 through 6/30/97.

Williams, Karen, Assistant Professor (voluntary), Diagnostic Radiology, 7/1/97 through 6/30/00.

#### College of Nursing

Burd, Vanessa, Instructor (part-time), 4/1/97 through 6/30/97.

#### College of Pharmacy

Adkins, Jody B., Instructor (voluntary), 4/2/97 through 6/30/97.

Cohron, Peter P., Instructor (voluntary), 4/2/97 through 6/30/97.

Ford, Kimbal D., Assistant Adjunct Professor, 4/1/97 through 6/30/97.

Hart, Lisa M., Assistant Adjunct Professor, 4/1/97 through 6/30/97.

McMahan, Matthew E., Assistant Adjunct Professor, 4/1/97 through 6/30/97.

### **B. JOINT APPOINTMENTS**

#### College of Allied Health Professions

Vaezy, Abdi, Assistant Professor (voluntary), Health Services, joint appointment as Assistant Professor (voluntary), College of Medicine, Department of Internal Medicine, 4/2/97 through 6/30/97.

#### College of Medicine

Swanson, Hollie I., Assistant Professor, Pharmacology, joint appointment as Assistant Professor, Research and Graduate Studies, Graduate Center for Toxicology, 7/1/97 through 6/30/98.

College of Pharmacy

Rogers, Thea Y., Clinical Assistant Professor, joint appointment as Clinical Assistant Professor, College of Medicine, Department of Psychiatry, 4/1/97 through 6/30/97.

**C. REAPPOINTMENTS**

College of Dentistry

Adkins, Robert S., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Anderson, Steven A., Assistant Professor (voluntary), Oral Health Practice, 7/1/97 through 6/30/00.

Armstrong, Paul J., Assistant Professor (voluntary), Oral Health Practice, 7/1/97 through 6/30/00.

Bartlett, Katherine A., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Boian, Jerry L., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Bowman, Larry R., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Brown, Carrie B., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Campbell, Roger D., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Child, Michael E., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Clay, Jane B., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Clements, John H., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Dixon, Mansfield, Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Fortney, Homer R., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Gross, Michael L., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Hamm, Robert C., Assistant Professor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Haney, Charlotte, Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Huffman, Eric F., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Humphrey, Sue P., Assistant Professor\*, Oral Health Practice, 7/1/97 through 6/30/98.

Ison, Thomas G., Clinical Assistant Professor, Oral Health Practice, 7/1/97 through 6/30/00.

Kendrick, Frank, Assistant Professor\*, Oral Health Practice, 7/1/97 through 6/30/98.

Knight, Judson M., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Kupp, Leo I., Assistant Professor, Oral Health Practice, 7/1/97 through 6/30/98.

Mason, John I., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Morgan, Earlene F., Assistant Professor (voluntary), Oral Health Practice, 7/1/97 through 6/30/00.

Myers, W. M., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Nudd, Terrence, Instructor (voluntary), Oral Health Practice, 7/1/97 through 6/30/00.

Palmore, Leigh H., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Seaver, Daniel C., Assistant Adjunct Professor, Oral Health Science, 7/1/97 through 6/30/98.

Smith, Marlene K., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Smith, Walter H., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Steckler, Munro, Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Stovall, Jerry L., Assistant Professor (voluntary), Oral Health Practice, 7/1/97 through 6/30/00.

Templeton, Angela L., Clinical Assistant Professor, Oral Health Practice, 7/1/97 through 6/30/98.

Theiss, B. L., Clinical Assistant Professor, Oral Health Science, 7/1/97 through 6/30/98.

Thompson, Harry, Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

Torbeck, Ellen C., Instructor (voluntary), Oral Health Science, 7/1/97 through 6/30/00.

College of Medicine

Abram, Mark A., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Abu Kwaik, Yousef, Assistant Professor, Microbiology and Immunology, 7/1/97 through 6/30/98.

Adams, Thomas M., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Adkins, Henry G., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Agtarap, Cesar, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Ahsan, Jiaul, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Akin, James W., Assistant Professor (voluntary), Obstetrics and Gynecology, 7/1/97 through 6/30/00.

Al-Tawil, Youhanna S., Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.

Allison, Roberta L., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Anderson, William B., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Andres, Douglas A., Assistant Professor, Biochemistry, 7/1/97 through 6/30/98.

Arden, Warwick A., Assistant Professor, Surgery, joint appointment as Assistant Professor, Physiology, 7/1/97 through 6/30/98.

Aroon, Javali B., Assistant Professor (part-time), Psychiatry, 7/1/97 through 6/30/98.

Ashburn, William T., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Back, W. D., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Bacon, William G., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Bailey, Mark E., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Bailey, Rogers Q., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Bailey, W. Clark I., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Baker, Karen S., Assistant Professor (part-time), Diagnostic Radiology, 7/1/97 through 6/30/98.

Balthrop, John E., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Barnhill, John, Clinical Assistant Professor, Psychiatry, 7/1/97 through 6/30/98.

Bartholomew, Kenneth K., Assistant Professor (voluntary), Diagnostic Radiology, 7/1/97 through 6/30/00.

Barton, John R., Assistant Professor (voluntary), Obstetrics and Gynecology, 7/1/97 through 6/30/00.

Becknell, William E., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Belanger, John S., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Bell, Henry R., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Black, W. S., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Blackmon, LeeAnn, Clinical Assistant Professor, Psychiatry, joint appointment as Clinical Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.

Blake, Suzanne M., Clinical Assistant Professor, Family Practice, 7/1/97 through 6/30/98.

Botto, Juan-Manuel A., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Bowers, Timothy K., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Boyd, Mark A., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Breeding, Van S., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Brenzel, Allen J., Assistant Professor\*, Psychiatry, joint appointment as Assistant Professor\*, Pediatrics, 7/1/97 through 6/30/98.

Brown, Daniel C., Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.

Bunge, Robert J., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Burchett, Thomas J, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Burns, Larry C., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Burress, Susan M., Instructor (voluntary), Obstetrics and Gynecology, 7/1/97 through 6/30/00.



- Bush, Moria N., Clinical Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.
- Bushey, Harold L., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Cadle, Ronald G., Adjunct Instructor, Pediatrics, 7/1/97 through 6/30/98.
- Caldwell, Charles E., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Campbell, Jeffrey P., Assistant Professor, Surgery, 7/1/97 through 6/30/98.
- Carmona, Juan J., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Carnero, Reynaldo A., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Carter, Lee D., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Casey, Baretta R., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Cavanaugh, Cheryl L., Clinical Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.
- Chandarana, Jyotin V., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Cheever, Todd R., Assistant Professor\*, Psychiatry, 7/1/97 through 6/30/98.
- Chua, Manuel O., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Clark, Hollis J., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Clayman, Marty S., Clinical Assistant Professor, Anesthesiology, joint appointment as Clinical Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.
- Colbert, Ann L., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Coleman, Larry B., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Coleman, Royce D., Assistant Professor (voluntary), Emergency Medicine, 7/1/97 through 6/30/00.
- Collard, Nga N., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Collins, Rebecca L., Assistant Professor\*, Pediatrics, 7/1/97 through 6/30/98.
- Collins, Ricky E., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

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\*Special Title Series

- Cook, Charles E., Instructor (voluntary), Obstetrics and Gynecology, 7/1/97 through 6/30/00.
- Cooley, Andrew T., Assistant Professor, Psychiatry, 7/1/97 through 6/30/98.
- Cooper, J. G., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Cooper, William, Assistant Professor (voluntary), Diagnostic Radiology, 7/1/97 through 6/30/00.
- Copley, Robert W., Instructor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Corales, Enedino R., Clinical Assistant Professor, Psychiatry, 7/1/97 through 6/30/98.
- Cornelius, Kimberly, Assistant Professor (voluntary), Internal Medicine, joint appointment as Assistant Professor (voluntary), Pediatrics, 7/1/97 through 6/30/00.
- Cost, Guinn S., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Cowles, Mary B., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Cox, Stephen M., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Coyne, Carolyn M., Assistant Professor\*, Pathology and Laboratory Medicine, 7/1/97 through 7/14/97.
- Cronin, John D., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Cropper, Wendy G., Instructor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Culbertson, Robert, Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Cummings, Michael L., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Cunha, Christine D., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Curd, Bryan T., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- D'Angelo, Sandra L., Clinical Assistant Professor, Pediatrics, joint appointment as Clinical Assistant Professor, Behavioral Science, 7/1/97 through 6/30/98.
- Dalmeida, Rebecca E., Assistant Professor, Anesthesiology, 7/1/97 through 6/30/98.
- Davis, William, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

deCastro, Fernando R., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Degnore, Lisa T., Assistant Professor, Surgery, 7/1/97 through 6/30/98.

Delapena, David H., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Deroo, Carlene G., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Deroo, William M., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Dillman, D. G., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Dineen, Timothy E., Clinical Assistant Professor, Diagnostic Radiology, 7/1/97 through 6/30/98.

Dixon, Jonathan B., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Doepke, Robert H., Instructor (voluntary), Obstetrics and Gynecology, 7/1/97 through 6/30/00.

Dohn, Anita L., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Douglas, David W., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Drake, Robert G., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Duckworth, Geoffrey S., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Eastham, Mary L., Instructor (voluntary), Obstetrics and Gynecology, 7/1/97 through 6/30/00.

Eden, Michael W., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Egan, Peter T., Assistant Professor (voluntary), Emergency Medicine, 7/1/97 through 6/30/00.

Eldridge, Russell, Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Elliott, Robert E., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Ellis, Brian E., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Enlow, A. C., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Erdell, Mickey, Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Estus, Steven, Assistant Professor, Physiology, 7/1/97 through 6/30/98.

Etscheidt, Mark A., Clinical Assistant Professor, Anesthesiology, 7/1/97 through 6/30/98.

Fanti, Paolo, Assistant Professor, Internal Medicine, 7/1/97 through 6/30/98.

Festerling, Buddy K., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Fetter, James M., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Fields, Robia A., Clinical Assistant Professor, Psychiatry, 7/1/97 through 6/30/98.

Finch, Monte G., Instructor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Findley, Mary M., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Fisher, J. R., Assistant Professor, Surgery, 7/1/97 through 6/30/98.

Fowlkes, John L., Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.

Frederich, Robert C., Assistant Professor, Internal Medicine, 7/1/97 through 6/30/98.

Freer, John H., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Friedli, Judy A., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Gavin, Susan A., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Gehring, Samuel W., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

George, James D. B., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Gerhardstein, Joseph E., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Gevedon, Teresa G., Clinical Assistant Professor, Psychiatry, 7/1/97 through 6/30/98.

Gewirtz, Robert J., Assistant Professor, Surgery, 7/1/97 through 6/30/98.

Gilbert, James D., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Gohmann, John, Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Gonsalves, Wanda C., Clinical Assistant Professor, Family Practice, 7/1/97 through 6/30/98.

Goodwin, Peter D., Assistant Professor (voluntary), Emergency Medicine, 7/1/97 through 6/30/00.

- Gowdar, Paranjyothi R., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Graul, William J., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Grigsby, Charles G., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Grigsby, Donna J., Assistant Professor\*, Pediatrics, 7/1/97 through 6/30/98.
- Hadley, Robert W., Assistant Professor, Pharmacology, 7/1/97 through 6/30/98.
- Hale, Gregory A., Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.
- Halfhill, Harold L., Assistant Professor (voluntary), Diagnostic Radiology, 7/1/97 through 6/30/00.
- Hall, Hugh, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Hall, Thomas M., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Hardigree, Scott W., Assistant Professor, Anesthesiology, 7/1/97 through 6/30/98.
- Hardison, Barry G., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Harris, Bill H., Assistant Professor (voluntary), Internal Medicine, joint appointment as Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Harrison, John M., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Hartford, James M., Assistant Professor, Surgery, 7/1/97 through 6/30/98.
- Hartley, Dianna E., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Hashem, Abul, Assistant Adjunct Professor, Diagnostic Radiology, 7/1/97 through 6/30/98.
- Hawthorne, Jimmie D., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Haydon, Richard C., Clinical Assistant Professor, Surgery, 7/1/97 through 6/30/98.
- Hays, David J., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Heinss, Karl F., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Hempel, Richard J., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

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\*Special Title Series

- Hermes, Ralph A., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Herring, Helen M., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Hester, Paul L., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Hicks, Lee, Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Hicks, Lewis P., Assistant Professor (voluntary), Obstetrics and Gynecology, 7/1/97 through 6/30/00.
- Hightower, Edward, Assistant Adjunct Professor, Diagnostic Radiology, 7/1/97 through 6/30/98.
- Hill, Kelly K., Assistant Professor, Psychiatry, joint appointment as Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.
- Hodge, Robert W., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Hoffman, Phillip H., Instructor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Hoover, Gates E., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Huang, Michael H., Clinical Assistant Professor, Internal Medicine, 7/1/97 through 6/30/98.
- Hughes, Charles R., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Hughes, Robert C., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Hunt, Drema K., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Ingram, Thomas G., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Irwin, Leland J., Assistant Professor (part-time), Emergency Medicine, 7/1/97 through 6/30/98.
- Isley, Michael, Clinical Instructor, Anesthesiology, 7/1/97 through 6/30/98.
- Jackson, Billy J., Instructor (voluntary), Obstetrics and Gynecology, 7/1/97 through 6/30/00.
- James, Gary V., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Jenkins, Patrick F., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Jennings, Connie W., Clinical Assistant Professor, Internal Medicine, 7/1/97 through 6/30/98.

- Johnson, Teresa A., Assistant Professor (voluntary), Emergency Medicine, 7/1/97 through 6/30/00.
- Johnson, William M., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Johnston, Thomas D., Assistant Professor, Surgery, 7/1/97 through 6/30/98.
- Jonan, Aaron K., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Jones, Rilla K., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Kabir, Ekramul, Assistant Adjunct Professor, Diagnostic Radiology, 7/1/97 through 6/30/98.
- Kacki, Marta H., Clinical Assistant Professor, Diagnostic Radiology, 7/1/97 through 6/30/98.
- Katz, Debra A., Assistant Professor (part-time), Psychiatry, joint appointment as Assistant Professor (part-time), Neurology, 7/1/97 through 6/30/98.
- Katz, Wendy S., Assistant Professor, Biochemistry, 7/1/97 through 6/30/98.
- Kelley, James P., Instructor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Kelley, Ronald L., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Kennedy, Ray C., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Kenney, Charles M., Clinical Assistant Professor, Diagnostic Radiology, 7/1/97 through 6/30/98.
- Khan, Rizwan N., Instructor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- King, James C., Assistant Professor (voluntary), Diagnostic Radiology, 7/1/97 through 6/30/00.
- King, Joseph G., Clinical Assistant Professor, Diagnostic Radiology, 7/1/97 through 6/30/98.
- King, Richard G., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Kong-Sibal, Jeannette V., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Koszewski, Nicholas J., Assistant Professor, Internal Medicine, joint appointment as Assistant Professor, Pharmacology, 7/1/97 through 6/30/98.
- Koury, Shaheed I., Assistant Professor\*, Emergency Medicine, 7/1/97 through 6/30/98.

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\*Special Title Series

- Kregor, Janice M., Assistant Professor (part-time), Pediatrics, 7/1/97 through 6/30/98.
- Kriss, Vesna M., Assistant Professor, Diagnostic Radiology, joint appointment as Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.
- Kroeker, Karl A., Clinical Assistant Professor, Anesthesiology, 7/1/97 through 6/30/98.
- Kunkel, Janice M., Assistant Adjunct Professor, Pediatrics, 7/1/97 through 6/30/98.
- Kwolek, Christopher J., Assistant Professor, Surgery, 7/1/97 through 6/30/98.
- Lahr, Barbara A., Assistant Adjunct Professor, Diagnostic Radiology, 7/1/97 through 6/30/98.
- Lamb, Stephen, Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Lane, Richard L., Instructor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Larson, Thomas O., Assistant Adjunct Professor, Diagnostic Radiology, 7/1/97 through 6/30/98.
- Lear, Linda A., Clinical Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.
- Lee, Yung P., Instructor (voluntary), Obstetrics and Gynecology, 7/1/97 through 6/30/00.
- Lewis, Barnett, Assistant Professor (part-time), Pediatrics, 7/1/97 through 6/30/98.
- Lipovan, Mircea B., Assistant Professor (voluntary), Diagnostic Radiology, 7/1/97 through 6/30/00.
- Lobach, Augustinus J., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Lock, Richard, Clinical Assistant Professor, Anesthesiology, 7/1/97 through 6/30/98.
- Loudermilk, Frank H., Assistant Professor (voluntary), Emergency Medicine, 7/1/97 through 6/30/00.
- Loventhal, John P., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Luchtefeld, Daniel J., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Mamauag, Gilbert, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Maragos, William F., Assistant Professor, Neurology, joint appointment as Assistant Professor, Anatomy and Neurobiology, 7/1/97 through 6/30/98.



Marca, Sulpicia Y., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Marlowe, Wayne A., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Martin, Julia E., Assistant Professor\*, Emergency Medicine, 7/1/97 through 6/30/98.

Martin, Walter L., Assistant Professor (part-time), Psychiatry, 7/1/97 through 6/30/98.

Marwil, David J., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Matheny, Robert B., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Maynard, Lela C., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

McBrayer, Frank, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

McCaffrey, Francis M., Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.

McClintock, Timothy S., Assistant Professor, Physiology, 7/1/97 through 6/30/98.

McCormick, Thomas K., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

McLaughlin, Paul, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Meek, John R., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Melton, Gary J., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Middleton, James W., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Milan, Primo, Assistant Adjunct Professor, Diagnostic Radiology, 7/1/97 through 6/30/98.

Miller, James E., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Miller, John D., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Milligan, Douglas A., Assistant Professor, Obstetrics and Gynecology, 7/1/97 through 6/30/98.

Minor, G. I., Instructor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Mohler, Scott N., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

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\*Special Title Series

- Moore, Charles C., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Moore, Glenn I., Instructor (voluntary), Obstetrics and Gynecology, joint appointment as Instructor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Morales, Joselito B., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Morehead, Richard S., Assistant Professor\*, Internal Medicine, 7/1/97 through 6/30/98.
- Morris, Peter E., Assistant Professor, Internal Medicine, 7/1/97 through 6/30/98.
- Mullett, Timothy W., Assistant Professor, Surgery, 7/1/97 through 6/30/98.
- Munch, Larry C., Assistant Professor (part-time), Surgery, 7/1/97 through 6/30/98.
- Murad, Umar, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Murray, Shona C., Assistant Professor, Obstetrics and Gynecology, 7/1/97 through 6/30/98.
- Myers, Robert K., Assistant Professor (voluntary), Diagnostic Radiology, 7/1/97 through 6/30/00.
- Nelson, Christopher T., Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.
- Noe, George W., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Nolan, Timothy F., Assistant Adjunct Professor, Psychiatry, 7/1/97 through 6/30/98.
- O'Neill, Amy M., Assistant Professor (part-time), Psychiatry, 7/1/97 through 6/30/98.
- Ochoa, Juan B., Assistant Professor, Surgery, 7/1/97 through 6/30/98.
- Owens, Dennis L., Instructor (voluntary), Obstetrics and Gynecology, 7/1/97 through 6/30/00.
- Pajel, Concepcion M., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Park, Richard F., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Park, Woong K., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Park-Sarge, Ok-Kyong, Assistant Professor, Physiology, 7/1/97 through 6/30/98.
- Parrott, Mark L., Clinical Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.

Patterson, John A., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Penix, LaRoy P., Assistant Professor, Neurology, 7/1/97 through 6/30/98.

Phillips, Lenora H., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Porter, Nada M., Assistant Professor, Pharmacology, 7/1/97 through 6/30/98.

Poulos, Alex, Assistant Professor (voluntary), Diagnostic Radiology, 7/1/97 through 6/30/00.

Pratt, Gerald R., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Preston, Henry, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Pulmano, Calixto, Assistant Adjunct Professor, Diagnostic Radiology, joint appointment as Assistant Adjunct Professor, Neurology, 7/1/97 through 6/30/98.

Purdom, Barry N., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Raines, Paula M., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Raithatha, P. G., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Rastogi, Sanjeev, Assistant Professor, Internal Medicine, 7/1/97 through 6/30/98.

