

Minutes of the Board of Trustees of the University of Kentucky, Tuesday, February 21, 2012.

The Board of Trustees of the University of Kentucky met at 1:00 p.m. (Lexington time) on Tuesday, February 21, 2012 in the Board Room on the 18th Floor of Patterson Office Tower.

A. Meeting Opened

Dr. E. Britt Brockman, chair of the Board of Trustees, called the meeting to order at 1:00 p.m. and announced the swearing in of the newest faculty trustee, Dr. John Wilson. He acknowledged and thanked Dr. Hollie Swanson and the faculty senate council for an outstanding job of organizing an election with the departure of Dr. Peek in December. Dr. Brockman stated that Dr. Wilson came to UK in 1977 with a PhD from the University of Michigan. He is a professor in the Department of Behavior Science in the College of Medicine. He served four terms in his college's faculty council and he chaired it on two occasions.

Dr. Brockman invited General Counsel Barbara Jones to administer the Oath of Office to Dr. John Wilson. The Oath was administered. At the conclusion of the Oath, there were congratulations offered and applause.

Dr. Brockman asked Ms. Sandy Patterson, 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: William C. Britton, E. Britt Brockman (chair), Sheila Brothers, Jo Hern Curris, William S. Farish, Jr., Micah Fielden, Oliver Keith Gannon, Carol Martin "Bill" Gatton, Pamela T. May, Billy Joe Miles, Terry Mobley, Sandy Bugie Patterson, Erwin Roberts, Charles R. Sachatello, C. Frank Shoop, John Wilson, Irina Voro, and Barbara Young. C.B. Akins Sr. and James W. Stuckert were absent from the meeting. Dr. Brockman announced that a quorum was present.

The University administration was represented by President Eli Capilouto, Provost Kumble Subbaswamy, 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 Mike Adams.

Members of the various news media were also in attendance.

C. Consent Items

Dr. Brockman called attention to the three consent items on the agenda. They included the minutes for the regular meeting of the Board on December 13, 2011, PR 2 which deals with personnel actions and FCR1 which is the extinguishment of the Dale Edward Albers and Doris McNeal Seeley Research endowment. Dr. Brockman asked for a motion to accept the consent items. Mr. Mobley, moved approval and his motion was seconded by Ms. May. Dr. Brockman asked if there was any discussion on the consent items.

Ms. Patterson noted that there is an amendment to page 13 of the December 13, 2011 minutes in section 0. "It passed without dissent" was inadvertently left out and is now added.

Dr. Brockman stated that the record should reflect that the change will be enacted on the minutes. There being no further discussion, a vote was taken and the motion in favor of the consent items carried without dissent. (See consent items listed below on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

Minutes – December 13, 2011

PR 2 Personnel Actions

FCR 1 Extinguishment of the Dale Edward Albers and Doris McNeal Seeley Research Endowment

D. Resolution Honoring Ms. Peggy Way

Dr. Brockman then asked for Ms. Peggy Way to stand and be recognized. Ms. Way is the senior administrative staff officer for the President's office who has been the liaison to the Board of Trustees since 1981- 1982. She has served the University for 41 ½ years. Dr. Brockman noted that in 1981-1982, the year Ms. Way began working in the President' Office, it also happened to be the year that he served on the Board of Trustees as a student, as the student body president. Dr. Brockman asked Ms. Way and Board of Trustees member Ms. Shelia Brothers to come forward for a special presentation.

Ms. Brothers read the following resolution:

WHEREAS, for more than 41 years, Peggy Way has ably served the University of Kentucky in its mission to provide quality education, service, and outreach to the Commonwealth of Kentucky; and

WHEREAS, Mrs. Way, graduate of the former UK Community College System, received several certificates from the former Lexington Community College's Cooperative Education Program; and

WHEREAS, throughout her career at the University of Kentucky, she has served many departments, including the College of Education and the former College of Journalism, as well as the Office of Human Resources; and

WHEREAS, in 1982, she began her tenure in the Office of the President and continued there until her retirement, admirably executing her role with great diligence, intellect, and unrivaled loyalty; serving several members of the University's Board of Trustees and five university presidents: Otis A. Singletary, David P. Roselle, Charles T. Wethington, Lee T. Todd, Jr., and Eli I. Capilouto; and

WHEREAS, having gone above the call of duty, she quietly served numerous individuals and causes across the University, most notably, her unmatched effort and time devoted to the recent Presidential Search process; and

WHEREAS, she continues to support the University as a UK Fellow; and

WHEREAS, because of her skilled support to Vice President Albert A. Gore, Jr. during his visit to the University of Kentucky in 1996, she received a commendation from the White House Communications Agency; and

WHEREAS, Mrs. Way has voluntarily served the Lexington community and Bluegrass Region as a past Chairperson of the Lexington's Annual American Heart Walk and UK's liaison for the United Way.

NOW, THEREFORE, BE IT RESOLVED, that the University Of Kentucky Board Of Trustees does hereby adopt this resolution on February 21, 2012 and express, on behalf of the University community, our individual and collective gratitude to Mrs. Peggy Way for her exemplary service to the University of Kentucky, the city of Lexington, and the Bluegrass Region.

On behalf of the Board of Trustees, Ms. Brothers also presented a Wildcat Alumni Plaza paver noting that its dedication and unveiling would occur on April 20th. There was a long round of appreciative applause and a standing ovation for Ms. Way.

Ms. Way stated that it had been an honor and a privilege to work with everyone. She will cherish the memories of her work at the University and wished the Board well as they make the important decisions for the future of the University.

E. President's Report (PR 1)

Before beginning PR 1, President Capilouto wanted to join everyone in saying hello and saying goodbye. He welcomed Dr. Wilson and commented that though he has now heard the Oath of Office on several occasions, he has never heard "dueling" mentioned so many times in just a few sentences. He extended his thanks to Ms. Way and credited her for him being a quick study. She had taught him quickly and well so that she could then leave the university. He thanked her for everything she had done.

President Capilouto was pleased to again spotlight some of the tremendous work by the faculty and students and wanted to draw everyone's attention to the lists in PR 1. He noted the range of terrific staff members to alums that have been singled out for well deserved recognition. He stated that he would like to introduce a few people today that are remarkable assets to this University.

President Capilouto recognized Mr. Vince Kellen, the Chief Information Officer at the University. Mr. Kellen has been selected as a Dell Transformational CIO. He was one of four CIOs selected globally to receive this honor by the leading computer manufacturer. Mr. Kellen was recognized at Dell's Field Readiness Seminar in Las Vegas on February 9th, where he met with senior Dell executives and other IT professionals to discuss emerging trends and challenges facing the world of higher education.

President Capilouto commented that technology is an increasingly critical part of virtually everything we do at the University. Most critically, is the important part technology plays in learning and classroom instruction. He acknowledged that Mr. Kellen has been one of the true leaders in the University's efforts in this regard. President Capilouto thanked him for his great

work and for bringing pride and recognition to our University. The Board gave Mr. Kellen a round of applause.

President Capilouto next stated that the University of Kentucky's Martin School of Public Policy and Administration had presented its inaugural Distinguished Alumni Award last month to a familiar face, Mr. Bob Wiseman. Mr. Wiseman is the UK Vice President for Facilities Management, who earned his Master's in Public Administration degree from the Martin School in 1984. President Capilouto explained that Mr. Wiseman oversees the University's entire physical plant and capital projects management, another very critical component of what we do at UK. He noted that Mr. Wiseman had a distinguished public policy career before he joined the University nearly 10 years ago, working in both city and federal governments in key leadership positions. President Capilouto acknowledged Mr. Wiseman's tireless work on facilities throughout the campus and also in his work with the housing initiative. He thanked Mr. Wiseman for his wonderful efforts on behalf of his alma mater. The Board gave Mr. Wiseman a round of applause.

President Capilouto next noted that today marked the last board meeting for Mr. Len Heller, the Vice President for Commercialization and Economic Development. Mr. Heller is retiring. President Capilouto commended him as being a stalwart the last several years in helping cement relationships with local businesses in our community and in advocating successfully for the increased commercialization of the intellectual property being developed on this campus and at Coldstream. He asked the Board to join him in thanking Mr. Heller for his service. President Capilouto offered that he had told Mr. Heller that the University was going to celebrate his retirement in the future in a more fun way. He recounted that over the Christmas holidays, Mr. Heller was a guest at Maxwell Place. There was a pianist and Mr. Heller decided to sing and accompany the pianist. President Capilouto asked him if he would do the same at his retirement celebration. Mr. Heller said "yes, he had already picked out his song, I did it 'My Way'". President Capilouto thanked Mr. Heller for doing it "your way". It was "our way" too. The Board gave Mr. Heller a round of applause.

President Capilouto next formally noted that one of our former board members and proud alums, Mr. Dermonti Dawson, was recently named to the Pro Football Hall of Fame. Mr. Dawson is a graduate of the College of Education and a former UK Wildcat stand-out. Mr. Dawson is widely acknowledged as one of the greatest centers to ever play the game. President Capilouto went on to say that after his long and distinguished career with the Pittsburgh Steelers, the Hall of Fame induction is a greatly deserved honor and that the University is very proud that he is a member of our family. He stated that the University will be inviting Mr. Dawson to join us at a Board meeting sometime soon so that we can properly recognize such an important achievement by one of our own.

President Capilouto updated the Board on the search for the replacement for Mr. Frank Butler, the recently retired Executive Vice President for Financial Affairs. A search committee has been appointed and is ably chaired by Dr. Scott Smith, Dean of our College of Agriculture. He also advised the Board that the University has retained the national search consultancy, Witt/Keiffer, to assist the committee. He invited those with suggestions of people who would be good candidates to contact Dean Smith, as we move forward in filling this critically important position.

President Capilouto was also pleased to announce that April 24, 2012 will be a special day in

the life of the University of Kentucky. The University will be officially naming one of the new residence halls on the north end of campus for our ninth president, Dr. David Roselle. He stated that Dr. Roselle proudly and forcefully led the University of Kentucky during a tumultuous period in our institution's history. President Capilouto stated he was so proud to be here as we move forward with this appropriate recognition. He recalled that about three years ago, he had the opportunity to talk with Dr. Roselle. Dr. Roselle was given as a reference for two faculty that he was trying to recruit and the two had a delightful conversation. President Capilouto recounted that it was indeed a joy for him to call Dr. Roselle back to share with him the news of the Board's decision to name this residence hall and he is very much looking forward to meeting him. Dr. Roselle will be here on April 24th and the Board will be receiving an invitation shortly and it will include a luncheon.

President Capilouto moved on to introduce Dr. Margaret Szabunio, who is a relatively new member of the team at UK HealthCare. He stated that she is another exciting addition to the team being assembled by Dr. Mark Evers at the renowned Markey Cancer Center. She is the associate medical director for its Comprehensive Breast Care Center and Division chief of Women's Radiology. Her area of focus is the early detection of breast cancer using Elastography and Tomosynthesis. Tomosynthesis is a 3-D mammogram technology that can find cancers earlier and help prevent false positives. Dr. Szabunio was recruited to the University because of her experience and expertise and is playing a big part in getting this type of technology to the campus. He noted that we will be the first in the state to have this technology.

President Capilouto asked Dr. Szabunio to come forward and tell The Board a little bit about her work on this critically important health area.

Dr. Szabunio thanked the Board for inviting her and expressed her excitement to speak about this exciting technology. She noted that the CBCC, Comprehensive Breast Care Center does actually have the technology and that it has been used with multiple patients. Dr. Szabunio stated that one of the advantages of this technology is that it will be able to decrease the number of recall appointments for additional imaging. Many women who have a mammogram often have to return for additional views because the Radiologist sees something that requires further study. This recall visit causes anxiety to women. Dr. Szabunio also noted that as breast tissue is extremely dense, Tomosynthesis is able to produce 15 projections of images, and then a computer reconstructs it at one millimeter sequences. This allows the physician to see the breast as a ball with the ability to peel back layers of the breast individually. This gives the physician the ability to detect cancers early. She stated that these are the two main reasons why Tomosynthesis is the future of mammography. Because this is the best tool currently, she is hoping that this will make a difference. Dr. Szabunio also praised the team of breast experts in oncology, radiation oncology, surgery, pathology and radiology at the CBCC. She praised the team approach to treating patients. She also shared her big hope to one day be able to bring this technology to eastern Kentucky. Though she is just learning about Kentucky, she feels that eastern Kentucky is an area that is under represented and she hopes one day to have a mobile Tomosynthesis unit.

Dr. Szabunio reiterated that currently Tomosynthesis is used as more of a diagnostic tool. She advised that employees of University of Kentucky are given the option of tomosynthesis, should they have dense breast tissue. The current units are located at Kentucky Clinic South, which is on Harrodsburg Road. Dr. Szabunio is hoping to add another tomosynthesis unit to the Lexington

campus. She was graciously unapologetic for having a wish list and thanked the Board for inviting her. The Board gave Dr. Szabunio a round of applause.

President Capilouto thanked Dr. Szabunio. He commented that one of the delightful things he discovered in Kentucky when he arrived, was the commitment made years ago to make sure everyone could have high tech, high touch care in their own back yard. He acknowledged that Dr. Szabunio's comments and plans is another testament to that commitment.

President Capilouto reported that he had the privilege of hosting the leadership team for the seventh annual DanceBlue dance marathon. Through the efforts of thousands of dancers and countless student volunteers, DanceBlue had successfully raised nearly \$2.7 million for the Kentucky Children's Hospital Pediatric Oncology Clinic over the last six years. He stated that it is the largest student-run philanthropy in Kentucky and across the Southeastern Conference. He remarked that these students have tremendous passion and commitment to a cause larger than themselves. They understand that service to others is an important part of leadership. He said the Board will be very proud to know that they are part of this precious UK family.

President Capilouto asked Student Government President and Board of Trustee Member Micah Fielden come forward and introduce the DanceBlue leadership and the video about this tremendous initiative.

Mr. Fielden thanked the Board and stated it was his honor to introduce to the Board and guests, Mr. Clay Stanley, the overall chair for DanceBlue and a senior Kinesiology major from Louisville, KY. After graduation, Mr. Stanley will be a core member with Teach for America where he will be working and teaching Biology in New Orleans, LA. Mr. Fielden also introduced Ms. Logan Sparks, the public relations chair for DanceBlue and a junior integrated strategic communications major from Mayfield, KY. In addition to her responsibilities with DanceBlue, she is the president of Alpha Delta Pi sorority. Mr. Fielden stated that it was truly his honor to call them both friends and he believes that they are the epitome of servant leadership and the University is lucky to have both of them at the University. The Board gave them a round of applause.

Mr. Fielden then introduced the DanceBlue video to provide a history on DanceBlue. The video of DanceBlue was shown. At its completion, there was an appreciative round of applause.

Mr. Clay Stanley thanked the Board for the opportunity to share something that he feels both the students and the University are very passionate about. He explained that the video is the promotional video that is shown to new students as well as high school students. He believes it epitomizes how the students feel about DanceBlue and the cause that it supports. He noted that it is something that every student at this University has an opportunity to participate in and it is something that Ms. Sparks and he, as well as the rest of the leadership committee, feel strongly it is a crucial part of the experience at the University of Kentucky. He announced that the DanceBlue marathon in will be held in Memorial Coliseum on March 2nd and 3rd, starting at 8:00pm on March 2nd and until 8:00pm on March 3rd. He wanted to personally invite each and every one to come and experience this wonderful event. Mr. Stanley called the Board's attention to a informational sheet that he and Ms. Sparks would leave with the Board that gives an overview and a history to help answer any questions. President Capilouto thanked Mr. Stanley and Ms. Sparks.

The Board gave Ms. Sparks and Mr. Stanley a round of applause.

President Capilouto invited the UK Cheerleaders to make their way up front for recognition and a photo. Calling them a very special group of student-athletes, he related that they recently won the national championship. President Capilouto noted that this was not the first time that particular statement had been associated with these incredible athletes. This year was their 19th national championship. He opined that a common occurrence should not undermine what is an uncommon and extraordinary display of excellence on a sustained basis. President Capilouto acknowledged that the University is known for having the greatest program in all of college basketball. But, clearly, we also are known for having the most significant program in all of cheerleading.

President Capilouto introduced the coach, Mr. Jomo Thompson and their sponsor, Mr. T. Lynn Williamson. He asked the Board to join him in recognizing these student athletes, their coach and sponsor, for their commitment to excellence. He continued that when you are around this group, you realize that, yes, they are here for their activities regarding cheerleading, but they are here for each other. They are part of that support network that builds student success. President Capilouto commended them and thanked them for their tremendous effort. The Board gave the group a round of applause.

President Capilouto shared that he had the delight of being with the team when they were recognized on the floor of the House and Senate earlier in the week in Frankfort. He commented that he had never gotten so much attention in Frankfort and vowed to take them with him often.

In closing, President Capilouto reminded the Board of that on Wednesday afternoon, February 22, 2012, the University would celebrate its continued excellence during the Founder's Day Awards Ceremony. Held in Worsham Theater, this ceremony is a special opportunity to honor our colleagues and the heritage of this great land grant university.

F. Report on the Results of Alumni Member Election (PR3)

President Capilouto asked Secretary of the Board of Trustees Sandy Bugie Patterson to report on the election.

Ms. Patterson reported that the recommendation is that the report of the Secretary of the Board of Trustees on the results of the election authorized by the Alumni Association be received and put to record and that the Secretary be authorized to certify to the Governor the name of three persons receiving the largest number of votes, from which list a successor to Sandy Bugie Patterson, whose term expires June 30, 2012, will be appointed.

Ms. Patterson stated that the background of her term as alumna member of the Board of Trustees expires June 30th. An election has been held among the graduates of the University of Kentucky as prescribed by statute and in accordance with the rules and regulations of the Board of Trustees. The attached letter from the Secretary of the Board of Trustees to the President of the University reports the results of the election.

The three candidates are Kelly Sullivan Holland, Frank Harris, and Tim Skinner.

Ms. Curris moved for the adoption of PR3, with a second by Mr. Mobley. It passed without dissent.

G. Proposed Revisions to the Governing Regulations (PR4)

President Capilouto began by stating that as part of the SACS review, the accreditation review, there were going to be recommendations for some stylistic changes in our Governing Regulations. He asked Provost Subbaswamy and Vice President for Institutional Research Heidi Anderson to make a presentation first regarding SACS, before the formal motion and action.

Provost Subbaswamy yielded to Vice President Heidi Anderson.

Vice President for Institutional Research Heidi Anderson thanked President Capilouto, the Board of Trustees, Provost Subbaswamy, and guests for the invitation. She explained that she would like to try to do two things: 1) give a refresher on accreditation and SACS, and 2) roles and responsibilities of the individuals here at the University.

She explained that the goal of accreditation is to make sure institutions assure quality along all areas of the accrediting body. It is done to ensure that students and parents are aware of the standards that the institutions have met. There are four different types of accrediting bodies in the United States. The University of Kentucky complies with standards by the regional accreditor, Southern Association of Colleges and Schools (SACS), as well as, over 80 different programmatic accreditors. These are individuals who look at specialty groups such as Pharmacy, Engineering, Business, etc. Another role that accreditation does is to make sure that the University is able to receive federal funds and our students can receive federal financial aid. In addition, as our students graduate, it allows employers to have the confidence that the graduates have come from a quality program. It also smoothes the transition process of individual students who transfer from different universities.

Vice President Anderson then reviewed some of the mandates that SACS expects of the University. The first being a commitment to key areas such as student learning, thus we have student learning outcomes. SACS also wants to ensure that the University is enhancing quality throughout all of our programs and that we engage in a continuous improvement system. Finally, SACS reviews the University by having us prepare what is called the Compliance Certification Report. This report has three categories: Core Requirements, Comprehensive Standards, and Federal Requirements. There are over eighty (80) of these particular standards and the University must supply, not only a written narrative of how we comply with those, but documentation.

SACS uses a multi-phase process. The first step is the University's preparation of the Compliance Certification Report. The University is in the middle of that preparation and it will be submitted on September 10, 2012. After SACS receives our report, they will give it to an off-site committee in November of 2012. That committee will review the report, where it may find certain areas not compliant or compliant.

The second committee, the on-site committee will visit our campus on April 9-10, 2013 and their duties are to examine our second report, which is called the QEP, the Quality Enhancement Plan. While the committee is reviewing the Compliance Certification Report in November, the University will be polishing the Quality Enhancement Plan and submitting that report in January 2013. Dr. Anderson emphasized to the Board that principle 1.1 is very critical, and that is the principal of integrity. When the Board approves this document in December, President Capilouto and the SACS liaison (Heidi Anderson), also have to sign off that is a truthful document.

SACS also wants the Board of Trustees to be aware of approximately eleven (11) standards that impact the Board directly. SACS wants every Board to understand the difference between governance and administration. The Board's governance roll includes the oversight of establishing and evaluating the policies of the mission, hiring someone to manage the University, the evaluation of that individual, and approving policies and monitoring the University toward success. It is the responsibility of the President and the President's team of individuals, to ensure that he or she fulfills these activities.

More specifically, in Core Requirement (CR) 2.2, SACS requires that the Board have a governing body, a certain number of individuals, and that this particular body is an active policy making body. Dr. Anderson pointed out that the Board of Trustees is an active policy making body, as is evidenced by the review of the Governing Regulations at this meeting.

In Comprehensive Standard (CS) 3.1.1, SACS requires that the Board is aware of the mission, that the mission should guide the University, and that the mission is reviewed periodically and approved by the Board.

In CS 3.2.1, SACS requires the Board to hire one individual who is responsible for all of these particular activities.

CS 3.2.2 covers a host of areas over which the Board has control. Dr. Anderson noted three in particular, being the institution mission, fiscal responsibility and institutional policy.

CS 3.2.3, 3.2.4, and 3.2.5 state that the Board must adopt certain policies. First is a policy that discusses conflict of interest. In 2004, the Board adopted an ethical and principal code of conduct. That was an example of how the Board is adhering to CS 3.2.3. CS 3.2.4, states that the Board cannot have external influence and 3.2.5 requires the Board to have a policy whereby members can be dismissed for appropriate reasons in a fair process. CS 3.2.6 refers to the Board's responsibility to have a clear written distinction between the Board governing responsibilities and the University administrator responsibilities.

Dr. Anderson provided the example of Governing Regulations and Administrative Regulations oversight that is reviewed and approved. Another example she provided of the separate responsibilities from Administration and Faculty, was in 2006, the Kentucky Legislature House Bill 55 passed the smoking cessation policy and asked all Boards in the state of Kentucky to add that particular policy on the campus.

Finally, in CS 3.2.7, SACS requires that the Board has the responsibility for the organizational structure. An example of this was in 2005, the Board approved the move from the Chancellor system to the Provost system. Another example is in the Governing Regulations that the Board reviewed today and will approve at the next meeting.

Dr. Anderson reviewed the time table of the SACS Accreditation process, emphasizing the September 10, 2012 report deadline, the off-site review during November 6-9th, the January 2013 final QEP report submission, and the on-site SACS visit on April 9-11, 2013. Dr. Anderson offered that SACS prefers and the University prefers, that during that visit they focus only on the QEP and not on anything non-compliant. The team is working very hard to make sure that doesn't happen. However, if there is something that is non-compliant, they give the University a second chance when the team visits in April 2013. Then we have a chance before they make a final decision, December of 2013, to clarify or to correct anything that might have been mistaken as non-compliant.

Dr. Anderson thanked Dr. Jen Skaggs and Dr. Mia Alexander- Snow for their assistance with the presentation. The Board gave a round of applause.

Drs. Voro and Wilson expressed concerns regarding the process of the governing regulations and its presentation to the Board.

Provost Subbaswamy, General Counsel Barbara Jones, and Senate Chair Hollie Swanson explained the vetting process for these changes. Provost Subbaswamy and General Counsel Barbara Jones explained that proposed changes in the GR's were cosmetic and not substantive.

Ms. May asked that the issue be referred to a committee that could meet to discuss the issues and answer any questions before the next Board meeting.

Dr. Brockman motioned that the Board accept PR4 as the first reading and stated that before the next Board meeting on March 27, 2012, which will be the 2nd reading and the vote, the Academic Affairs Committee of the Board of Trustees would review these GR changes. The motion was approved and passed without dissent.

H. Petition to Address the Board of Trustees

Dr. Brockman reported that one petition to address the Board was received. Under the Governing Regulations, part II, the petition was found to be relevant and was referred to the Finance Committee for the March 27th meeting. The subject matter of the petition is a follow up regarding a presentation at the October Board meeting on renewable energy on campus.

I. Candidate for Degree (AACR 1)

Dr. Gannon, chair of the Academic Affairs Committee, reported that the committee welcomed Provost Subbaswamy, who presented an overview of scholarship and recruitment efforts and also Dr. Heidi Anderson, who gave an assessment of programs and their effectiveness and relevance.

The committee had one item of business, which was AACR1, related to two Candidates for Degrees that were left off of the previous request due to administrative errors. On behalf of the Academic Affairs Committee, Dr. Gannon moved approval AACR1, and it passed without dissent. (See AACR 1 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

J. Extinguishment of the Dale Edward Albers and Doris McNeal Seeley Research Endowment and Transfer to the Kay Seeley Hoffman Research Endowment (FCR 1)

As Mr. Stuckert, Chairman of the Finance Committee could not attend the meeting, Dr. Gannon provided the report. The first item, which was FCR1, was a consent item and had been approved. (See FCR 1 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

K. Authorization to Renew the Lease with the Episcopal Diocese of Lexington for St. Agnes House (FCR 2)

Dr. Gannon said that FCR2 is related to the authorization to renew the lease with the Episcopal Diocese of Lexington for St. Agnes House. FCR 2 will give the Vice President for Financial Operations the authorization to negotiate and execute a lease renewal of University property located at 635 Maxwellton Court in Lexington. The University has leased the property to the Episcopal Diocese of Lexington since 1977 and it is currently used as a hospitality house for out-patients and patient's families using Lexington hospitals. The lease renewal will be for three years, with a three year renewal option at an annual rate of \$1. On behalf of the Finance Committee, he moved for the approval of FCR2 and it passed without dissent. (See FCR 2 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

L. Authorization of Expansion of Lease for Information Technology (FCR 3)

Dr. Gannon said the next item for adoption by the Board is FCR3 which is related to the Authorization of Expansion of Lease for Information Technology. FCR 3 will authorize the Vice President for Financial Operations and Treasurer to negotiate and execute a lease between the University and Windstream Communications for space located at 150 North Martin Luther King, in Lexington. Pursuant to the governing regulations, the Board of Trustees must approve all leases in excess of \$200,000.

The University currently has a lease with Windstream for 250 square feet; however due to increased demand for UK HealthCare's Information Systems, additional floor space is needed. This action will expand the current lease to include an additional 2,000 square feet of data center floor space. The lease will be effective March 1, 2012 to June 30, 2017 at an annual rate is \$300,000 which will be funded from clinical revenues. On behalf of the Finance Committee, he moved for the approval of FCR3 and it passed without dissent. (See FCR 3 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

M. Acceptance of Interim Financial Report for the University of Kentucky for the Six Months ended December 31, 2011 (FCR 4)

Dr. Gannon stated that FCR 4 is related to Acceptance of Interim Financial Report for the University of Kentucky for the Six Months Ending December 31, 2011. FCR 4 requests the Board to accept the consolidated financial reports for the six months ending December 31, 2011. He stated that Angie Martin, Vice President for Financial Operations provided a brief report to the Committee. As of December 31, 2011, net assets have decreased slightly from \$2.57 billion to \$2.56 billion primarily as a result of the decline in the value of the endowment. On behalf of the Finance Committee, he moved for the acceptance of FCR 4 and it passed without dissent. (See FCR 4 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

N. Approval of the 2010-2011 Endowment Match Program Annual Report (FCR 5)

Dr. Gannon said that FCR5 is related to the Approval of the 2010-11 Endowment Match Program Annual Report. This FCR requests that the Board of Trustees accept the 2010-11 Endowment Match Program Annual Report. The report has been provided separately and is available online. The Endowment Match Program, also known as ‘Bucks for Brains’, is one of several programs created as part of the trust fund. Pursuant to the Council on Postsecondary Education’s procedures, the Board of Trustees is to review and accept the annual report on UK’s participation in the program. On behalf of the Finance Committee, Dr. Gannon moved for the approval of FCR 5 and it passed without dissent. (See FCR 5 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

O. Patent Assignment Report (FCR 6)

Dr. Gannon said that FCR6 relates to the Patent Assignment Report. The committee welcomed Dr. Jim Tracy, Vice President for Research, who presented the patent assignment report for the period July 1 through September 30, 2011. The University has filed two patent applications during this period and five patents have been issued. On behalf of the Finance Committee, Dr. Gannon moved for the approval of FCR 6 and it passed without dissent. (See FCR 6 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

P. Capital Construction Report (FCR 7)

Dr. Gannon stated that FCR 7 is related to Capital Construction Reports. The capital Construction reports for the three months ending September 30, 2011 and the three months ending December 31, 2011 were presented by Bob Wiseman, VP for Facilities. Two quarterly reports were presented as the Board had an abbreviated December meeting. The reports included six new contracts, four contracts were completed, four contracts were amended, and there were 30 change orders greater than \$25,000. On behalf of the Finance Committee, Dr. Gannon moved for the approval of FCR 7 and it passed without dissent. (See FCR 7 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

Q. Authorization of Ground Lease for Student Housing (FCR 8)

Dr. Gannon said that FCR 8 is related to the Authorization of Ground Lease for Student Housing. This recommendation is for the Board of Trustees to authorize the President, or his designee, to enter into a long-term ground lease with Education Realty Trust, Inc. or “EdR” for

purposes of development and potential management of a student housing project. This ground lease is only one project which consists of two buildings with 601 beds on Haggin Field. The committee welcomed Angie Martin, Vice President of Finance, to the meeting and she provided an overview of the project. On behalf of the Finance Committee, Dr. Gannon moved for the approval of FCR 8.

There was discussion by Board members regarding FCR 8. Questions were posed as to the scope of the project in FCR 8, the cost to the student, the fees to EdR, the environmental footprint that the new dorm(s) will create, and what plans have been made for University of Kentucky staff assigned to Haggin Hall.

There being no further discussion, Dr. Brockman called for a vote and it passed without dissent. (See FCR 8 on the Board of Trustees website, www.uky.edu/Trustees, under agenda.)

R. Human Resources Committee Report

Mr. Roberts, chair of the Human Resources Committee, reported that the committee welcomed Kimberly Wilson, Associate Vice President for Human Resources, Robyn Pease, Work/Life Director and former member of the Board, and Chair of the Staff Senate, Mike Adams to the meeting. They presented an overview of the results from the most recent Work/Life Survey. The survey results showed progress and improvement from the 2005 survey. The response rate for the survey from the Faculty was 55% and 58% from the staff.

The faculty reported satisfaction with their faculty positions, would accept the position with UK again, are committed to UK's strategic mission, and are content with their workloads in terms of teaching, service, and advising. The faculty believes they are respected. They are satisfied with their quality of life, and they believe that their chairs and colleagues are supportive of their personal and family responsibilities. Faculty, the survey also revealed, agree that multi-culturalism is part of UK's mission and that intolerance and bigotry are not accepted at UK.

With regard to the staff, the survey revealed again, that staff members are satisfied with their jobs. They are committed to UK and intend to stay at UK until retirement. The staff is committed to UK's strategic mission. They are satisfied with many aspects of their jobs, i.e. hours, challenges, benefits, job security, supervisors. They feel respected by their co-workers, supervisors and students. They are satisfied with their quality of life and they also agree that multi-culturalism is a big part of UK's mission and that intolerance and bigotry are not accepted at UK. Finally, they feel that their personal and family lives are supported at UK and they are satisfied with their ability to balance work life with personal and family life. These results show great progress compared to 2005.

Mr. Roberts reported that the survey did show some areas of opportunity for improvement that were noted for both faculty and staff. For both, there was high burn out reported. For faculty, there was a low perception of trust at UK. There was, the survey revealed, little confidence that leaders understood faculty concerns. There were concerns about compensation related to peers. And also concerns about staff resources. With regard to staff, there was concern about compensation and also how they were valued by UK.

Mr. Roberts wanted to emphasize, that the work life survey, provided a progress report that the work environment and culture, work life effectiveness and employee engagement at UK are all improving or have improved since 2005. He wanted to thank Ms. Pease and Ms. Wilson for their hard work and the progress that has been made since 2005.

Mr. Roberts reported that a motion was made at the committee meeting to request that the full report be presented to the full Board of Trustees later this spring. He also wanted to mention that the report and presentation are available from Ms. Pease at any time.

S. Investment Committee Report

Mr. Gattton, chair of the Investment Committee, reported that the committee met that morning, to review performance results and conduct other business. The Endowment had an estimated net market value of \$860.2 million as of January 31, 2012. For the seven months ending January 31st, the Endowment pool lost 2.4%, as compared to the policy benchmark return of -1.4%.

The Committee voted to extend the contract for investment consultant services of R. V. Kuhns & Associates, for the period April 1, 2012 through June 30, 2013. The purpose was to align it with the fiscal year. The University hired R.V. Kuhns & Associates, or RVK, in early 2008 as a result of an RFP process. The Investment Committee interviewed four finalists and selected RVK to provide consulting and performance measurement services for the UK Endowment beginning April 1, 2008. The contract with RVK was structured with a fixed term of four years expiring March 31st and allowed up to four one-year extensions at the option of both parties. The fifteen month extension at this time simply aligns the contractual term with UK's fiscal year. RVK has assisted the University with diversification of the Endowment investments over the last four years. Since hiring RVK, the University has implemented an absolute return and expanded the private equity and real estate allocations. This diversification effort is expected to enhance investment returns and lower the volatility of returns over the long term, defined as ten or more years. RVK consultants attend the quarterly Investment Committee meetings to review performance results and advise on asset allocation issues.

The Investment Committee reviewed results of the 2011 NACUBO-Commonfund Study of Endowments released in late January. NACUBO, the National Association of College and University Business Officers, is an organization of 839 public and independent institutions. The report of endowment values as of June 30, 2011 showed UK's endowment size ranked 81st, in the top 10 percent. The average return of participating institutions was 19.3% for the year ending June 30, 2011, however UK earned 18.7%. UK has gradually reduced its equity exposure over the last three years, increasing the allocation to absolute return and other alternative strategies in an effort to reduce the volatility of returns, as mentioned previously. The Committee reviewed a benchmarking summary of 2011 return and asset allocation data for the new benchmark institutions selected by the University Review Committee. The University's target asset allocation is in line with the average allocation of the eleven benchmark institutions.

T. Student Affairs Committee Report

Ms. Patterson, chair of the Student Affairs Committee, reported that the committee welcomed some members of UK's Greek leadership this morning. They were Nolan Jackson, Jessica Usery, Tierra Harper, Drake Staples, and Brad Bishop .

Ms. Jessica Usery spoke about academics reporting that the first year retention rates are 15-26% higher for Greek students compared to non-Greeks. The cumulative GPA's are also higher. They are three (3) times more likely to graduate than non-Greeks. This data was provided by Dr. Roger Sugarman, Director of Planning and Assessment with Institutional Research.

Ms. Tierra Harper spoke about Philanthropy. The Greek community donated over \$403,000 to the University of Kentucky by hosting the Step Show, Greek Sing, and Stompapalooza. They provided more than 51,000 hours of service in the last year. Additionally, 33 out of 35 Dance Blue coordinators are Greek.

Mr. Drake Staples spoke about leadership. There are 500 leadership positions within the Greek organizations for students to become involved throughout the campus. The Greeks are involved in many organizations and Greeks are presidents or leaders of 65% of all 450 registered organizations on campus.

Other information provided was that UK's Panhellenic Council has won more national awards than any other Council in the nation. The Interfraternity and Panhellenic Council are recognized yearly in the Southeastern Conference for excellence.

Mr. Nolan Jackson reported that Greeks overwhelmingly agree with the new housing plan and are eager to begin a discussion of plans to build a Greek community. The Hazing Institute Conference will be at the University of Kentucky for the second year in a row this summer.

Mr. Drake Staples gave an update on the Cats Cruisers program. There were no risk management problems and they had over 15,000 riders last year.

And lastly, Mr. Brad Bishop gave a report on the academic committee and shared that tomorrow night there will be an open forum for students to ask questions of President Capilouto, Dr. Mock and Dean Victor Hazard.

U. University Health Care Committee Report

Ms. Young, chair of the University Health Care Committee, reported the committee met yesterday afternoon. Dr. Richard Lofgren presented the Enterprise Quality and Operations Update, introducing Leslie Prellwitz, from the University Healthsystems Consortium or UHC, who presented an audit of core measures of the 2011 UK Healthcare Quality and Accountability report. The audit validated UK 's mortality and patients safety indicators and indicated that the disparities between UHC report figures and UK monitored figures, and other areas, were largely the result of problems in coding, tracking, patient acuity identification, and reporting. These problems are being addressed by UK Healthcare.

Ms. Young said that Dr. Lofgren gave a brief update of UK Healthcare signature metrics and reported that the scorecard is holding steady with no alarms.

Dr. Paul DePriest presented a Mid Year Quality and Safety Report noting that the current core measures indicate continued improvement. In fact, the report marks the best performance ever. Both UK and UHC continue to raise the bar on quality and safety and hold UK Healthcare to ever more exacting standards.

Dr. Bernard Boulanger, presented a virtual tour of the newly opened Operating and Waiting Rooms in the patient care facility. There are now eight (8) new operating rooms and one state of the art hybrid operating room open in the new patient care facility. Four OR's have been closed and the remaining OR's have been reorganized.

Ms. Young said that Sergio Melgar presented the preliminary January statistics and December financials. Discharges for the month of December were 2856, or 92.1 per day which is 11.7 discharges per day greater than in the budget of 80.4. Operating revenue for the month totaled 84.6 million, which is \$8.8 million greater than the budget for the month. Overall, operating expenses for the month were \$6.3 million above budget. UK Healthcare operating systems posted an operating income of \$1.6 million for December. Comparing the balance sheet at December fiscal year 2012 and the fiscal year 2011, cash has decreased \$81.3 million. Cash continues to be used to fund the remainder of phase 1A of the patient care facility. January showed a daily census that was weaker than the previous months and revenue due to expenses in length of stay appears to be trending to the soft side.

Mr. Melgar reported that conversely, February appears thus far to be very busy with a high volume of discharges.

Dr. Kevin Nelson presented for approval the current list of privileges and credentials for Chandler and Good Samaritan Hospitals. The Committee made a motion. All privileges and credentials were approved.

