Minutes of the Meeting of the Board of Trustees of the University of Kentucky, Tuesday, December 12, 1978.

The Board of Trustees of the University of Kentucky convened in their Statutory Quarterly Meeting, in the Board Room in the Patterson Office Tower, on the Campus of the University at Lexington, Kentucky, at 2:00 P.M., EST, on Tuesday, December 12, 1978, pursuant to a Notice which was sent by first class mail, postage prepaid, to all members of the Board by the Secretary on November 28, 1978, with distribution of copies to all parties required to be given notice pursuant to KRS 61.825. The following members were present: Chairman William B. Sturgill, Dr. Michael Adelstein, Mr. William R. Black, Governor Albert Benjamin Chandler, Mrs. Robert O. Clark, Mr. William B. Terry, Mr. John R. Gaines, Mr. L. D. Gorman, Mr. George W. Griffin, Jr., Mrs. David Hermansdorfer, Dr. David A. Hull, Mr. Thomas B. Kessinger, Mr. Zirl Palmer, Mr. Frank Ramsey, Jr., Mr. Homer W. Ramsey, Professor Constance P. Wilson, Mr. Eugene Tichenor, Dr. John R. Woodyard.

The following members were unable to be present: Vice Chairman Albert G. Clay.

Also present were: President Otis A. Singletary; Vice Presidents Lewis W. Cochran, Robert G. Zumwinkle, Peter P. Bosomworth, Raymond R. Hornback, and Jack C. Blanton; Dr. Charles T. Wethington representing Vice President Stanley Wall; and Mr. John C. Darsie, Legal Counsel. Representatives of the various news media were also present.

A. Meeting Opened

The Chairman Called the meeting to order at 2:21 p.m., and the invocation was pronounced by Mr. Eugene Tichenor.

B. New Member Sworn In

Mr. Sturgill welcomed Mr. William B. Terry, who was appointed to the Board of Trustees by Governor Julian Carroll in January 1978 to replace Mr. Richard E. Cooper for a term ending December 31, 1981, and explained that this was the first meeting which Mr. Terry had been able to attend since his appointment. He then requested Mr. John C. Darsie, Legal Counsel, to administer the oath of office to Mr. Terry. The oath was administered and Mr. Terry became a member of the Board.

C. Roll Call

Following the call of the roll, the Secretary reported eighteen members present and one absent. A quorum being present, the Chairman declared the meeting officially open for the conduct of business at 2:25 p.m. (Eastern Standard Time).

D. Minutes Approved

There being no additions or corrections to the Minutes of the October 17, 1978, meeting of the Executive Committee of the Board of Trustees, on motion duly made, seconded, and carried, the reading of the Minutes was dispensed with and the Minutes were approved as published.

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

President Singletary called attention to PR 1, his Monthly Report to the Trustees, and recommended its acceptance. Without objection, it was so ordered.

F. Recommendations of the President (PR 2)

Remarking that PR 2, Recommendations of the President, contained only routine personnel changes, President Singletary recommended approval of PR 2 as a whole. Mr. Frank Ramsey so moved. His motion was seconded by Mr. Black and, without dissent, PR 2 was approved and ordered made part of the Minutes. (See PR 2 at the end of the Minutes.)

G. Supplemental Recommendations of the President (PR 3)

The items in PR 3 concerned personnel changes not included as a part of PR 2. These were routine in nature; however, President Singletary did call attention to the request for an extension of leave of absence for one year for Mr. Jack Hall, who is on special assignment with State government. He then recommended approval of PR 3 as a whole. On motion by Governor Chandler, seconded by Mr. Homer Ramsey, and passed, the recommendations in PR 3 were approved. (See PR 3 at the end of the Minutes.)

H. Candidates for Degrees - University System (PR 4)

Without discussion, on motion by Mrs. Hermansdorfer, seconded by Mr. Kessinger, and passed, the President was authorized to confer upon each individual whose name appeared on the list attached to PR 4, the degree to which said individual is entitled, upon certification by the Dean of Admissions and Registrar and approval by the University Senate that the individual has satisfactorily completed all of the requirements for the degree for which application had been made. (See PR 4 at the end of the Minutes.)

I. Budget Revisions for 1978-79 (PR 5)

On President Singletary's recommendation, and without discussion, on motion by Mr. Tichenor, seconded by Mr. Palmer, and passed, the Budget Revisions for 1978-79 as recommended in PR 5 were authorized and approved. (See PR 5 at the end of the Minutes.)

J. Appointments of Medical Staff, University Hospital (PR 6)

According to the Bylaws of the Medical Staff, University Hospital, which were approved by the Board of Trustees on April 4, 1978, the Board or its Executive Committee must approve appointments to the Medical Staff. President Singletary, therefore, recommended approval of the appointments of the individuals listed in PR 6 to the Medical Staff. On motion by Mr. Black, seconded by Dr. Hull, and passed, the appointments to the Medical Staff, University Hospital, were approved. (See PR 6 at the end of the Minutes.)

K. Amendments to the Governing Regulations (PR 7)

At the September 19, 1978 meeting, the Board received and tabled certain proposed amendments to the Governing Regulations. Noting that the required month had passed, President Singletary recommended that the proposed amendments to the Governing Regulations as presented in PR 7 be removed from the table and approved. On motion by Mr. Homer Ramsey, seconded by Governor Chandler, and carried, PR 7 was approved. (See PR 7 at the end of the Minutes.)

L. Amendments to and Reenactment of the By-Laws and Rules and Regulations of the Medical Staff and Appointment of Council of Supervisors for University Hospital (PR 8)

President Singletary noted that Vice President Bosomworth and Mr. Darsie had both worked extensively on this document and called on Dr. Bosomworth for comments. Dr. Bosomworth explained that the document is not new, having been approved by the Medical Center Committee and the Board, in principle, at the April 4, 1978 meeting. Certain amendments to the By-Laws of the Medical Staff were approved by the Board on October 17, 1978.

At this time two significant changes are recommended -- the appointments to the Council of Supervisors and some modification of the current By-Laws and the Rules and Regulations.

The individuals being recommended for appointments to the Council of Supervisors for the University Hospital are: Mr. William Black, Mrs. Sally Hermansdorfer, and Dr. David Hull (Board of Trustees); Dr. Robert Luke and Dr. Harold Rosenbaum (Medical Staff); Mr. Michael Olding (student); and Mrs. Rogers Beasley, Mr. Al Smith, and Mr. Barney Tucker (public).

Governor Chandler noted that the Board was not giving away its authority by this action, but rather was creating a review body, separate from the University structure for academic governance, responsible for assuring the highest quality of patient care in the hospital. Governor Chandler continued by saying that the University is fortunate that Mr. Black, Mrs. Hermansdorfer, and Dr. Hull are willing to accept these appointments, and Mr. Sturgill concurred.

Governor Chandler moved that the recommendation in PR 8 regarding the amendments to and reenactment of the By-Laws and Rules and Regulations of the Medical Staff and the appointment of the Council of Supervisors for University Hospital be approved. His motion was seconded by Mr. Frank Ramsey and passed without dissent. (See PR 8 at the end of the Minutes.)

M. Amendment of Retirement Regulation (PR 9)

President Singletary, in referring to the proposed amendment of the retirement regulation, indicated that this is the first step of a two-step process in dealing with retirement legislation recently passed by Congress. The 1978 amendments to the Age Discrimination in Employment Act of 1967 become effective January 1, 1979. These amendments, in general, prohibit the mandatory retirement of University employees prior to age 70. Two principal exceptions are made: (1) that for high-level executives and (2) a temporary exception, until July 1, 1982, for tenured faculty. President Singletary called on Mr. Darsie, who explained the University is doing the minimum to comply with the law until Federal guidelines have been adopted in final form. Professor Adelstein moved approval of the amendment of the retirement regulation as presented in PR 9. His motion was seconded by Dr. Hull, and passed. Governor Chandler requested that it be made a matter of record that he was opposed to mandatory retirement at age 65. The Chairman directed that Governor Chandler's opposition be made a matter of record.

N. Report on Results of Alumni Member Election (PR 10)

President Singletary reported that the three persons receiving the highest number of votes on the election for an alumni member of the Board of Trustees were Mrs. Betty Carol Clark, Mr. Robert H. Hillenmeyer and Mr. Cleland White, III.

Mr. Homer Ramsey moved that the report of the Secretary of the Board of Trustees as given by President Singletary be received and put to record, and that the Secretary be authorized to certify to the Governor the names of Mrs. Clark, Mr. Hillenmeyer and Mr. White from which list the Governor will appoint a successor to Mrs. Clark, whose term expires December 31, 1978. His motion was seconded by Mrs. Hermansdorfer and passed. (See PR 10 at the end of the Minutes.)

O. Resolution Relative to Special Session of the Kentucky Legislature

President Singletary said that the Special Session of the Legislature called by Lieutenant Governor Thelma Stovall for December 11, 1978 could well have an adverse effect on the University of Kentucky inasmuch as the expressed purpose of the session would be the consideration of tax reduction and spending cutbacks. After almost a decade of receiving cuts in its operating dollars, the 1978-80 biennial budget did provide sufficient dollars to enable the institu-

tion to become more nearly competitive with its benchmark institutions although it is still behind most of them. Any further erosion in funding which might occur as a result of actions taken during the Special Session would have serious consequences for the University of Kentucky.

Mr. Sturgill concurred in President Singletary's assessment of the situation and said that members of the Board, who had worked with President Singletary in getting a viable budget for the current biennium, were deeply concerned and felt that it was appropriate to inform the Governor, Lieutenant Governor, the President Pro Tempore of the Senate, and the Speaker of the House of Representatives, as well as certain other key legislators, of this concern. To this end a Resolution had been prepared and the secretary was asked to read it (see copy of the Resolution at the end of the Minutes).

Various members of the Board joined President Singletary and Mr. Sturgill in expressing concern over any reduction in the University's budget allocation and, on motion duly made, seconded, and carried the Resolution was adopted and copies ordered sent to all persons mentioned in the Resolution as well as to those whose names had been suggested by various members of the Board. (Copy of Resolution and List of Names to whom it was sent are included at the end of the Minutes.)

P. Interim Financial Report (FCR 1)

Mr. Griffin, reporting for Mr. Clay, Chairman of the Finance Committee, moved that the Financial Report for the period ending October 31, 1978 be accepted. His motion was seconded and passed without dissent. (See FCR 1 at the end of the Minutes.)

Q. Delegation of Authorization Relative to Property Acquisition (FCR 2)

The Finance Committee recommending, Mr. Griffin moved approval of FCR 2 authorizing the President to provide for the acquisition of parcels of real property, within the land use plan approved by the Board of Trustees, which do not exceed an estimated value of $100,000 provided funds are available and budgeted for such acquisition. Mr. Griffin's motion was seconded by Mr. Tichenor and passed. (See FCR 2 at the end of the Minutes.)

R. University Investments and South Africa (FCR 3)

Mr. Griffin reported that the Finance Committee, at its meeting on the morning of December 12, had discussed the policy statement in FCR 3 with regard to the University's investments in companies with holdings in South Africa, and had recommended its approval. He moved adoption of the policy by the Board; the motion was seconded by Mr. Black and passed without dissent. (See FCR 3 at the end of the Minutes.)

S. Resolution Authorizing Issuance of Housing and Dining System Revenue Bonds (FCR 4)

At the request of Mr. Griffin, Mr. Blanton explained the events which have occurred since the Board of Trustees authorized at its meeting on June 20, 1978, the issuance of Series J and K bonds in the amounts of $6,325,000 and $284,000 respectively. Inasmuch as HUD has agreed to purchase Series K bonds in the amount of $4,584,000 at an interest rate of 3% per annum, it was Mr. Blanton's recommendation, concurred in by the Finance Committee of the Board, that the earlier action be rescinded and a new resolution be adopted.

Mr. Griffin introduced, caused to be read and moved immediate adoption of a Resolution entitled:

Authorization of $1,900,000 "University of Kentucky Housing and Dining System Revenue Bonds, Series J," and $4,584,000 "University of Kentucky Housing and Dining System Revenue Bonds, Series K"; Approval and Authorization for execution of a Loan Agreement with the United States Department of Housing and Urban Development (HUD), wherein HUD will agree to appear at the public sale and submit a purchase bid for the Series K Bonds at face amount, and at an interest rate of 3% per annum, subject to acceptance of equal or better bids; Approval and Authorization of the required "Series J and Series K Supplemental Trust Indenture" with Farmers Bank & Capital Trust Company, Frankfort, Kentucky, as Trustee; Delegation to the Statutory Executive Committee of the Board of full authority to act in receiving, considering and acting upon purchase bids for the Series J and Series K Bonds when the same are publicly advertised for sale, as required by law; Requesting that the State Property and Buildings Commission take proper action to approve and authorize issuance of the Series J and Series K Bonds; and Rescinding in its entirety that certain Resolution which was adopted by the Board at its meeting of June 20, 1978, authorizing the issuance of the Series J and Series K bonds because that Resolution has been overtaken by events, which are recited in full.

and a true copy of which is attached to these Minutes. The motion for the adoption of the said resolution was seconded by Mr. Frank Ramsey. After a full discussion, the Chairman put the question and upon call of the roll the vote thereon was recorded as follows: Voting Aye: Chairman William B. Sturgill, Dr. Michael Adelstein, Mr. William R. Black, Governor Albert Benjamin Chandler, Mrs. Robert O. Clark, Mr. William B. Terry, Mr. John R. Gaines, Mr. L. D. Gorman, Mr. George W. Griffin, Jr., Mrs. David Hermansdorfer, Dr. David A. Hull, Mr. Thomas B. Kessinger, Mr. Zirl Palmer, Mr. Frank Ramsey, Jr., Mr. Homer W. Ramsey, Mr. Eugene Tichenor, Professor Constance P. Wilson, Dr. John R. Woodyard. Voting Nay: None.

The Chairman thereupon announced that said Resolution had been duly adopted and that the same was in full force and effect. (See FCR 4 at the end of the Minutes.)

T. Approval of Charitable Remainder Annuity Trust Agreement with Gertrude B. Robinson (ICR 1)

The Investment Committee recommending, Mr. Griffin moved approval of ICR 1 authorizing the President to execute an annuity trust agreement with Mrs. Gertrude B. Robinson of Silver Springs, Maryland and the University of Kentucky. Mr. Griffin's motion was seconded by Mrs. Clark and passed. (See ICR 1 at the end of the Minutes.)

U. Meeting Adjourned

The Chairman, having first determined that there was no further business, called for a motion to adjourn, which was duly made, seconded and unanimously carried.

Respectfully submitted,

Betty Carol Clark, Secretary
Board of Trustees

(PR's 2, 3, 4, 5, 6, 7, 8, 9, and 10; Resolution; FCR's 1, 2, 3, and 4; and ICR 1 which follow are official parts of the Minutes of the Meeting.)

Office of the President
December 12, 1978

PR 2

Members, Board of Trustees:

RECOMMENDATIONS OF THE PRESIDENT

I. Appointments and/or Other Staff Changes

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

Background: The following 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 vice president through the President and have his concurrence.

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

BOARD ACTION

New Appointments

Friedericks, Carl W., Associate Clinical Professor (voluntary), Department of Community Medicine, College of Medicine, 11/1/78 through 6/30/79.

Gibson, Harold W., Instructor in the Community College System, Madisonville Community College, 10/1/78 through 6/30/79.

Hensley, David L., Assistant Extension Professor*, Department of Horticulture and Landscape Architecture, College of Agriculture, 10/1/78 through 6/30/79.

Reed, Michael Robert, Assistant Professor, Department of Agricultural Economics, College of Agriculture, 9/28/78 through 6/30/79.

Singh, Kewal, Visiting Professor, Department of Political Science, College of Arts and Sciences, and Patterson School of Diplomacy, Graduate School, 1/1/79 through 5/31/79.

Unrug, Konstanty F., Visiting Associate Professor, Department of Civil Engineering, College of Engineering, 11/21/78 through 6/30/79.

Wade, Richard C., Visiting Professor, Department of History, College of Arts and Sciences, 1/1/79 through 5/31/79.

*Special Title Series

Non-Academic Appointments

Allison, Ruth, Nurse Anesthetist, Department of Anesthesiology, University Hospital, retroactive 9/25/78.
Combs, Patricia K., Senior Media Development Specialist, Office of the Dean, College of Medicine, retroactive 10/16/78.
DeStephanis, Augustus, Management Specialist, Center for Public Affairs, College of Business and Economics, retroactive 11/1/78.
Geissler, Richard H. Jr., Research Associate, Department of Pathology, College of Medicine, 10/1/78 through 6/30/79.
Gold, David V., Senior Research Associate, Department of Pathology, College of Medicine, retroactive 11/1/78.
Kiesz, Judith A., Supervisor, Routine Chemistry Laboratory, University Hospital, retroactive 10/2/78.
McLellan, Pattie W., Educational Broadcast Specialist, Office of Public Information, Vice President for the Medical Center, retroactive 9/29/78.
Ratliff, Bobby R., Extension Information Specialist, Department of Public Information, College of Agriculture, retroactive 11/15/78.
Thomas, Phyllis, Nurse Anesthetist, University Hospital, retroactive 11/27/78.
Woods, Gordon L., Senior Systems Programmer, University Hospital, retroactive 11/6/78.

Administrative Appointments

Hackett, James, Assistant to Dean, College of Medicine and Director of Finance, College of Medicine, retroactive 10/16/78.

Promotions

Weitzel, William D., from Assistant Professor, (without tenure), to Associate Professor, (with tenure), Department of Psychiatry, College of Medicine, effective 1/1/79.

Reappointments

Nadler, Sam, Visiting Associate Professor (part-time), Department of Mathematics, College of Arts and Sciences, 1/1/79 through 6/30/79.

Joint Appointments

Anderson, James W., Professor, (with tenure), Department of Medicine, College of Medicine, also named Professor, (with tenure), Department of Clinical Nutrition, College of Allied Health Professions, retroactive 10/1/78.

*Special Title Series

Bean, Laurence R., Professor, (with tenure), Department of Oral Diagnosis and Oral Medicine, College of Dentistry, also named Professor, (with tenure), Department of Diagnostic Radiology, College of Medicine, retroactive 10/1/78.

Burki, N. K., Associate Professor, (with tenure), Department of Medicine, College of Medicine, also named Associate Professor, (with tenure), Department of Physiology and Biophysics, College of Medicine, retroactive 10/1/78.

Piecoro, John, Associate Professor*, (with tenure), College of Pharmacy, also named Assistant Professor, Department of Pediatrics, College of Medicine, retroactive 10/10/78.

Change

Berger, Philip K., Resigned as Associate Professor with tenure, Department of Business Administration, College of Business and Economics 7/1/78; appointed Associate Professor, with tenure, Department of Community Medicine, College of Medicine with a joint appointment as Associate Professor, without tenure, Department of Business Administration, College of Business and Economics, effective 7/1/78. Primary appointment in Department of Community Medicine.

Retirements

Dean, Benjamin T., Extension Professor*, (with tenure), Department of Animal Sciences, College of Agriculture, after 14 years and 6 months of consecutive service, effective 11/1/78.

Gray, Marguerite, Food Service Supervisor, Department of Dietetics and Nutrition, University Hospital, after 17 years and 4 months of full-time service, effective 12/31/78.

Logan, Ruth C., Food Service Supervisor, Student Center Cafeteria, Department of Auxiliary Services, after 25 years and 4 months of consecutive service, effective 11/17/78.

Spencer, Louis, Food Service Supervisor, Department of Dietetics and Nutrition, University Hospital, after 15 years and 5 months of consecutive service, effective 12/31/78.

Williams, Lewis G., Food Service Worker, Department of Dietetics and Nutrition , University Hospital, after 15 years and 10 months of consecutive service, effective 6/30/78.

Early Retirements

Sallee, Frances E., Machine Operator IV, Duplicating Services, after 28.5 consecutive years of service, effective 12/5/78.

Post-Retirement Appointments

Garrigus, Wesley P., Professor, Department of Animal Sciences, College of Agriculture, academic year 1978-79.

Sprague, John S., Physician (part-time), University Health Service, 7/1/79 through 6/30/80.

*Special Title Series

Leave of Absence

Jansen, William H., Professor, (with tenure), Department of English, College of Arts and Sciences, Sick Leave, previously approved by the Board in October, 1978, for three months, October through December 1978; This is extension of Sick Leave until retirement June 30, 1979, without interruption of pay.

ADMINISTRATIVE ACTION

New Appointments

Anderson, William M.D., Instructor in the Community College System, (voluntary), Jefferson Community College, 9/1/78 through 5/31/79.
Aunett, Charles F., Clinical Instructor (voluntary), Department of Allied Health Education and Research, College of Allied Health Professions, 8/1/78 through 6/30/79.
Barker, Donald, Instructor in the Community College System (voluntary), Lexington Technical Institute, 8/1/78 through 5/31/79.
Bourdon, Robert S., Visiting Assistant Professor, Department of Art, College of Fine Arts, 1/1/79 through 5/31/79.
Brown, Sister Miriam Elizabeth, Clinical Instructor (voluntary), Department of Allied Health Education and Research, College of Allied Health Professions, 8/1/78 through 6/30/79.
Broyles, Irene P., Instructor in the Community College System (voluntary) Somerset Community College, 8/30/78 through 12/31/78.
Bryant, Carol Anne, Adjunct Assistant Professor* (part-time), Department of Anthropology, College of Arts and Sciences, 1/1/79 through 5/15/80.
Bush, Sherman L., Instructor/Counselor in the Community College System, Jefferson Community College, 9/1/78 through 6/30/79.
Chen, Wen-ju Lin, Clinical Instructor (voluntary), Department of Clinical Nutrition, College of Allied Health Professions, 10/27/78 through 6/30/79.
Collins, Paul, Assistant Clinical Professor (voluntary), Department of Medicine, College of Medicine, 10/1/78 through 6/30/79.
Dalton, Sister Dorothy, Clinical Instructor (voluntary), College of Nursing, 11/1/78 through 6/30/79.
Easley, Dan, Visiting Instructor (part-time), Department of Mathematics, College of Arts and Sciences, 10/5/78 through 12/31/78.
Edwards, Lois Kay, Instructor in the Community College System (voluntary), Lexington Technical Institute, 8/1/78 through 5/31/79.
Elam, Carol L., Media Development Specialist, Division of Educational Development, Office of the Dean, College of Medicine, retroactive 11/1/78,
Faunce, Jill M., Media Development Officer, Department of Dental Hygiene, College of Allied Health Professions, retroactive 10/7/78
Fiala, Joseph F., Research Assistant, Department of Psychiatry, College of Medicine, retroactive 10/9/78,
Harrison, Christopher H., Clinical Instructor (voluntary), Department of Pediatrics, College of Medicine, 11/1/78 through 6/30/79.

*Special Title Series

Head, Marylou S., Assistant Professor (part-time), Department of Restorative Dentistry, College of Dentistry, 10/1/78 through 6/30/79.

Hedrick, James, Clinical Instructor (voluntary), Department of Pediatrics, College of Medicine, 11/1/78 through 6/30/79.

Henderson, Cheryl L., Counselor/Instructor in the Community College System, Jefferson Community College, 11/6/78 through 6/30/79.

Howard, Leonard R., Visiting Assistant Professor (part-time), Department of Political Science, College of Arts and Sciences, 1/1/79 through 5/31/79.

Kaufman, Cynthia, Clinical Instructor (voluntary), College of Nursing, 10/1/78 through 6/30/79.

Kiteck, Stephen S., Clinical Instructor (voluntary), Department of Family Practice, College of Medicine, 11/1/78 through 6/30/79.

Knight, Jane N., Librarian IV, Acquisitions, Library, 11/21/78 through 6/30/79.

Kopczyk, Anthony J., Assistant Professor (part-time), Department of Periodontics, College of Dentistry, 9/19/78 through 6/30/79.

Leiss, Ernst L.F.X., Visiting Assistant Professor, Department of Computer Science, College of Arts and Sciences, 1/1/79 through 5/15/79.

Lowenthal, Donna, Instructional Specialist II, College of Nursing, retroactive 10/1/78.

Mills, Michael R., Clinical Instructor (voluntary), College of Pharmacy, 9/1/78 through 6/30/79.

Mudd, Carol G., Clinical Instructor (voluntary), Department of Physical Therapy, College of Allied Health Professions, 10/17/78 through 6/30/79.

Nozaki, Masako, Visiting Assistant Professor, Department of Pharmacology, College of Medicine, 11/1/78 through 4/30/79.

Pedigo, Sara Jo., Clinical Instructor (voluntary), Department of Physical Therapy, College of Allied Health Professions, 10/19/78 through 6/30/79.

Rehm, Stanley M.D., Instructor in the Community College System (voluntary), Lexington Technical Institute, 8/1/78 through 5/31/79

Rietz, Mike, Instructor (part-time), Department of Health, Physical Education and Recreation, College of Education, 1/1/79 through 5/15/79.

Sanchez, Sandra M., Clinical Instructor (voluntary), College of Nursing, 10/1/78 through 6/30/79.

Sims, Linda, Clinical Instructor (voluntary), Department of Allied Health Education and Research, College of Allied Health Professions, 8/1/78 through 6/30/79.

Sorrell, Connie L., Instructor in the Community College System (voluntary), Lexington Technical Institute, 8/1/78 through 5/31/79.

Spichard, Frances P., Instructor in the Community College System (voluntary), Lexington Technical Institute, 8/1/78 through 5/31/79.

Steele, William B., Instructor in the Community College System, Jefferson Community College, 9/1/78 through 12/31/78.

Thoen, Svein, Clinical Instructor (voluntary), Department of Physical Therapy, College of Allied Health Professions, 9/1/78 through 6/30/79.

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*Special Title Series

Thomas, Charles A., Assistant Professor (part-time), Department of Community Dentistry, College of Dentistry, 9/18/78 through 6/30/79.
Totton, Earl Jr., Instructor in the Community College System (voluntary), Madisonville Community College, 8/30/78 through 12/21/78.
Whiteside, Martha Jane, Visiting Librarian III, Government Publications, Libraries, 11/13/78 through 6/30/79.
Wilmott, Vickie W., Clinical Instructor (voluntary), Department of Physical Therapy, College of Allied Health Professions, 10/16/78 through 6/30/79.

Non-Academic Appointment

Burnam, Emmett P., Health Career Opportunity Recruiter, UK Minority/Disadvantaged Health Manpower Program, Vice President for Minority Affairs, 11/6/78 through 6/30/79.

Joint Appointment

Skaff, David M., Assistant Professor (part-time), Department of Pediatric Dentistry, also named Assistant Professor (part-time), Department of Community Dentistry, College of Dentistry, 9/11/78 through 6/30/79.

Administrative Appointments

Goodman, Norman, Professor, (with tenure), named Acting Co-Chairman, Department of Community Medicine, College of Medicine, 11/5/78 through 6/30/79.
Skaff, Karen O., Assistant Professor*, and Coordinator Dental Auxiliary Programs, named Assistant Professor*, and Acting Chairperson, Department of Dental Hygiene, Department of Allied Health Education and Research, College of Allied Health Professions, 7/1/78 through 6/30/79.
Vandiviere, H. Mac, Professor, (with tenure), named Acting Chairman, Department of Community Medicine, College of Medicine, 11/5/78 through 6/30/79.

Reappointments

Clay, Brenda Johnson, Adjunct Assistant Professor*, Department of Anthropology, College of Arts and Sciences, 1/1/79 through 5/15/80.
Cramer, Alberta, Instructor (temporary), Department of Health, Physical Education and Recreation, College of Education, 1/1/79 through 5/15/79.
Struss, Edwin F., Assistant Professor (part-time), Department of Oral Diagnosis and Oral Medicine, College of Dentistry, 7/1/78 through 6/30/79.

*Special Title Series

Promotions

Clark, Myrtle W., from Instructor to Assistant Professor, Department of Accounting, College of Business and Economics, 8/1/78 through 6/30/79.

Changes

Berkowitz, Jackie, from Assistant Professor (part-time), to Assistant Clinical Professor (voluntary), Department of Orthodontics, College of Dentistry, 10/1/78 through 6/30/80.

Foti, Veronique M., from Visiting Assistant Professor, to Assistant Professor, Department of Philosophy, College of Arts and Sciences, 8/16/78 through 5/15/80.

Housel, Thomas J., from Assistant Professor, to Instructor, Department of Communication, College of Communications, 7/1/78 through 6/30/79.

Melnik, Evelyn H., from Assistant Professor*, to Assistant Clinical Professor (part-time), Department of Pediatrics, College of Medicine, 12/1/78 through 6/30/79.

Robinson, Eunice, from Nurse Midwife, to Clinical Instructor (voluntary) College of Nursing, 11/15/78 through 6/30/79.

Smith, William E., Instructor (temporary), Department of Family Practice, College of Medicine, extension of ending date through 11/30/78.

Leaves of Absence

Adams, David R., Associate Professor, Department of Mathematics, College of Arts and Sciences, Leave without pay, Spring Semester 1979, approved by Board 10/17/78, Request Withdrawn.

Amatuzzo, Paul J., Associate Professor, College of Architecture, Sabbatical leave with full salary, 7/1/78 through 12/31/78.

Auvenshine, Dwight, Associate Professor, Department of Psychology and Counseling, College of Education, Sabbatical leave with full salary, Spring semester 1979.

Baxter, Ellen P., Librarian I, Chemistry-Physics Library, Sabbatical leave with full salary, Spring semester 1979.

Cazden, Robert, Professor, Library Science, Sabbatical leave with full salary, Fall semester 1979.

Dye, Nancy S., Assistant Professor, Department of History, College of Arts and Sciences, Sick Leave, 10/6/78 through end of Fall semester 1978.

Ellis, Nona, Assistant Professor, College of Architecture, Leave withou pay, calendar year 1979.

Haley, John V., Professor, Department of Behavioral Science, College of Medicine, Sabbatical leave with full salary, 7/1/79 through 12/31/79.

Hemenway, Robert, Professor, Department of English, College of Arts and Sciences, Sabbatical leave with half salary, academic year 1979-80.

*Special Title Series

Landon, John W., Associate Professor*, Department of Social Work, College of Social Professions, Sabbatical leave with half salary, Fall semester 1979.

Mack, John, Professor, Department of Mathematics, College of Arts and Sciences, Sabbatical leave with full salary, 1/1/79 through 6/30/79.

Neal, Manlius P. III, Management Specialist, Center for Business Development, College of Business and Economics, Leave without pay, 11/1/78 through 11/30/78.

Nelson, Daniel N., Assistant Professor, Department of Political Science, College of Arts and Sciences, Change leave without pay approved by the Board 10/17/78 to Special Assignment for the Spring Semester 1979.

Stober, William J., Professor, Department of Economics, College of Business and Economics, Sabbatical leave with full salary, Spring semester 1979.

Winer, M. B., Professor, Department of Anatomy, College of Medicine, Special Assignment, 7/1/79 through 7/31/79.

*Special Title Series

Action: Aprpoved XX Disapproved _____ Other _____

Date: December 12, 1979.

Office of the President
December 12, 1978

PR3

Members, Board of Trustees:

SUPPLEMENTAL RECOMMENDATIONS OF THE PRESIDENT

I. Appointment and/or Other Staff Changes

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

Background: The following 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 vice president through the President and have his concurrence.

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

BOARD ACTION

New Appointment

Bayani, A. M., Assistant Professor, Department of Anesthesiology, College of Medicine, 11/1/78 through 6/30/79.
Millett, Adrienne J., Assistant Professor, Department of Ophthalmology College of Medicine, 11/16/78 through 6/30/79.

Non-Academic Appointment

Early, Larry A., Media Development Officer, Division of Educational Development, College of Medicine, retroactive 10/16/78.

ADMINISTRATIVE ACTION

Non-Academic Appointment

Williams, Jimmy L., Student Affairs Officer, Office of Student Affairs, College of Allied Health Professions, retroactive 11/13/78.

Leaves of Absence

Hall, Jack B., Assistant Vice President for Student Affairs, Office of Vice President for Student Affairs, Special assignment with state government extended for year from 1/3/79 through 1/3/80.

Holland, C. Phillip, Professor, Department of Pediatrics, College of Medicine, Sabbatical leave with half salary, 1/1/79 through 12/31/79.

Action: Approved XX Disapproved _____ Other _____

Date: December 12, 1978.

Office of the President
December 12, 1978

PR4

Members, Board of Trustees:

CANDIDATES FOR DEGREES - UNIVERSITY SYSTEM

Recommendation: that the Board of Trustees authorize the President to confer upon those whose names appear on the attached list the degree to which each individual is entitled, upon certification by the Dean of Admissions and Registrar and approval by the University Senate, that the individual has satisfactorily completed all requirements for the degree for which application has been made.

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

Action taken: Approved XX Disapproved _____ Other _____

Date: December 12 1978

OFFICE OF ADMISSIONS AND REGISTRAR
CANDIDATES FOR DEGREES
DECEMBER 21, 1978

GRADUATE DEGREES	
PH.D.	82
D.B.A.	4
D.M.A.	1
ED.D.	13
ED.S.	3
M.A.	80
M.A.EDU.	35
M.B.A.	21
M.F.A.	2
M.M.	2
M.P.A.	3
M.S.	96
M.S.ACC.	3
M.S.AGR.	13
M.S.AGR.E.	1
M.S.C.NUT.	1
M.S.CHE.E.	7
M.S.CIV.E.	6
M.S.E.MEC.	3
M.S.EDU.	43
M.S.E.E.	10
M.S.H.E.	15
M.S.L.S.	24
M.S.M.E.	12
M.S.MED.RAD.DOS.	4
M.S.MET.E.	1
M.S.MIN.E.	1
M.S.D.	1
M.S.N.	13
M.S.W.	27
TOTAL	527

PROFESSIONAL DEGREES	
D.M.D.	7
J.D.	28
TOTAL	35

UNDERGRADUATES

Agriculture	
B.S.AGR.	81
B.S.FOR.	8
B.S.LA.ARCH.	9
TOTAL	98
Allied Health	
B.H.S.	41
TOTAL	41
Architecture	
B.ARCH.	15
TOTAL	15
Arts and Sciences	
B.A.	102
B.G.S.	66
B.S.	57
TOTAL	225
Business and Economics	
B.B.A.	129
B.S.ACC.	74
B.S. IN COM.	1
B.S.B.E.	8
TOTAL	212
Communications	
B.A.	21
TOTAL	21
Education	
A.B.EDU.	144
TOTAL	144
Engineering	
B.S.AGR.E.	1
B.S.CHE.E.	7
B.S.CIV.E.	46
B.S.E.E.	23
B.S.M.E.	24
B.S.MET.E.	2
B.S.MIN.E.	5
TOTAL	108
Fine Arts	
B.A.	19
B.M.	5
B.M.E.	10
TOTAL	34
Home Economics	
B.A.HID.	1
B.S.DET.	12
B.S.H.E.	29
TOTAL	42
Nursing	
B.S.N.	28
TOTAL	28
Pharmacy	
B.S.PHAR.	31
TOTAL	31
Social Professions	
B.A. IN S.W.	33
TOTAL	33

GRADUATE DEGREES	527
PROFESSIONAL DEGREES	35
UNDERGRADUATE DEGREES	1,032
TOTAL	1,594

Graduate School

Dean: Wimberly Calvin Royster

Doctor of Philosophy

AKIN GARY WAYNE
ALI MAYEHU TSEHAI
ARRINGTON MELVIN SLAY JR
BECKER GERALD WAYNE
BENIS KERRY GENE
BROWN ROBERT HAYES
BRUSER DONALD MARVIN
CARMICHAEL GREGORY RICHARD
CARUSO FRANK LAWRENCE
CASEY DENNIS LEE
CHIA KUEI-HWA WANG
CHRISTMAS BYRON KEITH
CHURCH JANET RISTY
DAVISON DONNA F SNELL
DUNCAN GEORGE ARTHUR
EASSA MOHAMED RIFKY
FAVRE BEVERLY CORA STEPHENS
FELDMANN MARTHA JOHNSON
FLEMING GARRY ALAN
FOX JOHN FRANCIS
FREEMAN SAMUEL REECE JR
GIACCOTTO CARMELO
GUO GARY BIH-FANG
GUPTA HARI KRISHNA
HALL ELIZABETH J
HANNAWAY DAVID BYRON
HARPER JAMES EDWARD
HOWELL BENITA JANKLE
HSIEH THOMAS CHENG-YUEH
HUANG TAO KING
JOHNSON ARTHUR EDWARD
JOYCE PETER MCCOART
KADABA MURALI P
KALAM MUHAMMAD ABUL
KANE EDWARD
KAYE MICHAEL STUART
KING REBECCA K
LEIBEE GARY LEROY
MARION ROGER D
MARTIN JAMES ROBERT
MCFARLAND DENNIS JOHN
MCGREGOR JOHN PATRICK
MCQUINN ROY L
MILLER DAVID FOSTER
MILLER GREEN RUSSELL
MORRISON JOHN EDDY JR
MURRAY BRUCE PUPPLETON
NAUGLE BURL I
NORTON HIRAM ALFRED JR
PANDEY KAILASH NATH
PAREKH MANHAR C
PAVON MICHELE
PAWLUKIEWICZ JAMES EDWARD
PENDLUM LARRY CLAYTON
PLACEK TIMOTHY DALE
PRUS JOSEPH S
READ MARSHA RUTH
RICHERS DAVID MATTHEW
RIDDLE PHYLISS ELAYNE SIMMONS
RYMPH DAVID BUDD
SALMASSI MOHAMMAD
SANDER ROBERT AUGUST
STRICKLAND THEODORE
THOMPSON JAMES RICHARD
THUMMABOOD SAWAT
TRIPATHI SHAMBHU NATH
TRUELOVE JAMES ELDON
TRUONG THAM VAN
TYLER DONALD DEAN
VAN HELLEN RUSSELL WILLIAM
VINES ROSE LEIGH BILBREY
WALLS DAVID STUART
WATSON GLEN HAROLD JR
WETTER ROBERT EDWARD
WHITE ISABELLE B
WILLARD JOHN C
WILLIAMS CARLTON ROWE
WILLIAMS KENNEDY JR
WILSON SARA IVILL SCOTT
WOLFE RICHARD NEFF
WOODS MARTHA MARIE
ZUBER RICHARD ALLEN

Doctor of Business Administration

AUSTIN KENNETH ROY
DAMTEW DESTA
GIACOMINO DON EDWARD
MCNEILL JOHN DICKEY JR

Doctor of Musical Arts

LITTLE JOHN PAUL

Doctor of Education

CUDNICK TED M
EDWARDS FRANCINE DAWN CASS
GLASS JOEL HOWARD
GRAHAM THOMAS AARON
HAGEDORN GENEVA DIANNE GADDIS
KAY STEVEN ALLEN
KNOWLTON HENRY EARLE
MCAULIFFE CHARLEEN MARGARET
MCNEILL PAUL WESLEY
MOON TED WILLIAM
ROBESON THOMAS HOWARD
SORAPURU JUDE THADDEUS
THRELKELD WILLIAM ROSS

Specialist in Education

BOYD JOHN ALLEN
CLEVELAND MARY EVE PROFFITT
GORMAN MARY SUZANNE

Master of Arts

ALLAWAY ELIZABETH BALLARD
ARCURY THOMAS ANTHONY
ARMSTRONG ROBERT CLAIR
BARAX NANCY KAY
BARBOUR JAMES LEWIS
BARNA FRANK
BLACKWOOD DENNIS MICHAEL
BOISVERT RICHARD ANTHONY
BON DANIEL L
BOOKER THOMAS LINDSEY
BOTTIGGI WILLIAM DAVID
BOURNE MARY ETTA RUME
BOYSEN CYNTHIA MARIE
BRUCE DEBORAH SUE
CARDEN STEPHEN DENTON
CHEELY KAREN
CHEPLICK DAVID MICHAEL
COURTNEY JOHN MICHAEL
CUMMINGS SHEILA JAN
DAUGHERTY DEBORAH ANN
DEXTER RICHARD W
DOUGLAS TIMOTHY JOHNSON
ESTES CHARLES RANDLE JR
FLACH WILLIAM DANIEL
FURNISH SHEARLE LEE
FURR ERIC MICHAEL
GLICK ROCHELLE C
GREER LILLIAN SUE
GRIFFITH MARVIN HARDY
HAGAN JOE DICKERSON
HANNAH REBECCA LEE
HOLDREN SHARON LEE
HUGHES CHARLES BRUCE
JENDA OVERTOUN MALANDULA
JOHNSON VICTORIA RAE
JONES JOEL LYNN
KANNENSOHN MICHAEL DANA
KEITH VERNA MARIE
KELLY VINCENA JEAN PIANALTO
KUKU KALAKUKU ABEL
LOWRY THOMAS ANDREW
LUCKENBACH ALVIN HENRY
LUTH JEFFREY MICHAEL
MCCRAW BETTY FRANCES JONES
MCKEE SCOTT FRANKLIN
MCTAVISH JANICE RAE
MEADE KATHRYN PARIS
MEADOW SUZANNE
MYRICK PATRICIA LYNN
NASER MARYANN
NOYES MARGARET JEAN SAKRA
ONEALE SONORA ANN WHITE
OWENS CHARLES AVERY
PARKER JAMES NEIL
PECK JENNIFER LEIGH
PEYTON DAN WARREN
REDD MARGARET G
RIEKE ALISON RAE
ROGERS DORTHE THRANE
RORABAUGH JOHN LEMUEL JR
RUTTENBERG BARBARA ANN
SCHUETTE KEITH EDWARD
SHANKLIN CARLA KATHERINE
SIGOUNTOS JAMES G
SMISSON JOSEPH DRAKE
SMITH CHRISTOPHER JAMES
STALL RONALD D
STATHAS GENE ALEXANDER JR
STYLES HARRY P II
SULLIVAN KEVIN JOH
SWEARINGEN SUSAN M
TAPIA-VIDELA JUAN F
THIENEMAN SUSAN ELIZABETH
THOMSON JOHN MICHAEL
VALLANDINGHAM HOLLEY GERTRUDE
VAUGHAN WILLIAM G
WARREN SUSAN KAY
WEINLAND MARCIA K
WOOD JAMES ROBERT
WOUS JOANNA WAYLAND

Master of Arts in Education

ANDERSON KARIN RENATE STUTZ
BOYD MARTHA LANDRUM
BROWN JAMES MARK
CHILDERS GEORGE WILLIAM
CRITES CAROLE LUCINDA LIST
FINNIE ELEANOR ROSALIND MARSH
FRASE CINDY LOU
GINTER GERALD BRENT
GRANT LINDA WHITEAKER
HARRALSON MARCIA LEE KUEGEL
HATCHER JEAN ALLISON
HICKS SARA CHARLINA CAMPBELL
HOLEFLE PATRICIA LUCILE
HOURIGAN DAVID ROSS
HOWARD LINDA JOYCE
LEBLANC LESLIE ANN
MARTIN MARY IRENE
OWENS GLADYS H ESTEPP
PETERSON MARGARET G GADSDEN
PROPST JULIA ALEXANDER
REISTER JOSEPH DOUGHERTY
SALMONS NAZOLA LYNN
SALOMON SIMONE BLOOMFIELD
SCHNEIDER PAULA MARIE
SETTLES PAMELA ROOT
STRATTON MIKE
STRINGER PATRICIA DARE TAYLOR
TAPP NANCY SALVEN
TUSSEY SHARON J TERRY
VESSELS MARY JOAN
WEBB RUTH HARDY
WHEATLEY SAMUEL WAYNE
WILSON MARGARET LITTRELL
YOUNG BRENDA LONG
CORNETT DONNA JARVIS

Master of Business Administration

ANDREWS DAVID M
BASILE THOMAS JOHN
BROWN HERBERT J III
CHUNG YAN SHYAN
FOSTER JEFFREY MICHAEL
HATLEY DONNA LEE
HENDRICKS JOHN WADE
MCILVAIN CONSTANCE
MURALI DESIKACHARI
OCONNELL DIANE JO
RILEY THOMAS EUGENE
ROBARDS DOUGLAS JOAN
SARDONE CARMEL ANN
SCHAFFER JOAN LEE
SIMON DAVID L
THACHER LAUREL A HOROWITZ
THEMANN WILLIAM AUGUST
THOMASON WILLIAM WALDO JR
WALTHALL MARTIN BACON
WINFREY-HULL PEGGY JEANNE
WISE LINDA SUE