Rauh, Donald, Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Reddy, Devender S., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Reynolds, Glynn E., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Ricketts, II, Lee W., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Rigby, David B., Assistant Professor (voluntary), Diagnostic Radiology, 7/1/97 through 6/30/00.

Rivard, Cheryl R., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Roberts, Marvin D., Assistant Professor (voluntary), Emergency Medicine, 7/1/97 through 6/30/00.

Rodgers, David W., Assistant Professor, Biochemistry, 7/1/97 through 6/30/98.

Rogers, Leo F., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Rose, Gregory L., Clinical Assistant Professor, Anesthesiology, 7/1/97 through 6/30/98.

Ross, Robert F., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Russell, Larry J., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Ryan, Stephen J., Clinical Assistant Professor, Neurology, 7/1/97 through 6/30/98.

Saltz, James B., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Sampers, Jackie, Clinical Instructor, Pediatrics, 7/1/97 through 6/30/98.

Sanchez, Juan A., Assistant Professor, Surgery, 7/1/97 through 6/30/98.

Sanford, Okey H., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Sarge, Kevin D., Assistant Professor, Biochemistry, 7/1/97 through 6/30/98.

Sartori, Steven J., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Satin, Jonathan, Assistant Professor, Physiology, 7/1/97 through 6/30/98.

Sawaya, Boutros P., Assistant Professor\*, Internal Medicine, 7/1/97 through 6/30/98.

Scheib, Christopher M., Assistant Professor, Anesthesiology, 7/1/97 through 6/30/98.

Schneider, Cynthia A., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Schubert, Ronald, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Schultz, A. F., Assistant Professor (voluntary), Diagnostic Radiology, 7/1/97 through 6/30/00.

Scorsone, Ernesto, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Setler-Logan, Nona M., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Shearer, Mary E., Clinical Assistant Professor, Internal Medicine, 7/1/97 through 6/30/98.

Shirley, Pamela B., Assistant Professor (part-time), Psychiatry, 7/1/97 through 6/30/98.

Shook, Lori A., Clinical Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.

Shurling, Thomas L., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

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\*Special Title Series

- Sibal, Jose B., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Simpson, Mark T., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Slone, Kenneth M., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Smart, Eric J., Assistant Professor, Physiology, 7/1/97 through 6/30/98.
- Smith, Clifton, Assistant Professor (voluntary), Internal Medicine, joint appointment as Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Smith, John M., Assistant Professor (voluntary), Emergency Medicine, 7/1/97 through 6/30/00.
- Smith, Richard F., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Spencer, Audrey, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Spielmann, H. P., Assistant Professor, Biochemistry, joint appointment as Assistant Professor, Research and Graduate Studies, Graduate Center for Toxicology, 7/1/97 through 6/30/98.
- Spurlin, Mark A., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Steltenkamp, Carol L., Clinical Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.
- Stephenson, Joel C., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.
- Stigers, Kimberly B., Assistant Professor (part-time), Diagnostic Radiology, 7/1/97 through 6/30/98.
- Stodola, Edward M., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.
- Storey, Gayle S., Assistant Professor, Diagnostic Radiology, joint appointment as Assistant Professor, Surgery, 7/1/97 through 6/30/98.
- Strange, Michael W., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Straub, James G., Assistant Professor (part-time), Pediatrics, 7/1/97 through 6/30/98.
- Strauss, Jon M., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.
- Strottmann, James M., Assistant Professor, Diagnostic Radiology, 7/1/97 through 6/30/98.

Strunk, Danny J., Assistant Adjunct Professor, Pediatrics, 7/1/97 through 6/30/98.

Sullivan, Jean E., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Sun, Luzhe, Assistant Professor, Pharmacology, 7/1/97 through 6/30/98.

Sutherland, Ellen W., Clinical Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.

Svetich, David J., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Swanson, Hollie I., Assistant Professor, Pharmacology, 7/1/97 through 6/30/98.

Swiney, Patricia A., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Swope, Marian, Clinical Assistant Professor, Psychiatry, 7/1/97 through 6/30/98.

Tackett, Reva D., Instructor (voluntary), Obstetrics and Gynecology, 7/1/97 through 6/30/00.

Tate, Emmett, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Tate, Kelly S., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Taylor, Paul M., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Taylor, Robert F., Assistant Adjunct Professor, Physiology, 7/1/97 through 6/30/98.

Telle, Terri, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Thomas, James R., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Tobin, Stuart, Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Tovar, Getulio V., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Traughber, Sam H., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Travis, Robert J., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Trent, Robert C., Instructor (voluntary), Obstetrics and Gynecology, 7/1/97 through 6/30/00.

Trevathan, Edwin, Assistant Professor, Neurology, joint appointment as Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.

Ueland, Frederick R., Clinical Instructor, Obstetrics and Gynecology, 7/1/97 through 6/30/98.

Ulrich, Dennis, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Valentino, Joseph, Assistant Professor, Surgery, 7/1/97 through 6/30/98.

Van Bussum, Robert R., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Vanarthos, William J., Assistant Professor, Diagnostic Radiology, 7/1/97 through 6/30/98.

Vicher, Clarita V., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Vogelsang, Steve T., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Waldman, S. R., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Walker, John R., Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.

Walker, Robert, Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Wallace, Carmel, Assistant Adjunct Professor, Pediatrics, 7/1/97 through 6/30/98.

Warf, Benjamin C., Assistant Professor, Surgery, joint appointment as Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.

Watts, John M., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Weaver, Anthony D., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Webb, Nancy R., Adjunct Instructor, Internal Medicine, 7/1/97 through 6/30/98.

Wechman, Raymond, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Wegner, Douglas A., Assistant Professor, Surgery, 7/1/97 through 6/30/98.

Weigel, Joseph G., Assistant Professor (voluntary), Internal Medicine, 7/1/97 through 6/30/00.

Weiler, Sandford L., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Wells, Raymond D., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Wells, Sharon E., Clinical Assistant Professor, Emergency Medicine, 7/1/97 through 6/30/98.

Werner, Heinrich A., Assistant Professor, Pediatrics, 7/1/97 through 6/30/98.

Wheeler, William B., Instructor (voluntary), Obstetrics and Gynecology, 7/1/97 through 6/30/00.

White, Janet, Clinical Instructor, Anesthesiology, 7/1/97 through 6/30/98.

Whiteheart, Sidney W., Assistant Professor, Biochemistry, 7/1/97 through 6/30/98.

Whorley, Larry W., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Williams, Wayne E., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Winchester, Merrill A., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Wong, Chris, Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Wood, Earl C., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Woods, Sheila H., Assistant Professor\*, Pediatrics, 7/1/97 through 6/30/98.

Woolley, Robert B., Assistant Professor (voluntary), Psychiatry, 7/1/97 through 6/30/00.

Worthy, David A., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Wright, A. C., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Wrightson, Alan S., Clinical Assistant Professor, Family Practice, 7/1/97 through 6/30/98.

Wrightson, Michelle E., Clinical Assistant Professor, Internal Medicine, 7/1/97 through 6/30/98.

Wu, Donghai, Assistant Professor, Biochemistry, 7/1/97 through 6/30/98.

Young, Thomas, Assistant Professor, Anesthesiology, 7/1/97 through 6/30/98.

Young, William F., Assistant Professor\*, Emergency Medicine, 7/1/97 through 6/30/98.

Yurchisin, Mark J., Instructor (voluntary), Obstetrics and Gynecology, 7/1/97 through 6/30/00.

Zerga, Joseph L., Assistant Professor (voluntary), Family Practice, 7/1/97 through 6/30/00.

Zhang, Jiayou, Assistant Professor, Microbiology and Immunology, 7/1/97 through 6/30/98.



Zibell, Scott C., Assistant Professor (voluntary), Family Practice,  
7/1/97 through 6/30/00.

Research and Graduate Studies

Wang, Zhigang, Assistant Professor, Graduate Center for Toxicology,  
7/1/97 through 6/30/98.

**D. PROMOTIONS WITHOUT TENURE**

College of Allied Health Professions

Schwarz, Bradford W., Instructor\*, Health Services, to Assistant  
Professor\*, Health Services, 7/1/97 through 6/30/98.

**E. CHANGES**

College of Dentistry

Lindroth, John E., from Assistant Professor (part-time), Oral Health  
Practice, to Assistant Professor\*, Oral Health Science, 4/2/97  
through 6/30/97.

College of Medicine

Koury, Shaheed I., from Assistant Professor (part-time), Emergency  
Medicine, to Assistant Professor\*, Emergency Medicine, 5/1/97  
through 6/30/97.

Rose, Gregory L., from Assistant Professor, Anesthesiology, to  
Clinical Assistant Professor, Anesthesiology, 4/2/97 through  
6/30/97.

University Hospital

Gardner, Toni, from Assistant Dietetics and Nutrition Director, to  
Dietetics and Nutrition Director, Department of Dietetics and  
Nutrition, effective 2/16/97.

Vinson, Truscilla, from 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, to Custodial Worker III, Environmental  
Services, after 17.83 consecutive years of service, under AR II-1.6-  
1 Section III.A.2, effective 4/4/97.

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\*Special Title Series

**F. TERMINAL REAPPOINTMENTS**

College of Medicine

Coyne, Carolyn M., Assistant Professor\*, Pathology and Laboratory  
Medicine, 7/15/97 through 7/14/98.

**G. LEAVES OF ABSENCE**

College of Medicine

McDonnell, Francis J., Associate Professor\* (with tenure),  
Anesthesiology, sabbatical leave at half salary 7/1/97 through  
6/30/98.

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\*Special Title Series

# PR 3A

Office of the President  
April 1, 1997

Members, Board of Trustees:

## UNIVERSITY RESEARCH PROFESSORSHIPS

Recommendation: that the Board of Trustees approve the naming of Professors Dennis J. Clouthier, Department of Chemistry, Mark P. Mattson, Department of Anatomy and Neurobiology, and Mark W. Summers, Department of History, as University Research Professors for 1997-98.

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

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

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

# PR 3B

Office of the President  
April 1, 1997

Members, Board of Trustees:

## HONORARY DEGREE RECIPIENTS

Recommendation: that approval be granted to awarding the honorary degree of Doctor of Laws to Gerald L. Baliles, the Doctor of Letters to Gwendolyn Brooks, the Doctor of Science to David M. Lawrence, and the Doctor of Arts to Lucille Caudill Little.

Background: The Committee on Honorary Degrees has recommended to the Graduate Faculty and the University Senate that honorary degrees be awarded to Gerald L. Baliles, Gwendolyn Brooks, David M. Lawrence and Lucille Caudill Little. These three bodies have expressed their approval of the recommendation.

Biographical sketches of the four recipients are attached.

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

/1382

## Gerald L. Baliles

As former Attorney General and Governor of the Commonwealth of Virginia, Gerald L. Baliles has a notable record of leadership in domestic and international economic development. Enhancement of economic vitality and competitiveness within Virginia and throughout the nation has been the hallmark of his career in public service.

Governor Baliles earned his B.A. from Wesleyan University and his J.D. from the University of Virginia. He served as Attorney General of Virginia from 1982-85, and as Governor of the Commonwealth from 1986-90. As Governor of Virginia, he established Virginia's first Cabinet-level post for economic development and directed the expansion of world trade promotion initiatives. He led a state-wide program to modernize Virginia's infrastructure and a vigorous program of educational reform aimed especially at preparation for work in an international marketplace. Among these initiatives were the Governor's Language Academies, the Japanese Language and Culture initiatives at several Virginia colleges and universities, and the introduction and enhancement of the study of foreign languages and geography in the public schools. As Virginia's chief advocate for economic development and improved trading relations, Governor Baliles led eight trade and business development missions overseas. As a result of his efforts, within two years exports of Virginia products accounted for over 25% of the state's economic growth and foreign investment in Virginia expanded significantly.

While chairman of the National Governors' Association (1988-89), he directed the attention of our nation's governors to economic development and trade issues. His agenda and its results were published as *America in Transition: The International Frontier* and he subsequently led a delegation of governors to Brussels for meetings with officials of the European Community and NATO.

In 1993 Governor Baliles was appointed by President Clinton to chair the National Airline Commission. Within 90 days, the Commission, composed of fifteen leaders from airlines, airports, manufacturers, financial companies and labor unions, drew up five dozen recommendations which form the core of today's U.S. aviation policy. His numerous professional activities include chairing the *Commission on the Academic Presidency of the Association of Governing Board of Universities and Colleges* and service as chairman of *The Commission on Educational Quality (Southern Regional Education Board)*.

For his distinguished record of public service to his state and to the nation and for his leadership in domestic and international economic development issues, Gerald L. Baliles is recommended as the recipient of the honorary Doctor of Laws degree.

## Gwendolyn Brooks

Gwendolyn Brooks, it seems, has always been a writer, always had a truth to tell. In his study of her poetry, D. H. Melham describes her thus: "She is our multiethnic, multiracial American artistic heritage." Of her own work she herself has said simply, "I wrote about black people as I know them."

Her first poem was published when she was 13; by the age of 16 she was a weekly contributor to the *Chicago Defender* and had 75 poems printed in its "Lights and Shadows" column within a two year period. The first book of poetry, *A Street in Bronzeville*, was published in 1945 and initiated her reputation and her commitment to expressing Black experience. The twenty books she has written have garnered critical success and brought to their author a succession of awards, including Guggenheim Fellowships and, in 1950, the Pulitzer Prize for *Annie Allen*. Her writings were accorded further recognition with her appointment in 1968 to succeed Carl Sandburg as Poet Laureate of Illinois. Ms. Brooks became, in 1976, the first black woman elected to the National Institute of Arts and Letters. At the invitation of President and Mrs. Carter, she read at the White House in the company of other distinguished poets in "A Salute to Poetry and American Poets," and later served on the Presidential Commission on the National Agenda for the Eighties. She was later named Consultant in Poetry to the Library of Congress (1985-86). In 1993 the Gwendolyn Brooks Center for Black Literature and Culture was dedicated at Chicago State University where she is writer-in-residence. Ms. Brooks was the recipient of the prestigious National Medal of Arts presented to her by President and Mrs. Clinton at a White House ceremony in October, 1995.

Along with her literary endeavors, Gwendolyn Brooks has been very active as a teacher and a mentor to young writers. She has sponsored the annual Illinois Poet Laureate's poetry contest for elementary and high school pupils in the state, providing monetary awards to the winners from her own funds. As she travels across the country reading her work, she encourages aspiring young writers by example, as well as through scholarships. Much of her time is devoted to visits to schools, libraries, poetry organizations, arts councils, and literary conferences and festivals. She has participated in the UK Women's Writers Conference and addressed classes here. During a recent return visit to the Commonwealth, Ms. Brooks gave a reading of her poetry at Kentucky State University.

For her unique contribution to American letters, for a poetry whose language and content engage the social fabric of our time, for her inspiration and mentoring of young writers, Gwendolyn Brooks is recommended for the honorary Doctor of Letters degree.

## David M. Lawrence

David M. Lawrence, M.D. is chair and chief executive officer of the Kaiser Foundation Health Plan, Inc., and Kaiser Foundation Hospitals in Oakland, California. Kaiser, which celebrated its 50th anniversary in 1995, is the largest, and one of the oldest, health maintenance organizations in the United States.

Dr. Lawrence joined Kaiser Permanente in 1981 as vice president of Northwest Permanente, P.C., and area medical director for the Bess Kaiser area in Portland, Oregon. He was re-elected to that position by his physician colleagues before accepting the opportunity of joining Kaiser Foundation Health Plan and Hospitals as Regional Manager for Colorado in 1985. In 1988, he accepted the position of senior vice president and regional manager of Kaiser Foundation Health Plan and Hospitals in the Northern California Region. In 1990, Dr. Lawrence was named vice chairman and chief operating officer of Kaiser Foundation Health Plan and Hospitals. In July 1991, he was appointed chief executive officer; in March, 1992, he was elected chairman. As such, he has overall responsibility for Health Plan and Hospital operation and for leading national programwide strategic planning.

Dr. Lawrence earned his BA from Amherst, his MD from the University of Kentucky and his MPH from the University of Washington. He completed his residency at Johns Hopkins and the University of Washington. Following his internship, he served in the Peace Corps; first in the Dominican Republic, and later in Washington, D.C. training other doctors for foreign assignments and overseeing the Peace Corps' medical programs. While at Johns Hopkins, he served for two years as an adviser on health planning to the Minister of Health in Chile. He later directed the MEDEX training program for physician assistants at the University of Washington's Schools of Public Health and Community Medicine. Immediately prior to joining Kaiser Permanente, he directed public health services for Multnomah County in Portland.

A 1966 graduate of the University of Kentucky, Lawrence received the UK Medical Alumni Association's 1994-95 Distinguished Alumnus Award. His service to the College of Medicine includes chairing the Class of 1966 Class Gift Initiative for the 25th class reunion and initiating the campaign to establish the Kurt W. Deuschle Professorship in 1994.

In recognition of his corporate leadership in the managed care industry, for his years of service in the public health arena, and for his successful career as Chairman and CEO of the nation's oldest and largest health maintenance organization, David M. Lawrence is recommended as the recipient of the honorary Doctor of Science degree.

## Lucille Caudill Little

A native of Morehead and a resident of Lexington for over 50 years, Lucille Caudill Little has been a principal figure in Central Kentucky's cultural and educational life as teacher, singer, actress, patron of the arts, and philanthropist. By virtue of an unstinting commitment of her time, talent and resources, she has made the arts, as well as educational opportunities in the Commonwealth, more accessible to Kentuckians young and old.

Mrs. Little's love for the arts was reflected at an early age in her study of voice and piano, and she began her formal arts training at the Cincinnati Conservatory of Music. Her education continued at Hamilton College, Transylvania College, the University of Kentucky, Stetson University, and Ohio State University where she received her B.A. degree. She later did graduate work at Columbia University and studied at the Julliard School of Music. A gifted singer, she contemplated a professional career in voice. Upon returning to Kentucky, she joined the faculty of Morehead State Teachers College, where she established the departments of speech and drama.

Her marriage to W. Paul Little, a successful racehorse breeder, brought her to Central Kentucky where she channeled her talents and energy into building a vibrant and dynamic arts community. She was a founder and director of Lexington's Children's Theatre and Studio Players. She served on the founding boards of the Lexington Symphony and Lexington Philharmonic, the Central Kentucky Youth Orchestra and the Living Arts and Science Center. Mrs. Little has generously donated her time, as well as her financial support, to numerous educational, cultural and community organizations, including, among many others, Midway College, Transylvania University, Morehead University, the University of Kentucky, the Bluegrass Girl Scout Council, the Kentucky Horse Park, the Lexington Council of the Arts, and St. Claire Hospital (Morehead). Long supportive of arts programming for children, she presented Kentucky Educational Television with a \$1,000,000 gift and a challenge to match it in order to establish an endowment to create a permanent source of funding at KET for arts education. Her gift to the new History Center of the Kentucky Historical Society put that fundraising effort over its goal. Lucille Little's lifework has made a difference to the Commonwealth, touching and enriching the lives of all Kentuckians.

In recognition of her lifetime as an advocate and benefactor of the fine and performing arts, her leadership and service by personal example to the community, and her extraordinary ability to encourage others to join in and support cultural and educational activities, Lucille Caudill Little is recommended as the recipient of the honorary Doctor of Arts degree.



# PR 4A

Office of the President  
April 1, 1997

Members, Board of Trustees:

APPOINTMENT TO ADVISORY BOARD  
LEXINGTON COMMUNITY COLLEGE

Recommendation: that approval be given to the reappointment of the following individual to the Advisory Board of Lexington Community College.

Four-Year Term  
July 1, 1997 - June 30, 2001

Reappointment

Mr. Richard E. Blanchard

Background: The establishment of an Advisory Board for Lexington Community College was approved by the University of Kentucky Board of Trustees at the December 13, 1983 meeting. The action called for the President of the University to recommend seven (7) lay members of the Board to serve in an advisory capacity to the President of the College and act as liaison between the community and the College to assist the College in meeting the needs of the area. One elected faculty representative and one elected student representative will complete the membership of the Board.

Mr. Blanchard has served on the Advisory Board since 1985, and has served as Chair of the Board since that time.

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

# PR 4B

Office of the President  
April 1, 1997

Members, Board of Trustees:

ASSOCIATE DEGREE PROGRAM IN THE  
COMMUNITY COLLEGE SYSTEM  
JEFFERSON COMMUNITY COLLEGE

Recommendation: that the Board of Trustees authorize for submission to the Council on Higher Education a new degree program, Associate Degree in Applied Science, Industrial Plastics Technology for the Jefferson Community College.