V. University Relations Committee Report

Ms. Curris, chair of the University Relations Committee, reported that the committee met this morning and had a quorum. In addition there were six (6) other Board members in attendance. This was the first of several in which there will be a focus on public relations and marketing by the various parts of the University. The Committee welcomed Tom Harris, Vice President for University Relations. Before the presentation moved to Governmental Relations, Mr. Harris reported the University had been featured in several national media markets over the past and in the coming weeks. The University has been featured in Chronicle of Higher Education, the New York Times, and the Wall Street Journal. The American Public Radio would be on campus this week, USA Today will interview President Capilouto, and the Dylan Ratigan Show from MSNBC was on campus today, doing a feature on our Pharmacy program. The University of Kentucky is only one of three that have been chosen for this interview for this year.

Dr. Jim Tracy, Vice President for Research, presented to the committee the following information. He related that Bill Schweri is the Director of Federal Relations and explained he is our lobbyist in Washington, DC. There are no state funds whatsoever involved in the work that Bill Schweri performs as a lobbyist. He noted that there has been a division between the federal and state responsibilities in terms of governmental relations. The state work is conducted by Steve Byars in Governmental Relations under the University Relations Vice President. The federal relations reports to Vice President for Research area. It is presumed that the reason that that is the case is because the federal issues are predominantly dealing with grants and research. As opposed to the legislation that would be coming from Frankfort per se. Vice President Tracy indicated that the majority of the time federal relations is focused on monitoring and lobbying the legislative issues that are important to higher education as well as to UK specifically. Examples given were the advocacy for the expansion of research and development programs and the ensuring congressional support for student financial aid, such as Pell Grants and various student loan activities and programs. Vice President Tracy also indicated that their role, one of their primary roles, is to make certain that the University speaks with only one voice. Also he noted that he was a member of the Council on Government Relations, where the University is involved with the federal demonstration project and that he also works with the American Council on Education. These councils concern land grant students and land grant schools.

Mr. Steve Byars, Assistant Vice President for Governmental Relations, then presented the committee a report regarding Government Relations. Mr. Byars informed the committee about the work that is done with the Legislature when they are in session, but interestingly and additionally when they are not in session. He noted that there is always an attempt to maintain contact with the legislators. Also discussed were state appropriations. A handout of a national map was presented that showed how each state had been affected in terms of a drop in the state appropriations. Kentucky has been fortunate.

The committee discussed the importance of this particular presentation and suggested having the same team report to the full Board. Another discussion was to familiarize the Board with position statements, at the state level particularly. It was recommended by the committee that Ms. Curris as Chair meet with President Capilouto to discuss specific requests for the University Relations Committee.

Ms. Curris advised that Stan Key, UK Alumni Associate Director will be the next presenter at the March committee meeting.

W. Other Business

President Capilouto thanked the Board for its serious and rigorous review of the business of the University of Kentucky. He thanked Angie Martin and her team for the incredible amount of time and effort they had devoted to the housing initiative. He shared that he is astounded by the work that happens every day by our faculty and staff. He continues to be deeply moved by the stories of our students, in terms of the difference they are going to make in their communities when they leave the University.

President Capilouto thanked the Board for supporting this housing initiative. He is pleased to begin a journey; one that he hopes is a sprint and not a marathon, to provide 21st century learning and

living space. He expressed his gratitude for the wonderful team we have here, as they always put students first.

Ms. Patterson updated the Board regarding Wildcat Alumni Plaza. She explained that the Alumni Association is responsible for the Wildcat Alumni Plaza across from Memorial Coliseum. The Association has commissioned a bronze wildcat statue. It is their hope to create more tradition here on the campus. To raise money, they are offering pavers. The cost of the pavers for the members of the Alumni Association is \$250. For non-members the cost is \$295, but that includes a membership to the Alumni Association. The cost of the paver is 100% deductible and she encouraged the Board to consider supporting this project.

President Capilouto reported that the Athletics Association Board met and passed a resolution to dissolve the organization. That resolution was unanimously adopted by the Board of Directors of the UK Athletics Association. He thanked the many people who have served on that Board, those who were present at the meeting and those who came before them for their remarkable contributions to our University and its Athletic programs.

X. Meeting Adjourned

Hearing no suggestions for additional matters, Dr. Brockman asked for a motion to adjourn and the meeting ended at 2:20 p.m.

Respectfully submitted,



Sandy Bugie Patterson
Secretary, Board of Trustees

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

PR 1

Office of the President
February 21, 2012

1. UK Chandler Hospital Opens Region's First Hybrid Robotic Operating Room

The University of Kentucky is opening one of the country's largest hybrid operating rooms — the first of its kind in the region — as well as eight new, state-of-the-art, multi-purpose operating rooms, as the most recent phase of construction and expansion at the UK Albert B. Chandler Hospital is completed. The latest phase completed includes the unique hybrid operating room which combines the most advanced and high-quality imaging technology with surgical operative capabilities to create a unique operating room environment as well as: 42 bed pre-operative and post anesthesia care unit (PACU), surgical pathology area, family waiting area, anesthesia workspace and offices, staff lounges and conference room, and Central Sterile Supply.

2. CBER Releases 40th Annual Kentucky Economic Report

The Center for Business and Economic Research (CBER), which is located in the Gatton College of Business and Economics at the University of Kentucky, released its 40th annual economic report in January. The report is one of the many ways CBER, the applied economic research branch of the Gatton College, fulfills its mandated mission as specified in the Kentucky Revised Statutes to examine various aspects of the Kentucky economy. CBER performs research projects for federal, state, and local government agencies, as well as for private-sector clients nationwide.

3. UK Wins Award for Innovation in International Education

The University of Kentucky won the 2012 Andrew Heiskell Award for Innovation in International Education for the Discover Germany-Discover USA program. The Discover Germany-Discover USA program sends 20 UK students of diverse backgrounds, either minority, Appalachian or first-generation college students, to Berlin each June and brings 20-25 German immigrants or first-generation college students to UK each September. Issued by the Institute of International Education (IIE), the Andrew Heiskell Award honors initiatives in international higher education among IIE's association of more than 1,100 member institutions.

4. Collaborative Effort Creates Full Month of Black History Events for February

University of Kentucky Diversity Education & Community Building (DE&CB) students with the assistance of faculty and staff members have organized a full month of activities for the 2012 Black History Month Collaborative. This collaboration worked diligently to ensure a cohesive schedule of cultural events, lectures and more during the month of February. The goal of the

BHM Collaborative was to promote a community celebration that provokes thought through innovative educational opportunities that specifically pertain to history and culture of the African Diaspora. DE&CB aspires to provide a unified front for nationally recognized cultural awareness months, and an opportunity to cultivate new traditions and opportunities for appreciation of cultural and heritage awareness within our campus community.

5. UK Spinoffs, Affiliates Attract Half of Area's \$69.9 Million in Venture Funding

Last year, early-stage companies in the Bluegrass Region attracted \$69.9 million in venture funding according to the annual survey by the Lexington Venture Club. Companies affiliated with UK – with licenses, collaborative projects and/or University of Kentucky Commercialization and Economic Development clients – attracted nearly half of that total. These companies reported creating 109 new jobs with an average full-time salary of \$76,795, employing a total 283 people, and total revenue of \$11.7 million. The Lexington Venture Club is co-managed by Commerce Lexington and UKCED.

6. "Empowered" Campaign Encourages Campus Community to Save Energy

With the launch of Empowered every individual in the University of Kentucky community will be able to discern exactly how much energy they use every day – from an energy-efficient desk lamp to an energy-guzzling mini refrigerator. Accessible through touch-screen kiosks located around campus, a public website, and a mobile version for smartphones and tablets, Empowered is an interactive, user-friendly educational resource, featuring a web-based, real-time campus energy dashboard that measures energy consumption in residence halls, classrooms and labs, as well as offices and public spaces.

7. Student Services and SGA Co-host First Off-Campus Housing Fair

The UK Office of Off-Campus Student Services and Student Government Association sponsored their first Off-Campus Student Housing Fair Feb. 7. A highlight of the event was UK's first, recently released Off-Campus Housing Survey that measured the opinions of students about their off-campus residences. The fair offered students an opportunity to collect enough information to make a virtual visit to most of the city's apartment communities without having to go there personally.

8. KGS Celebrates Major Mapping Milestone for Kentucky

The Kentucky Geological Survey at the University of Kentucky celebrated a major achievement in the mapping of Kentucky's geology. KGS has published all 25 maps in the 30 by 60 minute geologic map series (1:100,000 scale), making them available to the public. This achievement is unparalleled by any other state, making Kentucky a leader in geologic mapping and map technology. These detailed maps show surface and subsurface rock types, formations, and structures such as faults. Geologic formations and faults control the occurrence of minerals and fuels, groundwater, and geologic hazards. A super-sized geologic map of Kentucky, 10 feet high by 23 feet wide, was unveiled in the foyer of the Mining and Mineral Resources Building on Dec. 1. KGS also announced a new mapping application available to the public. Smartphone and

tablet users can explore the geology of Kentucky in their vicinity by using this new Web-based app for mobile devices.

9. Toyota Chairman Fujio Cho Visits UK Lean Systems Program

Fujio Cho, chairman of the Toyota Motor Corporation, visited the UK College of Engineering Lean Systems Program in November to meet with the Lean Systems group and tour the facility where the program conducts its trainings. While Cho has visited the university in the past (he received an honorary doctorate in 2002), his tour marked the first time he has visited the lean program, which was developed as a university-industry partnership initiated by TMMK in 1994.

10. "Bench 2 Business" Recognizes Commercialization Achievements

UK President Eli Capilouto recognized the commercialization achievements of 90 UK faculty, clinicians, staff and students from six colleges and centers at the annual Bench 2 Business event at the new UK Hospital auditorium. This includes new patents, licenses, federal and state SBIR-STTR awards, other state grants, and private investment. B2B is sponsored by the Von Allmen Center for Entrepreneurship in UK Commercialization and Economic Development.

11. Engineering Professor's Research Featured in 'Nature Nanotechnology'

Bruce Hinds, a William Bryan Professor of Materials Engineering in the University of Kentucky College of Engineering and his team of researchers have found that ions can pump fluids thousands of times faster through carbon nanotubes than through conventional materials. Their research is currently featured in the top-tier journal "Nature Nanotechnology." The research is especially significant since it applies to the areas of drug delivery, energy storage and water purification. Specifically, it follows up on previous NIH sponsored research on the development of a smart skin patch that treats nicotine dependence. This project was awarded in 2010 by the White House Office of National Science and Technology Council's Presidential Award for Early Career Scientists and Engineers (PECASE) and included a White House visit.

12. Design's 9/11 Memorial Featured on KET

The Nov. 18 episode of "Kentucky Life" on Kentucky Educational Television featured a 9/11 memorial project from the College of Design. The college became involved with the memorial through a partnership with St. Elizabeth Healthcare in Northern Kentucky. Graduate architecture student Michael Mead and architecture junior Ben Ward, under the direction of instructor, Rives Rash, created a concrete base for the memorial which is crafted from a steel I-beam recovered from the World Trade Center towers. The memorial is on display at the hospital's hospice facility.

13. Art Presents Open Studio Event

UK Department of Art presented its popular Open Studio event Dec. 2, at Reynolds Building Number 1. As part of the festivities, eight art students were recognized as part of the Carey Ellis Juried Student Art Exhibition, which features work by graduate and undergraduate art students.

Winners of the Carey Ellis show were selected by juror Aaron McIntosh, a textile artist and assistant professor of art at James Madison University. Colleen Toutant took first place, Sarah Hahn took second, and Ming Hong took third at the show. Hong also received the Theophilia Joan Oexmann Award. Other winners included Faville Donahue, Arturo Alonzo Sandoval Fiber Award; Jiayuan "Emma" Shen, Ross Zirkle Memorial Art Studio Award; Will Doerting, NCAA Department of Art Award; and Waylon Bigsby, Kim "Kimmer" Adler Memorial Award.

14. Design Prototype Redesigns Houseboat for Energy Efficiency

The College of Design and its partners set the second prototype for the Houseboat to Energy Efficient Residences (HBEER) project in early December near Goldbug, Ky. The HBEER project was created to help design and build energy efficient, low-income residences. The project was made possible through a partnership with the Center for Applied Energy Research and sponsorship from the Kentucky Highlands Investment Corporation and the Kentucky Housing Corporation. Stardust Cruisers built the two prototypes.

15. Special Collections Unveils Anglican Prayer Books Collection

Special Collections unveiled the Abbitt-DuPriest Collection of Anglican Prayer Books as part of a dedication ceremony held Dec. 6, in the Margaret I. King Building. This collection of prayer books, dating back to 1592, is a gift to the UK Special Collections from the Rev. Travis T. DuPriest, former director of the Dekoven Retreat and Conference Center in Racine, Wis., and UK alumnus. Pieces from the collection were on exhibit to the public through the month of December.

16. Historic Preservation Students Unveil Plan for Art Spaces Trail

Historic preservation students unveiled plans for the "Northern Kentucky Historic Art Spaces Trail" on Dec. 13, at Circus Mojo, in Ludlow, Ky. Under the direction of Douglas Appler, the Helen Edwards Abell Endowed Chair in Historic Preservation, the studio identified 47 historic buildings being used as art spaces in Ludlow, Covington, Newport, Bellevue, Dayton and Fort Thomas and developed a trail of the sites to help encourage tourism and economic development in the region. The proposal was created as part of the College of Design's "River Cities" project.

17. UK Ensembles Showcased at Jazz Educators Conference

Four sections of the JEN (Jazz Educator's Network) International Conference showcased talents from the School of Music. The UK Jazz Ensemble and Miles Osland, director of Jazz Studies, presented in the college/university group and clinic categories. Professor Osland's clinic at the conference titled "Jazz Phrasing for Key and Button Pushers (and Others)" featured the UK Mega-Sax Ensemble as a demonstration group. In addition, two local jazz groups with members from UK were also featured, Bluegrass Area Jazz Ambassadors and Osland/Dailey Jazztet. The JEN Conference was presented Jan. 4-7, 2012, in Louisville, Ky.

18. Opera Theatre Students Take Top Honors at Memphis Competition

Two UK Opera Theatre students took top honors at the 2012 National Opera Association Vocal Competition, held in Memphis in January. Senior Reginald Smith Jr. took first place in the competition's scholarship division and graduate student Michael Preacely took third place in the competition's artist division. UK senior Rebecca Farley was also selected to compete in the finals. UK had three of the 18 finalists vying for the national titles. All three vocalists are students of Everett McCorvey.

19. Oral History Center Makes Earthquake Survivor and Stalking Victim Stories Available

The Louie B. Nunn Center for Oral History began making available to the public this January The Haiti Memory Project, a collection of more than 100 stories of earthquake survivors collected by Claire Antone Payton, a doctoral candidate in the Department of History and Institute of French Studies at New York University. Also, the Nunn Center and OutrageUs launched The Stalking Project, a series of videos and other resources meant to educate and put a spotlight on one of the nation's most misunderstood areas of partner violence. Working with filmmaker Walter Brock, The Stalking Project is identifying the crime through personal narratives and mini-documentaries that give voice to women who were stalked by an intimate partner, as well as the professionals who worked with them in their efforts to seek justice and safety.

20. College of Dentistry Continues to Serve Children of Kentucky Horse Farm Workers

A partnership between the UK College of Dentistry, Keeneland and the Bluegrass Farms Charities has provided dental exams and treatment to 25 children of workers from Lexington-area horse farms. As part of our mission of service, students and staff provide educational materials about oral health and the college's Twilight Clinic, which serves children on a sliding fee scale. A grant from Keeneland made it possible for these children to receive treatment at no cost to their families.

21. Faculty Awards and Achievements

Carmen Agouridis and Richard Warner, Biosystems and Agricultural Engineering, and Chris Barton, Forestry, are team members of the Commonwealth Collaborative project, "Reforestation of Surface Mined Lands in Kentucky," which was named an Exemplary Project by the Association of Public and Land-Grant Universities.

Grayson Brown, Entomology, is president of the Entomological Society of America, the largest entomological society in the world with more than 6,500 members.

Alison Davis, Agricultural Economics, was awarded \$160,000 from NY Community Trust for "Scholarships for Appalachian Students Pursuing a Career in Healthcare."

Mark L. Farman, Plant Pathology, was invited to join the Wheat Blast Consortium, a select group of U.S. and international researchers, whose goals are to prevent wheat blast disease

from becoming a major threat to U.S. wheat production and to develop improved management options for countries where the disease is already established.

Joseph L. Fink III, Pharmacy, was chosen to receive the American Pharmacists Association's 2012 Linwood F. Tice Friend of APhA-ASP Award.

Patricia Freeman, Pharmacy, was chosen to receive the 2012 American Pharmacists Association's Good Government Pharmacist-of-the-Year Award.

Said A. Ghabrial, Plant Pathology, was elected chair of the Fungal Virus Subcommittee and member of the Executive Committee of the International Committee on Taxonomy of Viruses

Ken Haynes, Entomology, has been named a Fellow of the American Association for the Advancement of Science.

Judy "JJ" Jackson, Office for Institutional Diversity, has been elected to serve as a member of Leadership Kentucky's board of directors.

Aardra Kachroo, Said A. Ghabrial and Donald Hershman, Plant Pathology, received a \$414,000 three-year grant from the United Soybean Board for research involving soybean responses to root-knot and reniform nematodes.

Peggy Piasecik, Pharmacy, has been elected as President of the American Association of Colleges of Pharmacy.

Ray Smith, Plant and Soil Sciences, was awarded \$259,903 by Kentucky Forage and Grasslands Council for his project "Farm Scale Biomass Production for Electricity Generation and Community Development."

Michael Speaks, Design, authored an essay featured in the December issue of Architectural Record.

C. Jill Stowe, Agricultural Economics, is co-PI and project leader for "Growing Kentucky's Equine Economy: Establishing a Baseline with the Kentucky Equine Survey," a project that is funded by a \$300,000 grant from the Kentucky Agricultural development Fund, Governor's Office of Agricultural Policy. Other co-PIs include Mary Rossano and Robert Coleman, Animal and Food Sciences, and Holly Weimers, Equine Initiative.

William Witt, Plant and Soil Sciences, received the Award of Excellence for right-of-way research from the National Roadside Vegetation Management Association.

22. Student Awards and Achievements

Michael P. Sama, Biosystems and Agricultural Engineering, is the recipient of the 2011 Sunkist Young Designer Award for his exceptional engineering creativity and achievements that have impacted the way biological and agricultural engineers collect and aggregate data and that have greatly benefitted researchers, corporations, and consumers.

Rachel Sterrenberg, Opera, is one of three selected from the Kentucky District Auditions for the Metropolitan Opera to advance to the regional level of the Metropolitan Opera National Council Auditions to be held Feb. 4, in Memphis. The contest's Encouragement Award was also presented to two UK vocalists, Rebecca Farley and Reginald Smith Jr.

Taylor Lloyd, Agricultural Biotechnology and Biology, was selected by The Astronaut Scholarship Foundation as one of this year's 26 recipients of the prestigious \$10,000 ASF Scholarship.

23. Alumni Awards and Achievements

Dr. Bill Wathen, Dentistry, 1967, received the College of Dentistry's Distinguished Alumni Award.

Bob Wiseman, Martin School, 1984, received the Martin School's Distinguished Alumni Award.

PR 2

Office of the President
February 21, 2012

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 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

CIO for Information Technology

Cabaniss, Janet S., IT Technical Support Specialist III, IT Planning, Administrative & Finance, after 40 years and 6 months of consecutive service under AR 3.1 Section VI.B, effective 12/31/11.

Office of the President

Way, Peggy R., Administrative Staff Officer II, Office of the President, after 41 years and 6 months of total service under AR 3.1 Section VIII.B, effective 2/29/12.

B. EARLY RETIREMENTS

Director of Purchasing

Garnett, Charlotte D., Contracting Officer III, Purchasing Department, after 28 years and 10 months of consecutive service under AR 3.1 Section VIII.A, effective 11/30/11.

Executive Vice President for Finance & Administration

Harbison, Raymond J. Radiology Attendant, Human Resources, after 23 years and 10 months of consecutive service under AR 3.1 Section VIII.A, effective 12/31/11.

Slone, Ruby A., Manufacturing Technician, Human Resources, after 34 years and 6 months of consecutive service under AR 3.1 Section VIII.A, effective 12/31/11.

Vice President for Facilities Management

Pope, Garland L., Parking Control Attendant, Parking & Transportation, after 16 years and 3 months of consecutive service under AR 3.1 Section VIII.A, effective 1/14/12.

II. ADMINISTRATIVE ACTION

A. APPOINTMENTS

CIO for Information Technology

Taulbee, Angela, Enterprise Application Group Team Member Level II, University Computing Enterprise Systems, effective 11/6/11.

Vice President for Commercialization and Economic Development

Nash, Warren, Von Allmen Center for Entrepreneurship Director, Commercialization & Economic Development, effective 1/3/11.

Vice President for Facilities Management

Nelson, Brandy, Biological Safety Officer, Environmental Health and Safety, effective 11/4/11.

B. PROMOTIONS

CIO for Information Technology

Hyatt, Ray., Jr., from Systems Analyst Programmer Sr., IT Infrastructure Group to Programmer Systems Lead, University Computing Systems, effective 10/12/11.
Sterling, John, Mobile Portal Workflow Software Developer I, Enterprise Application Group to Mobile Portal Workflow Software Developer II, Enterprise Application Group, effective 10/12/11.

Associate Vice President for Human Resources

Bowes, Sarah, from HR Manager Assistant/Employment, Employment/Human Resources to HR Manager/Employment, Employment/Human Resources, effective 11/23/11.

Ilavala, Neeharika, from IS Technical Support Specialist II, Human Resources to Technical Project Specialist III, Human Resources, effective 12/7/11.

PROVOST

I. BOARD ACTION

A. ACADEMIC APPOINTMENTS

Anthony, Lowell B., College of Medicine, Clinical Professor, Internal Medicine, 11/1/11 through 6/30/12.

Bernard, Andrew C., College of Medicine, Associate Professor* (with tenure), Surgery, appointed to the Paul A. Kearney, M.D. Endowed Chair in Trauma Surgery, 7/1/11 through 6/30/16.

Bernert, Silke, College of Medicine, Clinical Assistant Professor, Physical Medicine and Rehabilitation, 2/1/12 through 6/30/12.

Blackwell, David W., College of Business and Economics, Professor (with tenure), Management, effective 3/1/12.

Brumfield, Jeffrey T., College of Medicine, Clinical Assistant Professor, Internal Medicine, 12/1/11 through 6/30/12.

Campbell, Jonathan, College of Education, Professor (with tenure), Educational, School, and Counseling Psychology, effective 8/16/12.

Dell, Carol M., College of Medicine, Clinical Assistant Professor, Radiology, 3/5/12 through 6/30/12.

Dillard, Robert P., College of Medicine, Associate Professor (voluntary), Pediatrics, 9/1/11 through 6/30/16.

El-Mallakh, Rif S., College of Nursing, Professor (voluntary), 12/1/11 through 6/30/16.

Eldred, Janet, College of Arts and Sciences, Professor (with tenure), English, appointed to the Chellgren Center Endowed Professorship, 1/15/12 through 12/31/14.

Fowler, Craig B., College of Dentistry, Associate Professor* (with tenure), Oral Health Science, effective 1/1/12.

Kovash, Michael, College of Arts and Sciences, Professor (with tenure), Physics and Astronomy, appointed to the Chellgren Center Endowed Professorship, 1/15/12 through 12/31/14.

Lee, Carl, College of Arts and Sciences, Professor (with tenure), Mathematics, appointed to the Chellgren Center Endowed Professorship, 1/15/12 through 12/31/14.

Mongiardo, Frank D., College of Medicine, Associate Professor (voluntary), Family and Community Medicine, 12/1/11 through 6/30/16.

Mullett, Timothy W., College of Medicine, Clinical Associate Professor, Surgery, appointed to the Michael A. Davis Thoracic Oncology Research Professorship, 1/1/12 through 6/30/17.

Tzanetos, Douglas B., College of Medicine, Associate Professor (voluntary), Internal Medicine, 2/1/12 through 6/30/16.

van Horne, Craig G., College of Medicine, Clinical Associate Professor, Neurosurgery, and joint appointment as Clinical Associate Professor, Anatomy and Neurobiology, 11/15/11 through 6/30/12.

Villano, John L., College of Medicine, Associate Professor* (with tenure), Internal Medicine, effective 1/1/12.

Yanagida, Roh, College of Medicine, Clinical Assistant Professor, Surgery, 1/25/12 through 6/30/12.

B. ADMINISTRATIVE APPOINTMENTS

Randall, Marcus E., College of Medicine, Professor (with tenure), Radiation Medicine, and joint appointment as Professor (without tenure), Clinical Sciences, College of Health Sciences, appointed Chair, Radiation Medicine, from 10/1/06 through 9/30/11, to 10/1/06 through 9/30/12.

C. JOINT APPOINTMENTS

Zhang, Jie, College of Medicine, Clinical Associate Professor, Radiology, joint appointment as Clinical Associate Professor, Clinical Sciences, College of Health Sciences, 2/1/12 through 6/30/12.

D. REAPPOINTMENTS

Adams, Steven R., College of Pharmacy, Associate Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Adkins, Lanny, College of Pharmacy, Associate Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Anderson, Michael J., College of Pharmacy, Associate Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Bada-Ellzey, Henrietta S., College of Medicine, Professor (with tenure), Pediatrics, and joint appointment as Professor (without tenure), Epidemiology, College of Public Health, reappointed to the Mary Florence Jones Professorship in Neonatology, 10/1/11 through 6/30/16.

Barnette, Jerry, College of Pharmacy, Associate Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Betsky, Aaron A., College of Design, Professor (visiting), Architecture, 1/1/12 through 6/30/12.

Bray, Jackson, College of Pharmacy, Associate Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Clark, James J., College of Social Work, Associate Professor (with tenure), and joint appointment as Associate Professor (without tenure), Psychiatry, College of Medicine, reappointed to the Constance Wilson Endowed Professorship in Mental Health, 7/1/11 through 6/30/14.

Clayton, Richard R., College of Public Health, Professor (with tenure), Health Behavior, reappointed to the Good Samaritan Professorship in Health Education, Research, Health Promotion and Preventive Services, 6/1/11 through 5/31/16.

Claywell, Leon, College of Pharmacy, Associate Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Cooley, Harold W., College of Pharmacy, Associate Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Haltom, Joan B., College of Pharmacy, Associate Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Hammons, George F., College of Pharmacy, Associate Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Houchens, Tom M., College of Pharmacy, Associate Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Joyce, Melinda C., College of Pharmacy, Associate Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Mangino, Paul D., College of Pharmacy, Associate Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Monroe, Mickey, College of Pharmacy, Associate Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Shah, Naresh, College of Engineering, Professor (temporary), Chemical and Materials Engineering, 1/1/12 through 2/29/12.

Shely, Catherine L., College of Pharmacy, Associate Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Widiger, Thomas, College of Arts and Sciences, Professor (with tenure), Psychology, reappointed to the T. Marshall Hahn, Jr. Professorship, 7/1/11 through 6/30/16.

E. PROMOTIONS

Hasni, Syed K., College of Medicine, from Assistant Professor (voluntary), Internal Medicine, to Associate Professor (voluntary), Internal Medicine, 2/1/12 through 6/30/16.

Nixon, Kimberly, College of Pharmacy, from Assistant Professor, Pharmaceutical Sciences, to Associate Professor (with tenure), Pharmaceutical Sciences, effective 7/1/11.

O'Connor, Lisa O., College of Communications and Information Studies, from Assistant Professor, Library and Information Science, to Associate Professor (with tenure), Library and Information Science, effective 7/1/11.

Rentfrow, Gregg K., College of Agriculture, from Assistant Extension Professor, Animal and Food Sciences, to Associate Extension Professor (with tenure), Animal and Food Sciences, effective 1/30/12.

Riddell, Martha C., College of Public Health, from Clinical Assistant Professor, Health Services Management, to Associate Professor* (with tenure), Health Services Management, effective 11/1/11.

Wesley, Scarlett C., College of Agriculture, from Assistant Professor, Merchandising, Apparel and Textiles, to Associate Professor (with tenure), Merchandising, Apparel and Textiles, effective 1/1/12.

F. CHANGES

Bailey, Francis M., College of Arts and Sciences, from Associate Professor (temporary), Modern and Classical Languages, Literatures, and Cultures, to Associate Professor

(without tenure), Modern and Classical Languages, Literatures, and Cultures, 8/16/11 through 6/30/13.

de la Torre, Carlos, College of Arts and Sciences, from Professor (temporary), Sociology, to Professor (with tenure), Sociology, effective 8/16/11.

Huja, Sarandeep S., College of Dentistry, from Professor (temporary), Oral Health Science, to Professor* (with tenure), Oral Health Science, effective 11/1/11.

Mason, Carol A., College of Arts and Sciences, from Professor (temporary), Gender and Women's Studies, to Professor (with tenure), Gender and Women's Studies, effective 8/16/11.

G. TERMINAL REAPPOINTMENTS

Li, Tianxiang, College of Engineering, Associate Research Professor, Mechanical Engineering, 1/1/12 through 6/30/12.

Salazar, Abraham J., College of Engineering, Associate Research Professor, Mechanical Engineering, 1/1/12 through 2/29/12.

H. RETIREMENTS

Denney-Koontz, Mollie A., College of Agriculture, Program Assistant, Family and Consumer Sciences, after 25 years of consecutive service, under AR 3:1, Section VIII.B, effective 1/31/12.

Ireland, Raquel F., College of Dentistry, Stores Assistant, Dental Clinic, after 30 years and 6 months of consecutive service, under AR 3:1, Section VIII.B, effective 1/20/12.

Oder, Dorothy M., College of Medicine, Patient Relations Assistant III, Orthopedic Surgery, after 20 years and 6 months of consecutive service, under AR 3:1, Section VIII.B, effective 3/30/12.

O'Reilly, Carol A., College of Arts and Sciences, Administrative Support Associate I, History, after 15 years and 10 months of consecutive service, under AR 3:1, Section VIII.B, effective 3/2/12.

Quam, David F., Enrollment Management, Account Clerk III, Student Account Services, after 18 years and 5 months of consecutive service, under AR 3:1, Section VIII.B, effective 2/1/12.

Silvers, Jackie, Research, Administrative Staff Officer II, Kentucky Geological Survey, after 15 years and 11 months of consecutive service, under AR 3:1, Section VIII.B, effective 3/31/12.

I. EARLY RETIREMENTS

Cordiviola, Steven J., Research, Section Head, Kentucky Geological Survey, after 35 years and 4 months of consecutive service, under AR 3:1, Section VIII.A, effective 1/2/12.

Craycraft, Sherry S., College of Engineering, Administrative Staff Officer II, Kentucky Transportation Center, after 24 years and 6 months of consecutive service, under AR 3:1, Section VIII.A, effective 3/2/12.

- Dahlstrom, Robert, College of Business and Economics, Professor (with tenure), Management, after 21 years and 4 months of consecutive service, under AR 3:1, Section VIII.A, effective 1/12/12.
- Fuqua, William L. III, College of Arts and Sciences, Engineer, Physics and Astronomy, after 31 years and 9 months of consecutive service, under AR 3:1, Section VIII.A, effective 3/9/12.
- Meade, Patricia L., College of Medicine, Abstractor Coordinator Regional, Kentucky Community Cancer Program, after 18 years and 4 months of consecutive service, under AR 3:1, Section VIII.A, effective 12/31/11.
- Miara, M.C., College of Medicine, Research Administrative Coordinator Senior, Sanders-Brown Center on Aging, after 25 years and 1 month of consecutive service, under AR 3:1, Section VIII.A, effective 10/31/11.

J. POST-RETIREMENT APPOINTMENTS

- Allen, David M., College of Arts and Sciences, Professor (part-time), Statistics, 1/1/12 through 5/15/12.
- Cox, Raymond, College of Arts and Sciences, Associate Professor (part-time), Mathematics, 1/1/12 through 5/15/12.
- Gadberry, Shirley, College of Agriculture, Service/Maintenance (part-time), Cooperative Extension Service, 1/12/12 through 1/11/13.
- Greenwell, Richard, College of Agriculture, County Extension Agent (part-time), Cooperative Extension Service, 5/6/12 through 5/5/13.
- Hall, Bryan D., College of Medicine, Professor (part-time), Pediatrics, 7/1/11 through 6/30/12.
- Howard, Henry, College of Arts and Sciences, Professor (part-time), Mathematics, 1/1/12 through 5/15/12.
- Huffman, Gerald P., College of Engineering, Professor (part-time), Chemical and Materials Engineering, 1/1/12 through 2/29/12.
- Huggins, Frank E., College of Engineering, Professor (part-time), Chemical and Materials Engineering, 1/1/12 through 2/29/12.
- Jacobs, Charlene, College of Agriculture, Interim Assistant Director for 4-H/Youth Development, Cooperative Extension Service, 1/1/12 through 12/31/12.
- Jasper, Linda Sue, College of Agriculture, Service/Maintenance (part-time), Cooperative Extension Service, 3/4/12 through 3/3/13.
- Johnting, Kaye, College of Agriculture, Program Assistant (part-time), Cooperative Extension Service, 2/28/12 through 2/27/13.
- Maurer, Richard C., College of Agriculture, Professor (part-time), Community and Leadership Development, 7/9/12 through 7/8/13.
- McEllistrem, Marcus T., College of Arts and Sciences, Professor (part-time), Physics and Astronomy, 1/1/12 through 5/15/12.
- Moore, Nelda, College of Agriculture, Family and Consumer Sciences Agent (part-time), Cooperative Extension Service, 2/1/12 through 1/31/13.
- Phelps, James, College of Agriculture, County Extension Agent (part-time), Cooperative Extension Service, 3/6/12 through 3/5/13.

Phillips, Michael, College of Agriculture, County Extension Agent (part-time), Cooperative Extension Service, 1/10/12 through 1/9/13.

White, Dean K., College of Dentistry, Professor (part-time), Oral Health Science, 1/4/12 through 6/30/12.

K. PHASED RETIREMENT APPOINTMENTS

Pulito, Andrew R., College of Medicine, Professor* (with tenure), Surgery, and joint appointment as Professor* (without tenure), Pediatrics, 7/1/12 through 6/30/15.

Weinberg, Harold R., College of Law, Professor (with tenure), 1/1/13 through 12/31/17.

II. ADMINISTRATIVE ACTION

A. ACADEMIC APPOINTMENTS

Adams, Julie A., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 9/1/11 through 6/30/16.

Adams, Thomas W., College of Communications and Information Studies, Instructor (part-time), Communication, 1/1/12 through 5/31/12.

Agahtehrani, Abdolreza, College of Medicine, Assistant Professor (voluntary), Internal Medicine, 1/1/12 through 6/30/16.

Ahmed, Adnan, College of Medicine, Instructor (voluntary), Family and Community Medicine, 12/1/11 through 6/30/16.

Akhtar, Naeem, College of Medicine, Assistant Professor (voluntary), Psychiatry, 11/1/11 through 6/30/16.

Alleron, Shannon J., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 11/1/11 through 6/30/16.

Allday, Carrie, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/11 through 12/31/11.

Amponsah, Gabriel, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 1/1/11 through 5/15/11.

Amuri Misako, Fraternel D., College of Arts and Sciences, Instructor (part-time), Political Science, 8/16/11 through 5/15/12.

Ao, Tuoying, College of Agriculture, Assistant Adjunct Professor, Animal and Food Sciences, 1/19/12 through 6/30/12.

Armburst, Jennifer J., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 11/1/11 through 6/30/16.

Attard, Victor E., College of Arts and Sciences, Lecturer, English, 1/1/12 through 12/31/13.

Basuray, Rita, College of Arts and Sciences, Instructor (part-time), Psychology, 1/1/12 through 5/15/12.

Bhakta, Divesh R., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 1/1/12 through 6/30/16.

Biliter, Hubert D., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 11/1/10 through 6/30/16.

Boulay, Roger, College of Fine Arts, Lecturer, Art, 8/16/11 through 6/30/12.

Cambron, Ashley A., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 4/7/09 through 6/30/16.

Camp, Misty, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 5/30/09 through 6/30/16.

Carrico, Jeffery M., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 9/1/11 through 6/30/16.

Carroll, Thomas F., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 12/3/11 through 6/30/12.

Charalambakis, John E., Graduate School, Instructor (part-time, temporary), Patterson School of Diplomacy and International Commerce, 8/1/11 through 6/30/12.

Clark, Jill, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 5/29/09 through 6/30/16.

Clifton, Charles C., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 12/1/11 through 6/30/16.

Cooper, J. G., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 12/1/11 through 6/30/16.

Davies, Conrad A., College of Communications and Information Studies, Instructor (part-time), Communication, 1/1/12 through 5/31/12.

Davis, John P., College of Arts and Sciences, Instructor (part-time), History, 1/1/12 through 6/30/12.

Davis, Winston L., College of Arts and Sciences, Instructor, Military Science and Leadership, 1/1/12 through 12/31/16.

Davitt, Amanda C., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 9/1/11 through 6/30/16.

Debord, Charles, College of Arts and Sciences, Instructor (part-time), Philosophy, 1/1/12 through 5/15/12.

DeLuca, Michael D., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 10/1/11 through 6/30/16.

Doyle, John L., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 12/1/11 through 6/30/16.

Eckman, Danielle G., College of Health Sciences, Instructor (part-time), Rehabilitation Sciences, 7/1/11 through 6/30/12.

Ellington, Virginia H., College of Agriculture, Instructor (part-time), Family Sciences, 1/1/12 through 6/30/12.

Elmo Jr., Sal, College of Business and Economics, Instructor (part-time), Management, 1/11/12 through 6/30/12.

Estes, Christopher T., College of Design, Instructor (part-time), Interior Design, 1/1/12 through 6/30/12.

Fahsah, Ibrahim, College of Medicine, Instructor (voluntary), Internal Medicine, 1/1/12 through 6/30/16.

Fink, Justin M., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 12/1/11 through 6/30/16.

Flanders, Matthew L., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 3/1/11 through 6/30/16.

Flynn, Kimberly N., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 9/1/11 through 6/30/16.

Foster, Sally C., College of Business and Economics, Adjunct Instructor, Management, 1/11/12 through 6/30/12.

Gleason, Rachel w., College of Health Sciences, Instructor (part-time), Rehabilitation Sciences, 7/1/10 through 6/30/11.

Goodin, Amie J., College of Business and Economics, Instructor (part-time), Economics, 1/11/12 through 6/30/12.

Goodin, Kara, College of Medicine, Assistant Professor (part-time), Pediatrics, 1/1/12 through 6/30/12.

Greubel, Justin M., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/29/09 through 6/30/16.

