

Minutes of the Meeting of the Board of Trustees of the University of Kentucky, Tuesday, December 7, 2010.

The Board of Trustees of the University of Kentucky met at 1:00 p.m. (Lexington time) on Tuesday, December 7, 2010 in the Board Room on the 18th Floor of Patterson Office Tower.

A. Meeting Opened

Dr. E. Britt Brockman, chair of the Board, called the meeting to order at 1:05 p.m. He asked Ms. Pam May, secretary of the Board, to call the roll.

B. Roll Call

The following members of the Board of Trustees answered the call of the roll: E. Britt Brockman (chair), Sheila Brothers, Penelope Brown, Jo Hern Curris, Dermontti Dawson, William S. Farish, Jr, Oliver Keith Gannon, Carol Martin “Bill” Gatton, Pamela T. May, Everett McCorvey, Billy Joe Miles, Terry Mobley, Sandy Bugie Patterson, Joe Peek, Erwin Roberts, Charles R. Sachatello, Frank Shoop, Ryan Smith, James W. Stuckert, and Barbara Young. Ms. May announced 100 percent attendance.

The university administration was represented by President Lee T. Todd, Jr., Provost Kumble Subbaswamy, Executive Vice President for Finance and Administration Frank Butler, and General Counsel Barbara W. Jones.

The university faculty was represented by Chair of the University Senate Council Hollie Swanson, and the university staff was represented by Chair of the Staff Senate Jann Burks.

Members of the various news media were also in attendance.

C. Consent Items

Dr. Brockman called attention to the three consent items. They included the minutes for three meetings of the board – October 12, 2010, the regular meeting of the board, and two board retreats – October 24, 2010, and November 14, 2010; PR 2, which deals with personnel actions; and FCR 1, a gift from the estate of Gary M. Browning. Mr. Stuckert moved approval, and the motion was seconded by Mr. Farish. The motion carried without dissent. (See consent items listed below at the end of these Minutes.)

Minutes — October 12, 2010

Minutes — October 24, 2010

Minutes — November 14, 2010

PR 2 Personnel Actions

FCR 1 Gift from the Estate of Gary M. Browning

D. Chair's Report: Presidential Search Schedule

Dr. Brockman asked Mr. Stuckert for a briefing on the activities of the presidential search committee. Mr. Stuckert, chair of the committee, reported that several meetings had taken place.

The first such meeting was on November 5, at which introductions of members were made. Barbara Jones discussed the confidentiality and code of ethics policies. The committee's functions and expectations as well as a tentative timetable were discussed. A private session reviewed several consultant RFPs, after which a majority of the search committee met with 14 of the 18 university deans, a group of department chairs, and other trustees for a successful interactive session.

A week later the search committee met, then went into closed meeting. Thereafter, they selected a finalist for the search firm and a consultant. Greenwood/Asher & Associates, Inc. was the search firm selected. Dr. Jan Greenwood, from Greenwood/Asher, leads the search team. She also worked for the search firm that assisted with the search when President Todd was hired in 2001.

The search committee has formulated a position announcement incorporating interview comments and other items from the retreats. The announcement is scheduled to appear in *The Chronicle of Higher Education* on December 10. Subsequently, the committee will begin to accept nominations.

Mr. Stuckert thanked the many people and groups who have cooperated to move the process this far: Faculty gave important input in three town hall meetings. Director of Purchasing Bill Harris and a team of others from his area received and reviewed RFPs professionally with Mr. Stuckert and Mr. Mobley. Mr. Stuckert announced that the search committee office is on the second floor of UK's Helen G. King Alumni House. Others thanked were Tom Harris and his team, including Jay Blanton and others at Public Relations, for their wordsmith talents, and Peggy Way for her effectiveness in assuring that all of the required tasks get done and for keeping everything in order. Mr. Stuckert also invited everybody to visit the committee's web site at www.uky.edu/presidentialsearch.

On January 28, separate campus forums will begin for faculty, staff, and students. Mr. Stuckert invited all trustees to attend the forums. There will be a presidential search committee meeting on the afternoon of the 28th as well as an evening performance of *Porgy and Bess* that might also interest the board members.

E. President's Report (PR 1)

President Todd led into his comments on the following items in PR 1 by saying that an inordinate number of good things have happened at UK recently.

UK Celebrates Opening of Confucius Institute

One in only 400 such centers in the world, the new Confucius Institute opened with much celebration, thanks to the efforts of, among others, Provost Subbaswamy, Mrs. Todd, the International Office, and the David Jones family Foundation of Louisville. The UK student orchestra performed with students from China's Shanghai University. President Todd looks forward to a fruitful relationship with new friends and colleagues from China.

Equine Surgery Center Opens with Help from Small Business Development Center

Several new businesses were opened with UK assistance in 2010, and the latest of these is Lexington Equine Surgery and Sports Medicine, a veterinary referral practice that focuses on outpatient medicine and elective surgery. The new business found assistance from UK's Small Business Development Center, which received much praise for their excellence in formulating financial projections and a business plan. As well, the three-way collaboration between the UK Office for Commercialization, the City of Lexington, and Commerce Lexington, known collectively as the Bluegrass Business Development Partnership, provided client services.

Several Doctoral and Research Programs Rise Dramatically in National Rankings

President Todd noted the recently released rankings of the National Research Council (NRC) that showed several of UK's doctoral and research programs had risen dramatically in national prominence. Specifically, UK houses three doctoral programs ranked in the top quarter, compared to only one program in the top quarter in 1993, the year of the most recent NRC survey. UK had 12 other programs in the top half in the survey results as well. In 1993, UK had a total of only 6 programs in the top 50 percent.

UK Breaks Ground on \$19.8 Million Renewable Energy Lab

In October, the Center for Applied Energy Research (CAER) broke ground on what will become the university's first Leadership in Energy and Environmental Design (LEED)-certified laboratory. The \$19.8 million renewable energy laboratory will allow CAER to greatly expand its research capabilities devoted to Kentucky's growing renewable energy industries, including biomass and biofuels, electrochemical power sources (such as capacitors and batteries), and distributed solar energy technologies. The facility is funded by a competitive grant (600 proposals for 12 funded grants) CAER won last year from the U.S. Department of Commerce's National Institute of Standards. President Todd credited CAER Director Rodney Andrews and his staff for writing this grant that will allow a major step forward in UK's research programs.

Department of Theatre Celebrates 100 Years with "Gorey Stories"

In October, the UK Department of Theatre celebrated 100 years of theatre on campus with "Gorey Stories," an assortment of tales, songs, and limericks from the gothic writer-illustrator Edward Gorey, which was adapted for the stage by UK alumnus Stephen Currens. The production, first staged at UK, went on to appear on Broadway at the Booth Theatre in 1978. UK's production of "Gorey Stories" was directed by Russell Henderson, associate professor of acting and voice, and Ryan Shirar, musical director.

College of Medicine Celebrates 50th Anniversary through Academic Convocation

The University of Kentucky College of Medicine celebrated its 50th anniversary through an Academic Convocation on September 23. The convocation featured speaker Lois Nora, M.D.,

J.D., MBA, president emeritus of Northeastern Ohio Universities Colleges of Medicine and Pharmacy and former associate dean at the UK College of Medicine.

College of Nursing Celebrates 50th Year

During UK's Homecoming Weekend, the UK College of Nursing is celebrating its 50th anniversary by honoring outstanding alumni for their countless accomplishments and contributions within the Commonwealth and across the nation. Since the establishment of the college in 1960, the mission of the UK College of Nursing has been to create innovative educational programs and become one of the top nursing programs in the nation. The solid foundation that was laid in the early years grew under the leadership provided by Deans Marcia Dake, Marion McKenna, Carolyn Williams, and Jane Kirschling. The president commented that although our medical schools are significantly younger than others in the nation, they have been remarkably successful.

Record Number of Students Attend Preview Nights

President Todd called attention to the numbers achieved by Registrar Don Witt and his staff. A record number of prospective students have experienced Preview Nights, which wrapped up in mid-October. During 2010, UK staff met with 3,971 students during Preview Nights in 12 Kentucky cities, as well as in five key out-of-state markets. These numbers are up more than 1,200 students over the previous record. UK broke attendance records in every city visited, including 582 in Lexington and 571 in Louisville. In December, Kentucky Governor's Scholars Program and Governor's School for the Arts participants will visit campus for a special day of recruitment activities.

Work Begins on \$129 Million Eastern State Hospital at Coldstream

The president called attention to the fact that construction on the new Eastern State Hospital is expected to be completed by fall 2012. The new hospital will provide inpatient psychiatric treatment, specialized services for acquired brain injuries and psychiatric disabilities requiring nursing-facility care, and forensic mental health services. The project involves a unique agreement among UK, the Bluegrass Community and Technical College (BCTC), the state, and the city of Lexington that allows the organizations to trade property. After the new hospital is completed, BCTC will renovate and move into the former Eastern State location, leaving at least two of the BCTC buildings on Cooper Drive available for occupancy by UK. All involved are expected to benefit by this unique arrangement and cooperation among units.

Bluegrass Business Development Partnership Wins Innovation Award

Another aspect of the teamwork between campus and other local players has been recognized by the U.S. Economic Development Administration. UK, the Lexington-Fayette Urban County Government, and Commerce Lexington have received a 2010 innovation award for commercialization, the second that the consortium has received. The UK Office for Commercialization and Economic Development, including the Von Allmen Center for Entrepreneurship, the Lexington Innovation and Commercialization Center, and the Bluegrass Small Business Development Center, work under the umbrella of the Bluegrass Business Development Partnership as a one-stop, super provider offering a full range of business development services.

Allylix Releases Its First Product Developed from UK Technology

A long-lasting citrus flavor and fragrance called Nooktatone is the first product for Allylix, an industrial biotech company founded in 2002 that has its research and development lab at Coldstream. President Todd mentioned that *Forbes* magazine recently presented an article on the company, which received early funding from UK's Bluegrass Angels. Allylix uses technology developed by the UK College of Agriculture and the Salk Institute for Biological Sciences to produce a group of natural products called terpenes in greater quantities, of higher quality, and at significantly lower cost than traditional sources. The company has plans for seven more products in the next two years. The Bluegrass Angels participated further in the recent Series C venture capital round. UK is an investor in Allylix through Kentucky Technology Inc., the university's for-profit corporation.

UK Talent Takes Center Stage at WEG

Several UK groups were among the cast of approximately 1,500 that performed in the opening ceremonies of the Alltech FEI World Equestrian Games on September 25. The UK Symphony Orchestra under John Nardolillo provided the music for the ceremonies. Everett McCorvey, director of UK Opera Theatre and UK board member, was the executive producer of the ceremonies, which were broadcast live to a worldwide audience of around 500 million. Performing with the orchestra were Kentuckian Wynonna Judd, opera stars Denyce Graves and Ronan Tynan, UK Endowed Chair of Music Cynthia Lawrence, UK Artist in Residence and alumnus Gregory Turay, Sara Lee Guthrie, Cherryholmes, and Jazz at Lincoln Center, among other notables. Also representing the School of Music were the UK Chorale, UK Choristers, UK Men's Chorus, UK Women's Choir, UK Trumpet Ensemble, UK Percussion Ensemble, and UK Opera Theatre.

Symphony Orchestra Performances with Boston Pops, Hamlich, Perlman, and Guthrie

Further praise for the School of Music: In celebration of Keeneland's 75th anniversary, tentatively set for October 15, 2011, the UK Symphony Orchestra will perform alongside the Boston Pops in a major concert to be held at Rupp Arena. The Pops has never before performed on the same stage as a student orchestra. Proceeds from the historic performance will support the UK Symphony Orchestra Outreach Endowment. The UK Symphony Orchestra also performed October 2, 2010 with award-winning composer and pops conductor Marvin Hamlich. The orchestra performed November 27 for the second time with folk legend Arlo Guthrie. The orchestra will perform with legendary violinist Itzhak Perlman on March 5, 2011.

National Symphony Orchestra in Residence at UK

The National Symphony Orchestra will be in residence in Kentucky in February, performing concerts and presenting master classes across the state, including at UK where they will work with the UK Symphony Orchestra. The residency is funded largely by the Kennedy Center and the U.S. Department of Education.

UK Patterson School Partners with U.S. Army War College

The U.S. Army War College in Carlisle, Pennsylvania has partnered with the University of Kentucky Patterson School of Diplomacy and International Commerce to conduct an annual strategic-level negotiation exercise in Lexington. All UK Patterson School students have thus

gained exposure to state-of-the-art leadership training developed by some of the nation's best "gamers" and strategists. The Patterson School joins only Princeton University's Woodrow Wilson School for Public and International Affairs and Georgetown University's Institute for the Study of Diplomacy in having such partnerships with the Army War College's Center for Strategic Leadership. The first exercise took place in November and another will occur again in fall 2011. Patterson Director Carey Cavanaugh's efforts are largely responsible for the events.

F. Naming of University Property (PR 3)

President Todd recommended that the Board approve the naming of the UK College of Agriculture Farm in Woodford County as the C. Oran Little Research Center. Dean Little orchestrated the purchase of the former Pin Oak Farm in Woodford County about the time that the university was establishing Coldstream as UK's research campus. Throughout his 12-year term Dean Little was fully engaged in the planning, design, and development of the new research farm, and it is appropriate to designate it now with his name.

Dr. Brockman asked for a motion of approval of PR 3. Mr. Mobley moved approval. His motion was seconded by Ms. Patterson and passed without dissent. (See PR 3 at the end of the Minutes.)

G. Approval of an Exception to Kentucky Statute (PR 4)

President Todd explained that PR 4 requests approval by the Board of an exception to Kentucky Revised Statutes 164.131(7), which defines conflicts of interest, to allow a purchase from Arturo Sandoval, a prominent faculty member in the College of Fine Arts. The UK Arts in HealthCare Program will provide local, national, and international art throughout the new Chandler hospitals and clinics. The program is proposing to contract to purchase an original piece of art from Mr. Sandoval. The university's Ethics Committee has examined the proposed purchase thoroughly and has declared that this purchase presents no conflict of interest. President Todd has considered the proposal in light of the Ethics Committee detailed opinion, accepts that committee's conclusions, and recommends approval of the contract with the university.

Dr. Brockman asked for a motion of approval for PR 4. Mr. Stuckert moved approval. Mr. Roberts seconded, and the motion passed without dissent. (See PR 4 at the end of the Minutes.)

President Todd wanted the Board to know about one more item of interest. Two of UK's outstanding professors, Professor William Endres, Department of English, and Professor Brent Seales, College of Engineering, have collaborated to bring to the attention of the world two ancient documents: the St. Chad Gospels produced in 730 A.D, and a Wycliffe New Testament. Mr. Seales and his team have put together both a video and an article on how they went about the work of examining these important ancient documents. Their work has received recognition recently in *The Chronicle of Higher Education*, higher education's most prominent publication.

H. Candidates for Degrees (AACR 1)

Dr. Brockman passed the floor to Ms. Brown, chair of the Academic Affairs Committee, for her report. The first action item of the committee was AACR 1, which lists candidates for degrees in December 2010. She asked that the president be authorized to confer upon each individual whose name appears on the list of students the degree to which he or she is entitled, upon certification by the university registrar that the individual has satisfactorily completed all requirements for the degree for which application has been made and as approved by the elected faculty of the University Senate and the Academic Affairs Committee of the Board of Trustees. She further explained that since the University of Kentucky will hold its first December commencement ceremonies immediately following completion of examinations, it is not possible for the university registrar to certify satisfactory completion of requirements prior to the ceremonies for those candidates who complete their requirements in December. The candidates who completed their requirements in August 2010 were approved by the Board of Trustees at an earlier meeting. Thus, graduates at the first December ceremony will include graduates from both August 2010 and December 2010. Ms. Brown moved acceptance of AACR 1. Dr. Sachatello seconded her motion, and it passed without dissent. (See AACR 1 at the end of the Minutes.)

I. Candidates for Degrees – Bluegrass Community and Technical College (AACR 2)

Ms. Brown said that the approvals asked for in AACR 2 will occur only once more according to the 2004 agreement among the University of Kentucky, the Kentucky Community and Technical College System, and Lexington Community College pursuant to House Joint Resolution 214. The agreement states that LCC students who were or are officially enrolled on or before September 2004 in associate degree programs approved by the UK Board of Trustees and who complete the associate degree program on or before August 31, 2010 shall have their degrees conferred by the UK Board of Trustees. AACR 2 recommends that the president be authorized to confer upon each individual whose name appears on the attached list the degree to which he or she is entitled, upon certification by the Kentucky Community and Technical College System Board and the University of Kentucky Registrar that the individual has satisfactorily completed all requirements for the degree for which application has been made and as approved by the elected faculty of the University Senate and the Academic Affairs Committee of the Board of Trustees. She moved approval of AACR 2. Her motion was seconded by Dr. McCorvey and passed with no dissent. (See AACR 2 at the end of the Minutes.)

Ms. Brown then offered a summary of the morning meeting of the Academic Affairs Committee, which included an informational update by Dr. Diane Snow, endowed professor of Neuroscience, Spinal Cord and Brain Injury Research Center. Dr. Snow is the first faculty director of undergraduate research, although research opportunities have been offered for undergraduates for some time. Dr. Snow detailed her goals: to grow and expand the scope and opportunity for undergraduates, to increase student and faculty awareness on campus, to increase the number of faculty members involved, and to bring awareness of what research means to different disciplines on campus. Her challenges are funding and matching appropriate students to appropriate mentors and projects. She is also working on creating a master list of students and

projects, consolidating all of the moving parts into an organized framework, and increasing all programming. The discussion of her presentation engaged everyone on the Academic Affairs Committee.

J. Finance Committee Report

Mr. Stuckert, chair of the Finance Committee, reported that the committee met that morning and vetted FCRs 1 through 8. FCR 1 was a consent item, discussed and approved earlier, a gift from the estate of Gary M. Browning, MD.

K. Acceptance of Interim Financial Report for the University of Kentucky for the Three Months Ended September 30, 2010 (FCR 2)

In FCR 2 UK's current fund revenues was shown to represent 27 percent of the approved budget while operating expenses to that date are 25 percent of the approved budget. Mr. Stuckert moved approval of FCR 2. Mr. Miles seconded his motion, and there was no opposition to its adoption. (See FCR 2 at the end of the Minutes.)

L. 2010-11 Budget Revisions (FCR 3)

Mr. Stuckert said that FCR 3 represents 2010-11 budget revisions. He summarized the changes in the three categories of the budget: General Fund – change of \$30,600,000; Auxiliary Fund – a change of \$75,000; and Restricted Funds – a net change of \$536,400, including a \$505,000 gift from the estate of Peggy H. Gwillim. Mr. Stuckert moved approval of FCR 3. Ms. Curris seconded his motion, and it carried without dissent. (See FCR 3 at the end of the Minutes.)

M. Approval of Investment in Coldstream Laboratories, Inc. (FCR 4)

Mr. Stuckert summarized the Finance Committee's extensive review of FCR 4, Approval of Investment in Coldstream Laboratories, Inc., known as CLI, during their morning meeting. The resolution asks for authorization of the president to approve the transfer of up to \$5.5 million from the University of Kentucky Research Foundation to be used as investment in CLI to fund operations and to develop new product lines, and as working capital. Officials from CLI participated in the morning meeting, and a thorough examination of the request was conducted, with the result that the committee approved the motion and passed it to the full board. Mr. Stuckert moved approval of FCR 4. Mr. Shoop seconded the motion.

Dr. Peek expressed some reservations about the lack of information available to the board members who are not on the Finance Committee. He received Mr. Stuckert's reassurance that at the morning's meeting there was a thorough investigation of the request as well as of the operation of CLI. In the recent past, CLI has obtained new management talent and made the addition of knowledgeable individuals to its board of directors in order to show profitability in its operations. Mr. Stuckert thought that perhaps the issue was whether investing in corporations such as this is an appropriate function of the university. He suggested that UK has learned much during this venture. Once such an investment is made, the supporting institution needs to affirm

its confidence in the board which was selected to guide CLI, and if additional investment is needed, it should be supplied if requested once the board is assured that the request is reasonable. The details of management are up to the CLI directors.

Ms. Curris felt that the sticking point for the board on this issue may be that there was not sufficient information presented to those members not on the Finance Committee to enable them to make an informed decision. She asked for that information to be circulated in advance of meeting day. Dr. Brockman agreed and felt that this was a consensus reached during the morning's meeting.

The vote was then taken. It passed without dissent. (See FCR 4 at the end of the Minutes.)

N. Authorization to Lease Four Acres to the Kentucky Medical Services Foundation on Which to Construct a Child Care Facility (FCR 5)

Mr. Stuckert continued, summarizing the discussion of the morning's Finance Committee meeting on this request. The University and Kentucky Medical Services Foundation (KMSF) have agreed to a 50-year lease for the designated property for the sum of \$1.00 year. KMSF will contract with Child Development Center of the Bluegrass, Inc. (CDC) to construct a 22,000 gross-square-foot on-campus facility to house a Child Care Development Center to provide child care services for children from the community, including the children of faculty and staff. The facility will include services for children with special needs. He moved for adoption of FCR 5 and was seconded by Mr. Mobley.

Ms. Brothers stated that she would not vote for the approval of FCR 5. She objects to UK leasing land to KMSF so that KMSF and another entity (CDC) will run a child care center that employs people that are not UK employees although the facility will have the UK name on it. She objects to the lack of information on how the 100 slots available to children of faculty and staff will be divided between health care and the main campus. She expressed the greatest concern about the fact that the facility will charge market rates for child care, feeling that a large portion of the UK population needing child care cannot afford market rates and thus that it is a given conclusion that much of the UK staff will be left out.

Dr. Brockman called for a vote. It passed with one dissenting vote, that of Ms. Brothers. (See FCR 5 at the end of the Minutes.)

O. Approval of the 2009-10 Endowment Match Program Annual Report (FCR 6)

Mr. Stuckert moved the approval of FCR 6, which details the 2009-10 Endowment Match Program's Annual Report. He was seconded by Mr. Smith. The vote was unanimous for the adoption of FCR 6. (See FCR 6 at the end of the Minutes.)

P. Capital Construction Report (FCR 7)

Mr. Stuckert referenced the review of the Capital Construction Report by Mr. Bob Wiseman at the morning Finance Committee meeting. He moved approval of FCR 7 and was seconded by Ms. Brothers. The motion passed without dissent. (See FCR 7 at the end of the Minutes.)

Q. Patent Assignment Report (FCR 8)

Dr. James Tracy reviewed the patent assignment report for the period July 1 through September 30, 2010 with the committee during the morning. Two new patents were applied for, and seven patents were issued. Revenues were almost \$260,000 for this period. Mr. Stuckert moved approval of the report. Dr. Gannon seconded, and the motion carried without dissent. (See FCR 8 at the end of the Minutes.)

Mr. Stuckert concluded the Finance Committee report. Mr. Gatton asked that on FCR 5 the Minutes reflect his comments in the Finance Committee meeting that morning. Mr. Gatton stated there should be a notation included that a mechanic's lien could not be placed on the property and that the lessee does not have the right to sublease the property without board approval. Dr. Brockman requested that the minutes include Mr. Gatton's comments.

Dr. Brockman next asked for Mr. Gatton's Investment Committee report.

R. Investment Committee Report

Mr. Gatton, chair of the Investment Committee, stated that the Investment Committee met that morning to review performance results and conduct other business. The endowment had a net market value as of October 31 of \$835.2 million. For the four months ended October 31, the endowment pool returned 10.9 percent, compared to the policy benchmark return of 10.5 percent for that quarter. As a reminder, the policy benchmark is a weighted average of various market index returns that are representative of the university's target asset allocation. The fiscal year outperformance against the policy benchmark is due mainly to strong performance by the fixed income managers.

The committee heard an update on the implementation of the new asset allocation approved at the September Investment Committee meeting. The new allocation reflects decreases to the U.S. equity, fixed income, and real estate asset classes, and increases to the absolute and real return asset classes. The implementation will be completed by the end of December, with the exception of the private equity and value-added/opportunistic real estate allocations, which will be implemented over the next few years. The asset allocation changes are intended to further diversify the endowment and decrease the projected volatility of future returns. The new target asset allocation and manager structure is designed to produce an average annual return of 7.5 percent over the long term, defined as 10 years or more. If achieved, the 7.5

percent annual return should allow the university to support the 4.5 percent annual spending and management fee withdrawals, and maintain the inflation-adjusted value of the endowment.

S. Student Affairs Committee Report

Ms. Patterson, chair of the Student Affairs Committee, reported that two guests engaged the committee earlier at their meeting. The first was Andrew Smith, director of the Alcohol and Health Education Office, who reported on his office's activities. Initiated in 1999, his office is focused primarily on abuse of alcohol, tobacco, drugs, and mental wellness. The group has benefitted from a \$200,000 award from Brown-Forman which helped start the peer program. The program is now called Student Wellness Ambassadors and is one of the office's major successes.

Other activities include providing a focus on safety and responsibility, and their message goes especially to new students. The Office carries the message of the need for accountability to groups during K Week activities, through AlcoholEdu on line to incoming students before their arrival on campus, through UK 101, and to parents, as well as to international students. The campus has experienced a 25 percent drop in residence-life alcohol policy violations and a 66 percent drop in alcohol policy violations.

Chief Joe Monroe of the UK Police Department was the second guest. He gave the group statistics on campus crime: The categories of assault, burglary, rape, and robbery have declined which represents positive results for our police force interventions. Chief Monroe emphasized the importance of customer service and cooperation between units both on campus and in the community as the basis for his department's successes. He also described the basic and continuing training of his force as well as two exciting initiatives. These include the installation of cameras across campus to monitor criminal activities and a telephone app that will give a GPS location automatically when a call is received.

Ms. Patterson asked Chief Monroe to stand, and he received a round of applause.

T. University Health Care Committee Operating Rules (UHCCR 1)

Ms. Young, chair of the committee, gave the report for the Health Care Committee. She stated that UHCCR 1 is a request for three additional changes to the Health Care Committee Operating Rules. The first is to change the regularly scheduled meetings of the University Health Care Committee to occur on the same day as the regularly scheduled meetings of the Board of Trustees. The second is to change the notice provisions to reflect the requirements imposed by Kentucky law. The third is to remove provisions covered by Administrative Regulations. At the committee's meeting on Monday, December 6, UHCCR 1 was approved. She motioned approval of UHCCR 1 by the full board.

Dr. Brockman asked for a second of her motion, which was given by Mr. Stuckert. Ms. Curris asked for an explanation of the motion to change the day of the committee meeting. Dr. Brockman explained that he had asked the committee to consider changing its meeting day. Because exciting things are expected to come from the Health Care area during the next years, he

would like to have their meetings on board day so that they could be more widely attended by board members who are not on that committee. Although board days will become even busier than they are currently, the Health Care Committee agreed to try this option and change back to the original timing if problems developed. Other committees, particularly the Investment Committee, might change their meeting to Monday afternoon before board day. After some additional discussion, Dr. Brockman called for a vote. Ms. Young moved approval of UHCCR 1. Mr. Stuckert seconded the motion, and it passed without dissent. (See UHCCR 1 at the end of the Minutes.)

Ms. Young reported on additional items from the committee meeting. Dr. Paul DePriest presented the clinical performance update. He reviewed the signature performance metrics for Chandler Hospital and Good Samaritan Hospital and discussed the mortality, effectiveness, and safety quality and accountability scorecards. In general, the scorecards are close to or exceed target goals. In the coming months, two new scorecards that measure equity or equal treatment for all patients, and patient satisfaction will be added to the scorecard. This scorecard involves comparing UK hospitals to other hospitals nationally. Its results are of interest to the Joint Commission on their visit to UK.

Mr. Murray Clark updated the committee on the construction progress of the patient care facility. The tentative date for the opening of the new hospital is May 22. Dr. Susan McDowell, assistant dean of the College of Medicine, presented the 2010 graduate medical education report card. The number of residents and doctoral fellows continues to grow; 89 percent passed their house officer boards, well above accreditation standards. Last year, 148 graduated and 46.6 percent stayed in Kentucky to practice medicine, which is close to the national average.

Mr. Brett Short presented the hospital compliance report. With the growth of federal health care mandates, it is critical that UK HealthCare closely follow regulatory and patient safety requirements. The UK Hospital compliance office oversees and provides guidelines to UK's medical community, insuring close adherence to all regulatory issues, assurance of patient safety, and mitigation any appearance of fraud.

Dr. Kevin Nelson presented for approval the medical staff and affiliated healthcare provider privileges for Chandler and Good Samaritan Hospitals. The committee made a motion and approved all of the privileges.

Finally, Mr. Sergio Melgar presented the fiscal-year-to-date October 2010 financials. Comparing the balance sheet in October 2010 and 2009 shows that cash has decreased \$93.7 million due to the use of cash reserves for construction of the remainder of Phase 1A of the patient care facility. Accounts receivable have increased \$8.1 million compared to last year; they are \$117.6 million versus \$109.5 million. Patient service revenue increased \$18.2 million. The value of board-designated investment now totals \$197.1 million, an \$18.8 million increase from October of last year. The current month investment gain is \$5.3 million, and year-to-date investment income is \$21.2 million. The balance sheet now reflects the remaining unpaid

balance of the University of Kentucky bonds totaling \$352.3 million. The amount of debt that was repaid in the current fiscal year was \$9.6 million. UK HealthCare Hospital System posted an operating gain of \$94.3 thousand in this month, and year-to-date income from operations is

\$14.9 million, which is \$3.5 million less than the budgeted amount and \$3 million less than the prior year. Net assets for the month decreased by \$4.4 million. For the year, net assets have increased \$27.1 million, for a margin of 9.1 percent.

U. University Relations Committee Report

Ms. May, chair of the University Relations Committee, reported that the committee could not fit into its time allotted all of the items on the agenda and therefore ran over into the times of the other committees.

First considered by University Relations was a complaint about one of the Patterson Office Tower elevators being reserved for Board of Trustees exclusive use from noon to 3 pm on board days. Vice President Anthany Beatty spoke at the meeting to explain the history of reserving the elevator, and the group discussed the policy at length. Ultimately, it was decided that for the time being no change would be made with respect to reserving the elevator, but that communications would be improved by having signage placed by the elevator to state that its use is restricted for those hours only.

The second issue to come before the committee was that there is a sentiment to more specifically describe how persons are allowed to address the members of the board formally. Board member and President of Student Government Association Ryan Smith has been working with the faculty and staff senates and together they have proposed an Administrative Regulation clarifying the process. Ms. May feels that the proposal is too complex and difficult to follow, and she has requested that Legal Counsel simplify it. Office of Legal Counsel has suggested that it should be a Governing Regulation rather than an Administrative Regulation.

The committee will continue to develop the changes for the Governing Regulations. There is a twofold goal: (1) to establish the process by which people can come and speak to the full board should they wish to, and (2) to establish that the committees are open and available to anybody that wants to bring an issue through the committee structure to get to the board. They hope to have proposed changes to present to the full board at the next meeting.

After some general discussion of Ms. May's proposal, Dr. Brockman asked if there was any other business for the Board.

V. Adjournment

Hearing no suggestions for additional matters, Dr. Brockman asked for a motion to adjourn and was met by a chorus of voices. The meeting ended at 2:05 p.m.

Respectfully submitted,

Pamela T. May
Secretary, Board of Trustees

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

PR 1

Office of the President
December 7, 2010

1. UK Celebrates Opening of Confucius Institute

With a special ceremony and concert November 6, the University of Kentucky officially honored its place as one of fewer than 400 organizations worldwide to host a Confucius Institute. The distinction, initially granted to UK by the Office of Chinese Language Council International (colloquially known as the Hanban) in March, will provide central Kentuckians, as well as UK students, faculty, and staff the opportunity for a greater understanding of China through community classes, teacher preparation courses, and events and services for the public.

2. Equine Surgery Center Opens With Help From Small Business Development Center

Lexington Equine Surgery and Sports Medicine, a client of the Bluegrass Business Development Partnership, has opened at the corner of Iron Works Pike and Georgetown Road. The Bluegrass Business Development Partnership is composed of the University of Kentucky, the Lexington Fayette Urban County Government, and Commerce Lexington. The veterinary referral practice focuses on outpatient medicine and elective surgery and includes a 10-stall barn and office, two surgery suites, radiology and exam areas, and recovery stalls. The Bluegrass Business Development Partnership, part of the UK Office for Commercialization and Economic Development, provided client services including financial projections and business plan and financing development.

3. Several Doctoral and Research Programs Rise Dramatically in National Rankings

The National Research Council (NRC) released its rankings in late September, and several of UK's doctoral and research programs rose dramatically in national prominence. Specifically, UK houses three doctoral programs ranked in the top quarter, compared to only one program in the top quarter in 1993. UK had 12 other programs in the top half in the survey results as well. In 1993, UK had a total of only 6 programs in the top half.

4. UK Breaks Ground on \$19.8 Million Renewable Energy Lab

In October, the Center for Applied Energy Research (CAER) broke ground on what will become the university's first Leadership in Energy and Environmental Design (LEED)-certified laboratory. The \$19.8 million renewable energy laboratory will allow CAER to greatly expand its research capabilities devoted to Kentucky's growing renewable energy industries, including biomass and biofuels, electrochemical power sources (such as capacitors and batteries), and distributed solar energy technologies. The facility is funded by a competitive grant CAER won

last year from the U.S. Department of Commerce's National Institute of Standards and Technology (NIST) under the American Reinvestment and Recovery Act's (ARRA) NIST Construction Grant Program.

5. Chronicle of Higher Education Recognizes UK as a Top Producer of Fulbright Scholars

UK was recognized by the Chronicle of Higher Education in October as a top producer of U.S. Fulbright Scholars for the 2010-11 academic year, with four recipients as of September 9, 2010. UK is in the top 20 of public institutions for its number of Fulbright Scholars, according to the Chronicle's listing. UK's 2010-11 Fulbright Scholars include Susan E., Carvalho, associate provost for international programs; Eugene R. Gaetke, Edward T. Breathitt Professor of Law in UK's College of Law; Jason David Hans, associate professor in the Department of Family Studies, School of Human Environmental Sciences; and Raymond Earl Hill, assistant professor in the UK College of Public Health and director of the Kentucky Institute of Public Health Practice Enhancement.

6. Department of Theatre Celebrates 100 Years With "Gorey Stories"

The UK Department of Theatre continued its 2010-2011 season and celebrated 100 years of theatre on campus with "Gorey Stories," an assortment of tales, songs, and limericks from the gothic writer-illustrator Edward Gorey, which was adapted for the stage by UK alumnus Stephen Currens. The production, first staged at UK, went on to appear on Broadway at the Booth Theatre in 1978. UK's production of "Gorey Stories" was directed by Russell Henderson, associate professor of acting and voice, and Ryan Shirar, musical director. The production ran October 7-17 at Guignol Theatre and was part of several anniversary festivities presented October 16.

7. College of Medicine Celebrates 50th Anniversary Through Academic Convocation

The University of Kentucky College of Medicine celebrated its 50th anniversary through an Academic Convocation on September 23. The convocation featured speaker Lois Nora, M.D., J.D., MBA, president emeritus of Northeastern Ohio Universities Colleges of Medicine and Pharmacy and former associate dean at the UK College of Medicine.