Background: The Council on Higher Education is empowered to define and approve all higher education associate degree programs.

Jefferson Community College has worked with the local Advisory Board and the Kentucky Alliance for Plastics Industries (KAPI) to determine the need for Industrial Plastics Technology graduates. There is a heavy concentration of plastics industries in Jefferson and surrounding counties. Like similar companies throughout the nation, plastics manufacturing firms in Jefferson County are becoming increasingly automated and in need of more highly-skilled workers than ever before. The Industrial Plastics Technology Program is consistent with Jefferson Community College's long range plan to establish a Manufacturing Technology Center on the Southwest Campus. The Industrial Plastics Technology Program equips students with a basic knowledge of mold forming, injection molding, college chemistry, mathematics, and statistical process control. Program graduates will be qualified for entry level positions such as injection plastic molding machine operator, setter, and tender.

Approval by the Board of Trustees is required prior to submission to the Council on Higher Education.

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

# PR 4C

Office of the President  
April 1, 1997

Members, Board of Trustees:

ASSOCIATE DEGREE PROGRAM IN THE  
COMMUNITY COLLEGE SYSTEM  
PRESTONSBURG COMMUNITY COLLEGE

Recommendation: that the Board of Trustees (1) authorize for submission to the Council on Higher Education a new degree program, Associate Degree in Applied Science, Occupational Therapist Assistant at the Prestonsburg Community College, and (2) adopt a resolution requesting a one-year qualitative waiver of a restriction on new degree program proposals imposed by the Council on Higher Education under its Equal Opportunity Program.

Background: Part 1 of the recommendation seeks Board approval of a proposed new degree program, Associate Degree in Applied Science, Occupational Therapist Assistant, at Prestonsburg Community College. Prestonsburg Community College has worked with the local Advisory Board and members of Prestonsburg's health care community in determining the need for graduates from this program in the Prestonsburg area. The Occupational Therapist Assistant Program will enable Prestonsburg Community College to meet its mission of providing well-educated and trained members of the workforce to meet community needs for employable individuals. Occupational Therapist Assistant graduates will be able to work to promote and maintain the holistic health of individuals in the community by helping people restore or develop an ability to perform functional living skills necessary to be productive members of the community.

Part 2 of the recommendation seeks Board approval of a request for a one-year qualitative waiver of a limitation on new degree program proposals that the Council on Higher Education has imposed under its Equal Opportunity Program. Prestonsburg Community College has made significant progress toward meeting equal opportunity goals set by the Council, can demonstrate an outstanding effort to achieve success in this regard, and thus is in a position to request and receive a one-year waiver of the Council's restriction on new degree program proposals. No request for waiver can be submitted to the Council without approval of the Board of Trustees. The waiver, if and when granted, will permit Prestonsburg Community College to submit new degree programs to the Council for approval during calendar year 1997.

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

# PR 4D

Office of the President  
April 1, 1997

Members, Board of Trustees:

## ASSOCIATE DEGREE PROGRAM IN THE COMMUNITY COLLEGE SYSTEM

Recommendation: that the Board of Trustees authorize for submission to the Council on Higher Education a new degree program, Associate Degree in Applied Science, Technical Studies in the Community College System.

Background: The Council on Higher Education is empowered to define and approve all higher education associate degree programs.

The Technical Studies program will allow students who have earned a diploma in a Kentucky Tech post-secondary program to be awarded credit in technical coursework upon admission to colleges in University of Kentucky Community College System. The particular technical areas offered by the colleges will vary depending upon the needs of business and industry at each location. The need for highly skilled workers in business and industry is well known due to advances in technology. The skills necessary to adapt to the demands and expectations of the changing workplace will be a major focus of curriculum development for each technical area. The proposed partnership will benefit students who wish to pursue higher education and thereby increase their marketability and earning power, and is an innovative means of collaborating with Kentucky Tech in meeting critical workforce needs across the Commonwealth.

Approval by the Board of Trustees is required prior to submission to the Council on Higher Education.

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

CONSOLIDATED BALANCE SHEET  
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS  
FEBRUARY 28, 1997  
with comparative totals for February 29, 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	\$ 94,060	\$ 49,975	\$ 3,486	\$ 746	\$ 183,361	\$ 331,628	\$ 322,475
Notes, loans, and A/R (less bad debt allowances of \$10,277)	106,135	14,312	20,451	327	2,426	143,651	136,671
Investments	25,135	68,557		157,821	80,809	332,322	298,212
Property, plant, and equipment					1,328,053	1,328,053	1,238,943
Inventories and other	15,271	65				15,336	13,568
<b>Total Assets</b>	<b>\$ 240,601</b>	<b>\$ 132,909</b>	<b>\$ 23,937</b>	<b>\$ 158,894</b>	<b>\$ 1,594,649</b>	<b>\$ 2,150,990</b>	<b>\$ 2,009,869</b>
<b>LIABILITIES AND FUND BALANCES</b>							
<b>Liabilities</b>							
Accounts payable	\$ 20,852	\$ 2,511	\$ 63		\$ 310	\$ 23,736	\$ 26,184
Employee withholdings and deposits		32,649				32,649	18,737
Other liabilities	4,480	1,158			5,197	10,835	8,123
Liability for self insurance	37,309					37,309	34,635
Deferred income	5,672	12,946				18,618	17,807
Bonds payable					330,534	330,534	348,314
Capitalized lease obligation					34,101	34,101	37,341
Net deferred revenues and appropriated fund balances	93,056	3,470				96,526	105,619
<b>Total Liabilities</b>	<b>161,369</b>	<b>52,734</b>	<b>63</b>		<b>370,142</b>	<b>584,308</b>	<b>596,760</b>
<b>Interfund Balances</b>	<b>(36,301)</b>	<b>37,179</b>			<b>(878)</b>		
<b>Fund Balances</b>							
<b>Current unrestricted</b>							
Working capital	101,686					101,686	103,356
Future operating purposes	9,504					9,504	9,374
Other	4,343					4,343	3,334
<b>Current restricted</b>		42,996				42,996	33,807
<b>Loan</b>			23,874			23,874	22,122
True endowments				\$ 95,442		95,442	83,767
Term endowments				10,178		10,178	9,311
Quasi endowments				53,274		53,274	53,769
<b>Plant</b>							
Retirement of indebtedness					41,502	41,502	41,188
Renewal and replacement					43,465	43,465	85,037
Allocated for designated projects					218,205	218,205	112,199
Net investment in plant					922,213	922,213	855,845
<b>Total Fund Balances</b>	<b>115,533</b>	<b>42,996</b>	<b>23,874</b>	<b>158,894</b>	<b>1,225,385</b>	<b>1,566,682</b>	<b>1,413,109</b>
<b>Total Liabilities and Fund Balances</b>	<b>\$ 240,601</b>	<b>\$ 132,909</b>	<b>\$ 23,937</b>	<b>\$ 158,894</b>	<b>\$ 1,594,649</b>	<b>\$ 2,150,990</b>	<b>\$ 2,009,869</b>

**CONSOLIDATED STATEMENT OF CURRENT FUNDS REVENUES AND APPROPRIATED FUND BALANCES**  
**UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS**  
**FOR THE EIGHT MONTHS ENDED FEBRUARY 28, 1997**  
with comparative totals for February 29, 1996  
(in thousands)

	(A)	(B)	(C)	(D)	(E)	(F)
	1996-97				1995-96	
	Original Budget	Revised Budget	Realized To Date	%	Realized To Date	%
<b>General Fund</b>						
(1) State appropriations	\$ 345,946	\$ 345,946	\$ 259,461	75	\$ 247,547	75
(2) Student fees	130,677	130,769	122,554	94	117,544	95
(3) Federal appropriations	15,240	15,240	9,817	64	9,690	64
(4) County appropriations	6,194	6,463	3,844	59	3,722	60
(5) Endowment income	822	822	386	47	408	51
(6) Investment income	8,599	8,599	7,568	88	8,334	101
Gifts and grants						
(7) Affiliated corporations	11,492	11,492	5,612	49	4,600	47
(8) Other	54,601	56,131	30,892	55	3,105	54
(9) Sales and services	45,436	45,861	27,341	60	18,794	63
(10) Fund balance	15,820	20,952	20,952	100	17,338	100
(11) Total General Fund	634,827	642,275	488,427	76	431,082	79
(12) Auxiliary Enterprises	42,603	42,904	28,465	66	28,476	73
(13) Restricted Funds	89,460	90,870	60,037	66	51,284	63
(14) Affiliated Corporations	140,679	141,065	98,342	70	90,654	72
<b>Hospital</b>						
(15) Revenues	226,381	226,381	165,190	73	158,804	70
(16) Fund balance					15,600	
<b>Total Revenues and</b>						
(17) Appropriated Fund Balances	<u>\$ 1,133,950</u>	<u>\$ 1,143,495</u>	<u>\$ 840,461</u>	73	<u>\$ 775,900</u>	75

**CONSOLIDATED STATEMENT OF CURRENT FUNDS EXPENDITURE SUMMARY BY PROGRAM - ALL FUNDS**  
**UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS**  
**FOR THE EIGHT MONTHS ENDED FEBRUARY 28, 1997**  
with comparative totals for February 29, 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	\$ 273,076	\$ 175,725	64	\$ 154,349	65
(2) Research	130,517	132,073	81,281	62	76,088	62
(3) Public service	141,226	142,627	86,659	61	61,082	69
(4) Academic support	76,883	76,578	45,530	59	41,933	62
(5) Student services	25,559	27,960	18,397	66	16,442	64
(6) Institutional support	48,288	50,813	28,637	56	26,043	56
(7) Student financial aid	61,666	62,403	58,301	93	50,911	85
(8) Operation and maintenance	46,847	49,718	30,860	62	29,327	61
(9) Mandatory transfers (debt service)	33,018	33,018	32,932	100	32,668	100
(10) Hospital	227,014	227,014	150,312	66	150,601	62
(11) Auxiliary enterprises	67,914	68,215	45,360	66	42,575	68
(12) Total Expenditure by Program	<u>\$ 1,133,950</u>	<u>\$ 1,143,495</u>	<u>\$ 753,994</u>	66	<u>\$ 682,019</u>	66

**EXPENDITURE SUMMARY BY CATEGORY OF EXPENDITURE**  
**UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS**  
**FOR THE EIGHT MONTHS ENDED FEBRUARY 28, 1997**  
with comparative totals for February 29, 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	\$ 649,897	\$ 431,430	66	\$ 373,209	67
(14) Operating expenses	393,908	396,994	247,609	62	222,337	63
(15) Mandatory transfers (debt service)	41,529	41,529	38,341	92	38,228	92
(16) Capital outlay	50,923	55,075	36,614	66	48,245	60
(17) Total Expenditure by Category	<u>\$ 1,133,950</u>	<u>\$ 1,143,495</u>	<u>\$ 753,994</u>	66	<u>\$ 682,019</u>	66

**CONSOLIDATED SUMMARY OF NET DEFERRED REVENUES AND APPROPRIATED FUND BALANCES**  
**UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS**  
**FOR THE EIGHT MONTHS ENDED FEBRUARY 28, 1997**  
 with comparative totals for February 29, 1996  
 (in thousands)

	(A)	(B)	(C)
		1996-97	1995-96
<b>(1) Realized Revenues</b>		<b>\$ 819,509</b>	<b>\$ 742,962</b>
<b>Appropriated Fund Balances</b>			
(2) Current Unrestricted Fund	\$ 20,952		17,338
(3) University Hospital			15,600
<b>(4) Total Appropriated Fund Balances</b>		<b>20,952</b>	<b>32,938</b>
<b>(5) Total Revenues and Appropriated Fund Balances</b>		<b>840,461</b>	<b>775,900</b>
<b>(6) Expenditures/Encumbrances</b>	<b>753,994</b>		<b>682,019</b>
(7) Less: Reserve for Encumbrances	(8,322)		(7,792)
<b>(8) Total Expenditures</b>		<b>745,672</b>	<b>674,227</b>
<b>(9) Excess/(Deficit) Restricted Receipts Over Transfers to Revenues</b>		<b>1,737</b>	<b>3,946</b>
<b>(10) Net Deferred Revenues and Appropriated Fund Balances</b>		<b>\$ 96,526</b>	<b>\$ 105,619</b>



# FCR 1

Office of the President  
April 1, 1997

Members, Board of Trustees:

ACCEPTANCE OF INTERIM FINANCIAL REPORT FOR THE  
UNIVERSITY OF KENTUCKY FOR THE EIGHT MONTHS ENDED  
FEBRUARY 28, 1997

Recommendation: that the Board of Trustees accept the University of Kentucky consolidated financial report for the eight months ended February 28, 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 February 28, 1997, the University had realized income of \$840,461,000 representing 73% of the 1996-97 estimate of \$1,143,495,000. Expenditures and commitments total \$753,994,000 or 66% of the approved budget of \$1,143,495,000.

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

# FCR 2

Office of the President  
April 1, 1997

Members, Board of Trustees:

## CAPITALIZATION POLICY NON-EXPENDABLE MOVEABLE EQUIPMENT

Recommendation: that the Board of Trustees approve the following policy for the capitalization of non-expendable moveable equipment effective July 1, 1997:

- Category I - equipment costing \$1,000 or more will be capitalized, including equipment acquired with federal funds.
  - Category II - equipment costing \$500 or more will be capitalized when it is defined as "high risk," including office furniture and equipment, audio-visual, photographic and computing equipment.
  - Category III - equipment costing \$300 or more will be capitalized when it is acquired with University Hospital funds.
- Fully Depreciated  
Equipment - fully depreciated moveable equipment, based on estimated useful life, costing less than \$5,000 will be deleted from the active equipment inventory records.

Background: The federal government has approved raising the capitalization level from \$500 to \$1,000 for equipment acquired with federal funds effective July 1, 1997. This is the only change in the capitalization policy that was approved by the Board of Trustees in June, 1993.

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

# FCR 3

Office of the President  
April 1, 1997

Members, Board of Trustees:

## REPORT OF LEASE

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

A new lease between the University of Kentucky (College of Agriculture) and John Fritz, 4100 Nicholasville Road, Lexington, Kentucky, for space located at 112 Wilson Downing Road, Lexington, Kentucky, effective March 1, 1997 through February 28, 1998, for the use of 2,400 square feet of residential space, at an annual rate of \$12,000.00, 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 4

Office of the President  
April 1, 1997

Members, Board of Trustees:

## APPROVAL OF LEASES

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

An addendum of a lease between the University of Kentucky (Pharmacy Continuing Education) and Rose/Harman Investors, VII, 333 Waller Avenue, Suite 200, Lexington, Kentucky, for property located at 465 East High Street, Suite 202, Lexington, Kentucky, effective April 1, 1997 through June 30, 1998, for the use of 1,136 square feet of office space, at an annual rate of \$12,439.00, bringing the total amount to \$48,475.45.

A lease between the University of Kentucky and the City-County Industrial Development Authority, c/o County Judge Dennis Karr and London Mayor Ken Smith, Main Street, London, Kentucky for property located in Laurel County, Kentucky, effective July 1, 1997 through June 30, 2002, for the use of 60 acres (and improvements to be constructed thereon by the Authority) by the University of Kentucky for educational and recreational facilities at an annual rate of \$165,000.

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 in excess of \$30,000 be approved by the Board of Trustees.

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

# FCR 5

Office of the President  
April 1, 1997

Members, Board of Trustees:

## ALAN F. & IRENE BLOOMFIELD GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$100,000 and a pledge of \$400,000 from Alan F. and Irene Bloomfield of Lexington, Kentucky, to benefit the Carol Martin Gatton College of Business and Economics and the Athletics Department.

Background: Mr. Bloomfield is president of Gall's Inc. and a member of the board of directors of the UK Business Partnership Foundation, an advisory council at the Gatton College. The Bloomfield's commitment provides for endowments in the Gatton College of \$300,000 for the Alan F. and Irene Bloomfield Scholarships, \$50,000 for the Center for Entrepreneurship and \$50,000 for the Kentucky Scholars program to recruit outstanding Kentucky students to the college. The Athletics Department will receive \$100,000 for the expansion of the Center for Academic and Tutorial Services. The pledge will be paid in four annual installments beginning in 1998.

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

# FCR 6

Office of the President  
April 1, 1997

Members, Board of Trustees:

## INCENTIVE RETIREMENT PROGRAM

Recommendation: that an Incentive Retirement Program, as defined herein, be offered to regular full-time tenured faculty in the Community College System who have a combination of age and years of service equal to 75 and who have completed at least fifteen years of continuous service as of June 30, 1997. Years of service must be full-time under a regular faculty appointment at the University of Kentucky. Employees who elect to retire under this program must remain in a full-time employment status until the date of retirement. Employees who for any reason fail to remain in full-time employment status until the date of retirement shall not be eligible for any payment under this program even though they may have submitted a written election to retire under this program.

Retirements under this program must be scheduled to occur on June 30, 1997, or on December 31, 1997. Employees taking advantage of this program with an intent to retire on June 30, 1997 must make a written irrevocable election to the Community College President no later than 30 days prior to the intended retirement date giving notice of their intention to participate and establishing their retirement date. Employees taking advantage of this program with an intent to retire on December 31, 1997 must make a written irrevocable election to the appropriate Community College President no later than December 1, 1997.

The University will pay to the faculty members at the time of retirement a percentage of their 1996-97 annual salary as follows:

- (1) 100 percent for those retiring on June 30, 1997
- (2) 50 percent for those retiring on December 31, 1997

Background: The University of Kentucky is offering this Incentive Retirement Program for tenured faculty in the Community College System to create some long-term program and financial flexibility.

Faculty taking advantage of this one-time window of opportunity Incentive Retirement Program will be able to significantly enhance their own retirement program.

The Program will afford the institution some additional flexibility in reaching University salary objectives and dealing with shifting program and resource needs.

All costs of the Incentive Retirement Program will be funded from existing positions within the University budget.

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

# FCR 7

Office of the President  
April 1, 1997

Members, Board of Trustees:

## SPECIAL EARLY RETIREMENT INCENTIVE PLAN

Recommendation: that a one-time Special Early Retirement Incentive Plan be offered to regular full-time staff employed in the University of Kentucky Hospital who meet defined criteria.

A Special Early Retirement Incentive Plan is to be offered to regular full-time staff who will have a combination of age and service equal to or greater than 65 and who have completed at least fifteen years of regular full-time service as of April 1, 1997. The employment service must be continuous to qualify. The staff member's status (regular full-time) on April 1, 1997, will determine the eligibility for retirement incentive purposes. Employees who, for any reason, fail to remain in an employed status until the date of retirement shall not be eligible for any payment under this plan, even though they may have submitted a written application and had the application approved.

Retirement under this plan must be scheduled through the Office of the Director of the University of Kentucky Hospital to occur between April 1, 1997, and December 31, 1997. Employees must apply for this plan between April 1, 1997, and May 15, 1997. Hospital Administration will notify employees of the effective date of retirement by August 15, 1997. Each special early retirement agreement executed under this plan shall include a waiver of the rights and claims of the staff member under federal laws.

The University of Kentucky Hospital will pay the individual staff member whose application is approved a lump sum amount equal to 100% of their 1996-97 annual base salary as of April 1, 1997.

The individual staff member whose application is approved may also continue health coverage under the UK Medical Benefit Plan and be eligible for the University contribution health credit.

Background: At University of Kentucky Hospital, we currently enjoy a position of strength within the health care marketplace. The comprehensiveness and quality of our services is recognized throughout the region and well beyond. The cost of our services is

higher than our local competitors. While we understand the complexity of our services and the costs of these services, many Kentucky hospitals do not have comparable expenses and this influences our ability to be competitive in the managed care market. In order to overcome these obstacles, we must become more cost competitive to remain a strong and stable patient care provider and employer.

To assist the University of Kentucky Hospital, a request is made to the Board of Trustees to approve a one time Special Early Retirement Incentive Plan. It is our belief this plan will assist the Hospital to begin the process of reducing the operating budget by five percent. This equates to \$11,800,000 over a two year period. To complement this effort, an external consultant will be hired to examine work processes and enable us to function more efficiently.

The University of Kentucky is offering this Special Early Retirement Incentive Plan with a one-time window of opportunity with a retirement incentive for staff to create long-term program and financial flexibility. Employees who accept the retirement incentive and voluntarily retire will provide a public service by assisting the Hospital in obtaining fiscal savings. All costs of the Special Early Retirement Incentive Plan will be funded from the University of Kentucky Hospital through the reduction of recurring expenses.

