

## AGENDA

Meeting of the Board of Trustees  
University of Kentucky  
1:00 P.M.  
September 15, 2009  
18th Floor Patterson Office Tower

### Oath of Office

### Roll Call

Approval of Minutes - (Consent)  
Minutes – June 9, 2009

### 2010 Schedule for Meetings of Board of Trustees

### Nominating Committee Report

Election of Officers and Executive Committee

NCR 1 Appointment to Board of Directors — University of Kentucky Mining Engineering Foundation, Inc.

NCR 2 Appointment to Board of Directors — University of Kentucky Research Foundation, Inc.

### President's Report and Action Items

PR 1 President's Report to the Trustees

PR 2 Personnel Actions (Consent)

### Audit Subcommittee Report

### Academic Affairs Committee Report

A&CR 1 Candidates for Degrees

A&CR 2 Candidates for Degrees — Bluegrass Community and Technical College

A&CR 3 Proposed Revision to Governing Regulation: University Organization — Chairs of Departments

A&CR 4 Change in Degree — College of Engineering

### Finance Committee Report

FCR 1 Gift from the Estate of Dr. Lilibyce Akers (Consent)

FCR 2 Gift from the Estates of William and Julia Cundiff (Consent)

FCR 3 Dr. F. Joseph III and Mrs. Joan Halcomb Gifts and Pledge (Consent)

FCR 4 Gift from the Estate of Margaret Bell Humphreys (Consent)

FCR 5 Keeneland Foundation Gift and Pledge (Consent)

FCR 6 Kentucky Medical Services Foundation Gifts and Pledge (Consent)

FCR 7 Gift from the Estate of Alice P. Killpatrick (Consent)

FCR 8 Gifts and Pledges to the Byron Young, M.D. Research Endowment for Neurosurgery Residents (Consent)

FCR 9 Providing for the Authorization, Issuance, and Sale of Approximately \$105,000,000 General Receipts Obligations (Hospital Phase III Project) of the University of Kentucky, Pursuant to the Trust Agreement Dated as of November 1, 2005

FCR 10 Lease-Purchase of Health Management System

FCR 11 Renovate Third Floor Little Library

FCR 12 Changing the Name of Keeneland Drive to Campus Drive

FCR 13 Approval for Proposed Administrative Regulation: University of Kentucky Identity Theft Program ("Red Flags Rule")

FCR 14 Renovation of Equine Barns

FCR 15 Approval of Related Transactions

FCR 16 Easement Authorization for Legacy Trail (Maine Chance Farm/Spindletop Properties)

FCR 17 Patent Assignment Report

FCR 18 Capital Construction Report

### Investment Committee Report

### Student Affairs Committee Report

### University Health Care Committee Report

### University Relations Committee Report

### Executive Committee Report

Institutional Goals for President Lee T. Todd, Jr. for Academic Year 2009-10

### Other Business

### Adjourn

# NCR 1

Office of the President  
September 15, 2009

Members, Board of Trustees:

APPOINTMENT TO BOARD OF DIRECTORS  
UNIVERSITY OF KENTUCKY MINING ENGINEERING FOUNDATION, INC.

Recommendation: that the Board of Trustees approve the appointment of Jo Hern Curriss as a Trustee member to the University of Kentucky Mining Engineering Foundation, Inc. Board of Directors for a two-year term ending September 14, 2011.

Background: In accordance with the Bylaws of the University of Kentucky Mining Engineering Foundation, Inc., two members shall be from the Board of Trustees, and those appointments shall be approved by the Board of Trustees.

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

# NCR 2

Office of the President  
September 15, 2009

Members, Board of Trustees:

APPOINTMENT TO BOARD OF DIRECTORS  
UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION

Recommendation: that the Board of Trustees approve the appointment of Pamela T. May as a Trustee member to the University of Kentucky Research Foundation (UKRF) Board of Directors for a term ending June 30, 2010.

Background: In accordance with the Bylaws of the University of Kentucky Research Foundation, two members shall be from the Board of Trustees, and those appointments shall be approved by the Board of Trustees. All vacancies in the membership of the Board of Directors, due to the appointee ceasing to be actively connected with the group from which he/she was selected, shall be filled to serve the unexpired term. Phillip R. Patton's term on the Board of Trustees expired June 30, 2009, and Ms. May will fulfill his unexpired term on the UKRF Board.

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

Office of the President  
September 15, 2009

1. UK Tops Benchmarks for Startup Companies by Faculty Entrepreneurs

University of Kentucky faculty entrepreneurs formed more startup companies per \$10 million in annual research expenditures than at any of UK's 19 benchmark institutions, which include the University of Wisconsin-Madison and the universities of Maryland, Michigan, Illinois, and Florida. According to the Association of University Technology Managers (AUTM), UK also climbed from 39<sup>th</sup> in 2005 to 7<sup>th</sup> in 2007 among all public and private universities for developing new technology-based businesses. UK ranks 13<sup>th</sup> among its benchmarks in the area of licensing income, a measure of commercialization activities that includes university-industry partnerships. During last fiscal year, UK had a total of 151 licenses and recorded \$1.5 million gross licensing revenue. AUTM's global network of members comes from more than 350 universities, research institutions, teaching hospitals, and government agencies as well as hundreds of companies involved with managing and licensing innovations derived from academic and nonprofit research.

2. UK Researchers Discover Human Cells Secrete Cancer-killing Protein

Human cells are able to secrete a cancer-killing protein, scientists at the University of Kentucky's Markey Cancer Center have found. Researchers led by Vivek Rangnekar, UK professor of radiation medicine, have determined that the tumor-suppressor protein Par-4, initially thought to be active only within cells expressing the Par-4 gene, is in fact secreted by most human and rodent cells and can target large numbers of cancer cells by binding to receptors on the cell surface. This discovery, published in the leading journal *Cell*, makes Par-4 a very attractive molecule for future research aimed at developing new cancer treatments. Funded by several grants from the National Institutes of Health, Rangnekar's study found that when the Par-4 molecule binds to its receptor GRP78 on the surface of a tumor cell, it triggers a biological process called apoptosis or "cell suicide." Consistent with previous research by Rangnekar's laboratory with intracellular Par-4, the newly discovered secreted Par-4 acts selectively against cancer cells, leaving healthy cells unharmed. Few other molecules are known to exhibit such selectivity.

3. Frank Dickey, Who Led UK during Dynamic Growth, Dies at Age 91

Frank Graves Dickey, who served from 1956 to 1963 as the University of Kentucky's fifth president, died August 7, 2009, after a long illness. He was 91. Dickey presided over the university during the period when UK launched its medical school and during the construction and opening of the UK Albert B. Chandler Hospital. Planning for

the school, which included the colleges of Medicine, Dentistry, and Nursing, as well as the hospital, had begun in 1954 under then-President Herman Lee Donovan, but Dickey led the effort to marshal legislative support and saw the project to completion. Dickey rose to the presidency after having served as dean of the UK College of Education, of which he was an alumnus, from 1950 to 1956. In that post he directed the college's off-campus and field service educational program, working with Kentucky public school teachers, administrators, and school board members. The UK Patterson School of Diplomacy and International Commerce also opened during his presidency. He was appointed to the UK presidency in June 1956 at age 38, the youngest person ever to attain that position.

#### 4. President Obama Chooses Two UK Professors for Early Career Awards

President Obama has awarded the Presidential Early Career Award for Scientists and Engineers to two University of Kentucky professors: Chemical and Materials Engineering Associate Professor Bruce Hinds and Plant and Soil Science Assistant Professor David McNear Jr. Hinds and McNear were two of 100 researchers nationwide to receive the award, the highest honor bestowed by the federal government on young professionals in the early stages of their independent research careers. The recipients will be presented their awards this fall at a White House ceremony. Hinds, who is also UK's William Bryan Professor in Chemical and Materials Engineering in the College of Engineering, performs research on nanoscale device fabrication. McNear's focus includes a fungal endophyte that lives in the shoots of tall fescue, its effects on the chemistry of compounds released into the rhizosphere (i.e. the root-soil interface), and how these compounds interact with soil and microbial constituents to influence carbon and nitrogen cycling in fields throughout the Southeast.

#### 5. Markey Researchers Find Ultrasound Is Important for Spotting Ovarian Cancer

Scientists at UK's Markey Cancer Center have found that ultrasound findings form the single most important piece of information for detecting ovarian cancer among women, exceeding symptoms analysis. The findings were published online recently by the journal *Cancer*. Researchers led by Edward Pavlik, associate professor in the Division of Gynecologic Oncology at the UK College of Medicine, selected 272 women participating in annual trans-vaginal screening (TVS) from 31,748 women enrolled in a free screening project at the university and compared symptom results to ultrasound and surgical pathology findings. The team observed that TVS performed better for detecting malignancies, reporting 85 percent overall sensitivity versus 20 percent for symptoms analysis.

#### 6. Visualization Center Researchers Take Technology Overseas

Two UK Center for Visualization and Virtual Environments researchers sent their technological advances outside the United States this summer for practical use. Computer Science Professor Brent Seales went to Paris, France to use technology he has developed to "unscroll" ancient manuscripts that had been carbonized at Herculeum, Italy

by the eruption of Mount Vesuvius in 79 A.D. Seales will analyze the data gathered by scanning the fragile scrolls to see if they can be "read" without endangering them. Meanwhile, Electrical and Computer Engineering Professor Laurence Hassebrook sent a hand-held, 3-D scanning device he has invented to Honduras with a graduate student and a Transylvania University archeologist, who used the device to collect three-dimensional scans of artifacts without removing the artifacts from the archeological dig. The Center for Visualization and Virtual Environments is housed in the UK College of Engineering.

7. Carbon Injection Begins on Storage and Enhanced Oil Recovery Projects

Testing of a system for permanent storage of carbon dioxide in deep formations began at a deep well in Hancock County, Kentucky last month. Drilling the well began on April 24 and was completed on June 15 after reaching a total depth of 8,126 feet. The Kentucky Geological Survey and several partners initiated the project supported by the Kentucky General Assembly, which allocated \$5 million in 2007 for research to demonstrate the feasibility of geologic carbon storage and the use of carbon dioxide to enhance oil and gas recovery. The project has important implications for Kentucky's electricity-generating industry, which relies primarily on burning coal at power plants.

