

Minutes of the Meeting of the Board of Trustees of the University of
Kentucky, Tuesday, March 21, 1972

The Board of Trustees of the University of Kentucky met in regular session at 2:00 p. m. (Eastern Standard Time) on Tuesday, March 21, 1972 in Room E on the 18th floor of the Patterson Office Tower on the campus of the University with the following members present: Mr. Jesse M. Alverson, Mr. Thomas P. Bell, Mrs. Rexford S. Blazer, Mr. Wendell P. Butler, Mr. Albert G. Clay, Mr. Richard E. Cooper, Dr. Lyman V. Ginger, Mr. George W. Griffin, Mr. Eugene Goss, Mr. James H. Pence; non-voting faculty member, Professor Paul Sears; and non-voting student member, Mr. Scott Wendelsdorf. Absent from the meeting were: Governor Wendell H. Ford, former Governor Albert B. Chandler, Mrs. Robert O. Clark, Dr. N. N. Nicholas, Mr. Floyd H. Wright and non-voting faculty member, Professor Paul Oberst. Members of the administration present were: President Otis A. Singletary; Vice Presidents Alvin L. Morris, Lewis W. Cochran, A. D. Albright, Glenwood L. Creech, Robert G. Zumwinkle, and Stanley Wall; Dr. Donald B. Clapp, Director of the Budget; and Mr. John C. Darsie, Legal Counsel. Representatives of the various news media were also in attendance.

A. Meeting Opened

Mr. Clay as Vice Chairman called the meeting to order at 1:40 p. m. Following the invocation pronounced by Mr. Clay, the Secretary reported a quorum present, and the meeting was declared officially open for the conduct of business at 1:43 p. m. Because of the necessity for Mr. Clay to leave the meeting early, it was agreed to rearrange the order of business in order to consider some items prior to his departure.

B. Minutes Approved

On motion by Mr. Cooper, seconded by Dr. Sears, and passed, the reading of the Minutes for the February 29, 1972 meeting of the Executive Committee of the Board of Trustees was dispensed with and the Minutes were approved as published.

C. Student Code Revision Committee Report

Mr. Griffin, Chairman of the Student Code Revision Committee, read the following committee report:

Proposals for changes in the Student Code were received by the mid-February deadline from Student Affairs, Student Government,

and Professional Students Association.

Various viewpoints and supporting testimonies with respect to the proposed changes were received from members of the University community by the Committee on Student Code Revisions during a seven-hour open hearing on March 2. The Committee met in closed session for about six hours on March 11 and briefly again today to make its decisions with respect to recommendations to the Board.

The proposal by Student Affairs that the non-academic relations between Lexington Technical Institute students and the University also be covered by the Code is being recommended for adoption by the Board. This will involve changes in the Governing Regulations as well as in the Code. The necessary changes are presented on the first three pages of the Committee's report.

Changes proposed by Student Affairs, and supported by Student Government, dealing with counseling records, Student Health Service records, Student Mental Health records, and Dean of Students records are being recommended for approval.

Four changes among those proposed by the Graduate and Professional Student Association are being recommended for approval. Two of these coincide with changes recommended by Student Government.

Student Government proposed by far the most extensive changes. Although many changes proposed by Student Government were not accepted, the Committee has acted favorably upon a significant number of the proposals by Student Government which has resulted in recommendations by the Committee dealing with at least twenty-four sections of the Code. These changes which are being recommended by the Committee deal with:

Nature of and handling of information about students obtained during counseling sessions

Role of the U. J-Board Hearing Officer

Temporary appointments to the U. J-Board

Temporary sanctions

Establishment of honor codes

Establishment of rules by Residence Halls Governments

Availability of rules for Residence Halls and Residence Judicial Boards

Appointment of Resident Advisors

Non-discrimination policy on scholarships, grants-in-aid,
and financial aid

Non-application of sanctions in disputed cases of financial
delinquency

Pages 1 through 35 of the Committee's report show the recom-
mended additions which are underlined and the recommended
deletions which are enclosed in brackets.

One or two minority reports will be forthcoming from indi-
vidual members of the Committee containing changes which were
discussed but not accepted by a majority of the Committee.

However, Mr. Chairman, on behalf of the Committee, I
request that the revisions in the Code and in the Governing Regu-
lations incorporated in the Committee's report be received by the
Board for consideration and for action as soon as appropriate at a
subsequent meeting. (A copy of the report of the Student Code
Revision Committee is attached as an appendix at the end of the
Minutes.)

The Board received the committee's report for subsequent action at a
later meeting.

Mr. Wendelsdorf, a member of the Student Code Revision Committee,
presented and commented on a rather extensive minority report which was re-
ceived by the Board. Mr. Bell, also a member of the committee, presented
and commented briefly on a second minority report, which in like manner was
received by the Board. (Copies of these two minority reports are also included
in the appendix following the regular report of the Student Code Revision Com-
mittee.)

D. Proposed Amendment in the Governing Regulations Altering the
Composition of the University Senate - Mr. Scott Wendelsdorf

Following a brief discussion by Mr. Wendelsdorf relative to the proposed
amendment in the Governing Regulations altering the composition of the University
Senate, Mr. Wendelsdorf said that, in view of various factors, he thought the
matter appropriately should be first considered by the University Senate and that
he wished to withdraw the proposed amendment at this time.

E. Mr. Thomas P. Bell Elected Acting Presiding Officer

Vice Chairman Clay having to leave the meeting, called upon Mr. Bell to

chair the remainder of the meeting. On motion by Mr. Goss, seconded by Mr. Alverson, and approved, Mr. Bell was formally elected as acting presiding officer in the absence of the Chairman and Vice Chairman of the Board of Trustees.

F. President's Report to the Trustees

President Singletary called attention to PR 1, President's Report to the Trustees, which does not require Board action. He stated that in the interest of conserving time he would not discuss the items in the report since the members would have an opportunity to read it at their leisure but would be glad to answer any questions.

There being no questions, Mr. Bell accepted the report with thanks and ordered it filed.

G. Recommendations of the President (PR 2)

The items in PR 2 being routine in nature and there being no questions, on motion by Mrs. Blazer, seconded by Dr. Sears, and carried, PR 2, Recommendations of the President, was approved as a whole and ordered made an official part of the Minutes of the meeting. (See PR 2 at the end of the Minutes.)

H. Supplemental Recommendations of the President (PR 3)

President Singletary stated it gave him much pleasure to recommend the appointment of Dr. Art Gallaher, Professor of Anthropology and currently Chairman of the Department of Anthropology, as Dean of the College of Arts and Sciences, effective July 1, 1972. President Singletary said that he and the search committee which was appointed to advise him think the University is very fortunate to have such a well qualified man for this leadership role as Dr. Gallaher. Dr. Gallaher, being present at the meeting, was introduced, and President Singletary said it was with a very warm feeling on his part to recommend this appointment.

On motion by Mr. Griffin, seconded by Dr. Sears, and passed without dissent, Dr. Art Gallaher's appointment as Dean of the College of Arts and Sciences was approved, effective July 1, 1972. (See PR 3 at the end of the Minutes.)

I. Establishment of Department of Rehabilitation Medicine (PR 4)

Dr. Morris explained that since the opening of the University Hospital

Physical Medicine and Rehabilitation has operated as a division of the Department of Medicine. In the past ten years, the service and teaching load of this section has significantly increased. With the activation of the Veterans Administration Hospital, responsibility for this service on behalf of the Veterans Administration patients will also be assumed. Accordingly, it is logical at this time to affect a reorganization whereby a separate Department of Rehabilitation Medicine is established to serve the education, research, and patient care programs of the University of Kentucky Medical Center, effective immediately.

On motion by Mrs. Blazer, seconded by Mr. Pence, and passed, the recommendation in PR 4 was approved. (See PR 4 at the end of the Minutes.)

J. Resolution Concerning Personnel at Paducah Community College (PR 5)

Following a brief explanation by Mr. Ruschell regarding the resolution involving seven faculty members of the Paducah Community College, on motion by Dr. Ginger, seconded by Mr. Cooper, and passed, the recommendation in PR 5 was approved. (See PR 5 at the end of the Minutes.)

K. Dr. Paul G. Sears Reelected Faculty Trustee

President Singletary reported that he had received a letter from Dr. Elbert W. Ockerman, Secretary, University Senate, informing him that Dr. Sears had been reelected by the faculty to membership on the Board of Trustees for a three-year term beginning July 1, 1972. The Board and President Singletary expressed their pleasure in the continued service of Dr. Sears on the Board of Trustees.

L. Interim Financial Report (FCR 1)

On motion by Mr. Griffin, seconded by Dr. Ginger, and passed, the interim financial report for the period ending January 31, 1972 was received and ordered made a matter of record. (See FCR 1 at the end of the Minutes.)

M. Resolution Concerning Jefferson Community College (PR 6)

Mr. Darsie commented that the resolution concerning Jefferson Community College would authorize the execution of an agreement to purchase steam and chilled water from a central plant located near the Jefferson Community College for the next building to be constructed there if a technical and administrative review indicated this would be in the best interest of the University. He also explained that execution of the agreement was necessary to insure that the bonds issued for the steam plant are not classified by the Internal Revenue Service as "industrial development bonds".

On motion by Mr. Cooper, seconded by Mrs. Blazer, and carried, the resolution concerning Jefferson Community College was adopted. (See PR 6 at the end of the Minutes.)

N. Student Health Services Program (MCC 1)

The Medical Center Committee presented a recommendation and background with respect to a Student Health Services Program. After some introductory comments, President Singletary called upon Mr. John Dorson of the Student Health Advisory Committee and Dr. Howard Bost of the Medical Center to speak on this matter. Mr. Dorson spoke about the desirability of the program and student support of it. Dr. Bost made several remarks about the difficulties arising from the financial delinquency of students in complying with the requirements of the existing Student Health Insurance Program, and then elaborated upon the details, options and non-mandatory nature of the proposed Student Health Services Program. Mr. Wendelsdorf, as President of Student Government, expressed his support for this proposed program.

On motion by Mrs. Blazer, seconded by Mr. Pence, and passed, the recommendation in MCC 1 relative to the Student Health Services Program was approved as presented. (See MCC 1 at the end of the Minutes.)

O. Quarterly Report - Technical Assistant Grant Project - Office of Development Services and Business Research

The Quarterly Report of the Technical Assistance program in the Office of Development Services and Business Research was distributed to members of the Board. Dean Charles Haywood of the College of Business and Economics made a brief report on the accomplishments of this unit, identifying specific sections of the report that might be of interest to individual Board members, and speculating on the possibilities for future funding of this extension effort.

P. Meeting Adjourned

There being no further business to come before the meeting, on motion by Mr. Pence, seconded by Mr. Alverson, and passed, the meeting adjourned at 2:50 p. m.

Respectfully submitted,

Lucile T. Blazer
Secretary, Board of Trustees

(PRs 2, 3, 4, 5, and 6, FCR 1; MCC 1; and the report of the Student Code Revision Committee, including two minority reports, which follow are official parts of the Minutes of the meeting.)

Missing report(s)

Office of the President
March 21, 1972

PR 2

Members, Board of Trustees:

RECOMMENDATIONS OF THE PRESIDENT

I. Appointments and/or Other Staff Changes

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

Background: Approval of the Board of Trustees is required for all appointments to the positions with the rank of Associate Professor and above, for promotions, for the granting of tenure, and for salary changes above \$12,000 for non-academic personnel and \$15,000 for academic personnel. All other appointments and/or changes may be made by the President and reported to the Board.

BOARD ACTION

New Appointments

Frank R. Bowers, Assistant Professor*, Department of Psychiatry, College of Medicine, and Chief, Mental Health Service, University Health Service, effective June 1, 1972 (salary over \$15,000)

Sam Brown, Assistant Professor*, Department of Behavioral Science, and Director, Section for Educational Resources, College of Medicine, effective June 1, 1972 (salary over \$15,000)

Michael Slayton, Instructor*, Department of Medicine, College of Medicine, and Physician, University Health Service, effective July 1, 1972 (salary over \$15,000)

Administrative Appointments

W. Michael Bryant, Assistant Professor, Department of Surgery, College of Medicine, named Chief of the Division of Plastic Surgery, College of Medicine, retroactive to March 1, 1972

Frank R. Bowers, Assistant Professor*, Department of Psychiatry, College of Medicine, named Chief of Mental Health Service, University Health Service, effective June 1, 1972

*Special Title Series

Sam Brown, Assistant Professor*, Department of Behavioral Science,
College of Medicine, named Director of Section for Educational Resources,
College of Medicine, effective June 1, 1972

Joint Appointment

Albert C. Selke, Jr., Associate Professor, Department of Diagnostic
Radiology, College of Medicine, named Associate Professor, Department
of Diagnostic Radiology, and Assistant Professor, Department of
Pediatrics, College of Medicine, retroactive to March 1, 1972

Retirements

L. Niel Plummer, Professor, Department of Journalism, College of Arts
and Sciences, after 42 years of service, effective July 1, 1972
Lillie Mae Carrier, Food Service Worker II, Auxiliary Services, after over
25 years of service, effective May 1, 1972
Pearl C. Graves, Cook/Baker II, Auxiliary Services, after 30 years of
service, effective July 1, 1972
Virginia W. Hubbard, Administrative Secretary, Department of Vocational
Education, College of Education, after over 24 years of service, effective
July 1, 1972
Gilbert W. Jones, Cabinet Maker, Physical Plant Division, after over 16
years of service, effective June 2, 1972
Forrest Simpson, Custodian, Physical Plant Division, after 15 years of
service, effective April 29, 1972
John Ed Stewart, Food Service Worker II, Auxiliary Services, after over
16 years of service, effective July 1, 1972
Lockett F. Tabb, Machine Operator, Department of Public Information,
College of Agriculture, after over 15 years of service, effective May 1,
1972
Pauline Carlson Williams, Food Service Worker I, Auxiliary Services,
after over 25 years of service, effective July 10, 1972
Frances M. Ramsey, Senior Account Clerk, Department of Pre-Audit,
Controller's Division, after over 29 years of service, effective
April 5, 1972

(Miss Frances M. Ramsey's request for consideration of an
early retirement is based on physical disability. Because
of her long years of service to the University and her
devotion to her job and her present health condition, it is
recommended that she be allowed retirement status before
the attainment of her 65th birthday and that full pension of
49% of her present salary be granted.)

*Special Title Series

Administrative Reappointment

William R. Proffit, Professor (with tenure) and Chairman, Department of Orthodontics, College of Dentistry, reappointed Chairman of the Department of Orthodontics for a four-year term, effective July 1, 1972

Leaves of Absence

David E. Denton, Associate Professor, Department of Social and Philosophical Studies in Education, College of Education, sabbatical leave for September, 1972 through May 31, 1973 changed to the period January 1, 1973 through June 30, 1973

Jan B. Luytjes, Associate Extension Professor, Department of Business Administration, College of Business and Economics, extension of leave without pay for the period July 1, 1972 through June 30, 1973

Eldon Smith, Professor, Department of Agricultural Economics, College of Agriculture, leave without pay for the period June 1, 1972 through June 30, 1973

ADMINISTRATION ACTION

New Appointments

John Maxey Bryant, Librarian III, Department of Cataloging

* Carolyn S. Pratt, Assistant Professor, Department of Chemistry, College of Arts and Sciences

Felix Bongiorno, Clinical Instructor of Surgery, Department of Surgery (Division of Ophthalmology), College of Medicine (Voluntary Faculty)

Gregory A. Culley, Clinical Instructor, Department of Pediatrics, College of Medicine (Voluntary Faculty)

Van R. Jenkins II, Assistant Professor, Department of Obstetrics and Gynecology, College of Medicine (Voluntary Faculty)

David P. Thomas, Clinical Instructor, Department of Surgery (Division of Orthopedics), College of Medicine (Voluntary Faculty)

Kedar N. Verma, Assistant Clinical Professor, Department of Medicine, College of Medicine (Voluntary Faculty)

Joint Appointments

Robert Belin, Assistant Professor, Department of Surgery, College of Medicine, named Assistant Professor, Department of Surgery and Department of Pediatrics, College of Medicine

* Contingent upon completion of all requirements for Ph. D. degree prior to August 15, 1972

Richard A. Kielar, Assistant Professor, Department of Surgery (Division of Ophthalmology), College of Medicine, named Assistant Professor, Department of Surgery and Department of Pathology, College of Medicine

Terminal Reappointment

Mary Stephenson, Assistant Professor, Department of Theatre Arts,
College of Arts and Sciences

Action: Approved X Disapproved _____ Other _____

Date: March 21 , 1972

Office of the President
March 21, 1972

PR 3

Members, Board of Trustees:

SUPPLEMENTAL RECOMMENDATIONS OF THE PRESIDENT

I. Dean, College of Arts and Sciences

Recommendation: that Dr. Art Gallaher, Professor of Anthropology and currently Chairman of the Department of Anthropology, be named Dean of the College of Arts and Sciences, effective July 1, 1972.

Background: Following the action of the Board of Trustees earlier this year approving the appointment of Dr. Wimberly C. Royster as Dean of the Graduate School and Coordinator of Research, effective July 1, 1972, the established procedures were initiated to identify one or more well qualified persons who might be considered for the important position as Dean of the College of Arts and Sciences.

On October 20, 1971, a search committee of six faculty members and two students was appointed and they immediately began the solicitation of nominations of persons considered by colleagues to possess the necessary qualifications for this responsible administrative position. Qualifications of a large number of nominees were carefully considered by the search committee and a number of these were interviewed by the committee.

The results of this careful search and evaluation lead to this recommendation that Professor Gallaher be approved for appointment as Dean of the College of Arts and Sciences. The University is indeed fortunate to have such a man on the faculty, well qualified for this difficult leadership role, and willing to assume these responsibilities.

Action: Approved X Disapproved _____ Other _____

Date: March 21 , 1972

Office of the President
March 21, 1972

PR 4

Members, Board of Trustees:

ESTABLISHMENT OF DEPARTMENT OF REHABILITATION MEDICINE

Recommendation: that the Board of Trustees approve the establishment of a Department of Rehabilitation Medicine within the College of Medicine to serve the education, research, and patient care programs of the University of Kentucky Medical Center, effective immediately.

Background: Since the opening of the Medical Center, the program of Physical Medicine and Rehabilitation of the College of Medicine has been administered as a division or section of the Department of Medicine. The director of the program is based academically in the Department of Medicine; he works closely with the Department of Physical Therapy in the College of Allied Health Professions. Both units share the facilities of University Hospital, and they have developed effective working relationships with State and National vocational rehabilitation programs. With the activation of the University Division of the Veterans Administration Hospital, new facilities and operational support will become available and make possible the establishment of a separate Department of Rehabilitation Medicine to serve the College of Medicine, University Hospital, and the Veterans Administration Hospital.

All available resources will be combined within this new department to expand the educational opportunities for medical and other health students. The department's educational responsibility will include the development of a training program for residents in Physical Medicine and Rehabilitation. Currently, there are only two certified specialists in this field in Kentucky.

A greater emphasis on rehabilitation in academic medical centers is desirable for a number of reasons. It is now recognized that medical care cannot be considered complete until the patient with a residual physical disability has been trained "to live and work with what he has left." This is the object of rehabilitation. Except in a few isolated instances, the physically handicapped person can and must be retrained to walk, to care for his daily needs, to use normal methods of transportation, and to communicate orally or in writing. The personal, vocational, and social success of the handicapped person is dependent upon these simple things. It is estimated that there are 289,000 physically disabled persons in Kentucky -- 150,000 of whom could be candidates for rehabilitation.

A majority of medical rehabilitation procedures can, and should be, done by the practitioner or specialist responsible for the patient's primary medical care. Over and above this group, however, are a minority with severe disabilities whose needs cannot be met without a concentrated, long-term program which includes full utilization of all the ancillary medical disciplines and specialized rehabilitation techniques. It will be the responsibility of the Department of Rehabilitation Medicine to provide opportunities for physicians and other health workers to acquire rehabilitation skills and to promote the close working relationships of the many disciplines the field of rehabilitation demands. A university medical center requires a rehabilitation program where the "team approach" can be used to meet patient care needs and to educate students from multiple disciplines.

Action: Approved X Disapproved Other

Date: March 21 , 1972

Office of the President
March 21, 1972

PR 5

Members, Board of Trustees:

RESOLUTION CONCERNING PERSONNEL
AT PADUCAH COMMUNITY COLLEGE

Recommendation: that the attached Resolution involving seven faculty members of the Paducah Community College be adopted.

Background: The Paducah Junior College was taken into the University of Kentucky Community College System effective July 1, 1968. Prior to that time an agreement was reached which stated that those eligible employees employed by Paducah Junior College immediately prior to being brought into the University of Kentucky system and who continued their employment with the University of Kentucky would not be adversely effected when their ultimate retirement benefit calculation would be made.

These employees will have their retirement benefit calculations computed on the basis as if they had been continuously covered by Kentucky Teachers Retirement System upon reaching retirement age. Effective July 1, 1968, these individuals began participation in the regular University of Kentucky TIAA Retirement System. The University has agreed (1) that if retirement contributions in K. T. R. S. plus the retirement contributions to TIAA are not sufficient to equal the calculation on K. T. R. S. as mentioned above, the University will supplement the retirement income to make up the difference in the benefit level expectations, (2) eligible Paducah Community College employees may elect to retire at age sixty (60) as provided by their coverage under the K. T. R. S.