Master Of Fine Arts

MESSER EDITH CAROL
SCHMITT PAMELA HOWARD

Master of Music

MARCUS MARY ALICE
MAYES MITZI CAROL

Master of Public Administration

HARRISON JUDITH ELLEN MITTL
SOWELL RONALD GENE
WIEGERT OLGA BALZER

Master of Science

ADKINS WILLIAM KENNETH JR
AKRIDGE DAROLD JAY
BARKER PENELOPE JANE
BARNARD FREDDIE LYNN
BIRCH MICHAEL JOSEPH
BLODGETT MARIANNE MUCIO
BROWN DORTHA M
BURNS FRANK THOMAS
CHANG YING-KUEI ANN
CHENG CHEAN-YEH EDWARD
CHESNUT DON R JR
CONNER MARGARET ELLEN
COOK NANCY HICKAM
DE GREGORIO ROBERT M
DE LA MOTTE CAROL A
EASTERLY RONALD PENN
ELDRED JANE GAY
FAGGE NORMAN DOUGLAS
FILO ALBERT J
FOWLER ARTHUR THOMAS
FRANCIS PAUL CLIFTON
GAINES SARA C
GHAFFAR ROSLAN BIN A
GHAZALI NORDIN BIN
GILES LESLIE CAROL
GOVINDAN MELEDATH
GRAY EVELYN F
GUFFEY WENDELL RAY
GUYTHER SUSAN CANDACE
HAN LUNG-WEN
HAUCK PHILIP GEORGE
HAYES M SUSAN WALKER
HEMPEL ELIZABETH EMMERT
HENNING JAMES MICHAEL
HIGH VICTOR IRVING
HILE MATTHEW G
HOEHN JOHN PHILLIP
HOY CHARLES CYRUS
HSIEH YAH-SHANG
JACKSON JAMES AGUSTA
JOHNSON JAMES WARREN
JOHNSON ROBERT STEVEN
JUDY MARY LEE STIDHAM
KAO DAN-LO LU
KUMP JANET AILENE
LAMB LUCINDA MARIE
LEE SHUYLN
LUTGARDO ALBERTO RUDOLFO
MARKOWITZ GERALD
MCCORMICK JOHN WILLIAM
MCKNAB GLENN LEROY
MCMILLAN JAMES MARTIN
MELLES FESSEHAIE
MERRIGE MICHAEL EDWARD
MILLER MICHAEL LEWIS
MONEYHAM GARY CLORIDGE
MOODY CAROLYN SERENA KNUCKLES
OLSON GENE LESLIE
PALMER DENNIS WAYNE
PELL JOHN KALMAN
PORTIG ELISABETH RENATE
PRICE JOYCE ANN
PRICE PETER ELLIOTT
RANIERI THOMAS ANTHONY
RANKIN JAMES SCOTT
REESE MARK ALLEN
RETTEW DAVID MARK
RICHARDSON JAMES ELLIS
RICHMOND SUSAN G LARSEN
ROBERTSON ALBERT THOMAS JR
ROSANOFF KENNETH ALAN
ROWLAND RANDAL WADE
SATHAYE SHASHI A GHANEKAR
SAUER HENRY BRUCE
SIMON DONALD MARC
SIMON MARION FAYE

STOFER WILLIAM C
STOUT LARRY DALTON
SUCHY MICHAEL EDWARD
SUN GENE-HUA
SWAGER DENNIS R
THEATER HOWARD ELIN
THOMAS BETTY CUTTON
TONG LEE-ING
TROESTER JOSEPH WILLIAM
VINCENT JEAN ELIZABETH
WESTERMAN DORIS JEANNE COFFEY
WHITE CONNIE GAYLE
WILLIAMS WAYNE D
WILSON DAVID LAWRENCE
WOMBLE MARK DOUGLAS
YANG HYEKYUNG
YANG KUEI-CHIN
YASIN SALIHUDIN BIN
YEARGAN MICHELLE RENEE BARBEAU
ZIMMER BARBARA LEA

Master of Science in Accounting

ANDERSON CHRISTOPHER EDWARD
HUNTER R DREW
PACK JOHN ROBERT

Master of Science in Agriculture

ABDULRAHIM KHALID BIN
AYLWARD EDWARD BRIAN
BOYLE JEFFREY BRYAN
CHIANG I-WEN
COLLIVER MCGUIRE CONWAY
DAVIS HUGO EDWARD
ELLINGSWORTH FREDDIE RAY
HAIRIE LEON THOMAS
HOLSTEIN ALLEN GRANVILLE
KRIS EDWARD STEPHEN
RAMSEY ALLAN GREGG
SPRINGER EVERETT P
VAIL JAMES ALAN

Master of Science in Agricultural Engineering

TAPP JOHN SORY JR

Master of Science in Chemical Engineering

CARSON DAVID GORDON
CHADHA NAVNEET
DAVIS MARK EDWARD
KULKARNI PRADEEP LAXMAN
SHELTON LINDA SUIELA
SU PAUL MING KUAN
TUITE GREGORY D

Master of Science in Civil Engineering

ADAMS DAVID CHARLES
BROWN THOMAS SPENCER
GALLT JAMES GERARD
KINDER RANDALL CHARLES
MUSE RALPH KENNETH
WILLIAMS RANDALL GLENN

MASTER OF SCIENCE
IN CLINCIAL NUTRITION

DEBLASIO JOANN

Master of Science in Dentistry

BUHL HENRY CLAYTON

Master of Science in Education

BAKER DEBRA GAYLE
BALCH NANCY ELIZABETH
BARNETT RON LEE
BIHL KATHERINE H
BOHANNON JUDY DELANE THOMPSON
BREWER CELIA
BROOKS CAROL MILLER
BROOKS JAMES DONALD
BUCHHOLZ MARK PAUL
CLARKE JOE CRAIG
CONTI JUDITH ROSENBERG
DICKERSON CAY SHAWLER
DICKERSON LINDA L FOX
DURHAM ROBERT VAUGHAN
EZEKIEL PATRICIA ANN
FIGEL DORLAIE MARIE
FORMAN DAVID WILLIAM
FOSTER CARLA GAIL SKAGGS
FRANCIS MARTHA ROBERTSON
GRENWALD-MAYES GLORIA GAY
HAYS TEDDY L
HENDERSON PEGGY LEIGH HAWKINS
HOOD WILLIAM R
HORSEMAN ALISSA LEE FRANCIS
HOWARD DOROTHY LOU
JONES SUSAN CAULK
KELLEY DONALD ROACH
KENT RONALD LEE
KEOWN GAYLA OLDHAM
KLINE SUSAN ELIZABETH JOHNSON
KUPAR GREGORY ALAN

LYONS LYNNE HAUPT
MEDLEY GERALD STEVEN
RAINES PAULA MURILL
RAZOR REBECCA MORTON
ROFFEY BETTY LYNETTE HATWARD
ROFFEY JOHN WILLIAM
SARNOFF DAVID
SCHMERSAL SISTER ALICE MARIE
SMITH CAROLYN SUE
STEFANSKI MARILYN ANN
TERLAU MARY T
TOLSON ANNA FAYE BRYANT

Master of Science In Electrical Engineering

CHANG CHEN
CHANG LUKE LUNG
CHIANG YETUNG PAUL
KAO DER-CHANG
LEWIS CHARLES ALLEN
LUCAS WAYNE TAYLOR
NOLAND GENE DANIEL
ROBERSON DARE RANDALL
STREABLE GARY WAYNE
TOON WILLIAM MICHAEL

Master of Science In Engineering Mechanics

CHENG WEN-CHE
WANG TSORNG
WU CHIEN-HUEI

Master of Science In Home Economics

BOLDRICK FRANCIS TIMOTHY
CHEN CHWEN-JU YU
CHEN HEI-MIN CHANG
DORSEY MARY JANE
DOSSETT DIANE CARROLL
DUNMAN MARY VIRGINIA
HAWKINS BRENDA KAY
HAWKINS LINDA FAY
MASON SUSAN SPREIREGEN
MCALLISTER BARBARA ANNE NIWELL
MINCH CONSTANCE JANE
MORRIS CAROL ANN WILSON
MULLINS SHERRY GWYNN
SHIPPY PHYLLIS ANN SHANK
YOUMANS BEVERLY JEAN

Master of Science In Library Science

ASHLEY LINDA MARIE RAMSEY
BIDWELL NANCY MARGARET NOLAND
GANTT DAVID GLENN
GORMAN ARTHUR LAWRENCE JR
HEARD ELIZABETH ANN
HECHT JUDITH NELL ROSENBERG
HOEKSTRA MARGUERITE LYNN KREBS
HUFF PAMELA SUE GEORGE
IGLAUER CAROL
INGRAM MARK ANTHONY
JONES ROXANNA MARIE
MARCUS BARBARA HELENE
MESPLAY DEBORAH LYNNE
MULLINS LINDA JEAN BLAKE
NELSON BRENT ALAN
NOTTINGHAM JANET L
PENNELL RHEBA ANN
REID SUSAN SPURR
SAUER JEFFREY KEITH
SHAW MEG M
SHEPARD LAURA ANN
SMITH SHARON LOUISE
TIDE ELIZABETH ANN LOFTUS

Master of Science In Mechanical Engineering

BAKER KENNETH LYNN
BAYSAL HAYRETTIN HUSEYIN
CHEN FELIX FUMING
CHEN JHITANG ITHANE
CHEN SHIHLIN
HICKEY THOMAS EUGENE
HU CHIA-YUAN HENRY
MUNIVEERAPPA B
NOLAN ROBERT LEROY
RAPP BRUCE DUNCAN
SHANG PAUL C
VANGALA GOPALAKRISHNAMURTHY

Master of Science In Medical Radiation Dosimetry

CHAN ROSANNA CHING-HAR
CHOW CHINWEI HELEN CHANG
THOMPSON DONALD J
VOGEL PATRICIA D

Master of Science In Metallurgical Engineering

PARK JUNG-WAN

MASTER OF SCIENCE IN MINING ENGINEERING

AGRAWAL ASHOK K

Master of Science in Nursing

CARLSON DEBORAH ZAHM
CROSBY ROBERTA W LOGAN
DUTTON MARJORIE ANDERSON
DZIEDZIC DONNA MARIA
EGBERT EDYTHE ANN
KEENE KATHERINE HAGAN
LOWENTHAL DONIA MAY DUHY
MILLER PATRICIA CRAIN
PAGEL RENATE HELENE
ROGERS DIANE MARIE KUEHN
WOLF GAIL ANDRUS
WOOD SYLVIA HAZEL HIGGINSON
WORK REBECCA BOYCE

Master of Social Work

ALDRIDGE GAYLE LESLIE
CLARK LINDA JONES
DUYNE LYNNE RULES
EVANS JEROME CALVIN
FINLEY KATHLEEN ANN
GRIFFITH JEANETTA REBECCA
HEINZ KARIN ANN
HENSON NELSON CASE
KEHR LAUREN LESLIE
KRAFT TOM J
KUPKA CHRISTINE MARIE
LAUE JANET PATRICIA
MAY DONALD RAY
MOFFETT SCOTT
PATTERSON NANCY JEAN MALUSKI
PETERS HARRY BROWNE JR
POHR BARRY WALKER
ROBERTS JESSIE DEAN BOWLING
SHEPHERD JUDITH M ELLIOTT
SMITH CARL EUGENE
TAYLOR VICKI LYN
TICE KAREN WHITNEY
WEEKS PAMELA LYNN FRENCH
WESTERFELT HERB LEE OTIS
WHITE LORI B
WHITSON PATSY RUTH PADEN

College of Dentistry

Dean: Merrill W. Packer

Doctor of Dental Medicine

CLARK BRENT GILFORD
CLYDE JAMES STEPHEN
EMRICH CHARLES LEA
JEFFREY D STEVE III
MCALPIN ROGER DALE
OSBORNE PAUL BRENT
SKILES ROBERT AUNDRA

College of Law

Dean: Thomas P. Lewis

Juris Doctor

ANDERSON INGRID SUE
BARRICKMAN WILLIAM BRUCE
BENTON FRANK VERMILYA IV
CATON RICHARD P
DONALDSON SARA COLLINS
DOUGLAS CHARLES LEE JR
FRANKLIN DAVID ALAN
GREENE CHARLES JOSEPH
HARMAN CYNTHIA COLE
HARMAN JOHN ROBERT III
KANNENSOHN MARGARET HESTER
LUBAY KATHLEEN JOAN
MCCOLLUM CHARLES ROYDEN III
MILLER ROBERT ALLEN
MOWERY STEVEN L
OSTERHOLT MARY LYNNE
PAGE JONI JACKLIN
PAYNE GARY DUDLEY
ROSS DARLENE YOUNG
RUSSELL CLAIRE LYNN
SCHWEMM SUSAN HALLER
SPANGLER JOHN MICHAEL
VAN HOUTEN PATRICIA ANN
WAGNER DONALD PAUL
WALLINGFORD JOSEPH WHITNEY II
WARREN PENNY LORRAINE ROBINSON
WEEKS DEBORAH KAREN REDD
WHARTON JOHN VANMETER

College of Agriculture

Dean: Charles Elmer Barnhart

Bachelor of Science in Agriculture

AARON DEBRA KAY
BAKE JAMES LEROY
BARNES JOSEPH ROBERT
BATTE VICTORIA SPICER
BUSSERT MICHAEL LEE
BROCARD MARY CATHERINE
BRUNER KATHRYN ANNETTE
BUCKLES JENNIFER LYNNE
COLLINGS DAVID ANDREW
CRABTREE STEVE D
CRAFTON JAMES MILTON JR
CUMMINGS JAMES BAXTER
DAOLE SUSAN ROSS
DARNELL JAMES SOUTHEY JR
DETGEL JOHN ROBERT
DOWNS BILLY J
EMELUE PRECIOUS CHUKWUMA
ENNIS LYNN EDWARD
FARLEY FRANKLIN EARL
FINNELL GLENN MASON
FORSTER DONNA LEE
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SHAHRVINI BEHNAM
SLAUGHTER JAMES DAVID
SORKE STEVE LOUIS
TORITSEMOTSE OGBARA JOHNSON
TREADWAY DAVID R
WARREN MARILYN
WELCH MICHAEL VAN BUREN
WOODS DANNY PEARL
WRIGHT SCOTT ALAN
ZWAHLEN BEVERLY JANE DUNGAN

Bachelor of Science in Electrical Engineering

ALEXANDER DAVID
BISCHOFF MARK WILLIAM
BLAND PATRICK MAURICE
BRASHEAR LEONARD FARMER III
CRADY STEPHEN EUGENE
DONOHOO DALE WAYNE
EBLEN FREDERICK PATTEN
FLANERY THOMAS KENTON
HALL CHARLES MAKLIN
HOWARD JAN LEE
ISON THOMAS W
JOHNSON WALTER LYNN
KEARNEY MICHAEL WILLIAM III
KEYSOR CHARLES H
KOCKRITZ ARTHUR WALTER III
KRUSPE GERALD R
LOUCKS DAVID GLENN
MACEMON RICHARD GILMORE
MCCAMISH JOSEPH RANDALL
NIEHAUS MARTIN LOUIS
SUDKAMP JAY PAUL
WATTS RICHARD COURTNEY
WATTS WILLIAM CHARLES

Bachelor of Science in Mechanical Engineering

BASS REX B
BELL DIANE LYNN
BEYERSDOERFER JEFFREY ALLAN
BLOCK D STEVEN
CHALIN THOMAS NEAL
CHOW WAH CHEUNG
CLIFFORD DARLENE ANN SWIKERT
COLLINS RODERICK IVANHOE
CULLER PAUL THOMAS
DAVIS WILLIAM H
DOEHNERT ROBERT DONALD
ELKINS RANDALL WARREN
FARDI BEHZAD
HAGER RICHARD MICHAEL
HELLARD DAVID WAYNE
MOSER KATHRYN ELIZABETH
PLUNKETT DAVE RICHARD
PRIESTLEY TERRY WARREN
SIZEMORE FRANK LEE
TURNER JOE HENRY
VAN GORP GARY
WAHL GREGORY THOMAS
WHEELER KIM DAVID
WILSON CHARLES EDWIN III

Bachelor of Science in Metallurgical Engineering

MOORE DOUGLAS PRICE
SWINTOSKY MICHAEL DAVID

Bachelor of Science in Mining Engineering

BLACKBURN JOHN GEORGE
DAVIS MICHAEL GENE
MANNING JAMES EDWARD
MCGINNIS TED
NEWELL EDWIN PRESTON

College of Fine Arts

DEAN: J. ROBERT WILLS

BACHELOR OF ARTS

APPLEGATE BOBBIE LYNN
BALLANTINE NANCY ADAIR
BROCK ROBERT F
CASE LORI E
CHAPMAN MARK L
CLEMENS KEITH LESLIE
COOMER CHARLES WILLIAM
GRACIUS ANNE GIBBS
HAMILTON EDGAR HENRY JR
HOLLINGSHOOD FRANK BRANDEN
JENNINGS MARC EMERY
LYNEM TIMOTHY FARREL
MARCUM LEAH RUTH
SCHLADALE JOANN KATHRYN
SHELTON JOHN EDWARD
THOMPSON SUSAN BETH MURPHY
TODD PATRICIA ANN
VESSELS STEVEN JOSEPH
WADDELL KAREN JEAN

Bachelor of Music

BAKER MILES KEENE
BRYANT ROBERT SCOTT
JAMES RUSSELL DAVID
SCOTT YONRICO VONDEZ
TURNER MELISSA RUTH

Bachelor of Arts in Music Education

CHAUDOIN GLENN LESTER
HAWKINS KAREN ODELL
HUBBARD SUSAN LOVINS
KELLEY SHARON ELAINE KEATH
LOWE WAYNE J
POWERS SCOT DUNCAN
STOVALL PATRICIA ANN
THURMAN ROY MICHAEL
VONBLEICKEN ERIC STEPHEN
YOUNG ANTHONY ANDREW

College of Home Economics

Dean: Marjorie Stewart

Bachelor of Arts in Housing and Interior Design

BRAUN WAYNE HAROLD

Bachelor of Science in Dietetics

BLACK PATRICIA ANN
COURTNEY ANITA HELEN
DAHLEN DEBORAH LYNN
FAIRCHILD KATHRYN MORGAN
FRISCHNER SARAH HUNT
KING PAULA COX
METZ BRENDA GAY
POWELL MICHAEL CLAY
REID CAROL N
RICE JOY K
TRENT MARY CATHERINE
TROENDLE TIMOTHY ERNEST

Bachelor of Science in Home Economics

BERNARD BELINDA SUE
BICKETT MARCIA KAY GUKEY
BITTEL MARY THERESE
BRASHEAR KAREN LYNN
BROWN LEE ANN
CAWLEY GRACE ANN
EDGEWORTH LUCY LIVA
FOWLER DIANE
HAMILTON NANCY JO GALLOWAY
HANNA MARY HOLLY
HEILMAN JODI LEE
HICKEY CONNIE JO TOBERGATE
HILL ERIATENE LYNETT
JORDAN BETTY JO
JUETT DEBRA KAREN
JUSTICE STEPHANIE LYNN
KISER RITA JEAN
LAYMAN CAROLYN BROWN
MOORE BARBARA SUE
PACKETT SANDRA SUE
PERKINS DEBORAH IRENE
PETERMAN MARY M GALUARDI
POWERS CAROL JEAN
SMITH DEBORAH SUSAN
SMITH MYRALEE
STROMIRE ANNE CAMPBELL
TURNER DEBORAH ANN HAYES
WHEAT MARGARET LEE
WHITIS SARAH ELIZABETH

College of Nursing

Dean: Marlon B. McKenna

Bachelor of Science in Nursing

ANDERSON ROBIN BARNES
ARCURY COLLEEN BUTTERMORE
BLAIR VICTORIA ANNE
BRUHAGEN JANICE LEE TURNER
BRYANT CATHY LEE
CHACKO MARY KUTTY
CLEM KAREN SUE SLAYBACK
COGGINS CATHERINE ANN
COMBS DONNA GAIL RUSSELL
CRAWLEY KAREN MAE SIMPSON
ELDER MARGARET ROSE
FITZGERALD LINDA CAROL THOMSON
JONES CASSIE LEA
MAYHUGH ANNE ELAINE
MOORE DENISE ANN
MORGAN ANNE LYNN
MORROW DIANE LEIGH
OLIVER JOAN JOHNSON
PARRISH CHARLES ALFRED
PORTER BETTY MELISSA GRIFFITH
RICHARDS DIANE LOUISE TICHENOR
ROLEN MARLA KAYE
SCHUSTER PATRICIA MYRA
SMITH JANET MARIE LAMBERT
SULLIVAN PAULA ELLIS
TABOR VICKI LYNNE
TAPP ELIZABETH ANN LIPPS
WILSON PEGGY ANN

College of Pharmacy

Dean: Joseph Vincent Swintosky

Bachelor of Science in Pharmacy

ADAMS NANCY ISABELLE
ARNOLD KATHRYN MCKENNA
BARNES VINCENT KEITH
BURWELL LEAH IRENE
BUTLER DEBORAH CAROL
CECIL H THOMAS
CECIL REBECCA JEAN
DAVENPORT MARY LOUISE
DAVIS GLENN RUDNLY
EUBANKS JAMES ROBERT JR
GASKINS JOHN COBERN
GOGGIN LEA RODGERS
GORDON CARL EDWARD JR
GUION MARGARET SUSAN
HARRIES NANCY JEAN
LAMBERT PAULA KAYE WHELLER
MAINING DONNA JO HARRISON
MARTIN MARK ELIOT
MCALPIN ANDREA MOORE
MILLER ZELDA CATHERINE ANGLIN
PEARCE KEN FOSTER
POWELL KENNETH RAY
RAFTERY SUSAN JANE
RILEY DONALD GLENN
SIPES DEBORAH ROBINSON
SPARROW WAYNE DOUGLAS
STEELE DAVID LUTHER
THOMPSON MARIA THERESA
TUTTLE MICHAEL A
VICKERS DAVID HUNTER
WELLS LUCY CAROLYN BUCH

College of Social Professions

Dean: Ronda S. Connaway

Bachelor of Arts in Social Work

ALBRIGHT VERA JANE SMITH
ANDERSON VICKI KAY
BELL CAROLYN LOUVENIA DISHMAN
BUCKLES CAROL YVONNE
CLARK DONALD P
CONNOR JANE LYNN
COWAN SANDRA LEE CANNON
GILL MARJORIE WALLACE
GIVENS JANET LYNN
GULLETT LORETTA
HUDGINS SHARON JANE
INGLESBY ELLEN MARY
JONES DIANE FRANCES SALLEE
JONES ELLA MARGARET WATKINS
KRON SHIRLEE ANN WURTH
LOCKHART PAULA MCDONALD
LOVINGOOD LISA ANN
MARCH DONNA LYNN
MAUTZ ROBIN SUZANNE BREEDING
MCCOMBS MARGARET ELLEN
METCALF DONETTA YVONNE
MONDAY ELIZABETH ANN
MURRAY JOSEPH ALBERT
NOBLE LISA KIM
OTTEN KAREN ANN
PHILLIPS DEBORAH L
REID KAREN A
SAYLOR ESTER LYNN FOSTER
SEALS ROBERT D
STRATTON KATHLEEN FUCCI
THOMPSON MICHELE
UNGER JOHN ROBERT
WILSON ANTHONY MARK

Office of the President
December 12, 1978

PR 5

Members, Board of Trustees:

1978-79 Budget Revisions

Recommendation: that the following revisions in the 1978-79 budget be authorized and approved.

	Approved Budget	Revised Budget	Change
A. General Fund			
1. Income Estimates			
State Appropriations	$112,590,300	$112,677,800	$ 87,500
Student Fees			
University Extension	544,000	641,500	97,500
Continuing Education Fees	1,743,000	1,731,600	(11,400)
Federal Appropriations			
Vocational Education	750,500	748,000	(2,500)
Gifts and Grants			
Other Gifts and Grants	940,600	971,800	31,200
Sales and Services			
Departmental Sales and Services	2,886,700	2,909,900	23,200
Fund Balances	7,242,900	8,249,800	1,006,900
			1,232,400
2. Expenditures			
Academic Affairs			
College of Architecture			
Administration	162,300	169,500	7,200
College of Arts and Sciences			
English	1,108,600	1,110,700	2,100
College of Education			
Vocational Education - Teacher Education	448,400	445,900	(2,500)
Summer Cheerleading Clinics	98,300	71,100	(27,200)
Center for Professional Development	135,700	139,200	3,500
Administration and Support			
General Library	2,485,400	2,518,400	33,000
University Extension			
Conferences and Institutes	91,900	97,900	6,000
Continuing Education	8,100	20,600	12,500
Evening Class Program	182,800	262,800	80,000
Extension Class Program	164,800	174,800	10,000
Independent Study Program	182,800	177,800	(5,000)

	Approved Budget	Revised Budget	Change
2. Expenditures (Cont'd)			
Community College System			
Jefferson Community College	$4,269,700	$4,293,700	$ 24,000
Madisonville Community College	704,900	720,700	15,800
Somerset Community College	1,093,100	1,097,100	4,000
Southeast Community College	627,600	682,100	54,500
Central Administration			
Dental Hygiene Program	-0-	7,600	7,600
University-Wide			
General Expenses			
Annual Giving Program	186,400	198,300	11,900
Continuing Education Programs	1,758,800	1,833,800	75,000
Nonrecurring Funds			
Renovation	4,223,500	5,143,500	920,000
			1,232,400

3. Comments - An increase in gifts and grants income will support budget increases for the College of Architecture and Jefferson Community College. Additional sales of publications and pamphlets will fund an expenditure increase for the College of Arts and Sciences' English Department and the College of Education's Center for Professional Development. A reduction in the income projection of federal vocational education support will reduce the College of Education's vocational education budget. A revised estimate of clinic fees will require a reduction of the College of Education's Summer Cheerleading Clinic budget. Budget increases for University Extension's Continuing Education, Evening Class, Off-campus, and Independent Study programs and for Madisonville Community College will be supported by additional continuing education student fees. An increase in rental income will fund a budget change for University Extension's Conferences and Institutes. State appropriations will support the budget increase for Southeast Community College's nursing program and the University libraries. Dental hygiene instrument rental income will fund additional expenditures in the program. Dental fees collected will support Somerset Community College's Dental Hygiene Clinic. Appropriated fund balances will fund increases in the Annual Giving program, Continuing Education programs, and renovation budgets.

	Approved Budget	Revised Budget	Change
B. Restricted Funds			
1. Income Estimates	$13,227,200	$14,237,000	$1,009,800
2. Expenditures			
Academic Affairs			
College of Arts and Sciences			
English	700	1,700	1,000
Spanish and Italian	100	200	100
College of Education			
Administration	33,700	34,200	500
College of Engineering			
Wenner-Gren Lab	-0-	2,500	2,500
College of Home Economics			
Administration	1,300	2,500	1,200
College of Social Professions			
Administration	-0-	500	500
Instruction	281,400	368,900	87,500
Agricultural Experiment Station			
Agricultural Engineering	-0-	42,900	42,900
Agronomy	72,800	99,800	27,000
Agricultural Cooperative Extension			
Associate Director	-0-	100,000	100,000
Medical Center			
Administration			
Vice President	6,200	25,200	19,000
College of Medicine			
Administration	124,500	127,900	3,400
Medicine	14,500	14,700	200
Ophthalmology	2,900	7,400	4,500
Obstetrics and Gynecology	35,000	45,000	10,000
Community College System			
Nursing Capitation Programs	-0-	83,900	83,900
Elizabethtown Community College	204,500	255,800	51,300
Hazard Community College	67,300	68,800	1,500
Hopkinsville Community College	73,500	84,200	10,700
Madisonville Community College	4,300	14,300	10,000
Tobacco and Health Research Institute	4,360,000	4,877,900	517,900

	Approved Budget	Revised Budget	Change
2. Expenditures (Cont'd)			
Student Aid			
Gifts and Grants for Scholarships			
General Scholarships	$389,100	$393,100	$ 4,000
Exceptional Need Scholarships (Health Professions)	-0-	30,200	30,200
			1,009,800

3. Comments - Income restricted for the purposes indicated above will fund the proposed additional expenditures.

	Approved Budget	Revised Budget	Change
C. Auxiliary Services			
1. Income Estimates	$16,584,200	$16,585,900	$ 1,700
2. Expenditures			
Community College System			
Jefferson Community College	506,000	507,700	1,700

3. Comments - The proposed expenditure increase will be supported by additional income generated by the respective auxiliary services operation.

Action taken: Approved XX Disapproved _____ Other _____

Date: December 12, 1978

Office of the President
December 12, 1978

PR 6

Members, Board of Trustees:

APPOINTMENT OF MEDICAL STAFF, UNIVERSITY HOSPITAL

Recommendation: That the following appointments to the Medical Staff, University Hospital, be approved, including the delineation of clinical privileges, effective October 24, 1978 through June 30, 1979.

Full-time	Department	Class
Cibull, Michael L.	Pathology	II
Fosson, Abraham R.	Pediatrics	III
Hanson, Michael B.	Ob-Gyn	II
Voluntary		
Collins, Paul S.	Medicine	III

Background: According to the Bylaws of the Medical Staff, University Hospital, approved by the Board of Trustees on April 4, 1978, the Board or its Executive Committee must approve appointments to the Medical Staff, including delineation of clinical privileges. Clinical privileges are delineated according to Class I, Class II, and Class III.

Action taken: Approved XX Disapproved _____ Other _____

Date: December 12, 1978

Office of the President
December 12, 1978

PR 7

Members, Board of Trustees:

PROPOSED AMENDMENTS TO THE GOVERNING REGULATIONS

Recommendation: that the following proposed amendments to the Governing Regulations of the University of Kentucky which were received and tabled at the September 19, 1978 meeting of the Board of Trustees be removed from the table and approved.

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

First Amendment - Change the first paragraph of Part VII-B-2 (pages 23a and 24) to read:

The Dean of the Graduate School and Coordinator of Research is chairman of the Graduate Faculty and the Graduate Council. Under the broad direction of the President and the Vice President for Academic Affairs, he provides general planning guidance and review for all of the University's endeavors in graduate instruction and research. He bears responsibility for the total research activity of the University, including the University of Kentucky Research Foundation, and for the coordination of research and graduate education. He has direct administrative responsibility for the interdisciplinary research institutes, except for those for which responsibility specifically has been delegated otherwise. He appoints associate members of the Graduate Faculty and recommends the appointment of regular members for the approval of the President. He recommends [on the appointment, promotion and granting of tenure to] to the appropriate academic vice president on the following actions affecting faculty members who are, or may be, involved in research and graduate programs of the University: initial appointments of associate professors and professors; promotions of assistant professors and associate professors; and granting of tenure. He also recommends on budgets as they may affect research and graduate programs.

Background: This amendment will provide consistency between the Governing Regulations and current practice.

Second Amendment - Change Part VII-B-3 (page 24) to read:

The Dean of Undergraduate Studies has the function, under the purview of the Vice President for Academic Affairs, of integrating and strengthening those aspects of undergraduate education of common interest to those appropriate colleges in the University System. He serves as chairman of the Undergraduate Council. He administers offices and programs designed to provide more effective instructional resources. He also has general responsibility for those

Second Amendment (continued)

undergraduate programs of a University-wide nature such as the Honors Program and the Undergraduate Research and Creativity Program. He shall have the same authority and responsibilities as those of a dean of a college in the administration of educational units that might be transferred to or developed under his office. He recommends to the Vice President for Academic Affairs on the following actions affecting faculty members in the Division of Colleges who are, or may be, involved in undergraduate programs: initial appointment of associate professors and professors; promotions of assistant professors and associate professors; and granting of tenure.

Background: This change has been recommended by both the University Senate Council and the University Senate Advisory Committee on Privilege and Tenure and will provide consistency between the Governing Regulations and current practice.

Third Amendment - Change Part VII-B-6 (page 25) to read:

The department chairman is responsible for recommendations on the appointment of new members of the department, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments (X-C-8) and the granting of tenure. Procedures and criteria used in preparing recommendations shall be those established by the University, the college and the departmental faculty. As a minimum, the procedures must include consultation with all tenured members of the department and with all those with the rank of assistant professor or equivalent who have been members of the department for two years, except as noted below. All recommendations on matters listed above, excepting reappointments and post-retirement appointments, must include the written judgment of each consulted member of the department along with the recommendations of the chairman. The following exceptions may be made: (1) faculty members need not be consulted on recommendation for promotion affecting members with equivalent or higher rank, except that all faculty members with tenure shall be consulted on recommendations for granting of tenure; (2) faculty members without tenure need not be consulted on recommendation for granting of tenure; (3) the right to make recommendations on temporary appointments and/or appointments at the assistant professor level or below may be delegated, with these appointments to be reviewed by the tenured faculty of the department during the second semester of the first year of appointment; (4) in a large and diverse department, upon prior recommendation by the departmental faculty and approval by the President, consultation with faculty members may be restricted to those associated with the concerned, previously-defined academic division or program area in the department.

Background: The first modification relating to not providing individual written judgments in cases of reappointments and post-retirement appointments will provide consistency between the Governing Regulations and current practice. The second modification would provide a mechanism by which a faculty in a large and diverse department, with the approval of the President, could establish modified consultation procedures.

Fourth Amendment - Add the following as the second paragraph in Part VIII A-2 (pages 27 and 28):

With approval of the next higher administrative level, a regular administrative officer may designate a temporary officer to act in his capacity for a period not to exceed four months while he is away from campus on University business or approved leave.

Background: This amendment would provide a needed addition to the Governing Regulations. Currently, there is no provision in the Governing Regulations for designating a temporary officer to act in an administrator's capacity while the administrator is away from campus on University business or approved leave. The maximum length of four months is sufficient to cover a summer period or one-semester sabbatical leave.

Fifth Amendment - Add the following as the sixth paragraph in Part VII-A-4 (pages 20 and 21):

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

Background: This amendment will provide consistency between the Governing Regulations and current practice.

Sixth Amendment - Add the following as the third paragraph in Part VII-A-5 (page 21):

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

Background: This amendment will provide consistency between the Governing Regulations and current practice.

Seventh Amendment - Add the following as the fourth paragraph in Part VII-B-4 (page 24):

In addition to the roles and responsibilities described above, the dean of a college without departments shall have any other roles and responsibilities which are delegated to the department chairman as set forth in Part VII-B-6.

Background: This amendment will provide consistency between the Governing Regulations and current practice.

Eighth Amendment - Add the following as the fourth paragraph in Part VII-B-5 (page 25):

In addition to the roles and responsibilities described above, the director of a school without departments shall have any other roles and responsibilities which are delegated to the department chairman as set forth in Part VII-B-6.

Background: This amendment will provide consistency between the Governing Regulations and current practice.

Action: Approved XX Disapproved _____ Other _____

Date: December 12, 1978.

Office of the President
December 12, 1978

PR 8

Members, Board of Trustees:

AMENDMENTS TO AND RE-ENACTMENT OF THE BY-LAWS AND RULES AND REGULATIONS OF THE MEDICAL STAFF AND APPOINTMENT OF COUNCIL OF SUPERVISORS FOR UNIVERSITY HOSPITAL

Recommendation:

1. That the Board approve amendments to the By-Laws of the Medical Staff which:

(a) Insert the words "including one student" in the definition of Council of Supervisors.

(b) Provide in Article III, Section 3. b. for provisional appointment to the Medical Staff.

(c) Provide in Article IV for the Council of Supervisors to make the appointments and reappointments to the Medical Staff, including the delineation of clinical privileges, thus transferring this function from the Vice President for the Medical Center, the President and the Board of Trustees to the newly activated Council of Supervisors.

(d) Provide in Article VI for time limitations and hearing opportunities to be afforded members of the Medical Staff when corrective action is to be taken.

2. That the Board re-enact the By-Laws of the Medical Staff as amended. (The By-Laws, as amended, are attached.)

3. That the Board approve amendments to the Rules and Regulations of the Medical Staff which:

(a) Nullify the existing Section A. "Admission, Transfer, and Discharge of Patients" of the Medical Staff Rules and Regulations and adopt the proposed Section A. "Admission, Transfer, and Discharge of Patients" in order that the responsibility for the allocation and use of beds in the University Hospital be transferred to the Admissions Office and the Associate

Dean for Clinical Affairs, and in order to place the responsibility for documentation of patient admissions, transfers and discharges with the attending physicians. Further, the proposed Section A. "Admissions, Transfer and Discharge of Patients" specifically provides in part 10 for the method of billing for professional services.

(b) Allow Podiatrists to have limited privileges to treat patients in the out-patient clinics. The inclusion of J. "Rules Concerning Services of Podiatrists" will cause the former J. to become K.

4. That the Board re-enact the Rules and Regulations of the Medical Staff as amended. (The Rules and Regulations, as amended, are attached.)

5. That the following individuals be appointed to the Council of Supervisors for the University Hospital.

Board of Trustees

Mr. William Black, Chairman	3-year term
Mrs. Sally Hermansdorfer	1-year term
Dr. David Hull	2-year term

Medical Staff

Dr. Robert Luke	3-year term
Dr. Harold Rosenbaum	2-year term

Public

Mr. Michael Olding (student)	1-year term
Mrs. Rogers Beasley	2-year term
Mr. Al Smith	3-year term
Mr. Barney Tucker	1-year term

Background:

On April 4, 1978, the Board approved, in principle, the By-Laws of the Council of Supervisors and the By-Laws of the Medical Staff. Certain amendments to the By-Laws of the Medical Staff were approved by the Board on October 17, 1978. Now, with the actual appointments to the Council of Supervisors, the Council will be able to assume the functions referred to in recommendation 1 (c) above. Formerly, the procedure for appointments and reappointments to the Medical Staff called for the Vice President for the Medical Center and the President to make recommendations to the Board for final action. Recommendation 1 (c) above, in effect, eliminates the

necessity of the Vice President for the Medical Center and the President making recommendations to the Board. The decision making process for appointments and reappointments will now result in final action by the Council of Supervisors. Recommendation 1 (a) above is a technical amendment necessary to make the composition of the Council of Supervisors as defined in the By-Laws of the Medical Staff consistent with the Board's action on April 4, 1978 in approving the By-Laws of the Council of Supervisors. Recommendation 1 (b) calling for provisional appointments to the Medical Staff prior to awarding of regular one-year appointments is the result of a specific recommendation made by the Joint Commission on Accreditation of Hospitals. Recommendation 1 (d) above is also the result of a specific recommendation of the Joint Commission on Accreditation of Hospitals. The Joint Commission has expressed concern that the existing By-Laws do not afford Medical Staff members the opportunity to request a hearing and do not provide a definite time frame within which disciplinary action is to be taken or not taken.

Action upon amendments to the Rules and Regulations of the Medical Staff will in the future be the responsibility of the Council of Supervisors; however, since the membership has not been previously established, it is necessary for the Board to act upon the current amendments. The recommendation of 3 (a) above will basically re-align the function of the assignment of bed space within the University Hospital from residents to attending physicians, the Admissions Office and the Associate Dean for Clinical Affairs. The recommendation of 3 (b) above will allow podiatrists to be eligible for limited privileges in the out-patient clinics. The services of podiatrists have been determined to be desirable, particularly in the treatment of diabetic patients.

Recommendations 2 and 4 above call for the re-enactment of the By-Laws and Rules and Regulations of the Medical Staff as amended, in order that the various amendments be finalized in one document with which the Council of Supervisors may commence functioning. Further amendments to the By-Laws of the Medical Staff will continue to require approval of the Board of Trustees.

Recommendation 5 makes the initial appointments to the Council of Supervisors. Previous action of this Board on April 4, 1978 called for a Council composed of three (3) members of the Board of Trustees (one of whom shall be designated as chairman), two (2) members of the Medical Staff, four (4) public members (one of whom shall be a student of the University), and four (4) members who serve by virtue of their University appointment (Vice President for the Medical Center, Vice President for Business Affairs, Dean of the College of Medicine, and the Hospital Director).

Action taken: Approved XX Disapproved _____ Other _____

Date: December 12, 1978

BYLAWS OF THE MEDICAL STAFF
UNIVERSITY HOSPITAL
ALBERT B. CHANDLER MEDICAL CENTER
UNIVERSITY OF KENTUCKY
LEXINGTON, KENTUCKY

PREAMBLE

The University Hospital, Albert B. Chandler Medical Center is a part of the University of Kentucky, a publicly supported institution of higher learning established and maintained pursuant to Chapter 164 of the Kentucky Revised Statutes. A primary function of the Medical Staff of the University Hospital is the delivery of health care services to the patients in the University Hospital. In order to provide a framework within which the Medical Staff shall function, these Bylaws and Rules and Regulations shall govern those physicians, dentists, house staff, research and education staff and allied health professionals who practice or seek to practice at the University Hospital.

DEFINITIONS

1. Medical Staff - means all medical physicians, dentists, house staff, research and education staff, allied health professionals who are privileged to attend patients at the Hospital.

2. Hospital - means the University Hospital, Albert B. Chandler Medical Center, University of Kentucky.

3. Council of Supervisors - means that body appointed by the Board of Trustees consisting of thirteen members, three (3) of whom shall be members of the Board of Trustees of the University of Kentucky, two (2) of whom shall be members of the Medical Staff recommended by the Hospital Clinical Board, four (4) of whom shall be public members including one student recommended by the President and the Vice President for the Medical Center, the Vice President for Business Affairs, the Dean of the College of Medicine and the Hospital Director who participate in the governance of the University of Kentucky Hospital with powers as delegated by the Board of Trustees in the "Bylaws of the Council of Supervisors, University of Kentucky Hospital".

4. Board of Trustees - means the Board of Trustees of the University of Kentucky.

5. Clinical Board - means that body composed of the following: Chiefs of Hospital Clinical Services as described in Article IX, Section 2 herein, the Chairman of the Department of Community Medicine, Deans of the Colleges of Medicine, the Associate Dean for Clinical Affairs of the College of Medicine, the Hospital Director and ex-officio non-voting members shall consist of the Deans of the Colleges of Dentistry, Nursing, Pharmacy and Allied Health Professions, the Director of the University Student Health Service, the Associate Dean for Veterans Affairs, the Director of Nursing of University Hospital, and the Vice President for the Medical Center, or their respective designates.

6. Hospital Director - means the individual who oversees the overall management of the Hospital.

7. Associate Dean for Clinical Affairs - means the individual bearing that title within the College of Medicine who oversees the quality of patient care, the proper functioning

of the Medical Staff, compliance with these Bylaws and Rules and Regulations by the Staff, and coordination of the work of the clinical departments.

8. Vice President - means the Vice President for the Medical Center, University of Kentucky.

9. President - means the President of the University of Kentucky.

10. Medical Staff year - means that period of time commencing on the first day of July of any calendar year and ending on the thirtieth day of June of the following calendar year.

11. Use of the terms, "he", "his", "him", "chairman" herein shall refer to female or male.

ARTICLE I

These Bylaws and Rules and Regulations shall operate to:

1. establish a framework within which the fundamental objective of the Hospital to provide comprehensive medical services, including diagnostic and curative medical care, preventive medical care, care and rehabilitation of the chronically ill and disabled, dental care, ambulatory services, and facilities for education and research for those engaged in activities related to comprehensive medical services may be effectuated;

2. facilitate effective cooperation with other affiliated and nonaffiliated hospitals and other community health agencies serving the Central and Eastern Kentucky area;

3. facilitate effective affiliation with other hospitals and educational institutions to assist in the education of physicians, dentists, nurses, pharmacists, and allied health professionals;

4. insure that all patients served receive a high standard of personalized, continuous quality care;

5. facilitate the formulation of long-range and short-range health planning goals;

6. provide a method of continuous self-evaluation of the medical services through the delineation of staff privileges and review of clinical activities;

7. insure the development and maintenance of high standards in medical education programs;

8. provide a means whereby issues concerning the Medical Staff and the Hospital may be discussed and resolved.

ARTICLE II

CATEGORIES OF THE MEDICAL STAFF

SECTION 1. Medical Staff Categories

The Medical Staff shall be divided into categories denominated: honorary, active, associate, consulting, research and education, house staff, and allied health professional.

SECTION 2. Honorary Category

The Honorary Category shall be comprised of physicians and dentists previously members of the active staff who are no longer active in the Hospital. These may be physicians and dentists who have retired from active hospital practice or who are of outstanding reputation, not necessarily residing in the community. Honorary Staff members shall not be eligible to admit patients, vote, hold office or serve on standing Medical Staff committees.

SECTION 3. Active Category

The Active Category shall be comprised of physicians and dentists who are full-time faculty members of the University of Kentucky College of Medicine or Dentistry who hold unlimited Kentucky licenses to practice their profession in the Commonwealth of Kentucky and who have been endorsed by their respective departments, divisional and sectional chairmen as being active in the teaching program of the University. Only members of the Active Staff shall be eligible to vote at any meetings of the Medical Staff. Privileges shall be delineated upon appointment and with each reappointment. Members of the active staff shall be required to attend meetings of the Medical Staff and to serve on standing Medical Staff committees.

SECTION 4. Associate Category

The Associate Category shall be comprised of physicians and dentists who are voluntary and part-time faculty of the University of Kentucky College of Medicine or Dentistry who hold unlimited Kentucky licenses to practice their profession in the Commonwealth of Kentucky and who have been endorsed by their respective departmental, divisional and sectional chairmen as contributing to the programs of the University. Privileges shall be delineated upon appointment and with each reappointment. In general, admission privileges shall be limited to periods of active involvement in teaching. Members of the Associate Staff do not have voting privileges at meetings of the Medical Staff, but they may attend Medical Staff meetings and serve on standing Medical Staff committees.

SECTION 5. Research and Education Category

The Research and Education Category shall be comprised of members of the faculty of the University of Kentucky College of Medicine or Dentistry who have been endorsed by their respective departmental, divisional and sectional chairmen as participating actively in the research and teaching programs of the Hospital and University, but do not possess licensure to practice medicine or dentistry in the Commonwealth of Kentucky. Members of the research and education staff may be identified as research and education staff of a particular department. Members of the research and education staff shall not be eligible to admit patients, vote at any Medical Staff meetings, hold office or serve on standing Medical Staff committees.