8. College of Nursing Celebrates 50th Year

The UK College of Nursing is celebrating its 50th anniversary this year. In honor of this significant milestone, the college honored outstanding alumni for their countless accomplishments and contributions within the Commonwealth and across the nation during UK's Homecoming Weekend. Since the establishment of the college in 1960, the mission of the UK College of Nursing has been to create innovative educational programs and become one of the top nursing programs in the nation. The solid foundation that was laid in the early years grew under the leadership provided by Deans Marcia Dake, Marion McKenna, Carolyn Williams, and Jane Kirschling.

9. Record Number of Students Attend Preview Nights

A record number of prospective students experienced Preview Nights, which wrapped up in mid-October. During 2010, UK staff met with 3,971 students during Preview Nights in 12 Kentucky cities, as well as five key out-of-state markets. These numbers are up more than 1,200 students over the previous record. In addition, UK broke attendance records in every city visited, including 582 in Lexington and 571 in Louisville. The momentum continues in December when Kentucky Governor's Scholars Program and Governor's School for the Arts participants visit campus for a special day of recruitment activities.

10. College of Social Work Adoption Program Receives National Award

University of Kentucky College of Social Work's Adoption Support for Kentucky (ASK), formed in 2002, was recently awarded a 2010 Adoption Excellence Award from the U.S. Department of Health and Human Services for its "extraordinary contributions in providing adoption and other permanency outcomes for children in foster care." ASK and its Director Carrie Saunders have already been recognized for their exceptional achievements in supporting families with state and national awards this year with the 2010 "Parent Group of the Year" award by the North American Council on Adoptable Children (NACAC).

11. Grammy Winner Branford Marsalis Performs at UK

Grammy-winning jazz musician Branford Marsalis performed at the UK Singletary Center for the Arts in November. The musician, dedicated to jazz education, also conducted a woodwind clinic, a jazz workshop, and a question and answer session for students. The event also featured performances by the UK Jazz Ensemble, UK Mega-Sax, UK Saxophone Quartet, UK Jazz Combo, and a student performance of Darius Milhaud's "Scaramouche."

12. Jazz Alumni Perform on Campus

More than 50 UK jazz alumni returned to campus for the UK Alumni Jazz Band Spectacular in October at Singletary Center for the Arts. The free public concert featured the UK Alumni "Blue" Big Band, directed by Miles Osland; the UK Alumni "White" Little Big Band, directed by Raleigh Dailey; the UK Alumni "Blue & White" Big Band, directed by guest conductor Vince DiMartino; as well as the UK Jazz Ensemble, directed by Osland, and the Osland/Dailey Jazztet. The concert kicked off UK Jazz Ensemble's fundraising efforts as they prepare for a European tour in July 2011. The ensemble, accompanied by the Osland/Dailey Jazztet, will tour France, Switzerland, and the Netherlands performing at the world's most prestigious jazz festivals. The Osland/Dailey Jazztet is comprised of UK talent. The group is made up of UK faculty members Miles Osland playing the saxophone and flute, Raleigh Dailey on piano, Danny Cecil on bass, and Paul Deatherage on the drums.

13. University Press of Kentucky Authors Win Awards

Several University Press of Kentucky books have received recent acclaim. The book "Warren Oates: A Wild Life," by Susan Compo, is listed among the "Best books of the year: 2010" as published by The Guardian. University Press of Kentucky author Thomas Kiffmeyer was named the recipient of the Kentucky State Historical Records Advisory Board (KSHRAB) 2010 Kentucky Archives Month Certificate of Merit for Writing or Other Production for his book "Reformers to Radicals: The Appalachian Volunteers and the War on Poverty." The University Press of Kentucky book "Law and Society in the South: A History of North Carolina Court Cases," by John Wertheimer, was named the 2010 recipient of the Willie Parker Peace Book Award at the 2010 Annual Meeting of the North Carolina Society of Historians (NCSH) on Oct. 23. And the University Press of Kentucky book "Nothing Like An Ocean: Stories" by Jim Tomlinson received a special mention for the 2011 Pushcart Prize for the short story "Angel, His Rabbit, and Kyle McKell." The Pushcart Prize honors and celebrates pieces of poetry, short fiction, and essays that are published by small presses.

14. UK Honors Veterans

The university honored its student, faculty, and staff veterans on Veterans Day with ceremonies outside the Main Building, which included recognition of veterans with lapel pins and prize drawings. The Department of Theatre also restaged its documentary drama "Bringing It Home: Voices of Student Veterans," based on the stories of UK student veterans, at Eastern Kentucky University and UK's Buell Armory. The piece was made possible through a unique collaboration between UK's Department of Theatre, Veterans Resource Center, and Louie B. Nunn Center for Oral History.

15. Nielsen Delivers Bowling Lecture

Williard "Bill" Nielsen, retired corporate vice president of Johnson & Johnson, delivered the 11th annual James C. Bowling Executive-in-Residence lecture in November. His presentation was titled, "Too Big To Fail: The Essential Role of Public Relations." The retired executive spoke about the importance of the field to students in the School of Journalism and Telecommunications, outlining how the field has developed and the opportunities that exist for graduates.

16. Back to School Workshop Helps Adults Go to College

UK's office of Adult Student Services held its twice-annual Back to School Workshop in October to help adults go to college for the first time or return to college. The workshop provided adults with information on financial aid, admissions, academic advising, adult student services, and the Bluegrass Community and Technical College. Participation in the workshops has significantly increased since its inception in 2005.

17. Work Begins on \$129 Million Eastern State Hospital at Coldstream

Construction on the new Eastern State Hospital, including a 239-bed hospital and three personal care homes, is expected to be complete by fall 2012. The new hospital will provide inpatient psychiatric treatment, specialized services for acquired brain injuries and psychiatric disabilities requiring nursing-facility care, and forensic mental health services. The project involves a unique agreement between UK, the Bluegrass Community and Technical College (BCTC), the state, and the city of Lexington that allows the organizations to trade property. BCTC will move from the UK campus to the current Eastern State location, and UK will take over the current BCTC location on Cooper Drive.

18. Bluegrass Business Development Partnership Wins Innovation Award

The U.S. Economic Development Administration recognized the partnership between UK, the Lexington-Fayette Urban County Government, and Commerce Lexington with a 2010 innovation award for commercialization. The UK Office for Commercialization and Economic Development, including the Von Allmen Center for Entrepreneurship, the Lexington Innovation and Commercialization Center, and the Bluegrass Small Business Development Center, work under the umbrella of the Bluegrass Business Development Partnership as a one-stop, super-service provider offering a full range of business development services.

19. Faculty Commercialization Awards Part of Annual Bench2Business Event

More than 100 business and community leaders and faculty were on hand at the annual Bench2Business networking event recently, as UK President Lee T. Todd, Jr. recognized the faculty who received patents and SBIR–STTR grants, licensed technology, and created start-up companies in the last year. Successful alumni entrepreneurs John A. Williams, Sr. '62 (Gatton College of Business and Economics), who founded Computer Services Inc., and Kim Knopf '82 (College of Arts and Sciences), who founded Sleep Outfitters, were the keynote speakers. Williams and Knopf also met with the UK Entrepreneurs and Wildcat Investment student groups.

20. UK Graduate Peyton Fouts Launches New Web Portal

Peyton Fouts, a 2006 UK graduate, recently launched a new, free Web tool, OuiBox. Pronounced “WeBox,” it brings together Web applications such as e-mail, photos, and music with social networks such as Facebook, Twitter, YouTube, and a social network of its own. Fouts, 25, graduated from UK at age 19 with a double major in English and Communications in just three years. OuiBox.com is one of the first investments for the new \$3 million Bluegrass Angels Venture Fund II. UK is an investor in both BGA venture funds through Kentucky Technology Inc., the university’s for-profit corporation

21. ParaTechs 'Graduates' from UK's ASTeCC Business Incubator

The biotechnology company ParaTechs, founded in 2004 and based on the research of UK entomologist and co-founder Bruce Webb, has “graduated” from ASTeCC to its own

building on Oak Hill Drive in Lexington. ParaTechs uses genes derived from insect viruses to make proteins more efficiently for pharmaceuticals. The company has recently licensed technology to an international company in London and has a product on the market to humanely implant embryos into mice. ParaTechs has five full-time and two part-time employees, and has received \$2.7 million in Phase I and Phase II SBIR and STTR awards from the USDA, NIH, and the Kentucky Matching Funds program.

22. Allylix Releases its First Product Developed from UK Technology

A long-lasting citrus flavor and fragrance called Nooktatone is the first product for Allylix, an industrial biotech company founded in 2002 that has its research and development lab at Coldstream. Allylix uses technology developed by the UK College of Agriculture and the Salk Institute for Biological Sciences to produce a group of natural products called terpenes in greater quantities, of higher quality, and at significantly lower cost than traditional sources. The company has plans for seven more products in the next two years. The Bluegrass Angels were one of the original investors in Allylix and participated in the recent Series C venture capital round. UK is an investor in Allylix through Kentucky Technology Inc., the university's for-profit corporation.

23. Second Phase of CO₂ Injection Project Completed

The second and final phase of carbon dioxide and brine injection was completed by the Kentucky Geological Survey (KGS) and its private partners in the deep geologic storage research well in Hancock County. The well was sealed and abandoned, and the site was reclaimed by the end of October. The KGS and its partners drilled the 8,126-foot deep well in 2009 to test the capacity of a rock formation called the Knox Group, found under much of the U.S. Midwest, to permanently store CO₂. In the second phase, conducted this summer, 357 additional tons of CO₂ was successfully injected into rocks ranging from 4,824 to 5,038 feet deep. KGS held a public meeting October 28 in Hawesville to inform local officials and the general public about the results of the research. Summaries of the research have appeared in several publications and further research continues at KGS in partnership with several Midwest states and the U.S. Department of Energy.

24. KGS Working with CDC on National Drinking Water Project

The Kentucky Geological Survey is representing the state in a national partnership with 15 states, other agencies, and the Centers for Disease Control and Prevention on a project to develop a national repository of water quality data to promote public health research. The goal is gathering data which would help health care professionals investigate connections between unregulated drinking water sources and illnesses. KGS received a CDC grant for the first phase of the work in Kentucky, which involves looking for groundwater quality data sources among state agencies that have never been digitized and to estimate how much the digitization would cost so they can be added to a database.

25. First PEIK Course Proves Successful

The Power and Energy Institute of Kentucky (PEIK) offered its first short course in October, titled "Introduction to Renewable Energy." It was taught by Paul Dolloff of the East Kentucky Power Cooperative and adjunct faculty member in the UK electrical and computer engineering department. The course provided an overview of renewable energy technology and outlined the basic principles of solar electricity, wind power electric generation, micro-hydro electric generation, and their application in Kentucky. PEIK brings together faculty from traditional engineering departments as well as from the Center for Applied Energy (CAER) and Center for Sustainable Manufacturing to create new labs, courses, and update existing courses to help meet the need of power engineers in the utilities and manufacturing sectors.

26. UK Talent Takes Center Stage at WEG

Several UK groups were among the cast of approximately 1,500 that performed in the opening ceremonies of the Alltech FEI World Equestrian Games on Sept. 25. The UK Symphony Orchestra under John Nardolillo provided the music for the ceremonies. Everett McCorvey, director of UK Opera Theatre, was the executive producer of the ceremonies, which were broadcast live to a worldwide audience. Performing with the orchestra were Kentuckian Wynonna Judd, opera stars Denyce Graves and Ronan Tynan, UK Endowed Chair of Music Cynthia Lawrence, UK Artist in Residence and alumnus Gregory Turay, Sara Lee Guthrie, Cherryholmes, and Jazz at Lincoln Center, among other notables. Also representing the School of Music were the UK Chorale, UK Choristers, UK Men's Chorus, UK Women's Choir, UK Trumpet Ensemble, UK Percussion Ensemble, and UK Opera Theatre.

27. Symphony Orchestra Performs with Boston Pops, Hamlich, Perlman and Guthrie

The UK Symphony Orchestra has performed with top composers and performers recently. In celebration of Keeneland's 75th anniversary, the UK Symphony Orchestra will perform alongside the Boston Pops in a major concert to be held at Rupp Arena. Proceeds from the historic performance will support the UK Symphony Orchestra Outreach Endowment. The UK Symphony Orchestra also performed October 2 with award-winning composer and pops conductor Marvin Hamlich. The orchestra performed November 27 for the second time with folk legend Arlo Guthrie. The orchestra will perform with legendary violinist Itzhak Perlman on March 5.

28. National Symphony Orchestra in Residence at UK

The National Symphony Orchestra will be in residence in Kentucky in February, performing concerts and masterclasses across the state, including UK where they will work with the UK Symphony Orchestra. The residency is funded largely by the Kennedy Center and the U.S. Department of Education.

29. College of Medicine Hosts Medical Diversity Conference

The University of Kentucky College of Medicine hosted the annual regional medical educational conference for Region X of the Student National Medical Association (SNMA) on Nov. 12-14. The conference focused on ending racial disparities in health care management and patient care. The 73 attendees included medical professional students from UK, Meharry Medical School, the University of Tennessee Health Science Center, Vanderbilt University and the University of Louisville.

30. WUKY Represents Lexington in National Day of Listening

University of Kentucky's public radio station WUKY represented Lexington in the third annual National Day of Listening Friday, November 26. The holiday was started by the acclaimed oral history nonprofit organization StoryCorps in 2008. The National Day of Listening is an effort to encourage all Americans to honor a friend, a loved one, or a member of their community by interviewing them about their lives.

31. College of Communications and Information Studies Hosts Technology Week

The UK College of Communications and Information Studies presented local and national experts in technology at a week-long series of talks highlighting the role technology plays in communications in October. Fark.com CEO Drew Curtis headlined the event by talking about how his Versailles-based business has become one of the world's most successful news aggregation sites. Talks on open-access to information and development of mobile applications rounded out the week.

32. Grants Provide Entrepreneurial Coaching for Middle School Teachers, Tobacco Areas

Ronald Hustedde, Community and Leadership Development, received a \$275,000 grant from the Appalachian Regional Commission for the Kentucky Entrepreneurial Coaches Institute, the purpose of which is to provide entrepreneurship curricula and training for 50 middle school teachers and to provide seed money for middle school students to launch approximately 500 new businesses in the region. Hustedde is also the principal investigator on a \$140,000 grant from the U.S. Department of Agriculture for training and nurturing 120 entrepreneurial coaches in Kentucky's tobacco dependent communities.

33. College of Agriculture Receives \$2.3 Million Grant to Educate Food Stamp Recipients

Ann Vail and Laura Stephenson, Family and Consumer Sciences Extension, are principal investigator and co-principal investigator, respectively, on a \$2,351,659 grant from the Kentucky Cabinet for Health and Family Services to provide nutrition education to food stamp recipients and/or applicants in various regions within the state.

34. UK Patterson School Partners with U.S. Army War College

The U.S. Army War College in Carlisle, Pennsylvania has partnered with the University of Kentucky Patterson School of Diplomacy and International Commerce to conduct an annual strategic-level negotiation exercise in Lexington. This will expose UK students to state-of-the-art leadership training developed by some of the nation's best 'gamers' and strategists. The Patterson School joins only Princeton University's Woodrow Wilson School for Public and International Affairs and Georgetown University's Institute for the Study of Diplomacy in having such partnerships with the Army War College's Center for Strategic Leadership. The first exercise took place in November and will occur again in fall 2011.

35. UK Patterson School Director Engaged in "Track Two" Peace Initiative

Retired Ambassador Carey Cavanaugh, director of the University of Kentucky Patterson School of Diplomacy and International Commerce, has been tapped to be part of a European Union backed project to establish an "informal" Georgian-Russian dialogue following the August 2008 war between the two states. The goal is to create an expert-level mechanism in which Georgian and Russian representatives can generate ideas for addressing security, economic, humanitarian, and political issues related to the unresolved conflicts in Georgia. Before coming to UK, Cavanaugh had served as a peace mediator for Eurasian conflicts at the U.S. Department of State.

36. Parking and Transportation Services Offers Holiday Transportation Alternatives

UK Parking and Transportation Services is offering transportation alternatives during the holiday and basketball seasons. PTS is offering the new Ride Home Express, which offers a coach bus ride to certain cities in Kentucky and surrounding states for a moderate fare. More than 60 students and employees took advantage of this service for the Thanksgiving break and it will be offered again for the semester break. Students who fly home for the breaks also can get a ride to Lexington's Blue Grass airport on the PTS shuttle for \$1. For the basketball games, PTS and UK Athletics are providing transportation for students, employees, and guests between campus and Rupp Arena for all regular season men's home basketball games while classes are in session. The round-trip cost for all patrons is \$3 per person, per game. PTS has offered this service for more than 33 years.

37. Student Awards and Achievements

Seunghye Lee, Ph.D. candidate in Piano Performance, performed in Carnegie Hall's Weill Recital Hall.

Adam Sovkoplus, Ph.D. candidate in Music Theory, had his Sonata for Saxophone and Piano included on the program for the SCI Region V Conference at Augustana College in October.

Yawen Ludden, Ph.D. candidate in Musicology, presented a paper at the 55th Annual Meeting of the Society for Ethnomusicology in Los Angeles in November.

Voice and orchestra students from UK will perform in the World Premiere of Thomas Pasatieri's "God Bless Us All" with Di Capo Opera in New York December 12-18, 2010.

"Go! The Music of Bob Mintzer," with performances of the UK Wind Ensemble, was nominated for a Grammy Award in October.

Sixteen UK voice students won prizes in the state National Association of Teachers of Singing 2010 fall competition in Kentucky.

The Alpha Xi chapter of Rho Chi, College of Pharmacy, has again received the national Project Proposal Award for their project titled "Pharmacy Residency Evaluation Preparation (PREP)." This program will help prepare fourth-year pharmacy students for residency interviews by simulating the interview environment.

LaToya Bo'nee Lee, College of Nursing, received the 2010 Lyman T. Johnson Torch Bearer Award. The award goes to an African-American alumni, faculty or staff person and a student in honor of Johnson, whose legal challenge opened UK to African-American students in 1949.

38. Faculty and Staff Awards and Achievements

Frank Davis, Medical Center Library, has been approved for membership in the Academy of Health Information Professionals (AHIP) at the Distinguished Member level. AHIP promotes lifelong learning and exemplary professional performance by recognizing achievements in continuing education, teaching, publishing, research, and other contributions to the profession.

Doug Boyd, director, UK Libraries' Louie B. Nunn Center for Oral History, addressed the Library of Congress Folklife Center board and staff about technologies developed by UK Libraries to deliver oral history online.

Ken Troske, chair, Department of Economics, for the second consecutive year participated in the Federal Reserve Bank's 'Economic Teamwork' event held in Louisville in early November. Two hundred economic leaders from around the region attended the session, which focused on the impacts of financial regulatory reform.

Diana Hallman, School of Music, published an article in *Music, Theater, and Cultural Transfer: Paris 1830-1914* that received the American Musicological Society Ruth A. Solie Award for "a collection of musicological essays of exceptional merit published during the previous year in any language and in any country."

Wendy F. Hansen, College of Medicine, was recently appointed chairman of the Department of Obstetrics and Gynecology. Hansen also serves as division director of the Division of Maternal Fetal Medicine.

Joseph B. Zwischenberger, UK HealthCare, the Johnston-Wright Professor of Surgery and chairman of the department of surgery, was appointed the first surgeon-in-chief. As the senior surgical leader, Zwischenberger will ensure that the surgical departments deliver high quality, safe, and efficient care and meet the expectations of patients and their families. Zwischenberger will also chair the new Surgical Chairs Executive Committee and serve on the UK HealthCare Executive Committee and the OR Executive Committee.

Carlos Marin, College of Medicine, was appointed the college's first Assistant Dean for Community and Cultural Engagement. Marin will oversee UK's Area Health Education Center (AHEC) Program, which includes the Health Careers Pipeline Program, and provide guidance and support to regional AHEC directors.

Jim Norton, College of Medicine, was appointed associate dean for Educational Engagement. Norton will be responsible for the management of the College of Medicine's educational activities beyond the Lexington campus and will serve as director of UK HealthCare CE Central, the administrative unit responsible for managing continuing education for physicians and pharmacists within and outside of UK.

Peter A. Crooks, College of Pharmacy, was selected as the recipient of the 2010 Research Achievement Award in Drug Design and Discovery. This award is among the highest conferred by the American Association of Pharmaceutical Scientists.

Patrick P. DeLuca, College of Pharmacy, received the American Association of Pharmaceutical Scientists Community Service Award. He has been instrumental in the founding and running of Faith Pharmacy of Lexington, an organization that helps people who don't have prescription drug coverage.

Chang-Guo Zhan, College of Pharmacy, was named an American Association of Pharmaceutical Scientists Fellow. He has developed unique computational drug design approaches that have been proven reliable and efficient in the rational design of therapeutic candidates. His research team has successfully designed and discovered highly efficient cocaine hydrolases that are recognized as novel, promising therapeutic candidates for treatment of cocaine overdose.

Kimberly Nixon, College of Pharmacy, was named one of 85 researchers as recipients of the Presidential Early Career Awards for Scientists and Engineers (PECASE), the highest honor bestowed by the United States government on science and engineering professionals in the early stages of their independent research careers. Nixon will travel to Washington, D.C. to receive this award at a White House ceremony hosted by President Obama.

Holly Divine, College of Pharmacy, has been named a Fellow of the American Pharmaceutical Association.

Joseph L. Fink III, College of Pharmacy, has been selected to serve as vice chair of the Editorial Advisory Board for the Food and Drug Policy Forum of the Food and Drug Law Institute.

Kelly Walsh, College of Pharmacy, was named Resident of the Year by the Kentucky Society of Health-System Pharmacists. The award recognizes an individual pharmacy resident for their contribution to the practice of pharmacy through contributions and improvements at their institution/practice site and throughout the state.

Craig Martin, College of Pharmacy, was named Pharmacist of the Year by the Kentucky Society of Health-System Pharmacists. This award recognizes an individual pharmacist for his or her leadership, vision, and continuous contribution to the practice of pharmacy.

Anna Brzyski, Art History, presented "Kunstwissenschaft, World Art History, and Global Art Historic Discourse," at the conference Art History on the Disciplinary Map in East-Central Europe in November in Brno, Czech Republic.

Rae Goodwin, Art Studio, gave an artist lecture at Florida State University and had a solo exhibition at the Alexander Brest Museum in Jacksonville, Florida.

Arturo Alonzo Sandoval, Art Studio, has had numerous exhibitions around the state and country this fall, including the juried Horsemania exhibit of his horse, Casablanca. His artwork

and accomplishments are featured in "Makers: A History of American Studio Craft," a new anthology published by the University of North Carolina Press.

Robert Shay, Department of Art, is participating in an Artist Residency in Red Lodge, Montana.

Hunter Stamps, Department of Art, was accepted into the Visions in Clay national juried exhibition at the L.H. Horton Jr. Gallery in Stockton, California. One of the accepted sculptures received the second place award. He was also invited into several other juried exhibitions.

Dmitry Strakovsky, Department of Art, exhibited as part of Mediations Biennial 2010, "HUB or SCHub – an exhibition which will not happen," in Poznan, Poland.

Monica Visonà, Department of Art, was invited to serve on the Scientific-Advisory Committee of the 2011 exhibition, "African Arts – Italian Collections," sponsored by the Palazzo Ducale Fondazione per la Cultura in Genoa, Italy. Her monograph, "Constructing African Art Histories for the Lagoons of Côte d'Ivoire," has been published by Ashgate.

Jim Wade, Department of Art, exhibited at Interpretations of Kentucky in the Main Cross Gallery in Lexington; Sculpture Trails Group Show at The Gallery in Chattanooga, Tennessee; and Evolving Traditions at the Gloria Singletary Gallery, Living Arts & Science Center in Lexington.

Benjamin C. Withers, Art History and chair of the Department of Art, had entries in "The Old English Hexateuch" and "Junius 11," which will appear in The Grove Encyclopedia of Medieval Art. He wrote a commissioned review of "The Old English Heptateuch" and Ælfric's Libellus de Veteri Testamento et Novo. Vol. 1: Introduction and Text. Ed. Richard Marsden Early English Text Society 330 which will appear in "Church History and Religious Culture;" and "Manuscripts, Illuminations and Charters" with Elaine Treharne (Florida State University), which appears in "The Year's Work in Old English Studies, 2007, Old English Newsletter."

Craig Carter, College of Agriculture, will assume the role of president of the American Association of Veterinary Laboratory Diagnosticians.

Stephanie Derifield, College of Agriculture, received the National Award for Communications—Educational Publications, presented by the National Extension Association of Family & Consumer Sciences.

Diana Doggett, College of Agriculture, was named the National Winner of the Florence Hall award and the National Winner of the Community Partnership award by the National Extension Association of Family & Consumer Sciences.

Sara Jenkins, College of Agriculture, was the National Winner of the Greenwood Fellowship and the National Winner in Environmental Education, presented by the National Extension Association of Family & Consumer Sciences.

Janet Kurzynske, College of Agriculture, is principal investigator on a \$218,000 grant from Cooperative State Research Education and Extension for the Children, Youth, and Families Education and Research Network program component, which will provide Web access to research-based, high quality resources, information, and professional development and training opportunities for CYFAR state and community programs for at-risk populations.

Rebecca McCulley, College of Agriculture, is principal investigator on a National Science Foundation three-year \$285,000 grant to study whether expected evolutionary trade-offs in enzyme activities manifest at the level of microbial community function.

Gina C. Noe, College of Agriculture, was named the National Winner in Extension Housing Outreach by the National Extension Association of Family & Consumer Sciences.

Peggy Powell, College of Agriculture, was awarded the National Extension Educator of the Year award presented by the National Extension Association of Family & Consumer Sciences.

Laura Stephenson and Janet Tietyen Mullins, College of Agriculture, received a \$100,000 grant from the Altarum Institute for the LEAP2 curriculum, which is designed to send key intervention messages and to encourage interaction between children and their caregivers to increase at-home offering and consumption of fruits and vegetables.

Ling Yuan, College of Agriculture, received a two-year \$80,000 grant from the Kentucky Science and Technology Company for the development of hyperactive DNA transposases by directed evolution.

Evan Hillebrand, Patterson School of Diplomacy and International Commerce, was selected by the Office of the Director of National Intelligence to participate in a geopolitical gaming exercise in Washington, D.C. in November. With other participants from the U.S. government and academia, he explored the potential response of governments, international institutions, and NGOs to the breakout of a global pandemic.

Thomas Zentall, Department of Psychology, released a study on the gambling habits of pigeons titled, "Maladaptive choice behaviour by pigeons: an animal analogue and possible mechanism for gambling (sub-optimal human decision-making behaviour)" in the "Proceedings of the Royal Society B: Biological Sciences" in October.

Paolo Visonà, adjunct associate professor of art history, was recently awarded a Margo Tytus Visiting Fellowship by the University of Cincinnati Department of Classics for his scholarly research on the coinage of ancient Carthage.

39. Alumni Awards and Achievements

Julian Kaplan, School of Music, was appointed Second Trumpet of the Jacksonville Symphony Orchestra and was runner up for the Associate Principal Trumpet position with the Atlanta Symphony (2010).

Susan Matthews, College of Nursing, represented nurse practitioners at the White House with First Lady Michelle Obama to discuss the Affordable Care Act with more than 5,000 nurse practitioners by conference call.

PR 2

Office of the President
December 7, 2010

Members, Board of Trustees:

PERSONNEL ACTIONS

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

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

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

Action taken: Approved Disapproved Other _____

PRESIDENT
AND
EXECUTIVE VICE PRESIDENT
FOR
FINANCE AND ADMINISTRATION

I. BOARD ACTION

A. RETIREMENT

Executive Vice President for Finance and Administration

Cummings, Laura K., Nurse Clinical III, Human Resources, after 19 years and 4 months of consecutive service under AR 3.1 Section VI.B, effective 1/31/11.

Holland, Ladda, Food Services Worker II, UK Dining Services, Human Resources, after 10 years 3 months of consecutive service under AR 3.1 Section VI.B, effective 11/30/10.

Rodgers, Marilyn J., Operating Room Assistant, Perioperative Services, Human Resources, after 15 years and 5 months of consecutive service under AR 3.1 Section VI.B, effective 1/31/11.

Smith, Sheila A., Staff Support Associate I, College of Social Work, Human Resources, after 10 years and 9 months of consecutive service under AR 3.1 Section VI.B, effective 1/31/11.

Virta, Alan A., Stores Supervisor, UK Supply Center, Human Resources, after 29 years and 11 months of consecutive service under AR 3.1 Section VI.B, effective 11/30/10.

Witt, Patricia A., Respiratory Therapist Sr., Therapeutic Services, Human Resources, after 39 years and 4 months of consecutive service under AR 3.1 Section VI.B, effective 12/31/10.

Zollicoffer, Alice, Research Associate Senior, Martin School of Public Policy & Administration, Human Resources, after 9 years and 6 months of consecutive service under AR 3.1 Section VI.B, effective 1/31/11.

B. EARLY RETIREMENTS

Executive Vice President for Finance and Administration

Johnson, Russell D., Carpenter I, Physical Plant Division, Human Resources, after 31 years and 11 months of consecutive service under AR 3.1 Section VI.A, effective 10/31/10.

Vice President for Facilities Management

Venable, Julia A., Custodial Worker I, Physical Plant Division, after 20 years of consecutive service under AR 3.1 Section VI.A, effective 9/17/10.

Vice President for Budget Operations and Treasurer

Burke, Mary E., Account Clerk Supervisor, Accounts Payable, after 33 years and 3 months of consecutive service under AR 3.1 Section VI.A, effective 1/3/11.

CIO for Information Technology

Farley, Anthony, Data Center Analyst, Information Technology, after 32 years and 6 months of consecutive service under AR 3.1 Section VI.A, effective 1/31/11.

Johnson, Tommy W., Electronic Technician III, Academic Technology Group, after 40 years and 4 months of consecutive service under AR 3.1 Section VI.A, effective 1/7/11.

II. ADMINISTRATIVE ACTION

A. APPOINTMENTS

CIO for Information Technology

Karkelanov, Entcho P., Mobile Workflow Dev II, IT/Enterprise Applications Group, effective 11/1/10.

Menner, Peter S., Mobile Workflow Dev II, IT/Enterprise Applications Group, effective 11/1/10.

B. CHANGES

CIO for Information Technology

Sizemore, Susan, from Programmer Systems Analyst Senior, University Computing Enterprise Systems to EAG Team Leader Member Level II, Enterprise Applications Group, effective 11/1/10.

Welch, James, from Sr. Systems Analyst Programmer, Desktop Technical Services to Information Technology Manager III, Desktop Technical Services, effective 11/1/10.

PROVOST

I. BOARD ACTION

A. ACADEMIC APPOINTMENTS

- Banks, Adam J., College of Arts and Sciences, Associate Professor (with tenure), English, effective 8/16/10.
- Betsky, Aaron A., College of Design, Professor (visiting), Architecture, 7/1/10 through 6/30/11.
- Castillo, Manuel, College of Agriculture, Associate Adjunct Professor, Biosystems and Agricultural Engineering, 9/10/10 through 6/30/11.
- Dhawan, Vikas, College of Medicine, Assistant Professor*, Orthopaedic Surgery, 10/4/10 through 6/30/11.
- Gates, Richard S., College of Agriculture, Adjunct Professor, Biosystems and Agricultural Engineering, 9/10/10 through 6/30/11.
- Hering, Thomas M., College of Medicine, Associate Research Professor, Anatomy and Neurobiology, 9/1/10 through 6/30/11.
- House, Steven A., College of Medicine, Associate Professor (voluntary), Family and Community Medicine, 11/1/10 through 6/30/16.
- Johnson, Todd R., College of Public Health, Professor (with tenure), Biostatistics, effective 10/1/10.
- Minevich, Eugene A., College of Medicine, Professor (voluntary), Surgery, 10/1/10 through 6/30/16.
- Munson, Eric J., College of Pharmacy, Professor (with tenure), Pharmaceutical Sciences, effective 5/17/10.
- Niaz, Qaiser, College of Medicine, Clinical Assistant Professor, Internal Medicine, 1/1/11 through 6/30/11.
- Nicholls, Paul J., College of Medicine, Professor (voluntary), Orthopaedic Surgery, 10/1/10 through 6/30/16.
- Novak, Thomas, College of Engineering, Professor (with tenure), Mining Engineering, and appointed to the Alliance Coal Chair in Mining Engineering, effective 11/1/10.
- Reddy, Pramod P., College of Medicine, Associate Professor (voluntary), Surgery, 10/1/10 through 6/30/16.
- Smith, Mikel D., College of Medicine, Professor (with tenure), Internal Medicine, appointed to the Alberto Mazzoleni MD Professorship in Cardiology, 1/1/11 through 12/31/15.
- Tracy, Timothy S., College of Pharmacy, Professor (with tenure), Pharmaceutical Sciences, effective 8/15/10.
- Tsitsika, Artemis, College of Medicine, Professor (voluntary), Pediatrics, 9/1/10 through 6/30/16.
- Vasconez, Luis O., College of Medicine, Professor (voluntary), Surgery, 11/1/10 through 6/30/16.

*Special Title Series

Ziada, Khaled M., College of Medicine, Associate Professor* (with tenure), Internal Medicine, appointed to the Gill Foundation Professorship in Interventional Cardiology, 7/1/10 through 6/30/13.

B. ADMINISTRATIVE APPOINTMENTS

Barnes, Beth E., College of Communications and Information Studies, Professor* (with tenure), Journalism and Telecommunications, reappointed Director, Journalism and Telecommunications, 7/1/11 through 6/30/15.

Stafford, Laura L., College of Communications and Information Studies, Professor (with tenure), Communication, appointed Chair, Communication, 7/1/11 through 6/30/15.

C. JOINT APPOINTMENTS

Kuperstein, Janice, College of Health Sciences, Associate Professor* (with tenure), Rehabilitation Sciences, joint appointment as Associate Professor* (without tenure), Family and Community Medicine, College of Medicine, effective 11/1/10.

Smyth, Susan S., College of Medicine, Professor (with tenure), Internal Medicine, and joint appointments as Professor (without tenure), Molecular and Biomedical Pharmacology and Professor (without tenure), Physiology, new joint appointment as Professor (without tenure), Behavioral Science, effective 12/1/10.

D. REAPPOINTMENTS

Davis, Burtron H., College of Arts and Sciences, Adjunct Professor, Chemistry, 7/1/10 through 6/30/11.

Holmes, Sharon S., College of Nursing, Associate Adjunct Professor, 7/1/10 through 6/30/11.

Tanney, Joseph D., College of Design, Instructor (visiting), Architecture, reappointed to the John Russell Groves-Kentucky Housing Corporation Research Fund in Affordable Housing Design, 7/1/10 through 6/30/11.

E. PROMOTIONS

Al-Ghananeem, Abeer, College of Pharmacy, from Assistant Professor (part-time), Pharmaceutical Sciences, to Associate Professor (part-time), Pharmaceutical Sciences, 9/1/10 through 6/30/11.

Chung, Misook L., College of Nursing, from Assistant Research Professor, to Associate Research Professor, 9/1/10 through 6/30/11.

Reed, Deborah B., College of Nursing, from Associate Professor (with tenure), and joint appointment as Associate Professor (without tenure), Preventive Medicine and Environmental Health, College of Public Health, to Professor (with tenure), and joint appointment as Professor (without tenure), Preventive Medicine and Environmental Health, College of Public Health, effective 7/1/10.