8. UK's 'see blue' Marketing Campaign Wins Gold Medal Among Peers

UK Public Relations and Marketing was awarded the Gold Medal in the Advertising Campaign Category of the 2009 Circle of Excellence Awards Program of the Council for Advancement and Support for Education (CASE). The medal was presented for the "see blue" advertising and marketing campaign developed under the oversight of Marketing Director Kelley Bozeman.

9. Study Finds Meal Replacements Are Successful in Helping Lose Weight

Meal replacements in a medically supervised weight loss program are successful in facilitating weight loss, according to a new study co-written by Dr. James W. Anderson, professor emeritus of internal medicine and clinical nutrition at the UK College of Medicine. The study appears in the August 2009 issue of the *Journal of the American Dietetic Association*. The meal replacements are products of Health Management Resources Corporation, a privately owned national health care company specializing in weight loss and weight management. The study assessed weight outcomes, behavioral data, and side effects for obese patients enrolled in an intensive behavioral weight loss program. Two treatment options were offered: Medically Supervised and Healthy Solutions. Medically Supervised patients restricted food consumption to meal replacements, which consisted of shakes, entrees, and bars. Patients either consumed five shakes daily or three shakes and two shelf-stable entrees daily. Healthy Solutions patients limited food intake to shakes, entrees, bars, fruit, and vegetables. Recommendations were to consume a minimum of three shakes, two entrees, and five servings of fruit and vegetables daily. Some patients with diabetes, hypertension, or medical problems necessitated the Medically Supervised option. Patients in the Medically Supervised option lost an average of 43.4 pounds in 19 weeks. Patients in the

Healthy Solutions option lost an average of 37.5 pounds in 18 weeks. The study also found that patient compliance, accountability, and commitment with the support of a structured program increases weight loss success.

10. Ambati Research Team Finds Natural Molecule Blocking Vessel Growth

Researchers in the laboratory of Dr. Jayakrishna Ambati have discovered the first naturally occurring molecule that selectively blocks lymphatic vessel growth. In an article in the August 9, 2009 online edition of *Nature Medicine*, they identified a new molecule known as soluble VEGFR-2 that blocks lymphangiogenesis – the growth of lymphatics – but not blood vessel growth. The article, whose lead author is Dr. Romulo Albuquerque, a medical student in the UK College of Medicine, showed that soluble VEGFR-2 specifically blocks lymphatic vessel growth both during development and following injury by blocking VEGF-C, a powerful lymphatic growth factor. It also reports that loss of soluble VEGFR-2 during development led to the spontaneous invasion of lymphatic vessels, but not blood vessels, into the cornea, solving the long-standing mystery of why the cornea is normally devoid of lymphatics. Soluble VEGFR-2 was also required for normal development of lymphatics in the skin.

11. UK Chandler Hospital Wins High Ranking from *U.S. News & World Report*

The UK Albert B. Chandler Hospital is ranked among the nation's top hospitals for 2009-10 by *U.S. News and World Report*. UK Chandler Hospital's ear, nose, and throat (33) and gynecology (40) programs are recognized in the study of almost 5,000 hospitals nationwide. UK is one of only 174 hospitals to receive specialty rankings after evaluation. This year's rankings surpassed last year's scores, with ear, nose, and throat moving up 11 spots and gynecology increasing by two.

12. NIH Stimulus Funding Supports Stoops' Tramadol Research

UK researcher William W. Stoops has received a \$1.17 million, two-year grant from stimulus funding to the National Institutes of Health, funded through the American Recovery and Reinvestment Act of 2009. Stoops, an assistant professor in the UK College of Medicine's Department of Behavioral Science and the UK Center for Drug and Alcohol Research, will study the pharmacological effects of tramadol, a synthetic opioid that does not appear to be abused at the same rate as other natural, semi-synthetic, and synthetic analgesics derived from opium alkaloids. Stoops' research could help determine key factors needed to develop other opioid analgesics with reduced potential for misuse and abuse. The stimulus grant, one of the first funded through the National Institute of Drug Abuse, will support four current faculty and three staff members as well as fund three positions for either current staff or to-be-hired staff.

13. UK Chooses IMG/ISG to Pursue Athletic Facilities Private Financing Proposal

UK has selected IMG/ISG to continue negotiations under the request for proposal for the “Private Financing of University of Kentucky Athletic Facilities.” The RFP addresses the financing, design, construction, and marketing of a new baseball complex and renovations to Commonwealth Stadium. In addition, the RFP opens the option of working with Lexington Center Corporation to complete the same functions for a new downtown arena. No timeframes or deadlines have been established for the continued negotiations with IMG/ISG.

14. UK Student's Dream Brings Performing Arts Venue to Muhlenberg County

One of the dreams of Jenna Brashear, a UK senior majoring in international studies and German with a minor in music performance, involved bringing Muhlenberg County public schools an acoustically-designed performing arts venue. Brashear proposed just this addition for her hometown's school as part of a project for her John R. and Joan B. Gaines Fellowship in the Humanities at the university, and the dream will come to fruition with the help of the Felix E. Martin, Jr. Foundation. Earlier this summer, the Felix E. Martin, Jr. Foundation announced a \$500,000 grant to enable the Muhlenberg County School Board to expand the new auditorium planned for Muhlenberg County High School. The grant was recommended by the foundation's task force of five local advisers: Gary Carver, Lanie Gardner, Elizabeth Gentry, Mike Mercer, and Peggy Williams. Greenville native Felix E. Martin, Jr. died in 2007 leaving a majority of his \$60 million estate to benefit Muhlenberg County invested into the charitable foundation named for him. The promise of Brashear's proposal, originally drafted in February 2009 as part of her jury project for the Gaines Fellowship, was first recognized by Gardner and David Richey at First National Bank of Muhlenberg County. Gardner, vice-chair of the Martin Foundation Task Force, then presented the idea for the auditorium expansion to the task force.

15. Toxicology Researchers Spot Mechanisms Underlying Huntington's Disease

Researchers at the UK Markey Cancer Center and Graduate Center for Toxicology (GCT) have gained new insight into the genetic mechanisms underlying Huntington's disease and other neurodegenerative or neuromuscular disorders caused by trinucleotide repeats (or TNRs) in DNA. The research, performed in the laboratory of Guo-Min Li, UK professor of toxicology and biochemistry and the Madeline James & Edith Gardner Distinguished Chair in Cancer Research, examined the mechanisms involved in the development of a specific type of genetic mutation known as trinucleotide repeat expansions. Diseases associated with these mutations, including Huntington's disease, are called trinucleotide repeat disorders. Findings were published in *Nature Structural & Molecular Biology*. GCT research scientist Caixia Hou, student Nelson Chan, and professor Liya Gu are co-authors of the study. The work was supported in part by grants from the National Institutes of Health.



16. Six New Companies Make Their Home at Coldstream Research Campus

A large nonprofit organization, a health and wellness technology company, and the first Kentucky office of the world's largest provider of workplace solutions for businesses are among the companies that have moved into UK's Coldstream Research Campus recently. The American Board of Family Medicine, the Regus Group (workplaces for businesses), and MedTech College, offering allied health and nursing training are located in the new Lexhold International Center for Technological Innovation. Other new companies include Ionx, an R&D company with the soon-to-be-released iDOT™ body temperature alert patch, Equine Diagnostic Solutions testing laboratory, and Affinity Photoprobes, which uses patented technology to identify differences between normal and diseased tissues.

17. Voice Professor Teaches Children's Choirs, Music Students in Ecuador

UK Voice Professor Noemi Lugo spent two weeks in May with children's choirs, music students, and music educators in Ecuador on a trip sponsored by a travel grant and a project assistance grant from the Bureau of Educational and Cultural Affairs of the U.S. Department of State through Partners of the Americas or Compañeros de las Américas. The entity pairs U.S. states with countries in Latin America and the Caribbean, facilitating shared knowledge and resources to improve the lives of people across the hemisphere. Lugo is a member of the local chapter of Kentucky-Ecuador Partners. Currently, the work of Kentucky-Ecuador Partners is focused on four program areas. Agricultural initiatives help increase food production and distribution, promote better farm and marketing operations, and conserve natural resources. Rehabilitation projects range from physical and occupational therapy to job programs to technology assistance. The dental health initiative promotes preventive dentistry. The fourth initiative is culture, which includes promoting an awareness and appreciation of culture from both sides of the partnership through individual participation in projects. Objectives are met in a variety of ways, including interactive workshops that allow for true collaboration among members from both Ecuador and Kentucky. Lugo's primary objective was to promote cultural exchange with other professional musicians, music students, and members of Compañeros de las Américas.

18. Education Professor Helps Winburn Middle School Team Score in Contest

After solid performances from his MathCounts team in 2008, College of Education Professor Xin Ma led the Winburn Middle School squad to even greater heights in 2009. Winburn students Valerie Sarge and Vania Ma finished in first and second place, respectively, at the 2009 Kentucky State MathCounts Competition, held in Lexington. In addition, the Winburn team claimed second place at the state level. Ma attributes the success to a change in the training method and to the hard work by the students.

19. Initiative Seeks to Help Clinicians Turn Ideas into Real Medical Devices

More than 140 UK HealthCare clinicians, engineering faculty, Blue Grass Angels, and others attended the first annual Clinician Innovation Day and learned how clinicians can turn their ideas into medical devices and diagnostic products. The group also heard from expert entrepreneurs Dr. Thomas J. Fogarty, inventor of the world's first balloon catheter that revolutionized vascular surgery, and UK President Lee T. Todd, Jr., founder of two technology companies, one of which was sold to IBM. Using a customized process designed to fit the hectic schedule of health care providers, the clinicians will work with an experienced business team in a privately funded company called Therix Medical to develop their concepts, including prototype development, regulatory assessment, financial modeling, and intellectual property protection. Therix will launch the resulting product in the marketplace either through licensing to industry or creating a start-up company. The Von Allmen Center for Entrepreneurship in the Office for Commercialization & Economic Development partnered with UK cardiologist Dr. John Gurley to develop the Clinician Innovation Initiative and Therix Medical.