Grimes, Andrew N., College of Business and Economics, Instructor (part-time), Management, 1/11/12 through 6/30/12.

Haque, Farzin, College of Pharmacy, Assistant Research Professor, Pharmaceutical Sciences, 1/1/12 through 6/30/12.

Harlow, Christopher, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 9/1/11 through 6/30/16.

Harney, Rachel K., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 3/27/09 through 6/30/16.

Haynes, Heather L., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 8/4/09 through 6/30/16.

Hays, Ann A., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 7/1/11 through 6/30/16.

Henke, Melissa N., College of Law, Clinical Assistant Professor, 6/15/11 through 6/30/11.

Higgins, Stephen F., College of Agriculture, Assistant Adjunct Professor, Biosystems and Agricultural Engineering, 3/1/12 through 6/30/12.

High, Curtis L., College of Medicine, Assistant Professor (voluntary), Obstetrics and Gynecology, 11/1/11 through 6/30/16.

Hill, Lisa D., College of Health Sciences, Instructor (part-time), Rehabilitation Sciences, 7/1/10 through 6/30/11.

Hinkson-Lee, Kimberley, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/11 through 12/31/11.

Hoisington, Ryan L., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 8/4/09 through 6/30/16.

Hudspeth, Brooke D., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 1/1/11 through 6/30/16.

Jones, Jamie, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 8/1/11 through 6/30/16.

Jones, Jayna R., College of Medicine, Instructor (voluntary), Family and Community Medicine, 10/1/11 through 6/30/16.

Jordan, Jane J., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 9/26/11 through 6/30/12.

Katen, Kenneth P., College of Engineering, Instructor (part-time), Mining Engineering, 1/1/12 through 6/30/12.

Kellen, Vincent, College of Communications and Information Studies, Adjunct Instructor, Communication, 1/1/12 through 5/31/12.

Knetsche, Robert P., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 10/1/11 through 6/30/16.

Kniery, Paul A., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 8/1/11 through 6/30/16.

Lacefield, Darren G., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 9/1/11 through 6/30/16.

Land, Gina L., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 11/1/11 through 6/30/16.

Lewis, Karin, College of Education, Assistant Adjunct Professor, Educational Policy Studies and Evaluation, 8/16/11 through 6/30/14.

Lineberry, Michelle J., College of Public Health, Adjunct Instructor, Health Services Management, 11/1/11 through 6/30/12.

Logdon, Angela C., College of Health Sciences, Instructor (part-time), Rehabilitation Sciences, 7/1/10 through 6/30/11.

Lu, Hong, College of Medicine, Assistant Research Professor, Internal Medicine, 1/9/12 through 6/30/12.

Mangino, Maggie L., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 8/1/11 through 6/30/16.

Maniago, Rebecca K., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 9/2/09 through 6/30/16.

Marchetti, Michael A., College of Arts and Sciences, Instructor, Military Science and Leadership, 1/1/12 through 12/31/16.

Martel, Michelle M., College of Arts and Sciences, Assistant Professor, Psychology, 8/16/12 through 6/30/14.

McSwain, Stephen B., College of Communications and Information Studies, Instructor (part-time), Communication, 1/1/12 through 5/31/12.

Meyer, Debbie E., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 8/1/11 through 6/30/16.

Miller-Beckman, Nicole R., College of Arts and Sciences, Lecturer, English, 1/1/12 through 12/31/13.

Mock, Robert C., College of Communications and Information Studies, Adjunct Instructor, Communication, 1/1/12 through 5/31/12.

Mouw, Loren J., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 1/1/12 through 6/30/16.

Namkoong, Kang, College of Agriculture, Assistant Professor, Community and Leadership Development, 1/3/12 through 6/30/12.

Nelson, Lynn C., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 11/1/11 through 6/30/16.

Nunamaker, Jacob L., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 1/1/12 through 6/30/16.

O'Donnell, Katie L., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 12/1/11 through 6/30/16.

Ognibene, Judy A., College of Medicine, Assistant Professor (voluntary), Psychiatry, 1/1/12 through 6/30/16.

Osetinsky, Gregory V., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 2/1/12 through 6/30/16.

Oyler, Douglas R., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 6/1/11 through 6/30/16.

Philpott, Geri R., College of Agriculture, Adjunct Instructor, Forestry, 7/1/11 through 6/30/12.

Pohl, Michael, College of Education, Assistant Professor, Kinesiology and Health Promotion, 10/1/11 through 6/30/12.

Poore, Marian L., College of Arts and Sciences, Adjunct Instructor, Chemistry, 1/1/12 through 5/15/12.

Pugh, Barbara B., College of Health Sciences, Instructor (part-time), Rehabilitation Sciences, 7/1/11 through 6/30/12.

Reeves, Courtney L., College of Nursing, Instructor (part-time), 1/9/12 through 6/30/12.

Richardson, Christine M., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 10/1/11 through 6/30/16.

Richardson, Elizabeth A., College of Design, Instructor (part-time), Interior Design, 1/1/12 through 6/30/12.

Riley, John, College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 11/1/11 through 6/30/16.

Rizzo, Noelle F., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 11/1/11 through 6/30/16.

Roberts, Phelicisima W., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 6/3/09 through 6/30/16.

Robertson, Vickie M., College of Health Sciences, Instructor (part-time), Clinical Sciences, 7/1/10 through 6/30/11.

Ross, Michael D., College of Business and Economics, Instructor (part-time), Management, 1/11/12 through 6/30/12.

Rowe, David W., College of Dentistry, Instructor (voluntary), Oral Health Science, 12/15/11 through 6/30/16.

Royster, Norma P., College of Arts and Sciences, Instructor (part-time), Mathematics, 1/1/12 through 5/15/12.

Schmidt, William R., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 1/1/12 through 6/30/16.

Shake, Margaret, College of Health Sciences, Instructor (part-time), Rehabilitation Sciences, 7/1/10 through 6/30/11.

Singh, Pradeep K., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 1/1/12 through 6/30/16.

Sizemore, Timothy L., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 11/1/11 through 6/30/16.

Steinbach, Shana L., College of Business and Economics, Instructor (part-time), Economics, 1/11/12 through 6/30/12.

Stephen, Thomas C., College of Medicine, Assistant Professor (voluntary), Pediatrics, 9/1/11 through 6/30/16.

Stith, Carrie M., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 6/1/11 through 6/30/16.

Suttles, Jill, College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, 1/1/12 through 6/30/16.

Swann, Nicole, College of Nursing, Instructor (part-time), 1/1/12 through 6/30/12.

Thompson, Karrie L., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 8/1/11 through 6/30/16.

Tracy, Angela D., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 9/1/11 through 6/30/16.

Trivisonno, Carey H., College of Design, Instructor (part-time), Interior Design, 1/1/12 through 6/30/12.

Valente, Edward J., College of Agriculture, Instructor (part-time), Nutrition and Food Science, 1/1/12 through 6/30/12.

Vallabh, Meghna I., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 10/1/11 through 6/30/16.

Ward, Bradley, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 10/1/11 through 6/30/16.

Way, Theodore M., College of Arts and Sciences, Lecturer, English, 1/1/12 through 12/31/13.

Wertzler, Jon F., College of Business and Economics, Instructor (part-time), Management, 1/11/12 through 6/30/12.

Wimsatt, James M., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 12/1/11 through 6/30/16.

Worthy, Matthew S., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 10/1/11 through 6/30/16.

Yu, Carol B., College of Arts and Sciences, Instructor (part-time), Modern and Classical Languages, Literatures, and Cultures, 1/1/12 through 6/30/12.

Zhang, Hui, College of Pharmacy, Assistant Research Professor, Pharmaceutical Sciences, 1/1/12 through 6/30/12.

B. ADMINISTRATIVE APPOINTMENTS

Alltop, Jeremy, College of Dentistry, Dean Associate/Dental Administrative Affairs, effective 12/1/11.

Adkins, Julia, College of Medicine, Advanced Practice Provider II, Emergency Medicine, effective 11/19/11.

Bryant, Tammy, College of Medicine, Advanced Practice Provider III, Neurology, effective 1/1/12.

Gordon, Kristyn L., College of Medicine, Advanced Practice Provider III, Surgery, effective 1/9/12.

Howard, Jasmine, College of Medicine, Advanced Practice Provider II, Internal Medicine, effective 11/21/11.

Howell, Brian, College of Engineering, Engineer Associate IV/Research, Kentucky Transportation Center, effective 12/1/11.

- Madden, Ruby Anne, College of Medicine, Advanced Practice Provider II, Emergency Medicine, effective 11/19/11.
- 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 to the Interim Chair, Department of Family and Community Medicine, 1/1/12 through 12/31/12.
- Rowles, Graham, College of Public Health, Professor (with tenure), Gerontology, and joint appointments as Professor (without tenure), College of Nursing and Professor (without tenure), Behavioral Science, College of Medicine and Professor (without tenure), Health Behavior and Professor (without tenure), Geography, College of Arts and Sciences, appointed to the Interim Chair, Department of Gerontology, 8/15/11 through 6/30/12.
- Wallace, Carmel, College of Medicine, Clinical Associate Professor, Pediatrics, appointed to the Interim Chair, Department of Pediatrics, 2/14/12 through 2/13/13.
- Wilson, Emery A., College of Medicine, Professor (with tenure), Obstetrics and Gynecology, and joint appointment as Professor (without tenure), Family and Community Medicine, appointed to the Interim Chair, Department of Pharmacy Practice and Science, 1/1/12 through 12/31/12.

C. JOINT APPOINTMENTS

- Bradley, Jeremy L., College of Health Sciences, Assistant Professor (voluntary), Clinical Sciences, joint appointment as Instructor (voluntary), Family and Community Medicine, College of Medicine, 12/1/11 through 6/30/16.
- Liu, S. Sarah, College of Engineering, Assistant Professor, Science and Mathematics, West Kentucky Community and Technical College, joint appointment as Assistant Professor, Mechanical Engineering, College of Engineering, 7/1/11 through 6/30/12.

D. REAPPOINTMENTS

- Adams, Charles D., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.
- Adams, Kevin J., College of Pharmacy, Instructor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.
- Ades, Harriet, College of Arts and Sciences, Instructor (part-time), Chemistry, 1/1/12 through 5/15/12.
- Andrews, William M., College of Arts and Sciences, Assistant Adjunct Professor, Geography, 1/1/12 through 12/31/12.
- Bailey, Sean C., College of Engineering, Assistant Professor, Mechanical Engineering, 1/1/12 through 12/31/13.
- Barbour, John T., College of Arts and Sciences, Instructor (temporary), English, 1/1/12 through 5/15/12.
- Barnett, Holly, College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Batty, Clare E., College of Arts and Sciences, Assistant Professor, Philosophy, 7/1/11 through 6/30/13.

Berger, Sandy, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Bishop, Mary, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Blackburn, Teena H., College of Arts and Sciences, Instructor (part-time), Philosophy, 1/1/12 through 5/15/12.

Boarman, Meredith L., College of Business and Economics, Instructor (part-time), Management, 1/11/12 through 6/30/12.

Bright, Larry K., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Buffington, Clint, College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Callahan-Caudill, Krista E., College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Chaney, Joyce P., College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Clark, Amy C., College of Arts and Sciences, Instructor (part-time), Modern and Classical Languages, Literatures, and Cultures, 1/1/12 through 5/15/12.

Clark, John R., College of Business and Economics, Instructor (part-time), Accountancy, 1/11/12 through 6/30/12.

Claxon, Jenny E., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Cooley, Kimberly, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Cottingham, Lauren, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Cox, Hope L., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Coyle, Elizabeth A., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Davin, Diana J., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Dickson, Megan F., College of Arts and Sciences, Instructor (part-time), Sociology, 1/1/12 through 5/15/12.

Doss, Janet W., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Effinger, Kathy, College of Arts and Sciences, Instructor (part-time), Mathematics, 1/1/12 through 5/15/12.

El Majzoub, Nada M., College of Arts and Sciences, Instructor (part-time), Modern and Classical Languages, Literatures, and Cultures, 1/1/12 through 5/15/12.

Elliott, Rachel A., College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Ellis, Steven L., College of Arts and Sciences, Adjunct Instructor, Physics and Astronomy, 1/1/12 through 5/15/12.

Engle, Allison L., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Eslinger, Jessica G., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Fields, Jim, College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Foege, Susan, College of Arts and Sciences, Instructor (part-time), Mathematics, 1/1/12 through 5/15/12.

France, Linda, College of Education, Clinical Assistant Professor, Educational Leadership Studies, 8/16/11 through 6/30/12.

Froehling, Oliver R., College of Arts and Sciences, Assistant Adjunct Professor, Geography, 1/1/12 through 12/31/12.

Fulbrook, Denise, College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Gaffney, Jon D., College of Arts and Sciences, Instructor (part-time), Physics and Astronomy, 1/1/12 through 5/15/12.

Galvan, Angelica, College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 1/1/12 through 5/15/12.

Gay, Virginia, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Gazula, Vikram, College of Arts and Sciences, Adjunct Instructor, Physics and Astronomy, 1/1/12 through 5/15/12.

Gleason, Rachel w., College of Health Sciences, Instructor (part-time), Rehabilitation Sciences, 7/1/11 through 6/30/12.

Gorbett, Kelly L., College of Education, Instructor (part-time), Educational, School, and Counseling Psychology, 1/1/12 through 6/30/12.

Grey, Chrystal Y., College of Arts and Sciences, Instructor (part-time), Sociology, 1/1/12 through 5/15/12.

Grossardt, Theodore, College of Arts and Sciences, Assistant Adjunct Professor, Geography, 1/1/12 through 12/31/12.

Gunther, Denotra S., College of Business and Economics, Instructor (part-time), Management, 1/11/12 through 6/30/12.

Hale, Bonnie B., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Hendricks, Michael T., College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Henke, Melissa N., College of Law, Clinical Assistant Professor, 7/1/11 through 6/30/12.

Hill, Lisa D., College of Health Sciences, Instructor (part-time), Rehabilitation Sciences, 7/1/11 through 6/30/12.

Hobbs, James, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Holcomb, Stephanie M., College of Arts and Sciences, Instructor (part-time), Sociology, 1/1/12 through 5/15/12.

Hollon, Norris, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Hood, James L., College of Arts and Sciences, Instructor (part-time), History, 1/1/12 through 5/15/12.

Human, James, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/11 through 12/31/11.

Huss, Debra B., College of Arts and Sciences, Instructor (part-time), Psychology, 1/1/12 through 5/15/12.

Johnson, Terry L., College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Jones, Markus E., College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Kanatzer, Terri, College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Karaca, Haluk E., College of Engineering, Assistant Professor, Mechanical Engineering, 1/1/12 through 12/31/13.

Knauer, Timothy G., College of Arts and Sciences, Adjunct Instructor, Physics and Astronomy, 1/1/12 through 5/15/12.

Knight, Jamie, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Lagos, Raul, College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 1/1/12 through 5/15/12.

Lankster, Florence M., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Lazzari, Lori W., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Leedham, Cynthia, College of Arts and Sciences, Adjunct Instructor, Sociology, 1/1/12 through 5/15/12.

Leigh, Phyllis, College of Social Work, Adjunct Instructor, 1/11/12 through 6/30/12.

Leukefeld, Sarabeth, College of Social Work, Adjunct Instructor, 1/11/12 through 6/30/12.

Little, Glennis S., College of Nursing, Instructor (voluntary), 7/1/11 through 6/30/16.

Little, Jessica, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Logdon, Angela C., College of Health Sciences, Instructor (part-time), Rehabilitation Sciences, 7/1/11 through 6/30/12.

Lyddane, Jason, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Marinelli, James M., College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Marion, Daniel A., College of Arts and Sciences, Assistant Adjunct Professor, Geography, 1/1/12 through 12/31/12.

Martin, Timothy J., College of Arts and Sciences, Instructor (part-time), Physics and Astronomy, 1/1/12 through 5/15/12.

Massey, Delano R., College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 1/11/12 through 5/15/12.

Matson, Adrienne, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Matthews, Donna, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

McArthur, Lynn, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

McGlone, Maury, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

McIntosh, Bruce A., College of Pharmacy, Clinical Assistant Professor, Pharmacy Practice and Science, 7/1/11 through 6/30/12.

McQueary, Susanna M., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Meegan, William J., College of Arts and Sciences, Instructor (part-time), Psychology, 1/1/12 through 5/15/12.

Menard, Hilton M., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Meyers, Maureen E., College of Arts and Sciences, Instructor (part-time), Anthropology, 1/1/12 through 5/15/12.

Moore, Julia M., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Morgan, Jessie, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Motamedi, Hossein, College of Arts and Sciences, Instructor (part-time), Political Science, 1/1/12 through 5/15/12.

Mullen, Rebecca P., College of Arts and Sciences, Instructor (temporary), English, 1/1/12 through 5/15/12.

Napier, Robyn, College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Nicholson, James C., College of Arts and Sciences, Instructor (part-time), History, 1/1/12 through 5/15/12.

Nkulu, Kiluba L., College of Arts and Sciences, Instructor (part-time), Sociology, 1/1/12 through 5/15/12.

Norman, Charlene, College of Arts and Sciences, Instructor (part-time), Mathematics, 1/1/12 through 5/15/12.

O'Connor, Sandra F., College of Communications and Information Studies, Instructor (part-time), Communication, 1/1/12 through 5/31/12.

O'Hara, Michael, College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Payne, Gary, College of Business and Economics, Instructor (part-time), Management, 1/11/12 through 6/30/12.

Pena Rivera, Carlos A., College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 1/1/12 through 5/15/12.

Phillips, George M., College of Arts and Sciences, Instructor (temporary), English, 1/1/12 through 5/15/12.

Ramser, Emmett, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Reeves, Rhonda, College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Robertson, Vickie M., College of Health Sciences, Instructor (part-time), Clinical Sciences, 7/1/11 through 6/30/12.

Robinson, Deirdra L., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Rogers, Brian C., College of Business and Economics, Instructor (part-time), Accountancy, 1/11/12 through 6/30/12.

Rolfes, Siobhan B., College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Russell, Gary S., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Russett, Flint S., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Rutledge, Thomas E., College of Law, Instructor (part-time), 1/1/12 through 6/30/12.

Saffari, Kay, College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 1/1/12 through 5/15/12.

Sakamoto, Kiyohiko, College of Arts and Sciences, Instructor (part-time), Sociology, 1/1/12 through 5/15/12.

Scanlon, Mary D., College of Social Work, Adjunct Instructor, 1/11/12 through 6/30/12.

Schroot, Lisa M., College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Schwartz, Alyson, College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.

Seabolt, John P., College of Arts and Sciences, Adjunct Instructor, Biology, 1/1/12 through 5/15/12.

Shake, Margaret, College of Health Sciences, Instructor (part-time), Rehabilitation Sciences, 7/1/11 through 6/30/12.

Shumer, Daniel, College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Silman, Miriam S., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Simon, Rachel A., College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Streetman, William C., College of Arts and Sciences, Instructor (part-time), Philosophy, 1/1/12 through 5/15/12.

Subramanian, Seethalakshmi R., College of Arts and Sciences, Instructor (part-time), Mathematics, 1/1/12 through 5/15/12.

Sutphin, Stephanie, College of Pharmacy, Assistant Adjunct Professor, Pharmacy Practice and Science, 7/1/11 through 6/30/12.

Swanson, Azhar B., College of Arts and Sciences, Adjunct Instructor, Modern and Classical Languages, Literatures, and Cultures, 1/1/12 through 5/15/12.

Swenson, Phil A., College of Arts and Sciences, Instructor (temporary), English, 1/1/12 through 5/15/12.

Sykes, Larry, College of Law, Instructor (part-time), 8/1/11 through 12/31/11.

Talbert, Cheryl L., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Taylor, Carol, College of Social Work, Adjunct Instructor, 1/11/12 through 6/30/12.

Trinkle, Christine A., College of Engineering, Assistant Professor, Mechanical Engineering, 1/1/12 through 2/24/12.

Van Hoose, Carla, College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.

Van Sickels, Mary, College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.

Vance, Michael, College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.
 Vice, Robert, College of Design, Instructor (part-time), Historic Preservation, 1/1/12 through 6/30/12.
 Voskresensky, Anna, College of Arts and Sciences, Adjunct Instructor, Modern and Classical Languages, Literatures, and Cultures, 1/1/12 through 5/15/12.
 Wahler, Elizabeth A., College of Social Work, Adjunct Instructor, 1/11/12 through 6/30/12.
 Wall, Maryjean, College of Arts and Sciences, Instructor (part-time), History, 1/1/12 through 5/15/12.
 Weir, Amy M., College of Pharmacy, Assistant Professor (voluntary), Pharmacy Practice and Science, 7/1/11 through 6/30/16.
 Wheeler, David R., College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/11 through 12/31/11.
 Whorley, Larry W., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.
 Wiedemann, Holly B., College of Design, Instructor (part-time), Historic Preservation, 12/1/12 through 6/30/12.
 Williams, Lisa G., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.
 Wilson, Melissa J., College of Social Work, Instructor (part-time), 1/11/12 through 6/30/12.
 Wood, Mark F., College of Arts and Sciences, Instructor (part-time), English, 1/1/12 through 5/15/12.
 Wright, Charmaine, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 1/1/11 through 5/15/11.

E. PROMOTIONS WITHOUT TENURE

Bylund, Jason R., College of Medicine, from Clinical Instructor, Surgery, to Clinical Assistant Professor, Surgery, 7/1/12 through 6/30/13.

F. CHANGES

Boss, Christopher R., College of Arts and Sciences, from Instructor (part-time), English, to Instructor (temporary), English, 1/1/12 through 5/15/12.
 Durachta, Susan, College of Medicine, from Clinical Administrator III, Radiation Medicine, to Ambulatory Clinical Operations Director/UKHC, Georgetown Family Practice, effective 1/1/12.
 Easterling, Jessica N., College of Medicine, Assistant Professor (part-time), Pediatrics, from 10/3/11 through 6/30/12, to 11/1/12 through 6/30/12.
 Jones, Maudella, College of Public Health, from Research Associate Clinical I, Health Behavior, to Advanced Practice Provider I, Health Behavior, effective 1/1/12.
 Modenbach, Jeffrey C., College of Arts and Sciences, from Instructor (temporary), Statistics, 8/16/11 through 5/15/12, to Lecturer, Statistics, 8/16/11 through 12/31/11.
 Murray, Deborah A., College of Agriculture, from Adjunct Instructor, Family and Consumer Science, to Adjunct Instructor, Family Sciences, 6/9/11 through 6/30/12.

Rice, Christopher, from Enterprise Architect, IT Enterprise Architecture Group, to Technology in Teaching Associate Director, Teaching and Academic Support Center, effective 12/1/11.

Sigler, Pamela L., College of Agriculture, from Adjunct Instructor, Family and Consumer Science, to Adjunct Instructor, Family Sciences, 6/9/11 through 6/30/12.

Tarrant-Hoskins, Nicola A., College of Arts and Sciences, from Instructor (temporary), English, to Instructor (part-time), English, 1/1/12 through 5/15/12.

Wheeler, Kathy, College of Nursing, from Clinical Assistant Professor, to Assistant Professor (part-time), 2/1/12 through 6/30/12.

G. TERMINAL REAPPOINTMENTS

Akafuah, Nelson K., College of Engineering, Assistant Research Professor, Mechanical Engineering, 1/1/12 through 6/30/12.

Cai, Yuguang, College of Arts and Sciences, Assistant Professor, Chemistry, 7/1/12 through 6/30/13.

Kim, Myung-Hee, College of Medicine, Assistant Research Professor, Internal Medicine, 1/1/12 through 4/30/12.

Lofwall, Michelle R., College of Medicine, Assistant Professor, Psychiatry, and joint appointment as Assistant Professor, Behavioral Science, 2/1/12 through 1/31/13.

Oz, Helieh S., College of Medicine, Assistant Research Professor, Physiology, 1/1/12 through 6/30/12.

H. LEAVES OF ABSENCE

Bachner, Paul, College of Medicine, Professor* (with tenure), Pathology and Laboratory Medicine, Sabbatical leave at full salary, 7/1/12 through 12/31/12.

Capece, Vincent R., College of Engineering, Associate Professor* (with tenure), Mechanical Engineering, Sabbatical leave at full salary, 1/1/12 through 6/30/12, and Leave without pay, 7/1/12 through 12/31/12.

Chassen-Lopez, Francie, College of Arts and Sciences, Professor (with tenure), History, from Sabbatical leave at full salary, 1/1/12 through 6/30/12, to Sabbatical leave at full salary, 7/1/12 through 6/30/12.

Chung, Chen, College of Business and Economics, Professor (with tenure), Management, Sabbatical leave at full salary, 1/1/13 through 6/30/13.

Clayton, Richard R., College of Public Health, Professor (with tenure), Health Behavior, Sabbatical leave at full salary, 7/1/12 through 12/30/12.

Craig, Carlton D., College of Social Work, Associate Professor (with tenure), Sabbatical leave at full salary, 1/11/12 through 5/15/12.

Demlow, Alan R., College of Arts and Sciences, Associate Professor (with tenure), Mathematics, from Sabbatical leave at full salary, 7/1/12 through 12/31/12, to Sabbatical leave at half salary, 7/1/12 through 6/30/13.

Dineen, Brian, College of Business and Economics, Associate Professor (with tenure), Management, Sabbatical leave at full salary, 1/1/13 through 6/30/13.

Furlough, Ellen, College of Arts and Sciences, Associate Professor (with tenure), History, Sabbatical leave at two-thirds salary, 7/1/12 through 6/30/13.

Gottlob, Lawrence, College of Arts and Sciences, Associate Professor (with tenure), Psychology, Leave without pay, 7/1/12 through 6/30/13.

Hardesty, David, College of Business and Economics, Professor (with tenure), Management, Sabbatical leave at full salary, 1/1/13 through 6/30/13.

Hulse, David, College of Business and Economics, Associate Professor (with tenure), Accountancy, and joint appointment as Associate Professor (without tenure), Martin School of Public Policy and Administration, Graduate School, Sabbatical leave at full salary, 1/1/13 through 6/30/13.

Jordan, Susan, College of Business and Economics, Associate Professor (with tenure), Management, Sabbatical leave at full salary, 8/16/12 through 12/31/12.

Labianca, Giuseppe J., College of Business and Economics, Associate Professor (with tenure), Management, Sabbatical leave at full salary, 8/16/12 through 12/31/12.

Lee-Post, Anita, College of Business and Economics, Associate Professor (with tenure), Management, Sabbatical leave at full salary, 8/16/13 through 12/31/13.

Pakath, Ram, College of Business and Economics, Professor (with tenure), Management, Sabbatical leave at full salary, 1/1/14 through 6/30/14.

Peek, Joe, College of Business and Economics, Professor (with tenure), Management, and joint appointment as Professor (without tenure), Economics, Leave without pay, 1/1/12 through 12/31/12.

Rozenberg, Jerzy, College of Design, Associate Professor (with tenure), Architecture, Sabbatical leave at full salary, 1/1/12 through 6/30/12.

Santhanam, Radhika, College of Business and Economics, Professor (with tenure), Management, Sabbatical leave at full salary, 8/16/12 through 12/31/12.

Scutchfield, F. D., College of Public Health, Professor (with tenure), Preventive Medicine and Environmental Health, and joint appointments as Professor (without tenure), Family and Community Medicine, College of Medicine and Professor (without tenure), Health Services, College of Health Sciences, Sabbatical leave at full salary, 7/1/12 through 12/3/12.

Seales, William Brent, College of Engineering, Professor (with tenure), Computer Science, Sabbatical leave at half salary, 7/1/12 through 6/30/13.

Wang, Changyou, College of Arts and Sciences, Professor (with tenure), Mathematics, from Sabbatical leave at full salary, 7/1/12 through 12/31/12, to Sabbatical leave at half salary, 7/1/12 through 6/30/13.

I. RESIGNATIONS

Adams, Claire A., College of Medicine, Assistant Research Professor, Microbiology, Immunology and Molecular Genetics, effective 2/29/12.

Arsenescu, Razvan I., College of Medicine, Clinical Associate Professor, Internal Medicine, effective 2/10/12.

Eum, Sung Y., College of Medicine, Assistant Research Professor, Neurosurgery, effective 12/23/11.

Fahy, Brenda G., College of Medicine, Clinical Professor, Anesthesiology, and joint appointment as Clinical Professor, Neurosurgery, effective 2/21/12.

Graber, Matthew N., College of Medicine, Clinical Assistant Professor, Emergency Medicine, and joint appointment as Assistant Professor, Molecular and Cellular Biochemistry, effective 3/1/12.

Granger, Don T., College of Medicine, Clinical Associate Professor, Pediatrics, effective 1/31/12.

Hutcheson, Stephen A., College of Engineering, Assistant Professor*, Chemical and Materials Engineering, effective 6/30/12.

Kim, Myung-Hee, College of Medicine, Assistant Research Professor, Internal Medicine, effective 4/30/12.

Lentzsch, Parcels, Carolyn M., College of Medicine, Clinical Assistant Professor, Pediatrics, effective 6/30/12.

Mao, Catherine D., College of Health Sciences, Assistant Research Professor, Clinical Sciences, effective 11/14/11.

Moore, Erin N., College of Medicine, Clinical Assistant Professor, Internal Medicine, effective 6/30/12.

Suarez, Juana, College of Arts and Sciences, Assistant Professor, Hispanic Studies, effective 6/30/12.

EXECUTIVE VICE PRESIDENT FOR HEALTH AFFAIRS

I. BOARD ACTION

A. ADMINISTRATIVE APPOINTMENTS

- Carr, Billy, Information Technology Program Director/ UKHC, EVPHA Information Technology, effective 01/01/2012
- Rushing, Mike, Information Technology Program Director/ UKHC, EVPHA Information Technology, effective 01/02/2012
- Horn, Ronald, Information Technology Program Director/UKHC, EVPHA Information Technology, effective 11/28/2011
- Miller, Donna, Enterprise Test Coordinator/ UKHC, EVPHA Information Technology, effective 12/01/2011
- Naidu, Mahendran, Vendor Relationship Management Manager/UKHC, EVPHA Information Technology, effective 12/21/2011

B. CHANGES

- Manning, Donna, from Clinical Systems Coordinator, Pharmacy/ UKHC, EVPHA Information Technology to Clinical Application Analyst Pharmacy/UKHC, EVPHA Information Technology, effective 12/04/11
- Coutts, Gary, from Clinical Systems Coordinator, Pharmacy/UKHC, EVPHA Information Technology to Clinical Application Analyst, Pharmacy/UKHC, EVPHA Information Technology, effective 12/04/11
- Green, Brandon, from Clinical Systems Coordinator, Pharmacy/UKHC, EVPHA Information Technology to Clinical Application Analyst, Pharmacy/UKHC, EVPHA Information Technology, effective 12/04/11

C. RETIREMENTS

- Humble, Patricia G., Account Clerk Senior, after 15 years and 03 months of consecutive service, under AR 3:1 Section VIII.A., effective 01/13/12
- Shelton, Vickie L., Neurophysiology Technician Supervisor, after 39 years and 11 months of consecutive service, under AR 3:1 Section VIII.A., effective 03/22/12

II. ADMINISTRATIVE ACTION

A. CHANGES

- Mills, Sandra, from Medical Technologist Master/ UKHC, Laboratory Services to Medical Technologist Chief/ UKHC, Laboratory Services, effective 12/04/11

Wakeland, Ralph, from Technical Project Specialist III/UKHC, EVPHA Information Technology to Application Analyst III/UKHC, EVPHA Information Technology, effective 12/04/11

Shearer, David, from Technical Project Specialist III/UKHC, EVPHA Information Technology to Application Programmer Analyst III/UKHC, EVPHA Information Technology, effective 12/04/11

Dunn, Verna Patricia, from Technical Administrator III/UKHC, EVPHA Information Technology to Application Analyst III/UKHC, EVPHA Information Technology, effective 12/04/11

Maggard, Carl, from Technical Administrator III/UKHC, EVPHA Information Technology to Application Programmer Analyst III/ UKHC, EVPHA Information Technology, effective 12/04/11

Blakely, Barry, from Technical Project Specialist II/UKHC, EVPHA Information Technology to Application Programmer Analyst III/UKHC, EVPHA Information Technology, effective 12/04/11

Combes, Clyde, from Technical Administrator II/UKHC, EVPHA Information Technology to SharePoint Application Analyst III/UKHC, EVPHA Information Technology, effective 12/04/11

Baston, John, from Technical Project Specialist I/UKHC, EVPHA Information Technology to Application Analyst III/UKHC, EVPHA Information Technology, effective 12/04/11

Nickell, Amberlee, from Policy Outreach Manager/ UKHC, EVPHA Administration to Product Line Manager Senior/ UKHC, Office of Service Excellence, effective 12/04/11

Isaacs, Carrie, from Assistant Professor /UKHC, Pharmacy Practice & Science to Pharmacist Clinical/UKHC, Human Resources Administration, effective 01/01/2012

Thornton, Dana, from Administrative Staff Officer II/UKHC, Pediatric Cardiology to Practice Manager III/UKHC, Pediatric Cardiology

Office of the President
February 21, 2012

Members, Board of Trustees:

REPORT ON RESULTS OF ALUMNI MEMBER ELECTION

Recommendation: that the report of the Secretary of the Board of Trustees on the results of the election authorized by the Alumni Association be received and put to record, and that the Secretary be authorized to certify to the Governor the names of the three persons receiving the largest number of votes, from which list a successor to Sandy Bugie Patterson, whose term expires June 30, 2012, will be appointed.

Background: The term of Sandy Bugie Patterson as alumna member of the Board of Trustees expires June 30, 2012. An election has been held among the graduates of the University of Kentucky as prescribed by statute and in accordance with the rules and regulations of the Board of Trustees. The attached letter from the Secretary of the Board of Trustees to the President of the University reports the results of the election.

Action taken: Approved Disapproved Other _____



Board of Trustees
Lexington, KY 40506
www.uky.edu

January 18, 2012

President Eli Capilouto
Office of the President
101 Main Building
University of Kentucky
Lexington, Kentucky 40506-0032

Dear President Capilouto:

My term as alumna trustee of the Board of Trustees expires June 30, 2012. An election has been held among graduates of the University of Kentucky, as prescribed by statute and by the rules and regulations of the Board of Trustees, to nominate to the Governor three graduates from whom a successor will be appointed. Mr. Stan Key, Director of Alumni Affairs and Executive Director of UK Alumni Association, was responsible for tabulation of the voting results. The votes were tabulated by an Online system administered by the UK Alumni Association. The results of the election are as follows:

<u>Candidates</u>	<u>Votes</u>
Kelly Sullivan Holland	705
Franklin H. Farris, Jr.	577
J. Tim Skinner	565

Please submit this information to the Board of Trustees that same may be approved, and the names of the three receiving the highest number of votes be certified to the Governor of the Commonwealth of Kentucky from which list he may appoint one to serve a six-year term.

Respectfully submitted,

Sandy Bugie Patterson
Secretary

/pfw

**Biographies of Three Persons Receiving the Most Votes
in the 2011 Alumni Trustee Election**
(in order of votes received)



KELLY SULLIVAN HOLLAND, Lexington, KY, a native of Danville, earned two degrees from UK (BA in Psychology '93, MS in Kinesiology and Health Promotion '98). While attending UK, she was an Otis Singletary Senior Award recipient, Phi Beta Kappa, and Homecoming Queen. She served as President of Chi Omega sorority and secretary of Omicron Delta Kappa. After graduation, Kelly represented UK as the Associate Director of Undergraduate Admissions. She promoted higher education, managed recruitment initiatives and led the University in attracting the best and brightest students. She also served as a board member of the Kentucky Association of Secondary and College Admission Counselors (KASCAC), where she received the Most Outstanding Admissions Professional Award (2000). Kelly is the first alumna to be honored with both the Joseph Burch Young Alumni Award (2004) and the UK Alumni Association's Distinguished Service Award (2010). A Life Member, she began her work with the Alumni Association as an involved young alumna, serving as president of Fayette County Young Alumni and later as president of the Fayette County UK Alumni Club. Her service continued with the Alumni Association Board of Directors for the following 7 years. She's a volunteer Director of the Central Kentucky American Heart Association, receiving the Franklin Moosnick Volunteer Service Award (2002). An inductee into UK's Greek Alumni Hall of Fame in 2005, she continues as advisor for UK's Chi Omega chapter, and she serves on several University committees. For ten years Kelly has been employed by Merck & Co. Inc., where she has been awarded the prestigious Vice President's Club distinction. Currently, she serves as a Lead Executive Customer Representative. Kelly, her husband, Darin Holland (UK A&S '93), and son Jacob, are members of the Cathedral of Christ the King and enjoy traveling together and cheering on the Cats.



FRANKLIN H. FARRIS JR., Louisville, Ky., is a Partner with Mountjoy Chilton Medley LLP, a Kentucky based public accounting firm. He was the Managing Partner of the Louisville office of KPMG LLP, an international accounting firm from 2004 until his retirement from KPMG in 2009 and a partner with that firm since 1984. A native of Maysville, Ky., Frank received a B.S. in accounting from the University of Kentucky in 1972. While at UK, he was a member of Sigma Alpha Epsilon fraternity serving as President of the chapter in 1972. He served as a member of the State Board of Accountancy of Kentucky from 2002-2005, and is a past board member of the Kentucky Society of Certified Public Accountants, served as President of the Louisville Area Chapter of CPAs and is a member of the American Institute of Certified Public Accountants. Frank served as President of the UK Alumni Association from July 2003-June 2004 and continues to serve on that board. He is an honorary board member of the Greater Louisville UK Alumni Club, where he served as its President from July 1994-June 1996. Frank is a member of the board of directors of Christian Care Communities and is on the University of Kentucky's School of Accountancy Advisory Board. He is a past board member of the Greater Louisville Fund for the Arts, the Kentucky Council on Economic Education, The DePaul School in Louisville, the Japan/America Society of Kentucky, Volunteers of America, and Hospice of Louisville (now Hosparus), where he served as its board Chairman from 1987-1989. Frank is an elder of Beargrass Christian Church (Disciples of Christ) where he served the church as Chairman of the Official Board in 1997. He is married to the former Anne Hardymon, also of Maysville, a 1973 graduate of UK's College of Education. They are Frank G Dickey, Jr. Fellows within the University's Fellows Program and Life Members of the UK Alumni Association.