*Special Title Series

F. CHANGES

- Allen, Timothy S., College of Medicine, from Clinical Associate Professor, Psychiatry, to Associate Professor (part-time), Psychiatry, 1/1/11 through 6/30/11.
- Brown, Desmond O., College of Agriculture, from Associate Professor* (with tenure), Nutrition and Food Science, to Associate Professor* (with tenure), Merchandising, Apparel and Textiles, effective 1/1/11.
- Kim, Sujin, College of Communications and Information Studies, from Associate Professor (with tenure), Library and Information Science, and joint appointment as Associate Professor (without tenure), Pathology and Laboratory Medicine, College of Medicine, to Associate Professor (with tenure), Biostatistics, College of Public Health, and joint appointments as Associate Professor (without tenure), Pathology and Laboratory Medicine, College of Medicine and Associate Professor (without tenure), Library and Information Science, College of Communications and Information Studies, effective 9/1/10.
- Oestreich, Alan E., College of Medicine, from Professor (visiting), Radiology, and joint appointment as Professor (visiting), Pediatrics, to Professor (part-time), Radiology, and joint appointment as Professor (part-time), Pediatrics, 9/1/10 through 6/30/11.
- Shelton, Brent J., College of Medicine, from Professor (with tenure), Internal Medicine, and joint appointment as Professor (without tenure), Biostatistics, College of Public Health, to Professor (with tenure), Biostatistics, College of Public Health, effective 10/1/10.

G. RETIREMENTS

- Bickett, Mary C., College of Agriculture, Program Assistant, Family and Consumer Sciences, after 20 years and 6 months of consecutive service, under AR 3:1, Section VI.B, effective 8/30/10.
- Gwinn, Kora J., College of Pharmacy, Staff Support Associate II, Pharmacy Practice and Science, after 29 years and 3 months of consecutive service, under AR 3:1, Section VI.B, effective 12/31/10.
- Kermode, Richard I., College of Engineering, Professor (with tenure), Chemical and Materials Engineering, after 43 years and 4 months of consecutive service, under AR 3:1, Section VI.B, effective 12/31/10.
- Thrift, Frederick A., College of Agriculture, Professor (with tenure), Animal and Food Sciences, after 43 years and 4 months of consecutive service, under AR 3:1, Section VI.B, effective 12/31/10.
- Veltkamp, Lane J., College of Medicine, Professor* (with tenure), Psychiatry, and joint appointment as Professor* (without tenure), College of Social Work, after 43 years and 10 months of consecutive service, under AR 3:1, Section VI.B, effective 12/31/10.
- Wright, Betty Sue, College of Medicine, Staff Support Associate II, Internal Medicine, after 16 years of consecutive service, and a total of 16 years and 6 months of service, under AR 3:1, Section VI.B, effective 10/29/10.

*Special Title Series

H. EARLY RETIREMENTS

- Berres, Peter N., College of Health Sciences, Student Affairs Director, Health Sciences Student Services, after 26 years and 4 months of consecutive service, under AR 3:1, Section VI.A, effective 1/17/11.
- Collins, Sandra S., College of Agriculture, Laboratory Technician Senior, Veterinary Science, after 40 years and 6 months of consecutive service, under AR 3:1, Section VI.A, effective 1/3/11.
- Davis, Ronald D., College of Agriculture, Heavy Equipment Operator, Central Kentucky Experiment Station, after 34 years and 1 month of consecutive service, under AR 3:1, Section VI.A, effective 1/3/11.
- Grider, Margaret B., Research, Laboratory Technician Senior, Center for Applied Energy Research, after 31 years and 3 months of consecutive service, under AR 3:1, Section VI.A, effective 9/24/10.
- Houglund, Linda D., Student Affairs, Administrative Staff Officer II, Counseling and Testing, after 27 years of consecutive service, under AR 3:1, Section VI.A, effective 12/31/10.
- Jackson, Barbara H., College of Agriculture, Extension County Clerk, Extension Field Programs, after 38 years and 11 months of consecutive service, under AR 3:1, Section VI.A, effective 12/31/10.
- Martin, Betty C., College of Medicine, Medical Records Chart Coordinator Senior, Family Practice, after 34 years and 7 months of consecutive service, under AR 3:1, Section VI.A, effective 12/23/10.
- New, Vonda L., College of Agriculture, Extension County Clerk, Extension Field Programs, after 34 years and 5 months of consecutive service, under AR 3:1, Section VI.A, effective 1/3/11.
- Reid, Danna C., College of Agriculture, Service Laboratory Supervisor, Regulatory Services, after 39 years and 3 months of consecutive service, under AR 3:1, Section VI.A, effective 1/1/11.
- Richardson, Billie J., College of Agriculture, Program Assistant, Family and Consumer Sciences, after 23 years and 9 months of consecutive service, under AR 3:1, Section VI.A, effective 11/12/10.
- Schuster, John, College of Education, Professor (with tenure), Special Education and Rehabilitation Counseling, after 26 years of consecutive service, under AR 3:1, Section VI.A, effective 9/30/10.
- Stanley, Michael W., College of Medicine, Center Administrator III, Family Practice-Hazard, after 25 years and 8 months of consecutive service, under AR 3:1, Section VI.A, effective 9/30/10.
- Turner, Sharon, Research, Staff Support Associate I, Appalachian Center, after 24 years and 7 months of consecutive service, under AR 3:1, Section VI.A, effective 10/1/10.
- White, Linda C., College of Nursing, Student Affairs Coordinator, after 40 years and 4 months of consecutive service, under AR 3:1, Section VI.A, effective 12/10/10.
- Witham, Deborah B., College of Agriculture, Professor* (with tenure), Community and Leadership Development, after 32 years and 5 months of consecutive service, under AR 3:1, Section VI.A, effective 1/31/11.

*Special Title Series

Wood, Melinda M., College of Agriculture, Extension County Clerk, Extension Field Programs, after 17 years and 3 months of consecutive service, under AR 3:1, Section VI.A, effective 10/1/10.

I. POST-RETIREMENT APPOINTMENTS

Berger, Philip K., Graduate School, Professor (part-time), Martin School of Public Policy and Administration, 7/1/10 through 6/30/11.

Davis, Britt E., College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 7/1/10 through 6/30/11.

DeLuca, Patrick P., College of Pharmacy, Professor (part-time), Pharmaceutical Sciences, 9/1/10 through 6/30/11.

Dillon, Oscar W., College of Engineering, Professor (part-time), Mechanical Engineering, 7/1/10 through 6/30/11.

Haley, Boyd, College of Arts and Sciences, Professor (part-time), Chemistry, 7/1/10 through 6/30/11.

Knapp, Charles F., Graduate School, from Professor (part-time), Biomedical Engineering, to Professor (part-time), Biomedical Engineering, College of Engineering, 7/1/10 through 6/30/11.

Phillips, Michael, College of Agriculture, County Extension Agent (part-time), Cooperative Extension Service, 1/10/11 through 1/9/12.

Smith, Michael C., College of Agriculture, County Extension Agent (part-time), Cooperative Extension Service, 1/8/11 through 1/7/12.

Sparrow, Roger, College of Agriculture, Extension District Director of District 4, Cooperative Extension Service, 11/4/10 through 11/3/11.

Sullivan, Nathan R., College of Social Work, Associate Professor (part-time), 8/25/10 through 12/31/10.

Tilghman, Gary, College of Agriculture, County Extension Agent, Cooperative Extension Service, 2/4/11 through 2/3/12.

Wilson, Joseph W., College of Arts and Sciences, Professor (part-time), Chemistry, 8/16/10 through 12/31/10.

Zornes, Suellen, College of Agriculture, County Extension Agent (part-time), Cooperative Extension Service, 1/7/11 through 1/6/12.

J. PHASED RETIREMENT APPOINTMENTS

Getchell, Thomas V., College of Medicine, Professor (with tenure), Physiology, and joint appointment as Professor (without tenure), Surgery, 1/1/11 through 6/30/15.

Ramsay, Robert, College of Business and Economics, Professor (with tenure), Accountancy, 7/1/10 through 6/30/15.

Westin, Richard A., College of Law, Professor (with tenure), 7/1/10 through 6/30/15.

II. ADMINISTRATIVE ACTION

A. ACADEMIC APPOINTMENTS

- Alam, Shumyle, College of Medicine, Assistant Professor (voluntary), Surgery, 10/1/10 through 6/30/16.
- Ali, Syed Z., College of Medicine, Assistant Professor (voluntary), Anesthesiology, 9/1/10 through 6/30/16.
- Alvarez-Llamas, Elia, College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 8/16/10 through 12/31/10.
- Amr, Mostafa A., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 10/1/10 through 6/30/16.
- Ascani, Enrico, College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 10/1/10 through 6/30/16.
- Badgett, James T., College of Medicine, Professor (part-time), Pediatrics, 12/1/10 through 6/30/11.
- Barber, Mary A., College of Medicine, Assistant Professor (voluntary), Psychiatry, 10/1/10 through 6/30/16.
- Bemis, Sean P., College of Arts and Sciences, Assistant Professor, Earth and Environmental Sciences, 8/16/11 through 6/30/13.
- Bennett, Annie F., College of Social Work, Clinical Instructor, 7/1/10 through 6/30/11.
- Bennett, Stephanie L., College of Education, Lecturer, Kinesiology and Health Promotion, 8/16/10 through 5/15/11.
- Bindner, Amy K., College of Medicine, Assistant Professor (voluntary), Pediatrics, 11/1/10 through 6/30/16.
- Blankenship, Clint C., College of Health Sciences, Assistant Professor (temporary), Clinical Sciences, 10/1/10 through 6/30/11.
- Bowman-Stroud, Cynthia A., College of Medicine, Instructor (voluntary), Pediatrics, 9/1/10 through 6/30/16.
- Bradley, Michael, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 8/16/10 through 12/31/10.
- Brockman, Kimberly, College of Education, Instructor (part-time), Educational Leadership Studies, 8/16/10 through 12/31/10.
- Butler, Craig D., College of Medicine, Assistant Professor (voluntary), Radiology, 7/1/10 through 6/30/16.
- Castle, Jason R., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 9/1/10 through 6/30/16.
- Catameo, Nepthalie F., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 11/1/10 through 6/30/16.
- Chapman, Shawn D., College of Law, Instructor (part-time), 8/1/10 through 6/30/11.
- Chatham, Rebecca P., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 11/1/10 through 6/30/16.
- Cobo, Reena, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 8/16/10 through 12/31/10.
- Crowe, Donald V., College of Medicine, Assistant Professor (voluntary), Psychiatry, 10/1/10 through 6/30/16.

- Curd, Philip R., College of Public Health, Assistant Professor (voluntary), Preventive Medicine and Environmental Health, 7/1/10 through 6/30/16.
- Deatherage, Paul, College of Fine Arts, Instructor (part-time), Music, 9/1/10 through 6/30/11.
- DeFoor, William R., College of Medicine, Assistant Professor (voluntary), Surgery, 10/1/10 through 6/30/16.
- Denny, Kevin, College of Business and Economics, Instructor (part-time), Economics, 8/16/10 through 5/15/11.
- Dijeng, Sesame, College of Medicine, Assistant Professor (voluntary), Emergency Medicine, 11/1/10 through 6/30/16.
- Duncan, Robert F., College of Law, Instructor (part-time), 8/15/10 through 12/30/10.
- Edin, Linda, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/10 through 12/31/10.
- Epps, Rebekah B., College of Agriculture, Assistant Professor, Community and Leadership Development, 9/15/10 through 6/30/11.
- Fitzgerald, Jenrose, Undergraduate Studies, Instructor (part-time), Honors Program, 8/16/10 through 12/31/10.
- Foster, Marshall S., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 10/1/10 through 6/30/16.
- Gardner, Melissa E., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 8/15/10 through 6/30/11.
- Goodlander, Jennifer, College of Fine Arts, Assistant Professor, Theatre, 8/16/10 through 6/30/11.
- Gordon, Carl E., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 12/17/09 through 6/30/16.
- Gottschalk, Ginny L., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 11/1/10 through 6/30/16.
- Green, Thomas L., College of Medicine, Assistant Professor (voluntary), Obstetrics and Gynecology, 10/1/10 through 6/30/16.
- Guzman, Marcelo I., College of Arts and Sciences, Assistant Professor, Chemistry, 8/16/10 through 6/30/12.
- Hall, Russell, College of Education, Instructor (part-time), Educational, School, and Counseling Psychology, 8/16/10 through 12/31/10.
- Herron, Elizabeth, College of Fine Arts, Instructor (part-time), Theatre, 9/1/10 through 6/30/11.
- Higgins, Bethany, College of Medicine, Clinical Assistant Professor, Psychiatry, 1/1/11 through 6/30/11.
- Hruby, Alison, College of Education, Instructor (part-time), Curriculum and Instruction, 9/1/10 through 12/31/11.
- Human, James, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/10 through 6/30/11.
- Hunt, G. J., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 9/1/10 through 6/30/16.
- Isaacs, Malinda S., College of Medicine, Assistant Professor (voluntary), Psychiatry, 10/1/10 through 6/30/16.

- Jennings, Michael R., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 9/1/10 through 6/30/16.
- Jeong, Hanbeom, College of Arts and Sciences, Instructor (part-time), Political Science, 8/16/10 through 12/31/10.
- Ke, Yanyu, College of Arts and Sciences, Instructor (part-time), Political Science, 8/16/10 through 12/31/10.
- Keys, Steven E., College of Medicine, Assistant Professor (voluntary), Pediatrics, 9/1/10 through 6/30/16.
- Khalaf, Moh'd W., College of Dentistry, Assistant Professor*, Oral Health Practice, 9/1/10 through 6/30/11.
- Kiser, Amelia R., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 11/1/10 through 6/30/16.
- Knight, Charles D., College of Agriculture, Instructor (part-time), Community and Leadership Development, 8/16/10 through 12/31/10.
- Knight, Victoria, College of Education, Assistant Professor, Special Education and Rehabilitation Counseling, 8/16/10 through 5/15/11.
- Leachman, Mackenzie R., College of Education, Instructor (part-time), Educational, School, and Counseling Psychology, 8/16/10 through 6/30/11.
- Linnen, Catherine R., College of Arts and Sciences, Assistant Professor, Biology, 8/16/11 through 6/30/13.
- Martin, Steven A., College of Arts and Sciences, Instructor (part-time), Political Science, 8/16/10 through 12/31/10.
- McSwain, Nan, College of Fine Arts, Lecturer, Music, 9/2/10 through 6/30/11.
- Miracle, Sally, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/10 through 12/31/10.
- Mittiga, Matthew R., College of Medicine, Assistant Professor (voluntary), Pediatrics, 11/1/10 through 6/30/16.
- Moore, Jennifer H., College of Law, Instructor (part-time), 10/1/10 through 6/30/11.
- Mosher, Timothy C., College of Engineering, Instructor (part-time), Electrical and Computer Engineering, 8/16/10 through 12/31/10.
- Mueller, Marguerite E., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 10/1/10 through 6/30/16.
- Mustafa, Nowwar G., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 11/1/10 through 6/30/16.
- Musulini, Mike, College of Arts and Sciences, Instructor (part-time), Political Science, 8/16/10 through 12/31/10.
- Noh, Paul H., College of Medicine, Assistant Professor (voluntary), Surgery, 10/1/10 through 6/30/16.
- Pearson, Cheryll A., College of Education, Instructor (part-time), Educational, School, and Counseling Psychology, 8/16/10 through 12/31/10.
- Perkins, Jimmie S., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 9/1/10 through 6/30/16.
- Perry, Kyle A., College of Engineering, Assistant Professor, Mining Engineering, 8/15/10 through 6/30/12.
- Pradhan, Soma, College of Medicine, Instructor (voluntary), Obstetrics and Gynecology, 9/1/10 through 6/30/16.

*Special Title Series

- Quintero, Margaret, College of Education, Instructor (part-time), Educational Leadership Studies, 8/16/10 through 12/31/10.
- Richardson, Kathleen E., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 8/16/10 through 5/15/11.
- Romani, Jeffery A., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 8/28/09 through 6/30/16.
- Sanders, John A., College of Medicine, Assistant Professor (voluntary), Emergency Medicine, 9/1/10 through 6/30/16.
- Sands, L. F., College of Public Health, Assistant Research Professor, Epidemiology, 5/1/10 through 6/30/10.
- Schofield, Matthew R., College of Arts and Sciences, Assistant Professor, Statistics, 8/16/10 through 6/30/12.
- Shepherd, Katherine A., College of Law, Instructor (part-time), 10/1/10 through 6/30/11.
- Slavova, Svetla S., College of Public Health, Assistant Research Professor, Biostatistics, 9/1/10 through 6/30/11.
- Stanko, Shelley B., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 9/1/10 through 6/30/16.
- Steenken, Beau B., College of Law, Librarian IV, 9/15/10 through 6/30/11.
- Suryadevara, Sree, College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 10/1/10 through 6/30/16.
- Szabo, Flora K., College of Medicine, Assistant Professor (voluntary), Pediatrics, 9/1/10 through 6/30/16.
- Thomas, Cheryl L., College of Medicine, Assistant Professor (part-time), Emergency Medicine, 9/1/10 through 6/30/11.
- Thompson, Jason L., College of Fine Arts, Instructor (part-time), Theatre, 8/1/10 through 6/30/11.
- Tracy, Anna Marie, College of Education, Instructor (part-time), Educational Leadership Studies, 8/16/10 through 12/31/10.
- Ortiz Vargas, Oscar O., College of Medicine, Assistant Professor (voluntary), Physical Medicine and Rehabilitation, 9/1/10 through 6/30/16.
- Waters, Shannon D., College of Education, Instructor (part-time), Educational, School, and Counseling Psychology, 8/16/10 through 6/30/11.
- Westerfield, Traci J., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 9/1/10 through 6/30/16.
- Wilt, Rebecca, College of Fine Arts, Instructor (part-time), Music, 9/1/10 through 6/30/11.
- Yeary, Katherine, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 8/16/10 through 12/31/10.
- Yost, Timothy L., College of Health Sciences, Assistant Professor (voluntary), Rehabilitation Sciences, 10/1/10 through 6/30/16.
- Zepeda, Susan G., College of Public Health, Assistant Professor (voluntary), Health Services Management, 7/1/10 through 6/30/16.
- Zhang, Zhuo, College of Public Health, Assistant Professor, Preventive Medicine and Environmental Health, 8/1/10 through 6/30/11.
- Zupan, Sandra, College of Arts and Sciences, Lecturer, Geography, 8/16/10 through 6/30/12.

B. ADMINISTRATIVE APPOINTMENTS

- Pearce, Kevin A., College of Medicine, Professor* (with tenure), Family and Community Medicine, and joint appointments as Professor* (without tenure), Preventive Medicine and Environmental Health, College of Public Health and Professor* (without tenure), Epidemiology, College of Public Health, appointed Interim Chair, Family and Community Medicine, 1/1/11 through 12/31/11.
- Stout, Barbara, College of Medicine, Technical Project Specialist III, Pediatrics, effective 10/15/10.

C. REAPPOINTMENTS

- Abdon, Brandon, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/10 through 6/30/11.
- Beach, David, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/10 through 12/31/10.
- Beardsley, John, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/10 through 12/31/10.
- Bell, Robert J., College of Education, Instructor (part-time), Kinesiology and Health Promotion, 8/16/10 through 12/31/10.
- Berres, Peter N., College of Arts and Sciences, Adjunct Instructor, Political Science, 8/16/10 through 12/31/10.
- Bonzani, Renee M., College of Arts and Sciences, Assistant Adjunct Professor, Anthropology, 8/16/10 through 12/31/10.
- Bowersox, John R., College of Arts and Sciences, Adjunct Instructor, Earth and Environmental Sciences, 7/1/10 through 12/31/10.
- Buchanan, Margo, College of Fine Arts, Instructor (part-time), Music, 9/1/10 through 6/30/11.
- Carter, Janis, College of Education, Assistant Research Professor, Curriculum and Instruction, 7/1/10 through 6/30/11.
- Chandler, Wanda, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/10 through 12/31/10.
- Clarke, Duncan E., College of Engineering, Assistant Adjunct Professor, Computer Science, 7/1/10 through 6/30/13.
- Cook, Elaine H., College of Fine Arts, Instructor (part-time), Music, 9/1/10 through 6/30/11.
- Cowen, Joshua M., Graduate School, Assistant Professor, Martin School of Public Policy and Administration, 7/1/10 through 6/30/11.
- Crawford, Charles W., College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/10 through 6/30/11.
- Daniel, Lois, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/10 through 6/30/11.
- Dove, Ed, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/10 through 12/31/10.
- Ferraris, Suellen P., College of Medicine, Assistant Professor (part-time), Surgery, 7/1/10 through 6/30/11.

*Special Title Series

- Galloway, Amy, College of Education, Instructor (part-time), Educational Leadership Studies, 8/16/10 through 12/31/10.
- Gassaway, Linda, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/10 through 12/31/10.
- Glixon, Beth, College of Fine Arts, Instructor (part-time), Music, 9/1/10 through 6/30/11.
- Guarnieri, Karen, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 8/16/10 through 12/31/10.
- Hall, Meada, College of Education, Adjunct Instructor, Special Education and Rehabilitation Counseling, 8/16/10 through 12/31/10.
- Haynes, Diane, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/10 through 12/31/10.
- Henkel, Georgia A., College of Fine Arts, Instructor (part-time), Art, 8/1/10 through 6/30/11.
- Hensley, Hunter C., College of Fine Arts, Instructor (part-time), Music, 10/1/10 through 6/30/11.
- Holdren, Michael R., College of Fine Arts, Instructor (part-time), Art, 8/1/10 through 6/30/11.
- Ivanov, Bobi, College of Communications and Information Studies, Assistant Professor, Journalism and Telecommunications, 7/1/10 through 6/30/11.
- Kanungo, Shibani, College of Medicine, Assistant Professor*, Pediatrics, 7/1/10 through 9/30/10.
- Karp, Margaret B., College of Fine Arts, Instructor (part-time), Music, 9/1/10 through 6/30/11.
- Kim, Doo Oak, Graduate School, Lecturer, Martin School of Public Policy and Administration, 7/1/10 through 6/30/11.
- Krampe, Kristina, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/10 through 12/31/10.
- Lattin, Anne L., College of Health Sciences, Clinical Instructor, Rehabilitation Sciences, 7/1/10 through 6/30/11.
- Leal, Cesar A., College of Fine Arts, Instructor (part-time), Music, 8/1/10 through 6/30/11.
- Lynch, John, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/10 through 6/30/11.
- McFarland, Martha, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 8/16/10 through 12/31/10.
- Olsen, Karl P., College of Fine Arts, Instructor (part-time), Music, 10/1/10 through 6/30/11.
- Oluwole, Adetokunbo B., Graduate School, Assistant Professor, Martin School of Public Policy and Administration, and joint appointment as Assistant Professor, Health Services Management, College of Public Health, 7/1/10 through 6/30/11.
- Osland, Lisa, College of Fine Arts, Instructor (part-time), Music, 7/1/10 through 6/30/11.
- Petrovsky, Nicolai, Graduate School, Assistant Professor, Martin School of Public Policy and Administration, 7/1/10 through 6/30/11.
- Picklesimer, Rita, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 8/16/10 through 12/31/10.
- Pita Parra, Laura M., College of Fine Arts, Instructor (part-time), Music, 9/1/10 through 6/30/11.

*Special Title Series

- Prout, Susan M., College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/10 through 12/31/10.
- Royal, Kenneth, College of Education, Instructor (part-time), Educational Leadership Studies, 8/16/10 through 12/31/10.
- Sageser, Vicki, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 8/16/10 through 12/31/10.
- Satterfield, Elizabeth, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 8/16/10 through 12/31/10.
- Simms, Lynne D., College of Medicine, Assistant Professor (part-time), Obstetrics and Gynecology, 7/1/10 through 6/30/11.
- Stansbury, Joan T., College of Fine Arts, Instructor (part-time), Music, 9/1/10 through 6/30/11.
- Stephenson, Rebecca J., College of Fine Arts, Instructor (part-time), Music, 9/1/10 through 6/30/11.
- Strother, Eric, College of Fine Arts, Instructor (part-time), Music, 9/1/10 through 6/30/11.
- Swan, Marilyn R., College of Fine Arts, Instructor (part-time), Art, 8/1/10 through 6/30/11.
- Tanney, Joseph D., College of Design, Instructor (visiting), Architecture, 7/1/10 through 6/30/11.
- Walker, Erin F., College of Fine Arts, Instructor (part-time), Music, 9/1/10 through 6/30/11.
- Wilson, Virginia C., Graduate School, Assistant Adjunct Professor, Martin School of Public Policy and Administration, 7/1/10 through 6/30/11.
- Wright, Charmaine, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/10 through 12/31/10.

D. PROMOTIONS WITHOUT TENURE

- Lockwood, Sean M., College of Medicine, from Instructor (part-time), Internal Medicine, to Clinical Assistant Professor, Internal Medicine, 7/1/10 through 6/30/11.

E. CHANGES

- Basaran, Burak, College of Engineering, from Instructor (part-time), Mechanical Engineering, to Adjunct Instructor, Mechanical Engineering, 8/16/10 through 12/31/10.
- Harris, Jeffrey L., College of Arts and Sciences, from Instructor (part-time), Chemistry, to Instructor (visiting), Chemistry, 8/16/10 through 6/30/11.
- Hennings Yeomans, Dieter, College of Fine Arts, from Instructor (part-time), Music, to Lecturer, Music, 8/1/10 through 6/30/11.
- Holmes, Sharon, from Hospital, Children's Hospital/Adult Psyc Services Director, Children's Hospital, to Nursing Program Director, College of Nursing, effective 10/24/10.
- Huskisson, Christine M., College of Fine Arts, from Adjunct Instructor, Art, 8/1/10 through 6/30/13, to Instructor (part-time), Art, 8/1/10 through 6/30/11.
- Kinnaird, Sally W., College of Nursing, from Instructor (part-time), to Adjunct Instructor, 7/1/10 through 6/30/11.

- Melville, Sonya C., College of Medicine, from Clinical Assistant Professor, Emergency Medicine, to Assistant Professor (part-time), Emergency Medicine, 11/1/10 through 6/30/11.
- Mirsky, Ellie A., College of Arts and Sciences, from Instructor (part-time), Modern and Classical Languages, Literatures, and Cultures, to Instructor (temporary), Modern and Classical Languages, Literatures, and Cultures, 8/16/10 through 12/31/10.
- Petrea, Rodica E., College of Medicine, Clinical Assistant Professor, Neurology, from 10/1/10 through 6/30/11, to 11/8/10 through 6/30/11.
- Powell, David K., Graduate School, from Assistant Adjunct Professor, Biomedical Engineering, to Assistant Adjunct Professor, Biomedical Engineering, College of Engineering, 7/1/10 through 6/30/11.
- Ritchey, Edwin L., College of Agriculture, Assistant Extension Professor, Plant and Soil Sciences, from 9/1/10 through 6/30/11, to 10/1/10 through 6/30/11.
- Schadler, Aric, College of Arts and Sciences, from Adjunct Instructor, Statistics, to Assistant Research Professor, Statistics, 7/1/10 through 6/30/11.
- Schwartzberg, Daniel G., College of Medicine, from Assistant Professor (visiting), Radiology, to Assistant Professor (part-time), Radiology, 9/1/10 through 6/30/11.
- Southwell, Candice P., College of Social Work, from Assistant Professor, to Instructor, 7/1/10 through 6/30/11.
- Strinko, Stefanie A., College of Medicine, from Information Technology Trainer, Pediatrics, to Technical Project Specialist III, Pediatrics, effective 9/13/10.
- Swanson, Jason R., College of Agriculture, from Assistant Professor, Nutrition and Food Science, to Assistant Professor, Merchandising, Apparel and Textiles, 1/1/11 through 6/30/11.
- Williams, Cassandra R., College of Education, from Lecturer, Educational Leadership Studies, to Lecturer, Curriculum and Instruction, 8/16/10 through 6/30/11.
- Wright, William F., College of Medicine, Clinical Assistant Professor, Internal Medicine, from 9/1/10 through 6/30/11, to 9/10/10 through 6/30/11.

F. TERMINAL REAPPOINTMENTS

- D'Orazio, Sarah E., College of Medicine, Assistant Professor, Microbiology, Immunology and Molecular Genetics, 10/1/10 through 9/30/11.
- Harden, Karon K., College of Arts and Sciences, Lecturer, English, 7/1/10 through 6/30/11.
- Modenbach, Jeffrey C., College of Arts and Sciences, Lecturer, Statistics, 7/1/10 through 6/30/11.
- Sands, L. F., College of Public Health, Assistant Research Professor, Epidemiology, 7/1/10 through 6/30/11.
- Sumandea, C. Amelia, College of Medicine, Assistant Research Professor, Physiology, 12/1/09 through 11/30/10.

G. LEAVES OF ABSENCE

- Akins, Chana, College of Arts and Sciences, Associate Professor (with tenure), Psychology, Sabbatical leave at two-thirds salary, 7/1/11 through 6/30/12.

- Bagby, Ihsan, College of Arts and Sciences, Associate Professor (with tenure), Modern and Classical Languages, Literatures, and Cultures, Sabbatical leave at two-thirds salary, 7/1/11 through 6/30/12.
- Biglieri, Anibal, College of Arts and Sciences, Professor (with tenure), Hispanic Studies, Sabbatical leave at two-thirds salary, 7/1/11 through 6/30/12.
- Billings, Dwight, College of Arts and Sciences, Professor (with tenure), Sociology, Sabbatical leave at half salary, 7/1/11 through 12/31/11.
- Brennan, James, College of Arts and Sciences, Professor (with tenure), Mathematics, Sabbatical leave at full salary, 7/1/11 through 12/31/11.
- Brown, Desmond O., College of Agriculture, Associate Professor* (with tenure), Nutrition and Food Science, to rescind Sabbatical leave at full salary, 8/15/10 through 12/31/10.
- Chassen-Lopez, Francie, College of Arts and Sciences, Professor (with tenure), History, Sabbatical leave at full salary, 1/1/12 through 6/30/12.
- Delong, Lance, College of Arts and Sciences, Professor (with tenure), Physics and Astronomy, Sabbatical leave at full salary, 1/1/12 through 6/30/12.
- Eller, Ronald, College of Arts and Sciences, Professor (with tenure), History, Sabbatical leave at full salary, 1/1/12 through 6/30/12.
- Enochs, Edgar, College of Arts and Sciences, Professor (with tenure), Mathematics, Sabbatical leave at full salary, 7/1/11 through 12/31/11.
- Foreman, Walter, College of Arts and Sciences, Associate Professor (with tenure), English, Sabbatical leave at two-thirds salary, 7/1/11 through 6/30/12.
- Giancola, Peter, College of Arts and Sciences, Professor (with tenure), Psychology, Sabbatical leave at full salary, 7/1/11 through 12/31/11.
- Golding, Jonathan, College of Arts and Sciences, Professor (with tenure), Psychology, Sabbatical leave at full salary, 1/1/12 through 6/30/12.
- Gross, Donald, College of Arts and Sciences, Professor (with tenure), Political Science, Sabbatical leave at full salary, 1/1/12 through 6/30/12.
- Harris, Lawrence, College of Arts and Sciences, Professor (with tenure), Mathematics, Sabbatical leave at full salary, 1/1/12 through 6/30/12.
- Harrison, Douglas, College of Arts and Sciences, Associate Professor (with tenure), Biology, Sabbatical leave at full salary, 7/1/11 through 12/31/11.
- Herzog, Hillary, College of Arts and Sciences, Associate Professor (with tenure), Modern and Classical Languages, Literatures, and Cultures, Sabbatical leave at full salary, 1/1/12 through 6/30/12.
- Kim, Sujin, College of Public Health, Associate Professor (with tenure), Biostatistics, and joint appointments as Associate Professor (without tenure), Pathology and Laboratory Medicine, College of Medicine and Associate Professor (without tenure), Library and Information Science, College of Communications and Information Studies, Sabbatical leave at half salary, 1/1/11 through 6/30/11.
- Leep, David, College of Arts and Sciences, Professor (with tenure), Mathematics, Sabbatical leave at full salary, 1/1/12 through 6/30/12.
- Lewis, John, College of Arts and Sciences, Professor (with tenure), Mathematics, Sabbatical leave at half salary, 7/1/11 through 12/31/11.
- Li, Bing-An, College of Arts and Sciences, Professor (with tenure), Physics and Astronomy, Sabbatical leave at full salary, 7/1/11 through 12/31/11.

*Special Title Series

- Lorch, Elizabeth, College of Arts and Sciences, Professor (with tenure), Psychology, Sabbatical leave at two-thirds salary, 7/1/11 through 6/30/12.
- Lorch, Robert, College of Arts and Sciences, Professor (with tenure), Psychology, Sabbatical leave at two-thirds salary, 7/1/11 through 6/30/12.
- Ruder, Cynthia, College of Arts and Sciences, Associate Professor (with tenure), Modern and Classical Languages, Literatures, and Cultures, Sabbatical leave at full salary, 1/1/12 through 6/30/12.
- Shen, Zhongwei, College of Arts and Sciences, Professor (with tenure), Mathematics, Sabbatical leave at full salary, 7/1/11 through 12/31/11.
- Superson, Anita, College of Arts and Sciences, Professor (with tenure), Philosophy, Sabbatical leave at half salary, 7/1/11 through 12/31/11.

H. RESIGNATIONS

- Alegria, Jorge R., College of Medicine, Clinical Assistant Professor, Internal Medicine, and joint appointment as Clinical Assistant Professor, Pediatrics, from effective 9/30/10, to effective 10/10/10.
- Anderson, Terry, College of Communications and Information Studies, Lecturer, Journalism and Telecommunications, effective 12/31/10.
- Armitstead, John A., College of Pharmacy, Clinical Associate Professor, Pharmacy Practice and Science, effective 10/6/10.
- Conigliaro, Joseph, College of Medicine, Professor (with tenure), Internal Medicine, and joint appointment as Professor (without tenure), Health Services Management, College of Health Sciences, effective 12/31/10.
- Jana, Suman, College of Medicine, Clinical Associate Professor, Internal Medicine, effective 10/31/10.
- Kanungo, Shibani, College of Medicine, Assistant Professor*, Pediatrics, and joint appointment as Assistant Professor*, Health Behavior, Health Sciences, effective 9/21/10.
- Mohan, Royce, College of Medicine, Associate Professor (with tenure), Ophthalmology and Visual Sciences, effective 9/24/10.
- Murphy, Stephanie E., College of Medicine, Clinical Assistant Professor, Internal Medicine, effective 2/28/11.
- Novak, Karen F., College of Dentistry, Professor (with tenure), Oral Health Practice, effective 11/1/10.
- Rankin, Caroline T., College of Communications and Information Studies, Assistant Professor, Communication, effective 6/30/10.
- Steinmetz, David R., College of Fine Arts, Assistant Professor, Theatre, effective 8/31/10.