20. UK Libraries Wins Three Best of Show Awards from Peer Association

UK Libraries has been awarded three Best of Show awards and an Honorable Mention award by the Library Leadership and Management Association, a division of the American Library Association (ALA). The awards were presented at the ALA annual conference in July in Chicago. UK Libraries took four awards, including three Best of Show awards, in four of the 11 categories presented in the competition. One of UK Libraries' Best of Show honors was in the category of fundraising materials for its Equine Oral History video created by the Louie B. Nunn Center for Oral History. UK Libraries was also awarded Best of Show honors in the category of videos 30 seconds and under for The Hub @ WT's video. This 30-second video provides a description of services and brief tour of The Hub, an information commons, in the William T. Young Library. A full-color UK Libraries brochure received Best of Show in the services/orientation/policy materials category. The brochure details the various collections, services, and library sites maintained by UK Libraries. UK Libraries also received Honorable Mention recognition for a blog created by its Archives Department called Curiosities and Wonders in the category of Web pages/home pages.

21. UK Alumni Expert Network Is Finalist in National Excellence Competition

The UK Alumni Expert Network is a finalist in the University Economic Development Association's (UEDA) 2009 Awards of Excellence Competition. As a finalist, UK will present the Alumni Expert Network program to attendees of the UEDA's annual summit on higher education and economic development this October in San Antonio, Texas. This is the first time the University of Kentucky has been recognized by the UEDA. The UK Alumni Expert Network connects tens of thousands of Kentucky small businesses with alumni who have expertise in hundreds of areas from business

operations to new product development. It is a partnership between the UK Office for Commercialization & Economic Development and the UK Alumni Association.

22. Architecture, Physical Therapy Students Prepare Wethington Walking Path

Students from two distinct disciplines – Architecture and Physical Therapy – recently joined forces to promote art and health on the campus of the University of Kentucky. The two groups worked together to create an artistic and functional walking path in the Charles T. Wethington, Jr. Building. Deborah Kelly, Physical Therapy associate professor, initiated the project because she wanted to develop an environment on campus that promotes exercise and healthy lifestyles on campus. The Wethington Building, which is home to the physical therapy program, housed the perfect space for a walkway in its basement. Kelly partnered with her husband on the project, Bob Kelly, an architecture instructor in UK's College of Design, and students from both the design and physical therapy programs. Together the group transformed the hallway into an enjoyable and aesthetically pleasing place to walk.

23. Small Business Center Launches Web Site to Help Businesses Find Resources

The Kentucky Small Business Development Center (KSBDC) recently launched [www.kybizinfo.com](http://www.kybizinfo.com), an innovative resource navigator and interactive tool for small businesses, including pre-venture, startup, emerging, and existing businesses. The site's easy-to-use resource navigator connects small businesses with a network of non-profit organizations across Kentucky that provides business building services and programs. Additionally, [www.kybizinfo.com](http://www.kybizinfo.com) offers a statewide calendar of small business events and seminars; articles, publications, and templates contributed by resource partners; a discussion forum for entrepreneurs; and a blog that keeps small business owners updated on important issues.

24. UK Chandler Hospital Honors Helicopter Crew Who Died 10 Years Ago

The UK Chandler Hospital held a memorial service on June 30 to honor the air-medical crew who lost their lives on duty 10 years ago. Flight paramedic Brian Harden, flight nurse Sheila Zellers, and pilots Ernest Jones, Jr. and Donald Greene lost their lives while responding to a call in the rural mountainside of Breathitt County on June 14, 1999. Following a memorial service in the hospital auditorium, a tree was planted in the Japanese Garden outside the north lobby in honor of the fallen crew.

25. UK College of Law Inducts Two into Hall of Fame

The UK College of Law and the Law Alumni Association inducted Marilyn S. Daniel and Harry B. Miller, Jr., both of Lexington, into the college's Hall of Fame on June 10 at an alumni reception in conjunction with the Kentucky Bar Association Convention in Covington. Daniel has been practicing law in the Lexington area for 32 years following a 10-year career as a secondary mathematics teacher in Kentucky and

New Jersey. Miller has been a senior partner of Miller, Griffin & Marks, PSC for more than 60 years.

#### 26. Student Awards and Achievements

Bev Harp, Social Work graduate student, received the UK Human Development Institute's annual Paul Kevin Burberry Award. Harp was recognized for her achievements on behalf of developmentally challenged individuals, her advocacy, and her commitment to the field of disabilities. The Paul Kevin Burberry Award is named in honor of Kevin Burberry, an institute consultant who had cerebral palsy from birth. Burberry earned a bachelor's degree in philosophy from the UK College of Arts and Sciences, graduating magna cum laude after 10 years of effort. Burberry died Sept. 11, 2003.

#### 27. Faculty and Staff Awards and Achievements

Rodney Andrews, Center for Applied Energy Research, presented an invited seminar at Carnegie Mellon University's Electricity Industry Center on the impacts of carbon capture on the electricity industry.

William Andrews, Kentucky Geological Survey, Geologic Mapping Section Head, has been named Geologist of the Year by the Kentucky Section of the American Institute of Professional Geologists. He was nominated for the award by Morehead State University Geosciences Professor Charlie Mason, KGS Director Jim Cobb, and other KGS staff.

Dibakar Bhattacharyya, Chemical and Materials Engineering and Center of Membrane Sciences, received the 2009 Gerhold Award given by the Separations Division of the American Institute of Chemical Engineers.

Melton Bryant, College of Agriculture Division of Regulatory Services, received a Distinguished Service Award from the Association of American Feed Control Officials for assembling the photographic portion of the 100-year history of the organization.

James Cobb, Kentucky Geological Survey, has been voted president of the Association of American State Geologists (AASG) by his peers. Cobb, who has been state geologist for a decade, served as AASG vice president for the past year. His term as president runs from July 1, 2009 to June 30, 2010. The AASG is an association of the state geologists of the 50 states and Puerto Rico, representing 2,000 geologists and staff members of the state geological surveys.

Joseph Chappell, Plant and Soil Sciences, received a \$301,308 grant from Sapphire Energy Inc. for "Engineering Novel Triterpene Metabolism in Plants and Evolving New Catalytic Specificities within Triterpene Synthase Scaffolds."

Glenn Collins, Plant Pathology, received the Distinguished Lifetime Achievement Award from the Society for In Vitro Biology in June 2009.

Meagan Davis, College of Agriculture Division of Regulatory Services, received a Distinguished Service Award from the Association of American Feed Control Officials for reorganizing and successfully conducting the Feed Administrators Seminar for the last two years. Davis was also elected to the organization's six member Board of Directors.

Seth DeBolt, Horticulture, received a three-year \$300,000 grant from the National Science Foundation Integrated Organismal Systems unit for a study using chemical genetics to understand cell wall sensing and advanced molecular resources. He is also the sub-PI for plant biosynthesis on a National Science Foundation, Energy Frontier Research Initiative, University of Kentucky, and Center for Applied Energy Research grant for \$1,984,341.

Michael R. Dobbs, Neurology, has written a new textbook on the subject of neurotoxicology. The 720-page book, *Clinical Neurotoxicology*, offers accurate, relevant, and comprehensive coverage of a field that has grown tremendously in the last 20 years. It includes a current symptomatic approach to treating disorders caused by neurotoxic agents, and environmental factors such as heavy metals and pesticides. The textbook also applies discussions of cellular and molecular processes and pathology to clinical neurology. Leading authorities and up-and-coming clinical neurotoxicologists present their expertise on wide-ranging, global subjects, and debate controversies in the specialty.

Bruce Downie, Horticulture, received a \$153,310 two-year grant from the National Science Foundation: Division of Integrated Organismal Systems for the study of an F-box protein targeting PIF1 and PIF3. He is also president of the American Seed Research Alliance for 2009.

William Fountain, Horticulture, was elected vice president for the International Society of Arboriculture for 2009.

Larry Grabau, Plant and Soil Sciences, Brian Lee, Landscape Architecture, Leigh Maynard, Agricultural Economics, Tammy Stephenson, Nutrition and Food Sciences, and Mark Williams, Horticulture, received Teacher Fellow awards from North American Colleges and Teachers of Agriculture in June.

J. Todd Hastings, Electrical and Computer Engineering, has won a two-year, \$300,000 Young Faculty Award from the national Defense Advanced Research Projects Agency. Hastings, an associate professor in the UK College of Engineering, received the grant for a project that has found a new way to rapidly-prototype nanometer scale devices and materials.

Jamie MacLeod, Veterinary Science, received a two-year \$100,000 Morris Animal Foundation fellowship grant for stipend support for Jennifer Janes and her project on equine cervical stenosis. He also received a three-year National Science Foundation grant in the amount of \$1,027,384 to support computational work on the mRNA transcriptome.

William R. Markesbery, Medicine and Sanders-Brown Center on Aging, received the Zaven Khachaturian Award from the Alzheimer's Association during its 2009 International Conference on Alzheimer's disease in Vienna, Austria. The award recognizes an individual whose compelling vision, selfless dedication and extraordinary achievement has significantly advanced the field of Alzheimer science.

Stephen McMurry, College of Agriculture Division of Regulatory Services, was elected to the six-member Board of Directors of the Association of American Plant Food Control Officials.

Jacqueline A. Noonan, Pediatric Cardiology, was honored recently by her alma mater. Noonan, a 1954 graduate of the University of Vermont (UVM) College of Medicine, received the A. Bradley Soule Award during a reunion awards ceremony. The A. Bradley Soule Award is the highest award conferred by the UVM College of

Medicine's Medical Alumni Association and is given to an alumnus whose dedication to the college emulates that of the award's first recipient, Dr. Bradley Soule, a radiologist who became a mentor to many medical students.