Action: Approved X Disapproved _____ Other _____

Date: March 21 , 1972

March 21, 1972

RESOLUTION

WHEREAS, the University of Kentucky did absorb the Paducah Junior College into the University of Kentucky Community College System becoming fully effective in terms of Personnel Regulations as of July 1, 1968, and

WHEREAS, prior to that time a verbal agreement was reached which stated that those eligible personnel who were employed by P.J.C. immediately prior to being brought into the U.K. system and continued their employment with U.K. would not be adversely effected when their ultimate retirement benefit calculations would be made, and

WHEREAS, the affected employees who were previously covered by the Kentucky Teachers Retirement System feel that the retirement age of sixty (60) as provided by the KTRS system should continue to be applicable to them if they should elect to choose that retirement age option, and

WHEREAS, the affected personnel at Paducah Community College now request that the previously agreed upon verbal agreement be reduced to writing so as to be fully understood by all concerned parties in the future,

NOW, THEREFORE BE IT RESOLVED,

that the Board of Trustees reiterate the essential details of the previously agreed upon verbal agreement by confirming in writing for the record the following provisions of the agreement:

1. The eligible employees of Paducah Community College will have their retirement benefit calculations computed on the basis as if they had been continuously covered by the KTRS system upon reaching their retirement age. The difference between what they had already accumulated under the KTRS system (as of July 1, 1968) and the amount due them by the projected calculations stated in the sentence above, will be provided by their participation in the regular University of Kentucky TIAA Retirement System, and if TIAA Benefits are not sufficient to make up this difference, then additional Supplementation will be made by the University of Kentucky, where required, to make up the difference in benefit level expectations. This combination of retirement benefit realization will assure such P.C.C. personnel no loss of retirement benefits by virtue of becoming a U.K. employee instead of continuing under the K.T.R.S. retirement system.
2. Such retirement payment Supplementation will continue during the lifetime of the eligible P.C.C. employees in the same manner

as now provided by other U. K. employees who are eligible for Supplemental retirement benefits.

3. Eligible P.C.C. employees may elect to retire at age sixty (60) as provided by their coverage under the K.T.R.S. system. If retirement age sixty (60) is elected, all retirement benefits will be calculated on the attained age sixty (60) rather than the normal retirement age of sixty-five (65).
4. If age sixty (60) retirement age is not elected, the normal retirement age of sixty-five (65) will prevail, unless the P.C.C. employee becomes eligible for other early retirement options that may be extended or provided to all University of Kentucky personnel.
5. These provisions of exception to the regular Retirement Resolution as adopted by the Board of Trustees is applicable only to the seven (7) currently employed eligible Paducah Community College employees who were given this verbal assurance prior to attaining full-fledged University of Kentucky employee status July 1, 1968. (See attached list).
6. The Vice-President, Business Affairs and Treasurer is authorized and directed to enter into written contracts with the individuals involved providing for the respective rights and privileges of the parties thereto with respect to retirement. The said contracts shall be consonant with the provisions of this resolution.

Note:

In determining if participation in the TIAA Plan has produced the minimum benefit as described in Item 1 above, it will be presumed that the funded benefit will be the TIAA Single Life Annuity payable at age 65 from the then existing accumulations, attributable to employee and University contributions made in accordance with the TIAA Plan, and that the CREF accumulation, if any, will be deposited in TIAA at age 65, regardless of the option actually elected by the participant.

List of Eligible Paducah Community College Faculty Members
for Protection of Retirement Benefits Earned under the Kentucky
Teachers Retirement System while Employed as Paducah Junior
College Personnel.

<u>NAME</u>	<u>DATE OF BIRTH</u>
1. Howard V. Hill	8/30/15
2. James A. Womble	2/27/26
3. Claude F. Haws	10/8/31
4. Richard Price	4/26/13
5. Susan Price	3/11/15
6. Margaret Watson	6/28/12
7. Maxine J. Clark	9/14/15

Office of the President
March 21, 1972

PR 6

Members, Board of Trustees:

RESOLUTION CONCERNING JEFFERSON COMMUNITY COLLEGE

Recommendation: That the attached resolution be adopted.

Background: On May 1, 1968, the University entered into an agreement with various hospitals and other charitable and governmental organizations with facilities near the Jefferson Community College by the terms of which the parties agreed to purchase steam and chilled water from a central plant erected by Jefferson County from the proceeds of revenue bonds issued by it for that purpose.

Certain of the institutions now are building additional facilities which make it necessary to expand the central plant if it is to continue to have sufficient capacity to serve all the demands upon it. Bonds are to be issued for this purpose before the next meeting of this Board.

This resolution would permit execution of a contract by which the University would bind itself to purchase steam and chilled water from the plant for the next building at the Jefferson Community College if and when such a building is constructed. The resolution does not require execution of the contract by the University if technical and administrative studies indicate that it is not in the best interests of the University.

Action: Approved X Disapproved _____ Other _____

Date: March 21 , 1972

Certified Copy of Resolution of
Board of Trustees of University of Kentucky

BE IT RESOLVED, that the Chairman or Vice Chairman and the Secretary of the Board of Trustees of the University of Kentucky be and are hereby authorized and directed to execute upon behalf of such Board a Supplemental Contract substantially in the form presented at the meeting at which this resolution was proposed, which contract will be between Louisville and Jefferson County Board of Health, County of Jefferson, Kentucky, The Jewish Hospital Association of Louisville, Kentucky, Norton-Children's Hospitals, Inc., Methodist-Evangelical Hospital, Inc., Board of Trustees of the University of Louisville, Rehabilitation Center, Inc., Board of Trustees of the University of Kentucky and Louisville Medical Center, Inc., which pertains to the furnishing of steam and chilled water by County of Jefferson, Kentucky, to the Board for its Jefferson Community College in Louisville, Kentucky, and to such other parties hereinbefore named, other than such County and Louisville Medical Center, Inc., if, but only if, the President of the University of Kentucky first certifies in writing that such officials hereinbefore named may proceed with the execution of such instrument.

BE IT FURTHER RESOLVED, that such Chairman and/or Vice Chairman and such President are hereby authorized and directed on behalf of such Board to take such further action and to execute and deliver such further instruments, without limitation, as in the discretion of such Chairman and/or Vice Chairman and President may be determined from time to time as necessary or desirable to consummate their action as contemplated by such Supplemental Contract, and the execution of such further instrument or instruments by such Chairman and/or Vice Chairman upon the approval also by written instrument of such President shall be conclusive evidence of the exercise of such discretion.

That the Secretary of the Board shall be authorized to attest the action of such Chairman and/or Vice Chairman in connection with the execution of such further instrument or instruments.

Certificate

I certify that I am the duly qualified and acting Secretary of the Board of Trustees of the University of Kentucky, that the foregoing is a true copy of a resolution adopted at a meeting of such Board which was duly held on the _____ day of _____, 1972, at which meeting a quorum was present, and all of the members of such Board present voted in favor of the adoption of such resolution. I further certify that such resolution is still in full force and effect.

Dated this _____ day of _____, 1972.

Secretary, Board of Trustees
University of Kentucky

(Seal of University)

SUPPLEMENTAL CONTRACT

THIS SUPPLEMENTAL CONTRACT, made as of the first day of May, 1972, by and between LOUISVILLE AND JEFFERSON COUNTY BOARD OF HEALTH, a body politic and corporate of Jefferson County, Kentucky (hereinafter sometimes called "Board of Health"), party of the first part; THE COUNTY OF JEFFERSON, KENTUCKY, acting through its Fiscal Court as its governing body (hereinafter sometimes called "Jefferson County"), party of the second part; THE JEWISH HOSPITAL ASSOCIATION OF LOUISVILLE, KENTUCKY, a non-profit corporation created and existing under and by virtue of the laws of the Commonwealth of Kentucky (hereinafter sometimes referred to as "Jewish Hospital"), party of the third part; NORTON-CHILDREN'S HOSPITALS, INC., a non-profit corporation created and existing under and by virtue of the laws of the Commonwealth of Kentucky (hereinafter sometimes referred to as "Norton-Children's Hospitals"), party of the fourth part; METHODIST-EVANGELICAL HOSPITAL, INC., a non-profit corporation created and existing under and by virtue of the laws of the Commonwealth of Kentucky (hereinafter sometimes referred to as "Methodist-Evangelical Hospital"), party of the fifth part; BOARD OF TRUSTEES OF THE UNIVERSITY OF LOUISVILLE, a body corporate created and existing under and by virtue of the laws of the Commonwealth of Kentucky (hereinafter sometimes referred to as "University of Louisville"), party of the sixth part; REHABILITATION CENTER, INC., a non-profit corporation created and existing under and by virtue of the laws of the Commonwealth of Kentucky (hereinafter sometimes referred to as "Rehabilitation Center"), party of the seventh part; BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY, a body corporate created and existing under and by virtue of the laws of the Commonwealth of Kentucky (hereinafter sometimes referred to as "University of Kentucky"), party of the eighth part, and LOUISVILLE MEDICAL CENTER, INC.,

a non-profit corporation created and existing under and by virtue of the laws of the Commonwealth of Kentucky (hereinafter sometimes referred to as "Medical Center"), party of the ninth part;

W I T N E S S E T H:

A. That the parties agree that the following is a true and correct recitation of certain facts:

(1) All of the parties hereto previously entered into a Contract made as of the first day of May, 1968, The Children's Hospital, which was a party to such previous Contract, having continued in existence and having been "amalgamated" with John N. Norton Memorial Infirmary, as decided in the case of

Eitel et al. vs. John N. Norton
Memorial Infirmary et al.,
441 S. W. (2d) 438, 442.

As provided by KRS 273.291(2)(e), Norton-Children's Hospitals, Inc., has succeeded to all of the rights and has become subject to all of the liabilities and obligations of the Children's Hospital, with the result that by reason thereon Norton-Children's Hospitals is now a party to such earlier Contract without any specific action being taken by it or the other parties thereto.

(2) The Board of Trustees of the University of Louisville is the successor to University of Louisville and continues to be by operation of law a party to such previous Contract without the necessity of any other action being taken in respect thereto, such Board of Trustees of the University of Louisville having the full power and legal right to have the same rights and be subject to the same obligations thereunder as the University of Louisville had and was subject to.

(3) Louisville Medical Center, Inc., is the same corporation as University of Louisville Medical Center, Inc., which was a party to such previous Contract, such corporation having simply changed its name since the execution of such previous Contract.

(4) Louisville and Jefferson County Board of Health plans to construct a new hospital in the vicinity of General Hospital now being operated by it.

(5) Jewish Hospital is continuing to operate the hospital which it was operating at the time it entered into such previous Contract and is in the process of constructing an additional building closely adjacent thereto, which was referred to in Paragraph B (4) of such previous Contract.

(6) Norton-Children's Hospitals is in the process of constructing a new hospital in the same vicinity as the existing Children's Hospital now being operated by it.

(7) The University of Kentucky may cause to be constructed another building at Jefferson Community College within the next few years.

(8) The capacity of the project referred to in such previous Contract to furnish chilled water is insufficient to meet all of the chilled water requirements of the parties hereto, other than Jefferson County and Medical Center, because of the additional chilled water requirements of such additional hospital facilities hereinbefore referred to.

(9) Paragraph B (10) and (11) of such previous Contract contemplated and provided that additional revenue bonds of Jefferson County might be issued on a parity as to security with the outstanding County of Jefferson Medical Center Complex Revenue Bonds - Series of May 1, 1968, dated May 1, 1968, which are now outstanding, to finance an addition to such project.

(10) It is the understanding and belief of the parties hereto that Jefferson County will be able to raise the funds required to finance such addition to such project to meet such additional chilled water requirements by issuing and selling its revenue bonds, payable solely from the income and revenues produced to Jefferson County through the sale of steam and chilled water, which bonds will be on a parity as to security with such outstanding bonds.

B. Now, therefore, in consideration of the foregoing facts and in consideration of the mutual covenants and agreements hereinafter set forth, the nine parties hereto who are hereinbefore named hereby agree among themselves and with each other as follows:

(1) Jefferson County agrees that it will, through proper action of its Fiscal Court, and as soon as may be, authorize and offer at one or more advertised, public competitive sales, its bonds, in general as follows:

(a) AMOUNT. Jefferson County agrees that it will advertise for bids for the construction of such addition to the steam and chilled water plant, together with all equipment to be installed therein and appurtenances in connection therewith, substantially as set forth in the plans and specifications of E. R. Ronald and Associates, Engineers, of Louisville, Kentucky, dated the 23rd day of February, 1972 (as the same may be amended and supplemented), and that the amount of its revenue bonds, issued to finance the same, will be determined on the basis of:

(i) legal fees, surveying and soil testing, if any, and insurance during construction,

(ii) the aggregate of such construction bids,

(iii) the fees and charges of the engineers and/or architects employed in connection with said addition, whether to prepare plans and specifications or to supervise the construction thereof,

(iv) interest on such additional bonds which will accrue prior to the commencement of, and during, construction, at the rate or rates established as hereinafter set forth,

(v) the fees and charges of Fiscal Agents employed by Jefferson County to assist in the setting up, preparation, and marketing of such additional bonds,

(vi) the trustee's fees in connection with such addition to the project prior to the completion of the construction,

(vii) all other necessary and reasonable expenses and costs in connection with the construction and establishment of such addition, and

(viii) such reasonable allowance for unforeseen contingencies as may be recommended by the engineers, to give reasonable assurance that the net proceeds of the bonds will be sufficient to provide for the completion of said addition and the payment of all costs thereof.

(b) SECURITY. Said bonds shall be secured by a pledge of and first lien upon the gross income and revenues of such project as extended derived by Jefferson County from the sale of steam and chilled water as provided in such previous Contract and in this Supplemental Contract. The general credit of Jefferson County is not extended to any extent to any liability with reference to such additional bonds. Liability for the payment of same is limited to such gross income and revenues.

(c) INTEREST RATE OR RATES. Jefferson County shall offer said bonds at one or more public sales upon such terms that bidders shall be required to offer to purchase the same at their own prices and interest rate or rates, and Jefferson County agrees that it will accept the bid at such public sale which offers the lowest net interest cost; subject, however, to the right, which shall be reserved, to reject all bids in the event that none shall be received which shall be acceptable to the parties, and provided that, notwithstanding the foregoing, the Fiscal

Court shall have the right to accept the bid which offers the lowest net interest cost unless a representative of a party hereto, other than Medical Center, is present at the time the bids are opened and objects to such acceptance by the Fiscal Court.

(d) MATURITIES. Said bonds shall mature as to principal, serially, over a period of not exceeding thirty-six years from their stated date, in such sums as shall cause the aggregate amount of principal and interest maturing in each year to be as nearly equal as possible; and the recommendations of the Fiscal Agent in this respect shall be accepted as conclusive, whether or not such aggregates of principal and interest could mathematically be made more nearly equal.

(2) Board of Health, Jewish Hospital, Norton-Children's Hospitals and University of Kentucky each respectively agrees and formally binds itself that (subject to, in the case of Board of Health, the provisions of KRS 212.450 as set forth in such previous Contract) to receive from such project as extended steam for all of its space heating and water heating and chilled water for all purposes of air conditioning for all of its such additional facilities hereinbefore described, that all of its such facilities shall be operated on a fully air conditioned basis except storage and similar areas and that each shall not buy any steam or chilled water for any of its such facilities from anyone other than Jefferson County.

Methodist-Evangelical Hospital, University of Louisville and Rehabilitation Center, by executing this Supplemental Contract, do not agree to use steam or chilled water to any greater extent than as provided in such previous Contract, and agree, respectively, only as provided herein as to them.

(3) Jefferson County hereby agrees to furnish all of the steam and chilled water which are required to be purchased by the parties to this Supplemental Contract as hereinbefore set forth to the extent of its ability to finance same by the issuance of revenue bonds. Such County agrees to operate such project until the full retirement of all of its revenue bonds issued pursuant to such previous Contract and this Supplemental Contract (including bonds hereafter issued to refund or refinance such revenue bonds, or any part thereof), and in connection with such operation will consult regularly with and consider the recommendations of the steam-chilled water plant committee of Medical Center.

(4) Payment for steam and chilled water furnished shall be made by the parties purchasing same to Jefferson County monthly in advance, on or before the first day of each month during the term of such previous Contract and this Supplemental Contract at the actual cost of such steam and chilled water to Jefferson County. The amount of each monthly payment to be made by each party shall be one-twelfth of the estimated cost of the year's operation in furnishing steam and/or chilled water to such party, to be determined as provided in such previous Contract.

(5) All funds paid pursuant to such previous Contract and hereunder shall be paid and retained in the same special fund of Jefferson County as provided for in connection with the issuance of such outstanding bonds dated May 1, 1968.

(6) It is agreed by all of the parties hereto that the agreements hereinbefore made to use steam and chilled water constitute agreements for such

use for 100% of the purposes in respect of which such project had proved insufficient to meet the steam and chilled water requirements of the facilities of the parties hereto, other than Jefferson County and Medical Center. The insufficiency of capacity of such existing project and the financial feasibility of the issuance of such additional bonds must be certified by an engineer or engineering firm recognized favorably in matters pertaining to steam and chilled water, before such additional bonds may be issued as provided in Paragraph B(10) of such previous Contract. It is agreed that E. R. Ronald and Associates is an engineering firm recognized favorably in matters pertaining to steam and chilled water.

(7) This Supplemental Contract is a supplemental contract within the meaning of such previous Contract.

(8) Paragraph B (9) of such previous Contract would permit, with the specific approval of all of the parties hereto, a corporation or corporations, other than public and non-profit bodies, to be admitted to all of the terms and provisions of such previous Contract if such corporation or corporations were of such character as to promote and carry forward the purposes of the parties hereto, to encourage and bring about a "Medical Center," having its nucleus the premises of the parties hereto, other than Jefferson County, and if the demands of such corporation or corporations for steam and/or chilled water could be satisfied as provided therein. The parties hereto have been advised that under the proposed regulations pursuant to Section 103(c)(2) of the Internal Revenue Code, as amended, the additional bonds which are proposed to be issued might be considered industrial development bonds if a major

portion of the proceeds thereof were used directly or indirectly in the business of a corporation or corporations which were not public or non-profit corporations. If such additional bonds were considered industrial development bonds, then the interest thereon might become taxable. Therefore, it is agreed that before any such corporation or corporations which are neither a government unit nor an organization described in Section 501(c)(3) and exempt from taxation under Section 501(a) of the Internal Revenue Code is admitted to the terms and provisions of such previous Contract and this Supplemental Contract there shall be obtained an opinion of legal counsel, recognized favorably on a national basis in such matters, to the effect that neither such outstanding bonds dated May 1, 1963, nor such additional bonds which are to be issued to finance the additional facilities herein described will become industrial development bonds and that none of the interest on such bonds will become taxable pursuant to the Federal income tax law or the laws of Kentucky governing Kentucky state income taxes, because of the admission of such corporation or corporations.

Jewish Hospital, Norton-Children's Hospitals, Methodist-Evangelical Hospital and Rehabilitation Center, respectively, state that each is an "exempt person" within the meaning of Section 103(c)(3) of the Internal Revenue Code and agree to continue to maintain such status during the time such previous Contract and this Supplemental Contract are in effect.

(9) Neither Jefferson County nor the trustee will use or permit the use of the proceeds of the additional bonds nor any moneys in the Sinking Fund

or any other fund provided for hereunder or in the proceedings authorizing such bonds dated May 1, 1968, or the bonds authorized hereunder, to be used in any manner which will cause any of such bonds to become arbitrage bonds within the meaning of Section 103(d) of the Internal Revenue Code of 1954, as amended, or any regulation (temporary or permanent) of the U. S. Treasury Department interpreting the same.

(10) The provisions of this Supplemental Contract are severable, with the result that if any section, paragraph, clause or provision of same shall be ruled invalid or unenforceable by any court of competent jurisdiction, the invalidity of such section, paragraph, clause or provision shall not affect any of the remaining provisions hereof.

(11) This Supplemental Contract may be written in counterparts, with either certain copies signed by all of the parties hereto or certain copies signed by only part of the parties hereto, or a counterpart signed only by one of the parties hereto, it being agreed that as long as each of the parties hereto signs at least one counterpart of this agreement each party shall be bound hereon to the same extent as if each party had signed one single instrument which had been signed by all of the other parties hereto.

IN TESTIMONY WHEREOF, Louisville and Jefferson County Board of Health, The County of Jefferson, Kentucky, The Jewish Hospital Association of Louisville, Kentucky, Norton-Children's Hospitals, Inc., Methodist-Evangelical Hospital, Inc., Board of Trustees of the University of Louisville, Rehabilitation Center, Inc., Board of Trustees of the University of Kentucky and Louisville Medical Center, Inc., each pursuant to an appropriate resolution or order of its board of directors, Fiscal Court, Trustees or other governing body, have caused this

instrument to be executed in their respective names by their respective duly authorized officers or officials and have caused such signatures to be attested under seal on a counterpart of this Supplemental Contract, all being done as of the day and year first above written, and each undersigned officer or official certifying by his execution of this Supplemental Contract that he is duly authorized to execute same upon behalf of the party for whom he executes same.

LOUISVILLE AND JEFFERSON COUNTY BOARD
OF HEALTH,

By _____
Chairman

(Seal)

Attest:

Secretary

THE COUNTY OF JEFFERSON, KENTUCKY,

By _____
County Judge

(Seal)

Attest:

Fiscal Court Clerk

THE JEWISH HOSPITAL ASSOCIATION OF
LOUISVILLE, KENTUCKY,

By _____
President

(Seal)

Attest:

Secretary

NORTON-CHILDREN'S HOSPITALS, INC.,

By _____
President

(Seal)

Attest:

Secretary

METHODIST-EVANGELICAL HOSPITAL, INC.,

By _____
President

(Seal)

Attest:

Secretary

BOARD OF TRUSTEES OF UNIVERSITY OF
LOUISVILLE,

By _____
President

(Seal)

Attest:

Secretary

By _____
Chairman, Board of Trustees

REHABILITATION CENTER, INC.,

By _____
President

(Seal)

Attest:

Secretary

BOARD OF TRUSTEES OF THE UNIVERSITY OF
KENTUCKY,

By _____
Chairman

(Seal)

Attest:

Secretary

LOUISVILLE MEDICAL CENTER, INC.,

By _____
Chairman

(Seal)

Attest:

Secretary

Financial Committee Report
March 21, 1972

FCR 1

Members, Board of Trustees:

INTERIM FINANCIAL REPORT

Recommendation: that the financial report for the seven months ending January 31, 1972, be accepted.

Background: The January 31, 1972 report reflects income of \$81,300,513 for the period of the report; the income figure is 69.9% of the annual income estimate of \$116,307,214.

The expenditure and commitments represent a total of \$64,259,100 for this period of seven months, or 55.2% of the expenditure authority of \$116,307,214 approved by the Board.