*Special Title Series

EXECUTIVE VICE PRESIDENT FOR HEALTH AFFAIRS

I. BOARD ACTION

A. RETIREMENTS

- Bibby, Marsha G., Clinical Systems Coordinator, after 27 years and 04 months of consecutive service, under AR 3:1, Section VI.A., effective 09/24/10
- Cloyd, Gerri L., Endoscopy Equipment Specialist, after 25 years and 06 months of consecutive service, under AR 3:1, Section VI.A., effective 11/05/10
- Bumpase, Dale T., Customer Access Assistant, after 26 years and 10 months of consecutive service, under AR 3:1 Section VI.A., effective 11/06/10
- McCoun, Patricia W., Nurse Clinical, after 20 years and 04 months of consecutive service, under AR 3:1 Section VI.A., effective 12/13/10
- Wallen, Joyce A., Audiologist, after 29 years and 10 months of consecutive service, under AR 3:1 Section VI.A., effective 01/03/11
- Crabtree, Robert D., Social Worker Senior, after 18 years and 07 months of consecutive service, under AR 3:1 Section VI.A, effective 01/04/11
- Morton, Jewell E., Materials Management Technician, after 38 years of consecutive service, under AR 3:1 Section VI.A, effective 01/07/11
- Mitchell, Sonia P., Financial Counselor, after 23 years and 09 months of consecutive service, under AR 3:1Section VI.A, effective 01/07/11
- Pope, Mary D., Nursing Care Technician, after 2 years and 09 months of consecutive service, under AR 3:1 Section VI.B, effective 08/05/10
- Beckham, Martha L., Financial Counselor, after 15 years and 02 months of consecutive service, under AR 3:1 Section VI.B, effective 01/03/11
- Howell, Jane T., QM/Performance Improvement Specialist, after 30 years and 02 months of consecutive service, effective 01/04/11

II. ADMINISTRATIVE ACTION

A. ADMINISTRATIVE APPOINTMENTS

- Flowers, Melody, University Hospital, Healthcare Planning Manager, Fiscal Planning and Analysis/UKHC, effective 10/04/10

PR 3

Office of the President
December 7, 2010

Members, Board of Trustees:

NAMING OF UNIVERSITY PROPERTY

Recommendation: that the Board of Trustees approve naming the UK College of Agriculture farm in Woodford County as the C. Oran Little Research Center.

Background: The 1,500 acre farm in Woodford County was received by the University of Kentucky in 1991. It had long been known as Pin Oak Farm; however, Mrs. Josephine Abercrombie moved that name, along with her equine operations and residence, west on route 60 a few short years prior to the University's state-funded purchase of the land.

Near the conclusion of Dean Charles Barnhart's term, the Coldstream Farm in Fayette County was repurposed by the University of Kentucky to become the University Research Campus. Coldstream had long been the primary location for research on animal husbandry in the College of Agriculture. Charles Oran Little, himself a nationally distinguished animal nutrition researcher, became Dean of the College in 1988. Early in his administration he established the replacement of Coldstream Farm and the development of a worthy successor to be among the highest priorities for his term in office. His stated goal was to develop a cutting-edge research and education facility that made possible programs encompassing, but reaching far beyond, traditional production agriculture studies.

Dean Little led the successful efforts to convince decision-makers and the general public of the need and tremendous opportunity for a new research farm. He united the statewide agricultural leadership behind this initiative. When the Pin Oak Farm became available, the Legislature appropriated funding to first acquire the farm property, and soon after, to replace the aging farm structures with modern research buildings. Throughout his 12-year term, Dean Little was fully engaged in the planning, design and development of the new research farm. When he completed his term at the end of 2000, the farm at Woodford County could reasonably claim to be among the best, most sophisticated facilities of its kind in the world.

The farm's primary mission is research on food animal health, nutrition, reproduction and management. During its still relatively short history, this research has enhanced our comprehension of animal physiology while spinning off significant management innovations for producers. The farm includes research facilities for beef cattle, swine, and small ruminants.

Some horse research is also conducted at this location. The intensive beef research center offers some of the best facilities anywhere. The farm's impact is also notable on issues of environmental quality, particularly the influence of animal agriculture on water quality.

More than a research center, the Woodford County farm is an invaluable asset for the teaching and extension missions of the College. Hundreds of undergraduate and graduate students have relied on the farm – through formal and informal teaching, internships, employment, and student research projects – to gain the indispensable hands-on experience that is so much a part of agricultural education. Farmers from every part of Kentucky and many other states have attended the frequent field days, demonstrations, and other extension events that are scheduled at the farm throughout the year.

The naming of this valuable and highly visible University of Kentucky research and education center in honor of C. Oran Little is clearly appropriate and much deserved. Dean Little's distinction as an animal scientist, his achievements as dean and as a preeminent leader of Kentucky agriculture, and, most important, his dedication to and remarkable success in making the Woodford County farm a world-class research and education facility all strongly argue in favor of this honor.

The Advisory Committee on Naming University Property has reviewed the request and found it to be in compliance with university policy AR 9:5 and recommends approval of this name designation.

Action taken: Approved Disapproved Other _____

Office of the President
December 7, 2010

Members, Board of Trustees:

APPROVAL OF AN EXCEPTION TO KENTUCKY STATUTE

Recommendation: that the Board of Trustees approve an exception to Kentucky Revised Statutes 164.131(7), under Governing Regulation I.E.1 and Kentucky Revised Statutes 164.367, upon recommendation of President Lee Todd and as outlined in the attached Recommendation of the University Ethics Committee.

Background: The UK Arts in HealthCare Program will provide local, national, and international art throughout the new Chandler hospitals and clinics. The program is proposing to contract to purchase an original piece of art from UK College of Fine Arts, Department of Art, faculty Arturo Sandoval, who is one of Kentucky's most original, influential, and significant artists and whose work is in the collections of the New York City Museum of Modern Art's Architecture and Design Collection, as well as galleries and private collections throughout the United States and the world.

KRS 164.131(7) prohibits an employee from having an interest in a contract with the University, unless approved by the Board. KRS 164.367 allows the University to establish a procedure whereby the Board may approve an employee having an interest in a contract with the University. Governing Regulation I.D.2.1 provides that procedure. Pursuant to the procedure, the Ethics Committee evaluates five criteria and makes a recommendation to the President. After evaluating the Ethics Committee's recommendation, the President may make a recommendation that the Board approve the relationship.

In reviewing the facts in accordance with the five criteria from GR I.D.2.1, the Ethics Committee has determined that:

- (i) Commissioning a work by probably the most renowned artist at the University and a native Kentuckian clearly fits the concept of being in the best interest of the University.
- (ii) Since the artists initially selected by the Arts in HealthCare Program staff were unaware that their names were submitted, and since Professor Sandoval has no influence or control over the decision makers, there was sufficient separation that no conflict of interest exists.

(iii) This purchase of artwork by the University is not subject to KRS Chapter 45A, the Kentucky Model Procurement Code. This commissioned work is a “best value” because the purchase and price were determined in consultation with the Arts in HealthCare Committee and the UK Arts in HealthCare staff. The negotiated price agreed to by Professor Sandoval was a substantial discount because the client was UK.

(iv) Since Department of Art Chair Ben Withers will approve and monitor a plan as to when Professor Sandoval will create this piece, there will be compliance with the University’s Conflict of Commitment regulation and the Department of Art’s guidelines.

(v) Through a plan of six efforts, the Ethics Committee concludes that there is sufficient and full disclose of Professor Sandoval’s interest in this contract.

President Todd accepted the Committee's recommendations and recommends that the Board approve Professor Sandoval’s interest in the contract with the University.

The attached opinion of the Ethics Committee fully discloses the nature of the conflict of interest and the reasons that the Board should take this action.

Action taken: Approved Disapproved Other _____

November 16, 2010

MEMORANDUM

TO: Lee T. Todd, Jr., President

FROM: T. Lynn Williamson, University Ethics Committee, Chair

RE: RECOMMENDATION

FACTS:

The UK Arts in HealthCare Program, an initiative of the new UK Chandler Hospital, will provide multiple forms of art throughout the new UK hospitals and clinics. The program, made possible entirely through private funds, will highlight local, national and international artists. Dr. Michael Karpf, Executive Vice President for Health Affairs, has stated: "The arts enhance the healing environment, but they also invite people to visit the hospital when they are well. If patients and families are familiar with the hospital, they will feel more comfortable in a time of need."

As a part of this program, the UK Arts in HealthCare Program is proposing to contract to purchase an original piece of art from UK College of Fine Arts, Department of Art, faculty Arturo Sandoval. Professor Sandoval is a fiber artist whose experimental techniques and expressive interpretations have earned him an international reputation. Professor Sandoval is one of Kentucky's most original, influential and significant artists. His extensive collection of artwork is in the collections of the New York City Museum of Modern Art's Architecture and Design Collection, as well as galleries and private collections throughout the United States and the world.

The UK Arts in HealthCare Committee, a volunteer community advisory council appointed by Dr. Karpf and composed of faculty, community leaders and leading local art collectors, has the mission of selecting the art work for the new Chandler Hospital. Upon recommendation of the Committee, the UK Arts in HealthCare Program is proposing to contract with Cerlan Gallery for a commissioned, original work of art, based on a preliminary design submitted by Professor Sandoval, for

the First Floor Surgical Waiting Area of the new Hospital. The payment to Cerlan Gallery would be \$12,000. The price was determined in consultation with the UK Arts in HealthCare Committee.

APPLICABLE REGULATIONS:

Governing Regulation I.D.2.(I) Financial Advantage

“Members of the University community must exhibit personal integrity, honesty and responsibility in all actions. Official position or office shall not be used to obtain financial gain or benefits for oneself or members of one’s family or business associates. Any action that creates the appearance of impropriety should be avoided. Except as specifically approved by the Board, purchases and *contracts shall not be made with an employee of the University of Kentucky for any item of supply, equipment, or service, nor may an employee have any interest, directly or indirectly, in any purchase made by the University of Kentucky...*”

Further, at the end of “Financial Advantage,” there is a section whereby an exception for an unusual case concerning financial interest may be approved by the Board of Trustees. The language notes that one seeking approval of an exception “under this section shall first make an application to the University Ethics Committee by submitting in writing a full disclosure of all aspects of his or her relationship with the contracting company or business. The Ethics Committee shall make a recommendation to the President, who shall forward to the Board the Committee’s recommendation together with his or her recommendation.”

The GR’s language permitting the exception continues, “In recommending approval of a contractual relationship, the Committee shall determine that:

- (i) the contractual relationship is in the best interest of the University;
- (ii) the employee has taken whatever actions are necessary to avoid any conflict of interest or any appearance of a conflict of interest;
- (iii) if the conflict is subject to the provision of KRS Chapter 45A, the employee’s contract shall be the lowest price bid or otherwise provides the best value to the University;
- (iv) the employee’s interest in the contract does not present a conflict with the employee performing his or her job; and,
- (v) the nature of the contract and the nature of the employee’s interest in the contract or business shall be fully disclosed to the University community by as broad communications as feasibly possible.

Action taken by the Board shall be in open session, by affirmative vote. The action item shall fully disclose the nature of the conflict, and the reasons for the action.”

Governing Regulation I. E.

E. Kentucky Ethics Statutes

1. Unless specifically approved by the Board, no employee of the University shall be directly or indirectly interested in any contract with the University for the sale of property, materials, supplies, equipment, or services, with the exception of compensation to the two (2) faculty members and the one (1) staff employee who are members of the Board of Trustees. [KRS 164.131(7)]

DISCUSSION:

The language in the University's Governing Regulation I.D.2.I. basically parallels the language in Kentucky Revised Statutes, KRS Chapter 164.131(7).

Governing Regulation I.D.2 (I) begins by stating that all University Members are held to the standard of exhibiting "... personal integrity, honesty and responsibility...." It provides that a University member may not use one's "official position" to "obtain financial gain or benefits for oneself or members of one's family...." Further, this states, "Except as specifically approved by the Board, purchases and contracts shall not be made with an employee of the University of Kentucky for any item of supply, equipment, or service, nor may an employee have any interest, directly or indirectly, in any purchase made by the University...." The KRS statute applies to "employees" whereby an employee might contract to sell and the University might contract to purchase property, material, supplies, or services. The statute even enumerates an exception for employment contracts (sic) by the employee members of the Board (faculty and staff).

Per the facts noted above, although the UK Art in HealthCare Program is technically contracting with Cerlan Gallery, the contract is for a University employee to create a piece of art for the University. If the Cerlan Gallery already owned a piece of art of a University employee, and the sale from the Gallery to the University proceeded per University Purchasing Regulations and in compliance with KRS Chapter 45A, there might be a debate as to whether the facts present a violation of the noted Regulations. Since the contract is a commission for a specific artist (University employee), the contract falls under the above noted regulations.

The second half of GR I.D.2.(I) provides a procedure whereby an employee may seek an exception to the regulation and thus be a party to a contract with the University. The exception procedure mirrors language in KRS 164.367 whereby a board of trustees or regents may permit an employee to have an interest in a contract. Officials at UK sought this exception to the statute from members of the General Assembly after dealing with a couple of cases whereby research employees owned invented or patented products that could produce significant contracts/grants to the University. Since the Kentucky Legislature passed this legislation, the University Board of Trustees has approved two exceptions.

The wording of the regulation provides a process for an exception for an employee to have a contract or an interest in a contract with the University. The Ethics Committee uses the exception criteria to recommend or not recommend an exception in this case. This Committee reviews these five criteria and makes a recommendation to you as President of the University.

(i) The first criteria is that the contractual relationship is in the best interest of the University. Professor Sandoval is a locally, nationally, and internationally recognized artist. The UK Art in HealthCare Program has placed a significant effort to purchase Kentucky art. Professor Sandoval is a native of Lexington and a faculty member at the University for 36+ years. The Ethics Committee believes that commissioning a work by probably the most renowned artist at the University and a native Lexington Kentuckian for the extensive exhibit of art in the new Chandler Hospital clearly fits the concept of being in the best interest of the University.

(ii) The second criteria is that the University member (employee Sandoval) has taken whatever actions are necessary to avoid any conflict of interest or any appearance of a conflict of interest. The volunteer community advisory council, UK Arts in HealthCare Committee, has the mission of selecting the art work for the new Chandler Hospital. Aside from internationally commissioned pieces in key public locations, the Committee was charged with selecting a core collection that features artists who work in all media, who have a Kentucky connection, and many of whom have achieved national or international attention. The UK Arts in HealthCare Program office staff compiled a list of Kentucky or Kentucky-connected artists for possible commission for piece(s) in the surgical area. From that list of artists, the Committee chose Arturo Sandoval. Professor Sandoval was asked to submit a concept for a unique piece to be commissioned for the surgical area. The Committee has accepted Professor Sandoval's concept and asked the staff to complete a contract. The Ethics Committee sees no conflict of interest and no appearance of a conflict of interest in the proposal to commission Professor Sandoval for this piece. The names of the artists were submitted by the Arts in HealthCare Program staff. The artists, including Professor Sandoval, were unaware that their names were being submitted. The Committee making the decision was an advisory council over which Professor Sandoval has no influence or control. Further, the Committee is not a UK committee; thus, there is sufficient separation that neither a conflict nor an appearance of a conflict of interest exists.

(iii) The third criteria is, if the conflict is subject to the provision of KRS Chapter 45A, the University member's contract shall be the lowest price bid or otherwise provide the best value to the University. The Ethics Committee concurs with the Director of Purchasing that artwork purchased by the University, including this commissioned piece by Professor Sandoval, may be purchased under the provisions of the noncompetitive negotiation section of Chapter 45A, the

Kentucky Model Procurement Code. Section 45A.095 provides for noncompetitive negotiation for “sole source purchases, or when competition is not feasible, as determined by the purchasing officer prior to the award. As a guideline, Title 200 KAR 5:309 Section 1 (7) of the Kentucky Administrative Regulations states that contracts may be awarded on the basis of noncompetitive negotiations for “recordings, films, and works of art for museum and public display.” As to the “best value” criteria, the price of the commissioned work was determined in consultation with the Arts in HealthCare Committee; the UK Arts in HealthCare staff negotiated the price, and Professor Sandoval agreed to a substantial discount because the client was UK, a public non-profit organization.

(iv) The fourth criteria is that the employee’s interest in the contract does not present a conflict with the employee performing his or her job. Governing Regulation I.D.2.i. addresses “Conflict of Commitment” by stating as follows: “The University of Kentucky permits external employment or self-employment in an employee’s profession or specialty... where there is not a conflict of interest or commitment. Faculty and professional administrative employees are expected to devote their primary professional loyalty, time, and energy to University of Kentucky teaching, research and service endeavors; activities outside the University must be conducted without detracting from these primary commitments. A conflict of commitment generally occurs when the pursuit of outside activities interferes with obligations to students, to colleagues and to the missions of the University.”

Although Administrative Regulation 3:9 Faculty Consulting and Other Overload Employment Outside the University states policies as to consulting employment “outside” UK, we believe that the principles of AR 3:9 should apply in this case, along with the guidelines in the UK Department of Art whereby art faculty are permitted to create works of art. The Ethics Committee recommends that the Department Chair Ben Withers monitor the situation and approve a plan by Professor Sandoval as to when he will produce this piece so as to comply with the University’s Conflict of Commitment regulation and the Department of Art’s guidelines, and not interfere with Professor Sandoval’s instruction obligations.

(v) The fifth and final criteria is that the nature of the contract and the nature of the University member’s interest in the contract or business shall be fully disclosed to the University community by as broad communications as feasibly possible. Most of the art work in the First Floor Surgical Waiting Area of the new Hospital are commissioned pieces. Information about the pieces and the artists who created the pieces will be a part of a wide communication plan. (a) The UK Public Relations Office will make press releases concerning Art in HealthCare nearer the time of the opening of the new Chandler Hospital. Thus, the works of art and the artists will receive wide-spread note in the media. (b) A coffee-table book produced on the art in the new facility will feature the art, the artists, and the processes of the creation of their art. (c) A brochure as well as a cell phone application will feature the art and give self-guided tours. (d) A dedicated

channel in the Chandler Hospital will feature the artists and their art. (e) The web pages for UK Arts in HealthCare will feature the artists and their works. (f) Finally, all contracts of the University are public documents. In addition, opinions of the Ethics Committee are also public documents. The Committee concludes that all of these actions will sufficiently and fully disclose Professor Sandoval's interest in this contract.

CONCLUSION and RECOMMENDATION:

Having reviewed the facts of this case and the criteria set forth in GR I.D.2.I., the University Ethics Committee concludes that the required criteria have been met for an exception under the regulation. The Committee recommends that you forward a recommendation to the Board of Trustees that they approve the requested contractual arrangement as per the attached "Commission Agreement for Artwork".

ATTACHMENT (1)

C: Dr. E. Britt Brockman, Chair, Board of Trustees
Dr. Kumble Subbaswamy, Provost
Dr. Michael Karpf, Executive Vice President for Health Affairs
Dr. Michael S. Tick, Dean, College of Fine Arts
Dr. Benjamin C. Withers, Chair, Department of Art
Professor Arturo Sandoval, Department of Art
Members of the Ethics Committee:
Dr. Jeannine Blackwell, Dean, The Graduate School and Associate Provost for Academic Administration
Dr. Judith Lesnaw, Professor, Biology Department, College of Arts & Sciences and University Senate Representative
David Melanson, Public Relations Office & Staff Senate Representative
Brett Short, Chief Compliance Officer, UK HealthCare
Jack Supplee, Director, Administrative & Fiscal Affairs, Office of the Vice President for Research, Associate Director & Secretary for UK Research Foundation
Kim Wilson, Associate Vice President for Human Resources
Joseph Reed, Senior Director, Internal Audit
Bill Harris, Director of Purchasing

AACR 1

Office of the President
December 7, 2010

Members, Board of Trustees:

CANDIDATES FOR DEGREES

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

Background: Since the University of Kentucky will hold its first December commencement ceremonies immediately following completion of examinations, it is not possible for the university registrar to certify satisfactory completion of requirements prior to the ceremonies for those candidates who complete their requirements in December. The candidates who completed their requirements in August 2010 were approved by the Board of Trustees at an earlier meeting.

For details on degree candidate listings,
please contact

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

Action taken: Approved Disapproved Other _____

**OFFICE OF UNDERGRADUATE ADMISSION AND UNIVERSITY REGISTRAR
CANDIDATES FOR DEGREES - December 2010**

Graduate Degrees:

Ph.D.	133
D.M.A.	1
Ed.D.	3
Ed.S.	5
M.A.	52
M.AR.	7
M.A.EDU.	15
M.B.A.	7
M.E.	3
M.H.A.	6
M.H.P.	6
M.M.	5
M.P.A.	4
M.P.H.	22
M.R.C.	48
M.S.	74
M.S.BAE.	4
M.S.BE.	5
M.S.CD.	3
M.S.CE.	12
M.S.EDU.	13
M.S.E.E.	7
M.S.F.A.	3
M.S.FOR.	2
M.S.L.S.	26
M.S.M.SY.E.	1
M.S.ME.	9
M.S. MIE	2
M.S.N.	3
M.S.N.S.	2
M.S. PAS	1
M.S. RMP.	2
M.S.W.	10
TOTAL	496

Professional Degrees:

D.N.P.	7
Dr.P.H.	7
D.P.T.	29
J.D.	7
M.D.	4
TOTAL	54

Undergraduate Degrees:

Agriculture

BSAB	7
BSAEC	30
BSAECL	1
BSAG	4
BSAS	10
BSCCLD	43
BSDIE	16
BSESM	5
BSFAS	26
BSFCS	3
BSFOR	10
BSFSC	1
BSHPS	6
BSHM	10
BSHN	8
BSLA	1
BSMAT	20
BSNRC	5
BSPSS	2
TOTAL	208

Arts and Sciences

BA	265
BS	99
TOTAL	364

Gatton Business and Economics

BBA	119
BSA	55
BSBE	10
TOTAL	184

Comm. & Information Studies

BA	51
BS	32
TOTAL	83

Design

BAARC	13
BARCH	1
TOTAL	14

Education

BAEDU	44
BSEDU	46
TOTAL	90

Engineering

BSBE	6
BSCHE	6
BSCE	42
BSCS	7
BSEE	15
BSMAE	1
BSMEE	28
BSMIE	6
TOTAL	111

Fine Arts

BA	34
BFA	5
BM	2
BMME	7
TOTAL	48

Health Sciences

BHS	5
TOTAL	5

Nursing

BSN	84
TOTAL	84

Social Work

BASW	17
TOTAL	17

Graduate Degree..... 496

Professional Degrees..... 54

Undergraduate Degrees..... 1,208

TOTAL 1,758

AACR 2

Office of the President
December 7, 2010

Members, Board of Trustees:

CANDIDATES FOR DEGREE
BLUEGRASS COMMUNITY AND TECHNICAL COLLEGE

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

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

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

For details on degree candidate listings,
please contact

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

Action taken: Approved Disapproved Other _____

FCR 1

Office of the President
December 7, 2010

Members, Board of Trustees:

GIFT FROM THE ESTATE OF GARY M. BROWNING, M.D.

Recommendation: that the Board of Trustees accept a gift of \$451,500 and a pledge of \$2,048,500 for a total of \$2,500,000 from the Estate of Gary M. Browning, M.D. to create and endow the Gary M. Browning M.D. Quasi-Endowed Scholarship and Student Support Fund in the College of Medicine.

Background: A native of Cynthiana, Dr. Browning received his medical degree in 1984 from the College of Medicine and completed an internship and obstetrics and gynecology residency in Norfolk at the Eastern Virginia Medical School in 1988. He began his full-time medical career that same year with Tidewater Physicians for Women in the Norfolk region and served in this capacity until his retirement. Dr. Browning, who died on September 9, 2009, was a Fellow in the American College of Obstetricians and Gynecologists and a member of the American Medical Association, North American Menopause Society, American Institute of Ultrasound Medicine, Virginia Medical Association, and Virginia OB-GYN Medical Society.

Action taken: Approved Disapproved Other _____

FCR 2

Office of the President
December 7, 2010

Members, Board of Trustees:

ACCEPTANCE OF INTERIM FINANCIAL REPORT FOR THE
UNIVERSITY OF KENTUCKY FOR THE THREE MONTHS ENDED
SEPTEMBER 30, 2010

Recommendation: that the Board of Trustees accept the University of Kentucky consolidated financial report for the three months ended September 30, 2010.

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 Humanities Foundation, University of Kentucky Equine Research Foundation, University of Kentucky Center on Aging Foundation, and Central Kentucky Management Services.

As of September 30, 2010, the University had recognized \$662,962,701 of current funds revenue representing 27 percent of the 2010-11 approved budget of \$2,469,115,200. Operating expenditures totaled \$619,898,343 or 25 percent of the approved budget.

Action taken: Approved Disapproved Other_____



*Consolidated Financial
Statements*

For the three months ended September 30, 2010

UNIVERSITY OF KENTUCKY
A COMPONENT UNIT OF THE COMMONWEALTH OF KENTUCKY
STATEMENT OF NET ASSETS
SEPTEMBER 30, 2010

ASSETS

Current Assets

Cash and cash equivalents	\$ 353,226,262
Notes, loans and accounts receivable, net	256,350,128
Inventories and other assets	39,348,115
Total current assets	<u>648,924,505</u>

Noncurrent Assets

Restricted cash and cash equivalents	27,757,342
Endowment investments	873,239,241
Other long-term investments	219,262,314
Notes, loans and accounts receivable, net	54,707,186
Other noncurrent assets	15,827,474
Capital assets, net	1,741,246,642
Total noncurrent assets	<u>2,932,040,199</u>
Total assets	<u>3,580,964,704</u>

LIABILITIES

Current Liabilities

Accounts payable and accrued liabilities	128,979,740
Deferred revenue	70,751,273
Long-term liabilities - current portion	79,841,926
Total current liabilities	<u>279,572,939</u>

Noncurrent Liabilities

Accounts payable and accrued liabilities	2,659,211
Deferred revenue	6,394,242
Long-term liabilities	789,994,321
Total noncurrent liabilities	<u>799,047,774</u>
Total liabilities	<u>1,078,620,713</u>

NET ASSETS

Invested in capital assets, net of related debt	<u>1,046,032,033</u>
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Restricted

Nonexpendable	
Scholarships and fellowships	125,086,778
Research	271,310,131
Instruction	79,332,421
Academic support	90,474,364
Other	8,773,593
Total restricted nonexpendable	<u>574,977,287</u>

Expendable

Scholarships and fellowships	32,606,746
Research	16,924,456
Instruction	48,718,176
Academic support	16,745,795
Loans	9,531,628
Capital projects	61,973,903
Debt service	38,051,130
Auxiliary	17,670,278
Other	1,763,252

Total restricted expendable	<u>243,985,364</u>
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Total restricted	<u>818,962,651</u>
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Unrestricted

	<u>637,349,307</u>
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Total net assets	<u>\$ 2,502,343,991</u>
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UNIVERSITY OF KENTUCKY
A COMPONENT UNIT OF THE COMMONWEALTH OF KENTUCKY
ALL FUNDS
STATEMENT OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS
FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2010

OPERATING REVENUES

Student tuition and fees	\$ 152,369,412
Federal grants and contracts	35,093,445
State and local grants and contracts	12,647,728
Nongovernmental grants and contracts	38,953,528
Recoveries of facilities and administrative costs	11,260,446
Sales and services	8,913,783
Federal appropriations	4,491,777
County appropriations	5,480,369
Hospital services	212,654,922
Auxiliary enterprises:	
Housing and dining	12,627,128
Athletics	23,290,470
Other auxiliaries	10,460,201
Other operating revenues	90,801
Total operating revenues	<u>528,334,010</u>

OPERATING EXPENSES

Educational and general:	
Instruction	61,080,930
Research	62,440,762
Public service	46,235,809
Libraries	4,272,771
Academic support	20,324,563
Student services	8,295,299
Institutional support	31,217,738
Operations and maintenance of plant	14,592,897
Student financial aid	55,161,641
Depreciation	11,382,607
Total educational and general	<u>315,005,017</u>
Clinical operations	22,123,334
Hospital and clinics (including depreciation of \$6,001,194)	179,254,028
Auxiliary enterprises:	
Housing and dining (including depreciation of \$907,015)	10,365,814
Athletics (including depreciation of \$84,862)	18,861,220
Other auxiliaries	9,021,487
Other operating expenses	79,302
Total operating expenses	<u>554,710,202</u>
Net loss from operations	<u>(26,376,192)</u>

NONOPERATING REVENUES (EXPENSES)

State appropriations	87,124,000
State fiscal stabilization fund	-
Gifts and non-exchange grants	37,412,810
Investment income (loss)	69,133,784
Interest on capital asset-related debt	(6,171,777)
Other nonoperating revenues and expenses, net	929,557
Net nonoperating revenues (expenses)	<u>188,428,374</u>
Net income before other revenues, expenses, gains or losses	<u>162,052,182</u>
Capital appropriations	-
Capital grants and gifts	3,156,489
Additions to permanent endowments	2,203,258
Other, net	(2,737,565)
Total other revenues (expenses)	<u>2,622,182</u>
INCREASE IN NET ASSETS	<u>164,674,364</u>

NET ASSETS, beginning of year 2,337,669,627

NET ASSETS, September 30, 2010 \$ 2,502,343,991

UNIVERSITY OF KENTUCKY
A COMPONENT UNIT OF THE COMMONWEALTH OF KENTUCKY
CURRENT FUNDS
STATEMENTS OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS
FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2010 AND 2009

	2010			2009
	Budget	Actual	%	Actual
OPERATING REVENUES				
Student tuition and fees	\$ 289,137,500	\$152,369,412	53%	\$140,196,507
Federal grants and contracts	163,465,000	35,093,445	21%	34,356,373
State and local grants and contracts	99,392,900	12,647,728	13%	15,185,193
Nongovernmental grants and contracts	139,374,000	38,953,528	28%	38,692,198
Recoveries of facilities and administrative costs	44,000,000	11,260,446	26%	9,815,328
Sales and services	42,733,900	8,913,783	21%	7,632,106
Federal appropriations	17,722,900	4,491,777	25%	4,466,323
County appropriations	17,028,800	5,480,369	32%	4,072,983
Hospital services	915,106,900	212,654,922	23%	221,500,299
Auxiliary enterprises:				
Housing and dining	46,477,400	12,627,128	27%	10,816,101
Athletics	63,305,000	23,290,470	37%	20,903,068
Other auxiliaries	39,058,800	10,460,201	27%	10,574,109
Total operating revenues	<u>1,876,803,100</u>	<u>528,243,209</u>	<u>28%</u>	<u>518,210,588</u>
OPERATING EXPENSES				
Educational and general:				
Instruction	339,079,400	61,080,930	18%	56,478,538
Research	288,159,000	62,432,032	22%	60,650,472
Public service	219,491,000	46,235,836	21%	42,735,842
Libraries	25,598,200	4,272,771	17%	3,682,581
Academic support	98,098,400	20,324,332	21%	19,763,402
Student services	33,681,200	8,207,493	24%	7,345,666
Institutional support	100,444,300	31,208,733	31%	32,537,814
Operations and maintenance of plant	66,804,500	12,889,370	19%	12,954,202
Student financial aid	107,425,400	55,161,641	51%	48,495,644
Total educational and general	<u>1,278,781,400</u>	<u>301,813,138</u>	<u>24%</u>	<u>284,644,161</u>
Clinical operations	96,355,900	22,123,334	23%	22,537,619
Hospital and clinics	867,666,300	172,588,165	20%	166,296,324
Auxiliary enterprises:				
Housing and dining	36,998,700	9,433,774	25%	9,002,586
Athletics	72,970,400	18,499,017	25%	17,336,828
Other auxiliaries	35,504,900	8,771,684	25%	4,970,514
Total operating expenses	<u>2,388,277,600</u>	<u>533,229,112</u>	<u>22%</u>	<u>504,788,032</u>
Net gain (loss) from operations	<u>(511,474,500)</u>	<u>(4,985,903)</u>	<u>1%</u>	<u>13,422,556</u>

UNIVERSITY OF KENTUCKY
A COMPONENT UNIT OF THE COMMONWEALTH OF KENTUCKY
CURRENT FUNDS
STATEMENTS OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS
FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2010 AND 2009

	2010			2009
	Budget	Actual	%	Actual
Net gain (loss) from operations	(511,474,500)	(4,985,903)	1%	13,422,556
NONOPERATING REVENUES (EXPENSES)				
State appropriations	290,664,700	87,124,000	30%	88,241,100
State fiscal stabilization fund	17,223,600	-	-	-
Gifts and non-exchange grants	71,958,200	36,191,829	50%	30,987,550
Investment income	31,501,100	6,175,891	20%	6,743,965
Other nonoperating revenues and expenses, net	4,350,600	2,091,005	48%	657,572
Net nonoperating revenues (expenses)	<u>415,698,200</u>	<u>131,582,725</u>	<u>32%</u>	<u>126,630,187</u>
Net income before other revenues, expenses, gains or losses	<u>(95,776,300)</u>	<u>126,596,822</u>	<u>-132%</u>	<u>140,052,743</u>
Capital grants and gifts	5,380,100	3,136,767	58%	2,662,153
Other, net	-	(1,008,993)	-	(1,035,055)
Total other revenues (expenses)	<u>5,380,100</u>	<u>2,127,774</u>	<u>40%</u>	<u>1,627,098</u>
NON-GASB ACTIVITY				
Appropriated fund balance	171,233,800	-	-	-
Purchase of capital assets	-	(2,886,599)	-	(3,415,644)
Capital transfers	(71,764,500)	(82,977,221)	-	(66,690,985)
Noncapital transfers	(9,073,100)	203,582	-	(171,042)
Total non-GASB current funds activity	<u>90,396,200</u>	<u>(85,660,238)</u>		<u>(70,277,671)</u>
INCREASE IN NET ASSETS	-	43,064,358		71,402,170
NET ASSETS, beginning of year		<u>505,823,740</u>		<u>509,197,001</u>
NET ASSETS, September 30, 2010		<u><u>\$548,888,098</u></u>		<u><u>\$580,599,171</u></u>
RECONCILIATION TO ANNUAL BUDGET				
Operating revenues	\$ 1,876,803,100	\$528,243,209	28%	\$518,210,588
Nonoperating revenues	592,312,100	134,719,492	23%	129,292,340
Total revenues	<u>\$ 2,469,115,200</u>	<u>\$662,962,701</u>	<u>27%</u>	<u>\$647,502,928</u>
Operating expenses	\$ 2,388,277,600	\$533,229,112	22%	\$504,788,032
Nonoperating expenses	80,837,600	86,669,231	107%	71,312,726
Total expenses	<u>\$ 2,469,115,200</u>	<u>\$619,898,343</u>	<u>25%</u>	<u>\$576,100,758</u>

FCR 3

Office of the President
December 7, 2010

Members, Board of Trustees:

2010-11 BUDGET REVISIONS

Recommendation: that the Board of Trustees authorize and approve the following revisions to the 2010-11 budget. The budget revisions outlined below will increase the University of Kentucky's total budget by \$31,211,800 – from \$2,469,115,200 to \$2,500,327,000.