Brandon Nuttall, Kentucky Geological Survey, received the 2009 Robert G. Alley Serviceman of the Year Award in June from the Kentucky Oil and Gas Association (KOGA). KOGA Executive Director John Gabbard presented the award during the group's annual conference in Lexington.

Sharyn Perry, Plant Pathology, received a \$300,000 grant from the National Science Foundation for "ARRA: Transcriptional Regulatory Networks Controlling Higher Plant Embryogenesis."

Jan Smalle, Plant Pathology, received a \$400,000 grant from the National Science Foundation for the molecular genetic analysis of a novel feedback inhibition mechanism in the cytokinin response pathway.

Richard Warner, Biosystems and Agriculture Engineering, Timothy Coolong, John Strang, Horticulture, and Timothy Woods, Agricultural Economics, received a \$94,123 matching grant for a one-year study on a soil moisture based automatic pulse irrigation control system.

Paul Warner, College of Agriculture Program and Staff Development, received the Administrative Leadership Award from national Epsilon Sigma Phi this month.

Mark Williams, Timothy Coolong, Horticulture, and Ric Bessin, Entomology, are co-PIs on a multiple university research project, funded by a grant from the USDA Organic Agriculture Research and Education Initiative for a study on sustainable production systems for cucurbit crops on organic farms. The UK portion of the grant is \$276,488 starting in June.

Lynda Brown Wright, Educational, School, and Counseling Psychology, was awarded the Dalmas Taylor Distinguished Contributions Award by the American Psychological Association (APA) its national convention in early August. The honor is given annually to an alum of the APA Minority Fellowship Program who has made distinguished contributions to psychological issues relevant to racial and ethnic minority psychology.

# PR 2

Office of the President  
September 15, 2009

Members, Board of Trustees:

## PERSONNEL ACTIONS

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

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

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

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

# AACR 1

Office of the President  
September 15, 2009

Members, Board of Trustees:

## CANDIDATES FOR DEGREES

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

Background: Each individual whose name appears on the attached list completed the work leading toward the degree for which application was made at the close of the 2009 Summer Session.

For details on degree candidate listings, please contact

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

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



# AACR 2

Office of the President  
September 15, 2009

Members, Board of Trustees:

CANDIDATES FOR DEGREES  
BLUEGRASS COMMUNITY AND TECHNICAL COLLEGE

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

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

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

For details on degree candidate listings, please contact

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

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

# AACR 3

Office of the President  
September 15, 2009

Members, Board of Trustees:

## PROPOSED REVISION TO GOVERNING REGULATION: UNIVERSITY ORGANIZATION – CHAIRS OF DEPARTMENTS

Recommendation: that the Board of Trustees receive the attached revision of Governing Regulation, Part VII, Section B.5 (GR VII), which was received for preliminary consideration as AACR 6 by the Board of Trustees on June 9, 2009. The revision relates to mandatory consultation by an educational unit administrator with the appropriate faculty members of his or her educational unit in faculty personnel matters. The proposed revision redefines the “appropriate faculty members” with whom the administrator must consult.

Background: GR VII (University Organization) firmly establishes the principle of mandatory consultation by an educational unit administrator with the appropriate faculty members of his or her educational unit in faculty personnel matters. While leaving in place the bedrock principle of mandatory consultation, this proposed revision redefines the subset of “appropriate faculty members” with whom the administrator must consult. The revision adopts the “best practice” in higher education circles, which dictates that mandatory consultation should exclude those unit faculty persons who hold academic rank at or below the academic rank of an individual being considered for appointment, reappointment, terminal reappointment or promotion.

The basis for the revision is that faculty persons whom themselves have yet to be considered for promotion to the next academic rank or tenure have a perceived conflict of interest in passing judgment on those who precede them in these personnel actions. That said, the revised language of this section of GR VII permits a unit faculty to establish policies that extend the *minimum* consultation requirements (as proposed in this revision) to include the specified participation of other full-time faculty employees in any series in the department.

The mandatory subsets of unit faculty with whom a unit administrator must consult vary by type of personnel action under consideration. Those subsets are delineated as follows:

In matters relating to decisions not to reappoint, reappointment, terminal reappointment, and the granting of tenure, the department chair shall consult with all tenured faculty members of the department, and the

directors of any multidisciplinary research centers or institutes with which the individual is, or would be, associated.

In matters of appointment and promotion, the department chair shall consult with all full-time faculty members of the department with a rank at or above the rank to which the individual being considered would be appointed or promoted, and the directors of any multidisciplinary research centers or institutes with which the individual is, or would be, associated.

The Senate Council has endorsed the revised language to GR VII, Section B.5. The revision is intended to become effective for the academic year 2009-2010.

A revised copy of GR VII is attached. Proposed additions are underlined; proposed deletions are lined through.

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

## GR VII (UNIVERSITY ORGANIZATION)

### B.5. Chairs of Departments

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

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

Procedures used in preparing recommendations shall be those established by the University, the college, and the department faculty. At a minimum, on matters relating to decisions not to reappoint, reappointment, terminal reappointment, and or the granting of tenure of persons in any title series, the department chair shall consult procedures must include consultation with all tenured faculty members of the department, with the directors of any multidisciplinary research centers, graduate centers or institutes with which the affected individuals are or will be associated. At a minimum, on matters relating to appointment or and promotion of any persons in any tenure-eligible title series, the department chair shall consult with all full-time tenured and tenure-eligible faculty members of the department, other than visiting faculty, with a rank at or above the rank to which the individual being considered would be appointed or promoted. At a minimum, on matters relating to appointment, decisions not to reappoint, reappointment, terminal reappointment, or promotions of persons in any tenure-ineligible series, the department chair shall consult with all full-time tenured and tenure-eligible faculty members of the department (GR VII.A.(a)), and with all full-time non-tenured faculty members (except for temporary faculty or those appointed in the research title series, clinical title series, or visiting series) with the actual or equivalent rank of assistant professor or higher who have been members of the department for two (2) years, except as noted below. All recommendations on matters listed above, excluding reappointments and post-retirement appointments, shall include the written judgment of each consulted member of the department and of each director of any multidisciplinary research centers or institutes, or graduate centers with which the individual is, or would be, associated, pertinent multidisciplinary research centers and institutes, along with the recommendation of the chair.

On matters relating to appointment ~~and~~ or promotion in the Clinical Title Series, Research Title Series, or Lecturer Series, the department chair shall also consult with all full-time faculty employees in the series of the individual under consideration who are at or above the rank to which the individual would be appointed or promoted. Faculty members with appointments in the clinical title series, however, shall be consulted on a departmental or divisional basis as appropriate about appointment or promotion of individuals to academic ranks equal to or below their own in the clinical title series. Faculty employees in the tenure-ineligible series ~~Clinical Title Series~~ shall but not be consulted on matters relating to appointment, ~~reappointment, retention, terminal~~ reappointment, decisions not to reappoint, promotion or ~~the granting of~~ tenure of faculty employees in the tenure-eligible ~~other~~ title series, except by invitation of the department faculty as provided below, ~~the regular or special title series.~~

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

The following exceptions may be made: (1) faculty ~~employees~~ members on approved leave of absence or with a primary administrative, service, or other assignment outside the department, who are otherwise eligible to participate, may, but are not required to, provide written judgments on all recommendations; ~~(2) faculty members need not be consulted on recommendations for promotion affecting members with equivalent or higher rank, except that all faculty members with tenure shall be consulted on recommendations for granting of tenure; (3) faculty members without tenure need not be consulted on recommendations for granting of tenure; (4) (2) the right to make recommendations on temporary appointments and/or appointments at the assistant professor level or below may be delegated, with these appointments to be reviewed by the tenured faculty of the department during the second semester of the first year of appointment; and (5) (2) faculty employees at the rank of Instructor in any title series participate only upon the granting of participation privileges by the department faculty, and, (3) in a large and diverse department, upon prior recommendation by the department faculty (GR VII.A.6.(a)) and approval of the dean and the Provost, consultation with faculty ~~employees~~ members may be restricted to those associated with the concerned, previously-defined academic division or program area in the department.~~

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

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

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

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

# AACR 4

Office of the President  
September 15, 2009

Members, Board of Trustees:

## CHANGE IN DEGREE – COLLEGE OF ENGINEERING

Recommendation: that the Board of Trustees approve a change in the name of the Bachelor of Science in Biosystems and Agricultural Engineering with a major in Biosystems and Agricultural Engineering to Bachelor of Science in Biosystems Engineering with a major in Biosystems Engineering, effective in the fall 2009 semester.

Background: Due to recent changes in the accreditation criteria of the Accreditation Board for Engineering and Technology (ABET), the faculty of the Department of Biosystems and Agricultural Engineering have recommended that this change be made to the degree. The proposal has the approval of the Undergraduate Council, Senate Council, and University Senate. The Provost of the University supports this recommendation.

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

# FCR 1

Office of the President  
September 15, 2009

Members, Board of Trustees:

GIFT FROM THE ESTATE OF DR. LILIALYCE AKERS

Recommendation: that the Board of Trustees accept a gift of \$333,333 from the Estate of Dr. Lilialyce Akers to create and endow the Dee Ashley Akers Scholarship Quasi-Endowment in the College of Law.

Background: Dr. Lilialyce Akers earned a bachelor's degree in Sociology in 1949 and a doctor of philosophy degree in 1955. She was a professor at the University of Louisville for many years. Dr. Akers' will directed that a scholarship be created in memory of her late husband, Dee Ashley.

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



# FCR 2

Office of the President  
September 15, 2009

Members, Board of Trustees:

GIFT FROM THE ESTATES OF WILLIAM AND JULIA CUNDIFF

Recommendation: that the Board of Trustees accept a gift of \$268,729 from the estates of William and Julia Cundiff to create and endow the William and Julia Cundiff Scholarship Quasi-Endowment in the Office of Academic Scholarships.