SECTION 6. Consulting Category

The Consulting Category shall be comprised of specialists who are Board qualified, and/or recognized as having special competence in their field, and are endorsed by the relevant departmental, divisional and sectional chairmen as contributing to the programs of the University. Privileges shall be delineated upon each appointment and re-appointment. Members of the consulting staff shall not be entitled to vote at any Medical Staff meetings, hold office or serve on standing Medical Staff committees, nor shall such consulting staff members be required to attend Medical Staff meetings.

SECTION 7. House Staff Category

The House Staff Category shall be comprised of medical and dental residents, fellows and trainees who are employed by the University of Kentucky upon the recommendation of the relevant department chairmen. Members of the House Staff shall not be eligible to admit patients, vote at any Medical Staff meetings or hold office. Members of the House Staff may serve on standing Medical Staff committees and attend Medical Staff meetings.

SECTION 8. Health Related Professions Category

The Health Related Professions Category shall be comprised of faculty members of the University of Kentucky and/or employees of the University of Kentucky who are endorsed by the chief of the relevant clinical service and the Hospital Clinical Board. Members of the Health Related Professions staff shall be identified as Health Related Professions Staff of a particular clinical service. Privileges shall be delineated upon appointment and re-appointment. Members of the allied health professions staff shall not be eligible to admit patients, vote at any meeting of the Medical Staff committees or serve on standing Medical Staff committees. Members of the health related professions staff may attend Medical Staff meetings.

ARTICLE III

MEDICAL STAFF MEMBERSHIP

SECTION 1. Medical Staff Membership

Membership on the Medical Staff of the Hospital is a privilege extended only to those health professionals who continuously meet the qualifications, standards and requirements set forth herein.

SECTION 2. Eligibility for Membership

The following shall be eligible to apply for membership on the Medical Staff:

a. physicians and dentists licensed to practice in Kentucky and who are or were members of the faculty of the University of Kentucky College of Medicine or Dentistry;

b. physicians and dentists not licensed to practice in the Commonwealth of Kentucky, but who are members of the faculty or visiting consultants of the University of Kentucky College of Medicine or Dentistry engaged in teaching and research;

c. medical and dental residents, fellows and trainees licensed to practice in Kentucky employed by the University of Kentucky;

d. health related professions who are members of the faculty of the University of Kentucky and/or employed by the University of Kentucky.

SECTION 3. Conditions and Periods of Appointment

a. Acceptance of membership on the Medical Staff shall constitute the staff member's agreement to abide by these Bylaws and Rules and Regulations. In addition, acceptance of membership on the Medical Staff constitutes the staff member's agreement to abide by the Principles of Medical Ethics of the American Medical Association, or the Code of Ethics of the American

Dental Association, as applicable, or in the case of non-physicians and dentists, the code of ethics which has been adopted by his profession, as applicable, as if the same were appended to and made a part of these Bylaws.

b. Upon the recommendation of the Clinical Board and after approval of the Council of Supervisors an applicant shall be given a provisional appointment for a period of 6 months. Provisional staff shall have all the privileges and duties of full staff members in their category. At the end of the provisional period and on recommendation of the applicant's Chief of Service, full staff status will be given for a period not to exceed the end of the then current Medical Staff year. Reappointments shall be for periods of not more than one Medical Staff year.

c. Appointment to the Medical Staff shall confer on the appointee only such clinical privileges as have been set forth in the appointment.

ARTICLE IV

PROCEDURE FOR APPOINTMENT AND REAPPOINTMENT

SECTION 1. Application Process

a. All applications for appointment to the Medical Staff shall be submitted on a form prepared by the Associate Dean for Clinical Affairs. Such forms are to be completed by all applicants, signed by the applicant, and shall contain the applicant's specific acknowledgment of his obligation to provide continuous care and supervision of his patients, to accept, attend and complete required committee assignments, and to accept consultation assignments. In addition, the applicant shall specifically acknowledge that any misrepresentation or failure to fully disclose requested information shall be sufficient to result in the immediate revocation of his appointment or denial of his application for appointment. By applying for appointment to the Medical Staff, each applicant authorizes consultation by his department chairman (Chief of Clinical Service), the Dean of College of Medicine, the Associate Dean for Clinical Affairs, the Clinical Board, the Vice President for the Medical Center, the President, members of the Council of Supervisors and members of the Board of Trustees, with members of medical staffs of other hospitals with which the applicant has been associated, and with others who may have information bearing on his competence, character and ethical qualifications. He consents to the inspection, by any of the persons holding the above described offices, of all records and documents bearing upon his qualifications for clinical privileges and staff membership. He releases from any liability all representatives of the University of Kentucky and its Medical Staff for their acts performed without actual malice in connection with evaluating the applicant and his credentials, and releases from any liability all individuals and organizations who provide information to the University of Kentucky or its Medical Staff without actual malice concerning the applicant's competence, ethics, character and other qualifications for staff appointment and clinical privileges, including otherwise privileged or confidential information. As a minimum, the applicant shall supply detailed information as to the following:

i. the applicant's professional training and qualifications;

ii. whether the applicant's membership status and/or clinical privileges have ever been revoked, suspended, reduced or not renewed at any other hospital or institution;

iii. whether the applicant's license to practice any profession in any jurisdiction has ever been suspended or terminated;

iv. whether the applicant's membership in local, state or national medical or dental or other societies has ever been revoked, suspended or not renewed;

v. all hospitals, clinics or medical centers where the applicant has held or currently holds privileges.

b. Upon completion of his application form, the applicant shall submit his signed application to his department chairman, or in the case of related health professionals the appropriate Chief of Clinical Services.

c. The department chairman (Chief of Clinical Service) shall, with respect to each application form, verify in writing on the form the accuracy of the information supplied by the applicant. In addition, the department chairman (Chief of Clinical Service) shall prepare his own written recommendation concerning the applicant which shall include an evaluation of the applicant's abilities to carry out staff responsibilities and a specific delineation of proposed privileges. The department chairmen's (Chief's of Clinical Service) recommendation shall become a part of the application.

d. The department chairman (Chief of Clinical Service) shall forward the application to the Associate Dean for Clinical Affairs who shall obtain or inspect any and all records, letters of recommendation or other materials deemed pertinent. The Associate Dean for Clinical Affairs shall summarize his findings in the form of a recommendation including a delineation of clinical privileges which shall become a part of the application.

SECTION 2. Appointment Process

a. The Associate Dean for Clinical Affairs shall forward the completed application to the Clinical Board.

b. The Clinical Board shall review the completed application and prepare its written recommendation to become a part of the application. All recommendations to appoint must also specifically recommend the clinical privileges to be granted, which may be qualified by probationary conditions relating to such clinical privileges.

c. The Clinical Board shall forward its recommendation through the Hospital Director to the Council of Supervisors.

d. At its next regular meeting following receipt of the application from the Hospital Director, the Council of Supervisors shall act upon the application.

i. If the Council of Supervisors approves the application as submitted by the Hospital Director, including the recommended delineation of clinical privileges, it shall return the application to the Associate Dean for Clinical Affairs who shall notify the applicant in writing.

ii. If the Council of Supervisors approves the application as submitted by the Hospital Director, but grants clinical privileges differing from those recommended, it shall return the application to the Associate Dean for Clinical Affairs who shall notify the applicant in writing.

iii. If the Council of Supervisors disapproves the application as submitted by the Hospital Director, it shall return the application to the Associate Dean for Clinical Affairs who shall notify the applicant in writing.

e. Upon receipt of the action of the Council of Supervisors on any application, the Associate Dean for Clinical Affairs shall send written notice to the Hospital Director, the Clinical Board and the chairman of the department concerned (Chief of Clinical Service).

f. All actions of the Council of Supervisors shall be effective when taken including the delineation of clinical privileges.

SECTION 3. Reappointment Process

a. All applications for reappointment shall be submitted by the applicant by January 1 of each year in which the reappointment is sought on a form prepared by the Associate Dean for Clinical Affairs. The reappointment form shall be supplemental to the original application for appointment or the most recent application for reappointment, and the applicant shall supply any information about himself which is additional to that furnished on the original application form or that furnished on his most recent reappointment application. All application for reappointment forms shall contain the acknowledgments, authorizations and releases set forth in Article IV, Section 1.a. herein. Any request for a change in clinical privileges shall be included by the applicant on his reappointment form.

b. Upon completion of his reappointment application, the applicant shall submit it to his department chairman, or in the case of related health professionals, the appropriate Chief of Clinical Service. The department chairman (Chief of Clinical Service) shall with respect to each application form verify in writing on the form the accuracy of the information supplied by the applicant. In addition, the department chairman (Chief of Clinical Service) shall prepare his own written recommendation concerning the applicant which shall include an evaluation of the applicant's abilities to carry out staff responsibilities and a specific delineation of proposed privileges. The department chairman's (Chief's of Clinical Service) recommendation shall become a part of the application.

c. The department chairman (Chief of Clinical Service) shall forward the application to the Associate Dean for Clinical Affairs who shall obtain or inspect any and all records, letters of recommendation or other materials deemed pertinent. The Associate Dean for Clinical Affairs shall summarize his findings in the form of a recommendation including a delineation of clinical privileges which shall become a part of the application.

d. The Associate Dean for Clinical Affairs shall forward the completed application to the Clinical Board.

e. The Clinical Board shall review the completed application and prepare its written recommendation to become a part of the application. All recommendations to appoint must also specifically recommend the clinical privileges to be granted, which may be qualified by probationary conditions relating to such clinical privileges.

f. The Clinical Board shall forward its recommendation through the Hospital Director to the Council of Supervisors.

g. At its next regular meeting following receipt of the application from the Hospital Director, the Council of Supervisors shall act upon the application.

i. If the Council of Supervisors approves the application as submitted by the Hospital Director, including the recommended delineation of clinical privileges, it shall return the application to the Associate Dean for Clinical Affairs who shall notify the applicant.

ii. If the Council of Supervisors approves the application as submitted by the Hospital Director, but grants clinical privileges different from those recommended, it shall return the application to the Associate Dean for Clinical Affairs who shall notify the applicant in writing.

iii. If the Council of Supervisors disapproves the application as submitted by the Hospital Director, it shall return the application to the Associate Dean for Clinical Affairs who shall notify the applicant in writing.

h. Upon receipt of the action of the Council of Supervisors on any application, the Associate Dean for Clinical Affairs shall send written notice to the Hospital Director, the Clinical Board and the chairman of the department concerned (Chief of Clinical Service).

i. All actions of the Council of Supervisors shall be effective when taken, including the delineation of clinical privileges.

ARTICLE V

CLINICAL PRIVILEGES

SECTION 1. Delineation of Privileges in General

a. Each applicant for appointment or reappointment to the Medical Staff must request the specific clinical privileges desired by said applicant. All applications for clinical privileges, including modifications to existing privileges, must be supported by documentation of training and/or experience.

b. Each member of the Medical Staff shall exercise only those clinical privileges specifically granted to him by the Council of Supervisors.

c. Surgical procedures performed by dentists shall be under the overall supervision of the chief of surgery. A physician member of the Medical Staff shall be responsible for the treatment of any medical problem that may be present in a patient at the time of admission to the hospital or that may arise during the hospitalization of the patient.

d. A member of a related health profession may exercise only those clinical privileges specially granted by the Council of Supervisors and may, subject to any licensure requirements or other legal limitations, exercise his independent judgment within the areas of his professional competence. A member of a related health profession shall be directly responsible to the relevant Chief of Clinical Services and must be supervised during patient treatment by the physician or dentist attending the patient.

e. Medical Staff members desiring joint appointments shall have their requests to perform specific patient services evaluated by the department(s) and specialty division(s) within which the services of the Medical Staff member will be provided.

SECTION 2. Temporary Privileges

a. Upon receipt of an application for appointment to the Medical Staff from a physician, dentist or a member of a related health profession licensed to practice in the Commonwealth of Kentucky, the Associate Dean for Clinical Affairs may, upon the basis of:

   i. the information he gathers or reviews;

   ii. information provided by the applicant and his department chairman (Chief of Clinical Service);

   iii. recommendation of the applicant's department chairman (Chief of Clinical Service) approving the application, grant temporary privileges to the applicant; but in exercising such temporary privileges, the applicant shall act under the general supervision of the chairman (Chief of Clinical Service) of the department to which he is assigned. The Associate Dean for Clinical Affairs shall forward the application in accordance with Article IV, Section 1.e. and shall notify, in writing, the Hospital Director and the applicant of the specific temporary privileges granted and their duration.

b. Temporary privileges for the care of a specific patient may be granted to a physician or dentist licensed to practice in the Commonwealth of Kentucky who is not an applicant for membership to the Medical Staff, by the Associate Dean for Clinical Affairs. Such temporary privileges may be granted only after the Associate Dean has received from the physician or dentist his signed acknowledgment that he has received and read copies of the Medical Staff's bylaws, rules and regulations and that he agrees to be bound by the terms thereof in all matters relating to his temporary privileges. Such temporary privileges shall be restricted to the treatment of not more than ten (10) patients in any one year by any physician or dentist, after which such physician or dentist shall be required to apply for membership on the Medical Staff before being allowed to attend additional patients.

c. Special requirements of supervision and reporting may be imposed by the department chairman (Chief of Clinical Service) on any physician or dentist granted temporary privileges.

SECTION 3. Emergency Privileges

In the case of an emergency, (i.e., a condition in which serious permanent harm would result to a patient or in which the life of a patient is in immediate danger and any delay in administering treatment would add to that danger), any physician or dentist to the degree permitted by his license and regardless of department or staff status or lack of it, shall be permitted and assisted to do everything possible to prevent serious permanent harm or to save the life of the patient, using every facility of the Hospital necessary, including calling for any consultation necessary or desirable. When an emergency situation no longer exists, such physician or dentist must request the privileges necessary to continue to treat the patient. In the event such privileges are denied or the physician or dentist does not desire to request privileges, the patient shall be assigned to an appropriate member of the Medical Staff.

ARTICLE VI

CORRECTIVE ACTION

SECTION 1. Types of Corrective Action

a. The following forms of corrective action are available to be taken against any member of the Medical Staff:

1. oral warning to Medical Staff member;
2. informal written reprimand to Medical Staff member;
3. formal written reprimand to Medical Staff member with notice to his immediate superior;
4. summary suspension of privileges;
5. automatic suspension of privileges;
6. reduction of privileges;
7. revocation of privileges

SECTION 2. Procedures for Corrective Action

a. Grounds for Corrective Action

Whenever any member of the Medical Staff conducts himself or his activities in a manner which is either at variance with these Bylaws and Rules and Regulations or considered lower than the standard or aims of the Medical Staff or disruptive of the operations of the Hospital, or which is unprofessional or unethical, corrective action may be requested by any active staff meober, the chairman of any clinical department, the Chief of any Clinical Service, the chairman of any standing committee of the Medical Staff, the Dean of the College of Medicine, the Hospital Director, the Vice President for the Medical Center, the Chairman of the Council of Supervisors, the President or the Board of Trustees. No corrective action except summary or automatic suspension may be taken until a request for corrective action has been made and acted upon. All requests for corrective action shall be in writing, shall be supported by reference to the specific activities or conduct which constitute the grounds for the request, and shall be made to the Associate Dean for Clinical Affairs.

b. Medical Staff Hearing Privileges

The Medical Staff member on being informed of a proposed corrective action shall be entitled to a hearing by the Clinical Board as defined in Article VI, Section 2.f. Failure of the practitioner to request a hearing within seven calendar days of notification of proposed corrective action shall be deemed wavier of his right to such hearing on the matter. Any request for a hearing before the Clinical Board shall be made to the Associate Dean for Clinical Affairs in writing.

c. Summary Suspension

Whenever action must be taken immediately in the interests of patient care in the hospital, the Associate Dean for Clinical Affairs, the chairman (Chief) of the clinical department (Service), or the Hospital Director shall have the authority to suspend all or any portion of the privileges of a Medical Staff member. Such summary suspension shall be effective immediately upon imposition. Notification may first be made orally to the Medical Staff member, but must be made in writing to the Medical Staff member, the relevant department chairman (Clinical Chief), the Associate Dean for Clinical Affairs and the Hospital Director as soon as practicable after the imposition of the summary suspension. The party who has

imposed it shall prepare a written request for corrective action in the manner set forth in Article VI, Section 2.a. A summary suspension, due to the emergency nature of some shall not be abated during the pendency of action upon the practitioner's request for a hearing unless the Associate Dean for Clinical Affairs terminates or modifies the suspension pursuant to Article VI, Section 2.e.

d. Automatic Suspension

Automatic suspension may be imposed upon a Medical Staff member by the Associate Dean for Clinical Affairs whenever:

1. The Medical Staff member, after receipt of a warning of delinquency for failure to complete medical records within 30 days of patient's discharge (See Part 2, Rules and Regulations, Medical Records) fails to complete the records. Such automatic suspension shall be temporary and effective until the records are complete and need not be followed by a written request for corrective action. Notification of the automatic suspension must be made in writing to the Medical Staff member, the relevant department chairman (Chief of Clinical Service) and the Hospital Director.
2. The State Board of Medical Examiners, the State Board of Dentistry or other state licensing agency revokes or suspends a Medical Staff member's license to practice or places such Medical Staff member on probation. Such automatic suspension shall be effective at least until the Medical Staff member regains a full and unrestricted license to practice his profession. Notification of the automatic suspension must be made in writing to the Medical Staff member, the relevant department chairman (Chief of Clinical Service) and the Hospital Director. In addition, the Associate Dean for Clinical Affairs shall, as soon as practicable after imposing the automatic suspension, prepare a written request in the manner set forth in Article VI, Section 2.a., and forward it to the Clinical Board.
3. The Medical Staff member's faculty or employment status at the University is terminated. The Medical Staff member shall notify the Associate Dean for Clinical Affairs whenever said Medical Staff member's faculty or employment status is terminated. In the case of a full-time faculty member changing to a voluntary or part-time faculty member, his Medical Staff membership shall automatically change from active to associate, and the Associate Dean for Clinical Affairs shall notify the relevant department chairman (Chief of Clinical Service), the relevant Dean, the Hospital Director and the Vice President.

e. Other Corrective Actions by Associate Dean for Clinical Affairs

Upon receipt of a request for corrective action, under circumstances not requiring summary or automatic suspension, the Associate Dean for Clinical Affairs may meet together with the party requesting the corrective action and the Medical Staff member against whom action is requested to attempt to mediate the request. The Associate Dean for Clinical Affairs may waive this discussion and immediately forward the request to the Clinical Board. Following the mediation discussion, the Associate Dean for Clinical Affairs may:

1. deliver an oral warning to the Medical Staff member
2. deliver an informal written reprimand to the Medical Staff member
3. deliver a formal written reprimand to the Medical Staff member with notice to his immediate superior
4. terminate or modify a summary or automatic suspension.

f. Hearing Procedures

The Chairman of Clinical Board shall within fifteen (15) days of receipt of a request for corrective action from or through the Associate Dean for Clinical Affairs:

1. require of the Medical Staff member his written response to the request for corrective action. Failure to provide such response within seven days shall be deemed a waiver of his rights of participation in the hearing.
2. Appoint three members of the Board to investigate the activities and conduct of the staff member. This committee shall prepare and forward to the full Board a written report of their findings within fifteen (15) days of their appointment.

If the staff member has not requested a hearing, the full Clinical Board shall review the findings of the Committee and shall determine whether to act upon the request for corrective action, the response and the findings or to hold a hearing. If the staff member has requested a hearing such shall be called within thirty (30) days of the receipt of the original request. The following procedures shall be observed in any hearing held, either requested or Board called:

1. the hearing shall be closed
2. the Medical Staff member against whom corrective action has been requested may be present and may be represented by council
3. the party requesting corrective action may be represented by council
4. the Clinical Board may have an attorney sit with the Board as a hearing officer to make all decisions on evidence and procedures, but not to vote on the substantive merits of the request
5. the Medical Staff member, the party requesting corrective action, and the Board's investigating committee may call witnesses and introduce evidence
6. witnesses shall be separated and allowed into the hearing only when called to testify, after testimony they shall leave the hearing
7. a stenographic transcript of the hearing shall be made at the expense of the Clinical Board.

Following the hearing, if one is held, the Clinical Board shall confer together in private with the hearing officer to determine what action shall be taken. The Clinical Board may impose any of the corrective actions set forth in Article VI, Section 1.a. and shall notify within seven days of the completion of the hearing the Medical Staff member in writing by certified mail, return receipt requested, with copies of such notification being sent to the relevant department chairman (Chief of Clinical Service), the Dean of the College of Medicine, the Associate Dean for Clinical Affairs, the Hospital Director and the Vice President.

ARTICLE VII

CRITERIA FOR RECOMMENDATIONS FOR APPOINTMENT AND REAPPOINTMENT TO MEDICAL STAFF AND RECONSIDERATION

SECTION 1. Criteria for Appointment and Reappointment to Medical Staff

a. Whenever a department chairman (Chief of Clinical Service), Associate Dean for Clinical Affairs, the Clinical Board, or the Council of Supervisors is or are called upon to review an application for appointment or reappointment to the Medical Staff and to make a recommendation or to take action concerning the application, the applicant shall be evaluated on the basis of his education, training, experience, demonstrated ability, current observed teaching ability, clinical performance, documented results of patient care audit, competence and clinical judgement in the treatment of patients, his ethics, conduct, attendance at Medical Staff meetings, participation in staff affairs, his compliance with Hospital Bylaws, his compliance with Medical Staff Bylaws and Rules and Regulations, cooperation with Hospital personnel, use of Hospital facilities for his patients, faithfulness in assigned department duties, relations with other practitioners, general attitude toward patients, mental and physical abilities to carry out staff responsibilities and any other areas of concern relevant to the practice of his profession.

SECTION 2. Reconsideration

a. Whenever an applicant for appointment or reappointment receives notice that his application for staff membership has been rejected or deferred at any level or that the clinical privileges delineated by the Council of Supervisors are at variance with those requested by the applicant, he may request reconsideration of his application by the Joint Conference Committee, requesting to be heard in his own behalf, but without being represented by counsel.

b. The Joint Conference Committee shall reconsider the application and shall notify in writing the applicant and the decision making person or body of its recommended action which may be one of the following:
   1. approval of the application for staff membership
   2. rejection of the application for staff membership
   3. further processing of a deferred application for staff membership
   4. continued deferral of an application for staff membership
   5. granting of all or part of the privileges requested by the applicant
   6. denial of all or part of the privileges requested by the applicant.

c. Upon receipt of the reconsidered recommendation of the Joint Conference Committee, the decision making body or person shall act upon the application and recommendation and such action shall be final.

ARTICLE VIII: ASSOCIATE DEAN FOR CLINICAL AFFAIRS

SECTION 1. Qualifications and Selection

The Associate Dean for Clinical Affairs shall be a member of the active Medical Staff who shall be nominated by the Dean of the College of Medicine of the University of Kentucky, approved by the Clinical Board and appointed by the Board of Trustees according to University Governing Regulations.

SECTION 2. Term of Office

The Dean and the Clinical Board shall periodically review the duties, activities, accomplishments and appointment of the Associate Dean for Clinical Affairs. Such review shall be completed at least every four years. Reappointment, if deemed appropriate, shall be carried out as defined in Section 1 of this Article. There shall be no limit to the number of terms an individual may serve. Changes in duties shall be carried out as defined in Article XV.

SECTION 3. Vacancies in Office

a. In the event the Associate Dean should be temporarily unable to fulfill his duties, his duties shall be assumed by the Dean or his appointee.

b. In the event the position becomes permanently vacant, an Acting Associate Dean shall be nominated by the Dean of the College of Medicine of the University of Kentucky recommended by the President and appointed by the Board of Trustees. Within one year from the time the post becomes vacant, a permanent appointment shall be made or a written review of the reason why an acting appointment must be continued for an additional period shall be made to the Clinical Board and the Board of Trustees.

SECTION 4. Duties of the Associate Dean for Clinical Affairs

The Associate Dean for Clinical Affairs shall serve as the Chief Administrative Officer of the Medical Staff and assume appropriate delegated authority from the Hospital Director to:

a. act in coordination and cooperation with the Hospital Director in all matters of mutual concern within the Hospital;

b. serve in the absence of the Dean as Chairman of the Clinical Board;

c. call, be responsible for the agenda for all regular and special meetings of the Medical Staff and the Clinical Board;

d. serve on the Joint Conference Committee;

e. serve as ex officio member of all other Medical Staff committees without vote;

f. be responsible for the enforcement of Medical Staff Bylaws and Rules and Regulations, for implementation of corrective action where these are indicated, and for the Medical Staff's compliance with procedural safeguards in all instances where corrective action has been requested against a practitioner;

g. annually recommend to the Dean for appointment, committee chairmen and committee members to all standing, special and multi-disciplinary Medical Staff committees except the Clinical Board;

h. represent the views, policies, needs and grievances of the Medical Staff to the Hospital Director;

i. be responsible for the continuing educational activities of the Medical Staff through the department chairmen;

j. represent the views, policies, and needs of the Medical Staff to the Administration of the University of Kentucky Medical Center; and be the spokesman for the Medical Staff in its external professional and public relations;

k. maintain accurate up-to-date files on all staff members, which shall include all application and reapplication forms, recommendations, evaluations and any other information pertinate the medical staff members functions and membership status.

ARTICLE IX: ORGANIZATIONAL STRUCTURE

SECTION 1. Departmental Organization

The direct patient care segment of the University Hospital administrative organization shall be structured parallel to the major clinical activities of the Albert B. Chandler Medical Center.

The Clinical Departments shall be as follows:

Anesthesiology
Dentistry
Family Practice
Medicine
Neurology
Obstetrics - Gynecology
Ophthalmology
Pathology
Pediatrics
Psychiatry
Diagnostic Radiology
Radiation Medicine
Surgery

SECTION 2. Chiefs of Services

Chiefs of the Clinical Services within the University Hospital shall usually be those appointed as Chairmen of the respective departments, and/or divisions, in the Colleges of Medicine and Dentistry with concurrence of the Clinical Board, upon recommendation of the President and upon concurrence of the Board of Trustees. In unusual circumstances, an individual may be made chief of a clinical service who is not a department or division chairman. Such appointments shall be made by the deans of the specific colleges, subject to approval by the Hospital Clinical Board, the Council of Supervisors and the Board of Trustees of the University of Kentucky in accordance with the Governing Regulations. The chiefs of the various services shall have corporate responsibility for the care and treatment of the patients in their respective departments and heads of divisions shall be responsible to the chiefs of services for the care and treatment of patients in the divisions.

SECTION 3. Hospital Clinical Board

There shall be established a Hospital Clinical Board for the purpose of correlating the activities of the Medical Staff and its committees which, in turn, are charged with the supervision and maintenance of excellent patient care as well as with other factors specifically designated. The function of the Hospital Clinical Board shall be to:

a. make recommendations, through regular administrative channels, to the Council of Supervisors regarding modification in medical policy and programs;
b. provide general guidance and assistance to the Medical Staff;
c. review and evaluate the quality of patient care;
d. review and approve applications and recommend to the governing body for staff membership, to include definition of privileges and reappointment to the Medical Staff;
e. assist with the creation and maintenance of good Medical Staff organization and management;
f. transact the majority of the business of the Medical Staff so that general Medical Staff meetings can remain professionally oriented;
g. act as an Executive Committee of the Medical Staff;
h. ensure that the Medical Staff is kept abreast of the accreditation program and is informed of the accreditation status of the Hospital.

The Hospital Clinical Board shall consist of the Chiefs of the Hospital Clinical Services as described in Definition 4, the Chairoan of the Department of Community Medicine, the Dean and Associate Dean for Clinical Affairs of the College of Medicine, and the Hospital Director. The Deans of all the Colleges og the Medical Center, the Director of the University Student Health Service, the Associate Dean for Veterans Affairs, the Director of Nursing of University Hospital and the Vice President for the Medical Center (or their respective designates) shall be ex-officio without vote.

The Dean of the College of Medicine shall serve as Chairman of the Hospital Clinical Board; the Hospital Director as Secretary.

The Hospital Clinical Board shall meet on a monthly basis. Minutes of the Clinical Board shall be circulated after the review and approval to the active Medical Staff.

SECTION 4. Duties of the Chief of Service (Department Chairman)

Each Chief of Services shall:

a. be accountable for all professional and administrative activities within his department;

b. be a member of the Clinical Board, giving guidance on the overall medical policies of the Hospital and making specific recommendations and suggestions regarding his own department in order to assure quality patient care;

c. maintain continuing peer review of the professional performance of all practitioners with clinical privileges in his department and report regularly thereon to the Clinical Board;

d. appoint departmental committees to conduct the initial phase of pahient care review required by these Bylaws;

e. be responsible for enforcement of the Hospital Bylaws and the Medical Staff Bylaws and Rules and Regulations within his department;

f. be responsible for implementation within his department of actions taken by the Clinical Board of the Medical Staff;

g. transmit to the Associate Dean for Clinical Affairs his department's recommendations concerning the staff classification, the reappointment, and the delineation of clinical privileges for all practitioners in his department;

h. be responsible for education and research programs in his department;

i. participate in every phase of administration of his department through cooperation with the Nursing Service and the Hospital Administration in matters affecting patient care, including personnel, supplies, special regulations, standing orders and techniques;

j. assist in the preparation of such annual reports, including budgetary planning, pertaining to his department as may be required by the Clinical Board, Associate Dean for Clinical Affairs, Hospital Director, the Council of Supervisors or the Board of Trustees.

k. may appoint an Associate Chief of Service who shall, in case of the Chief of Service's incapacity or absence from the community, assume the duties of Chief of Service. This Associate shall be identified to the Dean, the Associate Dean for Clinical Affairs and the Hospital Director. The Associate Chief shall be the only acceptable alternate to attend Clinical Board meetings.

SECTION 5. Functions of Departments

a. Each department shall establish its own rules and regulations regarding departmental function and patient care consistent with the overall policies of the Medical Staff.

b. Each clinical department shall establish its own criteria, consistent with the policies of the Medical Staff, the Board of Trustees and of the Council of Supervisors for the granting of clinical privileges and for the holding of office in the department.

c. Each department shall establish a Medical Care Evaluation Committee responsible for conducting a primary retrospective review of completed records of discharged patients and other pertinent departmental sources of medical information relating to patient care for the purposes of selecting cases for presentation at the monthly departmental meetings that will contribute to the continuing education of every practitioner and to the process of developing criteria to assure optimal patient care. Such reviews shall be conducted monthly and should include a consideration of selected deaths, unimproved patients, patients with infections, complications, errors in diagnosis and treatment and such other instances as are believed to be important, such as patients currently in the Hospital with unsolved clinical problems.

d. Each department or division shall meet separately, at least monthly, to review and analyze on a peer-group basis the clinical work of the department or division. Each surgical division of the Medical Staff shall also conduct a comprehensive tissue review for justification of all surgery performed whether tissue was removed or not and for the acceptability of the procedure chosen. Specific consideration shall be given to the agreement or disagreement of the preoperative and pathological diagnoses.

e. A report shall be submitted within fifteen days of the monthly meeting to the Associate Dean for Clinical Affairs, detailing such departmentsl analysis of patient care.

ARTICLE X: COMMITTEES

SECTION 1. Clinical Board

The Clinical Board shall be a standing committee. It shall be organized and carry the responsibilities as outlined in Article IX: Section 3.

SECTION 2. Joint Conference Committee

a. Membership:

The Joint Conference Committee shall be a standing committee consisting of the Vice Chairman of the Council of Supervisors; the Hospital Director, the Dean of the College of Medicine; one other Supervisor; the Associate Dean for Clinical Affairs; two members of the Hospital Clinical Board selected by the Clinical Board, two members of the Medical Staff elected by the Medical Staff and the Vice President for the Medical Center who shall serve as Chairman of the Committee.

The elected representatives of the Medical Staff and of the Clinical Board shall be elected for two year terms. One member shall be elected each year at the annual meeting of the Medical Staff and the June meeting of the Clinical Board for the Medical Staff and Clinical Board, respectively. A representative may succeed himself.

b. Duties:

The Joint Conference Committee shall conduct itself as a forum for the discussion of matters of Hospital medical policy and practice, especially those pertaining to efficient and effective patient care, and shall provide medico-administrative liaison with the Council of Supervisors and the Hospital Director. It shall also have the following specific duties:

(1) Accreditation: The Committee shall be responsible for acquisition and maintenance of JCAH accreditation for which purpose it shall form a subcommittee that includes key Hospital personnel who are important in implementing the accreditation program. From time to time, it shall require that the Joint Commission's survey forms be used as a review method to estimate the accreditation status of the Hospital, and it should supervise a trial survey during the interim year between regular JCAH surveys for purposes of constructive self-criticism. It shall identify areas of suspected non-compliance with JCAH Standards and shall make recommendations to the Clinical Board and the Council of Supervisors for appropriate action and thru regular administrative channels to the Board of Trustees.

(2) Disaster Planning: The Committee shall be responsible for the development and maintenance of methods for the protection and care of hospital patients and others at the time of internal and external disaster. Specifically, it shall form subcommittees to:

adopt and periodically review a written plan to safeguard patients at the time of an internal disaster, particularly fire and shall assure that all key personnel rehearse fire drills at least two times a year; and

adopt and periodically review a written plan for the care, reception and evacuation of mass casualties and shall assure that such plan is coordinated with the inpatient and outpatient services of the Hospital, that it adequately reflects developments in the Hospital community and the anticipated role of the Hospital in the event of disasters in nearby communities and that the plan is rehearsed by key personnel at least twice yearly.

(3) Long-term Planning: The Committee shall be responsible in conjunction with members of the Medical Staff, the College of Medicine and Hospital Administration for the annual development and up-dating of one, two and five year plans for the University Hospital. They will communicate these plans to the Clinical Board and the Council of Supervisors and work with the two bodies to assure their aquisition and implementation.

c. Meetings:

The Joint Conference Committee shall meet at least quarterly and shall advise the Clinical Board, the Medical Staff and the Council of Supervisors of its activities.

SECTION 3. Utilization Review Committee

a. Composition:

The Utilization Review Committee shall consist of a Chairman and one representative from each of the departments. Ex-officio members of the Committee shall include the Hospital Director or his representative, the Chairman of the Medical Audit Committee, the Health Care Coordinator for PSRO Utilization Review, Director of the Emergency Room, the Director of Medical Records, the Chief Resident of Medicine, the Chief Resident of Surgery and a Medical Records Administrator who shall serve as Secretary for the Committee. The Utilization Review Committee may utilize consultants from the department or from the Hospital as needed.

b. Duties:

(1) Utilization Review Studies. The Utilization Review Committee shall conduct utilization review studies designed to evaluate the appropriateness of admissions to the Hospital, lengths of stay, discharge practices, use of medical and hospital resources and all related factors which may contribute to the effective utilization of Hospital and physician or dentist services. Specifically, it shall analyze how under-utilization and over-utilization of each of the Hospital's services affects the quality of patient care provided in the Hospital, shall study patterns of care and obtain criteria relating to average or normal (usual) lengths of stay by specific disease categories and shall evaluate systems of utilization review employing such criteria. It shall also be interested in and work toward proper continuity of care upon discharge. The Committee shall communicate the results of its studies and other pertinent data to the Clinical Board through the Associate Dean for Clinical Affairs and shall make recommendations for the optimum utilization of Hospital resources and facilities commensurate with quality of patient care and safety.

(2) Written Utilization Review Plan. It shall also formulate a written utilization review plan for the Hospital. Such plan, as approved by the Clinical Board, must be in effect at all times and must include all of the following elements:

(a) the organization and composition of committee(s) which will be responsible for the utilization review function;
(b) frequency of meetings;
(c) the types of records to be kept;
(d) the method to be used in selecting cases on a sample or other basis;
(e) the definition of what constitutes the period of extended duration;
(f) the relationship of the utilization review plan to claims administered by a third party;
(g) arrangements for committee reports and their dissemination;
(h) responsibilities of the Hospital's Administrative Staff in support of utilization review.

(3) Professional Services Review Plan. It shall be formulated in accordance with Federal and Kentucky Peer Review Organization Guidelines for Delegate Hospitals. Admission, concurrent and quality care reviews shall be carried on under these Guidelines.

(4) Extended Duration Evaluation. At regular intervals the Committee shall evaluate the medical necessity of continued Hospital services for particular patients not involved in the ongoing federally mandated review. This review shall be carried out in a manner entirely similar to that dictated by the Professional Service Review Plan. Periodic retrospective review of particular extended stay patients will also be carried out.

(5) Hospital Bed Utilization. On a yearly basis, the Committee shall evaluate the utilization of beds in relation to patient need, service bed assignment and the teaching requirement of the Medical Center. The Committee shall make periodic recommendations of assignment and utilization of beds to the Associate Dean for Clinical Affairs and the Clinical Board.

SECTION 4. Medical Records and Audit Committee

a. Responsibility:

The Audit Committee shall be responsible to the Clinical Board and Associate Dean for Clinical Affairs and shall see that there is an effectively functioning system for auditing the quality of care given in the University Hospital.

b. Duties:

The Committee shall be responsible for assuring that all medical records meet the highest standards of patient care usefulness and of historical validity. The Medical Staff representatives shall be specifically responsible for assuring that the medical records reflect realistic documentation of medical events. The Committee shall conduct a monthly review of currently maintained medical records to assure that they properly describe the condition and progress of the patient, the therapy provided, the results thereof, and the identification of responsibility for all actions taken, and that they are sufficiently complete at all times so as to meet the criterion of medical comprehension of the case in the event of transfer of physician or dentist responsibility for patient care. It shall also conduct a review of records of discharged patients to determine the promptness, pertinence, adequacy and completeness thereof.

c. Membership:

The Committee on Medical Record and Auditing shall consist of a Chairman and one member from each clinical service with admitting privileges. The Hospital Director or his representative and the Director of the Medical Record Department; a representative of Nursing Service shall serve ex-officio. The Medical Record Administrator shall serve as Secretary for the Committee. Other members may be invited to participate as the Committee desires.

d. Function:

(1) Meetings: The Committee shall meet at least ten times a year. Minutes of the meetings shall be transmitted to the Clinical Board, the Associate Dean for Clinical Affairs, the Hospital Director and also those persons responsible for taking corrective action recommended by the Committee. When appropriate, copies may be sent to the Nursing Service, Laboratory and other bodies.

(2) Auditing quality of care in the Hospital is too large a task for this single committee. Therefore, each department shall be responsible for conducting its own audit. It is the responsibility of the committee member representing each department to see that regular and appropriate audits are conducted in his department. These peer review audits shall each contain the following elements:

(a) criteria development
(b) description of the actual practice level
(c) evaluation of the comparison of a & b
(d) planned corrective action
(e) reassessment after a suitable period

(3) The Audit Committee shall receive all audit reports from each of the departments and shall analyze these reports. After completion of such review, the Committee shall report its judgment to the Clinical Board in cases where departmental audits are not considered adequate.

(4) The Audit Committee itself shall be responsible for conducting audits (according to the same five-step process) for those aspects of care which cut across departmental lines.

(5) Once a year the Audit Committee shall prepare a formal report showing the criteria for care developed by all departments and committees, the reports of all audits performed during that time period, its own analysis of the level of care given in the institution during the previous twelve months and any suggestions it has for improvement.

e. Review:

(1) This Committee will serve as a review board for appeals based on decisions made by the various departmental audit committees.

(2) In turn, appeals from decisions of the Audit Committee shall be brought before the Clinical Board.

SECTION 5: Pharmacy and Therapeutics Committee

a. Composition:

Membership shall consist of a chairman and at least four representatives of the Medical Staff. Ex-officio members shall include representatives of the College of Pharmacy, a Hospital pharmacist, a member of the house staff, and a representative from Hospital Administration and from Nursing Service. The Hospital pharmacist shall act as Secretary for the Committee.

b. Duties:

This Committee shall be responsible for the development and surveillance of all drug utilization policies and practices within the hospital in order to assure optimum clinical results and minimum potential for hazard. The Committee shall assist in the formulation of broad professional policies regarding the evaluation, appraisal, selection, procurement, storage, distribution, use, safety procedures and all other matters relating to drugs in the Hospital. It shall also perform the following specific functions:

- serve as an advisory group to the Hospital Medical Staff and the pharmacists on matters pertaining to the choice of available drugs;
- make recommendations concerning drugs to be stocked on the nursing floors and by other services;
- develop and review periodically a formulary or drug list for use in the Hospital;
- prevent unnecessary duplication in stocking drugs and drugs in combination having identical amounts of the same therapeutic ingredients;
- evaluate clinical data concerning new drugs or preparations requested for use in the Hospital;
- to act on recommendations from the department chairmen as to the addition or deletion of drugs from the formulary; any recommendation from a member of the staff concerning new drug additions or deletions must be forwarded through his department chairman;
- establish standards concerning the use and control of investigational drugs and of research in the use of recognized drugs;
- maintain liaison with the Medical Center Human Investigation Subcommittee.

c. Meetings:

This Committee should meet at least quarterly and send quarterly reports to the Associate Dean and Clinical Board regarding its activities.

SECTION 6: Infection Control Committee

a. Composition:

This Committee shall consist of a chairman, the Hospital epidemiologist and at least three representatives from the clinical departments including Pathology. At least one representative from Nursing Service and from Hospital Administration shall serve as ex-officio members.

b. Duties:

The Infection Control Committee shall be responsible for the surveillance of Hospital infection potentials, the review and analysis of actual infections, the promotion of a preventative and

corrective program designed to minimize infection hazards and the supervision of infection control in all phases of the Hospital's activities including:

- operating rooms, delivery rooms, recovery rooms, special care units;
- sterilization procedures by heat; chemicals or otherwise;
- isolation procedures;
- prevention of cross-infection by anesthesia apparatus or inhalation therapy equipment;
- testing of hospital personnel for carrier status;
- disposal of infectious material;
- other situations as requested by the Clinical Board.

c. Meetings:

This Committee shall meet at least ten times a year, shall maintain a record of its proceedings and activities and shall report quarterly to the Associate Dean for Clinical Affairs and Clinical Board.

SECTION 7: House Staff Committee

a. Composition:

This Committee shall consist of at least five members of the Medical Staff who supervise resident training programs.

b. Duties:

The Committee shall act as an advisory committee to the Associate Dean for Clinical Affairs and Clinical Board in the selection of house staff, to assume responsibility for the organization, supervision and evaluation of the plan of instruction of house staff and to assist the Associate Dean and Hospital Administration in matters of house staff government and discipline.

c. Meetings:

The Committee shall meet at least quarterly, shall be chaired by the Associate Dean and shall report to the Clinical Board.

SECTION 8: Laboratory Advisory and Transfusion Committee

a. Composition:

This Committee shall consist of the Director of the Clinical Laboratories, who shall act as Chairman and representatives of the Departments of Anesthesiology, OB/GYN, Medicine, Pediatrics, Surgery and other departments that are major users of the Blood Bank and Laboratory. The representative of Hospital Administration in charge of the Clinical Laboratories shall serve ex-officio on the Committee.

b. Duties:

This Committee shall concern itself with the adequacy, quality and safety of the supply of blood and blood components used in the Hospital. It shall maintain continuing review of the records of transfusions and make recommendations to the Clinical Board concerning policy in such practices. The Committee shall require the preparation of records of blood

disease and general use of blood and blood products. Review and advise on all problems of relationship between Central Clinical Laboratories and Clinical Services. It shall advise on the scope of services to be provided, especially new procedures, which should be incorporated into the laboratory services and those which should be discontinued.

c. Meetings:

The Committee shall meet at least quarterly.

SECTION 9: Standardization and Equipment Committee

a. Composition:

This Committee shall consist of a chairman and no fewer than five members of the active Medical Staff. The Director of Pharmacy Central Supply, a representative of the Nursing Service and two representatives of the house staff shall be ex-officio members of this Committee.

b. Duties:

(1) to make recommendation regarding the purchase of medical equipment and supplies that best serve the needs of patients and Medical Staff within reasonable fiscal limits;
(2) to make recommendations concerning the standardization of equipment and supplies to best serve the needs of the Medical Staff where standardization is feasible and financially sound.

This Committee shall report its recommendations to the Associate Dean for Clinical Affairs and Clinical Board and to the Hospital Director.

c. Meetings:

This Committee shall meet at least quarterly or more often as needed.

SECTION 10: Ambulant Services Committee

a. Composition:

In addition to physician or dentist membership from each of the services running any outpatient programs, the Medical Director of the Emergency Room, the Hospital Director or his designee and Nursing Service shall be represented. This Committee shall be chaired by a member of the University medical faculty appointed by the Associate Dean for Clinical Affairs.

b. Function and Responsibilities:

The Ambulant Services Committee shall:

- coordinate the activities of the outpatient clinics and the emergency room;
- assure the availability of ancillary Medical Center services to ambulant patients as indicated;

- maintain close contact with the Medical Record Department concerning ambulant services;
- assist the clinical services in the development of new or expanded ambulant services;
- study problems which arise in ambulant care and make appropriate recommendations.

c. Meetings:

The Committee shall meet at least ten times a year and report to the Associate Dean for Clinical Affairs and the Clinical Board.

SECTION 11: Sterilization and Therapeutic Abortions Committee

a. Composition:

The Committee shall consist of the Chairman of the Department of Obstetrics and Gynecology who shall chair the Committee and the Chairman of the Department of Urology plus one active staff obstetrician-gynecologist and one acting staff urologist.

b. Duties:

It shall be the duty of this Committee to recommend appropriate rules and regulations concerning sterilization and abortion to the Associate Dean and Clinical Board.