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Action taken:

Approved

Disapproved

Other \_\_\_\_\_



# FCR 8

Office of the President  
April 1, 1997

Members, Board of Trustees:

UNIVERSITY OF KENTUCKY MEDICAL BENEFITS PLAN  
(An Employer Self-Insured Plan)

Recommendation:

1. That the Board of Trustees adopt the University of Kentucky Medical Benefits Plan, which is an employer self-insured plan, for eligible employees and their dependents, effective July 1, 1997, subject to notification to the Commonwealth of Kentucky Department of Insurance, with enrollment for employees to commence on or about April 15, 1997.
2. That the Board of Trustees authorize the establishment of a restricted account into which payments may be made for the purpose of payment of medical claims of employees and their dependents in accord with the University of Kentucky Medical Benefits Plan, with the funds in the account being invested in accord with University investment practices.
3. That the Board of Trustees authorize the President or his designee to contract with one or more third party administrators to service, process and approve payment of claims under the University of Kentucky Medical Benefits Plan.
4. That the Board of Trustees authorize the President or his designee to notify the Commonwealth of Kentucky Department of Insurance of the University of Kentucky Medical Benefits Plan.
5. That the Board of Trustees authorize the President or his designee to purchase excess insurance for medical claims exceeding certain amounts and/or for designated high cost medical procedures.

Background: The Board of Trustees is authorized by KRS 164.220 (2) to provide benefits for University of Kentucky employees. For several decades the University has made available group health insurance coverage and has provided for the cost of a single insured premium in a fixed dollar amount as an employee benefit.

The establishment of a self-insured plan offers the opportunity to provide employees with a continuation of the University's comprehensive health benefits and to minimize the current and future costs of such coverage to the University and its employees.

During the 1997-98 fiscal year, the University of Kentucky Medical Benefits Plan will feature six plans, including HMO options. The Plan will be available to all eligible University employees. The Plan will have the same or features similar to the five options currently available.

The employee benefit paid by the University for employees will be deposited to the restricted account, as will the amounts collected from University employees for coverage in addition to the single insured employee benefit. Deposits plus earnings on investment will fund the restricted account from which medical claims will be paid. The cost of each of the options available to University employees has been determined to be actuarially sound. In addition, the purchase of excess insurance for certain levels of claims expenditures and for certain high cost procedures will serve to protect the financial soundness of the Plan.

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

# FCR 9

Office of the President  
April 1, 1997

Members, Board of Trustees:

A RESOLUTION OF THE BOARD OF TRUSTEES OF UNIVERSITY OF KENTUCKY AUTHORIZING THE ISSUANCE OF SAID BOARD'S HOUSING AND DINING SYSTEM REVENUE BONDS, SERIES Q, TO BE DATED THE FIRST DAY OF THE MONTH IN WHICH SOLD; AUTHORIZING PROPER PROCEEDINGS RELATIVE TO THE PUBLIC SALE OF THE BONDS AND THE DISPOSITION OF THE PROCEEDS THEREOF; AUTHORIZING EXECUTION OF A NINTH SUPPLEMENTAL TRUST INDENTURE BETWEEN THE BOARD AND FARMERS BANK & CAPITAL TRUST COMPANY, FRANKFORT, KENTUCKY AS TRUSTEE IN COMPLIANCE WITH THE PROVISIONS OF THE TRUST INDENTURE DATED JUNE 1, 1965

Recommendation: that the Board of Trustees approve the Resolution authorizing the issuance of University of Kentucky Housing and Dining System Revenue Bonds, Series Q, to be dated the first day of the month in which they are sold.

The Resolution authorizes the execution of the Ninth Supplemental Trust Indenture which authorizes the issuance of the University of Kentucky Housing and Dining System Revenue Bonds, Series Q, for the purpose of financing the renovation of Cooperstown Apartment Buildings C and D and Shawncetown Apartment Buildings C and D, the installation of a sprinkler system at Donovan Hall, the renovation of elevators in Kirwan Blanding Residence Halls, the installation of an HVAC System in the Donovan Hall food services area and the construction of a new student residence building to accommodate approximately 50 students, for housing and dining purposes, all of which are part of the Housing and Dining System.

The Resolution also approves the sale of the Series Q Bonds upon the advice of the Financial Advisor, J.J.B. Hilliard, W.L. Lyons, Inc., on May 6, 1997, or on such other date as may be determined by the President of the University upon the advice of said Financial Advisor and the acceptance of the bid for the sale of the bonds by either the Board or the Executive Committee of the Board.

Background: The University presently has outstanding Housing and Dining System Revenue Bonds, Series E, F, G, I, K, L, M, N, O and P (the Series N Bonds having been issued to advance refund the Series J Bonds, and the Series L Bonds scheduled to mature on and after June 1, 1997), all secured by a pledge of the Revenues derived from the operation of the University's Housing and Dining System and by a statutory mortgage lien against all of the buildings of the System. The Resolution authorizes the execution of a Ninth Supplemental Trust Indenture with Farmers Bank & Capital Trust Company, Frankfort, Kentucky, as Trustee, Bond Registrar, Transfer Agent and Payee Bank, which provides for the execution of an appropriate parity certification establishing that the "coverage" of projected income of the System over debt service will meet the 1.30 test necessary to establish that the Series Q Bonds will rank on a parity with the outstanding Series E, F, G, I, K, L, M, N, O and P Bonds, and the execution of the Certificate of the Director of Physical Plant.

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

A RESOLUTION OF THE BOARD OF TRUSTEES OF UNIVERSITY OF KENTUCKY AUTHORIZING THE ISSUANCE OF SAID BOARD'S HOUSING AND DINING SYSTEM REVENUE BONDS, SERIES Q, TO BE DATED THE FIRST DAY OF THE MONTH IN WHICH SOLD; AUTHORIZING PROPER PROCEEDINGS RELATIVE TO THE PUBLIC SALE OF THE BONDS AND THE DISPOSITION OF THE PROCEEDS THEREOF; AUTHORIZING EXECUTION OF A NINTH SUPPLEMENTAL TRUST INDENTURE BETWEEN THE BOARD AND FARMERS BANK & CAPITAL TRUST COMPANY, FRANKFORT, KENTUCKY, AS TRUSTEE, IN COMPLIANCE WITH THE PROVISIONS OF THE TRUST INDENTURE DATED JUNE 1, 1965.

WHEREAS, the Board has determined that certain renovations to Cooperstown Apartment Buildings C and D and Shawneetown Apartment Buildings C and D, the installation of a sprinkler system at Donovan Hall, the renovation of elevators in Kirwan Blanding Residence Halls, the installation of an HVAC System in the Donovan Hall food services area and the construction of a new student residence building to accommodate approximately 50 students, for housing and dining purposes are necessary, all of which are a part of the University's Housing and Dining System established in the Trust Indenture between the Board with the Farmers Bank & Capital Trust Company, dated June 1, 1965;

WHEREAS, it is appropriate that the Board finance said renovations through the issuance of University of Kentucky Housing and Dining System Revenue Bonds, Series Q, dated May 1, 1997, in accordance with the right reserved in said Trust Indenture; and

WHEREAS, it is necessary for the Board to enter into a Ninth Supplemental Trust Indenture in the form attached hereto to proceed with the issuance of the Series Q Bonds.

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF TRUSTEES OF UNIVERSITY OF KENTUCKY, AS FOLLOWS:

Section 1. This Board hereby authorizes the issuance of its "University of Kentucky Housing and Dining System Revenue Bonds, Series Q (the "Series Q Bonds")", in the principal amount of \$6,645,000 (plus or minus up to \$664,500), according to statutory authority as set forth in KRS 162.340 to 162.380, inclusive, and in accordance with the terms, provisions, conditions and restrictions set forth in that certain Trust Indenture dated June 1, 1965, wherein the present Housing and Dining System of the University was created and established, and a certain Ninth Supplemental Trust Indenture to be dated as of the date of the Series Q Bonds; said Series Q Bonds to rank on a basis of parity and equality as to security and source of payment with the Board's previously issued and outstanding "Housing and Dining System Revenue Bonds," Series E, F, G, I, K, M, N, O and P (the Series N Bonds having been issued to refund the Series J Bonds, and to refund the Series L Bonds scheduled to mature on and after June 1, 1997).

Section 2. In order to assure the purchasers of the Series Q Bonds that interest thereon will be excludable from gross income for federal income tax purposes and exempt from Kentucky income taxation, the Board agrees that (1) the Board will take all actions necessary to comply with the provisions of the Internal Revenue Code of 1986 (the "Code"), (2) the Board will take no

actions which will violate any of the provisions of the Code, or that would cause the Series Q Bonds to become "private activity bonds" within the meaning of the code, (3) none of the proceeds of the Series Q Bonds will be used for any purpose which would cause the interest on the Series Q Bonds to become subject to federal income taxation, and that the Board will comply with any and all requirements as to rebate (and reports with reference thereto) to the United States of America of certain investment earnings on the proceeds of the Series Q Bonds.

The Board has been advised by Bond Counsel, Peck, Shaffer & Williams, L.L.P., Covington, Kentucky, and therefore believes, that the Series Q Bonds are not "private activity bonds" within the meaning of the Code, and that interest on the Series Q Bonds is not included as an item of tax preference in calculating the alternative minimum tax for individuals.

Prior to or at the time of delivery of the Series Q Bonds, the Chairman of the Board and/or the chief financial officer of the University shall execute the appropriate certifications with reference to the matters referred to above, setting out all known and contemplated facts concerning such anticipated expenditures and investments, including the execution of necessary and/or desirable certifications of the type contemplated by applicable Treasury Regulations in order to assure that interest on the Series Q Bonds will be exempt from all federal income taxes and that the Series Q Bonds will not be treated as arbitrage bonds.

Section 3. In order to implement the issuance of said Series Q Bonds, and to make provision for all details relating to said Series Q Bonds, including the date thereof, the disposition thereof, respective conditions and limitations applicable to the public offering thereof, maturities, redemption provisions and security and source of payment thereof, and in order to comply with the requirements of the aforementioned Trust Indenture dated June 1, 1965, in connection therewith, this Board shall execute the Ninth Supplemental Trust Indenture with Farmers Bank & Capital Trust Company, Frankfort, Kentucky, as Trustee. A proposed form of such Ninth Supplemental Trust Indenture having been prepared in advance by Bond Counsel, Peck, Shaffer & Williams, L.L.P., Covington, Kentucky, with the approval of the Treasurer of the University, and the Financial Advisor, J.J.B. Hilliard, W.L. Lyons, Inc., and such proposed form having been submitted to and examined by this Board, such form is hereby approved and shall be executed substantially in the submitted form, with permissible modifications and corrections which, in the opinion of Bond Counsel and the Treasurer of the University, do not change the import thereof in any material respect. The form of the Ninth Supplemental Trust Indenture is hereby approved, is incorporated in full as a part of this Resolution, and is in substantially the form attached hereto.

Section 4. Provisions as to Sale of Series Q Bonds. The sale of the Series Q Bonds has been tentatively scheduled for May 6, 1997; however, the President of the University is hereby authorized to direct that said Series Q Bonds be sold at a later if conditions in the marketplace are not favorable for the sale of the Series Q Bonds on May 6, 1997.

The forms of Notice of Bond Sale, Official Terms and Conditions of Sale of Bonds, Bid Form and Official Statement, shall be in such form as approved by Bond Counsel, by the Board's Financial Advisors and by the Treasurer of the University.

The Board authorizes the publication of the Notice of Bond sale in accordance with Chapter 424 of the Kentucky Revised Statutes and the Financial Advisors are authorized to disseminate copies of the Official Statement.

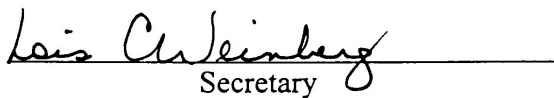
Sealed bids for the purchase of the Series Q Bonds shall be opened and considered by the Finance Committee on the date of the sale, whereupon the Board or the Executive Committee of the Board thereunto duly authorized shall, by resolution, accept the lowest and best bid as recommended by J.J.B. Hilliard, W.L. Lyons, Inc., the Financial Advisor to the Board.

Section 5. Certificate of Director of Physical Plant. The Board hereby acknowledges and approves the Certification of Director of Physical Plant in the form attached hereto.

Dated: April 1, 1997

(SEAL)

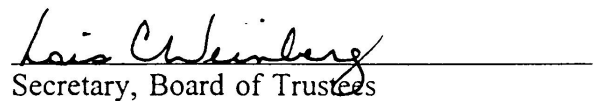
  
Chairman

  
Secretary

#### CERTIFICATE OF SECRETARY

I, Lois Weinberg, Secretary of the Board of Trustees of University of Kentucky, Lexington, Kentucky, hereby certify (1) that the foregoing Resolution was adopted by the Board of Trustees at its meeting held on April 1, 1997, and has been duly recorded in the official minutes and records of this Board of Trustees.

Witness my signature this 1<sup>st</sup> day of April, 1997.

  
Secretary, Board of Trustees

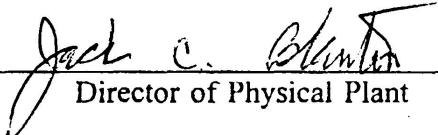
Re: \$6,645,000 University of Kentucky Housing and Dining System Revenue Bonds,  
Series Q, dated May 1, 1997

CERTIFICATE WITH REFERENCE TO THE ISSUANCE OF HOUSING AND  
DINING SYSTEM REVENUE BONDS, SERIES Q, CONFORMING TO THE  
REQUIREMENTS OF SECTION 1101(C) OF ARTICLE XI OF THE TRUST  
INDENTURE DATED JUNE 1, 1965, BETWEEN THE BOARD OF TRUSTEES  
OF UNIVERSITY OF KENTUCKY AND FARMERS BANK & CAPITAL  
TRUST COMPANY, FRANKFORT, KENTUCKY, AS TRUSTEE, SHOWING  
COMPLIANCE WITH CONDITIONS FOR ISSUANCE OF PARITY BONDS


The undersigned, Jack C. Blanton, Director of Physical Plant of University of Kentucky, Lexington, Kentucky, hereby makes the following certification for the purpose of showing compliance by said University with the requirements of Section 1101(c) of ARTICLE XI of the Trust Indenture dated June 1, 1965, made by the Board of Trustees of University of Kentucky with Farmers Bank & Capital Trust Company, Frankfort, Kentucky, as Trustee (the "Trust Indenture" or the "Indenture"), with reference to the issuance of \$6,645,000 (plus or minus up to \$664,500) of said Board's "Housing and Dining System Revenue Bonds, Series Q" in order to qualify the Series Q Bonds to rank on a basis of parity and equality as to security and source of payment with the previously issued and outstanding Housing and Dining System Revenue Bonds, Series E, F, G, I, K, M, N, O and P, inclusive:

In my capacity as the employee of the Board and the University at this time principally charged with responsibility for the maintenance and repair of the housing and dining buildings and appurtenant facilities comprising the presently existing housing and dining facilities of the System, I certify that a physical inspection of said housing and dining buildings and appurtenant facilities of the System has been made, and that the same are in a good and current state of tenantability and repair there being no exceptions or reservations in this connection.

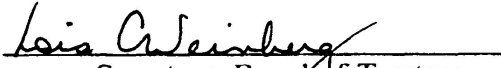
IN TESTIMONY WHEREOF, witness my signature as Director of Physical Plant, this  
1 day of April, 1997.

  
\_\_\_\_\_  
Director of Physical Plant

APPROVED:

  
\_\_\_\_\_  
President  
University of Kentucky

Certified to have been submitted to and approved by the Board of Trustees at a meeting held on April 1, 1997.

  
\_\_\_\_\_  
Secretary, Board of Trustees  
University of Kentucky



NINTH SUPPLEMENTAL TRUST INDENTURE

MADE BY

BOARD OF TRUSTEES OF UNIVERSITY OF KENTUCKY  
Lexington, Kentucky

TO

FARMERS BANK & CAPITAL TRUST COMPANY  
Frankfort, Kentucky  
as Trustee

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DATED AS OF MAY 1, 1997

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SECURING

UNIVERSITY OF KENTUCKY HOUSING  
AND DINING SYSTEM REVENUE BONDS

SERIES Q BONDS \$6,645,000 (plus or minus up to \$664,500)

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NINTH SUPPLEMENTAL TRUST INDENTURE  
SECURING  
UNIVERSITY OF KENTUCKY HOUSING  
AND DINING SYSTEM REVENUE BONDS

ISSUED BY BOARD OF TRUSTEES OF  
UNIVERSITY OF KENTUCKY,  
LEXINGTON, KENTUCKY,

CONSISTING OF

SERIES Q BONDS \$6,645,000 (plus or minus up to \$664,500)

Dated as of the first day of the month in which issued

AND

UNIVERSITY OF KENTUCKY HOUSING  
AND DINING SYSTEM REVENUE BONDS

CONSISTING OF

SERIES E BONDS	\$70,000
SERIES F BONDS	265,000
SERIES G BONDS	520,000
SERIES I BONDS	11,450,000

Dated June 1, 1965

SERIES K BONDS	3,210,000
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Dated December 1, 1978

SERIES M BONDS	2,786,000
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Dated January 1, 1993

SERIES N BONDS	3,965,000
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Dated as of February 1, 1994

SERIES O BONDS	2,075,000
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Dated as of May 1, 1994

SERIES P BONDS	2,140,000
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Dated as of April 1, 1996

THIS NINTH SUPPLEMENTAL TRUST INDENTURE, dated as of May 1, 1997, made by and between BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY , a public body corporate, and an educational Institution and agency of the Commonwealth of Kentucky. at Lexington, Kentucky (hereinafter called the "Board"), party of the first part, and FARMERS BANK & CAPITAL TRUST COMPANY, a state banking corporation duly organized and existing according to the laws of the Commonwealth of Kentucky, having full powers to act as a corporate Trustee, and having its principal office and place of business in the City of Frankfort, County of Franklin, Commonwealth of Kentucky, as Trustee (hereinafter called the "Trustee"), party of the second part;

#### W I T N E S S E T H

That by reason of the circumstances, in order to accomplish the purposes, and for the mutual considerations hereinafter set forth, the Board and the Trustee hereby agree as follows:

#### ARTICLE I - RECITALS

Section 101. Authorization of Series E, F, G, I, K, M, N, O and P Bonds. The Board has heretofore authorized, issued and has outstanding its "Western Kentucky University Housing and Dining System Revenue Bonds," Series E, Series F, Series G, and Series I, dated as of June 1, 1965, Series K, dated as of December 1, 1978, Series M, dated as of January 1, 1993, Series N, dated as of February 1, 1994, Series O, dated as of June 1, 1994 and Series P, dated as of April 1, 1996, in the following respective amounts:

SERIES E BONDS	\$70,000
SERIES F BONDS	265,000
SERIES G BONDS	520,000
SERIES I BONDS	11,450,000
SERIES K BONDS	3,210,000
SERIES M BONDS	2,786,000
SERIES N BONDS	3,965,000
SERIES O BONDS	2,075,000
SERIES P BONDS	2,140,000

Section 102. Security and Source of Payment of Bonds. In order to provide for the security and source of payment of said outstanding Bonds of Series E, Series F, Series G, Series I, Series K, Series M, Series N, Series O, and Series P, together with additional Series of said Bonds permissively to be issued in the future subject to certain prescribed terms and conditions, the Board entered into a certain Trust Indenture and Supplemental Trust Indenture with the Trustee dated as of June 1, 1965 (hereinafter the "Trust Indenture"). Provisions were therein made, inter alia, for future execution by the Board and the Trustee of Supplemental Trust Indentures to evidence the authorization of, and to provide additional security for, additional Series of such "Housing and Dining System Revenue Bonds," and to evidence compliance with the conditions and restrictions prescribed in the Trust Indenture in that connection.

Section 103. Compliance with Trust Indenture. All provisions of the Trust Indenture relating to the authorization and issuance of the aforesaid outstanding Bonds of Series E, Series F, Series G, Series I, Series K, Series M, Series N, Series O, and Series P; the public sale of certain of said Series, the exchange of certain of said Series for outstanding previously issued Bonds held by an Agency of the United States Government; payment and/or redemption of previously issued Bonds held by private investors; the purchase of the Bonds of Series E, F, I, and K by the State Property and Buildings Commission of the Commonwealth of Kentucky; the purchase of the Series M Bonds by the United States Department of Education; and otherwise relating to custody and application of Bond proceeds have been fully performed, or are currently being carried forward, in strict compliance with the applicable requirements of said Trust Indenture.