J. TIM SKINNER, Henderson, Ky. is a 1980 graduate of the UK College of Design and is currently President/CEO of the architectural firm Skinner Design Associates. Licensed to practice in eight states, Tim is also a LEED Accredited Professional. He holds memberships in the U.S. Green Building Council and the American Institute of Architects and is a committee member of Sustainable Evansville Area Coalition. While at UK, he was a member of the UK Student Government Association, Sigma Nu fraternity, and Tau Sigma Delta, National Architectural Honorary. Tim has served as President of the UK Alumni Association (UKAA) and is a recipient of the UKAA Distinguished Service Award. He serves on the UKAA Board of Directors and is a

member of the UK Advocacy Network. Tim is co-founder of River City Renaissance, LLC, a nonprofit organization that provides a forum for strategic alliances of public/private development partnerships in the Henderson, Kentucky region. In 2007, Tim co-founded *The Henderson Project*, which served as the impetus for the UK College of Design *River Cities Project*, a graduate-level program of urban and rural design scenarios in communities along the Ohio River. From among 430 entries, the *River Cities Project* was recently selected as one of only two U.S. projects in a global group of 29 to participate in the 5th International Architectural Biennale Rotterdam (IABR) in 2012 in the Netherlands. Because of his continued active involvement with the UK College of Design, Tim received the Friend of the College award in 2011. Tim and his wife Paula are both UK Fellows and have four children.

PR 4

Office of the President
February 21, 2012

Members, Board of Trustees:

PROPOSED REVISIONS TO THE GOVERNING REGULATIONS

Recommendation: that the proposed revisions to the Governing Regulations of the University of Kentucky be given preliminary consideration for approval and adoption at the next regular meeting of the Board of Trustees March 27, 2012. The proposed revisions consist of housekeeping and other updates that are necessary to ensure compliance with the Southern Association of Colleges and Schools (SACS) accreditation standards.

Background: The last complete review of the Governing Regulations occurred in 2005, to accommodate the reorganization of the University from the Chancellor Model to a Provost Model and to address statutory change in the relationship between UK and Lexington Community College. Since 2005, some Governing Regulations have received isolated revisions on specific topics and others have not received any revisions.

In order to prepare for the University's upcoming SACS accreditation review, several Governing Regulations require housekeeping and other updates to ensure compliance with the SACS principles of accreditation. The following Governing Regulations require revision: GR I, GR III, GR IV, GR VII, GR VIII, GR IX, GR XII, and GR XIII.

Revised copies of these Governing Regulations are attached. Proposed additions are underlined; proposed deletions are lined through.

Action taken: Approved Disapproved Other _____



UNIVERSITY OF
KENTUCKY
Regulations

Governing Regulation, Part XIII

Responsible Office: Board of Trustees

Date Effective: DRAFT

Supersedes Version: 6/14/2005

University Regulations

A. Governing Regulations

These *Governing Regulations* describe the composition, powers and duties of the Board of Trustees and establish policies and procedures for the performance of the Board of Trustees functions. These *Governing Regulations* contain policies established by the Board of Trustees for the governance of the University. These *Governing Regulations* delineate the duties of the President and responsibilities of the University Senate, Staff Senate, Student Government Association, the educational units and their administrative officers. The Board of Trustees makes final approval of these *Governing Regulations*.

B. Administrative Regulations

As the chief administrative officer of the University, the President is authorized by the Board of Trustees to promulgate the Administrative Regulations, including the Human Resources Policy and Procedure Administrative Regulations and the Business Procedures Manual of Administrative Policies and Procedures. (Governing Regulation II) (See also Administrative Regulation 1:6, Formulation and Issuance of University Governing Regulations and Administrative Regulations)

1. Administrative Regulations

The *Administrative Regulations* provide interpretation and implementation of University-wide policies set forth by the Board of Trustees in these Governing Regulations and the *Minutes of the Board of Trustees*. *Administrative Regulations* promote the responsible and efficient administration of the University and the accomplishment of its goals. The President makes final approval of the *Administrative Regulations* unless Board of Trustee approval is appropriate.

The *Administrative Regulations* are available on line on the University's web site at www.uky.edu/regs.

2. Human Resources Policy and Procedure University Employees

The *Human Resources Policy and Procedure Administrative Regulations* define University employees and provide interpretation and implementations of University policies concerning University their employment. The President, or designee, makes final approval of the Human Resources Policy and Procedure Administrative Regulations.

The *Human Resources Policy and Procedures Administrative Regulations* are available on line on the University's web site at www.uky.edu/HR/policies/.

3. Business Procedures

The Business Procedures Manual of Administrative Policies and Procedures includes information related to the purchasing of goods and services, payroll activities, accounting for financial transactions, presents policy statements to aid in decision-making and procedure steps for implementation, and assists all University departments in handling their daily business transactions. The President, or designee, makes final approval of the Business Procedures Manual of Administrative Policies.

The *Business Procedures Manual* is available on line on the University's web site at www.uky.edu/Regs/BPM/.

C. Amendments of these Governing Regulations

These *Governing Regulations* may be amended at any meeting of the Board of Trustees provided at least one (1) month has elapsed between proposal of the amendment(s) and final passage. The President, or the University Senate, the Staff Senate, or the Student Government Association, through the President, may recommend amendments to these *Governing Regulations* to the Board of Trustees.

The President, the University Senate, the Staff Senate, and the Student Government Association, as appropriate, shall have an opportunity to recommend on all amendments before final action by the Board of Trustees.

As the basic law of the University, these *Governing Regulations* supersede any previously approved rules or regulations in conflict therewith. Matters not specifically covered in these *Governing Regulations*, the *Administrative Regulations*, including the *Human Resources Policy and Procedures Administrative Regulations* and the *Business Procedures*, *University Senate Rules*, and the *By-Laws of the University of Kentucky Staff Senate* ~~and the *Business Procedures*~~ are governed by administrative interpretation.

The *Governing Regulations* are available on line on the University's web site at www.uky.edu/regs.

Revision History

1/14/1998, 6/14/2005

For questions, contact: [Office of Legal Counsel](#)



University of Kentucky Development Council

I. Introduction

This Governing Regulation establishes the University of Kentucky Development Council and defines the Council's membership. The ~~University of Kentucky~~ Development Council ~~shall serve~~s in an advisory capacity to the President and, through the President, to the Board of Trustees on matters relating to private fund development for the entire University.

II. Membership

The Development Council shall consist of not more than three hundred (300) members.

Membership of the University of Kentucky Development Council includes individuals appointed by the President and ~~four~~five (45) *ex officio* members: the Chair of the Board of Trustees, the President, the Vice President for ~~Development~~Institutional Advancement, ~~the chief development officer~~, and the Chair of the Student Development Council. The appointed membership may include alumni, non-alumni, residents and non-residents of Kentucky. Qualifications for appointed members are: (1) positions of leadership in a regional, state or national community or a profession; and (2) willingness to support the University's role as a leading public university committed to excellence and nationally recognized for the quality of its instruction, research, service, and graduates.

The University of Kentucky Development Council shall be managed by a Board of Directors consisting of the *ex officio* members of the University of Kentucky Development Council and up to twenty-six (26) members elected by the Development Council.

The elected members of the Board of Directors of the University of Kentucky Development Council shall include at least fourteen (14) alumni and at least two (2) members of the Board of Trustees.

Revision History

1/14/1998, 6/14/2005

For questions, contact: [Office of Legal Counsel](#)



University Appointments

A. Administrative Appointments

1. Regular Appointments

The President is appointed by the Board of Trustees with the advice of a joint committee of the Board of Trustees, University Faculty, staff employees, student body, and alumni. The committee shall consist of six (6) members of the Board of Trustees, at least one (1) of whom shall be from among the three (3) alumni trustees, appointed by the Chair of the Board of Trustees; three (3) regular full-time faculty members, selected by a procedure determined by the University Senate; one (1) regular full-time staff employee appointed by the Chair of the Board of Trustees from a list of three (3) staff employees selected by a procedure determined by the Staff Senate; two (2) full-time students, one (1) undergraduate and one (1) graduate or professional student, appointed by the Chair of the Board of Trustees from a list of three (3) undergraduate students and three (3) graduate or professional students selected by a procedure determined by the Student Government Association; and one (1) member of the alumni appointed by the Chair of the Board of Trustees from a list of three (3) alumni selected by the Board of Directors or the Executive Committee of the University of Kentucky Alumni Association. The committee shall provide opportunity for discussion among representatives of administration, University Faculty, staff employees, student body, alumni groups, and prospective presidential candidates.

The Provost, executive vice presidents, vice presidents, chief administrative officers of educational units (deans, directors, and chairs), and every administrative and professional employee of the University who is to report directly to the President or whose position is at Level 50 or above in the Administrative and Professional Classification System shall be appointed by the Board of Trustees, acting upon recommendation of the President. Except in the cases of those individuals who report directly to the President, a recommendation from an appointee's superior officer shall be obtained prior to recommending an appointment or reappointment by the Board of Trustees. Staff employees, other than those described above may be appointed by the President, Provost, or appropriate executive vice president or vice president. The President shall report all appointments at Levels 47 through 49 in the Administrative and Professional Classification System to the Board of Trustees. The President, Provost, or the appropriate executive vice president or vice president may delegate the power to appoint personnel whose appointments are not made by the Board of Trustees to other appropriate administrative officers. If the Board of Trustees does not accept the recommendation of the President with respect to an appointment, it shall call upon the President to make another recommendation. Likewise, the President may refuse to approve a recommendation, but, in each such case, the President shall ask for a new recommendation from the same or a new search committee. The same principle shall apply at all levels of the administrative organization.

2. Acting Appointments

When vacancies occur in administrative positions other than the presidency, the President or the Provost or the appropriate executive vice president or vice president may appoint acting officers to fill the positions until it is possible to make regular appointments by the established procedure. When the officer is one who does not report directly to the President, the President or the Provost, or an executive vice president or a vice president, as appropriate, shall request a recommendation from that officer's superior. Acting appointments shall be for a maximum term of one (1) year; however, reappointments may be made after a satisfactory review. All appointments of acting officers shall be reported to the Board of Trustees. With the approval of the next higher administrative level, a regular administrative officer may designate a temporary officer to service in an acting capacity for a period not to exceed four (4) months while the regular officer is away from campus on University business or approved leave.

If the officer administers a college, center, school, or department, the Provost also shall request a recommendation on matters of acting appointment or acting reappointment from a committee which includes faculty members from that unit.

In the selection of an acting Provost, the President shall request a recommendation from a committee which includes faculty members and also recommendations from the University Senate Council.

The search processes for an acting provost or chief administrative officers of colleges, schools, departments and centers shall include the participation of staff employees of the unit, and shall provide for the participation of other affected groups as appropriate.

3. Search Committees

Recommendations on the appointment of a Provost or of the chief administrative officers of all educational units of the University shall be made after advice from search committees.

When vacancies in administrative positions are anticipated, search committees shall be appointed sufficiently in advance of the vacancy to avoid the appointment of an acting administrator.

When unanticipated vacancies occur, search committees shall be appointed as soon as the established procedures for appointment can be carried out. The selection of faculty members for membership on search committees for administrative appointments above the level of dean shall be made after consultation with the University Senate Council.

Recommendations of the search committee shall be transmitted to the President through the established administrative channels, along with the recommendation of the administrative officer responsible for the appointment. Recommendations on the appointment or reappointment of a chair of an academic department or division, or for the dean of a college or the director of a school that does not contain departments or divisions, shall be accompanied by written statements from at least the tenured members of the college, school, department or division.

Search committees for deans of colleges shall be appointed by the Provost after consultation with the University Senate Council, and either the faculty or elected faculty council of the college.

Search committees for directors of schools shall be appointed by the deans of the colleges after consultation with the appropriate bodies as these bodies are identified in the rules of the respective school faculty.

Search committees for chairs of academic departments shall be appointed by the deans of the colleges after consultation with (1) the associate dean or director of the school within the college if the department is in such a school; (2) the faculty of the department; and (3) the Dean of the Graduate School if the department is involved in a graduate program.

Search committees for directors of interdisciplinary research centers or institutes or interdisciplinary instructional programs shall be appointed, after consultation with the appropriate bodies, by the ~~Executive~~ Vice President for Research, or other officer to whom administrative responsibility has been delegated.

The search processes for a provost or for chief administrative officers of colleges, schools, departments and centers shall include the participation of staff employees of the unit and shall provide for the participation of other affected groups, as appropriate.

4. Terms of Chairs and Directors

(a) Department Chairs

The term of a department chair's appointment shall be four (4) years, except in the Colleges of Agriculture, Dentistry, Medicine, Nursing, and Pharmacy where it shall be six (6) years.

Ordinarily, a department faculty member will be asked to serve as chair for only one (1) term. A chair may be reappointed, however, when the faculty advisory committee appointed to review the work of the department (AR ~~1:4H-1.0-6~~) finds that the particular circumstances and needs of the department make such a reappointment desirable. Reappointment beyond the second term may occur under exceptional circumstances when it is deemed to be in the best interests of the University. This practice may vary from discipline to discipline.

(b) Chairs of Interdisciplinary Instruction Programs

Insofar as applicable, the rules for the appointment and reappointment of a department chair shall apply also to the appointment and reappointment of a chair of an interdisciplinary instructional program.

(c) Directors of Multidisciplinary Research Centers and Institutes

The director of a multidisciplinary research center or institute shall be appointed for a term of six (6) years. A director may be reappointed, however, when an ad hoc committee appointed to review and evaluate the center or institute (AR 1:4) finds that the particular circumstances and needs of the center or institute make such a reappointment desirable.

B. Academic Appointments, Reappointments, Promotions, and Granting of Tenure

All appointments and promotions of faculty members to positions which involve (1) an actual or equivalent academic rank of associate professor or professor, (2) tenure, or (3) an initial salary above \$100,000 shall be made by the Board of Trustees, acting upon recommendation of the President. Appointments and promotions of faculty members to positions which involve an actual or equivalent academic rank below associate professor and an initial salary not exceeding \$100,000 shall be made by the President who shall report such actions to the Board of Trustees.

The President may delegate the authority to make appointments and promotions that do not require approval by the Board of Trustees. The President, following consultation with the University Senate Council, shall establish such review systems as are appropriate to assist the President, or other appropriate administrative officers designated by the President, in making informed judgments concerning academic appointments, reappointments, promotions, and granting of tenure.

References and Related Materials

KRS 164.220 - Appointment, salaries and retirement benefits of university personnel.

KRS 164.225 - Board's exclusive jurisdiction over appointments, qualifications, compensation, promotions, and retirement programs.

AR 1:4 - The Planning, Budgeting, and Assessment Cycle

Revision History

12/11/2001, 6/14/2005

For questions, contact: [Office of Legal Counsel](#)



University Organization

Major Topics

[Educational Unit](#)

[Administrative Organization of Educational Units](#)

Introduction

For the purpose of administering the various programs of the University, there shall be established educational and administrative units within the University. All units of the University shall be established, altered, or abolished only on vote of the Board of Trustees. For matters having to do with the organization of the University as it affects academic policies, the Board relies upon the advice of the University Senate along with that of the President. It relies upon the advice of the President concerning administrative organization and powers and responsibilities of the officers of the University. Any existing or proposed unit that has as its primary mission the performance of educational activities in instruction, research, and service shall be defined as an educational unit if at least one full-time (tenured or tenurable) faculty appointment or its time equivalent is assigned to perform instruction, research, and service in that unit. This assignment provision excludes solely administrative assignments such as the chief administrative officer of the unit. An educational unit is subject to the University Senate review and the periodic review processes.

Any unit not meeting the definition of an educational unit is defined as an administrative unit.

The educational and administrative organization of the University shall be such as to minimize duplication of effort and to enable the University to operate as a single, closely integrated institution.

A. Educational Unit

1. Definitions of Educational Units and Their Chief Administrative Officers

Departments, schools, colleges, graduate centers, multidisciplinary research centers and institutes, and interdisciplinary instructional programs are the basic educational units of the University that deliver instruction, research, and service including extension activities.

Major educational units of the University are the colleges, the Libraries, and the Graduate School. For purposes of these *Governing Regulations*, the Libraries is equivalent to a college.

Schools are administratively responsible to a college, and departments are directly responsible to a college or sometimes directly to a school within their college.

Some instructional programs draw faculty exclusively from one department, school, or college whereas interdisciplinary instructional programs, such as the Honors Program, draw faculty from different departments, schools, and colleges.

A graduate center is an interdisciplinary educational unit that delivers graduate education degree programs, is equivalent to a department, and is located administratively in the Graduate School unless the administrative responsibility specifically has been delegated otherwise.

A multidisciplinary research center or institute is an educational unit established to provide multidisciplinary programs, which are primarily research in nature. Such an educational unit is administratively responsible to the ~~Executive~~-Vice President for Research unless the administrative responsibility specifically has been delegated otherwise.

The chief administrative officer of a major educational unit is a dean. The chief administrative officer of a graduate center, school or multidisciplinary research center or institute is a director.

The chief administrative officer of a department or an interdisciplinary instructional program is a chair.

2. Academic Ranks

Academic ranks in the University consist of lecturer, instructor, assistant professor, associate professor, professor, or the equivalent to these recognized in the librarian title series of librarian IV, librarian III, librarian II and librarian I, respectively.

The President establishes academic title series, the ranks within each series, and a description of the qualifications for each after consultation with appropriate administrative and faculty groups, including the University Senate Council. Emeritus ranks for retired faculty members and the rights of holders of emeritus titles are established by the President after consultation with the University Senate Council.

The establishment of new academic title series or ranks and major changes in criteria for ranks shall have the approval of the Board of Trustees.

3. The Graduate Faculty

(a) Membership

The membership of the Graduate Faculty shall consist of the Dean of the Graduate School, associate and/or assistant deans of the Graduate School, and regular faculty and associate faculty members.

Graduate Faculty members must possess the following qualifications:

A doctoral degree or its equivalent in scholarly reputation;

The rank of assistant professor (or equivalent) or higher;

Scholarly maturity and professional productivity as demonstrated by publications, editorial services, research surveys, creative work, patents, and research in progress at the time of appointment; and

Definite interest in graduate work and the willingness to participate in the graduate program.

The Dean of the Graduate School confers membership in the Graduate Faculty. The appointments are made following review by the Graduate Council of the qualifications of the persons proposed for membership by the college deans, department chairpersons, and directors of graduate study, upon the recommendation of the Graduate Faculty of the respective graduate program.

Associate and other classes of members in the Graduate Faculty may be appointed by the Dean of the Graduate School, with appropriate duties and privileges, as provided by the *Rules of the Graduate Faculty* and approved by the University Senate.

(b) Officers, Committees and Councils

The Graduate Faculty may perform its functions directly, through the Graduate Council, or through standing or special committees which it may appoint or authorize for appointment, or through delegation to college, school, departmental or center graduate program faculties. Councils of the Graduate School may be appointed by the Dean of the Graduate School or elected, as prescribed by the *Rules of the Graduate Faculty* and approved by the University Senate. Copies of minutes of Graduate Faculty meetings and of meetings of Graduate Faculty committees and councils shall be made available to all members of the Graduate Faculty.

(c) Graduate Faculty Functions

Within the limits established by the *Governing Regulations* and the *University Senate Rules*, the Graduate Faculty shall have jurisdiction over all programs leading to graduate degrees and within those limits shall establish *Rules of the Graduate Faculty* necessary for the performance of its educational policymaking functions. Copies of these rules shall be made available to Graduate Faculty members and filed with the Graduate Faculty Dean, the Provost, and the University Senate Council. It is the responsibility of the Graduate Faculty to safeguard, promote, and assist in the development of research in all fields. The Graduate Faculty shall make recommendations to the University Senate on academic matters that require University Senate approval. The Graduate Faculty may make recommendations on other matters to the University Senate, to college or department faculties, to the President or other administrative officers.

The Graduate Council shall have the authority and responsibilities delegated to it by the Dean of the Graduate School, the Graduate Faculty, and the University Senate.

4. Faculties of Colleges

(a) Membership

The membership of the faculty of a college shall consist of its dean, associate and/or assistant deans, and regular full-time faculty having the rank of assistant professor, associate professor or professor in the regular, special title, or extension series or librarian III, II or I in the librarian title series. Membership, with or without voting privileges, also may be extended or withdrawn by the above college faculty to any other person assigned to the college for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one college; in this instance, one assignment shall be designated primary by the Provost (Part X.B.1).

(b) Officers, Committees and Councils

The faculty shall hold regularly scheduled meetings at which the dean shall preside except as the dean may delegate that function. In addition, it shall meet in special session on the call of the President, the Provost, the dean of the college, or at the request of a prescribed number of its voting membership. Each college faculty shall establish the quorum for the transaction of business. Copies of minutes of college faculty meetings and of meetings of college faculty committees and councils shall be made available to all members of the faculty of the college.

The faculty of each college shall establish its own rules, including a committee or council structure, necessary for the performance of the faculty's functions in educational policy-making. After approval of these rules by the Provost for consistency with these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules* and *Rules of the Graduate Faculty*, copies of the rules and a description of the committee or council structure shall be made available to members and filed with the dean of the college, the Provost and the University Senate Council.

(c) College Faculty Functions

Within the limits established by these *Governing Regulations*, *Administrative Regulations*, *Rules of the University Senate*, and *Rules of the Graduate Faculty* of the University, the faculty of a college shall determine the educational policies of that college, including primary responsibility for the development of policies on such matters as academic requirements, curricula, course offerings, undergraduate, graduate and research programs, professional programs, and service functions, to the extent that the responsibility has not been delegated to a school or department faculty.

In consultation with the college faculty, the Dean shall establish procedures used at the level of the college concerning: (1) recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint; (2) the faculty performance evaluations; and (3) faculty input in the evaluation of the performance of school directors and department chairs during the interval between periodic reviews. It shall make recommendations to the University Senate or Graduate Faculty on such matters as require the final approval of those bodies, and it may make recommendations on other matters to the University Senate, the Graduate Faculty, school/department faculties within the college, the President, or to other administrative officials. The academic or scholastic requirements of a college may exceed, but not be lower than, those established by the University Senate or the Graduate Faculty. The University Senate must approve any such differences in standards.

The faculty of a college may delegate by rule a defined part of the determination of its educational policies to an assembly of the college, which consists of the faculty and designated student representatives. The number of students voting and the method of selecting these students is determined by the rules of the college.

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

5. Faculties of Schools

(a) Membership

The membership of a faculty of a school shall consist of the dean of its college of which it is an administrative unit, the director who is the chief administrative officer of the school, and the members of the faculty of the college who have been assigned regular, full-time duties in the school. (The faculty of a college is defined in Part VII.A.4 of these regulations.) Membership, with or without voting privileges, also may be extended or withdrawn by the above faculty of the school to any other person assigned to the school for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one school; in this instance, one assignment shall be designated primary by the Provost. (Part X.B.1)

(b) Officers, Committees and Councils

The faculty of a school shall hold regularly scheduled meetings at which the school director shall preside, except as the director may delegate this function. In addition, it shall hold special meetings

on the call of the dean of the college, the director of the school, or by a prescribed number of its voting faculty. The school director shall preside over school faculty meetings, except as the director may delegate this function. Copies of the minutes of school faculty meetings and meetings of committees and councils of the school faculty shall be made available to all members of the faculty of the school.

The faculty shall establish its own rules and determine its own committee structure that are necessary for its functions in educational policy making and shall prescribe the quorum necessary for the transaction of business. After approval of these rules by the dean of the college and by the Provost for consistency with University regulations and with these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, and college faculty rules, copies of the school faculty's rules and a description of its committee structure shall be made available to its members, and a copy shall be filed with the director of the school, the dean of the college of which it is a unit, with the Provost, and with the University Senate Council.

(c) School Faculty Functions

Within the limits established by these *Governing Regulations*, the *University Senate Rules*, *Rules of the Graduate Faculty*, and the rules of the faculty of the college of which it is a unit, the faculty of a school shall determine the educational policies of the school, including primary responsibility for the development of policies on such matters as academic requirements, curricula, course offerings, undergraduate, graduate and research programs, professional programs, and service functions, to the extent that this responsibility has not been delegated to a department faculty. It shall be responsible for functions and duties assigned to it by the faculty of the college. For these purposes, it shall make recommendations to the faculty of the college on matters that require the approval of that body. It may make recommendations on other matters to the University Senate, the Graduate Faculty, the college faculty, and the faculties within the school, and the dean or other administrative officers. The academic or scholastic requirements of a school may exceed, but not be lower than, those established by the college faculty. The University Senate must approve any such differences in standards.

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

6. Faculties of Departments

(a) Membership

The membership of a faculty of a department shall consist of a chair and the regular, full-time members of the department who are members of the faculty of the school and/or college of which the department is a part. (The faculties of a college and a school are defined in Parts VII.A.4 and VII.A.5, respectively.) Membership, with or without voting privileges, also may be extended or withdrawn by the above department faculty to any person assigned to the department for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one department; in this instance, one assignment shall be designated as primary by the Provost (Part X.B.1).

(b) Officers and Committees

The department faculty shall hold regularly scheduled meetings, at which the department chair shall preside except as the chair may delegate this function. In addition, it shall hold special meetings on the call of the dean of the college, the chair of the department, or by a prescribed number of its voting faculty. The department chair shall be an *ex officio* member of all departmental committees.

Copies of minutes of departmental faculty meetings and of meetings of department committees shall be made available to all members of the faculty of the department.

The department faculty shall establish rules, procedures and a committee structure concerning educational policy matters over which it has jurisdiction and responsibility, and shall establish its quorum for the transaction of business. These proposed rules, procedures and committee structure shall be submitted to the director of the school (if appropriate), the dean of the college, and the Provost for approval for consistency with these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, rules of the college and (if appropriate) rules of the school faculty. Copies of the approved rules, procedures and committee structure shall be made available to the members of the departmental faculty and shall be filed with the director of the school, (if appropriate) the dean of the college of which the department is a unit, the Provost, and the University Senate Council.

(c) Department Faculty Functions

Within the limits established by these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, or the rules of the faculties of the school or college of which the department is a part, the department faculty has jurisdiction over matters concerning its educational policies.

The department faculty has primary responsibility for the development of policies on such matters as academic requirements, courses of study, course offerings, graduate and research programs, and service functions. Jointly with the department chair, the department faculty shall establish procedures to be used within the department concerning (1) Recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, and the granting of tenure and decisions not to reappoint; (2) the Faculty performance evaluations and (3) Preparation of budget requests. The procedures in (1) and (2) above shall include consultation with directors of multidisciplinary research centers and institutes for those faculty members who are or shall be associated with such centers or institutes.

The department faculty shall develop statements describing the evidences of activity in instruction, research and service that are appropriate to their field(s) for use in guiding evaluations for promotion and tenure. If developed and approved by the department faculty, those statements must be submitted by the chair of the department to the dean for review and final approval before the statements are made operative in the department. Revisions to a department's statements, upon approval of the department faculty, must also be submitted by the department chair to the dean for review and final approval.

The academic or scholastic requirements of a department may exceed, but not be lower than, those of the school and/or college of which the department is a part. The University Senate must approve any such differences in standards.

7. Faculty of Multidisciplinary Research Centers and Institutes

(a) Faculty Membership and Functions

The faculty of a multidisciplinary research center or institute that is responsible for establishing the educational policies of the unit shall consist of: (1) a director who also shall be a faculty member of a department, school, or college; (2) faculty members with recurring, formally assigned instructional, research, and/or service duties in the unit. In addition, membership, with or without voting privileges, may be extended and withdrawn by the above center or institute faculty to any other person assigned to the unit for administrative, instructional, research, extension, clinical or librarian work.

Academic rank shall not be conferred by a multidisciplinary research center or institute nor tenure acquired solely through activities performed in such a unit.

(b) Officers and Committees

A multidisciplinary research center or institute shall be administratively responsible to the **Executive** Vice President for Research unless specifically designated to another chief academic officer. A faculty advisory committee shall be appointed for each research center or institute by the officer to whom the unit is administratively responsible.

8. Student Participation

Rules of procedure in educational units of the University shall provide, when appropriate, for participation of students in the development of educational policies.

B. Administrative Organization of Educational Units

1. Definition

The administrative organization of the University is determined by the educational organization of the University and the instruction, research, service, and other functions of the University. Each administrative officer, other than the President, is responsible to the President, directly or through one or more superior officers, for the efficient operation of the organizational unit or functions for which the administrative officer is responsible. The duties of administrative officers reporting directly to the President shall be those delegated by the President and described in the *Administrative Regulations*. Each administrative officer is expected to recommend to the appropriate next superior officer the administrative organization necessary to carry out assigned duties. The positions of deans, directors, and chairs of educational units, with descriptions of major duties assigned, are described in these *Governing Regulations*. The Board of Trustees must approve major changes in administrative organization.

Each administrative officer is authorized to establish and enforce such policies and procedures as are attendant to delegated administrative duties and to establish administrative and/or advisory committees to aid in the performance of assigned functions.

2. Dean of the Graduate School

The Dean of the Graduate School is chair of the Graduate Faculty and of the Graduate Council and serves as an ex-officio member of all committees of the Graduate School. Under the broad direction of the President and the Provost, the Dean provides general planning, guidance, review, and coordination for all of the University's endeavors in graduate education. The Dean appoints regular and associate members of the Graduate Faculty. The Dean also recommends on budgets as these may affect graduate education and shall have the same authority and responsibilities as those of a dean of a college in the administration of educational units that might be transferred to or developed under the Office of the Dean of the Graduate School.

The Dean shall speak for the Graduate Faculty. In the event that the Dean believes it necessary to depart from the recommendations of the Graduate Faculty, the Dean shall communicate the Graduate Faculty's recommendation as well as the Dean's recommendation, stating the reasons for differing from the Graduate Faculty's opinion, and notify the Graduate Faculty of such action.

3. Deans of the Colleges

A dean is the chief administrative officer of a college and is responsible for the enforcement of these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, and the rules of the college faculty. The dean is authorized to establish and enforce such policies and procedures as are attendant to the administrative management of the operations of the college.

The dean is the chair of the college faculty and an *ex officio* member of all college committees. The dean is charged with overseeing the educational work of the college and its efficient conduct and management in all matters not specifically charged elsewhere. The dean is responsible for the implementation of the curricula of the college, for ensuring through the faculty the quality of instruction given therein, for the assignment of duties to all personnel, and for the service provided by the faculty of the college, individually and as a whole. The dean shall review faculty performance evaluations submitted by the department chairs and shall be responsible for recommendations on salaries, salary changes, appointments, reappointments, terminal appointments, post-retirement appointments, promotions, and granting of tenure and decisions not to reappoint for members of the college or for ultimate action thereon when such authority has been delegated by the President or the Provost.

The dean shall submit the budget request for the college and administer the budget when it is approved. The President or Provost may delegate further administrative responsibilities to the dean. These responsibilities may vary from college to college.

In connection with the above administrative functions, the dean shall seek the advice of the faculty of the college: 1) individually, 2) as a whole, 3) through the elected college faculty council, or 4) through the faculty advisory committees. In addition to the roles and responsibilities described above, the dean of a college without departments shall have any other roles and responsibilities which are delegated to a department chair as set forth in Part VII.B.6. Staff employees shall be consulted, when appropriate, in the development of administrative policies and decisions that directly affect staff employees.

The dean shall speak for the college. In the event that the dean believes it necessary to depart from recommendations of the college faculty, the dean shall communicate the college faculty's recommendation as well as the dean's recommendation, stating reasons for differing from the college faculty's opinion, and notify the college faculty of such action.

4. Directors of Schools

The director of a school serves as chair of the faculty of the school in the performance of its assigned functions and is an *ex officio* member of all committees of the school.

The director's administrative responsibilities shall be those delegated by the dean of the college of which the school is a part.

In connection with the above administrative functions, the director shall seek the advice of the faculty of the school: (1) individually, (2) as a whole, (3) through the elected school faculty council, or (4) through faculty advisory committees. In addition to the roles and responsibilities described above, the director of a school without departments shall have any other roles and responsibilities which are delegated to a department chair as set forth in Part VII.B.5. Staff employees shall be consulted by the school director (or associate director), when appropriate, in the development of administrative policies and decisions that directly affect staff employees.

The director shall speak for the school. In the event that the director believes it necessary to depart from the recommendations of the school faculty, the director shall communicate the school faculty's recommendation as well as the director's recommendation, stating reasons for differing from the school faculty's opinion, and notify the school faculty of such action.

5. Chairs of Departments

The department chair leads the department faculty in its development of policies on such matters as academic requirements, courses of study, class schedules, graduate and research programs, and service functions. The chair presides at all department meetings, except as the chair may delegate this function, and is an ex officio member of all department committees. The chair has administrative responsibility for implementing the department's policies and programs within the limits established by these Governing Regulations, the Administrative Regulations, University Senate Rules, Rules of the Graduate Faculty, the rules of the college, and the rules of any school of which it is a part.

The department chair is responsible for recommendations on the appointment of new faculty employees of the department, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint.

Procedures used in preparing recommendations shall be those established by the University, the college, and the department faculty. At a minimum, on matters relating to decisions not to reappoint, reappointment, terminal reappointment, or the granting of tenure of persons in any title series, the department chair shall consult with all tenured faculty members of the department. At a minimum, on matters relating to appointment or promotion of any persons in any tenure-eligible title series, the department chair shall consult with all full-time tenured and tenure-eligible faculty members of the department, with a rank at or above the rank to which the individual being considered would be appointed or promoted. At a minimum, on matters relating to appointment, decisions not to reappoint, reappointment, terminal reappointment, or promotions of persons in any tenure-ineligible series, the department chair shall consult with all full-time tenured and tenure-eligible faculty members of the department (GR VII.A.6(a)). On matters relating to appointment or promotion in the Clinical Title Series, Research Title Series, or Lecturer Series, the department chair shall also consult with all full-time faculty employees in the series of the individual under consideration who are at or above the rank to which the individual would be appointed or promoted. All recommendations on matters listed above, excluding reappointments and post-retirement appointments, shall include the written judgment of each consulted member of the department and of each director of any multidisciplinary research centers or institutes, or graduate centers with which the individual is, or would be, associated, along with the recommendation of the chair.

On matters relating to appointment or promotion in the Clinical Title Series, Research Title Series, or Lecturer Series, the department chair shall also consult with all full-time faculty employees in the series of the individual under consideration who are at or above the rank to which the individual would be appointed or promoted. Faculty employees in the tenure-ineligible series shall not be consulted on matters relating to appointment, reappointment, terminal reappointment, decisions not to reappoint, promotion or the granting of tenure of faculty employees in the tenure-eligible title series, except by invitation of the department faculty as provided below.

A department faculty may establish policies that extend the above minimum consultation requirements in faculty personnel matters to include the specified participation of other full-time faculty employees in any series in the department. Once these policies on extended participation privileges are approved by the department faculty (GR VII.A.6(a)) and reviewed by the department chair, the dean and Provost for consistency with the Governing Regulations, Administrative Regulations and rules of the College, and approved, these policies shall be incorporated into the rules document of the department.

The following exceptions may be made: (1) faculty employees on approved leave of absence or with a primary administrative, service, or other assignment outside the department, who are otherwise eligible to participate, may, but are not required to, provide written judgments on all recommendations; (2) faculty employees at the rank of Instructor in any title series participate only upon the granting of participation privileges by the department faculty, and, (3) in a large and diverse department, upon prior recommendation by the department faculty (GR VII.A.6(a)) and approval of the dean and the Provost, consultation with faculty employees may be restricted to those associated with the concerned, previously-defined academic division or program area in the department.

The department chair is responsible for the periodic evaluation of department members by procedures and criteria established by the University, the college, and the department faculty.

The department chair submits the budget request for the department and administers the budget after its approval. The chair also is responsible for making recommendations on salaries, salary changes, and distribution of effort.

In connection with the above major administrative functions, the chair shall seek the advice of members of the department, individually or as a group, or of advisory committees that the chair may appoint. Staff employees shall be consulted, when appropriate, by the chair, in the development of administrative policies and on decisions that directly affect staff employees.

The chair shall speak for the department. In the event that the chair believes it necessary to depart from the opinion of the department faculty, the chair shall communicate the department faculty's opinion as well as the chair's recommendation, stating reasons for differing from the department faculty's opinion, and notify the department faculty of such action.

6. Directors of Multidisciplinary Research Centers and Institutes

The administrative officer of a multidisciplinary research center or institute is a director, who also shall be a faculty member in a department, school, or college. The director of a multidisciplinary research center or institute is charged with the planning, implementation, coordination, and efficient management of the program and activities of the center or institute. The director shall have the same responsibilities as those of a department chair relative to faculty members and staff employees with assigned duties in the center or institute. The director shall provide recommendations and advice to appropriate educational unit administrators concerning space, financial, and other resources, as well as the identification of faculty members for assignment of duties in the center or institute. The director shall submit the core budget request for the center or institute and administer this budget after its approval. In addition, the director may have other responsibilities delegated by the ~~Executive~~-Vice President for Research or other academic administrator to whom the center or institute is administratively responsible. In connection with the above major administrative functions, the director shall seek the advice of the faculty members of the center or institute, individually or as a group, or of advisory committees that may be appointed by the director of the center or institute or by the administrator to whom the center or institute is administratively responsible. The director shall speak for the center or institute and be an *ex officio* member of all of its committees and shall transmit the recommendations of the consulted faculty along with the director's recommendation, if these recommendations are different. Staff employees shall be consulted, when appropriate, by the director, in the development of administrative policies and on decisions that directly affect staff employees.

7. Director/Chair of Interdisciplinary Instructional Programs

The director/chair of an interdisciplinary instructional program shall be a member of one of the academic departments participating in the program.

The director/chair shall be responsible to the dean(s) of the college(s) in which the program is located and advise the dean(s) on personnel and other needs of the program in connection with budget planning. For these administrative purposes, the director/chair shall rely upon the advice of a committee drawn from faculty members participating in the courses composing the curriculum and shall transmit the recommendations of the consulted faculty along with the director/chair's recommendation, if these recommendations are different. Staff employees shall be consulted by the director/chair, when appropriate, in the development of administrative policies and on decisions that directly affect staff employees.

References and Related Materials

Governing Regulations:

GR I – The University of Kentucky (Definition)

GR IV – The University Senate

GR IX – Reviews of Organizational Units and Their Chief Administrative Officers

Administrative Regulations:

AR 1:1 – University of Kentucky Administrative Organization

University Senate Rules

Rules of the Graduate Faculty

Revision History

12/11/2001, 6/14/2005, 7/1/2009

For questions, contact: [Office of Legal Counsel](#)



Reviews of Organizational Units and Their Chief Administrative Officers

Major Topics

Program Review

Review of Chief Administrative Officers

Policies and Procedures for Reviews

I. Program Review

The performance of each educational and administrative unit in the University* shall be reviewed comprehensively at regular intervals by an ad hoc committee. The review period shall normally be from five (5) to seven (7) years.