Background: Mr. Cundiff, who earned his bachelor's degree in Mechanical Engineering in 1935, and his wife Julia left an estate gift to establish scholarships for students from Pulaski County and adjacent counties to attend the University of Kentucky. The Cundiffs contributed consistently to a wide variety of colleges and programs at the University for many years.

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

# FCR 3

Office of the President  
September 15, 2009

Members, Board of Trustees:

DR. F. JOSEPH III AND MRS. JOAN HALCOMB GIFTS AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$74,752 and a pledge of \$425,248 from Dr. F. Joseph III and Mrs. Joan Halcomb of Camarillo, California to create and endow the Halcomb Family Endowed Fellowship in Medicine and Engineering in the College of Engineering, and submit \$400,000 of the total \$500,000 commitment for matching funds from Kentucky's Endowment Match Program. Council on Postsecondary Education guidelines require that the Board of Trustees acknowledge its responsibility for UK's participation in the program and for all university endowment funds.

Background: Dr. Halcomb earned his bachelor's degree in Mechanical Engineering in 1974 and his M.D. in 1978. Mrs. Halcomb received her bachelor's degree in Nursing in 1974. Dr. Halcomb is the Vice President of Environmental Health and Safety for Amgen, Inc., and Mrs. Halcomb is a registered nurse. The Halcombs wish to provide an interdisciplinary research fellowship in the field of bioengineering to enable students to experience "hands on" research and collaborative skills and have the opportunity to work on a publication, article, or product generated from the research. A portion of the Halcomb's gift will be paid through Amgen's corporate matching gift program.

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

# FCR 4

Office of the President  
September 15, 2009

Members, Board of Trustees:

GIFT FROM THE ESTATE OF MARGARET BELL HUMPHREYS

Recommendation: that the Board of Trustees accept a gift of \$35,347 from the Estate of Margaret Bell Humphreys to create and endow the Margaret Bell Humphreys Scholarship Quasi-Endowment for Business and Economics Teachers in the College of Education.

Background: Margaret Bell Humphreys received her bachelor's degree in English in 1932 and a master's in Education in 1943. She taught in the College of Education and the College of Business and Economics from 1942 to 1976.

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

# FCR 5

Office of the President  
September 15, 2009

Members, Board of Trustees:

## KEENELAND FOUNDATION GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$200,000 and a pledge of \$400,000 from the Keeneland Foundation of Lexington, Kentucky to create and endow the Orchestra Research Endowment Fund in the School of Music in the College of Fine Arts, and submit the gift and pledge of \$600,000 for matching funds from Kentucky's Endowment Match Program. Council on Postsecondary Education guidelines require that the Board of Trustees acknowledge its responsibility for UK's participation in the program and for all university endowment funds.

Background: Each year Keeneland partners with Maker's Mark Distillery to produce and distribute a collector's bottle, with proceeds donated to a designated charity. The 2009-2011 Maker's Mark/Keeneland commemorative bottle series will honor several UK athletics programs and will provide funding to support a research endowment for the orchestra program.

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

# FCR 6

Office of the President  
September 15, 2009

Members, Board of Trustees:

## KENTUCKY MEDICAL SERVICES FOUNDATION GIFTS AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$20,000 and a pledge of \$30,000 from the Kentucky Medical Services Foundation of Lexington, Kentucky to add to the existing Neurology Research Professorship No. 2 in the Department of Neurology in the College of Medicine and submit this gift and pledge of \$50,000 for matching funds from Kentucky's Endowment Match Program. Council on Postsecondary Education guidelines require that the Board of Trustees acknowledge its responsibility for UK's participation in the program and for all university endowment funds.

Background: The commitment from Kentucky Medical Services Foundation, combined with the matching funds from Kentucky's Endowment Match Program, will provide additional support for the Professorship holder in the Department of Neurology.

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

# FCR 7

Office of the President  
September 15, 2009

Members, Board of Trustees:

GIFT FROM THE ESTATE OF ALICE P. KILLPATRICK

Recommendation: that the Board of Trustees accept a gift of \$200,122 from the Estate of Alice P. Killpatrick to create and endow the Alice P. Killpatrick Quasi-Endowed Fellowship in the College of Agriculture's School of Human Environmental Sciences and submit this gift for matching funds from Kentucky's Endowment Match Program. Council on Postsecondary Education guidelines require that the Board of Trustees acknowledge its responsibility for UK's participation in the program and for all university endowment funds.

Background: Mrs. Killpatrick earned her bachelor's degree in Home Economics in 1938 and was a generous supporter of Human Environmental Sciences. Her career was dedicated to the University of Kentucky as a Cooperative Extension Agent in Home Economics. Mrs. Killpatrick established an undergraduate scholarship in 2007 and through her estate is establishing this graduate fellowship.

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

# FCR 8

Office of the President  
September 15, 2009

Members, Board of Trustees:

GIFTS AND PLEDGES TO THE BYRON YOUNG, M.D. RESEARCH ENDOWMENT FOR  
NEUROSURGERY RESIDENTS

Recommendation: that the Board of Trustees accept a gift of \$5,000 and a pledge of \$20,000 from Phillip Tibbs, M.D. and pledges of \$25,000 each from Kenneth J. Rich, M.D. of Raleigh, North Carolina; Kentucky Medical Services Foundation of Lexington, Kentucky; and John D. Johnson, M.D. of Huntsville, Alabama to create and endow the Byron Young M.D. Research Endowment for Neurosurgery Residents in the Department of Neurosurgery in the College of Medicine and submit these gifts and pledges of \$100,000 for matching funds from Kentucky's Endowment Match Program. Council on Postsecondary Education guidelines require that the Board of Trustees acknowledge its responsibility for UK's participation in the program and for all university endowment funds.

Background: Dr. Tibbs, Dr. Rich, and Dr. Johnson are former residents who trained with Dr. Byron Young. They have chosen to honor Dr. Young's many years of service as a mentor and educator of neurosurgeons. In keeping with Dr. Young's life-long interest in clinical research, this Endowment will support resident research activities.

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

# FCR 9

Office of the President  
September 15, 2009  
Members, Board of Trustees:

PROVIDING FOR THE AUTHORIZATION, ISSUANCE AND SALE OF APPROXIMATELY \$105,000,000 GENERAL RECEIPTS OBLIGATIONS (HOSPITAL PHASE III PROJECT) OF THE UNIVERSITY OF KENTUCKY, PURSUANT TO THE TRUST AGREEMENT DATED AS OF NOVEMBER 1, 2005

Recommendation: That the Board of Trustees approve a Resolution authorizing the issuance of approximately \$105,000,000 of University of Kentucky General Receipts Obligations (Hospital Phase III Project), to be designated General Receipts Bonds, 2009 Series B (the "2009 Series B Bonds") and to be dated as of a date determined by the Treasurer.

The Resolution approves the issuance of approximately \$105,000,000 of 2009 Series B Bonds for the purpose of financing the project identified in H.B. 4 of the General Assembly of the Commonwealth of Kentucky, 2009 First Extraordinary Session as Expand Patient Care Facility-Hospital Phase III (the "2009 Series B Project"). The 2009 Series B Bonds are the obligations referred to in a "Reimbursement Resolution" adopted by the Board on June 9, 2009 in which the Board expressed its expectation that cash expenditures made for the 2009 Series B Project would be reimbursed with bond proceeds.

The Resolution also approves the offering for sale of the 2009 Series B Bonds on a date to be determined by the Treasurer of the University, upon the advice of the Financial Advisor to the University. The Resolution further authorizes the acceptance of the bid for the sale of the 2009 Series B Bonds by the Treasurer. The exact principal amount of 2009 Series B Bonds to be sold will be determined on the date of sale as the amount required to (i) pay the budgeted costs of the 2009 Series B Project and (ii) pay the costs of issuing the 2009 Series B Bonds.

Background: The General Assembly, at its 2009 Special Session, authorized the issuance of revenue bonds to finance the 2009 Series B Project.

The Board adopted a resolution approving a Trust Agreement dated as of November 1, 2005 (the "Trust Agreement") authorizing the issuance, from time to time, of Obligations (as defined in the Trust Agreement) to finance capital projects. The 2009 Series B Bonds will be issued under the Trust Agreement. The Resolution authorizes the issuance of the 2009 Series B Bonds, establishes the specific terms of the 2009 Series B Bonds, provides for a competitive sale of the 2009 Series B Bonds, including approval of a Notice of Bond Sale, Official Terms and Conditions of Bond Sale, Official Bid Form and an Official Statement, and authorizes a Supplemental Trust Agreement and Continuing Disclosure Agreement with respect to the 2009 Series B Bonds.

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



## **SERIES RESOLUTION**

PROVIDING FOR THE AUTHORIZATION, ISSUANCE AND SALE OF APPROXIMATELY \$105,000,000 GENERAL RECEIPTS OBLIGATIONS (HOSPITAL PHASE III PROJECT) OF THE UNIVERSITY OF KENTUCKY, PURSUANT TO THE TRUST AGREEMENT DATED AS OF NOVEMBER 1, 2005.