## ARTICLE II - PURPOSES

Section 201. Authorization of Series Q Project. The Board has heretofore been authorized to undertake the renovation of Cooperstown Apartment Buildings C and D and Shawneetown Apartment Buildings C and D, the installation of a sprinkler system at Donovan Hall, the renovation of elevators in Kirwan Blanding Residence Halls, the installation of an HVAC System in the Donovan Hall food services area and the construction of a new student residence building to accommodate approximately 50 students, for housing and dining purposes (collectively, the "Series Q Project").

Section 202. Purpose. It is the purpose of the Board and the Trustee to provide, in and by the terms, provisions, conditions and limitations of this Ninth Supplemental Trust Indenture, for the issuance by the Board of \$6,645,000 (plus or minus up to \$664,500) of "University of Kentucky Housing and Dining System Revenue Bonds, Series Q," for the purpose of financing the aforementioned Series Q Project, in the particular manner and upon the terms and conditions set forth in the aforesaid Trust Indenture.

## ARTICLE III - DEFINITIONS

This Ninth Supplemental Trust Indenture is executed in accordance with ARTICLE XII of the Trust Indenture dated June 1, 1965, between the parties. Wherever the following words, designations, phrases and clauses are used, the same, unless the context shall clearly indicate another or different meaning or intent, shall be construed, are used, and are intended to have the meanings, and to be inclusive, as follows:

"Bonds" (without further identification) refers to the "University of Kentucky Housing and Dining System Revenue Bonds" authorized or permitted to be issued by the Board pursuant to the terms, provisions, conditions and limitations set forth herein and in the Trust Indenture dated as of June 1, 1965, the Supplemental Trust Indenture dated as of June 1, 1965, the Second Supplemental Trust Indenture dated as of June 1, 1965, the Third Supplemental Trust Indenture dated as of December 1, 1978, the Fourth Supplemental Trust Indenture dated as of June 1, 1986, the Fifth Supplemental Trust Indenture dated as of January 1, 1993, the Sixth Supplemental Trust Indenture dated as of February 1, 1994, the Seventh Supplemental Trust Indenture dated as of May 1, 1994, the Eighth Supplemental Trust Indenture dated as of April 1, 1996, and this Ninth Supplemental Trust Indenture between the parties hereto.

"Code" refers to the Internal Revenue Code of 1986, as amended, and the Treasury Regulations pertaining thereto.

"Memorandum of Instructions" means the Memorandum of Instructions Regarding Rebate delivered to the Board and the Trustee at the time of the issuance and delivery of the Series Q Bonds as the same may be amended or supplemented in accordance with its terms.

"Ninth Supplemental Indenture," "Ninth Supplemental Trust Indenture," or "Supplemental Indenture" refers to this instrument;

"Record Date" shall mean, with respect to any interest payment date, the close of business on May 15 and November 15, as the case may be, next preceding such interest payment date, whether or not such May 15 or November 15 is a business day.

"Series Q Bonds" refers to the "University of Kentucky Housing and Dining System Revenue Bonds, Series Q, dated as of the first day of the month in which issued or sold

"Series Q Construction Fund" refers to the Construction Fund or Account for which provision is made in this Ninth Supplemental Indenture for the Series Q Project intended to be financed, in part, through the issuance of the Series Q Bonds.

"Series Q Project" refers to the renovation of Cooperstown Apartment Buildings C and D and Shawneetown Apartment Buildings C and D, the installation of a sprinkler system at Donovan Hall, the renovation of elevators in Kirwan Blanding Residence Halls, the installation of an HVAC System in the Donovan Hall food services area and the construction of a new student residence building to accommodate approximately 50 students, for housing and dining purposes.

"University of Kentucky Housing and Dining System," "Housing and Dining System," and "System" refers to the housing and dining buildings, appurtenant facilities and related auxiliary enterprises located in Lexington, Fayette County, Kentucky, comprising portions of the University, identified as Blazer Hall, Bowman Hall, Boyd Hall, Bradley Hall, Breckinridge Hall, Donovan Hall, Haggin Hall, Holmes Hall, Jewel Hall, Keeneland Hall, Kinkead Hall, Kirwan-Blanding Complex, Patterson Hall, Gregg Page Stadium View Apartments, Shawneetown, Cooperstown, Commonwealth Village, Linden Lane-Rose Walk Apartments, Student Center Cafe, K-Lair Grill, and as the same may be added to in the future by including therein any other housing and dining facilities or related auxiliary enterprises and in accordance with the provisions of the Trust Indenture and this Supplemental Indenture.

#### ARTICLE IV - AUTHORIZATION OF SERIES Q BONDS

Section 401. Authorization and Designation of Series Q Bonds. Pursuant to the provisions of the Trust Indenture there is hereby authorized to be issued by the Board, in its corporate capacity, a Series of Bonds in the aggregate principal amount of \$6,645,000 (plus or minus up to \$664,500). Such Series Q Bonds shall be designated as "University of Kentucky Housing and Dining System Revenue Bonds, Series Q." Said Series Q Bonds are hereby declared

to have been authorized hereunder and under the Trust Indenture in conformity with the provisions of ARTICLE XI thereof. The Board hereby represents that the conditions prescribed in Section 1101 of the Trust Indenture will have been complied with prior to the issuance of the Series Q Bonds, and that the Series Q Bonds are issued on a basis of parity with the Series E, Series F, Series G, Series I, Series K, Series M, Series N, Series O, and Series P Bonds, and such subsequent parity bonds as may hereafter be authorized subject to the prescribed limitations.

Section 402. Description of Series Q Project. Said Series Q Bonds are being issued for the purpose of paying the costs (to the extent not otherwise provided) of erecting and completing educational buildings for housing purposes, with necessary appurtenances, upon the property of the University in Fayette County, Kentucky, consisting of the renovation of Cooperstown Apartment Buildings C and D and Shawneetown Apartment Buildings C and D, the installation of a sprinkler system at Donovan Hall, the renovation of elevators in Kirwan Blanding Residence Halls, the installation of an HVAC System in the Donovan Hall food services area and the construction of a new student residence building to accommodate approximately 50 students, for housing and dining purposes, being the Series Q Project, which constitutes a part of the Housing and Dining System of said University.

Section 403. Series Q Bonds Issued As Fully Registered Bonds; Interest Payment Dates and Maturities. The Series Q Bonds shall be issued as fully registered bonds as to both principal and interest in denominations of \$5,000 or any multiple thereof within a single maturity, shall be dated the first day of the month in which sold, shall mature serially on June 1 in each of the years 1998 through 2017 in such principal amounts and shall bear interest semiannually on June 1 and December 1 of each year, payable commencing December 1, 1997, at such rate or rates of interest fixed as a result of an advertised sale and competitive bidding for said Series Q Bonds, as hereinafter provided.

Each Series Q Bond shall bear interest from the interest payment date to which interest has been paid next preceding the date on which such Series Q Bond is authenticated by the Trustee, unless such Series Q Bond is authenticated on an interest payment date to which interest has been paid, in which event it shall bear interest from such date, or if such Series Q Bond is authenticated prior to the first interest payment date, such Series Q Bond shall bear interest from the date of original issue, and shall be numbered consecutively from R-1 and upward.

Section 404. Registered Owners; Payment of Principal and Interest; Authentication of Series Q Bonds; Mutilated, Lost, Stolen or Destroyed Bonds. So long as any Series Q Bonds remain outstanding, the Trustee shall keep at its principal office a Bond Register showing and recording a register of the owners of the Series Q Bonds and shall provide for the registration and transfer of Series Q Bonds in accordance with the terms of this Supplemental Indenture, subject to such reasonable regulations as the Trustee may prescribe.

The person in whose name any Series Q Bond is registered on the Bond Register maintained by the Trustee, on the Record Date next preceding the following interest payment date shall be entitled to receive the interest payable on such interest payment date (unless such Series Q Bond shall have been called for redemption on a redemption date which is prior to such



interest payment date) notwithstanding the cancellation of such Series Q Bond upon any registration of transfer or exchange thereof subsequent to such Record Date and prior to such interest payment date.

The principal of (redemption price, if redeemed prior to maturity) and interest on the Series Q Bonds shall be payable in lawful money of the United States of America as same, respectively become due. The principal of each Series Q Bond is payable upon surrender of same at the principal office of the Trustee. Interest on the Series Q Bonds shall be paid by check mailed by the Trustee on or before each interest payment date to the owners of the Series Q Bonds shown on the Bond Register as of the end of business on the Record Date, at the respective addresses appearing on the Bond Register.

The Series Q Bonds shall be executed on behalf of the Board, as permitted by Section 61.390 of the Kentucky Revised Statutes, with the duly authorized reproduced facsimile signature of the Chairman, and the reproduced facsimile of its corporate seal shall be imprinted thereon and attested by the reproduced facsimile signature of the Secretary; and said officials, by the execution of appropriate certifications, shall adopt as and for their own proper signatures, their respective facsimile signatures on said Series Q Bonds; provided the Authentication Certificate of Trustee must be executed by the manual signature of the Trustee on each Series Q Bond before such Series Q Bond shall be valid.

At least five (5) business days prior to the date for payment of the purchase price for the Series Q Bonds, the purchasers of the Series Q Bonds shall furnish to the Trustee the name, address, social security number or taxpayer identification number, of each party to whom the Series Q Bonds shall have been resold and in whose name the Series Q Bonds are to be registered, and the principal amounts and maturities thereof. The Trustee shall then issue and deliver to each respective purchaser, on the closing date, fully registered Series Q Bonds for each registered owner so designated in substantially the form as that set out in Section 902 hereof.

The Trustee shall have the right to order the preparation of whatever number of Series Q Bond certificates as, in the sole discretion of the Trustee, shall be deemed necessary in order to enable the Trustee to maintain an adequate reserve supply of such Series Q Bond certificates to effect properly the continuing transfers and exchanges of ownership of Series Q Bond certificates as same are sold, exchanged and/or otherwise surrendered in the future. No further action regarding the authorization or execution of additional Series Q Bond certificates shall be required by the Board, and all expenses incident thereto shall be borne by the Board.

All Series Q Bonds shall be exchangeable and transferable upon presentation and surrender thereof at the office of the Trustee, duly endorsed for transfer or accompanied by an assignment duly executed by the owner or his authorized representative, for a Series Q Bond or Series Q Bonds of the same maturity and interest rate and in any authorized denomination of \$5,000 and/or a multiple thereof within a single maturity, in an aggregate principal amount or amounts equal to the unpaid principal amount of the Series Q Bond or Series Q Bonds presented for exchange and transfer. The Trustee shall be and is hereby authorized to (authenticate and) deliver exchange Series Q Bonds in accordance with the provisions of this Section. Each exchange Series Q Bond

delivered in accordance with this Section shall constitute an original contractual obligation of the Board and shall be entitled to the benefits and security of the Trust Indenture and this Supplemental Indenture to the same extent as the Series Q Bond or Series Q Bonds in lieu of which such exchange Series Q Bond is delivered.

No Series Q Bond shall be valid or obligatory for any purpose or be entitled to any security or benefit of the Trust Indenture or this Supplemental Indenture unless and until such Series Q Bond has been duly authenticated by the Trustee by the execution of the Authentication Certificate of Trustee appearing on such Series Q Bond. Such Certificate appearing on any Series Q Bond shall be deemed to have been duly executed by the Trustee if manually signed by an authorized officer of the Trustee. It shall not be required that the same officer of the Trustee sign such Certificate on all of the Series Q Bonds.

If any Series Q Bond shall be mutilated, lost, stolen or destroyed, the Trustee may execute, authenticate and deliver a new Series Q Bond of like maturity and tenor in lieu of and in substitution for the Series Q Bond mutilated, lost, stolen or destroyed; provided that, in the case of any mutilated Series Q Bond, such mutilated Series Q Bond shall first be surrendered to the Trustee, and in the case of any lost, stolen or destroyed Series Q Bond, there shall be first furnished to the Trustee satisfactory evidence of the ownership of such Series Q Bond and of such loss, theft or destruction, together with indemnity satisfactory to the Trustee. If any such Series Q Bond shall have matured, the Trustee may pay the same instead of issuing a new Series Q Bond. The Trustee may charge the owner of such Series Q Bond its reasonable fees and expenses in this connection.

#### ARTICLE V - SERIES Q BONDS TO BE OFFERED AT PUBLIC SALE

The Series Q Bonds shall be sold at public sale immediately after public advertising as required by KRS Chapter 424. Bids shall be received in the office of the Treasurer of the University until a day and hour designated by the President of the University. The Board or the Executive Committee of the Board, upon the advice of J.J.B. Hilliard, W.L. Lyons, the Financial Advisor to the Board, is authorized and directed to determine and accept, by resolution on behalf of the Board, the successful bid for the Series Q Bonds, and the principal maturities and interest rates of said Series Q Bonds shall be automatically fixed at the principal maturities and interest rates set out in said successful bid accepted in said resolution, without the necessity of any further action by the Board fixing said principal maturities and interest rates. The proceeds of the sale of said Series Q Bonds shall be used only for the purposes herein described.

#### ARTICLE VI - CUSTODY AND APPLICATION OF BOND PROCEEDS.

Section 601. Creation of Series Q Construction Fund. A special fund is hereby created and designated the "University of Kentucky Housing and Dining System Construction Fund, Series Q" (the "Series Q Construction Fund"), to the credit of which there shall be deposited, as received, the proceeds of the Series Q Bonds, with the exception of the accrued interest to be deposited in the 1965 Bond and Interest Sinking Fund, and the expenses of issuance of the Series Q Bonds, to be deposited in the "Costs of Issuance Account" hereinafter created. The moneys for the Series Q Construction Fund shall be paid to the State Treasurer of the Commonwealth of Kentucky, with its separate designation, and shall be held in trust by the State Treasurer (with

any supplemental funds provided from other sources) and applied on orders of the Board to the payment of the costs of the Series Q Project, in accordance with and subject to the provisions of this Article, and, pending such application, shall be subject to a lien and charge in favor of the owners of the Series Q Bonds, as issued and outstanding under the Trust Indenture and this Ninth Supplemental Indenture, and shall be held for the further security of such owners until paid out as herein provided.

Section 602. Creation of the "Costs of Issuance Account." A special account is hereby created and designated the "University of Kentucky Housing and Dining System Costs of Issuance Account, Series Q" (the "Series Q Costs of Issuance Account"), which is a temporary account to be set up by the Trustee, to the credit of which there shall be deposited, as received, the proceeds of the Series Q Bonds to be used to pay the costs of issuance of the Series Q Bonds on and after the date of issuance of the Series Q Bonds. After all costs of issuance of the Series Q Bonds shall have been paid, any funds remaining in the Series Q Costs of Issuance Account shall be transferred and deposited to the Series Q Construction Fund and used for the purposes thereof.

Section 603. Application of Proceeds of Series Q Construction Fund. For the purposes of this Article, the costs of the Series Q Project intended to be financed through the issuance of the Series Q Bonds shall include, without intending thereby to limit or restrict or extend any proper definition of such costs under any applicable laws or under the Trust Indenture and this Supplemental Indenture, disbursements for, or reimbursement to the Commonwealth and the University for advances made for, the following:

(a) obligations incurred for labor and to contractors, builders and materialmen in connection with the construction of said Series Q Project;

(b) fees and expenses of engineers and architects for surveys and estimates and other preliminary investigations, preparation of plans, drawings and specifications and supervising construction, as well as for the performance of all other duties of engineers and architects in relation to the planning and construction of the Series Q Project or in connection with the issuance of the Series Q Bonds;

(c) to the extent of any surplus remaining after payment of all of the costs of the Series Q Project, toward the cost of movable furnishings and fixtures for said Series Q Project; and

(d) interest accruing on the Series Q Bonds during construction of the Series Q Project, not otherwise provided.

Section 604. Application of Excess Proceeds after Completion of Series Q Project. When the Series Q Project shall have been completed and audited, any balance remaining in the Series Q Construction Fund and not necessary, in the opinion of the Board, to be reserved for the payment of any remaining part of the costs of the Series Q Project, may, upon order of the Board, be applied, in whole or in part, to (i) deposit with the Trustee for credit to the 1965 Debt Service Reserve, or (ii) the cost of constructing, reconstructing or completing educational buildings for housing or dining purposes upon the campus of the University in Fayette County, Kentucky, including necessary appurtenant facilities, furnishings and equipment, if the same will,

Series Q Construction Fund for the purpose of reducing the amount of a subsequent series of the Board's Housing and Dining System Revenue Bonds issued under the Trust Indenture and in accordance with the conditions and restrictions therein prescribed.

Section 605. Investment of Moneys in Series Q Construction Fund. If it be determined at any time by the Board that the moneys on deposit in the Series Q Construction Fund exceed the estimated disbursements on account of said Series Q Project for the ensuing two (2) months, such excess may be invested by the State Treasurer upon orders of the Board in (i) direct obligations of the United States of America or obligations which are fully guaranteed by the United States of America, or (ii) negotiable or non-negotiable certificates of deposit issued by any bank, trust company or national banking association (including the Trustee) which is insured by the Federal Deposit Insurance Corporation; provided that if any certificate of deposit shall exceed the amount of such insurance, the amount of any certificate of deposit in excess of that covered by such insurance must be secured by a first and prior pledge of obligations described in clause (i) above having market values of not less than 100% of the excess, or (iii) as provided in KRS 42.500(8). Such investments shall be selected in such manner as to mature according to estimates of Architects charged with supervision of construction, not later than the time or times when it is anticipated that cash will be required for authorized purposes and all such investments, as well as all income therefrom, shall be carried to the credit of said Series Q Construction Fund.

Section 606. Debt Service Reserve. There shall be deposited to the credit of the Debt Service Reserve portion of the 1965 Sinking Fund, from the proceeds of the sale of the Series Q Bonds, an amount equal to the maximum annual debt service requirements of principal and interest on the Series Q Bonds, not to exceed an amount equal to 10% of the principal amount of the Series Q Bonds.

#### ARTICLE VII - REDEMPTION PROVISION

With respect to the Series Q Bonds, the Board reserves certain options or privileges of redemption, as follows:

(a) Series Q Bonds shall be subject to redemption from the proceeds of insurance, in the event of damage or destruction of properties constituting parts of the Housing and Dining System, as provided in ARTICLE XIV of the Trust Indenture;

(b) The Board reserves the right to call for redemption, subject to the redemption provisions of the respective Bond Series, any and all outstanding Bonds which may be called and redeemed at par or face value, prior to calling for redemption any Bonds that are callable at a premium;

(c) Subject to all of the foregoing, and the provisions for notice as hereinafter get forth, the Series Q Bonds shall be subject to redemption at the option of the Board, as follows:

Series Q Bonds maturing on and prior to June 1, 2007, shall not be subject to redemption except from the Proceeds of insurance as provided in the Trust Indenture.

Series Q Bonds maturing on and after June 1, 2008, shall be Subject to redemption prior to their stated maturities either:

(i) in part, in inverse order of maturity (less than all of a single maturity to be selected by lot) from Revenues accumulated in the 1965 Sinking Fund and properly available for such purpose, on any interest payment date on and after June 1, 2007; or

(ii) in whole (alone or with any other Series of Bonds outstanding under the Indenture as the Board may designate, in its sole discretion without regard to priority of issue, alphabetical designation or otherwise) from any moneys which may be made available from any source for such purpose, at any date not earlier than June 1, 2007,

at a redemption price expressed as a percentage of the principal amount of the Series Q Bonds to be redeemed, together with interest to the designated redemption date at the respective applicable interest rates, in accordance with the following schedule:

<u>IF REDEEMED</u> (Both Dates Inclusive)	<u>REDEMPTION PRICE</u>
June 1, 2007 through May 31, 2008	102%
June 1, 2008 through May 31, 2009	101%
June 1, 2009, and thereafter	100%

In the event that a Series Q Bond subject to redemption is in a denomination larger than \$5,000, a portion of such Series Q Bond may be redeemed, but only in a principal amount equal to \$5,000 or an integral multiple thereof. Upon surrender of any Series Q Bond for redemption in part, the Trustee shall authenticate and deliver an exchange Series Q Bond or Series Q Bonds in an aggregate principal amount equal to the unredeemed portion of the Series Q Bond so surrendered.