	<u>Approved Budget</u>	<u>Revised Budget</u>	<u>Change</u>
A. <u>GENERAL FUND</u>			
1. Income Estimates			
Student Tuition and Fees			
Other Fees	\$13,238,700	\$ 13,470,700	\$ 232,000
County Appropriations	17,028,800	17,828,300	799,500
Appropriated Fund Balances - University	91,809,700	121,378,600	<u>29,568,900</u>
			\$ 30,600,400
2. Expenditures			
Provost			
Agricultural Cooperative Extension Service			
Field Programs	\$36,113,700	\$ 36,913,200	\$ 799,500
College of Engineering Administration	2,551,600	2,783,600	232,000
University Wide			
General Operating and Capital Projects	93,134,900	122,703,800	<u>29,568,900</u>
			\$ 30,600,400
3. <u>Comments</u> – Income from Student Tuition and Fees will increase \$232,000 due to unanticipated revenues received from undergraduate course fees in the College of Engineering. These revenues will support teaching assistants and laboratory equipment in the College.			

County appropriations will increase \$799,500 to support field programs in the Agricultural Cooperative Extension Service.

A. GENERAL FUND (continued)

3. Comments (continued) - The 2010-11 Operating and Capital Budget approved by the Board of Trustees at the June 2010 meeting included a projected fund balance of \$91,809,700. Additional expenditure authority of \$29,568,900 is now requested to fully recognize the available funds. The current fund balance is higher than anticipated largely due to funds reserved for the fit-up of space on the fourth and fifth floors of the new Pharmacy Building, most of which have not been expended yet (but will be later in the fiscal year). In addition, there were some unspent funds in various reserve accounts and other excess revenues in several areas of the University. These funds are intended for use on capital projects. Pursuant to AR II-1.4-1 the Board of Trustees must approve the initiation of any capital project with a scope of \$600,000 or more.

	<u>Approved Budget</u>	<u>Revised Budget</u>	<u>Change</u>
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B. AUXILIARY FUND

1. Income Estimates

Auxiliary Enterprises

Other

	\$ 4,518,100	\$ 4,593,100	\$ 75,000
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2. Expenditures

Finance and Administration

Facilities Management

Auxiliary Services Operations

	\$ 43,000	\$ 118,000	\$ 75,000
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3. Comments – Income from Auxiliary Enterprises is expected to increase \$75,000 from rebate income received from the Fed Ex Office. These revenues will be used to support Auxiliary Services Operations.

	<u>Approved Budget</u>	<u>Revised Budget</u>	<u>Change</u>
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C. RESTRICTED FUND

1. Income Estimates

Endowment and Investment

Income

	\$24,068,900	\$ 24,100,300	\$ 31,400
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Gifts, Grants and Contracts

Gifts, and Other Grants and

Contracts

	17,740,000	18,245,000	<u>505,000</u>
			\$ 536,400

C. RESTRICTED FUND (continued)

	<u>Approved Budget</u>	<u>Revised Budget</u>	<u>Change</u>
2. Expenditures			
Finance and Administration			
Facilities Management			
Housing Operations	\$ 0	\$ 31,400	\$ 31,400
President			
Development			
Administration	364,800	869,800	<u>505,000</u>
			\$ 536,400

3. Comments – Endowment and Investment Income is expected to increase by \$31,400 and will be used to support maintenance on the Sigma Alpha Epsilon House.

Gifts, and Other Grants and Contracts will increase by \$505,000 due to an unrestricted gift from the Estate of Peggy H. Gwillim. These funds will be used to support programs in the Office of Development.

Action taken: Approved Disapproved Other _____

FCR 4

Office of the President
December 7, 2010

Members, Board of Trustees

APPROVAL OF INVESTMENT IN COLDSTREAM LABORATORIES, INC.

Recommendation: that the Board of Trustees authorize the President to approve the transfer of up to \$5.5 million to the University of Kentucky Research Foundation to be used for investment in Coldstream Laboratories, Inc. ("CLI") to fund operations, the development of new product lines, and working capital.

Background: The University, with state assistance, agreed to construct a new facility at Coldstream for a substantial expansion of the College of Pharmacy's Center for Pharmaceutical Science and Technology ("CPST"). As previously reported to the Board, CLI was formed to expand and commercialize pharmaceutical manufacturing, research, and development in Coldstream facilities.

CLI continues to pursue its role in pharmaceutical manufacturing at Coldstream and assist economic development efforts in Kentucky by transferring appropriate technology and programs to the public sector. CLI also provides education opportunities for the College of Pharmacy and unique educational opportunities for its students, as well as unique collaborative opportunities for research projects.

CLI is building a client base but has not yet become self-sufficient. CLI hopes to have a positive cash flow by the Fourth Quarter of 2011. The economic recession has slowed CLI's progress, but it has made significant progress during the last six months to improve efficiency and has made strategic changes to personnel and production. CLI requires continued financial support in order to diversify products and improve operational efficiency.

With approval of this action, the total transfer authorized will be \$25,350,000 with total capital contributions of \$26,818,088, including the forgiveness of \$1,468,088 in University of Kentucky equipment lease agreements. The investment will be funded by UK Healthcare.

Action taken: Approved Disapproved Other _____

FCR 5

Office of the President
December 7, 2010

Members, Board of Trustees:

AUTHORIZATION TO LEASE FOUR ACRES TO
THE KENTUCKY MEDICAL SERVICES FOUNDATION ON
WHICH TO CONSTRUCT A CHILD CARE FACILITY

Recommendation: that the Board of Trustees authorize the Executive Vice President for Finance and Administration to negotiate and execute a lease with the Kentucky Medical Services Foundation (KMSF) for approximately four acres south of Alumni Drive on the University's south campus to construct a Child Care Facility.

Background: The University and KMSF have agreed to a fifty (50) year lease for the designated property for the sum of \$1.00 year. KMSF would contract with Child Development Center of the Bluegrass, Inc. (CDC) to construct a 22,000 gross square foot on campus facility to house a Child Care Development Center to provide child care services for children from the community, including the children of faculty and staff. The facility will include services for children with special needs. CDC is a not-for-profit corporation currently operating a day care center for children, including children with special needs. The University Child Care Development Center will be operated by CDC of the Bluegrass.

Construction plans are subject to advance review by the University. All costs associated with construction are to be paid by KMSF and CDC of the Bluegrass and other private funds. In addition, all maintenance responsibilities during the term of the lease are the responsibility of KMSF and CDC of the Bluegrass.

Action taken: Approved Disapproved Other _____

FCR 6

Office of the President
December 7, 2010

Members, Board of Trustees:

APPROVAL OF THE 2009-10 ENDOWMENT MATCH PROGRAM ANNUAL REPORT

Recommendation: that the Board of Trustees accept the 2009-10 Endowment Match Program Annual Report. The Report is provided as a separately bound document.

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

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

Action taken: Approved Disapproved Other _____

FCR 7

Office of the President
December 7, 2010

Members, Board of Trustees:

CAPITAL CONSTRUCTION REPORT

Recommendation: that the Board of Trustees accept the capital construction report for the three months ending September 30, 2010. This report refers only to projects that had activity within this quarter.

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

For the period July 1, 2010 thru September 30, 2010:

There was one new contract this quarter:

Project 2307.0 Renovate Nursing Building
Messer Construction Co., \$1,298,000 (*Construction*)

One contract was completed this quarter:

Project 2286.1 Renovate/Expand the Center for Applied Energy Research
Denham Blythe Co., \$1,304,875

One amendment as follows:

Project 2307.0 Renovate Nursing Building

- Provide design services for the removal of the existing open exterior stair on the third floor exterior patio of the College of Nursing Building and for renovation of the first floor public restrooms. (+) \$18,500

Thirty four change orders greater than \$25,000 were as follows:

Project 2234.0 Expand & Upgrade Livestock Disease Diagnostic Lab

- Provide for changes needed to address the issue of excessive moisture in the soil around necropsy (+) \$40,187
- Provide for installation of a base coat of asphalt in additional areas onsite that were not initially included (+) \$32,794
- Provide coatings consistent with UK compliance standards for animal disinfection (+) \$226,148

- Project 2235.0 Construct Biological Pharmaceutical Complex Building
- Provide additional bracing of pipe supports in the Utility Tunnel necessary for operation of the beam rollers (+) \$112,261
- Project 2239.0 Construct Patient Care Facility
- Provide for installation of a check valve in the bypass line between the hot water supply and the return at each of the units (+) \$52,938
 - Furnish and install snubbers on the transformers that serve the two fire pumps (+) \$129,334
 - Provide for an added panel, transformer and fused disconnect in the parking garage (+) \$26,160
 - Provide for drainage of hot water system to relocate 15 valves of varying sizes (+) \$34,092
 - Provide for relocation of various sanitary, waste and vent lines above high voltage gear (+) \$47,988
 - Provide for revision of lobby design to accommodate design of the Main Donor Wall (+) \$59,470
 - Provide for revision and expansion of the Rose Street Plaza landscaping (+) \$60,950
 - Furnish and install automatic dampers and their controls for the atrium smoke exhaust fans (+) \$29,068
 - Provide Icynene spray foam for fire protection in all pockets more than 12 inches in depth (+) \$58,718
 - Re-route storm pipe in the ground lobby floor area including a portion of the underground piping (+) 36,213
 - Provide labor and material to revise four steel reinforced concrete fan bases and provide four additional bases as well (+) \$48,310
 - Revise the lobby rotunda lighting to include 25 additional fixtures and a remote control system (+) \$182,106
 - Provide for a fabric change on the 6th and 7th floor Mechoshades to enhance function and durability (+) \$27,185
 - Furnish and install of a lobby water feature to include the water feature, supporting electrical and pumping systems and control systems (+) \$80,283
 - Provide for installation of conduit and cabling to accommodate nurse call device quantity and location changes (+) \$284,907
 - Furnish and install 128 Marlite artwork panels and wall protection to accommodate the artwork for patient rooms (+) \$313,636
 - Furnish and install additional trapeze hangers for life safety and emergency (+) \$26,145
 - Provide materials necessary to protect the lobby stone floor during construction (+) \$68,306
 - Furnish and install 120 V power connections required for twenty-four PTZ cameras (+) \$88,510
 - Provide additional work in the laboratory required to complete the connections between the east connectors (+) \$57,683
 - Provide 2 additional sets of filters for the Air Handling Units (+) \$76,752
 - Furnish and install electrical conduit and wiring associated with additional electrical and data outlets throughout the 6th and 7th floor to accommodate equipment (+) \$313,198

- Project 2239.7 Construct Patient Care Facility (Pavilion A, OR Suites and Support)
- Construct a full scale mock-up of select O.R. spaces for owner review and testing of equipment locations (+) \$29,377
- Project 2297.1 Digital Village Building 2
- Provide wireless access points to provide adequate networking capability within the building (+) \$31,228
 - Provide the access control system required to properly manage the electronic locks as well as provide stand alone battery operated locks in all offices and public spaces (+) 75,530
 - Install new manholes for the building and vault pumped discharge (+) \$44,806
 - Provide resurfacing and repairing for the existing parking lot around the new utility vault west of the Digital Village (+) \$43,679
- Project 2303.0 Construct Children's Garden at the Arboretum
- Add the Quilt Fountain and the paving, drainage, pump/filter system, plumbing and electrical work associated with the feature (+) \$95,640
- Project 2311.0 Renovate Parking Structure # 3 – Hospital
- Provide crack repair on levels 5 and 6, pothole repair on 1st ramp, membrane placement on 5th level and complete full depth repair (+) \$68,970
 - Repair issues found during renovations. Provide materials and labor for additional leveling surface on 5th and 6th floors, replace roof scuppers and downspout, repair roof at two stair towers (+) \$45,460
- Project 2314.0 Upgrade, Renovate, Improve or Expand Research Labs (Fit-up 4th and 5th Floor COP)
- Assign MultiVista a subcontract under Messer to provide construction documentation including photo sets with progression, detailed sets, and a pre-construction survey. (+) \$25,705

Action taken: Approved Disapproved Other _____

CAPITAL CONSTRUCTION CONTRACTS QUARTERLY ACTIVITY REPORT

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

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY REPORT

Glossary

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Major Projects
Capital Project Management Division
October 31, 2010

Construct CAER Laboratory Building #2

Project Description:

The University is the recipient of a grant award from the National Institute of Standards and Technology (NIST) as part of the 'America Recovery and Renewal Act' federal stimulus package to construct a new stand-alone laboratory building for the University of Kentucky Center for Applied Energy Research located at Spindletop Research Park. Portions of the laboratory facility will be specially equipped to accommodate battery-manufacturing R&D. In addition, other portions of the building will be specially equipped to accommodate research related to biomass energy and biofuels, electrochemical energy storage, and solar energy.

Project Status:

Site work on the building pad is complete. Site utility work is ongoing as well as layout of temporary parking. Bid Package # 2 is out for bid now; bids are to be received on November 16th.

Construct Children's Garden at the Arboretum

Project Description:

The Children's Garden will be a safe 1.85 acres outdoor environment designed to help children 2 to 10 years old learn about plants and the environment. There will be an integrated combination of various "child-scaled" theme gardens, garden-like elements for experiential play, and gardens planted and maintained by children. This initial phase will construct the geographical features including rock escapements; the stream and pond; and some of the walks and plantings.

Project Status:

All punchlist work is complete. The contractor is awaiting delivery of final granite pieces for the Quilt Fountain.

Construct Patient Care Facility

Project Description:

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

PCF – Building (BP #'s 3B, 4, 5 & 6):

Project Description:

This project includes:

- (BP #3B) Early Site Work (Now Complete)
- (BP #4) The demolition of the existing Parking Structure # 4. The work will involve the start of all deep foundations up to the grade of the excavation. (Now Complete)
- (BP #5) The construction of the new 1,022,000 gross square feet building's structural frame, fireproofing, exterior wall enclosure for all new building spaces, windows, exterior doors and roofs. Also included will be all exterior site improvements, civil design for roadways, drainage systems, landscaping, hardscape surfaces and walks.
- (BP #6) The interior fit-out partitions, interior finishes, doors and frames, ceilings, mechanical systems, electrical systems, technology systems, medical equipment and fire protection for approximately 490,000 occupiable square feet; and 532,000 square feet of shell space. The work also will include drawings and specifications for signage, interior furnishings and lighting.

Project Status:

- Core and Shell (BP #5)

The final two precast panels at the lobby 2 area were installed this month completing the installation of the precast concrete panels. The masonry work activities for lobby 2 started with CMU installations. This work was followed

by stone installation in early October. The dry-stack stone work also continued on the curved landscape walls in the north lobby area. Erection of the lobby 2 structural steel continued with installation of decking and final details for the structural steel. The north entry canopy structure will arrive in early November. The light gauge framing at the north lobby and lobby 2 continued. The general trades contractor continued work at the 2nd and 3rd level roof at the north lobby/lobby 2 areas and completed the installation of the level 1 terrace pavers. The roofing contractor installed the green roof plants at the level 5 podium west, south and east roofing with work heading to the north roof area. The sealant contractor continued working toward completion of the east tower elevation work scope in early November. The window contractor continues to work on window and curtain wall installations on the east tower – the west and core area are completed. The curtain wall installations on the east tower completed early October. The lobby windows are progressing north including installation of the first “high span” window unit. Lobby 2 2nd floor windows will be arriving next month. Final testing of the curtain wall units will be complete early November. The swing stage work (with 14 stages) continued on the west tower elevations with installation of the window trim, window caulking and tower eyebrow installations. Metal panel work will be starting at the north lobby next month. The elevator contractor continued working on elevator 01 rails and platforms. Doors and frame installation for elevators 01, 03, 04, 05 continued in the field. Machine room work continued for all car groups on level 14. The masonry contractor continued with installation of the curved landscape walls at the north lobby. Prep work also started for the lobby 2 SOG and SOMD areas. The site contractors continued with curb, gutter and sidewalks at the north area of the site. Planting work began on the west side of the site and will continue around the PCF according to the season guide. Stage 3 construction work completed in front of the Wethington Building less the plantings which will continue through November. All work on the north Rose Street Plaza with the exception of the landscaping completed during October. Curb and gutter and sidewalk installations completed this month along with underground utility work. The main asphalt installations also completed. The surface of old Rose was milled and replaced. The mechanical work is complete for all systems serving the emergency department and infrastructure is fully functional. Focus has shifted to the balance of the HVAC systems serving the lobby and 6th and 7th floors and remaining shell space. Commissioning activities have completed pending the final balance of the spaces on 6th and 7th floor and the lobby. Punchlist activities are ongoing and have completed in the basement and 3rd floors.

- Fit up (BP #6)

The acoustical contractor continued working on several areas again this month including the lobby/auditorium; 6th and 7th floors; shaft and stair areas; and level 1 area. Gypsum board installations continued on the 6th floor and started on the 7th floors areas.

The general trade’s contractor continued to install wood blocking on 6th/7th levels and stair shafts and lobby areas.

This contractor also installed toilet accessories for the patient rooms on the 6th floor. The painting contractor continued work on the 6th and 7th floor patient rooms priming and painting the gypsum board walls. They also began sealing the floors of the level 3 mechanical room along with select basement room areas. Installation of ceramic tile on the 6th floor patient bathrooms continued. The flooring contractor completed the installation of several select VCT areas like stairs 3 and 7 and several basement room storage areas and hallways.

Installation of the stone in the lobby ground level moving north and west from the half-round skylight continued. Installation also started on the first floor in area around the half-round skylight. Signage installed included all the way-finding signs around campus directing visitors to the hospital areas. Work continued on the bed tower floors with installation of the shell space lighting, fire protection and work in the electrical closets. HVAC system work for the 6th and 7th floor is ongoing. Piping for all reheat coils and shell space unit heaters continued. Installation of electrical wiring is continuing throughout the building with final terminations and final testing continuing. Final controls and power is ongoing throughout the building on the systems.

Commissioning of these systems is ongoing. Punchlist activities are ongoing, and inspections have been performed in the basement, 3rd and 4th floors.

Construct Patient Care Facility- OR Suites & Support

Project Description:

This project provides a new surgical suite to be constructed in the shell space of the new Patient Care Facility. The project includes construction of 8 operating rooms, 1 hybrid OR, with supporting spaces for surgical pathology, surgical pharmacy, anesthesiology, staff lounge and lockers, and pre-operative / post operative functions. Also included will be the construction of a new central sterile supply and associated elevators to serve the new surgery areas. In addition the project will supply a 63,000 CFM air handling unit to provide for the HVAC requirements of this area. The fit-up encompasses an area of approximately 66,000 SF.

Project Status:

This project is out for bid with trade bids due in November. GBBN Architects is the lead architect for the project. Turner Construction has been selected as the CM for the project. The expected completion date is Nov. 2011.

Digital Village, Building 2

Project Description:

This project consists of the design and construction of approximately 43,000 gross square feet of research space for the Center for Visualization and Virtual Environments as well as selected research activities in the Department of Computer Science and the Department of Electrical and Computer Engineering. The facility must be sufficiently flexible in design so that it can be easily adapted to support research into emerging areas of interest. The structure should provide flexible office space and support facilities. This project will pursue LEED Certification.

Project Status:

All work on the exterior of the building is nearing completion, as final glazing and composite walls panels finish out. Interior work is progressing. Painting has started on the 3rd floor. Drywall work is nearing completion on the 2nd floor and is in progress on the 1st floor. Data cables have been pulled on the 3rd floor. Terrazzo has been poured on the 3rd floor and polishing has begun. The rough mixture has been poured on the 2nd floor. The building is being finished from the 3rd floor down to allow the contractors to work themselves out of the building so as to perform minimal work over completed areas.

The contractors' on-site office and storage trailers have been removed from the site to allow preparation for site development work. Infrastructure work is nearing completion. Other than work inside the north east communications vault, only the sidewalks and final restoration of the parking lot remain to be done. The parking lot in front of the Craft Center has been reopened. The only parking area still closed is the section from the east side of the "B" entrance off College View eastward to the Digital Village Building. Final paving work is planned for mid-November.

The contractors feel they can complete the building by the end of December, however, the current schedule update projects a mid January, 2011 completion. Furniture has been ordered and should be ready for installation upon completion of the building.

Expand & Upgrade Livestock Disease Diagnostic Lab

Project Description:

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

Project Status:

Digester installation is complete. Performance test is scheduled through mid-November with training to follow after performance test. Renovation work continues in former necropsy, receiving and existing labs this month. Administration area is scheduled to complete Fall 2010 and all renovations will complete by mid-February 2011. The storage tank facility at Woodford County farm is complete and training was performed this month.

Guaranteed Energy Savings Performance Contract

Project Description:

An energy service company (ESCO), such as AMERESCO, provides comprehensive energy and water management analysis plans as well as energy and water-related capital improvement services. Enabled by Kentucky Revised Statute 56.774, energy savings performance contracting is a cost-effective process for energy upgrades. Energy service companies guarantee that utility savings generated by facility upgrades are sufficient to pay back the capital investment during the next twelve years. If the project does not provide these returns on the investment, the ESCo is responsible for the difference. No renovations that do not affect energy savings will be done as part of this initiative. This project will help meet the overall University goal, which is to decrease the university's overall energy demands by 10-15 percent.

Energy conservation measures in the project that will reduce the university's overall energy consumption include: Upgrades to lighting systems to the latest electric saving technology; fume hood controls in Chemistry/Physics; HVAC systems; steam and chiller plant controls; Installation of motor speed drives (VFD's) to save energy during mild weather conditions; Energy management software to monitor usage in real time; and automatic utility metering devices; Replacement of old plumbing fixtures to the latest water saving technology; Repair of pipe insulation; Behavioral modification programs to encourage energy conservation, tailored for campus and developed, implemented and measured to maximize effectiveness and initiate a culture of energy efficiency.

Project Status:

Ameresco continues final design preparations and reviews this month. Bidding of all Energy Conservation Measures (ECMs) is scheduled for November 2010. Construction activities are to begin in the 61 Lexington campus buildings beginning December 2010 and continue through November 2011.

Renovate 4-H Camps

Project Description:

The College of Agriculture Cooperative Extension Service and 4-H Youth Development operate 4-H Camping Centers in Nicholas, Pulaski, Laurel and Hopkins counties. This project will renovate existing cabins by upgrading utility infrastructure, improving finishes, and installing energy efficient heating and air conditioning systems. The project also will include replacement of existing bunks and mattresses in all the camps. Additionally, a new cabin will be built that will house 28 campers and 4-H staff.

Project Status:

Pre-construction meetings were held this month and work has begun at each of the four camps. Work is expected to be complete by December 31, 2010.

Renovate 4th Floor Sanders-Brown Center

Project Description:

This project will consist of renovating approximately 9,000 square feet of research support space in the Sanders-Brown Center. This project will include retrofitting outdated, non-compliant research support space and the associated mechanical equipment to meet current regulatory requirements.

Project Status:

The modified Design Development documents were electronically transmitted to the NIH on October 7; however, the University has not received review comments. The design team is continuing to complete the Phase III Construction Documents, which are scheduled to be delivered to the university on November 14th. This date is contingent upon receiving the Design Development review comments from the NIH.

Renovate Nursing Building

Project Description:

This project will renovate and convert a covered patio on the third floor of the Nursing Building into student study and discussion space. Additionally, minor enhancements will be made in some fifth floor graduate student space. The project is fully funded from a U.S. Department of Health and Human Services, Health Resources and Services Administration grant.

Project Status:

All work on the 5th floor, and restrooms on the 1st floor are complete. Messer began demo on the 4th floor restroom on October 18th. Drywall hanging in the 3rd floor study space is complete with drywall finishing in progress. Prime painting has begun, locker installation is complete, wire pulling is 90% complete, ceiling grid installation has begun, and the column covers are installed. In the mechanical room, the new supply and exhaust fans were installed, as well as the breaker in the 1st floor electrical room that feeds the new 3rd floor panel. All remaining work on the 3rd floor patio and in the 4th floor restrooms is scheduled to be complete on December 3rd.

Renovate Parking Structure #3-Hospital

Project Description:

This project includes repairing the concrete topping on levels Two and Three; painting of pre-cast connections; installation of a new expansion joint at the structural slab transition; full depth slab repairs for levels Four, Five, and Six; and application of an elastomeric waterproofing membrane on Level Six. These repairs are needed to protect the structure from moisture penetration and resulting deterioration of concrete and embedded metals.

Project Status:

This project is substantially complete.

Renovate Third Floor Little Library

Project Description:

This project will renovate and fit-up approximately 5,300 square feet of shelled space on the third floor of the Little Library. Prior to the library consolidations following completion of the W.T. Young Library, this space was used to house library materials. The renovated space will house the Center for Applied Information Technology, a suite of offices for the School of Library and information and two new classrooms, seating for 48, with smart technology.

Project Status:

Work has commenced for new suite of offices as outlined in change order number 1, anticipated completion for late November.

Renovate/Expand the Center for Applied Energy Research – Phase 1 & Phase 2

Project Description:

The primary purpose of this project will be multi-phased project incorporating the following components:

Mineral Process Lab Building - The initial phase of the project will require the construction of a 6,400 square foot support building. This new facility will permit the relocation of the existing mineral processing group, currently housed in the Center's main facility. The existing equipment will be relocated along with support space, offices and labs. Relocation of the Crushing Room - The existing Crushing Room is to be relocated into an existing facility originally built for dry storage of coal. Bio-fuels Highbay Lab Fit-up and Improvements - Renovated space, vacated by the Mineral Processes Lab in above, will allow for the development of a bio-fuels laboratory for production, characterization, and testing of biomass derived fuels, with a focus on biodiesel, bio-oils, and biomass derived Fischer-Tropsch liquids. The principle objective of this project is the establishment of a laboratory dedicated to the development of improved processes for biomass utilization, with the goal of supporting the development of the biofuels industry in Kentucky. Combustion High Bay Hoods - The existing Combustion/High Bay Lab will have a new bench top fume hood and a new walk-in hood installed with required ductwork and exhaust fans.

Project Status:

Phase 1 – Complete.

Phase 2 – Final estimates have been received for the construction documents. A review meeting is scheduled for mid-November and project should be transmitted for bid in early December.

Repair, Upgrade, Improve Building Systems – Hospital (Elevators Upgrade for KY Clinic)

Project Description:

This project encompasses refurbishing eight elevators in KY Clinic. The refurbishment includes replacing all cab finishes, lighting, major wear components, telephones, and controls. The elevators will be refurbished one at a time so as not to impact patient care. This project allows the Hospital to maximize elevator uptime and improve the aesthetics of the elevators. The Hospital relies on these systems for the efficient transfer of patients, visitors, supplies, and equipment.

Project Status:

This project is substantially complete.

Replace Emergency Generators & Fire Pump - UK Good Samaritan Hospital

Project Description:

The scope of this project will consist of the replacement or upgrades of the following equipment at the Good Samaritan Hospital: emergency generator, transfer switches, air handling unit #25, constant pressure water pumps, deareator tank, and a fire pump.

Project Status:

- Bid Package #1(Deareator Tank)

This project is substantially complete.

- Bid Package # 2 (Emergency Generators, Transfer Switches, AHU and a Fire Pump)

This project is substantially complete.

Replace Wildcat Lodge Student Housing (Wildcat Coal Lodge)

Project Description:

This project consists of the design and construction of a new housing facility of approximately 18,000 GSF to replace the existing Wildcat Lodge. The new facility is to house the UK men's basketball players in addition to other non-athlete students. The building will include a controlled main entryway, with combination living/bedroom

spaces, a common space, with dining and gaming rooms. In addition, it will have a conference room and public restrooms in all common areas. The site will be located just east of the Joe Craft Center.

Project Status:

Bids were received on July 23rd with the combination of trade contract bids being significantly over budget. Various options have been explored to bring the project back within budget to include value engineering and redesign options. Due to time lost with the necessary value engineering and redesign efforts, it appears the building will not be ready to occupy until after the beginning of the 2012 spring semester. Athletics is reviewing the options to determine which best meets their goals and objectives for the project.

Upgrade, Renovate, Improve or Expand Research Labs (Fit-up 4th and 5th Floor College of Pharmacy)

Project Description:

The Biological / Pharmaceutical Complex is a new 286,000 s.f. academic / research building for the University of Kentucky College of Pharmacy. The Fourth and Fifth Floor Fit-Out items for the building include miscellaneous metals and stairs, rough and finish carpentry, wall systems, flooring systems, ceiling systems, doors, frames, hardware, coatings, specialized equipment, plumbing systems, fire protection systems, mechanical systems, electrical systems and communications and controls systems. Audio-visual fit-up includes wiring, sound systems, video systems and control systems.

Project Status:

All Construction Manager's trade package contracts have been awarded. The exterior lift/hoist has been constructed on the west elevation and is operational. Metal installation has begun on the 5th floor. All work is scheduled to be complete October 1, 2011. The steamline extension contract is currently being re-bid through the Construction Manager. Construction is anticipated to begin in December 2010 and continue through September 2011.

Upgrade-Renovate-Improve or Expand Research Labs (Renovate Research Labs in Chemistry-Physics Building)

Project Description:

The space vacated by the relocation of the Chemistry and Physics libraries will be converted into research and research support space. This renovation will create three wet bench research labs to accommodate three new faculty lines in Chemistry, and one materials lab for Physics. The materials lab will be a multi-disciplinary lab that will be used by Chemistry, Physics and Engineering.

Project Status:

This project is substantially complete.

ARS - Agriculture Project

Project Description:

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

Project Status:

Construction has been delayed until fall 2011 depending on availability of federal funding.

Construct Equine Campus – Stallion Research Facility

Project Description:

This project will serve to renovate the former carriage house at Spindletop Farm for use as the Stallion Barn component of the Equine Reproductive Research Center. The renovations will include creation of laboratory space, semen processing and storage areas, holding stalls and a mating area. There will also be a conference room and viewing room. Restroom facilities that are ADA compliant are included. Infrastructure improvements include new electrical service, upgrades to water and sanitary systems and HVAC system installation.

Project Status:

Final Construction Documents are to complete by mid-November with Bid and Award activities to follow. Construction is anticipated from February 2011 through June 2011.

Renovate Nursing Building – Phase II

Project Description:

This project will renovate approximately 8,200 square feet on the sixth floor of the College of Nursing Building to accommodate the construction of a new 118 seat Computer Classroom and associated support space. The project will be funded by federal grant of \$1,287,000 from the U.S. Department of Health and Human Services and University funds.

Project Status:

A design advertisement was issued on October 28th and submittals are due on November 11th. The university's selection committee will meet on November 16th to short-list the firms that are best suited for this project. Interviews will be scheduled on November 30th.

Renovate Old Pharmacy Building for Biology (Multi-Disciplinary Sciences Building)

Project Description:

The old Pharmacy building (now Multi-Disciplinary Sciences Building) will be used to provide teaching lab space for Biology, future research lab space for Biology and Chemistry, and office space to co-locate the University's significant core of statistical expertise from the colleges of Arts and Sciences, Public Health and Medicine. This phase of the project will renovate approximately 18,120 square feet on the first, second and third floors of the Multi-Disciplinary Sciences Building and will include the modification of the existing offices and the creation of additional offices, computer class labs, a Biology class lab and support spaces. The estimated scope of \$3.4 million will be funded from institutional fund balances.

Project Status:

Consultant Interviews will take place in early November. Upon completion of the interview process, the selection committee will choose a design firm and fee negotiations will begin immediately thereafter.

Renovate Track and Field Facility

Project Description:

The University of Kentucky's Shively Track, used by the men's and women's track and cross country teams, is over 30 years old and needs to be renovated. This project will renovate the existing track and field facility by providing new track and field surfaces, field event training areas, spectator seating, spectator amenities (concessions, restrooms, etc.), and equipment storage. The track is anticipated to be a nine-lane synthetic surface track. An athlete only practice throw area has been integrated into the site plan, creating safety for adjacent spectators as well as providing a proper environment for the training and warm up of student athletes. A practice runway is being incorporated with the javelin throw. This area would also accommodate visiting track teams during meet events. The architectural design and materials will be integrated to enhance the proximity to the design elements of the University's adjacent baseball stadium. The concession building will overlook the track so spectators standing in line will continue to have visual access to the event completion. A new storage facility will be located at the Cooperstown Road entry, and will be of sufficient size to store all track and field equipment.

Project Status:

The RFP for the Construction Manager has been advertised, with the CM selection anticipated to be complete by the end of November. Consultant and University representatives met with representatives from adjacent neighborhoods in a pre-design meeting November 4th. Issues and observations that should be considered during design were discussed.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct Biological Pharmaceutical Complex Building

Project Number: 2235.00

Project Description:

Scope: \$134,998,323

The Biological Sciences/Pharmaceutical Complex, was authorized by the 2005 General Assembly and will construct a 281,000 gross square foot facility that includes some "shell space" to allow for the growing research needs. This "shell space" will be fitted out for research laboratories at a later date as university funds and/or grant dollars become available. This new building will provide the college with a state-of-the-art facility that will also allow the college to expand enrollment to address the shortage of pharmacists in Kentucky. The College of Pharmacy will relocate to this new facility and vacate their existing space. In addition to the current Pharmacy Building, college faculty members are housed in 10 buildings on and off campus. Consolidation of the research and teaching expertise of the eighth ranked College of Pharmacy in the U.S. will further strengthen the instruction of students and research collaboration among faculty. The project is expected to be complete by December 2009.

Consultant: EOP Architects

Contract # A061150/A071060

Total Amendments to Date: 5

Describe all amendments :

Original Contract Amount: \$10,585,020

Cumulative Amendment Amount: \$1,162,526

Revised Contract Amount: \$11,747,546

Amendment #1, 5/8/07, an increase of \$220,700, was approved for additional design services to provide an additional research floor as well as a new utility tunnel. This amendment also provides for wind tunnel testing as well as a specialized lighting consultant. **Amendment #2**, an increase of \$282,276, was approved for Structural engineers to redesign the foundation and sub-slab connections due to discovery of unforeseen solution channel to bedrock and to redesign the first floor from a steel frame to a concrete frame. Additionally the amendment was to design a Donor Recognition Program that will address the range of donor opportunities as outlined by the University, as well as a standard program of plaque recognition. Pinpoint Associates are to locate all underground utilities beginning with Parking Structure # 2, traveling on Washington Avenue and ending at Limestone Avenue. This amendment also provides for an independent third party consultant to provide for all Special and Material Testing as required by the construction documents and 2007 KBC. **Amendment #3**, 1/13/09, an increase of \$344,270 was approved for additional scope of work necessary to accommodate the fit-up of the fourth and fifth floors as a separate stand alone package. The amendment also provides for additional structural engineering services associated with the addition of an elevator machine room, reinforcement of chilled water pipe structure at the Utility Tunnel and expediting design and construction documents for Bid Package 4. Additional special inspection and testing services are also included as well as civil engineering services associated with the survey, plat and filing as necessary for the permanent closure of Leader Avenue. **Amendment #4**, 6/9/09, an increase of \$236,320 was approved for additional scope of work necessary to accommodate the pre-construction phase of the 4th and 5th floor fit-up, the 1st floor food services facility fit-up and construction documents for the mast arm traffic signal and the steam line extension design. **Amendment 5**, 5/11/10, an increase of \$78,960 was approved to provide additional design and associated construction administration services for design changes necessary to support the academic research and animal care functions of the building. This also provides for the addition of a graphic package. **No amendments this quarter.**

Contractor: Messer Construction Co. (Construction Manager At-Risk) Note: This is a 'CM-At-Risk' contract.
The amount will be increased as subcontracts are bid and added. *Messer's contract was awarded by RFP process.
Contract % complete was calculated using the estimated \$107 Million Construction Budget.

