

## AGENDA

**Meeting of the Board of Trustees  
University of Kentucky  
1:00 P.M.  
October 29, 2002  
18<sup>th</sup> Floor Patterson Office Tower**

### Minutes

#### President's Report and Action Items

- PR 2 Personnel Actions
- PR 3 Naming of University Building
- PR 4 Director of Food Services Emeritus Be Conferred upon Carol Raitz
- PR 5 Appointment of Provost
- PR 6 Appointment of Vice President for Research
- PR 7 Appointment of General Counsel

#### Academic Affairs Committee Report

- AACR 1 Change of Organizational Structure of the Kentucky Tobacco Research Development Center
- AACR 2 Bachelor of Science in Biosystems and Agricultural Engineering
- AACR 3 Creation of a College of Design
- AACR 4 Master of Science: Professional Master of Biomedical Engineering

#### Finance Committee Report

- FCR 1 Acceptance of Interim Financial Report for the University of Kentucky for Three Months Ended September 30, 2002
- FCR 2 Capital Construction Report
- FCR 3 Patent Assignment Report
- FCR 4 Dr. and Mrs. Peter Buck Gift
- FCR 5 Estate of Jack H. Kimball
- FCR 6 Richard A. Barbella Gift
- FCR 7 Sandra A. Frazer and Thomas R. Frazer II Gift
- FCR 8 Approval of 2001-2002 Endowment Match Program Annual Report

Minutes of the Meeting of the Board of Trustees of the University of Kentucky,  
Tuesday, October 29, 2002.

The Board of Trustees of the University of Kentucky met at 1:00 p.m. (Lexington time) on Tuesday, October 29, 2002 in the Board Room on the 18<sup>th</sup> Floor of Patterson Office Tower.

A. Meeting Opened

Mr. Steven Reed, Chairperson, called the meeting to order at 1:05 p.m., and Mr. Tim Robinson gave the invocation.

B. Roll Call

The following members of the Board of Trustees answered the call of the roll: Mr. Paul W. Chellgren, Ms. Marianne Smith Edge, Professor Michael Kennedy, Dr. Robert P. Meriwether, Mr. Billy Joe Miles, Dr. Elissa Plattner, Dr. Claire Pomeroy, Mr. Steven S. Reed (Chairperson), Mr. Tim Robinson, Mr. C. Frank Shoop, Ms. Marian Moore Sims, Ms. Alice Stevens Sparks, Dr. W. Grady Stumbo, Ms. Myra Leigh Tobin, Ms. JoEtta Y. Wickliffe, Mr. Billy B. Wilcoxson, Mr. Russ Williams, Ms. Elaine A. Wilson, and Ms. Barbara S. Young. Absent from the meeting was Ms. Pamela R. May. The University administration was represented by President Lee T. Todd, Jr., Acting Provost Michael Nietzel, Acting Senior Vice President Jack C. Blanton, Senior Vice President and Chancellor of the Medical Center James W. Holsinger, Jr., Acting Vice President for Research James Boling, and Acting General Counsel, Mr. Paul Van Booven.

Members of the various news media were also in attendance. A quorum being present, the Chairperson declared the meeting officially open for the conduct of business at 1:08 p.m.

C. Consent Agenda

Mr. Reed asked for a motion for approval of the following consent items on the agenda.

Approval of Minutes - September 17, 2002  
PR 2 - Personnel Actions

Ms. Smith Edge moved approval. Her motion, seconded by Ms. Young, carried without dissent. (See PR 2 at the end of the Minutes.)

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

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

1. The University of Kentucky won a \$22.3 million grant for math and science education. Paul Eakin and Wimberly Royster were two of the

people who pushed the proposal through. Ron Atwood, Steve Henderson, and Carl Lee are other key faculty members involved. The real crux of this investment by the National Science Foundation in 52 counties in Kentucky is that UK can have an impact on the math/science score gaps that exist in that Appalachian region. This grant will help attack one of the problems that UK has highlighted in Kentucky.

2. First Lady Judy Patton and President Todd unveiled a Violence Against Women Center that has been active in Frankfort but is now on the University of Kentucky campus. This is a significant opportunity for UK to have input in that area.
3. The University received good coverage on the new Health Literacy Program. This is an effort where UK will attempt to help its employees understand their health issues better than anybody else in the world and keep UK's costs down. The problem UK has is that insurance costs are going to continue to increase at 18-20% and that takes a large amount out of the budget. This new program should help control the costs.
4. UK has broken into the top fifty public universities in *U.S. News and World Report* magazine.
5. The Gatton College wins \$1.17 million grant to establish a Kentucky Center for Poverty Research. This really attacks another major issue in the State of Kentucky. There are only a few of those in the nation, and we are very proud of that.
6. The College of Medicine faculty, staff and alumni recently gathered for a ceremony to rename the College of Medicine building after Dr. William R. Willard, the first dean of the College. Some of his family members were there, and it gave UK an opportunity to honor him. Dr. Willard was basically the founding father of the Medical Center.
7. Delta Dental has established a Center to improve oral health of Kentuckians and other issues. They contributed \$1.5 million divided between UK and the University of Louisville. Each university will have a Bucks for Brains professor in that area. Jeff Ebersole is the Director of UK's Center and, in addition, he has received a NIH grant.
8. Jack Guthrie, former Trustee, received a UK School of Journalism and Telecommunications recognition for lifetime achievement at a meeting held last week on campus.

9. UK had a major event recognizing the birth of African-American icon, Langston Hughes.
10. UK and city opens the Dorothea Smith Oatts Visitor Center at the arboretum. There was a ribbon cutting and ceremony that was appreciated by many people.
11. The Kentucky Kernel staff is a finalist for the top national college newspaper award. To be in the top listing is significant.

President Todd referred back to PR 2 on the consent agenda and pointed out the names of three very special individuals, the Alumni Professorships. He reported that President Oswald originated the Alumni Professorships, and the first professorship was awarded at the April 4, 1967 Board meeting. The Alumni Professorships were established to strengthen the academic program and also to benefit recruitment and retention of faculty. It is considered a special honor and recognition to a faculty member for significant contributions in a field of study and/or outstanding service to the University. The annual stipend for these professorships will be \$15,000 a year for five years.

President Todd asked Professor Allan Butterfield from Chemistry, Professor Everett McCorvey from the College of Fine Arts and the outstanding opera and music program, and Professor Dayong Gao from Mechanical Engineering to stand and be recognized, following which they received a round of applause. He said that these are the type of recognitions that the professors should be extremely proud of receiving, and he was proud of them and glad that they are at the University of Kentucky. He thanked them for everything that they do.

E. Update on University's Self-Study SACS Report

President Todd gave the Board an update on the University's Self-Study SACS Report. He thanked Board member Alice Sparks for the many hours she spent on the committee. UK's response to the report of the Reaffirmation Committee of the Commission on Colleges for SACS was sent to them on October 1, 2002. Copies of the response were also mailed to the Board last week.

In reviewing the documents, the Board will find that the institution has dealt with all of the SACS recommendations. The Commission on Colleges Committee on Criteria and Reports will review UK's response and make a recommendation of reaffirmation of accreditation to the COC Executive Council at their December 10, 2002 meeting in San Antonio. At that time, UK will get the final results for that process and then get ready for the next one which will occur ten years from now.

F. Naming of University Building (PR 3)

President Todd said that PR 3 is a recommendation that the Board of Trustees approve the renaming of Anderson Hall to the F. Paul Anderson Tower. This request is made because the new mechanical engineering building is named for Ralph G. Anderson. This

action is to try to eliminate any confusion between the two buildings. He recommended that the Board approve the renaming of Anderson Hall. Ms. Sims moved the approval of PR 3. Her motion, seconded by Ms. Sparks, unanimously carried. (See PR 3 at the end of the Minutes.)

G. Director of Food Services Emeritus be Conferred Upon Carol Raitz (PR 4)

President Todd said it was his pleasure to recognize another emeritus staff member. He recommended that Ms. Carol Raitz be named Director of Food Services Emeritus in recognition of her long service and dedication to the University of Kentucky students for more than 32 years. He noted that her husband, Karl Raitz, is one of UK's outstanding faculty members, and they were both in attendance.

President Todd reported that Mrs. Raitz began her career as manager of the Commons Dining Room. She was named Food Services Director in 1995 and served until the year 2002. She initiated the first academic partnership between Food Services and the College of Agriculture and the College of Home Economics that is now the College of Human Environmental Sciences. Under her direction, the Lemon Tree, a student managed dining room, and the Block and Barrel Deli in Erikson Hall became successful partnerships.

Mrs. Raitz also worked with the architects of the William T. Young Library to design Ovids that is no doubt a popular success with many UK students. Her menus for Food Services received the American Medical Association award for healthy food choices. The University of Kentucky was the only public university to receive that honor.

Mrs. Raitz was also active in the National Association of College and University Food Services, serving as Vice President for Region III for 1997 and 1998 and as Region III President from 1999 to 2002.

President Todd said it was his pleasure to ask Mrs. Raitz to step forward and be recognized. He presented a certificate to her, and she received a round of applause.

On motion made by Ms. Smith Edge and seconded by Ms. Wilson, PR 4 was unanimously carried. (See PR 4 at the end of the Minutes.)

H. Appointment of Provost (PR 5)

President Todd said that he wanted to bring forth a recommendation that the Board approve the appointment of Dr. Mike Nietzel as Provost effective November 1, 2002. He provided some background information and said that when he assumed office on July 1, 2001 he reorganized the University and created a position of Provost. He asked Dr. Nietzel to serve as the first Acting Provost in that position. He appointed a committee in August 2002 to identify and recommend qualified candidates for the permanent position of Provost. The committee included deans, a student that was selected by Tim Robinson, a faculty member that was selected by Carolyn Bratt and the Women's Commission. He said that he also consulted with the Commission on Diversity with regard to asking Everett McCorvey to

serve on the committee. He noted that there were two faculty members that were named by the Senate Council.

President Todd reported that when he first formed an Advisory Committee Dr. Doug Boyd was going to be the Chairperson; however, the Senate Council asked if he would put a co-chair on the Committee that they could name. He agreed to that, and the Senate Council named Loys Mather, whom many of the Board members know. In addition, they requested that they be allowed to add another faculty member, Lee Edgerton, and he approved that request.

President Todd reported that the Advisory Committee considered thirty-seven candidates who were either nominated or applied for the position. The Advisory Committee stated that the pool was broad and diverse in terms of race, ethnicity and gender. It also represented a strong mix of professional backgrounds, including some current provosts, some deans and some vice presidents of other universities. The Committee unanimously agreed to submit seven names to him, four of which they stated stood out from the rest of the pool of applicants.

In submitting the recommendations, the Advisory Committee asked him to consider an appointment from these candidates but, in addition, they noted that it was their unanimous belief that the University might best be served by my making a decision at this point in the process. They gave him the option of making the decision now or continuing the process. The opinion that the Advisory Committee gave him was a unanimous assessment. He pointed out that had the Committee come to him as a split Committee and had the Committee come to him and said that they wanted to invite four people to campus, he would have done that. He said that the Committee came to him and gave him the opportunity to make a selection at this time. He reminded the Board that there were thirteen members on the Advisory Committee, and it was a unanimous opinion. The Committee put forth a group of very strong candidates.

President Todd said that the Committee's discussion centered on the fact that given Dr. Nietzel's experience and his proven leadership in the position, they thought none of the other candidates could surpass these qualifications in the interview process. Had the process been extended and had candidates been invited to campus, they could have still ended up with the same decision. Therefore, based on the Committee's unanimous recommendation to him that he could make that decision now, he chose to do so. He said that he reviewed all the recommended candidates' credentials, and after that review, he had chosen Dr. Nietzel as the most qualified. Some of this is based on his long, distinguished service to the University of Kentucky already, his intimate knowledge of the institution, his high standing with his peers on campus, the innovative performance that he has shown to him during the last fifteen months, and the working relationship that he has had with Dr. Nietzel.

President Todd gave a very brief review of Dr. Nietzel's credentials. Dr. Nietzel began his career at UK in 1973 as an instructor in the Department of Psychology. In 1976, he was appointed Director of the Clinical Psychology Training Program. In 1987, he was named Acting Director of Graduate Studies for the Department of Psychology. In 1988, he

was named Associate Director of Graduate Studies. From 1991 to 1997, Dr. Nietzel served as the Chair of the Department of Psychology. He was named Dean of the Graduate School for UK in 1997 and held that position until he was appointed Acting Provost in 2001. President Todd recommended that the Board of Trustees approve the appointment of Dr. Michael T. Nietzel as Provost effective November 1, 2002. Mr. Shoop moved approval. Ms. Wilson seconded the motion, and it carried unanimously. (See PR 5 at the end of the Minutes.)

Mr. Reed said that it is a Board policy to respect President Todd's decision, and they will commend him for his decision. It is President Todd's obligation to make personnel decisions. He pointed out that President Todd had done one thing that he did not have to do, and that is to be as inclusive as he has been in formalizing his decision. He said that the Board appreciates the fact that President Todd was very inclusive so that he could make the best decision possible.

President Todd recognized Dr. Sandy D'Angelo, Dr. Nietzel's wife. He thanked her for her patience through the last year and a half and thanked her for coming to the Board meeting. Dr. D'Angelo received a round of applause. He asked Dr. Nietzel if he would like to say anything at this time.

Dr. Nietzel thanked President Todd. He said that he appreciated the vote, and the appointment that he would like to accept. He said he was very pleased that his wife, Sandy, could be there. She has stood with him through personal and professional matters all throughout a long period, and he is really grateful for her support. There were features of this that she did not bank on in terms of the last fifteen or eighteen months, and she maintained a great deal of calmness or, at least for his benefit, pretended that she did. Through that process, it was extremely helpful to him to have that kind of support from her. He is very happy that she is present and able to share in this with him.

Dr. Nietzel thanked President Todd. He said twenty months ago they barely knew each other. Whatever they have as a relationship has evolved through the opportunity to work together, and it has been a terrific experience for him, one that stretched him in this period of time a lot more than he thought it would. He said he knew President Todd took a risk on him, and he is very grateful that President Todd is giving him this chance to do the job permanently. He said he was really pleased to go from a two-word title to a one-word title.

Dr. Nietzel thanked the members of the administration who have extended themselves in all sorts of personal and professional ways to him during the past fifteen months to help him do the job, and he knows that they will continue to do that.

He recognized some staff with whom he has worked very closely with over the past year in the audience and extended his thanks to them. He singled out Kris Hobson and Joyce Fannin in the Provost's Office who put up with him daily and make his job a whole lot easier by their effectiveness and efficiency, and the fact that they like to work at the University of Kentucky.

Dr. Nietzel said that he thought the University, from an academic point of view, is continuing to make very good progress toward becoming one of the esteemed public universities in the country. No good university stands still and so the people that we are marching against or competing against are improving, but if you look at the experience of the past couple of years, you will see that UK's pace has quickened more than many of them. And, if UK stays rooted in the three missions for the University, research, outstanding teaching, and service, it will be able to maintain that pace of progress as it fulfills the obligation the legislature gave and the opportunity that the state has given UK to become a leading research university for the nation and also the world. He said that he looked forward to having a discussion about that at the Board retreat.

Dr. Nietzel expressed appreciation for everyone's support, and said that he looked forward to working with the Board and Dr. Todd, who he thinks has allowed this progress to occur because he has found it an uncommonly effective way to unite the missions of research, teaching and service for the University and articulating it in a way that has not been done before. It makes it very easy to lead the academic programs of the University when you have that kind of vision over-arching all of it. Dr. Nietzel received a round of applause.

President Todd asked Loys Mather and other members of the Advisory Committee to please stand and be recognized. The Committee received a round of applause.

I. Appointment of Vice President for Research (PR 6)

President Todd said that he had a second exciting recommendation that he would like to bring to the Board. The recommendation is that the Board approve the appointment of Dr. Wendy Baldwin as Vice President for Research effective January 1, 2003. He noted that when he assumed office in July 2001, he asked Dr. James Boling to be Acting Vice President for Research. He asked Dr. Boling to stand and be recognized, following which he received a round of applause.

President Todd reported that in January of 2002, he appointed a search committee chaired by Professor Kimberly Anderson from the College of Engineering to seek candidates for the position of Vice President for Research. As a result of that search, there were four finalists for the position. Three were brought to campus, and one was an internal candidate. The candidates met with him, the faculty and the staff of various organizations. Persons meeting with the candidates were invited to send their comments and their preferences on each of the candidates to the Committee and these, in turn, were forwarded to him.

He briefly reviewed Dr. Baldwin's credentials. He said that she began her career as a social worker in the Suffolk County Department of Social Services in Bayshore, New York. During the period of 1968 to 1972, she served as a research assistant in the Department of Sociology at the University of Kentucky, while obtaining her M.A. and Ph.D. degrees. In 1973, Dr. Baldwin began a twenty-year period of service to the National Institute of Child Health and Human Development. During that period, she served as the Health Scientist Administrator for the Behavioral Sciences Branch of the Center for Population Research, as



Chief of the Demographics and Behavioral Sciences Branch of the Center for Population Research and as Deputy Director. Since 1993, Dr. Baldwin has served as Deputy Director for Extramural Research at the National Institute of Health in Bethesda, Maryland.

Dr. Baldwin is a member of numerous professional associations, has published dozens of papers and articles, and has testified extensively before Congress on a broad range of research issues. She is a member of the Board of the Human Frontier Science Program, served as a U.S. Representative to the World Health Organization, and is a member of the International Advisory Committee for the Scientists for Health and Research for Development Association. Dr. Baldwin also has served on the Pew Charitable Trust, the Federal Demonstration Partnership of the National Science and Technology Council and the American Association for the Advancement of Science.

President Todd said that Dr. Baldwin could not attend the meeting; however, she would be at the Board Retreat Wednesday afternoon. He recommended that the Board approve the appointment of Dr. Wendy Baldwin as Vice President for Research at the University of Kentucky.

Mr. Reed called for a motion of approval of PR 6. Mr. Chellgren so moved. Dr. Plattner seconded his motion, and it carried unanimously. (See PR 6 at the end of the Minutes.)

President Todd extended his congratulations to Professor Kimberly Anderson and any members of the search committee for the Vice President for Research. He said it was a long, extended process, and they did a wonderful job.

President Todd noted that Dr. Baldwin would be available to the press by phone. He pointed out that Dr. Baldwin received her Doctor of Sociology at the University of Kentucky. She has done research in the area of arts and sciences. About 65% of UK's extramural research funding has come from NIH where Dr. Baldwin serves as Deputy Director. She has been involved with extramural funding of universities and knows that landscape extremely well. He said he was pleased that she could be at the University of Kentucky on January 1, 2003.

J. Appointment of General Counsel (PR 7)

President Todd recommended that the Board of Trustees approve the appointment of Paul C. Van Booven as General Counsel effective November 1, 2002. He reported that Mr. Van Booven has served as Acting General Counsel since May 2002. He has been associated with the University in various capacities for almost three decades. Mr. Van Booven's institutional knowledge and understanding of the University's organizational structure and operations make him an excellent recommendation for the position of General Counsel.

Mr. Van Booven received his bachelor's degree from DePauw University before returning to Kentucky to receive his Juris Doctor degree from the University of Kentucky Law School in 1976. At UK, Mr. Van Booven has served as the Managing Editor of the

*Kentucky Law Journal*. He served as an Assistant and an Associate Dean in the UK College of Law from 1976 through 1989. He moved to the UK Office of Legal Counsel in 1989 as Associate General Counsel and has served as Deputy General Counsel, and on two occasions, as Acting General Counsel.

Mr. Van Booven is admitted to practice in the Commonwealth of Kentucky, United States District Court for the Eastern District of Kentucky, and the United States Court of Appeals for the Sixth Circuit, and the United States Supreme Court.

The position of General Counsel was advertised online through the Office of Human Resources. Several applications were received and reviewed. From the review, it was clear that Mr. Van Booven was the most qualified of the applicants, principally through his years of service in the University's Office of Legal Counsel, his educational background, and his dynamic personality. President Todd said it was his pleasure to recommend that the Board of Trustees approve the appointment of Paul C. Van Booven as General Counsel for the University of Kentucky effective November 1, 2002.

Mr. Reed called for a motion for approval of PR 7. Mr. Williams so moved. His motion, seconded by Professor Kennedy, unanimously carried. (See PR 7 at the end of the Minutes.)

President Todd asked Mr. Van Booven if he would like to step forward and say anything.

As Mr. Van Booven approached the podium, Mr. Reed said that Mr. Van Booven was an Associate Dean while he was in Law School. He said that it was nice knowing him from his days as a student when he was scared to death of him.

Mr. Van Booven said that he did not realize that Mr. Reed was scared of him. He said it was a distinct honor to be selected as the University's chief lawyer because he has been selected to be the chief legal representative for the best client that there is in the State of Kentucky. He said that he has the best job now, and he thanked the Board very much. It goes without saying that the obligation of a lawyer is to represent the client. His client is the University of Kentucky, and the Legal Office gets instructions from the Board acting as a whole, from its Chair, and from President Todd. He said that they do their best to represent the University in the way that the Board directs them to represent the University.

Mr. Van Booven said that being a lawyer for the Board is not just a one-person affair. The University has a great Legal Office, and it has great outside counsel. Mr. Van Booven received a round of applause

K. Search Committee for Senior Vice President for Administration

President Todd reported that he has asked Henry Clay Owen to Chair a Search Committee for the Senior Vice President for Administration position. He will charge that Committee on November 7<sup>th</sup>, and that process will begin. While he would like to have the

position filled by the end of December, he noted that Dr. Jack Blanton has agreed to serve in that position until he gets it filled. He said that he looked forward to bringing a recommendation to the Board in the not too distant future.

L. Change of Organizational Structure of the Kentucky Tobacco Research Development Center (AACR 1)

Ms. Sparks, Chairperson of the Academic Affairs Committee, reported that the Committee had four items to bring to the Board's attention and, hopefully, approval. The first is the change of the organizational structure of the Kentucky Tobacco Research Development Center. This would be transferred from the Office of Vice President for Research to the Dean in the College of Agriculture. It comes as a recommendation from the Futures Task Force. The Acting Vice President for Research has recommended the proposal, and the Provost supports the recommendation. She moved approval of AACR 1. Ms. Young seconded the motion, and it unanimously carried. (See AACR 1 at the end of the Minutes.)

M. Bachelor of Science in Biosystems and Agricultural Engineering (AACR 2)

Ms. Sparks said that AACR 2 recommends that the Board approve the change in the name of the Bachelor of Science in Agricultural Engineering to Bachelor of Science in Biosystems and Agricultural Engineering. This recommendation changes the undergraduate degree title to conform to the departmental name. The Undergraduate Council, the Senate Council and the University Senate have approved this proposal. The Provost also supports the recommendation. She moved approval of AACR 2. Ms. Wilson seconded the motion, and it carried unanimously. (See AACR 2 at the end of the Minutes.)

N. Creation of a College of Design (AACR 3)

Ms. Sparks said that AACR 3 is a recommendation to create the College of Design. This recommendation was also part of the Futures Task Force Study. The College will include the School of Interior Design, the new School of Architecture and a Department of Historic Preservation. The proposal has been supported by everyone up the ladder, and the Provost supports the recommendation. She moved approval of AACR 3. Her motion, seconded by Ms. Smith Edge, carried unanimously. (See AACR 3 at the end of the Minutes.)

O. Master of Science: Professional Master of Biomedical Engineering (AACR 4)

Ms. Sparks said that AACR 4 is a recommendation that the Board approve the establishment of a Master of Science: Professional Master of Biomedical Engineering Degree in the Center for Biomedical Engineering. She reported that the program has met with the approval of everyone, and she moved that AACR 4 be approved. Ms. Wilson seconded the motion, and it carried unanimously. (See AACR 4 at the end of the Minutes.)

P. Acceptance of Interim Financial Report for the University of Kentucky for Three Months Ended September 30, 2002 (FCR 1)

Paul Chellgren, Chairperson of the Finance Committee, reported that the Finance Committee met that morning and had a relatively short agenda. The first item, FCR 1, was to accept the Interim Financial Report for the University of Kentucky for the three months ended September 30, 2002. That, of course, is the 25% completion point in the academic and fiscal calendar. The University had received realized income of a little over \$416 million which was some 31% of the anticipated revenues of \$1,341 billion, and the expenditures and commitments were some \$361 million or some 27% of the approved budget of \$1,341 billion. The Committee discussed the report in some length. Much of the revenue is sort of front end loaded as the University receives tuition, fees and income from the beginning of the academic year. There are a few expenditure items that are also front end loaded. Those would include student financial aid, a debt service and some other like items. He said that there was nothing that needed to be brought before the Board's attention and moved the acceptance of FCR 1. Ms. Tobin seconded his motion, and it carried unanimously. (See FCR 1 at the end of the Minutes.)

Q. Capital Construction Report (FCR 2)

Mr. Chellgren said that FCR 2 is the quarterly Capital Construction Report. Although a lot of physical work was done during the past summer quarter, the report is relatively quiet in terms of new initiations. There were no new contracts and only two amendments. The amendments had to do with the design services amendments to re-build the Administration Building and the Allied Health Building. Both of those projects are well under way. There were seven change orders, and six contracts were completed. The Committee discussed the report with the administration, and there was nothing that needed to be brought to the Board's attention. He moved the adoption of FCR 2. Ms. Smith Edge seconded the motion, and the motion carried unanimously. (See FCR 2 at the end of the Minutes.)

R. Patent Assignment Report (FCR 3)

Mr. Chellgren reported that FCR 3 is another quarterly responsibility, the Patent Assignment Report. There are some twenty patents that are described in the attachment behind the summary report. The Committee had a nice discussion with Dr. Jim Boling, and although he is soon to be the Ex-Vice President for Research, the Committee asked for a bit of an overview of the university's patent position.

There have been some fourteen patent applications and eight patents issued this year to date. A fiscal year to date patent income was just over \$190,000.00, and the Committee also received some information compared with some of the benchmark institutions as to the historic patent income in the fiscal year 2000. The University had a total income of \$2,680,000. Some of the benchmark institutions (Florida, Wisconsin, Washington, and Minnesota) earned over \$20 million from their patent portfolio during those years. Frequently, they have a blockbuster kind of a product. The University of Florida's income from Gatorade is probably one of the more high profile examples of that, but many of the

other institutions, including institutions of even greater size in terms of the research budget of our own such as Ohio State, Purdue, and the University of Texas, actually earned less than the University did in the year 2000 in their patent portfolio. This was useful information to benchmark UK's position. It is true, however, as Dr. Boling pointed out, that in fiscal 2001 the University's patent revenue dropped to \$2.3 million. In fiscal 2002, the year just ended, UK's patent income dropped to \$1.5 million as one particular medical patent went off patent, and therefore, the revenue from that item dropped. Mr. Chellgren said that he would be happy to answer any questions that any of the Board may have regarding the patent assignment report. He moved the adoption of FCR 3. Ms. Sparks seconded the motion, and it carried unanimously. (See FCR 3 at the end of the Minutes.)

S. Gifts and Pledges FCR 4 through 7

Mr. Chellgren said that he would like to consider FCR 4 through 7, inclusively, as a package. He reported that the Chief Development Officer reviewed these items with the Finance Committee.

FCR 4 - accept a gift to the Markey Cancer Center of some \$1.5 million of which \$300,000 is to establish an endowed Carmen Buck Professorship/Chair in Oncology Research, \$200,000 is to be added to an existing professorship/chair in cancer research and \$1,000,000 is for enhancement of cancer research programs. Some \$500,000 of this \$1.5 million is eligible to be matched by the state's Research Challenge Trust Fund. These were funds that had been anticipated and were earmarked from the previous Research Challenge Trust Fund. These funds are coming from the chairman and co-founder of the Subway sandwich restaurant chain. The wife of Dr. Peter Buck is Mrs. Carmen Buck who is a former patient of Dr. Alfred Cohen, CEO of the Markey Cancer Center. This gift is a result of Dr. Cohen joining the University to run the Markey Cancer Center. It is a very generous gift and an example of how these very high profile faculty members can bring wonderful support with them.

FCR 5 – accept a gift of almost \$760,000 from the estate of Jack H. Kimble to benefit the College of Agriculture in a general way. Mr. Kimble was a 1949 alumnus and a long-time friend of the College of Agriculture. This is a part of the remainder interest from his estate. Mr. Kimble died about ten months ago.

FCR 6 – acceptance of a gift of \$1,000,000 from Richard A. Barbella who is a long-time employee of the University of Kentucky (28 years). Mr. Barbella has been working in the budget administration area. This gift is part of his net proceeds from winning the Powerball lottery this summer.