Action: Approved Disapproved Other

Date: March 21, 1972

UNIVERSITY OF KENTUCKY

Lexington, Kentucky

Office of Vice President
Business Affairs


February 12, 1972

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

Dear Dr. Singletary:

The interim financial report of the University of Kentucky for the seven months ended January 31, 1972 is submitted herewith. This is the sixth such report of the current fiscal year and is intended to set forth a complete and permanent record of the financial affairs of the University for the period covered.

Respectfully submitted,


L. E. Forgy, Jr.
Vice President-Business Affairs
and Treasurer

University of Kentucky
Balance Sheet
January 31, 1972
With Comparative Figures for 1971

	<u>1972</u>	<u>1971</u>
Current Funds:		
Unrestricted:		
Cash in bank:		
Depository funds	\$ 942,455	\$ 839,572
Federal funds	584,104	60,970
Imprest funds	165,538	200,029
Total cash	<u>1,692,097</u>	<u>1,100,571</u>
State funds-unexpended balances:		
Trust and agency funds	4,646,655	1,726,711
General fund appropriation	9,419,194	8,523,143
Due from other funds and affiliated corporations	1,525,638	1,539,887
Accounts receivable	3,920,444	3,724,527
Notes receivable	72,194	72,544
Inventories	2,054,951	1,514,328
Unrealized income	<u>23,404,901</u>	<u>20,223,922</u>
Total unrestricted	<u>46,736,074</u>	<u>38,425,633</u>
Restricted:		
Cash in bank	996,020	1,145,987
Tobacco Research Trust Fund:		
Imprest funds	7,623	50,000
Trust and agency funds	3,067,365	1,565,347
Petty cash advances	221,576	158,402
Travel advances	47,045	96,582
Accounts receivable	30,310	29,129
Investments:		
Short-term	5,450,000	5,944,981
Other	854,882	842,616
Unrealized income:		
Restricted	2,208,400	1,558,554
Tobacco Research Trust Fund	<u>885,413</u>	<u>1,100,000</u>
Total restricted	<u>13,768,634</u>	<u>11,391,598</u>

With Comparative Figures for 1971

LIABILITIES AND FUND BALANCES

	<u>1972</u>	<u>1971</u>
Current Funds:		
Unrestricted:		
Outstanding encumbrances	\$ 2,397,653	\$ 2,389,735
Accounts payable-county funds	16,592	29,188
Due to Federal government	472,784	
Advance from state for imprest cash fund	650,000	650,000
Deferred income	1,537,169	1,684,045
Unencumbered balance, departmental appropriations	38,089,361	31,264,457
Fund balances:		
Allocated:		
Reserve for inventories	2,019,094	1,049,230
Reserve for notes receivable	71,190	71,190
Reserve for undistributed accrued payroll expense	336,000	
Reserve for student registration fees cancellation	575,000	
Workmen's Compensation payments	49,208	19,626
Future operating purposes	518,583	887,616
Unallocated	<u>3,440</u>	<u>380,546</u>
Total unrestricted	<u>46,736,074</u>	<u>38,425,633</u>
Restricted:		
Outstanding encumbrances	227,536	116,953
Due to other funds and affiliated corporations	1,514,909	2,460,941
Advance from state for imprest cash fund	12,000	50,000
Outstanding check liability	24,490	20,631
Undistributed collections and clearing	5,644,184	5,164,276
Unencumbered balance, departmental appropriations	1,615,717	1,322,735
Unencumbered balance, Tobacco Research Trust Fund appropriations	1,426,263	672,190
Fund balances:		
Restricted fund	1,038,949	802,241
Tobacco Research Trust Fund-unallocated funds	<u>2,264,536</u>	<u>781,631</u>
Total restricted	<u>13,768,634</u>	<u>11,391,598</u>

Schedule 1

University of Kentucky
Balance Sheet
January 31, 1972
With Comparative Figures for 1971

	<u>1972</u>	<u>1971</u>
<u>ASSETS</u>		
Hospital and clinics:		
Cash in bank-depository funds	\$ 101,227	\$ 120,911
Trust and agency funds	1,831,403	1,522,625
Due from other funds	18,086	
Accounts receivable, net of allowance for doubtful accounts	2,684,628	4,116,432
Inventories	308,118	338,544
Unrealized income	<u>4,886,263</u>	<u>3,429,381</u>
Total hospital and clinics	<u>9,829,725</u>	<u>9,527,893</u>
Housing and dining system :		
Cash	2,633,817	1,956,912
Due from other funds and affiliated corporations	383,826	765,172
Accounts receivable	399,532	753,430
Inventories	760,964	652,970
Prepaid expenses	221,848	178,121
Accrued interest income		<u>246</u>
Total housing and dining system	<u>4,399,987</u>	<u>4,306,851</u>
Auxiliary enterprises:		
Cash in bank	90,724	162,240
Due from other funds and affiliated corporations	432,158	718,770
Accounts receivable	22,864	24,883
Inventories	338,987	317,714
Unrealized income	<u>619,778</u>	<u>663,303</u>
Total auxiliary enterprises	<u>1,504,511</u>	<u>1,886,910</u>
TOTAL CURRENT FUNDS	<u><u>\$76,238,931</u></u>	<u><u>\$65,538,885</u></u>

University of Kentucky
Balance Sheet
January 31, 1972
With Comparative Figures for 1971

Schedule 1

LIABILITIES AND FUND BALANCES

	<u>1972</u>	<u>1971</u>
Hospital and clinics:		
Outstanding encumbrances	\$ 142,144	\$ 196,358
Due to other funds		2,025
Unexpended balance, departmental appropriations	7,201,443	6,700,154
Fund balances -allocated:		
Reserve for inventories	326,816	366,932
Reserve for accounts receivable	<u>2,159,322</u>	<u>2,262,424</u>
Total hospital and clinics	<u>9,829,725</u>	<u>9,527,893</u>
Housing and dining system:		
Accrued wages	58,497	62,944
Accounts payable	186,692	225,541
Accrued expenses	181,783	219,755
Deferred income	2,090,913	2,087,064
Fund balances:		
Funds for renewals and replacements	1,344,731	1,279,964
Allocated for future operating purposes	<u>537,371</u>	<u>431,583</u>
Total housing and dining system	<u>4,399,987</u>	<u>4,306,851</u>
Auxiliary enterprises:		
Outstanding encumbrances	184,618	81,012
Unencumbered balance, departmental appropriations	620,377	1,105,754
Fund balances:		
Reserve for inventories	338,987	317,714
Funds for renewals and replacements	7,348	21,729
Allocated for future operating purposes	<u>353,181</u>	<u>360,701</u>
Total auxiliary enterprises	<u>1,504,511</u>	<u>1,886,910</u>
TOTAL CURRENT FUNDS	<u><u>\$ 76,238,931</u></u>	<u><u>\$ 65,538,885</u></u>

Schedule 1

University of Kentucky
Balance Sheet
January 31, 1972
With Comparative Figures for 1971

ASSETS

	<u>1972</u>	<u>1971</u>
Loan Funds:		
Cash in bank	\$ 60,606	
Notes receivable	6,241,276	\$ 5,417,506
Due from Federal government	13,377	11,888
Due from United Student Aid loan fund	2,000	2,000
Due from other funds	<u>36,190</u>	

TOTAL LOAN FUNDS

\$ 6,353,449 **\$ 5,431,394**

Endowment Funds:

Cash	\$ 3,320	\$ 7,831
Accounts receivable		1,159
Investments:		
Short-term	1,000	
Other	<u>812,601</u>	

TOTAL ENDOWMENT FUNDS

\$ 1,014,435 **\$ 822,591**

Plant Funds:

Unexpended plant funds:		
Cash on deposit with State Treasurer	\$ 1,398,312	\$ 752,842
Capital construction funds	18,615,539	19,104,372
Due from Federal government	1,831,492	2,948,246
Due from other funds		242,862
Construction funded	<u>116,342,490</u>	<u>105,866,748</u>

Total unexpended plant funds

138,187,833 **128,915,070**

University of Kentucky
Balance Sheet

Schedule 1

January 31, 1972

With Comparative Figures for 1971

LIABILITIES AND FUND BALANCES

	<u>1972</u>	<u>1971</u>
Loan Funds:		
Due from other funds		\$ 221,147
Federal sponsored loan funds:		
Federal government	\$ 5,546,706	4,512,367
University matching funds	453,849	417,377
Accumulated interest income	222,751	165,038
Total Federal sponsored loan funds	<u>6,223,306</u>	<u>5,094,782</u>
University loan funds:		
University student loan funds	54,412	45,857
University special student loan funds	73,731	67,608
United Student Aid loan fund	2,000	2,000
Total University loan funds	<u>130,143</u>	<u>115,465</u>
TOTAL LOAN FUNDS	<u>\$ 6,353,449</u>	<u>\$ 5,431,394</u>
Endowment Funds:		
Fund balances	<u>\$ 1,014,435</u>	<u>\$ 822,591</u>
TOTAL ENDOWMENT FUNDS	<u>\$ 1,014,435</u>	<u>\$ 822,591</u>
Plant Funds:		
Unexpended plant funds:		
Outstanding encumbrances	\$ 4,741,048	\$ 7,836,226
Due to other funds	21,503	23,050
Due to Commonwealth of Kentucky		966,666
Notes payable		29,710,966
Bonds payable	23,470,887	
Appropriations-unencumbered balances	14,251,675	13,025,828
University equity in projects	<u>95,702,720</u>	<u>77,352,334</u>
Total unexpended plant funds	<u>138,187,833</u>	<u>128,915,070</u>

Schedule 1

University of Kentucky
Balance Sheet
January 31, 1972
With Comparative Figures for 1971

	<u>1972</u>	<u>1971</u>
<u>ASSETS</u>		
Retirement of indebtedness funds:		
Cash on deposit with State Treasurer	\$ 326,843	\$ 813,719
Cash on deposit with Trustee	257,500	245,000
Unrealized income	<u>4,204,305</u>	<u>1,027,816</u>
Total retirement of indebtedness funds	<u>4,788,648</u>	<u>2,086,535</u>
Sinking funds:		
Cash on deposit with Trustee	152,454	892,666
Investments held by Trustee	<u>11,280,750</u>	<u>12,271,957</u>
Total sinking funds	<u>11,433,204</u>	<u>13,164,623</u>
Invested in plant:		
Land	10,916,659	5,711,982
Buildings	159,154,576	148,547,550
Equipment	<u>38,706,371</u>	<u>36,071,744</u>
Total invested in plant	<u>208,777,606</u>	<u>190,331,276</u>
TOTAL PLANT FUNDS	<u>\$ 363,187,291</u>	<u>\$ 334,497,504</u>
Agency Funds:		
Cash in bank	\$ 17,501	\$ 24,105
Due from other funds	232,188	468,710
Investments - short term	<u>3,000</u>	<u>3,000</u>
TOTAL AGENCY FUNDS	<u>\$ 252,689</u>	<u>\$ 495,815</u>

University of Kentucky
 Balance Sheet
 January 31, 1972
 With Comparative Figures for 1971

LIABILITIES AND FUND BALANCES

	<u>1972</u>	<u>1971</u>
Retirement of indebtedness funds:		
Unexpended balances, debt service	\$ 4,461,805	\$ 1,998,215
Funds balances	<u>326,843</u>	<u>88,320</u>
	<u>4,788,648</u>	<u>2,086,535</u>
Total retirement of indebtedness funds		
Sinking funds:		
Bonds payable	4,689,000	4,908,000
Funds balances	<u>6,744,204</u>	<u>8,256,623</u>
Total sinking funds	<u>11,433,204</u>	<u>13,164,623</u>
Invested in plant:		
Notes payable		14,689,034
Bonds payable	78,418,614	51,839,000
Due to other funds		25,765
Net investment in plant	<u>130,358,992</u>	<u>123,777,477</u>
Total invested in plant	<u>208,777,606</u>	<u>190,331,276</u>
TOTAL PLANT FUNDS	<u>\$ 363,187,291</u>	<u>\$ 334,497,504</u>
Agency Funds:		
Agency funds balances	<u>\$ 252,689</u>	<u>\$ 495,815</u>
TOTAL AGENCY FUNDS	<u>\$ 252,689</u>	<u>\$ 495,815</u>

University of Kentucky
 Schedule of Changes in Fund Balances - Current Funds
 Seven Months Ended January 31, 1972

	<u>Unallocated</u>	<u>Operating Purposes</u>	<u>Restricted</u>	<u>Tobacco Research Trust Fund</u>	<u>Hospital and Clinics</u>	<u>Housing and Dining System Funds for Renewals and Replacements</u>	<u>Auxiliary Enterprises</u>
Balances, July 1, 1971	\$ 2,076,086	\$ 3,283,583	\$ 1,038,949	\$ 2,264,586	\$ 2,485,388	\$ 1,305,884	\$ 609,714
Allocations:							
Current operations:							
Original budget		(2,765,000)					
Current year provisions				400,000		293,958	
Expended	(2,081,100)		(400,000)		(255,111)		(470)
Parking account							(14,321)
Renovation of furniture and fixtures							(170,815)
Printing and duplicating equipment							(70,927)
Adjustments of prior year expenditures - net	8,454				750		
Balances, January 31, 1972	\$ 3,440	\$ 518,583	\$ 1,038,949	\$ 2,264,586	\$ 2,486,138	\$ 1,344,731	\$ 353,181

Schedule of Changes in Unrestricted Fund and
Hospital Estimated Income
For the Seven Months Ended January 31, 1972

	<u>Original Budget</u>	<u>July</u>	<u>August</u>	<u>September</u>	<u>October</u>	<u>November</u>	<u>January</u>	<u>Adjusted Budget</u>
Unrestricted Fund:								
Student fees	\$ 10,204,800			\$ (13,500)			\$ 11,500	\$ 10,202,800
State appropriations Federal	57,283,700		\$ (2,762)	\$ (53,517)			70,000	57,297,421
County appropriations	6,842,716			\$ 276,898				7,119,614
Endowment and trust fund income	845,943							845,943
Gifts and grants	157,200							157,200
Sales, services and other income	2,741,500	\$ 300,000		13,000			(11,500)	3,043,000
Unallocated fund balances	2,745,800			10,000			96,500	2,857,800
appropriated	2,765,000						1,681,100	4,446,100
Total								
unrestricted	\$ 83,586,659	\$ 300,000	\$ (2,762)	\$ (3,500)	\$ (53,517)	\$ 1,976,498	\$ 166,500	\$ 85,969,878
Hospital and clinics:								
State appropriations	\$ 4,297,600		\$ 2,762		\$ 53,517		\$ (70,000)	\$ 4,283,879
Hospital income	9,875,328							9,875,328
Unallocated fund balances								
appropriated						400,000		400,000
Total hospital and clinics	\$ 14,172,928		\$ 2,762	\$ 53,517	\$ 400,000	\$ (70,000)	\$ 14,559,207	

Schedule of Changes in Unrestricted Fund
and Hospital Expenditure Appropriations
For the Seven Months Ended January 31, 1972

Schedule 4

	Unrestricted	Hospital and Clinics	Total
Original budget	\$ 83,586,659	\$ 14,172,928	\$ 97,759,587
Transfers from unrestricted to Hospital and clinics	(2,762)	2,762	
Increases (decreases) as approved by Board of Trustees:			
August	300,000		300,000
September	(3,500)		(3,500)
October	(53,517)	53,517	
November	1,976,498	400,000	2,376,498
January	166,500	(70,000)	96,500
Total per Report	\$ 85,969,878	\$ 14,559,207	\$ 100,529,085

University of Kentucky
 Summary of Current Funds Revenues and Appropriated Balances
 Seven Months Ended January 31, 1972
 With Comparative Figures for 1971

Seven Months Ended January 31, 1971 (see note)		Seven Months Ended January 31, 1972	
Estimated for the Year	Realized to Date	Estimated for the Year	Realized to Date
	% Realized		% Realized
\$ 9,518,300	80.9	\$ 10,202,800	76.5
52,498,317	78.3	57,297,421	77.9
6,044,700	52.4	7,119,614	51.6
845,900	45.6	845,943	56.3
181,200	49.0	157,200	56.7
2,648,100	3.8	3,043,000	.9
2,715,843	61.8	2,857,800	50.0
3,972,135	100.0	4,446,100	100.0
78,424,495	74.2	85,969,878	72.8
2,620,406	40.5	3,260,748	32.3
800,202	100.0	2,310,646	61.7
4,299,953	78.3	4,283,879	79.8
9,106,500	72.6	9,875,328	59.3
13,406,453	74.4	14,559,207	100.0
7,656,193	62.2	7,908,159	62.0
2,533,204	73.8	2,298,576	73.0
\$ 105,440,953	72.7	\$ 116,307,214	69.9

Fund and Source	Realized to Date	% Realized
Unrestricted:		
Student fees	\$ 7,805,331	76.5
State appropriations	44,612,407	77.9
Federal appropriations	3,676,987	51.6
County appropriations	475,868	56.3
Endowment and trust fund income	89,133	56.7
Gifts and grants (includes grants from affiliated corporations)	28,698	.9
Sales, services and other income	1,430,453	50.0
Unallocated fund balances		
appropriated	4,446,100	100.0
Total unrestricted	62,564,977	72.8
Restricted	1,052,348	32.3
Tobacco Research Trust Fund	1,425,233	61.7
Hospital and clinics:		
State appropriations	3,419,093	79.8
Hospital earned income - net	5,853,851	59.3
Unallocated fund balances		
appropriated	400,000	100.0
Total Hospital and clinics	9,672,944	66.4
Housing and dining system	4,906,213	62.0
Auxiliary enterprises	1,678,798	73.0
TOTAL CURRENT FUNDS AND APPROPRIATED BALANCES	\$ 81,300,513	69.9

Note: Certain reclassifications have been made to the figures for the seven months ended January 31, 1971 for the purpose of comparability.

Schedule 6

University of Kentucky
 Summary of Current Funds Expenditures
 Seven Months Ended January 31, 1972
 With Comparative Figures for 1971

Seven Months Ended January 31, 1971		Seven Months Ended January 31, 1972	
Appropriation for the Year	Expended or Encumbered to Date	Appropriation for the Year	Expended or Encumbered to Date
% Expended or Encumbered to Date		% Expended or Encumbered to Date	
Fund or Function			
Unrestricted:			
Departments of instruction and research			
\$ 31,610,256	\$ 17,584,852	\$ 33,944,615	\$ 19,316,564
636,085	618,689	633,144	633,152
556,815	306,093	724,761	438,877
6,225,708	3,682,526	6,714,705	3,863,587
2,538,460	1,740,393	2,735,172	1,863,829
9,011,720	5,316,802	10,047,633	6,043,522
6,214,413	3,700,892	6,388,851	3,945,931
634,425	630,353	750,000	750,000
4,564,522	2,342,421	5,017,687	2,582,391
2,536,453	1,444,836	2,445,883	1,397,303
4,949,846	2,695,896	5,856,562	3,004,083
1,934,048	879,660	2,135,489	1,000,197
113,412	162,441	131,223	169,177
5,449,200	5,117,633	5,531,100	2,185,507
848,103	936,511	809,833	686,367
<u>551,029</u>		<u>2,098,220</u>	
78,424,495	47,160,038	85,969,878	47,880,517
	60.1		55.7
Total unrestricted			

Schedule 6

University of Kentucky
 Summary of Current Funds Expenditures
 Seven Months Ended January 31, 1972
 With Comparative Figures for 1971

Seven Months Ended January 31, 1971		Seven Months Ended January 31, 1972	
Appropriation for the Year	Expended or Encumbered to Date	Appropriation for the Year	Expended or Encumbered to Date
	% Encumbered to Date		% Encumbered to Date
Fund or Function			
Restricted:			
Departments of instruction and research			
	29.3	\$ 1,284,006	31.2
Organized activities		500	
Organized research	48.4	178,124	40.4
Libraries	3.5	18,120	20.8
Extension and public service	22.8	442,431	50.4
General administration	52.1		
General institutional services	73.8	117,670	47.8
Student aid	74.3	1,219,897	72.9
		<u>3,260,748</u>	<u>50.4</u>
Total restricted	49.5	1,645,031	50.4
		<u>2,310,646</u>	<u>38.3</u>
Tobacco Research Trust Fund	16.0	884,383	38.3
		<u>14,559,207</u>	<u>50.5</u>
Hospital and clinics	50.0	7,357,764	50.5
		<u>7,908,159</u>	<u>60.9</u>
Housing and dining system	61.4	4,813,206	60.9
		<u>2,298,576</u>	<u>73.0</u>
Auxiliary enterprises	56.4	1,678,199	73.0
		<u>\$ 116,307,214</u>	<u>55.2</u>
TOTAL CURRENT FUNDS EXPENDITURES	58.2	\$ 64,259,100	55.2

University of Kentucky
 Schedule of Short Term Investments
 For the Seven Months Ended January 31, 1972
 Schedule 7

	Maturity Value	Cost
Restricted Current Funds:		
Government securities:		
Federal Home Loan Bonds, 5.75%, 11-27-72	\$ 210,000	\$ 210,000
Federal Home Loan Bonds, 6.25%, 8-25-72	255,000	255,000
Banks for Cooperatives, 6.125%, 2-1-72	300,000	300,000
FNMA Notes, 8.7%, 3-10-72	20,000	20,000
Federal Land Bank Bonds, 6.5%, 10-23-72	335,000	335,000
FIC Bank Bonds, 6.25%, 5-1-72	500,000	500,000
FNMA Notes, 7.15%, 12-10-73	200,000	200,000
FIC Bank Bonds, 5.85%, 4-3-72	130,000	130,000
FIC Bank Bonds, 5.55%, 6-1-72	200,000	200,000
FIC Bank Bonds, 5.55%, 7-3-72	100,000	100,000
FIC Bank Bonds, 5.85%, 4-3-72	200,000	<u>200,000</u>
Total government securities		<u>2,450,000</u>
Corporate notes:		
Penn Central Transportation Company, 8.875%, 6-29-70	500,000	<u>481,017</u>

Schedule 7

University of Kentucky
 Schedule of Short Term Investments
 For the Seven Months Ended January 31, 1972