SECTION 12: Tissue Committee

a. Composition:

In addition to other physicians or dentists on the Committee, at least one member shall be appointed from the Department of Pathology. The Hospital Director or his designee shall be represented.

b. Duties and Responsibilities:

(1) assure that all tissue removed at a surgical procedure is sent to the Pathology Laboratory and that a report is submitted;
(2) study periodically agreement or disagreement among preoperative, postoperative and pathologic diagnosis for the purpose of determining the justification for surgical procedures undertaken in University Hospital, including those procedures where no tissue was removed.

c. Meetings:

The Committee shall meet at least quarterly and shall report to the Associate Dean for Clinical Affairs and the Clinical Board.

SECTION 13: Hospital Safety Committee

a. Composition:

In addition to the physician or dentist membership, this Committee shall include administrative and staff personnel in its membership to provide expertise needed in specific areas.

Within the Committee, the following positions of specific responsibility shall be created and shall report to the Committee:

- Safety Officer
- Disaster Officer
- Fire Marshall
- Radiation Safety Officer

b. Duties and Responsibilities:

(1) survey safety hazards and recommend safety policies and practices to be followed in University Hospital;
(2) conduct periodic inspections of University Hospital; report to the offenders and appropriate administrative officials such violations as may be found; make appropriate recommendations for correction;
(3) review monthly all accident reports, including study of the circumstances attendant upon accidents under review and of the resulting injuries; recommended action or policies, as appropriate, for the prevention of similar accidents and injuries;
(4) develop an appropriate system for classifying accident reports in order that accident trends can be analyzed for guidance in developing an accident prevention program;
(5) provide mechanisms to monitor radiation safety and patient medication safety;
(6) assure compliance of University Hospital to Standards of Hospital Safety of the Joint Commission's "Standards for Accreditation of Hospitals" except those relating to control of infections.

c. Meetings:

The Committee shall meet at least quarterly and shall report to the Hospital Director, the Associate Dean for Clinical Affairs and the Clinical Board.

SECTION 14: Operating Room Committee

a. Composition:

The Operating Room Committee shall consist of a Chairman and one representative from General Surgery, Anesthesiology, Obstetrics/Gynecology, the surgical sub-specialities, Ophthalmology and Dentistry. The Nursing supervisor of the Operating Room and the representative of Hospital Administration in charge of the OR are ex-officio members.

b. Duties:

This Committee shall make recommendations concerning proper utilization of the operating rooms and recommend rules and regulations for the operating room areas to the Associate Dean for Clinical Affairs and the Clinical Board. The Committee shall supervise the proper utilization of the operating room and enforce adopted rules and regulations.

c. Meetings:

The Committee shall meet at least quarterly.

SECTION 15: Committees for Special Services and/or Functions

As Hospital interests and services expand, the Medical Staff shall develop appropriate committees to direct or monitor and review and analyze these services on a regular basis. These may include, but are not limited to, committees for the following:

a. Patient Care Procedures:

Patient special or intensive care procedures committee(s) shall be responsible for the formulation, evaluation and improvement of all Hospital patient special or intensive care procedures.

b. Medical Center Affairs:

This Committee would address the cooperation and collaborative teaching research and care programs that are present and may be developed between the various colleges of the Medical Center.

c. Medical Staff Bylaws:

The Bylaws Committee shall be responsible for making recommendations relating to revisions to and updating of the Bylaws and Rules and Regulations of the Medical Staff.

ARTICLE XI:
MEDICAL STAFF MEETINGS

SECTION 1. Regular Meetings

a. An annual staff meeting shall be held the third Wednesday (or other suitable date) in June. The agenda of such meetings shall include reports of review and evaluation of the work done in the clinical departments and the performance of the required Medical Staff functions by the Associate Dean for Clinical Affairs. The Dean of the Medical College shall provide a review of the Medical Center and College of Medicine plans and activities. The Hospital Director shall review the Hospital fiscal and program performance for the year and plans and program for the coming year. Complex reviews and reports shall be provided in writing prior to the meeting and only briefly reviewed at the meetings. Appropriate new and old business shall be transacted.

b. Three other regular meetings shall be held each year on an approximate quarterly basis. These meetings shall consist of brief reports by the Dean, the Hospital Director and the Associate Dean for Clinical Affairs; necessary business of the staff and a scientific presentation of general interest to the staff by one of the clinical departments.

SECTION 2. Special Meetings

a. The Dean or Associate Dean for Clinical Affairs may call a special meeting of the Medical Staff at any time. The Dean or Associate Dean shall call a special meeting within thirty days after receipt by him of a written request for same, signed by not less than one-fourth of the active staff and stating the purpose of such meeting. The Associate Dean shall designate the time and place of any special meeting.

b. Written or printed notice stating the purpose, the place, day and hour of any special meeting of the active Medical Staff shall be delivered, either personally or by mail, to each member of the active staff not less than seven nor more than thirty days before the date of such meeting, by or at the direction of the Associate Dean for Clinical Affairs (or other persons authorized to call the meeting).

SECTION 3. Quorum

The presence of fifty percent of the total membership of the active Medical Staff at any regular or special meeting shall constitute a quorum for purposes of amendment of these Bylaws and Rules and Regulations and the presence of twenty percent of such membership, a quorum, for all other actions. If an appropriate quorum is not present, the Clinical Board shall, at its next meeting, act for the staff on all issues requiring vote.

SECTION 4. Attendance Requirements

Each member of the active and associate Medical Staffs shall be required to attend no less than 50% of the regular meetings of the Medical Staff. A member who is compelled to be absent from any regular staff meeting shall promptly submit to the Associate Dean for Clinical Affairs in writing, his reason for such absence. Unless excused for cause by the Associate Dean, the failure to meet the foregoing annual attendance requirements shall be grounds for corrective action possibly leading to revocation of Medical Staff membership. Reinstatement of staff members whose membership has been revoked because of absence from staff meetings shall be made only upon application and all such applications shall be processed in the same manner as applications for original appointment.

SECTION 5. Parliamentary Authority

All meetings of the Medical Staff shall be conducted according to Robert's Rules of Order, Revised, except in cases where such rules are inconsistent with these Bylaws.

ARTICLE XII:
COMMITTEE AND DEPARTMENT MEETINGS

SECTION 1. Regular Meetings

Committees may, by resolution, provide the time for holding regular meetings without notice other than such resolution. Departments shall hold regular meetings at least ten times a year to review and evaluate the clinical work of practitioners with privileges in the department. Reports of all committee and departmental meetings shall be forwarded to the Associate Dean for Clinical Affairs within fifteen days of the meeting.

SECTION 2. Special Meetings

A special meeting of any committee or department may be called by or at the request of the Chairman; by the Associate Dean for Clinical Affairs; or by one-third of the group's then members, but not fewer than two members.

SECTION 3. Notice of Meetings

Written or oral notice stating the place, day and hour of any special meeting or of any regular meeting not held pursuant to resolution shall be given to each member of the committee or department not less than five days before the time of such meeting, by the person(s) calling the meeting.

SECTION 4. Quorum

Thirty percent of the active Medical Staff members of a committee or department, but not fewer than two members, shall constitute a quorum at any meeting.

SECTION 5. Manner of Action

The action of a majority of the members present at a meeting at which a quorum is present shall be the action of a committee or department. Action may be taken without a meeting by unanimous consent in writing (setting forth the action so taken) signed by each member entitled to vote thereat.

SECTION 6. Rights of Ex-Officio Members

Persons serving under these Bylaws as ex-officio members of a committee shall have all rights and privileges of regular members except they shall not be counted in determining the existence of a quorum and they shall not be entitled to a vote.

SECTION 7. Minutes

Minutes of each regular and special meeting of a committee or department shall be prepared and shall include a record of the attendance of members and the vote taken on each matter. The minutes shall be signed by the presiding officer and copies thereof shall be promptly submitted to the attendees for approval and after such approval is obtained, forwarded to the Associate Dean. Medical Staff Committee Minutes shall also be forwarded to the Clinical Board and Hospital Director for appropriate review and action. Each committee and department shall maintain a permanent file of the minutes of each meeting.

SECTION 8. Clinico-Pathological Conferences

At least six clinico-pathological conferences with the cooperation of the Hospital pathologists must be held each year by each appropriate department and may be a part of the regular departmental meeting.

SECTION 9. Attendance Requirements

a. Each member of the active or associate Medical Staff who is a full-time or part-time University of Kentucky faculty member shall be required to attend not less than fifty percent of all meetings of each department and committee of which he may be a member in each year. Any member of the active or associate Medical Staff who is compelled to be absent from a meeting of a department or committee of which he is a member shall submit to the regular chairman thereof, in writing, the reason for such absence. The failure to meet the foregoing annual attendance requirements, unless excused by such chairman for good cause shown, shall be grounds for corrective action leading to removal from such department or committee and to revocation of Medical Staff membership in the same manner and to the same effect as provided in Article VI, Section 2 of these Bylaws. Committee and department chairmen shall report all such failures to attend to the Associate Dean for Clinical Affairs.

b. The honorary Medical Staff, the Research and Education Staff and Consulting Staff shall not be required to attend meetings. The Dental Staff shall be required to attend meetings. The Dental Staff shall be required to fulfill the attendance obligation of whatever staff category to which they are assigned. The house staff shall not be required to attend meetings except as specified for specific committees and specific house staff members, in these Bylaws.

ARTICLE XIII: IMMUNITY FROM LIABILITY

The following shall be express conditions to any practitioner's application for, or exercise of, clinical privileges at this Hospital:

First, that any act, communication, report, recommendation, or disclosure, with respect to any such practitioner, performed or made in good faith and without malice and at the request of an authorized representative of this or any other health care facility, for the purpose of achieving and maintaining quality patient care in this or any other health care facility, shall be privileged to the fullest extent permitted by law.

Second, that such privilege shall extend to members of the Hospital's Medical Staff and of its governing body, its other practitioners, its executive officers and representatives and to third parties, who supply information to any of the foregoing authorized to receive, release, or act upon the same. For the purpose of this Article XIII, the term "Third Parties" means both individuals and organizations from whom information has been requested by an authorized representative of the governing body or of the Medical Staff.

Third, that there shall, to the fullest extent permitted by law, be absolute immunity from civil liability arising from any such act, communication, report, recommendation, or disclosure, even where the information involved would otherwise be deemed privileged.

Fourth, that such immunity shall apply to all acts, communications, reports, recommendations, or disclosures performed or made in connection with this or any other health care institution's activities related, but not limited to:

- applications for appointment or clinical privileges,
- periodic reappraisals for reappointment or clinical privileges,
- corrective action, including summary suspension,
- hearings and appellate reviews,
- medical care evaluations,
- utilization and PSRO reviews,
- other Hospital, departmental, service or committee activities related to quality patient care and inter-professional conduct.

Fifth, that the acts, communications, reports, recommendations and disclosures referred to in this Article XIII may relate to a practitioner's professional qualifications, clinical competency, character, mental or emotional stability, physical condition, ethics, or any other matter that might directly or indirectly have an effect on patient care.

Sixth, that in furtherance of the foregoing, each practitioner shall upon request of the Hospital execute releases in accordance with the tenor and import of this Article XIII in favor of the individuals and organizations specified in paragraph "second", subject to the requirements, of good faith and absence of malice.

Seventh, that the consents, authorizations, releases, rights, privileges and immunities provided by Article IV, Section 1a of these Bylaws for the protection of this Hospital's practitioners, other appropriate Hospital officials and personnel and third parties, in connection with applications for initial appointment, shall also be fully applicable to the activities and procedures covered by this Article XIII.

ARTICLE XIV: RULES AND REGULATIONS

The Medical Staff shall adopt such rules and regulations as may be necessary to implement more specifically the general principles found within these Bylaws, subject to the approval of the Council of Supervisors. These shall relate to the proper conduct of Medical Staff organizational activities as well as embody the level of practice that is to be required of each practitioner in the Hospital. Such rules and regulations shall be a part of these Bylaws, except that they may be amended or repealed at any regular meeting of the Clinical Board at which a quorum is present and without previous notice or at any special meeting on notice by a two-thirds vote of those present of the active Medical Staff. Such changes shall become effective when approved by the Council of Supervisors.

ARTICLE XV: AMENDMENTS

These Bylaws may be amended after submission of the proposed amendment at any regular or special meeting of the Clinical Board. A proposed amendment shall be referred to a special committee which shall report on it at the next regular meeting of the Clinical Board or at a special meeting called for such purpose. To be adopted, an amendment shall require a two-thirds vote of total Clinical Board members. Amendments so made shall be effective when approved by the Council of Supervisors and the Board of Trustees.

ARTICLE XVI: ADOPTION

These Bylaws together with the appended Rules and Regulations, shall be adopted at any regular or special meeting of the Clinical Board, shall replace any previous Bylaws and Rules and Regulations and shall become effective when approved by the Council of Supervisors of the Hospital and the Board of Trustees.

Adopted by the Hospital Clinical Board
on

_____, 1978

_____
Dean

_____
Vice President

_____
President

Approved by the Joint Conference
Committee _____

Approved by the Board of Trustee's
_____,1978

_____
Chairman of the Board of Trustees
University of Kentucky

PART II

MEDICAL STAFF RULES AND REGULATIONS

A. ADMISSION, TRANSFER, AND DISCHARGE OF PATIENTS

1. Admission for Inpatient Care

a. Relation to the Admitting Department:

A patient may be admitted to the hospital only by a member of the Medical Staff. Before patients are accepted for admission it is the responsibility of the admitting staff member to contact the Admitting Office and ascertain whether there is an available bed and obtain approval. This should be done as far in advance of admission as possible to assure smooth functioning and efficient utilization of the Hospital. Only in extreme emergency can admission proceed without prior Admission Office approval. In such a case the Admission Office must be informed at the earliest possible moment.

b. Priority of Admissions:

Patient admissions in periods of limited bed availability shall be admitted by the Admitting Office according to the following order of priorities:

1) Emergency Admissions: Within 24 hours following an emergency admission, the Medical Staff member shall document in the patient's medical record the need for this admission. Failure to provide this documentation or evidence of willful or continued misuse of this category of admission will be brought to the attention of the Clinical Board for appropriate action.
2) Urgent Admissions: The category includes those so designated by a member of the Medical Staff and shall be reviewed by the department concerned to determine priority when all such admissions for a specific day are not possible.
3) Scheduled Admission: This includes all scheduled admission including those already scheduled for surgery. Except for Emergency Admissions patients for surgery shall not be admitted later than 4:00PM.

If it is not possible to handle all such admissions on a service (2 and/or 3) the Admitting Office with approval of the Associate Dean for Clinical Affairs may decide on the urgency of any specific admissions and may borrow beds from other services if such are available. The Medical Staff of services that have lent beds shall have priority for subsequent admissions in these categories (2 and 3) until the Clinical Board determined bed allocation for teaching purposes is re-established. The Associate Dean for Clinical Affairs shall be held responsible to re-establish this balance.

4) Routine Admissions: This will include elective non-scheduled admissions involving all services.

c. Responsible Attending Physician:

A patient to be admitted on an emergency or urgent basis who does not have an attending physician may select his attending physician from the Medical Staff

of the applicable department or division. Where no such selection is made a member of the active or associate staff on duty in the department or division may be assigned to the patient on a rotation basis. The Chief of each service will provide a schedule for such assignments.

2. Admission for Outpatient Care

   a. Patients will be seen in the Outpatient Department by appointment upon the referral by a licensed physician, dentist or by the request of the patient. If the patient is not referred to a specific attending physician and has no personal preferences from the available staff the patient may be assigned an attending from a list provided by the appropriate Chief of Service. Advance arrangements are desirable to assure availability of appointments.

   b. Without appointment: Whenever possible such patient will be seen by the active staff member previously responsible for the patient's care. If this is not possible the patient will be seen by available Medical Staff in the appropriate clinic.

3. Admission for Emergency Care

   a. Emergency patient referred by a physician or dentist with prior consultation and admission arrangements will be directly admitted for inpatient care by the accepting attending physician.

   b. Non-Referred Emergency Patients: Emergency patients who are not referred under the conditions stated above will be admitted for inpatient care, subject to the availability of beds.

   If the Hospital is operating at a maximum capacity, a full-time faculty member or resident designated by the service will assure appropriate disposition of the patient by returning the patient to his referring physician or dentist and medical facility of origin, or arranging for the transfer of the patient to another Lexington hospital after an attending physician or dentist is identified.

   c. Out-of-State Admissions: A patient from out of state is eligible for admission to University Hospital by referral of his physician or dentist or, in case of emergency, through the Emergency Room. Such patients, however, are not eligible for allowance customarily provided to certain Kentucky residents.

4. Attending Physician - Attending Dentist

   Each patient admitted to University Hospital for inpatient services must be attended by a physician or dentist who is a member of the active or associate Medical Staff and who assumes responsibility for the patient's overall medical care.

   The attending physician or dentist shall ensure the prompt completeness and accuracy of the patient's medical record. It is the responsibility of each attending physician or dentist to make entries in the patient's medical record sufficient to indicate his approval and involvement in the treatment rendered.

The admitting attending physician or dentist shall be held responsible for documenting in the medical record such information as may be necessary to assure the protection of the patient from self harm and to assure the protection of others whenever his patients might be a source of danger from any cause whatever.

5. Admission Diagnosis

Except in an emergency, no patient shall be admitted to the Hospital until a provisional diagnosis or valid reason for admission has been stated. In the case of an emergency, the provisional diagnosis shall be stated as soon as possible, but within 24 hours after admission.

6. Admissions To or Discharge From Intensive and Cardiac Care Units

If any question as to the validity of admission to or discharge from an intensive care or cardiac care unit should arise, that decision is to be made through consultation with the respective Special Care Unit designated representative or the Associate Dean for Clinical Affairs.

7. Admission of Suicidal Patients

For the protection of patients, the Medical Staff and employees of the Hospital, certain principles are to be met in the care of the potentially suicidal patient:

a. Any patient known or suspected to be suicidal in intent and who is to be admitted, will ordinarily be admitted to the Psychiatric Unit of the Hospital. If the patient's physical condition warrants, the patient may be admitted to another unit of the Hospital and a psychiatric consultation requested. If no accommodations are available on the Psychiatric Unit, the patient may be transferred to another institution where suitable facilities are available. When transfer is not possible, the patient may be admitted to a general area of the Hospital where special precautionary measures will be taken.

b. Any patient known or suspected to be suicidal must have consultation by a member of the Psychiatry Staff.

8. Patient Transfers

a. Between Services:

When a patient is to be transferred between major clinical services (e.g., Medicine, Surgery, etc.) or between major divisions of a service (e.g., Orthopedics, Urology), the patient's attending physician or dentist and the appropriate accepting attending physician or dentist of the service to which the patient is being transferred must mutually agree upon the written order of the physician or dentist requesting the transfer. Notification of such transfer must be made to the Admitting Office.

b. Between Physicians or Dentists:

When two attending physicians or dentists within a service agree to transfer a patient from one to the other, the physician or dentist from whom the patient is being transferred is responsible for writing a transfer order. The physician or dentist who

is accepting responsibility for the patient will so indicate in the Progress Notes. In the case of a transfer between two attending physician or dentists within a service, the absence of a written order will result in the original physician or dentist remaining the responsible physician or dentist of record for legal purposes, for purposes of completing the record, for purposes of setting professional fees, etc. Notification of such transfer will be made to the Admitting Office. When scheduled changes in attendings are made for reason of illness, absence from the city or teaching purposes, notes and notification of these changes are required as above.

c. Bed Transfer Priority:

The transfer of a patient from one bed to another requires the approval of the transfer and assignment to the new bed by the Admitting Office.

Transfer priority of a patient from one bed to another shall be as follows:

1) From Emergency Room to appropriate patient bed
2) From a bed that is inappropriate for infection control to appropriate assignment for infection control
3) From Obstetrical patient care area to general care area when medically indicated
4) From Intensive Care area to general care area
5) From Cardiac Care to general care area
6) From temporary placement in an inappropriate geographic or clinical service area to the appropriate area for that patient.

9. Patient Discharge

a. When the attending physician or dentist (or physician or dentist acting on his behalf) determines an inpatient no longer needs hospital lodging and care on a continuous daily basis, a written discharge order and discharge diagnosis with appropriate instructions will be entered in the patient's medical record. When any of the following conditions exist, the attending physician or dentist (or physician or dentist acting on his behalf) will also issue the patient discharge order and discharge diagnosis with appropriate instructions:

1) The patient did not return to the Hospital from an authorized leave of absence at the time specified. Unless specific information is available with respect to the patient's delay in returning, a discharge order should be entered into the patient's medical chart within five hours, and in no event later than the date the patient was due to return.

2) The patient left the Hospital without a physician's or dentist's authorization and failed to return. Discharge order should be written within two hours except where circumstances indicate that the patient had left the Hospital unauthorized and, therefore, is being discharged "Against Medical Advice".

3) Patient leaves the Hospital against medical advice. Discharge order should be written immediately, regardless of whether or not the patient or his responsible agent signed the release form. Writing the discharge order does not in any way relieve the physician or dentist of his responsibility to take all reasonable steps to dissuade the patient from leaving against medical advice or to take any subsequent reasonable steps which he believes to be in the patient's best interests.

b. To the extent possible, the attending physician or dentist should schedule patients for discharge the day prior to the dismissal date so relatives or friends can be notified and transportation arranged. Discharge orders need to be recorded in the patient's medical record prior to 8:30PM the night before discharge. Discharges normally will be processed between the hours of 9:00AM and 11:00AM, but patients shall be allowed until 12:00 noon to check out. Patients awaiting special diagnostic reports on work done by the preceding day shall be discharged by 2:00PM.

10. Billing for Professional Services

All professional services rendered in the University Hospital and Clinics shall be billed in the name of the attending physician, handled by the billing mechanisms of the Professional Service Plan (PSP) and/or by the Kentucky Medical Service Foundation, Inc. (KMSF).. Collections shall be handled according to the established rules and regulations of these two organizations.

The only exceptions shall be:

1) occasional personal patients of volunteer staff physicians admitted to the University Hospital for teaching purposes;

2) special arrangements that are developed to improve the Education and Care Programs of the Medical Center. These arrangements must be specifically documented and approved prior to the admitting and care process. They must be recommended by the appropriate Department Chairman, have the approval of the Dean of the College of Medicine and the approval of the PSP and/or KMSF. The agreement must be provided to the Hospital Director and the Associate Dean for Clinical Affairs for their information.

B. DEATHS:

1. Guidelines for Determining the Diagnosis of Death - UKMC:

a. In Ordinary Circumstances (Organ Transplantation not Contemplated)

The traditional signs of death are unresponsiveness, absence of pulse and heart beat, absence of spontaneous respiratory movement, and all other movement, absence of all reflexes including fixed, dilated pupils.

b. In Potential Organ Donors

(1) The determination of death in organ donors shall be made by no fewer than two physicians who are not involved in determining the suitability of the donor and who are not members of the surgical team performing the transplant.

(2) The time of death shall be determined by the physician(s) who attend(s) the donor at death and, if none, the physician who certifies the death.

(3) The presumptive cause of death should be determined and if the decision involves irreversible coma or cerebral death, the fact of death should be ascertained by scientific evidence which in the opinion of the physicians making the determination is current, acceptable and adequate.

(4) Acceptable scientific evidence forming the criteria for determination of cerebral death in the presence of heart beat and relatively normal blood pressure, whether or not artificial means are used to maintain the circulation of oxygenated blood, shall include:

a. Unconsciousness and total unresponsitivity to stimuli which are normally intensely painful.
b. Absence of spontaneous movements for an observation period of at least one hour.
c. Absence of reflexes which involve cranial nerves. The pupils must have dilated and be nonreactive.
d. A completely flat (iso-electric) electroencephalogram done under the supervision of a recognized electroencephalographer, provided that severe hypothermia is not present. The iso-electric quality should be determined by the absence of activity of greater than two or three microvolts in all leads with maximum gains.
e. Absence of spontaneous breathing. If artificially ventilated, absence of respiratory effort when the artificial ventilation is discontinued for a trial period of three minutes. (Due care should be taken to insure that the patient, if on a mechanical respirator has not been over-oxygenated or unduly hyperventilated so as to reduce the pCO_2 below normal during the 10 minutes preceding the trial.)
f. All of the five conditions described earlier in this guideline must persist unchanged for at least 24 hours. In cases of brain injury where there is such gross anatomical damage visible on physical examination or craniotomy as to indicate that the brain is irreparably damaged, extruded. divided or destroyed, the period of observation for the persistence of the conditions described in a, b, c, d, and e may be reduced to one hour.
g. There shall be a demonstration of absence of barbiturates, sedative drugs, and central nervous system depressants of clinically significant levels in the patient's serum.

(5) In all cases in which artifical ventilation is employed, the pronouncement of death, based on the foregoing criteria, shall be made before artifical ventilation is permanently discontinued.

2. Pronouncing a Patient's Death:

Upon suspicion of death, the observing nurse will ask the physician closest at hand to see the patient. If death is confirmed and the physician is from another service, the nurse will immediately notify the service physician involved, giving the name of the physician who confirmed the death. The physician pronouncing the patient dead shall indicate such pronouncement and the time of death in the patient's medical record. The formal death note shall be written and signed by the physician pronouncing or confirming death from the service involved before the body will be released from the Hospital.

3. Notification of Next-of-Kin:

Responsibility for providing immediate notices of death to the immediate next-of-kin rests with the attending physician or dentist or his physician designee.

4. Request for Autopsy:

The duty of all staff members or his physician designee shall be to secure an autopsy whenever possible. An autopsy may be performed only with a written consent, signed in accordance with state law. All autopsies shall be performed by the Department of Pathology. Provisional anatomic diagnoses shall be recorded on the medical record within 48 hours and the complete protocol should be made a part of the record within three months of the autopsy.

5. Donation of Organs:

Donation of organs may be accomplished only with a written consent signed and in accordance with state law. This written consent may be signed in the same manner as an autopsy consent or initiated by the deceased having previously completed an organ donation form or the consent on the Kentucky driver's license. The appropriate service to receive the donation must be notified by the staff member obtaining the autopsy consent.

6. Notification of Funeral Home:

The Admitting Office is responsible for coordinating with the funeral director relative to the time of body release.

C. MEDICAL RECORDS:

1. General Guidelines:

The attending physician or dentist shall be responsible for the preparation of a complete and legible medical record for each patient. Its contents shall be pertinent and current. This record shall include identification data, complaint; personal history, family history; history of present illness; physical examination; special reports such as consultations, clinical laboratory and radiology services and others; provisional diagnosis; medical or surgical treatment; operative report; pathological findings; progress notes; final diagnosis; condition on discharge; discharge summary; and autopsy report when performed.

a. History and Physical:

A complete admission history and physical examination shall be recorded within 24 hours after the admission of the patient. This report should include all pertinent findings resulting from an assessment of all systems of the body. When the history and physical examination are not recorded before an operation or any potentially hazardous diagnostic procedure, the procedure shall be cancelled, unless the attending practitioner states in writing that such delay would be detrimental to the patient. The attending physician or dentist shall countersign the history and physical examination when they have been recorded by a member of the house staff. This may be performed in an attending note within the first 48 hours after admission.

b. Progress Notes:

Pertinent progress notes shall be recorded at the time of observation, sufficient to permit continuity of care and transferability. Wherever possible, each of the

patient's clinical problems should be clearly identified in the progress notes and correlated with specific orders as well as results of tests and treatment. Progress notes shall be written at least daily on critically ill patients and those where there is difficulty in diagnosis or management of the clinical problem. Progress notes on inpatients must be written at least three times a week to show significant changing conditions of the patient.

The attending practitioner is required to document the need for continued hospitalization identified by the Utilization Review Committee and PSRO plans of this Hospital, and approved by the Clinical Board. This documentation must contain:

- an adequate written record of the reason for continued hospitalization; a simple reconfirmation of the patient's diagnosis is not sufficient;
- the estimated period of time the patient will need to remain in the Hospital;
- plans for post-hospital care.

c. Operative Reports:

Operative reports shall include indications for surgery, a detailed account of the findings at surgery as well as the details of the surgical technique. Operative reports shall be dictated immediately following surgery for outpatients as well as inpatients and the report promptly signed by the surgeon and made a part of the patient's medical record.

d. Clinical Entries:

All clinical entries in the patient's medical record shall be accurately dated and signed by the responsible physician or dentist. All entries must be written in blue, blue-black or black ink or ball-point pen.

e. Corrections in Clinical Entries:

Corrections in clinical entries may be made only by crossing through as neatly as possible without obliteration of the error. Corrections must be labeled as such and signed by the responsible physician or dentist.

f. Abbreviations:

Abbreviations are not to be used in recording final diagnosis or operations. Abbreviations and symbols should be limited to those listed in the approved list of UKMC located on each inpatient floor and in the Medical Record Department.

g. Final Diagnosis:

Final diagnosis and operative procedures must conform to preferred terminology listed in the Standard Nomenclature of Diseases and Operations. The disease of first importance (primary diagnosis) should be named first. The final diagnosis shall be recorded, signed and dated by the responsible physician or dentist at the time of discharge of each patient.

h. Discharge Summary:

A discharge summary shall be dictated on the day of discharge on all patients hospitalized over 48 hours except for normal obstetrical deliveries; normal newborn infants; and certain selected patients with problems of a minor nature. These minor cases shall be identified by the Medical Record and Audit Committee and approved by the Hospital Clinical Board. On these minor cases, a final summation-typed progress note shall be sufficient. In all cases, the content of the medical record shall be sufficient to justify the diagnosis and warrant the treatment and end result.

i. Release of Medical Information:

Written consent of the patient is required for release of medical information to persons not otherwise authorized to receive this information. Any information released from the medical record should be handled through the Medical Record Department.

j. Removal of Medical Records:

The medical records are the property of the Hospital. Under no circumstances shall physicians or dentists remove the medical records from the Hospital's custody except in accordance with a court order, subpoena or statute.

k. Access to Medical Records:

Free access to all medical records of all patients shall be afforded to members of the Medical Staff for bona fide study and research consistent with preserving the confidentiality of personal information concerning the individual patient. All such projects shall be approved by the respective department chairman and, where appropriate, the approval of the Human Investigation Sub-committee before records can be studied.

2. Medical Record Deficiencies:

*A list of medical record deficiencies by physician or dentist and clinical services shall be sent to each department chairman, chief resident, individual physicians or dentists who exceed the deficiency limits, and Associate Dean for Clinical Affairs the second Wednesday of each month. A warning shall be issued by the Associate Dean for Clinical Affairs.

Deficient records or ANY incomplete records older than 30 days post discharge. This will constitute grounds for suspension.

For those deficiencies which have not been eliminated by the following Tuesday, a further deficiency report shall be submitted and suspension action shall be initiated by the Associate Dean for Clinical Affairs. If any staff member wishes to contest the suspension, he may show cause to the Associate Dean for Clinical Affairs by Wednesday, 12:00 noon, as to why he has been unable to complete the records.

The suspension will last until the deficiencies have been corrected. The resident staff member will be placed on leave without pay for the duration of the suspension.

For resident staff, the time period of suspension will be added to the length of internship or residency. Lost time will be made up at the end of the regular period of internship or residency without pay; otherwise, the physician will lose credit for the entire year.

For active staff, three such suspensions of admitting privileges within any 12 month period may be sufficient cause for permanent suspension of the privileges of the Hospital for that practitioner. In such a case a deficiency report will be submitted by the Associate Dean for Clinical Affairs regarding the matter to the Hospital Clinical Board. Suspension of staff appointment will be considered by the Hospital Clinical Board for the delinquent faculty member.

3. Consultation:

An adequate consultation shall consist of an examination of the patient and his record and a written or typed report entered in the patient's medical record. Consultation may be performed by residents, fellows, or attending physicians and dentists. When an intern or medical student is involved in the consultation, the consulting attending will be indicated on the report.

a. Requested:

When consultation from another physician or dentist is desired, a request form should be fully completed with the necessary information and should make clear the questions being asked of the consultant. It should be initiated as early as possible in the course of the patient's hospitalization so that any pertinent findings in the consultation may be incorporated in the evaluation of the patient and so that action on any recommendation may be initiated prior to discharge. If a consultation is needed urgently, e.g., within 24 hours, the consultation request form should be supplemented by telephone or personal contact with the resident or staff physician or dentist on call.

b. Emergency:

The responsible physician or dentist shall proceed without consultation in emergencies when it is his opinion that to delay surgery or treatment in order to obtain consultation would endanger the life of the patient. In these situations, the responsible physician or dentist shall make a note in writing in the patient's medical record of both the indications for the operation and the nature of the emergency. In those emergency situations in which the surgery or treatment does involve sterilization or the termination of a known or suspected pregnancy, the attending physician or dentist will be responsible to inform another attending physician or dentist of the situation and the treatment or surgery contemplated, prior to carrying out the surgery or treatment. The physician or dentist so informed will be responsible to confirm such notification at the earliest opportunity by means of a note in writing in the patient's medical record.

D. GENERAL CONDUCT OF CARE:

1. Consent for Care:

a. General Consent:

General consent is obtained by the Admitting Department at the time of a patient's admission, and is designed to cover all procedures in the Hospital which are not of a nature to require a special consent. If it is not possible to obtain the general consent at the time of admission or registration, the responsibility for securing the general consent will rest with the nurse in charge of the division accepting the patient. This includes, but is not limited to, routine hospital care, laboratory procedures, intravenous feedings, diagnostic x-ray procedures and most outpatient treatments. It provides protection for procedures done by Hospital personnel, the attending physician or dentist, his assistants, or any other physician or dentist called into the case by the attending physician or dentist. It has the merit of providing personal coverage for all persons who have a legitimate reason for touching or ministering to the patient, and protects both the Hospital, physician or dentist.

b. Special Consent:

A special consent form must be prepared before any of the following procedures are carried out:

- all major and minor surgery which involves an entry into the body, either through an incision or through one of the natural body openings;
- any procedure in which anesthesia is used, whether or not an entry into the body is involved;
- all non-operative procedures which involve more than a slight risk of harm to the patient, or which involve the risk of a change in the patient's body structure;
- all procedures where radium or x-ray is used in treatment of the patient;
- all procedures which involve electroshock therapy;
- all uses of investigational drugs on patients;
- all other procedures which in the physician's or dentist's judgment require a special consent; any question as to the necessity of obtaining a special consent from a patient should be resolved in favor of procuring the consent.

Responsibility for securing a special consent will rest with the physician or dentist or person performing the procedure. In all cases the physician, dentist, or person performing the procedure shall be responsible to confirm that a special consent has been signed before the procedure is performed.

c. Special Consent Concerning Minors:

KRS214.185 as amended, provides for treatment of minors under the following:

(1) The physician to examine and prescribe treatment for a minor with the minor's consent only in cases of venereal disease, pregnancy, alcohol and other drug abuse or addiction.
(2) Any emancipated minor or any minor who has contracted a lawful marriage or borne a child may give consent to the furnishing of hospital, medical, dental

or surgical care to his or her child, or himself or herself and such consent shall not be subject to disaffirmance because of majority.

(3) Health services may be rendered to minors without consent of a parent or legal guardian in an emergency situation.

(4) The consent of a minor who represents that he may give consent for the purpose of receiving health care services but who may not, in fact, do so should be deemed effective without the consent of the minor's parent or legal guardian, if the professional rendering care relied in good faith upon the word of the minor.

(5) The professional MAY inform the parent of the minor patient of any treatment given or needed where informing the parent or guardian would benefit the health of the minor.

d. Emergency Consent:

Where an emergency exists which requires immediate action of the Hospital or physician or dentist to preserve the patient's life, or prevent a possible permanent impairment of the patient's health, and it is impossible to obtain the consent of the patient or someone legally authorized to consent for him, the required procedure should be undertaken only under the following two conditions:

(1) it can be shown that the emergency is of sufficient magnitude to justify action without consent;

(2) it can be shown that under the circumstances there is not sufficient time to obtain consent.

In order to constitute an emergency, the threat of life or health must be immediate. If delay in performance of the procedure would not increase the hazard, then a bona fide emergency does not exist. The Hospital and physician or dentist must make every effort to document the pathological necessity of proceeding with treatment without consent. Consultations should be undertaken, and the findings recorded in the patient's medical chart. Notations should clearly indicate the conditions stated above.

When an emergency consent is needed, the Hospital Director or the Associate Dean for Clinical Affairs must be contacted, informed in detail and must give approval. This approval must be documented in the medical record at the earliest possible time.

2. Physicians' Orders:

a. Verbal Orders:

Verbal orders may be initiated only when the life of a patient would be jeopardized by failure to take immediate action, and are applicable only to orders given by the physician or dentist in the presence of a professional nurse. Such verbal order(s) shall be recorded on the physician order sheet by the physician or dentist not later than 24 hours following the order.

b. Telephone Orders:

As defined in the nursing policy on telephone orders, a registered nurse may accept telephone orders from an active staff member or resident physician. Such orders must be countersigned by the ordering physician within 12 hours, should be limited to orders necessary for patient management and by circumstances which make direct personal attendance difficult. The nurse may, if she sees fit, require the personal attendance and review of the patient by the physician before carrying out the telephone order.

c. Written Orders:

All orders, except in the emergency situation described above must be signed by a physician or dentist before they are executed. Senior students may write orders when they are appointed as acting interns by the Department Chairman. Hospital Administration will be notified in writing prior to student assuming these responsibilities by the Department Chairman of such appointment. The Dean will present the appointment for confirmation at the next meeting of the Hospital Board. Nursing Services will recognize the orders of acting interns only if the notification of Hospital Administration has been received and these orders are countersigned by a physician or dentist.

d. X-ray Request:

All x-ray requests except in the emergency situation discribed above, require a completed x-ray request signed by an attending or resident physician or dentist or a validly appointed acting intern.

e. Cancellation of Orders:

Cancellation of all existing orders for a patient is effected on change in service or when the patient is sent to the Operating Room or Delivery Room. An exception may be made if the physician or dentist so indicates in the preoperative orders.

3. Nursing Involvement in Care of Patients:

If a nurse has any reason to doubt or question the order written on or the care provided to any patient or believes that appropriate consultation is needed and has not been obtained, the nurse shall call this to the attention of the Assistant Director, Nursing, or the patient's attending physician. If warranted, the Assistant Director of Nursing may bring the matter to the attention of the Director of Service wherein the physician or dentist treating the patient in question has clinical privileges. Where circumstances are such as to justify such action, the Director of Service shall personally request a consultation.

4. Drugs, Medications and Radioactive Materials:

a. General Guidelines:

(1) Generic Name:

Physicians and dentists must use generic names as listed in the Hospital Formulary. Trade names will be accepted on physicians' or dentists' orders

if available in Pharmacy. If not available, the physician or dentist will be contacted by PCS to rewrite his orders.

(2) Orders in Metric System:

Drugs will be ordered in the metric system. If the physician or dentist orders a drug in the apothocary system, and the nurse recognizes the error before the physician or dentist leaves the unit, the nurse will ask that he rewrite the order in the metric system. If the order reaches PCS in the apothocary system, a pharmacist will then contact the physician or dentist and ask that the order be rewritten in the metric system.

(3) Take Home Drugs:

All prescriptions for take home drugs must be signed by a licensed physician or dentist.

b. Ordering Drugs:

(1) Formulary Drugs:

Members of the house staff are authorized to use only those drugs listed in the Formulary.

(2) Non-Formulary Drugs:

Attending physicians and dentists may order non-formulary drugs for particular patients whenever justified. Since non-formulary drugs are not routinely stocked by Pharmacy Central Supply, a quantity of the drug must be ordered specially, and the patient must be billed for the entire supply. Frequently this results in a time lag before the drug can be obtained and therapy begun. In order to use a non-formulary drug repeatedly, the attending staff member is expected to request approval of the drug by the Pharmacy and Therapeutics Committee.

If a member of the attending staff requests a member of the house staff to use a non-formulary drug, the house staff physician or dentist may obtain the drug by calling the pharmacist, giving him the name of the attending physician or dentist who requested the drug, justification for the drug, etc. Each non-formulary drug request is followed up by the staff of the Drug Information Center and is reviewed by the Pharmacy and Therapeutics Committee.

c. Automatic Stop Orders:

At the time of this printing, drug orders are discontinued automatically according to the following timetable:

Orders for narcotic drugs (Schedules II and III) will be discontinued automatically after five days when no stop date is indicated by the physician or dentist in his order. Orders for antibiotic drugs will be discontinued automatically after five days

when no stop date is indicated by the physician or dentist in his order. All other drugs will not have Automatic Stop Order limits.

Physicians or dentists are encouraged to write for a specific length of therapy on appropriate drugs and to limit their orders for drugs which require frequent monitoring of response such as anticoagulants and cancer chemotherapeutic agents. Daily, the floor pharmacists are provided with a list of all drug orders which are stopping due either to the stated Automatic Stop Policy or to the end of therapy as specified by the physician or dentist.

d. Controlled Substances:

Each member of the house staff should be registered by the Drug Enforcement Administration (formerly BNDD) in order to prescribe controlled substances. This registration is required in addition to the Kentucky license to practice. All orders for Schedule II Controlled Substances must be written in ink or indelible pencils; outpatient prescriptions for Schedule II substances must be written on special Schedule II prescription blanks supplied by the Outpatient Pharmacy.

e. Investigational Drugs:

Investigational drugs shall be used only under the direct supervision of the principal investigator who shall be a member of the Medical Staff, and who shall obtain the informed consent of the patient prior to the administration of the drug. To initiate use of an investigational drug, the principal investigator shall submit a written protocol to the Human Investigations Committee for review. The protocol should also be reviewed by the Pharmacy and Therapeutics Committee.

f. Radioactive Materials:

Radioactive materials shall be used only under the supervision of a qualified Radiation Medicine physician and personnel. All radioactive materials for human use shall be administered only by individuals approved by the Chairman of the Department of Radiation Medicine, with advice of the Radiation Safety Office and the Medical Center Radiation Safety Committee. They will follow regulations set forth in Hospital Policy 1-05-30.

E. GENERAL RULES REGARDING SURGICAL CARE:

Each Medical Staff member involved in patient care in the operating rooms agrees to practice within the guidelines of the OR Committee. The Committee's Rules and Regulations are as follows:

1. General Considerations:

All surgery performed will be under the control of the Chairman of the Department or the attending physician or dentist of the case in question.

2. Surgery Scheduling:

Operating Room time for all elective cases of each surgical specialty will be determined and assigned by the Chairman of the OR Committee, or his designee. The OR Committee

in cooperation with the Chairman of the Department of Anesthesiology, the Chairman of the Department of Surgery, and the Chairman of OB/GYN will develop definitions for both emergency and urgent cases and these definitions will be used in assigning priority of unscheduled, non-elective cases.

3. Change in Schedules:

Any addition or deletion to the Operating Room schedule 48 hours prior to the date of surgery can be made by calling the Operating Room scheduling nurse. However, changes occurring within the 48 hour time period preceding surgery will require calls to both the Operating Room nurse in charge of scheduling, plus the Anesthesiologist responsible for the surgery date's activities.

4. Emergency Operations:

An emergency operation must meet one of the following criteria:

- the patient's life is in immediate danger if the operation is not performed;
- the patient's limb is in immediate danger of loss if the operation is not performed.

The Chairman of the OR Committee or the attending physician and the anesthesia attending-on-call will make the determination on emergency cases and assigning priority.

5. Identification of Patient:

Neither preparation of the patient for surgery nor surgery shall be initiated until positive identification of the patient is made by checking the armband of the patient against the operating room schedule. A record shall always be made of this positive identification in the patient's medical record.

6. Preoperative Evaluation and Documentation:

Prior to preparing the patient for surgery, the medical record will always be examined to see that a consent for the particular surgical procedure to be performed exists. Surgery will not take place without consent except in cases of immediate life threatening emergency. The preoperative diagnosis and current required laboratory work must be recorded on the patient's record, except in cases of an immediate life threatening emergency. If not recorded, the operation will be cancelled. In any emergency, the surgeon shall make at least a comprehensive note regarding the patient's condition prior to initiation of anesthesia and start of surgery.

7. Time of Admission:

All patients scheduled for surgery must be in the Hospital by 3:00 p.m. the day prior to surgery. The Operating Room Nurse Supervisor will be responsible for checking with the Admitting Office at 3:00 p.m. each day, and those patients scheduled for surgery the next day, but who have not reported at that time will be removed from the Operating Room schedule and rescheduled.

8. Starting Time of Operations:

Elective surgical cases will be cancelled and rescheduled if the attending surgeon is more than 15 minutes late for the case.

9. Outpatient Operations Requiring General Anesthesia:

Any outpatient procedures done in the Outpatient Clinic with general anesthesia will require a minimal three hour recovery time period, and a note must be placed in the patient's chart by the anesthesiologist at the time of discharge. Also, the patient must always be accompanied by another individual who will transport the patient safely from the Hospital.

10. Care in Transport of Patients:

All Operating Room transport personnel shall receive training in first aid techniques including the ability to recognize immediately symptoms of cardiac or respiratory arrest.

11. Efficient Utilization of Operating Room:

The Chairman of the OR Committee coordinating with the Anesthesia Director of Clinical Services shall be responsible for the efficient utilization of Operating Room resources.