Contract # 4500007696

Total Change Orders to Date: 400

Low Bid:

High Bid:

Number of Bids:

Original Contract Amount: \$108,947,449

Cumulative Change Order Amount: \$4,579,316

Revised Contract Amount: \$113,526,766

Contract Percent Complete: 99%

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

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

Change Order # 4, 10/3/07 and increase of \$67,340 was approved to provide a 3 foot wide trench as part of Bid Package 1 instead of being included as scope of work in Bid Package 4. This will provide a possible cost

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct Biological Pharmaceutical Complex Building Change Orders greater than \$25,000 Cont...

savings due to the efficiency of the excavation contractor being on site. **Change Order # 10**, 2/1/08, was approved for an increase of \$29,633 to add compacted crushed stone fill across the basement floor area. The added stone will provide a work base for first floor slab construction scaffolding. **Change Order # 17**, 2/1/08, was approved for an increase of \$25,146 to provide depressed slabs at floors 3 and 5 for installation of Cold Rooms. This will allow for recessed floor at the cold rooms without a curb or ramp. **Change Order # 18**, 5/27/08, was approved for \$329,492 to provide additional canopy at the south side of the building. This was added to Bid Pack 3 instead of placed with Bid Pack 4 as originally planned. Keeping the steel with one trade contractor provided economy due to ease of coordination and additional mobilization costs. **Change Order # 19**, 2/1/08, was approved for an increase of \$121,994 to provide changes to the structural steel package due to design modifications in Bid Package 4. **Change Order # 26**, 5/29/08, was approved for \$43,186 to provide structural columns at the north side of the penthouse. **Change Order # 29**, 3/31/08, was approved for an increase of \$62,605 to provide re-bar revisions at locations of recessed base plates. **Change Order # 40**, 7/25/08, was approved for an increase of \$118,200 to modify skin attachments and slab edges to remedy the conflict between existing structural steel and skin attachments. The conflict is due to the fast track nature of the bid packages. Modifications to skin attachments and slab edges are necessary to achieve the design intent. **Change Order # 43**, 8/22/08, was approved for \$39,323.71 to increase one (1) penthouse distribution panel from 600A to 800A. This also increases the feeder to this panelboard and feeders to the modular chiller skid and dry cooler. **Change Order # 53**, 9/24/08, was approved for an increase of \$36,064 for necessary steel required at the window jambs. As a result of the fast track nature of the bid packages the steel package was bought prior to the design of the window details. **Change Order # 55**, 9/24/08, was approved for an increase of \$60,874 to provide revised openings at penthouse roof. This is a result of final coordination of the penthouse roof structure with the actual RTU/curbs provided. **Change Order # 57**, 10/14/08, was approved for an increase of \$31,978 to repair the roadway cuts along Washington Avenue where Columbia Gas has installed their new gas line. The work was originally contracted with Columbia Gas but is being moved to the Construction Manager's scope to provide uniform restoration of Washington Avenue asphalt work. **Change Order # 58**, 10/16/08, was approved for an increase of \$88,473 to provide for Washington Avenue communications manhole expansion due to concealed conditions regarding existing utilities. **Change Order # 62**, 11/11/08, was approved for an increase of \$29,298 to provide for a change in selected wood finish in public spaces to cherry versus beech in lab, support and research spaces. **Change Order # 66**, 10/21/08, was approved for an increase of \$27,627 to provide additional coordination between Bid Packs 2, 3 and 4. **Change Order # 74**, 12/11/08, was approved for a decrease of \$30,500 to delete creation of the graphics programming on controls. The University will design it's own graphic screens. **Change Order # 97**, 3/3/09, was approved for an increase of \$136,955.83 to provide steel columns as required for the elevator structure. The contract documents did not adequately address all of the structural elements needed to accommodate the elevators. **Change Order # 103**, 3/4/09, was approved for an increase of \$34,234.30 to provide replacement of unsuitable soil at the site for the generator building expansion due to a differing site condition. **Change Order # 106**, 3/4/09, was approved for an increase of \$65,825.76 to revise tile and carpeting in order to maintain design consistency with the interior furnishings and finishes. This change also provides for a more durable floor in the higher traffic areas. **Change Order # 107**, 3/3/09, was approved for an increase of \$32,071.07 to provide cherry wood panels in lieu of metal panels at the sides of the media wall. The wood panels will provide a more uniform appearance to the proposed media wall in the atrium. **Change Order # 117**, 3/9/09, was approved for an increase of \$45,307 to provide for extension of gypsum board, on one or both sides of metal studs, to the deck above. **Change Order # 104**, 4/3/09, was approved for an increase of \$72,000 to provide alternate steam design as compared to the original bid due to value engineering during the post bid addendum negotiations. **Change Order # 126**, 5/5/09, was approved for an increase of \$45,307 to resolve conflict between mechanical circuit schedule and distribution panel schedules. **Change Order # 127**, 5/5/09, was approved for an increase of \$43,873 to provide additional coordination between the ceiling grid and the light fixture required to account for the actual size of the light fixture. **Change Order # 134**, 6/2/09, was approved for an increase of \$26,967 to provide the required service area above ceiling and to modify the sizing of HVAC and the communication installations allowing for revision in the atrium make-up air. **Change Order # 141**, 4/16/09, was approved for an increase of \$52,374 to provide modifications to the finish carpentry in the floor 1 and 2 auditoriums. Additionally, this change order provides modesty panels and wireways at each row of strip tables in all auditoriums. **Change Order # 159**, 4/24/09, was approved for an increase of \$166,314 to extend Construction Manager Services to allow the completion of the Vivarium due to bid package and steel delays. **Change Order # 160**, 4/30/09, was approved for an increase of \$80,706 to provide for increased cost for installation of the waterline by Kentucky American Water Company. **Change Order # 164**, 4/20/09, was approved for an increase of \$27,478 to convert storage room 501C to create an egress exit out of the Vivarium in order to meet KY Code requirements. **Change Order # 196**, 7/9/09, was approved for an increase of \$28,403 to provide a dedicated exhaust duct system and roof fan for basement Vivarium laundry dryers. **Change Order # 222**, 8/21/09, was approved for an increase of \$143,046 to provide alternate shaft caps at the tops of ten (10) shafts that extended upward through the building to the Penthouse Floor. Additionally, this change order includes structural walking surfaces above the rated assemblies and cement board decking

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct Biological Pharmaceutical Complex Building Change Orders greater than \$25,000 Cont...

in lieu of fire retardant plywood. **Change Order # 224**, 8/21/09, was approved for an increase of \$58,339 for ceiling modifications at Floor 5 to construct beam wraps, to add a storefront smoke separation at the top of the atrium, and to add a large architectural grill with plenums above. **Change Order # 228**, 8/18/09, was approved for an increase of \$55,804 to provide ceiling modifications to include rulon cubes and the addition of plenum boxes and associated ductwork. **Change Order # 231**, 9/9/09, was approved for an increase of \$31,007 to relocate tower drives from the top of the tower to inside the CUP building. **Change Order # 241**, 10/5/09, was approved for an increase of \$36,707 for provision of a Local Area Network (LAN) connection to the Air Handlers in the Penthouse. **Change Order # 242**, 10/6/09, was approved for a decrease of \$31,759 to delete epoxy flooring in select rooms and replace with sealed concrete, and to delete epoxy wall coatings in select rooms and replace with block filler and paint. High performance coatings are not required in these rooms that are outside of the Vivarium. **Change Order # 243**, 10/6/09, was approved for a decrease of \$66,566 to delete select floor finishes on floor 5 and at the Penthouse. Because the area is a shell space, there is a potential for incompatibility between the sealed concrete and future floor finishes. The epoxy finish is also being deleted. **Change Order # 248**, 10/5/09, was approved for \$33,526 to provide a concrete retaining wall and associated foundation at the north side of the building entrance. Changes in the grade at the sidewalk, as well as a modification to the architectural catch basin are also provided for in this change. **Change Order # 259**, 10/5/09, was approved for \$49,837 to add a moisture emission sealer for the COP Vivarium concrete floor. This will remedy high moisture content at the slab and create conditions within the manufacturer's requirements for the epoxy floor installation. **Change Order # 282**, 11/25/09, was approved for an increase of \$109,342 to reconfigure programming space to accommodate the newly announced Institute for Pharmaceutical Outcomes and Policy (IPOP). **Change Order # 307**, 11/25/09, was approved for an increase of \$261,125 to include fit-up of the Food Service area on the first floor. The "fit-out" consists of designed mechanical, electrical and plumbing systems/devices/finishes; wall, floor and ceiling finishes and casework/millwork. It does not include food service equipment. **Change Order # 329**, 1/28/10, was approved for an increase of \$40,430 to provide necessary vent piping to the outside from the three steam relief valves located on the Steris autoclave in the Vivarium. **Change Order # 335**, 2/23/10, was approved for an increase of \$29,493 to modify the site construction at the surface lot at the southeast corner of the site in order to maintain some parking at the Limestone/Leader corner lot. **Change Order # 365**, 2/23/10, was approved for an increase of \$27,382 to revise the amphitheater exterior steps. Although the steps do meet code, it is feared that pedestrians may not be aware that there is a 12" seating step and could fall. **Change Order # 378**, 3/22/10, was approved for an increase of \$25,917 to modify the over the paddle-type eyewash provided to the drench hose type eyewash at the request of COP faculty for additional student safety. **Change Order # 384**, 5/20/10, was approved for an increase of \$33,437 to remove existing single slide door and replace with a new bi-parting door system to allow adequate space for the DLAR animal cages. **Change Order # 385**, 5/20/10, was approved for an increase of \$27,600 to provide a card reader, door position switch, and electric lock on door 198A1 in room 196. **Change Order # 402**, 7/21/10, was approved for an increase of \$112,261 to provide additional bracing of pipe supports in Utility Tunnel required to resist the necessary lateral force required for the beam rollers to roll.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct CAER Lab Bldg. #2

Project Number: 2312.01

Scope: \$15,776,913

Project Description:

The University is the recipient of a grant award from the National Institute of Standards and Technology (NIST) as part of the 'America Recovery and Renewal Act' federal stimulus package to construct a new stand alone laboratory building for the University of Kentucky Center for Applied Energy Research located at Spindletop Research Park. Portions of the laboratory facility will be specially equipped to accommodate battery manufacturing R&D. And other portions of the building will be specially equipped to accommodate research related to biomass energy and biofuels, electrochemical energy storage, and solar energy.

Consultant: Murphy+Graves Architects

Contract # A101110

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:	\$1,645,000
Cumulative Amendment Amount:	
Revised Contract Amount:	\$1,645,000

Contractor: Turner Construction

Note: This is a 'CM-At-Risk' contract. The amount will be increased as subcontracts are bid and added. *Turner's contract was awarded by RFP process.

Contract # 4500039389

Total Change Orders to Date: 1

Low Bid:

High Bid:

Number of Bids:

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

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

Original Contract Amount:	\$1,382,093
Cumulative Change Order Amount:	\$19,479
Revised Contract Amount:	\$1,401,572
Contract Percent Complete:	1%

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct Children's Garden at the Arboretum

Project Number: 2303.00

Scope: \$729,724

Project Description:

The Children's Garden will be a safe 1.85 acres outdoor environment designed to help children 2 to 10 years old learn about plants and the environment. There will be an integrated combination of various "child-scaled" theme gardens, garden-like elements for experiential play, and gardens planted and maintained by children. This initial phase will construct the geographical features including rock escarpments; the stream and pond; and some of the walks and plantings.

Consultant: M2D Design Group

Contract # A091040E #1

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount: \$35,068

Cumulative Amendment Amount:

Revised Contract Amount: \$35,068

Contractor: Meyer Midwest

Contract # 4500036412

Total Change Orders to Date: 6

Low Bid: \$407,000

High Bid: \$479,620

Number of Bids: 2

Original Contract Amount: \$407,000

Cumulative Change Order Amount: \$165,710

Revised Contract Amount: \$572,710

Contract Percent Complete: 85%

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

Change Order # 5, 6/18/10, was approved for an increase of \$50,823 to replace the concrete pavers from behind the retaining wall at overlook with permeable pavers to better match future additions to the garden. Drainage pipes and associated structures were added as well to alleviate existing drainage issues outside the garden and to manage future needs inside the garden. **Change Order # 6, 7/9/10, was approved for an increase of \$95,640 to add The Quilt Fountain and the paving, drainage, pump/filter system, plumbing, and electrical work associated with the feature.**

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct Patient Care Facility

Project Number: 2239.0

Scope: \$532,300,000

Project Description:

This project will construct a new hospital addition to include patient beds, patient diagnostic and treatment areas, support areas, support facilities, medical equipment and infrastructure. The project also includes the replacement of the hospital parking garage and a connecting bridge as well as land acquisition and utility costs. (Note: The project design scope at the present time is \$532 Million as has been discussed with the BOT.)

Consultant: GBBN, Inc.

Contract #	A061080	Original Contract Amount:	\$30,400,226
Total Amendments to Date:	8	Cumulative Amendment Amount:	\$7,919,660
Describe all Amendments:		Revised Contract Amount:	\$38,319,886

Amendment # 1, 9/12/06, was approved for \$299,044 for additional design services required to design two additional floors for the parking garage. This amendment also provides for additional survey services associated with the rerouting of the ductbank; the addition of 12 receptor sources to be studied as part of the existing wind study; and the need for additional storm water modeling to review the impact on the new Patient Care Facility during heavy rain storm events. **Amendment # 2**, 2/13/07, was approved for additional design services associated with increased scope including but not limited to increased renovation of areas in the existing hospital (all phases); development of early bid packages for infrastructure and site utility packages and temporary emergency department access; development of on additional bed wing (all phases); development of partial cafeteria (all phases); design of fitup for two additional floors (shell only - all phases); design of a redundant communications feed (all phases); additional design services associated with security systems; development of design of Phase 1B air handlers (thru DD's) and additional design of costs associated with relocation and installation of above ground and underground fuel tanks (all phases). Also included is additional reimbursable services for added geotechnical rock investigation; additional site survey and added construction testing. **Amendment # 3**, 5/13/08, an increase of \$868,849 was approved for additional design services to include completion of the PCF Auditorium and construct a mock up in the College of Nursing. It also provides for 3D images and graphic design services for fund raising efforts as well as additional costs associated with preparing early and separate supplemental bid packages. **Amendment # 4**, 4/14/09 an increase of \$332,700 was approved for expanded design services to include completion of design of the surgery waiting expansion, the expansion of Children's Hospital entry, changes in the auditorium design, refining several infrastructure elements and further development of the gift shop case work. **Amendment # 5**, 6/9/09, an increase of \$72,151 was approved for implementation of a GIS facility management system to import and manage data associated with buildings and spaces, with the ability to expand for future inclusion of detail equipment, finishes and furniture data information. **Amendment 6**, 10/13/09, an increase of \$281,162 was approved for additional design services, additional renderings, revision of art work lighting and additional expenses for the donor recognition design as well as additional construction administration services for the added auditorium AV systems. **Amendment 7**, 4/20/10, an increase of \$278,370 was approved to provide for additional design services for the Celebrate Kentucky Wall, Rose Street Plaza, the green roof, enabling work and a lobby fountain. The amendment also provides for additional reimbursable services. **Amendment 8**, 6/8/10, an increase of \$937,498 was approved to provide for the completion of design and the addition of construction administration services for the Patient Care Facility OR Fit-out project. It also provides for design thru phase 2 of the kitchen and cafeteria fit out of the PCF.

Contractor: Turner Construction Co.

*Note: This is a 'CM-At-Risk' contract. The amount will be increased as sub-contracts are bid and added. *Turner's contract was awarded by RFP process.*

Total Change Orders to Date:	782	Original Contract Amount:	\$319,492,345
Low Bid:		Cumulative Change Order Amount:	\$20,050,921
High Bid:		Revised Contract Amount:	\$339,543,266
Number of Bids:		Contract % complete:	86%

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

Change Order # 1, 6/4/07, was approved for an increase of \$91,344 to facilitate the procurement strategy and meet the project timeline. A portion of select infrastructure was transferred from Bid Pack 4A to the earlier Bid Pack 3B. **Change Order #2**, 5/31/07, was approved for an increase of \$65,296 to relocate the existing direct buried steam lines and pressurized drain found to be in conflict with the new tunnel. Since the lines must be moved they will be relocated into the new tunnel to make the lines accessible for maintenance. **Change Order # 3**, 7/11/07, was approved for an increase of \$58,928 to relocate an existing sanitary sewer manhole and associated lines to sanitary sewer manhole and associated lines to resolve underground utility conflicts. **Change Order # 5**, 9/6/07, was approved for an increase of \$49,439 to replace and relocate deteriorated and inaccessible 2 1/2" and 1 1/2" underground direct buried steam lines that were revealed upon excavation. **Change Order # 9**, 10/3/07, was approved for \$2,840,457 to convert the TC-01 Sitework (RAM Engineering) Rock Allowance to an unspecified status. Ram will be responsible to remove all the rock associated with their scope of work for BP 3B and as defined by the Geotechnical Report. This is due to misinterpretation of site conditions. Actual rock removal quantities are greater than estimated quantities in the contract documents. **Change Order # 10**, 10/1/07, was approved for an increase of \$55,314 to convert the portion of the six existing sanitary and storm sewer lines that pass through the main tunnel to ductile iron to ensure that these lines don't rupture. The increase also provided for re-routing the existing water lines to avoid conflict with the new tunnel. **Change Order # 11**, 10/4/07, was approved for an increase of \$47,780 to replace and re-route the existing domestic water line as well as reroute the existing water main.

Construct Patient Care Facility Change Orders greater than \$25,000 Cont....

Change Order # 13, 10/9/07, was approved for \$40,755 to relocate approximately 150' storm line and associated manhole due to conflict with the new Cooling Plant # 3 utility tunnel. **Change Order # 21**, 11/21/07, was approved for an increase of \$53,383 to convert the 7000KVA transformer from aluminum to copper windings, add an air switch to the transformer and add a medium voltage outdoor breaker with remote monitoring and control capability to all five electric substations. These changes were made to increase the efficiency of the system and to meet specifications of upcoming substation upgrades. **Change Order # 23**, 12/10/07, was approved for a decrease of \$48,383 to alter the installation of the cold water and the cold water return piping system to avoid conflict with sensitive boiler equipment. **Change Order # 27**, 12/5/07, was approved for an increase of \$144,844 to provide saw cutting of the pedestrian walkway and walkway roofing instead of traditional hammering. The saw cutting method will reduce noise and vibration impacts to the adjacent Critical Care Facility. **Change Order # 32**, 1/18/08, was approved for an increase of \$33,072 to enlarge the existing emergency generator pads to support installation of new diesel generators due to changes in EPA regulations. **Change Order # 34**, 2/1/08, was approved for \$388,426 to provide additional construction manager's staff and general conditions due to an additional two floors being added to the Patient Care Facility. **Change Order # 42**, 3/20/08, was approved for an increase of \$128,502 to extend the limits of the blasting and excavation of rock in Bid Pack # 4 to accommodate the installation of sanitary line. The rock removal was originally intended for Bid Pack # 5, but will provide cost savings if moved to Bid Pack # 4. **Change Order # 43**, 3/31/08, was approved for an increase of \$229,016 to increase the rock allowance due to greater rock quantities than anticipated. **Change Order # 58**, 4/23/08, a decrease of \$60,522 was approved to utilize the existing ductbank for the new conductors. The existing ductbank was lower than expected and did not interfere with the new storm tunnel. **Change Order # 60**, 4/23/08, was approved for \$34,827 to increase the ductbank from six to twelve conduits to match the size of the existing ductbank. **Change Order # 66**, 5/6/08, was approved for \$42,700 to offset new 36" chilled water lines. A 2" foam glass board insulation was put in place between the chilled water and high pressure steam line due to unexpected elevation. **Change Order # 68**, 6/4/08, was approved for \$39,794 to perform rock removal while classes are in session using a rock trenching machine so as not to disturb teachers, students and staff in the Ag. Science Bldg. **Change Order # 71**, 5/7/08, was approved for \$47,571 to install four new handicap ramps and thermoplastic street marking to comply with ADA standards. **Change Order # 73**, 6/6/08, was approved for \$37,090 to remove and replace water meter vault that is in the CP # 3 tunnel excavation footprint due to location of hidden chilled water lines. **Change Order # 85**, 6/4/08, was approved for \$28,092 to revise alignment and depth of electrical ductbank that runs from Scott Street toward Electric Substation # 2, and revise the location of its associated manhole. This will insure proper cover for manhole and ductbank when future changes are made in this area. **Change Order # 90**, 6/9/08, was approved for \$42,604 to install new ductbank at a depth greater than planned due to concealed high voltage ductbank. **Change Order # 98**, 7/3/08, was approved for an increase of \$62,263 to modify the tower crane foundation. This was required due to unsatisfactory rock with mud seams and fractures found in the west tower crane location. **Change Order # 102**, 7/14/08, was approved for an increase of \$50,183 to increase the size of both main electrical duct banks. **Change Order # 110**, 7/30/08, was approved for an increase of \$25,219 to remove an additional 240 linear feet of bad soil on Scott Street that is unsuitable for the new duct bank. Excavated material will be replaced with flowable fill concrete. **Change Order # 121**, 8/25/08, was approved for an increase of \$32,912 to provide additional excavation for fuel tanks to meet required depth. **Change Order # 127**, 8/22/08, was approved for an increase of \$43,493 to perform additional excavation at area "A" shear wall/grade beam due to unsuitable rock. Excavated material will be replaced with 4000 psi concrete. **Change Order # 128**, 8/22/08, was approved for an increase of \$30,655 to perform additional excavation at area "B" shear wall/grade beam due to unsuitable bearing. Excavated material will be replaced with 4000 psi concrete. **Change Order # 130**, 9/9/08, was approved for an increase of \$27,914 to provide control of the control valves with a selector switch and indicator lights. The switch will allow the operator to select which tank to pull oil from. **Change Order # 138**, 9/22/08, was approved for \$40,322 to provide a larger drilling rig needed to sleeve and bore larger holes due to the composition of the subgrade. **Change Order # 139**, 9/22/08, was approved for \$27,303 to sawcut the CCC tunnel footers and slab as required for the 16" sanitary pipe to pass thru the tunnel. The pipe will be sleeved to prevent shearing and concrete and resteel placed around the sleeve. This is due to the existing sanitary pipe being lower than expected. **Change Order # 143**, 9/29/08, was approved for \$33,766 to excavate 6' to 7' below design elevation on the 12.3 line from Column Line D.1 to the southeast corner. Excavated material will be replaced with 4000 psi concrete and added resteel. This is due to found rock. **Change Order # 159**, 11/3/08, was approved for an increase of \$38,301 to offset the chilled water piping to avoid conflict with the communications tie-in to the cable tray. **Change Order # 164**, 11/26/08, was approved for an increase of \$34,881 to install a high pressure steam valve and a pump discharge valve in the main on the south side of the Gill Heart tap. This will reduce the outage to the Gill Heart building and the Critical Care to less than one day and will eliminate future outages. **Change Order # 165**, 11/26/08, was approved for an increase of \$73,079 to provide for additional removal of rock and soil and to provide additional concrete for the drilled piers. Found subsurface conditions required deeper piers than were required by contract. **Change Order # 173**, 1/20/09 was approved for an increase of \$39,957 to provide for additional cost required to bore under existing gas line for the new 24" sanitary main. The original gas line was not relocated by Columbia Gas as originally planned due to access issues. **Change Order # 177**, 3/2/09, was approved for an increase of \$51,550 to remove existing unsuitable soil where fuel tanks were removed. Backfill and compact will be added to grade. **No change orders over \$25,000 this quarter.**

BP # 5 Change Orders

Change Order # 2 BP # 5, 6/30/08, was approved for \$36,359 to provide and install 48" diameter sump pit and piping, for the existing subsurface groundwater. This addressed the field condition of ground water that has been observed in open excavations. **Change Order # 4 BP # 5**, 7/23/08, was approved for \$26,723 to provide two mock-ups of the architectural precast panels. **Change Order # 7 BP # 5**, 9/15/08, was approved for an increase of \$39,922 to provide concrete shear walls at Column Line 12/E-F and Column Line 12/L-M, ground level to underside of third level. **Change Order # 8 BP # 5**, 9/30/08, was approved for an increase of \$26,540 to add one (1) gate valve and three (3) triple duty offset butterfly valves to high pressure steam lines. The original design did not allow for a partial cut-off of steam supply to the building. **Change Order # 20, BP # 5**, 12/2/08, was approved for an increase of \$38,438 to provide concrete shear walls in accordance with the structural documents. The trade contractors scope descriptions failed to assign this task. **Change Order # 24, BP # 5 2/6/09** was approved for an increase of \$27,389 to revise the medium voltage cable spec to meet published UK standard. **Change Order # 26, BP # 5**, 1/20/09 was approved for an increase of \$25,547 to provide additional doors to the freight elevators allowing access to these elevators from the exterior. **Change Order # 27, BP # 5 1/20/09** was approved for an increase of \$29,111 to install 60 linear feet of 18" reinforced concrete pipe from the existing storm manhole to the new 12' diameter manhole. **Change Order # 32, BP # 5**, 2/10/09 was approved for an increase of \$71,714 for the upsizing and rerouting of the steam generators. **Change Order # 41, BP # 5**, 3/26/09 was approved for an increase of \$75,511 to provide miscellaneous electrical revisions to Bid Pack 5 electrical systems to include new distribution panel and critical bus duct plugs.

Construct Patient Care Facility Change Orders greater than \$25,000 Cont...

Change Order # 45 BP # 5, 4/30/09, was approved for an increase of \$26,288 to add a medium voltage outdoor breaker with remote monitoring and control capability to all five substation breakers. This will increase the efficiency of the system. **Change Order # 46 BP # 5**, 4/30/09, was approved for an increase of \$25,931 to provide and install twelve (12) humidifier condensate pumps to provide for disposal of the condensate from the air handlers. **Change Order # 47 BP # 5**, 5/12/09, was approved for an increase of \$41,529 to add a low pressure steam pumping system to the basement level of the facility. These pumps are required for proper function of the system.

Change Order # 51 BP # 5, 5/29/09, was approved for an increase of \$228,937 to provide a compatible mating of the curtain wall and precast systems. This silicone tape allows for a water tight skin on the structure. **Change Order # 52 BP # 5**, 5/15/09, was approved for an increase of \$30,633 to re-route existing lines allowing for placing of structural column to support east connector. **Change Order # 57 BP # 5**, 6/1/09, was approved for an increase of \$29,521 to fund overtime payment for Baker Construction. This additional cost will be used to make up time lost due to weather delays in December 2008 and January 2009. These days will need to be made up to open the Emergency Department on the currently scheduled date. **Change Order # 62 BP # 5**, was approved for an increase of \$36,687 to fund overtime payment for Baker Concrete over four weeks in May to maintain schedule. Overtime work was required to maintain the concrete pour schedule due to inclement weather. **Change Order # 65 BP # 5**, was approved for an increase of \$47,723 to install backfill against the southeast and southwest corners of the Patient Care Facility. **Change Order # 66 BP # 5**, 6/26/09, was approved for an increase of \$26,436 to re-route existing sanitary sewer to allow for installation of bridge pier. **Change Order # 63 BP # 5**, 8/12/09, was approved for an increase of \$35,236 to allow for payment of shift premium to accelerate pan removal under the 4th and 5th decks. This will accelerate the work schedule. **Change Order # 69 BP # 5**, 7/2/09, was approved for an increase of \$27,497 to provide sidewalk stabilization during excavation for a pilaster. This change order also allows for removal and reinstallation of the distilled water line that conflicts with the new foundation. **Change Order # 84 BP # 5**, 9/2/09, was approved for an increase of \$43,756 to allow for a needed additional 2 feet of height to the Penthouse elevator. **Change Order # 85 BP # 5**, 9/7/09, was approved for an increase of \$67,697 to replace existing 18" ADS plastic storm pipe under the lobby area with 18" ductile iron pipe to meet code. **Change Order # 86 BP # 5**, 9/15/09, was approved for an increase of \$50,436 to fund the purchase and installation of fifty six control dampers required for proper functioning of the Air Handling Units that were purchased directly by UK. **Change Order # 88, BP # 5**, 10/2/09, was approved for an increase of \$69,965 to provide for payment of onsite personnel at the new Kentucky Labor Cabinet prevailing wage rates. **Change Order # 96, BP # 5**, 10/16/09, was approved for a decrease of \$25,727 to delete flex connections note required for installation of the air handling units. **Change Order # 99, BP # 5**, 10/27/09, was approved for an increase of \$231,535 to furnish and install additional accessories, fitting, valves and controls for the heat exchangers. **Change Order # 117, BP # 5**, 12/9/09, was approved for an increase of \$27,631 to fund overtime work for the steel contractor in order to complete the necessary steel erection for the topping out ceremony. **Change Order # 126, BP # 5**, 1/11/10, was approved for an increase of \$109,869 to extend sleeves in all IDF/EIDF rooms in order to allow access to the sleeves from the floor below without infringing on the cable tray. **Change Order # 132, BP # 5**, 2/1/10, was approved for an increase of \$31,104 to add one 112 x 34 fire damper and modify two 112 x 34 fire smoke dampers in the outside air dampers on the fourth floor. The actuators for these dampers need to be internal due to space restrictions and access requirement. **Change Order # 133, BP # 5**, 2/10/10, was approved for an increase of \$26,580 to relocate the 3" chilled water supply take-off to the supply main on the discharge side of the chilled water pumps, so that it is located upstream of flow meter and will properly operate. **Change Order # 139, BP # 5**, 2/24/10, was approved for an increase of \$71,292 to provide safety drain traps to prevent condensate from backing up in the humidification steam generator tubes during a low pressure condition. **Change Order # 142, BP # 5**, 2/24/10, was approved for an increase of \$39,069 to replace pipe and steam traps on the clean steam generators that don't meet specifications. This cost will be deducted from the contract of the steam generator vendor. **Change Order # 145, BP # 5**, 3/1/10, was approved for an increase of \$46,192 to provide top of shaft/elevator control room sleeves and machine beams to accommodate future elevator equipment. The work will be done at this time to allow for significant modifications to the building structure which would be difficult and disruptive when the hospital is operational. **Change Order # 147**, 3/2/10, was approved for an increase of \$49,407 to revise various duct sizes and pipe routing at several locations on the 3rd and 4th floor mechanical rooms. **Change Order # 148, BP # 5**, 3/4/10, was approved for an increase of \$138,921 to provide and install 40 foot mast to accommodate 7 antennas. This includes all structural support, warning lights, and fire stopping required for proper installation of the 40 foot mast. **Change Order # 149, BP # 5**, 3/4/10, was approved for an increase of \$66,388 to provide lift-net ethernet based central monitoring system, software, and supporting infrastructure for monitoring of all new and future elevators in the PCF. **Change Order # 150, BP # 5**, 3/8/10, was approved for an increase of \$67,125 to relocate high pressure steam header in basement above chilled water pipes to eliminate trapped piping in order to prevent an unwanted trap. **Change Order # 155, BP # 5**, 3/17/10, was approved for an increase of \$56,402 to revise south supply and return 24" chilled water feeds into basement as required. This will reverse the supply and return to match the connections to the mains in the tunnel. **Change Order # 156, BP # 5**, 3/19/10, was approved for an increase of \$37,489 to furnish and install access hatches on the 15th and 16th floors for future service and installation of equipment in elevator machine rooms at the top of each tower. **Change Order # 168, BP # 5**, 4/23/10, was approved for an increase of \$54,344 to relocate 16 fire/smoke damper actuators and add access doors as required to provide access for maintenance and yearly testing. **Change Order # 171, BP # 5**, 4/27/10, was approved for an increase of \$81,371 to furnish and install conduit and added control wiring from unit substations to remote Entellisys control stacks. **Change Order # 185, BP # 5**, 6/24/10, was approved for an increase of \$49,935 to route high pressure condensate from heating hot water and domestic hot water converters to high pressure return back to condensate pump. This enhances the reliability and safety of the building and campus steam system. **Change Order # 187, BP # 5**, 6/25/10, was approved for an increase of \$26,761 to provide additional hall position indicators for five elevators. **Change Order # 191, BP # 5**, 7/27/10, was approved for an increase of \$52,938 to install a check valve in the bypass line between the heating hot water supply and return at each of the units. **Change Order # 198, BP # 5**, 8/18/2010, was approved for an increase of \$129,334 to furnish and install snubbers on the transformers that serve the two fire pumps as a precautionary action to protect against future damage to the transformers.

Construct Patient Care Facility Change Orders greater than \$25,000 Cont....