	Maturity Value	Cost
Restricted Current Funds (continued)		
Certificates of deposit:		
Bank of Commerce and Trust Company, 5.5%, 2-5-72	\$ 100,000	\$ 100,000
First Security National Bank & Trust Company, 5%, 3-8-72	100,000	100,000
Bank of Lexington, 5.25%, 3-8-72	100,000	100,000
Bank of Commerce and Trust Company, 5.5%, 3-8-72	100,000	100,000
First Security National Bank & Trust Company, 5.5%, 5-12-72	100,000	100,000
Louisville Trust Company, 5.5%, 5-12-72	100,000	100,000
Second National Bank & Trust Company, 5.875%, 6-30-72	300,000	300,000
Citizens Union National Bank & Trust Company, 6%, 6-26-72	100,000	100,000
First Security National Bank & Trust Company, 6.125%, 6-30-72	300,000	300,000
Citizens Union National Bank & Trust Company, 5.05%, 1-18-73	600,000	600,000
Second National Bank & Trust Company, 5%, 1-18-73	600,000	600,000
Bank of Commerce & Trust Company, 5%, 1-18-73	500,000	500,000
Total certificates of deposit		<u>3,000,000</u>
Total Restricted Current Funds		5,931,017
Less Allowance for Decline in Market Value of Securities		<u>481,017</u>
NET RESTRICTED CURRENT FUNDS		<u>\$5,450,000</u>
Agency Funds-Certificates of deposit:		
First Security National Bank & Trust Company, 5%, 3-2-72	\$ 3,000	<u>\$ 3,000</u>

Schedule 8

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

	Board		Estimated Project Cost	Expenditures and Encumbrances		Balance of Allotment
	Approved	Estimated		Allotment	Encumbrances	
<u>Main Campus-Subschedule A</u>						
Consolidated Educational Bonds C & D (June 8, 1971 Minutes of the Board)						
Classroom-Office Building 128 and 129	\$ 11,980,250	\$ 11,978,082	\$ 11,978,082	\$ 11,935,750	\$ 42,332	
Agricultural Sciences -Lab Building # 2-749	5,390,399	5,390,399	5,386,679	5,172,611	214,068	
Appurtenant Facilities-Parking Structures -916	3,752,074	3,752,074	3,752,074	3,752,074		
Appurtenant Facilities-Utilities	5,144,744	5,144,744				
Medical Center -Relocation of Cooling Tower -302			1,794,413	1,751,172	43,241	
Electrical Substation # 2-Central Campus -919			706,652	702,337	4,315	
Cooling Plant # 2-Central Campus -920			1,184,592	1,183,507	1,085	
Central Heating Plant -Aux. Equipment -921			443,774	426,351	17,423	
Utility Distribution System -935			367,284	367,284		
Cooling Plant # 1-Expansion-942			632,625	597,002	35,623	
Subtotal	5,144,744	5,144,744	5,129,340	5,027,653	101,687	
Utilities Construction FCR -3, December 8, 1970	1,300,000	1,338,561				
Interconnection of Steam Lines Medical Center and Upper Street Heating Plants -324			708,428	672,847	35,581	
Chilled Water Steam and Electrical Distribution Multidiscipline -973			630,133	524,098	106,035	
Subtotal	1,300,000	1,338,561	1,338,561	1,196,945	141,616	
Conversion of Electrical Distribution System FCR-4 March 16, 1971	1,450,000	1,450,000				
Replacement of Boilers- Upper Street Heating Plant-975			268,463	251,348	17,115	
Conversion from 4KV to 12 KV-976			25,100	20,135	4,965	
Subtotal	1,450,000	1,450,000	293,563	271,483	22,080	

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

<u>Main Campus-Subschedule A-continued</u>	<u>Board Approved</u>	<u>Estimated Project Cost</u>	<u>Allotment</u>	<u>Expenditures and Encumbrances</u>	<u>Balance of</u>
	\$	\$	\$		<u>Allotment</u>
Appurtenant Facilities-Permanent Surface Parking	355,598	355,299	291,454	291,454	
Surface Parking-Lighting and Landscaping-936			61,526	61,526	
Surface Parking-Harrison and Euclid Avenues-963			2,319	2,319	
Site Clearance-107			355,299	355,299	
Subtotal	355,598	355,299	318,992	318,992	
Appurtenant Facilities-Pedestrian Access & Light-937	345,598	318,992	318,992	318,992	
Lab Office & Studio Facilities-University Wide	1,684,101	1,647,591	101,423	101,423	
Arts Building for Metal Casting-601			1,546,168	1,546,168	Completed
Prefabricated Research Lab. Phase I-934			1,647,591	1,647,591	
Subtotal	1,684,101	1,647,591	424,494	424,494	
Complete Interior Reconstruction-Memorial Hall-930	424,494	424,494	424,494	424,494	
Patient Care Services (June 8, 1971 Board Minutes & Planning PR-11, January 29, 1969)-307	4,500,000	4,507,000	131,085	117,194	13,891
Addition to Margaret I. King Library (June 8, 1971 Board Minutes & Planning PR-11, January 29, 1969)-938	3,700,000	2,352,676	2,352,676	161,364	2,191,312
Substantial Interior Reconstruction-Portion Library Service Building-924	472,708	437,229	437,229	437,229	
Appurtenant Facilities-Site Preparation (FCR-7, October 20, 1970)	480,490	491,518	427,490	414,412	13,078
Veterans Administration Hospital Site Preparation and Clearance-941			64,028	57,505	6,523
Veterans Administration Hospital-Connecting Bridge-943			491,518	471,917	19,601
Subtotal	480,490	491,518	491,518	471,917	19,601

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

	Board Approved	Estimated Project Cost	Expenditures and Encumbrances	Balance of Allotment
<u>Main Campus-Subschedule A-continued</u>				
Laboratory Office Facilities-967-FCR-2, May 5, 1970	\$ 2,300,000	\$ 2,131,142	\$ 2,011,364	\$ 119,778
Site Clearance-107		3,478	3,478	
Subtotal	2,300,000	2,134,620	2,014,842	119,778
Health, Physical Education and Recreation Bldg. -968 (FCR-2 May 5, 1970)	2,500,000	2,560,800	2,471,273	89,527
Completed Projects	420,186	420,186	420,186	Completed
Total	46,200,642	44,869,645	39,152,789	2,955,892
Reserve for Additional Projects	524,187	1,300,000		
Legal, Administrative and Interest Expense	5,842,218	4,928,761	4,928,761	
Contingency and Clearing Account-900		1,596,226	5,245,833	5,245,833
Total Subschedule A	\$ 52,567,047	\$ 49,327,383	\$ 41,125,658	\$ 8,201,725

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Main Campus -Subschedule A-continued	<u>Amount</u>	<u>Realized</u>	<u>Unrealized</u>
<u>Source of Funds:</u>			
Series D Bonds	\$34,700,000	\$34,700,000	
Series C Bonds	4,290,000	4,290,000	
Interest Income	3,762,088	3,762,088	
Note Premium	1,239	1,239	
Fund Balances:			
December 12, 1969 Annual Debt Service Appropriation	110,000	110,000	
December 14, 1970 Annual Debt Service Appropriation	700,000	700,000	
Subtotal	43,563,327	43,563,327	
General Obligation Bonds:			
Utilities-FCR-3, December 8, 1970	1,350,000	1,350,000	
Planning- PR 11, January 29, 1969	139,864	139,864	
Administrative Meeting, November 9, 1971	457,216	\$ 457,216	
Proceeds from Fire Loss	179,684	179,684	
Hill Burton Funds	2,300,000		2,300,000
Veterans Administration	659,254	232,293	426,961
Special State Capital Construction Funds	578,000	578,000	
State Capital Construction Funds	500,000	500,000	
Auxiliary Enterprises	149,882	149,882	
Housing and Dining Funds	225,979	225,979	
Title I Grants	1,445,356	1,262,284	183,072
Title II Grants	1,129,070	1,129,070	
Trust and Agency (Furniture and Equipment-Service Building)	17,000	17,000	
Total Source of Funds	<u>\$52,694,632</u>	<u>\$49,327,383</u>	<u>\$ 3,367,249</u>

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Main Campus-Subschedule A-continued

SUMMARY OF UNAPPROPRIATED FUNDS-SERIES C & D BONDS

Balance in Clearing Account	\$ 5,245,833
Unrealized Income	<u>3,367,249</u>
Subtotal	8,613,082
Additional Allotments:	
Patient Care Services	\$ 4,375,915
Appurtenant Facilities-Utilities	15,404
Conversion of Electrical Distribution System	1,156,437
Agr. Sciences Lab	3,720
Lab Office Facility	<u>165,380</u>
Total Additional Allotments	<u>(5,716,856)</u>
Balance Available	\$ 2,896,226

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Schedule 8

<u>Main Campus Planning-Subschedule B</u>	<u>Board</u>	<u>Estimated</u>	<u>Project Cost Allotment</u>	<u>Expenditures</u>	<u>Balance</u>
<u>Consolidated Educational Bonds (not assigned)</u>	<u>Approved</u>	<u>Project Cost</u>	<u>Allotment</u>	<u>and</u>	<u>of</u>
<u>(PR10 & 11-January 29, 1969)</u>				<u>Encumbrances</u>	<u>Allotment</u>
Lab Office Building-Biological Sciences-Phase I-940	\$ 10,000,000	\$ 11,378,000	\$ 141,625	\$ 120,625	\$ 21,000
Computer Facilities (cancelled)-962	2,800,000	6,208	6,208	6,208	
Medical Center-New Reconstruction and Renovation Addition of 2 Floors-301	8,500,000	8,500,000	10,000	10,000	
Handicapped Children's Center-939			10,000	10,000	
Subtotal	<u>8,500,000</u>	<u>8,500,000</u>	<u>20,000</u>	<u>20,000</u>	
Total Subschedule B	<u>\$ 21,300,000</u>	<u>\$ 19,884,208</u>	<u>\$ 167,833</u>	<u>\$ 146,833</u>	<u>\$ 21,000</u>

Source of Funds:
General Obligation Bonds \$ 167,833

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Schedule 8

	<u>Board Approved</u>	<u>Estimated Project Cost</u>	<u>Allotment</u>	<u>Expenditures and Encumbrances</u>	<u>Balance of Allotment</u>
<u>Main Campus-Subschedule C</u>					
Non-Recurring Maintenance Items (FCR-6, April 2, 1968 & PR 5 November 10, 1968)					
Roof Repairs-Engr. Building-922	\$ 42,000	\$ 16,577	\$ 16,577	\$ 16,577	
Air Conditioning- Bowman, Bradley, Breckinridge and Kinkead-138	387,410	371,843	371,843	371,843	
Centrex- Conduit for Medical Center-321	57,830	52,044	52,044	52,044	
Repairs-Administration Building	37,609	62,866			
Window Air Conditioners 39-090			11,750	\$ 11,685	65
Replace Windows 39-091			39,350	39,350	
Subtotal	37,609	62,866	51,100	51,035	65
Hardware-Animal Pathology Bldg. & Home Ec. Bldg. 38-429	12,438	10,000	10,000	7,967	2,033
Roof Repairs-Administration Annex-969	8,000	14,760	14,760	14,760	
Campus Utilities Electrical 119-072		138,321	64,953	17,779	47,174
Barker Hall-Sandblasting-977		13,892	13,892	13,240	652
Cancelled Projects	349,000				
Completed Projects	255,713	243,145	243,145	243,145	Completed
Total	1,150,000	923,448	838,314	788,390	49,924
Unallotted Non-Recurring Maintenance			148,225		148,225
Contingency		54,091			
Total Subschedule C	\$ 1,150,000	\$ 977,539	\$ 986,539	\$ 788,390	\$ 198,149

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

<u>Subschedule C-continued</u>	<u>Amount</u>	<u>Realized</u>	<u>Unrealized</u>
<u>Source of Funds:</u>			
University Fund Balances	\$ 25,000	\$ 25,000	
General Obligation Bonds	41,390	41,390	
Restricted	1,928	1,928	
Renovation Funds-1969-70	1,540	1,540	
Fund Balances-			
PR-5, November 19, 1968	900,000	900,000	
FCR-6, April 2, 1968	112,400	112,400	
FCR-6, April 2, 1968	137,600	137,600	
Transferred to Minor Renovation Funds	(194,000)	(185,000)	(9,000)
Transferred to State Capital Construction Projects	(55,000)	(55,000)	
Athletic Association	6,681	6,681	
Total Source of Funds	\$ 977,539	\$ 986,539	\$ (9,000)

SUMMARY OF UNAPPROPRIATED FUNDS-NON-RECURRING MAINTENANCE

Balance in Clearing	\$ 148,225
Unrealized Transfers	(9,000)
To be Allotted	(85,134)
Balance Available	\$ 54,091

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Schedule 8

	<u>Board Approved</u>	<u>Estimated Project Cost Allotment</u>	<u>Expenditures and Encumbrances</u>	<u>Balance of Allotment</u>
Main Campus-Subschedule D				
State Capital Construction Funds-FCR-3, (February 18, 1969)				
Agricultural Regulatory Service Facilities-745		\$ 3,720 \$	3,720	
Community Medicine Facility-Mycology and Animal Tuberculosis-322	\$ 100,000	145,185	109,447	\$ 35,738
Renovation of Engineering Quadrangle-111	250,000	349,332	336,345	12,987
Development of Intramural Fields-118	250,000	277,485	268,592	8,893
Renovation of Neurosurgery-960	220,000	270,014	266,893	3,121
Quicksand Wood Utilization Center				
Trailers-109	150,000	173,751	145,830	1,610
Trailers-Force Account-110		12,000	12,000	Completed
Student Housing Renovation-320		14,311	14,311	Completed
Subtotal	150,000	173,751	172,141	1,610
ETV Equipment for Community Colleges-518				
Jefferson Community College-ETV-555	100,000	118,109	87,814	22,724
Subtotal	100,000	118,109	6,999	572
Subtotal		118,109	94,813	23,296
Contingency	3,500	11,904		
Undistributed (not allotted specific projects)			67,067	67,067
Total Subschedule D				
	\$ 1,073,500	\$ 1,349,500	\$ 1,251,951	\$ 152,712
Source of Funds:				
Board Action-FCR-3	\$ 1,853,500	\$ 1,853,500		
Transferred to Ag. Science Building II	(500,000)	(500,000)		
Transferred from Non-Recurring Maintenance	55,000	55,000		
Restricted Funds (Engr. Equipment Account)	41,000	41,000		
Transferred to Miscellaneous Construction	(100,000)	\$ (100,000)		
Temporary Advance to Subschedule F. a.		(44,837)	44,837	
Total Source of Funds	\$ 1,349,500	\$ 1,404,663	\$ (55,163)	

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Subschedule D-continued

SUMMARY OF UNAPPROPRIATED FUNDS-STATE CAPITAL CONSTRUCTION FUNDS

Balance in Clearing Account	\$ 67,067
Unrealized Transfers	(100,000)
Temporary Advance to be Repaid	<u>44,837</u>
Balance Available	\$ 11,904

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Schedule 8

	<u>Board</u>	<u>Approved</u>	<u>Estimated</u>	<u>Project Cost</u>	<u>Allotment</u>	<u>Expenditures</u> <u>and</u> <u>Encumbrances</u>	<u>Balance</u> <u>of</u> <u>Allotment</u>
<u>Main Campus -Subschedule E</u>							
Major Improvements- (PR 6, November 10, 1967) & FCR-2, December 9, 1969)		\$ 136,500	\$ 138,009	\$ 136,541	\$ 136,541		
Substantial Interior Reconstruction Portions							
Anderson Hall (Engr. Quadrangle)-922	150,000	225,405	225,405	225,405	215,073	\$ 10,332	Completed
Minor Interior Changes & Major Mech & Electrical Highway Materials Research Lab	1,223,350	1,288,862	1,288,862	1,288,862	1,288,862		
Graham Avenue)-932	95,500						
Completed Projects	194,650	14,881	22,146	22,146		22,146	
Cancelled Projects							
Contingency and Clearing Account 39-700	1,800,000	1,667,157	1,672,954	1,640,476	1,640,476	32,478	
Subtotal PR-6		58,262	52,465	50,378	50,378	2,087	
Demolition of Houses-107		47,347	47,347	47,347	47,347		
Flammable Storage Buildings-101							
Total Subschedule E	\$ 1,800,000	\$ 1,772,766	\$ 1,772,766	\$ 1,738,201	\$ 1,738,201	\$ 34,565	

University of Kentucky
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 For the Seven Months Ended January 31, 1972

<u>Main Campus-Subschedule E--continued</u>	<u>Amount</u>	<u>Realized</u>
<u>Source of Funds:</u>		
Fund Balances- PR-6, November 10, 1967	\$ 1,013,376	\$ 1,013,376
General Obligation Bonds-		
FCR-2, December 9, 1969	\$ 786,624	
Available Balances Returned	(10,097)	
Total G. O. B.		
Grants	776,527	776,527
Trust and Agency	136,588	136,588
University Funds	10,000	10,000
Restricted Funds	4,982	4,982
Subtotal	<u>1,969,539</u>	<u>1,969,539</u>
Less:		
Sewer Connection Fee-FCR-3, March 12, 1968	(35,000)	(35,000)
Transferred to Miscellaneous Construction Schedule	(150,000)	(150,000)
Transferred to Research Feed Processing Center	<u>(11,773)</u>	<u>(11,773)</u>
Total Source of Funds	<u>\$ 1,772,766</u>	<u>\$ 1,772,766</u>

SUMMARY OF UNAPPROPRIATED FUNDS-MAJOR IMPROVEMENTS

Balance in Clearing	\$ 22,146
Additional Allotments	<u>(7,265)</u>
Balance Available	\$ 14,881

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<u>Main Campus-Subschedule F</u>	Board Approved	Estimated Project Cost	Allotment	Expenditures and Encumbrances	Balance of Allotment
a. Others					
Closed Circuit TV	\$ 70,000	\$ 71,059			
Engr. & Commerce Buildings-966		\$ 9,854	\$ 9,854	\$ 9,854	
Completion Classroom Office-39-076		9,500	9,500	9,500	
T. V. Receivers and Tape-39-070		40,024	30,430	30,430	\$ 9,594
Completed Projects		11,681	11,681	11,681	Completed
Subtotal	70,000	71,059	71,059	61,465	9,594
Miscellaneous Parking Lot Construction					
1970-71 (FCR-4, June 17, 1969)-964, 970	200,000	246,400	246,400	233,294	13,106
1971-72 (FCR-2, June 9, 1970)-165, 166	200,000	200,000	43,164	40,671	2,493
Subtotal	400,000	446,400	289,564	273,965	15,599
Coldstream Research Feed Processing Center-746					
(FCR-3, June 9, 1970)	293,475	293,475	293,475	279,782	13,693
South Farm Horticulture-Storage and Research-750					
Agri. Service-Agronomy Seed and Lab-922		72,601	72,601	72,601	
College of Agriculture Seed Bldg. -556		2,500	2,500	325	2,175
Fire Escape- Jewell & Reynolds-905		250,000	250,000		250,000
Alterations to Doctor's Parking Lot-325		58,222	58,222	58,222	
Shively Sports Center Swimming Pool-978		4,500	4,500	4,500	
New Facilities for WBKY-979		2,000	2,000	1,200	800
Renovation Frazee Hall-974		58,837	58,837	52,750	6,087
Funkhouser -Biological Sciences-931		12,942	12,942	11,773	1,169
Subtotal	763,475	1,271,536	1,116,700	817,583	299,117
Total Subschedule F. a.					

University of Kentucky
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 For the Seven Months Ended January 31, 1972

<u>Main Campus-Subschedule F -continued</u>	<u>Amount</u>	<u>Realized</u>	<u>Unrealized</u>
<u>Source of Funds-Subschedule F. a.</u>			
Auxiliary Enterprises (Parking Fees)	\$ 446,400	\$ 446,400	
Parking Fees Reserved in Clearing Account		(156,836)	\$ 156,836
Special State Appropriation	250,000	250,000	
State Fire and Tornado Fund	134,256	134,256	
USDA Grants	164,503	164,503	
HEW Broadcasting Facilities Grant	44,837		44,837
70-71 Renovation Funds	87,942	87,942	
69-70 Renovation Funds	2,500	2,500	
Fund Balances	93,025	93,025	
Transferred from PR6	11,773	11,773	
Program Improvement Reserve	36,300	36,300	
Subtotal	1,271,536	1,069,863	201,673
Advance from Fund Balances		2,000	(2,000)
Advance from State Capital Construction Funds		44,837	(44,837)
Total	1,271,536	1,116,700	154,836
		Expenditures and	Balance of
	Board Approved	Project Cost	Allotment
b. Purchase of Computer-103(FCR-2, December 9, 1969)	\$ 2,007,344	\$ 2,007,344	\$ 2,007,344
	Encumbrances	Allotment	Completed
<u>Source of Funds-Subschedule F. b. -</u>			
<u>FCR-2</u>			
Trust and Agency	\$ 1,819,612	\$ 1,819,612	
Restricted Funds	187,732	187,732	
Total	2,007,344	2,007,344	

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Schedule 8

<u>Main Campus-Subschedule F-continued</u>	<u>Board Approved</u>	<u>Estimated Project Cost</u>	<u>Allotment</u>	<u>Expenditures and Encumbrances</u>	<u>Balance of Allotment</u>
c. Property Acquisitions-135	\$ 3,800,000	\$ 3,817,507	\$ 3,817,507	\$ 3,416,707	\$ 400,800
<u>Source of Funds-Subschedule F. c.</u>					
General Obligation Bonds					
FCR-4, May 6, 1969	\$ 2,300,000				
FCR-2, December 9, 1969	<u>187,732</u>				
Subtotal	2,487,732	2,487,732			
Restricted Fund Balances					
PR-5, November 19, 1968		900,000			
FCR-2, December 9, 1969		(187,732)			
Phasing Out Operations of South End Frozen Food Locker		(9,517)			
Transfer of Land Sale Proceeds		<u>(18,106)</u>			
Subtotal		684,645	684,645		
Proceeds from Real Estate Sales Trust and Agency Funds		98,606	98,606		
Program Improvement Reserve		32,450			
Agriculture Department		14,074			
PR-7, May 5, 1970		100,000			
PR-4, January 19, 1971		<u>400,000</u>			
Subtotal		546,524	546,524		
Total	<u>3,817,507</u>	<u>3,817,507</u>			

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Main Campus-Subschedule F-continued	Board		Estimated Project Cost	Allotment	Expenditures and Encumbrances	Balance of Allotment
	Approved	Estimated				
d. Completed Projects (Medical Center - Hill Burton)	\$ 25,398,144	\$ 25,286,631	\$ 25,286,631	\$ 25,286,631	\$ 25,286,631	\$ 25,286,631

Source of Funds-Subschedule F. d.
 Federal Grants 10,192,147
 Special State Appropriation 15,094,484
 Total 25,286,631

e. Housing and Dining Complex	Board		Estimated Project Cost	Allotment	Expenditures and Encumbrances	Balance of Allotment
	Approved	Estimated				
	\$ 1,947,242	\$ 1,895,050	\$ 1,895,050	\$ 1,895,050	\$ 1,894,241	\$ 809

Source of Funds-Subschedule F. e.
 Series H & I Bonds 1,922,821
 Trust and Agency 24,420
 Transferred to Subschedule F. f. (52,191)
 Total 1,895,050

f. Undistributed Portion of Fund Balances-100 Restricted Funds	Board		Estimated Project Cost	Allotment	Expenditures and Encumbrances	Balance of Allotment
	Approved	Estimated				
University Funds Reserved for Additional Projects				8,031		8,031
University Funds Reserved for Parking						156,836
Unallocated H & I Bonds						52,191
Unallocated						253,973*
Total Subschedule F. f.				471,031		471,031
Total Subschedule F.	\$ 33,916,205	\$ 34,278,068	\$ 34,594,263	\$ 33,422,506	\$ 1,171,757	

* Funds were temporarily advanced to Madisonville Community College: \$ 400,000 from reserve for additional projects and \$ 82,222 from unallocated fund balances.