#### ARTICLE VIII - THE HOUSING AND DINING SYSTEM; REVENUES; SEGREGATION; SPECIAL FUNDS

Section 801. Confirmation of Existence and Continuance of System. The Board hereby re-establishes and confirms the existence and continuance of its "Housing and Dining System," comprising and including all of the housing and dining buildings, appurtenant facilities and auxiliary enterprises identified in the Trust Indenture, specifically including (but not by way of limiting the generality of the foregoing), the facilities constituting the Series Q Project.

Section 802. Reaffirmation of Provisions of Section 904 of Trust Indenture. The Board reaffirms the provisions of Section 904 of ARTICLE IX of the Trust Indenture, and without limiting the generality of the foregoing, covenants and agrees:

(a) upon the sale of the Series Q Bonds, to deposit to the 1965 Sinking Fund the accrued interest, if any, received from the purchaser at the time of the delivery of the Series Q Bonds;

(b) commencing with the May 1 or November 1 next following the issuance of the Series Q Bonds to increase the semiannual transfers heretofore provided by the Trust Indenture to be made from the 1965 Revenue Fund and deposited to the credit of the 1965 Sinking Fund for the purpose of paying interest to such amount (subject to credit for the amount deposited under [a] above) as will be sufficient to provide for the payment of interest accruing on all then outstanding bonds maturing on the next ensuing interest payment date;

(c) commencing November 1, 1997, and on each May 1 and November 1 thereafter, to increase the transfers heretofore provided by the Trust Indenture to be made from the 1965 Revenue Fund to the 1965 Sinking Fund for payment of maturing principal to an amount equal to one-half of the principal of all then outstanding Series Q Bonds which will mature on the next ensuing June 1; and

(d) commencing with the May 1 or November 1 next following the issuance of the Series Q Bonds, the Board shall transfer, semiannually, from the 1965 Revenue Fund for deposit to the credit of the 1965 Sinking Fund, an amount in addition to the semiannual payments required to be made under subsections (a) and (b) of Section 904(5) of ARTICLE IX of the Trust Indenture, on an annual basis, equal to twenty-five percent (25%) of the average annual debt service requirements of principal and interest on the Series Q Bonds; the same to be continued so long as the funds and/or investments in the 1965 Debt Service Reserve shall be less than an amount sufficient to pay the maximum amount which will become due in any Fiscal Year thereafter for the principal of and interest on all then outstanding Bonds.

Section 803. Reaffirmation of Section 907 of Trust Indenture. The Board reaffirms the provisions of Section 907 of ARTICLE IX of the Trust Indenture. Without limiting the generality of the foregoing, the Board further covenants and agrees to the adjustment of annual payments to be made into the 1965 Repair and Maintenance Reserve, beginning with the Fiscal Year during which the Series Q Bonds are issued, to the extent that at the close of each Fiscal Year it will transfer from the 1965 Revenue Fund and deposit in the 1965 Repair and Maintenance Reserve the sum of \$114,050, or so much thereof as may be available for transfer, until the funds and/or investments therein aggregate \$1,831,000, and thereafter such sums in the maximum amount which may be available for transfer at the close of each Fiscal Year, to maintain the balance of \$1,831,000.

ARTICLE IX - FORMS; FULLY REGISTERED BONDS; CERTIFICATION  
OF SECRETARY, FINANCE AND ADMINISTRATION CABINET;  
TRUSTEE'S AUTHENTICATION CERTIFICATE;  
REGISTRATION; ASSIGNMENT; ETC.

Section 901. Variations In Bond Form Permitted By Trust Indenture. The Series Q Bonds shall be issued in fully registered form substantially as set forth in ARTICLE X of the Trust Indenture with appropriate insertions, omissions and variations as in the Trust Indenture provided or permitted.

Section 902. Bond Form. The Series Q Bonds, the Certification of the Secretary, Finance and Administration Cabinet to appear thereon, the form of the Authentication Certificate of Trustee and provisions for registration as to principal, shall be substantially as follows:

UNITED STATES OF AMERICA  
COMMONWEALTH OF KENTUCKY  
UNIVERSITY OF KENTUCKY  
HOUSING AND DINING SYSTEM REVENUE BOND  
SERIES Q

NO. DOLLARS

DATE OF ORIGINAL ISSUE: May 1, 1997

INTEREST RATE: MATURITY DATE: CUSIP:

REGISTERED OWNER:

PRINCIPAL AMOUNT:

KNOW ALL MEN BY THESE PRESENTS: That the Board of Trustees of the University of Kentucky, at Lexington, Kentucky, a public body corporate and educational institution and agency of the Commonwealth of Kentucky (hereinafter called the "Board"), for value received, hereby promises to pay to the Registered Owner named above, or registered assigns or legal representatives, as herein provided, solely from the special fund hereinafter identified, upon presentation and surrender of this Series Q Bond, the Principal Amount specified above, on the Maturity Date specified above, and to pay interest on said sum at the per annum Interest Rate specified above, from the interest payment date to which interest has been paid next preceding the date on which this Series Q Bond is authenticated, unless this Series Q Bond is authenticated on an interest payment date to which interest has been paid, in which event this Series Q Bond shall bear interest from such date, or if this Series Q Bond is authenticated prior to the first interest payment date, this Series Q Bond shall bear interest from the Date of Original Issue set out above, semiannually on June 1 and December 1 of each year, commencing December 1, 1997, until payment of the Principal Amount, except as the provisions hereinafter set forth with regard to redemption prior to maturity may be and become applicable hereto. The principal amount of this Series Q Bond (or redemption price, if redeemed prior to maturity) is payable upon surrender of this Series Q Bond, at maturity or at earlier redemption prior to maturity, in lawful money of the United States of America at the principal office of Farmers Bank & Capital Trust Company, Frankfort, Kentucky (the "Trustee"). Interest due on this Series Q Bond shall be paid by check or draft mailed by regular United States mail, postmarked no later than the due date thereof, by the Trustee to the Registered owner and at the address shown as of the 15th day of the month preceding such interest payment date on the Bond Register kept by the Trustee, which is also the Bond Registrar.

This Series Q Bond and the issue of which it is a part is issued on the basis of parity and equality as to security and source of payment with the Series E, Series F, Series G, Series I, Series K, Series M, Series N, Series O and Series P Bonds heretofore issued and outstanding under and pursuant to a Trust Indenture dated as of June 1, 1965, as supplemented by a Supplemental Trust Indenture dated as of June 1, 1965, a Second Supplemental Trust Indenture dated as of June 1, 1965, a Third Supplemental Trust Indenture dated as of December 1, 1978, a Fourth Supplemental Trust Indenture dated as of June 1, 1986, a Fifth Supplemental Trust

Indenture dated as of January 1, 1993, a Sixth Supplemental Trust Indenture dated as of February 1, 1994, a Seventh Supplemental Trust Indenture dated as of May 1, 1994, and the Eighth Supplemental Trust Indenture dated as of April 1, 1996, between the Board and the Trustee.

This Series Q Bond is part of an authorized issue of SIX MILLION SIX HUNDRED FORTY-FIVE THOUSAND DOLLARS (\$6,645,000) principal amount of bonds (hereinafter collectively referred to as the "Series Q Bonds") authorized to be issued by the Board for financing the costs, not otherwise provided, of (i) renovations to Cooperstown Apartment Buildings C and D and Shawneetown Apartment Buildings C and D, the installation of a sprinkler system at Donovan Hall, the renovation of elevators in Kirwan Blanding Residence Halls, the installation of an HVAC System in the Donovan Hall food services area and the construction of a new student residence building to accommodate approximately 50 students, for housing and dining purposes, constituting a part of the Housing and Dining System of Western Kentucky University, consisting of (a) initially, all the student housing facilities and related auxiliary enterprises existing on the campus of said University in Lexington, Franklin County, Kentucky, as of June 1, 1965, (b) the housing and dining buildings and appurtenant facilities financed through application of the proceeds of the Series A through P Bonds, (c) any other housing and dining facilities or related auxiliary enterprises, including such as may be added to the said Housing and Dining System at future dates in accordance with the conditions and restrictions provided in connection with the permissive issuance of parity bonds, and (d) any such facilities as may be added to the Housing and Dining System as additional security for the Bonds (hereinafter sometimes referred to as the "Housing and Dining System," or the "System"), under and in full compliance with the Constitution and Statutes of the Commonwealth of Kentucky, including among others, Sections 162.350 and 162.380, inclusive, of the Kentucky Revised Statutes now in full force and effect.

The Series Q Bonds are issued under and pursuant to the Trust Indenture, dated as of June 1, 1965, and a Ninth Supplemental Trust Indenture, dated as of May 1, 1997 (said indenture, together with all indentures supplemental thereto as therein permitted, being hereinafter called the "Indenture"), executed by and between said Board and the Trustee, an executed counterpart of which is on file at the office of said Trustee in the City of Frankfort, Kentucky. Reference is hereby made to the Indenture for a more specific identification of the Housing and Dining System and for the provisions, among others, with respect to the custody and application of the proceeds of the Series Q Bonds; the collection and disposition of the defined Revenues; the fund charged with and pledged to the payment of the interest on and the principal of said Series Q Bonds; the nature and extent of the security; the reserved right of the Board to issue in the future certain additional Series of Bonds which will rank on a basis of parity as to security and source of payment with the Bonds theretofore authorized, subject to conditions and restrictions which are specifically set forth in the Indenture; the rights, duties and obligations of said Board and of the Trustee; and the rights and limitation of rights of the owners of the Bonds; and, by the acceptance of this series N Bond, the owner hereof assents to all of the provisions of said Indenture.

The owner of this Series Q Bond shall have no right to enforce the provisions of the Indenture or to institute action to enforce the covenants therein, or to take any action with respect to any default under the Indenture, or to institute, appear in or defend any suit or other proceedings with respect thereto, except as provided in the Indenture. The Indenture provides for fixing, charging and collecting rentals and other charges for the use of said Housing and



Dining System, which rents and charges will be sufficient to pay the principal of and interest on said Bonds as the same become due, and to provide reserves for such purposes and also to pay the cost of maintenance, operations and repair of the said Housing and Dining System, to the extent not otherwise provided. The Indenture provides for the creation of a special fund designated "University of Kentucky Housing and Dining System Revenue Bond and Interest Sinking Fund Account" (hereinafter called the "Bond and Interest Sinking Fund"), and for the deposit to the credit of said Bond and Interest Sinking Fund of a fixed amount of the defined Revenues of said Housing and Dining System sufficient to pay the principal of and interest on the Bonds as the same become due, and to provide a reserve for such purpose, which Bond and Interest Sinking Fund is pledged to and charged with the payment of said principal and interest.

The Series Q Bonds are issuable as fully registered Series Q Bonds in the denomination of \$5,000 and any authorized multiple thereof within a single maturity.

This Series Q Bond is transferable by the Registered Owner hereof in person or by his attorney duly authorized in writing at the main office of the Trustee, but only in the manner and subject to the limitations provided in the Indenture, and upon surrender and cancellation of this Series Q Bond, duly endorsed for transfer or accompanied by an assignment duly executed by the Registered Owner or his authorized representative. Upon such transfer being made, a new registered Series Q Bond or Series Q Bonds of the same series and the same maturity of authorized Denomination, for the same aggregate principal amount, will be issued to the transferee in exchange for this Series Q Bond.

The Board and the Trustee may deem and treat the Registered Owner hereof as the absolute owner hereof for the purpose of receiving payment of principal hereof (redemption price, if redeemed prior to maturity) and interest due hereon and for all other purposes, and neither the Board nor the Trustee shall be affected by any notice to the contrary.

With respect to the Series Q Bonds, the Board has reserved certain options or privileges of redemption, as follows:

(a) Series Q Bonds shall be subject to redemption from the proceeds of insurance, in the event of damage or destruction of properties constituting parts of the Housing and Dining System, as provided in ARTICLE XIV of the Trust Indenture;

(b) The Board reserves the right to call for redemption, subject to the redemption provisions of the respective Bond Series, any and all outstanding Bonds which may be called and redeemed at par or face value, prior to calling for redemption any Bonds that are callable at a premium;

(c) Subject to all of the foregoing, and the provisions for notice as hereinafter set forth, the Series Q Bonds shall be subject to redemption at the option of the Board, as follows:

Series Q Bonds maturing on and prior to June 1, 2007, shall not be subject to redemption except from the proceeds of insurance as provided in the Trust Indenture.

Series Q Bonds maturing on and after June 1, 2008, shall be subject to redemption prior to their stated maturities either:

(i) in part, in inverse order of maturity (less than all of a single maturity to be selected by lot) from Revenues accumulated in the 1965 Sinking Fund and properly available for such purpose, on any interest payment date on and after June 1, 2007: or

(ii) in whole (alone or with any other Series of Bonds outstanding under the Indenture as the Board may designate, in its sole discretion without regard to priority of issue, alphabetical designation or otherwise) from any moneys which may be made available from any source for such purpose, at any date not earlier than June 1, 2007, at a redemption price expressed as a percentage of the principal amount of the Series Q Bonds to be redeemed, together with interest to the designated redemption date at the respective applicable interest rates, in accordance with the following schedule:

IF REDEEMED

(Both Dates Inclusive)

REDEMPTION PRICE

June 1, 2007 through May 31, 2008	102%
June 1, 2008 through May 31, 2009	101%
June 1, 2009, and thereafter	100%

The Series Q Bonds maturing on June 1, \_\_\_\_\_, are subject to mandatory redemption, at 100% of the principal amount redeemed plus accrued interest to the date of redemption, on the dates and in the principal amounts to be selected by lot by the Registrar, as follows:

<u>Date</u>	<u>Amounts</u>
June 1, _____	\$ _____
June 1, _____	_____
June 1, _____	_____

In the event that a Series Q Bond subject to redemption is in a denomination larger than \$5,000, a portion of such Series Q Bond may be redeemed, but only in a principal amount equal to \$5,000 or an integral multiple thereof. Upon surrender of any Series Q Bond for redemption in part, the Trustee shall authenticate and deliver an exchange Series Q Bond or Series Q Bonds in an aggregate principal amount equal to the unredeemed portion of the Series Q Bond so surrendered.

If the Board, at its option, undertakes to prepay outstanding Bonds in advance of scheduled maturity, it is agreed and understood that (1) except for the prepayment of Series Q Bonds through application of surplus moneys in the Construction Fund (and as similar conditions may be prescribed, in the discretion of the Board, in connection with the issuance of any future Series of Bonds), calls of Bonds from surplus Revenues accumulated in the Bond and Interest Sinking Fund and available for such purpose shall be on a pro rata basis reflecting the relationship between the Bonds of each Series at such time outstanding, and (2) calls of Bonds of each Series shall be in accordance with the prepayment provisions of each Series; provided,

however, as aforesaid, that the Board shall have the right to call, in accordance with the prepayment provisions of the respective Series, any or all outstanding, Bonds which are subject to prepayment at par prior to calling any Bonds which are callable at a premium.

The Trustee shall give notice of any optional redemption by sending such notice by United States mail, first class, postage prepaid, not less than thirty (30) and not more than sixty (60) days prior to the date fixed for redemption, to the Registered Owner of this Series Q Bond at the address shown on the Bond Register as of the date of mailing of such notice.

A statutory mortgage lien, which is hereby recognized as valid and binding on the buildings and appurtenant facilities of said Housing and Dining System, those portions of the sites physically occupied thereby, and all necessary appurtenances, including adequate provisions for ingress, egress and the rendering of necessary services, is created and granted to and in favor of the Registered owner of this Series Q Bond and the issue of which it is a part, and said Housing and Dining System, including such housing and dining buildings, appurtenant facilities and related auxiliary enterprises, as may hereafter be added to and made a part of said System according to the provisions of the Indenture, shall remain subject to such statutory mortgage lien until the payment in full of the principal of and interest on this Series Q Bond and the issue of which it is a part.

In case any event of default, as defined in the Indenture, Shall occur, the principal of this Series Q Bond may be declared or may become due and payable in the manner and with the effect provided in the Indenture.

No recourse shall be had for the payment of the principal of or interest on this Series Q Bond against any officer, director, trustee or member of the Board, as such, all such liability (if any) being hereby expressly waived and released by every registered owner or transferee hereof by the acceptance hereof, and as a part of the consideration hereof, as provided in the Indenture.

This Series Q Bond shall not be entitled to any benefit under the Indenture or be valid or become obligatory unless it shall have been authenticated by the Trustee, or its successor in trust, by completing the Authentication Certificate of Trustee appearing hereon.

This Series Q Bond is exempt from taxation (except inheritance taxes) in Kentucky.

It is hereby certified, recited and declared that all acts, conditions and things required to exist, happen and be performed precedent to and in the issuance of this Series Q Bond, do exist, have happened and have been performed in due time, form and manner as required by law; and that the amount of this Series Q Bond, together with all other obligations of said Board and of said University of Kentucky, does not exceed any limit prescribed by the Constitution or the Statutes of the Commonwealth of Kentucky; that said Housing and Dining System will be continuously operated, and that a sufficient portion of the defined Revenues therefrom has been pledged to and will be set aside into said Bond and Interest Sinking Fund, as the first charge upon such Revenues, for the payment of the principal of and interest on this Series Q Bond and the issue of which it is a part and any other Bonds which have heretofore and may hereafter be issued and outstanding, which by their terms are payable from said identified special fund, at or prior to maturity.

It is further certified, recited and declared that as permitted by the Constitution, applicable statutory laws and controlling decisions of the Highest Court of the Commonwealth, the said Board of Trustees of the University of Kentucky has irrevocably covenanted and agreed, and hereby irrevocably covenants and agrees with the owner of this Series Q Bond, with the sanction, approval and authorization of the State Property and Buildings Commission of Kentucky, and the Finance and Administration Cabinet of the Commonwealth, as evidenced by proper authorizations and proceedings duly filed with the Trustee, and as further evidenced by the authorized reproduced facsimile signature of the Secretary of the Finance and Administration Cabinet hereon appearing, that if and to the extent that the defined Revenues of said Housing and Dining System shall at any time be or become insufficient (after first meeting all requirements of the special fund hereinabove identified), to pay all costs of operating and maintaining said System, and of keeping the same in a good and tenatable state of repair, said Board of Trustees and the Commonwealth of Kentucky will supply from other sources any deficiencies in such respects as a binding and continuing contractual commitment of the Commonwealth, so long as any Bonds are outstanding and unpaid under the terms and provisions of the Indenture.

IN WITNESS WHEREOF, said Board of Trustees of the University of Kentucky has caused this Series Q Bond to be executed on its behalf with the duly authorized reproduced facsimile signature of its Chairman, and has caused the reproduced facsimile of its Corporate Seal to be imprinted hereon and attested by the reproduced facsimile signature of its Secretary, and dated as of May 1, 1997; provided, however, that this Series Q Bond shall not be valid or become obligatory for any purpose, or be entitled to any security or benefit under the Indenture pursuant to which it was authorized until the Authentication Certificate of Trustee printed hereon shall have been executed by the manual signature of a duly authorized representative of the Trustee.

BOARD OF TRUSTEES OF UNIVERSITY OF  
KENTUCKY

By \_\_\_\_\_ (Facsimile Signature)  
Chairman

Attest:

\_\_\_\_\_  
(Facsimile Signature)  
Secretary

(Facsimile Seal)

It is certified that issuance of this Series Q Bond, in form as above set forth, has been duly approved and authorized by the State Property and Buildings Commission of Kentucky, and by the undersigned.

\_\_\_\_\_  
(Facsimile Signature)  
Secretary, Finance and Administration Cabinet

THE AUTHENTICATION DATE OF THIS BOND IS: \_\_\_\_\_

AUTHENTICATION CERTIFICATE OF TRUSTEE

This is to certify that this Series Q Bond is one of the Series Q Bonds referred to in the within Series Q Bond and in the within-mentioned Indenture. Printed on the reverse hereof is the complete text of the opinion of Bond Counsel, Peck, Shaffer & Williams, L.L.P., 118 West Fifth Street, Covington, Kentucky, a signed original of which is on file with the undersigned, delivered and dated on the date of initial delivery of and payment for the Series Q Bonds.

FARMERS BANK & CAPITAL TRUST  
COMPANY, Trustee

By \_\_\_\_\_  
Authorized Officer

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The following abbreviations, when used in the inscription on the face of the within Bond, shall be construed as though they were written out in full according to applicable laws or regulations:

TEN COM --	as tenants in common	UNIF TRANS MIN ACT - _____	Custodian _____
TEN ENT --	as tenants by the entireties	(Cust)	(Minor)
JT TEN --	as joint tenants with right of survivorship and not as tenants in common		under Uniform Transfers to Minors Act
			_____ (State)

Additional abbreviations may also be used though not in list above.