Ad hoc review committees for educational units shall be formed principally from faculty personnel, shall normally include members internal and external to the unit being reviewed, and may include members external to the University. Review committees for administrative units shall be formed from affected constituencies, including faculty and staff employees, shall normally include members internal and external to the unit being reviewed, and may include members external to the University.

*Includes departments, schools, graduate centers, colleges, interdisciplinary instructional programs, and multidisciplinary research centers and institutes.

II. Review of Chief Administrative Officers

The performance of chief administrative officers shall be reviewed comprehensively at regular intervals. The reviews shall be designed to provide information to enhance leadership and unit effectiveness and to guide compensation and employment decisions.

Ad hoc review committees for chief administrative officers at the level of Provost, executive vice presidents, and deans shall be formed with representatives from affected constituencies and may include members external to the unit or university.

III. Policies and Procedures for Reviews

Policies and procedures for conducting program reviews and reviews of chief administrative officers, as

established by the President after consultation with appropriate administrative and faculty groups, including the University Senate and Staff Senate, are described in the Administrative Regulations (AR ~~1:4II-1.0-6~~). Policies and procedures for conducting reviews of department chairs and school directors, as appropriate for the individual colleges, shall be established jointly by the dean and the college faculty.

A review of the performance of any unit at other than the regular interval may be initiated by the chief administrative officer of the unit, by an administrative officer responsible for the unit, or by the President. A review of the performance of any chief administrative officer at other than the regular interval may be initiated by the officer, the officer's supervisor, or the President. Ordinarily such reviews shall also be initiated if requested by a majority of the faculty of an educational unit or the staff employees of an administrative unit. Such requests shall be submitted to the administrative officer to whom the unit reports, who shall provide a written explanation if the officer disapproves the request.

IX. References and Related Materials

Administrative Regulation 1:4

Revision History

01/14/1998, 06/14/2005, 06/13/2006

For questions, contact: [Office of Legal Counsel](#)



The University Senate

Major Topics

Membership

Officers, Committees, and Councils of the University Senate

University Senate Functions

I. Introduction

This Governing Regulation describes the composition, authority, and functions of the University Senate at the University of Kentucky.

A. Membership

The University Senate shall be composed of both elected and *ex officio* members.

The ninety-four (94) elected faculty shall be full-time faculty elected from and by the respective college faculties. The elected faculty representatives [in](#) of the University Senate have the authority assigned to “the faculty of the University” under KRS 164.240 to recommend to the Board of Trustees the conferral of earned degrees from the University and the conditions for and award of honorary degrees. The University Senate membership, composed of both elected and *ex officio* members, is authorized to perform all other functions delegated by the Board of Trustees to the University Senate.

The University student body shall be represented by the student senators, one elected from and by the full-time student body of each college. The one elected emeritus faculty member shall be elected by and represent the University of Kentucky Association of Emeriti Faculty. The procedures for election of representatives to the University Senate and University Senate Council shall be prescribed in the *University Senate Rules*.

In even numbered academic years, the *ex officio* voting members of the University Senate shall be composed of the following: Provost ~~Executive Vice President for Research~~, Associate Provost for Undergraduate Education, student member of the Board of Trustees, two (2) faculty members of the Board of Trustees, Dean of Libraries, and deans of the Colleges of Communications and Information Studies, Dentistry, Design, Education, Engineering, Health Sciences, Law, and Social Work. In odd numbered academic years, the *ex officio* voting members shall be the following: Provost, student member of the Board of Trustees, two (2) faculty members of the Board of Trustees, Associate Provost for [Faculty Academic Affairs](#), Dean of the Graduate School, Associate Provost for Undergraduate Education, and deans of the

Colleges of Agriculture, Arts and Sciences, Business and Economics, Fine Arts, Medicine, Nursing, Public Health, and Pharmacy. The University Senate may recommend to the Board of Trustees changes to the above list of *ex officio* voting members and determines *ex officio* nonvoting membership, as necessary.

B. Officers, Committees, and Councils of the University Senate

The University Senate is authorized to develop *University Senate Rules* for the conduct of its functions, copies of these rules being furnished to the President and the Board of Trustees. It may perform its functions directly, through the Senate Council*, through standing or special committees which it may appoint or authorize for appointment, or through delegation of authority and responsibility to the faculties of the Graduate School, or the faculties of the colleges, schools, departments, centers and institutes. The University Senate Council shall appoint standing or special committees of the University Senate, responsible to the University Senate, unless the University Senate has authorized other methods of appointment.

The President is the Chair of the University Senate and shall be the presiding officer except as the President may delegate this function to the University Senate Council Chair. As its Chair, the President may be called upon by the University Senate to address or represent the University Senate or to transmit its recommendations. The President, as Chair of the University Senate, may establish and appoint academic committees to advise the President in this capacity.

The University Senate may establish University Senate committees that are responsible, in an advisory capacity, to the President or other administrative officer(s) or administrative unit(s). These committees are also responsible for reporting upon issues that bear upon the functions of the University Senate and for making recommendations for action. These University Senate advisory committees shall be appointed by the President, as the University Senate Chair, from nominations made by the University Senate Council.

A member of the University Faculty (not necessarily a member of the University Senate), appointed by the University Senate Council, shall serve as parliamentarian. The two (2) sergeants-at-arms, appointed by the University Senate Council, shall be members of the University Faculty and/or a staff employee. The University Senate shall hold regular monthly meetings during the academic year when classes are in session and, after adequate notice by its Secretary, special meetings on the call of the President or the University Senate Council or on the written request of ten (10) members.

Any University employee or student may attend a meeting of the University Senate as a visitor and request the privilege of the floor.

* Members and officers of the University Senate Council shall remain voting members of the University Senate until the end of their terms on the University Senate Council. They shall not be counted as a part of the quota of the educational unit that they have represented nor of the maximum faculty membership of the University Senate after the expiration of their elected University Senate memberships.)

C. University Senate Functions

The University Senate is not assigned any management or administrative functions. The University Senate functions include the following:

1. Determine the broad academic policies of the University, including the similar academic policies that may be made necessary by governmental or accreditation agencies, and make rules to implement these policies. They shall not be counted as a part of the quota of the educational unit that they have represented nor of the maximum faculty membership of the University Senate after the expiration of their elected University Senate memberships.

2. Approve all new academic programs, ~~and~~ make final academic decisions on recommendations to changes of these programs, and recommend the closing of degree-granting academic programs.
3. Make final decisions for the University on curricula, courses, certificates and diplomas offered at the University ~~and on the termination of academic programs.~~
4. Adopt policies for the University academic calendar and establish the annual calendar upon recommendation by the University Registrar.
5. Recommend to the President and Provost on the establishment, alteration, abolition, and reporting relationships of educational units in the University.
6. Advise the President or the President's designated officer on the planning for physical facilities, personnel and other resources when these may affect the attainment of educational objectives of the University.
7. Advise the President or the President's designated officer, through appropriate committees, on criteria, policies and procedures for performance review, appointments, reappointments, promotions, granting of tenure, and benefits to faculty in the University.
8. Determine the conditions for admission and for degrees, other than honorary degrees, in the University, pursuant to KRS 164.240.
9. Recommend to the Board of Trustees all candidates that have been approved for degrees in the University, pursuant to KRS 164.240.
10. Address the President or, through the President, the Board of Trustees, regarding any University matter.

D. References and Related Materials

KRS 164.240

University Senate Rules

Revision History

6/14/2005

For questions, contact: [Office of Legal Counsel](#)



The President of the University of Kentucky

Introduction

Pursuant to KRS 164.220, the Board of Trustees is vested with authority to appoint a president for the University. This Governing Regulation establishes the authority and responsibilities of the President.

The President is the chief executive officer of the University and has full authority and responsibility over the administration of the academic, athletic, administrative, and financial operations of the University. It is the duty of the President to make recommendations relating to the general policies of the institution and to the maintenance of coordination among its several functions. It is also the President's duty, directly or through the various University officers, to supervise and administer all phases of the University's operations, both business and academic, including all departments, divisions, and colleges, and to perform all other administrative functions, whether expressly enumerated herein or not, necessary or appropriate for the effective operation of the University.

A. Authority and Responsibilities

1. Administrative Officers, Faculty and Staff, Committees and Councils

All administrative officers, including but not limited to the Provost, vice presidents, deans, directors and other subordinate officers, shall be subject to the supervision and direction of the President.

The President may delegate any of the President's assigned authorities or responsibilities to any faculty member or staff employee of the University. The President shall, however, have the prior consent of the Board of Trustees before delegating major areas of authority or responsibility.

The President may utilize subordinate administrative officers as appropriate. The President may appoint, or have appointed, temporary or standing advisory or administrative committees and, with the approval of the Board of Trustees, may establish academic and/or administrative councils.

2. University Senate and Staff Senate

The President is Chair of the University Senate and an ex officio member of the Staff Senate and of the various college faculties. The President may call meetings of the University Senate, the Staff Senate, the University Assembly, or any college faculty. The President may be asked to address a meeting of the University Senate, the Staff Senate, or a college faculty. (*Governing Regulations, Part IV & Part V*)

3. External Relations

Subject to the regulations of the Board of Trustees, the President is the official spokespersons for the University before all international, federal, state, and local government offices, boards, and

agencies and is the non-voting representative of the University on the Council on Postsecondary Education.

4. Budget

The President is responsible for the preparation of the annual budget for approval by the Board of Trustees and for the administration of the annual budget after approval by the Board of Trustees. In the administration of the annual budget, the President shall exercise authority delegated by the Board of Trustees for the transfer of funds within major fund groups, provided that all such transfers of funds shall be reported to the Board of Trustees.

5. Communications

The President ~~shall serve~~ serves as the official medium of communication between the Board of Trustees, ~~on the one hand,~~ and the University Senate, administrative officers, individual members of the faculty and staff employees, student organizations, and students ~~on the other hand.~~ In this connection it ~~shall be~~ is the President's responsibility to transmit to the Board of Trustees all formal communications from the University Senate, the Staff Senate and the Student Government Association along with the viewpoints of the body submitting a communication, including any minority opinions, and the President's own recommendations for action.

6. Regulations and Policies

The President is responsible for fostering and promoting instruction, research, and service as the primary functions of the University. In this connection the President may make policy recommendations to the Board of Trustees and the University Senate, which are recognized as the primary educational policy-forming agencies of the University. (KRS 164.180; KRS 164.200; *Governing Regulation IV*)

The President must, of necessity, in the day-to-day direction of University affairs, interpret existing policies and, when necessary, establish new policy with respect to academic, administrative and financial matters. While responsible for the enforcement of the Governing Regulations of the Board of Trustees and the University Senate Rules, the President also shall provide for the application of these rules and regulations to individual cases. Under extraordinary circumstances, and with written justification to the University Senate through the University Senate Council, the President may suspend a rule of the University Senate in a particular case; however, under no circumstance may the President suspend rules concerning admission and the number of credits and quality points required for graduation.

7. Vehicle Traffic and Parking

~~The Board of Trustees delegates to the~~ The President ~~is responsible~~ the responsibility for the development and enforcement of regulations for the control of ~~motor~~ vehicle traffic and parking on University property. For this purpose, University property is defined as all real property owned, used, or occupied ~~and exclusively operated~~ by the University. (KRS 164.975)

B. Vacancy or Disability of the President

In the event of a vacancy in the Office of President or disability of the President, the Provost shall exercise the functions of the President in the absence of the appointment of an interim President by the Board of Trustees. If the Board of Trustees finds it desirable to appoint an interim President, it shall seek advice from a committee composed of representatives of Board of Trustees members, faculty members, staff employees, and students.

References and Related Materials

KRS 164.180, KRS 164.200, KRS 264.220, KRS 164.975
Governing Regulation IV
Governing Regulation V

Revision History

6/14/2005

For archive versions contact: [Office of Legal Counsel](#)



GOVERNING REGULATION, PART I THE UNIVERSITY OF KENTUCKY (DEFINITION)

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A. Statutory Definition

1. The term University of Kentucky refers to the institution described in the Kentucky Revised Statutes (KRS) in Chapter 164. KRS 164.100 states that the University of Kentucky is hereby recognized as established and maintained. The legislation states that the University of Kentucky is the institution that was founded under the land grant of 1862 by the United States Congress under the corporate designation and title of "Agricultural and Mechanical College of Kentucky." Further, KRS 164.100 provides that the University shall be maintained by the state with such endowment, incomes, buildings, and equipment as will enable it to do work such as is done in other institutions of corresponding rank, both undergraduate and postgraduate, while embracing instruction as well as research.
2. Legislation in KRS 164.120* states that that the colleges, schools, divisions, department, bureaus and offices that are now established and maintained or that in the future may be established by the Board of Trustees shall constitute the University of Kentucky. The legislation also notes that the branches of learning required by the Land Grant Act of Congress approved July 2, 1862, shall be integral and indispensable courses of instruction at the University.
3. Through KRS 164.125, the legislation provides that the University of Kentucky shall be the principal state institution for the conduct of statewide research and statewide service programs and shall be the primary institution authorized to expend State General Fund appropriations on research and service programs of a statewide nature financed principally by state funds. Further, this legislation states that (a) the University's research and service programs of a statewide nature, as noted in KRS 164.125, shall be programs requiring the establishment and operation of facilities or centers outside of the primary service area of the institution; (b) in carrying out its statewide mission, the University of Kentucky shall conduct statewide research and provide statewide services including, but not limited to, agricultural research and extension services, industrial and scientific research, industrial technology extension services to Kentucky employers, and research related to the doctoral, professional, and post-doctoral programs offered within the University; (c) the University may establish and operate centers and utilize state appropriations and other resources to carry out the necessary research and service activities throughout the state; and (d) the University may enter into joint research and service activities with other universities in order to accomplish its statewide mission. The legislation specifically notes that nothing contained in KRS 164.125(2) shall limit the authority of the Council on Postsecondary Education to establish instructional programs that are consistent with the strategic agenda.

* The dates of establishment of the colleges listed in the statute are: **Arts and Sciences** (1908); **Agriculture** (1908); **Law** (1908); **Education** (1925); **Graduate** (1912); **Engineering** (1918, as the merger of the College of Civil Engineering, the College of Mechanical Engineering, and the College of Mines and Metals); **and Commerce** (1925, renamed the College of Business and Economics February 18, 1966; renamed the **Gatton College of Business and Economics**, 1996). In accordance with this statute, the following colleges have been subsequently established by the Board of Trustees: **Pharmacy** (July 1, 1947); **Medicine** (June 1, 1954); **Dentistry** (May 28, 1956); **Nursing** (May 28, 1956); **Architecture** (separated from Engineering as a School July 1, 1964; raised to a college May 5, 1970; renamed **Design**, October 29, 2002); **Allied Health**

Personnel (as a ~~separate~~ school January 1, 1966); ~~renamed **Allied Health Professions** (January 20, 1967)~~, raised to a college, May 5, 1970, ~~renamed **Allied Health Professions**, January 20, 1967~~; renamed **Health Sciences**, April 30, 2002); ~~**Public Health** (May 4, 2004)~~; Home Economics (separated from the College of Agriculture, 1916; merged back into College of Agriculture, 1917; separated from Agriculture as a school July 1, 1967; raised to a college May 5, 1970; renamed Human Environmental Sciences, January 22, 1991; merged into the College of Agriculture July 1, 2003 as ~~at~~ **the School of Human Environmental Sciences**); Library Science (separated from Arts and Sciences as a school April 2, 1968; raised to a college May 5, 1970; renamed Library and Information Science, April 6, 1982; merged with Communications and renamed **Communications and Information Studies**, June 22, 1993); Social Professions (separated from Arts and Sciences as a school June 24, 1968; raised to a college May 5, 1970; renamed **Social Work**, May 6, 1980); Communications (May 4, 1976; renamed **Communications and Information Studies**, June 22, 1993); and **Fine Arts** (separated from Arts and Sciences May 4, 1976).

B. University Programs and Requirements

1. The University of Kentucky shall provide:
 - (a) Upon approval of the Council on Postsecondary Education, baccalaureate programs of instruction;
 - (b) Upon approval of the Council on Postsecondary Education, master degree programs, specialist degree programs above the master's degree level, and joint doctoral programs in cooperation with other public postsecondary educational institutions in the state;
 - (c) Upon approval of the Council on Postsecondary Education, doctoral and post-doctoral programs and professional instruction including law, medicine, dentistry, education, architecture, engineering and social professions. (KRS 164.125)
2. The Board of Trustees is an independent agency and an instrumentality of the Commonwealth of Kentucky with exclusive jurisdiction, power over and control of appointments and terminations, qualifications, salaries and compensation, as well as promotions, relations and retirement benefits of all employees of the University.

C. Vision, Mission and Values

The University of Kentucky Board of Trustees adopted the following amended Vision, Mission and Values Statement on ~~June~~January 923, 20097.

1. Vision

The University of Kentucky will be one of the nation's 20 best public research universities, ~~an institution recognized world-wide for excellence in teaching, research, and service and a catalyst for intellectual, social, cultural, and economic development.~~

2. Mission

The University of Kentucky is a public, ~~research-extensive~~, land grant university dedicated to improving people's lives through excellence in ~~education~~teaching, research and creative work, service and health care, ~~cultural enrichment, and economic development.~~ As Kentucky's flagship institution, the University plays a critical leadership role by promoting diversity, inclusion, economic development and human well-being.

The University of Kentucky:

- facilitates learning, informed by scholarship and research;
- expands knowledge through research, scholarship and creative activity; and
- serves a global community by disseminating, sharing and applying knowledge.

The University, as the flagship institution, plays a critical leadership role for the Commonwealth by contributing to the economic development and quality of life within Kentucky's borders and beyond. The University nurtures a diverse community characterized by fairness and equal opportunity.

3. Values

The ~~values of the~~ University of Kentucky is guided by its ~~decisions and the behavior of its community.~~ Its core values ~~are~~:

- integrity;
- ~~academic excellence and academic freedom~~;
- mutual respect and human dignity;
- ~~embracing diversity and inclusion~~;
- academic freedom;
- ~~personal and institutional responsibility and accountability~~;
- shared governance;
- ~~a sense of community~~;
- ~~sensitivity to work-life~~ sensitivity concerns;
- ~~civic engagement~~ responsibility; and
- social responsibility.
- ~~service to society~~.

D. Ethical Principles and Code of Conduct

The Board of Trustees adopted the document, Ethical Principles and Code of Conduct, on January 27, 2004.

1. Ethical Principles

(a) The University of Kentucky Ethical Principles and Code of Conduct are intended to document expectations of responsibility and integrity. Exemplary ethical conduct is critically important in our relationships with colleagues, trustees, students, volunteers, contractors, and the public. This statement reflects the values of the University approved by the Board of Trustees on January 27, 2004.

(b) The following core values guide our decisions and behavior:

- integrity
- ~~academic excellence and freedom~~
- mutual respect and human dignity
- ~~diversity of thought, culture, gender, and inclusion~~ ethnicity
- ~~personal and institutional responsibility and accountability~~
- academic freedom
- shared governance
- ~~a sense of community~~
- ~~sensitivity to work-life~~ sensitivity concerns
- ~~civic engagement~~ responsibility
- social responsibility

(c) Each member of the University must endeavor to:

- promote the best interests of the University of Kentucky
- foster the Vision, Mission, and Values of the University
- preserve the public's respect and confidence in the University of Kentucky
- exhibit personal integrity, honesty, and responsibility in all actions
- provide an environment of mutual respect, impartiality, and collaboration
- maintain confidentiality in all matters deemed confidential
- assure independence of judgment free from conflicting interests
- ensure that relationships that constitute or could be perceived as conflicts of interest are fully and properly disclosed and University guidelines are followed
- comply with the policies and procedures of the University of Kentucky and applicable state and federal laws and regulations
- demonstrate stewardship of University property and resources

2. Code of Conduct

Those acting on behalf of the University of Kentucky have a duty to conduct themselves in a manner that will maintain the public's trust in the integrity of the University and to act compatibly with their obligation to the University. The Code of Conduct establishes guidelines for professional conduct for University members, including trustees, executive officers, faculty, staff, and other individuals employed by the University, those using University resources or facilities, and volunteers and representatives acting as agents of the University (collectively "University members"). The conduct of students is addressed in the Student Rights and Responsibilities.

The Code of Conduct is intended as a general guide to determine what conduct is expected and to help individuals to determine behaviors that should be avoided. Employees are strongly urged to consult with their supervisor to review and evaluate specific situations. Violations of this code will be subject to appropriate penalties. In addition to the Code, University members are ~~generally~~ subject to all University codes, regulations, and policies and state and federal law. ~~Violations of this code will be subject to appropriate penalties.~~ As applicable, University members shall comply with:

- Federal laws, regulations, and policies;
- Kentucky Revised Statutes (KRS) and Kentucky Administrative Regulations (KAR);
- University and unit-level policies and procedures including, but not limited to, the Governing Regulations (GR), Administrative Regulations (AR), Human Resources Policy and Procedure Manual, the Business Procedures Manual, and Rules of the University Senate;
- Contract, grant, and donor stipulations;
- Accreditation requirements; and
- Generally accepted accounting principles.

While this Code of Conduct provides overall guidance and in some instances interpretation, additional guidance is found in other official University policy documents, such as the *Governing Regulations*, *Administrative Regulations*, *Human Resources Policies*, Rules of the University Senate~~Rules~~, and *Business Procedures Manual*.

(a) Nondiscrimination Policy

Equal opportunities shall be provided for all persons throughout the University in recruitment, appointment, promotion, payment, training, and other employment and education practices without regard for economic or social status and will not discriminate on the basis of race, color, ethnic origin, national origin, creed, religion, political belief, sex, sexual orientation, marital status, or age. The University does not discriminate on the basis of uniform service, veteran status, or physical or

mental disability when an individual otherwise meets the minimum qualifications for application or participation. All University members are expected to comply with the institution's nondiscrimination policy. The President is responsible for the development of an affirmative action plan by which full implementation of this policy shall be effected in the University. (See Human Resources Policy and Procedures Number 2.0)

(b) Confidentiality of Information

University members are entrusted with personal and institutional information that should be treated with confidentiality and used only for conducting University business. Respect for individual and institutional privacy requires the exercise of care and judgment. Unless required or permitted by law or University regulations, personal and official information provided by and about faculty, staff and students must not be given to third parties without the consent of the individuals concerned. When doubt exists regarding the confidentiality of information, University members should presume information is confidential until determined otherwise.

(c) Use of the University's Name

University members have a public association with the University, but are also private citizens, thus care must be taken to appropriately differentiate between the two roles. University members may not use or allow the use of the name of the University or identify themselves as employees of the University of Kentucky in the public promotion or advertising of commercial products without prior written approval. Individuals writing or speaking publicly in a professional or expert capacity may identify themselves by their relationship with the University, but if so identified then in all instances where the individual might give even the appearance of speaking on behalf of the University, care must be taken to emphasize that any views expressed are their own and are not representative of the University of Kentucky. University members are encouraged to contribute to public debate as citizens. In instances where University members comment publicly as part of their official University duties, they should do so using University stationery and e-mail accounts; when commenting as citizens, University members must use personal stationery and personal e-mail accounts.

(d) Civic Responsibility of the Individual

In their roles as citizens, staff employees and faculty members have the same freedoms as other citizens, without institutional censorship or discipline, although they should be mindful that accuracy, forthrightness, and dignity befit their association with the University. (Also see D., above.) When staff employees or faculty members speak or write as citizens, they should indicate that they are not speaking for the University. (MOVED FROM BELOW)

(ed) University Resources

University members should be responsible stewards of University resources. University members are entrusted with protecting the property, equipment, and other assets of the University and exercising responsible, ethical behavior when using the University's resources. University assets are intended for University activities. Limited personal use of fixed University resources, such as computers and telephones, which does not result in a charge to the University is permitted as long as the use does not interfere with assigned job duties. In some instances, a University member may use University equipment outside of the realm of his or her professional duties when the goals of the individual and the University coincide. Any such use must have the prior, written approval from the dean or appropriate administrator where the resources are located, and must provide that the University will be reimbursed for the full cost of the use of the equipment. Such use must not interfere with the University of Kentucky's uses, and must occur outside of the University member's regular employment assignment. The Office of the University Legal Counsel can provide an appropriate form of agreement.

(fe) Sexual Harassment

To foster an environment of respect for the dignity and worth of all members of the University community, the University is committed to maintain a work-learning environment free of sexual harassment. The policy of the University of Kentucky, approved by the Board of Trustees, prohibits sexual harassment of or by students, faculty, and staff and assures that complaints of sexual harassment will be treated and investigated with full regard for the University's due process requirements. The University policy and procedures on sexual harassment can be found in *Administrative Regulation 6:1H-1.1-9*.

(gf) Personal Relationships

The quality of decisions may be affected when those making decisions have personal relationships with those who are the subjects and possible beneficiaries of these decisions. The critical concern is that personal relationships, whether positive or negative, should not inappropriately or unfairly affect decisions. Conflicts of interest may arise when people are involved in making decisions affecting any members of their families, relatives, or those with whom they have or have had intimate relationships. Decisions affecting present or former business partners should also be avoided. Individuals with personal relationships should excuse themselves from such decision-making. In many cases, potential conflicts can be managed by candid but discreet disclosure of those relationships.

The University strongly urges those individuals in positions of authority not to engage in conduct of an amorous or sexual nature with a person they are, or are likely in the future to be, in a position of evaluating. The existence of a power differential may restrict the less powerful individual's freedom to participate willingly in the relationship. If one of the parties in an apparently welcomed amorous or sexual relationship has the responsibility for evaluating the performance of the other person, the relationship must be reported to the dean, department chair or supervisor so that suitable arrangements can be made for an objective evaluation of the student or employee (*Administrative Regulation 6:1H-1.1-9*).

(hg) Employment of Relatives

In order to assure independence of judgment that is free from conflicting interest and to avoid relationships that could be perceived as conflicts of interest, no relative of the President shall be employed in a position at the University.

Similarly, no relative of the Provost, or any executive vice president, vice president, or any associate provost or associate vice president shall be employed in a position in that officer's administrative area. The Board of Trustees on a stated temporary basis may permit waiver of the above regulation, not to exceed two years, when it is otherwise impractical to fill a position with another fully qualified person. The same individual shall not be eligible for reappointment under the terms of this exception unless approval is given by the Board of Trustees.

No relative of any employee of the University may be appointed to any position in the University over which the related employee exercises supervisory or line authority. Employment of relatives within the same department or division shall be approved specifically by the Provost or executive vice president, as appropriate (*Governing Regulation X-1*).

The University shall employ no relative of a member of the Board of Trustees. Members of the Board of Trustees, except those elected to the Board as faculty, staff, or student representatives, and relatives of any member of the Board of Trustees are ineligible for employment at the University.

(ih) Intellectual Property

University members should be responsible stewards of University resources. All intellectual property conceived, first reduced to practice, written, or otherwise produced by faculty, staff, or students of the University of Kentucky using University funds, facilities, or other resources shall be owned and controlled by the University. Any member of the faculty or staff of the University who produces such intellectual property using University funds, facilities, or other resources shall assign personal rights to the property to the University, or its designate. The traditional products of scholarly activity which have customarily been considered the unrestricted property of the originator, such as journal articles, textbooks, reviews and monographs, and which have been created without involving a material use of University resources, shall be the unrestricted property of the author (*Administrative Regulation 7:6H-1.1-3*).

(j) Conflict of Commitment

Decisions and the judgment upon which the decisions are based must be independent from conflicting interests and must hold the best interest of the University of Kentucky foremost. Conflicts of commitment relate to an individual's distribution of effort between University appointment and outside activities. The University of Kentucky permits external employment or self-employment in an employee's profession or specialty (with the exception of employees participating in a practice plan) 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. These conflicts may become apparent in regular performance reviews, in connection with annual salary decisions and scheduled reviews incident to promotion, reappointment or tenure decisions and should be addressed by the appropriate department head. The University policy and procedures on outside consulting can be found in *Administrative Regulation 3:9H-1.1-1*.

A staff employee may be employed outside the University when the employment does not constitute a conflict with University interests and when the hours of outside employment do not coincide or conflict with hours of scheduled work or affect the employee's ability to perform satisfactorily. A staff employee may also perform outside employment while on vacation, holiday, or special leave as long as the outside employment does not constitute a conflict of interest. Adherence with this policy is the responsibility of the staff employee who seeks outside employment; however, it is recommended the employee advise his or her department head of the outside employment.

(k) Conflict of Interest

The public's respect and confidence in the University of Kentucky must be preserved. Confidence in the University of Kentucky is put at risk when the conduct of University members does, or may reasonably appear to, involve a conflict between private interests and obligations to the University. All University members shall avoid conduct that might in any way lead members of the general public to conclude that he or she is using an official position to further professional or private interests or the interests of any members of his or her family. In conducting or participating in any transaction, full disclosure of any real or perceived conflict with personal interests and removal from further participation in such matters is required.

Administrative Regulation 7:2H-4.0-4 Research Conflict of Interest and Financial Disclosure Policy – Research sets forth specific relationships and activities that pose a potential conflict of interest for faculty, staff, and students involved in research and related activities. The University recognizes that actual or potential conflicts of interest may occur in the normal conduct of research and other activities. A conflict of interest can also arise if an employee's professional judgment is or may appear to be influenced by personal interests. It is essential that potential conflicts be disclosed and reviewed by the University. After disclosure, the University can make an informed judgment about a

particular activity and require appropriate oversight, limitations, or prohibitions in accord with this policy. It is important to remember that each relationship is different, and many factors often will need to be considered to determine whether a conflict of interest exists.

(k) Auditing Services

To effectively discharge their fiduciary and administrative responsibilities, the University's administration and the Board of Trustees are assisted by internal and external (independent) auditing services. These services provide independent, objective assurances and consulting services with respect to evaluating risk management, control, and governance processes. It is a violation of University policy to mislead or give false information to or intentionally omit material facts from internal or external (independent) auditor(s).

(m) 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 (Business Procedures Manual B.2.C). [\(See KRS 164.131 and KRS 164.367\)](#) An indirect interest may be defined as a real or perceived use of a university position or office with respect to a purchase or contract, leading to financial or other benefits to the individual or a member of his or her family. An indirect interest includes situations where a business owned or controlled by a family member does business with the University area where the employee is assigned.

An employee seeking approval 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. 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.

(n) Fiscal Responsibility

The Board of Trustees, President, executive officers, administrators, deans, department chairs, directors, principal investigators, and all others functioning as area or unit heads are responsible for setting a tone of accountability and high ethical standards in financial matters. All employees are expected to comply with the requirements outlined in:

- Governing Regulation Part I;
- UK Ethical Principles and Code of Conduct;
- A01-005 UK HealthCare Code of Ethics;
- AR 3:9
- AR 7:2 Research Conflict of Interest and Financial Disclosure Policy; and
- AR 7:9 Institutional Conflicts of Interest Involving Research

All organizational units (e.g., administrative area, college, department, division, center, or office) are expected to maintain a strong internal control environment for the University as defined in the Business Procedures Manual. (see Business Procedure E-1-3, Fiscal Roles and Responsibilities, and E-1-4, Internal Control.)

Each organizational unit head is accountable for the sound financial management of the unit and retains this fiscal responsibility if authority for transactional processing, record keeping, approving and monitoring is delegated to others.

(om) Acceptance of Gifts or Benefits

University members' decisions and actions should be based on the best interest of the University. No member should accept any type of reward, monetary or non-monetary, if there is an explicit or implicit assumption that influence has been exchanged for the favor. When no favor is asked for or gained, gifts of nominal value or moderate acts of hospitality, such as meals, in relation to one's position with the University may be accepted. The following guidelines should be observed:

- Gifts or acts of hospitality valued up to \$50 annually from any one source need not be reported
- Gifts or acts of hospitality valued between \$50 to \$200 should be reported to the supervisor prior to acceptance
- Acts of professionally related hospitality above \$200 must be specifically justified and reported through the chain of command. Written approval for acceptance must be provided by the Provost or executive vice president, in advance.
- Individuals may not accept gifts valued above \$200. These gifts or benefits shall be directed to the Executive Vice President for Finance and Administration, where they can be acknowledged and accepted on behalf of the University.

(pa) Clarifications and Reporting Violations

Like all policies, this policy could not possibly cover all possible situations. When any doubt about the propriety of an action exists, the University's policy requires a full and frank disclosure to an appropriate individual with sufficient authority to address the matter. For interpretation, counsel or advice regarding this policy, contact the Office of Legal Counsel.

~~3.~~ University members are expected to report violations of this policy to an appropriate individual. The University will not tolerate any retaliation against a University member who makes a good faith report of a violation.

~~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)~~

~~2. No member of a board of trustees shall have an interest in any contract with a state university unless such contract shall have been subjected to competitive bidding in compliance with KRS Chapter 45A, unless such trustee shall have been the lowest bidder and unless such trustee shall have first notified in writing the remaining members of the board, and to the newspaper having the largest circulation in the county in which the state university is located, of his intention to bid on such contract. (KRS 45A.340 (7))~~

EF. Diversity

The University is committed to diversity as a vital characteristic of an optimal education and workplace. The University maintains a firm conviction that it must strengthen the diversity of its communities, support free expression, reasoned discourse and diversity of ideas; and take into account a wide range of considerations, including but not limited to, ethnicity, race, disability, and sex, when making personnel and policy decisions. The University is committed to periodically evaluating progress made toward diversity and to communicating the results of such evaluations. Based upon these assessments, the University will give diversity factors consideration to ensure achievement of its mission of instruction, research and service and gain the broadest benefits for the University community.

EG. Shared Governance

The diverse expertise collectively available to the University in its faculty, administration, staff employees, and students is a valuable resource. The University as a whole will be able to function at maximum effectiveness where there is an environment in which the sharing of this expertise is valued and promoted. If this expertise is shared, it will enable policy-makers at every level of the organization to make better decisions. To achieve this objective in an environment of shared governance, faculty bodies and administrators will reciprocally solicit and utilize the expertise of the other as each makes decisions in their respective areas of policy-making authority. Through these empowering processes of shared governance, the administration, faculty members, staff employees and students all share the responsibility of attainment of the University's goals.

H. ~~Civic Responsibility of the Individual~~

~~In their roles as citizens, staff employees and faculty members have the same freedoms as other citizens, without institutional censorship or discipline, although they should be mindful that accuracy, forthrightness, and dignity befit their association with the University. (Also see D., above.) When staff employees or faculty members speak or write as citizens, they should indicate that they are not speaking for the University. (MOVED TO ABOVE)~~

GI. Order of Communication and Reports

All University faculty members and staff employees shall have full rights of communication with administrative officers of the University and the Board of Trustees through established administrative channels. Official recommendations and communications from any faculty member or staff employee shall be sent by the individual to the individual's immediate supervisor. When requested, the supervisor shall transmit such recommendations or communications, with the supervisor's own comments and recommendations to that supervisor's own immediate supervisor.

All faculty members and staff employees shall be entitled to appeal any decision affecting terms of their employment by the University through regularly established channels.

When a supervisory decision or reporting relationship involves a conflict of interest, the next higher-level administrative officer shall designate an alternative officer for the purpose of the decision or reporting.

This regulation shall in no way limit the President in communicating with faculty members or staff employees, nor shall it prevent communication between faculty members, staff employees, or administrative officers, and the Board of Trustees for purposes other than the submission of official recommendations and communications.

HJ. Use of University Facilities

Kentucky Revised Statutes 164.160 and 164.200, respectively, grant to the Board of Trustees the power to receive, hold, and administer on behalf of the University, all types of property and to establish proper regulations for the government of same.

By virtue of the above, University of Kentucky facilities shall be used only for educational, cultural or charitable purposes, or other purposes as determined by the President or by the administrative officer to whom the President has delegated this responsibility in accordance with these *Governing Regulations*, *Administrative Regulations*, and *University Senate Rules*.

IK. Political Activity

The University cannot endorse, support or promote any political candidate or any partisan political activity. Therefore, University facilities shall not be used for conventions, rallies, or any campaign activities that would further the interests of a political party* or of a candidate or candidates for public office. The facilities of the University may be used for public forums to *Governing Regulations* which all legally qualified candidates for a public office are invited to speak provided that all such candidates are given equal access and opportunity to speak.

University facilities may be used by registered student organizations for meetings with a candidate or candidates for public office when meetings are open in attendance to students, faculty members, and staff employees of the University.

In accordance with the Constitution of the Commonwealth of Kentucky, the decisions of the United States Supreme Court, and the opinions of the Office of the Attorney General to the Commonwealth of Kentucky, University facilities shall not be used to advance or inhibit religion.

**"Political party" is defined as a voluntary association of persons formed and organized for the purpose of nominating or electing candidates for public office. This definition includes, but is not limited to, the meaning of "political party" as defined in KRS [118.015\(1\)119-010](#).

JL. Tobacco Policy

Kentucky Revised Statute 61.165 requires the Board of Trustees to adopt a written policy related to smoking in buildings owned, operated, or under the jurisdiction of the University. The President is delegated authority to promulgate an Administrative Regulation regarding the use of tobacco products.

JM. Solicitation of Funds

Various charitable organizations desire, from time to time, to conduct on-campus solicitations of contributions from faculty and staff. These charitable solicitations are generally carried out: (1) through use of University mail service; (2) through use of University email systems; and, (3) through access to the payroll deduction system. The University does not intend to convert its mail service, its email systems, or its payroll process into either a limited or unlimited public forum, but prefers to maintain its systems as a non-public forum.

The following criteria will be applied by the President in determining which, if any, charitable organizations will be permitted to engage in the on-campus solicitation of faculty and staff:

1. Whether the charity maintains a diversity plan;
2. In cases where access to the payroll deduction is involved, whether the charity can demonstrate that at least 30 percent of the on-campus, University employees have given to the charity in four out of five years or that 30 percent of the on-campus, University employees intend to give to the charity in the current year;
3. In cases of federated or "umbrella" charities, whether the charity provides a health or human service in Fayette County or the University and the extent of such service in the local area;
4. Whether the charity maintains a local office or service center;
5. Whether the charity maintains a reasonable ratio (not more than 15 percent for administration and fund raising) of administrative expenses to program expenses;
6. In the case of federated or "umbrella" charities, whether the charity makes it a practice to submit to an annual review by local citizens of financial and program activity;
7. Whether the charity maintains, from year to year, an active board of local volunteers;
8. In the case of federated or "umbrella" charities, whether the federated charity requires its recipient agencies to maintain operational standards in order to maintain their status as recipients;
9. Require an annual audit and that the charity receives an unqualified audit opinion;
10. Whether the charity is a non-profit organization; and,
11. Whether the charity provides services on an annual basis to employees and students of the University.