University of Kentucky
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<u>Main Campus-Subschedule G</u> General Obligation Bonds	Board Approved	Estimated Project Cost	Allotment	Expenditures and Encumbrances	Balance of Allotment
Completed Projects FCR-2, June 9, 1970	\$ 196,507 \$	190,005 \$	190,005 \$	190,005 \$	Completed
Contingency		5,231			
Unallocated General Obligation Bonds			629,649	\$	629,649
Total Subschedule G	\$ 196,507 \$	195,236 \$	\$ 819,654 \$	190,005 \$	629,649

Source of Funds:	Amount	Realized	Unrealized
General Obligation Bond Proceeds	\$ 5,783,000	5,783,000	
Transferred to Other Schedules:			
Subschedule A (C & D Bonds)	(1,947,080)	(1,489,864)	\$ (457,216)
Subschedule B (Main Campus Planning)	(167,833)	(167,833)	
Subschedule C (Non-Recurring Maintenance)	(41,390)	(41,390)	
Subschedule E (Major Improvements)	(776,527)	(776,527)	
Subschedule F. c. (Property Acquisitions)	(2,487,732)	(2,487,732)	
Subschedule H (Miscellaneous Construction)	(167,202)		(167,202)
Total Source of Funds	\$ 195,236 \$	\$ 819,654 \$	\$ (624,418)

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Subschedule G--continued

SUMMARY OF UNAPPROPRIATED FUNDS--GENERAL OBLIGATION BONDS

G. O. Bonds Current Balance	\$ 629,649
Unrealized Transfers	<u>(624,418)</u>
Balance Available	\$ 5,231

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

	Administrative Estimated		Expenditures and Encumbrances	Balance of Allotment
	Approved	Project Cost		
<u>Main Campus-Subschedule H</u>				
Miscellaneous Construction (November 9, 1971				
Administrative Meeting)				
Renovation Lafferty Hall-971	\$ 305,000	\$ 305,000	2,000 \$	13,000
Taylor Education Building-North Wing Renovation-117	140,000	140,000	1,000	25,198
Hospital Elevators-984	200,000	200,000		
Medical Center-Exterior Repairs	120,000	120,000		
Roof Repairs-985	50,000	50,000		
Sandblasting and Tuckpointing-983	125,000	125,000		
Carnahan House-Expansion of Restrooms-982	25,000	25,000		
Subtotal	965,000	965,000	3,000	38,198
Reserve for Academic Projects	1,300,000	1,300,000		
Unallocated Miscellaneous Construction 40-800				492,500
Total Subschedule H	\$ 2,265,000	\$ 2,265,000	3,000 \$	530,698

Source of Funds:	Amount		Unrealized
	Realized	Unrealized	
Fund Balances(Administrative Meeting, November 9, 1971)	\$ 1,464,100	\$ 1,464,100	
Transferred from Non-Recurring Maintenance	185,000	185,000	
Transferred from Major Improvements PR-6	150,000	150,000	
Transferred from 1969-70 Renovation Funds	126,198	126,198	
Transferred from 1970-71 Renovation Funds	3,500	3,500	
Transferred from 1971-72 Renovation Funds	69,000	69,000	
Transferred from State Capital Construction Funds	100,000		100,000
Transferred from General Obligation Bonds	167,202		167,202
Total Source of Funds	\$ 2,265,000	\$ 533,698	\$ 1,731,302

SUMMARY OF UNAPPROPRIATED FUNDS-MISCELLANEOUS CONSTRUCTION	
Balance in Clearing	\$ 492,500
Unrealized Income	1,731,302
To be Allotted	(923,802)
Balance Available	\$ 1,300,000

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Community Colleges-Subschedule I
Consolidated Education Bonds-Series A & B (FCR-2
November 17, 1970)

	Board Approved	Estimated Project Cost	Allotment	Expenditures and Encumbrances	Balance of Allotment
Ashland Academic Facilities-523	\$ 3,352,770	\$ 3,309,770	\$ 3,309,770	\$ 3,298,708	\$ 11,062
Ashland Parking Lot-519		90,000	90,000		90,000
Carrollton-558		20,000	20,000		20,000
Elizabethtown Academic Facilities-525	1,550,070	1,554,348	1,554,348	1,554,348	
Glasgow-557		20,000	20,000		20,000
Hazard Academic Facilities-527	1,820,786	1,820,786	1,820,786	1,791,147	29,639
Henderson Academic Facilities-529	1,235,645	1,235,645	1,235,645	1,229,507	6,138
Hopkinsville Academic Facilities-531	750,678	750,678	750,678	747,819	2,859
Jefferson Phase II-534	3,789,171	3,861,327	3,861,327	3,785,051	76,276
Jefferson Utilities Tunnel-549	412,638	412,638	412,638	412,638	
Jefferson Phase III-535	10,000	10,000	10,000	10,000	
Madisonville Preliminary Development-550	14,200	14,200	14,200	13,593	607
Madisonville Academic Facilities-554	2,474,650	2,908,777	2,676,777	336,854	2,339,923
Maysville Academic Facilities-537	1,857,061	1,867,431	1,857,061	1,815,391	41,670
Prestonsburg Preliminary Development-513	12,897	12,897	12,897	12,597	300
Prestonsburg Academic Facilities-541	1,632,199	1,632,199	1,632,199	1,625,458	6,741
Somerset Academic Facilities-543	805,276	847,759	829,454	820,417	9,037
Somerset Library Equipment-40-038		36,610	14,000	18,049	(4,049)
Southeast Academic Facilities-545	1,004,787	1,024,376	1,005,787	996,917	8,870
Educational Television-Community Colleges	45,000				
Southeast-521		19,248	19,248	17,443	1,805
Henderson-552		24,500	23,732	22,892	840
Prestonsburg-553		4,530	4,530	4,530	
Subtotal	45,000	48,278	47,510	44,865	2,645
Completed Projects	2,569,450	2,499,504	2,499,504	2,499,504	Completed
Total	23,337,278	23,977,223	23,674,581	21,012,863	2,661,718
Contingency		545,590			

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 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972
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<u>Community Colleges-Subschedule I-continued</u>	<u>Board Approved</u>	<u>Estimated Project Cost</u>	<u>Expenditures and Encumbrances</u>	<u>Balance of Allotment</u>
Legal, Administrative, and Interest Expenses		\$ 1,166,628	\$ 1,166,628	\$ 1,166,628
Clearing Account-500			257,906	\$ 257,906
Total Subschedule I	\$ 23,337,278	\$ 25,689,441	\$ 25,099,115	\$ 22,179,491
<u>Source of Funds:</u>	<u>Amount</u>	<u>Realized</u>	<u>Unrealized</u>	
Title I Grants	\$ 7,032,713	\$ 6,039,470	\$ 993,243	
Title VI Grants	18,305	14,000	4,305	
Temporary Advance from Subschedule F. f.		482,222	(482,222)	
Norton Memorial Hospital	95,063	95,063		
Ashland Board of Education	45,000	45,000		
Madisonville Reserve	23,150	23,150		
Trust and Agency	2,500	2,500		
Special State Appropriation	40,000	40,000		
Old Series A & B Bonds	1,960	1,960		
Series A & B Bonds:				
Original Issue- \$ 16,300,000				
Series A	12,125,000	12,125,000		
Fund Balances	75,000		75,000	
Series B	4,489,000	4,489,000		
Bond Premium	360	360		
Interest Earned	1,741,390	1,741,390		
Total Source of Funds	25,689,441	25,099,115	590,326	

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Subschedule I-continued

SUMMARY OF UNAPPROPRIATED FUNDS-SERIES A & B BONDS

Balance in Clearing Account	\$	257,906
Unrealized Income		<u>1,072,548</u>
Subtotal		\$ 1,330,454
Additional Allotments		(302,642)
Advance to be Repaid		<u>(482,222)</u>
Balance Available	\$	545,590

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Schedule 8

	Board Approved	Estimated Project Cost	Allotment	Expenditures and Encumbrances	Balance of Allotment
Community Colleges-Subschedule J					
Others-					
Jefferson-Demolition Old Pharmacy Building-538	\$	4,469 \$	4,469 \$	4,469	
Somerset Amphitheater -502		1,000	1,000	1,000	Completed
Ashland Phase II-524		7,500	7,500	5,000 \$	2,500
Total Subschedule J	\$	12,969 \$	12,969 \$	10,469 \$	2,500

Source of Funds:

	Amount	Realized	Unrealized
Trust and Agency Advance FCR-3, March 10, 1970	\$ 7,500	\$ 7,500	
Fund Balances	1,000	1,000	
Due from Other Funds	7,500		\$ 7,500
Advance to be Repaid	(7,500)		(7,500)
1970-71 Renovation Funds	4,469	4,469	
Total Source of Funds	\$ 12,969	\$ 12,969	

University of Kentucky

Schedule 8

Schedule of Unexpended Plant Funds

For the Seven Months Ended January 31, 1972

	Board Approved	Estimated Project Cost	Allotment	Expenditures and Encumbrances	Balance of Allotment
<u>Minor Renovation Funds-Subschedule K</u>					
<u>1971-72 Renovation Funds -</u>					
Projects in Process	\$ 250,000	\$ 194,197	\$ 192,252	\$ 194,197	(1,945)
Completed Projects		12,768	12,768	12,768	Completed
Unallocated Regular Clearing Account 40-500			105,280		105,280
Unallocated Miscellaneous Clearing Account 40-600					
Stock Furniture Account 40-096, 40-097	100,000	100,000	100,000	37,029	62,971
Medical Center Renovation	242,000	242,000	242,000	132,431	109,569
Handicapped Facilities, 40-085	15,000	16,700	15,000	16,700	(1,700)
Planting and Landscaping, 40-086	20,000	35,000	20,000	4,000	16,000
Outside Painting (Buildings, Sandblasting), 40-087	20,000	20,000	20,000		20,000
Outside Painting (Rose-Limestone Triangle), 40-088	14,000	8,000	14,000		14,000
Sign Program, 40-056, 40-057	20,000	20,000	20,000	9,000	11,000
Contingency		101,635			
Subtotal	681,000	750,300	741,300	406,125	335,175
<u>1970-71 Renovation Funds -</u>					
Projects in Process	600,000	350,401	350,401	309,722	40,679
Completed Projects		234,843	234,843	234,843	Completed
Unallocated Regular Clearing Account 39-500			9,295		9,295
Stock Furniture Account 39-096		25,596	25,596	23,142	2,454
Contingency		9,295			
Subtotal	600,000	620,135	620,135	567,707	52,428
<u>1969-70 Renovation Funds -</u>					
Projects in Process	400,000	3,400	3,400	2,428	972
Completed Projects		258,047	258,047	258,047	Completed
Unallocated Regular Clearing Account 39-099			719		719
Contingency		719			
Subtotal	400,000	262,166	262,166	260,475	1,691
<u>Total Subschedule K</u>					
	\$ 1,681,000	\$ 1,632,601	\$ 1,623,601	\$ 1,234,307	\$ 389,294

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Schedule 8

<u>Subschedule K-continued</u>	<u>Amount</u>	<u>Realized</u>	<u>Unrealized</u>
<u>Source of Funds:</u>			
1971-72 Allocation	\$ 750,000	\$ 750,000	
Transferred to Miscellaneous Construction	(69,000)	(69,000)	
Hospital Funds	22,000	22,000	
Athletic Association	10,000	10,000	
Tobacco Health Research	5,500	5,500	
Non-Recurring Maintenance	9,000	\$ 9,000	
Transferred from 1970-71 Funds	22,800	22,800	
Subtotal 1971-72 Funds	750,300	741,300	9,000
1970-71 Allocation			
PR-7, May 5, 1970	\$ 300,000		
PR-4, January 19, 1971	300,000		
Total 1970-71 Allocation	600,000	600,000	
Transferred to Subschedule F. a.	(87,942)	(87,942)	
Transferred to Subschedule H.	(3,500)	(3,500)	
Transferred to Subschedule J.	(4,469)	(4,469)	
Transferred from 1969-70 Funds	7,000	7,000	
Transferred to 1971-72 Funds	(22,800)	(22,800)	
Transferred from 1969-70 Stock Furniture	596	596	
Auxiliary Enterprises	17,000	17,000	
Transferred from Other Funds	114,250	114,250	
Subtotal 1970-71 Funds	620,135	620,135	
1969-70 Allocation, PR 6, October 21, 1969	400,000	400,000	
Transferred to 1970-71 Stock Furniture	(596)	(596)	
Transferred to Subschedule C	(1,540)	(1,540)	
Transferred to Subschedule F. a.	(2,500)	(2,500)	
Transferred to 1970-71 Funds	(7,000)	(7,000)	
Subtotal 1969-70 Funds	262,166	262,166	
Total Source of Funds	\$ 1,632,601	\$ 1,623,601	\$ 9,000

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Subschedule K - continued

SUMMARY OF UNAPPROPRIATED FUNDS-MINOR RENOVATION

Balance of 1971-72 Clearing Account	\$	105,280
Overallotted Outside Painting Additional Allotments		6,000
Projects in Process	\$	1,945
Handicapped Facilities		1,700
Planting and Landscaping		<u>15,000</u>
Total Additional Allotments		(18,645)
Unrealized Income		<u>9,000</u>
Total 1971-72 Unappropriated Funds	\$	101,635
Balance of 1970-71 Clearing Account		9,295
Balance of 1969-70 Clearing Account		<u>719</u>
Balance Available	\$	111,649

University of Kentucky
 Schedule of Unexpended Plant Funds
 For the Seven Months Ended January 31, 1972

Schedule 8

	Board Approved	Estimated Project Cost	Allotment	Expenditures and Encumbrances	Balance of Allotment
<u>SUMMARY OF SUBSCHEDULES</u>					
A. Consolidated Education Bonds C & D	\$ 52,567,047	\$ 52,694,632	\$ 49,327,383	\$ 41,125,658	\$ 8,201,725
B. Main Campus-Planning	21,300,000	19,884,208	167,833	146,833	21,000
C. Non-Recurring Maintenance	1,150,000	977,539	986,539	788,390	198,149
D. State Capital Construction Funds	1,073,500	1,349,500	1,404,663	1,251,951	152,712
E. Major Improvements	1,800,000	1,772,766	1,772,766	1,738,201	34,565
F. Main Campus-Others	33,916,205	34,278,068	34,594,263	33,422,506	1,171,757
G. General Obligation Bonds	196,507	195,236	819,654	190,005	629,649
H. Miscellaneous Construction	2,265,000	2,265,000	533,698	3,000	530,698
I. Consolidated Education Bonds C & D	23,337,278	25,689,441	25,099,115	22,179,491	2,919,624
J. Community Colleges-Other		12,969	12,969	10,469	2,500
K. Renovation Funds	1,681,000	1,632,601	1,623,601	1,234,307	389,294
	<u>\$ 139,286,537</u>	<u>\$ 140,751,960</u>	<u>\$ 116,342,484</u>	<u>\$ 102,090,811</u>	<u>\$ 14,251,673</u>

GRAND TOTAL OF SCHEDULES

GRAND SUMMARY OF AVAILABLE PLANT FUNDS

Capital Construction Funds	
Main Campus -	
Series C & D Bonds (Subschedule A)	\$ 2,896,226
Non-Recurring Maintenance (Subschedule C)	54,091
State Capital Construction (Subschedule D)	11,904
Major Improvements (Subschedule E)	14,881
Main Campus Others (Subschedule F)	
Unallocated H & I Bonds	52,191
Other Unallocated Funds	744,226
GO Bonds (Subschedule G)	5,231
Miscellaneous Construction (Subschedule H)	1,300,000
Subtotal Main Campus	<u>\$ 5,078,750</u>
Community Colleges	
Series A & B (Subschedule I)	545,590
Total Available Capital Construction Funds	<u>\$ 5,624,340</u>
Renovation Funds	
Minor Renovation (Subschedule K)	111,649
Total Available Renovation Funds	<u>111,649</u>
Total Available Plant Funds	<u>\$ 5,735,989</u>

University of Kentucky
 Schedule of Retirement of Indebtedness Funds
 For the Seven Months Ended January 31, 1972

Schedule 9

	<u>Estimated -</u>	<u>Realized</u>	<u>% Realized</u>
Income:			
Unrestricted funds debt:			
Charged to unrestricted current funds	\$ 4,947,911	\$ 1,693,659	34.2
Transfers from sinking funds	<u>1,386,010</u>	<u>1,362,197</u>	<u>98.3</u>
Subtotal	<u>6,333,921</u>	<u>3,055,856</u>	<u>48.2</u>
Housing and dining system debt:			
Charged to housing and dining system current funds	1,550,799	775,194	50.0
Investment income from sinking funds	<u>113,210</u>	<u>56,810</u>	<u>50.2</u>
Subtotal	<u>1,664,009</u>	<u>832,004</u>	<u>50.0</u>
Auxiliary enterprises debt:			
Charged to auxiliary enterprises current funds	<u>182,001</u>	<u>87,766</u>	<u>48.2</u>
	<u>\$ 8,179,931</u>	<u>\$ 3,975,626</u>	<u>48.6</u>
	<u>Appropriated</u>	<u>Expended</u>	<u>% Expended</u>
Debt service:			
Unrestricted funds debt:			
Consolidated Educational Buildings-Series A	\$ 504,461	\$ 109,622	21.7
Consolidated Educational Buildings-Series B	463,607	104,218	22.5
Consolidated Educational Buildings-Series C	291,579	120,391	41.3
Consolidated Educational Buildings-Series D	3,761,737	2,005,128	53.3
Community Colleges Educational Buildings-Series A	1,063,143	596,165	56.1
Community Colleges Educational Buildings-Series B	<u>249,395</u>	<u>117,678</u>	<u>47.2</u>
Subtotal	<u>6,333,922</u>	<u>3,053,202</u>	<u>48.2</u>
Housing and Dining System Revenue Bonds-Series A-I	<u>1,664,009</u>	<u>574,504</u>	<u>34.5</u>

University of Kentucky
 Schedule of Retirement of Indebtedness Funds
 For the Seven Months Ended January 31, 1972

	<u>Appropriated</u>	<u>Expended</u>	<u>% Expended</u>
Auxiliary enterprises debt:			
Chi Omega	\$ 3,212	2,875	89.5
Alpha Delta Pi	15,059	11,617	77.1
Dorms A-F	39,300	6,650	16.9
Dorms G-L	50,772	16,886	33.3
Sigma Phi Epsilon	8,190	2,595	31.7
Delta Delta Delta	6,055	5,070	83.7
Alpha Tau Omega	8,310	2,655	31.9
Alpha Gamma Rho	16,088	7,058	43.9
Student Housing Bonds of 1964	<u>35,014</u>	<u>35,014</u>	<u>100.0</u>
Subtotal	<u>182,000</u>	<u>90,420</u>	<u>49.7</u>
TOTAL RETIREMENT OF INDEBTEDNESS FUNDS	<u>\$ 8,179,931</u>	<u>\$ 3,718,126</u>	<u>45.5</u>

University of Kentucky
 Schedule of Sinking Funds
 January 31, 1972

Bond Issues with Reserves Fully Funded:

University of Kentucky Housing and Dining System Revenue Bond and Interest Sinking Fund	\$ 1,705,759
University of Kentucky Housing and Dining System Repair and Maintenance Reserve	821,715
Bowman, Keeneland, Cooperstown, Blazer and Student Union Future Interest Fund	1,038,425
Consolidated Educational Buildings Project Bond and Interest Sinking Fund-Series A	588,164
Consolidated Educational Buildings Project Bond and Interest Sinking Fund-Series B	599,443
University of Kentucky Student Housing Bond and Interest Sinking Fund Account of 1964	77,924
Community Colleges Educational Buildings-Series A-Bond and Interest Fund-Escrow Account	72,285
Community Colleges Educational Buildings-Series B-Bond and Interest Fund-Escrow Account	<u>92,851</u>
 Total Bond Issues with Reserves Fully Funded	 <u>4,996,566</u>

Bond Issues with Reserves not Fully Funded:

Consolidated Educational Buildings Project Bond and Interest Sinking Fund-Series C	178,154
Consolidated Educational Buildings Project Bond and Interest Sinking Fund-Series D	866,570
Community Colleges Educational Buildings Project Bond and Interest Sinking Fund-Series A	497,637
Community Colleges Educational Buildings Project Bond and Interest Sinking Fund-Series B	110,670
University of Kentucky Student Housing Bond and Interest Sinking Fund Account of 1960	45,279
University of Kentucky Student Housing Building Maintenance and Equipment Reserve Account of 1960	24,676
University of Kentucky Student Housing Building Maintenance and Equipment Reserve Account of 1964	<u>24,652</u>

Total Bond Issues with Reserves not Fully Funded

1,747,638

TOTAL SINKING FUNDS

\$6,744,204

University of Kentucky
 Summary of Other Funds Transactions
 For the Seven Months Ended January 31, 1972

Schedule 11

<u>Loan Funds:</u>	<u>Balances</u> <u>July 1, 1971</u>	<u>Receipts</u>	<u>Expenditures</u>	<u>Balances</u> <u>January 31, 1972</u>
Federal sponsored loan funds:				
Federal government	\$ 4,877,709	\$ 668,997		\$ 5,546,706
University of Kentucky	458,246	(4,397)		453,849
Accumulated interest income	198,782	23,969		222,751
University loan funds:				
University student loan funds	50,513	3,899		54,412
University special student loan fund	70,436	3,295		73,731
United Student Aid loan fund	<u>2,000</u>			<u>2,000</u>
TOTAL LOAN FUNDS	<u>\$ 5,657,686</u>	<u>\$ 695,763</u>		<u>\$ 6,353,449</u>
<u>Endowment Funds:</u>				
TOTAL ENDOWMENT FUNDS	<u>\$ 941,010</u>	<u>\$ 73,425</u>		<u>\$ 1,014,435</u>
<u>Agency Funds:</u>				
TOTAL AGENCY FUNDS	<u>\$ 1,240,035</u>	<u>\$ 760,540</u>	<u>\$ 1,747,886</u>	<u>\$ 252,689</u>

Medical Center Committee
March 21, 1972

MCC 1

Members, Board of Trustees:

STUDENT HEALTH SERVICES PROGRAM

Recommendation: effective with the 1972 intercession that (1) the ambulatory (outpatient) health services, together with diagnostic and specialty services associated therewith, as defined under the Student Health Services program, be made available without charge at time of service to all students at the University (other than evening and extension students) upon the payment, as prescribed at the time of registration, of a sum to be administratively determined; (2) that the ambulatory services as defined under the Student Health Services program be made available on a fee-for-service basis to students (other than evening and extension students) who do not elect to pay, as prescribed at the time of registration, the aforementioned sums; and (3) that subsection 2 of the May 4, 1971 action of the Board of Trustees requiring that each full-time student purchase an insurance policy to provide for ambulatory services be rescinded.