BP # 6 Change Orders

Change Order # 1, BP # 6, 1/23/09 was approved for an increase of \$74,499 to increase booster pump capacity. **Change Order # 2, BP # 6**, 3/3/09 was approved for an increase of \$38,126 to allow for the installation of piping for dialysis systems on the 5th floor. **Change Order # 3, BP # 6**, 3/24/09 was approved for an increase of \$101,006 to utilize Densarmor exterior sheeting for the electric and data closets. This will allow for the installation of the materials prior to the roofing of the structure. This will enhance the schedule and allow the project to remain on track for the substantial completion of the emergency department. **Change Order # 11 BP # 6**, 5/21/09, was approved for an increase of \$320,823 to re-design to meet the State's interpretation of the KY plumbing code. Venting was added as well as the resizing of piping. **Change Order # 12 BP # 6**, 5/29/09, was approved for a decrease of \$50,620 to delete all Galley Equipment from the 8th Floor due to the decision to not fit-out the 8th floor in phase 1A. **Change Order # 13 BP # 6**, 6/1/09, was approved for an increase of \$33,352 to relocate the required power for the elevator machine room. **Change Order # 19 BP # 6**, 7/2/09, was approved for an increase of \$69,287 to fund the installation of ground bars and associated ground wiring in 110 locations data and electrical closets. **Change Order # 37 BP # 6**, 8/18/09, was approved for a decrease of \$73,319 to delete demolition of existing 36" storm drain and the new 36" storm line. **Change Order # 45 BP # 6**, 8/28/09, was approved for an increase of \$367,335 to install cast-in-place concrete anchors in the 6th floor to support the 5th floor MEP items. This work will drastically reduce the noise associated with the fit-out of the 5th floor which is scheduled to occur after the 6th floor is occupied. **Change Order # 46 BP # 6**, was approved for an increase of \$28,293 to upgrade power, add a smart panel, and tie to the existing Tridium system for controls of exterior fountain system and site lighting. This allows for reduced maintenance costs and remote management of the exterior system. **Change Order # 47 BP # 6**, 8/28/09, was approved for an increase of \$127,027 to provide one Edgestar door controller per door. **Change Order # 53 BP # 6**, 9/21/09, was approved for an increase of \$29,323 to replace Luminaire type F55 with type F56. **Change Order # 55 BP # 6**, 9/21/09, was approved for an increase of \$191,975 to provide fit out of additional office spaces in the basement of the Patient Care Facility. **Change Order # 56 BP # 6**, 9/22/09, was approved for a decrease of \$80,087 to delete fiber and coax to work stations throughout the podium. Upon review of the function of these work stations fiber and coax was deemed unnecessary. **Change Order # 57 BP # 6**, 9/29/09, was approved for an increase of \$626,061 to amend Turner's contract to allow for payment of prevailing wage rate determined by the Kentucky Labor Cabinet. The rates included in the original bid documents were increased by the State prior to contract signing. **Change Order # 69, BP # 6**, 10/16/09, was approved for an increase of \$101,492 to provide coax cable to service televisions in all patient rooms. **Change Order # 72, BP # 6**, 10/16/09, was approved for an increase of \$351,828 to furnish and install 3,000 gallon concrete grease trap. This is required for the future fit-out of the kitchen and cafeteria. Installation at this time results in cost savings and lessens future impact on hospital operations. **Change Order # 82, BP # 6**, 10/26/09, was approved for an increase of \$38,299 to revise electric and data outlets due to staff changes made to increase the efficiency of the space. Additional cabling for the Hill-Rom system was also required. **Change Order # 100, BP # 6**, 12/14/09, was approved for an increase of \$66,196 to upgrade grounding of medium voltage electrical systems for both normal and emergency power from 7 switches to manholes E412 and E214E to provide a safe and reliable high voltage system. **Change Order # 103, BP # 6**, 11/24/09, was approved for an increase of \$36,720 to revise the route of one set of oxygen lines and to add offset to oxygen lines at all steam line expansion joints in the tunnel. This will create a more reliable and robust oxygen system. **Change Order # 104, BP # 6**, 11/24/09, was approved for an increase of \$58,594 to add additional unit heater and cabinet unit header DDC controls. **Change Order # 105, BP # 6**, 11/24/09, was approved for an increase of \$25,760 to provide the additional 120 Volt circuits needed for the operation of the smoke dampers. **Change Order # 109, BP # 6**, 11/23/09, was approved for an increase of \$52,082 to provide patient lift system with a rail in select Acute and Acute Isolation restrooms on the 6th and 7th floors. This will greatly improve patient care and reduce staff injuries. **Change Order # 110, BP # 6**, 11/24/09, was approved for an increase of \$44,339 to purchase dialysis boxes required for the 6th and 7th floor ICU patient rooms. **Change Order # 111, BP # 6**, 11/25/09, was approved for an increase of \$95,389 to provide raceways, electrical wiring and teledata wiring for wireless telemetry system. **Change Order # 112, BP # 6**, 11/25/09, was approved for a decrease of \$139,555 to reduce the number of drops and raceways for the wireless telemetry grid. **Change Order # 113, BP # 6**, 11/24/09, was approved for an increase of \$38,833 to revise the main duct mains in basement areas A and C to allow for proper installation of mechanical systems. **Change Order # 114, BP # 6**, 12/9/09, was approved for an increase of \$27,464 to reroute existing electrical feeders that are located overhead in the hospital loading dock to allow for installation of new utilities. **Change Order # 115, BP # 6**, 12/9/09, was approved for an increase of \$53,632 to change power from 80/20 emergency to a normal 50/50 configuration in all patient rooms on the 6th and 7th floors for more dependability. **Change Order # 117, BP # 6**, 12/9/09, was approved for a decrease of \$64,113 to relocate data and power outlets, and make changes to light switching on the 6th and 7th floors. **Change Order # 122, BP # 6**, 12/15/09, was approved for an increase of \$207,802 to provide one additional data outlet and power receptacle in the wall at the head of the bed in each of the 128 patient rooms. **Change Order # 125, BP # 6**, 12/15/09, was approved for an increase of \$41,512 to provide conduit for the door access intercom system for the intercom device to the cable tray and from cable tray to Intercom Master Panels throughout the project infrastructure to support additional equipment in the security/dispatch room. **Change Order # 143, BP # 6**, 12/15/09, was approved for an increase of \$36,860 to provide additional ventilation in the 4th floor CCC Mechanical tower to accommodate Swisslog equipment. **Change Order # 144, BP # 6**, 1/4/10, was approved for an increase of \$49,623 to provide temporary weather protection to contain winter heat in the podium. **Change Order # 146, BP # 6**, 1/4/10, was approved for an increase of \$40,504 to make adjustments to the ductwork to allow for installation of systems while maintaining ceiling height as required for proper utilization of the spaces. **Change Order # 157, BP # 6**, 1/14/10, was approved for an increase of \$123,223 to furnish and install one medical gas master alarm panel in Room H64 to allow for a UL rated system. **Change Order # 161, BP # 6**, 2/1/10, was approved for an increase of \$34,574 to revise the light fixture selection and lighting fixture layout for the up lights highlighting the eyebrow on the 5th and 12th floors of the structure. **Change Order # 162, BP # 6**, 2/1/10, was approved for an increase of \$82,634 to modify VESDA smoke detection system for lobby smoke exhaust. **Change Order # 167, BP # 6**, 2/4/10, was approved for an increase of \$229,299 to add data and power outlets associated with using the upper cabinet space in patient room wardrobes for IT equipment mounting space. **Change Order # 168, BP # 6**, 2/4/10, was approved for an increase of \$108,706 to provide additional power necessary for the final pneumatic tube system design. **Change Order # 174, BP # 6**, 2/16/10, was approved for an increase of \$136,321 to revise 6th floor ductwork and cable tray to include additional conduit runs in vicinity of the mechanical chases to allow for proper access to mechanical and electrical equipment.

Construct Patient Care Facility Change Orders greater than \$25,000 Cont....

Change Order # 175, BP # 6, 2/16/10, was approved for an increase of \$115,641 to revise 7th floor ductwork and cable tray to include additional conduit runs in vicinity of the mechanical chases to allow for proper access to mechanical and electrical equipment. **Change Order # 176, BP # 6, 2/23/10,** was approved for an increase of \$154,586 to add power infrastructure to support additional UPS devices in all 32 EIDF rooms. **Change Order # 177, BP # 6, 2/23/10,** was approved for an increase of \$37,436 to remove and replace floor tile in the ED, and install colors per the revised color schedule. **Change Order # 181, BP # 6, 2/23/10,** was approved for an increase of \$40,687 to re-route glycol and hot water piping on level 14 due to unforeseen space constraints. **Change Order # 183, BP # 6, 2/24/10,** was approved for an increase of \$50,973 to revise the location of 8 patient tracking monitors and add 7 locations for overhead tracking monitors in the ED. **Change Order # 188, BP # 6, 3/4/10,** was approved for an increase of \$102,822 to add piping and electrical connections for dialysis equipment in 16 step down rooms to increase the flexibility of the patient rooms. **Change Order # 192, BP # 6, 3/4/10,** was approved for an increase of \$88,311 to revise domestic water piping to the steam pressure reducing stations for the four domestic water heat exchangers. **Change Order # 194, BP # 6, 3/8/10,** was approved for an increase of \$31,061 to provide 5" copper pipe in lieu of steel for heating hot water piping. **Change Order # 201, BP # 6, 3/12/10,** was approved for an increase of \$108,500 to upgrade dialysis boxes and add electrical connections for dialysis equipment on the 6th and 7th floors. **Change Order # 205, BP # 6, 3/17/10,** was approved for a decrease of \$26,766 to remove sprinklers from north and west canopies and add sprinklers to south drive-through canopy. This assures greater coverage where vehicular traffic is located and reduces the chance of freezing in areas that are not required by code. **Change Order # 207, BP # 6, 3/17/10,** was approved for an increase of \$136,040 to modify the temporary basement offices to address code compliance. **Change Order # 218, BP # 6, 3/25/10,** was approved for an increase of \$52,662 to revise 3rd and 4th floor ductwork and piping to accommodate installation of all trades. **Change Order # 221, BP # 6, 3/25/10,** was approved for an increase of \$40,734 to provide plumbing and electrical services to five dialysis boxes in the ED. **Change Order # 226, BP # 6, 3/29/10,** was approved for an increase of \$56,337 to revise power, lighting, and specialty lighting throughout the lobby ground level and first level to accommodate selections of the art program. **Change Order # 229, BP # 6, 4/7/10,** was approved for an increase of \$31,569 to provide temporary doors and hardware for electrical rooms as required by the electrical inspector for final testing of the high voltage gear. **Change Order # 234, BP # 6, 4/13/10,** was approved for an increase of \$50,535 to add section of built-in curved seating, revise wall cap material, and add gaming area countertop to the pediatric waiting in the ED to support installation of patient gaming system. **Change Order # 238, BP # 6, 4/14/10,** was approved for an increase of \$93,626 provide the infrastructure and connections necessary to support University supplied uninterrupted power supplies in the IDF and EIDF rooms throughout the project. **Change Order # 243, BP # 6, 4/22/10,** was approved for an increase of \$76,602 to furnish and install condensate drains for two air handler units in electrical rooms on the fourth floor and insulate condensate drains throughout the building. **Change Order # 244, BP # 6, 4/21/10,** was approved for an increase of \$52,639 to revise ductwork in the 1st floor lobby to accommodate the radiused bulkhead to include extending the height of the plenums along the lobby exterior wall and installing revised linear grills. **Change Order # 251, BP # 6, 4/21/10,** was approved for an increase of \$74,208 to revise coring layout, poke thru devices, and electrical and technology raceways for Steelcase furniture in ED area. **Change Order # 252, BP # 6, 4/21/10,** was approved for an increase of \$74,097 to add temperature mixing valves to eyewashes and emergency showers on the ground, 6th and 7th floors. **Change Order # 253, BP # 6, 4/21/10,** was approved for an increase of \$30,041 to provide additional electrical connections as required for installation of 11 Swisslog blower units and one Swisslog transfer unit on the 4th floor. **Change Order # 258 BP # 6, 4/23/10,** was approved for an increase of \$425,593 to furnish and install waste plumbing and venting required for 64 patient rooms, staff rest rooms, staff break areas, and utility spaces on the 8th floor of the PCF. Completing this work at this time eliminates the need for access to the 7th floor, which will be occupied when the 8th floor fit-out construction starts. **Change Order # 261, BP # 6, 4/27/10,** was approved for an increase of \$68,333 to modify the fire alarm systems in the PCF, Gill Building, Critical Care Center and Chandler Hospital such that all buildings report to the new fire control center in the PCF. **Change Order # 267, BP # 6, 4/29/10,** was approved for an increase of \$35,307 to add additional plantings and ornamental fencing between the Agriculture Building and Emergency parking area to establish the boundary between the two. **Change Order # 284, BP # 6, 5/18/10,** was approved for an increase of \$28,790 to revise casework and countertop to add point of care testing station for Soiled Utility A00504. **Change Order # 287, BP # 6, 5/13/10,** was approved for an increase of \$38,906 to install dust shield covers on 164 drop in lights in the ED for infection control purposes. **Change Order # 288, BP # 6, 5/13/10,** was approved for an increase of \$47,608 to re-route storm piping, irrigation piping, and vent piping above the ceiling in the auditorium to allow for proper installation of mechanical equipment. **Change Order # 301, BP # 6, 5/18/10,** was approved for an increase of \$54,139 to convert two secure treatment rooms into isolation rooms by adding a new isolation exhaust fan on the 1st floor roof, within the chiller screen wall. Modify air balance and add room monitors for proper pressurization. **Change Order # 327, BP # 6, 6/3/10,** was approved for an increase of \$107,562 to provide temporary upright sprinkler heads where ceilings are not yet installed on the ground floor, and upgrade and extend several of the existing partitions to 2 hour walls for the phased turnover of the ED. **Change Order # 328, BP # 6, 6/7/10,** was approved for an increase of \$101,969 to add missing life safety power to 87 fire smoke dampers. **Change Order # 332, BP # 6, 6/10/10,** was approved for an increase of \$88,130 to revise metal stud layout, electrical work, duct work, floor and wall finishes to accommodate the "Celebrate Kentucky" wall design. The final design of the wall was not available when the construction documents were published. **Change Order # 334, BP # 6, 6/11/10,** was approved for an increase of \$42,212 to add various security hardware items to the ground floor ED which were not included in the original contract documents. **Change Order #336, BP # 6, 6/11/10,** was approved for an increase of \$34,217 to provide horizontal connections for 34 locations for the overhead paging system in the ED. The final design of the system was not selected by the end users prior to the submission of construction documents. **Change Order # 340, BP # 6, 6/24/10,** was approved for an increase of \$80,919 to add card readers, locking door hardware, exit button, door contact, key switch, shear locks, retractable latches and delayed egress controller to various doors in the ED to realize the required security and access control for imaging areas and med. storage rooms. **Change Order # 343, BP # 6, 6/25/10,** was approved for an increase of \$45,551 to include a new pathway and the abutting planting mounds for the green roof on the 5th floor roof. It includes the relocation of the excess Green Roof planting trays that are displayed by the new pathway and planting mounds. **Change Order # 350, BP # 6, 6/25/10,** was approved for an increase of \$89,093 to add one duplex outlet and change one duplex to quad outlet in 128 Acute Care and ICU Patient Rooms on the 6th and 7th floors. **Change Order # 354, BP # 6, 6/29/10,** was approved for an increase of \$69,437 to modify street light bases and illuminated signs along Limestone St. to allow installation of exterior signs and street lighting.

Construct Patient Care Facility Change Orders greater than \$25,000 Cont...

Change Order # 363, BP # 6, 7/6/10, was approved for an increase of \$26,160 to add panel, transformer and fused disconnect in the parking garage to support lighting and receptacles in the bridge lobby. Change Order # 380, BP # 6, 7/27/10, was approved for an increase of \$34,092 to drain heating hot water system, and relocate 15 valves of varying sizes. This will facilitate requirement of fewer outages and disruptions to patient care in future phases of construction. Change Order # 404, BP # 6, 8/6/10, was approved for an increase of \$47,988 to relocate various sanitary, waste, and vent lines that are above high voltage gear on the fourth floor, and place pans under any lines that cannot be moved in order to eliminate the threat to electrical gear below. Change Order # 405, BP # 6, 8/6/10, was approved for an increase of \$59,470 to revise lobby design to accommodate design of the Main Donor Wall. The design of the Donor Wall was not available when the project was bid. Change Order # 413, BP # 6, 8/11/10, was approved for an increase of \$60,950 to revise the Rose Street Plaza landscaping to include additional subsoil, planting medium, and plants as required to expand the landscaping plan. Change Order # 416, BP # 6, 8/11/10, was approved for an increase of \$29,068 to furnish and install automatic dampers and their controls for the atrium smoke exhaust fans. Change Order # 426, BP # 6, 8/18/10, was approved for an increase of \$58,718 to provide Icynene spray foam for fire protection in all pockets more than 12-inches in depth. Change Order # 433, BP # 6, 8/25/10, was approved for an increase of \$36,213 to reroute storm pipe in the ground floor lobby area including portion the underground piping. Change Order # 441, BP # 6, 8/30/10, was approved for an increase of \$48,310 to furnish the labor and material to revise four steel reinforced concrete fan bases, and provide four additional steel reinforced concrete fan bases on the fifteenth floor of the facility. Change Order # 442, BP # 6, 8/30/10, was approved for an increase of \$182,106 to revise the lobby rotunda lighting to include 25 additional Illumivision Light Wave fixtures and remote lighting control system. These lights will be installed in recesses in the rotunda. Change Order # 451, BP # 6, 9/7/10, was approved for an increase of \$27,185 to change fabric on the 6th and 7th floor Mechoshades to enhance function and durability of the shades in the inpatient areas. Change Order # 456, BP # 6, 9/7/10 was approved for an increase of \$80,283 to furnish and install all required elements to create a new lobby water feature to include the water feature, supporting electrical and pumping systems, control systems. Change Order # 462, BP # 6, 9/13/10, was approved for an increase of \$284,907 to install conduit and cabling to accommodate nurse call device quantity and location changes per approved Hill Rom drawings. Change Order # 465, BP # 6, 9/14/10, was approved for an increase of \$313,636 to furnish and install 128 Marlite artwork panels and Korogard wall protection with related trim on inpatient room walls at the head of the bed to accommodate the final selection of the artwork for patient rooms. Change Order # 467, BP # 6, 9/15/10, was approved for an increase of \$26,145 to furnish and install additional trapeze hangers for life safety and emergency. Change Order # 471, BP # 6, 9/15/10, was approved for an increase of \$68,306 to furnish and provide materials necessary to protect lobby stone floor during the construction process. Change Order # 475, BP # 6, 9/15/10, was approved for an increase of \$88,510 to furnish and install additional 120V power connections required for twenty-for PTZ cameras. Change Order # 477, BP # 6, 9/17/10, was approved for an increase of \$57,683 to provide additional work in the laboratory required to complete the connections between the east connector and to maintain and enhance operations of the Critical Care 6th floor laboratory. Change Order # 481, BP # 6, 9/22/10, was approved for an increase of \$76,752 to provide 2 additional sets of filters for AHU's that were not purchased with the equipment or from the HVAC contractor. Change Order # 485, BP # 6, 9/28/10, was approved for \$313,198 to furnish and install electrical conduit and wiring associated with additional electrical and data outlets throughout the 6th and 7th floors to accommodate owner furnished equipment and systems.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

PCF - Hospital - CUP Expansion

Project Number: 2239.32

Scope: \$13,150,000

Project Description:

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

Consultant: GBBN Inc.

See project 2239.0

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

Contractor: Messer Construction Co.

Contract # 4500008954

Original Contract Amount:

\$9,474,000

Total Change Orders to Date: 46

Cumulative Change Order Amount:

\$783,937

Low Bid: \$9,474,000

Revised Contract Amount:

\$10,257,937

High Bid: \$10,400,000

Contract Percent Complete:

99%

Number of Bids: 2

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

Change Order # 4, 12/10/07, was approved for \$37,518 to provide required additional rock and soil drilling. **Change Order # 7**, 2/21/08, was approved for an increase of \$53,981 to provide temporary building heat until the new deaerator and surge tank are installed. **Change Order # 14**, 7/23/08, was approved for an increase of \$28,219 to change the boiler water piping from ductile iron to schedule 80 black steel pipe. **Change Order # 17**, 7/10/08, was approved for an increase of \$26,270 to install new platform in the northwest corner of the CUP addition to provide greater accessibility and safer access to valves and equipment. **Change Order # 21**, 7/23/08, was approved for an increase of \$45,585 to provide for additional costs resulting from the late delivery of the boilers provided by the University and resulting complications which impacted items on the critical path. Liquidated damages collected from the boiler manufacturer will be applied to the compensation associated with this change order. **Change Order # 30**, 8/11/08, was approved for an increase of \$28,249 to relocate the new condensate pump from the BBSRB tunnel to the College of Pharmacy tunnel. Provide valving to allow the pump to pump in either direction. This change allows for more versatile operation of the campus steam system. **Change Order # 34**, 10/30/08, was approved for an increase of \$52,257 to provide and install pipe insulation for the new boiler feed water piping and the boiler blow-down piping. **Change Order # 35**, 11/3/08, was approved for an increase of \$34,693 to provide and install two wye strainers and to install and connect the stack gas analyzers and Horiba panels. Because the boilers were a direct purchase by the University this scope of work was not originally included in the contract documents. **Change Order # 37**, 2/2/09 was approved for \$26,661 to revise the Civil Site plan to provide greater security and improve the utilization of the grounds north of the new construction. **Change Order # 44**, 2/24/10, was approved for an increase of \$25,745 to perform various items of work related to the boiler installation not included in the contractor's original contract documents. **Change Order # 45**, 2/24/10, was approved for an increase of \$54,881 to install a new VFD for each of eight ventilation fans. The high efficiency boiler operation required increased building temperature control to manage the combustion process of the burners of the two boilers. **No change orders greater than \$25,000 this quarter.**

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct Patient Care Facility (Pavilion A, OR Suites and Support)

Project Number: 2239.70

Project Description:

Scope: \$35,000,000

This project provides a new surgical suite to be constructed in the shell space of the new Patient Care Facility. The project includes construction of 8 operating rooms, 1 hybrid OR, with supporting spaces for surgical pathology, surgical pharmacy, anesthesiology, staff lounge and lockers, and pre-operative / post operative functions. Also included will be the construction of a new central sterile supply and associated elevators to serve the new surgery areas. In addition the project will supply a 63,000 CFM air handling unit to provide for the HVAC requirements of this area. The fit-up encompasses an area of approximately 66,000 SF.

Consultant: GBBN

Contract # A061080

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:

\$937,498

Cumulative Amendment Amount:

Revised Contract Amount:

\$937,498

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

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

Contract #

Total Change Orders to Date: 1

Low Bid:

High Bid:

Number of Bids:

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

Change Order # 1, 8/30/10, was approved for an increase of \$29,377 to construct a full-scale mock-up of select O.R. spaces for Owner review and testing of equipment locations.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Digital Village Building 2

Project Number: 2297.10

Project Description:

Scope: \$18,669,725

This project consists of the design and construction of approximately 43,000 gross square feet of research space for the Center for Visualization and Virtual Environments as well as selected research activities in the Department of Computer Science and the Department of Electrical and Computer Engineering. The facility must be sufficiently flexible in design so that it can be easily adapted to support research into emerging areas of interest. The structure should provide flexible office space and support facilities. This project will pursue LEED Certification.

Consultant: JRA Architects

Contract # A091110

Total Amendments to Date: 1

Original Contract Amount: \$1,409,934

Cumulative Amendment Amount: \$37,800

Describe all amendments :

Revised Contract Amount: \$1,447,734

Amendment 1, 8/11/09, an increase of \$37,800 was approved to provide for the research and design of a photovoltaic system. No amendments this quarter.

Contractor: Congleton-Hacker * Note: This is a 'CM-At-Risk' contract. The amount will be increased as subcontracts are bid and added. *Congleton-Hacker's contract was awarded by RFP process. *25 Trade subcontracts have been added to date

Contract # 4500031914

Total Change Orders to Date: 54

Low Bid:

High Bid:

Original Contract Amount: \$13,761,651

Cumulative Change Order Amount: \$484,315

Revised Contract Amount: \$14,245,966

Contract Percent Complete: 78%

Number of Bids:

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

Change Order # 14, 2/4/10, was approved for an increase of \$37,930 to install new cabling between the switch in the new manhole to the existing one to avoid splices in the existing cabling and to minimize the shutdown and outage time required for the electrical service to the Hardyman Building. Change Order # 15, 2/4/10, was approved for a decrease of \$32,042 to adjust the allowance found in the photovoltaic panel installation bid package due to bid savings. Change Order # 19, 3/12/10, was approved for an increase of \$46,491 to revise the communications duct bank to the south and to modify the slope of storm line D. This will facilitate future duct bank tie-in without shutting down access to the parking lots north of College View. Change Order # 30, 6/10/10, was approved for an increase of \$26,044 to provide for utility work on the west side of Memorial Coliseum due to found conditions. The existing Communications ductbank stub-out extends further than expected and is obstructing the installation of the piping. Change Order # 38, 8/23/10, was approved for an increase of \$31,228 to provide wireless access points within the building to provide adequate networking capability within the building. Change Order # 45, 8/24/10, was approved for an increase of \$75,530 to provide the access control system required to properly manage the electronic locks. In addition stand-alone battery operated locks were added to all offices and public spaces. Change Order # 46, 8/30/10, was approved for an increase of \$44,806 to include installing new manholes for the building pumped discharge and vault pumped discharge. This change also includes adding pump discharge to piping and master trap detail to sanitary manhole and also connecting the forced main and gravity sewer main to the new gravity sewer manhole. Change Order # 58, 9/28/10, was approved for an increase of \$43,679 to provide for resurfacing and repairing the existing parking lot around the new utility vault west of the Digital Village.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Expand & Upgrade Livestock Disease Diagnostic Lab

Project Number: 2234.00

Scope: \$27,155,200

Project Description:

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

Consultant: CMW, Inc.

Contract # A061100

Total Amendments to Date: 3

Original Contract Amount: \$648,000

Cumulative Amendment Amount: \$1,846,800

Revised Contract Amount: \$2,494,800

Describe all amendments :

Amendment # 1, 12/12/06, was approved for \$90,000 to provide additional design services to accommodate a phased implementation consistent with the legislative budget action. Includes the additional design to study the new tissue digester effluent impact of the LFUCG Town Branch Wastewater Treatment Plant. **Amendment # 2**, 12/10/07, an increase of \$131,000 was approved for additional schematic design services to include multiple methods of animal carcass disposal including rendering, incineration and digestion. **Amendment # 3**, 7/16/08, an increase of \$1,625,800 to provide all of the architectural and engineering services required to complete Schematic Design, Design Development, Construction Documents and Construction Administration phases for an estimated \$20,000,000 worth of construction at the existing UK Livestock Disease Diagnostic Center Facility. **No amendments this quarter.**

Contractor: Congleton-Hacker Company (Construction Manager-At-Risk)

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

*Congleton-Hacker's contract was awarded by RFP process.

Contract # 4500026910

Total Change Orders to Date: 136

Low Bid:

High Bid:

Original Contract Amount: \$18,146,148

Cumulative Change Order Amount: \$1,243,774

Revised Contract Amount: \$19,389,922

Contract Percent Complete: 88%

Number of Bids:

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

Change Order # 6, 8/21/09, was approved for an increase of \$45,000 to provide dense graded aggregate (DGA) fill under the building's concrete slabs. The DGA was incorrectly detailed and is required for correct construction of the building concrete slabs. **Change Order # 19**, 12/14/09, was approved for an increase of \$44,983 to select a better match to existing bricks than the proposed brick. The General Shale brick that was bid was deemed unacceptable in the project mock-up wall. **Change Order # 35**, 12/21/09, was approved for an increase of \$64,388 to provide temporary paving around Necropsy. This portion of the paving was purposefully deferred during bidding due to market fluctuation. **Change Order # 49**, 3/1/10, was approved for an increase of \$28,360 to add matching freestanding wall on top of retaining wall to create a min. 42" high wall. This prevents any chance of falling and improves site grading requirements adjoining the wall. **Change Order # 56**, 3/17/10, was approved for an increase of \$35,910 to provide for rental of a trailer necessary for the temporary relocation of UK College of Ag. pathologists. The pathologists must be temporarily relocated to allow for existing facility renovation work to proceed. **Change Order # 77**, 4/21/10, was approved for an increase of \$43,516 to modify wall to provide additional stud cavity to conceal pipes and conduit. This also eliminates sloped cap and makes it flush for cleanability. **Change Order # 91**, 6/7/10, was approved for an increase of \$50,835 to provide mold resistant gypsum board in dry areas and moisture resistant gypsum board in wet areas. **Change Order # 98**, 7/20/10, was approved for an increase of \$40,187 to implement changes to address the issue of excessive moisture in the soil around necropsy. **Change Order # 103**, 7/27/10, was approved for an increase of \$32,794 to install base course of asphalt in remaining areas on site that were not included in the contract due to construction phasing and timing. **Change Order # 105**, 7/28/10, was approved for an increase of \$226,148 to provide coatings consistent with UK compliance standards for animal disinfection.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Guaranteed Energy Savings Performance Contracts

Project Number: 2288.00

Project Description:

Scope: \$25,000,000

An energy service company (ESCO), such as AMERESCO, provides comprehensive energy and water management analysis plans as well as energy and water-related capital improvement services. Enabled by Kentucky Revised Statute 56.774, energy savings performance contracting is a cost-effective process for energy upgrades. Energy service companies guarantee that utility savings generated by facility upgrades are sufficient to pay back the capital investment during the next twelve years. If the project does not provide these returns on the investment, the ESCO is responsible for the difference. No renovations that do not affect energy savings will be done as part of this initiative. This project will help meet the overall University goal, which is to decrease the university's overall energy demands by 10-15 percent. Energy conservation measures in the project that will reduce the university's overall energy consumption include: Upgrades to lighting systems to the latest electric saving technology; fume hood controls in Chemistry/Physics; HVAC systems; steam and chiller plant controls; Installation of motor speed drives (VFD's) to save energy during mild weather conditions; Energy management software to monitor usage in real time; and automatic utility metering devices; Replacement of old plumbing fixtures to the latest water saving technology; Repair of pipe insulation; Behavioral modification programs to encourage energy conservation, tailored for campus and developed, implemented and measured to maximize effectiveness and initiate a culture of energy efficiency.

Consultant: N/A

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

Contractor: Ameresco Inc

Contract # 4500042240

Original Contract Amount:

\$24,675,589

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

\$24,675,589

High Bid:

Contract Percent Complete:

Number of Bids:

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate 4-H Camps

Project Number: 2310.00

Scope: \$2,000,000

Project Description:

The College of Agriculture Cooperative Extension Service and 4-H Youth Development operate 4-H Camping Centers in Nicholas, Pulaski, Laurel and Hopkins counties. This project will renovate existing cabins by upgrading utility infrastructure, improving finishes, and installing energy efficient heating and air conditioning systems. The project also will include replacement of existing bunks and mattresses in all the camps. Additionally, a new cabin will be built that will house 28 campers and 4-H staff.

Consultant: Murphy & Graves

Contract # A101000BB

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:	\$50,000
Cumulative Amendment Amount:	
Revised Contract Amount:	\$50,000

Contractor: No construction contracts awarded to date.

Contract #

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

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

Original Contract Amount:	
Cumulative Change Order Amount:	
Revised Contract Amount:	
Contract Percent Complete:	

Renovate 4th Floor Sanders-Brown Center on Aging

Project Number: 2313.01

Scope: \$6,428,471

Project Description:

This project will consist of renovating approximately 9,000 square feet of research support space in the Sanders-Brown Center. This project will include retrofitting outdated, non-compliant research support space and the associated mechanical equipment to meet current regulatory requirements. The project is fully funded from an NIH Grant as part of the ARRA.

Consultant: Omni Architects

Contract # A101140

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:	\$562,119
Cumulative Amendment Amount:	
Revised Contract Amount:	\$562,119

Contractor: Messer Construction Co Note: This is a 'CM-At-Risk' contract. The amount will be increased as subcontracts are bid and added. *Messer's contract was awarded by RFP process.

Contract # 4500040166

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

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

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

Original Contract Amount:	\$382,695
Cumulative Change Order Amount:	
Revised Contract Amount:	\$382,695
Contract Percent Complete:	

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate Nursing Building

Project Number: 2307.00

Scope: \$1,883,970

Project Description:

This project will renovate and convert a covered patio on the third floor of the Nursing Building into student study and discussion space. Additionally, minor enhancements will be made in some fifth floor graduate student space. The project is fully funded from a U.S. Department of Health and Human Services, Health Resources and Services Administration grant.

Consultant: Stengel-Hill Architecture

Contract # A101100

Total Amendments to Date: 1

Describe all amendments :

Amendment 1, 7/20/10 , an increase of \$18,500 was approved to provide additional design services for removal of the existing open exterior stair on the Third Floor Exterior Patio of the College of Nursing Building and to complete renovation of the first floor public restrooms.

Original Contract Amount:	\$150,000
Cumulative Amendment Amount:	\$18,500
Revised Contract Amount:	\$168,500

Contractor: Messer Construction Co.

Contract # 4500040661

Total Change Orders to Date:

Low Bid: \$1,298,000

High Bid: \$1,568,000

Number of Bids: 10

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

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

Original Contract Amount:	\$1,298,000
Cumulative Change Order Amount:	
Revised Contract Amount:	\$1,298,000
Contract Percent Complete:	28%

Renovate Parking Structure #3 - Hospital

Project Number: 2311.00

Scope: \$635,000

Project Description:

This project includes repairing the concrete topping on levels two and three; painting of pre-cast connections; installation of a new expansion joint at the structural slab transition; full depth slab repairs for levels four, five, and six; and application of an elastomeric waterproofing membrane on level six. These repairs are needed to protect the structure from moisture penetration and resulting deterioration of concrete and embedded metals.

Consultant: Brown & Kubican

Contract # A101030SS

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:	\$42,000
Cumulative Amendment Amount:	
Revised Contract Amount:	\$42,000

Contractor: Schnell Contractors inc

Contract # 4500039781

Total Change Orders to Date: 2

Low Bid: \$283,700

High Bid: \$500,991

Number of Bids: 5

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

Change Order # 1, 9/3/10, was approved for an increase of \$68,970 to complete full depth repair, crack repair on levels 5 & 6; Pothole repair 1st ramp, and membrane placement on 5th level. Change Order # 2, 9/7/10, was approved for an increase of \$45,460 to provide materials and labor for additional leveling surface on 5th and 6th floors, replace roof scuppers and downspout, roof repair at two stair towers. These issues were found during renovation and considered a priority to repair.

Original Contract Amount:	\$296,200
Cumulative Change Order Amount:	\$114,430
Revised Contract Amount:	\$410,630
Contract Percent Complete:	82%

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate Third Floor Little Library

Project Number: 2306.00

Scope: \$1,000,000

Project Description:

This project will renovate and fit-up approximately 5,300 square feet of shelled space on the third floor of the Little Library. Prior to the library consolidations following completion of the W.T. Young Library, this space was used to house library materials. The renovated space will house the Center for Applied Information Technology, a suite of offices for the School of Library and information and two new classrooms, seating for 48, with smart technology.

Consultant: Pearson & Peters

Contract # A101000DD

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:	\$44,200
Cumulative Amendment Amount:	
Revised Contract Amount:	\$44,200

Contractor: Denham-Blythe Company

Contract # 4500039790

Total Change Orders to Date:

Low Bid: \$551,694

High Bid: \$660,600

Number of Bids: 11

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

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

Original Contract Amount:	\$551,694
Cumulative Change Order Amount:	
Revised Contract Amount:	\$551,694
Contract Percent Complete:	97%

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate/Expand the Center For Applied Energy Research

Project Number: 2286.10

Project Description:

Scope: \$2,000,000

The primary purpose of this project will be a multi-phased project incorporating the following components:

Mineral Process Lab Building - The initial phase of the project will require the construction of a 6,400 square foot support building. This new facility will permit the relocation of the existing mineral processing group currently housed in the centers main facility. The existing equipment support space, offices and labs will be relocated.

Relocation of the Crushing Room - The existing Crushing Room is to be relocated into an existing facility originally built for dry storage of coal.

Biofuels High Bay Lab Fit-up and Improvements - Renovated space, vacated by the Mineral Processes Lab above, will allow for the development of a biofuels laboratory for production, characterization, and testing of biomass derived fuels, with a focus on biodiesel, bio-oils, and biomass derived Fischer-Tropsch liquids. The principle objective of this project is the establishment of a laboratory dedicated to the development of improved processes for biomass utilization, with the goal of supporting the development of the biofuels industry in Kentucky.

Combustion High Bay Hoods - The existing Combustion/High Bay Lab will have a new bench top fume hood and a new walk-in hood installed with required ductwork and exhaust fans.

Consultant: Biagi, Chance, Cummins, London & Titzer

Contract # A091080

Original Contract Amount:

\$200,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

\$200,000

No amendments this quarter.

Contractor: Denham Blythe, Co.

Contract # 4500033050

Original Contract Amount:

\$1,156,991

Total Change Orders to Date: 20

Cumulative Change Order Amount:

\$147,884

Low Bid: \$1,156,991

Revised Contract Amount:

\$1,304,875

High Bid: \$1,544,000

Contract Percent Complete:

100%

Number of Bids: 6

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate/Expand the Center for Applied Energy Research (Ph II)

Project Number: 2286.20

Project Description:

Scope: \$882,221

This project will construct a shell to house the Center for Applied Energy Research mini refinery.

Consultant: Denham Blythe

Contract # A101070

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:	\$40,000
Cumulative Amendment Amount:	
Revised Contract Amount:	\$40,000

Contractor: No construction contract awarded to date.

Contract #

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

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

Original Contract Amount:	
Cumulative Change Order Amount:	
Revised Contract Amount:	
Contract Percent Complete:	

Repair, Upgrade, Improve Bldg. Systems - Hospital (Elevators Upgrade for KY Clinic)

Project Number: 2296.10

Project Description:

Scope: \$1,000,000

This project seeks to upgrade the elevator cabs, elevator controls and elevator pumps for the five elevators located in Kentucky Clinic (includes Medical Plaza). This project allows the Hospital to provide maintenance and upgrades to prevent breakdowns in the system. The Hospital relies on these systems for the efficient transfer of patients, visitors, supplies, and equipment. Unplanned interruptions to these systems create customer service problems and additional personnel costs.