12. Contaminated Cases:

All Operating Rooms in which surgery on a contaminated patient is performed shall be thoroughly scrubbed on completion of surgery. A contaminated patient shall be housed in an isolated area of the Recovery Room. Procedures throughout his stay in the Operating Room and Recovery Room shall be in accordance with the Communicable Disease Center's Handbook on Infection Control and Isolation Techniques pending available facilities.

13. Conductivity Environmental Control:

Quarterly tests will be made on the conductive properties of all appropriate instrumentation and equipment within the Operating Room. Environmental control will include periodic monitoring of the humidistats in all of the Operating Rooms to insure that they are registering accurately and not in need of calibration.

14. Radiation Safety:

Safety of radiation sources will be the responsibility of the Radiation Safety Officer of the Medical Center and the Chairman of the Radiation Medicine Department. Specific safety control procedures are outlined in Hospital Policy 1-05-30.

15. Tissue Removed:

All tissue removed during an operation shall be sent (specific handling in laboratory manual) to the anatomical laboratories so that a pathologist can make such examination as he may consider necessary to arrive at a diagnosis. His authenticated report shall be made a part of the patient's medical record.

16. Oral Surgery:

The Oral Surgery Service, a section of the Hospital Dental Service, will be responsible for all patients referred directly to it and for unreferred patients admitted to its service.

All dental patients must receive the same basic medical appraisal as patients admitted to other clinical services. A history and physical will be completed by a surgical house staff member. A physician member of the Medical Staff will be responsible for the care of any medical problem that may be present or that may arise during the hospitalization of dental patients.

Requests for consultation will be made to the appropriate medical or surgical services. An attending dentist will be named for each dental patient. All surgical procedures performed by oral surgeons will be in keeping with the guidelines for accreditation of oral surgery postgraduate programs as prescribed by the American Board of Oral Surgery, Council on Dental Education of the American Dental Association, and the Kentucky Board of Dentistry.

17. Surgical Consent:

Written, signed, informed, surgical consent shall be obtained prior to the operative procedure except in those situations wherein the patient's life is in jeopardy and suitable signatures cannot be obtained due to the condition of the patient. In emergencies involving a minor or unconscious patient in which consent for surgery cannot be immediately obtained from parents, guardian, or next of kin, these circumstances should be fully explained on the patient's medical record. A consultation in such instances may be desirable before the emergency operative procedure is undertaken if time permits.

18. Anesthesia Record:

The anesthetist shall maintain a complete anesthesia record to include evidence of pre-anesthetic evaluation and post-anesthetic follow-up of the patient's condition. The circumstances surrounding all deaths occurring in the Operating Room or Recovery Room, after the administration of an anesthetic, shall be reported in writing to the Chairman of the Department of Anesthesiology within twenty-four (24) hours by the person administering the anesthetic and report by the Chairman of the Department of Anesthesiology to the Associate Dean for Clinical Affairs within forty-eight (48) hours.

F. SPECIFIC RULES REGARDING:

1. Abortions and Sterilizations:

a. Elective Abortions:

May be performed by a member of the Obstetrics and Gynecology Department at the request of the female without consent of spouse or sexual partner.

b. Therapeutic Abortions:

Therapeutic abortions may be performed only by a member of the Obstetrics and Gynecology Service.

c. Abortions Incident to Therapy:

In the case of surgical procedures which result in abortions incident to therapy, the physician conducting the operation will indicate in the patient's medical record that the procedure will result in the termination of pregnancy.

d. Sterilizations:

The operation is performed for the sole purpose of sterilization of the patient, whether male or female. The general rule is that sterilization may be performed under one or more of the following circumstances:

- when medical disease complicates pregnancy or may be injurious to the health of the mother or the baby;
- many times, socio-economic factors may be used to support the sterilization decision;
- at the request of the patient when informed consent is evident.

The written request for sterilization and the report of the consultant shall be filed in the patient's medical record.

e. Sterilization Incident to Therapy:

A sterilization incident to therapy performed primarily for some other medically valid purpose must be documented in the patient's medical record.

2. Admission of Non-Obstetrical Patients to Obstetrics Division:

"Clean" surgical patients with a negative chest x-ray within the last 48 hours may be admitted to the Obstetrical Division only on the order of the Director of Obstetrics or his designee who will review the situation daily with the senior Nursing Service staff member on duty on the Division.

G. EMERGENCY SERVICES:

1. Emergency Room Medical Coverage and Responsibilities:

Patient Care in the Emergency Room is under the direction of the Medical Director of Emergency Services. The Medical Staff of the Emergency Room shall have primary responsibility for the care of all patients in the Emergency Room until such time as the patient is admitted or formally transferred to the care of another physician, dentist, service, or clinic. Attending physicians and dentists, and a staff of house officers, who are assigned to the Emergency Room, will personally see each patient and be responsible for:

a. Initiating early and appropriate consultation with the proper service ascertaining that the patient has been:

- treated and released with the indicated instructions for further follow-up by a private physician or dentist or an appointment made for OPD visit;
- accepted by a written note in the chart for care by another service, either on an outpatient basis, or for hospital admission; or
- sent to another hospital or another physician or dentist for care after that hospital, physician, or dentist has agreed to assume such care.

b. Appropriate documentation of care and treatment rendered will be made by the treating physician or dentist and reviewed by an attending physician or dentist.

c. Limiting treatment of patients who will be referred to other services to emergency measures until the consultant arrives and is delegated responsibility for the patient's care.

2. Emergency Room Consultation Coverage:

All clinical departments will furnish the Medical Director of Emergency Services, with a list of house officers and active staff on Emergency Room call who can be notified by the assigned Emergency Room physicians as soon as it is determined that service should be called for consultation, or when the case might be of teaching interest to them.

3. Admission of Patients from the Emergency Room:

a. Admission with Prior Consultation:

An Emergency Room physician will ordinarily obtain the consultation and approval of the appropriate service prior to admitting the patient.

b. Direct Admission with Prior Consultation:

The Medical Director of Emergency Services, or the Emergency Room attending physician may admit any patient at any time if he believes this is the correct disposition of the patient and that failure to admit the patient will result in death or serious complication.

4. Referral to Another Hospital:

In the rare instance where a patient requiring hospital admission must be sent to another hospital, such transfer will only be carried out with the prior approval of the patient's attending physician.

5. Use of Observation Room:

The expected period of observation to facilitate diagnosis is four (4) hours with a maximum of twelve (12) hours. At this time, the patient is either admitted or discharged. (This may be waived in individual cases, such as when the twelve (12) hour limit terminates at early a.m. hour.) Progress notations are to be entered onto the chart every four hours by the physician or dentist caring for the patient.

H. CLINICAL STAFF DISASTER ASSIGNMENTS:

All Medical Staff members shall be assigned to locations in the Hospital and it is their responsibility to report to their assigned stations upon notification of a disaster. The Associate Dean for Clinical Affairs, or his designee will coordinate and work with all assignments and specific procedures for a disaster as set forth in the University of Kentucky Medical Center Disaster Plan.

The Chiefs of Clinical Services and the Chief Executive Officer of the Hospital will work as a team to coordinate activities and directions. In cases of evacuation of patients from one section of the Hospital to another or evacuation from the Hospital premises, the Chiefs

of Clinical Services during the disaster will authorize the movement of patients. All policies concerning direct patient care will be joint responsibility of the Department Chairmen and the Chief Executive Officer of the Hospital. In their absence, the deputy chairmen and alternative in administration are next in line of authority respectively. The disaster plan should be rehearsed at least twice a year, preferably as part of a coordinated drill in which other community emergencies and agencies participate. There should be a written evaluation of all drills which must involve the Medical Staff, House Staff and Hospital Employees.

I. SPECIAL CARE UNITS:

Special Rules and Regulations are available for each Special Care Unit in the Hospital to include:

- Respiratory/Cardiothorasic Intensive Care
- Surgical Intensive Care
- Medical Intensive Care
- Coronary Care
- Pediatric Intensive Care
- Premature and High Risk Nursery
- Care-by-Parent
- Burn Unit
- Model Care Unit 3 North

Please refer to these specific Rules and Regulations located in each of the above units.

J. RULES CONCERNING SERVICES OF PODIATRISTS:

Podiatrists may be invited to render services to patients of Medical Staff members in the outpatient clinics under the following conditions.

Each individual in this category will present his qualifications to the Associate Dean for Clinical Affairs who will review and investigate the application. The Associate Dean for Clinical Affairs will present the recommendation of the Clinical Department under whose auspices the podiatrist will work, the results of his investigations and his recommendation for review by the Clinical Board. If approved by the Clinical Board, the Council of Supervisors may grant such individual Class O Related Health Professional privileges as restricted herein.

1. Podiatry services will be performed only upon the written order of a member of the Medical Staff and under the supervision of that member of the Medical Staff who will be responsible for the patient and his records.

2. Podiatrists will perform their assigned duties under the jurisdiction of the Medical and/or Surgical Service. Physician-ordered minor outpatient podiatry may be performed under the general surveillance of the Medical or Surgical Service without mandatory presence of a physician.

3. Podiatrists may not admit patients or manage patients in the Hospital or write orders for patients' care.

K. CLINICAL DEPARTMENTS:

Rules and Regulations of Clinical Departments will be added to these Rules and Regulations as they are completed.

Approved by the Council of Supervisors.

Office of the President
December 12, 1978

PR 9

Members, Board of Trustees:

AMENDMENT OF RETIREMENT REGULATION

Recommendation:

1. That Section II., A. of AR II-8.0-4 (the University Retirement Plan) be amended, effective January 1, 1979, so that as amended, said Section shall read as follows (new material is underlined, material to be deleted is in brackets):

II. Retirement Age

A. General

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

2. The mandatory retirement age for all employees of the University of Kentucky, with the exception of (i) persons employed in bona fide executive or high policymaking positions for at least two years prior to attaining age 65 and who are entitled to an immediate nonforfeitable annual retirement benefit from the University which equals at least $27,000 per year and (ii) persons who are serving under a contract of unlimited tenure, is hereby established as age 70. [employed on or after July 1, 1964, and those employed prior to that date who attain age 56 after June 30, 1964, shall retire at the end of the University's fiscal year in which the employee attains age 65 or, upon administrative approval at least three months in advance, during the month in which the employee attains age 65.]

[2. All persons employed prior to July 1, 1964, and who were 56 or older on that date shall retire at the end of the University's fiscal year in which the employee attains age 70, or completes 10 years of service after July 1, 1964, whichever occurs first.]

3. All employees on change of assignment as of July 1, 1964, were retired on that date.

2. That those employees who attained age 65 in the period July 1, 1977 - June 30, 1978 and who have accepted post-retirement appointments under the terms of the Board action of June 6, 1978, be given regular appointments through June 30, 1979.

3. That the Board authorize normal University TIAA-CREF contributions and/or the accrual of service credits, together with the provision of other normal employee benefits, to the extent available under current contractual arrangements, and in accord with usual University practices, to be provided through June 30, 1979, to employees working beyond the normal retirement date specified in Section II., A., 1 of AR II-8.0-4 as amended. Provided, however, that nothing contained herein shall be construed to authorize the provision of retirement contributions, service accrual, or any other employee benefit beyond June 30, 1979.

Background:

The 1978 amendments to the Age Discrimination in Employment Act of 1967 become effective January 1, 1979. These amendments, in general, prohibit the mandatory retirement of University employees prior to age 70. Two principal exceptions are made: (1) that for high-level executives and (2) a temporary exception, until July 1, 1982, for tenured faculty. The legislation provides that the Secretary of Labor may issue rules and regulations for carrying out the Act; the Secretary intends to issue regulations; however, the final version of the regulations will probably not be issued prior to the effective date of the Act. The regulations to be issued will, it is hoped, clarify various ambiguities in the law, including the extent to which various employee benefits, including life and health insurance, retirement contributions, and disability protection must be provided to employees who continue working beyond the "normal retirement age" (age 65 at UK) to age 70.

In the face of a situation in which many issues cannot be resolved in the absence of final Department of Labor Regulations, the University Administration recommends minimal action to insure compliance with the law while reserving final decisions on other issues until publication of the Regulations. Thus, Recommendation

1 simply establishes a normal retirement age of 65 and a mandatory retirement age of 70. Although, by its terms, the recommendation would establish an exception to the age 70 retirement age in the case of tenured faculty, this is not considered a final action, although our final recommendation probably will be to that effect. A final recommendation as to whether the University should continue to retire tenured faculty at age 65 until July 1, 1982 will be made prior to June 30, 1979 after its program impact has been more fully assessed.

Recommendation 2 relates to a relatively small number of employees (14). These employees reached age 65 just prior to the effective date of the Act and were permitted, pursuant to Board authorization, to continue to work past age 65 on post-retirement appointments. The effect of the recommendation is to permit these employees to continue as regular appointees, at least until June 30, 1979.

Recommendation 3 would provide a limited authorization to provide retirement and other employee benefits, to the extent possible, to those employees who elect to continue in employment beyond their normal retirement date during the period January 1, 1979 - June 30, 1979. A final recommendation as to the provision of employee benefits for those who work beyond age 65 will be made when final Labor Department Regulations are issued, but before June 30, 1979.

Action taken: Approved XX Disapproved ____ Other _____

Date: December 12, 1978

Office of the President
December 12, 1978

PR10

Members, Board of Trustees:

REPORT ON RESULTS OF ALUMNI MEMBER ELECTION

Recommendation: that the report of the Secretary of the Board of Trustees on the results of the election authorized by the Alumni Association be received and put to record, and that she be authorized to certify to the Governor the names of the three persons receiving the largest number of votes, from which list a successor to Mrs. Betty Carol Clark, whose term expires December 31, 1978, will be appointed.

Background: The term of Mrs. Betty Carol Clark as alumna member of the Board of Trustees expires December 31, 1978. An election has been held among the graduates of the University of Kentucky as prescribed by statute and in accordance with the rules and regulations of the Board of Trustees. The attached letter from the Secretary of the Board of Trustees to the President of the University reports the results of the election.

Action taken: Approved XX Disapproved _____ Other _____

Date December 12, 1978

UNIVERSITY OF KENTUCKY

LEXINGTON, KENTUCKY 40506

BOARD OF TRUSTEES

December 12, 1978

President Otis A. Singletary
University of Kentucky
Lexington, Kentucky 40506

Dear President Singletary:

My term as alumna member of the Board of Trustees expires December 31, 1978. An election has been held among graduates of the University as prescribed by statute and by the rules and regulations of the Board of Trustees. The actual tabulation of the votes was conducted by Mr. Jay Brumfield, Director of Alumni Affairs, and Professor Michael Adelstein, who represented me. The following results have been certified to me by Mr. Brumfield and Professor Adelstein:

Nominees	Votes
Mrs. G. D. Beach (Bettie Shrewsbury)	1,780
Mrs. Robert Clark (Betty Carol Pace)	3,209
Paul C. Combs	1,771
Robert H. Hillenmeyer	2,813
James W. Stuckert	2,109
W. Cleland White, III	2,175

There were 91 write-in names, all of which were tabulated and recorded.

Will you please submit this information to the Board of Trustees that same may be approved and the names of the three receiving the highest number of votes be certified to the Governor of the Commonwealth of Kentucky, from which list of three he may appoint one to serve a term of four years beginning January 1, 1979.

Respectfully submitted,

Betty Carol Clark, Secretary
Board of Trustees

A Resolution of
THE BOARD OF TRUSTEES
UNIVERSITY OF KENTUCKY
December 12, 1978

BE IT RESOLVED, that as the General Assembly of the Commonwealth of Kentucky prepares to convene in Special Session, the Board of Trustees of the University of Kentucky hereby expresses grave concern regarding possible budget cuts in higher education.

WHEREAS the current biennial budgets of the state universities were enacted by the Legislature after careful review by the Council on Higher Education and the Executive Department for Finance and Administration we urge that these careful decisions not be altered without an equally careful review of the consequences.

THEREFORE, the Board of Trustees of the University of Kentucky expresses its hope that the already serious plight of higher education in the Commonwealth, in general, and the University of Kentucky, in particular, not be worsened as a result of actions which could have detrimental effects upon higher education for years to come.

THE BOARD OF TRUSTEES of the University of Kentucky further directs that copies of this resolution be forwarded to the Governor, the Lieutenant Governor, the President Pro Tempore of the Senate, and the Speaker of the House of Representatives.

UNIVERSITY OF KENTUCKY

BOARD OF TRUSTEES

Professor Michael Adelstein, Lexington

Mr. William R. Black, Paducah

Governor Albert B. Chandler, Versailles

Mrs. Robert O. Clark, Glasgow

Mr. Albert G. Clay, Mt. Sterling

Mr. John R. Gaines, Lexington

Mr. L. D. Gorman, Hazard

Mr. George W. Griffin, Jr., London

Mrs. David Hermansdorfer, Ashland

Dr. David A. Hull, Lexington

Mr. Thomas B. Kessinger, Lexington

Mr. Zirl Palmer, Lexington

Mr. Frank Ramsey, Jr., Madisonville

Mr. Homer W. Ramsey, Whitley City

Mr. William B. Sturgill, Lexington - Chairman

Mr. William B. Terry, Lexington

Mr. Eugene Tichenor, Lexington

Professor Constance Wilson, Lexington

Dr. John R. Woodyard, Ft. Mitchell

Resolution sent to the following:

The Honorable Julian M. Carroll

The Honorable Thelma L. Stovall

Mr. Joseph Prather

Mr. William Kenton

Mr. Bobby H. Richardson

Mr. Tom Garrett

Ms. Marie Turner

Mr. Lee Nunn

Mr. Steven L. Beshear

Mr. Jim LeMaster

Dr. John E. Trevey

Mr. Michael R. Moloney

Mr. David L. Van Horn

Mr. Henry Clay List

Office of the President
December 12, 1978

FCR 1

Members, Board of Trustees:

INTERIM FINANCIAL REPORT

Recommendation: that the financial report for the four months ending October 31, 1978, be accepted.

Background: The October, 1978, report reflects income of $105,237,398 for the period of the report; the income figure is 47% of the annual income estimate of $221,740,545.

The expenditures and commitments represent a total of $74,862,465 for this period of four months, or 34% of the expenditure authority of $221,740,545 approved by the Board.

Action taken: Approved XX Disapproved ____ Other _____

Date: December 12, 1978

University of Kentucky
Balance Sheet
October 31, 1978
With Comparative Figures for 1977-78

ASSETS

	1978-79	1977-78
Current Funds:		
Unrestricted:		
Cash in banks:		
Depository funds	$ 2,332,700	$ 2,733,845
Cash on deposit with State Treasurer:		
Trust and agency funds	3,721,409	713,238
General fund appropriation	16,149,588	13,265,183
Total cash	22,203,697	16,712,266
Due from other funds and affiliated corporations	2,806,487	3,611,837
Accounts receivable	1,923,204	2,902,029
Accrued interest receivable	237,121	
Notes receivable	72,094	72,094
Investment-short term	15,851,264	12,803,904
Inventories	3,668,019	3,738,560
Unrealized income (Schedule 3)	75,531,284	69,690,755
Total unrestricted	122,293,170	109,531,445
Restricted:		
Cash in banks	2,521,279	94,096
Cash on deposit with State Treasurer	1,989,659	1,758,704
Total cash	4,510,938	1,852,800
Petty cash advances	273,681	257,981
Travel advances	232,013	211,223
Due from other funds and affiliated corporations		25,920
Accounts receivable	4,677	5,237
Accrued interest receivable	170,279	6,935
Investments:		
Short-term (Schedule 5)	6,410,000	4,710,000
Other	249,001	246,324
Unrealized income:		
Restricted (Schedule 3)	5,175,006	5,369,577
Tobacco Research Trust Fund (Schedule 3)	3,247,516	2,600,797
Total restricted	20,273,111	15,286,794

University of Kentucky
Balance Sheet
October 31, 1978
With Comparative Figures for 1977-78

LIABILITIES AND FUND BALANCES

	1978-1979	1977-78
Current Funds:		
Unrestricted:		
Outstanding encumbrances	$ 4,714,637	$ 4,090,806
Accounts payable-county funds	84,203	58,406
Accrued expenses	891,000	751,000
Advance from state for imprest cash fund	1,300,000	1,300,000
Deferred Income	551,316	430,885
Accrued vacation	2,600,000	2,400,000
Unencumbered balance, departmental appropriations (Schedule 4)	102,322,951	93,077,896
Fund balances:		
Allocated for working capital (Schedule 2)	9,829,063	7,422,452
Total unrestricted	122,293,170	109,531,445
Restricted:		
General fund collections	674,181	1,133,277
Outstanding encumbrances	498,590	955,688
Due to other funds and affiliated corporations	4,699,043	
Advance from state for imprest cash fund	50,000	50,000
Refundable deposits	57,950	
Outstanding check liability	96,357	83,245
Unencumbered balance, departmental appropriations (Schedule 4)	4,811,992	4,802,188
Unencumbered balance, Tobacco Research Trust Fund Appropriation (Schedule 4)	3,375,291	3,007,267
Fund balances:		
Restricted fund (Schedule 2)	4,931,374	4,515,656
Tobacco Research Trust Fund-unallocated funds (Schedule 2)	1,078,333	739,473
Total restricted	20,273,111	15,286,794

University of Kentucky
Balance Sheet
October 31, 1978
With Comparative Figures for 1977-78

ASSETS

	1978-79	1977-78
Hospital and clinics:		
Due from other funds and affiliated corporations	1,902,147	903,268
Accounts receivable, net of allowance for doubtful account of $3,442,054 in 1978 and $2,969,518 in 1977	11,065,925	7,375,598
Inventories	700,588	586,411
Unrealized income (Schedule 3)	21,454,480	18,530,362
Total hospital and clinics	35,123,140	27,395,639
Housing and dining system:		
Cash in bank	1,341,734	904,707
Accounts receivable	296,371	330,552
Investments-short term	1,839,878	2,323,442
Inventories	1,463,900	1,309,801
Prepaid expenses	177,983	68,884
Unrealized income (Schedule 3)	8,596,975	7,707,422
Total housing and dining system	13,716,841	12,644,808
Auxiliary enterprises:		
Cash in banks	412,451	238,453
Cash on deposit with State Treasurer	388,514	683,836
Total cash	800,965	922,289
Accounts receivable	23,231	30,019
Inventories	474,524	480,137
Unrealized income (Schedule 3)	2,497,886	2,214,676
Total auxiliary enterprises	3,796,606	3,647,121
TOTAL CURRENT FUNDS	$ 195,202,868	$ 168,505,807

University of Kentucky
Balance Sheet
October 31, 1978
With Comparative Figures for 1977-78

LIABILITIES AND FUND BALANCES

	1978-79	1977-78
Hospital and clinics:		
Outstanding encumbrances	1,064,766	346,450
Accrued vacation	430,000	400,000
Unexpended balance, departmental appropriation (Schedule 4)	25,473,655	20,868,991
Fund balances-allocated for working capital (Schedule 2)	8,154,719	5,780,198
Total hospital and clinics	35,123,140	27,395,639
Housing and dining system:		
Accrued expenses	489,713	889,191
Accrued wages	89,835	
Accrued vacation	55,000	50,000
Accounts payable	334,259	107,445
Due to other funds and affiliated corporations	1,244,986	1,543,345
Refundable deposits	50,754	31,675
Deferred income	2,439,705	1,982,051
Unexpended balance, departmental appropriations (Schedule 4)	8,724,209	7,788,481
Fund balances:		
Allocated for future operating purposes (Schedule 2)	288,380	252,620
Total housing and dining system	13,716,841	12,644,808
Auxiliary enterprises:		
Outstanding encumbrances	341,267	147,205
Due to other funds and affiliated corporations	183,445	329,511
Unencumbered balance, departmental appropriation (Schedule 4)	2,169,982	2,013,643
Fund balances-allocated:		
Working capital	484,562	512,614
Future operating purposes	617,350	644,148
Total fund balances (Schedule 2)	1,101,912	1,156,762
Total auxiliary enterprises	3,796,606	3,647,121
TOTAL CURRENT FUNDS	$ 195,202,868	$ 168,505,807

University of Kentucky
Balance Sheet
October 31, 1978
With Comparative Figures for 1977-78

ASSETS

	1978-79	1977-78
Loan Funds:		
Cash in bank	$ 775,934	$ 852,254
Notes receivable, net allowance for doubtful accounts of $725,947	10,196,456	9,571,602
Due from other funds and affiliated corporations	20,862	
Due from United Student Aid loan fund	2,000	2,000
TOTAL LOAN FUNDS	$ 10,995,252	$ 10,425,856
Endowment Funds:		
Investments	$ 3,708,820	$ 3,419,878
TOTAL ENDOWMENT FUNDS	$ 3,708,820	$ 3,419,878
Plant Funds:		
Unexpended:		
Cash on deposit with State Treasurer:		
Trust and agency	$ 4,078,925	$ 5,252,092
Capital and construction funds	19,844,733	20,607,257
Total cash on deposit with State Treasurer	23,923,658	25,859,349
Due from other funds and affiliated corporations	1,412,930	1,181,250
Due from Federal Government	595,679	
Construction in progress	18,359,440	16,199,474
Funded future construction	24,390,672	13,922,703
Total unexpended plant funds	68,682,379	57,162,776

University of Kentucky
Balance Sheet
October 31, 1978
With Comparative Figures for 1977-78

LIABILITIES AND FUND BALANCES

	1978-79	1977-78
Loan Funds:		
Due to other funds and affiliated corporations	$	$ 14,946
Federal sponsored loan funds:		
Federal Government	8,473,961	8,263,943
University matching funds	951,097	901,197
Accumulated interest income	927,409	797,905
Total sponsored loan funds	10,352,467	9,963,045
University loan funds:		
University student aid funds	97,826	78,339
University special student loan funds	542,959	367,526
United Student Aid loan funds	2,000	2,000
Total University loan funds	642,785	447,865
TOTAL LOAN FUNDS	$ 10,995,252	$ 10,425,856
Endowment Funds:		
Due to other funds and affiliated corporations		$ 1,553
Fund balances	$ 3,708,820	3,418,325
TOTAL ENDOWMENT FUNDS	$ 3,708,820	$ 3,419,878
Plant Funds:		
Unexpended:		
Outstanding encumbrances	$ 14,825,814	$ 12,700,544
Bonds payable	8,367,167	8,376,442
Appropriations-unencumbered balances	10,511,175	13,173,884
Fund balances allocated for construction-renovation	34,978,223	22,911,906
Total unexpended plant funds	68,682,379	57,162,776

University of Kentucky
Balance Sheet
October 31, 1978
With Comparative Figures for 1977-78

ASSETS

	1978-79	1977-78
Renewal and replacements:		
Cash on deposit with Trustees	13,134	21,309
Cash on deposit with State Treasurer	264,764	282,506
Investments held by Trustees	982,266	935,467
Total renewal and replacements	1,260,164	1,239,282
Retirement of indebtedness:		
Cash on deposit with State Treasurer	50,000	50,000
Cash on deposit with Trustees	3,265,562	1,517,214
Investments held by Trustees	43,194,601	44,754,079
Total retirement of indebtedness	46,510,163	46,321,293
Investment in plant:		
Land	17,110,643	16,447,306
Buildings	234,170,867	232,470,067
Equipment	78,556,139	71,033,421
Total investment in plant	329,837,649	319,950,794
TOTAL PLANT FUNDS	$ 446,290,355	$ 424,674,145
Agency Funds:		
Cash in bank		$ 646,253
Accounts Receivable	$ 182,177	
Due from other funds and affiliated corporations	544,603	
Investments short-term	18,000	18,000
TOTAL AGENCY FUNDS	$ 744,780	$ 664,253

University of Kentucky
Balance Sheet
October 31, 1978
With Comparative Figures for 1977-78

LIABILITIES AND FUND BALANCES

	1978-79	1977-78
Renewal and replacements:		
Due to other funds and affiliated corporations	87,560	160,939
Outstanding Encumbrances	119,297	48,512
Fund balances:		
Restricted	822,350	830,000
Unrestricted	230,957	199,831
Total fund balances	1,053,307	1,029,831
Total renewal and replacements	1,260,164	1,239,282
Retirement of indebtedness:		
Bonds payable	32,962,000	33,095,000
Fund balances	13,548,163	13,226,293
Total retirement of indebtedness	46,510,163	46,321,293
Investment in plant:		
Bonds payable	98,320,833	100,464,058
Lease purchase obligation	5,155,000	5,305,000
Net Investment in plant	226,361,816	214,181,736
Total investment in plant	329,837,649	319,950,794
TOTAL PLANT FUNDS	$ 646,290,355	$ 424,674,145
Agency Funds:		
Accounts payable	$ 10,525	
Outstanding Encumbrances	3,969	
Due to other funds and affiliated corporations		$ 220,448
Funds held in custody for others	730,286	443,805
TOTAL AGENCY FUNDS	$ 744,780	$ 664,253

University of Kentucky
Schedule of Changes in Fund Balances-Current Funds
Four Months Ended October 31, 1978

	Unrestricted Allocated	Restricted	Tobacco Research Trust Fund	Hospitals and Clinics	Housing Dining System Funds for Future Operating Purposes	Auxiliary Enterprises
Fund Balances July 1, 1978	$ 17,071,986	$ 4,931,374	$ 1,078,333	$ 8,154,719	$ 288,380	$ 1,101,912
Realized income	83,481,921	1,305,394	1,112,484	13,791,715	4,197,970	1,347,914
Unrealized income	75,531,284	5,175,006	3,247,516	21,454,480	8,596,975	2,497,886
Total estimated income	159,013,205	6,480,400	4,360,000	35,246,195	12,794,945	3,845,800
Less fund balance appropriated	7,242,923					
Net current estimated income	151,770,282	6,480,400	4,360,000	35,246,195	12,794,945	3,845,800
Total available	168,842,268	11,411,774	5,438,333	43,400,914	13,083,325	4,947,712
Current year expenditures/ encumbrances	56,690,254	1,668,408	984,709	9,772,540	4,070,736	1,675,818
Unencumbered balances, appropriations	102,322,951	4,811,992	3,375,291	25,473,655	8,724,209	2,169,982
Total authorized appropriations	159,013,205	6,480,400	4,360,000	35,246,195	12,794,945	3,845,800
Fund Balances October 31, 1978	$ 9,829,063	$ 4,931,374	$ 1,078,333	$ 8,154,719	$ 288,380	$ 1,101,912

University of Kentucky
Summary of Current Revenues and Appropriated Balances
Four Months Ended October 31, 1978
With Comparative Figures for 1977-78

Schedule 3

Fund and Source:	1978-1979 Estimated for the Year	1978-1979 Realized to Date	1978-1979 % Realized to Date	1977-1978 Estimated for the Year	1977-1978 Realized to Date	1977-1978 % Realized to Date
Unrestricted:						
Student fees	$ 21,301,900	$ 11,195,478	53	$ 20,350,829	$ 11,986,277	59
Federal appropriations	10,679,129	3,340,534	31	10,769,042	3,089,798	29
County appropriations	1,787,200	324,240	18	1,577,968	425,920	27
Endowment and trust fund income	177,900	48,517	27	1,131,134	49,466	4
Investment income	1,835,000	510,571	28	1,835,691	91,264	5
Gifts and grants:						
Affiliated corporations	4,661,433	25,997	1	6,739,964	10,375	
Other	580,671	241,396	42	876,022	219,428	25
Sales, services, other income	4,748,894	1,621,368	34	4,233,415	1,370,716	32
Subtotal	45,772,127	17,308,101	38	47,514,065	17,243,244	36
State appropriations	105,998,155	58,930,897	56	88,655,600	49,235,666	56
Fund balances appropriated	7,242,923	7,242,923	100	4,276,712	4,276,712	100
Total unrestricted	159,013,205	83,481,921	52	140,446,377	70,755,622	50
Restricted	6,480,400	1,305,394	20	6,499,874	1,129,797	17
Tobacco Research Trust Fund:						
Receipts	4,360,000	1,112,484	26	3,800,000	1,199,203	32
Fund balances appropriated			—	700,000	700,000	100
Total Tobacco Research Trust Fund	4,360,000	1,112,484	26	4,500,000	1,899,203	42
Hospital and Clinics:						
State appropriations	7,017,145	3,669,029	52	5,179,400	3,127,758	60
Hospital earned income-net	28,229,050	10,122,686	36	25,299,100	8,820,445	35
Fund balances appropriated			—	418,305	418,305	100
Total Hospital and Clinics	35,246,195	13,791,715	39	30,896,805	12,366,508	40
Housing and Dining System	12,794,945	4,197,970	33	11,544,925	3,837,503	33
Auxiliary Enterprises	3,845,800	1,347,914	35	3,490,828	1,276,152	37
TOTAL CURRENT FUNDS AND APPROPRIATED BALANCES	$ 221,740,545	$ 105,237,398	47	$ 197,378,809	$ 91,264,785	46

University of Kentucky
Summary of Current Funds Expenditures
Four Months Ended October 31, 1978
With Comparative Figures for 1977-1978

	1978-1979			1977-1978		
	Appropriation for the Year	Expended Encumbered to Date	% Expended Encumbered to Date	Appropriation for the Year	Expended Encumbered to Date	% Expended Encumbered to Date
Fund or Function:						
Unrestricted						
Departments of instruction and research	$ 61,429,005	$ 21,808,119	36	$ 57,205,819	$ 16,089,256	28
Summer session-1978	1,272,156	1,036,836	82	1,151,694	1,010,460	88
Organized activities	1,521,595	444,593	29	1,382,313	403,497	29
Organized research	13,546,691	5,042,302	37	11,117,465	4,132,746	37
Libraries	5,027,891	1,737,188	35	3,755,638	1,622,710	43
Extension and public service	17,887,205	5,901,195	33	14,794,247	4,750,384	32
Maintenance and operation of plant	13,012,465	4,479,413	34	10,604,100	3,623,097	34
Renovation, office furniture, etc.	4,348,920	1,824,668	42	1,847,300	1,770,315	96
General administration	7,264,629	2,091,092	29	5,708,864	1,883,184	33
Student services	4,661,840	1,513,379	32	4,073,514	1,248,177	31
Staff benefits	13,273,592	1,436,641	11	14,581,105	4,337,231	30
General institutional services	6,963,672	2,542,357	37	6,080,697	2,112,300	35
Service enterprises	221,248	168,309	76	157,642	68,152	43
Debt service cost	5,925,500	5,421,860	92	5,925,500	3,625,022	61
Student aid	1,767,771	817,302	46	1,491,740	689,750	46
Reserves	889,025	425,000	48	568,739	2,200	—
Total unrestricted	159,013,205	56,690,254	36	140,446,377	47,368,481	34

University of Kentucky
Summary of Current Funds Expenditures
Four Months Ended October 31, 1978
With Comparative Figures for 1977-78

Fund or Function:	1978-1979 Appropriation for the Year	1978-1979 Expended Encumbered to Date	1978-1979 % Expended Encumbered to Date	1977-1978 Appropriation for the Year	1977-1978 Expended Encumbered to Date	1977-1978 % Expended Encumbered to Date
Restricted:						
Departments of instruction and research	2,373,717	659,581	28	2,864,022	823,897	29
Organized activities	118,449	38,845	33	90,701	5,595	6
Organized research	242,487	73,040	30	229,582	71,774	31
Libraries	56,977	7,291	13	38,011	4,994	13
Extension and public services	163,384	14,650	9	86,852	23,408	27
General institutional services	638,517	216,567	34	388,498	80,241	21
Student aid	1,696,364	658,434	39	520,052	687,777	132
Reserves	1,190,505			2,282,156		
Total restricted	6,480,400	1,668,408	26	6,499,874	1,697,686	26
Tobacco Research Trust Fund	4,360,000	984,709	23	4,500,000	1,492,733	33
Hospital and Clinics	35,246,195	9,772,540	28	30,896,805	10,027,814	32
Housing and Dining System	12,794,945	4,070,736	32	11,544,925	3,756,444	32
Auxiliary Enterprises	3,845,800	1,675,818	44	3,490,828	1,477,185	42
TOTAL CURRENT FUND EXPENDITURES	$ 221,740,545	$ 74,862,465	34	$ 197,378,809	$ 65,820,343	33

University of Kentucky
Schedule of Short Term Investments
October 31, 1978

	Maturity Value	Cost
Restricted Current Fund:		
Government securities:		
FICB, 7.15%, 1/2/79	$ 300,000	$ 300,000
FHLB, 6.70%, 11/25/80	125,000	125,000
U. S. Treasury Notes, 7.875%, 5/15/86	485,000	485,000
Total government securities		$ 910,000
Certificates of deposit:		
Bank of Lexington, 7.65%, 12/20/78	1,000,000	1,000,000
First Security National Bank & Trust Company, 7.61%, 3/29/79	1,500,000	1,500,000
First Security National Bank & Trust Company, 7.75%, 4/12/79	1,000,000	1,000,000
First Security National Bank & Trust Company, 8.91%, 6/28/79	500,000	500,000
First Security National Bank & Trust Company, 8.91%, 7/25/79	500,000	500,000
First Security National Bank & Trust Company, 9.31%, 10/4/79	1,000,000	1,000,000
Total certificates of deposit		5,500,000
TOTAL RESTRICTED FUNDS		$ 6,410,000
Agency Funds:		
Government securities:		
U. S. Treasury Notes, 7.87%, 5/15/86	$ 15,000	$ 15,000
Certificates of deposit:		
First Security National Bank & Trust Company, 5.5%, 12/2/78	3,000	3,000
TOTAL AGENCY FUNDS		$ 18,000

University of Kentucky
Schedule of Retirement of Indebtedness Funds
For the Four Months Ended October 31, 1978

	Estimated	Realized	% Realized
Source of Funds:			
Unrestricted current funds	$ 5,925,500	$ 5,421,860	92
Housing and dining system funds	1,474,692	5,828	
Auxiliary enterprises current funds	170,959	22,193	13
TOTAL RETIREMENT OF INDEBTEDNESS FUNDS	$ 7,571,151	$ 5,449,881	72

	Appropriated	Expended	% Expended
Debt Service:			
Unrestricted funds debt:			
Consolidated Educational Buildings-Series A	$ 506,775	$ 67,338	13
Consolidated Educational Buildings-Series B	468,807	71,025	15
Consolidated Educational Buildings-Series C	234,496	48,225	21
Consolidated Educational Buildings-Series D	2,445,140	1,071,820	44
Consolidated Educational Buildings-Series E	271,512	135,314	50
Consolidated Educational Buildings-Series F	565,063	237,490	42
Community Colleges Educational Buildings-Series A	846,525	358,799	42
Community Colleges Educational Buildings-Series B	197,350	58,875	30
Community Colleges Educational Buildings-Series C	389,832	148,997	38
Subtotal	5,925,500	2,197,883	37
Housing and Dining System Revenue Bonds-Series A-I	1,474,692	5,828	

University of Kentucky
Schedule of Retirement of Indebtedness Funds
For the Four Months Ended October 31, 1978

	Appropriated	Expended	% Expended
Auxiliary Enterprises:			
Chi Omega	2,725	2,613	96
Alpha Delta Pi	12,733		
Dorms A-F	39,195	3,098	8
Dorms G-L	50,598		
Phi Delta Theta	8,320		
Delta Delta Delta	4,850	4,450	92
Alpha Tau Omega	8,500		
Housing Bonds of 1960	13,750	3,376	25
Student Housing Bonds of 1964	30,288	8,656	29
Subtotal	170,959	22,193	13
TOTAL RETIREMENT OF INDEBTEDNESS FUNDS	$ 7,571,151	$ 2,225,904	29

University of Kentucky
Schedule of Sinking Funds
October 31, 1978

	Total Sinking Fund	Bonds Payable	Fund Balances
Bond Issue with Reserves Fully Funded:			
Housing and Dining System Revenue Bond and Interest Sinking Fund	$ 1,736,802		$ 1,736,802
Consolidated Educational Buildings Project and Interest Sinking Fund:			
Series A	1,002,292		1,002,292
Series B	968,015		968,015
Series C	390,671		390,671
Series D	3,441,435		3,441,435
Series E	394,697		394,697
Series F	955,249		955,249
Student Housing Bond and Interest Sinking Fund of 1964	101,000		101,000
Community College Educational Buildings Project Bond and Interest Sinking Fund:			
Series A	1,283,013		1,283,013
Series B	309,600		309,600
Series C	578,680		578,680
Student Housing Bond and Interest Sinking Fund of 1960	70,804		70,804
Dormitory Revenue Bonds of 1956	50,000		50,000
Total Bond Issues with Reserves Fully Funded	11,282,258		11,282,258
Bonds Fully Funded by Escrow Accounts:			
Keeneland, Cooperstown and Student Union Future Bond and Interest Fund	2,490,977	1,962,000	528,977
Consolidated Educational Series D Refunding Issue:			
Bonds Payable	31,000,000	31,000,000	
Premium on Sale of Bonds	839,150		839,150
Amortization of Discount on Investment	2,068,750		2,068,750
Investment Income	8,278,882		8,278,882
Interest Paid	(9,449,854)		(9,449,854)
Total Series D Refunding Issue	32,736,928	31,000,000	1,736,928
TOTAL SINKING FUNDS	$ 46,510,163	$ 32,962,000	$ 13,548,163

University of Kentucky
Schedule of Renewal and Replacement
For the Four Months Ended October 31, 1978

	Restricted	Unrestricted	Total Fund Balances
Repair and Maintenace Reserves:			
Housing and Dining System	$ 750,000	$ 163,023	$ 913,023
Student Housing Buildings of 1964	42,350		42,350
Student Housing Buildings of 1960	30,000	9,736	39,736
Total repair and maintenance reserves	822,350	172,759	995,109
Renewal and Replacement Funds:			
Housing and Dining Funds		(55,634)	(55,634)
Other Auxiliary Enterprises		113,832	113,832
Total renewal and replacement funds		58,198	58,198
GRAND TOTAL	$ 822,350	$ 230,957	$ 1,053,307

Office of the President
December 12, 1978

FCR 2

Members, Board of Trustees:

DELEGATION AUTHORIZING THE PRESIDENT TO PROVIDE FOR THE ACQUISITION OF REAL PROPERTY NOT EXCEEDING $100,000 IN ESTIMATED VALUE

Recommendation: that the Board of Trustees authorize the President to provide for the acquisition of parcels of real property (within the land use plan approved by the Board of Trustees) which do not exceed an estimated value of $100,000 provided funds are available and budgeted for such acquisition.

Background: Heretofore, the Vice President for Business Affairs and Treasurer has been authorized by the Board to acquire real property needed by the University which did not exceed the appraised fair market value of $75,000 provided funds were available and so budgeted. However, the Commissioner of Finance has now delegated to the staff of the Council on Higher Education the authority to approve land transactions which do not exceed an estimated value of $100,000. Accordingly, the recommended delegation of limited authority to the President will enable the University to complete the acquisition of small parcels of real property without undue delay.

Action taken: Approved XX Disapproved _____ Other _____

Date: December 12, 1978

Office of the President
December 12, 1978

FCR 3

Members, Board of Trustees:

UNIVERSITY INVESTMENTS AND SOUTH AFRICA

Recommendation: That the Board adopt the following policy statement with regard to the University's investments in companies with holdings in South Africa:

The central function of any University is the transmission and acquisition of knowledge. This, however, does not mean that the University can be indifferent to its position in the larger society. We believe that apartheid and the concomitant violation of human rights in South Africa are so reprehensible as to require the University publicly to denounce such policies.

As a further statement against the repressive politics of South Africa, the University announces the following steps with regard to its investment in American companies doing business in South Africa:

1. The University supports and encourages all companies doing business in South Africa to adopt the "Sullivan Principles" (attached) as a means of helping black workers acquire better training, better jobs, and an improved standard of living. While we are not so naive as to believe that the Sullivan Principles can end segregation or unfair and unequal treatment in South Africa, at least they can take a step in insuring equality in the work place.

2. Rather than immediately divest of those stocks the University currently owns in companies which have not adopted the Sullivan Principles, the University takes the position that it can exert a greater influence on those companies to take action to insure equal employment opportunity and better standards of living for its minority workers from within, as a shareholder, than it could as simply a concerned outsider. The University's sale of all such stock would certainly not end apartheid, nor would it even minutely affect the companies concerned, and a good degree of internal leverage would be lost.

3. For the future, the University of Kentucky Board of Trustees will request of its financial manager that steps be taken to phase out of our portfolio those stocks in companies which have not adopted the Sullivan Principles. This, however, is to be done at the appropriate time, so as not to seriously jeopardize the University's endowment value.

We hope the above states clearly our opposition to apartheid, and the steps we have taken regarding our investment policy to demonstrate this stance. It should be pointed out that these actions in no way conflict with the very important fiduciary responsibility of the Board of Trustees. We have chosen to speak out and take concrete action against a social wrong which is antithetical to every freedom upon which American democracy is founded. Yet, at the same time, we, as Trustees, have safeguarded and insured a continued sound investment program to underwrite the system of democratic education which is the primary function of the University.

Action taken: Approved XX Disapproved _____ Other _____

Date: December 12, 1978

SULLIVAN PRINCIPLES

PRINCIPLE I - Non-segregation of the races in all eating, comfort and work facilities.

Each signator of the Statement of Principles will proceed immediately to:

- Eliminate all vestiges of racial discrimination.
- Remove all race designation signs.
- Desegregate all eating, comfort and work facilities.