President Todd gave some background information about how this gift occurred. He said that he was attending the Harvard Institute for New Presidents when his cell phone rang. Someone called to inform him that one of his employees just won \$41.6 million. He then went back and told the other Presidents attending the meeting, and they, of course, wanted to know his name.

President Todd said that he did not feel it was appropriate at that time to call Mr. Barbella and say “Hey, how ya doing?” So, he waited a few days. In Mr. Barbella’s own way, he did get a message through Ken Clevidence that Mr. Barbella would like to make a gift to the University.

Mr. Barbella came to his office, and they had a meeting. Prior to that, Mr. Barbella had sent him an e-mail with about six word documents connected to it which were thoughts he had well before the Powerball winnings based on his experience in the Budget Office. Mr. Barbella is renowned as a budget officer at the University and has an intimate knowledge of the process. President Todd said that he and Mr. Barbella discussed those ideas for quite a while until they kind of got to his comment about the gift. Mr. Barbella told him that he would like to make a million dollar gift to the University, if that was o.k. President Todd said he asked him what he would like to have it named. Mr. Barbella said he had not thought about that, but he wanted it to go in the general fund. President Todd said the general fund is where UK needs money, and he felt Mr. Barbella was making a point. It can go for salaries, it can go for awards, it can go for things that the President would like to do. This is money that the President does not get very often. President Todd said he really did appreciate Mr. Barbella’s sentiment in that investment.

President Todd said that he thought everyone should also know that when Mr. Barbella received those winnings, the first thing he did was buy UK bonds. He could have bought other bonds and probably had better proceeds, but he wanted to put his money where his life has been. He has two degrees from the University of Kentucky. He has twenty years of service to the University, and that, to him, was almost as meaningful as the million dollar check that Mr. Barbella presented to him.

President Todd said that he asked Mr. Barbella when he would like to sit down with Terry Mobley and work up the document. Mr. Barbella informed him that he had his checkbook with him and proceeded to write the check with a slightly shaky hand. President Todd said that the University was very indebted to Mr. Barbella, not only for his service but also for his show of loyalty to the institution. Mr. Barbella wanted to make sure that something good happened to UK. President Todd asked Mr. Barbella to come forward and say a few words.

Mr. Barbella said he would appear before the Board to show proof that dreams do come true. Without a doubt, he always had that dream, and it happened. His gift to the University is an attempt to make the University’s dream come true, and that is to achieve “Top 20” status. He challenged the Board of Trustees to get those additional resources, particularly in the general fund. He said, “Maybe, we have to make the people in Frankfort think a little bit differently about how the University is funded -- maybe apart from the rest of the universities in this state.” Otherwise, with the formula funding, he does not think that there will ever be enough money for the University to achieve what he and others wants it to achieve. He challenged the

Board to make his gift go a long way by getting a lot more and making the University achieve its dream. Mr. Barbella received a round of applause.

FCR 7 – accept a gift of some \$328,641 from Sandra A. Frazer and Thomas R. Frazer, II of Jackson, Mississippi, to create and endow the Thomas R. Frazer Family Endowed Basketball Scholarship in the Department of Athletics. The Board has seen a number of other gifts of this nature as they have moved to endow the individual scholarships in basketball in the Department of Athletics.

Mr. Chellgren moved that the Board accept FCR 4, 5, 6, and 7. Ms. Wickliffe seconded his motion, and it carried unanimously. (See FCR 4, 5, 6, and 7 at the end of the Minutes.)

T. Approval of 2001-2002 Endowment Match Program Annual Report (FCR 8)

Mr. Chellgren said that FCR 8 is a recommendation that the Board accept the Endowment Match Program Annual Report, the RCTF Program. He explained that there is an obligation for the various universities receiving these funds that an annual report must be submitted to the Council on Postsecondary Education. This is a recommended action that authorizes the administration to submit this annual report. It is quite an extensive report, approximately 5,000 pages. Fortunately, modern technology permits these things to be submitted on compact discs as well as hard copy. He said that the Board is just seeing the top of the pyramid in these few pages of summary attachments to FCR 8. He moved that the Board accept FCR 8 and authorize the administration to submit the annual report. His motion, seconded by Mr. Miles, carried unanimously. (See FCR 8 at the end of the Minutes.)

U. Other Business and Comments

Dr. Plattner said that she would like to make a comment about the passing of two distinguished Kentucky women who have contributed greatly in different ways to the University of Kentucky and to education in Kentucky in general:

Lucille Little, who really loved the University a great deal, whose love for art and music and drama and the theatre brought out a lot of what Kentucky really is and encouraged the culture that is Kentucky, who was the esteemed sister of Dr. Claire Louise Caudill, the distinguished Eastern Kentucky pioneer woman doctor. These two women of Floyd County demonstrated to the state their love and appreciation.

Joy Bale Boone of Western Kentucky passed away in October. She was Kentucky's poet laureate from 1997-1999. She was very close to many people here at the University in the English Department and Theatre and Drama. She wrote a special poem for the inauguration of Dr. Todd and Mrs. Todd and who by her cards and letters and interest in the policy and culture of the State has lifted up the dialogue about the arts and the spoken word and the word that is what we transmit to each other. I lament their passing both at grand old ages, but I remember them for what they contributed.

V. Meeting Adjourned

With no further business to come before the Board, Mr. Reed adjourned the meeting at 2:00 p.m.

Respectfully submitted,

Russ Williams  
Secretary, Board of Trustees

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



# PR 2

Office of the President  
October 29, 2002

Members, Board of Trustees:

## PERSONNEL ACTIONS

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

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

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

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

**PRESIDENT AND  
SENIOR VICE PRESIDENT FOR ADMINISTRATION**

**I. BOARD ACTION**

**A. RETIREMENTS**

Vice President for Campus and Auxiliary Services

Haney, Harold Dean, Project Manager II, Physical Plant Division, Administration and Engineering Services, after 23 years and 11 months of consecutive service, and 24 years and 2 months of total service, under AR II-1.6-1 Section III.B, effective 9/30/02.

Associate Vice President for External Affairs

McVey, Harriett, Staff Support Associate II, Public Relations, after 16 years and 10 months of consecutive service, under AR II-1.6-1 Section III.B, effective November 1, 2002.

**B. EARLY RETIREMENTS**

Senior Vice President for Administration

Marshall, Judith A., Assistant Vice President for Administration, after 27 years of consecutive service, under AR II-1.6-1 Section III.A.2., effective January 2, 2003.

Vice President for Fiscal Affairs and Information Technology

Barbella, Richard A., Director of Policy Analysis; Planning, Budget and Policy Analysis, after 28 years of consecutive service, under AR II-1.6-1 Section III.A.2, effective 10/31/02.

LeVeque, Paul N., Instructional Resources Director, Communications Operations Director, after 31 years of consecutive service, under AR II-1.6-1 Section III.A.2, effective 10/8/02.

Vice President for Auxiliary and Campus Services

Lyons, Tony L., Security Worker I, Safety, Security and Parking, after 15 years of consecutive service, and 15 years and 5 months of total service, under AR II-1.6-1 Section III.A.2, effective 11/8/02.

**C. POST-RETIREMENT APPOINTMENTS**

Vice President for Auxiliary and Campus Services

Raglin, Bennie O., (part-time), Physical Plant Division, 9/3/02 through 6/30/03.

Haney, Harold Dean, (part-time), Physical Plant Division, 10/1/02 through 6/30/03.

**D. CORRECTION**

Athletics Department

Evans, Betti Lou, Athletics Department, rescinding post-retirement appointment status reported in 8/13/02 PR 2 and continuing regular employment as Athletics Relations Coordinator I.

**II. ADMINISTRATIVE ACTION**

**A. ADMINISTRATIVE APPOINTMENTS**

Athletic Association

Byrne, Gregory, Athletic Association, Associate Director for Fund Raising/Development, effective 9/6/02.

King, Maxine Joyce, Athletic Association, Assistant Athletic Director/Senior Women's Administrator, effective 10/1/02.

Thompson, Eric, Athletic Association, Associate Athletic Director for Marketing/Licensing/Media Relations, effective 9/3/02.

**PROVOST**

**I. BOARD ACTION**

**A. ACADEMIC APPOINTMENTS**

- Anderson, Kimberly Ward, College of Engineering, Professor (with tenure), Chemical and Materials Engineering, appointed to the Gill Eminent Professorship Engineering, 7/1/02 through 6/30/07.
- Bailey, William A., College of Agriculture, Assistant Extension Professor, Agronomy, 9/16/02 through 6/30/03.
- Bollinger, Christopher, College of Business and Economics, Associate Professor (with tenure), Economics, appointed to the Gatton Endowed Professorship in Economics, 1/1/03 through 12/31/05.
- Butterfield, D. Allan, College of Arts and Sciences, Professor (with tenure), Chemistry, appointed as Alumni Professor, 7/1/02 through 6/30/07.
- Calvert, Kenneth, College of Engineering, Associate Professor (with tenure), Computer Science, appointed to the Gill Professorship Engineering, 7/1/02 through 6/30/07.
- Gao, Dayong, College of Engineering, Associate Professor (with tenure), Mechanical Engineering, appointed as Alumni Professor, 7/1/02 through 6/30/07.
- Griffioen, James, College of Engineering, Associate Professor (with tenure), Computer Science, appointed to the Gill Professorship Engineering, 7/1/02 through 6/30/07.
- Higuchi, Ken, College of Engineering, Visiting Associate Professor, Mechanical Engineering, 8/1/02 through 6/30/03.
- Jordan, Bradford, College of Business and Economics, Professor (with tenure), Management, appointed to the Richard W. and Janis H. Furst Endowed Chair in Finance, 7/1/03 through 6/30/08.
- McCorvey, Everett, College of Fine Arts, Associate Professor\* (with tenure), Music, appointed as Alumni Professor, 7/1/02 through 6/30/07.
- Terrell, Patricia, College of Education, Adjunct Professor, Educational Policy Studies and Evaluation, effective 9/11/02.

**B. ADMINISTRATIVE APPOINTMENTS**

- Price, James, College of Engineering, Industry Extension Specialist III, Center for Robotics and Manufacturing Systems, effective 10/7/02.

**C. REAPPOINTMENTS**

- Molenda, Marek, College of Agriculture, Visiting Professor, Biosystems and Agricultural Engineering, 9/1/02 through 11/30/02.

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\*Special Title series

#### **D. RETIREMENTS**

Byars, John H., College of Agriculture, Information Tech Manager II, Agriculture Data Center, after 36 years and 3 months of consecutive service, and a total of 37 years and 4 months of service, under Section III.B of AR II-1.6-1, effective 12/3/02.

#### **E. EARLY RETIREMENTS**

Burch, Susan, Libraries, Librarian I (with tenure), Libraries, after 21 years and 6 months of consecutive service, and a total of 24 years and 6 months of service under Section III.A.2 of AR II-1.6-1, effective 12/1/02.

Hall, Dale G., College of Engineering, Staff Support Associate II, Mechanical Engineering, after 21 years and 7 months of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 12/31/02.

Heard, Roderick S., College of Engineering, Industry Extension Specialist IV, Center for Robotics and Manufacturing Systems, after 15 years and 4 months of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 11/1/02.

Sanders, Mary Patricia, College of Agriculture, Extension Clerk, Cooperative Extension Service, after 32 years and 6 months of consecutive service, and a total of 32 years and 10 months of service under Section III.A.2 of AR II-1.6-1, effective 9/30/02.

Taylor, Joyce A., Libraries, Account Clerk III, Library Administration, after 32 years and 1 month of consecutive service, under Section III.A.2 of AR II-1.6-1, effective 11/1/02.

Throckmorton, Janice, Undergraduate Education, Staff Support Associate II, University Registrar, after 38 years and 4 months of consecutive service, and a total of 38 years and 8 months of service under Section III.A.2 of AR II-1.6-1, effective 8/30/02.

#### **F. POST-RETIREMENT APPOINTMENTS**

Allen, David, College of Arts and Sciences, Professor (part-time), Statistics, 7/1/02 through 6/30/03.

Campbell, William, College of Arts and Sciences, Associate Professor (part-time), English, 7/1/02 through 6/30/03.

Foley, Darwin, College of Agriculture, Area Extension Specialist (part-time), Agricultural Economics, 10/1/02 through 12/31/02.

Heard, Roderick S., College of Engineering, Industry Extension Specialist (part-time), Center for Robotics and Manufacturing Systems, 11/2/02 through 6/30/03.

LeVeque, Paul, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 10/1/02 through 5/15/03.

- McEllistrem, Marcus, College of Arts and Sciences, Professor (part-time), Physics and Astronomy, 7/1/02 through 6/30/03.
- Royster, Wimberly, College of Arts and Sciences, Professor (part-time), Mathematics, and Professor (part-time), Curriculum and Instruction, College of Education, 10/1/02 through 9/30/03.
- Wittwer, Alvin L., College of Engineering, Industry Extension Specialist (part-time), Center for Robotics and Manufacturing Systems, 7/1/02 through 6/30/03.
- Wolfe, L. C., College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.

## II. ADMINISTRATIVE ACTION

### A. ACADEMIC APPOINTMENTS

- Allen, Brenda Dinkins, College of Law, Instructor (part-time), Social Work, 10/1/02 through 2/28/03.
- Barnett, Kathleen, College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.
- Batson, William J. Jr., College of Human Environmental Sciences, Instructor (part-time), Interior Design, 8/16/02 through 12/31/02.
- Best, Michael J., College of Agriculture, Lecturer (part-time), Agricultural Economics, 8/28/02 through 12/20/02.
- Bolin-Reece, Mary, College of Education, Assistant Adjunct Professor, Educational and Counseling Psychology, 9/4/02 through 6/30/03.
- Davis, Lora C., College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.
- Evans, Julie L., College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.
- Gildersleeve, Marion, College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.
- Hammonds, Pamela, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/02 through 12/31/02.
- Harrod, Steven, College of Arts and Sciences, Visiting Assistant Professor, Psychology, 8/16/02 through 6/30/03.
- Heine, Richard, College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.
- Henderson, Ramona A., College of Agriculture, Instructor (part-time), Landscape Architecture, 9/2/02 through 12/31/02.
- Hiller, Matthew L., College of Social Work, Assistant Professor (part-time), Social Work, 8/16/02 through 5/15/03.
- Huang, Mojia, College of Arts and Sciences, Visiting Assistant Professor, Mathematics, 8/16/02 through 6/30/03.
- Isaacs, Barbara, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/28/02 through 5/31/03.

Jacks, Dean, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 8/16/02 through 12/31/02.

Kachroo, Pradeep R., College of Agriculture, Assistant Professor, Plant Pathology, 9/1/02 through 6/30/03.

Luftman, Virginia H., College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.

Manno, Charlotte, College of Human Environmental Sciences, Adjunct Instructor, Family Studies, 8/16/02 through 12/31/02.

McComb, G. Neil, College of Architecture, Lecturer, Architecture, 9/1/02 through 6/30/03.

Murphy, Mindy L., College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.

Powers, Robert, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 9/5/02 through 5/31/03.

Ramsey, Mark, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/28/02 through 5/31/03.

Saghaian, Sayed H., College of Agriculture, Assistant Research Professor, Agricultural Economics, 9/1/02 through 6/30/03.

Sheliga, Michael, College of Engineering, Lecturer, Electrical and Computer Engineering, 8/16/02 through 5/15/03.

Smith, Dina, College of Arts and Sciences, Instructor (part-time), English, 7/1/02 through 6/30/03.

Taylor, Kenneth R., College of Law, Instructor (part-time), Social Work, 10/1/02 through 2/28/03.

Wooten, Billy W., College of Communications and Information Studies, Instructor (part-time), Communication, 8/16/02 through 5/15/03.

## **B. REAPPOINTMENTS**

Anderson, Pat, College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.

Austin, Stephen D., College of Agriculture, Instructor (part-time), Landscape Architecture, 9/1/02 through 12/31/02.

Baruti, Aminata C., College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.

Batson, William J. Jr., College of Agriculture, Instructor (part-time), Landscape Architecture, 9/1/02 through 12/31/02.

Berry, Kathryn, College of Fine Arts, Instructor (part-time), Art, 8/1/02 through 12/31/02.

Biagi, David, College of Architecture, Instructor (part-time), Architecture, 8/1/02 through 12/31/02.

Boggs, Mary, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/02 through 12/31/02.

Buchanan, Margo, College of Fine Arts, Assistant Professor (temporary), Theatre, 8/1/02 through 6/30/03.

Christianson, Laura, College of Fine Arts, Instructor (part-time), Art, 8/1/02 through 12/31/02.

Connell, Robert B., College of Fine Arts, Instructor (part-time), Art, 8/1/02 through 12/31/02.

Crittenden, Roger, College of Law, Instructor (part-time), Law, 10/1/02 through 2/28/03.

Davis, Britt, College of Communications and Information Studies, Adjunct Instructor, Journalism and Telecommunications, 8/16/02 through 5/31/03.

Dean, Johnie, College of Fine Arts, Instructor (part-time), Music, 9/1/02 through 12/31/02.

Doyle, Ann S., Libraries, Librarian III, Libraries, 7/1/02 through 6/30/03.

Eardley, Anthony, College of Architecture, Instructor (part-time), Architecture, 8/1/02 through 12/31/02.

Fox, Stephen R., College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.

Fritz, Nancy L., Libraries, Librarian IV, Libraries, 7/1/02 through 6/30/03.

Gibson, James, College of Architecture, Instructor (part-time), Architecture, 8/1/02 through 5/31/03.

Glixon, Beth, College of Fine Arts, Instructor (part-time), Music, 8/1/02 through 12/31/02.

Greenwell, Stacey, Libraries, Librarian IV, Libraries, 7/1/02 through 6/30/03.

Grise, Jane Bloom, College of Law, Instructor (part-time), Law, 10/1/02 through 2/28/03.

Hale, Frank, College of Arts and Sciences, Instructor (temporary), Philosophy, 8/16/02 through 6/30/03.

Hamperian, Roger, Libraries, Librarian IV, Libraries, 7/1/02 through 6/30/03.

Hardwick, Theodore H., College of Agriculture, Instructor (part-time), Landscape Architecture, 9/1/02 through 12/31/02.

Hoffman, Dorotea, College of Fine Arts, Instructor (part-time), Music, 8/1/02 through 12/31/02.

Hunter, Pauline, College of Human Environmental Sciences, Instructor (part-time), Nutrition and Food Science, 8/16/02 through 5/15/03.

Jacobs, Michael, College of Architecture, Instructor (part-time), Architecture, 8/1/02 through 12/31/02.

Johnson, Lucy S., College of Fine Arts, Instructor (part-time), Art, 8/1/02 through 12/31/02.

Jones, Vanessa H., College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.

Kamlager, Carolee, College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.

Kaplan, Laura E., College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.

Koester, Mary Teresa, College of Fine Arts, Instructor (part-time), Art, 8/1/02 through 12/31/02.



Leet, Vicki, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/02 through 12/31/02.

Masse, Gerard J., College of Fine Arts, Instructor (part-time), Art, 8/1/02 through 12/31/02.

Morrison, Matthew, Libraries, Librarian IV, Libraries, 7/1/02 through 6/30/03.

Mueller, J. Michael, College of Law, Instructor (part-time), Law, 10/1/02 through 2/28/03.

Neel, Mary Jo Staggs, Libraries, Librarian IV, Libraries, 7/1/02 through 6/30/03.

Osborne, Amy B., Libraries, Librarian III, Libraries, 7/1/02 through 6/30/03.

Osland, Lisa, College of Fine Arts, Instructor (part-time), Music, 8/1/02 through 5/31/03.

Oyuela-Caycedo, Augusto, College of Arts and Sciences, Assistant Professor (temporary), Anthropology, 8/16/02 through 6/30/03.

Paige, Roger, College of Fine Arts, Assistant Professor (temporary), Theatre, 8/15/02 through 6/30/03.

Payne, Connie Michelle, College of Law, Instructor (part-time), Law, 10/1/02 through 2/28/03.

Perry, Valerie, Libraries, Librarian III, Libraries, 7/1/02 through 6/30/03.

Reid, Caroline E., College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.

Robertson, William Craig, College of Law, Instructor (part-time), Law, 10/1/02 through 2/28/03.

Scannell, Kerri A., Libraries, Librarian IV, Libraries, 7/1/02 through 6/30/03.

Seamans, Marsha S., Libraries, Librarian III, Libraries, 7/1/02 through 6/30/03.

Silman, Miriam S., College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.

Taylor, Elizabeth M., College of Arts and Sciences, Assistant Professor (temporary), Social Theory, 7/1/02 through 6/30/03.

Underwood, Virginia H., College of Law, Instructor (part-time), Law, 10/1/02 through 2/28/03.

Vickery, Kelly M., Libraries, Librarian III, Libraries, 7/1/02 through 6/30/03.

Vivian, Beverly, College of Human Environmental Sciences, Adjunct Instructor, Nutrition and Food Science, 8/16/02 through 5/15/03.

Weissmueller, Steve, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/02 through 5/31/03.

Welch, John Kevin, College of Law, Instructor (part-time), Law, 10/1/02 through 2/28/03.

Wermeling, Linda R., College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.

White, David L., College of Agriculture, Instructor (part-time), Landscape Architecture, 9/1/02 through 12/31/02.

Whorley, Larry W., College of Social Work, Instructor (part-time), Social Work, 8/16/02 through 5/15/03.

Zory, Matthew, College of Fine Arts, Instructor (part-time), Music, 8/1/02 through 12/31/02.

### **C. LEAVES OF ABSENCE**

Berdine, William, College of Education, Professor (with tenure), Special Education and Rehabilitation Counseling, Sabbatical leave with full salary, 7/1/03 through 12/31/03.

Freed, Michele, Lexington Community College, Professor (with tenure), Lexington Community College, Leave without pay, 1/1/03 through 6/30/03.

Menguc, Pinar, College of Engineering, Professor (with tenure), Mechanical Engineering, Sabbatical leave with full salary, 1/1/03 through 6/30/03.

Poonacha, Kockanda, College of Agriculture, Professor\* (with tenure), Veterinary Science, Leave without pay, 9/30/02 through 10/15/02.

Unrug, Kot, College of Engineering, Professor (with tenure), Mining Engineering, Sabbatical leave with full salary, 1/1/03 through 6/30/03.

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\*Special Title series

## MEDICAL CENTER

### **I. BOARD ACTION**

#### **A. ACADEMIC APPOINTMENTS**

- DeMoss, Darrin L., College of Medicine, Associate Adjunct Professor, Physiology, 11/1/02 through 6/30/03.
- Hirschowitz, Edward A., College of Medicine, Assistant Professor, Internal Medicine, reappointed to the Merck & Co., Inc. Professorship in Pulmonary Medicine, College of Medicine, 7/1/02 through 6/30/03.
- Johnson, Jill R., College of Pharmacy, Clinical Assistant Professor, 8/1/02 through 6/30/03.
- Scheff, Stephen W., College of Medicine, Professor (with tenure), Anatomy and Neurology, joint appointments as Professor (without tenure), Neurology and College of Arts and Sciences, Department of Psychology, named to the Sylvia Mansbach Endowed Professorship in Alzheimer's Disease Research, College of Medicine, 7/1/02 through 6/30/07.

#### **B. ADMINISTRATIVE APPOINTMENTS**

- Adams, Jonathan, Markey Cancer Center, Experimental Therapeutics Assistant Director, effective 11/1/02.
- Hall, Lynne A., College of Nursing, Professor (with tenure), joint appointments as Professor (without tenure), College of Medicine, Kentucky School of Public Health and Department of Behavioral Science, reappointed Director of Graduate Studies for the Ph.D. Program, College of Nursing, 7/1/02 through 6/30/05.
- Jennings, Chester D., College of Medicine, Professor (with tenure), Pathology and Laboratory Medicine, joint appointment as Associate Professor (without tenure), Graduate School, Graduate Center for Toxicology, named Associate Dean for Academic Affairs, College of Medicine, effective 10/14/02.
- Manella, Francis J., Pharmacy, CPST Operations Director (Manufacturing), effective 11/1/02.
- Sebastian, Juliann G., College of Nursing, Professor\* (with tenure), joint appointment as Associate Professor\* (without tenure), College of Medicine, Kentucky School of Public Health, reappointed Director of Graduate Studies for the Master's Program, College of Nursing, 7/1/02 through 6/30/05.
- Scutchfield, F. D., College of Medicine, Professor (with tenure), Preventive Medicine and Environmental Health, joint appointments as Professor (without tenure), Family Practice and College of Health Sciences, Department of Health Services, named Chair, Department of

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\*Special Title series

Preventive Medicine and Environmental Health, College of Medicine,  
10/1/02 through 9/30/08.

### **C. JOINT APPOINTMENTS**

Gerhardt, Greg A., College of Medicine, Professor (with tenure), Anatomy and Neurobiology, joint appointment as Professor (without tenure), Neurology, new joint appointment as Professor (without tenure), Psychiatry, effective 10/30/02.

Hall, Edward D., College of Medicine, Professor (with tenure), Anatomy and Neurobiology, joint appointment as Professor (without tenure), Neurology, effective 11/1/02.

### **D. PROMOTIONS**

Casey, Baretta R., College of Medicine, Associate Professor (voluntary), Family Practice, to Clinical Professor, Family Practice, 10/1/02 through 6/30/03.

### **E. CHANGES**

Buck, James L., College of Medicine, from Professor\* (with tenure), Diagnostic Radiology, to Professor (part-time), Diagnostic Radiology, 9/29/02 through 6/30/03.

Cowen, David E., College of Medicine, from Associate Professor (part-time), Ophthalmology, to Associate Professor (voluntary), Ophthalmology, 10/30/02 through 6/30/03.

Rodgers, Janet, Chancellor's Office, from Veterinarian, Lab Animal Resources, to Senior Veterinarian, Lab Animal Resources, effective 11/1/02.

### **F. EARLY RETIREMENTS**

Drummond, James F., College of Dentistry, Professor (with tenure), Oral Health Science, after 29 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 6/30/03.

Fassas, Tarcy J., University Hospital, Invasive Cardio Tech Chief, Special Diagnostic Facilities, after 32 years of consecutive service, and a total of 35 years, 7 months, under AR II-1.6-1, Section III.A.2, effective 1/2/03.

Lawson, Essie K., College of Dentistry, Medical Records Clerk Sr., Dental Records, after 35 years, 8 months of consecutive service, and a total of 36 years, 2 months, under AR II-1.6-1, Section III.A.2, effective 8/8/02.

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\*Special Title series

Yoneda, Kokichi, College of Medicine, Professor (with tenure), Pathology and Laboratory Medicine, after 27 years, 2 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 9/7/02.

## II. ADMINISTRATIVE ACTION

### A. ACADEMIC APPOINTMENTS

Alberty, Stephanna L., College of Health Sciences, Instructor (voluntary), Rehabilitation Sciences, 10/30/02 through 6/30/03.

Atallah, Joseph N., College of Medicine, Assistant Professor (voluntary), Anesthesiology, 10/30/02 through 6/30/03.

Bates, Mark, College of Medicine, Assistant Professor (voluntary), Family Practice, 10/30/02 through 6/30/03.

Boyd, Michael A., College of Medicine, Assistant Professor (voluntary), Family Practice, 10/30/02 through 6/30/03.

Bridges, Brent, College of Pharmacy, Assistant Professor (voluntary), 10/30/02 through 6/30/03.

Cooney, Paul, College of Medicine, Assistant Professor (voluntary), Family Practice, 10/30/02 through 6/30/03.

Fisk-Owais, Carol E., College of Medicine, Assistant Professor (part-time), Psychiatry, 1/1/03 through 6/30/03.

Kadambi, Arun, College of Medicine, Assistant Professor (voluntary), Pediatrics, 10/30/02 through 6/30/03.

Kries, Kelly E., College of Medicine, Assistant Professor (voluntary), Pediatrics, 10/30/02 through 6/30/03.

Lester, William J., College of Medicine, Assistant Professor (voluntary), Physical Medicine and Rehabilitation, 11/1/02 through 6/30/03.

Martin, Aribbe A., College of Medicine, Assistant Professor (voluntary), Family Practice, 10/30/02 through 6/30/03.

McCreary, Richard, College of Medicine, Assistant Professor (voluntary), Anesthesiology, 11/1/02 through 6/30/03.

Mehari, Enawgaw, College of Medicine, Assistant Professor (voluntary), Family Practice, 10/30/02 through 6/30/03.

Muhammad, Asif A., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 11/1/02 through 6/30/03.

Naidu, Lakshmi, College of Medicine, Assistant Professor (voluntary), Family Practice, 10/30/02 through 6/30/03.