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ASSIGNMENT

For value received, the undersigned hereby sells, assigns and transfer unto the within Series Q Bond and hereby irrevocably constitutes and appoints attorney to transfer the within Series Q Bond on the books kept for registration and transfer of said Series Q Bond, with full power of substitution in the premises.

Dated: \_\_\_\_\_

\_\_\_\_\_  
(Signature must correspond with name of Registered Owner as it appears on the front of this Bond in every particular, without alteration, enlargement or any change whatsoever.)

Social Security Number or other identifying number: \_\_\_\_\_

Signature Guaranteed By:

\_\_\_\_\_

Notice: Signatures must be guaranteed by a member firm of the New York Stock Exchange or a commercial bank or trust company.

## ARTICLE X - CONCERNING THE TRUSTEE

The Trustee hereby accepts the trusts imposed upon it by this Supplemental Indenture, subject to the express terms and conditions of the Trust Indenture.

## ARTICLE XI - AMENDMENTS AND MODIFICATIONS

The provisions of this Indenture shall constitute a contract between the Board, the Trustee and the owners of the Series Q Bonds as may be outstanding from time to time under this Supplemental Indenture; provided that modifications, alterations and amendments of this Indenture and of the rights and obligations of this Board and of the Trustee and of the owners of said Series Q Bonds as may be outstanding may be made as specifically provided in the Trust Indenture.

## ARTICLE XII - RELEASE AND DISCHARGE OF SUPPLEMENTAL INDENTURE; PARTIAL RELEASES

Release and discharge of this Supplemental Indenture in whole or in part may be effected upon the terms and conditions and in the manner specified in ARTICLE XVII of the Trust Indenture.

## ARTICLE XIII - COMPLIANCE WITH INTERNAL REVENUE CODE OF 1986

The Board covenants that it will not take any action, or fail to take any action, if any such action or failure to take action would adversely affect the exclusion from gross income of the interest on the Series Q Bonds under § 103(a) of the Code. The Board will not directly or indirectly use or permit the use of any proceeds of the Series Q Bonds or any other funds of the University, or take or omit to take any action that would cause the Series Q Bonds to be "arbitrage bonds" within the meaning of §§ 103(b)(2) and 148 of the Code. To that end, the Board will comply with all requirements of §§ 103(b)(2) and 148 of the Code to the extent applicable to the Series Q Bonds. In the event that at any time the Board is of the opinion that it is necessary to restrict or limit the yield on the investment of any moneys held by the Trustee under this Indenture the Board shall so instruct the Trustee in writing, and the Trustee shall take such action as may be necessary in accordance with such instructions.

## ARTICLE XIV - COMPLIANCE WITH FEDERAL ARBITRAGE REGULATIONS

Without limiting the generality of the foregoing Article the Board agrees that there shall be paid from time to time all amounts required to be rebated to the United States pursuant to § 148(f) of the Code and any temporary, proposed or final Treasury Regulations as may be applicable to the Series Q Bonds from time to time. This covenant shall survive payment in full or defeasance of the Series Q Bonds. The Board specifically covenants to pay or cause to be paid to the United States at the times and in the amounts determined under Section 8 of the Lease the Rebate Amount, as described in the Memorandum of Instructions. The Trustee agrees to comply with all instructions of the Board given in accordance with the Memorandum of Instructions.

Notwithstanding any provision of this Article, if the Board shall provide to the Trustee an opinion of nationally recognized bond counsel to the effect that any action required under this Article is no longer required, or to the effect that some further action is required, to maintain the exclusion from gross income of the interest on the Series Q Bonds pursuant to § 103(a) of the Code, the Board and the Trustee may rely conclusively on such opinion in complying with the provisions hereof.

## ARTICLE XV - MISCELLANEOUS PROVISIONS

Section 1501. Nonpresentment of Series Q Bonds for Payment. In the event that any Series Q Bond issued hereunder shall not be presented for payment when the principal thereof becomes due, either at maturity or otherwise, or at the date fixed for the redemption or prepayment of some or all of the principal thereof, as hereinbefore provided (the Board having deposited with the Trustee funds sufficient to pay such Series Q Bonds, together with all interest due thereon to the date of the maturity of such Series Q Bonds or to the date fixed for redemption thereof) then and in every such case, interest on said Series Q Bond and all liability of the Board to the owner of said Series Q Bond for the payment of the principal thereof and interest thereon, shall forthwith cease, determine and be completely discharged, and thereupon it shall be the duty of the Trustee to hold the funds so deposited in trust for the benefit of the owner of such Series Q Bond, who shall thereafter be restricted exclusively to said funds for any claim of whatsoever nature on the part of such owner under this Supplemental Indenture or in said Series Q Bond.

Section 1502. Covenants and Provisions Binding Upon Successors and Assigns. Whenever in this Supplemental Indenture any of the parties hereto is referred to, such reference shall be deemed to include the successors and assigns of such party, and all the covenants, promises and agreements in this Supplemental Indenture contained by or on behalf of the Board, or by or on behalf of the Trustee, shall bind and inure to the benefit of the respective successors and assigns of such parties, whether so expressed or not.

Section 1503. Covenants Contained Hereto Inure Only To the Parties Hereto, Their Successors and Assigns and the Owners of the Bonds. Nothing in this Supplemental Indenture, expressed or implied, is intended or shall be construed to confer upon or give to any person or corporation, other than the parties hereto and the holders and owners of the Bonds and of coupons, if any, any right, remedy or claim under or by reason of this Supplemental Indenture, or any covenant, condition or stipulation hereof, and all the covenants, stipulations, promises, agreements and conditions in this Supplemental Indenture contained, by or on behalf of the Board, shall be for the sole and exclusive benefit of the parties hereto, their successors and assigns, and of the holders and owners of the Bonds and of coupons appurtenant thereto, if any.

Section 1504. Execution of Instruments. Any request, declaration or other instrument required or permitted by this Supplemental Indenture to be made or given by any owner of the Series Q Bonds may be in any number of concurrent instruments of similar tenor, and may be signed or executed by such owners in person or by attorney appointed in writing. The execution of any such request, declaration or other instrument, or of a writing appointing any such attorney, shall be sufficient for any purpose of this Supplemental Indenture and shall be conclusive in favor



of the Trustee as against the person signing such request, and all future owners of the Series Q Bonds owned by such person with regard to due action taken by the Trustee under such request, declaration or other instrument.

Section 1505. Execution In Counterparts. This Supplemental Indenture may be simultaneously executed in any number of counterparts, and all such counterparts executed and delivered, each as an original, shall constitute but one and the same instrument. The date of actual execution of this Supplemental Indenture shall be the date of execution by the Trustee; but nevertheless the effective date hereof shall be the year and day first hereinabove written.

Section 1506. Compliance With SEC Rule 15c2-12. The Board of Trustees hereby agrees, in accordance with the provisions of Rule 15c2-12, as amended and interpreted from time to time (the "Rule"), promulgated by the Securities and Exchange Commission (the "Commission") pursuant to the Securities Exchange Act of 1934, to provide or cause to be provided to each nationally recognized municipal securities information repository ("NRMSIR") and to the appropriate state information depository ("SID"), if any, for the Commonwealth of Kentucky, in each case as designated by the Commission in accordance with the Rule, audited financial statements prepared in accordance with Government Auditing Standards ("GAS"), and financial information and operating data (commencing with the fiscal year ended June 30, 1997) consistent with the information provided in Appendix A to the Official Statement pursuant to which the Series Q Bonds have been offered for sale.

The Board of Trustees reserves the right to modify from time to time the specific types of information provided or the format of the presentation of such information, to the extent necessary or appropriate in the judgment of the Board of Trustees; provided that the Board of Trustees agrees that any such modification will be done in a manner consistent with the Rule.

The annual financial information and operating data, including audited financial statements, will be made available on or before 180 days after the end of each fiscal year (June 30). The annual financial information and operating data will be made available, in addition to the NRMSIR's and the SID, to each holder or beneficial owner of Series Q Bonds who makes request for such information.

The Board of Trustees agrees to provide or cause to be provided, in a timely manner, to the Municipal Securities Rulemaking Board ("MSRB") and the SID, if any, notice of the occurrence of any of the following events with respect to the Series Q Bonds, if such event is material:

- (a) principal and interest payment delinquencies;
- (b) non-payment related defaults;
- (c) unscheduled draws on debt service reserves reflecting financial difficulties;
- (d) unscheduled draws on credit enhancements reflecting financial difficulties;
- (e) substitution of credit or liquidity providers, or their failure to perform;
- (f) adverse tax opinions or events affecting the tax-exempt status of the Series Q Bonds;
- (g) modification to rights of bondholders'
- (h) Bond calls;
- (i) defeasances;

- (j) release, substitution or sale of property securing repayment of the Series Q Bonds;
- (k) rating changes; and
- (l) failure to provide annual financial information as required.

The Board of Trustees may from time to time choose to provide notice of the occurrence of certain other events, in addition to those listed above, if such other event is material with respect to the Series Q Bonds, but the Board of Trustees does not undertake to commit to provide any such notice of the occurrence of any material event except those events listed above.

The Board of Trustees agrees that its undertaking pursuant to the Rule is intended to be for the benefit of the holders or beneficial owners of the Series Q Bonds, and shall be enforceable by such holders or beneficial owners; provided that the right to enforce the provisions of this undertaking shall be limited to a right to obtain specific enforcement of the Board of Trustee's obligations hereunder and any failure by the Board of Trustees to comply with the provisions of this undertaking shall not be an event of default with respect to the Series Q Bonds under the Ninth Supplemental Indenture.

IN TESTIMONY WHEREOF, the Board of Regents of Western Kentucky University has caused its corporate name to be hereunto subscribed by its Chairman and its corporate seal to be hereunto affixed, and said signature and seal to be attested by its Secretary or Acting Secretary, and said Farmers Bank & Capital Trust Company, Frankfort, Kentucky, to evidence its acceptance of the trusts hereby created and vested in it, has caused its corporate name to be hereunto subscribed by its President or by one of its Vice Presidents, or by its Trust Officer, and its corporate seal to be hereto affixed and said signature and seal to be attested by its Secretary, Cashier or Trust Officer, or a duly authorized Assistant, all as of the day and year first above written.

BOARD OF TRUSTEES OF UNIVERSITY  
OF KENTUCKY

By Edward T. Beathill  
Chairman

(SEAL)

Attest:

Lois Weinberg  
Secretary

FARMERS BANK & CAPITAL TRUST  
COMPANY, Frankfort, Kentucky

By \_\_\_\_\_  
Authorized Officer

(SEAL)

Attest:

\_\_\_\_\_  
Secretary

8116.02

OFFICIAL TERMS AND CONDITIONS  
OF SALE OF BONDS

1. DATE AND HOUR OF SALE

The Board of Trustees of University of Kentucky, Lexington, Kentucky, will, until 10:00 A.M., E.D.T., May 6, 1997, at the office of the Controller and Treasurer, 369 Peterson Service Building, Lexington, Kentucky 40506-0005, receive competitive, sealed bids for the purchase of \$6,645,000 (plus or minus up to \$664,500) of University of Kentucky Housing and Dining System Revenue Bonds, Series Q, dated May 1, 1997.

2. DESCRIPTION AND MATURITIES OF BONDS

Said Series Q Bonds bear interest from May 1, 1997, payable semiannually, on June 1 and December 1, commencing December 1, 1997, will be in the denomination of \$5,000 or any multiple thereof within the same maturity, are numbered R-1 and upward, and will mature on June 1 in each of the respective years, as follows:

Maturity <u>June 1</u>	Principal* <u>Amount</u>	Maturity <u>June 1</u>	Principal* <u>Amount</u>
1998	\$210,000	2008	\$325,000
1999	215,000	2009	340,000
2000	225,000	2010	355,000
2001	235,000	2011	375,000
2002	245,000	2012	395,000
2003	255,000	2013	415,000
2004	270,000	2014	440,000
2005	280,000	2015	460,000
2006	295,000	2016	485,000
2007	310,000	2017	515,000

\*The principal maturities are subject to change as provided in the Ninth Supplemental Trust Indenture pursuant to which the Bonds will be issued.

Bidders may elect to structure the maturities to include term bonds with mandatory sinking fund redemptions.

Said Series Q Bonds are payable as to principal at Farmers Bank & Capital Trust Company, Frankfort, Kentucky, the Trustee.

With respect to the Series Q Bonds, the Board has reserved certain options or privileges of redemption, as follows:

(a) Series Q Bonds shall be subject to redemption from the proceeds of insurance, in the event of damage or destruction of properties constituting parts of the Housing and Dining System, as provided in ARTICLE XIV of the Trust Indenture;

(b) The Board reserves the right to call for redemption, subject to the redemption provisions of the respective Bond Series, any and all outstanding Bonds which may be called and redeemed at par or face value, prior to calling for redemption any Bonds that are callable at a premium;

(c) Subject to all of the foregoing, and the provisions for notice as hereinafter set forth, the Series Q Bonds shall be subject to redemption at the option of the Board, as follows:

Series Q Bonds maturing on and prior to June 1, 2007, shall not be subject to redemption except from the proceeds of insurance as provided in the Trust Indenture.

Series Q Bonds maturing on and after June 1, 2008, shall be subject to redemption prior to their stated maturities either:

(i) in part, in any order of maturity (less than all of a single maturity to be selected by lot) from Revenues accumulated in the 1965 Sinking Fund and properly available for such purpose, on any date on and after June 1, 2007; or

(ii) in whole (alone or with any other Series of Bonds outstanding under the Indenture as the Board may designate, in its sole discretion without regard to priority of issue, alphabetical designation or otherwise) from any moneys which may be made available from any source for such purpose, on any date not earlier than June 1, 2007, at a redemption price expressed as a percentage of the principal amount of the Series Q Bonds to be redeemed, together with interest to the designated redemption date at the respective applicable interest rates, in accordance with the following schedule:

<u>IF REDEEMED</u> (Both Dates Inclusive)	<u>REDEMPTION PRICE</u>
June 1, 2007 through May 31, 2008	102%
June 1, 2008 through May 31, 2009	101%
June 1, 2009, and thereafter	100%

In the event that a Series Q Bond subject to redemption is in a denomination larger than \$5,000, a portion of such Series Q Bond may be redeemed, but only in a principal amount equal to \$5,000 or an integral multiple thereof. Upon surrender of any Series Q Bond for redemption in part, the Trustee shall authenticate and deliver an exchange Series Q Bond or Series Q Bonds in an Aggregate principal amount equal to the unredeemed portion of the Series Q Bond so surrendered.

The Series Q Bonds are to be issued in fully registered (both principal and interest). The Trustee will mail a check representing interest payments semiannually to each Bondowner of record as of the 15th day of the month preceding each interest due by regular United States mail postmarked not later than the due date. Principal will be paid upon submission of matured Series Bonds to the Trustee. Upon the submission of a properly executed assignment, the Trustee will transfer ownership of a Series Q Bond within three (3) business days of receipt without expense to the Bondowner.

### 3. AUTHORITY AND PURPOSE

These Series Q Bonds are being issued pursuant to the authority of Sections 162.340 through 162.380, inclusive, and 58.010 through 58.140, inclusive, of the Kentucky Revised Statutes, to provide funds for the renovation of Cooperstown Apartment Buildings C and D and Shawneetown Apartment Buildings C and D, the installation of a sprinkler system at Donovan Hall, the renovation of elevators in Kirwan Blanding Residence Halls, the installation of an HVAC System in the Donovan Hall food services area and the construction of a new student residence building to accommodate approximately 50 students, for housing and dining purposes, all of which are part of the Housing and Dining System of the University as such system was established pursuant to the terms of a Trust Indenture between the Board of Trustees of University of Kentucky and the Farmers Bank & Capital Trust Company, Frankfort, Kentucky, Trustee, dated June 1, 1965 (the "Trust Indenture"), as amended and supplemented by Supplemental Trust Indenture dated June 1, 1965, a Second Supplemental Trust Indenture dated as of June 1, 1965, a Third Supplemental Trust Indenture dated as of December 1, 1978, a Fourth Supplemental Trust Indenture dated as of June 1, 1986, a Fifth Supplemental Trust Indenture dated as of January 1, 1993, a Sixth Supplemental Trust Indenture dated as of February 1, 1994, a Seventh Supplemental Trust Indenture dated as of May 1, 1994, an Eighth Supplemental Trust Indenture dated as of April 1, 1996, which Trust Indenture and Supplemental Trust Indentures authorized the issuance of University of Kentucky Housing and Dining System, Series E, F, G, I, K, M, N, O, and P, and additional parity bonds. The Series Q Bonds are being issued on a parity as to security and source of payment with the Series E, F, G, I, K, M, N, O and P Bonds (the Series N Bonds were issued to refund Series J Bonds, and to refund the Series L Bonds scheduled to mature on and after June 1, 1997), heretofore issued pursuant to the terms of the Trust Indenture and a Ninth Supplemental Trust Indenture.

#### 4. SECURITY

Said outstanding Series E, Series F, Series G, Series I, Series K, Series M, Series N, Series O, and Series P Bonds, and any additional parity bonds hereafter issued and outstanding under the terms of the Trust Indenture, are and will be payable from and constitute a paramount charge upon the defined Revenues derived by the University from the operation of its Housing and Dining System. The Housing and Dining System may be described generally as all the student residence halls and certain related dining facilities.

As further security for the Bonds there is created and granted by Sections 162.350 and 162.200 of the Kentucky Revised Statutes a statutory mortgage lien upon the Housing and Dining System of the University.

#### 5. TAX EXEMPTION

In the opinion of Bond Counsel for the Bonds, based upon an analysis of existing laws, regulations, rulings and court decisions, interest on the Bonds is excludible from gross income for Federal income tax purposes. Bond Counsel for the Bonds is also of the opinion that interest on the Bonds is not a specific item of tax preference under § 57 of the Internal Revenue Code of 1986 (the "Code") for purposes of the Federal individual or corporate alternative minimum taxes. Furthermore, Bond Counsel for the Bonds is of the opinion that interest on the Bonds is exempt from income taxation and the Bonds are exempt from ad valorem taxation by the Commonwealth of Kentucky and any of its political subdivisions.

The Code imposes various restrictions, conditions, and requirements relating to the exclusion from gross income for Federal income tax purposes of interest on obligations such as the Bonds. The University has covenanted to comply with certain restrictions designed to ensure that interest on the Bonds will not be includable in gross income for Federal income tax purposes. Failure to comply with these covenants could result in interest on the Bonds being includable in income for Federal income tax purposes and such inclusion could be required retroactively to the date of issuance of the Bonds. The opinion of Bond Counsel assumes compliance with these covenants. However, Bond Counsel has not undertaken to determine (or to inform any person) whether any actions taken (or not taken) or events occurring (or not occurring) after the date of issuance of the Bonds may adversely affect the tax status of the interest on the Bonds.

Certain requirements and procedures contained or referred to in the Basic Resolution, Series Resolutions and other relevant documents may be changed and certain actions (including, without limitation, defeasance of the Bonds) may be taken or omitted under the circumstances and subject to the terms and conditions set forth in such documents. Bond Counsel expresses no opinion as to any Bonds or the interest thereon if any such change occurs or action is taken or omitted upon the advice or approval of bond counsel other than Peck, Shaffer & Williams, L.L.P.

Although Bond Counsel for the Bonds has rendered an opinion that interest on the Bonds is excludible from gross income for Federal income tax purposes and the above-described opinion with respect to Kentucky taxation of the Bonds, the ownership or disposition of, or the accrual or receipt of interest on, the Bonds may otherwise affect a Bondholder's Federal, state or local tax liabilities. The nature and extent of these other tax consequences may depend upon the particular tax status of the Bondholder or the Bondholder's other items of income or deduction. Bond Counsel expresses no opinions regarding any tax consequences other than what is set forth in its opinion and each Bondholder or potential Bondholder is urged to consult with tax counsel with respect to the effects of purchasing, holding or disposing the Bonds on the tax liabilities of the individual or entity.

For example, corporations are required to include all tax-exempt interest in determining "adjusted current earnings" under § 56(c) of the Code, which may increase the amount of any alternative minimum tax owed. Receipt of tax-exempt interest, ownership or disposition of the Bonds may result in other collateral Federal, state or local tax consequence for certain taxpayers. Such effects include, without limitation, increasing the federal tax liability of certain foreign corporations subject to the branch profits tax imposed by § 884 of the Code, increasing the federal tax liability of certain insurance companies, under § 832 of the Code, increasing the federal tax liability and affecting the status of certain S Corporations subject to §§ 1362 and 1375 of the Code, increasing the federal tax liability of certain individual recipients of Social Security or Railroad Retirement benefits, under § 86 of the Code and limiting the use of the Earned Income Credit under § 32 of the Code that might otherwise be available. Ownership of any Bonds may also result in the limitation of interest and certain other deductions for financial institutions and certain other taxpayers, pursuant to § 265 of the Code. Finally, residence of the holder of Bonds in a state other than Kentucky or being subject to tax in a state other than Kentucky, may result in income or other tax liabilities being imposed by such states or their political subdivisions based on the interest or other income from the Bonds.