LN. Campus Sales

Solicitations for subscriptions, sales of merchandise of any kind whatsoever, publications, or services upon University property other than by the regularly authorized stores, food service places, departments, or divisions of the University are prohibited except upon written permission of the Dean of Students. Any person violating these provisions shall be subject, upon proper notice, to eviction from the University property.

Revision History

6/14/2005, 10/10/2006, 1/23/2007, 9/11/2007, 4/22/08

For archive versions contact: [Office of Legal Counsel](#)

AACR 1

Office of the President
February 21, 2012

Members, Board of Trustees:

CANDIDATES FOR DEGREE

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: The individuals whose names appear on the attached list completed the work leading toward the degrees for which application was made at the close of the 2011 Fall Semester. Due to administrative errors their names were not previously submitted.

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
February 21, 2012

Members, Board of Trustees:

EXTINGUISHMENT OF THE DALE EDWARD ALBERS AND DORIS MCNEAL SEELEY
RESEARCH ENDOWMENT AND TRANSFER TO THE KAY SEELEY HOFFMAN
RESEARCH ENDOWMENT

Recommendation: that the Board of Trustees approve the extinguishment of the Dale Edward Albers and Doris McNeal Seeley Research Endowment in the College of Social Work and the transfer of the market value of the endowment to the Kay Seeley Hoffman Research Endowment in the College of Social Work.

Background: The Dale Edward Albers and Doris McNeal Seeley Research Endowment was established in November, 2000 to support research initiatives in doctoral social work. The donors, Dale Albers and Kay Seeley Hoffman, have requested that this endowment be dissolved and the funds transferred to the Kay Seeley Hoffman Research Endowment. The Kay Seeley Hoffman Research Endowment supports research endeavors that are consistent with the mission and vision of the Center for the Study of Violence Against Children in the College of Social Work. The Board of Trustees approved the establishment of the fund and submission for matching funds from Kentucky's Endowment Match Program on June 9, 2009.

Action taken: Approved Disapproved Other _____

FCR 2

Office of the President
February 21, 2012

Members, Board of Trustees:

AUTHORIZATION TO RENEW THE LEASE WITH THE
EPISCOPAL DIOCESE OF LEXINGTON FOR ST. AGNES HOUSE

Recommendation: that the Vice President for Financial Operations and Treasurer be authorized to negotiate and execute a lease renewal with the Episcopal Diocese of Lexington for the University's property located at 635 Maxwellton Court, Lexington Kentucky.

Background: The University purchased 635 Maxwellton Court in 1946. On November 1, 1977, the University entered into an agreement with the Episcopal Diocese of Lexington for ten (10) years to lease the property at 635 Maxwellton Court to serve as a temporary residential facility for out-patients, and patient's families at Lexington Hospitals. The University has since renewed the lease on a regular basis, charging the Diocese rent of \$1.00 per year. The Diocese has made significant capital improvements to the facility, known as St. Agnes House, and has expanded the facility to serve a greater amount of patients and their families. The lease renewal will be for three years, with a three year renewal option, at an annual rate of \$1.00.

Action taken: Approved Disapproved Other _____

FCR 3

Office of the President
February 21, 2012

Members, Board of Trustees:

AUTHORIZATION OF EXPANSION OF LEASE FOR INFORMATION TECHNOLOGY

Recommendation: that the Vice President for Financial Operations and Treasurer be authorized to negotiate and execute a lease between the University of Kentucky (Information Technology) and Windstream Communications, 130 West New Circle Road, Lexington, Kentucky for space located at 150 North Martin Luther King, Lexington, Kentucky.

Background: At its October 10, 2006 meeting, the Board of Trustees amended Governing Regulation II.A.6(g), requiring that all leases in excess of \$200,000 be approved by the Board of Trustees. The President or his designated representative is authorized to enter into leases and easements not exceeding \$200,000 in value.

Kentucky Revised Statute §48.111 requires legislative authorization of all leases with an annual cost of \$200,000 or more. This lease is authorized in the enacted 2010-12 Executive Budget.

The University currently has a lease with Windstream for 250 square feet of floor space, which includes power circuits and fiber distribution. The lease was competitively bid. However, due to increased demand for UK HealthCare's Information Systems, the need exists for additional floor space. This action will expand the lease to include 2,000 square feet of data center floor space to accommodate an additional 15 kilowatts of power per rack that is necessary to accommodate UK HealthCare's stabilization of Information Systems. The lease will be effective March 1, 2012 to June 30, 2017 at an annual rate of \$300,000 which will be funded from clinical revenues.

Action taken: Approved Disapproved Other _____

FCR 4

Office of the President
February 21, 2012

Members, Board of Trustees:

ACCEPTANCE OF INTERIM FINANCIAL REPORT FOR THE
UNIVERSITY OF KENTUCKY FOR THE SIX MONTHS ENDED
DECEMBER 31, 2011

Recommendation: that the Board of Trustees accept the University of Kentucky consolidated financial report for the six months ended December 31, 2011.

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 December 31, 2011, the University has recognized \$1,207,759,172 of current funds revenue representing 45 percent of the 2011-12 approved budget of \$2,700,609,500. Expenses and transfers total \$1,253,933,675 or 46 percent of the approved budget.

Action taken: Approved Disapproved Other _____



*Consolidated Financial
Statements*

For the six months ended December 31, 2011

**UNIVERSITY OF KENTUCKY
A COMPONENT UNIT OF THE COMMONWEALTH OF KENTUCKY
STATEMENT OF NET ASSETS
DECEMBER 31, 2011 AND 2010**

	<u>2011</u>	<u>2010</u>
ASSETS		
Current Assets		
Cash and cash equivalents	\$ 202,145,515	\$ 319,934,561
Notes, loans and accounts receivable, net	270,120,495	238,936,517
Inventories and other assets	37,147,152	36,505,116
Total current assets	<u>509,413,162</u>	<u>595,376,194</u>
Noncurrent Assets		
Restricted cash and cash equivalents	76,722,776	61,397,046
Endowment investments	897,143,470	921,169,660
Other long-term investments	148,335,059	185,940,095
Notes, loans and accounts receivable, net	43,263,329	50,088,856
Other noncurrent assets	15,871,652	15,692,352
Capital assets, net	1,897,830,023	1,762,028,761
Total noncurrent assets	<u>3,079,166,309</u>	<u>2,996,316,770</u>
Total assets	<u>3,588,579,471</u>	<u>3,591,692,964</u>
LIABILITIES		
Current Liabilities		
Accounts payable and accrued liabilities	140,555,853	134,047,684
Deferred revenue	57,338,362	63,680,144
Long-term liabilities - current portion	49,553,678	61,305,786
Total current liabilities	<u>247,447,893</u>	<u>259,033,614</u>
Noncurrent Liabilities		
Accounts payable and accrued liabilities	398,264	2,687,142
Deferred revenue	-	6,389,688
Long-term liabilities	788,009,203	815,874,338
Total noncurrent liabilities	<u>788,407,467</u>	<u>824,951,168</u>
Total liabilities	<u>1,035,855,360</u>	<u>1,083,984,782</u>
NET ASSETS		
Invested in capital assets, net of related debt	<u>1,261,779,266</u>	<u>1,088,196,702</u>
Restricted		
Nonexpendable		
Scholarships and fellowships	125,266,669	117,676,948
Research	259,667,139	251,335,397
Instruction	75,278,955	72,766,768
Academic support	83,510,799	83,237,507
Other	8,218,504	7,773,430
Total restricted nonexpendable	<u>551,942,066</u>	<u>532,790,050</u>
Expendable		
Scholarships and fellowships	41,204,037	48,896,376
Research	25,591,240	42,493,080
Instruction	33,188,411	55,049,821
Academic support	24,455,036	27,456,510
Loans	9,811,762	9,592,201
Capital projects	48,408,202	58,295,660
Debt service	7,441,167	11,341,658
Auxiliary	10,806,013	12,361,624
Other	17,884,011	9,750,234
Total restricted expendable	<u>218,789,879</u>	<u>275,237,164</u>
Total restricted	<u>770,731,945</u>	<u>808,027,214</u>
Unrestricted	<u>520,212,900</u>	<u>611,484,266</u>
Total net assets	<u>\$ 2,552,724,111</u>	<u>\$ 2,507,708,182</u>

UNIVERSITY OF KENTUCKY
A COMPONENT UNIT OF THE COMMONWEALTH OF KENTUCKY
ALL FUNDS
STATEMENT OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS
FOR THE SIX MONTHS ENDED DECEMBER 31, 2011 AND 2010

	<u>2011</u>	<u>2010</u>
OPERATING REVENUES		
Student tuition and fees	\$ 168,597,931	\$ 155,386,666
Federal grants and contracts	81,403,088	78,922,867
State and local grants and contracts	33,799,693	31,818,525
Nongovernmental grants and contracts	84,241,784	77,784,016
Recoveries of facilities and administrative costs	24,642,289	24,262,128
Sales and services	20,619,881	20,584,394
Federal appropriations	8,695,753	8,157,528
County appropriations	9,940,247	9,070,491
Hospital services	440,287,270	406,836,357
Auxiliary enterprises:		
Housing and dining	28,764,813	26,932,663
Athletics	51,867,396	48,970,903
Other auxiliaries	17,186,869	15,158,173
Other operating revenues	188,531	199,077
Total operating revenues	<u>970,235,545</u>	<u>904,083,788</u>
OPERATING EXPENSES		
Educational and general:		
Instruction	136,990,321	132,957,991
Research	122,441,575	124,645,757
Public service	113,685,023	102,829,879
Libraries	8,486,254	7,506,125
Academic support	42,291,613	39,457,565
Student services	17,441,643	15,998,025
Institutional support	34,544,515	39,990,117
Operations and maintenance of plant	35,669,159	30,614,164
Student financial aid	62,638,638	59,825,571
Depreciation	24,794,291	26,074,428
Total educational and general	<u>598,983,032</u>	<u>579,899,622</u>
Clinical operations	45,465,628	43,254,456
Hospital and clinics (including depreciation of \$21,235,011 in 2011 and \$14,386,281 in 2010)	428,652,557	372,401,131
Auxiliary enterprises:		
Housing and dining (including depreciation of \$1,613,300 in 2011 and \$2,580,559 in 2010)	22,583,344	21,983,552
Athletics (including depreciation of \$232,169 in 2011 and \$247,148 in 2010)	36,056,342	35,694,130
Other auxiliaries	11,454,327	12,648,711
Other operating expenses	652,489	329,952
Total operating expenses	<u>1,143,847,719</u>	<u>1,066,211,554</u>
Net loss from operations	<u>(173,612,174)</u>	<u>(162,127,766)</u>
NONOPERATING REVENUES (EXPENSES)		
State appropriations	163,532,000	159,728,000
State fiscal stabilization fund	-	17,223,683
Gifts and non-exchange grants	42,798,984	45,019,268
Investment income (loss)	(50,521,532)	118,114,716
Interest on capital asset-related debt	(23,712,208)	(25,667,342)
Other nonoperating revenues and expenses, net	3,810,268	2,517,691
Net nonoperating revenues (expenses)	<u>135,907,512</u>	<u>316,936,016</u>
Net income before other revenues, expenses, gains or losses	<u>(37,704,662)</u>	<u>154,808,250</u>
Capital grants and gifts	23,131,802	12,606,067
Additions to permanent endowments	6,222,689	6,118,914
Other, net	(6,658,935)	(3,494,676)
Total other revenues (expenses)	<u>22,695,556</u>	<u>15,230,305</u>
INCREASE (DECREASE) IN NET ASSETS	<u>(15,009,106)</u>	<u>170,038,555</u>
NET ASSETS, July 1	<u>2,567,733,217</u>	<u>2,337,669,627</u>
NET ASSETS, December 31	<u>\$ 2,552,724,111</u>	<u>\$ 2,507,708,182</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 SIX MONTHS ENDED DECEMBER 31, 2011 AND 2010

	2011			2010	
	Budget	Actual	%	Actual	%
OPERATING REVENUES					
Student tuition and fees	\$ 314,350,000	\$ 168,597,931	54%	\$ 155,386,666	54%
Federal grants and contracts	170,712,000	81,361,041	48%	78,922,867	48%
State and local grants and contracts	80,287,500	33,799,693	42%	31,818,525	33%
Nongovernmental grants and contracts	178,471,900	84,241,784	47%	77,784,016	56%
Recoveries of facilities and administrative costs	43,000,000	24,642,289	57%	24,262,128	55%
Sales and services	40,231,700	20,619,881	51%	20,584,394	55%
Federal appropriations	17,722,900	8,695,753	49%	8,157,528	46%
County appropriations	18,380,800	9,940,247	54%	9,070,491	51%
Hospital services	1,010,759,200	440,287,270	44%	406,836,357	44%
Auxiliary enterprises:					
Housing and dining	49,624,300	28,764,813	58%	26,932,663	60%
Athletics	65,690,000	51,867,396	79%	48,970,903	77%
Other auxiliaries	35,561,000	17,186,869	48%	15,158,173	45%
Total operating revenues	<u>2,024,791,300</u>	<u>970,004,967</u>	<u>48%</u>	<u>903,884,711</u>	<u>49%</u>
OPERATING EXPENSES					
Educational and general:					
Instruction	306,328,600	136,990,321	45%	132,957,991	44%
Research	294,855,000	122,394,358	42%	124,599,870	42%
Public service	223,520,400	113,685,023	51%	102,829,906	45%
Libraries	13,974,200	8,486,254	61%	7,506,125	55%
Academic support	102,385,900	42,291,613	41%	39,457,334	39%
Student services	39,250,800	17,390,493	44%	15,848,337	44%
Institutional support	123,617,900	34,514,515	28%	39,975,559	35%
Operations and maintenance of plant	70,318,000	29,675,792	42%	26,641,536	40%
Student financial aid	116,637,500	62,638,638	54%	59,825,571	56%
Total educational and general	<u>1,290,888,300</u>	<u>568,067,007</u>	<u>44%</u>	<u>549,642,229</u>	<u>43%</u>
Clinical operations	108,609,800	45,465,628	42%	43,254,456	45%
Hospital and clinics	938,629,800	401,762,619	43%	356,701,784	41%
Auxiliary enterprises:					
Housing and dining	38,811,800	20,757,206	53%	19,345,226	55%
Athletics	71,339,400	35,789,834	50%	34,927,891	48%
Other auxiliaries	31,276,900	11,435,954	37%	10,713,167	35%
Total operating expenses	<u>2,479,556,000</u>	<u>1,083,278,248</u>	<u>44%</u>	<u>1,014,584,753</u>	<u>43%</u>
Net loss from operations	<u>(454,764,700)</u>	<u>(113,273,281)</u>	<u>25%</u>	<u>(110,700,042)</u>	<u>22%</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 SIX MONTHS ENDED DECEMBER 31, 2011 AND 2010

	2011			2010	
	Budget	Actual	%	Actual	%
Net loss from operations	<u>(454,764,700)</u>	<u>(113,273,281)</u>	25%	<u>(110,700,042)</u>	22%
NONOPERATING REVENUES (EXPENSES)					
State appropriations	303,387,900	163,532,000	54%	159,728,000	55%
State fiscal stabilization fund	-	-	-	17,223,683	100%
Gifts and non-exchange grants	55,881,400	42,515,828	76%	43,490,601	58%
Investment income	37,160,400	7,852,810	21%	12,271,903	39%
Other nonoperating revenues and expenses, net	4,626,800	3,834,742	83%	3,678,960	85%
Net nonoperating revenues (expenses)	<u>401,056,500</u>	<u>217,735,380</u>	54%	<u>236,393,147</u>	56%
Net income before other revenues, expenses, gains or losses	<u>(53,708,200)</u>	<u>104,462,099</u>	-194%	<u>125,693,105</u>	-150%
Capital grants and gifts	8,351,000	20,018,825	240%	11,225,004	209%
Other, net	10,500	(655,201)	-6240%	(1,095,859)	-
Total other revenues (expenses)	<u>8,361,500</u>	<u>19,363,624</u>	232%	<u>10,129,145</u>	188%
NON-GASB ACTIVITY					
Appropriated fund balance	263,506,200	-	-	-	-
Capital purchases and transfers	(145,126,000)	(112,459,357)	77%	(97,920,974)	154%
Debt service transfers	(75,797,500)	(55,356,151)	73%	(53,249,207)	74%
Noncapital transfers	2,764,000	(2,184,718)	-79%	494,142	9%
Total non-GASB current funds activity	<u>45,346,700</u>	<u>(170,000,226)</u>	-375%	<u>(150,676,039)</u>	-192%
DECREASE IN NET ASSETS	-	(46,174,503)		(14,853,789)	
NET ASSETS, July 1		<u>438,481,760</u>		<u>505,823,740</u>	
NET ASSETS, December 31		<u>\$ 392,307,257</u>		<u>\$ 490,969,951</u>	
RECONCILIATION TO ANNUAL BUDGET					
Operating revenues	\$ 2,024,791,300	\$ 970,004,967	48%	\$ 903,884,711	49%
Nonoperating revenues	675,818,200	237,754,205	35%	247,618,151	39%
Total revenues	<u>2,700,609,500</u>	<u>1,207,759,172</u>	45%	<u>1,151,502,862</u>	46%
Operating expenses	2,479,556,000	1,083,278,248	44%	1,014,584,753	43%
Nonoperating expenses and transfers	221,053,500	170,655,427	77%	151,771,898	112%
Total expenses and transfers	<u>2,700,609,500</u>	<u>1,253,933,675</u>	46%	<u>1,166,356,651</u>	47%
INCREASE IN NET ASSETS	<u>\$ -</u>	<u>\$ (46,174,503)</u>		<u>\$ (14,853,789)</u>	

FCR 5

Office of the President
February 21, 2012

Members, Board of Trustees:

APPROVAL OF THE 2010-11 ENDOWMENT MATCH PROGRAM ANNUAL REPORT

Recommendation: that the Board of Trustees accept the 2010-11 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 House Bill 1, the *Kentucky Postsecondary Education Improvement Act*. 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 trust fund. Pursuant to the Council on Postsecondary Education’s Endowment Match Program Request and Reporting Procedures, the Board of Trustees shall review and approve the annual report on UK’s participation in the program. The annual report and additional information about the program is available online at:

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

Action taken: Approved Disapproved Other _____

FCR 6

Office of the President
February 21, 2012

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, 2011.

Background: At its March 4, 1997 meeting, 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 _____

FCR 7

Office of the President
February 21, 2011

Members, Board of Trustees:

CAPITAL CONSTRUCTION REPORT

Recommendation: that the capital construction reports for the three months ending September 30, 2011 and the three months ending December 31, 2011 be accepted. These reports refer only to projects that had activity within the quarter.

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

For the period October 1, 2011 thru December 31, 2011:

There were two new contracts this quarter:

Project 2316.0	Renovate Nursing Building – Phase II Churchill McGee, LLC, \$628,199 (<i>Construction</i>)
Project 2335.0	Ambulatory Electronic Health Record Equipment/System (EHR) CMTA, \$123,465 (<i>Design</i>)

There were four new contracts this quarter:

Project 2286.2	Renovate/Expand the Center for Applied Energy Research Phase II Parco Construction Group, \$996,600 (<i>Construction</i>)
Project 2330.0	Renovate Shively Sports Center D.A.G. Construction Co., \$752,000 (<i>Construction</i>)
Project 2324.0	Renovate Northside Library Omni Architects, \$155,000 (<i>Design</i>)
Project 2332.0	Upgrade, Renovate, Improve or Expand Research Labs (Chemistry/Physics) Omni Architects, \$59,000 (<i>Design</i>)

Four contracts were completed this quarter:

Project 2305.2	Construct Equine Campus – Stallion Research Facility HH General Contractor, Inc., \$601,164
Project 2318.0	Repair Pedestrian Bridge at Cooper Drive Structural Systems Repair Group, LLC, \$787,133

- Project 2329.0 Replace Video Boards at Commonwealth Stadium
Daktronics, Inc., \$5,998,280
- Project 2330.0 Renovate Shively Sports Center
D.A.G. Construction Co., Inc., \$814,690

Three amendments were as follows:

- Project 2239.0 Construct Patient Care Facility
- Provide additional utilities investigation, design services, inspections and extend the construction administration services (+) \$395,464
- Project 2239.71 Construct Patient Care Facility (Data Center)
- Provide additional design services to include above ceiling access platforms and hatches. Provide commissioning services (+) \$71,722
- Project 2314.0 Upgrade, Renovate, Improve or Expand Research Labs (Fit-up 4th and 5th Floor CoP)
- Provide additional design services as required to incorporate additional emergency power feeds to support the implementation of the NMR within the basement of the new building (+) \$17,800

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

- Project 2239.7 Construct Patient Care Facility (Pavilion A, OR Suites & Support)
- Furnish and install 12 automatic door operators (+) \$37,610
 - Provide stainless steel enclosures at 5 washers, 1 backflow valve and electrical disconnect bank (+) \$27,016
- Project 2309.0 Replace Wildcat Lodge Student Housing (Wildcat Coal Lodge)
- Accept addition of add alternate # 1 to provide construction of an exterior patio (+) \$78,417
 - Reduce scope of graphics package (-) \$35,000
- Project 2312.01 Construct CAER Lab Bldg. # 2
- Reduction in scope of work due to value engineering changes after project bids were received (-) \$191,492
 - Provide for revision of the primary power to support the power requirements for the project after found conditions (+) \$52,188
 - Provide oversized curb needed to close the roof opening for the strobic fan installation (+) \$26,410
- Project 2314.0 Upgrade, Renovate, Improve or Expand Research Labs (Fit-up 4th & 5th Floor CoP)
- Provide all site work at the west elevation and previously not installed landscape in the 4th and 5th floor fit-up staging area (+) \$69,999
 - Add HVAC ductwork to stair N (+) \$26,075
 - Provide landscaping in front of KMSF where new steam piping was installed (+) \$29,604
- Project 2315.0 Renovate Track & Field Facility
- Increase the Kentucky American Water Co. allowance needed to relocate a section of waterline along Cooperstown Drive (+) \$35,975
 - Provide for installation of subdrainage piping for the permeable pavers for the drive along the north side of the track (+) \$25,275

- Project 2330.0 Renovate Shively Sports Center
- Provide for correction of the above ceiling electrical code deficiencies that were unknown at the time of bid (+) \$32,342

For the period July 1, 2011 thru September 30, 2011:

There were four new contracts this quarter:

- Project 2286.2 Renovate/Expand the Center for Applied Energy Research Phase II
Parco Construction Group, \$996,600 (*Construction*)
- Project 2330.0 Renovate Shively Sports Center
D.A.G. Construction Co., \$752,000 (*Construction*)
- Project 2324.0 Renovate Northside Library
Omni Architects, \$155,000 (*Design*)
- Project 2332.0 Upgrade, Renovate, Improve or Expand Research Labs (Chemistry/Physics)
Omni Architects, \$59,000 (*Design*)

Two contracts were completed this quarter:

- Project 2234.0 Expand & Upgrade Livestock Disease Diagnostic Lab
Congleton Hacker, \$19,775,609
- Project 2322.1 Reynolds Building # 1 Renovation & Enhancements
Jarboe Construction Co., \$479,375

One amendment was as follows:

- Project 2234.0 Replace Wildcat Lodge Student Housing (Wildcat Coal Lodge)
- Provide additional design services to address building foundation subsurface issues that varied from the initial geotechnical report (+) \$4,735

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

- Project 2239.0 Construct Patient Care Facility
- Provide credit for expenses incurred during the installation of the feeder circuits to the transformers due to lack of preliminary short circuit study (-) \$86,636
 - Provide for additional storm piping requirements for areas in 3rd & 4th floor mechanical rooms due to coordination issues (+) \$120,151
 - Provide modifications needed to allow the construction elevator to operate separately from the service elevators (+) \$28,168
 - Provide credit for standard metal frames in lieu of specified galvanized metal frames on patient bathroom doors (-) \$35,000
 - Provide for additional metal panel ceiling/soffit on the east and west ends near the west connector (+) \$65,927
 - Provide modifications allowing the building chilled water system to operate within the campus chilled water system parameters (+) \$57,849

- Project 2239.7 Construct Patient Care Facility (Pavilion A, OR Suites & Support)
- Provide for revision of underslab plumbing to relocate floor drains and vent lines in the CSS area to accommodate Steris Equipment (+) \$34,736
- Project 2312.01 Construct CAER Lab Bldg. # 2
- Provide equipment change allowing for a fan that will operate more efficiently at a lower usage (+) \$55,965
 - Provide modification to the heat pump and ductwork layout to provide energy enhancement to the initial design (+) \$50,307
 - Provide for addition of redundant pumps to provide greater system reliability in the future (+) \$60,218
 - Provide for addition of battery testing bunker (+) \$85,825
- Project 2314.0 Upgrade, Renovate, Improve or Expand Research Labs (Fit-up 4th & 5th Floor CoP)
- Provide for addition of a video/media wall capable of providing full screen playback (+) \$88,193
 - Provide changes to labs 596 & 576, support rooms 594A, 574B and 574A required to support new research (+) \$141,546
- Project 2315.0 Renovate Track & Field Facility
- Provide sand based sod in lieu of regular soil based sod for better drainage performance (+) \$30,332
 - Provide credit for use of interlocking deck in lieu of welded deck and use of galvanized steel in lieu of painted finish on structure (-) \$45,600
 - Provide and install an eight lane practice track (+) \$117,663
- Project 2317.1 Renovate Old Pharmacy Bldg. for Biology (Multi-Disciplinary Sciences Bldg.)
- Provide an additional 1400 nsf of finished office space for the department of Statistics (+) \$109,805

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

July 1, 2011 – September 30, 2011

Major Projects
Capital Project Management Division
October 31, 2011

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:

The project was very active for the month of with the main focus on getting the building dried in and the site prepared for sidewalks. Grading has started around the building and the battery test bunker is in the process of being built. The bio-swale is complete and is ready for plantings. The exterior wall is nearing completion with the glazing, nano gel and metal panels being installed. Interior construction continues with MEP rough-ins and drywall has started to be installed on the first floor. Concrete block walls are complete and door frames have been installed. Electric panels are set and the electric gear is on site ready to be installed. Ductwork and mechanical piping is continuing in the mechanical rooms and corridors. The dry-lab metal panels have been set along with a majority of the panels for the environmental chambers. In November, the focus will continue on exterior dry-in and getting temporary heat on-line to allow interior finishes to continue. Concrete sidewalks, curbs and loading dock concrete paving will be installed. The parking lot asphalt will be started and plantings are scheduled to in the bio-swale. The drywall will continue to be hung and prime painting will begin in areas to allow lab casework to be set once it arrives. The MEP overhead will continue and MEP wall rough-in will be completed. The concrete stairs will be poured at Stair B and the mechanical curb will be placed. The CMU and brick will be complete at the test bunker and the roof slab will be in the process of being placed on the test bunker. Retaining keystone wall will be placed and grading will continue around the building once sidewalks are in place.

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:

Substantial Completion is anticipated by December 16, 2011.

Construct Patient Care Facility- Data Center

Project Description:

This project will fit-up approximately 2,000 square feet for a new computer machine room on the fourth floor of the new Patient Care Facility for a new hospital data center with redundant air conditioning, electrical and communication support systems.

Project Status:

Construction of the data center is well underway. Piping and metal studs are in place. All major equipment should arrive on site and be set in place during November and December. Start up, connection of equipment and commissioning will take place during January and February of 2012. The project is on schedule for Substantial Completion February 24, 2012. The installation of equipment furnished by the University is scheduled to begin immediately after that date with the data center coming on line late May of 2012.

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:

The project is nearing substantial completion. All areas are nearly complete. Final change order work is being completed. Owner furnished equipment is being installed by manufacturer's installation teams. Final commissioning is to complete 11/18/11. Construction cleaning is occurring in all areas. A phased opening begins with central sterile on 1/7/12.

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. 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:

Four ECMs remain outstanding; Capacitor Banks, Energy Monitoring, Solar Water Heater at Poundstone and Air Handling Units Variable Frequency Drives (AHU VFD). All other ECMs will be Substantially Complete effective November 2011. The four remaining ECMs are anticipated to be Substantially Complete by April 1, 2012.

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:

Several of the trade packages were re-bid after value engineering was conducted to get the project back within budget. All modified packages came in within their estimates, and contracts have been awarded. Messer Construction and their sub-contractors will be on site in mid-December to begin demolition.

Renovate Northside Library

Project Description:

This project consists of renovating approximately 11,000 GSF of space on a single floor. The building will be renovated into an undergraduate class lab facility for Biology and an outreach instructional facility for the Partnership Institute for Mathematics and Science Education Reform (PIMSER). The improvements will include a community activities room that will double as a classroom for both PIMSER and Biology. The renovation will also incorporate necessary upgrades of the building systems, such as communications, plumbing, HVAC, electrical, fire safety and security.

Project Status:

Omni Architects and Staggs and Fisher Consulting Engineers were selected to perform design services for this project. Design meetings have been held with the end users and other University representatives to confirm the user needs are being met. The design is current in the construction document phase.

Final documents are to be delivered on 12/19/11. The project is tentatively scheduled to bid in mid-January 2012. Substantial completion is tentatively scheduled for 7/30/12, with a final completion date of 8/30/12.

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:

The project was bid on October 21, with Churchill- McGee Contractors as the low bidder. A contract will be awarded and demolition will begin. Substantial completion is scheduled for May 5, 2012.

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:

Substantial completion is scheduled for December 4, 2012.

Renovate Schmidt Vocal Arts Center

Project Description:

This project will complete the renovations to include rehearsal rooms, teaching studios, practice rooms, music library, office space for staff and graduate assistants, and enhancements to the building's main entrance.

Project Status:

The design has been completed through the Design Development phase. The University is utilizing these plans for fundraising purposes. Once all funding is in place, the Construction Documents will be completed so the project may go out for bid.

Renovate Shively Sports Center

Project Description:

This project consists of renovating 9,121 square feet of the Shively Sports Center using \$950,000 of private funds from the Athletic Association. The project was approved at the May 3, 2011 Board of Trustees meeting. This renovation will modernize the center's locker, shower, restroom, and lounge facilities for men's and women's track and baseball teams. Also, the project will modernize the existing hallways and lighting systems and enhance the overall functionality of the facility. A request has been made to increase the project scope by 15%, to \$1,092,500 as a result of existing electrical code violations that have to be corrected.

Project Status:

Demolition work, a new slab and new walls in the baseball and track & field toilet & shower rooms have been completed. Furring and drywall have been installed and painting has begun in all locations. Ceiling grid is nearing completion. Hanging of light fixtures has begun. Above ceiling inspections have been performed allowing the contractor to install suspended acoustical ceiling pads. Tile work is in progress in the new toilet/shower rooms; the contractors have begun setting plumbing fixtures. As a result of changes to existing doors to the batting cage room, the doors will not be completed by the date of substantial completion. The contractor is working to have all other work completed, and the doors are to be hung following substantial completion and prior to final completion.

As a result of changes to the doors, a 7 calendar day time extension was approved, moving substantial completion to December 1, 2011 and Final Completion to December 31, 2011.

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 plane, 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:

Installation of the track equipment is complete. Corrections have also been completed on areas deemed "out of tolerance" on the asphalt, keeping in compliance with NCAA requirements. Masonry work on Building "A" is complete, with trusses being set on Building "B". Building "C" grade beams are complete now as well as the M/E/P underslab utilities rough-in. Site work has progressed with the installation of the track perimeter sidewalk, the lower bleacher retaining walls to Building "D" are finished, rough grade cut along Cooperstown Drive and around Cooperstown Building "A" has wrapped up, and Kentucky American Water Company work for the water main relocation is being finished as well. Ongoing work includes installation of ramp walls, site work at the southeast corner of the site, replacement of the perimeter fence. Installation of the track surface will commence in early spring as weather permits.

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 – The Fischer-Tropsch facility has commenced construction. The contractor has mobilized onsite, and has begun installation of site utilities, building pad preparation and building foundations. Shop drawings have been submitted and approved for the metal building assembly. Work coming up in the next month will be continuing the installation of the grade beams and delivery of the metal building components with installation of the metal building following.

Repair Pedestrian Bridge at Cooper Drive

Project Description:

This project provides for emergency repairs to the pedestrian bridge which crosses Cooper Drive. The bridge has numerous corrosion issues, electrical problems, and settling issues. BFMJ Structural Engineers has been contracted to evaluate the current condition of the bridge and design repairs and upgrades which will extend the service life for the foreseeable future. The bridge supports student pedestrian traffic which crosses Cooper Drive midway between S. Limestone and University Drive. It is integral to connecting the campuses of the college of Agriculture.

Project Status:

The project is substantially complete. The bridge was reopened for pedestrian traffic on 10/10/11. UK-PPD Grounds Dept. is in the process of site final restoration. All punch list work will be completed by 11/23/11.

Replace Video Boards at Commonwealth Stadium

Project Description:

This project replaces the video boards at Commonwealth Stadium with new LED technology video panels and sound system.

Project Status:

Facility was Substantial Complete effective September 12, 2011.

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 20,900 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 lounge space, with a dining room and a kitchen. In addition, it will have an apartment for the hall direction and a public restroom in the entry area. The site will be located just east of the Joe Craft Center. The project scope was increased to \$8,050,000, as approved by President Todd, pursuant to UK Administrative Regulation 8:2: III-C-2(a) and by the Capital Projects and Bond Oversight Committee pursuant to KRS 45.760.

Project Status:

Site infrastructure, masonry and stone work are nearing completion. The contractor has begun pouring exterior sidewalks. The roof has been installed, and windows have been set. The interior stairs have been installed. Interior metal studs have been erected and mechanical, electrical and plumbing rough-ins are in progress on all floors. The contractor has begun setting shower pans on the 3rd floor. Drywall has begun on the 3rd floor.

The project was delayed as a result of excessive precipitation days and concealed foundation conditions in April. Substantial completion is currently scheduled for March 3, 2012, with final completion scheduled for April 2, 2012.

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

Project Description:

This project will consist of the final fit-up of the fourth and fifth floors of the Biological Sciences/Pharmaceutical Complex. These floors total approximately 84,000 gross square feet of previously shelled research lab space in the newly completed building. The new space will include wet-bench research labs, lab support spaces and lab offices. The steamline extension project includes installing new steam pipe, concrete vaults and concrete tunnel starting at the east end of BBSRB mechanical tunnel and continuing around KY Clinic and ending at the North side of Huguelet Avenue.

Project Status:

Project achieved substantial completion and is now in warranty.

Upgrade/Renovate/Improve or Expand Research Labs (Chemistry/Physics)

Project Description:

This project will renovate approximately 2,100 square feet of Physics wet bench research space in the Chemistry-Physics Building. The renovation will include new casework and fume hoods, upgrade lighting, HVAC, plumbing, communications, fire safety, security and upgrades to all finishes.

Project Status:

The Design Development Phase Review Meeting was held October 31, and Design Documents were approved. The contractor will be relocating the clean room from 156A to 51A the week of December 19. This will allow the contractor to start demolition immediately following contract award. Substantial completion is scheduled July 16, 2012. The project is currently on schedule and within budget.

Upgrade Student Center Infrastructure

Project Description:

The Upgrade Student Center Infrastructure project will repair, upgrade and improve existing building infrastructure systems that have exceeded their useful life, need to be upgraded to meet current building code requirements, or need to be upgraded to meet current capacities being exceeded with occupant load. Systems include HVAC,

plumbing and sanitary, mechanical, electrical and lighting, fire suppression/sprinkling, and communications infrastructures. As these infrastructure needs are upgraded, aesthetic and cosmetic upgrades will be made as a result of and in support of infrastructure upgrades.

Project Status:

All design work has stopped pending re-evaluation of project Scope and Budget.

Renovate Parking Structure # 3 -- UKHC

Project Description:

This project will consist of the selective repair of the EIFS on the spandrels and column wraps, repair pre-cast and connections, concrete slab repair, recoating of structural steel components, barrier cable repair, replacement of doors and frames, and miscellaneous painting.

Project Status:

The request for design proposals was advertised on the University's website on Friday, October 25, with proposals due on November 11. The selection committee is scheduled to short-list the firms on November 18, and conduct interviews on December 2.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct CAER Lab Bldg. #2

Project Number: 2312.01

Scope: \$20,650,352

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: 034

Low Bid:

High Bid:

Number of Bids:

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

Original Contract Amount:

\$15,405,394

Cumulative Change Order Amount:

\$497,071

Revised Contract Amount:

\$15,902,465

Contract Percent Complete:

50%

Change Order # 3, 1/21/11, was approved for an increase of \$146,400 to shift the underslab plumbing work from Bid Pack # 3 to Bid Pack # 1 facilitating the first floor slab being poured and completed earlier in the construction schedule resulting in cost savings. Change Order # 22, 9/15/11 was approved for an increase of \$55,965 to provide an equipment change allowing for a fan that will operate more efficiently at a lower usage. Change Order # 23, 9/15/11 was approved for an increase of \$50,307 to provide modification of the heat pump and ductwork layout to provide energy enhancement to the initial design. Change Order # 24, 9/15/11 was approved for an increase of \$60,218 to add in redundant pumps to provide greater system reliability in case of failure. Change Order # 26, 9/15/11 was approved for an increase of \$85,825 to add back the battery testing bunker bid package that was removed from Bid Pack # 3.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct Equine Campus - Stallion Research Facility

Project Number: 2305.20

Scope: \$732,366

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.

Consultant: LCM Company

Contract # A111000NN

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:	\$49,000
Cumulative Amendment Amount:	
Revised Contract Amount:	\$49,000

Contractor: HH General Contractor, Inc.

Contract # 4500047130

Total Change Orders to Date: 1

Low Bid: \$576,311

High Bid: \$830,000

Number of Bids: 7

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

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

Original Contract Amount:	\$576,311
Cumulative Change Order Amount:	-\$6,670
Revised Contract Amount:	\$569,641
Contract Percent Complete:	85%

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:	9	Cumulative Amendment Amount:	\$7,391,235
Describe all Amendments:		Revised Contract Amount:	\$37,791,461

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 an 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. **Amendment 9, 1/25/11**, an increase of \$409,072 was approved to provide design and CA services for the PCF Data Center fit-up. **No amendments this quarter.**

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:	1300	Original Contract Amount:	\$319,756,574
Low Bid:		Cumulative Change Order Amount:	\$24,921,860
High Bid:		Revised Contract Amount:	\$344,678,434
Number of Bids:		Contract % complete:	99%

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 \$85,296 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. 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**, 6/8/08, 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. 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" 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 \$28,723 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

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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. **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. **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 a 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** 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, \$39,069** to replace pipe and steam traps. 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. **Change Order # 203, BP # 5, 10/12/10**, was approved for an increase of \$181,355 to provide

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stairwells in order to achieve the original milestone completion dates. The CM's original baseline schedule had drywall work in the stairwells progressing prior to achieving full water tightness of the building. Change Order # 214, BP # 5, 1/10/11, was approved for an increase of \$25,893 to fire wrap the exhaust ducts on the 14th level corridor. Change Order # 221, BP # 5, 2/2/11, was approved for an increase of \$51,570 to install a status annunciator panel for the transfer switches on the fourth floor. Change Order # 227, BP # 5, 3/24/11, was approved for an increase of \$32,087 to install an additional set of CT's on the load side of the stand alone fire pump circuit breakers on the fourth floor. No change orders greater than \$25,000 this quarter.