Newcomb, O. T., College of Medicine, Assistant Professor (voluntary), Family Practice, 10/30/02 through 6/30/03.

Northrip, Dennis, College of Medicine, Assistant Professor (voluntary), Anesthesiology, 10/30/02 through 6/30/03.

Shalash, Amina, College of Medicine, Instructor (voluntary), Family Practice, 11/1/02 through 6/30/03.

Stertz, Leon, College of Medicine, Assistant Professor (voluntary), Family Practice, 10/30/02 through 6/30/03.

White, Janet M., College of Medicine, Assistant Professor (voluntary),  
Anesthesiology, 10/30/02 through 6/30/03.  
Yarbrough, Stephanie, College of Pharmacy, Assistant Professor (voluntary),  
10/30/02 through 6/30/03.

#### **B. ADMINISTRATIVE APPOINTMENTS**

Damron, Bobbie, College of Medicine, Nurse Practitioner, General Surgery,  
effective 8/19/02.  
Dawson, Dolph, College of Dentistry, Clinical Research Scientist, effective  
9/1/02.  
Hart, Lisa, College of Pharmacy, Clinical Pharmacist, effective 10/7/02.  
Jones, Shelly M., University Hospital, Clinical Staff Pharmacist I, Pharmacy  
Services, effective 8/26/02.  
Stone, Charles K., College of Medicine, Associate Professor\* (with tenure),  
Emergency Medicine, named Acting Chair, Department of Emergency  
Medicine, College of Medicine, 9/1/02 through 8/31/03.

#### **C. JOINT APPOINTMENTS**

Allweiss, Pamela H., College of Medicine, Assistant Professor\*, Preventive  
Medicine and Environmental Health, joint appointment as Assistant  
Professor\*, Family Practice, new joint appointment as Assistant  
Professor\*, Physical Medicine and Rehabilitation, 11/1/02 through  
6/30/03.

#### **D. CHANGES**

Cornett, Heather, University Hospital, from Clinical Staff Pharmacist I,  
Pharmacy, to Clinical Staff Pharmacist II, Pharmacy, effective  
8/25/02.  
Ison, Thomas G., College of Dentistry, from Clinical Assistant Professor, Oral  
Health Science, to Assistant Professor (part-time), Oral Health  
Science, 11/1/02 through 6/30/03.  
Kalonick, Daniel, University Hospital, from Radiation Medicine Tech,  
Radiation Medicine, to Clinical Dosimetrist, Radiation Medicine,  
effective 9/8/02.  
McMahan, Matthew E., College of Pharmacy, from Assistant Adjunct  
Professor, to Clinical Assistant Professor, 10/1/02 through 6/30/03.  
Nicholas, Amy, College of Pharmacy, from Assistant Adjunct Professor, to  
Clinical Assistant Professor, 10/1/02 through 6/30/03.  
Simpson, Deidre, from Clinical Staff Pharmacist I, University Hospital,  
Pharmacy Services, to Clinical Pharmacist, College of Pharmacy,  
effective 10/7/02.

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\*Special Title series

**E. LEAVES OF ABSENCE**

Pursley, Holly G., College of Medicine, Clinical Assistant Professor, Internal Medicine, leave without pay, 10/1/02 through 12/31/02.

# PR 3

Office of the President  
October 29, 2002

Members, Board of Trustees:

## NAMING OF UNIVERSITY BUILDING

Recommendation: that the Board of Trustees approve the renaming of Anderson Hall to the F. Paul Anderson Tower.

Background: The University dedicated the new Ralph G. Anderson Building on September 6, 2001. Due to the similarity of the building names, the College of Engineering has requested that the name of Anderson Hall be changed to the F. Paul Anderson Tower in recognition of the first dean of engineering at the University of Kentucky.

The Committee on Naming University Buildings has reviewed the request and found it to be in compliance with university policy A.R. II-1.1-6 and unanimously recommended approval of this name change. The Acting Provost of the University supports this recommendation.

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



Office of the President  
October 29, 2002

Members, Board of Trustees:

DIRECTOR OF FOOD SERVICES  
EMERITUS BE CONFERRED UPON  
CAROL RAITZ

Recommendation: that Ms. Carol Raitz be named Director of Food Services Emeritus in recognition of her long service and dedication to University of Kentucky students for more than 32 years.

Background: In 1970, Ms. Raitz began her career as Manager of the Commons Dining Room. Ms. Raitz was named Assistant Director of Food Services in 1987. She was named Director of Food Services in 1995 and served as Director until she retired in 2002. Ms. Raitz initiated the first academic partnerships between Food Services and the College of Agriculture and the College of Human Environmental Sciences. Under her direction, the Lemon Tree, a student managed dining room, and the Block and Barrel Deli in Erikson Hall became successful partnerships between Food Services and the College of Human Environmental Sciences. Ms. Raitz opened a second Block and Barrel Deli in the College of Agriculture, another successful venture. Ms. Raitz worked with the architects of the W. T. Young Library to design Ovid's. There she developed the upscale dining service at Ovid's which has proven to be very popular with students. During Ms. Raitz's tenure as Food Service Director, student satisfaction with Food Services enjoyed a high rating. Further, Ms. Raitz's menus for Food Service received the American Medical Association award for healthy food choice offerings. The University of Kentucky was the only public university to receive this honor. Ms. Raitz, at the request of students, played a major role in bringing "branded concepts" to campus which included Long John Silver, KFC, Freshens, and Mark Pi. Ms. Raitz was also active in the National Association of College and University Food Services (NACUFS), serving as Vice President for Region III from 1997-98, and as Region III President from 1999 to 2002.

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Action Taken:  Approved     Disapproved     Other \_\_\_\_\_

# PR 5

Office of the President  
October 29, 2002

Members, Board of Trustees:

## APPOINTMENT OF PROVOST

Recommendation: that the Board of Trustees approve the appointment of Dr. Michael T. Nietzel as Provost, effective November 1, 2002.

Background: When President Todd assumed office on July 1, 2001, he reorganized the University and created the position of Provost. He appointed Dr. Nietzel as Acting Provost. A committee was appointed last summer to identify and recommend qualified applicants for the permanent position of Provost. The committee included deans, a student, a faculty member recommended by the head of the Women's Commission and two faculty members named by the Faculty Senate Council. The search committee considered 37 candidates who were either nominated or applied for the position. The committee stated that the pool was broad and diverse in terms of race, ethnicity and gender. It also represented a strong mix of professional backgrounds, including current provosts, deans and vice presidents at other universities. The committee unanimously agreed to submit seven names to the President, four of which they stated stand out from the pool of applicants.

In submitting the recommendations, the Advisory Committee asked the President to consider an appointment from these candidates. The committee noted that it was their unanimous belief that the University would be best served by the President making a decision at this point in the process.

After a review of the recommended candidates' credentials and careful consideration, the President determined that Dr. Nietzel is the most qualified candidate for the Provost position. In addition, the President noted Dr. Nietzel's long service to the University, his intimate knowledge of the institution, and his high standing with his peers on the campus, all of which make him the right person at the right time to serve as the academic leader of this University.

Dr. Nietzel began his career at the University of Kentucky in 1973 as an instructor in the Department of Psychology. In 1976, he was appointed Director of the Clinical Psychology Training Program. In 1987, he was named Acting Director of Graduate Studies for the Department of Psychology and in 1988 was named Associate Director of Graduate Studies. From 1991 to 1997, Dr. Nietzel served as Chair of the Department of Psychology. He was named Dean of the Graduate School for the University of Kentucky in 1997 and served as Dean until 2001 when he was appointed Acting Provost.

Dr. Nietzel's professional and consulting activities have been numerous, including serving as Consulting Psychologist to the South Carolina Public Defender Office, consulting with the ACLU National Prison Project, and serving as the consulting psychologist to numerous law firms in nearly 10 states. Dr. Nietzel was appointed to the Governor's Council on Domestic Violence and Sexual Assault in 2000. He has been a productive journal reviewer, and a prolific publisher of books and articles, as well as a public presenter. He has received numerous grants and awards in the field of Psychology.

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Action Taken:     Approved     Disapproved     Other \_\_\_\_\_

# PR 6

Office of the President  
October 29, 2002

Members, Board of Trustees:

## APPOINTMENT OF VICE PRESIDENT FOR RESEARCH

Recommendation: that the Board of Trustees approve the appointment of Dr. Wendy Baldwin as Vice President for Research, effective January 1, 2003.

Background: When President Todd assumed office on July 1, 2001, he appointed Dr. James Boling as Acting Vice President for Research. In January 2002 President Todd appointed a search committee chaired by Professor Kim Anderson from the College of Engineering to seek candidates for the position of Vice President for Research. As a result of that search, four finalists for the position were brought to campus, where they met with the President and with faculty and staff from various organizational units. Persons meeting with the candidates were invited to send their comments and preferences on each to the committee. These in turn were forwarded to the President.

Dr. Baldwin began her career as a social worker in the Suffolk County Department of Social Services in Bayshore, New York. During the period 1968-1972, she served as a Research Assistant in the Department of Sociology at the University of Kentucky while attaining her M.A. and Ph.D. In 1973, Dr. Baldwin began a 20-year period of service to the National Institute of Child Health and Human Development. During that period she served as the Health Scientist Administrator for the Behavioral Sciences Branch of the Center for Population Research, as Chief of the Demographic and Behavioral Sciences Branch of the Center for Population Research, and as Deputy Director. Since 1993, Dr. Baldwin has served as Deputy Director for Extramural Research at the National Institutes of Health in Bethesda, Maryland.

Dr. Baldwin is a member of numerous professional associations, has published dozens of papers and articles and has testified extensively before Congress on a broad range of research issues. She is a member of the board of the Human Frontier Science program, served as a U.S. Representative to the World Health Organization and is a member of the International Advisory Committee for the Scientists for Health and Research for Development Association. Dr. Baldwin also has served on The Pew Charitable Trust, the Federal Demonstration Partnership, the National Science and Technology Council and the American Association for the Advancement of Science.

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Action Taken:     Approved     Disapproved     Other \_\_\_\_\_

# PR 7

Office of the President  
October 29, 2002

Members, Board of Trustees:

## APPOINTMENT OF GENERAL COUNSEL

Recommendation: that the Board of Trustees approve the appointment of Paul C. Van Booven as General Counsel, effective November 1, 2002.

Background: Paul Van Booven has served as Acting General Counsel since May 2002. He has been associated with the University in various capacities for almost three decades. Mr. Van Booven's institutional knowledge and understanding of the University's organizational structure and operations make him an excellent recommendation for the position of General Counsel.

Mr. Van Booven received his bachelor's degree from DePauw University before returning to Kentucky to receive his Juris Doctor degree from the University of Kentucky College of Law in 1976. At UK, Mr. Van Booven has served as the managing editor of the *Kentucky Law Journal*. He served as an assistant and associate dean in the UK College of Law from 1976 through 1989. He moved to the UK Office of Legal Counsel in 1989 as Associate General Counsel and has served as Deputy General Counsel and, on two occasions, as Acting General Counsel.

Mr. Van Booven is admitted to practice in the Commonwealth of Kentucky, the United States District Court for the Eastern District of Kentucky, the United States Court of Appeals for the Sixth Circuit, and the United States Supreme Court.

The position of General Counsel was advertised online through the Office of Human Resources. Several applications were received and reviewed. From the review, it was clear that Mr. Van Booven was the most qualified of the applicants, principally through his years of service in the University's Office of Legal Counsel and his educational background.

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Action Taken:     Approved     Disapproved     Other \_\_\_\_\_

# AACR 1

Office of the President  
October 29, 2002

Members, Board of Trustees:

CHANGE OF ORGANIZATIONAL STRUCTURE OF THE  
KENTUCKY TOBACCO RESEARCH DEVELOPMENT CENTER

Recommendation: that the Board of Trustees approve the transfer of administrative oversight for the Kentucky Tobacco Research and Development Center from the Vice President for Research to the Dean, College of Agriculture.

Background: Part of the charge to the Futures Task Force was to make recommendations concerning the administrative reporting relationships for the centers and institutes currently reporting to the Vice President for Research. The Task Force responded to this charge with several recommendations, including the transfer of the Kentucky Tobacco Research and Development Center (previously known as the Tobacco and Health Research Institute) to the College of Agriculture.

The Acting Vice President for Research has recommended this proposal and the Acting Provost of the University supports this recommendation.

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

# AACR 2

Office of the President  
October 29, 2002

Members, Board of Trustees:

BACHELOR OF SCIENCE IN BIOSYSTEMS AND  
AGRICULTURAL ENGINEERING

Recommendation: that the Board of Trustees approve the change in the name of the Bachelor of Science in Agricultural Engineering to Bachelor of Science in Biosystems and Agricultural Engineering.

Background: The name of the Department was changed from Agricultural Engineering to Biosystems and Agricultural Engineering in 1995 to reflect the shift from the traditional emphasis on engineering for agriculture toward a broader study of engineering for biological systems. Approval of this recommendation will change the undergraduate degree title to conform to the departmental name.

This proposal has the approval of the Undergraduate Council, Senate Council and University Senate. The Acting Provost of the University supports this recommendation.

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

# AACR 3

Office of the President  
October 29, 2002

Members, Board of Trustees:

## CREATION OF A COLLEGE OF DESIGN

Recommendation: that the Board of Trustees approve the creation of a College of Design at the University of Kentucky. The College of Design will consist of the School of Interior Design (presently in the College of Human Environmental Sciences), a new School of Architecture (replaces the College of Architecture) and a new Department of Historic Preservation (presently the Master of Historic Preservation program in the College of Architecture).

Background: The creation of a College of Design would consolidate three professional design disciplines into one academic unit: Interior Design, Architecture, and Historic Preservation. This consolidation reflects an increasing interaction among the varied professional design disciplines in their practices.

Discussions regarding the establishment of a College of Design have occurred for over two years. The faculties from the affected programs have reviewed the issue thoroughly, both within their own units as well as together. Professional organizations and visiting committees for these programs have encouraged the movement towards a College of Design. The Futures Task Force recommended establishment of a design college; furthermore, an external review committee composed of eminent design professionals and scholars concurred on this course of action.

The professional programs in each of these schools will not be changed as a result of this proposal. The administrative structure for the College of Design will consist of one dean, directors for each of the two schools, and a chair for the preservation program.

The proposal has been reviewed and recommended by the Senate Committee on Academic Organization and Structure and the Senate Council; and recommended for approval by the University Senate. The Acting Provost of the University supports this recommendation.

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



# AACR 4

Office of the President  
October 29, 2002

Members, Board of Trustees:

MASTER OF SCIENCE: PROFESSIONAL MASTER OF  
BIOMEDICAL ENGINEERING

Recommendation: that the Board of Trustees approve the establishment of a Master of Science: Professional Master of Biomedical Engineering degree program in the Center for Biomedical Engineering.

Background: The Master of Science: Professional Master of Biomedical Engineering program will prepare students for careers as leaders in traditional medical device or pharmaceutical manufacturing settings. Careers also await graduates in venture capital and industry analyst professions. The program will attempt to instill an entrepreneurial spirit in its graduates, encouraging them to start companies to commercialize emerging biomedical technologies.

There exists a clear need for the nation's leading academic institutions to educate their students in technological leadership skills in biomedical engineering. Modern society has become increasingly dependent upon technological solutions to complex problems, especially those pertaining to healthcare. This program will help fill that need by training individuals with the capabilities to direct the development and implementation of biomedical technologies. This program will be evaluated, in part, by tracking the value of the program to industry, the placement success of graduates, and the number of start-up commercial enterprises in Kentucky that may be attributed to the program.

This program seeks to help catapult the University of Kentucky into the emerging trend of graduate biomedical engineering education, compete for the nation's best students, and shape them into the technological leaders of tomorrow, while simultaneously helping to create new technologies and bring new biomedical technology-based business to Kentucky.

This program has the approval of the Graduate Council and Senate Council, and has completed the forty-five day review by the Council on Postsecondary Education. The Acting Provost of the University supports this recommendation.

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

# FCR 1

Office of the President  
October 29, 2002

Members, Board of Trustees:

ACCEPTANCE OF INTERIM FINANCIAL REPORT FOR THE  
UNIVERSITY OF KENTUCKY FOR THREE MONTHS ENDED  
SEPTEMBER 30, 2002

Recommendation: that the Board of Trustees accept the University of Kentucky consolidated financial report for the three months ended September 30, 2002.

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

As of September 30, 2002, the University had realized income of \$416,062,000 representing 31% of the 2002-03 estimate of \$1,341,113,000. Expenditures and commitments total \$361,019,000 or 27% of the approved budget of \$1,341,113,000.

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



*Consolidated Financial  
Statements*

*For the three months ended September 30, 2002*

**CONSOLIDATED BALANCE SHEET**  
**UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS**  
**SEPTEMBER 30, 2002**  
with comparative totals for September 30, 2001  
(in thousands)

	2002-03					2001-02	
	Current Unrestricted Funds	Current Restricted Funds	Loan Funds	Endowment Funds	Plant Funds	Totals	Totals
<b>ASSETS</b>							
Cash and cash equivalents	\$ 97,832		\$ 5,867	\$ 1,862	\$ 253,633	\$ 359,194	\$ 352,124
Notes, loans, and A/R (less bad debt allowances of \$47,174)	102,722	\$ 28,645	22,730	1,372	5,293	160,762	173,342
Investments	39,621	131,024		371,054	45,380	587,079	584,603
Property, plant, and equipment, net of depreciation					846,737	846,737	784,670
Inventories and other	13,448	278				13,726	12,670
<b>Total Assets</b>	<b>\$ 253,623</b>	<b>\$ 159,947</b>	<b>\$ 28,597</b>	<b>\$ 374,288</b>	<b>\$ 1,151,043</b>	<b>\$ 1,967,498</b>	<b>\$ 1,907,409</b>
<b>LIABILITIES AND FUND BALANCES</b>							
<b>Liabilities</b>							
Accounts payable	\$ 26,127	\$ 2,225	\$ 534		\$ 1,812	\$ 30,698	\$ 32,373
Employee withholdings and deposits		18,882				18,882	19,867
Other liabilities	6,247	1,592	20,215	\$ 5,578	2,691	36,323	37,027
Liability for self insurance	50,710					50,710	51,486
Deferred income	16,053	19,507				35,560	33,170
Bonds payable					211,266	211,266	229,826
Capitalized lease obligation					47,126	47,126	45,773
<b>Total Liabilities</b>	<b>99,137</b>	<b>42,206</b>	<b>20,749</b>	<b>5,578</b>	<b>262,895</b>	<b>430,565</b>	<b>449,522</b>
Interfund Balances	(63,308)	60,210		12,353	(9,255)		
Net deferred revenues and appropriated fund balances	66,484	(2,008)				64,476	46,087
<b>Fund Balances</b>							
<b>Current unrestricted</b>							
Working capital	140,481					140,481	156,442
Future operating purposes	7,849					7,849	5,838
Other	2,980					2,980	1,246
<b>Current restricted</b>							
Loan		59,539	7,848			59,539	58,979
True endowments				300,778		300,778	314,454
Term endowments				3,613		3,613	4,521
Quasi endowments				51,966		51,966	67,676
<b>Plant</b>							
Retirement of indebtedness					28,228	28,228	28,665
Renewal and replacement					120,063	120,063	93,290
Allocated for designated projects					141,330	141,330	124,981
Net investment in plant					607,782	607,782	548,182
<b>Total Fund Balances</b>	<b>151,310</b>	<b>59,539</b>	<b>7,848</b>	<b>356,357</b>	<b>897,403</b>	<b>1,472,457</b>	<b>1,411,800</b>
<b>Total Liabilities and Fund Balances</b>	<b>\$ 253,623</b>	<b>\$ 159,947</b>	<b>\$ 28,597</b>	<b>\$ 374,288</b>	<b>\$ 1,151,043</b>	<b>\$ 1,967,498</b>	<b>\$ 1,907,409</b>

**CONSOLIDATED STATEMENT OF CURRENT FUNDS REVENUES AND APPROPRIATED FUND BALANCES  
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS  
FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2002**

with comparative totals for September 30, 2001  
(in thousands)

	2002-03				2001-02	
	Original Budget	Revised Budget	Realized To Date	%	Realized To Date	%
<b>General Fund</b>						
(1) State appropriations	\$ 313,431	\$ 313,431	\$ 93,974	30	\$ 79,743	25
(2) Student fees	139,852	139,852	71,575	51	65,971	51
(3) County appropriations	9,070	9,070	2,927	32	1,889	23
(4) Trust income	876	876	176	20	72	9
(5) Investment income	10,707	10,707	2,776	26	3,194	28
(6) Non governmental grants and contracts	84,600	84,600	14,384	17	14,892	18
(7) Grants, donations, pledges						
Affiliated corporations	19,717	19,717	4,641	24	3,309	21
Other	6,930	12,930	7,604	59	1,542	21
(8) Sales and services	35,098	29,098	6,865	24	6,741	24
(9) Fund balance	21,837	21,837	21,837	100	20,561	100
(10) Total General Fund	642,118	642,118	226,759	35	197,913	32
(11) <b>Auxiliary Enterprises</b>	43,242	43,242	13,100	30	11,930	29
<b>Restricted Funds</b>						
(12) Federal appropriations	16,078	16,078	4,458	28	4,446	27
(13) Other	86,562	86,562	27,371	32	19,452	24
(14) <b>Affiliated Corporations</b>	232,024	232,024	55,084	24	51,594	25
(15) <b>Hospital</b>						
Revenues	321,089	321,089	89,290	28	77,753	25
(16) Fund balance						
(17) Total Revenues and Appropriated Fund Balances	<u>\$ 1,341,113</u>	<u>\$ 1,341,113</u>	<u>\$ 416,062</u>	31	<u>\$ 363,087</u>	28

**CONSOLIDATED STATEMENT OF CURRENT FUNDS EXPENDITURE SUMMARY BY PROGRAM - ALL FUNDS  
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS  
FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2002**

with comparative totals for September 30, 2001  
(in thousands)

	2002-03				2001-02	
	Original Budget	Revised Budget	Expended/ Encumbered To Date	%	Expended/ Encumbered To Date	%
(1) Instruction	\$ 269,420	\$ 273,416	\$ 64,426	24	\$ 65,113	24
(2) Research	208,439	206,647	49,128	24	41,744	22
(3) Public service	170,278	169,754	41,128	24	39,760	24
(4) Academic support	83,577	83,227	23,894	29	21,205	27
(5) Student services	19,989	21,033	5,439	26	4,979	23
(6) Institutional support	52,962	51,286	15,009	29	11,926	25
(7) Student financial aid	63,554	64,822	32,651	50	27,200	49
(8) Operation and maintenance	49,750	47,784	9,529	20	9,144	19
(9) Mandatory transfers (debt service)	19,451	19,451	16,223	83	17,325	82
(10) Hospital	319,460	319,460	76,101	24	59,001	19
(11) Auxiliary enterprises	84,233	84,233	27,491	33	28,468	35
(12) Total Expenditure by Program	<u>\$ 1,341,113</u>	<u>\$ 1,341,113</u>	<u>\$ 361,019</u>	27	<u>\$ 325,865</u>	25

**EXPENDITURE SUMMARY BY CATEGORY OF EXPENDITURE  
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS  
FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2002**

with comparative totals for September 30, 2001  
(in thousands)

	2002-03				2001-02	
	Original Budget	Revised Budget	Expended/ Encumbered To Date	%	Expended/ Encumbered To Date	%
(13) Personnel costs	\$ 781,258	\$ 776,029	\$ 186,785	24	\$ 176,160	24
(14) Operating expenses	493,537	495,845	138,916	28	114,737	23
(15) Mandatory transfers (debt service)	30,723	30,723	17,971	58	19,150	58
(16) Capital outlay	35,595	38,516	17,346	45	15,818	37
(17) Total Expenditure by Category	<u>\$ 1,341,113</u>	<u>\$ 1,341,113</u>	<u>\$ 361,019</u>	27	<u>\$ 325,865</u>	25

**CONSOLIDATED SUMMARY OF NET DEFERRED REVENUES AND APPROPRIATED FUND BALANCES  
UNIVERSITY OF KENTUCKY AND AFFILIATED CORPORATIONS  
FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2002**

with comparative totals for September 30, 2001  
(in thousands)

	<u>2002-03</u>	<u>2001-02</u>
(1) <b>Realized Revenues</b>	\$ 394,225	\$ 342,526
<b>Appropriated Fund Balances</b>		
(2) Current Unrestricted Fund	\$ 21,837	20,561
(3) University Hospital	<u>          </u>	<u>          </u>
(4) Total Appropriated Fund Balances	<u>21,837</u>	<u>20,561</u>
(5) Total Revenues and Appropriated Fund Balances	416,062	363,087
(6) <b>Expenditures/Encumbrances</b>	361,019	325,865
(7) Less: Reserve for Encumbrances	<u>(9,433)</u>	<u>(8,865)</u>
(8) Total Expenditures	<u>351,586</u>	<u>317,000</u>
(9) <b>Net Deferred Revenues and Appropriated Fund Balances</b>	<u>\$ 64,476</u>	<u>\$ 46,087</u>

# FCR 2

1

Office of the President  
October 29, 2002

Members, Board of Trustees:

## CAPITAL CONSTRUCTION REPORT

Recommendation: that the capital construction report for the three months ending September 30, 2002, be accepted. This report refers only to projects that had activity within this quarter.

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

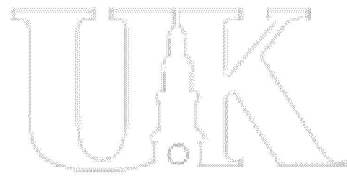
For the period July 1, 2002 – September 30, 2002, there were no new contracts, two amendments, seven change orders, and six contracts were completed.

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



*University of Kentucky*



*Capital Construction  
Quarterly Activity Report*

*For the three months ending September 30, 2002*

## **CAPITAL CONSTRUCTION CONTRACTS QUARTERLY ACTIVITY REPORT**

This report contains capital projects that have a dollar scope value of \$400,000 and above. The projects are listed in alphabetical order and contain the project number, the dollar scope, a brief description of the project work and information pertaining to the primary consultant's contract and the primary contractor's contract. This information includes:

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

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

## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY REPORT

### Glossary

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Administration Building Restoration**

Project Number: 2025.0

Scope: \$16,075,000

**Project Description:**

The Administration Building Reconstruction project involves rebuilding the interior and exterior portions of the building while re-using the exterior masonry wall shell that remained after the May 2001 fire. In general, the President's office and related functions will be housed in the building along with a visitor's center, a smart classroom, public ceremonial space and other administrative offices. All building systems will be new and include state of the art HVAC, electrical, communications, fire/smoke detection and suppression components and will be connected to the central campus utility systems. Structural and architectural systems and details are now being developed but will include new toilets, elevator and other amenities associated with new construction to meet current building codes and accessibility standards. Sitework will include the creation of a Patterson Plaza entrance at the east side of the building and a connecting link to the Gillis Building. Other sitework details are now being programmed.

**Consultant:** James Potts Architects

Contract # A021160

Total Amendments to Date: (1)

Original Contract Amount: \$841,340

Cumulative Amendment Amount: \$172,000

Revised Contract Amount: \$1,013,340

**Describe all amendments :**

**Amendment #1, 9/10/02, was approved for \$172,000 to provide for an increase in scope for additional design services. The additional services include the design and construction of increased site work that includes re-grading, utilities relocation and installation, roadwork and landscaping to incorporate the reconstruction of the building into the surrounding campus buildings and grounds.**

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

Contract #

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

Original Contract Amount:

Cumulative Change Order Amount:

Revised Contract Amount:

Contract Percent Complete:

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

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

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CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Aging/Allied Health Phase II

Project Number: 1651.1

Scope: \$36,018,664

**Project Description:**

This project consists of constructing a building to house the College of Allied Health Professions. It includes administrative and faculty offices, classrooms, teaching labs, conference and seminar rooms, a college commons, a student lounge, a student locker room, as well as therapy and exam rooms for the Communication Disorders Division. The building will consist of approximately 210,000 GSF, to include approximately 29,800 GSF of shelled space on the fifth floor, which will be fit up later by a separate project. In addition, the building will provide administrative offices, conference rooms and support spaces to house the Medical Center Chancellor's Office Suite. The building includes offices for the Center on Aging on the third floor and Research Laboratories occupying a part of the 4th floor.