The University has designated the Bonds as "qualified tax-exempt obligations" within the meaning of § 265 of the Code.

The Board of Trustees has reserved the right to amend the Ninth Supplemental Trust Indenture pursuant to which the Series Q Bonds are issued without obtaining the consent of the owners of the Series Q Bonds (i) to whatever extent shall, in the opinion of Bond Counsel, be deemed necessary to assure that interest on the Series Q Bonds shall be exempt from federal income taxation, and (ii) to whatever extent shall be permissible (without jeopardizing such tax exemption or the security of the owners of the Series Q Bonds) to eliminate or reduce any restrictions concerning the project financed by the Series Q Bonds, the investment of the proceeds of the Series Q Bonds, or the application of such proceeds or of the revenues of the project financed by the Series Q Bonds. The Purchasers of the Series Q Bonds will be deemed to have relied fully upon these covenants and undertakings on the part of the Board of Trustees as part of the consideration for the purchase of the Series Q Bonds. To the extent that the Board of Trustees obtains an opinion of nationally recognized bond counsel to the effect that non-compliance with

any of the covenants contained in the Ninth Supplemental Trust Indenture would not subject interest on the Series Q Bonds to federal income taxation or Kentucky income taxation, the Board of Trustees is not required to comply with such covenants and requirements.

If, prior to the delivery of the Series Q Bonds, any event shall occur which alters the tax-exempt status of the Series Q Bonds, the purchaser shall have the privilege of voiding the purchase contract by giving immediate written notice to the Board of Trustees, whereupon the amount of the good faith deposit of the purchaser will be returned to the purchaser, and all respective obligations of the parties will be terminated.

Bond Counsel has reviewed the Official Statement with regard to all matters pertaining to the legality and tax exemption of the Series Q Bonds, including statements concerning the authority, purpose and security of the Series Q Bonds; but Bond Counsel has not reviewed any of the financial statements or calculations, such as debt service requirements, budget estimates, enrollment, capital outlay, estimated revenues, expenditures or other financial information in the Official Statement, and expresses no opinion thereon and assumes no responsibility in connection therewith.

## 6. TERMS OF SALE

The Series Q Bonds are offered for sale upon the following terms and conditions:

- A. A minimum price is required for the entire issue of not less than \$6,512,100 (98% of par), plus accrued interest from the date of the Series Q Bonds (May 1, 1997) to the date of delivery.
- B. The successful bidder will be required to deposit with Farmers Bank & Capital Trust Company, Frankfort, Kentucky, for the account of University of Kentucky immediately available funds in the amount of \$132,900, representing the good faith deposit, by the close of business on May 7, 1997. The amount of the good faith deposit, without interest, will be deducted from the purchase price at the time of delivery of the Series Q Bonds.
- C. The determination of the best bid will be made on the basis of all bids submitted for exactly \$6,645,000 of Series Q Bonds as offered for sale under the terms and conditions herein specified. Upon determination of the lowest net interest cost according to the schedule of principal amounts listed in the Official Bid Form, the Board shall immediately proceed to adjust such principal amounts of the Series Q Bonds to determine the maturities of its final bond issue. The successful bidder will be required to accept the final bond issue as so computed, whether the principal amount has been increased or decreased by up to \$664,500, and to pay the percentage purchase price based upon the aggregate amount of the final bond issue.



- D. Bidders must state an interest rate or rates in multiples of 1/8, 1/10 or 1/20 of 1%, or both.
- E. There is no limit on the number of different rates which may be specified by any bidder.
- F. Interest rates must be on an ascending scale, in that the interest rate for Series Q Bonds of any maturity may not be less than the interest rate stipulated for any preceding maturity.
- G. All Series Q Bonds of the same maturity shall bear the same and a single interest rate from the date thereof to maturity, even though some such Series Q Bonds may be subject to mandatory redemption prior to their maturity date.
- H. Bidders may require that a portion of the Series Q Bonds be term bonds maturing on one or more dates (the "Term Bonds"); provided, however, that the Board of Trustees may require such Term Bonds to be subject to mandatory redemption by lot at a redemption price of 100% of the principal amount thereof plus accrued interest to the date of redemption on June 1 of the years and in the principal amounts set forth in the final adjusted maturity schedule as seen on page 2 of the successful bid.
- I. The right to reject bids for any reason deemed advisable by the Board of Trustees, and the right to waive any possible informalities, irregularities or defect in any bid which, in the judgment of the Board of Trustees, shall be minor or immaterial, is expressly reserved.
- J. Bids must be made on forms which, together with an official Statement, may be obtained at the office of the Financial Advisor, J.J.B. Hilliard, W.L. Lyons, Inc., P.O. Box 32760, Louisville, Kentucky 40232-2760, Attention Mr. Sam Conner (502) 588-8473. Bids must be enclosed in sealed envelopes marked "Bid for University of Kentucky Housing and Dining System Revenue Bonds, Series Q" and bids must be received by the Treasurer of the University prior to the date and hour stated above.
- K. It shall be the responsibility of the Purchasers of the Series Q Bonds to furnish or cause to be furnished to the Trustee at least five (5) days prior to the date of delivery of the Series Q Bonds, a list of the names, addresses and social security numbers or employer identification numbers of each of the parties to whom the Series Q Bonds are to be registered, and the principal amounts and maturities thereof. In the event of the failure to so deliver such list, the Series Q Bonds delivered to the purchasers shall be registered in the name or names of such purchasers or their designated

representatives appearing as the first name on the successful bid form, or otherwise appropriately designated, and shall be issued in denominations corresponding to the principal amount of each respective maturity, or in the denomination of \$5,000, as shall be determined by the Trustee.

- L. Delivery will be made in Louisville, Kentucky, on or about May 29, 1997. The purchasers may elect to require delivery through a depository trust corporation, provided the purchasers agree to pay any additional expense in connection therewith, such expense to include shipping expense, insurance in transit and the fee of the depository trust corporation. In connection with the issuance of the Series Q Bonds, the Board of Trustees will pay for the printing of the Series Q Bonds, which will contain the opinion of Bond Counsel.
- M. Upon wrongful refusal of the successful bidder to take delivery of and pay for the Series Q Bonds when tendered for delivery, the amount of the good faith check shall be forfeited by such bidder, and such amount shall be deemed liquidated damages for such default; provided, however, if said Series Q Bonds are not ready for delivery and payment within forty-five (45) days from the date of sale, said bidder shall be relieved of any liability to accept the Series Q Bonds hereunder.
- N. The purchasers of the Series Q Bonds will pay the CUSIP Service Bureau charge for the assignment of CUSIP numbers, which numbers will be printed on the Series Q Bonds at no expense or cost to the purchasers. Neither the failure to print a CUSIP number on any Series Q Bond, nor any error with respect thereto, shall constitute cause for a failure or refusal by the purchasers thereof to accept delivery of and payment for the Series Q Bonds in accordance with the terms of the purchase agreement.
- O. If the successful bidder desires to obtain insurance guaranteeing the payment of the principal and/or interest on the Series Q Bonds, the University agrees that it will cooperate with the successful bidder in obtaining such insurance, but all of the expenses and charges in connection therewith shall be borne by such bidder (with the exception of the costs of ratings by Standard & Poor's Corporation and Moody's Investors Service), and the University shall not be liable to any extent therefor.
- P. The successful bidder shall promptly advise the Financial Advisor to the Board of Trustees of (i) the reoffering price for each maturity of the Series Q Bonds, and (ii) the principal amount sold to the public of each principal maturity of the Series Q Bonds on the reoffering date.

The Board of Trustees has agreed in the Ninth Supplemental Indenture to provide or cause to be provided, in accordance with the requirements of Rule 15c2-12, as amended and interpreted from time to time (the "Rule") promulgated by the Securities and Exchange Commission (the "Commission"), (i) on or prior to 180 days after the end of each fiscal year, certain annual financial information and operating data., including audited financial statements for the preceding fiscal year, generally consistent with the information contained in the Official Statement, and (ii) timely notice of the occurrence of certain material events with respect to the Series Q Bonds.

The purchaser's obligation to purchase the Series Q Bonds shall be conditioned upon its receiving, at or prior to the delivery of the Series Q Bonds, in form and substance reasonably satisfactory to the purchaser, evidence that the Board of Trustees has made the limited continuing disclosure undertaking set forth above for the benefit of the holders of the Series Q Bonds.

The Board of Trustees shall provide to the successful purchaser a final Official Statement in accordance with the Rule. Arrangements have been made with the printer of the preliminary official statement, upon submission of completion text, to print a reasonable quantity of final Official Statements in sufficient time to meet the delivery requirements of the successful bidder under SEC or Municipal Securities Rulemaking Board Delivery Requirements, which Official Statements will be provided at the expense of the Board.

J.J.B. Hilliard, W.L. Lyons, Inc., Louisville, Kentucky, has been employed as Financial Advisor to the Board of Trustees and the University in connection with the issuance of the Series Q Bonds. The Financial Advisor's fee for services rendered with respect to the sale of the Series Q Bonds is contingent upon the issuance and delivery of the Series Q Bonds. The Financial Advisor may submit a bid for the purchase of the Series Q Bonds at the time of the advertised public sale of the Series Q Bonds, either independently or as a member of a syndicate organized to submit a bid for the purchase of the Series Q Bonds.

Concurrently with the delivery of the Series Q Bonds, the Treasurer of the Board of Trustees will certify that, to the best of his knowledge, the official statement did not, as of its date, and does not, as of the date of delivery of the Series Q Bonds, contain any untrue statement of a material fact or omit to state a material fact which should be included therein for the purpose for which the official statement is to be used, or which is necessary in order to make the statements contained therein, in the light of the circumstances under which they were made, not misleading in any material respect.

(Signed) Board of Trustees of University of Kentucky by Lois Weinberg, Secretary.

## BID FORM

Subject to the terms and conditions set forth in the Official Terms and Conditions of Sale of Bonds, providing for the sale of \$6,645,000 (plus or minus up to \$664,500) of University of Kentucky Housing and Dining System Revenue Bonds, dated May 1, 1997, and in accordance with the notice of sale of the bonds as advertised, to all of which the undersigned agrees, the undersigned hereby submits the following offer to purchase said Bonds.

We hereby bid for said \$6,645,000 principal amount of Bonds, the sum of (not less than \$6,512,100) (98%), plus accrued interest from May 1, 1997, to the date of delivery of the Bonds, such Bonds to bear interest payable semiannually on December 1 and June 1, commencing December 1, 1997, at the following annual rate (s):

<u>Maturity</u> <u>June 1</u>	<u>Principal</u> <u>Amount</u>	<u>Serial</u> <u>Bond</u> <u>Rate</u>	<u>Term*</u> <u>Bond</u> <u>Rate</u>	<u>Maturity</u> <u>June 1</u>	<u>Principal</u> <u>Amount</u>	<u>Serial</u> <u>Bond</u> <u>Rate</u>	<u>Term*</u> <u>Bond</u> <u>Rate</u>
1998	\$210,000	____%	____%	2008	\$325,000	____%	____%
1999	215,000	____%	____%	2009	340,000	____%	____%
2000	225,000	____%	____%	2010	355,000	____%	____%
2001	235,000	____%	____%	2011	375,000	____%	____%
2002	245,000	____%	____%	2012	395,000	____%	____%
2003	255,000	____%	____%	2013	415,000	____%	____%
2004	270,000	____%	____%	2014	440,000	____%	____%
2005	280,000	____%	____%	2015	460,000	____%	____%
2006	295,000	____%	____%	2016	485,000	____%	____%
2007	310,000	____%	____%	2017	515,000	____%	____%

\*Bidders may elect to structure the maturities to include term bonds with mandatory sinking fund redemptions. To bid term Bonds, put interest rate in Term Bond Rate column.

We understand that this bid may be accepted for as much as \$7,309,500 of Bonds and for as little as \$5,980,500 of Bonds, at the same price per \$1,000 of Bonds as the price bid per \$1,000 of Bonds by the undersigned with the variation in such amount being adjusted as determined by the Board of Trustees at the time of Acceptance of the best bid.

We understand that the Board of Trustees will furnish the final, approving legal opinion of Peck, Shaffer & Williams, L.L.P., Municipal Bond Attorneys, of Covington, Kentucky. We agree that if we are the successful bidder, immediately available funds in the amount of \$132,900, payable to the University of Kentucky will be deposited in Farmers Bank & Capital Trust Company, Frankfort, Kentucky, by federal wire transfer, ABA 0839-0061-9, prior to the end of the business day on May 7, 1997, in accordance with the Notice of Bond Sale and

the Official Terms, with the understanding that the amount thereof, without interest, will be deducted from the purchase price of the Bonds when tendered to us for delivery. If we are the successful bidder, we agree to accept and make payment for the Bonds in accordance with the terms of sale.

Respectfully submitted,

\_\_\_\_\_  
 \_\_\_\_\_

Total interest cost from May 1, 1997,  
 to final maturity

\$ \_\_\_\_\_

Less premium bid or plus discount, if any

\$ \_\_\_\_\_

Net interest cost

\$ \_\_\_\_\_

Average interest rate or cost

\$ \_\_\_\_\_

The above computations of net interest cost and of average interest rate or cost, submitted for information only and are not part of this Bid.

ACCEPTANCE OF BID WITH ADJUSTMENT OF AMOUNT AND TOTAL BID PRICE

Accepted by the Board of Trustees of University of Kentucky on \_\_\_\_\_, 1997, as to \$ \_\_\_\_\_ of Bonds at an adjusted price of \$ \_\_\_\_\_, plus accrued interest, with the change in amount of Bonds being reflected by following changes in the maturities thereof.

<u>Maturity</u> <u>June 1</u>	<u>Principal</u> <u>Amount</u>	<u>Serial</u> <u>Bond</u> <u>Rate</u>	<u>Term*</u> <u>Bond</u> <u>Rate</u>	<u>Maturity</u> <u>June 1</u>	<u>Principal</u> <u>Amount</u>	<u>Serial</u> <u>Bond</u> <u>Rate</u>	<u>Term*</u> <u>Bond</u> <u>Rate</u>
1998	\$ _____	_____ %	_____ %	2008	\$ _____	_____ %	_____ %
1999	_____	_____ %	_____ %	2009	_____	_____ %	_____ %
2000	_____	_____ %	_____ %	2010	_____	_____ %	_____ %
2001	_____	_____ %	_____ %	2011	_____	_____ %	_____ %
2002	_____	_____ %	_____ %	2012	_____	_____ %	_____ %
2003	_____	_____ %	_____ %	2013	_____	_____ %	_____ %
2004	_____	_____ %	_____ %	2014	_____	_____ %	_____ %
2005	_____	_____ %	_____ %	2015	_____	_____ %	_____ %
2006	_____	_____ %	_____ %	2016	_____	_____ %	_____ %
2007	_____	_____ %	_____ %	2017	_____	_____ %	_____ %

BOARD OF TRUSTEES  
 UNIVERSITY OF KENTUCKY

8117.01

By: \_\_\_\_\_

## NOTICE OF BOND SALE

The Board of Trustees of University of Kentucky, Lexington, Kentucky, will until 10:00 A.M., E.D.T., on May 6, 1997, at the office of the Treasurer of the University in Lexington, Kentucky, receive bids on \$6,645,000 (plus or minus up to \$664,500) of University of Kentucky Housing and Dining System Revenue Bonds, Series Q, dated May 1, 1997, maturing on June 1, 1998 through 2017. Minimum bid is \$6,512,100 (98%). The successful bidder will be required to wire transfer, in immediately available funds, the good faith deposit of \$132,900, payable to the University of Kentucky, to Farmers Bank & Capital Trust Company, Frankfort, Kentucky, prior to the end of the business day on May 7, 1997. Legal Opinion by Peck, Shaffer & Williams, L.L.P., Covington, Kentucky. The Bonds will be issued on a tax-exempt basis subject to certain qualifications set out in detail in the Official Terms and Conditions of Sale of Bonds and in the Official Statement. Bid Forms, Official Terms and Conditions of Sale of Bonds, and Official Statements, in a form deemed to be "near final" by the Board may be obtained from the Financial Advisor, J.J.B. Hilliard, W.L. Lyons, Inc., Louisville, Kentucky, (502) 588-8473 (Mr. Sam Conner). (Signed) Lois Weinberg, Secretary.

# FCR 10

Office of the President  
April 1, 1997

Members, Board of Trustees:

## PATENT AND COPYRIGHT ASSIGNMENTS REPORT

Recommendation: that the patent and copyright assignments report for the period ending March 31, 1997, be accepted.

Background: FCR 5, dated March 4, 1997, authorized that all future copyright and patent filings and prosecutions 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. Quarterly reports on patent and copyright applications are to be submitted to the Finance Committee.

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Action taken:



Approved



Disapproved



Other \_\_\_\_\_

PATENT AND COPYRIGHT ASSIGNMENTS  
QUARTERLY REPORT FOR THE PERIOD ENDING MARCH 31, 1997

Patents

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

1. U.S. Patent Serial Number: 08/187,462, filed January 28, 1994, titled "CODRUGS AS A METHOD OF CONTROLLED DRUG DELIVERY". Inventors: Paul Ashton, Peter Anthony Crooks, Robert Mack Riggs, Tadeusz Cynkowski, Grazyna Cynowska and Hong Guo. This invention is a composition of at least two drug compounds linked to one another via a labile bond to form a single codrug composition, and provides methods of use of the codrug for the treatment of various medical conditions. The codrug may be administered by itself or in the form of a bioerodible or nonbioerodible substance.
2. U.S. Patent Serial Number: 08/554,301, filed October 17, 1995, titled "MULTIDIRECTIONAL ECG COHERENT OPTIMAL TIMING OF DEFIBRILLATION SHOCKS". Inventors: Abhijit R. Patwardhan and Fabio M. Leonelli. The invention presents a method for delivering a defibrillation shock to the heart at an optimal time to stop ventricular fibrillation.
3. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "RADIATION MODULATOR SYSTEM". Inventors: M. Pinar Menguc, Bruce L. Walcott, Stephen R. Swabb and Michael A. Marra III. This invention provides a method and system for actively controlling flame characteristics in a combustion system. The system operates through a number of sensors in the combustion system which collect data on flame characteristics. This information is fed into a data processing unit for analysis, generating outputs which interactively control flame control devices which operate to insure maximum efficiency in the combustion system.
4. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "METHOD OF INHIBITING BINDING ACTIVITY OF IMMUNOGLOBULINS". Inventors: Clair L. Hicks and Zeynep (NMI) Ustunol. This invention provides a method for inhibiting the binding activity of immunoglobulins with immunogens. Such a method has a number of beneficial applications including inhibiting culture agglutination in a fermentation medium and blocking selected antigenic sites so as to prevent problematic immune reactions in the health care field.
5. U.S. Patent Serial Number: 4/897,388, filed January 30, 1990, titled "METHOD OF TREATING ALZHEIMER'S DISEASE". Inventor: Hartmut H. Malluche. This



invention provides a method for the temporary alleviation of the symptoms of Alzheimer's Disease through the oral administration of Vitamin D and/or its analogues.

6. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "PORTOCAVAL-RIGHT ATRIAL SHUNT". Inventor: Bradley B. Hill. This invention provides a medical device that is particularly useful as a portocaval-right atrial shunt used in rerouting blood flow for liver transplantation and major hepatic resections.

### Copyrights

1. Copyright for a computer program entitled INFO SOFTWARE. Inventors: I.S. Jawahir, John P. Sadler, Zhongjie Da and Seog S. Lee. This software provides a PC-based, menu driven program in order to achieve optimum selection of cutting conditions and tool inserts for finish turning operations in metal machining.
2. Copyright for a computer program entitled GAdaptware Version 1.0. Inventors: M. Pinar Menguc, Bruce L. Walcott, Stephen R. Swabb and Michael A. Marra III. This software is utilized in the Radiation Modulator System and receives flame characteristics data from sensors, subjects the data to an algorithm to calculate the optimum placement of radiation modulators to maintain optimum flame characteristics and then sends signals to controllers which position the radiation modulators