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 6th Floor. 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, 8/28/09, 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. 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 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 to the Intercom Master Panels throughout the project. Change Order # 134, BP # 6, 12/15/09, was approved for an increase of \$48,070 to upgrade and revise the HVAC, electrical services, and IT 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.

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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. Change Order # 167, BP # 6, 2/4/10, was approved for an increase of \$229,299 to add data and power outlets for 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. 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. 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. 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 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. 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 through 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 # 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.

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

Change Order # 343, BP # 6, 6/25/10, was approved for an increase of \$46,551 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 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. **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 illumination 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 **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. **Change Order #461, BP # 6, 10/18/10,** was approved for an increase of \$30,566 to replace the existing analog security cameras for the into the n Hellpad with digital cameras so that they will tie into the new security monitoring system. **Change Order # 500, BP # 6, 10/1/10,** was approved for an increase of \$54,866 to furnish and install the required infrastructure, finishes and equipment to activate a food kiosk on the first floor. **Change Order # 505 BP # 6, 10/1/10,** was approved for an increase of \$87,055 to provide additional labor and material to furnish and install ductwork, heating water piping and associated controls to heat and cool the dining area adjacent to first floor lobby. **Change Order # 509, BP # 6, 10/12/10,** was approved for an increase of \$87,829 to furnish the labor and materials to reinforce the underside of the existing Children's Hospital bridge. **Change Order # 512 BP # 6, 10/12/10,** was approved for an increase of \$85,357 to fund overtime costs for drywall installation on the 6th and 7th floors to maintain project schedule. **Change Order # 516, BP # 6, 10/18/10,** was approved for an increase of \$57,559 to revise the conduit path to the ICU workstation from via columns to via under-floor poke-thrus in eight locations. **Change Order # 517, BP # 6, 10/18/10,** was approved for an increase of \$57,819 to furnish and install 52 smoke detectors including one on each side of the rated doors with door hold opens in the Emergency Department as required by the Fire Marshall. **Change Order #518, BP # 6, 10/19/10,** was approved for an increase of \$37,616 to install 20 gravity dampers to serve as backdraft dampers for roof top fans. **Change Order # 522 BP # 6, 10/28/10,** was approved for an increase of \$28,015 to provide properly terminated patch cables between room boards and precautionary signs in 128 rooms on the 6th and 7th floors due to selection of signage. **Change Order # 528, BP # 6, 10/26/10,** was approved for an increase of \$51,847 to provide full depth replacement of the pavement scheduled for milling (Rose Street up to Limestone Street intersection) due to existing problems in pavement. **Change Order # 538, BP # 6, 11/1/10,** was approved for an increase of \$87,125 to revise nurse call device locations and modify power and data locations in furniture systems on the sixth and seventh floors to accommodate the nurse call and furniture systems selected. **Change Order # 542, BP # 6, 10/28/10** was approved for an increase of \$32,304 to provide temporary installation of 23 AV strobe devices in the construction areas adjacent to the areas of the ED that are occupied as requested by the State Inspector. **Change Order #544, BP # 6, 11/1/10,** was approved for an increase of \$25,607 to build a frame below fan coil units in the 14th level elevator machine rooms to eliminate the ability for someone to walk under the units as requested by the Elevator Inspector. **Change Order # 546, BP # 6, 10/28/10,** was approved for an increase of \$26,149 to furnish labor and material to shim casework to align curtain wall and precast panels in 128 patient rooms. **Change Order # 551 , BP # 6, 11/2/10,** was approved for an increase of \$48,092 to furnish the labor and materials to install seventeen data outlets for lighting control interface panels. **Change Order # 561, BP # 6, 11/5/10,** was approved for an increase of \$135,267 to provide power, data and detailed rough-in requirements for security devices on the ground through six levels. **Change Order # 566 , BP # 6, 11/12/10,** was approved for an increase of \$45,037 to furnish and install materials necessary to protect lobby stone floor during the construction process. **Change Order # 567 , BP # 6, 11/10/10,** was approved for an increase of \$31,970 to furnish and install six 4 inch conduits on the 6th floor in lieu of the cable tray shown on design due to space constraints. **Change Order # 569 , BP # 6, 11/12/10,** was approved for an increase of \$29,094 to furnish and install additional power and technology cabling/outlets in the ED core area.

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

Change Order # 572 , BP # 6 , 11/12/10 was approved for an increase of \$31,746 to modify the type-C data outlet requirements on 6th and 7th floors for 802.11 wireless access points. **Change Order # 573 , BP # 6 , 11/11/10** was approved for an increase of \$25,590 to add eighteen additional fireman's phone jacks and associated conduit and wiring for elevator control rooms. **Change Order # 574 , BP # 6 , 11/10/10**, was approved for a decrease of \$29,881 to delete unnecessary work previously purchased as a result of revisions made in the Rose Street Plaza. **Change Order # 585 , BP # 6 , 11/24/10**, was approved for an increase of \$77,023 to provide for color revision of the marble that serves as a base for the ten columns in the main lobby. **Change Order # 601 , BP # 6 , 12/14/10**, was approved for an increase of \$47,480 to provide premium time for the electrician to keep the electrical rough-in ahead of drywall installation due to change order work. **Change Order # 604 , BP # 6 , 12/14/10** was approved for a decrease of \$27,229 to delete hot water piping insulation for temporary heat on shelled floors 5, 8, 9, 10, 11 & 12. **Change Order # 617 , BP # 6 , 12/17/10**, was approved for an increase of \$54,781 to provide for modifications to 6th and 7th floor door hardware and electronic security hardware as required by building code inspector. **Change Order # 619 , BP # 6 , 1/24/11**, was approved for an increase of \$83,092 to furnish and install temporary floor protection over all the thin set tile on the first level of the lobby to prevent scratches and damage from equipment and tools. **Change Order # 621 , BP # 6 , 1/3/11**, was approved for an increase of \$63,378 to recirculate the outlets serving the physiological monitors in 128 of the patient rooms on 6th and 7th floors from normal to critical power. **Change Order # 643 , BP # 6 , 1/10/11**, was approved for a decrease of \$32,258 to delete various signs from the signage schedule due to review of final site conditions and traffic patterns. **Change Order # 644 , BP # 6 , 1/10/11**, was approved for an increase of \$41,411 to revise the final signage package per drawings for ground floor areas A and B (Emergency Department). **Change Order # 650 , BP # 6 , 1/13/11**, was approved for an increase of \$50,318 to provide labor and material to construct support offices to the Ground and First Level Information Desks of the main floor lobby. **Change Order # 658 , BP # 6 , 1/26/11**, was approved for an increase of \$88,797 to furnish and install materials necessary to protect lobby stone during the construction process. **Change Order # 664 , BP # 6 , 1/27/11**, was approved for an increase of \$25,469 to revise elevator controls to add Cat 6 UTP cable and jack in specific elevator machine rooms to support TUG electronics. **Change Order # 671 , BP # 6 , 1/31/11**, was approved for an increase of \$25,508 to furnish the labor and install 1" shaft liner overlapping the vertical tube steel columns in elevator shafts for groups 1-5 per the state building inspector's request. **Change Order # 673 , BP # 6 , 2/2/11**, was approved for a decrease of \$107,640 to provide a credit for the quantity of miscellaneous metals and associated labor no longer required to mount the University purchased patient lift rails. **Change Order # 675 , BP # 6 , 2/2/11**, was approved for an increase of \$25,192 to raise three exhaust fans and provide exterior grade inlet duct extension, outside air bypass duct and balance damper for fans. **Change Order # 682 , BP # 6 , 2/17/11**, was approved for an increase of \$30,888 to provide the necessary wall protection in the west connector corridor due to high use. **Change Order # 689 , BP # 6 , 2/21/11**, was approved for an increase of \$44,499 to provide temporary heat for Lobby 1 and 2 finishes. **Change Order # 692 , BP # 6 , 2/24/11**, was approved for an increase of \$230,43 to create an allowance funded from the Construction Manager's contingency to fund overtime for specific work on a case by case basis. **Change Order # 703 , BP # 6 , 3/1/11**, was approved for an increase of \$32,704 to provide the labor and material to install twenty five flow and tamper switches. **Change Order # 705 , BP # 6 , 3/2/11**, was approved for an increase of \$98,771 to perform demolition for the Second Level surgery break room and adjacent areas in the CCC. **Change Order # 709 , BP # 6 , 3/7/11**, was approved for an increase of \$29,956 to provide and install the wood seats in masonry walls as shown on the landscape drawings. **Change Order # 711 , BP # 6 , 3/9/11**, was approved for an increase of \$462,671 to provide the labor and material to upgrade the door hardware and electronic security hardware for 119 openings throughout the PCF that have not been previously addressed. Work includes addition of smoke detectors, additional fire alarm devices, electronic door hardware, access control wiring, card readers, door position switches, door control panels, intercom locations and supporting infrastructure and equipment required to support the additional elements. **Change Order # 722 , BP # 6 , 3/18/11**, was approved for an increase of \$82,324 to provide control wiring and start-up to electrified door hardware for 48 doors. Includes power supplies, magnetic hold opens, latch bolt assemblies and associated wiring and programming. **Change Order # 751 , BP # 6 , 4/28/11** was approved for an increase of \$35,916 to provide rework upgrades of the circuitry to meet the requirements of the lighting in the patient rooms. **Change Order # 760 , BP # 6 , 6/8/11** was approved for an increase of \$25,315 to upgrade the circuitry in dietary rooms A06026 and A07026 to support the food service equipment. **Change Order # 763 , BP # 6 , 5/9/11** was approved for an increase of \$37,731 to add 12 wireless access points at west connectors to existing structures on the 1st and 2nd levels based on operational patterns. **Change Order # 776 , BP # 6 , 6/16/11** was approved for an increase of \$44,563 to provide temporary heating augmentation in Lobbies 1 & 2 from January thru March. **Change Order # 778 , BP # 6 , 6/16/11** was approved for an increase of \$37,263 to provide raceways for smoke detectors at all stairwell exit doors in all floors. **Change Order # 810 , BP # 6 , 7/19/11** was approved for a decrease of \$86,636 to provide a credit for unnecessary expenses that were incurred as a result of the failure to complete a preliminary short circuit coordination study before the installation of the feeder circuits to the 112.5 KVA dry type transformers. **Change Order # 821 , BP # 6 , 8/2/11** was approved for an increase of \$120,151 to fund the cost for additional storm piping requirements for areas in 3rd and 4th floor mechanical rooms. **Change Order # 862 , BP # 6 , 8/12/11** was approved for an increase of \$28,168 to provide for modifications that will allow the construction elevator to operate independently from the service elevators, creating less disruption in hospital operations during future construction. **Change Order # 866 , BP # 6 , 8/24/11** was approved for a decrease of \$35,000 to provide a credit for standard metal frames in lieu of specified galvanized metal frames on the patient bathroom doors on all floors. **Change Order # 876 , BP # 6 , 8/24/11** was approved for an increase of \$55,927 to furnish the labor and material to add 1800 sq ft of the metal panel ceiling/soffit on the east and west ends near the west connector area adjacent to the existing pedway. **Change Order # 886 , BP # 6 , 9/6/11** was approved for an increase of \$57,849 to provide modifications required to allow the building chilled water system to operate within the campus chilled water system parameters.

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: 48

Cumulative Change Order Amount:

\$786,756

Low Bid: \$9,474,000

Revised Contract Amount:

\$10,260,756

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 dearator 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 - Data Center

Project Number: 2239.71

Scope: \$6,799,109

Project Description:

This project will fit-up approximately 2,000 square feet for a new computer machine room on the fourth floor of the new Patient Care Facility for a new hospital data center with redundant air conditioning, electrical and communication support systems.

Consultant: GBBN Architects
See project 2239.0

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

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 # 4500047768

Original Contract Amount: \$5,638,154

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount: \$5,638,154

High Bid:

Contract Percent Complete: 8%

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

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 preoperative / 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

Original Contract Amount: \$937,498

Total Amendments to Date: 1

Cumulative Amendment Amount: \$349,722

Describe all amendments :

Revised Contract Amount: \$1,287,220

Amendment 9, 1/25/11, an increase of \$349,722 was approved to provide redesign of the surgical areas and central sterile supply to include the production of Construction Documents and add 6,990 square feet for the Post Anesthetic Care Unit (PACU). No amendments this quarter.

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 # 4500041362

Original Contract Amount: \$15,253,686

Total Change Orders to Date: 102

Cumulative Change Order Amount: \$485,761

Low Bid:

Revised Contract Amount: \$15,739,447

High Bid:

Contract Percent Complete: 83%

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. Change Order # 9, 4/5/11 was approved for a decrease of \$82,157 to provide credit for a value engineering option of changing the ceiling tile type from a fiberglass tile to a scrubbable mylar tile. Change Order # 23, 4/21/11 was approved for an increase of \$25,167 to install data cables serving security devices. Change Order # 24, 4/27/11 was approved for an increase of \$61,488 to address MEP conflicts with the final Stryker equipment submittal. Change Order # 30, 5/23/11 was approved for a decrease of \$55,829 to provide a credit for owner to purchase equipment direct from Graybar. Change Order # 35, 5/23/11 was approved for an increase of \$69,824 to add med gas wall outlets in various areas. Change Order # 46, 6/10/11 was approved for an increase of \$38,571 to modify the single sink design to a triple sink design at four workstations. Change Order # 61, 7/12/11 was approved for an increase of \$34,736 to revise underslab plumbing to relocate floor drains and vent lines in the CSS area to accommodate Steris equipment.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Expand & Upgrade Livestock Disease Diagnostic Lab

Project Number: 2234.00

Scope: \$27,156,200

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: 4

Describe all amendments :

Original Contract Amount: \$648,000

Cumulative Amendment Amount: \$1,849,300

Revised Contract Amount: \$2,497,300

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. **Amendment 4**, 5/10/11, an increase of \$2,500 was approved to prepare site drawings and technical specifications for the purpose of bidding the final top coat of asphalt construction.

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: 213

Low Bid:

High Bid:

Original Contract Amount: \$18,215,268

Cumulative Change Order Amount: \$1,560,341

Revised Contract Amount: \$19,775,609

Contract Percent Complete: 100%

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Guaranteed Energy Savings Performance Contracts

Project Number: 2288.00

Scope: \$25,000,000

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. This project will help meet the overall University goal, which is to decrease the university's overall energy demands by 10-15 percent within the sixty-one buildings involved.

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.

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

*Ameresco's contract was awarded by RFP process.

Contract # 4500042240

Original Contract Amount:

\$24,675,589

Total Change Orders to Date: 1

Cumulative Change Order Amount:

-\$458,890

Low Bid:

Revised Contract Amount:

\$24,216,699

High Bid:

Contract Percent Complete:

78%

Number of Bids:

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

Change Order # 1, 6/8/11 was approved for a decrease of \$458,890 to create an allowance to be used for abatement.

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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, noncompliant 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: 1

Describe all amendments :

Amendment 1, 12/14/10, an increase of \$28,000 was approved for additional design and construction administration services associated with LEED certification. No amendments this quarter.

Original Contract Amount: \$562,119

Cumulative Amendment Amount: \$28,000

Revised Contract Amount: \$590,119

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: 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: \$382,695

Cumulative Change Order Amount: \$3,104

Revised Contract Amount: \$385,799

Contract Percent Complete: 1%

Renovate Northside Library

Project Number: 2324.00

Scope: \$2,373,000

Project Description:

This project consists of renovating approximately 11,000 GSF of space on a single floor. The building will be renovated into an undergraduate class lab facility for Biology and an outreach instructional facility for the Partnership Institute for Mathematics and Science Education Reform (PIMSER). The improvements will include a community activities room that will double as a classroom for both PIMSER and Biology. The renovation will also incorporate necessary upgrades of the building systems, such as communications, plumbing, HVAC, electrical, fire safety and security.

Consultant: Omni Architects

Contract # A121070

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount: \$155,000

Cumulative Amendment Amount:

Revised Contract Amount: \$155,000

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:

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate Nursing Building Phase II

Project Number: 2316.00

Scope: \$1,342,500

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.

Consultant: GRW, Inc.

Contract # A11090

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:	\$73,000
Cumulative Amendment Amount:	
Revised Contract Amount:	\$73,000

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

Project Number: 2317.10

Scope: \$3,677,500

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.

Consultant: Stengel-Hill Architecture

Contract # A111080

Total Amendments to Date: 1

Describe all amendments :

Amendment 1, 5/10/11, an increase of \$29,600 was approved to provide additional design services as required due to scope increase. No amendments this quarter.

Original Contract Amount:	\$260,000
Cumulative Amendment Amount:	\$29,600
Revised Contract Amount:	\$279,600

Contractor: Jarboe Construction, Inc.

Contract # 4500047132

Total Change Orders to Date: 7

Low Bid: \$1,884,000

High Bid: \$2,242,000

Number of Bids: 11

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

Change Order # 5, 8/24/11 was approved for an increase of \$109,805 to provide an additional 1400 nsf of finished office space on the third floor. The space will be used for the department of Statistics.

Original Contract Amount:	\$1,884,000
Cumulative Change Order Amount:	\$130,250
Revised Contract Amount:	\$2,014,250
Contract Percent Complete:	60%

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate Schmidt Vocal Arts Center

Project Number: 2326.00

Scope: \$1,500,000

Project Description:

This project will complete the renovations to include rehearsal rooms, teaching studios, practice rooms, music library, office space for staff and graduate assistants, and enhancements to the building's main entrance.

Consultant: Sherman Carter Barnhart

Contract # A111120

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:

\$128,540

Cumulative Amendment Amount:

Revised Contract Amount:

\$128,540

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:

Renovate Shively Sports Center

Project Number: 2330.00

Scope: \$950,000

Project Description:

This project consists of renovating 9,121 square feet of the Shively Sports Center using \$950,000 of private funds from the Athletic Association. The project was approved at the May 3, 2011 Board of Trustees meeting. This renovation will modernize the center's locker, shower, restroom, and lounge facilities for men's and women's track and baseball teams. Also, the project will modernize the existing hallways and lighting systems and enhance the overall functionality of the facility. A request has been made to increase the project scope by 15%, to \$1,092,500 as a result of existing electrical code violations that have to be corrected.

Consultant: Moody Nolan

Contract # A111000X

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:

\$27,350

Cumulative Amendment Amount:

Revised Contract Amount:

\$27,350

Contractor: D.A.G. Construction Co.,

Contract # 4500048972

Total Change Orders to Date:

Low Bid: \$752,000

High Bid: \$876,775

Number of Bids: 5

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

Original Contract Amount:

\$752,000

Cumulative Change Order Amount:

Revised Contract Amount:

\$752,000

Contract Percent Complete:

48%

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate Track and Field Facility

Project Number: 2315.00

Project Description:

Scope: \$12,360,839

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.

Consultant: Ross Tarrant Architects

Contract # A111060

Original Contract Amount: \$868,500

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$868,500

No amendments this quarter.

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

Contract # 4500043874

Original Contract Amount: \$9,820,610

Total Change Orders to Date: 17

Cumulative Change Order Amount: \$135,523

Low Bid:

Revised Contract Amount: \$9,956,133

High Bid:

Contract Percent Complete: 29%

Number of Bids:

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

Change Order # 2, 8/24/11 was approved for an increase of \$30,332 to provide sand based sod in lieu of regular soil based sod to provide better drainage performance. Change Order # 10, 8/24/11 was approved for a decrease of \$45,600 to use interlocking deck in lieu of welded deck and to use galvanized steel in lieu of painted finish on structure. Change Order # 12, 8/25/11 was approved for an increase of \$117,663 to provide and install an eight lane practice track.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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

Project Number: 2286.20

Scope: \$1,285,224

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.

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: Parco Construction Group

Contract # 4500048996

Total Change Orders to Date:

Low Bid: \$996,600

High Bid: \$1,368,000

Number of Bids: 8

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

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

Original Contract Amount:	\$996,600
Cumulative Change Order Amount:	
Revised Contract Amount:	\$996,600
Contract Percent Complete:	2%

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Repair, Upgrade and Improve Civil/Site Infr.(Repair Pedestrian Bridge at Cooper Dr)

Project Number: 2318.00

Scope: \$1,055,700

Project Description:

This project provides for emergency repairs to the pedestrian bridge which crosses Cooper Drive. The bridge has numerous corrosion issues, electrical problems, and settling issues. BFMJ Structural Engineers has been contracted to evaluate the current condition of the bridge and design repairs and upgrades which will extend the service life for the foreseeable future. The bridge supports student pedestrian traffic which crosses Cooper Drive midway between S. Limestone and University Drive. It is integral to connecting the campuses of the college of Agriculture.

Consultant: BFMJ

Contract # A111070

Original Contract Amount:

\$76,800

Total Amendments to Date: 1

Cumulative Amendment Amount:

\$9,200

Describe all amendments :

Revised Contract Amount:

\$86,000

Amendment 1, 6/14/11, an increase of \$9,200 was approved to provide special inspection services as well as to extend construction administration and resident inspector services. No amendments this quarter.

Contractor: Structural Systems Repair Group

Contract # 4500046223

Original Contract Amount:

\$714,950

Total Change Orders to Date: 168

Cumulative Change Order Amount:

\$61,950

Low Bid: \$714,950

Revised Contract Amount:

\$776,900

High Bid: \$1,092,000

Contract Percent Complete:

91%

Number of Bids: 5

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

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

Replace Video Boards at Commonwealth Stadium

Project Number: 2329.00

Scope: \$6,250,000

Project Description:

This project replaces the video boards at Commonwealth Stadium with new LED technology video panels and sound system.

Consultant: BFMJ

Contract # A121030G

Original Contract Amount:

\$5,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

\$5,000

No new amendments this quarter.

Contractor: Daktronics

* Contract awarded by RFP

Contract # 4500047821

Original Contract Amount:

\$5,874,900

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

\$5,874,900

High Bid:

Contract Percent Complete:

98%

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

Replace Wildcat Lodge Student Housing (Wildcat Coal Lodge)

Project Number: 2309.00

Scope: \$8,050,000

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.

Consultant: JRA Architects

Contract # A101090

Total Amendments to Date: 2

Describe all amendments :

Original Contract Amount: \$554,253

Cumulative Amendment Amount: \$10,975

Revised Contract Amount: \$565,228

Amendment 1, 5/11/10, an increase of \$6,239.33 was approved to provide phase 2 geotechnical exploration services as a reimbursable expenditure. Amendment 2, 9/13/11, an increase of \$4,735.50 was approved to provide additional design services for the building foundation as a result of subsurface conditions that varied from the geotechnical report were discovered.

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

Total Change Orders to Date: 17

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: \$6,497,970

Cumulative Change Order Amount: \$65,290

Revised Contract Amount: \$6,563,260

Contract Percent Complete: 43%

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Reynolds Bldg #1 Renovations and Enhancements

Project Number: 2322.10

Project Description:

Scope: \$526,000

This project will include fire separations on the 1st and 2nd floors, ensuring proper separation at the three fire stairs, renovating 4 restrooms, repairing wood floors on the 2nd floor, installing a new circulation core at the elevator, and interior painting.

Consultant: Pearson & Peters Architects

Contract # A111000AA

Original Contract Amount:

\$37,600

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

\$37,600

No amendments this quarter.

Contractor: Jarboe Construction Co.

Contract # 4500047729

Original Contract Amount:

\$456,000

Total Change Orders to Date: 3

Cumulative Change Order Amount:

\$23,375

Low Bid: \$456,000

Revised Contract Amount:

\$479,375

High Bid: \$520,498

Contract Percent Complete:

100%

Number of Bids: 4

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

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

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.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Upgrade, Renovate, Improve or Expand Research Labs (Chem-Physics)

Project Number: 2332.00

Project Description:

Scope: \$832,000

This project will renovate approximately 2,100 square feet of Physics wet bench research space in the Chemistry-Physics Building. The renovation will include new casework and fume hoods, upgrade lighting, HVAC, plumbing, communications, fire safety, security and upgrades to all finishes.

Consultant: Omni Architects

Contract # A121080

Original Contract Amount:

\$59,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

\$59,000

No amendments this quarter.

Contractor: No construction contract awarded to date.

Contract #

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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

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

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:	\$898,640
Cumulative Amendment Amount:	
Revised Contract Amount:	\$898,640

Contractor: Messer Construction Co.

Contract # 4500039714

Total Change Orders to Date: 37

Low Bid:

High Bid:

Number of Bids:

Original Contract Amount:	\$19,192,726
Cumulative Change Order Amount:	\$543,687
Revised Contract Amount:	\$19,736,413
Contract Percent Complete:	81%

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. Change Order # 30, 8/18/11 was approved for an increase of \$88,193 to install the video/media wall capable of providing full-screen playback from either the Alcorn McBride video player or the Contemporary Research HDTV cable tuner. Change Order # 33, 9/23/11 was approved for an increase of \$141,546 to provide changes to labs 596 & 576, support rooms 594A, 574B and 574A required to support the particular needs of a new researcher's research.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Upgrade Student Center Infrastructure

Project Number: 2325.00

Scope: \$23,000,000

Project Description:

The Upgrade Student Center Infrastructure project will repair, upgrade and improve existing building infrastructure systems that have exceeded their useful life, need to be upgraded to meet current building code requirements, or need to be upgraded to meet current capacities being exceeded with occupant load. Systems include HVAC, plumbing and sanitary, mechanical, electrical and lighting, fire suppression/sprinkling, and communications infrastructures. As these infrastructure needs are upgraded, aesthetic and cosmetic upgrades will be made as a result of and in support of infrastructure upgrades.

Consultant: Omni Architects

Contract # A111130

Original Contract Amount:

\$2,028,460

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

\$2,028,460

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 # 4500047728

Original Contract Amount:

\$1,034,780

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

\$1,034,780

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.

Major Projects

October 1, 2011 – December 31, 2011

Major Projects
Capital Project Management Division
January 31, 2012

Ambulatory Electronic Health Record Equipment/System (EHR)

Project Description:

This project will upgrade the existing electronic information infrastructure, to provide a common, secure electronic information infrastructure for sharing health information. In addition it will ensure interoperability among health record systems, which, if not implemented, could create up to a 3% reduction in Medicare reimbursements to the Hospital.

Project Status:

The EHR project is being constructed in Three Phases.

- Phase A is the implementation of three pilot clinics - Internal Medicine group on the third floor of the Kentucky clinic; Digestive Health on the second floor of the Medical Plaza and Pediatric Cardiology on the second floor of the Kentucky Clinic.
- Phase B is the modifications of the communications closets throughout the healthcare campus to support the new record system.
- Phase C is the modification of the various clinics to accommodate the end user units required to operate the system.

Phase A was bid the third week of January and will begin construction. The design of Phase B is well underway and will bid in March with construction taking place between April of 2012 and March of 2013. Phase C will be under design until April of 2012 with a series of bid packages being released over a nine month period to support the Clinic Rollout process. The project is currently on schedule and within budget.

Construct CAER Laboratory Bldg. #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 bio-fuels, electrochemical energy storage, and solar energy.

Project Status:

Exterior site improvements continue. The generator and nitrogen tank slabs were placed and generator is on site ready to be set. The storefront glass and metal panels continue to be installed around the building with majority of all composite panels being in place.

Drywall, finishing and painting continue on both floors and hollow metal frames are being prepped to receive glass. The lab casework has started on the first floor. Overhead MEP continues throughout the project with the main focus being the mechanical room on the 2nd floor.

The focus for the upcoming month will be starting the equipment and prepping for finishes to be completed. Mechanical and plumbing will be hooking up the lab equipment while electric will be finishing all branch circuitry and data. The lab casework will continue on both floors and the ceiling grid will be completed. All other MEP rough-in will be completed and final connections will be made. The storefront will be continue and the metal ceilings at the canopy will be near complete.

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:

The project has been impacted due to unforeseen conditions of existing performance coating at the base of the walls and water retention under the existing sealed rubber mats. Both the performance coatings and flooring are being re-evaluated based on conditions within the facility. Substantial Completion is anticipated by mid-March 2012.

Construct Patient Care Facility (Data Center)

Project Description:

This project will fit-up approximately 2,000 square feet for a new computer machine room on the fourth floor of the new Patient Care Facility for a new hospital data center with redundant air conditioning, electrical and communication support systems.

Project Status:

Four new chillers were installed. All required chilled water piping was installed as scheduled and the required electric piping from level 4 to the Chillers is also complete. All three new ATS's are in place and installation is 85% complete. The chilled water piping installation above the unistrut ceiling support structure in the Data Center is complete. The ceiling support structure is complete and the clean room ceiling will be complete mid next week. Under floor chilled water piping is complete and raised data floor has been installed. Two of the three new pumps are in place. The third pump will be installed in its final position when the last remaining existing pump is removed. The VFD's for the new pumps are scheduled to be fully functional early February.

Construct Patient Care Facility (Pavillion A, 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:

The project is substantially complete. Central Sterile Supply is currently in full use. Other areas are in training and scheduled for February 2012 startup.

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. 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:

Three remaining ECM's are ongoing. They include Energy Monitoring, Substation Capacitors, and Solar Hot Water Heaters. The entire project, including all ECMs, is to be Substantially Complete by mid-March 2012.

Renovate 4th Floor Sanders-Brown Center on Aging

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 University has placed all orders for fixed equipment. The construction manager provided a list of all needed utility outages in preparation of demolition activities. The contractors began demolition on January 9th with the following work to be complete within the next 30 days: complete 4th floor demolition, install loading platform, begin CMU walls at 4th floor, begin overhead MEP rough-in on 4th floor. The current substantial completion date is 10/1/12.

Renovate Northside Libraray

Project Description:

This project consists of renovating approximately 11,000 GSF of space on a single floor. The building will be renovated into an undergraduate class lab facility for Biology and an outreach instructional facility for the Partnership Institute for Mathematics and Science Education Reform (PIMSER). The improvements will include a community activities room that will double as a classroom for both PIMSER and Biology. The renovation will also incorporate necessary upgrades of the building systems, such as communications, plumbing, HVAC, electrical, fire safety and security.

Project Status:

This project was bid on January 18, 2012, with 10 responsive bids received. Marillia Design and Construction submitted a low bid which is currently being evaluated. It is anticipated that a contract will be awarded. Substantial completion is tentatively scheduled for late July, with a final completion date of late August 2012.

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:

All demo complete & stud installation is complete. HVAC, overhead electrical, electrical rough-in in walls and plumbing rough-in are approximately 40% complete. The contractors will begin duct and sprinkler rough-in, installation of door frames, obtain framing inspection, complete plumbing relocation and obtain an inspection.

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:

Project is substantially complete.

Renovate Schmidt Vocal Arts Center

Project Description:

This project will complete the renovations to include rehearsal rooms, teaching studios, practice rooms, music library, office space for staff and graduate assistants, and enhancements to the building's main entrance. The project has been funded for the design phase only.

Project Status:

The design is on hold pending fundraising efforts.

Renovate Shively Sports Center

Project Description:

This project consists of renovating 9,121 square feet of the Shively Sports Center using \$950,000 of private funds from the Athletic Association. The project was approved at the May 3, 2011 Board of Trustees meeting. This renovation will modernize the center's locker, shower, restroom, and lounge facilities for men's and women's track

and baseball teams. Also, the project will modernize the existing hallways and lighting systems and enhance the overall functionality of the facility. The project is scheduled to be completed December 2011. The project scope was increased to \$1,092,500 as a result of existing electrical code violations that had to be corrected.

Project Status:

This project has been completed and accepted as substantially complete.

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 plane, 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:

Mechanical/Electrical/Plumbing work continues inside the buildings, as well as the start of interior finishes. Site work is becoming very limited due to the condition of the soil from the amount of rainfall experienced through the project. The concrete work on the retaining wall along Cooperstown Drive is near completion. Portions of the permeable paver system is being installed where the grade allows. The practice area drainage system is workable as long as the access road is clear from ground water and the top of the soil is not too saturated.

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:

The metal building package has been delivered and structural steel erection has begun. The outdoor bio-Diesel Storage Area slab is completed. The diamond plate trench covers have been installed. Plumbing and electrical rough-ins were installed throughout the building slab.

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 20,900 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 lounge space, with a dining room and a kitchen. In addition, it will have an apartment for the hall direction and a public restroom in the entry area. The site will be located just east of the Joe Craft Center. The project scope was increased to \$8,050,000, as approved by President Todd, pursuant to UK Administrative Regulation 8:2:III-C-2(a) and by the Capital Projects and Bond Oversight Committee pursuant to KRS 45.760.

Project Status:

Exterior work on the building is nearing completion along with exterior sidewalks. The roofing and windows have been installed and exterior composite siding is in progress. The interior stairs and metal studs have been installed and drywall work is in progress. Prime coat painting is in progress on the 2nd and 3rd floors. Mechanical, electrical and plumbing rough-in continues on all floors. An above ceiling inspection has been performed ahead of installation of the hard ceilings on the 2nd and 3rd floors. Temporary heating is being used to condition the building to allow weather sensitive work to proceed.

The project was delayed as a result of excessive precipitation days and concealed foundation conditions. Substantial completion is currently scheduled for March 3, 2012, with final completion scheduled for April 2, 2012.

Upgrade Renovate Improve or Expand Research Labs (Chemistry/Physics)

Project Description:

This project will renovate approximately 2,100 square feet of Physics wet bench research space in the Chemistry-Physics Building. The work consists of renovating several contiguous laboratories on the first floor in the Chemistry-Physics Building as follows: Demolition of existing finishes, partitions, and building systems, and construction of new partitions, installation of new finishes, building systems, and laboratory items as required to create new research laboratories and their supporting spaces. Installation of new buildings systems in other areas of the Chemistry-Physics Building to support the new research labs as shown on the Contract Documents. New finishes include resilient floor tile, resinous flooring, resilient base, painted gypsum board, and suspended acoustical ceiling system. New building components include metal laboratory casework, epoxy laboratory counters and sinks, and fume hoods.

Project Status:

Bids were received January 24, 2012. A work order to begin construction has been issued. Substantial completion is currently scheduled mid-July, and the project is within budget.

Upgrade Student Center Infrastructure

Project Description:

The Upgrade Student Center Infrastructure project will repair, upgrade and improve existing building infrastructure systems that have exceeded their useful life, need to be upgraded to meet current building code requirements, or need to be upgraded to meet current capacities being exceeded with occupant load. Systems include HVAC, plumbing and sanitary, mechanical, electrical and lighting, fire suppression/sprinkling, and communications infrastructures. As these infrastructure needs are upgraded, aesthetic and cosmetic upgrades will be made as a result of and in support of infrastructure upgrades.

Project Status:

All design work has stopped pending re-evaluation of project Scope and Budget.

Construct UK/Nicholasville Road Flood Mitigation

Project Description:

This project will provide 100 year storm (and lesser storm) mitigation to prevent roadway overtopping and improve pedestrian safety. The project addresses storm water quantity within this one campus water shed. The area between Alumni Drive and Shawneetown Drive (includes permanent removal of Shawneetown Drive and relocation of existing utilities) will be excavated for additional storm water detention. The existing culvert at the upstream side of Nicholasville Road will be upgraded. Portions of impervious pavements for the football stadium will be removed and replaced with pervious pavements. The \$8,015,463 project will be funded by a federal grant of \$6,011,597 from FEMA with the balance of \$2,003,866 being the In-Kind value of the 3.6 acres of University of Kentucky land determined by adjacent property values. Water quality related issues may also be part of the project scope depending on available funds and compatibility with storm water quantity design.

Project Status:

An RFP has been issued for design services. Design is anticipated to begin in mid-February.

Expand/Renovate Ambulatory Care: Orofacial Pain Clinic

Project Description:

This phase of the Expand/Renovate Ambulatory Care project will renovate approximately 2,850 square feet on the second floor of the Kentucky Clinic Building, Wing C. This phase will include operatories, consulting exam rooms, a waiting room, resident carrel space, lab and supplies space, and radiographic equipment space.

Project Status:

An RFP has been issued for design services.

Renovate Parking Structure # 3 – UKHC

Project Description:

This project will consist of the selective repair of the EIFS on the spandrels and column wraps, repair pre-cast and connections, concrete slab repair, recoating of structural steel components, barrier cable repair, replacement of doors and frames, and miscellaneous painting.

Project Status:

The University selected the team of Brown+Kubican/Omni Architects as the design consultants. A review meeting of the Design Documents is scheduled for 1/27/12. Construction documents are scheduled to be delivered on March 2, with a review meeting on 3/9/12.

Renovate/Upgrade Softball Complex

Project Description:

This project consists of spectator seating and amenities, including replacement of the existing portable seating sections for softball, with new treads and risers from end to end of the dugouts. The project will provide approximately 400-600 new fixed chair back seats as well as a combination of 600-800 bleachers, with and without bench backs, for a total permanent seating capacity of around 1200. New elevated terraces overlooking the field at the back of the new grandstands and new press facilities will be constructed. Also included is construction of a new indoor practice facility for softball that is approximately 100' x 100' in area, playing field improvements, new or upgraded field and site lighting, an entry plaza to the complex and a new ticket facility. This project also provides renovation of the existing facilities, including the Team Building into primarily the locker, lounge and equipment facilities for Softball. The new press box may have the ability to service soccer field as well as softball field, and other amenities as deemed feasible.

Project Status:

An RFP has been issued for design services. Design is anticipated to begin in mid-February.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Ambulatory Electronic Health Record Equipment/System (EHR) Project -

Project Number: 2335.00

Scope: \$6,058,226

Project Description:

This project will upgrade the existing electronic information infrastructure, to provide a common, secure electronic information infrastructure for sharing health information. In addition it will ensure interoperability among health record systems, which, if not implemented, could create up to a 3% reduction in Medicare reimbursements to the Hospital.