**Consultant:** CMW, Inc.

Contract # A981240

Total Amendments to Date: (5)

Original Contract Amount: \$310,500

Cumulative Amendment Amount: \$2,124,854

Revised Contract Amount: \$2,435,354

**Describe all amendments :**

**Amendment #1**, 5/19/99 an increase of \$1,829,926 was approved to provide additional design services. This amendment covers additional Consultant services for Phases 2-5. **Amendment #2**, 1/5/00, an increase of \$125,000 was approved to provide reimbursable services for a resident inspector and vibration monitoring. **Amendment #3**, 2/21/00, an increase of \$75,915 was approved to provide additional design services required for increasing the project scope and reimbursable services for a constructability review. **Amendment #4**, 1/8/02, an increase of \$79,929.73 was approved to provide for additional design services due to owner requested changes and to provide for additional resident inspector services as a result of extending the construction contract completion date by 61 days. **Amendment#5, 8/13/02, an increase of \$14,084.00 was approved to provide for additional design services due to owner requested changes and for additional services resulting from found sub-surface conditions.**

**Contractor:** D.W. Wilburn, Inc.

Contract # X012376

Total Change Orders to Date: (89)

Low Bid: \$29,770,000

High Bid: \$33,000,000

Number of Bids: 5

Original Contract Amount: \$29,770,000

Cumulative Change Order Amount: \$1,527,314

Revised Contract Amount: \$31,297,314

Contract Percent Complete: 100%

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

**Change Order #4**, 5/10/00, an increase of \$56,268 was approved to raise the height of Hospital Drive and adjoining access drives. **Change Order #6**, 5/25/00, an increase of \$96,735 was approved to provide various modifications to the direct bury steam line. **Change Order #8**, 8/30/00, an increase of \$83,302 was approved to change external expansion joints to internal expansion joints in the steam line. **Change Order #17**, 9/30/00, an increase of \$49,395 was approved to change the signaling at Rose Street and to add equipment as mandated by state review. **Change Order #25**, 12/14/00, an increase of \$51,813.25 was approved to modify architectural, structural, mechanical and electrical requirements per the post bid addendum. **Change Order #26**, 1/9/01, an increase of \$34,460.90, was approved to relocate four existing water lines found to be in the path of tunnel construction. **Change Order #27**, 1/11/01, an increase of \$35,180.05, was approved to modify grading and clarify sign replacement work in front of the Nursing College and Pharmacy College. **Change Order #29**, 1/25/01, an increase of \$54,022.24, was approved to lower vault MH-407-1 in order to allow grading at Hospital Drive to work with the building and pedway. **Change Order #30**, 1/31/01, an increase of \$418,664.90, was approved to add chilled water piping to basement and west yard. **Change Order #38**, 3/30/01, for \$120,466.40 was approved for additional rock removal. **Change Order #49**, 06/12/01, an increase of \$44,165.75 was approved to provide for additional excavation for rock removal between manholes EC and ED along Ag. North Drive. **Change Order # 50**, 8/6/01, an increase of \$49,491.00 was approved to modify electrical manholes U-138, E-411, and E-412. **Change Order #57**, 10/01/01, an increase of \$26,119.95 was approved to provide additional raceway in order to provide additional capabilities for teleconferencing to the project. **Change Order #69**, 1/10/02, an increase of \$26,477.70 to extend the sanitary sewer line. **Change Order #89, 8/15/02, an increase of \$111,170.00 to increase the communications allowance required to provide communications' wiring inside the building as well as outside plant cabling.**

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Biomedical /Biological Sciences Research Bldg**

Project Number: 1876.0

Scope: \$67,200,000

**Project Description:**

The new structure will serve as a state of the art facility for collaboration in research and graduate education, biological chemistry, genetics, molecular and cellular biology, neuroscience and related fields. The design will allow the faculty of multidisciplinary teams to be housed in adjoining labs.

**Consultant:** A.M. Kinney

Contract # A001400

Total Amendments to Date: (1)

Original Contract Amount: \$5,600,000

Cumulative Amendment Amount: \$485,742

Revised Contract Amount: \$6,085,742

**Describe all amendments :**

**Amendment #1**, 12/11/01, an increase of \$485,742.00, was approved to provide consultant services to include the addition of a pedestrian bridge to the main campus, expanded Vivarium facilities and the addition of space for an amenity feature. **No amendments this quarter.**

**Contractor:** Gilbane (Construction Manager At-Risk)

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

Contract # X203535

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

Original Contract Amount: \$56,935,608

Cumulative Change Order Amount:

Revised Contract Amount: \$56,935,608

Contract Percent Complete:

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

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

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Chemotherapy Infusion Center Expansion**

Project Number: 1894.0

Scope: \$960,000

**Project Description:**

Renovate approximately 2,400 gross square feet of the first floor of the Markey Cancer Center's Roach Building to house the chemotherapy infusion center.

**Consultant:** Gartner, Burdick, Bauer-Nilsen, Inc. (GBBN)

Contract # A001370

Total Amendments to Date: (1)

Original Contract Amount: \$39,170

Cumulative Amendment Amount: \$94,449

Revised Contract Amount: \$133,619

**Describe all amendments :**

**Amendment #1**, 11/15/01, was approved for an increase of \$94, 449.00 to provide consultant services for the redesign of the Chemotherapy Infusion Center Expansion. This was due to recommended changes from a recent space utilization study. **No amendments this quarter.**

**Contractor:** The Wagner Co.

Contract # X204335

Total Change Orders to Date: (24)

Low Bid: \$558,813

High Bid: \$608,800

Number of Bids: 7

Original Contract Amount: \$558,813

Cumulative Change Order Amount: \$71,489

Revised Contract Amount: \$630,302

Contract Percent Complete: 94%

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

**Change Order #8**, 8/14/02, an increase of \$30,350.00 to relocate pumps from basement computer room to room 65 to avoid the risk of interference with the images produced by the patient MRI's.

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**Commonwealth Stadium Field Lighting**

Project Number: 2014.0

Scope: \$1,500,000

**Project Description:**

The project will provide design and construction of new lighting for the University of Kentucky's Commonwealth (football) Stadium. The lighting will be designed to meet NCAA and Southeastern Conference standards for Division One football as well as enhance the television and video appearance of the stadium and field. Emergency lighting will be included in the lighting design.

**Consultant:** CMTA

Contract # A021050

Total Amendments to Date: (1)

Original Contract Amount: \$108,000

Cumulative Amendment Amount: \$53,000

Revised Contract Amount: \$161,000

**Describe all amendments :**

**Amendment #1**, 2/12/02, was approved for an increase of \$53,000. This increase was to provide Phase 2- Design Development and Phase 3 - Construction Documents for a redesigned lighting scheme and also to allow for reimbursable expenses associated with subconsulting work. **No amendments this quarter.**

**Contractor:** Musco Sports Lighting

Contract # X206106

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

Original Contract Amount: \$1,134,300

Cumulative Change Order Amount:

Revised Contract Amount: \$1,134,300

Contract Percent Complete: 27%

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

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

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Gluck Equine Research Center Renovation**

Project Number: 2005.0

Scope: \$4,700,000

**Project Description:**

The project consists of the renovation of 18,000 gross square feet of existing laboratory space within the Maxwell H. Gluck Equine Research Center. The newly created space will include both offices and laboratories and will also include renovation of three laboratories on the fourth floor.

**Consultant:** Sherman / Carter / Barnhart

Contract # A011220

Total Amendments to Date: (1)

Original Contract Amount: \$355,000

Cumulative Amendment Amount: \$41,000

Revised Contract Amount: \$396,000

**Describe all amendments :**

**Amendment #1**, 7/9/2002, was approved for an increase of \$41,000 to cover the cost for the Consultant and their consultants to provide additional consultant services for Phase 3 and Phase 5 as stipulated in Section 3.2 of the contract. The Phase 3 services include testing and evaluating the building's air flow conditions and emergency power system. The Phase 5 services include the preparation of supplemental Drawings to modify research areas. **No amendments this quarter.**

**Contractor:** Burchfield/Thomas

Contract # X203732

Total Change Orders to Date: (8)

Low Bid: \$2,497,000

High Bid: \$2,761,000

Number of Bids: 5

Original Contract Amount: \$2,497,000

Cumulative Change Order Amount: \$21,916

Revised Contract Amount: \$2,518,916

Contract Percent Complete: 51%

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

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

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Infrastructure Utility Upgrade Phase II - Cooling Plant #1**

Project Number: 1997.0

Scope: \$14,135,000

**Project Description:**

Project consists of replacing cooling towers, pumps, chillers, and piping in Cooling Plant #1. New chilled water and condenser piping will be installed and sized for future replacement of all chillers.

**Consultant:** Staggs and Fisher

Contract # A021080

Total Amendments to Date: (0)

Original Contract Amount:

\$342,622

Cumulative Amendment Amount:

Revised Contract Amount:

\$342,622

**Describe all amendments :**

**No amendments this quarter.**

**Contractor:** E. L. Pipe

Contract # X201347

Total Change Orders to Date: (69)

Low Bid: \$10,389,222

High Bid: \$11,832,000

Number of Bids: 3

Original Contract Amount:

\$10,389,222

Cumulative Change Order Amount:

\$1,251,418

Revised Contract Amount:

\$11,640,640

Contract Percent Complete:

99%

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

**Change Order #2**, 12/07/01, was approved for \$98,485.18 for asbestos abatement for Cooling Plant #1. **Change Order #7**, 1/18/02 was approved for \$28,444.00 to provide 8" structural, concrete pads under the chillers. **Change Order #13**, 2/7/02, was approved for \$39,105.75 to add four pipe wells to the pump. **Change Order #22**, 3/14/02, was approved for \$75,084.56 to relocate bus duct for installation of cooling tower piping. **Change Order #27**, 3/28/02, was approved for \$250,000.00 for additional overtime to expedite completion of cooling plant #1. **Change Order #40**, 5/23/02, was approved for \$52,455.16 for acceleration of grade beams, ductbanks, and 24" chilled water piping. **Change Order #41**, 5/23/02, was approved for \$139,580.96 to revise 1st floor piping supports from floor mounted to ceiling mounted, between existing concrete beams to provide clearance around equipment. **Change Order #44**, 5/23/02, was approved for \$29,504.40 for additional temperature control components to provide better control of cooling plant. **Change Order #62**, 9/13/02, an increase of \$55,922 to add a PVC encasement over water treatment piping, as required by code, to contain chemical in case of leak and to extend blowdown piping to sanitary manhole outside of building to avoid potential overflow of existing interior building drains. **Change Oder #64**, 9/20/02, an increase of \$28,175.00 to provide improved lighting at various locations in and around the cooling plant to improve operational and safety concerns. **Change Order #68**, 9/26/02, an increase of \$65,961.00 to provide various storm and sanitary piping changes as necessary to coordinate with location of new chillers and equipment and to make existing piping conditions comply with current plumbing codes.

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Nursing Building Elevator Controls Upgrade**

Project Number: 2044.0

Scope: \$500,000

**Project Description:**

Upgrade the elevator control systems in the Nursing building. The work will include the installation of a control system that will provide a standard microprocessor operation system for each elevator including all necessary car control systems as well as emergency communications systems.

**Consultant:** Lyle Associates Architects

Contract # A021180

Total Amendments to Date: (0)

Original Contract Amount:

\$41,375

Cumulative Amendment Amount:

Revised Contract Amount:

\$41,375

**Describe all amendments :**

**No amendments this quarter.**

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

Contract #

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

Original Contract Amount:

Cumulative Change Order Amount:

Revised Contract Amount:

Contract Percent Complete:

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

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

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Plant Sciences Building**

Project Number: 1745.0

Scope: \$21,119,750

**Project Description:**

Construction of a 96,000 gross square foot facility to include faculty and staff offices, conference rooms, research labs, environmentally controlled plant growth chambers and support services.

**Consultant:** Design: Louis & Henry Group/Const. Admin: BCCLT

Contract # A991100

Total Amendments to Date: (1)

Original Contract Amount: \$1,371,048

Cumulative Amendment Amount: \$11,163

Revised Contract Amount: \$1,382,211

**Describe all amendments :**

**Amendment #1**, 5/25/00, an increase of \$11,163 was approved to provide additional design services required during the design phase including electronic CADD files of Construction Documents. **No amendments this quarter.**

**Contractor:** D. W. Wilburn, Inc.

Contract # X013436

Total Change Orders to Date: (53)

Low Bid: \$18,496,000

High Bid: \$21,656,000

Number of Bids: 5

Original Contract Amount: \$18,496,000

Cumulative Change Order Amount: \$586,407

Revised Contract Amount: \$19,082,407

Contract Percent Complete: 93%

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

**Change Order #2**, 10/20/00, was approved for \$28,716.65 to provide solar cool bronze glass. **Change Order #4**, 11/16/00, was approved for \$43,799.68 to change underground power ducts. **Change Order #10**, 3/26/01, was approved for \$31,557.34 for adjustment of actual drill shaft depths. **Change Order #16**, 9/19/01, was approved for \$231,981.60 to relocate the emergency generator to outside of the building and revise electrical room equipment switchgear layout. **Change Order #25**, 1/16/02, was approved for \$25,187.50 to delete the VCT floor tile and install 12" x 12" porcelain floor tile and 4"x12" porcelain bullnose wall base. **Change Order #26**, 1/23/02, was approved for \$72,850.70 for modifications made to the architecture, HVAC, Plumbing, and Electric as related to the plant growth containment room 152B. The changes were made to allow for the intended use by the user to be in accordance with governing rules and regulations. **Change Order #32**, 2/1/02, was approved for \$34,454.00 to provide additional structural steel members. **Change Order #34**, 3/7/02, was approved for \$25,635.80 to provide piping, elbows, and fittings as marked up on the Kentucky Plumbing Review set of drawings. **Change Order #43**, 6/27/02, was approved for \$74,879.95 to provide design modifications that would accomplish upgrading RO Water System. **No change orders greater than \$25,000 this quarter.**

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Primary Care Ctr/Outpatient Diagnostic & Treatment Ctr**

Project Number: 1764.0

Scope: \$24,491,723

**Project Description:**

Construct a new facility of approximately 90,000 gross square feet of space to house the Center for Advanced Surgery and the Gill Heart Institute. The new facility will consist of an outpatient surgery center and an outpatient clinic devoted to diagnostic and treatment services.

**Consultant:** CMW, Inc.

Contract # A991240

Total Amendments to Date: (0)

Original Contract Amount: \$2,147,765

Cumulative Amendment Amount:

Revised Contract Amount: \$2,147,765

**Describe all amendments :**

**No amendments this quarter.**

**Contractor:** D.W. Wilburn, Inc.

Contract # X014454

Total Change Orders to Date: (44)

Low Bid: \$18,670,000

High Bid: \$20,799,000

Number of Bids: 4

Original Contract Amount: \$18,670,000

Cumulative Change Order Amount: \$45,667

Revised Contract Amount: \$18,715,667

Contract Percent Complete: 60%

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

**Change Order #6**, 1/11/01, was approved for \$35,748.88 to modify roof assembly, fire proofing, one hardware set, four doors, exit signs at penthouse and smoke detectors at air code system per review by Housing, Building and Construction Division.

**Change Order #9**, 5/8/01, was approved for \$62,186.00 to relocate 5 existing water lines that are in conflict with the ramp in the courtyard area, and to relocate existing storm drainage structures that are also in conflict with new construction. **Change Order #12**, 5/16/01, was approved for \$39,302.40 to add lantern light fixtures to match Allied Health Project. **Change Order #33**, 2/7/02, was approved for \$42,875.27 to make architectural and structural modifications to the electrical room to accommodate electrical gear. **Change Order #37**, 4/8/02, was approved for \$34,909.40 to change the key switches to a Yale seven pin cylinder. **Change Order #44**, 5/29/02, was approved for \$31,459.40 to add light fixtures consisting of 21 Holophane Bollards and 9 Holophane Pole lights. Cost of fixture installation is included in the original contract work. These fixtures were originally planned to be owner provided and contractor installed. This change order will have the contractor provide these fixtures. **No change orders greater than \$25,000 this quarter.**

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Research Lab Fit-up (Aging Allied/Health) 5th Floor**

Project Number: 1984.0

Scope: \$7,000,000

**Project Description:**

This project consists of the construction to fit-up the shelled fifth floor of the Aging/Allied Health Building for the Research Lab use.

**Consultant:** James W. Potts Architects

Contract # A011160

Total Amendments to Date: (0)

Original Contract Amount: \$410,000

Cumulative Amendment Amount:

Revised Contract Amount: \$410,000

**Describe all amendments :**

**No amendments this quarter.**

**Contractor:** Woodford Builders

Contract # X301038

Total Change Orders to Date:

Original Contract Amount: \$3,877,000

Cumulative Change Order Amount:

Revised Contract Amount: \$3,877,000

Low Bid: \$3,877,000

High Bid: \$4,428,000

Contract Percent Complete:

Number of Bids: 8

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

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

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Seaton Center Addition/Renovation**

Project Number: 1781.0

Scope: \$15,350,000

**Project Description:**

Construction of a 87,000 square foot recreation center. The building is being constructed as an addition to the existing Seaton Center and will include 4 basketball courts, 4 raquetball courts, 12,000 square feet of exercise equipment, a free weight room, a 4 lane running track, administrative offices, 2 aerobics rooms, and a climbing wall.

**Consultant:** HNTB Corporation

Contract # A001050

Total Amendments to Date: (2)

Original Contract Amount: \$997,000

Cumulative Amendment Amount: \$196,370

Revised Contract Amount: \$1,193,370

**Describe all amendments :**

**Notes: Amendment #1**, 10/12/00, an increase of \$79,730, was approved to provide a full time, on-site resident inspector during the construction phase. **Amendment #2**, 3/29/02, an increase of \$116,640 was approved to provide for four additional months of Phase 5A/E services including four additional months of Resident Inspector fees and for unforeseen storm/sanitary sewer renovations. **No amendments this quarter.**

**Contractor:** CB&S Construction Company

Contract # X100530

Total Change Orders to Date: (92)

Low Bid: \$12,128,000

High Bid: \$13,730,000

Number of Bids: 4

Original Contract Amount: \$12,128,000

Cumulative Change Order Amount: \$609,508

Revised Contract Amount: \$12,737,508

Contract Percent Complete: 89%

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

**Change Order #2**, 12/22/00, was approved for \$90,210.00 for additional costs to excavate existing rock for building foundation. **Change Order #11**, 5/8/01, was approved for \$32,248.00 to add black granite aggregate to achieve the appearance of the approved precast sample. **Change Order #22**, 7/13/01, was approved for \$31,962.00 to furnish and install a lightening protection system. **Change Order #25**, 8/14/01, was approved for \$34,315.00 for the replacement of plastic laminate countertops with solid surface countertops which will provide lasting protection. **Change Order #78**, 7/26/02, an increase of \$37,053.00 to install new floor outlets in the corridor and weight rooms required to power the machine weights equipment. **Change Order #92**, 8/30/02, an increase of \$28,905.00 to make revisions to metal wall panels at various locations as necessary to coordinate with structural steel bracing and roof structure.

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**UK Center for Rural Health**

Project Number: 1965.0

Scope: \$13,065,000

**Project Description:**

The University of Kentucky is undertaking the design and construction of a new Center for Rural Health to provide space to house the existing programs of the Center and the Health Professions programs of Hazard Community College.

**Consultant:** Omni Architects

Contract # A011110

Total Amendments to Date: (1)

Original Contract Amount: \$879,845

Cumulative Amendment Amount: \$140,682

Revised Contract Amount: \$1,020,527

**Describe all amendments :**

**Amendment #1**, 3/12/02, was approved for an increase of \$140,682.00 for consultant services to expand the scope of the project. Federal funding was received requiring re-programming and design. **No amendments this quarter.**

**Contractor:** D.W. Wilburn

Contract # X301039

Total Change Orders to Date:

Original Contract Amount: \$8,320,000

Cumulative Change Order Amount:

Low Bid: \$8,320,000

Revised Contract Amount: \$8,320,000

High Bid: \$8,990,000

Contract Percent Complete:

Number of Bids: 3

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

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

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# FCR 3

Office of the President  
October 29, 2002

Members, Board of Trustees:

## PATENT ASSIGNMENT REPORT

Recommendation: that the patent assignment report for the period June 1, 2002 through September 30, 2002 be accepted.

Background: FCR 5, dated March 4, 1997, authorized that all future copyright and patent filings and prosecutions be conducted by the University of Kentucky Research Foundation (UKRF), and that the Vice President for Research and Graduate Studies or his designee be authorized to execute any needed documents to obtain appropriate patent or copyright protection. Quarterly reports on patent and copyright applications are to be submitted to the Finance Committee of the Board.

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Action Taken:     Approved     Disapproved     Other \_\_\_\_\_

PATENT ASSIGNMENT  
QUARTERLY FOR THE PERIOD JUNE 1, 2002 THROUGH SEPTEMBER 30, 2002

Patents

The following assignments on behalf of the Board of Trustees to the University of Kentucky Research Foundation have been executed:

1. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "CO<sub>2</sub>-SELECTIVE MEMBRANES CONTAINING AMINO GROUPS". Inventor: Dr. Winston Ho. This invention provides novel compositions suitable for CO<sub>2</sub>-selective membranes. In one aspect, the present invention is directed to compositions comprising polyimide/polyamine blends and copolymers, and to compositions comprising interfacially polymerized polyamides. In another aspect this invention is directed to novel CO<sub>2</sub>-selective membranes comprising such polyimide/polyamine blends and copolymers, and to novel CO<sub>2</sub>-selective membranes comprising interfacially polymerized polyamides. In yet another aspect, the present invention is directed to a novel water-gas-shift (WGS) reactor comprising the novel CO<sub>2</sub>-selective membranes. Advantageously, the use of the novel CO<sub>2</sub>-selective membrane allows alteration of the normal WGS reaction equilibrium, shifting the reaction towards production of H<sub>2</sub>. Carbon dioxide on the high pressure, feed gas side of the membrane reactor reacts with the novel membranes of the present invention at the interface between the feed gas and the membrane. The reaction product permeates through the membrane to the interface between the feed gas and the low pressure side of the membrane, where the CO<sub>2</sub>-desorbs into the low pressure side and is removed.
2. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "SYNTHESIS OF MULTI-WALL CARBON NANOTUBES USING UNSEEDED HYDROCARBON DIFFUSION FLAMES". Inventors: Dr. Kozo Saito, Dr. Forman Williams, Dr. Alvin Gordan and Mr. Liming Yuan. This invention provides a method for synthesizing carbon nanotubes from unseeded methane-air diffusion flames. A novel stainless steel and Ni-Cr wire probe is also provided for collecting carbon nanotubes from those diffusion flames.
3. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "SUBSTITUTED PENTACENES AND ELECTRONIC DEVICES MADE WITH SUBSTITUTED PENTACENES". Inventor: Dr. John E. Anthony. This invention provides novel substituted pentacenes and electronic devices made with those substituted pentacenes.
4. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "FEEDBACK-REGULATED EXPRESSION SYSTEM AND USES THEREOF". Inventors: Drs. Arthur G. Hunt, Qingshun Li and Tomal Dattaroy. This invention provides a feedback-regulated expression system comprising a nucleic acid construct comprising a first polynucleotide encoding an elicitor

- operably linked to a first plant promoter comprising at least one *E. coli* lac operator (LacO) located between the promoter TATAa box and the translation initiation site of the first polynucleotide, wherein the first plant promoter is constitutive; and a second polynucleotide encoding an *E. coli* lac repressor (LacI) operably linked to a PR gene. The invention further provides a feedback-regulated expression system used to generate transgenic plants that have enhanced resistance to plant pathogens.
5. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled “PROCESS FOR THE CONTINUOUS PRODUCTION OF ALIGNED CARBON NANOTUBES”. Inventors: Drs. David N. Jacques and Rodney J. Andrews. This invention provides novel methods and apparatus for continuous production of aligned carbon nanotubes. In one aspect, the method comprises dispersion of a metal catalyst in a liquid hydrocarbon to form a feed solution, and volatilizing the feed solution in a reactor through which a substrate is continuously passed to allow growth of nanotubes thereon. In another aspect, the apparatus comprises a reactor, a tube-within-a-tube injector, and a conveyor belt for passing a substrate through the reactor. The present invention further discloses a method for restricting the external diameter of carbon nanotubes produced thereby comprising passing the feed solution through injector tubing of a specified diameter, followed by passing the feed solution through an inert, porous medium. The method and apparatus of this invention provide a means for producing aligned carbon nanotubes of a particular external diameter which is suitable for large scale production in an industrial setting.
  6. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled “AMYLOID PEPTIDE INACTIVATING ENZYME TO TREAT ALZHEIMER’S DISEASE”. Inventor: Dr. Louis B. Hersh. This invention provides a method of treating patients with Alzheimer’s Disease by increasing the expression and activity of amyloid peptide inactivating enzyme.
  7. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled “MULTIMODE STRUCTURE FOR CURRENT MEASUREMENT, ULTRASONIC AND NEAR-IR SPECTRUM COLLECTING AND PROCESSING”. Inventor: Dr. Robert A. Lodder. This invention provides a compact device and method for collecting and processing acoustic and near-IR spectra of a bio-sample. The device has a spectrometric unit and, in proximity to an outer surface of the spectrometric unit, is a unit for processing spectral data collected by the spectrometric unit. The spectrometric unit out surface has: an acoustic energy transmission port and a near-IR radiation port for applying, respectively, acoustic energy and near-IR radiation to the bio-sample in the presence of a magnetic field; an electrode-terminal for measuring an electrical signal; an acoustic wave receiving port; and a near-IR radiation receiving port. The processing unit is preferably adaptable for performing at least one numeric operation on at least a portion of the data collected. The method includes: positioning an outer surface of a spectrometric unit nearby a surface of the bio-

- sample in the presence of a magnetic field; receiving acoustic waves and near-IR radiation with, respectively, an acoustic wave receiving port and a near-IR radiation receiving port; measuring an electrical signal with at least one electrode-terminal on the outer surface; and processing spectral data collected by the spectrometric unit.
8. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled “2,6-DISUBSTITUTED PIPERIDINES AS MODULATORS OF NICOTINIC ACETYLCHOLINE RECEPTOR MEDIATED NEUROTRANSMITTER RELEASE, UPTAKE AND STORAGE”. Inventors: Drs. Peter Crooks, Linda Dwoskin, Vladimir Grinevich, Dennis K. Miller, Seth D. Norrholm, and Guangrong Zheng. This invention provides 2,6-disubstituted piperidines useful for treating dependence on or withdrawal from a drug of abuse, for an eating disorder or for a CNS disease or pathology.
  9. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled “SELECTIVE PARP-1 TARGETING FOR DESIGNING CHEMO/RADIO SENSITIZING AGENTS”. Inventor: Dr. Marcos Oliveira. Poly(ADP-ribose) polymerase-1 (PARP-1) is a central signaling enzyme in a cell nucleus. PARP-1 is a target for the development of radio and chemo sensitizing agents in cancer treatment as well as providing protection from stroke. An SH3 domain and an SH3 ligand domain have now been discovered on the PARP-1 protein. These domains are involved in PARP-1 activation. This discovery makes possible the use of bioinformatics tools for the design of new drugs and strategies for drug target selection, specifically targeting the PARP-1 enzyme.
  10. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled “COMPOSITION AND METHOD OF USING THE MIRABILIS MOSAIC CAULIMOVIRUS SUB-GENOMIC TRANSCRIPT (SGT) PROMOTER FOR PLANT GENETIC ENGINEERING”. Inventors: Dr. Indu B. Maiti and Dr. Nrisingha Dey. This invention provides for the isolation of and methods of using a sub-genomic transcript (Sgt) promoter from mirabilis mosaic virus (MMV). A 333 bp MMV Sgt promoter fragment (sequence -306 to +27 from the transcription start site, TSS) was found to be sufficient for strongest promoter activity. This MMV Sgt promoter fragment shows comparable promoter activity to the MMV PLt promoter both in transgenic plants and in protoplasts. The MMV Sgt promoter also demonstrates much greater activity compared to cauliflower mosaic virus (CaMV) 19S promoter and 35S promoter. The MMV Sgt promoter fragment and any chimeric gene to which it may be linked are useful for plant genetic engineering to obtain transgenic plants, plant cells and seeds.
  11. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled “SYSTEM AND METHOD FOR SENSING A CHARACTERISTIC OF A FLUID AND RELATED APPARATUS”. Inventor: Dr. Fred Payne. This invention provides an apparatus for use in measuring, sensing or detecting a characteristic of a fluid, such as a liquid food product. The apparatus includes a body having a pocket for

positioning adjacent to the opening in a pipe or like structure for receiving a portion of a fluid therein. In one possible use, a first optical medium, such as an optical fiber, transmits light from a source toward a portion of the fluid flow entering the pocket. Light received by one or more optical mediums positioned in backscatter, sidescatter, or transmission configurations relative to the first optical medium is detected by a corresponding sensor or detector. Using the output of this sensor or detector, an optical characteristic of the fluid may be measured. An overall system using the apparatus and related method for detecting an optical characteristic of a fluid are also disclosed.

12. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "METHODS AND COMPOSITIONS FOR CRYOPRESERVATION OF BIOLOGICAL CELLS AND TISSUES". Inventors: Dr. Dayong Gao, Dr. Gary Van Zant and Dr. Xiangdong Cui. This invention provides methods, compositions and devices for achieving optimal cooling of living cells during cryopreservation. In one aspect, the method comprises gradually cooling the cell to a first predetermined temperature, followed by rapidly cooling the cell to a second predetermined temperature. In another aspect, a device is described for achieving a desired cooling rate for a cell, comprising a first container for holding a cell, a second container for holding the first container, and optionally a frame for holding the first container in a spaced apart relationship with the second container. The method of the invention comprises placing cells into the first container, placing the first container in the second container and sealing the second container, and placing the second container in a suitable cooling device. A software program is provided for calculating the required materials and dimensions of the device to achieve a particular cooling rate with a high degree of accuracy. In yet another aspect, novel cryoprotectant compositions are provided comprising conventional cryoprotectant plus one or more high molecular weight cryoprotectants.
  
13. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "BUBBLE COLUMN APPARATUS FOR SEPARATING WAX FROM CATALYST SLURRY". Inventors: Dr. James K. Neathery and Dr. Burtron H. Davis. This invention provides novel methods and devices for production of liquid hydrocarbon products from gaseous reactants. In one aspect, a method for separating a liquid hydrocarbon, typically a wax, from a catalyst containing slurry is provided, comprising passing the slurry through at least one downcomer extending from an overhead separation chamber and discharging into the bottom of a slurry bubble column reactor. The downcomer includes a cross-flow filtration element for separating a substantially particle-free liquid hydrocarbon for downstream processing. In another aspect, a method for promoting plug-flow movement in a recirculating slurry bubble column reactor is provided, comprising discharging the recirculating slurry into the reactor through at least one downcomer which terminates near the bottom of the reactor. Devices for accomplishing the above methods are also provided.

14. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "METHOD AND DEVICE FOR REMOVAL OF CRYOPROTECTANT FROM CRYOPRESERVED BIOLOGICAL CELLS AND TISSUES". Inventors: Dr. Dayong Gao, MingDong Liu, and Dr. Xiangdong Cui. This invention provides methods and devices for removing cryoprotectant from cryoprotectant-containing liquids, and from cells residing therein. In one aspect the method comprises passing the cryoprotectant containing liquid through at least one semipermeable hollow fiber membrane contained in a hollow module in a first direction, while passing a liquid which is substantially free of cryoprotectant through the hollow module in a second direction to remove cryoprotectant across a diffusion gradient. In another aspect, a device is described for removing cryoprotectant from a liquid, comprising a hollow module with at least one semipermeable hollow fiber membrane therein for accomplishing such conter-current diffusion removal of cryoprotectant. A software program is also provided for predicting optimal flow rates through the device of the invention, thereby allowing optimal cryoprotectant removal regardless of the cryoprotectant used or the material from which the semipermeable hollow fiber membrane is fabricated.
15. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "PHARMACEUTICAL FORMULATION FOR POORLY WATER SOLUBLE CAMPTOTHECIN ANALOGUES". Inventors: Dr. Tiang-Xiang and Dr. Bradley D. Anderson. This invention provides a general method to retard the precipitation inception time for poorly water-soluble camptothecin analogues from a supersaturated solution by chemical conversion approach via pH alteration. This method is successfully utilized to prepare stable parenteral formulations for silatecan 7-t-butyl dimethylsilyl-10-hydroxycamptothecin (DB-67), a poorly water-soluble lipophile camptothecin analog, in aqueous solutions containing b-cyclodextrin sulfobutyl ether or other solubilizing agents. The formulations manufactured by this method are more simple and cost-effective, of higher doses and better quality in terms of manufacture loss and formulation stability, and can be free of organic solvents.
16. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "SEAL ASSEMBLY FOR MACHINERY HOUSING". Inventors: Dr. L. Scott Stephens and Dr. Kevin W. Kelly. This invention provides a seal assembly for a machinery housing and consists of a seal ring having a micro heat exchanger and a gland plate for securing the seal ring to the machinery housing. The gland plate includes a cooling fluid port in communication with the micro heat exchanger.
17. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled "CIS-2,6-DISUBSTITUTED PIPERIDINES FOR THE TREATMENT OF CENTRAL NERVOUS SYSTEM DISORDERS". Inventors: Dr. Linda P. Dwoskin, Peter A. Crooks, and Marlon D. Jones. This invention provides Cis-2,6-disubstituted piperidine analogs, or lobeline analogs which are used to treat diseases of the

central nervous system, drug abuse and withdrawal therefrom as well as eating disorders.

18. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled “AGENTS AND METHOD FOR MODULATING INTERACTIONS BETWEEN GONADOTROPIN HORMONES AND THEIR RECEPTORS”. Inventors: Dr. Tae H. Ji and Dr. Inhae Ji. This invention provides agents and methods for the modulation of gonadotropin hormones and their receptors, including methods of treating gonadotropin disorders and conditions and screening and development of therapies. Specifically, the present invention relates to modulation of gonadotropin hormones through the inhibition of activity of leucine rich repeats on the exodomain of the gonadotropin hormone receptors. The present invention also relates to methods and compositions for activating adenylyl cyclase to produce cAMP with a hormone-receptor complex, via trans- or cis- activation.
19. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled “GENE EXPRESSION PROFILE BIOMARKERS AND THERAPEUTIC TARGETS FOR BRAIN AGING AND AGE-RELATED COGNITIVE IMPAIRMENT”. Inventors: Drs. Philip W. Landfield, Eric M. Blalock, Kuey-Chu Chen and Thomas Foster. This invention provides a statistical and functional correlation strategy to identify changes in cellular pathways specifically linked to impaired cognitive function with aging. Analyses using the strategy identified multiple groups of genes expressed in the hippocampi of mammals, where the genes were expressed at different levels for several ages. The aging changes in expression began before mid-life. Many of the genes were involved in specific neuronal and glial pathways with previously unrecognized relationships to aging and/or cognitive decline. The process identified by the strategy suggest a new hypothesis of brain aging in which initially decreased neuronal activity and/or oxidative metabolism trigger separate but parallel genomic cascades in neurons and glia. In neurons, the cascade results in elevations in calcium signaling and reductions of immediate early gene signaling, biosynthesis, synaptogenesis and neurite remodeling. In contrast, glia undergo increased lipid metabolism and mediate a cycle of demyelination and remyelination that induces antigen presentation, inflammation, oxidative stress and extracellular restructuring.

These identified genes and the proteins they encode can be used as novel biomarkers of brain aging and as targets for developing treatment methods against age-related cognitive decline, Alzheimer’s Disease and Parkinson’s Disease.

20. U.S. Patent Serial Number: (to be assigned), filed (to be filed), titled “TUBULAR FILTER WITH BRANCHED NANOPOROUS MEMBRANE INTEGRATED WITH A SUPPORT AND METHOD OF PRODUCING SAME”. Inventors: Drs. The inventors are Drs. Craig A. Grimes and Dawei Gong. This invention provides a nanoporous tubular filter having a membrane comprising a network of generally branched pores formed by anodization of a section of metal tubing. The network extends from an inner wall of the filter to and through an outer exposed

wall area of the membrane, and has a first layer of pores with a diameter greater than that of pores of an adjacent second layer. Further, the network is integral with an outer support matrix having been formed of an outer wall of the section of tubing by removing selected portions of the outer wall, thus leaving the exposed wall area of the membrane. The outer support matrix corresponds with a patterned area formed of an external-coat applied to the tubing's outer wall. An electroplating of a magnetostrictive material deposited on the outer support matrix or on an interior surface is adapted for use as a diffusion ON-OFF switch. The filter is adaptable for use as a hydrogen reactor whereby an electroplating of a catalyst material is deposited on at least a portion of the filter's inner wall. Also, a method for producing a nanoporous tubular filter that includes the steps of: applying an external-coat to an exterior surface of an outer wall of a section of metal tubing; anodizing the section of tubing at a first voltage for a first time-period then at a second voltage for a second time-period, a membrane produced thereby comprising a network of generally branched pores; and forming a patterned area to cover that portion of the outer wall that will form an outer support matrix.



# FCR 4

Office of the President  
October 29, 2002

Members, Board of Trustees:

## DR. AND MRS. PETER BUCK GIFT

Recommendation: that the Board of Trustees accept from Dr. and Mrs. Peter Buck of Danbury, Connecticut, a gift to the Markey Cancer Center of \$1,500,000 of which \$300,000 is to establish and endow the Carmen L. Buck Professorship/Chair in Oncology Research, \$200,000 is to be added to the existing Madeline F. James Endowed Professorship/Chair in Cancer Research and \$1,000,000 is for enhancement of cancer research programs. The \$500,000 designated to the two endowments is eligible to be matched by the state's Research Challenge Trust Fund.

In accordance with the Council on Postsecondary Education guidelines, the Board of Trustees acknowledges that it has primary responsibility for the implementation of the Endowment Match Program and is responsible for providing oversight of all endowment funds.

Background: Dr. Buck is the chairman and co-founder of Subway, the sandwich restaurant chain. Mrs. Carmen Buck is a former patient of Dr. Alfred Cohen, CEO and Director of the Markey Cancer Center. Fund raising will continue for both the Buck Professorship/Chair and the James Professorship/Chair to reach the \$1,000,000 threshold required by UK to create an endowed chair. The \$1 million for programs will be used to recruit faculty and provide the infrastructure necessary to obtain National Cancer Institute designation for the Markey Cancer Center.

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

# FCR 5

Office of the President  
October 29, 2002

Members, Board of Trustees:

## ESTATE OF JACK H. KIMBALL

Recommendation: that the Board of Trustees accept distribution of \$759,615.04 from the estate of Jack H. Kimball to benefit the College of Agriculture.

Background: Mr. Kimball was a 1949 alumnus and long-time friend of the College of Agriculture. He recognized the College's need for general support and wanted his legacy to reflect his desire to support his College and UK. Mr. Kimball established a charitable remainder trust that provided an income to him until his death. The \$759,615.04 gift is 15 percent of the remainder interest of that charitable remainder trust. He lived in Goshen, Kentucky, and died January 16, 2002.

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

# FCR 6

Office of the President  
October 29, 2002

Members, Board of Trustees:

## RICHARD A. BARBELLA GIFT

Recommendation: that the Board of Trustees accept a gift of \$1,000,000 from Richard A. Barbella of Lexington, Kentucky, to create and establish the Richard A. Barbella General Fund Endowment.

Background: A University of Kentucky employee for 28 years, Mr. Barbella is a budget administrator and holds bachelor's and master's degrees in business administration from UK. He won the national Powerball lottery in July. He has directed that the funds generated by the endowment be used for salaries, scholarships or other operations or projects at the direction of the President.

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

# FCR 7

Office of the President  
October 29, 2002

Members, Board of Trustees:

SANDRA A. FRAZER AND THOMAS R. FRAZER II GIFT

Recommendation: that the Board of Trustees accept a gift of \$328,641 from Sandra A. Frazer and Thomas R. Frazer II of Jackson, Mississippi, to create and endow the Thomas R. Frazer Family Endowed Basketball Scholarship in the Department of Athletics.

Background: Mrs. Frazer is a 1979 graduate of the College of Human Environmental Sciences. The Frazers are longtime supporters of the UK basketball program. Their endowment will support one basketball scholarship each year.

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

# FCR 8

Office of the President  
October 29, 2002

Members, Board of Trustees:

APPROVAL OF 2001-2002 ENDOWMENT MATCH PROGRAM  
ANNUAL REPORT

Recommendation: that the Board accept the 2001-2002 Endowment Match Program Annual Report.

Background: The Research Challenge Trust Fund was created in 1997 as part of House Bill 1 to encourage research activities at the University of Kentucky and the University of Louisville. In compliance with the 2002-2004 Endowment Match Program Reporting Guidelines adopted by the Council on Postsecondary Education, the Board of Trustees must review and accept the annual report before it is submitted to the Council. The report contains an Executive Summary (attached) as well as detail reports on each of the 382 endowments created or enhanced through this program.

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

**University of Kentucky  
Endowment Match Program  
2001-02 Summary Report**

The Research Challenge Trust Fund (RCTF) was established in 1997 with the passage of House Bill 1, the Kentucky Postsecondary Education Improvement Act, to encourage research activities at the University of Kentucky (UK) and the University of Louisville. Since that time, the Commonwealth of Kentucky has appropriated over \$133 million, which is matched by UK, for endowed faculty positions and programs.

RCTF assists UK in recruiting distinguished faculty who can successfully compete for research dollars and who are excellent teachers. These professors are developing, applying, and sharing new research in the sciences and humanities that will change the lives of Kentuckians and impact people across our nation and the world.

Many of the outstanding professors are focusing on critical areas of concern to the Commonwealth, such as treating and preventing diabetes, reducing underage smoking, enhancing the learning capabilities of children with disabilities, and improving treatments for those with Parkinson's disease and Alzheimer's disease. RCTF faculty received over \$24.9 million of awards in 2001-02 for 161 sponsored projects. Several examples of the outstanding research of the RCTF faculty follow.

***Advancing Kentucky Through Research***

**Ag and the Environment**

Tom Mueller is using satellite technology to improve crop yields.

**Diabetes**

Sabire Ozcan is working on the fundamental causes of diabetes, one of Kentucky's most common diseases.

**E-Commerce**

Terry Childers analyzes consumer shopping on the Web to understand the expanding role of e-commerce in Kentucky.

**Minimally Invasive Surgery**

Adrian Park trains students, nurses, and surgeons in minimally invasive procedures, and develops new techniques and instruments. Laparoscopic surgeries performed at UK are beamed to sites all over the world.

**Neurological Disease**

Greg Gerhardt is designing microsensors to measure chemicals in the brain for better treatments of diseases such as Alzheimer's and Parkinson's. UK now has a Morris K.

Udall Parkinson's Disease Research Center of Excellence.

**Substance Abuse**

Richard Clayton heads up a study in 30 Kentucky counties that is looking at how community, school, and individual factors relate to substance use, violence, and victimization of middle school students.

**Underage Smoking**

Melody Noland developed a program for teachers to help reduce underage smoking.

This report covers the activities and expenditures supported at the University of Kentucky under the Endowment Match Program. During fiscal year 2001-02, the university submitted eight requests for matching funds, totaling \$10,722,030, to the Council on Postsecondary Education. As of June 30, 2002, the council had processed five of those requests and disbursed \$8,588,454 to UK (Table 4). These funds were used to establish 38 new endowments and expand 13 existing endowments. During the fiscal year, four of the new endowments were combined into existing endowments. With the addition of these endowments, the match program has helped create or expand over 300 endowments valued at \$205,710,259 as of June 30, 2002 (Table 5).

**Endowment Activity**

Private donations and state matching funds supported the addition of 47 endowed activities at the University of Kentucky in 2001-02. The use of match program funds resulted in the addition of three endowed chairs, 17 endowed professorships, 16 fellowships, and 11 mission support projects in 2001-2002. A schedule of activities initiated during 2001-02 and the total activities initiated since the inception of the program as of June 30, 2002, is presented in Table 1.

Table 1: Annual and Cumulative Match Program Activities

Activity	2001-02		1998-02	
	Number of Positions or Projects	Number Occupied or Projects with Expenditures	Number of Positions or Projects	Number Occupied or Projects with Expenditures
Chairs	3	1	55	24
Professorships	17	0	140	75
Fellowships	16	0	116	47
Mission Support Projects	11	3	71	31
Totals	<u>47</u>	<u>4</u>	<u>382</u>	<u>177</u>

## Demographic Information

Since 1998, UK has appointed a total of 99 endowed chairs and professorships under the auspices of the Endowment Match Program. Of those appointments, 82 were male, and 17 were female. Of the 359 staff associated with the endowments, 238 (66 percent) are female and 121 (34 percent) are male. Demographic information on the appointed faculty and associated staff is provided in Tables 2 and 3.

Table 2: Gender of Endowment Match Program  
Faculty and Staff  
As of June 30, 2002

	Male	Female	Total
Chairs	21	3	24
Professorships	61	14	75
Staff	121	238	359
Total	<u>203</u>	<u>255</u>	<u>458</u>



Table 3: Race of Endowment Match Program Faculty and Staff  
As of June 30, 2002

	<u>White</u>	<u>Black</u>	<u>Am. Indian</u>	<u>Asian</u>	<u>Hispanic</u>	<u>Total</u>
Chairs	20	0	0	3	1	24
Professorships	63	1	0	11	0	75
Staff	<u>286</u>	<u>26</u>	<u>0</u>	<u>45</u>	<u>2</u>	<u>359</u>
Total	<u>369</u>	<u>27</u>	<u>0</u>	<u>59</u>	<u>3</u>	<u>458</u>

### **Sources of Funds, Earnings, and Expenditures**

During fiscal year 2001-02, the University of Kentucky received \$8,588,454 in donations, gifts, and pledges from private sources (Table 4) that were matched with state funds. About half of that amount, \$4,127,351, was received in cash with the remainder received in the form of pledges.

As of June 30, 2002, the total market value of the 382 endowed activities established under the Endowment Match Program was \$205,710,259 (Table 5). As of June 30, 2002, the University of Kentucky has received a total of \$128,227,209 in state funds and \$86,948,452 in matching gift funds. The university has outstanding pledges of \$41,278,758 related to these endowments as of June 30, 2002. Over \$6.5 million was expended from the endowments for program activities during the fiscal year ended June 30, 2002.

Table 4

University of Kentucky  
Endowment Match Program  
Endowments Matched with State Funds During 2001-02

GL Account Number	CPE Request Number	Endowment Name	Date Established/Expanded	Private Funds			Total Received*
				Gifts (Cash Received)	Pledges	Total	
<b>ENDOWMENTS CREATED:</b>							
0-51445	III-9	Joe A. & Cecil Dulin Wallace Fund	06/19/01	\$10,000	\$160,000	\$170,000	\$180,000
0-51547	III-9	Everett H. Metcalf, Jr. Professorship of Law	06/19/01	200,000	-	200,000	400,000
0-51558	III-9	Endowed Chair/Distinguished Scholar in Rural Health Policy	06/19/01	100,000	900,000	1,000,000	1,100,000
0-51546	III-9	UKCUP Endowment for Urologic Research	06/19/01	36,854	53,146	90,000	126,854
0-51516	III-9	Charles Parker Graves Endowed Professorship Fund	06/19/01	12,730	44,605	57,335	70,065
0-51529	III-9	Leslie L. Martin Endowed Fellowship Fund	06/19/01	50,000	-	50,000	100,000
0-51514	III-9	James & Mary Lassiter Endowed Fellowship	06/16/01	200,000	-	200,000	400,000
0-51515	III-9	James & Mary Lassiter Endowed Professorship	06/19/01	100,000	-	100,000	200,000
0-51542	III-9	Lucille Caudill Little Fine Arts Library & Learning Center Endowment Fund	06/19/01	1,000,000	-	1,000,000	2,000,000
0-51603	III-10	Susan Abbott-Jamieson Dissertation Research Fund in Anthropology	08/14/01	50,000	-	50,000	100,000
0-51580	III-10	Brown-Forman Visiting Chair in Urban Design	08/14/01	20,000	480,000	500,000	520,000
0-51601	III-10	Cralle Foundation/Joan Cralle Day Endowed Fellowship Fund	08/14/01	60,705	239,295	300,000	360,705
0-51565	III-10	Dr. Charles R. Combs Scholarship Fund	08/14/01	-	80,000	80,000	80,000
0-51544	III-10	Dr. Robert D. Hayes Endowed Graduate Fellowship Fund	08/14/01	10,000	40,000	50,000	60,000
0-51622	III-10	Mark and Ruth Luckens Graduate Award in Toxicology	08/14/01	50,000	-	50,000	100,000
0-51501	III-10	Robert M. Odear, '28 '30 Faculty Research Fund in Latin America	08/14/01	9,300	40,700	50,000	59,300
0-51552	III-10	Beaven-Eidetik Research Fellowship in Developmental Disabilities and Mental Retardation	08/14/01	8,433	41,567	50,000	58,433
0-51592	III-10	Royster Research Professorship	08/14/01	20,000	30,000	50,000	70,000
0-51569	III-11	Cardiology Associates of Kentucky Cardiology Fellowship Fund	09/18/01	50,000	200,000	250,000	300,000
0-51535	III-11	Violet Irene Eads Research Fund for Eye Tissue in the Lions Eye Bank of Lexington	09/18/01	44,574	11,426	56,000	100,574
0-51605	III-11	Michael D. Rankin, M.D. Community Scholarship Endowment	09/18/01	100,000	100,000	200,000	300,000
0-51573	III-11	Richard K. Brautigam Professorship in Juvenile, Criminal and Social Justice	09/18/01	10,500	39,500	50,000	60,500
0-51599	III-11	Rebecca Cunningham Van Meter Endowment Fund	09/18/01	10,000	40,000	50,000	60,000
0-51553	III-11	Scott V. Breckenridge Professorship in Intelligence Education	09/18/01	11,500	40,915	52,415	63,915
0-51400	III-13	Vernon R. Wiehe Research Professorship in Family Violence	01/22/02	25,285	24,715	50,000	75,285
0-51566	III-13	JoAnn I Bell Endowment in Social Policy and Critical Thinking	01/22/02	24,209	25,791	50,000	74,209
0-51606	III-13	Ralph E. & Norma L. Edwards Research Professorship	01/22/02	100,493	-	100,493	200,986
0-51609	III-13	James Graham Brown Foundation Endowed Chair in Neuroscience	01/22/02	500,066	-	500,066	1,000,132
0-51610	III-13	James Graham Brown Foundation Endowed Professorship in Forestry & Environmental Sci	01/22/02	500,065	-	500,065	1,000,130
0-51611	III-13	Rast-Holbrook Research and Seminar Fund	01/22/02	11,792	43,663	55,455	67,247
0-51613	III-13	Association of Emeritus Faculty Fellowship Endowment Fund	01/22/02	30,000	20,000	50,000	80,000
0-51635	III-13	Donald L. and Gertrude L. Lester Professorship in Mechanical Engineering	01/22/02	-	50,000	50,000	50,000
0-51418	III-14	ALCA	03/05/02	27,764	22,236	50,000	77,764
0-51596	III-14	Kenneth H. and Susan W. Beard Graduate Fellowship Fund	03/05/02	50,310	199,690	250,000	300,310
0-51617	III-14	David B. Stevens, M.D. Professorship or Chair in Orthopaedic Surgery	03/05/02	10,000	40,000	50,000	60,000
0-51618	III-14	Charlotte R. Schmidlapp Fellowship in Gynecologic Oncology	03/05/02	-	100,000	100,000	100,000

\* Total gift and state funds received. Does not include pledges.

Table 4

University of Kentucky  
 Endowment Match Program  
 Endowments Matched with State Funds During 2001-02

GL Account Number	CPE Request Number	Endowment Name	Date Established/Expanded	Private Funds			Total Received*
				Gifts (Cash Received)	Pledges	Matching State Funds	
0-51624	III-14	Hellman Family Fund in the Division of Infectious Diseases	03/05/02	10,000	40,000	50,000	60,000
0-51651	III-14	Affordable Housing Design Research Fund	03/05/02	-	300,000	300,000	300,000
		<b>TOTAL ENDOWMENTS CREATED</b>		<b>\$3,454,580</b>	<b>\$3,407,249</b>	<b>\$6,861,829</b>	<b>\$10,316,409</b>
0-51185	III-9	W. T. Young - Oxley Foundation	06/19/01	\$100,000	\$400,000	\$500,000	\$600,000
0-51484	III-9	Harold R. Burton Endowed Professorship in Plant Biochemistry	01/23/01	128,374	93,501	221,875	350,249
0-51700	III-10	Thomas C. and Evelyn W. Finnie Enrichment Fund	08/14/01	0	51,657	51,657	51,657
0-51513	III-10	Pharmaceutical Technology Lectureship, Professorship or Chair	08/14/01	58,929	1,071	60,000	118,929
0-56012	III-10	JK Medical Alumni Association Term Endowment Fund	12/11/01	250,000	0	250,000	500,000
0-51410	III-10	Helen Edwards Abell Endowed Research Fund in Historic Preservation	08/15/01	0	50,100	50,100	50,100
0-51264	III-10	Zantker Charitable Foundation Professorship in Judaic Studies	08/14/01	0	150,000	150,000	150,000
0-51532	III-10	Kentucky Economic Development Endowment for Science & Technology	05/01/01	19,643	0	19,643	39,286
0-51264	III-11	Zantker Charitable Foundation Professorship in Judaic Studies	05/04/99	0	73,350	73,350	73,350
0-51216	III-11	Merck & Co. Pulmonary Medicine Professorship	09/18/01	10,000	40,000	50,000	60,000
0-51616	III-13	Lucille Caudill Little Endowed Research Fund in Opera Studies	01/22/02	5,825	194,175	200,000	205,825
0-51568	III-13	Edith D. Gardner	01/23/01	50,000	0	50,000	100,000
0-51407	III-13	Robert L. Johnson Scholarship Fund	08/15/00	50,000	0	50,000	100,000
		<b>TOTAL ENDOWMENTS EXPANDED</b>		<b>\$672,771</b>	<b>\$1,053,854</b>	<b>\$1,726,625</b>	<b>\$2,399,396</b>
		<b>TOTAL ENDOWMENTS MATCHED WITH STATE FUNDS DURING 2001-02</b>		<b>\$4,127,351</b>	<b>\$4,461,103</b>	<b>\$8,588,454</b>	<b>\$12,715,805</b>

\* Total gift and state funds received. Does not include pledges.