Background: This recommended action constitutes a further step in the direction of increased student responsibility for the financing of health services, as a means of maintaining and improving the level of health services in the face of rising costs. This policy direction was the basic recommendation of a broadly representative committee, including students and medical and administrative staff which carried out an in-depth study of the problem in 1970, and which provided the basis for the previous action of the Board on student health insurance in May, 1971.

The action here recommended is designed to remove the difficulty arising from delinquency of students in complying with the requirement to purchase insurance for ambulatory services or to obtain waiver on grounds prescribed in the previous Board action in May, 1971.

The action is further designed to establish the principle of sharing by students in the cost of services provided for under the Student Health Services Program and to provide for such sharing either on the basis of prepayment of a stipulated sum or on the basis of sharing in cost of services at the time they are provided, with participation by students in the prepayment arrangement on a voluntary basis.

Under the recommended action, it is intended that there would be administrative latitude for determination, and subsequent modification as may be indicated from time to time, of the method and procedures utilized for prepayment by students and for adjustment of charges for services to students who do not prepay their share of cost, as necessary to maintain equity among the two groups. Also,

it should be recognized that the amount to be prepaid by students would require adjustment in the future as the cost of providing health services to students changes. The amount to be prepaid by each student will be \$2 for the 1972 intersession, \$4 for the 1972 summer term and \$7 per semester for the 1972-73 regular session.

The Student Advisory Committee on Health Services and Insurance, as proposed in connection with the previous action of the Board in May, 1971, has been established and is actively and effectively carrying out its functions. In its recent report of evaluation and recommendations on the program, the Student Advisory Committee concurs with and supports the basic principle incorporated in the recommended action by the Board.

Action: Approved X Disapproved Other

Date: March 21 , 1972

APENDIX: REPORT OF STUDENT CODE REVISION COMMITTEE

PROPOSED AMENDMENT TO THE GOVERNING REGULATIONS, PART XI, B

Change: "The non-academic relationships between students and the University are covered in the document entitled, "Student Rights and Responsibilities. Part I. Code of Student Conduct: Rules, Procedures, Rights and Responsibilities Governing Non-Academic Relationships", which has been adopted by the Board of Trustees and may be amended only by that body.

The academic relationships between students and the University are incorporated in the document entitled, "Student Rights and Responsibilities. Part II. Selected Rules of the University Senate Governing Academic Relationships". The rules in Part II have been adopted and may be amended by the University Senate.

Copies of the document, "Student Rights and Responsibilities. Parts I and II", shall be made available to all students. Registration by the student constitutes acceptance of these student-University relationships. In no case, however, shall this preclude legitimate efforts to obtain amendments to this basic document governing these relationships."

To Read: "The non-academic relationships between University System students and Lexington Technical Institute students and the University are covered in the document entitled, "Student Rights and Responsibilities. Part I. Code of Student Conduct: Rules, Procedures, Rights and Responsibilities Governing Non-Academic Relationships", which has been adopted by the Board of Trustees and may be amended only by that body.

The academic relationships between University system students and the University are incorporated in the document entitled, "Student Rights and Responsibilities. Part II. Selected Rules of the University Senate Governing Academic Relationships". The rules in Part II have been adopted and may be amended by the University Senate.

Copies of the document, "Student Rights and Responsibilities. Parts I and II", shall be made available to all students in the University System and the Lexington Technical Institute. Registration by the student constitutes acceptance of these student-University relationships. In no case, however, shall this preclude legitimate efforts to obtain amendments to this basic document covering these relationships.

The non-academic relationships between Community College System students, excepting Lexington Technical Institute students, and the University are covered in the document entitled, "Code of Student Conduct: Rules, Procedures and Responsibilities", which has been adopted by the Board of Trustees and may be amended only by that body.

The academic relationships between Community College System students, including Lexington Technical Institute students, and the University are defined in the Rules of the Senate of the Community College System (Section I, Student Academic Affairs). These rules have been adopted and may be amended by the Senate of the Community College System.

Copies of the above documents shall be made available to all Community College System students, including Lexington Technical Institute students. Registration by the student constitutes acceptance of these student-University relationships. In no case, however, shall this preclude legitimate efforts to obtain amendments to these documents covering these relationships.

Maximum efforts should be made by administrative officers, student government organizations, the University Senate and the Senate of the Community College System to maintain liaison through advisory and coordinating committees concerning student-University relationships."

(Introductory page to Community College System "Code of Student Conduct")

STUDENT RIGHTS AND RESPONSIBILITIES

The non-academic relationships between Community College System students, excepting Lexington Technical Institute students, and the University are covered in Part I entitled, "Code of Student Conduct: Rules, Procedures, Rights and Responsibilities Governing Non-Academic Relationships," which was adopted by the Board of Trustees on _____ and may be amended only by that body.

Academic relationships between Community College System students, including Lexington Technical Institute students, and the University are covered in Part II entitled, "Selected Rules of the University of Kentucky Community College Senate Governing Academic Relationships." Rules in Part II have been adopted and may be amended by the Community College Senate.

Introductory Page

STUDENT RIGHTS AND
RESPONSIBILITIES

The non-academic relationships between University System students and Lexington Technical Institute students and the University are covered in Part I entitled, "Code of Student Conduct: Rules, Procedures, Rights and Responsibilities Governing Non-Academic Relationships" which was adopted by the Board of Trustees on _____ and may be amended only by that body.

Academic relationships between University System students and the University are covered in Part II entitled, "Selected Rules of the University Senate Governing Academic Relationships". Rules in Part II have been adopted and may be amended by the University Senate.

Part I

CODE OF STUDENT CONDUCT:

Rules, Procedures, Rights and Responsibilities Governing Non-Academic Relationships

Introduction

The University is empowered by Kentucky Law K.R.S. 164.200 to establish a disciplinary system to govern the campus. The statute provides:

"The Board of Trustees may establish proper regulations for the government of the University and the physical training, military or otherwise, of the students. It may authorize the suspension and dismissal of students for neglect or violation of the regulations, or for other conduct prejudicial to the character and welfare of the University."

By this publication of the rules governing student conduct, the University recognizes that students have the right to know the circumstances and manner in which this disciplinary power will be exercised and advises students that disciplinary rules will be enforced.

The Code does not cover decisions of the faculty of a professional school as to character, moral or ethical, required of a student for purposes of awarding a degree or certificate, or for continuation as a candidate for such degree or certificate. Therefore, such decisions are not subject to review within the procedures established herein.

ARTICLE I - THE UNIVERSITY JUDICIAL SYSTEM

Section

1.1 Authority of the President of the University

Pursuant to the provisions of K.R.S. 164.200, 164.210 and 164.220, the Board of Trustees hereby delegates the responsibility for student discipline to the President of the University.

1.2 Disciplinary Offenses

Offenses as defined below are punishable disciplinary offenses. As used in the offenses specified in subsections a. through q. herein, University property is defined as all property owned, or leased to, and operated exclusively by the University, and all such property leased to or operated by student and non-student organizations which are under the control and regulation of the Board of Trustees of the University of Kentucky. In addition to the offenses defined below, certain other disciplinary offenses involving conduct which is destructive of academic freedom, the rights of others and the orderly operation of the University are set out in Section 6.1 hereof.

- a. No student shall engage in interference, coercion or disruption which impedes, impairs or disrupts University missions, processes or functions or interferes with the rights of others on University property. (Examples of conduct falling within this section are described under Section 6.11).
- b. Use, possession, or distribution on University property of narcotic or dangerous drugs, such as marijuana and lysergic acid diethylamide (LSD), except as expressly permitted by law.
- c. Abusive, drunken, violent or excessively noisy behavior or expression upon University property;
- d. Lewd, indecent or obscene behavior upon University property;
- e. The threat or commission of physical violence against any person present on University property;
- f. The commission of acts which constitute a violation of local, state or federal law upon University property;
- g. Unauthorized entry to or use of University facilities or any violation of University rules regarding the use of University property. Opportunity to comply with a lawful order to leave the premises must be given;
- h. Failure to comply with directions of University officials acting in the performance of their duties;
- i. Any violation of University rules regarding the operation and parking of motorized vehicles;

- j. Falsifying, altering or forging any official University records or documents, employing official University documents or records for purposes of misrepresentation, or causing any official University documents or records to be falsified by means of any misrepresentation.
- k. Hazing of any kind;
- l. Knowingly passing a worthless check or money order to the University or to a member of the University community acting in an official capacity;
- m. Stealing any item of tangible or intangible personal property upon University property;
- n. Defacing, disfiguring, damaging or destroying public or private property upon University property;
- o. Lifting, taking or acquiring possession of, without permission, any academic material (tests, information, research papers, notes, books, periodicals, etc.) from a member of the University community.
- p. Intentionally giving false testimony or other evidence at any hearing of the University Judicial Board or Appeals Board;
- q. Violation of conditions imposed in connection with one or more of the punishments enumerated in Section 1.51 through 1.58.

1.3 University Policy on the Student and Local Authorities

- 1.31 The minimum standards of individual conduct required by the penal statutes are both expected and required of every student attending the University. Further, while the institution does not desire to act as a policing authority for the activities of the student off University property, and while it cannot serve as a sentencing authority for a student's violations of federal, state or local law, the University may take appropriate action where necessary as provided under Sections 1.2(a), 1.2(f), 1.45 or Article VI of the Code of Student Conduct.

- 1.32 The University will not undertake to act as a collection agency for landlords, retail stores, magazine and book companies, etc., [but may] and will not provide student addresses and telephone numbers to such [requesting] parties.
- 1.33 The University cannot accept remand of students charged or convicted of violations of federal, state or local law for the purpose of imposing disciplinary punishment. However, a University representative may accept court appointment of probation of a student to his care and impose such requirements as he sees fit. If such student violates these requirements, he must be returned to court for such further proceedings as the court shall determine, but not for University disciplinary punishment.
- 1.34 A student charged with violation of federal, state or local law may request assistance from the Dean of Students Office. After receipt of the student's request and a review of the charge(s) and circumstances surrounding the incident, a member of the Dean of Student's staff may be made available to counsel and assist the student.
- 1.4 The Procedures
- 1.41 The Role of the Office of the Dean of Students
- 1.411 When the Dean, after investigation into an alleged violation of the disciplinary rules, believes a student has committed a disciplinary offense defined in Section 1.2 or 6.1, he shall notify the student that he is charged with said offense. Thereafter he may [counsel] confer with the student and may outline proposed disciplinary punishment and/or counseling. The counseling session is strictly confidential. Information obtained from the student during a counseling session is inadmissible in any judicial proceeding of the University. Admissions of guilt, voluntarily made after notice of rights prior to such counseling session, is admissible in judicial proceedings if the student withdraws from the counseling process or refuses to comply with the conditions of the counseling process.
- 1.412 In the [counseling process] preliminary conference, the accused shall enjoy the right to have the assistance of an advisor of his choice and shall be informed of this right.

- 1.413 If the Dean and the student are unable to resolve the matter to their mutual satisfaction in the counseling process, the Dean shall forward the reports and evidence concerning the case to the Office of the University Counsel for evaluation and possible prosecution before the appropriate University judicial agency. The Dean is thereafter concerned with furnishing testimony as requested by University Counsel, keeping the records of the University Judicial Board and Appeals Board and in aiding the student to comply with any punishment decreed by either Board.
- 1.414 Within the rights of the student at the University of Kentucky, the Dean of Students may contact the parents, or other persons he deems appropriate, in matters of discipline only if the student is under eighteen years of age or consents.
- 1.415 All student grievances involving rights stated herein shall be reported to the Dean of Students within 30 days of their occurrence. Grievances reported after this period or which otherwise come to the attention of the Dean of Students may be acted upon according to his determination of the circumstances.
- 1.416 The Dean of Students shall investigate each student grievance to determine whether it contains merit.
- a. If he decides that it does, he shall use moral suasion, negotiation, personal appeal, and the prestige of his office to settle the case to his satisfaction and that of the student.
 - b. When he is unable to satisfy the grievance to the satisfaction of the student or when he has notified the student that the grievance does not contain merit, the student has the right to appeal within 30 days to the University Appeals Board.

1.417 The Dean of Students shall have broad investigatory powers in non-academic cases and he shall receive prompt and full cooperation from students, student organizations, faculty and administrators. He may recommend policies or practices that should be terminated, modified, or initiated to Student Government, the Senate Council, deans, department heads, or other appropriate persons.

1.42 The University Judicial Board

There shall be a University Judicial Board, hereinafter referred to as the U. J-Board, with appellate jurisdiction over the decisions of any Residence Judicial Board and original jurisdiction over cases involving alleged violations by students of the University disciplinary offenses defined in Section 1.2.

1.421 Authority

- a. The U.J-Board shall receive appeals by accused students from decisions of any Residence J-Board pursuant to Section 2.4 of this document, and shall have the authority to reverse the decision of the Residence J-Board regarding the student's guilt or to mitigate, but not to increase, the punishment imposed by the Residence J-Board.
- b. The U.J-Board shall have the sole authority to determine the issue of guilt in those cases referred to it pursuant to Section 1.413. It shall have the sole authority to impose punishment short of actual suspension, dismissal, or expulsion upon any student found guilty of a violation of University disciplinary rules defined in Section 1.2. If the U. J-Board believes that actual suspension, dismissal, or expulsion is the appropriate remedy, it shall recommend such action to the Vice President for Student Affairs.

1.422 Composition

The U. J-Board shall consist of nineteen persons; four male and four female graduate or professional students, five male undergraduate students, five female undergraduate students and a Hearing Officer.

- a. The Hearing Officer shall be the Chairman of the Board and of each division thereof. He shall convene meetings of the Board at such times and places as [he deems] necessary to carry out its

duties. The Hearing Officer shall be a non-voting member of the Board as to the issue of guilt or innocence and as to the quantum of punishment, but shall decide and rule upon all questions of law, whether they be substantive or procedural, and upon all procedural questions arising under this Code. The Hearing Officer shall neither sit in on nor take part in the Boards deliberations of the issue of innocence or guilt nor quantum of punishment. He shall be available to advise upon procedural questions arising under this code.

- b. When the accused is a graduate or professional student, the Board shall be composed of its graduate or professional members.
- c. When the accused is an undergraduate student, the Board shall be composed of all the undergraduate members.
- d. In any proceedings of the graduate board or the [full] undergraduate board, at least five members of the appropriate board, in addition to the Hearing Officer, must be present to hear the case. Any decision of the U.J-Board must be by majority of the voting members of the board sitting on the case.

1.423 Eligibility Requirements

- a. A graduate or professional member of the U.J-Board shall be a full-time student enrolled in the Colleges of Dentistry, Law, Medicine or in the Graduate School, who has been in residence at least one semester and is in good standing within his or her appropriate school or college.
- b. An undergraduate member of the U.J-Board shall be a full-time undergraduate student, other than a freshman, who has had at least one year of residence on the Lexington campus and is in good academic standing.
- c. The Hearing Officer shall be a person with training in the law, possessing at least the degree of Bachelor of Laws or its equivalent.

1.424 The Appointment Process

- a. The legislative branch of Student Government shall screen all applications for voting membership and forward those approved to the President of the Student Government, who, with the advice and approval of the Vice President for Student Affairs, and for graduate and professional students with the advice and consent of the President of the Graduate and Professional Student Association, shall make the final appointment of the members of the U. J-Board.
- b. The Hearing Officer shall be appointed by the President of the University. The President may appoint a substitute for the Hearing Officer at any time that officer is unavailable when his services are needed.

1.425 Terms of Office

The Hearing Officer shall be appointed for a one-year term. Six graduate or professional members and three of the male and three of the female undergraduate members shall be appointed for one-year terms and shall be subject to reappointment. The remaining members shall be appointed for two-year terms on a staggered basis. All terms shall begin September 1st and end on August 31st.

- 1.426 Three unexcused absences in any one semester shall constitute automatic dismissal from the U.J-Board. The U. J-Board, acting as a unit, may make such additional regulations regarding absences as it may deem appropriate. All requests for excused absences shall be made to the Hearing Officer [whose decision shall be final]. The decision of the Hearing Officer may be appealed to the whole Board. However, such appeal shall not suspend the action of the Hearing Officer.

1.43 The University Appeals Board

There shall be a University Appeals Board with appellate jurisdiction over decisions of the University Judicial Board and over decisions of any faculty members on matters of University academic offenses. The Appeals Board shall exercise original jurisdiction with regard to the offenses described in Section 6.1 hereof.

1.431 Jurisdiction in Cases of Disciplinary Offenses

Within 30 days after receipt of the decision of the U. J-Board, any accused student may appeal in writing to the Chairman of the University Appeals Board for a review by the Appeals Board of the University Judicial Board's findings of guilt or for a review of the nature or severity of the punishment imposed or recommended.

1.432 Disposition of Cases of Disciplinary Offenses

- a. If the student appeals on the issue of fact regarding commission of the offense, the Appeals Board shall review the evidence and its decision shall be final.
- b. If the student requests a review of the punishment, the Appeals Board shall recommend what it believes to be the appropriate punishment to the President, who shall set the punishment.
- c. Any decision and/or recommendation by the Appeals Board must be by a majority of those members sitting on the case.

1.433 Jurisdiction Over Cases Involving Student Rights Specified in Article III.

- a. The Appeals Board shall hear any case referred to it by the Dean of Students and/or by the Academic Ombudsman and may grant the written appeal of any student to hear a case not referred to it by the Dean of Students and/or the Academic Ombudsman. This written appeal must be submitted within 30 days after the Dean and/or the Academic Ombudsman communicates both to the Appeals Board and the student that either he considers the case without merit or is unable to terminate satisfactorily the grievance.
- b. Upon receipt of the written appeal, the Chairman of the Appeals Board shall notify the Dean of Students and/or the Academic ombudsman to forward all reports and evidence concerning the case.
- c. The Appeals Board may then, by majority vote, agree to hear the student's case or allow the Dean's and/or the Academic Ombudsman's decision to be final.

1.434 Disposition of Cases of Student Rights

After hearing a case and deciding that a violation of student rights has been proved, the Appeals Board may select from the following remedies:

- a. The Board may request the Dean of Admissions to admit an applicant denied admission in violation of Section 3.12.
- b. The Board may request the Vice President for Student Affairs to give an applicant a scholarship, or financial aid, when such have been denied or withdrawn in violation of Section 3.13.
- c. The Board may request the Vice President for Student Affairs to make available University facilities and services on a fair and equitable basis when a violation of Section 3.14 has been proved.
- d. The Board may request the Vice President for Student Affairs to have any papers, property or personal effects, taken from a student's person or premises in violation of Section 3.21, returned to him.
- e. The Board may request the appropriate University official to direct compliance with Section 3.22, 3.23 or 3.24 when a violation of the rights stated therein has been proved.
- f. The Board may request the appropriate University official to grant whatever other relief the Board deems proper.

1.435 The detailed provisions relating to jurisdiction and disposition of cases involving coercion, interference and disruption are contained in Article VI.