PRINCIPLE II - Equal and fair employment practices for all employees.

Each signator of the Statement of Priniciples will proceed immediately to:

- Implement equal and fair terms and conditions of employment.
- Provide non-discriminatory eligibility for benefit plans.
- Establish an appropriate comprehensive procedure for handling and resolving individual employee complaints.
- Support the elimination of all industrial racial discriminatory laws which impede the implementation of equal and fair terms and conditions of employment, such as abolition of job reservations, job fragmentation, and apprenticeship restrictions for blacks and other non-whites.
- Support the elimination of discrimination against the rights of blacks to form or belong to government registered unions, and acknowledge generally the right of black workers to form their own union or be represented by trade unions where unions already exist.

PRINCIPLE III - Equal pay for all employees doing equal or comparable work for the same period of time.

Each signator of the Statment of Principles will proceed immediately to:

- Design and implement a wage and salary administration plan which is applied equally to all employees regardless of race who are performing equal or comparable work.
- Ensure an equitable system of job classifications, including a review of the distinction between hourly and salaried classifications.
- Determine whether upgrading of personnel and/or jobs in the lower echelons is needed, and if so, implement programs to accomplish this objective expeditiously.
- Assign equitable wage and salary ranges, the minimum of these to be well above the appropriate local minimum economic living level.

PRINCIPLE IV - Initiation of and development of training programs that will prepare, in substantial numbers, blacks and other non-whites for supervisory, administrative, clerical and technical jobs.

Each signator of the Statement of Principles will proceed immediately to:

- Determine employee training needs and capabilities, and identify employees with potential for further advancement.
- Take advantage of existing outside training resources and activities, such as exchange programs, technical colleges, vocational schools, continuation classes, supervisory courses, and similar institutions or programs.
- Support the development of outside training facilities individually or collectively, including technical centers, professional training exposure, correspondence and extension courses, as appropriate, for extensive training outreach.
- Initiate and expand inside training programs and facilities.

PRINCIPLE V - Increasing the number of blacks and other non-whites in management and supervisory positions.

Each signator of the Statement of Principles will proceed immediately to:

- Identify, actively recruit, train and develop a sufficient and significant number of blacks and other non-whites to assure that as quickly as possible there will be appropriate representation of blacks and other non-whites in the management group of each company.
- Establish management skills of blacks and other non-whites, as appropriate, and improve existing programs and facilities for developing management skills of blacks and other non-whites.
- Identify and channel high management potential blacks and other non-white employees into management development programs.

PRINCIPLE VI - Improving the quality of employees' lives outside the work environment in such areas as housing, transportation, schooling, recreation and health facilities.

Each signator of the Statement of Principles will proceed immediately to:

- Evaluate existing and/or develop programs, as appropriate, to address the specific needs of black and other non-white employees in the areas of housing, health care, transportation and recreation.
- Evaluate methods for utilizing existing, expanded or newly established in-house medical facilities or other medical programs to improve medical care for all non-whites and their dependents.

- Participate in the development of programs that address the educational needs of employees, their dependents and the local community. Both individual and collective programs should be considered, including such activities as literary education, business training, direct assistance to local schools, contributions and scholarships.
- With all the foregoing in mind, it is the objective of the companies to involve and assist in the education and training of large and telling numbers of blacks and other non-whites as quickly as possible. The ultimate impact of this effort is intended to be of massive proportion, reaching millions.

PERIODIC REPORTING

The signator companies of the Statement of Principles will proceed immediately to:

- Utilize a standard format to report their progress to Dr. Sullivan through the independent administrative unit he is establishing on a 6-month basis which will include a clear definition of each item to be reported.
- Ensure periodic reports on the progress that has been accomplished on the implementation of these principles.

FCR 4

A RESOLUTION OF THE BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY (A) RESCINDING IN ITS ENTIRETY AN IDENTIFIED RESOLUTION WHICH WAS ADOPTED AT A MEETING HELD ON JUNE 20, 1978, BECAUSE IT HAS BEEN OVERTAKEN BY EVENTS; (B) ACCEPTING A CERTAIN LOAN AGREEMENT WHICH HAS BEEN TENDERED BY THE UNITED STATES DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT RELATING TO ADDITIONS AND IMPROVEMENTS TO THE UNIVERSITY'S HOUSING AND DINING SYSTEM AND THE ISSUANCE OF HOUSING AND DINING SYSTEM REVENUE BONDS; (C) DETERMINING THAT THERE IS A PRESENT NEED FOR THE IMMEDIATE AUTHORIZATION, PUBLIC SALE AND ISSUANCE OF "UNIVERSITY OF KENTUCKY HOUSING AND DINING SYSTEM REVENUE BONDS," SERIES J AND SERIES K; (D) AUTHORIZING SUCH SERIES J AND SERIES K BONDS, AND PROVIDING FOR THE PUBLIC SALE THEREOF; (E) DETERMINING THAT COMPLIANCE HAS BEEN SHOWN WITH PARITY BOND CONDITIONS SET FORTH IN THE CONTROLLING TRUST INDENTURE; (F) APPROVING THE FORM OF SERIES J AND SERIES K SUPPLEMENTAL TRUST INDENTURE PREPARED AND SUBMITTED BY THE FISCAL AGENT AND BOND COUNSEL; (G) REQUESTING THAT THE STATE PROPERTY AND BUILDINGS COMMISSION APPROVE AND AUTHORIZE THE ISSUANCE OF THE SERIES J AND SERIES K BOND ISSUES, AND THE ISSUANCE BY THE BOARD OF REVENUE BOND ANTICIPATION NOTES FOR INTERIM FINANCING PURPOSES; AND (H) REQUESTING THAT THE STATE PROPERTY AND BUILDINGS COMMISSION TAKE SPECIFIC ACTION, AS IN THE PAST, AUTHORIZING THE INCLUSION IN EACH OF SAID BOND ISSUES OF A COVENANT OF THE COMMONWEALTH TO PAY THE INCREASED COST OF OPERATING AND MAINTAINING THE UNIVERSITY'S HOUSING AND DINING SYSTEM, AS SO ENLARGED, TO THE EXTENT THAT REVENUES OF THE SYSTEM MAY BE INSUFFICIENT FOR THAT PURPOSE AFTER PROVISION IS MADE FROM TIME TO TIME FOR THE PAYMENT OF ALL PRINCIPAL AND INTEREST REQUIREMENTS AND THE ACCUMULATION OF PRESCRIBED RESERVES.

THE BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY DOES HEREBY RESOLVE, AS FOLLOWS:

Section 1. History, Background and Recommendations.

Certain past actions of this Board and of other public bodies and public officers, together with recent developments and recommendations concerning them, are necessary to an understanding of the purposes intended to be accomplished by this Resolution and they are here recited

(A) In 1966 this Board issued its $35,075,000 "University

of Kentucky Housing and Dining System Revenue Bonds," Series A to Series I, Inclusive, pursuant to a Trust Indenture dated as of June 1, 1965, made by this Board with Farmers Bank & Capital Trust Company, Frankfort, Kentucky, as Trustee (hereinafter the "1965 Trust Indenture" or "Indenture"). Since that time this Board has not authorized or issued any additional Series of such Bonds.

(B) In 1977 increased student enrollment gave rise to urgent need and demand for additional student housing facilities at the Main Campus of the University. With authority from the State Property and Buildings Commission, and on an emergency basis, this Board advanced $381,000 from its reserves in the purchase and acquisition of 34 apartment units in Lexington, Kentucky, generally known as the "Linden Walk-Rose Lane Apartments," consisting of three buildings: (i) at 404 Linden Walk, comprising 16 efficiency units, (ii) at 411 Linden Walk, comprising 8 1-bedroom units, and (iii) at 468 Rose Lane, comprising 10 efficiency units; and made a determination that the issuance of another Series of its Housing and Dining System Revenue Bonds pursuant to the 1965 Trust Indenture would be necessary, and that this advance would be reimbursed to this Board from the proceeds of a new Series of such Bonds when the same are issued. It was ascertained upon advice of legal counsel that this Board's statutory authority to finance educational buildings extends to the purchase and acquisition of existing buildings as well as to the erection of new buildings, according to the decision of the Highest Court of the Commonwealth in Morgan v. Fayette County Board

of Education (1943), 172 SW 2d 64, construing statutes which are incorporated by reference into this Board's statutory powers as set forth in KRS 162.350.

(C) The increased demand for additional student housing facilities was not satisfied by the acquisition of the Linden Walk-Rose Lane Apartments. With authority from the Council on Public Higher Education in Kentucky and with the approval of the State Property and Buildings Commission and of the then Secretary of the Executive Department for Finance and Administration, now the Secretary of Finance (hereinafter, the "Secretary"), this Board authorized the undertaking of a project for the construction on the Main Campus of the University at Lexington of 200 apartment-type units of housing designed to accommodate students or married student families, comprising 25 buildings containing 8 apartments each, a building containing laundry facilities, and other necessary appurtenances. The Commonwealth's Division of Purchases publicly solicited the submission of proposals on a competitive basis for the design and construction thereof, including mechanical systems and site improvement, but excluding movable furnishings and fixtures, through a Design-Build Concept commonly referred to as "Turnkey Contracting" under authority of KRS 45.360(11), whereby the Division of Purchases is directed to attempt in every practicable way to insure the supplying of the real needs of the Commonwealth

at the lowest possible cost. Responsive to such solicitation the Division of Purchases received and recommended acceptance of a joint proposal of C. E. Pennington, individually, and C. E. Pennington Company, Inc., a responsible contracting corporation of Lexington, Kentucky, to design and construct such housing buildings and requisite appurtenant facilities (excluding equipment and furnishings) for the fixed sum of $4,850,000 and it has been estimated by the Division of Purchases that the cost of equipment and furnishings will be $650,000. It was urgently required that this Board go forward immediately with the financing of such housing project in order that it might be completed and ready for occupancy at the beginning of the 1979/80 Academic Year in September 1979.

(D) Consistent with a new Federal program for the conservation of energy, the University applied to the United States Department of Housing and Urban Development ("HUD") for a 3% loan to finance the cost of substantial reconstruction of three buildings which constitute parts of the University's Housing and Dining System, contemplating that all windows would be taken out and new thermal windows, together with thermostat control valves, would be installed at a cost, including administrative expense, estimated to be $284,000. The University was notified that funds for this project had been reserved by HUD and a formal application for the issuance of a HUD Loan Agreement was submitted

(E) It was determined by the University's Vice President for Business Affairs, in conjunction with the Secretary and the Fiscal Agent designated by the Secretary, that in order to finance the construction, equipping and furnishing of such new student apartment housing project, to reimburse this Board for the cost of acquiring the Linden Walk-Rose Lane Apartments, to make reasonable and proper provision for unforeseen contingencies, to allow for a discount not to exceed 1-1/2% in the sale of bonds and to cover the cost of issuance of bonds and administrative costs, it was necessary that this Board authorize the issuance of "University of Kentucky Housing and Dining System Revenue Bonds, Series J," to be dated as of June 1, 1978, in the principal amount of $6,325,000. It was recommended that this Board authorize the subsequent issuance of similar revenue bonds, Series K, in the amount of $284,000, for the energy conservation project; leaving the maturity schedule and other details to be supplied, and a public sale thereof to be conducted, by the Executive Committee of this Board, conforming to the anticipated HUD Loan Agreement when received.

(F) Such determinations and recommendations met with the approval of this Board. At a meeting on June 20, 1978,

this Board adopted a certain Resolution implementing the same and it is spread at large in the records of this Board and is identified by its title or caption as follows:

A RESOLUTION OF THE STATE PROPERTY AND BUILDINGS COMMISSION OF KENTUCKY (A) APPROVING AND AUTHORIZING ISSUANCE BY THE BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY OF ITS PROPOSED $6,325,000"UNIVERSITY OF KENTUCKY HOUSING AND DINING SYSTEM REVENUE BONDS, SERIES J," DATED JUNE 1, 1978, TO REIMBURSE TO THE UNIVERSITY THE COST OF PURCHASING AND ACQUIRING THE LINDEN WALK-ROSE LANE APARTMENTS FOR STUDENT HOUSING PURPOSES AND TO PAY THE COST OF CONSTRUCTING, EQUIPPING AND FURNISHING A NEW 200-UNIT APARTMENT-TYPE HOUSING FACILITY ON THE MAIN CAMPUS OF THE UNIVERSITY AT LEXINGTON, KENTUCKY; (B) APPROVING AND AUTHORIZING SAID BOARD'S PROPOSED ISSUANCE OF ITS "HOUSING AND DINING SYSTEM REVENUE BONDS, SERIES K," IN AN AMOUNT PRESENTLY ESTIMATED TO BE $284,000, THE AMOUNT, DATE, MATURITY SCHEDULE AND OTHER DETAILS TO BE ESTABLISHED BY THE BOARD'S STATUTORY EXECUTIVE COMMITTEE TO CONFORM TO A HUD LOAN AGREEMENT, WHEN THE SAME IS RECEIVED, TO PAY THE COST OF SUBSTANTIAL RECONSTRUCTION OF BOYD, PATTERSON AND JEWELL RESIDENTAL HALLS ON THE MAIN CAMPUS OF THE UNIVERSITY; AND (C) SPECIFICALLY RATIFYING, APPROVING AND CONSENTING TO INCLUSION BY THE BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY, IN EACH OF SAID SERIES OF ITS REVENUE BONDS, TO INCLUDE A BINDING AND CONTINUING CONTRACTUAL COVENANT OF THE COMMONWEALTH THAT THE COMMONWEALTH WILL PAY THE COST OF OPERATING AND MAINTAINING THE HOUSING AND DINING SYSTEM TO THE EXTENT THAT THE REVENUES THEREOF MAY AT ANY TIME PROVE TO BE INSUFFICIENT TO PROVIDE FOR SUCH COSTS AFTER FIRST PROVIDING FROM REVENUES FOR THE PAYMENT OF THE PRINCIPAL OF AN INTEREST ON ALL OUTSTANDING "HOUSING AND DINING SYSTEM REVENUE BONDS" AND THE ACCUMULATION OF PROPER RESERVES IN CONNECTION THEREWITH.

(G) Subsequent to the Board's adoption of the Resolution identified in the foregoing paragraph (F) and prior to publication of notices of sale of the Series J Bonds therein authorized, it came to the attention of the Vice President for Business Affairs that a limited amount of new funds had recently been made available to HUD for college housing purposes

at the traditional 3% interest rate, and that HUD was amenable to receiving applications for Loan Agreements for projects qualifying under the applicable eligibility requirements. In view thereof the Vice President for Business Affairs recommended and the President authorized (i) suspension of proceedings for the public offering of the Series J Bonds, and (ii) the filing of a preliminary application to HUD under its new program, and such activities were taken. It was determined by the President that it was necessary to initiate the construction of the new student housing project on an emergency basis in order that the urgently needed accommodations might be made available for the 1979/80 academic year and that certain reserve funds should be advanced to make this possible, pending HUD's action on the University's application. Accordingly, available reserves were earmarked by administrative action, with notations that such reserves would be reimbursed from the proceeds of Housing and Dining System Revenue Bonds, whether issued with or without HUD participation. On this basis, and with approval of the Secretary of Finance, the design and construction contract was duly signed, a work order was issued and construction of the new student housing project is continuing with diligence at this time.

(H) On or about October 3, 1978, the President of the University was notified that a reservation of funds in the

sum of $4,300,000 had been made by HUD for the University's new student housing project. The University promptly filed a supplemental and detailed HUD Application for a formal HUD Loan Agreement and requested that, if not inconsistent with HUD policies and procedures, it be combined with the previously submitted application for the energy conservation loan, in order that this Board might authorize and offer at public sale a single series of its Housing and Dining System Revenue Bonds therefor, while at the same time authorizing and offering on the private market a parallel Series of such Bonds to provide the portion of the cost of the new student housing project not covered by the HUD reservation of funds, and also to reimburse the reserves to which the University has resorted in the purchase of the Linden Walk-Rose Lane student housing facilities.

(I) According to such request of the University, HUD has now tendered a single combined Loan Agreement and it appears to be in order for this Board to (i) accept it by a resolution authorizing the delivery of a signed copy to HUD, (ii) to rescind in its entirety the hereinabove identified Resolution adopted on June 20, 1978, (iii) to authorize at this time this Board's "University of Kentucky Housing and Dining System Revenue Bonds," Series J, in the principal sum of $1,900,000, to provide the University's portions of the costs of the new student housing project, presently under

construction, and to reimburse advances made from reserve funds in the purchase of the Linden Walk-Rose Lane student housing facilities; and to authorize similar Housing and Dining System Revenue Bonds, Series K, in the principal sum of $4,584,000, conforming to the HUD Loan Agreement, (iv) to authorize the execution with Farmers Bank & Capital Trust Company, Frankfort, Kentucky, as Trustee, a "Series J and Series K Supplemental Trust Indenture," evidencing and securing such Series J and Series K Bonds, and submitting to the Trustee evidence showing that the University is in compliance with the parity conditions and restrictions controlling the issuance of such Bonds under the 1965 Trust Indenture, (v) to request certain approvals and authorizations on the part of the State Property and Buildings Commission, (vi) to provide for the offering of such Series J and Series K Bonds at public sale in the immediate future, and (vii) to authorize issuance of Revenue Bond Anticipation Notes, payable from the proceeds of the Series K Bonds, for interim financing purposes.

(J) The President, assisted by the Vice President for Business Affairs, has caused the Fiscal Agent and Bond Counsel to prepare this Resolution, and the form of "Series J and Series K Supplemental Trust Indenture" which is incorporated as a part of this Resolution, and recommends that this Board, upon due and proper review and consideration, approve, adopt and authorize them.

(K) A breakdown of the costs of the undertakings to be financed through application of the proceeds of the Series J Bonds and the Series K Bonds is as follows:

Three Projects: (1) Construction of New Student Housing (HUD Project No. CH-Ky-116(D))
(2) Energy Conservation Reconstruction (HUD Project No. CH-Ky-113(D))
(3) Acquisition of Linden Walk-Rose Lane Apartments (No HUD Participation)

Estimated Project Costs

PROJECT COSTS:

(1)	Construction Contract (CH-Ky-116(D))	$4,600,000
	Architect/Engineer Fees	250,500
	Furnishings and Equipment	650,000
	Government Field Expense	1,500
(2)	Construction Contract (CH-Ky-113(D))	284,000
(3)	Acquisition Cost (Linden Walk-Rose Lane)	381,000

OTHER COSTS:

Bond Discount (Series J only) 1-1/2% Maximum x $1,900,000)	28,500
Interest During Construction (Series J) $1,900,000 - 6 months at 6.75%	64,125
Costs of Issuance of Bonds	36,450
Project Contingencies	187,925
Total Costs	$6,484,000

SOURCES OF FUNDS:

Housing and Dining System Revenue Bonds:	
Series J (No HUD bid)	$1,900,000
Series K (HUD)	4,584,000
	$6,484,000

Section 2. Determination of Actions Required.

This Board hereby determines that the accomplishment of the purposes outlined in Section 1 hereof require at this time:

(A) This Board's approval and acceptance of the Loan Agreement tendered by HUD, this being identified as being for a combination of the energy conservation project (HUD Project No. CH-Ky-113(D)) and the HUD portion of the new student housing project presently under construction (HUD Project No. CH-Ky-116(D)), offering a HUD loan in the aggregate amount of $4,584,000, contemplating authorization by this Board of the Series K Bonds in that amount, to be dated December 1, 1978, and to mature serially in various specified amounts on June 1 in each of the years 1980 to 2018, the same to be serial coupon bonds, of which Bonds Nos. 1 to 4, inclusive, are to be of the denomination of $1,000 and all other bonds are to be of the denomination of $5,000, subject to redemption and other details as set forth in the Loan Agreement; for which Series K Bonds HUD agrees to appear at public sale and make an offer at face amount and with stipulation of a uniform interest rate of 3% per annum; and with further provision that if HUD should become the purchaser at public sale, as is anticipated will be the case, HUD shall have the privilege of receiving one or more bonds in fully registered form without coupons, containing a covenant on the part of this Board that if the owner and holder of any such fully registered bond shall at any time so request, with tender of such bond for surrender and cancellation, this Board will, at its own expense, ussue and deliver in substitution therefor a like principal amount of bonds in coupon form numbered and maturing and otherwise conforming to the provisions hereinafter set

forth in the Series J and Series K Supplemental Trust Indenture;

(B) Authorization at this time of the issuance by this Board of its "Housing and Dining System Revenue Bonds, Series J" (hereinafter the "Series J Bonds"), in the principal amount of $1,900,000 according to the maturity schedule, redemption provisions and other details set forth herein and in the Series J and Series K Supplemental Trust Indenture, to pay costs not payable from the Series K Bonds;

(C) Authorization at this time of the issuance by this Board of its "Housing and Dining System Revenue Bonds, Series K" (hereinafter the "Series K Bonds"), in the principal amount of $4,584,000 according to the maturity schedule, redemption provisions and other details set forth in the HUD Loan Agreement referred to in paragraph (A) hereof, and in this Resolution and in the Series J and Series K Supplemental Trust Indenture; and authorization of issuance by this Board of its Revenue Bond Anticipation Notes for interim financing purposes;

(D) Evidencing the issuance and providing for the security of the Series J Bonds and the Series K Bonds (and Revenue Bond Anticipation Notes) by the execution of a "Series J and Series K Supplemental Trust Indenture" (hereinafter the "Series J and Series K Indenture"), supplemental to the 1965 Trust Indenture, according to the text prepared by Bond Counsel and submitted by the Fiscal Agent, which text has been examined and approved by the Vice President for Business Affairs and recommended for approval, and which text is incorporated in full in Section 16 of this Resolution;

(E) Authorizing the offering of the Series J Bonds and

the Series K Bonds at public sale, after due advertisement as required by law, the same to be offered for sale at the same time, but subject to different terms and conditions as hereinafter set forth; purchase bids to be received and considered upon the occasion of a meeting of this Board, or of its duly authorized statutory Executive Committee, as may be convenient under the circumstances, with specific delegation to said Executive Committee of full power and authority to open, consider and act upon such purchase bids in the event this Board is not scheduled to be in session at the appropriate time;

(F) Establishment of initial rates and charges for occupancy of the new student housing facilities (Project No. CH-Ky-116(D)), by single students and married student families;

(G) Requesting adoption of a Resolution of the State Property and Buildings Commission approving and authorizing all of the actions herein found to be necessary, and hereinafter authorized; and, specifically, consistent with a certain Resolution which was adopted by the State Property and Buildings Commission on the 21st day of August, 1964, ratifying, approving and consenting to this Board's inclusion in the Series J and Series K Supplemental Indenture, incorporated in full in Section 17 of this Resolution, and also in the text of the Series J Bonds and of the Series K Bonds, of a binding and continuing covenant of the Commonwealth that it will pay the cost of operating and maintaining the University's Housing and Dining System, as to be enlarged through the application of proceeds of the Series J and Series K Bonds, to the extent, if

necessary, to supply any deficiency if the Revenues of said System shall at any time prove inadequate to pay the costs of operation and maintenance after the Revenues have first been applied to the transfers and deposits required by the 1965 Trust Indenture to be made from the Revenue Fund into the "University of Kentucky Housing and Dining System Revenue Bond and Interest Sinking Fund Account" (hereinafter the "Sinking Fund"), including transfers and deposits to accumulate and maintain the Debt Service Reserve therein, and transfers and deposits required by the provisions of the 1965 Trust Indenture to be made from the Revenue Fund into the "University of Kentucky Housing and Dining System Repair and Maintenance Reserve" (hereinafter the "Repair and Maintenance Reserve"); and to ratify, approve and consent to evidencing of such binding and continuing contract of the Commonwealth by causing a facsimile signature of the Secretary to appear upon the face of each Bond; provided, however, it is understood, as set forth in the aforesaid August 21, 1964 Resolution of the State Property and Buildings Commission, that the ratification, approval and consent of the State Property and Buildings Commission to such covenant shall not be construed to be a representation that the State Property and Buildings Commission has any power or authority to enter into a contractual covenant or commitment for the Commonwealth that any part of the principal of or interest on any revenue bond (as distinguished from the costs and expenses of operation and maintenance of public properties) will be paid except from the revenues provided and pledged therefor, or from such revenues as

may feasibly be increased or adjusted from time to time without impairing the ability of the University to perform its educational functions in the public interest.

Section 3. Determination That Compliance Has Been Shown With Conditions Precedent to the Issuance of the Series J and Series K Bonds.

This Board hereby finds and determines:

(A) This Board is not in default under the 1965 Trust Indenture;

(B) The Linden Walk-Rose Lane Apartments and the new 200-unit apartment-type student housing project, which are to be financed through application of the proceeds of the Series J and Series K Bonds, are hereby made parts of the University's Housing and Dining System, and the revenues to be derived therefrom shall constitute Revenues of the System for deposit and disposition as in the case of existing Revenues. The housing buildings to be substantially reconstructed through application of a portion of the proceeds of the Series K Bonds are recognized to be parts of the existing Housing and Dining System, and the Revenues thereof are already pledged as provided in the 1965 Trust Indenture;

(C) That the Housing Director of the University, being the officer or employee of the Board who is at this time principally charged with responsibility for the maintenance and repair of the housing and dining buildings and appurtenant facilities comprising

the present facilities of the University's Housing and Dining System, has tendered his Certificate that a physical inspection of the said housing and dining buildings and appurtenant facilities of the System has been made and that the same are found and are represented to be in a good and current state of tenantability and repair, subject to no exceptions other than for current routine matters which are scheduled for attention in the ordinary course of business and for which budget provision has been made; that said Certificate of the Housing Director has been approved by the President of the University as evidenced by his signature appearing thereon; and that said Certificate is hereby approved by this Board as constituting compliance with the requirements of Section 1101(c) of the 1965 Trust Indenture as one of the conditions incident to the issuance of the Series J and Series K Bonds. Said Certificate bearing the endorsement of the President of the University, together with a certified copy of this Resolution, shall be delivered to the Trustee under the 1965 Trust Indenture, and the Trustee is requested to accept the same as constituting compliance with the identified condition of the 1965 Trust Indenture with respect to the issuance of both the Series J Bonds and the Series K Bonds; and

(D) That the Treasurer of the University and of this Board has tendered a statement, approved by the Secretary of Finance, showing that the average of the audited annual Revenues of the Housing and Dining System for the two fiscal years immediately preceding the

proposed issuance of the Series J Bonds and the Series K Bonds, with such adjustments as are permitted by the provisions of the 1965 Trust Indenture, is equal to not less than one and thirty hundredths (1.30) times the maximum amount which will be required in any future fiscal year for payment of the principal of and interest on the Housing and Dining System Revenue Bonds previously issued and now outstanding, together with the Series J and Series K Bonds, it being noted that the Treasurer has attached to such statement the schedules of Revenues and estimated Revenues upon which his conclusion was reached, including a showing that the Treasurer has not taken into account occupancy rates exceeding those which are permitted by the provisions of the 1965 Trust Indenture. This Board hereby approves said statement of the Treasurer, as so approved by the Secretary, and a copy thereof, together with a certified copy of this Resolution, shall be tendered to the Trustee with a request that it be accepted as constituting compliance with the provisions of Section 1101(d) of the 1965 Trust Indenture as an incident to the issuance of both the Series J Bonds and the Series K Bonds.

Section 4. Initial Rates and Charges for Occupancy of Facilities of Project No. CH-Ky-116(D).

Initial rates and charges for occupancy of the facilities of the new 200 apartment-type units of housing (Project No. CH-Ky-116(D)) presently under construction are hereby established as follows: (a) single students $840.00 per student per academic year of two semesters and (b) for married student families $3,180.00 per year of 12 consecutive calendar months, being at the rate of $265.00 per month.

Such initial rates are subject to the Board's covenant that rates and charges for use of the services and facilities of the Housing and Dining System will be adjusted from time to time if necessary to meet the commitments of the Board as set forth in the 1965 Trust Indenture.

Section 5. Approval and Acceptance of the HUD Loan Agreement; A Signed Copy To Be Returned to HUD.

This Board hereby approves and accepts the Loan Agreement tendered by HUD, as identified in paragraph (A) of Section 2 of this Resolution, with all of its terms and conditions, including Exhibits A and B thereto attached and made a part thereof. Two or more copies of said Loan Agreement shall be signed in the name and on behalf of this Board by the Chairman or Vice Chairman and the seal of the Board shall be thereto affixed attested by the Secretary, and one or more copies thereof shall be delivered to HUD as evidence of such approval and acceptance.

Section 6. Authorization of the Series J Bonds.

In order to accomplish purposes hereinbefore set forth, and to implement the determination of required action as set forth in Section 2 of this Resolution, there are hereby authorized to be issued and there shall be issued by this Board as a body corporate and as an educational institution and agency and a political subdivision of the Commonwealth, its "University of Kentucky Housing and Dining System Revenue Bonds, Series J," to be dated as of December 1, 1978, in the principal amount of One Million Nine Hundred Thousand Dollars ($1,900,00

comprising 380 negotiable coupon Bonds in the denomination of $5,000, registrable as to principal only, bearing interest at such rate or rates as may be determined upon the occasion of the public sale as hereinafter provided, which interest to maturity shall be evidenced by appurtenant coupons becoming due on June 1 and December 1 in each year, commencing June 1, 1979; said Bonds to mature as to principal on June 1 of the respective years and to be numbered as shown in the following schedule, each such number to be preceded by the letter "J" for identification:

BONDS NUMBERED (Inclusive)	PRINCIPAL AMOUNT	DATE OF MATURITY
1-3	$ 15,000	June 1, 1980
4-7	20,000	June 1, 1981
8-11	20,000	June 1, 1982
12-15	20,000	June 1, 1983
16-19	20,000	June 1, 1984
20-23	20,000	June 1, 1985
24-30	35,000	June 1, 1986
31-41	55,000	June 1, 1987
42-49	40,000	June 1, 1988
50-60	55,000	June 1, 1989
61-72	60,000	June 1, 1990
73-78	30,000	June 1, 1991
79-87	45,000	June 1, 1992
88-92	25,000	June 1, 1993
93-103	55,000	June 1, 1994
104-108	25,000	June 1, 1995
109-114	30,000	June 1, 1996
115-123	45,000	June 1, 1997
124-128	25,000	June 1, 1998
129-141	65,000	June 1, 1999
142-160	95,000	June 1, 2000
161-178	90,000	June 1, 2001
179-196	90,000	June 1, 2002
197-214	90,000	June 1, 2003
215-232	90,000	June 1, 2004
233-250	90,000	June 1, 2005
251-290	200,000	June 1, 2006
291-333	215,000	June 1, 2007
334-380	235,000	June 1, 2008

Section 7. Authorization of the Series K Bonds.

In order to accomplish purposes hereinabove set forth and to implement the determination of required action as set forth in paragraph (C) of Section 2 of this Resolution, there are hereby authorized to be issued and there shall be issued by this Board as a body corporate and as an educational institution and agency and a political subdivision of the Commonwealth, its "University of Kentucky Housing and Dining System Revenue Bonds, Series K," to be dated as of December 1, 1978, in the principal amount of Four Million Five Hundred Eighty-four Thousand Dollars ($4,584,000), to be offered at public sale as comprising 920 negotiable coupon Bonds, registrable as to principal only, of which Bonds Nos. K-1 to K-4, inclusive, shall be in the denomination of $1,000 and the Bonds numbered K-5 and upwards are to be in the denomination of $5,000, bearing interest at such rate or rates as may be determined upon the occasion of the public sale as hereinafter provided, which interest to maturity shall be evidenced by appurtenant coupons becoming due on June 1 and December 1 in each year, commencing June 1, 1979; said Bonds to mature as to principal on June 1 of the respective years and to be numbered as shown in the following schedule, each such number to be preceded by the letter "K" for identification:

BONDS NUMBERED (Inclusive)	PRINCIPAL AMOUNT	DATE OF MATURITY
1-4 ($1,000)		
5-16 ($5,000)	$ 64,000	June 1, 1980
17-29	65,000	June 1, 1981
30-42	65,000	June 1, 1982
43-56	70,000	June 1, 1983

BONDS NUMBERED (Inclusive)	PRINCIPAL AMOUNT	DATE OF MATURITY
57-70	$ 70,000	June 1, 1984
71-85	75,000	June 1, 1985
86-100	75,000	June 1, 1986
101-116	80,000	June 1, 1987
117-132	80,000	June 1, 1988
133-148	80,000	June 1, 1989
149-165	85,000	June 1, 1990
166-182	85,000	June 1, 1991
183-200	90,000	June 1, 1992
201-219	95,000	June 1, 1993
220-238	95,000	June 1, 1994
239-258	100,000	June 1, 1995
259-278	100,000	June 1, 1996
279-299	105,000	June 1, 1997
300-321	110,000	June 1, 1998
322-343	110,000	June 1, 1999
344-366	115,000	June 1, 2000
367-390	120,000	June 1, 2001
391-414	120,000	June 1, 2002
415-439	125,000	June 1, 2003
440-465	130,000	June 1, 2004
466-491	130,000	June 1, 2005
492-518	135,000	June 1, 2006
519-546	140,000	June 1, 2007
547-575	145,000	June 1, 2008
576-605	150,000	June 1, 2009
606-636	155,000	June 1, 2010
637-668	160,000	June 1, 2011
669-701	165,000	June 1, 2012
702-735	170,000	June 1, 2013
736-770	175,000	June 1, 2014
771-806	180,000	June 1, 2015
807-843	185,000	June 1, 2016
844-881	190,000	June 1, 2017
882-920	195,000	June 1, 2018

and with provision that if on the occasion of the public sale of the Series K Bonds the same are awarded to HUD, then, at HUD's request, said Series K Bonds may be issued as one or more fully registered Bonds without coupons in the form of "Bond in Fully Registered Form" which is set forth in the Series J and Series K Supplemental Indenture hereinafter incorporated as a part hereof.

Section 8. Redemption Provisions Applicable to Series J and Series K Bonds.

The Series J Bonds and the Series K Bonds shall be subject to redemption through application of the proceeds of insurance, in the event of damage or destruction of properties constituting parts of the Housing and Dining System, as provided in the 1965 Trust Indenture.

Otherwise the Series J Bonds and the Series K Bonds maturing on and prior to June 1, 1989, shall not be subject to redemption. The Series J Bonds and the Series K Bonds maturing on and after June 1, 1990, shall each be subject to redemption at the option of this Board on June 1, 1989, or on any interest payment date thereafter, each of said Series as a whole or from time to time in part in the inverse order of their maturities (less than all of a single maturity to be selected by lot) upon payment of the principal amount so redeemed and all accrued interest represented by interest coupons maturing on and prior to the redemption date at the following redemption prices which are expressed as a percentage of the principal amount of each Bond so redeemed (or of the corresponding installment of principal of a Bond issued in fully registered form):

Period (both dates inclusive)	Redemption Price
June 1, 1989 through December 1, 1993	3%
June 1, 1994 through December 1, 1998	2-1/2%
June 1, 1999 through December 1, 2003	2%
June 1, 2004 through December 1, 2008	1-1/2%
June 1, 2009 through December 1, 2013	1%
June 1, 2014 or thereafter	0%

Notice of any such intended redemption shall be given at the time and in the manner set forth in Section 804 of the 1965 Trust Indenture.

Section 9. Medium of Payment; Places of Payment; Provisions for Registration; Other Details.

Both principal of and interest on the Series J Bonds and the Series K Bonds shall be payable, without deduction for exchange or collection charges, in any coin or currency which on the respective dates of payment of principal and interest is legal tender for the payment of debts due the United States of America, but only out of the Sinking Fund and out of the Revenues of the Housing and Dining System pledged to be set aside and deposited therein as provided in the 1965 Trust Indenture.

The Series J and Series K Bonds issued in coupon form shall be payable as to both principal and interest at the office of the Trustee, or, at the option of the holders thereof, at the principal office of Chemical Bank, in the Borough of Manhattan, City of New York, New York, or at the principal office of The Northern Trust Company, in the City of Chicago, Illinois, hereby designated as Paying Agents.

Principal and interest of the Series K Bonds, if represented by one or more Bonds in fully registered form, shall be payable as set forth in the "Form of Fully Registered Bond" which is set forth in the Series J and Series K Supplemental Trust Indenture hereinafter approved

Provision for the registration as to principal only of the Series J Bonds and the Series K Bonds issued in coupon form, together with other details not herein specifically mentioned, shall be as specified in the "Form of Coupon Bond" as set forth in the Series J and Series K Supplemental Trust Indenture hereinafter approved and incorporated as a part hereof.

Section 10. Transfers and Deposits From the Revenue Fund to the Sinking Fund and Into the Repair and Maintenance Reserve To Be Increased As Provided in the 1965 Trust Indenture.

As a condition required in the 1965 Trust Indenture incident to the issuance of the Series J and Series K Bonds, the transfers and deposits from the Revenue Fund into the Sinking Fund (including the Debt Service Reserve therein) and into the Repair and Maintenance Reserve shall be increased in the manner and to the extent required by the provisions of the 1965 Trust Indenture, and as specifically provided in Section 402 of the Series J and Series K Supplemental Trust Indenture herein approved and incorporated as a part of this Resolution.

Section 11. Series J Bonds and Series K Bonds To Be Offered at Public Sale.

The Series J Bonds and the Series K Bonds shall be offered at public sale at the same time, but upon separate and distinct terms and conditions as hereinafter prescribed. In that connection, a "Notice of Sale of Bonds" shall be published one time not less than

seven (7) days nor more than twenty-one (21) days before the date therein stated for the opening and consideration of purchase bids (i) in a newspaper or newspapers intended to give state-wide notice, to be designated by the Secretary of Finance according to KRS 424.080, and (ii) in The Daily Bond Buyer, a financial newspaper or journal published in New York, New York, and having general circulation among bond buyers. Such public sale shall be upon the occasion of a scheduled meeting of this Board or, if this Board shall not be scheduled to be in session at a time when it is appropriate to receive and consider purchase bids, then upon the occasion of a scheduled or specially called meeting of this Board's statutory Executive Committee, as may be determined to be desirable by the President of the University, acting in conjunction with the Chairman of this Board, or the Chairman of said Executive Committee, as may be appropriate. In the event it is determined that purchase bids shall be considered and acted upon by the statutory Executive Committee of this Board, then such Executive Committee is hereby expressly delegated full power and authority to act in the name and on behalf of this Board in considering and taking action upon such bids as may be received, and any action taken by said Executive Committee in accepting bids or rejecting all bids shall be final and binding and shall not be subject to revision by this Board.

With respect to the Series J Bonds, notice shall be given that bids shall be for cash and for all or none thereof, at a minimum

price of 98-1/2% of face amount, with privilege on the part of bidders to stipulate one or more interest coupon rates of their own choosing, each to be an integral multiple of 1/8 or 1/20 of 1%, with all bonds of a single maturity to bear interest at the same rate and with such other details as may be recommended by the Fiscal Agent to conform to accepted customs and practices and to assure uniformity in bidding. A good faith deposit in the amount of 2% of the face amount of the Series J Bonds shall be required to accompany each bid, the same to be represented by a certified or bank cashier's check payable to the order of the University. The right shall be reserved to reject all bids for any reason deemed appropriate by the Board, or by its Executive Committee, as the case may be; and the right shall be reserved to waive informalities and irregularities in the bidding if deemed by the Board or by its Executive Committee, as the case may be, to be immaterial to the integrity of the bidding process.

With respect to the Series K Bonds, notice shall be given that Bonds of each maturity date shall constitute a bidding unit; that the minimum bid shall be for the first ten units (Bonds maturing in the years 1980/89) and that a bid may include any additional bidding units in consecutive order, up to and

including the entire Series; that the minimum price will be face amount of all Bonds offered to be purchased; interest rates to be specified by each bidder, but average interest cost to the University may not exceed 3% per annum; that an award will be made to the bidder offering to purchase the most consecutive bidding units upon such terms; all other bidding units (the entire Series, if no qualifying bid is received from others) to be awarded to HUD at 3% per annum. Good faith check shall be 2% of the face amount of Bonds offered to be purchased (not applicable to the bid of HUD). The right to reject all bids, and to waive minor irregularities shall be reserved.

Section 12. Approval of "Notice of Sale of Bonds" and of "Official Statement."

The Board hereby approves and authorizes the use of a suggested form of a "Notice of Sale of Bonds" and of an "Official Statement," prepared by the Fiscal Agent and Bond Counsel in conjunction with the University's Vice President for Business Affairs, the same having been reviewed by the President of the University and by this Board's Finance Committee and recommended for approval, and the same having been submitted in advance to the members of this Board

and duly considered, said submitted form of the proposed "Official Statement" is hereby approved, and when printed in final form may be signed by the President of the University or the Chairman of this Board, and shall be disseminated to interested bidders upon request, and by the Fiscal Agent to selected prospective investors known to have been interested in the past in public offerings of the University' revenue bonds.

Section 13. Execution and Authentication of the Series J Bonds and of the Series K Bonds.

The Series J Bonds and the Series K Bonds, when issued, shall be executed in the name and on behalf of this Board in the manner set forth in Section 413 of the 1965 Trust Indenture and shall be authenticated by the Trustee as provided in Section 414 of the 1965 Trust Indenture.

Section 14. Disposition of the Proceeds of the Series J Bonds and of the Series K Bonds.

(A) As to the Series J Bonds.

When the Series J Bonds are delivered to the purchaser or purchasers thereof and the proceeds thereof are received by this Board, the Treasurer of this Board is authorized to make disposition of such proceeds as follows:

(1) The Treasurer shall pay to the Fiscal Agent the amount of its contractual fee; and shall pay to Bond rating agencies their charges for rating the Series J Bonds, if such ratings have been sought;

(2) The Treasurer shall deposit with the Trustee for credit to the Sinking Fund (i) the sum received from the purchaser or purchasers as representing accrued interest on the Series J Bonds from December 1, 1978, to the date of delivery and payment, together with (ii) an additional sum from bond proceeds sufficient to make the aggregate amount deposited with the Trustee for credit to the Sinking Fund equal to the interest which will be due with respect to the Series J Bonds until June 1, 1979; and the Trustee shall apply the aggregate amount so deposited with it in payment of the Series J coupons maturing on June 1, 1979;

(3) The Treasurer shall pay over to himself, as Treasurer of this Board, the sum of $381,000 in reimbursement of the cost of acquiring the Linden Walk-Rose Lane Apartments, and such sum shall be reimbursed to the reserves from which such purchase price was advanced; and

(4) The Treasurer shall deposit the entire remaining balance of the proceeds of the Series J Bonds with the Treasurer of the Commonwealth (the Depository as defined in the 1965 Trust Indenture), to be maintained by the Depository in a separate account hereby created and which shall be designated "University of Kentucky Housing and Dining System Series J and Series K Construction Account" (herein the "Series J and Series K Construction Account"), into which provision is hereinafter made for deposit of the proceeds of the Series K Bonds; and disbursements from such Series J and Series K Construction Account shall be made as hereinafter provided in that connection.

(B) As to the Series K Bonds.

(1) If, as it is anticipated will be the case, the Series K Bonds are awarded to HUD as the best bidder therefor, it is contemplated that HUD will request that the Series K Bonds be issued to it as one or more Bonds in fully registered form without coupons; and in that event HUD will not pay to this Board accrued interest from December 1, 1978, to the date of delivery, but instead the date of delivery will be endorsed on the Payment Record attached to and made a part of each such Bond in fully registered form, and interest on such Bond or Bonds wi accrue only from and after such endorsed date of delivery. In that event the entire proceeds received by this Board from HUD shall be deposited with the above-identified Depository in the Series J and Series K Construction Account.

(2) In the event the Series K Bonds are awarded at public sale to a bidder other than HUD, the same shall be issued as coupon Bonds and in that event, the purchaser will be required to pay at the time of delivery accrued interest on the Series K Bonds from December 1, 1978, to the date of delivery and payment. In such event the Treasurer of this Board shall deposit with the Trustee for credit to the Sinking Fund the amount so received from the purchaser or purchasers as representing accrued interest on the Series K Bonds, and the Trustee shall thereafter apply the same to the payment of coupons appurtenant to the Series K Bonds next becoming due. The Treasurer shall thereupon deposit the entire remaining balance of

the purchase price of the Series K Bonds with the above-identified Depository for credit to the Series J and Series K Construction Account, for disbursement as hereinafter provided in that connection.

Section 15. Disbursements from the Series J and Series K Construction Account.

Disbursements from the Series J and Series K Construction Account shall be made according to such procedures and practices with reference to audit and control as may from time to time be prescribed by the laws of the Commonwealth; and additionally each such disbursement shall be made upon the basis of vouchers approved as provided by law (and by HUD, if HUD shall so require) only for the following purposes:

(a) For the costs of the energy conservation project representing improvements to buildings constituting parts of the Housing and Dining System in accordance with the HUD Loan Agreement; or to the extent such costs may already have been paid, to reimbursement of such costs to any source from which the same may have been advanced, upon the tender of such evidence of the propriety of such advances as may be in accordance with the procedures and practices in connection with audit and control then prescribed by the laws of the Commonwealth (and with the approval of HUD, if HUD shall so require

(b) For the costs of the new 200-unit apartment-type student housing buildings project presently under construction under contract with C. E. Pennington, individually, and C. E. Pennington Company, Inc.

according to the contract heretofore approved, awarded and executed, and according to any change orders with regard thereto which may have been authorized and approved, all according to such procedures and practices with reference to audit and control as may from time to time be prescribed by the laws of the Commonwealth; each such disbursement to be made upon the basis of vouchers approved as provided by law (and as required by HUD, if HUD shall so require); or to reimbursement of any of such costs as may have already been advanced, upon proper authentication of the propriety of such advances, and

(c) Thereafter for the costs of movable furnishings and equipment for the said new 200 unit apartment-type student housing buildings project according to such contract or contracts therefor as may be solicited by the Commonwealth's Division of Purchases and approved as provided by law.