Table 5

University of Kentucky  
Endowment Match Program  
Statement of Changes in Endowments  
Fiscal Year 2001-02

GL Account Number	RCTF Request Number	Endowment Name	Date Established	Prior to 07/01/01		Market Value 07/01/01	State Funds Received	Gifts Received	Gifts other Than RCTF	Investment Earning (Loss)	Allocated for Expenditure	Allocated Funds Reinvested	Management Fee	Other*	Market Value 06/30/02	Outstanding Pledges as of 06/30/02	Expenditures 2001 - 2002
				Funds Received	Gifts Received												
<b>NEW ENDOWMENTS:</b>																	
0-51445	III-9	Joe A. & Cecil Duin Wallace Fund	06/19/01	\$0	\$5,000	\$4,721	\$170,000	\$5,000	\$0	(\$8,560)	(\$4,461)	\$0	\$0	(\$0)	\$166,709	\$160,000	\$0
0-51547	III-9	Everett H. Meicaff, Jr. Professorship of Law	06/19/01	-	-	-	200,000	200,000	-	(6,637)	(11,728)	-	-	0	381,635	-	5,197
0-51558	III-9	Endowed Chair/Distinguished Scholar in Rural Health Policy	06/19/01	-	-	-	1,000,000	100,000	-	(50,848)	(27,988)	-	-	(0)	1,021,164	900,000	-
0-51546	III-9	UKCUP Endowment for Urologic Research	06/19/01	-	-	-	90,000	36,854	-	(6,278)	(3,018)	3,018	(2)	0	120,574	53,146	-
0-51516	III-9	Charles Parker Graves Endowed Professorship Fund	06/19/01	-	7,460	7,371	57,335	5,270	-	(3,412)	(1,889)	-	(29)	(0)	64,646	44,605	-
0-51529	III-9	Leslie L. Martin Endowed Fellowship Fund	06/19/01	-	50,000	49,458	50,000	-	784	(5,257)	(3,570)	-	(570)	(0)	90,846	-	-
0-51514	III-9	James & Mary Lassiter Endowed Fellowship	06/16/01	-	200,000	197,996	200,000	-	-	(20,889)	(18,875)	3,929	(162)	(0)	361,999	-	-
0-51515	III-9	James & Mary Lassiter Endowed Professorship	06/19/01	-	50,000	49,499	100,000	50,000	-	(10,745)	(6,937)	982	-	0	182,799	-	4,559
0-51542	III-9	Lucille Caudill Little Fine Arts Library & Learning Center Endowment Fund	06/19/01	-	-	-	1,000,000	1,000,000	2,500	(171,721)	(110,824)	-	-	1,000,000	2,719,954	-	65,715
0-51603	III-10	Susan Abbott-Jamieson Dissertation Research Fund in Anthropology	08/14/01	-	-	-	50,000	50,000	-	(5,827)	(1,810)	-	(370)	-	91,984	-	-
0-51580	III-10	Brown-Forman Visiting Chair in Urban Design	08/14/01	-	-	-	500,000	20,000	-	(26,872)	(8,690)	-	(1,775)	0	482,662	480,000	1,300
0-51601	III-10	Cralle Foundation/Jean Cralle Day Endowed Fellowship Fund	08/14/01	-	-	-	300,000	60,705	-	(18,818)	(6,348)	-	-	0	335,539	239,295	-
0-51565	III-10	Dr. Charles R. Combs Scholarship Fund	08/14/01	-	-	-	80,000	-	-	(4,321)	(1,301)	1,301	(266)	(0)	75,413	80,000	-
0-51544	III-10	Dr. Robert D. Hayes Endowed Graduate Fellowship Fund	08/14/01	-	-	-	50,000	10,000	-	(2,529)	(1,154)	-	-	0	56,317	40,000	-
0-51622	III-10	Mark and Ruth Luckens Graduate Award in Toxicology	08/14/01	-	-	-	50,000	50,000	-	(4,931)	(820)	-	(167)	0	94,082	-	-
0-51501	III-10	Robert M. Odear, '28 '30 Faculty Research Fund in Latin America	08/14/01	-	4,250	4,124	50,000	5,050	-	(3,210)	(1,139)	1,139	-	(0)	55,963	40,700	-
0-51552	III-10	Beaven-Eideltk Research Fellowship in Developmental Disabilities and Mental Retardation	08/14/01	-	-	-	50,000	8,433	-	(3,092)	(969)	969	-	(0)	55,341	41,567	-
0-51592	III-10	Royster Research Professorship	08/14/01	-	-	-	50,000	20,000	-	(3,345)	(1,254)	-	(258)	(0)	65,132	30,000	-
0-51569	III-11	Cardiology Associates of Kentucky Cardiology Fellowship Fund	09/18/01	-	-	-	250,000	50,000	-	(19,277)	(3,059)	3,059	-	0	280,723	200,000	-
0-51535	III-11	Violet Irene Eads Research Fund for Eye Tissue in the Lions Eye Bank of Lexington	09/18/01	-	35,000	34,448	56,000	9,574	-	(4,964)	(3,308)	3,308	(112)	(0)	94,946	11,426	-
0-51605	III-11	Michael D. Rankin, M.D. Community Scholarship Endowment	09/18/01	-	-	-	200,000	100,000	-	(20,704)	(3,612)	3,612	-	(0)	279,296	100,000	-
0-51573	III-11	Richard K. Brautigam Professorship in Juvenile, Criminal and Social Justice	09/18/01	-	-	-	50,000	10,500	-	(2,618)	(1,532)	1,532	-	(0)	57,882	39,500	-
0-51599	III-11	Rebecca Cunningham Van Meier Endowment Fund	09/18/01	-	-	-	50,000	10,000	-	(2,927)	(1,379)	-	-	(0)	55,694	40,000	-
0-51553	III-11	Scott V. Breckridge Professorship in Intelligence Education	09/18/01	-	-	-	52,415	11,500	-	(3,257)	(1,729)	1,729	-	-	60,658	40,915	-
0-51400	III-13	Vernon R. Wiehe Research Fellowship in Family Violence	01/22/02	-	25,075	23,745	50,000	210	-	(3,792)	(1,119)	-	(210)	0	68,833	24,715	-
0-51566	III-13	JoAnn J Bell Endowment in Social Policy and Critical Thinking	01/22/02	-	-	-	50,000	24,209	-	(3,324)	(566)	566	-	0	70,885	25,791	-

\*Adjustment for gifts received but not matched.

Table 5

University of Kentucky  
Endowment Match Program  
Statement of Changes in Endowments  
Fiscal Year 2001-02

GL Account Number	RCTF Request Number	Endowment Name	Date Established	Prior to 07/01/01		Fiscal Year 2001 - 2002 Activity										Market Value 06/30/02	Outstanding Pledges as of 06/30/02	Expenditures 2001 - 2002
				State Funds Received	Gifts Received	Market Value 07/01/01	State Funds Received	Gifts Received	Gifts other Than RCTF	Investment Earning (Loss)	Allocated for Expenditure	Reinvested	Management Fee	Other*				
0-51606	III-13	Ralph E. & Norma L. Edwards Research Professorship	01/22/02	-	-	-	100,493	100,493	1	(11,278)	(2,017)	2,017	(331)	(0)	189,378	-	-	
0-51609	III-13	James Graham Brown Foundation Endowed Chair in Neuroscience	01/22/02	-	-	-	500,066	500,066	10,040	(56,118)	(10,039)	-	(1,645)	(1)	942,368	-	-	
0-51610	III-13	James Graham Brown Foundation Endowed Professorship in Forestry & Environmental Sciences	01/22/02	-	-	-	500,065	500,065	-	(56,118)	(10,039)	10,039	(1,645)	1	942,368	-	-	
0-51611	III-13	Rasi-Holbrook Research and Seminar Fund	01/22/02	-	-	-	55,455	11,792	-	(3,477)	(94)	94	(10)	0	63,760	43,663	-	
0-51613	III-13	Association of Emeritus Faculty Fellowship Endowment Fund	01/22/02	-	-	-	50,000	30,000	-	(4,011)	(488)	488	-	0	75,989	20,000	-	
0-51635	III-13	Donald L. and Gertrude L. Lester Professorship in Mechanical Engineering	01/22/02	-	-	-	50,000	-	-	(2,385)	-	-	-	(0)	47,615	50,000	-	
0-51418	III-14	ALCA	03/05/02	-	26,744	27,050	50,000	1,020	-	(3,942)	(1,347)	1,347	-	0	74,128	22,236	-	
0-51596	III-14	Kenneth H. and Susan W. Beard Graduate Fellowship Fund	03/05/02	-	-	-	250,000	50,310	-	(14,269)	(1,223)	-	(210)	(0)	284,608	199,690	-	
0-51617	III-14	David B. Stevens, M.D. Professorship of Chair in Orthopaedic Surgery	03/05/02	-	-	-	50,000	10,000	-	(2,935)	(41)	41	-	(0)	57,065	40,000	-	
0-51618	III-14	Charlotte R. Schmidlapp Fellowship in Gynecologic Oncology	03/05/02	-	-	-	100,000	-	-	(4,771)	-	-	-	(0)	95,229	100,000	-	
0-51624	III-14	Hellman Family Fund in the Division of Infectious Diseases	03/05/02	-	-	-	50,000	10,000	-	(2,831)	(123)	123	(17)	(0)	57,152	40,000	-	
0-51651	III-14	Affordable Housing Design Research Fund	03/05/02	-	-	-	300,000	-	-	(14,312)	-	-	-	(0)	285,688	300,000	-	
<b>TOTAL NEW ENDOWMENTS</b>				<b>\$0</b>	<b>\$403,529</b>	<b>\$398,411</b>	<b>\$6,861,829</b>	<b>\$3,051,051</b>	<b>\$13,325</b>	<b>(\$594,592)</b>	<b>(\$254,499)</b>	<b>\$99,291</b>	<b>(\$7,778)</b>	<b>\$1,000,000</b>	<b>\$10,507,038</b>	<b>\$3,407,249</b>	<b>\$76,771</b>	
0-50398	II-1	W. Hugh Peat Collection	09/16/97	\$200,000	\$200,000	\$511,550	\$0	\$0	\$0	(\$30,273)	(\$24,099)	\$0	\$0	0	\$457,177	\$0	\$19,844	
0-50771	II-1	James F. Glenn Professorship in Urology	09/19/00	-	45,000	92,742	-	-	-	(5,489)	(4,369)	-	-	0	82,884	-	43,883	
0-51209	II-1	Geraldine L. Cosby Scholarship	12/09/97	1,000,000	1,000,000	1,037,498	-	-	-	(61,398)	(48,877)	-	-	0	927,223	1,000,000	2,500	
0-51281	II-1	Jack & Linda Gill Chair in Internal Medicine	05/04/99	1,000,000	1,000,000	1,013,120	-	-	-	(59,955)	(47,729)	-	-	(0)	905,436	1,000,000	93,511	
0-51309	II-1	Linda C. Gill Chair in Nursing	05/04/99	200,000	200,000	205,698	-	-	-	(12,173)	(9,691)	-	-	0	183,834	200,000	35,128	
0-51342	II-1	Joseph Hamburg Professorship in Rehabilitation Services	05/04/99	200,000	200,000	199,858	-	-	-	(11,828)	(9,415)	-	-	(0)	178,615	200,000	10,832	
0-51307	II-1	Alvin L. Morris Professorship in Oral Health	05/04/99	200,000	200,000	208,453	-	-	-	(12,336)	(9,820)	-	-	0	186,296	200,000	-	
0-51304	II-1	Jacqueline A. Noonan, M.D. Professorship in Pediatrics	05/04/99	200,000	200,000	199,858	-	-	-	(11,828)	(9,415)	-	-	(0)	178,615	200,000	-	
0-51310	II-1	Marcia A. Dake Professorship in Nursing	05/04/99	200,000	200,000	204,982	-	-	-	(12,131)	(9,657)	-	-	(0)	183,195	200,000	2	
0-51312	II-1	Harry B. Kostenbauder Fund Excellence in Pharmaceutical Science and Graduate Education	05/04/99	-	-	957,742	-	-	-	(56,678)	(45,120)	-	-	0	855,944	(1,000,000)	-	
0-51282	II-1	Gill Foundation Chair in Preventive Cardiology	01/20/98	-	1,000,000	195,201	-	-	-	(11,552)	(9,196)	-	-	-	174,453	(200,000)	8,579	
0-51330	II-1	Gill Foundation Professorship in Interventional Cardiology	01/20/98	-	200,000	194,971	-	-	-	(11,538)	(9,185)	-	-	0	174,248	(200,000)	-	
0-51329	II-1	Jeff Gill Professorship in Cardiac Anesthesiology	01/20/98	-	200,000	225,637	-	-	-	(13,353)	(10,630)	-	-	(0)	201,654	(200,000)	10,210	
0-51144	II-1	Gill Professorship in Pediatric Cardiology	01/20/98	-	200,000	194,971	-	-	-	(11,538)	(9,185)	-	-	0	174,248	(200,000)	-	
0-51328	II-1	Jason Gill Professorship in Cardiac Radiology	01/20/98	-	200,000	194,971	-	-	-	(11,538)	(9,185)	-	-	0	174,248	(200,000)	-	
0-51327	II-1	Tyler Gill Professorship in Vascular Surgery	01/20/98	-	200,000	194,971	-	-	-	(11,538)	(9,185)	-	-	0	174,248	(200,000)	10,304	

\*Adjustment for gifts received but not matched.

Table 5

University of Kentucky  
Endowment Match Program  
Statement of Changes in Endowments  
Fiscal Year 2001-02

GL Account Number	RGTF Request Number	Endowment Name	Date Established	Prior to 07/01/01			Fiscal Year 2001 - 2002 Activity										Market Value 06/30/02	Outstanding Pledges as of 06/30/02 (1,000,000)	Expenditures 2001 - 2002		
				State Funds Received	Gifts Received	Market Value 07/01/01	State Funds Received	Gifts Received	Gifts other Than RCTF	Investment Earning (Loss)	Allocated for Expenditure	Allocated Funds Reinvested	Management Fee	Other*							
0-51648	II-1	Gill Heart Institute Endowment	01/20/98	-	-	-	-	-	-	-	-	124,001	-	-	-	-	-	1,124,001	-	-	
0-51273	II-1	Charles T. Weithington, Jr. Graduate and Professional Fellowship	05/09/98	500,000	500,000	1,034,879	-	-	-	-	-	(61,243)	(48,754)	-	-	-	-	924,883	-	-	
0-51145	II-1	Garner Group Chair in Network Engineering	09/15/98	900,000	900,000	1,931,946	-	-	-	-	-	(114,330)	(91,015)	-	(0)	-	-	1,726,601	-	72,212	
0-51185	II-1	W. T. Young Library	09/15/98	5,000,000	5,000,000	30,644,241	-	-	(8,830)	-	-	(2,386,701)	(797,282)	-	(18,339,709)	-	-	9,111,719	-	1,156,666	
0-51185	II-1	Endowment for Saunders Brown Center on Aging Library	09/15/98	(1,000,000)	(1,000,000)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
0-51185	II-1	Library Endowment for Markey Cancer Center	09/15/98	(1,000,000)	(1,000,000)	-	-	-	-	-	-	-	-	-	1,000,000	-	-	-	-	-	
0-51185	II-1	WT Young Library STM Account	09/15/98	-	-	-	-	-	-	-	-	147,319	397,262	(4,469)	2,345,316	-	-	-	2,114,573	-	21,490
0-51522	II-1	William T. Young Library Endowment for Saunders Brown Center on Aging	09/15/98	1,000,000	1,000,000	1,921,195	-	-	-	-	-	(113,693)	(90,509)	-	0	-	-	1,716,992	-	-	
0-51523	II-1	William T. Young Library Endowment for Markey Cancer Center	09/15/98	1,000,000	1,000,000	1,921,195	-	-	-	-	-	(129,780)	(119,732)	-	(0)	-	-	2,671,683	-	36,996	
0-51570	II-1	W. T. Young STM Library Endowment Fund	09/15/98	-	-	-	-	-	9,330	-	-	(26,526)	(1,982,443)	15,249	(0)	-	-	19,392,766	4,317,984	490,686	
0-51198	II-1	Major Endowed Research Fund in Veterinary Science	03/02/99	1,551,100	-	1,873,695	-	-	-	-	-	(110,883)	(88,271)	-	0	-	-	1,674,541	1,551,100	95,440	
0-51217	II-1	Knight Chair Endowment Supplement	03/02/99	1,250,000	-	1,271,735	-	-	-	-	-	296,793	(59,912)	-	(22,482)	466,000	-	1,952,134	1,250,000	1,607	
0-51218	II-1	Albert G. Clay Endowed Chair in Equine Reproduction	03/02/99	3,250,000	-	3,306,513	-	-	-	-	-	(195,675)	(155,772)	-	-	-	-	2,955,066	3,250,000	-	
0-51220	II-1	Clemantine Mill Schlijker Chair in Equine Infectious Diseases	03/02/99	-	3,125,171	3,306,121	-	-	217,403	-	-	25,239	(155,754)	-	17,751	-	-	3,752,798	(3,467,208)	1,033	
0-51221	II-1	William Robert Mills Chair in Equine Infectious Diseases	03/02/99	-	3,125,171	3,306,121	-	-	217,403	-	-	25,239	(155,754)	-	17,751	-	-	3,752,798	(3,467,208)	1,033	
0-51223	II-1	John A. Morris Equine Library Endowed Research & Mission Support Fund	03/02/99	1,000,000	-	1,017,388	-	-	-	-	-	(60,208)	(47,530)	-	(0)	-	-	909,251	1,000,000	63,205	
0-51657	II-1	Professorship in Veterinary Sciences I - Schlijker	06/11/02	-	-	-	-	-	-	-	-	(11,926)	-	-	0	-	-	238,074	(250,000)	-	
0-51658	II-1	Professorship in Veterinary Sciences II - Schlijker	06/11/02	-	-	-	-	-	-	-	-	(11,926)	-	-	0	-	-	238,074	(250,000)	-	
0-51201	II-1	Verizon South Inc. Chair in Network Engineering	10/20/98	900,000	900,000	1,865,996	-	-	-	-	-	(110,427)	(87,906)	-	0	-	-	1,667,661	-	143,120	
0-51161	II-1	Raymond Civil Engineering Endowment Fund	10/20/98	2,000,000	1,500,000	3,731,081	-	-	-	-	-	(236,291)	(186,575)	-	(0)	-	-	3,588,216	250,000	101,979	
0-51197	II-1	Ashland Inc. Chair in Chemical Engineering	10/20/98	1,000,000	600,000	1,675,826	-	-	-	-	-	(108,529)	(83,819)	-	0	-	-	1,663,479	200,000	36,384	
0-51170	II-1	McDowell Cancer Foundation Chair in the Research	12/09/98	1,000,000	600,000	1,710,996	-	-	-	-	-	(101,254)	(80,606)	-	0	-	-	1,529,135	400,000	82,948	
0-51171	II-1	Lucille P. Markey Cancer Center Research	12/09/98	1,000,000	600,000	1,732,530	-	-	-	-	-	(102,529)	(81,621)	-	(0)	-	-	1,548,381	400,000	-	
0-50315	II-1	Robert L. Bergen Professorship in Ophthalmology	12/09/98	200,000	200,000	446,270	-	-	-	-	-	(26,410)	(21,024)	-	0	-	-	398,836	-	16,453	
0-51208	II-1	Robert G. (Robin) Luke, M.D. Endowed Research Chair of Nephrology	12/09/98	500,000	500,000	1,048,328	-	-	-	-	-	(62,039)	(49,387)	-	0	-	-	936,902	-	44,876	
0-51211	II-1	Children's Miracle Network Research Professorship/Chair in Pediatrics, Number 1	12/09/98	500,000	300,000	845,579	-	-	-	-	-	(50,040)	(39,836)	-	0	-	-	755,703	200,000	24,276	
0-51212	II-1	Children's Miracle Network Research Professorship/Chair in Pediatrics, Number 2	12/09/98	500,000	300,000	845,555	-	-	-	-	-	(50,039)	(39,835)	-	(0)	-	-	755,682	200,000	-	
0-51166	II-1	Paul G. Blazer, Jr. Professorship in Stroke	12/09/98	250,000	150,000	429,100	-	-	-	-	-	(26,198)	(21,676)	-	(0)	-	-	431,226	50,000	-	
0-51210	II-1	R.C. Durr Foundation Chair in Alzheimer's Disease	12/09/98	500,000	350,000	898,805	-	-	-	-	-	(60,277)	(44,169)	-	(0)	-	-	944,359	-	-	

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Table 5

University of Kentucky  
Endowment Match Program  
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Fiscal Year 2001-02

GL Account Number	RCTF Request Number	Endowment Name	Date Established	Prior to 07/01/01		Fiscal Year 2001 - 2002 Activity										Market Value 06/30/02	Outstanding Pledges as of 06/30/02	Expenditures 2001 - 2002
				State Funds Received	Gifts Received	Market Value 07/01/01	State Funds Received	Gifts Received	Gifts other Than RCTF	Investment Earning (Loss)	Allocated for Expenditure	Reinvested	Management Fee	Other*				
0-51213	II-1	US Surgical Corporation-Minimally Invasive Surgery Center Professorship #1	12/08/98	100,000	60,000	166,144	-	40,000	-	(11,741)	(7,827)	-	0	186,576	-	7,434		
0-51214	II-1	US Surgical Corporation-Minimally Invasive Surgery Center Professorship #2	12/08/98	-	-	145,878	-	-	-	(8,633)	(6,872)	-	0	130,373	-	-		
0-51215	II-1	Floyd H. Wright Research Endowment	12/08/98	500,000	400,000	1,424,414	-	100,000	-	(94,051)	(69,547)	-	100,000	1,460,816	-	42,296		
0-51180	II-1	State Research Challenge Trust Endowment Program	03/02/99	313,568	-	229,182	-	-	-	(14,055)	(11,001)	11,001	(0)	215,126	313,568	-		
0-51250	II-1	Chair in Public Finance in the Martin School of Public Policy & Administration	03/02/99	500,000	500,000	1,070,969	-	-	-	(63,379)	(50,454)	-	(0)	957,136	-	50,454		
0-51251	II-1	Chair in Special Education	03/02/99	500,000	500,000	1,070,969	-	-	-	(63,379)	(50,454)	-	(0)	957,136	-	44,214		
0-51252	II-1	Chair in Vocal Music	03/02/99	500,000	500,000	1,070,969	-	-	-	(63,379)	(50,454)	-	(0)	957,136	-	49,629		
0-51258	II-1	William T. Bryan University Chair (name change 04/2002)	03/02/99	500,000	500,000	1,070,969	-	-	-	(63,379)	(50,454)	-	(0)	957,136	-	-		
0-51260	II-1	William T. Bryan Endowed Chair in Spanish	03/02/99	500,000	500,000	1,070,969	-	-	-	(63,379)	(50,454)	-	(0)	957,136	-	48,981		
0-51261	II-1	William T. Bryan Endowed Chair in History	03/02/99	500,000	500,000	1,070,969	-	-	-	(63,379)	(50,454)	-	(0)	957,136	-	52,288		
0-51437	II-1	William T. Bryan Library Endowment Fund	09/15/98	686,432	686,432	1,352,553	-	-	-	(80,042)	(63,720)	-	(0)	1,208,791	-	64,347		
0-51175	II-1	Dr. Barbara and James Holsinger Professorship in Anatomy	12/08/98	50,000	50,000	185,129	-	-	-	(11,396)	(8,845)	-	10,000	174,888	-	261		
0-51243	II-1	Real Estate Professorship Endowment	12/08/98	166,300	166,300	442,391	-	-	-	(26,180)	(20,841)	-	0	395,369	-	11,829		
0-50970	II-1	C. M. Gatton Endowment Fund	03/02/99	-	-	4,535,435	-	166,200	1,150	(266,581)	(212,940)	-	(43,532)	4,014,532	-	20,1078		
0-51227	II-1	C. M. Gatton Endowment Fund - Professorships	03/02/99	2,000,000	673,947	2,785,924	-	-	-	(167,540)	(136,104)	-	(0)	2,648,480	1,159,853	90,353		
0-51228	II-1	C. M. Gatton Endowment Fund - Chairs	03/02/99	6,000,000	2,277,793	8,611,179	-	498,675	250,000	(533,785)	(430,074)	-	0	8,395,994	3,223,532	677,083		
0-51229	II-1	C. M. Gatton Endowment Fund - Faculty Research & Development	03/02/99	2,000,000	2,000,000	4,413,273	-	-	-	(261,526)	(208,195)	-	0	3,949,552	-	243,829		
0-51231	II-1	C. M. Gatton Endowment Fund - Scholarships	03/02/99	1,024,500	345,184	1,427,043	-	85,125	-	(85,820)	(69,717)	-	(0)	1,356,631	594,191	50,759		
0-51074	II-1	Gertrude F. Ribble Academic Fund	06/10/97	1,000,000	1,000,000	2,436,121	-	-	-	(144,166)	(114,767)	-	0	2,177,188	-	50,373		
0-51207	II-1	Margaret Logan Colvin Chair in Lung Disease Research	03/02/99	476,800	476,800	1,425,098	-	-	-	(84,335)	(67,137)	-	0	1,273,625	-	-		
0-51182	II-2	Barnstable-Brown Chair in Diabetes Research	03/02/99	500,000	300,000	815,281	-	100,000	-	(54,610)	(40,408)	-	0	820,262	100,000	-		
0-51226	II-2	Alan F. & Irene Bloomfield Professorship Fund	03/02/99	150,000	50,000	206,606	-	30,000	-	(13,658)	(9,733)	-	0	213,215	70,000	12,047		
0-51238	II-2	Carol Lee Robertson Endowed Professorship in Literacy	03/02/99	160,000	60,225	226,680	-	18,373	-	(14,334)	(10,974)	-	(0)	219,744	81,402	-		
0-50703	II-2	Constance Wilson Endowed Professorship in Mental Health	03/02/99	50,000	50,000	132,390	-	-	1,960	(7,916)	(6,283)	-	(0)	120,152	-	6,016		
0-51302	II-2	Professorship and Chair in Neurosurgery	03/02/99	500,000	300,000	812,142	-	100,000	58,325	(55,205)	(40,383)	-	0	874,879	100,000	-		
0-51306	II-2	Radiation Medicine Chair	03/02/99	1,000,000	137,351	1,172,952	-	68,674	-	(71,378)	(56,711)	-	0	1,113,537	793,975	56,711		
0-51280	II-2	Endowed Professorship in Cardiology	03/02/99	50,000	50,000	171,707	-	10,000	-	(10,026)	(6,432)	-	0	163,249	-	8,399		
0-51288	II-2	Robert L. Lester Professorship in Biochemistry	03/02/99	52,000	52,000	123,082	-	-	-	(7,284)	(5,798)	-	-	110,000	-	3,289		
0-51311	II-2	George Schwert Professorship in Biochemistry	03/02/99	165,000	90,000	259,963	-	55,000	-	(17,806)	(12,925)	-	(0)	284,232	20,000	-		
0-51313	II-2	Antonio S. Turco Professorship in Biochemistry	03/02/99	218,000	218,000	441,878	-	-	-	(26,150)	(20,817)	-	0	394,911	-	14,588		
0-51271	II-2	Non Tenured Faculty Research Enrichment Fund	03/02/99	150,000	121,000	273,511	-	29,000	-	(17,774)	(13,004)	-	(0)	271,734	-	5,258		
0-51083	II-2	Stiles & Harbison Law Professorship of Law	03/02/99	72,500	12,000	133,591	-	11,500	8,100	15,417	(12,374)	-	(1,167)	155,068	49,000	12,766		

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University of Kentucky  
Endowment Match Program  
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Fiscal Year 2001-02

GL Account Number	RCTF Request Number	Endowment Name	Date Established	Prior to 07/01/01			Fiscal Year 2001 - 2002 Activity										Outstanding Pledges as of 06/30/02	
				State Funds Received	Gifts Received	Market Value 07/01/01	State Funds Received	Gifts Received	Gifts Other Than RCTF	Investment Earning (Loss)	Allocated for Expenditure	Allocated for Reinvested	Management Fee	Other*	Market Value 06/30/02	Expenditures 2001 - 2002		
0-51162	II-2	George E. Mitchell, Jr. Graduate Fellowship Fund for Animal Sciences	03/02/99	120,000	62,943	189,948	-	21,480	-	(12,602)	(9,398)	-	(0)	189,428	35,577	11,250		
0-51253	II-2	Laramie L. Leatherman Professorship of Law II	03/02/99	100,000	100,000	200,735	-	-	(11,880)	(9,457)	-	(0)	179,399	-	10,948			
0-50517	II-2	Laramie L. Leatherman Professorship of Law	03/02/99	-	-	511,985	-	125	(30,307)	(24,122)	-	0	457,681	-	26,213			
0-51237	II-2	Patterson School of Diplomacy fund for Excellence Graduate Intern Research Fellowship	03/02/99	74,300	74,300	168,716	-	6,500	(10,571)	(8,247)	8,247	0	162,959	-	-			
0-51262	II-2	Graduate Intern Research Fellowship - Patterson School of Diplomacy	03/02/99	-	-	-	-	-	-	-	-	-	-	-	-			
0-50884	II-2	H. Bruce Price Professorship in Agricultural Economics	03/02/99	-	50,000	73,647	-	-	(4,484)	(3,522)	3,522	-	68,444	(50,000)	-			
0-51315	II-2	H. Bruce Price	03/02/99	50,000	-	51,874	-	-	(3,070)	(2,444)	-	(0)	46,360	50,000	204			
0-51255	II-2	James C. Vanmeter Graduate and Research Fund	03/02/99	130,000	90,000	225,164	-	20,000	(14,326)	(11,013)	-	0	219,824	20,000	2,000			
0-51159	II-2	Lewis Cockran Graduate Fellowship Fund	03/02/99	52,000	52,000	134,537	-	-	(8,026)	(6,358)	-	(0)	121,154	-	4,625			
0-51247	II-2	Lexington Herald-Leader Fellowship Endowment	03/02/99	100,000	50,000	155,081	-	16,667	(9,912)	(7,511)	-	0	154,325	33,333	8,901			
0-51207	II-2	Margaret Logan Colvin Chair in Lung Disease Research	03/02/99	187,100	187,100	-	-	-	-	-	-	-	-	-	-			
0-51289	II-2	University Professorship in Dentistry	03/02/99	-	10,000	13,166	-	(10,000)	(5,011)	1,845	-	0	-	-	-			
0-51290	II-2	University Professorship in Nursing	03/02/99	-	10,000	13,166	-	(4,000)	(5,341)	1,703	-	0	5,527	(6,000)	-			
0-51291	II-2	University Professorship in Medicine	03/02/99	-	10,000	13,168	-	7,014	5,737	(6,704)	1,773	(0)	94,989	(84,000)	2,338			
0-51292	II-2	University Professorship in Pharmacy	03/02/99	100,000	30,000	130,920	-	-	(7,748)	(6,168)	-	(0)	117,004	70,000	-			
0-51293	II-2	University Professorship in Allied Health	03/02/99	100,000	30,000	136,271	-	-	(8,065)	(6,420)	-	(0)	121,787	70,000	3,907			
0-51294	II-2	University Professorship in Graduate Medical Education	03/02/99	100,000	30,000	131,147	-	-	(7,761)	(6,178)	-	0	117,208	70,000	5,506			
0-51195	II-2	Michael D. Rankin, M.D. Professorship in Family Practice	03/02/99	50,000	50,000	103,942	-	-	(6,151)	(4,897)	-	0	92,894	-	5,032			
0-51259	II-2	Mining Engineering Foundation Graduate Fellowship Fund	03/02/99	1,000,000	540,350	1,596,261	-	48,850	(97,017)	(75,824)	-	0	1,472,271	410,800	87,672			
0-51177	II-2	Chelgrien Endowed Chair in Corporate Strategy	03/02/99	250,000	208,172	701,609	-	41,828	(45,813)	(33,539)	-	18,816	682,901	-	222			
0-51277	II-2	John W. Greene Jr., MD Professorship or Chair in Obstetrics and Gynecology	03/02/99	250,000	-	259,374	-	-	(15,350)	(12,219)	-	-	231,805	250,000	-			
0-51284	II-2	Bayer-Pfizer Professorship in Pulmonary Medicine	03/02/99	52,500	22,500	76,890	-	10,000	(4,792)	(4,010)	-	0	78,088	20,000	3,867			
0-51275	II-2	Spinal Cord & Head Injury Chair No. 1	03/02/99	500,000	500,000	989,108	-	-	(58,534)	(46,597)	-	(0)	883,976	-	29,640			
0-51276	II-2	Spinal Cord Brain Injury Chair no. 4- Clinical Director	05/04/99	500,000	500,000	1,007,829	-	-	(59,642)	(47,480)	-	(0)	900,708	-	-			
0-51278	II-2	Spinal Cord & Head Injury Chair No. 3	03/02/99	500,000	-	518,749	-	500,000	(52,715)	(30,601)	-	(0)	935,433	-	-			
0-51334	II-2	Spinal Cord and Brain Injury Chair No. 5	03/02/99	500,000	-	509,821	-	-	(30,171)	(24,018)	-	(0)	455,633	500,000	-			
0-51222	II-3	Pin Oak Stud Endowed Research Fund	04/06/99	500,000	200,000	712,490	-	100,000	(48,527)	(35,566)	-	0	728,397	200,000	7,525			
0-51219	II-3	Albert & Lorraine Clay Visiting Scholars Endowment	04/06/99	250,000	250,000	756,746	-	-	(47,448)	(36,462)	-	50,000	722,836	-	-			
0-51248	II-3	Anne Scott Maher Mason Vocal Music Scholarship Fund	04/06/99	50,000	50,000	108,115	-	-	(6,398)	(5,093)	-	(0)	96,623	-	12,896			
0-51314	II-3	Brown and Williamson Research Fund	04/06/99	250,000	100,000	358,534	-	50,000	(22,022)	(18,352)	-	(0)	368,160	100,000	9,208			
0-51168	II-3	Dorothy Leathers Graduate Fellowship Fund	04/06/99	25,000	24,999	52,554	-	1	(3,248)	(2,545)	-	0	49,582	-	2,250			