Consultant: CMTA

Contract # A121090

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:

\$123,465

Cumulative Amendment Amount:

Revised Contract Amount:

\$123,465

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:

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct CAER Lab Bldg. #2

Project Number: 2312.01

Scope: \$20,984,305

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: 062

Low Bid:

High Bid:

Number of Bids:

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

Original Contract Amount:	\$15,405,394
Cumulative Change Order Amount:	\$467,835
Revised Contract Amount:	\$15,873,229
Contract Percent Complete:	83%

Change Order # 3, 1/21/11, was approved for an increase of \$148,400 to shift the underslab plumbing work from Bid Pack # 3 to Bid Pack # 1 facilitating the first floor slab being poured and completed earlier in the construction schedule resulting in cost savings. Change Order # 22, 9/15/11 was approved for an increase of \$55,965 to provide an equipment change allowing for a fan that will operate more efficiently at a lower usage. Change Order # 23, 9/15/11 was approved for an increase of \$50,307 to provide modification of the heat pump and ductwork layout to provide energy enhancement to the initial design. Change Order # 24, 9/15/11 was approved for an increase of \$60,218 to add in redundant pumps to provide greater system reliability in case of failure. Change Order # 26, 9/15/11 was approved for an increase of \$85,825 to add back the battery testing bunker bid package that was removed from Bid Pack # 3. Change Order # 37, 11/16/11, was approved for a decrease of \$191,492 to provide for value engineering changes after project bids were received. Change Order # 49, 11/1/11, was approved for an increase of \$52,188 to revise the primary power to support the power requirements for the project. This change is necessary due to found conditions and incorrect information in record documents of the utilities currently installed. Change Order # 50, 11/1/11, was approved for an increase of \$26,410 to provide oversized curb needed to close the roof opening for the strobe fan installation.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct Equine Campus - Stallion Research Facility

Project Number: 2305.20

Scope: \$732,366

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.

Consultant: LCM Company

Contract # A11100NN

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:	\$49,000
Cumulative Amendment Amount:	
Revised Contract Amount:	\$49,000

Contractor: HH General Contractor, Inc.

Contract # 4500047130

Total Change Orders to Date: 3

Low Bid: \$576,311

High Bid: \$830,000

Number of Bids: 7

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

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

Original Contract Amount:	\$576,311
Cumulative Change Order Amount:	\$24,853
Revised Contract Amount:	\$601,164
Contract Percent Complete:	100%

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Construct Patient Care Facility

Project Number: 2239.0

Scope: \$531,026,597

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:	\$29,462,728
Total Amendments to Date:	11	Cumulative Amendment Amount:	\$7,460,160
Describe all Amendments:		Revised Contract Amount:	\$36,922,888

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 an 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 walking 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 \$72,161 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 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. **Amendment 9, 1/26/11,** an increase of \$409,072 was approved to provide design and CA services for the PCF Data Center fit-up. **Amendment 10, 5/10/11,** an increase of \$611,368 was approved to extend CA services. **Amendment 11, 11/8/11,** an increase of \$395,464 was approved to provide additional utility investigation, design services, inspections and to extend the construction administration services for the PCF Project. Also includes an increase of \$71,722 for additional design services to include above ceiling access platforms and hatches and commissioning for the OR Suites project.

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:	1314	Original Contract Amount:	\$319,756,574
Low Bid:		Cumulative Change Order Amount:	\$24,929,134
High Bid:		Revised Contract Amount:	\$344,685,708
Number of Bids:		Contract % complete:	99%

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, 9/5/07,** 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. 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 \$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**, 6/7/08, 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 replace water meter vault that is in the CP # 3 tunnel excavation footprint due to location of hidden chilled water lines. **Change Order # 86**, 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. 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**, 8/26/08, 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" due to 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 selector switch 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. **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**, 11/28/08, 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.

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

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. Change Order # 45 BP # 5, 4/30/09, was approved for an increase of \$26,286 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. 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, 8/1/09, 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 a 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 connection. 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 # 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, 6/26/10, 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 \$62,938 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. Change Order # 203, BP # 5, 10/12/10, was approved for an increase of \$161,355 to provide additional supervision required to manage concurrent crews on

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

stairwells in order to achieve the original milestone completion dates. The CM's original baseline schedule had drywall work in the stairwells progressing prior to achieving full water tightness of the building. Change Order # 214, BP # 5, 1/10/11, was approved for an increase of \$25,893 to fire wrap the exhaust ducts on the 14th level corridor. Change Order # 221, BP # 5, 2/2/11, was approved for an increase of \$51,570 to install a status annunciator panel for the transfer switches on the fourth floor. Change Order # 227, BP # 5, 3/24/11, was approved for an increase of \$32,087 to install an additional set of CT's on the load side of the stand alone fire pump circuit breakers on the fourth floor. No change orders greater than \$25,000 this quarter.

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 \$50,820 to delete all Galley Equipment from the 8th Floor. 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, 8/28/09, 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 the 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 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. 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 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 to the Intercom Master Panels throughout the project. Change Order # 134, BP # 6, 12/15/09, was approved for an increase of \$48,070 to upgrade and revise the HVAC, electrical services, and IT 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.

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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. **Change Order # 167, BP # 6, 2/4/10,** was approved for an increase of \$229,299 to add data and power outlets for 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. **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. **Change Order # 181, BP # 6, 2/23/10,** was approved for an increase of \$40,667 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. **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 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 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. **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 through 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 # 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.

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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 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.

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 # 433, BP # 6, 8/26/10,** 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 Illumination 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 & install additional trapeze hangers for life safety & emergency. **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-four 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 outlets throughout the 6th & 7th floors. **Change Order #481, BP # 6, 10/18/10,** was approved for an increase of \$30,566 to replace the existing analog security cameras for the into the Helipad with digital cameras so that they will tie into the new security monitoring system. **Change Order # 500, BP # 6, 10/1/10,** was approved for an increase of \$54,866 to furnish and install the required infrastructure, finishes and equipment to activate a food kiosk on the first floor. **Change Order # 505 BP # 6, 10/11/10,** was approved for an increase of \$87,055 to provide additional labor and material to furnish and install ductwork, heating water piping and associated controls to heat and cool the dining area adjacent to first floor lobby. **Change Order # 509, BP # 6, 10/12/10,** was approved for an increase of \$87,829 to furnish the labor and materials to reinforce the underside of the existing Children's Hospital bridge. **Change Order # 512 BP # 6, 10/12/10,** was approved for an increase of \$85,357 to fund overtime costs for drywall installation on the 6th and 7th floors to maintain project schedule. **Change Order # 516, BP # 6, 10/18/10,** was approved for an increase of \$57,559 to revise the conduit path to the ICU workstation from via columns to via under-floor poke-thrus in eight locations. **Change Order # 51 BP # 6, 10/18/10,** was approved for an increase of \$57,819 to furnish and install 52 smoke detectors including one on each side of the rated doors with door hold opens in the Emergency Department as required by the Fire Marshall. **Change Order #518, BP # 6, 10/19/10,** was approved for an increase of \$37,616 to install 20 gravity dampers to serve as backdraft dampers for roof top fans. **Change Order # 522 BP # 6 10/26/10,** was approved for an increase of \$28,015 to provide properly terminated patch cables between room boards and precautionary signs in 128 rooms on the 6th and 7th floors due to selection of signage. **Change Order # 526, BP # 6, 10/26/10,** was approved for an increase of \$51,847 to provide full depth replacement of the pavement scheduled for milling (Rose Street up to Limestone Street intersection) due to existing problems in pavement. **Change Order # 538, BP # 6, 11/1/10,** was approved for an increase of \$87,125 to revise nurse call device locations and modify power and data locations in furniture systems on the sixth and seventh floors to accommodate the nurse call and furniture systems selected. **Change Order # 542, BP # 6, 10/28/10** was approved for an increase of \$32,304 to provide temporary installation of 23 AV strobe devices in the construction areas adjacent to the areas of the ED that are occupied as requested by the State Inspector. **Change Order #544, BP # 6, 11/1/10,** was approved for an increase of \$25,607 to build a frame below fan coil units in the 14th level elevator machine rooms to eliminate the ability for someone to walk under the units as requested by the Elevator Inspector. **Change Order # 54 BP # 6, 10/28/10,** was approved for an increase of \$26,149 to furnish labor and material to shim casework to align curtain wall and precast panels in 128 patient rooms. **Change Order # 551, BP # 6, 11/2/10,** was approved for an increase of \$48,092 to furnish the labor and materials to install seventeen data outlets for lighting control interface panels. **Change Order # 561, BP # 6, 11/5/10,** was approved for an increase of \$135,267 to provide power, data and detailed rough-in requirements for security devices on the ground through six levels. **Change Order # 566, BP # 6, 11/12/10,** was approved for an increase of \$45,037 to furnish and install materials necessary to protect lobby stone floor during the construction process. **Change Order # 567, BP # 6, 11/10/10,** was approved for an increase of \$31,970 to furnish and install six 4 inch conduits on the 6th floor in lieu of the cable tray shown on design due to space constraints. **Change Order # 569, BP # 6, 11/12/10,** was approved for an increase of \$29,094 to furnish and install additional power and technology cabling/outlets in the ED core area.

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

Change Order # 572, BP # 6, 11/12/10 was approved for an increase of \$31,746 to modify the type-C data outlet requirements on 6th and 7th floors for 802.11 wireless access points. **Change Order # 573**, BP # 6, 11/11/10 was approved for an increase of \$25,590 to add eighteen additional fireman's phone jacks and associated conduit and wiring for elevator control rooms. **Change Order # 574**, BP # 6, 11/10/10, was approved for a decrease of \$29,881 to delete unnecessary work previously purchased as a result of revisions made in the Rose Street Plaza. **Change Order # 585**, BP # 6, 11/24/10, was approved for an increase of \$77,023 to provide for color revision of the marble that serves as a base for the ten columns in the main lobby. **Change Order # 601**, BP # 6, 12/14/10, was approved for an increase of \$47,480 to provide premium time for the electrician to keep the electrical rough-in ahead of drywall installation due to change order work. **Change Order # 604**, BP # 6, 12/14/10 was approved for a decrease of \$27,229 to delete hot water piping insulation for temporary heat on shelled floors 5, 8, 9, 10, 11 & 12. **Change Order # 617**, BP # 6, 12/17/10, was approved for an increase of \$54,781 to provide for modifications to 6th and 7th floor door hardware and electronic security hardware as required by building code inspector. **Change Order # 619**, BP # 6, 1/24/11, was approved for an increase of \$83,092 to furnish and install temporary floor protection over all the thin set tile on the first level of the lobby to prevent scratches and damage from equipment and tools. **Change Order # 621**, BP # 6, 1/31/11, was approved for an increase of \$63,378 to recircuit the outlets serving the physiological monitors in 128 of the patient rooms on 6th and 7th floors from normal to critical power. **Change Order # 643**, BP # 6, 1/10/11, was approved for a decrease of \$32,258 to delete various signs from the signage schedule due to review of final site conditions and traffic patterns. **Change Order # 644**, BP # 6, 1/10/11, was approved for an increase of \$41,411 to revise the final signage package per drawing for ground floor areas A and B (Emergency Department). **Change Order # 650**, BP # 6, 1/13/11, was approved for an increase of \$50,318 to provide labor and material to construct support offices to the Ground and First Level Information Desks of the main floor lobby. **Change Order # 658**, BP # 6, 1/26/11, was approved for an increase of \$88,797 to furnish and install materials necessary to protect lobby stone during the construction process. **Change Order # 664**, BP # 6, 1/27/11, was approved for an increase of \$25,469 to revise elevator controls to add Cat 6 UTP cable and jack in specific elevator machine rooms to support TUG electronics. **Change Order # 671**, BP # 6, 1/31/11, was approved for an increase of \$25,508 to furnish the labor and install 1" shaft liner overlapping the vertical tube steel columns in elevator shafts for groups 1-5 per state building inspector's request. **Change Order # 673**, BP # 6, 2/2/11, was approved for a decrease of \$107,640 to provide a credit for the quantity of miscellaneous metals and associated labor no longer required to mount the University purchased patient lift rails. **Change Order # 6** BP # 6, 2/2/11, was approved for an increase of \$25,192 to raise three exhaust fans and provide exterior grade inlet duct extension, outside air bypass duct and balance damper for fans. **Change Order # 682**, BP # 6, 2/17/11, was approved for an increase of \$30,888 to provide the necessary wall protection in the west connector corridor due to high use. **Change Order # 689**, BP # 6, 2/21/11, was approved for an increase of \$44,499 to provide temporary heat for Lobby 1 and 2 finishes. **Change Order # 692**, BP # 6, 2/24/11, was approved for an increase of \$230, to create an allowance funded from the Construction Manager's contingency to fund overtime for specific work on a case by case basis. **Change Order # 703**, BP # 6, 3/1/11, was approved for an increase of \$32,704 to provide the labor and material to install twenty five flow and tamper switches. **Change Order # 705**, BP # 6, 3/2/11, was approved for an increase of \$98,771 to perform demolition for the Second Level surgery break room and adjacent areas in the CCC. **Change Order # 709**, BP # 6, 3/7/11, was approved for an increase of \$29,956 to provide and install the wood seats in masonry walls as shown on the landscape drawings. **Change Order # 711**, BP # 6, 3/9/11, was approved for an increase of \$462,671 to provide the labor and material to upgrade the door hardware and electronic security hardware for 119 openings through the PCF that have not been previously addressed. Work includes addition of smoke detectors, additional fire alarm devices, electronic door hardware, access control wiring, card readers, door position switches, door control panels, intercom locations and supporting infrastructure and equipment required to support the additional elements. **Change Order # 722**, BP # 6, 3/18/11, was approved for an increase of \$82,324 to provide control wiring and start-up to electrified door hardware for 48 doors. Includes power supplies, magnetic hold opens, latch bolt assemblies and associated wiring and programming. **Change Order # 751** BP # 6, 4/28/11 was approved for an increase of \$35,916 to provide rework upgrades of the circuitry to meet the requirements of the lighting in the patient rooms. **Change Order # 760** BP # 6, 6/8/11 was approved for an increase of \$25,315 to upgrade the circuitry in dietary rooms A06026 and A07026 to support the food service equipment. **Change Order # 763** BP # 6, 5/9/11 was approved for an increase of \$37,731 to add 12 wireless access points at west connectors to existing structures on the 1st and 2nd levels based on operational patterns. **Change Order # 776** BP # 6, 6/16/11 was approved for an increase of \$44,563 to provide temporary heating augmentation in Lobbies 1 & 2 from January thru March. **Change Order # 778** BP # 6, 6/16/11 was approved for an increase of \$37,263 to provide raceways for smoke detectors at all stairwell exit doors in all floors. **Change Order # 810**, BP # 6, 7/19/11 was approved for a decrease of \$86,636 to provide a credit for unnecessary expenses that were incurred as a result of the failure to complete a preliminary short circuit coordination study before the installation of the feeder circuits to the 112.5 KVA dry type transformers. **Change Order # 821**, BP # 6, 8/2/11 was approved for an increase of \$120,151 to fund the cost for additional storm piping requirements for areas in 3rd and 4th floor mechanical rooms. **Change Order # 862**, BP # 6, 8/12/11 was approved for an increase of \$28,168 to provide for modifications that will allow the construction elevator to operate independently from the service elevators, creating less disruption in hospital operations during future construction. **Change Order # 866**, BP # 6, 8/24/11 was approved for a decrease of \$35,000 to provide a credit for standard metal frames in lieu of specified galvanized metal frames on the patient bathroom doors on all floors. **Change Order # 876**, BP # 6, 8/24/11 was approved for an increase of \$65,927 to furnish the labor and material to add 1800 sf of the metal panel ceiling/soffit on the east and west ends near the west connector area adjacent to the existing pedway. **Change Order # 886**, BP # 6, 9/6/11 was approved for an increase of \$57,849 to provide modifications required to allow the building chilled water system to operate within the campus chilled water system parameters. **No change orders greater than \$25,000 this quarter.**

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: 48

Cumulative Change Order Amount:

\$786,756

Low Bid: \$9,474,000

Revised Contract Amount:

\$10,260,756

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 \$37,618 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 dearator 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 - Data Center

Project Number: 2239.71

Scope: \$6,799,109

Project Description:

This project will fit-up approximately 2,000 square feet for a new computer machine room on the fourth floor of the new Patient Care Facility for a new hospital data center with redundant air conditioning, electrical and communication support systems.

Consultant: GBBN Architects
See project 2239.0

Contract #

Total Amendments to Date:

Describe all amendments :

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 # 4500047768

Total Change Orders to Date: 2

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:

Cumulative Amendment Amount:

Revised Contract Amount:

Original Contract Amount: \$5,708,213

Cumulative Change Order Amount: \$8,979

Revised Contract Amount: \$5,717,192

Contract Percent Complete: 55%

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 preoperative / 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

Original Contract Amount: \$937,498

Total Amendments to Date: 1

Cumulative Amendment Amount: \$349,722

Describe all amendments :

Revised Contract Amount: \$1,287,220

Amendment 9, 1/25/11, an increase of \$349,722 was approved to provide redesign of the surgical areas and central sterile supply to include the production of Construction Documents and add 6,990 square feet for the Post Anesthetic Care Unit (PACU). No amendments this quarter.

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 # 4500041362

Original Contract Amount: \$15,253,686

Total Change Orders to Date: 153

Cumulative Change Order Amount: \$677,166

Low Bid:

Revised Contract Amount: \$15,930,852

High Bid:

Contract Percent Complete: 99%

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. Change Order # 9, 4/5/11 was approved for a decrease of \$82,157 to provide credit for a value engineering option of changing the ceiling tile type from a fiberglass tile to a scrubbable mylar tile. Change Order # 23, 4/21/11 was approved for an increase of \$25,167 to install data cables serving security devices. Change Order # 24, 4/27/11 was approved for an increase of \$61,488 to address MEP conflicts with the final Stryker equipment submittal. Change Order # 30, 5/23/11 was approved for a decrease of \$55,829 to provide a credit for owner to purchase equipment direct from Graybar. Change Order # 35, 5/23/11 was approved for an increase of \$69,824 to add med gas wall outlets in various areas. Change Order # 46, 6/10/11 was approved for an increase of \$38,571 to modify the single sink design to a triple sink design at four workstations. Change Order # 61, 7/12/11 was approved for an increase of \$34,736 to revise underslab plumbing to relocate floor drains and vent lines in the CSS area to accommodate Steris equipment. Change Order # 110, 10/5/11, was approved for an increase of \$37,610 to furnish and install 12 automatic door operators. Change Order # 122, 11/1/11, was approved for an increase of \$27,016 to provide stainless steel enclosures at 5 washers, 1 backflow valve and a bank of electrical disconnects to conceal exposed conduit and plumbing piping in the CSS and Decontam areas.

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. This project will help meet the overall University goal, which is to decrease the university's overall energy demands by 10-15 percent within the sixty-one buildings involved.

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

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

*Ameresco's contract was awarded by RFP process.

Contract # 4500042240

Original Contract Amount:

\$24,675,589

Total Change Orders to Date: 1

Cumulative Change Order Amount:

-\$458,890

Low Bid:

Revised Contract Amount:

\$24,216,699

High Bid:

Contract Percent Complete:

94%

Number of Bids:

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

Change Order # 1, 6/8/11 was approved for a decrease of \$458,890 to create an allowance to be used for abatement.

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate 4th Floor Sanders-Brown Center on Aging

Project Number: 2313.01

Project Description:

Scope: \$6,428,471

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, noncompliant 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

Original Contract Amount: \$562,119

Total Amendments to Date: 1

Cumulative Amendment Amount: \$28,000

Describe all amendments :

Revised Contract Amount: \$590,119

Amendment 1, 12/14/10, an increase of \$28,000 was approved for additional design and construction administration services associated with LEED certification. No amendments this quarter.

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

Original Contract Amount: \$382,695

Total Change Orders to Date: 1

Cumulative Change Order Amount: \$3,104

Low Bid:

Revised Contract Amount: \$385,799

High Bid:

Contract Percent Complete: 3%

Number of Bids:

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

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

Renovate Northside Library

Project Number: 2324.00

Project Description:

Scope: \$2,373,000

This project consists of renovating approximately 11,000 GSF of space on a single floor. The building will be renovated into an undergraduate class lab facility for Biology and an outreach instructional facility for the Partnership Institute for Mathematics and Science Education Reform (PIMSER). The improvements will include a community activities room that will double as a classroom for both PIMSER and Biology. The renovation will also incorporate necessary upgrades of the building systems, such as communications, plumbing, HVAC, electrical, fire safety and security.

Consultant: Omni Architects

Contract # A121070

Original Contract Amount: \$166,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$166,000

No amendments this quarter.

Contractor: No Construction Contract awarded to date.

Contract #

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate Nursing Building Phase II

Project Number: 2316.00

Scope: \$1,342,500

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.

Consultant: GRW, Inc.

Contract # A11090

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount:

\$73,000

Cumulative Amendment Amount:

Revised Contract Amount:

\$73,000

Contractor: Churchill McGee, LLC.

Contract # 7500000658

Total Change Orders to Date:

Low Bid: \$628,199

High Bid: \$706,265

Number of Bids: 12

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

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

Original Contract Amount:

\$628,199

Cumulative Change Order Amount:

Revised Contract Amount:

\$628,199

Contract Percent Complete:

7%

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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

Project Number: 2317.10

Scope: \$3,677,500

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.

Consultant: Stengel-Hill Architecture

Contract # A111080

Total Amendments to Date: 1

Describe all amendments :

Amendment 1, 5/10/11, an increase of \$29,600 was approved to provide additional design services as required due to scope increase. **No amendments this quarter.**

Original Contract Amount:	\$250,000
Cumulative Amendment Amount:	\$29,600
Revised Contract Amount:	\$279,600

Contractor: Jarboe Construction, Inc.

Contract # 4500047132

Total Change Orders to Date: 16

Low Bid: \$1,884,000

High Bid: \$2,242,000

Number of Bids: 11

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

Change Order # 5, 8/24/11 was approved for an increase of \$109,805 to provide an additional 1400 nsf of finished office space on the third floor. The space will be used for the department of Statistics. **No change orders greater than \$25,000 this quarter.**

Original Contract Amount:	\$1,884,000
Cumulative Change Order Amount:	\$155,003
Revised Contract Amount:	\$2,039,003
Contract Percent Complete:	99%

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate Schmidt Vocal Arts Center

Project Number: 2326.00

Project Description:

Scope: \$1,500,000

This project will complete the renovations to include rehearsal rooms, teaching studios, practice rooms, music library, office space for staff and graduate assistants, and enhancements to the building's main entrance.

Consultant: Sherman Carter Barnhart

Contract # A111120

Original Contract Amount: \$128,540

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

\$128,540

No amendments this quarter.

Contractor: No construction contract awarded to date.

Contract #

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

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

Renovate Shively Sports Center

Project Number: 2330.00

Project Description:

Scope: \$1,092,500

This project consists of renovating 9,121 square feet of the Shively Sports Center using \$960,000 of private funds from the Athletic Association. The project was approved at the May 3, 2011 Board of Trustees meeting. This renovation will modernize the center's locker, shower, restroom, and lounge facilities for men's and women's track and baseball teams. Also, the project will modernize the existing hallways and lighting systems and enhance the overall functionality of the facility. A request has been made to increase the project scope by 15%, to \$1,092,500 as a result of existing electrical code violations that have to be corrected.

Consultant: Moody Nolan

Contract # A111000X

Original Contract Amount: \$27,350

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

\$27,350

No amendments this quarter.

Contractor: D.A.G. Construction Co..

Contract # 4500048972

Original Contract Amount: \$752,000

Total Change Orders to Date: 18

Cumulative Change Order Amount: \$62,690

Low Bid: \$762,000

Revised Contract Amount: \$814,690

High Bid: \$876,775

Contract Percent Complete: 100%

Number of Bids: 5

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

Change Order # 17, 1/9/12, was approved for an increase of \$32,342 to correct the above ceiling electrical code deficiencies in all areas that were unknown at the time of bidding.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Renovate Track and Field Facility

Project Number: 2315.00

Scope: \$12,360,839

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.

Consultant: Ross Tarrant Architects

Contract # A111060

Total Amendments to Date:

Describe all amendments :

No amendments this quarter.

Original Contract Amount: \$868,500

Cumulative Amendment Amount:

Revised Contract Amount: \$868,500

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

Contract # 4500043874

Total Change Orders to Date: 30

Low Bid:

High Bid:

Number of Bids:

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

Original Contract Amount: \$9,820,610

Cumulative Change Order Amount: \$239,823

Revised Contract Amount: \$10,060,433

Contract Percent Complete: 60%

Change Order # 2, 8/24/11 was approved for an increase of \$30,332 to provide sand based sod in lieu of regular soil based sod to provide better drainage performance. Change Order # 10, 8/24/11 was approved for a decrease of \$45,600 to use interlocking deck in lieu of welded deck and to use galvanized steel in lieu of painted finish on structure. Change Order # 12, 8/25/11 was approved for an increase of \$117,663 to provide and install an eight lane practice track. Change Order # 20, 10/13/11, was approved for an increase of \$35,975 to increase the Kentucky American Water Co. allowance needed to relocate a section of waterline along Cooperstown Drive. Change Order # 21, 11/3/11, was approved for an increase of \$25,275 to install subdrainage piping for the permeable pavers for the drive along the north side of the track.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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

Project Number: 2286.20

Project Description:

Scope: \$1,285,224

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.

Consultant: Denham Blythe

Contract # A101070

Original Contract Amount:

\$40,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

\$40,000

No amendments this quarter.

Contractor: Parco Construction Group

Contract # 4500048996

Original Contract Amount:

\$996,600

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid: \$996,600

Revised Contract Amount:

\$996,600

High Bid: \$1,358,000

Contract Percent Complete:

16%

Number of Bids: 8

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Repair, Upgrade and Improve Civil/Site Infr.(Repair Pedestrian Bridge at Cooper Dr)

Project Number: 2318.00

Project Description:

Scope: \$1,055,700

This project provides for emergency repairs to the pedestrian bridge which crosses Cooper Drive. The bridge has numerous corrosion issues, electrical problems, and settling issues. BFMJ Structural Engineers has been contracted to evaluate the current condition of the bridge and design repairs and upgrades which will extend the service life for the foreseeable future. The bridge supports student pedestrian traffic which crosses Cooper Drive midway between S. Limestone and University Drive. It is integral to connecting the campuses of the college of Agriculture.

Consultant: BFMJ

Contract # A111070

Original Contract Amount: \$76,800

Total Amendments to Date: 1

Cumulative Amendment Amount: \$9,200

Describe all amendments :

Revised Contract Amount: \$86,000

Amendment 1, 6/14/11, an increase of \$9,200 was approved to provide special inspection services as well as to extend construction administration and resident inspector services. No amendments this quarter.

Contractor: Structural Systems Repair Group

Contract # 4500046223

Original Contract Amount: \$714,950

Total Change Orders to Date: 20

Cumulative Change Order Amount: \$72,183

Low Bid: \$714,950

Revised Contract Amount: \$787,133

High Bid: \$1,092,000

Contract Percent Complete: 100%

Number of Bids: 5

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

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

Replace Video Boards at Commonwealth Stadium

Project Number: 2329.00

Project Description:

Scope: \$6,250,000

This project replaces the video boards at Commonwealth Stadium with new LED technology video panels and sound system.

Consultant: BFMJ

Contract # A121030G

Original Contract Amount: \$5,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount: \$5,000

No new amendments this quarter.

Contractor: Daktronics

* Contract awarded by RFP

Contract # 4500047821

Original Contract Amount: \$5,998,280

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount: \$5,998,280

High Bid:

Contract Percent Complete: 100%

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

Replace Wildcat Lodge Student Housing (Wildcat Coal Lodge)

Project Number: 2309.00

Project Description:

Scope: \$8,050,000

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: 2

Cumulative Amendment Amount: \$10,975

Describe all amendments :

Revised Contract Amount: \$565,228

Amendment 1, 5/11/10, an increase of \$6,239.33 was approved to provide phase 2 geotechnical exploration services as a reimbursable expenditure. **Amendment 2**, 9/13/11, an increase of \$4,735.50 was approved to provide additional design services for the building foundation as a result of subsurface conditions that varied from the geotechnical report were discovered. **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: \$6,497,970

Total Change Orders to Date: 27

Cumulative Change Order Amount: \$120,778

Low Bid:

Revised Contract Amount: \$6,618,747

High Bid:

Contract Percent Complete: 71%

Number of Bids:

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

Change Order # 26, 11/28/11, was approved for an increase of \$78,417 to accept add alternate # 1 to provide construction of an exterior patio. **Change Order # 27**, 12/22/11, was approved for a decrease of \$35,000 due to a reduction of scope in the graphics package.

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 (Chem-Physics)

Project Number: 2332.00

Project Description:

Scope: \$832,000

This project will renovate approximately 2,100 square feet of Physics wet bench research space in the Chemistry-Physics Building. The work consists of renovating several contiguous laboratories on the first floor in the Chemistry-Physics Building as follows: Demolition of existing finishes, partitions, and building systems, and Construction of new partitions, installation of new finishes, building systems, and laboratory items as required to create new research laboratories and their supporting spaces. Installation of new buildings systems in other areas of the Chemistry-Physics Building to support the new research labs as shown on the Contract Documents. New finishes include resilient floor tile, resinous flooring, resilient base, painted gypsum board, and suspended acoustical ceiling system. New building components include metal laboratory casework, epoxy laboratory counters and sinks, and fume hoods.

Consultant: Omni Architects

Contract # A121080

Original Contract Amount: \$59,000

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

\$59,000

No amendments this quarter.

Contractor: No construction contract awarded to date.

Contract #

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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

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: 1

Cumulative Amendment Amount: \$17,800

Describe all amendments :

Revised Contract Amount: \$916,440

Amendment 1, 12/16/11, an increase of \$17,800 was approved for additional design services as required to incorporate additional emergency power feeds to support the implementation of the NMR within the basement of the new building.

Contractor: Messer Construction Co.

Contract # 4500039714

Original Contract Amount: \$19,192,726

Total Change Orders to Date: 58

Cumulative Change Order Amount: \$714,669

Low Bid:

Revised Contract Amount: \$19,907,395

High Bid:

Contract Percent Complete: 99%

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. Change Order # 30, 8/18/11 was approved for an increase of \$88,193 to install the video/media wall capable of providing full-screen playback from either the Alcorn McBride video player or the Contemporary Research HDTV cable tuner. Change Order # 33, 9/23/11 was approved for an increase of \$141,546 to provide changes to labs 596 & 576, support rooms 594A, 574B and 574A required to support the particular needs of a new researcher's research. Change Order # 38, 10/5/11, was approved for an increase of \$69,999 to provide all site work at the west elevation and previously not installed landscape due to 4th and 5th floor staging area. Change Order # 42, 10/6/11, was approved for an increase of \$26,075 to add HVAC ductwork to stair N. Change Order #44, 11/3/11, was approved for an increase of \$29,604 to provide plantings and landscaping in front of KMSF where new steam piping is installed.

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

Upgrade Student Center Infrastructure

Project Number: 2325.00

Project Description:

Scope: \$23,000,000

The Upgrade Student Center Infrastructure project will repair, upgrade and improve existing building infrastructure systems that have exceeded their useful life, need to be upgraded to meet current building code requirements, or need to be upgraded to meet current capacities being exceeded with occupant load. Systems include HVAC, plumbing and sanitary, mechanical, electrical and lighting, fire suppression/sprinkling, and communications infrastructures. As these infrastructure needs are upgraded, aesthetic and cosmetic upgrades will be made as a result of and in support of infrastructure upgrades.

Consultant: Omni Architects

Contract # A111130

Original Contract Amount:

\$2,028,460

Total Amendments to Date:

Cumulative Amendment Amount:

Describe all amendments :

Revised Contract Amount:

\$2,028,460

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 # 4500047728

Original Contract Amount:

\$1,034,780

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

\$1,034,780

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.

FCR 8

Office of the President
February 21, 2012

Members, Board of Trustees:

AUTHORIZATION OF GROUND LEASE FOR STUDENT HOUSING

Recommendation: that the Board of Trustees authorize the President, or his designee, to enter into a long-term ground lease with an affiliate of Education Realty Trust, Inc. (“EdR”) guaranteed by Education Realty Operations Partnership, LLC for purposes of development and potential management of a student housing project.

Background: At the Board of Trustees retreat on October 1 and 2, 2011, the Board identified the need to expand and improve student housing facilities as a primary strategic priority. On October 26, 2011, the University issued a Request for Proposal seeking developers with the capacity and interest in partnering with the University to complete a long-term housing plan. On December 13, 2011, the University announced that it would negotiate with EdR, a third-party developer, to improve, expand, and potentially manage student housing beginning with construction of two new buildings on Haggin Field.

According to Moody’s Investment Service, universities have been utilizing public-private partnerships (P3) for student housing for nearly two decades. Such a strategy is appropriate for UK given the advanced age of the student housing stock and the University’s desire to modernize and expand it quickly while reserving debt capacity for other capital projects. The University will maintain control over the Resident Life programs.

EdR is a publicly traded real estate investment trust headquartered in Memphis, Tennessee, with more than 50 years of student housing experience. Since 2000, EdR has completed more than \$2.3 billion in collegiate housing transactions, including investing \$1.3 billion in private equity. EdR currently owns or manages 57 student housing properties with approximately 34,000 beds in 23 states, including four facilities at the University of Louisville. EdR has proposed to provide a 100 percent equity investment in UK’s student housing.

This project is the development of two buildings with a total of 601 undergraduate beds at Haggin Field. The P3 arrangement will include a ground lease of Haggin Field to EdR for an initial term of 50 years with two renewal options of 10 years and 15 years, respectively. The ground lease will include maintenance standards for the facilities and parameters for the room rental rates for the duration of the lease. In addition to receiving funds for the Resident Life programs in the facilities, the University will receive a percentage of gross revenues and, after EdR achieves a minimum internal rate of return, a share of net income.

The University's housing stock currently includes 5,154 undergraduate beds and 816 efficiency, one- and two-bedroom apartments for graduate students and family housing. The average age of the residence halls and apartments is 44 years and 48 years, respectively.

A summary of the terms of the draft ground lease is attached. The draft agreement can be viewed at http://www.uky.edu/Housing/facilities_documents.html. The draft agreement may be modified prior to execution, if necessary. Any substantive modifications will be reported to the Board. If the Board authorizes the President to enter into this long-term ground lease, an affiliation agreement between the University and EdR outlining how the housing facility would be operated and maintained will also be executed.

This project represents the first step in the transformation of student housing. The total development is anticipated to include up to 9,000 replacement and expansion beds and be completed within seven years.

Action taken: Approved Disapproved Other _____

University of Kentucky and Education Realty Trust, Inc.
Draft Ground Lease
Summary of Terms

- Project:
 - Lease of Haggin Field to EDR Lexington LLC 1 (EdR), guaranteed by Education Realty Trust Operating Partnership, LP, for development, leasehold ownership, and management of an undergraduate student housing facility
 - Estimated development cost: \$25.8 million (100% equity funded by EdR)
 - University shall approve any material changes to plans and specifications
 - Occupancy: August 2013
 - Facilities:
 - 2 buildings
 - 601 double occupancy rooms
 - Offices for University's Honors Program and Resident Life staff
 - Three 'smart' classrooms
 - EdR will seek LEED-Silver certification

- Term:
 - Original Term: 50 years
 - First Renewal Term: 10 years
 - Second Renewal Term: 15 years
 - Both parties must agree to extension(s) of the original term
 - University shall have option to terminate lease upon the 20th, 30th, and 40th anniversary dates upon payment of an early termination fee
 - Expiration of Term:
 - At expiration of original term or first renewal term, University shall purchase facilities at their appraised value or
 - At expiration of second renewal term, University shall purchase facilities at the greater of:
 - Depreciated value or
 - \$10.00

- Residential rental rates:
 - 2013-14 Not to exceed \$3,490 per bed per semester
 - 2014-15 to 2016-17 Annual rate increase limited to the greater of:
 - (3-years) a) 3% or
 - b) percentage rate increase of university-owned housing
 - Effective 2017-18 Annual rate increase limited to the greater of:
 - a) 4% or
 - b) 2-yr rolling average increase in consumer price index or
 - c) percentage rate increase of university-owned housing

- EdR Financial requirements:
 - EdR shall not mortgage, pledge, or encumber the facilities or property
 - Allocate \$260 per bed per year for Replacement Reserve; allocation to increase over time by an amount sufficient to ensure the facilities are maintained in a first class manner
 - Provide the University \$639 per bed per year for Resident Life; rate may increase annually by the greater of:
 - 3% or
 - University's salary increase pool
 However, annual rate increase may not exceed the percentage increase in rental rates

- Financial return:
 - Education Realty Trust
 - 4% management fee based on gross revenues; reduced to 2% upon execution of contract to construct 2,500 beds (including 601 beds for this project) or manage university-owned housing
 - Minimum 9% internal rate of return (IRR)
 - University of Kentucky
 - 10% of gross revenues; increased by 2 points to 12% upon execution of contract for EdR to construct at least 2,500 beds (including 601 beds for this project) or manage university-owned housing
 - 25% of net income in each year in which EdR achieves 9% IRR

- Rights, Risk and Other Requirements:
 - EdR assumes construction and operating risks
 - EdR must comply with University's existing vendor contracts
 - University may audit EdR's financial records
 - EdR shall pay prevailing hourly rates for the construction
 - Dispute resolution shall proceed as follows:
 - Good faith negotiation
 - Private mediation
 - Legal action
 - University retains all naming rights

- Responsibilities:
 - EdR responsible for maintenance, operation, and taxes related to the facilities, except lawn care and snow removal
 - EdR responsible for insuring premises at replacement value
 - University responsible for Residence Life Programming including the hiring of residence advisors and resident hall director

- Tenant Default:
 - If Tenant defaults, the University has a number of remedies, including: pursuing legal action for damages, specific performance, terminate lease (upon payment to EdR of the appraised value of the facilities, less damages), require EdR to market and sell the lease to a third party
 - Tenant defaults include: failure to pay rent; failure to observe and perform terms; bankruptcy; abandonment; failure to discharge liens; assignment of lease in violation of terms

- Change of Control and University's Right of First Refusal:
 - Established requirements for Qualified Assignee and terms of a Permitted Assignment
 - University has right of first refusal at a price:
 - During the original term, price contained in Bona Fide offer
 - During the renewal term, the price shall be the lesser of:
 - Bona Fide offer or
 - Appraised value
 - During the second term, the price shall be the greater of:
 - Depreciated value or
 - \$10.00
 - Under certain circumstances, EdR's public company parent may undergo a change of control without triggering University's right of first refusal