In the event all costs authorized to be disbursed and paid for from the Series J and Series K Construction Account shall be made and such authorized undertakings are completed and paid for in full, and any balance shall yet remain in the Series J and Series K Construction Account, disposition of such excess shall be made as follows:

(i) If the Series K Bonds are awarded to HUD, then in accordance with the Loan Agreement the Board will have the privilege of paying and retiring the Series K Bonds, or corresponding maturities of the Series K Bond issued in fully registered form in inverse order

of maturity, without redemption premium and without regard for the redemption provisions otherwise set forth in the Series K Bonds; and in that event the entire excess so remaining in the Series J and Series K Construction Account shall be applied to the retirement of the Series K Bonds, with proper notation thereof on the Payment Record, if the Series K Bonds are represented by one or more Bonds in fully registered form, or upon surrender of Series K Bonds for cancellation if the same be issued in coupon form.

(ii) In the event the Series K Bonds are awarded at public sale to a purchaser or purchasers other than HUD, then the same will be issued in coupon form and will not be subject to redemption at the option of this Board prior to the first permissible redemption date. In that event any excess remaining in the Series J and Series K Construction Account may, upon order of this Board or by its statutory Executive Committee, be transferred to and deposited in the Repair and Maintenance Reserve as a contribution to the accumulation of the prescribed balance therein, or, if at that time plans shall be under way for the undertaking of additional housing and dining accommodations which are to be made parts of the Housing and Dining System, such excess in said Construction Account may be retained therein for application to the costs thereof.

Section 16. Authorization of Revenue Bond Anticipation Notes for Interim Financing Purposes.

It is recognized and acknowledged that if at public sale the

Series K Bonds are awarded to HUD, then according to the regulations, policies and procedures of HUD the Series K Bonds will not be accepted and paid for until such time as Project No. CH-Ky-116(D) is nearing completion. However, while construction is in progress HUD is willing to make progress advances to the Board of up to 75% of amounts satisfactorily shown to have been expended for proper costs of said project but will require delivery to it, upon the occasion of each advance, of a Revenue Bond Anticipation Note payable as to principal from the proceeds of the Series K Bonds, when received, and as to interest from the Sinking Fund; such Notes to be surrendered and paid when the Series K Bonds are accepted and paid for by HUD. Issuance of such Revenue Bond Anticipation Notes, in any number, is hereby authorized, the same to be in substantially the "Form of Revenue Bond Anticipation Note" as set forth in the Series J and Series K Supplemental Trust Indenture, hereinafter approved and authorized. Each of such Notes shall be executed on behalf of the Board by the Chairman or Vice Chairman and the seal of the Board shall be affixed thereto, attested by the Secretary. The proper officers of the Board are authorized to tender such Notes for authentication by the Trustee and the Trustee is authorized to authenticate the same and return them to the Vice President for Business Affairs for delivery to HUD upon obtaining each advance evidenced thereby.

Section 17. Approval and Authorization of the Series J

and Series K Supplemental Trust Indenture.

The Fiscal Agent has caused Bond Counsel to prepare and there has been submitted to this Board for examination the proposed form of "Series J and Series K Supplemental Trust Indenture," supplemental to the Trust Indenture of June 1, 1965, and, as contemplated therein, evidencing and securing the Series J and the Series K Bonds on a basis of parity and equality as to security and source of payment in all respects with the outstanding and unpaid Bonds of $35,075,000 "University of Kentucky Housing and Dining System Revenue Bonds," Series A to Series I, inclusive, dated June 1, 1965; and it is shown that such form has been approved by the Vice President for Business Affairs. Such form is hereby approved and is incorporated herein, in full, as follows:

Section 16. Effective Date.

This Resolution shall be in full force and effect from and after its adoption.

ADOPTED BY THE BOARD OF TRUSTEES OF UNIVERSITY OF KENTUCKY at a properly convened meeting held on the ____ day of _____, 1978.

(SEAL)

_____
Chairman
Board of Trustees
University of Kentucky

ATTEST:

_____
Secretary

CERTIFICATION

The undersigned, Secretary of the Board of Trustees of the University of Kentucky, hereby certifies that the foregoing is a true copy of a Resolution adopted by said Board of Trustees at a regularly scheduled meeting held on the ____ day of _____, 1978; that notice of said meeting was duly given to each member of the Board of Trustees and to such newspapers, news services, radio stations and television stations as have registered their request that they be given notice of meetings of this Board, all in strict conformity with KRS 61.825; and that said Resolution is now in full force and effect.

WITNESS my hand and the seal of the University of Kentucky, this _____ day of _____, 1978.

_____
Secretary
Board of Trustees
University of Kentucky

(SEAL)

SERIES J AND SERIES K SUPPLEMENTAL TRUST INDENTURE
(Third Supplemental Trust Indenture)

Dated as of December 1, 1978

MADE BY

BOARD OF TRUSTEES OF UNIVERSITY OF KENTUCKY
Lexington, Kentucky

TO

FARMERS BANK & CAPITAL TRUST COMPANY
Frankfort, Kentucky,
As Trustee

EVIDENCING THE ISSUANCE AND PROVIDING
FOR THE SECURITY AND SOURCE OF
PAYMENT OF
UNIVERSITY OF KENTUCKY HOUSING AND DINING
SYSTEM REVENUE BONDS
SERIES J -- $1,900,000
SERIES K -- $4,584,000
ON A BASIS OF PARITY AND EQUALITY AS TO
SECURITY AND SOURCE OF PAYMENT WITH
PREVIOUSLY ISSUED "UNIVERSITY OF KENTUCKY
HOUSING AND DINING SYSTEM REVENUE BONDS,"
SERIES A TO SERIES I, INCLUSIVE

AND

AUTHORIZING ISSUANCE OF REVENUE
BOND ANTICIPATION NOTES FOR
INTERIM FINANCING PURPOSES

SERIES J AND SERIES K
SUPPLEMENTAL TRUST INDENTURE

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SERIES J AND SERIES K
SUPPLEMENTAL TRUST INDENTURE
(Third Supplemental Trust Indenture)

PROVIDING FOR THE SECURITY OF

"UNIVERSITY OF KENTUCKY HOUSING AND DINING SYSTEM
REVENUE BONDS," DATED DECEMBER 1, 1978

SERIES J BONDS $1,900,000
SERIES K BONDS $4,584,000

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

This SERIES J AND SERIES K SUPPLEMENTAL TRUST INDENTURE, which is also the Third Supplemental Trust Indenture, dated as of the first day of December, 1978, made by and between BOARD OF TRUSTEES OF UNIVERSITY OF KENTUCKY, a public body corporate and an educational institution and agency and a political subdivision of the Commonwealth of Kentucky, at Lexington, Kentucky (hereinafter called the "Board"), and FARMERS BANK & CAPITAL TRUST COMPANY, a combined bank and trust 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").

W I T N E S S E T H :

THAT WHEREAS, The Board and the Trustee have heretofore, under the date of June 1, 1965, made and entered into a certain Trust Indenture, a certain Supplemental Trust Indenture and a certain Second Supplemental Trust Indenture (collectively sometimes referred to as the "1965 Indenture," or the "Indenture") for the purpose of providing for the security and source of payment of the Board's "University of Kentucky Housing and Dining System Revenue Bonds" (the "Bonds"), and the Board has heretofore issued pursuant to the 1965 Indenture Bonds in the principal amount of $35,075,000 in various Series designated Series A to Series I, inclusive, all dated as of June 1, 1965; and

WHEREAS, it is provided in Article XII of the 1965 Indenture that the Board and the Trustee may, from time to time and at any time, enter into Supplemental Trust Indentures for enumerated purposes specifically including in subsection (1) of Section 1201 of said Article: "to evidence the issuance of each future Series of Bonds, to provide for the maturities, redemption provisions and other details thereof, and to provide for such adjustments thereafter to be made in the various special funds or accounts herein created, in order to conform to the conditions relating to the issuance of such Series of Bonds;" and

WHEREAS, the Board has delivered to the Trustee a certified copy of a Resolution duly adopted by the Board at a properly convened meeting held on December 12, 1978, wherein and whereby the Board has authorized the issuance, for authorized purposes as provided in the 1965 Trust Indenture, of $ 1,900,000 principal amount of its "University of Kentucky Housing and Dining System Revenue Bonds, Series J," (the"Series J Bonds"), and $ 4,584,000 principal amount of its "University of Kentucky Housing and Dining System Revenue Bonds, Series K," (the"Series K Bonds"), and has delivered to the Trustee evidence demonstrating that the Board is in compliance with all of the conditions set forth in the Indenture precedent to the issuance of such Series J Bonds and Series K Bonds, and in connection therewith has authorized increased transfers and deposits from the "University of Kentucky Housing and Dining System Revenue Bonds Revenue Fund Account" (the Revenue Fund") into the "University of Kentucky Housing and Dining System Revenue Bond and Interest Sinking Fund Account" (the "Sinking Fund"), and into the "University of Kentucky Housing and Dining System Repair and Maintenance Reserve" (the "Repair and Maintenance Reserve"), all in a manner and in amounts strictly conforming to the requirements of the Indenture; and

WHEREAS, the said Series J Bonds and Series K Bonds are about to be publicly sold and issued and it is the purpose of the Board and the Trustee that this Series J and Series K Supplemental Trust Indenture evidence the issuance thereof and provide for the security and source of payment thereof upon a basis of parity and equality as to the security and source of payment, and otherwise in all respects, with the aforesaid previously issued and outstanding Bonds of Series A to Series I, inclusive, and on a basis of parity and equality as to security and source of payment with any future Series of such Bonds as may be authorized and issued in compliance with the conditions and restrictions set forth in that connection in the 1965 Indenture; and also to provide for the issuance of Revenue Bond Anticipation Notes for interim financing purposes;

NOW, THEREFORE, in consideration of the foregoing and of the sum of $1.00 cash in hand paid by the Trustee to the Board, the receipt of which is hereby acknowledged, and to evidence the issuance and security of the Series J Bonds and the Series K Bonds on a basis of parity and equality with the previously issued Bonds of Series A to Series I, inclusive, as aforesaid, the Board and the Trustee hereby agree, as follows:

ARTICLE I

Definitions

As used in this Series J and Series K Supplemental

Trust Indenture, the words and phrases defined in Article I, Section 101 of the 1965 Trust Indenture, shall have the same meanings therein defined except in that (i) certain of the words and phrases so defined in the Indenture have been overtaken by events which now require substitution and clarification and (ii) certain new definitions are necessarily to be added to accommodate to the issuance of the Series J Bonds and the Series K Bonds, as follows:

(a) "1965 Trust Indenture" -- means the original Trust Indenture made by the Board and the Trustee as of June 1, 1965, and includes the Supplemental Trust Indenture and the Second Supplemental Trust Indenture made by the Board and the Trustee as of June 1, 1965, in amendment or completion of details of the original Trust Indenture prior to the issuance of any Bonds thereunder.

(b) "HHFA" -- was defined in the 1965 Trust Indenture as meaning the Housing and Home Finance Agency of the United States, and it is now recognized and acknowledged that said agency has been succeeded as a matter of law by the United States Department of Housing and Urban Development, with the result that all references in the 1965 Trust Indenture to "HHFA" should now be understood to mean and refer to said United States Department of Housing and Urban Development, which will hereinafter be referred to as "HUD."

(c) "HUD" -- means the United States Department of Housing and Urban Development, including all references to its predecessor, the Housing and Home Finance Agency of the United States.

(d) "Commissioner of Finance" or "Commissioner" -- was defined in the 1965 Trust Indenture as meaning the Commissioner of Finance of the Commonwealth of Kentucky and each and every officer of the Commonwealth who might thereafter be authorized to exercise powers and authority

similar to those vested at that time in said Commissioner, and each and every Deputy Commissioner or other similar officer authorized by law to exercise the power and authority then vested by law in said Commissioner. It is hereby recognized and acknowledged that by a reorganization of the government of the Commonwealth, and by Executive Order of the Governor of the Commonwealth, the present officer succeeding to the powers of the Commissioner is the Secretary of the Department of Finance.

(e) "Secretary of the Department of Finance," or "Secretary of Finance," -- refers to the officer holding that title in the government of the Commonwealth of Kentucky, as presently organized, and successors in that office, and each and every officer of the Commonwealth who may hereafter be authorized to exercise powers and authority similar to those vested at this time in said Secretary, and each and every Deputy or Assistant or other similar officer authorized by law to exercise the powers and authority thereof; and where clearly so indicated by the context the title "Secretary" shall mean and refer to said officer.

(f) "Secretary" may herein be used, as the context may indicate, to mean either (i) the Secretary of the Department of Finance of the Commonwealth, or (ii) the Secretary of the Board.

(g) "Series J Bonds," and Series K Bonds" -- mean and refer, respectively, to the Series J Bonds and Series K Bonds evidenced and secured by this Series J and Series K Supplemental Trust Indenture on a basis of parity and equality as to security and source of payment with the Bonds, and with any future Series of Bonds as may be issued pursuant to the restrictions and conditions set forth in that connection in the Indenture.

(h) "Revenue Bond Anticipation Notes" -- refers to Notes issued under authority of KRS 56.513 which are payable as to principal solely from the proceeds of the Series K Bonds when delivered and paid for; and as to interest from the System Sinking Fund, as hereinafter provided.

ARTICLE II

Recitals

Section 201. The Trustee acknowledges that it has received from the Board the following documentation conforming

to the conditions prescribed in the Indenture in connection with the issuance of the Series J Bonds and the Series K Bonds:

(1) A copy, certified by the Secretary of the Board, of a Resolution shown to have been adopted by the Board at a properly convened meeting held on December 12, 1978, authorizing issuance of the Series J Bonds in the principal amount of $1,900,000, and the Series K Bonds in the principal amount of $4,584,000, prescribing the principal maturities thereof, redemption provisions applicable thereto, the places where principal and interest will be payable, and other requisite details, all as hereinafter set forth, and authorizing increased transfers and deposits from the Revenue Fund into the Sinking Fund and into the Repair and Maintenance Reserve, all in conformity with the applicable provisions of the Indenture incident to the issuance of the Series J Bonds, and the Series K Bonds, as parity Bonds; and authorizing Revenue Bond Anticipation Notes for interim financing purposes;

(2) Evidence, authenticated in a manner satisfactory to the Trustee, that the construction and financing of the new 200-unit apartment-type student housing buildings and appurtenant facilities, designated to be financed through application of a part of the proceeds of the Series J Bonds and Series K Bonds has been approved by the Council for Public Education in Kentucky as presently required by law;

(3) Evidence that the construction project identified in paragraph (2) above has been made the subject of a valid existing contract, accompanied by a payment bond and a completion bond, each with good corporate surety;

(4) A copy, duly certified, of a Resolution shown to have been adopted by the State Property and Buildings Commission approving and authorizing the issuance of the Series J Bonds and the Series K Bonds; the issuance of Series K Revenue Bond Anticipation Notes for interim financing purposes; and the execution of this Series J and Series K Supplemental Trust Indenture and, specifically, ratifying, approving and consenting to a binding and continuing contractual commitment of the Commonwealth that it will pay the cost of operating and maintaining the Housing and Dining System, as enlarged, if necessary, but only to the extent that the Revenues of the System shall at any time be insufficient for that purpose after first providing for payment of the outstanding

Bonds and interest thereon, and accumulation and maintenance of the Repair and Maintenance Reserve in the prescribed amounts; including ratifying, approving and consenting to reproduction of the facsimile signature of the Secretary of the Department of Finance upon each Series J Bond and Series K Bond in evidence thereof;

(5) Evidence satisfactory to the Trustee, as set forth in the Board's Resolution referred to in paragraph (1) hereof, that (i) the Linden Walk-Rose Lane Apartments and the aforesaid new 200-unit apartment-type student housing buildings and appurtenant facilities, to be paid for through application of the proceeds of the Series J Bonds and the Series K Bonds, have been duly made parts of the Housing and Dining System and that the revenues thereof have been pledged as Revenues of the said System for the security and source of payment of the Bonds, and (ii) that the Board is not in default under the covenants and conditions on its part to be performed under the 1965 Trust Indenture;

(6) Evidence that the Board has established initial rates and charges for occupancy and use of the facilities of the new 200-unit apartment-type student housing project (Project No. CH-Ky-116(D)) from and after the completion thereof and subject to adjustment as provided in the 1965 Trust Indenture.

(7) A certificate of the Housing Director of the Board and of the University, being the officer or employee of the Board principally charged with responsibility for the maintenance and repair of the facilities of the System, showing that a physical inspection of the facilities of the System has been made and that the same are found and represented to be in a good and current state of tenantability and repair subject to no exceptions other than for routine matters regularly scheduled to be corrected and for which budget provisions are adequate; said statement of the Housing Director being approved by the President of the University and by Resolution of the Board in conformity with Section 1101(c) of the 1965 Trust Indenture; and

(8) A statement made by the Vice President for Business Affairs and Treasurer of the Board, approved by the Secretary of Finance, showing that the average of the audited annual Revenues of the System for the two fiscal years immediately preceding the issuance of the Series J Bonds and the Series K Bonds, with the adjustments authorized and permitted by the 1965 Trust Indenture, and based upon assumed occupancy not in excess of that permitted by the 1965 Trust

Indenture, is equal to not less than one and thirty hundredths (1.30) times the maximum amount which will be required in any future fiscal year for payment of the principal of and interest on the outstanding Bonds of Series A to Series I previously issued under the 1965 Trust Indenture and of the Series J Bonds and the Series K Bonds, to which statement are attached certain schedules upon which said conclusion was based. The statement shows the Board is not in default under the 1965 Trust Indenture.

Section 202. The Trustee finds the evidence so submitted to it by the Board, as listed in Section 201 hereof, to be proper evidence that the Board is in compliance with all conditions set forth in the 1965 Trust Indenture incident to the issuance of the Series J Bonds and the Series K Bonds on a basis of parity and equality as to security and source of payment with the previously issued and outstanding Bonds of Series A to Series I, inclusive; and agrees that the Series J Bonds and the Series K Bonds, when publicly sold, executed on behalf of the Board, authenticated by the Trustee, and delivered upon payment of the respective purchase prices therefor, will be so secured.

ARTICLE III

Authorization of the Series J Bonds and the Series K Bonds Pursuant to the 1965 Trust Indenture and this Series J and Series K Supplemental Trust Indenture; Numbers; Denominations Maturity Schedules; Redemption Provisions; Places of Payment; Forms

Section 301. Acknowledgement of Authorization. It is recognized and acknowledged that the Board has authorized the

issuance of Series J Bonds in the principal amount of $ 1,900,000, and of Series K Bonds in the principal amount of $ 4,584,000 ; has ordered that all of the Series J Bonds and Series K Bonds be dated as of December 1, 1978; and has prescribed the requisite details thereof as set forth in this Series J and Series K Supplemental Trust Indenture.

Section 302. Characterization, Respectively, of Series J Bonds and of the Series K Bonds.

(A) The Series J Bonds shall be issued and issuable as negotiable, serial, coupon Bonds, registrable as to principal only, substantially according to the "FORM OF COUPON BOND" set forth in Section 309(A) hereof, with such insertions, variations and substitutions as may be appropriate to conform to the provisions and details herein and hereinafter set forth.

(B) The Series K Bonds shall be issued and issuable either (1) as negotiable, serial, coupon Bonds, registrable as to principal only, substantially according to the "FORM OF COUPON COUPON BOND" set forth in Section 309(A) hereof, or (ii) as one or more fully registered Bonds without coupons, substantially according to the "FORM OF FULLY REGISTERED BOND" set forth in Section 309(B) hereof; with privileges of substitution and exchange as prescribed in that connection; in each instance with such insertions, variations and substitutions as may be appropriate to conform to the provisions and details herein and hereinafter set forth.

Section 303. Denominations; Maturities of Principal; Numbering.

(A) The Series J Bonds shall each be in the denomination of $5,000.

(B) Series K Coupon Bonds Nos. 1 to 4, inclusive, shall be in the denomination of $1,000; otherwise the Series K Coupon Bonds shall each be in the denomination of $5,000.

(C) Coupon Bonds of Series J and of Series K shall mature as to principal, respectively, and corresponding installments of principal of Series K Bonds issued in Fully Registered Form shall mature, as shown in the respective tables hereinafter set forth.

(D) Coupon Bonds of Series J shall be numbered from 1 upwards, in order of maturities, and each number shall be preceded by the letter J, for identification.

Coupon Bonds of Series K shall be numbered from 1 upwards, and each number shall be preceded by the letter K, for identification.

Series K Bonds issued in Fully Registered From shall be numbered from 1 upwards, and each number shall be preceded by the letter K, for identification.

(E) Principal maturities of the Series J Bonds, and the numbers thereof (each preceded by the letter J) shall be as follows:

Bonds Numbered (Inclusive)	Principal Amount	Date of Maturity
1-3	$ 15,000	June 1, 1980
4-7	20,000	June 1, 1981
8-11	20,000	June 1, 1982
12-15	20,000	June 1, 1983
16-19	20,000	June 1, 1984
20-23	20,000	June 1, 1985
24-30	35,000	June 1, 1986
31-41	55,000	June 1, 1987
42-49	40,000	June 1, 1988
50-60	55,000	June 1, 1989
61-72	60,000	June 1, 1990
73-78	30,000	June 1, 1991
79-87	45,000	June 1, 1992
88-92	25,000	June 1, 1993
93-103	55,000	June 1, 1994
104-108	25,000	June 1, 1995
109-114	30,000	June 1, 1996
115-123	45,000	June 1, 1997
124-128	25,000	June 1, 1998
129-141	65,000	June 1, 1999
142-160	95,000	June 1, 2000
161-178	90,000	June 1, 2001
179-196	90,000	June 1, 2002
197-214	90,000	June 1, 2003

Bonds Numbered (Inclusive)	Principal Amount	Date of Maturity
215-232	$ 90,000	June 1, 2004
233-250	90,000	June 1, 2005
251-290	200,000	June 1, 2006
291-333	215,000	June 1, 2007
334-380	235,000	June 1, 2008

(F) Principal maturities of the Series K Coupon Bonds, and the numbers thereof, each preceded by the letter K (and corresponding instalments of principal of Series K bonds issued in Fully Registered Form, without numbers) shall be as follows:

Bonds Numbered (Inclusive)	Principal Amount	Date of Maturity
1-4 ($1,000)		
5-16 ($5,000)	$ 64,000	June 1, 1980
17-29	65,000	June 1, 1981
30-42	65,000	June 1, 1982
43-56	70,000	June 1, 1983
57-70	70,000	June 1, 1984
71-85	75,000	June 1, 1985
86-100	75,000	June 1, 1986
101-116	80,000	June 1, 1987
117-132	80,000	June 1, 1988
133-148	80,000	June 1, 1989
149-165	85,000	June 1, 1990
166-182	85,000	June 1, 1991
183-200	90,000	June 1, 1992
201-219	95,000	June 1, 1993
220-238	95,000	June 1, 1994
239-258	100,000	June 1, 1995
259-278	100,000	June 1, 1996
279-299	105,000	June 1, 1997
300-321	110,000	June 1, 1998
322-343	110,000	June 1, 1999
344-366	115,000	June 1, 2000
367-390	120,000	June 1, 2001
391-414	120,000	June 1, 2002
415-439	125,000	June 1, 2003
440-465	130,000	June 1, 2004
466-491	130,000	June 1, 2005
492-518	135,000	June 1, 2006
519-546	140,000	June 1, 2007
547-575	145,000	June 1, 2008
576-605	150,000	June 1, 2009
606-636	155,000	June 1, 2010

Bonds Numbered (Inclusive)	Principal Amount	Date of Maturity
637-668	$160,000	June 1, 2011
669-701	165,000	June 1, 2012
702-735	170,000	June 1, 2013
736-770	175,000	June 1, 2014
771-806	180,000	June 1, 2015
807-843	185,000	June 1, 2016
844-881	190,000	June 1, 2017
882-920	195,000	June 1, 2018

Section 304. Interest Payment Dates; How Paid.

Interest on the Series J Bonds and on the Series K Bonds, shall be payable on June 1 and December 1 in each year until payment of principal, the first interest payment to be on June 1, 1979.

With respect to the Series J Bonds, and to such of the Series K Bonds as may be issued in coupon form, such interest from date of the Bonds to their respective dates of maturity shall be evidenced by appurtenant coupons, numbered in consecutive numerical order from 1 upwards, the first coupon appurtenant to each Bond to mature on June 1, 1979.

When interest is evidenced by coupons, payment shall be made only upon surrender of the coupons.

With respect to such of the Series K Bonds as may be issued in Fully Registered Form, semi-annual interest shall be paid by check, each such check to be mailed to the Registered Holder at the address shown on the Registration Record in time to be received by the Registered Holder on the appropriate interest due date.

Section 305. Medium of Payment of Principal and Interest; No Deduction for Exchange or Collection Charges.

The principal of and interest on the Series J Bonds and the Series K Bonds shall be paid in any coin or currency which on the respective payment dates shall be legal tender for the payment of debts due to the United States of America.

Each payment of principal and interest to holders or registered owners of the Series J Bonds and the Series K Bonds, and to the holders of appurtenant interest coupons, if any, shall be in the full amount stated to be due and payable, without deductions for exchange or collection charges.

Section 306. Interest Rates.

The Series J Bonds and the Series K Bonds shall bear interest from December 1, 1978, at such rate or rates, respectively, as may be established by the Board, or by its statutory Executive Committee if such authority is delegated to it by the Board, upon the occasion of the public competitive sales thereof, and such rate or rates shall be certified to the Trustee by the Board or by its statutory Executive Committee as the case may be. The Trustee is authorized to accept and rely upon such certifications in its authentication of the respective Bonds.

Section 307. Places of Payment.

(A) Coupon Bonds not Registered.

Both principal of and interest on Series J Coupon Bonds and Series K Coupon Bonds, while not registered, shall be payable at the option of the respective holders of the Bonds and Coupons, at the principal office of the Trustee or at the principal offices of either of the Paying Agents, Chemical Bank in the Borough of Manhattan, City of New York, New York, and The Northern Trust Company, in the City of Chicago, Illinois.

(B) Coupon Bonds Registered.

Principal of Series J Coupon Bonds and Series K Coupon Bonds, if registered otherwise than to bearer, shall be payable only at the principal office of the Trustee, which was designated in the 1965 Bond Indenture as the Bond Registrar.

Interest on Series J Coupon Bonds and Series K Coupon Bonds shall be payable at the principal office of the Trustee or of either of the Paying Agents, whether or not the Bonds are registered.

(C) Series K Bonds Issued in Fully Registered Form.

The principal of and interest on such Series K Bonds as may be issued in Fully Registered Form shall be payable,

in the manner and at the place or places, as provided in the FORM OF FULLY REGISTERED BOND as set forth in Section 309(B) hereof.

Section 308. Redemption Provisions.

(A) The Series J Bonds and the Series K Bonds shall be subject to redemption through application of the proceeds of insurance in the event of damage or destruction of properties constituting parts of the System as provided in the 1965 Trust Indenture.

(B) Otherwise than as provided in the foregoing paragraph (A) of this Section, Series J Coupon Bonds maturing on and prior to June 1, 1989, shall not be subject to redemption prior to stated maturities. The Series J Coupon Bonds maturing on and after June 1, 1990, shall be subject to redemption at the option of the Board on June 1, 1989, or on any interest payment date thereafter, as a whole, or from time to time in part in the inverse order of their maturities (less than all of a single maturity to be selected by lot), upon payment of the principal amount of each Bond so redeemed and all accrued interest represented by interest coupons maturing on and prior to the redemption date, at the following redemption prices which are expressed as a percentage of the principal amount of each Bond so redeemed:

Period (both dates inclusive)	Redemption Price
June 1, 1989 through December 1, 1993	3%
June 1, 1994 through December 1, 1998	2-1/2%
June 1, 1999 through December 1, 2003	2%
June 1, 2004 through December 1, 2008	1-1/2%
June 1, 2009 through December 1, 2013	1%
June 1, 2014 or thereafter	0%

(C) Otherwise than as provided in the foregoing paragraph (A) of this Section, the Series K Coupon Bonds maturing on and prior to June 1, 1989, shall not be subject to redemption prior to the stated maturities. The Series K Coupon Bonds maturing on and after June 1, 1990, shall be subject to redemption at the option of the Board on June 1, 1989, or on any interest payment date thereafter, as a whole, or from time to time in part in the inverse order of their maturities (less than all of a single maturity to be selected by lot), upon payment of the principal amount of each Bond so redeemed and all accrued interest represented by interest coupons maturing on and prior to the redemption date, at the following redemption prices which are expressed as a percentage of the principal amount of each Bond so redeemed:

Period (both dates inclusive)	Redemption Price
June 1, 1989 through December 1, 1993	3%
June 1, 1994 through December 1, 1998	2-1/2%
June 1, 1999 through December 1, 2003	2%
June 1, 2004 through December 1, 2008	1-1/2%
June 1, 2009 through December 1, 2013	1%
June 1, 2014 or thereafter	0%

(D) Otherwise than as provided in the foregoing paragraph (A) of this Section, installments of principal of Series K Bonds issued in fully registered form maturing on and prior to June 1, 1989, shall not be subject to redemption prior to stated maturities. Installments of principal of such Series K Bonds shall be subject to redemption as set forth in that connection in the FORM OF FULLY REGISTERED BOND set forth in Section 309(B) hereof.

(E) Notice of any such redemption shall be given at the time and in the manner set forth in Section 804 of ARTICLE EIGHT of the 1965 Trust Indenture.

Section 309. Forms; Coupon Bond; Fully Registered Bond.

(A) Bonds Issued in Coupon Form.

The Series J Coupon Bonds, the Series K Coupon Bonds, appurtenant coupons, the Certificate of the Secretary of the Department of Finance to appear thereon, the Trustee's Authentication Certificate, and provisions for registration shall be substantially in the following forms with such insertions, variations, and substitutions as are appropriate in each instance:

(FORM OF COUPON BOND)

UNITED STATES OF AMERICA
COMMONWEALTH OF KENTUCKY
UNIVERSITY OF KENTUCKY
HOUSING AND DINING SYSTEM REVENUE BOND
SERIES __

Number _____ $_____

The Board of Trustees of the University of Kentucky

(the "Board"), a public body corporate, and an Educational Institution and Agency and Political Subdivision of the Commonwealth of Kentucky, at Lexington, Fayette County, Kentucky, for value received, hereby promises to pay, solely from the special fund provided therefor as hereinafter set forth, to the bearer, or if this Bond be registered to the registered owner hereof as hereinafter provided, the principal sum of Five Thousand Dollars ($5,000)* on the first day of June, ____, and to pay, solely from said special fund, interest thereon from the date hereof until payment of principal at the rate of ____ per centum (____%) per annum, such interest being payable on June 1 and December 1 of each year, commencing June 1, 1979, except as the provisions hereinafter set forth with respect to prior redemption may be and become applicable hereto, such interest as may accrue on and prior to the maturity date of this Bond to be paid only upon presentation and surrender of the annexed coupons as they severally mature, both principal and interest being payable without deduction for exchange or collection charges in any coin or currency which on the respective dates of payment of such principal and interest is

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[*In the case of Series K Coupon Bonds Nos. 1 to 4, inclusive, this figure to be One Thousand Dollars ($1,000); all other Coupon Bonds, as here shown.]

legal tender for the payment of debts due the United States of America, at the principal office of the Trustee, Farmers Bank & Capital Trust Company, in the City of Frankfort, County of Franklin, Commonwealth of Kentucky, or, at the option of the holder hereof or of the interest coupons hereunto appertaining, at the principal offices of Chemical Bank, in the Borough of Manhattan, City of New York, New York, or of The Northern Trust Company, in the City of Chicago, Illinois.

This Bond is one of a duly authorized Series of Bonds in the initial aggregate principal amount of $_____, consisting of Bonds of the denomination of $5,000**, numbered consecutively 1 to ____, both numbers inclusive (the "Series _____ Bonds"), all of said Series ____ Bonds being of the same form, tenor and effect (except for numbers**, maturity dates, and permissible variation in interest rates), issued for financing the costs, not otherwise provided, of buildings and appurtenant facilities for educational purposes on the Main Campus of said University (as defined in the Trust Indenture, hereinafter referred to), comprising parts of the Housing and Dining System (the "System") of said University of Kentucky, which System consists of (a) initially, certain identified student housing

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[**Special text to be supplied to printer in the case of Series K Coupon Bonds.]

and dining facilities and related auxiliary enterprises existing on the Main Campus of said University, in Lexington, Fayette County, Kentucky, as of June 1, 1965, (b) the University's First Housing Complex Project, heretofore constructed and completed, (c) the Linden Walk-Rose Lane Apartments and a new 200-unit housing project, comprising apartment-type buildings to house students and married student families, with necessary appurtenances, as to be paid for through application of the proceeds of the Series J Bonds and the Series K Bonds, (d) any other housing and dining facilities or related auxiliary enterprises such as may be added to the said System at future dates in accordance with the conditions and restrictions provided in connection with the permissive issuance of parity bonds, and (e) any such facilities as may be added to the System as additional security for the Bonds, under and in full compliance with the Constitution and Statutes of the Commonwealth of Kentucky, including, among others, Sections 162.340 to 162.380, inclusive, of the Kentucky Revised Statutes now in full force and effect; and these Series ____ Bonds are issued on a parity as to security and source of payment with the Board's outstanding and unpaid "Housing and Dining System Revenue Bonds" (the "Bonds"), Series A to Series I, inclusive, heretofore issued in the aggregate principal amount of $35,075,000, dated

as of June 1, 1965, and Series ____ in the principal amount of $_____, dated December 1, 1978.

All of said Bonds of Series A to Series K, inclusive, were issued and are to be issued under and pursuant to a Trust Indenture (said Indenture, together with all indentures supplemental thereto as therein permitted, being herein called the "Indenture"), dated as of June 1, 1965, executed by and between said Board of Trustees and said Farmers Bank & Capital Trust Company, as Trustee (said Trustee and any successor Trustee under said Indenture being herein called 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 System and the described additions thereto and for the provisions, among others, with respect to the custody and the application of the proceeds of the Bonds, the collection and disposition of the Revenues of the System, the fund charged with and pledged to the payment of the interest on and the principal of said Bonds, the nature and extent of the security, the reserved right of the Board to issue in the future certain additional Bonds which will rank on a basis of parity with the Bonds of Series A to Series K, inclusive, subject to conditions and restrictions which are specifically set forth in the Indenture,

the rights, duties and obligations of said Board of Trustees and of the Trustee, and the rights of the holders of the Bonds; and by the acceptance of this Bond, the holder hereof assents to all of the provisions of said Indenture. Under authority of the Statutes pursuant to which this Bond is issued, this Bond shall have all the qualities and incidents of a negotiable instrument, and, subject to the provisions for registration set forth herein and contained in the Indenture, nothing contained in this Bond or in said Indenture shall affect or impair the negotiability of this Bond.

The holder of this 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 proceeding 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 System, which rents and charges will be sufficient to pay the principal of and the interest on siad Bonds as the same become due and to provide reserves for such purposes and also to pay the cost of maintenance, operation and repair of the 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" (herein 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 the 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.

This Series ___ Bond and the Series of which it is one and Bonds which have heretofore been issued and may hereafter be issued and outstanding under the conditions and restrictions set forth in the Indenture are secured equally and are payable on a parity only from and as the first charge upon a fixed amount of the defined Revenues of said Housing and Dining System, which will be set aside in said Bond and Interest Sinking Fund, and this Bond does not constitute an indebtedness of the University of Kentucky or of its Board of Trustees or of the Commonwealth of Kentucky within the meaning of any provisions or limitations of the Constitution of the Commonwealth of Kentucky.

The Series ___ Bonds shall be subject to redemption through application of the proceeds of insurance, in the event of damage or destruction of properties constituting parts of the Housing and Dining System, as provided in the Indenture.

Otherwise the Series __ Bonds maturing on and prior to June 1, 1989, are not subject to redemption prior to stated maturities. Series __ Bonds maturing on and after June 1, 1990, shall be subject to redemption at the option of the Board on June 1, 1989, or on any interest payment date thereafter, as a whole or from time to time in part in the inverse order of their maturities (less than all of a single maturity to be selected by lot) upon payment of the principal amount so redeemed and all accrued interest represented by interest coupons maturing on and prior to the redemption date at the following redemption prices which are expressed as a percentage of the principal amount of each Bond so redeemed:

Period (both dates inclusive)	Redemption Price
June 1, 1989 through December 1, 1993	3%
June 1, 1994 through December 1, 1998	2-1/2%
June 1, 1999 through December 1, 2003	2%
June 1, 2004 through December 1, 2008	1-1/2%
June 1, 2009 through December 1, 2013	1%
June 1, 2014 or thereafter	0%

If the Board at its option undertakes to redeem outstanding Bonds in advance of scheduled maturity, it is agreed and understood that (1) 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 redemption provisions of each Series; provided, however, that the Board shall have the right to call, in accordance with

the redemption provisions of the respective Series, any or all outstanding Bonds which are subject to redemption at par prior to calling any Bonds which are callable at a premium.

Notice of such intended redemption, identifying the Bonds to be redeemed, will be on file at the office of the Trustee at least thirty (30) days prior to the specified redemption date, and such notice shall be published at least once not less than thirty (30) days prior to said redemption date in a financial newspaper or journal of general circulation published in the English language in the City of New York, New York, and a copy of such notice shall be sent by registered mail to the registered holder of each then registered Bond to be redeemed, provided, however, (a) failure to send such notice by registered mail, or any defect therein, shall not affect the validity of the call for redemption if notice by such publication shall properly and timely be made, and (b) if all Bonds to be redeemed are then registered and notice by registered mail is duly given, such publication shall not be required. Any Bonds called for redemption and for the payment of which funds are on deposit with said Trustee on the specified redemption date shall cease to bear interest on said redemption date.

This Bond shall pass by delivery unless registered as to principal on the books of said Board of Trustees at the office of the Trustee under the Indenture, and such registration

noted hereon, after which no valid transfer hereof shall be effective unless made on said books and similarly endorsed hereon at the written request of the registered holder or his duly authorized representative, but this Bond may be discharged from registration by being in like manner registered to bearer, whereupon full negotiability and transferability by delivery shall be restored, but this Bond may again from time to time be registered as aforesaid. Such registration shall not affect the negotiability of the interest coupons which shall always remain payable to bearer and transferable merely by delivery. The Board of Trustees and the Trustee may deem and treat the bearer of this Bond, if not registered as to principal, and the bearer of any coupon hereto appertaining, whether or not this Bond be so registered, or if this Bond be registered as herein authorized the person in whose name the same is registered, as the absolute owner for the purpose of receiving payment and for all other purposes.

A statutory mortgage lien, which is hereby recognized as valid and binding on the buildings and appurtenant facilities of said Housing and Dining System, including the buildings and appurtenant facilities which are added to said System through application of the proceeds of the Series J Bonds and the Series K Bonds, those portions of the sites physically occupied thereby, and all necessary appurtenances, including adequate provision for ingress, egress, and the rendering of necessary services,

is created and granted to and in favor of the holder or holders of this Bond and the issue of which it is a part, and in favor of the holder or holders of the coupons attached thereto, and said System, including such houding and dining buildings, appurtenant facilities, and related auxiliary enterprises as may hereafter be added to and made 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 Bond and the issue of which it is a part; provided, however, that with respect to (a) the dormitory known as Bowman Hall which was financed in whole or in part by certain "Dormitory Revenue Bonds of 1946," previously issued and outstanding pursuant to a certain resolution adopted by the Board of Trustees on April 2, 1946, and (b) certain apartment buildings known in the aggregate as "Coopers-town" which were financed in whole or in part by certain "Dormitory Revenue Bonds of 1955," previously issued and outstanding pursuant to a certain resolution adopted by the Board of Trustees on April 5, 1955, said statutory mortgage lien and all other liens, pledges and security rights created in and by the Indenture for the benefit and protection of the owners and holders of the afore-said Housing and Dining System Revenue Bonds are subordinate and inferior to the similar liens, pledges and other security rights created and existing for the benefit and protection of the owners and holders of outstanding bonds of said identified issues, until such time as all of said identified bonds shall have been fully paid, both principa

and interest; but pursuant to the Indenture there have been set aside from the proceeds of the aforesaid "Housing and Dining System Revenue Bonds, Series H," and deposited and secured for the account of the respective special funds created and established as the source of payment of said identified bonds, in strict conformity with the provisions of the aforesaid respective resolutions authorizing the issuance thereof, amounts sufficient to assure payment in full thereof, both principal and interest, as and when the respective bonds and appurtenant interest coupons are scheduled to become due and payable.

This Bond shall not be valid or become obligatory for any purpose, or be entitled to any security or benefit under the Indenture, until it shall have been authenticated by the execution by the Trustee of the certificate hereon endorsed.

It is hereby certified, recited and declared that all acts, conditions and things required to exist, to happen, and to be performed precedent to and in the issuance of this 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 Bond, together with all other obligations of said Board of Trustees and of said University of Kentucky, does not violate any provision or exceed any limit prescribed by the

Constitution or Statutes 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 Bond and the issue of which it is a part and any other Bonds which 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 and holder of this Bond, with the sanction, approval and authorization of the State Property and Buildings Commission of Kentucky, and the Secretary of the Department of Finance of the Commonwealth, as evidenced by proper authorizations and proceedings duly filed with the Trustee, and as further evidenced by the authorized reproduced facsimile of the signature of said Secretary 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 requirement 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 tenantable 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 TESTIMONY WHEREOF, the Board of Trustees of University of Kentucky, at Lexington, Kentucky, has caused this Bond to be executed in its name and behalf by the authorized facsimile of the signature of its Chairman, and has caused the authorized facsimile of its corporate seal to be imprinted hereon, attested by the manual signature of its Secretary; and has caused the coupons appurtenant hereto to be executed with the authorized facsimile signatures of said Chairman and Secretary; all being done as of the first day of December, 1978.

BOARD OF TRUSTEES
UNIVERSITY OF KENTUCKY

By (Facsimile Signature)
Chairman

It is certified that issuance of this Bond, in form as above set forth, has been duly approved and authorized

(Facsimile of Seal)

Attest:

(Manual Signature)
Secretary

by the State Property and Buildings Commission, and by the undersigned.

(Facsimile Signature)
Secretary of the Department of Finance

TRUSTEE'S AUTHENTICATION CERTIFICATE

This Bond is one of the Bonds described or provided for in the within-mentioned Indenture.

FARMERS BANK & CAPITAL TRUST COMPANY
Frankfort, Kentucky, TRUSTEE

By (Manual Signature)
Authorized Officer

(FORM OF COUPON)

$_____

*(Unless the Bond to which this coupon is appurtenant shall have been called for redemption and funds for the payment thereof are duly provided)

ON _____1, ____,

the Board of Trustees of University of Kentucky, at Lexington, Kentucky, will pay to bearer the amount shown hereon, in any coin or currency which at said date of payment is legal tender for the payment of debts due the United States of America, out of its "University of Kentucky Housing and Dining System Revenue Bond and Interest Sinking Fund Account," at the principal office of Farmers Bank & Capital Trust Company, in the City of Frankfort, Kentucky, or at the

option of the holder hereof, at the principal offices of Chemical Bank, in the Borough of Manhattan, in the City of New York, New York, or of the Northern Trust Company, in the City of Chicago, Illinois, as provided in and for interest then due on its Housing and Dining System Revenue Bond, Series ____, dated as of December 1, 1978, Number ____.

No.____

BOARD OF TRUSTEES OF
UNIVERSITY OF KENTUCKY

*(This redemption legend to appear only on such interest coupons as are affected thereby.)

By (Facsimile Signature)
Chairman

ATTEST:

(Facsimile Signature)
Secretary

(FORM OF REGISTRATION TO BE PRINTED ON BACK OF EACH BOND)

Date of Registration	Name of Registered Holder	Signature of Authorized Officer of Trustee

(B) Series K Bonds Issued in Fully Registered Form. Series K Bonds issued in Fully Registered Form shall be in substantially the form set forth in this Section, with such insertions, variations and substitutions as may be appropriate:

(FORM OF FULLY REGISTERED BOND)

UNITED STATES OF AMERICA
COMMONWEALTH OF KENTUCKY
UNIVERSITY OF KENTUCKY
HOUSING AND DINING SYSTEM REVENUE BOND
SERIES K

No. K- $_____

The Board of Trustees of the University of Kentucky, at Lexington, Kentucky, a public body corporate and an Educational Institution and Agency and Political Subdivision of the Commonwealth of Kentucky (hereinafter called the "Board"), for value received, hereby promises to pay, solely from the special fund provided therefor, as hereinafter set forth, to the UNITED STATES OF AMERICA, SECRETARY OF HOUSING AND URBAN DEVELOPMENT, or his Successor (herein sometimes called the "Payee" or the "Secretary"), or his registered assigns (herein sometimes called the "Alternate Payee") the principal sum of _____Dollars ($_____), on the first day of June in years and installments, as follows:

[To be filled out, in the case of each Bond, as HUD may specify.]