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GL Account Number	RCTF Request Number	Endowment Name	Date Established	Prior to 07/01/01			Fiscal Year 2001 - 2002 Activity										Market Value 06/30/02	Outstanding Pledges as of 06/30/02	Expenditures 2001 - 2002
				State Funds Received	Gifts Received	Market Value 07/01/01	State Funds Received	Gifts Received	Gifts other Than RCTF	Investment Earning (Loss)	Allocated for Expenditure	Allocated for Reinvested	Management Fee	Other*					
0-51279	II-3	Dr. Claire Louise Caudill Professorship in Family Medicine	04/06/99	75,000	33,906	120,861	-	20,572	-	(6,873)	(6,399)	-	0	-	-	128,161	20,522	6,947	
0-51188	II-3	Gerald L. Nichols Fellowship Fund	04/06/99	125,000	123,720	255,446	-	-	-	(15,116)	(12,036)	-	0	-	-	228,294	1,280	11,529	
0-51300	II-3	Gordon L. Hyde, M.D. Professorship/Chair in Vascular Surgery	04/06/99	51,000	51,000	835,589	-	-	43,525	(49,659)	(39,415)	-	(0)	-	-	790,039	-	37,477	
0-50498		Gordon L. Hyde, M.D. Professorship/Chair in Vascular Surgery	04/06/99	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
0-51056		Gordon L. Hyde, M.D. Endowment	04/06/99	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
0-51181	II-3	Clay Lancaster Endowed Professorship in Historic Preservation	04/06/99	250,500	127,422	387,575	-	51,492	-	(25,852)	(19,035)	-	0	-	-	394,180	71,587	24,395	
0-51233	II-3	James F. Hardymon Chair in Engineering - Manufacturing Systems	04/06/99	500,000	499,657	1,023,674	-	-	-	(60,580)	(48,226)	-	0	-	-	914,868	343	22,520	
0-51234	II-3	James F. Hardymon Chairs in Engineering - Networking	04/06/99	500,000	495,879	1,019,992	-	4,021	5,879	(60,839)	(48,052)	-	0	-	-	921,100	-	29,410	
0-51235	II-3	James F. Hardymon Chairs in Engineering - Fellowship	04/06/99	500,000	499,657	1,023,674	-	-	-	(60,580)	(48,226)	-	0	-	-	914,868	343	41,969	
0-51123	II-3	James R. Boyd Professorship in Electrical Engineering	04/06/99	100,000	100,000	219,947	-	-	8,000	(13,466)	(10,475)	-	(0)	-	-	204,006	-	16,359	
0-51249	II-3	Sue Fan Gooding Fund	04/06/99	85,000	26,029	114,037	-	-	-	(6,749)	(5,372)	-	(0)	-	-	101,916	58,971	-	
0-51254	II-3	John I. And Patricia J. Buster Endowment Fund in the College of Human Environmental Sciences	04/06/99	402,400	270,792	769,250	-	61,481	-	(49,127)	(37,782)	-	0	-	-	743,821	70,127	-	
0-51256	II-3	T. Marshall Hahn, Jr. Graduate Fellowship Fund	04/06/99	50,000	50,000	99,348	-	-	-	(5,879)	(4,680)	-	(0)	-	-	88,788	-	5,000	
0-51257	II-3	T. Marshall Hahn, Jr. Professorship Fund in the College of Arts & Sciences	04/06/99	200,000	199,000	399,916	-	-	-	(23,667)	(18,840)	-	0	-	-	357,409	1,000	22,712	
0-51206	II-3	BS/MBA Graduate Fellowship Endowment Fund	04/06/99	60,000	60,000	373,827	-	-	-	(21,983)	(17,965)	-	10,311	-	-	344,191	-	33,059	
0-51373	II-3	US Surgical Endowed Professor	04/06/99	100,000	100,000	197,626	-	-	-	(11,696)	(9,310)	-	(0)	-	-	176,620	-	-	
0-51185	II-3	W. T. Young Library	04/06/99	1,000,000	1,000,000	-	-	-	-	-	-	-	-	-	-	-	-	-	
0-51185	II-3	WT Young Library STM Account	04/06/99	-	-	-	(1,000,000)	(1,000,000)	-	58,928	158,905	(1,788)	-	-	-	-	-	-	
0-51244	II-4	Center for Aluminum Technology Endowment Fund	05/04/99	250,000	250,000	2,387,334	-	-	-	(140,868)	(121,475)	-	280,000	-	-	2,405,000	-	83,257	
0-51285	II-4	Boehringer-Ingelheim Professorship	05/04/99	50,000	30,000	82,196	-	-	-	(4,865)	(3,872)	-	(0)	-	-	73,459	20,000	3,709	
0-51185	II-4	W. T. Young Library	05/04/99	50,000	30,000	-	-	10,000	-	-	-	-	(10,000)	-	-	-	10,000	-	
0-51185	II-4	WT Young Library STM Account	05/04/99	-	-	-	(50,000)	(40,000)	-	2,354	6,356	(72)	81,361	-	-	-	(10,000)	-	
0-51308	II-4	Dr. Shih-Chun Wang Professorship in Physiology	05/04/99	50,000	22,891	90,761	-	-	5,000	(5,605)	(4,397)	-	(0)	-	-	85,758	27,109	1,965	
0-51205	II-4	James and Cora Sanders Nursery/Landscape Research Endowment	05/04/99	26,195	16,145	43,489	-	-	-	(2,801)	(2,243)	-	(0)	-	-	43,945	4,550	-	
0-51224	II-4	Don Conum and National Nursery Products/Landscape Research Endowment	05/04/99	25,000	25,000	124,687	-	-	-	(7,379)	(5,874)	-	0	-	-	111,434	-	-	
0-51232	II-4	UK Nursery/Landscape Research Endowment	05/04/99	34,200	17,464	54,070	-	1,010	-	(3,248)	(2,572)	-	(0)	-	-	49,261	15,726	-	
0-51269	II-4	Amnon Nursery/Landscape Research Endowment	05/04/99	25,000	3,000	28,942	-	-	-	(2,395)	(1,602)	-	(0)	-	-	35,696	11,248	-	
0-51267	II-4	Gary B. Knapp Endowment in Support of Business Education and the Arts	05/04/99	1,000,000	400,000	1,424,981	-	200,000	-	(97,054)	(71,131)	-	0	-	-	1,456,795	400,000	18,165	
0-51268	II-4	Gary B. Knapp Endowed Chair in Arts Administration	05/04/99	500,000	200,000	712,490	-	100,000	-	(48,527)	(35,566)	-	0	-	-	728,397	200,000	26,396	

\*Adjustment for gifts received but not matched.

**University of Kentucky  
Endowment Match Program  
Statement of Changes in Endowments  
Fiscal Year 2001-02**

Table 5

GL Account Number	RCTF Request Number	Endowment Name	Date Established	Prior to 07/01/01		Fiscal Year 2001 - 2002 Activity										Market Value 06/30/02	Outstanding Pledges as of 06/30/02	Expenditures 2001 - 2002
				State Funds Received	Gifts Received	Market Value 07/01/01	State Funds Received	Gifts Received	Gifts other Than RCTF	Investment Earning (Loss)	Allocated for Expenditure	Funds Reinvested	Management Fee	Other				
0-51832	II-4	Nadine James Alzheimer's Disease Research Fund	05/04/99	150,000	150,000	310,827	-	-	15,342	(19,735)	(15,100)	15,100	-	(0)	306,234	-	15,342	
0-51239	II-4	Library & Information Science Endowed Graduate Fellowship Fund	05/04/99	30,724	30,724	61,997	-	-	15	(3,689)	(2,821)	-	-	0	55,421	-	-	
0-51298	II-4	Janet Galloway Carter Endowed Professorship in Physical Medicine and Rehabilitation	05/04/99	150,000	60,000	214,815	-	30,000	-	(13,571)	(10,755)	-	-	(0)	220,490	60,000	12,887	
0-51173	II-4	John Mink Professorship in Pediatric Dentistry & Health Services Research Gift Agreement	05/04/99	55,000	55,000	298,616	-	-	-	(20,502)	(15,395)	15,395	-	47,392	325,506	-	-	
0-51272	II-4	Kentuckiana Masonry Institute Endowed Professorship	05/04/99	100,000	60,000	163,680	-	20,000	-	(11,102)	(7,871)	-	-	0	164,706	20,000	17,801	
0-51286	II-4	Mary Florence Jones Professorship in Neonatology	05/04/99	100,000	100,000	203,679	-	-	-	(12,054)	(9,595)	-	-	(0)	182,030	-	-	
0-51216	II-4	Merck & Co. Pulmonary Medicine Professorship	05/04/99	50,000	50,000	102,292	-	-	-	(8,257)	(6,379)	-	-	60,000	147,656	-	12,606	
0-51176	II-4	Robert G. Lawson Professorship	05/04/99	-	-	1,128	-	-	-	(1,123)	(22)	22	(4)	(0)	-	-	-	
0-51266	II-4	Robert G. Lawson Professorship	05/04/99	57,000	55,345	157,585	-	-	1,984	(9,400)	(7,825)	-	-	-	144,298	-	7,525	
0-51158	II-4	Spinal Cord & Head Injury Chair No. 2	03/02/99	500,000	500,000	1,122,819	-	-	-	(66,447)	(52,897)	-	-	0	1,003,475	-	-	
0-51270	II-4	TVA Power Engineering Endowment Fund	05/04/99	1,000,000	1,000,000	2,074,996	-	-	-	(122,795)	(97,754)	-	-	(0)	1,854,446	-	72,345	
0-51265	II-4	Wyatt, Tarrant & Combs Professorship of Law	05/04/99	60,000	60,000	120,033	-	-	-	(7,104)	(5,655)	-	-	-	107,275	-	5,822	
0-50660	II-4	Wyatt, Tarrant & Combs Professorship of Law	05/04/99	-	-	207,114	-	-	-	(12,168)	(9,720)	-	(1,987)	0	183,240	-	13,709	
0-51264	II-4	Zaniker Charitable Foundation Professorship in Judaic Studies	05/04/99	250,000	100,000	357,577	-	130,350	-	(39,087)	(24,308)	-	-	223,350	647,882	19,650	13,754	
0-51198	II-4	Major Endowed Research Fund in Veterinary Science	03/02/99	274,781	-	-	-	-	-	-	-	-	-	-	-	274,781	-	-
0-51244	II-5	Center for Aluminum Technology Endowment Fund	05/04/99	1,450,000	335,000	-	-	280,000	-	-	-	-	-	(280,000)	-	835,000	-	-
0-51348	II-5	Thomas P. Lewis Professorship	06/08/99	100,000	100,000	202,557	-	-	-	(11,987)	(9,543)	-	-	(0)	181,027	-	11,128	
0-51377	II-5	Buckhorn Professor of Social Work	06/08/99	150,000	-	146,228	-	25,000	-	(9,755)	(7,197)	-	-	0	154,277	125,000	2,544	
0-51295	II-5	Cardinal Hill Rehabilitation Hospital Chair in Neurorehabilitation	06/08/99	500,000	500,000	1,577,100	-	-	-	(93,331)	(74,298)	-	-	(0)	1,409,471	-	-	
0-51296	II-5	Cardinal Hill Rehabilitation Hospital Professorship in Traumatic Brain Injury Research	06/08/99	250,000	250,000	810,120	-	-	-	(47,942)	(38,165)	-	-	(0)	724,013	-	-	
0-51297	II-5	Cardinal Hill Rehabilitation Hospital Professorship in Spinal Cord Injury Rehabilitation	06/08/99	250,000	250,000	810,120	-	-	-	(47,942)	(38,165)	-	-	(0)	724,013	-	-	
0-51189	II-5	Sanders-Brown Center on Aging Research Development Fund	06/08/99	1,000,000	158,871	1,198,623	-	118,494	-	(75,934)	(60,524)	-	-	-	1,180,659	722,635	45,082	
0-51305	II-5	Arthur Lieber, M.D., Professorship in Diagnostic Radiology	06/08/99	108,100	108,100	334,552	50,000	50,000	-	(24,741)	(27,037)	478	-	25,317	408,569	-	-	
0-51335	II-5	Center on Aging Fellowship in Gerontology	06/08/99	75,000	-	76,473	-	-	-	(4,526)	(3,603)	-	-	(0)	68,344	75,000	2,586	
0-51371	II-5	Nuclear Medicine Research Professorship	06/08/99	50,000	50,000	122,103	(50,000)	(50,000)	-	(2,783)	5,956	-	-	(25,317)	-	-	-	
0-51325	II-5	Wendell H. Ford Endowed Professorship	06/08/99	300,000	300,000	969,573	-	-	-	(61,670)	(47,992)	47,992	-	64,892	972,795	0	-	
0-51299	II-5	Good Samaritan Professorship or Chair in Health Education, Research, Health Promotion and Preventive Services	06/08/99	500,000	400,000	908,179	-	100,000	-	(58,516)	(42,785)	-	-	(0)	906,879	-	18,950	

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Table 5

University of Kentucky  
Endowment Match Program  
Statement of Changes in Endowments  
Fiscal Year 2001-02

GL Account Number	RCTF Request Number	Endowment Name	Date Established	Prior to 07/01/01		Fiscal Year 2001 - 2002 Activity										Market Value 06/30/02	Outstanding Pledges as of 06/30/02	Expenditures 2001 - 2002
				State Funds Received	Gifts Received	Market Value 07/01/01	State Funds Received	Gifts Received	Gifts other Than RCTF	Investment Earning (Loss)	Allocated for Expenditure	Allocated Funds Reinvested	Management Fee	Other*				
0-51372	II-5	Good Samaritan Professorship or Chair in Community Health Nursing	06/08/99	500,000	400,000	895,651	-	100,000	-	(57,774)	(42,195)	-	0	895,662	-	-		
0-51351	II-5	Harper Industries, Inc Graduate Fellowship Endowment Fund	06/08/99	200,000	-	208,487	-	-	(12,338)	(9,822)	-	0	186,326	200,000	-			
0-51321	II-5	Wallace Charles Hill Professorship in Rehabilitation Counseling in the Department of Special Education and Rehabilitation	06/08/99	50,000	50,000	100,994	-	-	(5,903)	(6,409)	-	(0)	88,681	-	4,844			
0-51322	II-5	Wallace Charles Hill Professorship in Rehabilitation Counseling in the Department of Special Education and Rehabilitation	06/08/99	50,000	50,000	101,679	-	-	(5,951)	(6,284)	-	(0)	89,444	-	4,159			
0-51333	II-5	John B. and Jane B. Stephenson Endowed Graduate Fellowship	06/08/99	25,000	15,321	40,691	-	9,679	(2,944)	(2,133)	-	0	45,337	-	-			
0-51320	II-5	J. J. B. Hilliard, W.L. Lyons, Inc Chair for Innovation Management	06/08/99	500,000	200,000	703,563	-	100,000	(47,989)	(35,145)	-	(0)	720,419	200,000	40,014			
0-51185	II-5	W. T. Young Library	09/15/98	50,000	30,000	-	-	10,000	-	-	-	(10,000)	-	10,000	-			
0-51185	II-5	WT Young Library STM Account	09/15/98	-	-	-	(50,000)	(40,000)	2,357	6,356	(72)	81,358	-	(10,000)	-			
0-51274	II-5	Ronald L. Akers Professorship in Criminology & Deviance Fund	06/08/99	100,000	60,000	165,158	-	20,000	(11,190)	(7,941)	-	0	166,028	20,000	-			
0-51318	II-5	Chelgren Lecturer Series	06/08/99	100,000	100,000	202,368	-	-	(11,976)	(9,534)	-	(0)	180,859	-	1,662			
0-51283	II-5	Dr. Thomas L. Skinner Professorship in Physiology	06/08/99	50,000	16,785	67,595	-	21,250	(5,324)	(4,001)	-	0	79,521	11,965	-			
0-51287	II-5	Robert Straus Professorship in Behavioral Science	06/08/99	50,000	20,000	75,683	-	10,000	(4,524)	(3,979)	3,979	-	81,158	20,000	-			
0-51347	II-5	University of Kentucky Margaret Ingels Society of Women Engineers Graduate Fellowship Fund	06/08/99	25,000	20,000	45,792	-	-	(2,710)	(2,157)	-	(0)	40,924	5,000	3,100			
0-51317	II-5	Frank J. Derbyshire Research Professorship Endowment	06/08/99	100,000	100,000	225,179	-	-	(13,356)	(10,616)	-	(0)	201,791	-	-			
0-51204	II-5	Center on Membrane Sciences Graduate Student Mentoring Endowment	06/08/99	25,000	25,000	55,294	-	-	(3,273)	(2,605)	-	0	49,417	-	-			
0-51217	III-1	Knight Chair Endowment Supplement	03/02/99	-	-	-	466,000	-	-	-	-	-	-	466,000	-			
0-50511	III-1	Coopers & Lybrand Professorship (moved to 0-51340 10/03/00)	09/21/99	-	-	-	-	-	-	-	-	-	-	-	-			
0-50511	III-1	Coopers & Lybrand Professorship (moved to 0-51340 10/03/00)	09/21/99	-	-	-	-	-	-	-	-	-	-	-	-			
0-51340	III-1	Pricewaterhouse Coopers LLP Professorship in Accounting Endowment Fund	09/21/99	150,000	23,000	508,321	-	2,450	(30,246)	(23,982)	-	0	456,543	124,550	30,574			
0-51361	III-1	George & Betty Blanda Professorship in Education	01/25/00	100,000	100,000	194,863	-	-	(11,503)	(9,838)	-	(0)	173,523	-	250			
0-51185	III-1	W. T. Young Library	03/04/00	5,000,000	5,000,000	-	-	-	-	-	-	-	-	-	-			
0-51185	III-1	Lucille Caudill Little Fine Arts Library & Learning Center Endowment Fund	03/04/00	-	-	-	(500,000)	(500,000)	-	-	-	-	1,000,000	-	-			
0-51542	III-9	Lucille Caudill Little Fine Arts Library & Learning Center Endowment Fund	06/19/01	-	-	-	500,000	500,000	-	-	-	-	(1,000,000)	-	-			
0-51185	III-1	WT Young Library STM Account	03/04/00	-	-	-	(3,875,000)	(3,875,000)	228,345	615,756	(6,928)	-	-	-	-			
0-51497	III-1	Paul Mellon Post Doctorial Fellowship	04/04/00	2,034,001	-	2,294,106	(1)	-	(140,693)	(110,123)	110,123	1	2,153,413	2,034,000	-			

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Table 5

University of Kentucky  
Endowment Match Program  
Statement of Changes in Endowments  
Fiscal Year 2001-02

GL Account Number	RCTF Request Number	Endowment Name	Date Established	Prior to 07/01/01		Fiscal Year 2001 - 2002 Activity										Market Value 06/30/02	Outstanding Pledges as of 06/30/02	Expenditures 2001 - 2002
				State Funds Received	Gifts Received	Market Value 07/01/01	State Funds Received	Gifts Received	Gifts other Than RCTF	Investment Earning (Loss)	Allocated for Expenditure	Reinvested	Management Fee	Other*				
0-51099	III-1	Jes Schalkelier Chair in Equine Infectious Diseases	03/02/99	466,000	1,184,075	3,082,885	(466,000)	(1,184,074)	(434,020)	(979,091)	(147,983)	147,983	(13,021)	(0)	6,479	-	-	
0-51594	III-1	Paul Mellon Equine Research Endowment	04/04/00	-	-	-	-	1,000,000	29,175	(18,119)	(71,960)	-	-	0	839,096	(1,000,000)	36,257	
0-53115	III-1	Paul Mellon Equine Research Endowment	04/04/00	-	1,000,000	1,050,782	-	(1,000,000)	(29,175)	(44,065)	22,457	-	-	0	-	-	-	
0-51595	III-1	Paul Mellon Graduate Fellowship Endowment	04/04/00	-	-	-	-	1,750,000	-	212,186	(228,790)	-	(13,260)	0	1,720,136	(1,750,000)	65,546	
0-53065	III-1	Paul Mellon Graduate Fellowship Endowment	04/04/00	-	1,750,000	1,924,711	-	(1,750,000)	-	(326,087)	138,115	-	13,280	0	-	-	-	
0-51406	III-1	Endowment for Support of Urologic Research	05/02/00	150,000	139,790	345,202	-	10,210	-	(20,760)	(16,852)	-	9,864	-	327,665	-	-	
0-51408	III-1	Professorship or Chair of Urologic Surgical Research	05/02/00	1,000,000	750,000	1,667,918	-	250,000	-	(114,196)	(89,378)	-	0	0	1,714,345	-	21,549	
0-51417	III-1	James F. Hardigan Chair in Urologic Research	05/02/00	1,000,000	510,964	1,430,223	-	489,036	13,146	(92,717)	(82,054)	-	-	(0)	1,757,634	-	46,372	
0-51177	III-1	Chellgren Endowed Chair in Corporate Strategy	03/02/99	250,000	-	-	-	-	-	-	-	-	-	(18,816)	-	231,184	-	
0-51416	III-1	Wilbur E. Chellgren Professorship in Accounting	06/06/00	125,000	50,000	167,753	-	75,000	-	(15,152)	(6,645)	-	-	(0)	218,955	0	-	
0-51441	III-1	Dr. Judith Ann Powell Pachtman Professorship or Chair in Obstetrics & Gynecology	06/06/00	50,000	34,832	82,278	-	-	-	(5,046)	(3,949)	3,949	-	(0)	77,232	15,168	-	
0-51397	III-1	Douglas J. Von Allmen School of Accountancy	06/06/00	2,000,000	-	1,857,271	-	-	-	(108,911)	(87,497)	-	-	(0)	1,659,863	2,000,000	20,311	
0-51461	III-1	Vonallmen School of Accountancy Fellowship	06/06/00	1,000,000	-	949,349	-	-	-	(56,181)	(44,724)	-	-	(0)	848,443	1,000,000	46,656	
0-51462	III-1	Vonallmen School of Accountancy Research Support	06/06/00	2,000,000	350,000	2,230,969	-	-	-	(132,026)	(105,102)	-	-	(0)	1,993,841	1,650,000	81,428	
0-51399	III-1	Douglas J. Von Allmen Center for Entrepreneurship & E-Commerce	06/06/00	2,000,000	350,000	2,215,325	-	-	-	(131,100)	(104,365)	-	-	(0)	1,979,860	1,650,000	30,204	
0-51224	III-1	Don Conum and National Nursery Products/Landscape Research Endowment	05/04/99	25,000	25,000	-	-	-	-	-	-	-	-	-	-	-	-	
0-51447	III-2	Abercrombie Foundation Research Fund - Music	08/15/00	400,000	-	376,060	-	100,000	-	(28,451)	(22,037)	-	0	0	425,572	300,000	21,588	
0-51499	III-2	Abercrombie Foundation Research - Art	08/15/00	400,000	-	375,381	-	100,000	-	(28,212)	(21,922)	-	(4,479)	0	420,768	300,000	5,435	
0-51419	III-2	Center for Sports Marketing Endowment Fund	08/15/00	375,000	75,000	423,641	-	-	-	(25,071)	(19,958)	-	-	(0)	378,612	300,000	20,736	
0-51185	III-2	Ashland, Inc. Library Endowment	08/15/99	1,000,000	250,000	-	-	-	-	-	-	-	-	-	750,000	-	-	
0-51185	III-2	Ashland, Inc. Library Endowment	08/15/99	(1,000,000)	(250,000)	-	-	-	-	-	-	-	-	-	(750,000)	-	-	
0-51527	III-2	Ashland, Inc. Library Endowment	08/15/99	1,000,000	250,000	1,198,508	-	250,000	-	(88,623)	(58,465)	-	-	0	1,301,419	500,000	51,737	
0-51409	III-2	Dr. and Mrs. C. Milton Coughenour Sociology Professorship in Agriculture and Natural Resources	08/15/00	100,000	24,163	117,471	-	25,063	-	(8,124)	(6,144)	-	-	0	128,265	50,774	1,139	
0-51476	III-2	Neurosurgery Fellowship (DePuy)	08/15/00	500,000	100,000	568,452	-	-	-	(33,640)	(26,780)	-	-	(0)	508,032	400,000	-	
0-51477	III-2	Orthopedic Fellowship (DePuy)	08/15/00	500,000	100,000	568,452	-	-	-	(33,640)	(26,780)	-	-	(0)	508,032	400,000	-	
0-51478	III-2	Orthopedic Neuro-Trauma Fellowship (DePuy)	08/15/00	500,000	-	473,710	-	-	-	(28,034)	(22,317)	-	0	0	423,360	500,000	-	
0-51479	III-2	Academic Support of Neuro and Spine Surgery (DePuy)	08/15/00	500,000	100,000	568,452	-	100,000	-	(39,115)	(27,188)	-	-	(0)	602,149	300,000	-	
0-51444	III-2	Tracy Farmer Center for the Environment Endowment Fund	08/15/00	2,000,000	1,152,615	2,992,725	-	2,000	-	(177,247)	(141,005)	-	-	(0)	2,676,473	845,385	105,141	

\*Adjustment for gifts received but not matched.