1.436 Composition of the University Appeals Board

The University Appeals Board shall consist of ten members; three full-time students and six faculty members, and a Hearing Officer who shall be the Chairman. In addition, there shall be three student alternates and six faculty alternates who shall be selected on the same basis and with the same requirements as the regular members. All members of the Appeals Board and/or their alternates shall be expected to meet within 48 hours after notice from the Chairman.

a. The Hearing Officer

The Hearing Officer shall be the Chairman of the Board. He shall be a person with training in the law appointed by the President of the University for a one-year term, beginning September 1st, and ending on August 31st. He shall convene and preside at all meetings of the Board, with the exception of the Board's deliberations on questions concerning innocence or guilt or quantum of punishment. When the Board is exercising original jurisdiction, all questions of law, either substantive or procedural, and all procedural questions shall be addressed to and ruled upon by the Hearing Officer. If the Hearing Officer is not present for any case, the President shall appoint a temporary substitute.

b. The Student Members

The student membership shall consist of a graduate or professional student, a male undergraduate student and a female undergraduate student. The undergraduates must be either juniors or seniors in good academic standing and the graduate or professional students must have been in residence at least one year and be in good standing in his or her school or college. They shall be appointed to one year terms, subject to reappointment. Their terms shall begin September 1st and end August 31st. Members shall be chosen by the President of the University from the recommendations of the legislative branch of Student Government.

c. The Faculty Members

The faculty members shall be appointed to staggered three-year terms by the President of the University upon the recommendation of the University Senate Council. All terms shall begin on September 1st and end on August 31st.

d. Other Procedural Rules

A quorum for the conduct of business will be eight members including the Hearing Officer, not less than five of whom, exclusive of the Hearing Officer, shall be faculty members and at least one student of like status to the student in issue. The Appeals Board shall establish such other procedural rules, not inconsistent with the provisions of the Code, as will effectuate the orderly conduct of its functions.

1.44 Temporary Appointments

If a sufficient number of the members of the University Judicial Board [or the Appeals Board] are not present at any time when that [either] Board has duties to perform, the President of the [University] Student Government, with the advice and consent of the Vice President for Student Affairs, shall make such temporary appointments as are necessary to insure that the required number of members are present. Such temporary appointments need not be preceded by the recommendations otherwise provided herein. If a sufficient number of the members of the Appeals Board are not present at any time when that Board has duties to perform, the President of the University shall make such temporary appointments as are necessary to insure that the required number of members are present. Such temporary appointments need not be preceded by the recommendations otherwise provided herein. However, in no case shall a faculty member [be appointed to] replace a student member, [nor] a student member replace a faculty member, a male member replace a female member, or a female member replace a male member,

1.45 Temporary Sanctions

In the event that the Vice President for Student Affairs has reasonable cause to believe that a student's presence may result in injury to [himself,] others or University property, or in the event that he has been charged with a crime so serious as to threaten the welfare of the University community, the Vice President may impose such temporary sanctions as he considers necessary to protect members of the University community or its property, including exclusion from University property. Upon taking such action, the Vice President shall notify the University Appeals Board. The student may appeal the Vice President's decision to the University Appeals Board in writing within 30 days. If requested in the written appeal, the Chairman will call a meeting of the Board to hear the case within [48] 72 hours [, or as soon as practicable thereafter]. The Board shall consider the student's academic needs to attend class, use the library, and fulfill his other academic responsibilities in making its recommendation. This Board may recommend to the President of the University changes or extensions of the Vice President's action. The President then shall determine the sanctions to be imposed. Such temporary sanctions shall be enforced only for such time as the conditions requiring them exist. Accordingly, the circumstances shall be reviewed by the Board whenever there are indications that they have been changed and upon an appeal in writing from the student involved.

1.46 Honor Codes

1.461 Where any school or college has established, or shall establish, an Honor Code or comparable system which is governed by the students, with approval by and/or appeal to the faculty of such school or college, the procedures outlined above shall not govern the following offenses to the extent that they are included as offenses subject to the Honor Code and committed by a student subject to such system:

- a. Disciplinary offense number 1.2 (o) to the extent that it is committed within the school or college subject to such system.
- b. Disciplinary offenses number 1.2(c) and (d) as it pertains to the classroom.

1.462 Such Codes may include as offenses such other actions as are deemed appropriate, but cannot cover the offenses described in this Code except as stated above.

1.463 The punishment meted out to a student governed by such a system shall be designated thereby except that actual suspension or expulsion shall be imposed only with the recommendation of the Dean of the school or college and upon the approval of the President of the University.

1.464 The procedures of all such Honor Code systems must conform to the statement of student rights herein contained as Section 3.3.

1.465 The establishment of such an Honor Code shall include approval by two-thirds[majority] vote of the students to be covered and by the faculty involved. Such codes are subject to review for fairness and clarity by the Senate Advisory Committee on Student Affairs [upon request of the Vice President for Student Affairs].

1.5 [Punishments] Actions

1.51 Warning

The Dean of Students or his authorized representative may notify the student that continuation or repetition of specified conduct may be cause for other disciplinary action. (This action, unless imposed by the U. J-Board, is not appealable.)

1.52 Reprimand

A written admonition which may include a reasonable requirement for additional labor in keeping with the offense committed.

1.53 Probation

Exclusion from participation in privileges or extracurricular University activities as set forth in the notice of probation for a specified period of time. If a student, while on probation, violates any of the terms set forth in the notice of probation or violates the Code of Student Conduct, as determined after the opportunity for a hearing, he shall be subject to further discipline in the form of undated suspension, suspension, dismissal or expulsion.

1.54 Undated Suspension

Exclusion from participation in any and all privileges or extracurricular University activities, except for attendance in classes in which officially enrolled, for a specified period of time. If a student, while on undated suspension, violates any of the terms set forth in the notice of undated suspension, or violates the Code of Student Conduct, as determined after the opportunity for a hearing, he shall be subject to further discipline in the form of suspension, dismissal or expulsion.

1.55 Suspension

Forced withdrawal from the University for a specified period of time, including exclusion from classes, termination of student status and all related privileges and activities, and exclusion from the campus if set forth in the notice of suspension. If a student, while on suspension, violates any of the terms set forth in the notice of suspension or violates the Code of Student Conduct while on a campus of the University, or in relation to a University sponsored activity, as determined after the opportunity for a hearing, he shall be subject to further discipline in the form of dismissal or expulsion.

1.56 Dismissal

Exclusion from the campus and termination of student status for an indefinite period. The student may be readmitted to the University only with the specified approval of the President of the University. If a dismissed student violates the Code of Student Conduct while on a

campus of the University, or in relation to a University sponsored activity, or is present on a University campus without the written permission of the Dean of Students or Vice President for Student Affairs, as determined after the opportunity for a hearing, he shall be subject to further discipline in the form of expulsion.

1.57 Expulsion

Permanent termination of student status.

1.58 Monetary Reimbursement

In cases where personal or public property has been stolen, defaced, disfigured, damaged or destroyed, the disciplinary action shall also include an appropriate monetary reimbursement for compensatory damages.

ARTICLE II - THE RESIDENCE HALLS JUDICIAL SYSTEM

Section

2.1 The Offenses

The University is empowered to promulgate the rules of conduct for those students who use or dwell within University housing, which includes all buildings owned, or leased to, and operated exclusively by the University as student residences.

2.11 The Residence Halls Governments [shall be] are given legislative authority to establish, upon approval of the Dean of Students and a majority of those students governed, additional rules regarding conduct within their respective jurisdiction.

2.12 All such rules promulgated by either the University or the Residence Halls Governments shall be prominently posted in the University building to which they apply.

2.13 A compilation of all rules established under this Article, and currently in effect, shall be made readily available on request to all residents of the University building to which such rules apply.

2.2 The Procedures

2.21 Residence Halls Governments

There shall be a Residence Hall Government for each comprehensive geographical housing unit as designated by the Dean of Students. Representatives to the Residence Hall Governments shall be elected in accordance with present regulations affecting elections of existing Residence Hall Governments.

2.22 Resident Advisors

Each housing unit shall have a resident advisor appointed by the Dean of Students in consultation with the President of the affected Residence Hall Government. This advisor shall have the duty to counsel and advise students having disciplinary problems affecting that student's relationship with the University as a landlord. He shall investigate any complaint of

violation of the rules to determine the facts regarding such alleged violation. Such advisor shall have no authority to impose disciplinary punishment upon the student, but, after counseling with the student, may suggest that the student accept certain voluntary disciplinary punishment or counseling and, if the student agrees to accept such punishment or counseling, the resident advisor shall see that the student carries out his agreement. If the advisor and the student cannot agree on the appropriate punishment or counseling, or if, at any time, the student so requests, the resident advisor shall forward the facts and evidence of the case to the Residence Judicial Board for action.

2.23 The Residence Judicial Boards

2.231 Jurisdiction

There shall be a Residence Judicial Board for each housing unit which shall have jurisdiction over all cases involving alleged violations of the applicable rules occurring within its respective housing unit. The Residence Judicial Board shall be responsible for determining the guilt or innocence of the accused and shall have the primary authority for imposing punishment if it determines that the student has committed a violation. Notice of the punishment determined shall be communicated to the resident advisor for implementation.

2.232 Composition

- a. Each Residence Judicial Board shall be composed of at least five, and not more than nine residents of the respective housing unit. Each Residence Hall Government shall screen all applications for Residence Hall Judicial Board positions. Those approved shall be forwarded to its President who shall, in consultation with the Residence Advisor of that respective unit, make the final selections.
- b. All members of the Residence Judicial Board shall be full-time students and must not be on University academic probation, undated suspension and/or probation.

2.3 The Punishment

The Residence Judicial Boards may impose any appropriate punishment up to and including dismissal from the housing unit, e.g., social probation, reprimand, fines, etc.

- 2.31 However, the Residence Judicial Boards may not impose disciplinary punishment on a University wide basis, e.g., expulsion, suspension, or probation.
- 2.32 Each Residence Judicial Board shall define a system of possible punishments for violation of the rules promulgated by the University and the corresponding Residence Hall Government and shall make available upon request such information to all residents of the Residence Hall involved.

2.4 Right of Appeal

Within 30 days after receipt of the decision of the Residence Judicial Board, any accused student may appeal in writing to the Vice President for Student Affairs for review by the U. J-Board of the Residence Judicial Board's finding of guilt or for review of the nature or severity of the punishment imposed or recommended. The Vice President shall forward the appeal to the Chairman of the U. J-Board for action. The decision of the U. J-Board shall be final.

ARTICLE III - UNIVERSITY RIGHTS OF STUDENTS

Section

3.1 Right of Admission and Access

3.12 Admission Policy

An applicant for admission to the University shall not be discriminated against because of race, color, religion, sex, national origin, age or political beliefs.

3.13 Scholarships, Grants-In-Aid, and Financial Aid

An applicant for, or a recipient of, University financial aid, a University grant-in-aid, or a University scholarship, utilizing public funds, shall not be discriminated against because of race, color, religion, sex, [or] national origin, age, or political beliefs.

3.14 Use of Facilities and Services

The University may delineate the purpose for which students may use certain facilities and shall make them available on a fair and equitable basis. However, the University may restrict its facilities and services when their use would interfere with normal University operations.

3.15 Discrimination in the Community

The University will use its influence to secure equal access for all students to public facilities in the local community.

3.2 Right of Privacy

3.21 Person and Property

A student shall be free from searches and seizures of his person and possessions while on University property unless said search and seizure is conducted in accordance with state and federal laws. In cases of imminent danger or when there are reasonable grounds upon which to believe it is necessary to conduct a search immediately in order to protect life or property, searches may be conducted in the presence of the Dean of Students or another member of his staff acting as his authorized representative.

3.22 Disciplinary Records

A student's disciplinary record shall be kept separate and confidential unless he consents in writing to have it revealed. However, the Dean of Students may disclose the student's disciplinary record without his consent if legal compulsion or the safety of people or property is involved, or if the information is required by authorized University personnel for official use at the University of Kentucky. In these circumstances, only the information pertinent to the inquiry may be revealed. The Dean may also act without the student's consent to have a statement of expulsion or suspension entered on his academic record for the time that this disciplinary action would prohibit the student from registering. Written notice of this statement shall be sent to the student.

3.23 Counseling Records

[A student's counseling record shall be kept separate and confidential unless he consents in writing to have it revealed. However, psychologists in the University Counseling Center, counselors in the office of Student Affairs, psychiatrists and physicians in the Student Health Service may share information if professional consultation is advisable. They may also reveal information to an appropriate authority when there is a clear and imminent danger to life, health, safety, or property. Interpretation of a student's predicted academic achievement based on admission test data may be provided upon request from his instructor, advisor, academic dean or the dean's authorized representative.]

A student's test data and record in the Counseling Center shall be kept in the Center, separate and confidential, unless the student consents in writing to have it revealed to a designated person and for a designated purpose. Without such release, information is revealed to an appropriate authority only when there is a clear and imminent danger to an individual or to society, and such information will be limited to that which is directly pertinent to the reduction of that danger.

3.24 Student Health Service Records

Student Health Service medical, surgical and mental health records and information are strictly confidential and are not released to anyone without the student's knowledge and signed authorization.

Student Mental Health records are maintained separately in a confidential file. If it becomes apparent in the course of treatment that the student is likely to cause injury to himself or others, pertinent information to this extent may be revealed for protection of the student or others.

3.25 Dean of Students Records

Official records and information maintained by the Dean of Students Office are treated in a confidential manner. Discipline and judicial records and the information contained therein will not be released except with the written authorization of the student.

General information, such as the student's address, phone number, college, classification, etc. is released at the discretion of the Dean of Students upon receipt of a specific request for such information.

Requests for more personal information such as date of birth, parents' names and addresses, social security numbers, etc. will be released on a "show cause" basis only. The Dean of Students is responsible for seeing that proper justification has been made.

[3.24]

3.26 Evaluation of Student Character and Ability

A student's character and ability shall be evaluated only by those with personal knowledge of him. Records containing such evaluations shall indicate when the information was acquired, by whom, and the position of the individual.

3.27 If presented with a subpoena to produce information about specific students and/or campus organizations, the recipient shall notify immediately the Dean of Students and forward to that office a copy of the subpoena. The Dean of Students shall immediately attempt to notify the students or student organizations involved and forward to them a copy of the subpoena by certified mail addressed to their last known campus address.

- 3.3 Rights of the Accused
- 3.31 The student shall be guaranteed the following rights in all proceedings of the University Judicial System, Residence Halls Judicial System, and the counseling process.
- 3.311 All students shall be guaranteed a fair hearing in all proceedings of all judicial agencies.
- 3.312 No student shall be compelled to give testimony which might tend to incriminate him, and his refusal to do so shall not be considered evidence of his guilt.
- 3.313 The accused student shall be informed in writing of the reasons for his appearance before any judicial agency with sufficient particularity and in sufficient time to insure an opportunity to prepare for the hearing.
- 3.314 The accused shall be entitled to receive upon request a copy of all rules and procedures governing the judicial agency at least [24] 72 hours prior to his appearance before the agency.
- 3.315 The accused student shall enjoy the right to hear and question the witnesses against him and to present witnesses in his own favor.
- 3.316 The accused shall enjoy the right to have the assistance of an advisor of his choice and shall be informed of his right in all processes of the University Judicial System.
- 3.317 Only impartial members of the judicial agency shall sit in judgement of any case.
- 3.318 The accused shall have access to a permanent verbal or written transcript of every hearing of every judicial agency.
- 3.319 The accused student shall have the right to either an open or closed hearing. All hearings before any judicial agency shall be closed unless the accused student requests that said hearing be open. If a student desires an open hearing, he must file a written request with the Hearing Officer at least 24 hours prior to the time set for the hearing. The Hearing Officer will then admit to the hearing, in addition to those admitted to closed hearings, one properly identified member of the working press from the student newspaper, and from each established newspaper, magazine, television or radio station requesting admission, four persons invited by the accused student, and four persons invited by the University Counsel. The Hearing Officer may order the removal of any disruptive person from the hearing.

3.320 Evidence obtained in violation of Section 3.21, as a direct or indirect result of a violation of Section 3.21, in the course of a counseling session, or through other improper means shall not be admissible in any proceeding of the University Judicial System or Residence Halls Judicial System.

3.4 Right of Free Expression

A student has the right to freedom of expression, which includes the right to picket or demonstrate for a cause, subject to the following conditions:

- a. He must act in an orderly and peaceful manner.
- b. He must not in any way interfere with the proper functioning of the University.
- c. He must obey the University's regulations as to time, place, and manner.

3.5 Right to a Free Student Press

Student publications must be free to deal openly, fearlessly and responsibly with issues of interest and importance to the academic community. Student publications will avoid such practices as the use of libel, undocumented allegations, obscenity, attacks on personal integrity, deliberate deception of its readers, unnecessary harrassment and innuendo, and other violations of individual rights. The editors shall have the right to editorial freedom without the prior approval of copy and will be protected against dismissal or suspension, except for violations of policies established by the Board of Student Publications. Such policies shall be in accordance with the guarantees contained herein.

ARTICLE IV – THE UNIVERSITY AS A SUPERVISOR
OF STUDENT ORGANIZATIONS

The supervision of student organizations shall rest with the Dean of Students.

Section

4.1 Types of Organizations, Membership, Registration and Advisors

4.11 Types of Organizations

1. Social Sororities and Fraternities
2. Honor, Leadership and Recognition Societies
3. Departmental Organizations and Professional Fraternities
4. Political Organizations
5. Government Organizations
6. Specialty Organizations (religious, athletic, military, etc.)

4.12 Membership

Membership in student organizations shall be limited to students, faculty and staff of the University, except Honor, Leadership and Recognition societies which may include other persons as provided for in their national constitutions.

4.13 Registration

4.131 Any student organization which wishes to use the University of Kentucky name, University facilities or property or to solicit thereon must complete the registration form available in the Office of the Dean of Students.

- 4.132 Its registration is at the discretion of the Dean of Students and is dependent upon the completion of the required application form and compliance with the rules and additional criteria he may set forth. Such criteria shall be established and published by the Dean and made uniform for all similar type organizations. The Dean may limit its registration with its concomitant permission to a fixed period of time, the length to be determined at his discretion.
- 4.133 Student organizations must be registered before they may use University facilities or property. The Dean of Students shall promulgate regulations governing the use of University facilities by registered student organizations. These regulations shall specify the times when facilities and premises are available for use, the manner in which they may be used, and how they may be reserved.
- 4.14 Advisors
- 4.141 Each such organization must comply with the following requirements for advisors upon submission of an application for registration:
- a. Every social fraternity or sorority shall have a University advisor, who shall be appointed by the Dean of Students and a faculty advisor elected by the membership.
 - b. Every honor, leadership or recognition society shall have a faculty advisor elected by the membership.
 - c. Every departmental organization and professional fraternity shall have a faculty adviser.
 - d. Every political organization shall have a University advisor elected by the membership, or failing that, appointed by the Dean of Students as well as faculty advisor elected by the membership.
 - e. Every governmental organization shall have a University advisor appointed by the Dean of Students and a faculty advisor elected by the membership.
 - f. Every specialty organization shall have a sponsor, who must be approved by the Dean of Students, and a faculty advisor elected by the membership.

4.142 The definition and scope of the various advisors required above is as follows:

- a. University advisor: a member of the staff of the Office of the Dean of Students or any administrative office under his jurisdiction whose duty shall be to counsel and advise the organization and its officers as to their powers and responsibilities. However, he shall have no authority to prohibit any proposed action by a political organization.
- b. Faculty Advisor: a member of the tenured faculty of the University connected with or interested in the organization, who shall offer support and advice to the officers in carrying out the purposes of the organization, and shall make himself available to meet with members of the organization at their regular meetings or at a special meeting called for that purpose. He can use this opportunity to breach the wall between faculty and students and discuss matters of interest in a more informal atmosphere.

In the case of social fraternities and sororities, political organizations, and governmental organizations, which have University advisors, the requirement of a tenured faculty advisor may be waived in exceptional circumstances by the Dean of Students for a period not to exceed one year. If a tenured faculty member is not available to advise a departmental organization, or professional fraternity, then the Dean of Students, with the approval of the department chairman, may waive the requirement of a tenured faculty advisor for a period not to exceed one year.

- c. Sponsor: a responsible adult interested in the purposes of the organization who shall give guidance and counsel to the officers in carrying out the purposes of the organization and shall make himself available to meet with the members of the organization at their regular meetings.

4.2 The Offenses

4.21 Hazing

- 4.22 Interference with activities of the University, of any other registered organization, or of any individual, except that peaceful picketing will be permitted so long as it does not directly inhibit the carrying out of an activity on University property. An organization intending to picket shall inform the Dean of Students and Director of Safety and Security as to time and place.
- 4.23 Conduct which is disorderly, abusive, drunken, violent or excessively noisy.
- 4.24 Discrimination against any person due to race, color, sex or religious affiliation or belief, except when the express and legitimate purposes of the organization require limitation as to sex and religion.
- 4.25 Knowingly enrolling as an official member or electing, appointing, or retaining as an elected or appointed officer or committee chairman any student on academic probation or under disciplinary sanctions which prohibit him from holding such office.
- 4.26 Organizing, sponsoring, implementing, or conducting programs or activities which are disorderly, which are violations of law or University regulations, or which contain lewd, indecent or obscene conduct or expression.
- 4.27 [Fiscal Irresponsibility] Recurrent financial over-obligation and non-payment of debts.
- 4.28 Any violation of University rules or policies which apply to registered student organizations or their use of University facilities or property.
- 4.3 Punishment
- 4.31 Student organizations are creatures of the University and without legal status. Accordingly, no specific procedures for adjudicating the commission of any of the offenses have been established other than that the Dean of Students may impose punishment up to and including refusal or cancellation of registration.
- 4.4 Right of Appeal
- Within 30 days of receipt of notice that the Dean of Students has refused or cancelled the registration of an organization, the officers or proponents of such organization shall be given the right to appeal in writing to the Vice President for Student Affairs.

The Vice President may either grant or reinstate the registration in question or refer the matter to the University Appeals Board. The Appeals Board shall forward its recommendation to the President, whose decision shall be final.

ARTICLE V – STATEMENT OF FINANCIAL DELINQUENCY

The University expects the student to be financially responsible and not be delinquent in his financial obligations to the University or to any Department or Division thereof, including room and board payments to sanctioned fraternal student organizations. Such obligations shall not include fines and penalties assessed against the student by other than University officers.

Financial obligations that are not met within 10 days after the date due shall be reported in writing to the proper office. Obligations to any Division or Department of the University shall be reported to the Office designated by the Vice President for Business Affairs and Treasurer.