WHEREAS, the University of Kentucky (herein called the "University"), a public body corporate and an educational institution and agency of the Commonwealth of Kentucky, by resolution adopted by the Board of Trustees of the University on September 20, 2005 (herein called the "General Bond Resolution"), and by a Trust Agreement, dated as of November 1, 2005, as supplemented (herein called the "Trust Agreement"), comprised in part of the General Bond Resolution, has provided for the issuance from time to time of Obligations (as defined in the Trust Agreement) of the University secured by a pledge of the University's "General Receipts" (as defined in the Trust Agreement), each such issue to be authorized by a Series Resolution, as required by the Trust Agreement; and

WHEREAS, the Board has determined that it is necessary to finance the costs of the acquisition, construction, installation and equipping of the project identified in H.B. 4 of the General Assembly of the Commonwealth of Kentucky, 2009 First Extraordinary Session as Expand Patient Care Facility-Hospital Phase III (the "Project"); and

WHEREAS, by authority of Sections 162.340 to 162.380 of the Kentucky Revised Statutes, Chapter 56 of the Kentucky Revised Statutes and Sections 58.010 to 58.140 of the Kentucky Revised Statutes (collectively, the "Act"), the University is authorized to issue its obligations to pay all or part of the costs of educational buildings, and to secure said obligations by a pledge of and lien on all or such part of the revenues and receipts of the University; and

WHEREAS, the Board of Trustees desires to provide for issuance and sale of University of Kentucky General Receipts Bonds and for other matters in connection therewith, by the adoption of this Resolution;

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF TRUSTEES OF THE UNIVERSITY OF KENTUCKY, AS FOLLOWS:

SECTION 1. Definitions and Interpretations. All words and terms defined in Section 1 of the Trust Agreement and all interpretations therein provided shall have the same meanings, respectively, and be subject to the same interpretations as therein provided where used in this Resolution, unless the context or use clearly indicates another or different meaning or intent, except that this Resolution is sometimes herein called and may be known as the "Hospital Phase III Project Resolution," the Obligations authorized by this Resolution are referred to herein (and in the Supplemental Trust Agreement hereby authorized) as the "Hospital Phase III Project Obligations," and the terms "hereof," "hereby," "hereto," "herein," and "hereunder," and similar terms, mean this Resolution.

SECTION 2. Authority. This Resolution is adopted pursuant to the General Bond Resolution, the Trust Agreement, and the Act.

SECTION 3. Authorization, Designation and Purpose of Hospital Phase III Project Obligations. It is hereby declared to be necessary to, and the Board shall, issue, sell and deliver, as provided and authorized herein, approximately \$105,000,000 principal amount of General Receipts Obligations which shall be issued as General Receipts Bonds ("Bonds"). Such Obligations shall be designated "University of Kentucky General Receipts Bonds" or, if the Bonds are issued as Build America Bonds, as hereinafter defined, "University of Kentucky General Receipts Bonds Taxable Build America Bonds," and shall bear such further series designation as the Fiscal Officer (as defined in the Trust Agreement) deems appropriate. Such Obligations shall be issued for the purpose of (i) financing the costs of the Project and (ii) paying costs of issuance in connection with such Obligations. The proceeds from the sale of such Obligations shall be deposited and allocated as provided in Section 6 hereof.

SECTION 4. Terms and Provisions Applicable to the Hospital Phase III Project Obligations.

(a) Form, Numbering and Designation. The Hospital Phase III Project Obligations shall be issued in the form of fully registered Obligations as approved by the Fiscal Officer, shall be numbered from 1 upwards, and shall bear such series designation as the Fiscal Officer deems appropriate.

(b) Denomination and Dates. The Hospital Phase III Project Obligations shall be in such denominations as requested by the Original Purchaser (hereafter defined), and shall be dated on the date determined by the Fiscal Officer and may be issued in installments (each installment being a part of the Hospital Phase III Project Obligations herein authorized) with maturity dates approved by the Fiscal Officer, having a final maturity that is no later than thirty years from the date the Hospital Phase III Project Obligations are issued.

(c) Interest. The Hospital Phase III Project Obligations shall bear interest from their respective dates payable on dates approved by the Fiscal Officer, beginning on a date approved by the Fiscal Officer, at the rate or rates per annum determined pursuant to Section 5 hereof.

(d) Maturities. The Hospital Phase III Project Obligations shall mature on such dates, in the years and in the principal amounts set forth in the maturity schedule approved by the Fiscal Officer pursuant to Section 5 hereof.

(e) Redemption Terms and Prices. The Hospital Phase III Project Obligations shall be subject to optional and mandatory redemption on such dates and terms as approved by the Fiscal Officer, with the advice of the Financial Advisor (hereinafter identified) and set forth in the Supplemental Trust Agreement. If less than all of the outstanding Hospital Phase III Project Obligations are called for redemption at one time, they shall be called in the order of the maturities as directed by the Fiscal Officer. If less than all of the outstanding Hospital Phase III Project Obligations of one maturity are to be called, the selection of such Hospital Phase III Project Obligations or portions of Hospital Phase III Project Obligations of such maturity to be called shall be made by lot in the manner provided in the Trust Agreement. Notice of call for redemption of Hospital Phase III Project Obligations shall be given in the manner provided in the Trust Agreement.

(f) Other Provisions. The Hospital Phase III Project Obligations may, at the option of the Fiscal Officer, be secured by municipal bond insurance or similar instrument issued by a financial or insurance institution acceptable to the Fiscal Officer.

(g) Place of Payment and Paying Agents. The principal, interest and any redemption premium on registered Hospital Phase III Project Obligations shall be payable by check or draft, as provided in the Trust Agreement.

(h) Execution. The Hospital Phase III Project Obligations shall be executed in the manner provided in the General Bond Resolution.

(i) Build America Bond Designation. The Board hereby retains the option that the Hospital Phase III Project Obligations or a portion of the Hospital Phase III Project Obligations may be designated as Build America Bonds (the "Build America Bonds") as permitted by the American Recovery and Reinvestment Act of 2009 (the "Recovery Act"). The Fiscal Officer is hereby authorized and directed to designate all or a portion of the Hospital Phase III Project Obligations as Build America Bonds, which Hospital Phase III Project Obligations, if so designated, shall bear interest which shall be included in gross income of bondholders for federal income tax purposes. Build America Bonds are any obligation (other than a private activity bond) the interest on which would otherwise be excludable from gross income under Section 103 of the Internal Revenue Code of 1986, as amended (the "Code"). Therefore, with respect to any Hospital Phase III Project Obligations designated as Build America Bonds, such Hospital Phase III Project Obligations will comply with all requirements applicable to the issuance of tax-exempt governmental bonds.

With respect to any Hospital Phase III Project Obligations designated as Build America Bonds, the Board, hereby authorizes the Fiscal Officer to irrevocably elect, pursuant to Section 54AA(g) of the Code, the direct credit payment to issuer option as provided in Section 6431 of the Code under which the United States Treasury will pay to the Board 35% of the interest payable on such Hospital Phase III Project Obligations (the "Credit Payments") (contemporaneously with each interest payment date for such Hospital Phase III Project Obligations) so long as the Hospital Phase III Project Obligations comply with all federal tax requirements of the Build America Bonds.

The Fiscal Officer or his or her designee is hereby authorized and directed to execute and file on behalf of the Board a "Return for Credit Payments to Issuers of Qualified Bonds" (Form 8038-CP) with the United States Department of the Treasury on the dates and at the place designated in Form 8038-CP and applicable provisions of the Code and Treasury Regulations issued thereunder for the Build America Bonds. Funds received by the Board pursuant to the filing of Form 8038-CP shall be deposited to the credit of the Revenue Fund or the Debt Service Payment Account for the Hospital Phase III Project Obligations, established within the University of Kentucky General Receipts Obligations Debt Service Fund, established under Section 4.01 of the Indenture, as appropriate to provide for the timely payment of principal or interest on any Build America Bonds.

SECTION 5. Award and Sale of Hospital Phase III Project Obligations. The Hospital Phase III Project Obligations shall be offered publicly for sale upon the basis of competitive bids at such time as the Fiscal Officer, upon advice of the Financial Advisor to the University, shall designate.

The Fiscal Officer is hereby authorized and directed to cause an appropriate form or forms of a Notice of Sale of Bonds to be published in *The Lexington Herald Leader*, a legal newspaper published in the City of Lexington, Kentucky, which will afford local notice of the sale, *The Courier Journal*, a legal newspaper published in the City of Louisville, Kentucky, which will afford statewide notice of the sale, and, to the extent required by law, in *The Bond Buyer*, a financial journal published in the City of New York, New York, which is a publication having general circulation among bond buyers; and said newspapers and financial journal are hereby declared to be qualified to publish such notice for the Board within the meaning and provisions of Chapter 424 of the Kentucky Revised Statutes. Such notice shall be published in said newspapers and financial journal at least once not less than seven nor more than twenty-one days prior to the scheduled date of sale of the Hospital Phase III Project Obligations.

The forms of Notice of Bond Sale, Official Terms and Conditions of Sale of Bonds, Bid Form and Official Statement, shall be in such form as approved by Bond Counsel for the University, by the Financial Advisor, by the General Counsel of the University and by the Fiscal Officer.

Bidders shall be advised that the fee of the Financial Advisor for services rendered with respect to the sale of the Hospital Phase III Project Obligations is contingent upon the issuance and delivery of the Hospital Phase III Project Obligations, and that the Financial Advisor may submit a bid for the purchase of the Hospital Phase III Project Obligations at the time of the advertised public sale of the Hospital Phase III Project Obligations, either individually or as the member of a syndicate organized to submit a bid for the purchase of the Hospital Phase III Project Obligations.

Upon the date and at the respective hour set forth for the submission and consideration of purchase bids, as provided in the instruments hereinabove approved, bids shall be reviewed as provided in such instruments. If there shall be one or more bids which conform in all respects to the prescribed terms and conditions, such bids shall be compared, and the Fiscal Officer, upon the advice of the Financial Advisor, is authorized to accept the best of such bids, as measured in terms of the lowest interest cost to the Board, as calculated in the manner prescribed in the Official Terms and Conditions of Sale of Bonds. Calculations shall be performed as are necessary to determine the exact amount of Hospital Phase III Project Obligations that are required to be issued in order to (i) pay the budgeted costs of the Project and (ii) pay the costs of issuing the Hospital Phase III Project Obligations and the final principal amount, interest rates and maturities of the Hospital Phase III Project Obligations shall thereupon be established, as prescribed in the Official Terms and Conditions of Sale of Bonds.

SECTION 6. Allocation of Proceeds of Hospital Phase III Project Obligations. All of the proceeds from the sale of the Hospital Phase III Project Obligations and other lawfully available funds of the University shall be received and receipted for by the Fiscal Officer and shall be deposited and allocated as set forth in the Supplemental Trust Agreement approved hereby.