Consultant: N/A

Contract #

Total Amendments to Date:

Describe all amendments :

Original Contract Amount:	
Cumulative Amendment Amount:	
Revised Contract Amount:	

Contractor: Oracle Elevator - * Awarded via RFP Process

Contract # 4500034540

Total Change Orders to Date: 4

Low Bid:

High Bid:

Number of Bids:

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

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

Original Contract Amount:	\$833,835
Cumulative Change Order Amount:	\$12,327
Revised Contract Amount:	\$846,162
Contract Percent Complete:	96%

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Replace Emergency Generators & Fire Pump - UK Good Samaritan Hospital

Project Number: 2277.30

Project Description:

Scope: \$2,025,550

This scope of this project will consist of the replacement or upgrades of the following equipment at the Good Samaritan Hospital: Emergency generator, transfer switches, air handling unit #25, constant pressure water pumps, deareator tank, and a fire pump.

Consultant: CMW, Inc.

Contract # A081150

Original Contract Amount: \$140,000

Total Amendments to Date: 1

Cumulative Amendment Amount: \$8,200

Describe all amendments :

Revised Contract Amount: \$148,200

Amendment 1, 11/11/08, and increase of \$8200 was approved for additional design services as required to provide location options for the emergency generators. **No amendments this quarter.**

Contractor: Messer Construction Co.

Contract # 4500035739

Original Contract Amount: \$1,520,000

Total Change Orders to Date: 022

Cumulative Change Order Amount: \$74,895

Low Bid: \$1,520,000

Revised Contract Amount: \$1,594,895

High Bid: \$1,893,960

Contract Percent Complete: 99%

Number of Bids: 4

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

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

Replace Wildcat Lodge Student Housing (Wildcat Coal Lodge)

Project Number: 2309.00

Project Description:

Scope: \$7,000,000

This project consists of the design and construction of a new housing facility of approximately 18,000 GSF to replace the existing Wildcat Lodge. The new facility is to house the UK men's basketball players in addition to other non-athlete students. The building will include a controlled main entryway, with combination living/bedroom spaces, a common space, with dining and gaming rooms. In addition, it will have a conference room and public restrooms in all common areas. The site will be located just east of the Joe Craft Center.

Consultant: JRA Architects

Contract # A101090

Original Contract Amount: \$554,253

Total Amendments to Date: 1

Cumulative Amendment Amount: \$6,239

Describe all amendments :

Revised Contract Amount: \$560,492

Amendment 1, 5/11/10, an increase of \$6,239.33 was approved to provide phase 2 geotechnical exploration services as a reimbursable expenditure. **No amendments this quarter.**

Contractor: Codell Construction Company

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

*Codell's contract was awarded by RFP process.

Contract # 4500038207

Original Contract Amount: \$534,999

Total Change Orders to Date: 1

Cumulative Change Order Amount: \$7,585

Low Bid:

Revised Contract Amount: \$542,584

High Bid:

Contract Percent Complete:

Number of Bids:

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Student Housing - Supporting Utility Plant Upgrades

Project Number: 2153.30

Project Description:

Scope: \$1,275,000

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

Consultant: AM Kinney

Contract # A041000GG

Original Contract Amount: \$26,315

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$26,315

No amendments this quarter.

Contractor: English Boiler & Tube Inc.

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

Contract # 4500008298

Original Contract Amount: \$1,147,748

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount: \$1,147,748

High Bid:

Contract Percent Complete: 99%

Number of Bids:

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

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

Upgrade, Renovate, Improve or Expand Research Labs (Fit-up 4th and 5th Floor

Project Number: 2314.00

Project Description:

Scope: \$28,000,000

The Biological / Pharmaceutical Complex is a new 286,000 s.f. academic / research building for the University of Kentucky College of Pharmacy. The Fourth and Fifth Floor Fit-Out items for the building include miscellaneous metals and stairs, rough and finish carpentry, wall systems, flooring systems, ceiling systems, doors, frames, hardware, coatings, specialized equipment, plumbing systems, fire protection systems, mechanical systems, electrical systems and communications and controls systems. Food Service Fit-out items include rough and finish carpentry, wall systems, flooring systems, ceiling systems, frames, hardware, coatings, plumbing systems, fire protection systems, mechanical systems, electrical systems and communications and control systems. Audio-visual fit-up includes wiring, sound systems, video systems and control systems.

Consultant: EOP Architects

Contract # A101120

Original Contract Amount: \$898,640

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$898,640

No amendments this quarter.

Contractor: Messer Construction Co.

Contract # 4500039714

Original Contract Amount: \$16,551,760

Total Change Orders to Date: 1

Cumulative Change Order Amount: \$25,705

Low Bid:

Revised Contract Amount: \$16,577,465

High Bid:

Contract Percent Complete: 3%

Number of Bids:

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

Change Order # 1, 9/17/10, was approved for an increase of \$25,705.13 to assign MultiVista under Messer's contract to provide construction documentation for the entire project to include project documentation (photo sets) with Progression and Detailed Sets, preconstruction site survey and slideshows.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Upgrade-Renovate-Improve or Expand Research Labs (Chemistry-Physics Building)

Project Number: 2302.00

Project Description:

Scope: \$1,795,000

The space vacated by the relocation of the Chemistry and Physics libraries will be converted into research and research support space. This renovation will create three wet bench research labs to accommodate three new faculty lines in Chemistry, and one materials lab for Physics. The materials lab will be a multidisciplinary lab that will be used by Chemistry, Physics and Engineering.

Consultant: Omni Architects

Contract # A101060

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:	\$186,000
Cumulative Amendment Amount:	
Revised Contract Amount:	\$186,000

Contractor: Denham Blythe

Contract # 4500037598

Total Change Orders to Date: 10

Low Bid: \$1,382,093

High Bid: \$1,497,000

Number of Bids: 9

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

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

Original Contract Amount:	\$1,382,093
Cumulative Change Order Amount:	\$19,479
Revised Contract Amount:	\$1,401,572
Contract Percent Complete:	99%

FCR 8

Office of the President
December 7, 2010

Members, Board of Trustees:

PATENT ASSIGNMENT REPORT

Recommendation: that the Board of Trustees accept the patent assignment report for the period July 1 through September 30, 2010.

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

Action taken: Approved Disapproved Other _____

PATENT ASSIGNMENT
QUARTERLY FOR THE PERIOD THROUGH SEPTEMBER 30, 2010

Patents

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

- 1. U.S. Patent Application Serial Number: (to be assigned)**
Filed: August 20, 2010
Title: “Ultra-small RNAs as toll-like receptor antagonists”
Inventor: Dr. Jayakrishna Ambati (Ophthalmology)
Technical Description: This invention relates to the ability of ultra-small RNAs to act as toll-like receptors.
Summary: Macular degeneration is a leading cause of age-related blindness. At present, there are limited treatment options for the disease. The inventor has discovered compounds that inhibit the development of macular degeneration in animal models of the disease. The compounds should prove useful to slow or prevent age-related macular degeneration in humans.
- 2. U.S. Patent Application Serial Number: (to be assigned)**
Filed: September 13, 2010
Title: “Bis-quaternary ammonium salts as pain modulating agents”
Inventors: Drs. Joseph R. Holtman (Anesthesiology), Peter A. Crooks, Linda P. Dwozkin, and Elzbieta Wala (Pharmaceutical Sciences) and J. Michael McIntosh (outside inventor).
Technical Description: This invention relates to the use of bis-quaternary ammonium salts for pain modulation, treatment, reversal and/or prevention of inflammatory pain, neuropathic pain or nociceptive pain.
Summary: The financial loss due to pain has been estimated at \$100 billion per year in medical fees, decreased productivity, litigation, and pharmaceuticals. Current drugs used to treat pain either are only moderately effective or highly addictive. The inventors have developed a novel class of drugs which have been shown to decrease pain in laboratory animals and which may provide more effective pain relief without being addictive.

Patent Activities

Fiscal year to date as of September 30, 2010

Number of Patent Applications	2
Number of Patents Issued	7
Patent Receipts	\$258,840.64

UHCCR 1

Office of the President
December 7, 2010

Members, Board of Trustees:

UNIVERSITY HEALTH CARE COMMITTEE OPERATING RULES

Recommendation: that the Board of Trustees approve the University Health Care Committee Operating Rules, attached hereto as Exhibit 1.

Background: The Governing Regulations establishing the University Health Care Committee allow the committee to enact its own operating rules. The committee adopted its initial operating rules in 2005 and amended such rules in 2007 and again in October 2010. It is proposed to amend the operating rules (i) to change the regularly scheduled meetings of the University Health Care Committee to occur on the same day as the regularly scheduled meetings of the Board of Trustees, (ii) to change the notice provisions to reflect the requirements imposed by Kentucky law, and (iii) to remove provisions covered by Administrative Regulations.

The proposed Operating Rules were approved by the University Health Care Committee at its meeting on December 6, 2010. A marked version of the Operating Rules reflecting the changes from the October 2010 rules is attached as Exhibit 2.

Action taken: Approved Disapproved Other _____

EXHIBIT 1
**OPERATING RULES
OF THE
UNIVERSITY HEALTH CARE COMMITTEE**

I. ESTABLISHMENT

Pursuant to Governing Regulation Part II, section A.6(i), the University Health Care Committee (the “Committee”) is established to serve as the governing body to operate the University Hospitals and to oversee the University clinical enterprise. As anticipated by such Governing Regulation, these operating rules are created to guide the governance of the Committee, the University Hospitals and the University clinical enterprise. For purposes of these operating rules, the “University Hospitals” include the University of Kentucky Hospital (sometimes referred to as “Chandler Hospital”) and the UK HealthCare Good Samaritan Hospital, and the University clinical enterprise includes the healthcare delivery and clinical programs of the University Hospitals, UK HealthCare Ambulatory Services, and the University of Kentucky College of Medicine and its faculty practice plan. To accomplish its purposes, the Committee has the power to function in accordance with such Governing Regulation and these operating rules without the need to consult the University Board of Trustees, except to the extent required by Kentucky Revised Statute 164.131 and the Governing Regulations.

II. RESPONSIBILITIES

The Committee is ultimately responsible for the safety and quality of care, treatment and services provided at the University Hospitals and throughout the University clinical enterprise. Without limiting the scope of such responsibility, the Committee shall, through sound oversight and governance:

- 2.1. Provide management oversight for the development and implementation of policies, rules, and regulations and Medical Staff Bylaws for the governance of the University Hospitals and the University clinical enterprise.
- 2.2. Provide optimal settings, facilities and resources for conducting exemplary inpatient and outpatient patient care services for the residents of the Commonwealth of Kentucky and beyond and as required to support the educational and research missions of the Colleges of Medicine, Dentistry, Nursing, Pharmacy, Health Sciences, and Public Health.
- 2.3. Provide access to clinical facilities of the University Hospitals and the UK HealthCare Ambulatory Services for the teaching and research programs of the University.
- 2.4. Support scientific advancement and health maintenance.
- 2.5. Develop and coordinate a model educational environment for the training of health science students and residents and to promote the advancement of scientific learning and research.
- 2.6. Attract and retain high quality faculty and staff to teach, conduct research, and provide patient care.
- 2.7. Enhance the development of superior patient care in a group practice setting within the academic environment of the University clinical enterprise.

- 2.8. Ensure adherence to all legal, regulatory and ethical standards applicable to the University Hospitals and the clinical enterprise and shall review the UK HealthCare Compliance Plan at least annually.
- 2.9. Serve, through its general grant of power by the University Board of Trustees as the governing body of the University Hospitals and to exercise all the powers of a governing body as required by and in accordance with the Conditions of Participation in the Medicare Program promulgated by the Centers for Medicare and Medicaid Services of the United States Department of Health and Human Services (the “Conditions of Participation”), standards established by The Joint Commission (“TJC Standards”), licensure requirements and other applicable federal and state law and to oversee the University clinical enterprise.
- 2.10. Review and approve the annual, biennial, and other planned operating and capital budgets for the University Hospitals and clinical enterprise presented by the Executive Vice President for Health Affairs and recommend same to the University Board of Trustees and monitor the implementation of such budgets.
- 2.11. Exercise oversight for, participate in and approve all short-term and long-term planning, including the strategic plan for the University Hospitals and clinical enterprise.
- 2.12. Approve the written scope of services of the University Hospitals.
- 2.13. Review and evaluate annually the performance of the University Hospitals in relation to the mission, vision and goals.
- 2.14. Manage conflict that may arise among leadership groups of the University Hospitals and the University clinical enterprise, including the Committee, senior management and the organized medical staff through the Joint Conference Committee established as a committee of the Medical Staff under the UK HealthCare Medical Staff Bylaws.
- 2.15. Provide oversight for all matters involving quality and safety of patient care including, but not limited to, patient flow, standard of treatment and services; provision of essential services in a timely manner; use of outside services; quality, sufficiency of staffing; adequacy of space, equipment and other resources; policies and procedures for care treatment and services; patient education; quality measurement, assessment and improvement; and development of clinical practice guidelines. The chairperson of the Committee may appoint one Trustee member to serve as a member of the UK HealthCare Quality and Safety Committee of the UK HealthCare Medical Staff.

III. COMPOSITION

The Committee shall be composed of five voting Trustee Members, seven non-voting Advisory Members and up to seven non-voting Community Advisory Members.

- 3.1. Trustee Members: The Trustee Members shall be members of the University Board of Trustees and shall be appointed by the Chair of the University Board of Trustees, upon the recommendation of the University President. Annually, the Trustee Members shall elect one of Trustee Members as the Chair of the Committee.
- 3.2. Advisory Members: The ex officio Advisory Members shall consist of the individuals holding the following positions: Executive Vice President for Health Affairs, Dean,

- 3.3. Community Advisory Members: The Chair of the University Board of Trustees may appoint, upon recommendation of the University President, up to seven non-voting Community Advisory Members to assist it in its functions by providing specialized advice and support.
- 3.4. Term: Trustee Members, Advisory Members and Community Advisory Members shall hold office for the terms specified below.
- 3.4.1. A Trustee may serve as a voting Trustee Member for the term for which he/she is appointed so long as he remains a member of the Board of Trustees as provided for in the Governing Regulations. The appointments shall be staggered three year terms. Any Trustee may be reappointed for an additional three years. Any vacancy occurring before the expiration of the term of the appointment shall be filled for the unexpired term by appointment by the Chair of the University Board of Trustees upon the recommendation of the University President.
- 3.4.2. Each Advisory Member shall hold office for his/her term as follows:
- A. The ex-officio Advisory Members will hold office so long as they occupy the positions indicated.
- B. The representative appointed by the University President will hold office until such time as the appointment is rescinded by the University President.
- 3.4.3. Appointments for Community Advisory Members shall be staggered three years terms. Any Community Advisory Member may be reappointed for up to two additional three-year terms.
- 3.5. Orientation: Each member of the Committee shall be oriented to all of the following of the University Hospitals and the University clinical enterprise:
- 3.5.1. The mission, vision and goals;
- 3.5.2. The quality and safety goals;
- 3.5.3. Structure and decision-making process;
- 3.5.4. Development of the budget and the financial statements;
- 3.5.5. Populations served by and any issues related to such populations;
- 3.5.6. Individual and interdependent responsibilities and accountabilities of the Committee, the senior management and the organized medical staff as they relate to supporting the mission and to providing safe and quality care; and
- 3.5.7. Applicable law and regulation.

IV. CONFLICT OF INTEREST AND PROHIBITIONS

The University Hospitals, clinical enterprise and this Committee shall not act under any conflict of interest. The Committee and each of its Trustee Members, Advisory Members and

Community Advisory Members shall comply with the University Code of Ethics and the University Code of Conduct Addendum, as both have been adopted by the Board of Trustees, and may be amended, from time to time. In addition, the Committee may enact such other rules prohibiting conflicts of interest as it deems appropriate. No Trustee Member shall be entitled to vote on or deliberate about any matter in which he or she shall have a financial interest.

V. MEETINGS

- 5.1. Regular Meetings: The Committee shall meet at a regularly scheduled time on or before the day of each University Board of Trustees regularly scheduled meeting, and, at such other times as the Chair of the Committee deems necessary to assure adequate oversight and administration of the University Hospitals and clinical enterprise. It shall have a meeting in May or June which is designated as its annual meeting for approval of the budget and election of officers.
- 5.2. Special Meetings: Special meetings may be called at any time by the Chair of the Committee, or by a majority of the Members of the Committee. The Chair of the Committee shall call a special meeting upon the request of a majority of the Trustee Members, the University President or the Executive Vice President for Health Affairs.
- 5.3. Notice: Notice shall be given of any meeting of the Committee or any Subcommittee, thereof, in accordance with applicable law.
- 5.4. Quorum: A quorum for the transaction of business at all meetings of the Committee or any Subcommittee, thereof, shall consist of a majority of the Trustee Members of the Committee.
- 5.5. Manner of Acting: The Chair of the Committee or another Trustee Member designated by the Chair of the Committee shall preside over each meeting of the Committee. Each Trustee Member shall be entitled to one vote at each meeting and must be present in person to vote except as allowed in any specific instance by a majority vote of the Trustee Members present. In the event a quorum is present, a majority vote of those present shall constitute the act of the Committee except as herein otherwise specifically provided. This subparagraph shall apply to any Subcommittees, as well.
- 5.6. Records: The Committee shall maintain records of its proceedings and of any meetings of subcommittees.
- 5.7. Reports: The Committee shall make a report to the University Board of Trustees at each regularly scheduled meeting thereof, in such format as said Board shall prescribe.

VI. GOVERNANCE STRUCTURE

- 6.1. General: The University Hospitals and the University clinical enterprise are governed by the Committee serving as the governing body as required by and consistent with the Conditions of Participation and the TJC Standards, by senior management, including the Executive Vice President for Health Affairs and the Chief Clinical Officer, and the leaders of the organized medical staff.
- 6.2. Executive Vice President for Health Affairs: The Executive Vice President for Health Affairs shall represent the University's interests in matters before the Committee. The

- 6.3. **Chief Clinical Officer:** The Chief Clinical Officer shall serve as the chief executive officer of the University Hospitals for purposes of the Conditions of Participation and the TJC Standards. The Chief Clinical Officer is selected by the Committee upon consultation with the Executive Vice President for Health Affairs and subject to approval by the University Board. The positions of Chief Clinical Officer and Executive Vice President for Health Affairs may be held by the same person.
- 6.4. **Chief Nurse Executive:** The Chief Nurse Executive is the chief nursing officer for University Hospitals and the University clinical enterprise. The Chief Nurse Executive is appointed by the Chief Clinical Officer, subject to the approval of the Executive Vice President for Health Affairs and the Committee. The appointment is subject to approval by the University Board.
- 6.5. **Chief Medical Officer:** The Chief Medical Officer is the UK HealthCare officer responsible for the oversight activities of the organized medical staff including clinical quality, safety, clinical information services, credentialing, patient care clinical services, outcomes, efficiency, and risk management. The Chief Medical Officer is appointed by the Chief Clinical Officer, subject to the approval of the Executive Vice President for Health Affairs and the Committee. The appointment is subject to approval by the University Board.
- 6.6. **Subcommittees:** The Committee may, from time to time, form such standing and ad hoc subcommittees as may be appropriate to fulfill its responsibilities.
- 6.7. **UK HealthCare Medical Staff:** The UK HealthCare Medical Staff shall be established, organized and governed by and in accordance with the UK HealthCare Medical Staff Bylaws approved by the organized medical staff, as defined in such bylaws and by the Committee.
- 6.8. **Medical Staff Executive Committee:** The Medical Staff Executive Committee constitutes the leaders of the organized medical staff and is the executive committee of the UK HealthCare Medical Staff authorized by this Committee and established in the UK

¹ 3. Executive Vice President for Health Affairs

(a) The Executive Vice President for Health Affairs is the chief operating officer for the University's clinical enterprise. The Executive Vice President for Health Affairs is responsible for the planning, development, and operations of the clinical enterprise, according to the priorities established by the President and the Board of Trustees. The clinical enterprise encompasses and integrates all the patient care activities of the University including the University Hospital, Kentucky Children's Hospital, Kentucky Clinics, Gill Heart Institute, Markey Cancer Center, Kentucky Neuroscience Institute and the clinical activities of the colleges of medicine, dentistry, nursing, pharmacy, public health, and health sciences.

(b) The Executive Vice President for Health Affairs is also responsible for the oversight and management of the faculty practice plans and physician practice management for the University's health care providers. The Executive Vice President for Health Affairs works directly with, and in support of, other officials of the clinical enterprise, deans of medical colleges, officers of the faculty practice plans, University officials, medical staff members, and community and state officials.

HealthCare Medical Staff Bylaws. Its functions and responsibilities are set forth in the UK HealthCare Medical Staff Bylaws.

VII. HOSPITAL AUXILIARY

There may be organized one or more Hospital Auxiliaries to render service to the University Hospitals and their patients. Membership shall be open to all interested in contributing their time and talents to serve the respective hospital. There shall be formal bylaws, approved by the Committee, which set forth the purpose, membership, methods of assignment, election of officers, duties of officers, and committees of the organization.

VIII. AMENDMENTS

Except as herein provided, these Operating Rules may be amended, altered, or repealed only by the consent and approval of a majority of the Trustee Members of the entire Committee. No amendment or other change in the Operating Rules shall be effective unless and until it has been approved by the University Board of Trustees.

Approved:

University Health Care Committee, October 11, 2010; _____, 2010

University of Kentucky Board of Trustees, October 12, 2010; _____, 2010

EXHIBIT 2
**OPERATING RULES
OF THE
UNIVERSITY HEALTH CARE COMMITTEE**

I. ESTABLISHMENT

Pursuant to Governing Regulation Part II, section A.6(i), the University Health Care Committee (the "Committee") is established to serve as the governing body to operate the University Hospitals and to oversee the University clinical enterprise. As anticipated by such Governing Regulation, these operating rules are created to guide the governance of the Committee, the University Hospitals and the University clinical enterprise. For purposes of these operating rules, the "University Hospitals" include the University of Kentucky Hospital (sometimes referred to as "Chandler Hospital") and the UK HealthCare Good Samaritan Hospital, and the University clinical enterprise includes the healthcare delivery and clinical programs of the University Hospitals, UK HealthCare Ambulatory Services, and the University of Kentucky College of Medicine and its faculty practice plan. To accomplish its purposes, the Committee has the power to function in accordance with such Governing Regulation and these operating rules without the need to consult the University Board of Trustees, except to the extent required by Kentucky Revised Statute 164.131 and the Governing Regulations.

II. RESPONSIBILITIES

The Committee is ultimately responsible for the safety and quality of care, treatment and services provided at the University Hospitals and throughout the University clinical enterprise. Without limiting the scope of such responsibility, the Committee shall, through sound oversight and governance:

- 2.1. Provide management oversight for the development and implementation of policies, rules, and regulations and Medical Staff Bylaws for the governance of the University Hospitals and the University clinical enterprise.
- 2.2. Provide optimal settings, facilities and resources for conducting exemplary inpatient and outpatient patient care services for the residents of the Commonwealth of Kentucky and beyond and as required to support the educational and research missions of the Colleges of Medicine, Dentistry, Nursing, Pharmacy, Health Sciences, and Public Health.
- 2.3. Provide access to clinical facilities of the University Hospitals and the UK HealthCare Ambulatory Services for the teaching and research programs of the University.
- 2.4. Support scientific advancement and health maintenance.
- 2.5. Develop and coordinate a model educational environment for the training of health science students and residents and to promote the advancement of scientific learning and research.
- 2.6. Attract and retain high quality faculty and staff to teach, conduct research, and provide patient care.
- 2.7. Enhance the development of superior patient care in a group practice setting within the academic environment of the University clinical enterprise.

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- 2.8. Ensure adherence to all legal, regulatory and ethical standards applicable to the University Hospitals and the clinical enterprise and shall review the UK HealthCare Compliance Plan at least annually.
- 2.9. Serve, through its general grant of power by the University Board of Trustees as the governing body of the University Hospitals and to exercise all the powers of a governing body as required by and in accordance with the Conditions of Participation in the Medicare Program promulgated by the Centers for Medicare and Medicaid Services of the United States Department of Health and Human Services (the “Conditions of Participation”), standards established by The Joint Commission (“TJC Standards”), licensure requirements and other applicable federal and state law and to oversee the University clinical enterprise.
- 2.10. Review and approve the annual, biennial, and other planned operating and capital budgets for the University Hospitals and clinical enterprise presented by the Executive Vice President for Health Affairs and recommend same to the University Board of Trustees and monitor the implementation of such budgets.
- 2.11. Exercise oversight for, participate in and approve all short-term and long-term planning, including the strategic plan for the University Hospitals and clinical enterprise.
- 2.12. Approve the written scope of services of the University Hospitals.
- 2.13. Review and evaluate annually the performance of the University Hospitals in relation to the mission, vision and goals.
- 2.14. Manage conflict that may arise among leadership groups of the University Hospitals and the University clinical enterprise, including the Committee, senior management and the organized medical staff through the Joint Conference Committee established as a committee of the Medical Staff under the UK HealthCare Medical Staff Bylaws.
- 2.15. Provide oversight for all matters involving quality and safety of patient care including, but not limited to, patient flow, standard of treatment and services; provision of essential services in a timely manner; use of outside services; quality, sufficiency of staffing; adequacy of space, equipment and other resources; policies and procedures for care treatment and services; patient education; quality measurement, assessment and improvement; and development of clinical practice guidelines. The chairperson of the Committee may appoint one Trustee member to serve as a member of the UK HealthCare Quality and Safety Committee of the UK HealthCare Medical Staff.

III. COMPOSITION

The Committee shall be composed of five voting Trustee Members, seven non-voting Advisory Members and up to seven non-voting Community Advisory Members.

- 3.1. Trustee Members: The Trustee Members shall be members of the University Board of Trustees and shall be appointed by the Chair of the University Board of Trustees, upon the recommendation of the University President. Annually, the Trustee Members shall elect one of Trustee Members as the Chair of the Committee.
- 3.2. Advisory Members: The ex officio Advisory Members shall consist of the individuals holding the following positions: Executive Vice President for Health Affairs, Dean,

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College of Medicine, the Chief Clinical Officer, the Chief Medical Officer, the Chief Nursing Executive, and the President of the UK HealthCare Medical Staff. The University President shall also appoint one (1) Advisory Member to the Committee.

- 3.3. Community Advisory Members: The Chair of the University Board of Trustees may appoint, upon recommendation of the University President, up to seven non-voting Community Advisory Members to assist it in its functions by providing specialized advice and support.
- 3.4. Term: Trustee Members, Advisory Members and Community Advisory Members shall hold office for the terms specified below.
- 3.4.1. A Trustee may serve as a voting Trustee Member for the term for which he/she is appointed so long as he remains a member of the Board of Trustees as provided for in the Governing Regulations. The appointments shall be staggered three year terms. Any Trustee may be reappointed for an additional three years. Any vacancy occurring before the expiration of the term of the appointment shall be filled for the unexpired term by appointment by the Chair of the University Board of Trustees upon the recommendation of the University President.
- 3.4.2. Each Advisory Member shall hold office for his/her term as follows:
- A. The ex-officio Advisory Members will hold office so long as they occupy the positions indicated.
 - B. The representative appointed by the University President will hold office until such time as the appointment is rescinded by the University President.
- 3.4.3. Appointments for Community Advisory Members shall be staggered three years terms. Any Community Advisory Member may be reappointed for up to two additional three-year terms.
- 3.5. Orientation: Each member of the Committee shall be oriented to all of the following of the University Hospitals and the University clinical enterprise:
- 3.5.1. The mission, vision and goals;
 - 3.5.2. The quality and safety goals;
 - 3.5.3. Structure and decision-making process;
 - 3.5.4. Development of the budget and the financial statements;
 - 3.5.5. Populations served by and any issues related to such populations;
 - 3.5.6. Individual and interdependent responsibilities and accountabilities of the Committee, the senior management and the organized medical staff as they relate to supporting the mission and to providing safe and quality care; and
 - 3.5.7. Applicable law and regulation.

IV. CONFLICT OF INTEREST AND PROHIBITIONS

The University Hospitals, clinical enterprise and this Committee shall not act under any conflict of interest. The Committee and each of its Trustee Members, Advisory Members and

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Community Advisory Members shall comply with the University Code of Ethics and the University Code of Conduct Addendum, as both have been adopted by the Board of Trustees, and may be amended, from time to time. In addition, the Committee may enact such other rules prohibiting conflicts of interest as it deems appropriate. No Trustee Member shall be entitled to vote on or deliberate about any matter in which he or she shall have a financial interest.

V. MEETINGS

5.1. Regular Meetings: The Committee shall meet at a regularly scheduled time on or before the day of each University Board of Trustees regularly scheduled meeting, and, at such other times as the Chair of the Committee deems necessary to assure adequate oversight and administration of the University Hospitals and clinical enterprise. It shall have a meeting in May or June which is designated as its annual meeting for approval of the budget and election of officers.

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5.2. Special Meetings: Special meetings may be called at any time by the Chair of the Committee, or by a majority of the Members of the Committee. The Chair of the Committee shall call a special meeting upon the request of a majority of the Trustee Members, the University President or the Executive Vice President for Health Affairs.

5.3. Notice: Notice shall be given of any meeting of the Committee or any Subcommittee, thereof, in accordance with applicable law.

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5.4. Quorum: A quorum for the transaction of business at all meetings of the Committee or any Subcommittee, thereof, shall consist of a majority of the Trustee Members of the Committee.

Deleted: except that the Chair may call an emergency meeting with 24 hours' notice

5.5. Manner of Acting: The Chair of the Committee or another Trustee Member designated by the Chair of the Committee shall preside over each meeting of the Committee. Each Trustee Member shall be entitled to one vote at each meeting and must be present in person to vote except as allowed in any specific instance by a majority vote of the Trustee Members present. In the event a quorum is present, a majority vote of those present shall constitute the act of the Committee except as herein otherwise specifically provided. This subparagraph shall apply to any Subcommittees, as well.

5.6. Records: The Committee shall maintain records of its proceedings and of any meetings of subcommittees.

5.7. Reports: The Committee shall make a report to the University Board of Trustees at each regularly scheduled meeting thereof, in such format as said Board shall prescribe.

VI. GOVERNANCE STRUCTURE

6.1. General: The University Hospitals and the University clinical enterprise are governed by the Committee serving as the governing body as required by and consistent with the Conditions of Participation and the TJC Standards, by senior management, including the Executive Vice President for Health Affairs and the Chief Clinical Officer, and the leaders of the organized medical staff.

6.2. Executive Vice President for Health Affairs: The Executive Vice President for Health Affairs shall represent the University's interests in matters before the Committee. The

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position and responsibilities of the Executive Vice President for Health Affairs are more fully described in the University of Kentucky Administrative Regulation 1:1.¹

- 6.3. Chief Clinical Officer: The Chief Clinical Officer shall serve as the chief executive officer of the University Hospitals for purposes of the Conditions of Participation and the TJC Standards. The Chief Clinical Officer is selected by the Committee upon consultation with the Executive Vice President for Health Affairs and subject to approval by the University Board. The positions of Chief Clinical Officer and Executive Vice President for Health Affairs may be held by the same person.
- 6.4. Chief Nurse Executive: The Chief Nurse Executive is the chief nursing officer for University Hospitals and the University clinical enterprise. The Chief Nurse Executive is appointed by the Chief Clinical Officer, subject to the approval of the Executive Vice President for Health Affairs and the Committee. The appointment is subject to approval by the University Board.
- 6.5. Chief Medical Officer: The Chief Medical Officer is the UK HealthCare officer responsible for the oversight activities of the organized medical staff including clinical quality, safety, clinical information services, credentialing, patient care clinical services, outcomes, efficiency, and risk management. The Chief Medical Officer is appointed by the Chief Clinical Officer, subject to the approval of the Executive Vice President for Health Affairs and the Committee. The appointment is subject to approval by the University Board.
- 6.6. Subcommittees: The Committee may, from time to time, form such standing and ad hoc subcommittees as may be appropriate to fulfill its responsibilities.
- 6.7. UK HealthCare Medical Staff: The UK HealthCare Medical Staff shall be established, organized and governed by and in accordance with the UK HealthCare Medical Staff Bylaws approved by the organized medical staff, as defined in such bylaws and by the Committee.
- 6.8. Medical Staff Executive Committee: The Medical Staff Executive Committee constitutes the leaders of the organized medical staff and is the executive committee of the UK HealthCare Medical Staff authorized by this Committee and established in the UK

¹ 3. Executive Vice President for Health Affairs

(a) The Executive Vice President for Health Affairs is the chief operating officer for the University's clinical enterprise. The Executive Vice President for Health Affairs is responsible for the planning, development, and operations of the clinical enterprise, according to the priorities established by the President and the Board of Trustees. The clinical enterprise encompasses and integrates all the patient care activities of the University including the University Hospital, Kentucky Children's Hospital, Kentucky Clinics, Gill Heart Institute, Markey Cancer Center, Kentucky Neuroscience Institute and the clinical activities of the colleges of medicine, dentistry, nursing, pharmacy, public health, and health sciences.

(b) The Executive Vice President for Health Affairs is also responsible for the oversight and management of the faculty practice plans and physician practice management for the University's health care providers. The Executive Vice President for Health Affairs works directly with, and in support of, other officials of the clinical enterprise, deans of medical colleges, officers of the faculty practice plans, University officials, medical staff members, and community and state officials.

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HealthCare Medical Staff Bylaws. Its functions and responsibilities are set forth in the UK HealthCare Medical Staff Bylaws.

VII. HOSPITAL AUXILIARY

There may be organized one or more Hospital Auxiliaries to render service to the University Hospitals and their patients. Membership shall be open to all interested in contributing their time and talents to serve the respective hospital. There shall be formal bylaws, approved by the Committee, which set forth the purpose, membership, methods of assignment, election of officers, duties of officers, and committees of the organization.

VIII. AMENDMENTS

Except as herein provided, these Operating Rules may be amended, altered, or repealed only by the consent and approval of a majority of the Trustee Members of the entire Committee. No amendment or other change in the Operating Rules shall be effective unless and until it has been approved by the University Board of Trustees.

Approved:

University Health Care Committee, October 11, 2010, _____, 2010
University of Kentucky Board of Trustees, October 12, 2010, _____, 2010

Deleted: ~~<#>Executive Committee of Management:~~ The Committee authorizes the Executive Vice President for Health Affairs to establish an Executive Committee of Management (hereafter, the Executive Committee) consisting of key staff, as chosen by said Executive Vice President for Health Affairs, to assist in the management of the University Hospitals and clinical enterprise. Activities of the Executive Committee shall be reported to the Committee at its meetings, and otherwise, as requested.¶
~~<#>Management Committees:~~ The Chief Clinical Officer, together with the Executive Vice President for Health Affairs and the Chief Financial Officer for the clinical enterprise, shall have the authority to establish such management committees as may be appropriate to assure the safe and efficient delivery of high quality healthcare to the patients of the University Hospitals and the clinical enterprise.¶

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