The appropriate business office shall notify the student of the financial obligation. If the student does not settle the obligation by the date designated on the notice, he shall, subject to regulations promulgated by the Vice President for Business Affairs and Treasurer be considered delinquent, and that office shall notify the Registrar.

After the Registrar has been notified that a student is delinquent, he shall not allow the student to register, or to transfer credits, or certify him for graduation, until he has been notified in writing by the appropriate business office that the obligation has been settled.

If there is a dispute as to whether or not a student is legally liable for a financial obligation asserted by the University, and the student challenges such obligation through either timely administrative or legal means, then the sanctions of Article V shall not apply until final resolution of the dispute.

ARTICLE VI – INTERFERENCE, COERCION AND DISRUPTION

The University of Kentucky has long honored the right of free discussion and expression, peaceful picketing and demonstrations, the right to petition and peaceably to assembly. It is equally clear, however, that in a community of learning, interference, coercion or disruption cannot be tolerated.

Students who engage in conduct proscribed by this Article of the Code shall be charged pursuant to this Article only where one or more of the following occurs:

1. Where there is a threat or commission of physical violence, or
2. Where there is a threat of or destruction of University property, or
3. Where conduct necessitates the declaration of or takes place during a State of Emergency as provided herein, or
4. Where the Dean of Students or his authorized representative gives prior notice that 6.1 is applicable.

Section

- 6.1 No student shall engage in interference, coercion or disruption with relation to University missions, processes, functions, or personnel.
- 6.11 Section 6.1 is violated when a student, acting alone or in concert with others, impedes or impairs University missions, processes or functions, or interferes with the rights of others. The following, while not intended to be exclusive, illustrate the offenses encompassed herein: occupation of any University building or property, or part thereof, without authorization by the University; blocking the entrance or exit of any University building or corridor or room therein; setting fire to, or by any other means, damaging any University building or property, or the property of others on University premises; any display of, or attempt, or threat to use firearms, explosives or other weapons upon University property without University authorization; prevention of the convening, continuation or orderly conduct of any University class or activity or of any lawful meeting or assembly upon University property; blocking normal pedestrian or vehicular traffic on University property; and failure to vacate premises when ordered to do so by a University official.

6.2 Administrative Authority and Responsibility

When it appears that there is a violation of Section 6.1, the Administration of the University is authorized and directed to take one or more of the following actions:

- a. Prefer charges under the Code of Student Conduct.
- b. Impose interim suspension.
- c. Declare a state of emergency.
- d. Make application to the courts for injunctive relief.
- e. Request the assistance of outside law enforcement agencies available under the laws of the Commonwealth of Kentucky.
- f. Take such other actions deemed necessary by the President of the University to protect lives and property and provide for the orderly operation of the institution.

6.3 Disciplinary Procedures

- 6.31 The University Appeals Board shall exercise original jurisdiction with regard to all cases wherein students are charged with a violation of Section 6.1.
- 6.32 The decision of the Appeals Board shall be final as to the issue of guilt or innocence and as to questions of law and procedural questions arising under this Code.
- 6.33 If the Appeals Board, by a majority of the members hearing any particular case, finds that an accused student is guilty of a violation of Section 6.1, it shall fix the punishment therefore, which shall be either suspension, dismissal or expulsion, and may include monetary reimbursement. The Board may, however, impose the penalty of undated suspension, if it makes a specific finding of substantial mitigating circumstances.

- 6.34 Within 30 days after receipt of the decision of the Appeals Board, a student found guilty may appeal in writing to the President of the University for a review of the nature or severity of the punishment imposed. In the event of an appeal, the President may decrease the punishment imposed by the Appeals Board.
- 6.4 Interim Suspension
- 6.41 Interim suspension is defined as exclusion of a student from the campus, pending a prompt hearing.
- 6.42 Interim suspension may be imposed only by the President of the University, the Vice President for Administration, the Vice President for Student Affairs, or the Dean of Students when any one of these officials has reasonable cause to believe that a student has committed an offense defined in Section 6.1.
- 6.43 In no case shall an interim suspension be in effect for a period longer than 7 days.
- 6.44 The official invoking interim suspension shall cause charges to be preferred and the reports and evidence forwarded to the Chairman of the Appeals Board, who shall docket the case for a prompt hearing.
- 6.5 State of Emergency
- 6.51 The President of the University, or in his absence, the Vice President for Administration, or other University official specifically designated by the President, may declare that a state of emergency exists on the campus. The declaration of a state of emergency shall be made when, in the judgement of the President or his designee, conditions are such that a clear and present danger exists with regard to the safety of persons or property or when conditions are such as to justify a reasonable belief that disruption is likely to occur.
- 6.52 In the event of a declaration of a state of emergency, the following procedures may be implemented:
- a. No persons, other than students, faculty and staff of the University with proper University identification, and representatives of duly constituted law enforcement agencies shall be permitted on the campus without appropriate identification issued by the University's Department of Safety and Security.

- b. The President, the Vice President for Administration, the Vice President for Student Affairs, the Dean of Students or their authorized representatives may impose upon any person such temporary sanctions as are considered necessary to protect members of the University community or its property, or to prevent disruption of the University.
- c. The President, or, in his absence, the Vice President for Administration, may impose such other temporary regulations, including the suspension of all mass meetings, and other gatherings, as may be reasonably necessary to protect the safety and welfare of persons on the campus, prevent damage to property, and provide for the orderly and efficient operation of the University.
- d. Take any of the actions enumerated in Section 6.2.

6.6 No Amnesty

No person shall have authority to grant amnesty or to make any promises as to prosecution or non-prosecution in any court, state or federal, or before any board to any person charged with or suspected of violating Section 6.1 of this Code.



UNIVERSITY OF KENTUCKY
STUDENT GOVERNMENT
Student Center
LEXINGTON, KENTUCKY 40506

SCOTT WENDELSDORF
PRESIDENT

REBECCA WESTERFIELD
VICE PRESIDENT

March 21, 1972

Members, Board of Trustees:

MINORITY REPORT OF THE STANDING COMMITTEE ON
THE CODE OF STUDENT CONDUCT

Recommendation: that the following minority report of the standing committee on the Code of Student Conduct, submitted by committee member Scott T. Wendelsdorf with committee member Eugene Goss concurring in part, be received for study and consideration and that this minority report be approved and its recommendations adopted by the Board of Trustees.



**UNIVERSITY OF KENTUCKY
STUDENT GOVERNMENT
Student Center
LEXINGTON, KENTUCKY 40506**

**SCOTT WENDELSDORF
PRESIDENT**

**REBECCA WESTERFIELD
VICE PRESIDENT**

University of Kentucky Board of Trustees
Standing Committee on the Code of Student Conduct

1971-1972 STUDENT CODE REVISIONS

MINORITY REPORT OF COMMITTEE MEMBER SCOTT T. WENDELSDORF
with committee member Eugene Goss concurring in part

STANDING COMMITTEE ON THE CODE OF STUDENT CONDUCT
MINORITY REPORT OF COMMITTEE MEMBER SCOTT T. WENDELSDORF

Three initial points of analysis should be made about this minority report before discussing the specific recommendations it contains.

First, this minority report does not oppose any of the proposed changes in the Code of Student Conduct recommended by the full committee in the majority report. I urge the adoption of those recommendations by the Board.

Second, this minority report does not bring before the Board every proposed change in the Code of Student Conduct which was deleted from the majority report by the committee. During the course of the committee's deliberations, I withdrew, on my own motion, several of the very proposals that I had submitted earlier to the committee. This was done to facilitate the philosophy of compromise and consensus that I have always maintained should be the policy of the Student Code drafting process. In addition, the recommendations contained in this report represent only a few of the proposed amendments rejected by the committee. I have agreed to most of the committee's actions. However, there are certain proposed amendments that I believe to be so compelling that I cannot acquiesce in their deletion from the majority report and from the Code of Student Conduct. Those amendments are the ones recommended by this minority report.

Third, the amendments proposed here are amendments to the Code of Student Conduct as it now reads. They are not necessarily amendments to the committee's majority report. Additions are underlined, and deletions are in brackets.

RECOMMENDATION 1

1.2 Disciplinary Offenses

Offenses as defined below are punishable disciplinary offenses. As used in the offenses specified in subsections a. through q. herein, University property is defined as all property owned, or leased to and operated exclusively by the University, and all such property leased to or operated by student and non-student organizations which are under the control and regulation of the Board of Trustees of the University of Kentucky. In addition to the offenses defined below, certain other disciplinary offenses involving conduct which is destructive of academic freedom, the rights of others and the orderly operation of the University are set out in Section 6.1 hereof.

- a. No student shall knowingly engage in interference, coercion or disruption which impedes, impairs or disrupts University missions, processes or functions or interferes with the rights of others on University property. (Examples of conduct falling within this section are described under Section 6.11);

- h. [Failure] Knowingly failing to comply with the lawful directions of University officials acting in the performance of their duties;

- j. Knowingly falsifying, altering or forging any official University records or documents, knowingly employing official University documents or records for purposes of misrepresentation, or knowingly causing any official University documents or records to be falsified by means of any misrepresentation;

- n. Intentionally defacing, disfiguring, damaging or destroying public or private property upon University property;

- o. Knowingly lifting, taking or acquiring possession of, without permission, any academic material (tests, information, research papers, notes, books, periodicals, etc.) from a member of the University community.

COMMENT: As indicated in the initial analysis, this recommendation contains a small fraction of the proposed changes in Section 1.2 which I originally submitted to the committee. Without these additions, it is possible for a student

to be charged with a violation of the Code of Student Conduct and subjected to the inconvenience of a disciplinary hearing or the imposition of punishment for acts innocently done with no intent to violate any rules or regulations of the University. In addition, if the Student Code is ever challenged in a court of law, Section 1.2 is extremely vulnerable to being declared unconstitutional and void for vagueness and overbreadth. This means that Section 1.2 could not be enforced against anybody, not even those individuals who clearly intend to violate the rules of the University. It is clearly in the University's best interest for the Board to adopt this recommendation. To do otherwise jeopardizes the entire section.

Committee member Eugene Goss concurs with me in this recommendation.

RECOMMENDATION 2

1.4 The Procedures

1.41 The Ombudsman

There shall be an office of the Ombudsman separate and distinct from the office of the Academic Ombudsman. The Ombudsman is the officer of the University charged with consideration of student grievances in connection with non-academic matters.

1.411 Functions, Jurisdiction and Procedures of the Office

1.412 Functions

The office of Ombudsman shall provide a mechanism for handling issues for which no established procedure exists or for which established procedures have not yielded a satisfactory solution. It is not to supplant the normal processes of problem resolution in the University. In some cases where there is a clear need to achieve a solution more quickly than normal procedures provide, the Ombudsman may seek to expedite the normal processes of resolution.

1.413 Jurisdiction

The authority of the Ombudsman is restricted to issues of a non-academic nature involving students on the one hand and faculty, staff, or administration on the other, whether explicitly governed by the Code of Student Conduct or not.

However, he may refer issues falling outside his jurisdiction to appropriate offices charged with the responsibility for dealing with them, such as the Vice President for Academic Affairs or the Academic Ombudsman.

When a problem falls partly within his jurisdiction and partly within the jurisdiction of some other office, the Ombudsman shall cooperate with the relevant other office in seeking a solution. However, the Ombudsman's authority in effecting a solution shall extend only to those aspects of the issue falling within his jurisdiction as defined below.

Jurisdictional disputes involving the Ombudsman and other offices which cannot be resolved through negotiations shall be referred to the President.

1.414 Decision to Accept a Case

When an issue to be resolved is brought to the Ombudsman, he shall first determine if the issue falls within his jurisdiction, as defined by the Code of Student Conduct. If it does not, he shall refer the person presenting the issue to the proper authority to deal with it.

If the issue does fall within his jurisdiction, the Ombudsman shall determine if efforts have been made to adjudicate it through normal channels and procedures. Where such channels and procedures exist and have not been utilized, the Ombudsman shall recommend their use, unless there is compelling evidence that they will not effectively resolve the issue.

The Ombudsman shall investigate each issue falling within his jurisdiction to determine:

- (1) whether it contains merit;
- (2) whether it is deserving of his extended attention; and
- (3) the priority of attention which it should be accorded by his office.

The Ombudsman shall notify the student directly concerned of his determination that an issue does not contain merit. The student then has the right to appeal within 30 days to the University Appeals Board. Upon receipt of the written appeal, the chairman of the Appeals Board shall notify the Ombudsman to forward all reports and evidence concerning the case. The Board may then by majority vote agree to hear the student's case or to allow the Ombudsman's decision to be final.

1.415 Procedures

When the Ombudsman determines that an issue merits his attention, he shall contact the parties involved to determine the background of the issue and areas of disagreement. With this information in hand, he shall seek to determine alternative means of achieving an equitable resolution and propose to the conflicting parties those solutions which appear to offer the greatest promise of mutual satisfaction. Normally his investigatory and arbitration activities shall be conducted informally and need not involve confrontation of the conflicting parties. However, mere formal procedures and direct confrontation of the parties involved may be utilized if circumstances dictate that these will produce a more effective resolution. If his arbitration efforts are unsuccessful, the Ombudsman shall refer the case to the University Appeals Board in writing if the complainant wishes to pursue the issue. At the request of the Appeals Board, the Ombudsman shall appear before it to offer testimony or shall prepare a written report of the case.

1.416 Liaison

The Ombudsman shall maintain close liaison with the Vice President for Student Affairs, the Chairman of the Senate Advisory Committee on Student Affairs and other such officials who have responsibility and concern for the non-academic governance of students. However, he shall not violate the rights of students or other parties involved in cases brought to him through the disclosure of any information communicated to him in confidence.

1.417 Records and Reports

The Ombudsman shall retain a record of all cases which he accepts. At the end of his term of office he shall transmit all permanent case records to the new Ombudsman for appropriate disposition. He shall present annually a report of his activities to the University Senate, the Student Government, and the President of the University and may offer recommendations for changes in rules, practices or procedures to the end of achieving more harmonious and effective governance of student non-academic affairs.

At the request of the Senate Council, Student Government, or the Vice President of Student Affairs, the Ombudsman shall prepare reports or submit recommendations on specific matters referred to him. He may on his own volition, report directly to the Senate Council or the President of the University, Student Government, Deans, Department Chairmen, or other appropriate persons on problems which he feels deserve their early attention.

1.418 Qualifications of the Ombudsman

The Ombudsman must be a member of the faculty. Beyond this his qualifications should be those which will permit him to perform the functions of his office with fairness, discretion and efficiency. It is important that he be regarded by students as one who is genuinely interested in their welfare and sympathetic to their problems. It is equally important that he be both temperate in his judgments and judicious in his actions. He must be

firm and persistent in seeking to achieve prompt and equitable solutions to the problems which are brought to him. Because much of his success will depend upon his ability to utilize informal channels of communication and cordial personal relations with a wide variety of students, faculty and members of the administrative staff. Above all, he must be a person of unquestionable integrity and resolute commitment to justice.

1.419 Selection Procedure

1.420 The Chairman of the Senate Council, with the advice of the Senate Council members, shall appoint a Search Committee consisting of the following members:

- (1) a member of the Senate Council;
- (2) two students, one an undergraduate and one a graduate or professional student, chosen by the Student Government by methods provided by the rules of the Student Government
- (3) one student member and one faculty member of the Senate Advisory Committee on Student Affairs;
- (4) a member designated by the President of the University who shall serve as Chairman of the Search Committee.

1.421 The Search Committee shall solicit nominations for the Ombudsman from students, faculty and administration.

1.422 Nominees shall be initially screened according to criteria set forth by the Rules of the University Senate and such other criteria as may be established by the University Senate and the Search Committee. The list of eligible candidates shall then be submitted for approval to the Senate Council and a Committee of the Student Government, not to exceed nine members, appointed by procedures designated by the Student Government Senate. Only those candidates approved by both bodies shall be given further consideration for appointment to the office. Approved candidates who are willing to be considered for the post of Ombudsman may be interviewed by the Search Committee. From among the jointly approved candidates, the Search Committee shall recommend no more than three to the President.

1.423 Should the office of Ombudsman be vacated prior to the expiration of the normal term of office, a new appointment shall be made to fill the unexpired term using the same procedures as described above.

1.424 Conditions of Employment:

1.425 The term of office for the Ombudsman shall be twelve months beginning July 1. He shall be eligible for reappointment.

1.426 The regular academic duties of the Ombudsman shall be reduced during his period in office. Normally this will be one-half of his regular duties, but the exact proportion may be more or less, as agreed upon by the Ombudsman and his department chairman.

1.427 The portion of this service devoted to the duties of Ombudsman shall be separately evaluated from his other academic duties for purposes of merit evaluation by the President and shall be proportionately weighed in assigning an over-all merit rating.

1.428 The conditions of employment will be negotiated through the Office of the President or through other channels designated by the President.

RECOMMENDATION 3

1.432 Disposition of Cases of Disciplinary Offenses

- b. If the student requests a review of the punishment, the Appeals Board shall recommend what it believes to be the appropriate punishment to the President, who shall set the punishment. The Appeals Board may not recommend, nor may the President set a more severe punishment than that imposed by the U.J-Board.

RECOMMENDATION 4

[1.57] [Expulsion]

[Permanent termination of student status.]

RECOMMENDATION 5

2.4 Right of Appeal

Within 30 days after receipt of the decision of the Residence Judicial Board, any accused student may appeal in writing to the Vice President for Student Affairs for review by the U.J-Board of the Residence Judicial Board's finding of guilt or for review of the nature of severity of the punishment imposed or recommended. The Vice President shall forward the appeal to the Chairman of the U.J-Board for action. The decision of the U.J-Board shall be final. The U.J-Board may not increase the punishment imposed by the Residence Judicial Board.

RECOMMENDATION 6

3.29 A student has the right to view his disciplinary and academic records and any other records maintained on him or her at any time with the sole exclusion of letters of recommendation.

RECOMMENDATION 7

- 3.316 [The accused shall enjoy the right to have the assistance of an advisor of his choice and shall be informed of his right in all processes of the University Judicial System.] All students shall enjoy the right to have the assistance of an advisor of their choice in all processes of the University Judicial System and Residence Halls Judicial System and during any counseling, interrogation, or investigation by University personnel concerning or arising out of suspected violations of the Code of Student Conduct or federal, state, or local law. The student shall be informed of this right.

RECOMMENDATION 8

- 3.319 The accused student shall have the right to either an open or closed hearing. All hearings before any judicial agency shall be closed unless the accused student requests that said hearing be open. If a student desires an open hearing, he must file a written request with the Hearing Officer at least 24 hours prior to the time set for the hearing. All open hearings shall be open to the public. [The Hearing Officer will then admit to the hearing, in addition to those admitted to closed hearings, one properly identified member of the working press from the student newspaper, and from each established newspaper, magazine, television or radio station requesting admission, four persons invited by the accused student, and four persons invited by the University Counsel.] The Hearing Officer may order the removal of any disruptive person from the hearing.

RECOMMENDATION 9

3.321 Double Jeopardy

- a. The University authority shall not be used merely to duplicate the function of the general laws. Only where the University's interests as an academic community are distinct and clearly involved shall the authority of the University be asserted. If a student is charged with an offense which is a violation of both this Code and federal, state, or local law, any punishment imposed by the University shall be mitigated by any punishment imposed by off-campus authorities.
- b. No student shall be tried or punished more than once for the same offense by the University or any of its subdivisions.

RECOMMENDATION 10

3.323 No student may be disciplined in any way whatsoever except for a violation of the rules of conduct specifically set out in Sections 1.2 and 6.1 of this Code or promulgated in accordance with Sections 2.1 through 2.14 of this Code, and then only in strict accordance with the procedures established by this Code. Pending action on charges, the status of a student shall not be altered, nor shall his right to be present on campus and to attend classes and use facilities be suspended except pursuant to the reasonable exercise of Section 145 .

RECOMMENDATION 11

6.22 Emergency Council

6.221 Activation

When the President of the University, or his designee, has reasonable cause to believe that mass disturbances are likely to occur or when such disturbances actually commence, he shall convene the Emergency Council.

6.222 Composition

The Emergency Council shall consist of the President of the University, or his designee, who shall be chairman; the Vice President for Student Affairs; the Director of Safety and Security; the Chairman of the University Senate Council; the Student Body President, or his designee; and the Student Body Vice President. The President of the University may add additional members to include those uniquely connected with the particular disturbance.

6.223 Functions

- a. The Emergency Council shall advise the President on courses of action.
- b. The Emergency Council shall serve to facilitate full and open communication and discussion among the various elements involved.
- c. The Emergency Council must be consulted before Sections 6.21 (b) through 6.21 (e) are implemented.
- d. The Emergency Council shall attempt to devise a solution to the dispute and/or a plan for de-escalation of confrontation and disorder which shall be presented to the elements involved.
- e. The Emergency Council may exercise any role assigned to it by the President of the University, or his designee, designed to restore order without violence.

RECOMMENDATION 12

ARTICLE VII - AMENDMENT

The Code of Student Conduct may be amended only by the Board of Trustees. Responsibility for revising the Code of Student Conduct is delegated to an administrative committee to consist of faculty, students, and administration. The exact composition and procedure of the committee is to be administratively determined by the President of the University. The function of the committee shall be as follows:

1. To conduct an ongoing thorough examination of all rules, regulations, and procedures governing student conduct;
2. To actively solicit student, faculty, and administration recommendations and comments on revising the Code of Student Conduct;
3. To prepare and present to the Board of Trustees for their consideration proposed revisions, if any, in the Code of Student Conduct at least annually and at such other times deemed appropriate by the committee.

MINORITY REPORT OF THE STUDENT CODE COMMITTEE

Submitted by Thomas P. Bell, Member

6.31 The President of the University shall appoint a HEARING BOARD consisting of three persons, and said Board shall exercise original jurisdiction with regard to hearing all cases wherein students are charged with the violation of Section 6.1.

6.32 Substitute Hearing Board for Appeals Board.

6.33 Substitute Hearing Board for Appeals Board.

6.34 Substitute Hearing Board for Appeals Board.

6.44 Substitute Hearing Board for Appeals Board.