SECTION 7. Additional Covenants with Respect to Internal Revenue Code of 1986, as Amended. This Board hereby finds and determines that all of the proceeds from the sale of the Hospital Phase III Project Obligations will be needed for the purposes set forth in Section 6 hereof. This Board hereby covenants for and on behalf of the University, that it will restrict the use of the proceeds of the Hospital Phase III Project Obligations in such manner and to such

extent, if any, and take such other actions as may be necessary, in view of reasonable expectations at the time of issuance of the Hospital Phase III Project Obligations, so that, as applicable, (i) the Hospital Phase III Project Obligations will not constitute obligations the interest on which is subject to federal income taxation or "arbitrage bonds" under Sections 103(b)(2) and 148 of the Internal Revenue Code of 1986, as amended (the "Code"), and regulations prescribed under such Sections and/or (ii) will continue to qualify as Build America Bonds under Sections 54AA and 6431 of the Code. The Fiscal Officer or any other officer of the University having responsibility with respect to issuance of the Hospital Phase III Project Obligations is hereby authorized and directed to give an appropriate certificate for inclusion in the transcript of proceedings with respect to the Hospital Phase III Project Obligations, setting forth the facts, estimates and reasonable expectations pertinent under said Sections 103(b)(2) and 148 of the Code and an election, if appropriate, with respect to Section 148(f)(4)(B)(IV)(V) of the Code. The Fiscal Officer is hereby authorized and directed to create a Rebate Account (which shall be held by either the University or the Trustee, at the discretion of the Fiscal Officer) if the Fiscal Officer determines such account is necessary so that the University complies with the rules concerning "rebate" as set forth in the Code, as they apply to the Hospital Phase III Project Obligations.

SECTION 8. Supplemental Trust Agreement. The Chairman of the Board is authorized and directed to execute, acknowledge and deliver to the Trustee, in the name of and on behalf of the University, a Supplemental Trust Agreement pursuant to the Trust Agreement and in connection with the issuance of the Hospital Phase III Project Obligations, in substantially the form submitted to this Board with such changes therein not substantially adverse to the University as may be permitted by the Act and the Trust Agreement and approved by the officer executing the same on behalf of the University. The approval of such changes, and that such changes are not substantially adverse to the University, shall be conclusively evidenced by the execution of such Supplemental Trust Agreement by such officer.

SECTION 9. Official Statement. The Chairman is hereby authorized and directed to execute and deliver an Official Statement with respect to the Hospital Phase III Project Obligations for the purpose of making available to potential investors the information therein contained, which describes the interest rates and other terms to be borne by and the price to be paid for the Hospital Phase III Project Obligations, and such other information with respect to the University and the Hospital Phase III Project Obligations, necessary in the judgment of the Chairman with the advice of the Fiscal Officer and the Financial Advisors. The Chairman and the Fiscal Officer are each hereby authorized to deem the Preliminary Official Statement and final Official Statement "near final" and "final" for purposes of Securities Exchange Commission Rule 15c2-12, as amended and interpreted from time to time, promulgated by the Securities and Exchange Commission pursuant to the Securities Exchange Act of 1934 (the "Rule").

SECTION 10. Compliance With Rule 15c2-12. The Board of Trustees hereby agrees, to comply with the provisions of the Rule. In order to comply with the Rule, a Continuing Disclosure Agreement in the usual and customary form is hereby authorized and approved, with such modifications and additions as may be approved by the officer of the University executing the same. The Chairman and the Fiscal Officer are each hereby authorized to execute and deliver such Continuing Disclosure Agreement.

SECTION 11. Open Meetings. This Board hereby finds and determines that all formal actions relative to the adoption of this Resolution were taken in an open meeting of this Board,

and that all deliberations of this Board and of its committees, if any, which resulted in formal action, were taken in meetings open to the public, in full compliance with applicable legal requirements.

SECTION 12. Further Authorization. That the proper and appropriate officers of the Board and of the University, to the extent authorized by law, are hereby authorized to execute and deliver the closing certificates, if any, with such modifications thereto as may be required by the purchasers of the Hospital Phase III Project Obligations and approved by special bond counsel to the University as well as such other documents, certificates and statements as may be so required and so approved in connection with sale and delivery of the Hospital Phase III Project Obligations.

SECTION 13. Provisions in conflict are Repealed. All resolutions or parts thereof in conflict with the provisions of this Resolution are hereby rescinded to the extent of such conflict.

SECTION 14. Effective Date. This resolution shall take effect from and after its passage.

SECTION 15. Copy to be Filed with Trustee. A certified copy of this Resolution shall be filed with the Trustee

Adopted September 15, 2009.

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Chairman, Board of Trustees  
University of Kentucky

(SEAL)

Attest:

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Secretary, Board of Trustees

**CERTIFICATION**

The undersigned, Secretary of the Board of Trustees of the University of Kentucky, Lexington, Kentucky, hereby certifies that the foregoing is a true copy of a Resolution adopted by the Board of Trustees of said University at a meeting held on September 15, 2009, as recorded in the official Minute Book of said Board of Trustees, which is in my custody and under my control, that said meeting was held in accordance with all applicable requirements of Kentucky law, including KRS 61.810, 61.815, 61.820, and 61.825, that a quorum was present at said meeting, and that the aforesaid Resolution is of record in the office of the Board, has not been modified, amended, or rescinded, and is in full force and effect at this date.

WITNESS my signature and the Seal of said Board this \_\_\_\_ day of \_\_\_\_\_, 2009.

\_\_\_\_\_  
Assistant Secretary, Board of Trustees  
University of Kentucky

(SEAL)

45223\2.DOC

# FCR 10

Office of the President  
September 15, 2009

Members, Board of Trustees:

## LEASE-PURCHASE OF HEALTH MANAGEMENT SYSTEM

Recommendation: that the Board of Trustees approve the acquisition of a Health Management System for Good Samaritan Hospital using a lease-purchase method of procurement.

Background: At the September 11, 2007 meeting, the Board delegated to the Executive Vice President for Finance and Administration the responsibility for managing University debt related to the lease/purchase of equipment and information technology items costing less than \$200,000. However, acquisitions of major equipment and information technology items costing \$200,000 or more where the method of procurement involves debt in the form of capitalized lease obligations will be submitted to the Board for approval. The University's Debt Committee has reviewed this acquisition to assess the impact on the University's debt capacity. The Debt Committee has determined that acquisition of this item is consistent with the University's Debt Policy.

The Health Management System is needed to replace Good Samaritan's current information technology systems with the appropriate Chandler Hospital systems. The cost of this purchase is \$7,276,000 and will be funded from the HealthCare Enterprise.

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



# FCR 11

Office of the President  
September 15, 2009

Members, Board of Trustees:

## RENOVATE THIRD FLOOR LITTLE LIBRARY

Recommendation: that the Board of Trustees approve initiation of the “Renovate Third Floor Little Library” capital project.

Background: This project will renovate and fit-up approximately 5,300 square feet of shelled space in the Little Library. Prior to the library consolidations following completion of the W.T. Young Library, this space was used to house library materials. The renovated space will house the Center for Applied Information Technology, a computer-oriented student area for the School of Library and Information Science, and three shared-use classrooms. The scope of the project is \$800,000, well within the legislative authorization of \$1 million and will be funded with unrestricted University fund balances.

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

# FCR 12

Office of the President  
September 15, 2009

Members, Board of Trustees:

CHANGING THE NAME OF KEENELAND DRIVE  
TO CAMPUS DRIVE

Recommendation: that the Board of Trustees approve changing the name of Keeneland Drive to Campus Drive.

Background: Keeneland Drive runs west to east between South Limestone and Martin Luther King Boulevard. Keeneland Foundation (Foundation) has requested the use of the name Keeneland Drive for one of the roads on the Keeneland Racetrack grounds. With the University of Kentucky Board of Trustee's approval of the name change, the Foundation will request similar approval by Lexington Fayette Urban County Government.

Keeneland Drive was named after Keeneland Hall, a residence hall that lays parallel along the north side of Keeneland Drive. The construction of Keeneland Hall was funded in part with a Foundation gift of \$200,000. The name change is supported by this donor.

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

# FCR 13

Office of the President  
September 15, 2009

Members, Board of Trustees:

APPROVAL FOR PROPOSED ADMINISTRATIVE REGULATION: UNIVERSITY OF  
KENTUCKY IDENTITY THEFT PROGRAM (“RED FLAGS RULE”)

Recommendation: that the Board of Trustees approve Administrative Regulation (AR) 8:8, Identity Theft Program (“Red Flags Rule”); delegate to the President the authority to amend the Administrative Regulation in the future; and delegate, through the President, to the Executive Vice President for Finance and Administration the operational responsibility for the program, including but not limited to: oversight, development, implementation, and continuing administration. The proposed AR is attached as Exhibit A.

Background: As part of the Fair and Accurate Credit Transactions (FACT) Act of 2003, the Federal Trade Commission (FTC), the federal bank regulatory agencies, and the National Credit Union Administration (NCUA) issued regulations (the Red Flags Rules) requiring financial institutions and creditors to develop and implement written identity theft prevention programs. The programs must be in place by November 1, 2009, and must provide for the identification, detection, and response to patterns, practices, or specific activities - known as “red flags” – that could indicate identity theft. The programs also must include provisions defining the oversight and ongoing administration of the program.

AR 8:8 establishes the University's written identity theft prevention program in compliance with these federal regulations. The University engages in activities which are subject to the federal Red Flag Rules, such as operating tuition payment installment plans, allowing students to carry balances on accounts, and maintaining health care patient accounts. Therefore, the Board of Trustees is required to develop and implement an identity theft program in compliance with the federal regulations.

In order to have the flexibility to amend the regulation rapidly to correspond to additional regulatory guidance, it is recommended that the Board of Trustees delegate to the President the authority to amend the AR and to the Executive Vice President for Finance and Administration the responsibility for program administration. The President shall report any material amendments to the Board.

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

# FCR 14

Office of the President  
September 15, 2009

Members, Board of Trustees:

## RENOVATION OF EQUINE BARNs

Recommendation: that the Board of Trustees approve the renovation of two equine barns.