Table 5

University of Kentucky  
Endowment Match Program  
Statement of Changes in Endowments  
Fiscal Year 2001-02

GL Account Number	RCTF Request Number	Endowment Name	Date Established	Prior to 07/01/01			Fiscal Year 2001 - 2002 Activity							Market Value 06/30/02	Outstanding Pledges as of 06/30/02	Expenditures 2001 - 2002	
				State Funds Received	Gifts Received	Market Value 07/01/01	State Funds Received	Gifts Received	Gifts other Than RCTF	Investment Earning (Loss)	Allocated for Expenditure	Reinvested	Management Fee				Other*
0-51405	III-2	Harry E. Wheeler Chair in Plant Mycology	08/15/00	500,000	500,000	960,316	-	-	-	(96,830)	(45,241)	-	-	0	856,245	-	14,185
0-51412	III-2	Helen Thacker Graduate Fellowship in Educational and Counseling Psychology	08/15/00	100,000	100,000	190,653	-	-	-	(11,283)	(8,982)	-	-	(0)	170,389	-	-
0-51410	III-2	Helen Edwards Abell Endowed Research Fund in Historic Preservation	08/15/00	375,000	90,959	441,847	-	118,178	-	(31,966)	(24,972)	-	-	50,100	553,188	165,863	32,634
0-51442	III-2	Benjamin C. Warr, M.D., Lectureship/Fellowship in Pediatric Neurosurgery	08/15/00	100,000	12,821	107,250	-	-	-	(6,347)	(5,053)	-	-	0	95,850	87,179	-
0-51345	III-2	Armor & Leitia Taylor Fund for Library Research Equipment	08/15/00	218,800	218,754	427,837	-	-	-	(25,319)	(20,156)	-	-	(0)	382,362	46	36,310
0-51401	III-2	MCI Worldcom Graduate Fellowship Fund	08/15/00	100,000	100,000	190,235	-	-	-	(11,258)	(8,982)	-	-	0	170,015	-	-
0-51407	III-2	Robert L. Johnson Scholarship Fund	08/15/00	200,000	200,000	425,624	-	-	-	(28,877)	(20,509)	1,684	-	75,200	453,122	-	10,000
0-51443	III-2	John W. Greene, Jr., M.D. Professorship in Obstetrics & Gynecology	08/15/00	425,000	25,000	436,133	-	100,000	-	(31,921)	(21,188)	6,915	-	0	489,939	300,000	8,225
0-51413	III-2	Center for Real Estates Studies Endowment	08/15/00	50,000	50,000	92,874	-	-	-	(5,496)	(4,375)	-	-	0	83,002	-	-
0-51244	III-3	Center for Aluminum Technology Endowment Fund	05/04/99	75,000	-	-	-	-	-	-	-	-	-	-	75,000	-	-
0-51185	III-3	W. T. Young Library	09/19/00	5,000,000	1,295,079	-	-	2,257,711	-	-	-	-	-	(2,257,711)	1,447,211	-	-
0-51185	III-3	WT Young Library STM Account	09/19/00	-	-	-	(5,000,000)	(1,074,586)	63,635	170,757	(1,921)	-	-	5,842,116	(3,925,414)	-	-
0-51185	III-3	W. T. Young Library	09/19/00	25,000	25,000	-	-	-	-	-	-	-	-	-	-	-	-
0-51185	III-3	RPW Law Library Endowed Account	09/19/00	(50,000)	(50,000)	-	-	-	-	-	-	-	-	-	-	-	-
0-51521	III-3	RPW Law Library Endowed Account	09/19/00	50,000	50,000	98,126	-	-	-	(5,807)	(4,623)	-	-	87,696	-	26,199	
0-51165	III-3	Professorship in HIV Clinical Research in the Dept of Int. Medicine	09/19/00	51,960	51,960	118,550	-	1,500	-	(7,091)	(5,619)	-	-	107,340	-	10,363	
0-51469	III-3	Charles S. Cassis Professorship of Law	09/19/00	102,984	102,984	200,214	-	-	-	(11,849)	(9,432)	-	-	178,933	-	11,882	
0-51424	III-3	Earl F. & Jean M. Lockwood Professorship of International Commerce and Entrepreneurship	09/19/00	200,000	40,000	234,347	-	40,000	-	(15,740)	(12,014)	-	-	(0)	246,593	120,000	16,076
0-51452	III-3	James F. Glenn, M.D. Endowed Professorship/Chair in Urology	09/19/00	600,000	247,138	910,352	-	51,144	-	(57,128)	(43,910)	-	-	0	860,458	301,718	43,883
0-51429	III-3	Gallion & Baker Professorship	09/19/00	100,000	100,000	193,908	-	-	-	(11,475)	(9,135)	-	-	0	173,298	-	7,356
0-51378	III-3	Dorothy A. Miller Research Professorship in Social Work Education	09/19/00	100,000	75,585	170,595	-	100	-	(10,102)	(8,039)	-	-	(0)	152,554	24,315	500
0-51206	III-3	BS/MBA Graduate Fellowship Endowment Fund	04/06/99	98,475	98,475	-	-	-	-	10,311	-	-	-	(10,311)	-	-	-
0-51185	III-3	W. T. Young Library	04/06/99	1,000,000	-	-	-	-	-	-	-	-	-	-	1,000,000	-	-
0-51185	III-3	Rosenthal Business & Economics Library Endowment	04/06/99	(1,500,000)	(500,000)	-	-	-	-	-	-	-	-	-	(1,000,000)	-	-
0-51525	III-3	Rosenthal Business & Economics Library Endowment	04/06/99	1,500,000	500,000	1,931,250	-	200,000	-	(111,570)	(97,841)	-	-	(0)	1,921,839	800,000	26,199
0-51295	III-3	Cardinal Hill Rehabilitation Hospital Chair in Neurorehabilitation	06/08/99	500,000	200,000	-	-	-	-	-	-	-	-	-	300,000	-	-
0-51296	III-3	Cardinal Hill Rehabilitation Hospital Professorship in Traumatic Brain Injury Research	06/08/99	250,000	50,000	-	-	-	-	-	-	-	-	-	200,000	-	-
0-51297	III-3	Cardinal Hill Rehabilitation Hospital Professorship in Spinal Cord Injury Rehabilitation	06/08/99	250,000	50,000	-	-	-	-	-	-	-	-	-	200,000	-	-
0-51371	III-3	Nuclear Medicine Research Professorship	06/08/99	-	-	-	-	-	-	-	-	-	-	-	-	-	-

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Table 5

University of Kentucky  
Endowment Match Program  
Statement of Changes in Endowments  
Fiscal Year 2001-02

GL Account Number	RCTF Request Number	Endowment Name	Date Established	Prior to 07/01/01			Fiscal Year 2001 - 2002 Activity							Market Value 06/30/02	Outstanding Pledges as of 06/30/02	Expenditures 2001 - 2002
				State Funds Received	Gifts Received	Market Value 07/01/01	State Funds Received	Gifts Received	Investment Earning (Loss)	Allocated for Expenditure	Allocated for Reinvested	Management Fee	Other*			
0-51305	III-3	Arthur Lieber, M.D., Professorship in Diagnostic Radiology	06/08/99	118,900	-	-	-	-	-	-	-	-	-	118,900	-	-
0-51414	III-4	Commonwealth Professorship in Physician Leadership	10/24/00	250,000	250,000	490,865	-	-	(29,049)	(23,125)	-	(0)	438,691	-	28,234	
0-51453	III-4	C. Michael Garver Endowment Fund - Fellowship Fund	10/24/00	750,000	750,000	1,442,687	-	-	(85,376)	(67,966)	-	-	1,289,345	-	951	
0-51185	III-4	W. T. Young Library	10/24/00	500,000	499,114	-	-	-	-	-	-	372,570	(371,684)	-	-	
0-51185	III-4	W. T. Young Library	10/24/00	-	-	-	(372,570)	-	-	-	-	114,573	(114,573)	-	-	
0-51214	III-4	US Surgical Corporation-Minimally Invasive Surgery Center Professorship #2	12/08/98	150,000	-	-	-	-	-	-	-	-	150,000	-	-	
0-51185	III-4	W. T. Young Library	10/24/00	2,000,000	-	-	-	-	-	-	-	-	2,000,000	-	-	
0-51185	III-4	W. T. Young Library	10/24/00	-	-	-	(2,000,000)	-	-	-	-	2,000,000	(2,000,000)	-	-	
0-51421	III-4	David H. and Barbara Schlund Kaufman Professorship	10/24/00	50,000	25,010	72,764	-	21	(3,966)	(4,286)	-	(0)	89,523	-	-	
0-51491	III-4	Development Dimensions International Professorship in Behavioral Sciences	10/24/00	100,000	50,000	145,600	-	-	(8,617)	(6,859)	-	(0)	130,124	50,000	7,267	
0-51386	III-4	Dr. William Jack Carey Professorship in Emergency Medicine	10/24/00	50,000	48,150	99,083	-	1,664	(5,906)	(4,719)	-	(0)	90,123	188	4,858	
0-51152	III-4	John Edwin Partridge & Gwendolyn Gray Parfinton Scholarship Fund	10/24/00	268,000	268,000	543,501	-	-	(32,164)	(25,605)	-	0	485,733	-	-	
0-50658	III-4	Ann Huddleston Robinson Graduate Accompanying Award	10/24/00	-	-	1,765	-	(1,025)	(923)	146	-	0	-	-	-	
0-51423	III-4	Endowed Enrichment Fund for Research in Vocal Studies	10/24/00	500,000	47,864	537,095	-	1,025	(34,602)	(27,352)	-	(41)	554,027	374,234	24,168	
0-51448	III-4	Lucile Caudill Little Endowment for Theatre	10/24/00	500,000	100,000	584,852	-	100,000	(33,251)	(30,982)	-	0	620,619	300,000	33,876	
0-51449	III-4	Paul A. Thornton Graduate Fellowship in Nutritional Sciences	10/24/00	100,000	100,000	200,162	-	425	(11,861)	(9,443)	-	0	179,283	-	-	
0-51438	III-4	Reese S. Terry Professorship in Electrical Engineering	10/24/00	100,000	10,069	107,848	-	16,447	(7,424)	(5,411)	-	0	111,460	73,484	-	
0-51439	III-4	Whalen Graduate Fellowship Fund	10/24/00	500,000	352,500	822,384	-	-	(48,668)	(38,743)	-	45	734,973	147,500	1,250	
0-51473	III-4	Dr. Donald T. Frazier Professorship	10/24/00	50,000	16,667	66,855	-	6,833	(4,396)	(3,456)	-	(0)	69,292	26,500	-	
0-51474	III-4	Dr. Fred W. Zechman Professorship	10/24/00	50,000	16,667	66,855	-	6,833	(4,396)	(3,456)	-	(0)	69,292	26,500	-	
0-51475	III-4	Dr. Louis L. Boyarsky Professorship	10/24/00	50,000	16,667	66,855	-	6,833	(4,396)	(3,456)	-	(0)	69,292	26,500	1,537	
0-51185	III-4	Toyota (Young) Library Endowment	10/24/00	1,000,000	250,000	-	-	-	-	-	-	-	750,000	-	-	
0-51185	III-4	Toyota (Young) Library Endowment	10/24/00	(1,000,000)	(250,000)	-	-	-	-	-	-	-	(750,000)	-	-	
0-51524	III-4	Toyota (Young) Library Endowment	10/24/00	1,000,000	200,000	1,196,765	-	500,000	(101,844)	(62,439)	-	0	1,532,482	250,000	49,178	
0-51185	III-5	W. T. Young Library	09/15/98	1,000,000	200,000	97,477	-	200,000	(8,537)	(5,462)	-	(200,000)	600,000	-	-	
0-51460	III-5	Class of 1949 Fellowship Endowment Fund	12/12/00	50,000	50,000	65,034	-	9,100	(4,419)	(3,411)	-	0	126,980	22,180	1,000	
0-51384	III-5	James Stephen Brown Graduate Appalachian Studies Fund	12/12/00	50,330	19,050	587,640	-	-	(34,776)	(27,684)	-	(0)	525,180	-	14,498	
0-51391	III-5	William J. Tuggle & Nina B. Tuggle Professorship in English	12/22/00	300,000	300,000	-	-	-	-	-	-	-	-	-	-	
0-51185	III-5	W. T. Young Library	09/15/98	1,000,000	200,000	-	-	-	-	-	-	-	-	800,000	-	
0-51185	III-5	W. T. Young Library	12/12/00	50,000	10,000	-	-	10,000	-	-	-	(10,000)	-	30,000	-	
0-50908	III-5	John R. Van Nagell, M.D. Professorship/Chair in Gynecologic Oncology	12/18/00	275,000	56,556	752,900	-	55,000	(48,001)	(35,531)	-	(0)	739,368	163,444	43,707	
0-51185	III-5	W. T. Young Library	12/12/00	150,000	30,000	-	-	30,000	-	-	-	(30,000)	-	90,000	-	
0-51458	III-5	Lion Apparel, Inc. Fellowship Endowment	12/12/00	50,000	10,000	58,658	-	10,000	(4,108)	(2,963)	-	0	61,587	30,000	-	
0-51185	III-5	W. T. Young Library	12/12/00	-	20,105	-	-	-	-	-	-	-	-	(20,105)	-	

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Table 5

University of Kentucky  
Endowment Match Program  
Statement of Changes in Endowments  
Fiscal Year 2001-02

GL Account Number	RCTF Request Number	Endowment Name	Date Established	Prior to 07/01/01		Fiscal Year 2001 - 2002 Activity										Market Value 06/30/02	Outstanding Pledges as of 06/30/02	Expenditures 2001 - 2002
				State Funds Received	Gifts Received	Market Value 07/01/01	State Funds Received	Gifts Received	Gifts other Than RCTF	Investment Earning (Loss)	Allocated for Expenditure	Reinvested	Management Fee	Other*				
0-51185	III-5	Holbrook Law Library Endowment	12/12/00	(50,000)	(70,105)	-	-	-	-	-	-	-	-	-	-	-	-	-
0-51626	III-5	Holbrook Law Library Endowment	12/12/00	150,000	70,105	215,964	-	20,014	-	(14,054)	(10,574)	-	-	-	0	211,349	59,881	8,677
0-51185	III-5	W. T. Young Library	12/12/00	250,000	250,000	-	-	-	-	-	-	-	-	-	-	-	-	-
0-51189	III-5	Peter Pearfman Fellowship	12/12/00	50,000	44,548	93,970	-	2,175	-	(5,701)	(4,490)	-	-	-	0	85,954	3,277	3,000
0-51470	III-5	PJC Board of Trustees Engineering Professorship	12/12/00	50,000	50,000	98,083	-	-	-	(5,805)	(4,621)	-	-	-	-	87,657	-	-
0-51185	III-5	W. T. Young Library	12/12/00	100,000	25,000	-	-	25,000	-	-	-	-	-	-	(25,000)	50,000	-	-
0-51185	III-5	W. T. Young Library	12/12/00	25,000	12,191	-	-	2,014	-	-	-	-	-	-	(2,014)	10,795	-	-
0-51185	III-5	W. T. Young Library	12/12/00	250,000	100,000	-	-	-	-	-	-	-	-	-	-	150,000	-	-
0-51325	III-5	Wendell H. Ford Endowed Professorship	06/08/99	290,410	43,109	-	-	64,892	-	-	-	-	-	-	(64,892)	182,409	-	-
0-51457	III-5	Dr. William A. & Anne T. Withington Graduate Student Support Fund in Geology	12/12/00	68,510	53,135	118,982	-	5,080	-	(7,531)	(5,834)	5,834	-	(0)	116,531	10,295	-	-
0-51371	III-5	Nuclear Medicine Research Professorship	06/08/99	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
0-51305	III-5	Arthur Lieber, M.D., Professorship in Diagnostic Radiology	06/08/99	33,000	-	-	-	-	-	-	-	-	-	-	-	33,000	-	-
0-51151	III-5	Martin-Thacker Scholarships	10/20/98	100,397	100,397	206,231	-	-	-	(12,205)	(9,716)	-	-	0	184,310	358,537	-	9,239
0-51497	III-5	Paul Mellon Post Doctoral Fellowship	04/04/00	358,537	-	-	-	-	-	-	-	-	-	-	-	-	-	-
0-51106	III-5	R. C. Durr Civil Engineering Fellowship Fund	01/20/98	300,000	300,000	634,727	-	-	-	(37,562)	(29,902)	-	-	(0)	567,262	-	-	-
0-50464	III-6	Arthur Anderson Endowed Professorship	01/23/01	-	-	242,040	-	-	(149,331)	(117,854)	20,163	-	-	0	-	-	-	-
0-51482	III-6	Arthur Anderson Endowed Professorship	01/23/01	100,000	26,283	124,563	-	7,000	160,510	100,288	(39,256)	-	-	(0)	347,444	66,717	-	13,519
0-51450	III-6	UK College of Human Environmental Sciences Alumni Association Endowed Professorship	01/23/01	50,000	11,562	61,075	-	9,573	-	(3,931)	(3,215)	3,215	-	0	66,717	28,865	-	-
0-51568	III-6	Edith D. Gardner Professorship in Internal Medicine	01/23/01	-	-	-	100,000	100,000	-	(15,549)	(16,107)	-	(156)	100,000	268,188	-	-	-
0-53131	III-6	Edith D. Gardner Professorship in Internal Medicine	01/23/01	100,000	100,000	192,560	(100,000)	(100,000)	-	5,556	1,727	-	156	0	-	-	-	-
0-51481	III-6	Medicine Research Fund	01/23/01	350,000	350,000	729,296	-	-	(11,519)	(42,446)	(33,859)	-	-	0	641,473	-	-	-
0-51403	III-6	Robert P. Moores & Mildred A. Moores Research Fund	01/23/01	50,000	50,000	104,215	-	-	5,979	(6,410)	(5,173)	5,173	-	(0)	103,784	-	-	-
0-51406	III-6	J. C. Fenn Graduate Fellowship Fund	01/23/01	69,790	-	-	-	9,864	-	-	-	-	-	(9,864)	-	59,926	-	-
0-51173	III-6	Endowment for Support of Urologic Research	01/23/01	150,560	30,182	-	-	47,392	-	-	-	-	-	(47,392)	-	72,986	-	-
0-51480	III-6	John Mink Professorship in Pediatric Dentistry & Health Services Research Gift Agreement	01/23/01	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
0-51484	III-6	James and Mary Lassiter Endowed Chair	01/23/01	500,000	500,000	986,639	-	-	-	(58,388)	(46,481)	-	-	0	881,769	-	-	-
0-51484	III-6	Harold R. Burton Endowed Professorship in Plant Biochemistry	01/23/01	396,875	-	391,500	-	229,626	-	(32,770)	(23,876)	-	-	350,249	914,729	187,249	-	10,753
0-51219	III-7	Albert & Lorraine Clay Visiting Scholars Endowment	03/06/01	250,000	-	-	-	50,000	-	-	-	-	-	(50,000)	-	200,000	-	-
0-51463	III-7	AIA Kentucky Endowed Professorship	03/06/01	100,000	13,472	111,269	-	16,729	-	(7,541)	(5,472)	-	(11)	11	114,985	69,799	-	-
0-51495	III-7	Charlotte R. Schmidlapp Fellowship in Gerontology	03/06/01	150,000	75,000	218,010	-	75,000	-	(11,882)	(12,843)	-	-	0	268,286	-	-	-
0-51486	III-7	Dr. Richard R. & Dorothy Hillenmeyer Crutcher Scholarship Fund	03/06/01	200,000	40,000	235,388	-	60,000	-	(17,748)	(12,289)	-	-	0	285,351	100,000	-	-
0-51519	III-7	John H. Heick Professorship in Soil Science	03/06/01	100,000	-	574	-	100,000	99,417	(12,391)	(8,642)	-	-	0	178,958	-	-	-
0-51493	III-7	Jack & Linda Gill Science & Engineering Research Excellence Fund	03/06/01	500,000	-	492,111	-	5,238	-	(36,019)	(23,276)	3,894	-	0	441,948	494,763	-	-
0-51484	III-7	Jack & Linda Gill Science & Engineering Research Excellence Fund	03/06/01	500,000	-	492,111	-	5,238	-	(35,418)	(23,623)	23,623	-	0	461,830	494,763	-	-

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Table 5

University of Kentucky  
Endowment Match Program  
Statement of Changes in Endowments  
Fiscal Year 2001-02

GL Account Number	RCTF Request Number	Endowment Name	Date Established	Prior to 07/01/01			Fiscal Year 2001 - 2002 Activity							Market Value 06/30/02	Outstanding Pledges as of 06/30/02	Expenditures 2001 - 2002
				State Funds Received	Gifts Received	Market Value 07/01/01	Market Value 07/01/01	State Funds Received	Gifts Received	Gifts other Than RCTF	Investment Earning (Loss)	Allocated for Expenditure	Allocated Funds Reinvested			
0-51185	III-7	W. T. Young Library	03/06/01	(25,000)	(25,000)	-	-	-	(277)	-	277	-	-	-	-	-
0-51467	III-7	American Music Library Endowed Fund	03/06/01	75,000	35,000	108,002	100	100	(6,432)	(5,729)	-	0	105,942	30,000	2,288	
0-51185	III-7	W. T. Young Library	12/12/00	200,000	-	-	-	-	-	-	-	-	-	150,000	-	
0-51510	III-7	Jana Oliver Memorial Scholarship Fund	03/06/01	100,000	-	98,422	-	-	(5,761)	(7,007)	2,346	0	88,000	100,000	-	
0-51451	III-7	Ronald Allen Forester & Nancy Smoot Forester Endowed Professorship Fund	03/06/01	50,000	49,651	96,874	-	349	(5,755)	(4,579)	-	(0)	86,889	-	-	
0-51488	III-7	Dermontti F. & Regina M. Dawson Graduate Fellowship in Education	03/06/01	50,000	50,000	96,761	-	-	(5,704)	(5,067)	-	(0)	85,990	-	-	
0-51504	III-8	Bruce A. Lucas, M.D. Endowment for Urologic Research	04/03/01	70,000	17,000	86,095	-	5,000	(5,519)	(4,133)	4,133	0	85,576	48,000	-	
0-51175	III-8	Dr. Barbara and James Holsinger Professorship in Anatomy	04/03/01	65,000	15,000	-	-	10,000	-	-	-	(10,000)	-	40,000	-	
0-51502	III-8	CSX Transportation Graduate Fellowship Fund	04/03/01	50,000	50,000	102,078	-	-	(6,041)	(4,809)	-	(0)	91,228	-	-	
0-51459	III-8	Medical Alumni Association Scholarship Endowment Fund	04/03/01	51,712	43,225	93,843	-	8,487	(4,343)	(9,281)	9,281	0	160,608	-	-	
0-51517	III-8	Vaughn & Melton Graduate Fellowship in Civil Engineering	04/03/01	100,000	-	98,422	-	35,970	(7,287)	(6,853)	1,188	0	121,459	64,030	-	
0-51537	III-8	Cardiology Associates of Kentucky Endowed Scholarship	05/01/01	50,000	-	49,211	-	-	(3,018)	(2,362)	2,362	0	46,193	50,000	-	
0-51388	III-8	Cynthia Shaw Crispin Lectureship	05/01/01	500,000	383,740	867,070	-	50,144	(54,549)	(42,822)	30,822	0	850,665	66,117	432	
0-51496	III-8	Caroline Frances Ransdell Research Professorship	05/01/01	51,179	51,179	99,216	-	-	(4,674)	-	-	0	88,670	-	-	
0-51536	III-8	Madeline F. James Professorship/Chair in Cancer Research	05/01/01	171,336	171,336	341,963	-	-	(20,015)	(22,981)	6,785	(0)	305,751	-	15,800	
0-51541	III-8	Log-A-Log Load for Kids of Kentucky Fund	05/01/01	125,000	-	123,028	-	-	(8,955)	(6,316)	6,316	(0)	140,072	99,000	-	
0-51531	III-8	Sylvia Mansbach Endowed Professorship and Chair in Alzheimer's Disease Research	05/01/01	500,000	100,000	590,533	-	131,464	(69,626)	(28,464)	28,464	(0)	652,371	268,536	-	
0-51512	III-8	Kathryn Louise Chelgren Endowed Professorship for Research in Family Studies	05/01/02	60,000	22,000	81,271	-	38,000	(7,646)	(4,492)	4,492	0	111,625	-	-	
0-51507	III-8	Research Fund for the Prevention of Alcohol & Drug Abuse	05/01/01	50,000	10,000	59,532	-	-	(3,523)	(2,805)	-	(0)	53,204	40,000	-	
0-51538	III-8	Zimmer Endowment for Orthopaedic Research	05/01/01	300,000	-	295,266	-	93,750	(23,073)	(15,394)	15,394	0	365,943	206,250	-	
0-51215	III-8	Floyd H. Wright Research Endowment	05/01/01	500,000	-	-	-	100,000	-	-	-	(100,000)	-	400,000	-	
0-51185	III-8	W. T. Young Library	05/01/01	-	394,643	-	-	-	-	-	-	-	(394,643)	-	-	
0-51185	III-8	Kentucky Economic Development Endowment for Science & Technology	05/01/01	-	(394,643)	-	-	-	-	-	-	-	394,643	-	-	
0-51532	III-8	Kentucky Economic Development Endowment for Science & Technology	05/01/01	375,000	394,643	758,773	-	-	(34,821)	(37,967)	-	19,667	705,652	(19,643)	-	
0-51185	III-9	W. T. Young Library -Oxley Foundation	06/19/01	-	-	-	500,000	100,000	-	-	-	(600,000)	-	400,000	-	
0-51484	III-9	Harold R. Burton Endowed Professorship in Plant Biochemistry	01/23/01	-	-	-	221,875	128,374	-	-	-	(350,249)	-	93,501	-	
0-56012	III-10	UK Medical Alumni Association Term Endowment Fund	12/11/01	-	250,000	502,931	-	-	17,190	(43,652)	(27,940)	(0)	692,818	-	41,026	
0-51410	III-10	Helen Edwards Abell Endowed Research Fund in Historic Preservation	08/15/00	-	-	-	50,100	-	-	-	-	(50,100)	-	50,100	-	
0-51513	III-10	Pharmaceutical Technology Lectureship, Professorship or Chair	08/14/01	-	47,650	46,899	60,000	11,279	(6,667)	(3,506)	3,506	(716)	110,794	1,071	-	

\*Adjustment for gifts received but not matched.



University of Kentucky  
Endowment Match Program  
Statement of Changes in Endowments  
Fiscal Year 2001-02

GL Account Number	RCTF Request Number	Endowment Name	Date Established	Prior to 07/01/01		Fiscal Year 2001 - 2002 Activity										Outstanding		
				State Funds Received	Gifts Received	Market Value 07/01/01	State Funds Received	Gifts Received	Gifts other Than RCTF	Investment Earning (Loss)	Allocated for Expenditure	Allocated Funds Reinvested	Management Fee	Other*	Market Value 06/30/02	Pledges as of 06/30/02	Expenditures 2001 - 2002	
0-51264	III-10	Zankier Charitable Foundation Professorship in Judaic Studies	08/14/01	-	-	-	150,000	-	-	-	-	-	-	-	-	-	150,000	-
0-50700	III-10	Thomas C. and Evelyn W. Fimmie Enrichment Fund	04/06/66	-	-	19,840	51,657	-	-	(3,910)	(1,769)	-	(361)	(0)	65,457	51,657	-	
0-51532	III-10	Kentucky Economic Development Endowment for Science & Technology	05/01/01	-	-	-	19,643	-	-	-	-	-	-	(19,643)	-	19,643	-	
0-51216	III-11	Mierck & Co. Pulmonary Medicine Professorship	09/18/01	-	-	-	50,000	10,000	-	-	-	-	-	(60,000)	-	40,000	-	
0-51264	III-11	Zankier Charitable Foundation Professorship in Judaic Studies	05/04/99	-	-	-	73,350	-	-	-	-	-	-	(73,350)	-	73,350	-	
0-51407	III-13	Robert L. Johnson Scholarship Fund	08/15/00	-	29,436	-	50,000	20,564	4,836	-	-	-	-	(75,200)	-	-	-	
0-51568	III-13	Edith D. Gardner Professorship in Internal Medicine	01/23/01	-	-	-	50,000	50,000	-	-	-	-	-	(100,000)	-	-	-	
0-51616	III-13	Lucille Caudill Little Endowed Research Fund in Opera Studies	01/22/02	-	-	-	200,000	5,825	-	(9,819)	-	-	-	(0)	196,006	194,175	-	
<b>TOTAL EXISTING ENDOWMENTS</b>				\$119,638,756	\$71,365,897	\$203,487,396	\$1,726,624	\$12,127,975	\$702,281	(\$12,473,771)	(\$9,851,522)	\$545,360	(\$61,102)	(\$1,000,000)	\$195,203,221	\$37,871,510	\$6,505,867	
<b>GRAND TOTAL</b>				\$119,638,756	\$71,769,426	\$203,885,807	\$8,568,453	\$15,179,026	\$715,585	(\$13,068,362)	(\$10,106,021)	\$584,652	(\$68,881)	\$0	\$205,710,259	\$41,278,758	\$6,582,638	

\*Adjustment for gifts received but not matched.