YEAR	PRINCIPAL AMOUNT	YEAR	PRINCIPAL AMOUNT

without deduction for exchange or collection charges in such coin or currency of the United States of America as at the time of payment shall be legal tender for the payment of debts due the United States of America, and in like manner solely from said special fund to pay interest on the balance of said principal sum from time to time remaining unpaid, in like coin or currency, at the rate of three per centum (3%) per annum, semiannually, on June 1 and December 1 in each year, commencing June 1, 1979, until the principal amount hereof has been paid. During the time the Payee is the registered owner of this Bond, payment of the principal installments and interest shall be made at the Federal Reserve Bank of Richmond, Virginia, or such other fiscal agent as the Payee shall designate (herein called the "Fiscal Agent"). During such time as an Alternate Payee is the registered owner hereof, said payments shall be made at the principal office of Farmers

Bank & Capital Trust Company, in the City of Frankfort, Kentucky, the Trustee under the Indenture, hereinafter mentioned, pursuant to which this Bond is issued, or its successor as such Trustee, or, at the option of the Alternate Payee, at the principal offices of Chemical Bank, in the Borough of Manhattan, City of New York, New York, or of The Northern Trust Company, in the City of Chicago, Illinois, (herein called the "Alternate Paying Agents"). Payments of principal and interest, including prepayments of installments of principal as hereinafter provided, shall be noted on the Payment Record made a part of this Bond, and if payment is made at the office of the Fiscal Agent or Alternate Paying Agents, written notice of the making of such notations shall promptly be sent to the Board at the office of the Trustee, and such payment shall fully discharge the obligation of the Board hereon to the extent of the payments so made. Upon final payment of principal and interest this Bond shall be surrendered to the Trustee for cancellation and surrender to the Board.

This Bond represents a duly authorized Series of Bonds in the initial aggregate principal amount of $4,584,000, issued for financing the costs, not otherwise provided, of the Housing and Dining System of said University of Kentucky, consisting of (a) initially certain identified student housing and dining facilities and related auxiliary enterprises existing on the

Main Campus of said University (as defined in the Trust Indenture, hereinafter referred to), in Lexington, Fayette County, Kentucky, as of June 1, 1965, (b) the University's First Housing Complex Project as constructed through application in part of the proceeds of Bonds heretofore issued under the Indenture, (c) the Linden Walk-Rose Lane Apartments and a new 200-unit housing project, comprising apartment-type buildings to house students and married student families, with necessary appurtenances, as to be paid for through application of the proceeds of the Series J Bonds and Series K Bonds, (d) any other housing and dining facilities or related auxiliary enterprises, 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 (e) any such facilities as may be added to the Housing and Dining System as additional security for the Bonds (hereinafter sometines referred to as the "Housing and Dining System," or the "System"), under in full compliance with the Constitution and Statutes of the Commonwealth of Kentucky, including among others, Sections 162.340 to 162.380, inclusive, of the Kentucky Revised Statutes now in full force and effect.

All of said Bonds are issued under and pursuant to a Trust Indenture (said Indenture, together with all indentures supplemental thereto as therein permitted, being hereafter

called the "Indenture"), dated as of June 1, 1965, executed by and between said Board of Trustees and said Farmers Bank & Capital Trust Company, Frankfort, Kentucky, as Trustee, (said Trustee and any successor Trustee under said Indenture being herein called 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 the application of the proceeds of the 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 Bonds; the nature and extent of the security; the reserved right of the Board to issue in the future certain additional Bonds which will rank on a basis of parity as to security and source of payment with the Bonds initially authorized, subject to conditions and restrictions which are specifically set forth in the Indenture; the rights, duties and obligations of said Board of Trustees and of the Trustee; and the rights and limitation of rights of the holders of the Bonds; and, by the acceptance of this Bond, the holder hereof assents to all of the provisions of said Indenture.

The holder of this 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 proceeding 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 the interest on said Bonds as the same become due, and to provide reserves for such purposes and also to pay the cost of maintenance, operation 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," (herein 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 the 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.

As provided in the Indenture, this Bond is exchangeable at the sole expense of the Board at any time, upon ninety (90) days' notice, at the request of the registered owner hereof and upon surrender of this Bond to the Board at the office of

the Trustee in the City of Frankfort, Kentucky, for negotiable Coupon Bonds, payable to bearer, registrable as to principal, in such denomination or denominations as have been provided for in the Indenture, in an aggregate principal amount equal to the unpaid principal amount of this Bond, in the form of such Coupon Bonds as provided for in the Indenture, numbered, bearing interest, and maturing as set forth in the Indenture, corresponding to the unpaid principal installments hereof.

PREPAYMENT PROVISIONS

(A) This Bond is subject to redemption through application of the proceeds of insurance in the event of damage or destruction of properties constituting parts of the System, as provided in the Indenture.

(B) (To be inserted, as appropriate, to conform to the pertinent HUD Loan Agreement and when HUD shall have designated the number of Series K Bonds to be issued in Fully Registered Form.)

If the Board at its option undertakes to prepay outstanding Bonds in advance of scheduled maturity, it is agreed and understood that (1) 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, 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 Bonds which are callable at a premium.

Notice of any such optional prepayment shall be given at least thirty (30) days prior to the prepayment date by mailing to the registered owner of this Bond, by registered mail, a notice fixing such prepayment date, the amount of principal to be prepaid, and the premium, if any, to be prepaid.

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 provision for ingress, egress, and the rendering of necessary services, is created and granted to and in favor of the holder of this Bond and the issue of which it is a part, and in favor of the holder or holders of coupons attached to Bonds issued in coupon form, 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 parts 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 Bond and the issue of which it is a part; provided, however, that with respect to (a) the dormitory known as Bowman Hall which was financed in whole or in part by certain "Dormitory Revenue Bonds of 1946," previously issued and outstanding pursuant to a certain resolution adopted by the Board of Trustees on April 2, 1946, and (b) certain apartment buildings known in the aggregate as "Cooperstown" which were financed in whole or in part by certain "Dormitory Revenue Bonds of 1955," previously issued and outstanding pursuant to a certain resolution adopted by the Board of Trustees on April 5, 1955, said statutory mortgage lien and all other liens, pledges and security rights created in and by the Indenture for the benefit and protection of the owners and holders of the aforesaid Housing and Dining System Revenue Bonds are subordinate and inferior to the similar liens, pledges and other security rights created and existing for the benefit and protection of the owners and holders of outstanding bonds of said respective identified issues, until such time

as all of said respective identified bonds shall have been fully paid, both principal and interest; but pursuant to the Indenture there have been set aside from the proceeds of the aforesaid "Housing and Dining System Revenue Bonds, Series H," and deposited and secured for the account of the respective special funds created and established as the source of payment of said identified bonds, in strict conformity with the provisions of the aforesaid respective resolutions authorizing the issuance thereof, amounts sufficient to assure payment in full thereof, both principal and interest, as and when the respective bonds and appurtenant interest coupons are scheduled to become due and payable.

This Bond may be assigned and upon such assignment the assignor shall promptly notify the Board and the office of the Trustee by registered mail, and the Alternate Payee shall surrender the same to the Trustee either in exchange for a new Fully Registered Bond, or for transfer on the registration records and verification of the endorsements made on the Payment Record attached hereto of the portion of the principal amount hereof and interest hereon paid or prepaid, and every such assignee shall take this Bond subject to such condition.

In case any event of default, as defined in the Indenture, shall occur, the principal of this 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 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 holder or transferee hereof by the acceptance hereof, and as a part of the consideration hereof, as provided in the Indenture.

This 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 the trust, by completing the Trustee's Authentication Certificate appearing hereon.

It is hereby certified, recited and declared that all acts, conditions and things required to exist, to happen, and to be performed precedent to and in the issuance of this 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 Bond, together with all other obligations of said Board of Trustees and of said University of Kentucky and of the Commonwealth of Kentucky does not violate any provision or exceed any limit prescribed by the Constitution or Statutes 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 Bond, and the issue of which it is a part and any other Bonds which 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 and holder of this Bond, with the sanction, approval and authorization of the State Property and Buildings Commission of Kentucky, and the Secretary of Finance of the Commonwealth, as evidenced by proper authorizations and proceedings duly filed with the Trustee, and as further evidenced by the authorized reproduced facsimile of the signature of said Secretary of Finance 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 tenantable 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, as long as any Bonds are outstanding and unpaid under the terms and provisions of the Indenture.

IN WITNESS WHEREOF, the Board has caused this Bond to be executed in its name by the authorized signature of its Chairman, and has caused its corporate seal to be impressed hereon, attested by the authorized signature of its Secretary, all as of the first day of _____, _____.

BOARD OF TRUSTEES OF
UNIVERSITY OF KENTUCKY

By (Manual Signature)
Chairman

ATTEST:

(Manual Signature)
Secretary

It is certified that issuance of this Bond, in form as above set forth, has been duly approved and authorized by the State Property and Buildings Commission, and by the undersigned.

(Facsimile Signature)
Secretary of Finance of
Kentucky

TRUSTEE'S AUTHENTICATION CERTIFICATE

This Bond is a Fully Registered Bond as described in the within-mentioned Indenture.

FARMERS BANK & CAPITAL TRUST COMPANY
Frankfort, Kentucky, TRUSTEE

By _____ (Manual Signature)
Authorized Officer

(FORM OF ASSIGNMENT)

Without representation, warranty or recourse, the within Bond is hereby assigned unto _____, this ____ day of _____, ____.

_____
Payee

_____
Witness

PAYMENT RECORD

Due Date	Principal Payment	Principal Balance Due	Interest Payment (3%)	Date Paid	Name of Paying Agent-Authorized Official & Title
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
(enter dates for principal and interest)	(enter amounts)	(leave blank)	(leave blank)	(leave blank)	

(Note to Printer: 80 due dates. Leave one-half inch space between each due date, etc., for manual interlining, if necessary; also half a page at end for any explanation which might be required.)

SCHEDULE "A"
(This should be a separate sheet)

Principal Installments on which payments have been made prior to maturity

Principal Due Date	Amount	Principal Payment	Balance	Date Paid	Name of Paying Agent, Authorized Official and Title

Section 310. Authentication by the Trustee.

As provided in Section 414 of the 1965 Trust Indenture, only such Series J Bonds and Series K Bonds as shall bear thereon endorsed a certificate of authentication substantially in the above prescribed form, executed on behalf of the Trustee by an authorized officer thereof, shall be secured by the Indenture or be entitled to any right or benefit thereunder. The authentication by the Trustee upon any Bond shall be conclusive evidence that the Bond so authenticated has been duly issued hereunder and that the holder thereof is entitled to the benefit and security of the Indenture.

Section 311. Execution. The Series J Bonds and the Series K Bonds shall be executed on behalf of the Board by the officers and in the manner set forth in Section 416 of the 1965 Trust Indenture.

Section 312. Registration of Coupon Bonds. Series J Coupon Bonds and the Series K Coupon Bonds shall be registrable as to principal at the office of the Trustee, may be discharged from registration and may thereafter be again registered, in the manner and with the effect set forth in Section 417 of the 1965

Trust Indenture.

Section 313. Covenant of the Board to Issue Bonds in Coupon Form in Substitution for a Bond Issued in Fully Registered Form. In recognition of the provisions of ARTICLE IV, Section 404 of the 1965 Trust Indenture, the Series K Bonds, if issued in Fully Registered Form, shall be exchangeable at the sole expense of the Board at any time, upon ninety (90) days' notice, at the request of the Registered Owner thereof and upon surrender thereof to the Board at the principal office of the Trustee in the City of Frankfort, Kentucky, for negotiable Coupon Bonds, payable to bearer, registrable as to principal only, in such denomination or denominations as have been provided for in this Series J and Series K Supplemental Trust Indenture [$1,000 in the case of Series K Coupon Bonds Nos. 1 to 4, inclusive, and $5,000 as to Series K Coupon Bonds Nos. 5 and upwards], in an aggregate principal amount equal to the then unpaid principal of this Bond, in the form of such Series K Coupon Bonds as provided for in this Supplemental Trust Indenture, numbered, bearing interest and maturing as set forth in this Series J and Series K Supplemental Trust Indenture, corresponding to the principal instalments of the Series K Bondsin Fully Registered Form then remaining unpaid; provided, however, there shall be an appropriate adjustment of interest in the event such surrender and substitution shall take place otherwise than on an interest payment date, such as to relieve the Board of any duplication of

interest by reason thereof, and the Bondholder of any loss of interest by reason thereof.

ARTICLE IV

Certain Deposits to be Made Into the System Sinking Fund from Series J Bond Proceeds; Increased Payments to be Made Into the System Sinking Fund and the System Repair and Maintenance Reserve

Section 401. As to Series J Bonds Only, Six Months' Interest Capitalized. As provided in the Board's Resolution authorizing the Series J Bonds and the Series K Bonds, upon delivery of the Series J Bonds and receipt of the proceeds thereof, there shall be set aside and deposited into the Sinking Fund, (a) the amount received from the purchaser as representing accrued interest on the Series J Bonds from December 1, 1978, to the date of delivery and payment, and (b) such additional sum from the proceeds of the Series J Bonds as will cause the aggregate amount so deposited in the Sinking Fund to be equal to the total amount of interest which will be due with respect to the Series J Bonds on June 1, 1979; and such aggregate sum shall be applied to the payment of the Series J interest coupons maturing on June 1, 1979.

No provision has been made for setting aside any sum from the proceeds of the Series K Bonds for capitalized interest, because it is anticipated that the Series K Bonds will be purchased

by HUD, and that HUD will not accept delivery thereof until after June 1, 1979.

Section 402. Increased Payments to be Made Into System Sinking Fund and System Repair and Maintenance Reserve. Conforming to the requirements of the 1965 Trust Indenture as conditions precedent to the issuance of the Series J Bonds and the Series K Bonds, the transfers and deposits from the System Revenue Fund to the System Sinking Fund, the System Debt Service Reserve and the System Repair and Maintenance Reserve shall be increased as follows:

(A) Commencing May 1, 1979, and continuing with future semiannual transfers and deposits from the Revenue Fund to the System Sinking Fund, the amount so transferred and deposited for payment of interest on the Bonds shall be increased by the amount required to pay interest on the Series J Bonds and the Series K Bonds becomine due on the next ensuing June 1 and December 1 following each respective transfer and deposit(but subject, however, to credit for the amounts deposited into the System Sinking Fund from the proceeds of the Series J Bonds as set forth in Section 401 hereof, until June 1, 1979, when such moneys will have been duly applied to the payment of interest on the Series J Bonds).

(B) Commencing with the semiannual transfer and deposit from the System Revenue Fund into the System Sinking Fund to be made on May 1, 1979, and continuing on each November 1 and May 1 thereafter, the amounts transferred and deposited from the System Revenue Fund into the System Sinking Fund for the payment of maturing principal of the outstanding Bonds shall be increased by an amount equal to one-half (1/2) of the principal of the Series J Bonds and the Series K Bonds maturing on the next ensuing June 1.

(C) In order that the Debt Service Reserve may be increased within four (4) years so that the amount thereof

will be equal to the maximum amount which will thereafter become due in any fiscal year for the payment of principal of and interest on all of the outstanding Bonds of Series A to Series K, inclusive, the transfers and deposits to be made semiannually from the System Revenue Fund into the System Sinking Fund shall, commencing May 1, 1979, be increased by an amount equal to twenty-five per cent (25%) of the aggregate additional deposits required by paragraphs (A) and (B) above, and such transfers and deposits shall continue until such new level has been established in the Debt Service Reserve; whereupon such transfers and deposits may be suspended, but the same shall be resumed and continued whenever and so long as may be necessary to restore and maintain said new minimum level in the event that any part of the Debt Service Reserve shall be required to be used in order to prevent a default in the payment of principal and interest of the Bonds.

(D) It is presently required by Section 907 of the Indenture that as of the close of each fiscal year there shall be transferred from the System Revenue Fund and deposited in the System Repair and Maintenance Reserve the sum of $60,000; with provision that in the event of the issuance of parity bonds such annual payment shall be increased by an amount equal to one-fourth of one per cent (1/4 of 1%) of the original principal amount of such parity bonds and that such increased transfers and deposits shall be continued so long as may be required to increase the minimum amount presently provided to be accumulated therein by a sum equal to five per cent (5%) of the original principal amount of the parity bonds. Accordingly the annual transfers and deposits from the System Revenue Fund into the System Repair and Maintenance Reserve, commencing with the annual deposit to be made at the end of the fiscal year which will close on June 30, 1979, shall be increased from $60,000 to $78,210 and such increased deposits shall be continued annually thereafter until the amount accumulated in the System Repair and Maintenance Reserve shall equal $1,074,200, which sum shall thereafter constitute the minimum balance to be maintained therein; provided however, that all sums accumulated in said Reserve shall continue to be available for the proper purposes thereof as defined in the Indenture, and in the event authorized and proper withdrawals shall reduce the balance in said fund below the new minimum balance therein, the increased annual deposits shall

be resumed and continued so long as may be necessary, and from time to time, in order to restore and thereafter maintain such new minimum balance.

ARTICLE V

Disposition of the Proceeds of the Series J Bonds and the Series K Bonds.

Section 501. (A) As to the Series J Bonds.

When the Series J Bonds are delivered to the purchaser or purchasers thereof and the proceeds thereof are received by this Board, the Treasurer of the Board is authorized to make disposition of such proceeds as follows:

(1) The Treasurer shall pay to the Fiscal Agent the amount of its contractual fee; and shall pay to Bond rating agencies their charges for rating the Series J Bonds, if such ratings have been sought;

(2) The Treasurer shall deposit with the Trustee for credit to the Sinking Fund (i) the sum received from the purchaser or purchasers as representing accrued interest on the Series J Bonds from December 1, 1978, to the date of delivery and payment, together with (ii) an additional sum from bond proceeds sufficient to make the aggregate amount deposited with the Trustee for credit to the Sinking Fund equal to the interest which will be due with respect to the Series J Bonds until June 1, 1979; and the Trustee shall apply the aggregate amount so deposited with it in payment of the Series J coupons maturing on June 1, 1979;

(3) The Treasurer shall pay over to himself, as Treasurer of this Board, the sum of $381,000 in reimbursement of the cost of acquiring the Linden Walk-Rose Lane Apartments, and such sum shall be reimbursed to the reserves from which such purchase price was advanced; and

(4) The Treasurer shall deposit the entire remaining balance of the proceeds of the Series J Bonds with the Treasurer of the Commonwealth (the Depository as defined in the 1965 Trust Indenture), to be maintained by the Depository in a separate account hereby created and which shall be designated "University of Kentucky Housing and Dining System

Series J and Series K Construction Account" (herein the "Series J and Series K Construction Account"), into which provision is hereinafter made for deposit of the proceeds of the Series K Bonds; and disbursements from such Series J and Series K Construction Account shall be made as hereinafter provided in that connection.

(B) As to the Series K Bonds.

(1) If, as it is anticipated will be the case, the Series K Bonds are awarded to HUD as the best bidder therefor, it is contemplated that HUD will request that the Series K Bonds be issued to it as a single Bond in fully registered form without coupons; and in that event HUD will not pay to this Board accrued interest from December 1, 1978, to the date of delivery, but instead the date of delivery will be endorsed on the Payment Record attached to and made a part of such Bond in fully registered form, and interest on such Bond will accrue only from and after such endorsed date of delivery. In that event the entire proceeds received by this Board from HUD shall be deposited with the above-identified Depository in the Series J and Series K Construction Account.

(2) In the event the Series K Bonds are awarded at public sale to a bidder other than HUD, the same shall be issued as coupon Bonds and in that event, the purchaser will be required to pay at the time of delivery accrued interest on the Series K Bonds from December 1, 1978, to the date of delivery and payment. In such event the Treasurer of this Board shall deposit with the Trustee for credit to the Sinking Fund the amount so received from the purchaser or purchasers as representing accrued interest on the Series K Bonds, and the Trustee shall thereafter apply the same to the payment of coupons appurtenant to the Series K Bonds next becoming due. The Treasurer shall thereupon deposit the entire remaining balance of the purchase price of the Series K Bonds with the above-identified Depository for credit to the Series J and Series K Construction Account, for disbursement as hereinafter provided in that connection.

Section 502. Disbursements from the Series J and Series K Construction Account.

Disbursements from the Series J and Series K Construction Account shall be made according to such procedures and practices

with reference to audit and control as may from time to time be prescribed by the laws of the Commonwealth; and additionally each such disbursement shall be made upon the basis of vouchers approved as provided by law (and by HUD, if HUD shall so require) only for the following purposes:

(a) For the costs of the energy conservation project representing improvements to buildings constituting parts of the Housing and Dining System in accordance with the HUD Loan Agreement; or to the extent such costs may already have been paid, to reimbursement of such costs to any source from which the same may have been advanced, upon the tender of such evidence of the propriety of such advances as may be in accordance with the procedures and practices in connection with audit and control then prescribed by the laws of the Commonwealth (and with the approval of HUD, if HUD shall so require),

(b) For the costs of the new 200-unit apartment-type student housing buildings project presently under construction under contract with C. E. Pennington, individually, and C. E. Pennington Company, Inc., according to the contract heretofore approved, awarded and executed, and according to any change orders with regard thereto which may have been authorized and approved, all according to such procedures and practices with reference to audit and control as may from time to time be prescribed by the laws of the Commonwealth; each such disbursement to be made upon the basis of vouchers approved as provided by law (and as required by HUD, if HUD shall so require); or to reimbursement of any of such costs as may have already been advanced, upon proper authentication of the propriety of such advances, and

(c) Thereafter for the costs of movable furnishings and equipment for the said new 200 unit apartment-type student housing buildings project according to such contract or contracts therefor as may be solicited by the Commonwealth's Division of Purchases and approved as provided by law.

In the event all costs authorized to be disbursed and paid for from the Series J and Series K Construction Account shall be made

and such authorized undertakings are completed and paid for in full, and any balance shall yet remain in the Series J and Series K Construction Account, disposition of such excess shall be made as follows:

(i) If the Series K Bonds are awarded to HUD, then in accordance with the Loan Agreement the Board will have the privilege of paying and retiring the Series K Bonds, or corresponding maturities of the Series K Bond issued in fully registered form in inverse order of maturity, without redemption premium and without regard for the redemption provisions otherwise set forth in the Series K Bonds; and in that event the entire excess so remaining in the Series J and Series K Construction Account shall be applied to the retirement of the Series K Bonds, with proper notation thereof on the Payment Record, if the Series K Bonds are represented by a single Bond in fully registered form, or upon surrender of the Series K Bonds for cancellation if the same be issued in coupon form.

(ii) In the event the Series K Bonds are awarded at public sale to a purchaser or purchasers other than HUD, then the same will be issued in coupon form and will not be subject to redemption at the option of this Board prior to the first permissible redemption date. In that event any excess remaining in the Series J and Series K Construction Account may, upon order of this Board or by its statutory Executive Committee, be transferred to and deposited in the Repair and Maintenance Reserve as a contribution to the accumulation of the prescribed balance therein, or, if at that time plans shall be under way for the undertaking of additional housing and dining accommodations which are to be made parts of the Housing and Dining System, such excess in said Construction Account may be retained therein for application to the costs thereof.

ARTICLE VI

Authorization of Series K Revenue Bond Anticipation Notes for Interim Financing Purposes; Form of Such Notes

Section 601. Occasion for Issuance of Revenue Bond Anticipation Notes.

(a) In the event that the Series K Bonds are awarded at

public sale to HUD, as it is anticipated will be the case by reason of the 3% interest rate set forth in the HUD Loan Agreement, it is the established policy of HUD, to which the Board agrees, that HUD will delay its acceptance of delivery and its making of payment for the Series K Bonds until the progress of construction of Project No. CH-Ky-116(D) has reached substantial completion as determined by HUD to its satisfaction. However, HUD is willing to make advances to the Board on account of the purchase price of the Series K Bonds, at the 3% interest rate of its Bonds, in amounts not exceeding 75% (as determined by HUD) of disbursements actually made from the Series J and Series K Construction Account for proper construction costs, if HUD receives as evidence of each advance a valid and binding evidence of indebtedness. It is in order to accommodate to such policies and regulations of HUD that the Board, in its Resolution adopted on December 12, 1978, authorized under authority of KRS 56.513 the issuance of Series K Revenue Bond Anticipation Notes, as herein provided and permitted.

(b) Inasmuch as the issuance of such Notes will represent no more than advances by HUD on account of a purchase price and at a rate of interest already established by its purchase of the Series K Bonds on the basis of competition at public sale, the requirement of KRS 56.513 for solicitation of competitive proposals for the purchase of such Notes will have been satisfied under the circumstances recited in paragraph (a) of this Section, and further solicitation of proposals will not be required.

(c) In the event that the Series K Bonds are awarded at public sale to a purchaser other than HUD, such other purchaser will be required by the conditions of sale to accept delivery of the Series K Bonds and to make payment therefor within 45 days after the sale date; and in that event there will be no occasion for the issuance of Series K Revenue Bond Anticipation Notes, and none shall be issued.

(d) In like manner, there will be no occasion for the issuance of Series J Revenue Bond Anticipation Notes; none have been authorized by the Board; and none shall be issued hereunder.

Section 602. From What Sources Payable as to Principal and Interest.

(a) As to Principal.

Series K Revenue Bond Anticipation Notes will represent advances on account of the purchase price of the Series K Bonds, and shall be payable as to principal from the proceeds of the Series K Bonds when the same are delivered to HUD and paid for by HUD.

(b) As to Interest.

Interest on each Series K Revenue Bond Anticipation Note, at 3% per annum, shall be paid from the System Sinking Fund, at the maturity of the Note, or on the interest payment dates (June 1 and December 1) prescribed for the payment of interest on the Series K Bonds.

Each such Note shall bear interest at the rate stated

therein, from the date of the Note (which shall be the date of the advance represented thereby), until payment of the principal thereof.

Section 603. Series K Revenue Bond Anticipation Notes May Be Surrendered and Cancelled for Credit of the Principal Amount Thereof Upon the Purchase Price of the Series K Bonds.

Inasmuch as the Series K Revenue Bond Anticipation Notes will represent advances by HUD of portions of the price which it will have agreed to pay for the Series K Bonds, it shall be permissible for HUD to tender any or all of the Series K Revenue Bond Anticipation Notes for credit of the principal amount thereof upon the agreed purchase price, when the Series K Bonds are delivered and paid for. In such event the principal thereof shall be so credited upon surrender of each Note, and each Note so tendered shall thereupon be cancelled by the Trustee and delivered to the Board.

In any such event, interest on each such Note then due and unpaid shall be paid to HUD by the Trustee from the System Sinking Fund.

Section 604. Form of Series K Revenue Bond Anticipation Note

Each Series K Revenue Bond Anticipation Note issued by the Board pursuant to this ARTICLE shall be in substantially the form set forth in this Section, with such insertions, completions, modifications or substitutions as are proper to accommodate to the agreements of the Board and of HUD with regard thereto:

(Form of Series K Revenue Bond Anticipation Note)

COMMONWEALTH OF KENTUCKY
BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY
SERIES K REVENUE BOND ANTICIPATION NOTE
ISSUED IN CONNECTION WITH
UNIVERSITY OF KENTUCKY HOUSING AND DINING
SYSTEM REVENUE BONDS, SERIES K

Note No. K-___ $_____

The Board of Trustees of the University of Kentucky, at Lexington, Kentucky, a public body corporate and an educational institution and agency and political subdivision of the Commonwealth of Kentucky (the "Board"), for value received, hereby promises to pay, solely from the sources herein identified as to the payment of principal and interest, respectively, to the UNITED STATES OF AMERICA, SECRETARY OF HOUSING AND URBAN DEVELOPMENT, or his successor (the "Payee"), or his registered assigns (the "Alternate Payee"), the principal sum of _____ Dollars ($_____), on the _____ day of _____, 1979, without deduction for exchange or collection charges, in such coin or currency of the United States of America as at the time of payment shall be legal tender for the payment of debts due the United States of America, and in like manner solely from the source hereinafter identified for the payment of interest, to pay interest on the balance of said principal sum from time to time remaining unpaid, in like coin or currency, at the rate of three per cent (3%) per annum, on each June 1 and December 1 intervening between the date hereof and the maturity date, and otherwise upon the maturity date, until the

principal amount hereof has been paid. During the time the Payee is the registered owner of this Note, payment of the principal installments and interest shall be made at the Federal Reserve Bank of Richmond, Virginia, or such other Fiscal Agent as the Payee shall designate (the "Fiscal Agent"). During such time as an Alternate Payee is the registered owner hereof, said payments shall be made at the principal office of Farmers Bank & Capital Trust Company, in the City of Frankfort, Kentucky, the Trustee under the Indenture, hereinafter mentioned, pursuant to which this Note is issued, or its successor as such Trustee (the "Trustee"). Payments of interest shall be noted by the Trustee on the back of this Note; and if an Alternate Payee shall be the registered owner hereof and presentment for payment is not made until maturity, interest for the entire period from the date of this Note to its maturity shall be paid at the time of payment of principal, whereupon this Note shall be surrendered to the Trustee for cancellation and surrender to the Board.

This Note is a Series K Revenue Bond Anticipation Note, authorized and issued for interim financing purposes in connection with the construction by the Board upon the campus of the University of Kentucky at Lexington, Kentucky, of buildings and facilities which constitute parts of said University's "Housing and Dining System" and this Note is issued under authority of a certain Trust Indenture made by the Board with Farmers Bank & Capital Trust Company,

Frankfort, Kentucky, as Trustee, dated June 1, 1965, and under the authority and provisions of the "Series J and Series K Supplemental Trust Indenture" made by said parties under date of December 1, 1978, to which documents reference is hereby made in the custody of the Trustee. Said Trust Indenture dated June 1, 1965, and the said Supplemental Trust Indenture dated December 1, 1978, are herein collectively referred to as the "Trust Indenture."

The Board represents to the Payee and to each Alternate Payee that it has authorized under authority of Sections 162.340 to 162.380 of the Kentucky Revised Statutes ("KRS") its "Housing and Dining System Revenue Bonds, Series K," dated as of December 1, 1978 (the "Series K Bonds"), according to the provisions of the Trust Indenture in the principal amount of $4,584,000, has sold the same at public sale, and will duly issue the same at such time as the project which is intended to be financed in part thereby shall have been completed; and this Note is payable as to principal solely from the proceeds of the said Series K Bonds when such proceeds are received by the Board upon delivery of the Series K Bonds to the purchaser thereof, or from the proceeds of one or more renewal notes.

Interest on this Note is payable solely from the Board's "University of Kentucky Housing and Dining System Revenue Bond and Interest Sinking Fund Account" as established and maintained by the Board with the Trustee in accordance with the Trust Indenture.

The Board covenants with the Payee and with each Alternate

Payee that the issuance of this Note has been approved by the State Property and Buildings Commission of the Commonwealth of Kentucky, as required by KRS 56.513.

Neither this Note, nor the interest hereon, shall constitute or evidence an indebtedness of the Board or of the Commonwealth of Kentucky within the meaning of any debt-limiting provisions of the Constitution of the Commonwealth, but the same are payable solely from the specific sources herein identified for the payment of principal and interest, respectively. Pursuant to KRS 56.513 this Note, and the receipt of interest hereon, are exempt from all taxation by the Commonwealth of Kentucky and all of its subdivisions, municipalities and taxing authorities.

The right is expressly reserved to the Board to redeem and discharge this Note at any time prior to the stated maturity date of principal, upon giving notice of its election to make such prepayment at least thirty (30) days prior to the designated date of prepayment, such notice to be given by certified mail to the then registered owner hereof, at the date shown upon the registration records of the Board in the office of the Trustee.

The ownership of this Note is initially registered to the Payee, and if this Note is assigned to an Alternate Payee, the Alternate Payee shall tender the same at the office of the Trustee for registration thereof in the name of the Alternate Payee, and the Board shall be entitled to give notice of its election to prepay this

Note solely to the registered owner as shown on such registration records in the office of the Trustee.

The registered owner of this Note shall have no right to enforce the provisions of the Trust Indenture or to institute action to enforce the covenants therein, except as provided in the Trust Indenture.

This Note shall not be entitled to any benefit under the Trust Indenture or be valid or become obligatory unless it shall have been authenticated by the Trustee, or a successor in the trust, by completing the Trustee's Authentication Certificate appearing hereon.

IT IS HEREBY CERTIFIED, RECITED AND DECLARED that all acts, conditions and things required to exist, to happen and to be performed precedent to and in the issuance of this Note do exist, have happened, and have been performed in due time, form and manner as required by law, and that the amount of this Note, together with all other obligations of the Board and of the University of Kentucky and of the Commonwealth of Kentucky, does not violate any provision or exceed any limit prescribed by the Constitution of Kentucky; that said University's Housing and Dining System will be continuously operated in accordance with the Trust Indenture, 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 interest on this Note and for payment of principal of and interest on all Bonds heretofore or

hereafter issued and outstanding pursuant to the Trust Indenture which by their terms are payable from said identified special fund, at or prior to maturity.

IN WITNESS WHEREOF, the Board has caused this Note to be executed in its name by the authorized signature of its Chairman or Vice Chairman and has caused its corporate seal to be impressed hereon, attested by the authorized signature of its Secretary, all as of the 1st day of _____, ____.

BOARD OF TRUSTEES OF
UNIVERSITY OF KENTUCKY

ATTEST: By (Manual Signature)
Chairman or Vice Chairman

(Manual Signature)
Secretary

TRUSTEE'S AUTHENTICATION CERTIFICATE

This Note is a Series K Revenue Bond Anticipation Note as described in the within-mentioned Trust Indenture.

FARMERS BANK & CAPITAL TRUST COMPANY
Frankfort, Kentucky

By (Manual Signature)
Authorized Officer

Section 605. When Notes to be Dated; Maturity; Reservation of Right of Prepayment.

Each Series K Revenue Bond Anticipation Note shall be dated on the date of the advance from HUD represented thereby, may be stated to mature as to principal upon any date selected by the University's

Vice President for Business Affairs (not exceeding five (5) years from its date as limited by KRS 56.513), and shall be subject to prepayment prior to stated maturity upon notice as provided in the above "Form of Series K Revenue Bond Anticipation Note."

Section 606. Execution on Behalf of the Board.

Each Series K Revenue Bond Anticipation Note shall be executed on behalf of the Board in the manner, and by its officers, as set forth in the "Form of Series K Revenue Bond Anticipation Note."

Section 607. Authentication by the Trustee.

No Series K Revenue Bond Anticipation Note shall be entitled to the security of the 1965 Trust Indenture, or be valid or obligatory, unless authenticated by the Trustee by its execution of the "Trustee's Authentication Certificate" appearing thereon.

Section 608. May Be Typewritten or Printed.

Series K Revenue Bond Anticipation Notes may be typewritten or printed, as HUD may require or approve; and shall be upon paper of such quality and durability as HUD may prescribe or approve.

ARTICLE VII

Arbitrage Covenants

Section 701. Covenants of the Board. The Board covenants that sums derived from the proceeds of the Series

J Bonds and the Series K Bonds shall not be invested in any manner which will cause any of the Series J Bonds or the Series K Bonds to be treated as arbitrage bonds within the meaning of Section 103(c)(2) of the Internal Revenue Code of 1954, as amended (the "Code"), and the applicable Income Tax Regulations thereunder (the "Regulations").

On the basis of information furnished to the Board, on known facts, circumstances, and reasonable expectations on the date of this Series J and Series K Supplemental Trust Indenture, the Board certifies as follows:

(A) That it is not expected or contemplated that the proceeds of the Series J Bonds or of the Series K Bonds will be used or invested in any manner which will cause any of the Bonds to be treated as "arbitrage bonds" within the meaning of Section 103(c)(2) of the Code and the Regulations.

(B) That it is not expected or contemplated that the Board will make any use of the proceeds of the Series J Bonds or of the Series K Bonds, which, if such use had been reasonably anticipated on the date of issuance of the Series J Bonds, or of the Series K Bonds, respectively, would have caused the Series J Bonds or the Series K Bonds to be arbitrage bonds.

(C) That it is expected and contemplated that the Board will comply with (i) all of the requirements of Section 103(c) of the Code; and (ii) all of the requirements of the Regulations, to whatever extent is necessary to assure that the Series J Bonds and the Series K Bonds will not be treated as arbitrage bonds.

Provided, however, that it is intended that the proceeds of the Series J Bonds and the Series K Bonds will be invested to whatever extent and whenever the Code and/or

applicable Regulations permit same to be invested without causing the Series J Bonds or the Series K Bonds, respectively, to be treated as arbitrage bonds.

Based on information furnished to the Board, and on known facts, circumstances and reasonable expectations at this time, the Board further certifies, as follows:

(1) that the Board has heretofore entered into a Contract for the construction of the 200-unit apartment-type student housing buildings and appurtenant facilities, and a Contract for the Energy Conservation Project, to be constructed through application of a portion of the proceeds of the Series J Bonds and all of the proceeds of the Series K Bonds, and that work thereon has commenced or will commence within six months from the date of issuance of the Series J Bonds and the Series K Bonds;

(2) that the construction of the said projects will proceed hereafter to completion with due diligence on the part of the Board;

(3) that at least 85% of the spendable proceeds of the Series J Bonds (exclusive of the amount allocated to reimburse the Board for the cost of acquiring the Linden Walk-Rose Lane Apartments, which will be disbursed immediately), and all of the proceeds of the Series K Bonds will be expended on the costs of the said construction projects within less than three years from the date of issuance of the Series J Bonds and Series K Bonds;

(4) that the original proceeds of the Series J Bonds (exclusive of the amount allocated to reimburse the Board for the cost of acquiring the Linden Walk-Rose Lane Apartments) together with all of the proceeds of the Series K Bonds, will not exceed by more than 5% (or by any percent) the amount required for the said construction projects; and therefore there will be no over-issuance of the Series J Bonds or of the Series K Bonds; and

(5) that it is reasonably expected that the System will not be sold or otherwise disposed of, in whole or

in part (except as provided in and subject to the provisions of Section 1404 of the Indenture), prior to the last maturity (or redemption) of the Series J Bonds and the Series K Bonds.

Accordingly it is anticipated that there will be no limitation on the permissible yield on investments made from the portion of the proceeds of the Series J Bonds and the entire proceeds of the Series K Bonds, provided to be deposited in the Series J and Series K Construction Account.

Section 702. Certificates to be Made at Times of Delivery.

Prior to or at the time of delivery of the Series J Bonds, and prior to or at the time of delivery of the Series K Bonds, the Chairman or Vice Chairman of this Board, or the University's Vice President for Business Affairs and Treasurer, or any of them, are authorized to execute the appropriate certification with reference to the matters referred to above, setting out all known and contemplated facts and reasonable expectations concerning such anticipated construction, expenditures and investments, including the execution of necessary and/or desirable certifications of the type contemplated by the applicable "Proposed Arbitrage Regulations," as amended, in order to assure that interest on the Series J Bonds and on the Series K Bonds will be exempt from all Federal income taxes and that such Series J Bonds and Series K Bonds will not constitute or be treated as arbitrage bonds; and Bond Counsel shall review such certifications and render an opinion, if at that time an opinion of Bond Counsel is required by such Regulations.

ARTICLE VIII

Except As Herein Expressly Provided,
The Indenture Controls

Section 801. This Series J and Series K Supplemental Trust Indenture does not purport to be and is not intended to constitute an amendment of any provision of the Indenture controlling the rights, duties and obligations of the Board, the Trustee or the owners and holders from time to time of the outstanding Bonds, but is merely supplemental to the Indenture in the specific matters set forth herein and which are in accord in all respects with the Indenture.

Section 802. All provisions of the Indenture concerning the rights, duties and obligations of the Board and the Trustee shall continue for the security, source of payment and protection of the holders of all Bonds and parity bonds issued under the Indenture.

IN TESTIMONY WHEREOF, the BOARD OF TRUSTEES OF UNIVERSITY OF KENTUCKY has caused its corporate name to be hereunto subscribed by its Chairman, or its Vice Chairman, and its corporate seal to be hereto affixed, and said signature and seal to be attested by its Secretary, and said FARMERS BANK & CAPITAL TRUST COMPANY, Frankfort, Kentucky, to evidence its acceptance of the additional responsibility and trusts incident to the issuance of the Series J Bonds and the Series K Bonds under the Indenture, 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
Lexington, Kentucky

By _____
(Signature)

(SEAL)

_____
(Title of Officer)

ATTEST:

_____
Secretary

FARMERS BANK & CAPITAL TRUST COMPANY
Frankfort, Kentucky

By _____
(Signature)

(SEAL)

_____
(Title of Officer)

ATTEST:

_____
(Signature)

_____
(Title of Officer)

STATE OF KENTUCKY)
: SS
COUNTY OF FAYETTE)

On this ____ day of _____, 1978, before me, the undersigned, a Notary Public in and for said County, in the State aforesaid

appeared _____ and _____, to me personally known and to me known to be the _____ and Secretary, respectively, of the BOARD OF TRUSTEES OF UNIVERSITY OF KENTUCKY, one of the corporations described in and which executed the within and foregoing instrument and who being by me severally duly sworn, did say that he, the said _____, is the _____ of said Board of Trustees, and he, the said _____, is the Secretary of said Board of Trustees; that the seal affixed to the within and foregoing instrument is the corporate seal of said corporation; that said instrument was executed, signed and sealed in behalf of said corporation by authority of its Board of Trustees; and said _____ and _____, each acknowledged the execution of said instrument to be, and said instrument to be, the free and voluntary act and deed of said corporation by it voluntarily executed through them as its duly authorized officers.

WITNESS my hand and Notarial seal, this _____ day of _____, 1978. My Commission expires _____.

_____
Notary Public in and for the
County and State aforesaid

(SEAL)

STATE OF KENTUCKY)
: SS
COUNTY OF FRANKLIN)

On this _____ day of _____, 1978, before me, the under-

signed, a Notary Public in and for said County, in the State aforesaid, appeared _____ and _____, to me personally known and to me known to be the _____ and _____, respectively, of FARMERS BANK & CAPITAL TRUST COMPANY, Frankfort, Kentucky, one of the corporations described in and which executed the within and foregoing instrument, and who being by me severally duly sworn each for himself did say that he, the said _____ is the _____ of said corporation, and he, the said _____ is the _____ of said corporation; that the seal affixed to the within and foregoing instrument is the corporate seal of said corporation; that said instrument was executed, signed and sealed in behalf of said corporation by authority of its Board of Directors; and said named officers each acknowledged the execution of said instrument to be, and the said instrument to be, the free and voluntary act and deed of said corporation by it voluntarily executed through them as its duly authorized officers.

WITNESS my hand and Notarial seal, this _____ day of _____, 1978. My Commission expires _____.

_____
Notary Public in and for the
County and State aforesaid

(SEAL)

This instrument prepared by the undersigned, Attorney at Law, of GRAFTON & FLEISCHER, Suite 212, 304 West Liberty Street, Louisville, Kentucky 40202.

_____
Cornelius W. Grafton

Office of the President
December 12, 1978

ICR 1

Members, Board of Trustees:

APPROVAL OF CHARITABLE REMAINDER
ANNUITY TRUST AGREEMENT WITH GERTRUDE B. ROBINSON

Recommendation: that the Board of Trustees authorize the President to execute an annuity trust agreement with Mrs. Gertrude B. Robinson of Silver Springs, Maryland, as donor, and the University of Kentucky, as trustee, providing for the delivery of stock by the donor to the trustee and, in turn, annuity payments by the trustee to the donor for life.

Background: The donor proposes to transfer to the trustee the stock listed on the attached Schedule. The stock is to be managed and invested (or sold) by the trustee as a single fund, with the income therefrom (and the principal, if necessary) used to pay to the donor for her life an annuity equal to five (5%) percent of the fair market value of the stock on date of transfer.

At the donor's death, the trustee is authorized and directed to transfer the trust fund to the University of Kentucky, for the use and benefit of the College of Engineering, for the establishment of a lectureship. If the principal and income, together with a bequest under the Last Will and Testament of the donor, are sufficient in amount to endow a professorship or chair under the University's policy governing private funding of academic positions (see AR II-9.0-2), the Earl Parker Robinson Memorial Professorship or Chair in Engineering is to be established.

Action taken: Approved XX Disapproved _____ Other _____

Date December 12, 1978

SCHEDULE OF STOCKS

		Current Price (As of Oct., 1978)	Total Value
60	Kaiser Alum. & Chem. 4 3/4% Pfd.	46 1/2	$ 2,790
760	Adams Express	15	11,400
420	Burlington Industries	19 5/8	8,242
93	Chemical New York Trust	41 7/8	3,894
396	Goodyear Tire & Rubber	17 3/8	6,880
200	International Harvester	40 3/8	8,075
126	Manufacturers Hanover	38 1/4	4,819
150	McLouth Steel	11 3/8	1,700
300	Capital Holding	25 3/8	7,612
824	Deere & Company	35 3/4	29,458
200	Home Beneficial	24 1/2	4,900
296	Vulcan Materials	31	9,176
567	American Fidelity Life	9	5,103
300	Flagship Banks	13 3/4	4,125
			$108,174