Background: At its June 9, 2009 meeting, the Board of Trustees accepted a pledge of \$600,000 from the Kentucky Thoroughbred Owners and Breeders Association for the construction of two equine reproduction research laboratories at the Maine Chance Equine Education and Research Campus. This pledge has been submitted to the Council on Postsecondary Education for matching funds from the Research Capital Match Program.

This capital project includes renovation of an existing barn to house the Maxwell H. Gluck Center's Equine Mare Reproductive Biology Program and renovation of another existing barn to create a Stallion Research Facility. The facilities will house wet laboratories, animal holding stalls, breeding areas, graduate student workspace, and meeting rooms. These state-of-the-art equine reproduction facilities will enable the Gluck Equine Center to conduct research on a variety of fertility problems in mares and stallions which will benefit breeders and owners in the Commonwealth. It also will help safeguard Kentucky's multi-billion dollar horse industry. The scope of the project is \$1.2 million, well within the \$10 million authorized by the 2008 Kentucky General Assembly for the Construct Equine Campus project, and will be funded with pledges, state matching funds, and available unrestricted fund balances.

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

# FCR 15

Office of the President  
September 15, 2009

Members, Board of Trustees:

## APPROVAL OF RELATED TRANSACTIONS

Recommendation: that the Board of Trustees authorize a transfer of up to \$2,350,000 to the University of Kentucky Research Foundation and forgive \$1,468,088 in University of Kentucky equipment lease agreements to be used as paid in capital in Coldstream Laboratories, Inc. (“CLI”).

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

At its September 11, 2007 meeting, the Board approved an initial transfer of \$6,500,000 to the University of Kentucky Research Foundation as an initial investment in CLI. At its September 9, 2008 meeting, the Board approved the transfer of \$5,000,000 to the University of Kentucky Research Foundation to further invest in CLI. With approval of this September 15, 2009 action, the total transfer authorized will be \$13,850,000 with total capital contributions of \$15,318,088. The additional investments will be funded by UK HealthCare.

Pending Board approval, CLI will be authorized to use the additional funds for capital equipment purchases to provide additional capacity. The forgiveness of \$1,468,088 in University of Kentucky equipment lease agreements will provide additional paid in capital with a corresponding decrease in liabilities, allowing CLI to continue to pursue its role in pharmaceutical manufacturing at Coldstream and assisting economic development efforts in Kentucky by transferring appropriate technology and programs to the public sector. CLI also provides educational opportunities for students in the College of Pharmacy as well as unique collaborative research opportunities.

CLI is in operation and building a client base, but has not yet become self-sufficient. CLI therefore requires the continued financial support that the University expected to provide to this operation. CLI anticipates having a positive cash flow by the first quarter of 2010.

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

# FCR 16

Office of the President  
September 15, 2009

Members, Board of Trustees:

EASEMENT AUTHORIZATION FOR LEGACY TRAIL  
(Maine Chance Farm/Spindletop Properties)

Recommendation: that the Board of Trustees authorize the conveyance at no cost of permanent easements on Main Chance Farm/Spindletop Properties to the Lexington Fayette Urban County Government in order for the community to construct a bikeway trail/walking path from the Coldstream Research Campus north through the farm to Iron Works Pike commonly referred to as the Legacy Trail.

Background: The University of Kentucky and Lexington-Fayette Urban County Government have been coordinating the construction of a bikeway/walking path through the farm for the past several years. The city now has full construction funding in place and is ready to proceed. The Board of Trustees was previously presented information and approved of the trail, trail location, and the transfer of deeds with Vulcan Lands Inc. necessary to implement the trail at the Board of Trustees March 4, 2008 meeting. The action in this FCR will now allow for the specific authorization to execute the trail easements allowing the city to move forward with construction.

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

# FCR 17

Office of the President  
September 15, 2009

Members, Board of Trustees:

## PATENT ASSIGNMENT REPORT

Recommendation: that the Board of Trustees accept the patent assignment report for the period April 1 through June 30, 2009.

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

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

PATENT ASSIGNMENT  
QUARTERLY FOR THE PERIOD THROUGH JUNE 30, 2009

Patents

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

- 1. U.S. Patent Application Serial Number: (to be assigned)**  
**Filed:** March 27, 2009  
**Title:** “Opioid Normicotine CoDrug Combinations for Pain Management”  
**Inventors:** Drs. Joseph R. Holtman (Anesthesiology), Peter Crooks and Ujjwal Chakraborty (Pharmaceutical Sciences)  
**Technical Description:** This invention relates to the field of pain management, and more particularly to synergistic codrugs comprising an opioid and normicotine that have been combined to form a single chemical codrug entity. When the codrug is administered, it produces a synergistic analgesic response to pain.  
**Summary:** The most common treatment for pain, opioids, can have undesirable side effects, such as addiction. The inventors have discovered that the drug normicotine, when combined chemically with opioids, enhances the opioid effects. This enhancement allows a reduction in the amount of opioids administered, decreasing the likelihood of adverse side effects.
- 2. U.S. Patent Application Serial Number: (to be assigned)**  
**Filed:** March 27, 2009  
**Title:** “Opioid Norketamine CoDrug Combinations for Pain Management”  
**Inventors:** Drs. Joseph R. Holtman (Anesthesiology), Peter Crooks and Ujjwal Chakraborty (Pharmaceutical Sciences)  
**Technical Description:** This invention relates to the field of pain management, and more particularly to synergistic codrugs comprising an opioid and norketamine that have been combined to form a single chemical codrug entity. When the codrug is administered, it produces a synergistic analgesic response to pain.  
**Summary:** The most common treatment for pain, opioids, can have undesirable side effects, such as addiction. The inventors have discovered that the drug norketamine, when combined chemically with opioids, enhances the opioid effects. This enhancement allows a reduction in the amount of opioids administered, decreasing the likelihood of adverse side effects.
- 3. U.S. Patent Application Serial Number: (to be assigned)**  
**Filed:** April 7, 2009  
**Title:** “Methods and Compositions for Treating Acute Trauma Pain Using Hydromorphone”



**Inventors:** Drs. Anita C. Rudy and Daniel Wermeling (Pharmacy Practice and Science)

**Technical Description:** This invention relates to opioid compositions and methods for treating pain. More specifically, the invention relates to a method of treating acute trauma pain by the intranasal administration of hydromorphone in a pharmaceutically acceptable salt form, and a pharmaceutical composition for intranasal administration of hydromorphone in a pharmaceutically acceptable salt form.

**Summary:** Opioids administered for the pain of acute trauma are commonly delivered intravenously or intramuscularly. However, the onset of pain relief delivered by these routes of administration is slow. The inventors have developed a new formulation for hydromorphone, an opioid, which is suited for nasal delivery. The onset of pain relief is quicker for nasally-delivered hydromorphone.

4. **U.S. Patent Application Serial Number: (to be assigned)**

**Filed:** April 9, 2009

**Title:** “Source and Output Device-Independent Pixel Compositor Device Adapted to Incorporate the Digital Visual Interface (DVI)”

**Inventors:** Drs. Ruigang Yang (Computer Science) and Anselmo Lastra (Outside Faculty)

**Technical Description:** This invention relates to computer-implemented systems and techniques for interconnecting one or more video or motion-picture source devices with a multitude of projectors and running graphics applications that produce three-dimensional displays onto a variety of surfaces.

**Summary:** Many computer-based training and simulation applications require very large displays to produce a visual experience that is similar to real-life visual experiences. Typically, these large computer displays are built by combining multiple projected smaller images into one large image. The inventors have developed a computationally efficient device and method for combining multiple projected images into a larger image.

5. **U.S. Patent Application Serial Number: (to be assigned)**

**Filed:** April 15, 2009

**Title:** “Electromechanical Tourniquet for Battlefield Application”

**Inventors:** Drs. Ruigang Yang (Computer Science) and Anselmo Lastra (Outside Faculty)

**Technical Description:** This invention relates to the emergency medical equipment field and, more particularly, to a new and improved electromechanical tourniquet and to a method of confirming that a tourniquet is providing desired occlusive pressure to a limb of a person to which it is applied.

**Summary:** When an individual sustains an injury to an artery or blood vessel, a tourniquet often is applied to prevent life-threatening blood loss while the individual awaits medical treatment. However, the pressure applied to the tourniquet often is not optimal, and is subjectively determined by the person applying the tourniquet. The inventors have developed a tourniquet that includes a pressure sensor, so an optimal pressure can be applied to an injury. In addition,

the tourniquet of this invention records the time when the tourniquet is applied and/or removed.

6. **U.S. Patent Application Serial Number: (to be assigned)**

**Filed:** May 15, 2009

**Title:** “Nornicotine for the treatment of pain”

**Inventors:** Drs. Joseph Holtman and Elzbieta Wala (Anesthesiology), Drs. Peter Crooks and Linda Dwoskin (Pharmaceutical Sciences)

**Technical Description:** This invention relates to the use of nornicotine for the treatment of pain.

**Summary:** The most common treatment for pain, opioids, can have undesirable side effects, such as addiction. The inventors have discovered that nornicotine, a known compound, is useful in the treatment of pain, but is not highly addictive.

7. **U.S. Patent Application Serial Number: (to be assigned)**

**Filed:** May 6, 2009

**Title:** “An Infectious cDNA Clone of the Modified Live Virus Vaccine Strain of *Equine Arteritis Virus*”

**Inventors:** Dr. Udeni B.R. Balasuriya (Veterinary Science)

**Technical Description:** This invention relates to an infectious clone of the modified liver virus vaccine strain of *Equine Arteritis Virus*. In particular, the invention relates to an infectious cDNA clone of the modified liver virus vaccine strain allowing generation of full-length, infectious transcripts of the virus. Use of the functional, infectious recombinant virion of the virus derived from an attenuated vaccine strain in marker vaccines, companion diagnostic tests, and the like is contemplated.

**Summary:** *Equine Arteritis Virus* is a major cause of illness in horses. The current vaccine is comprised of a modified live strain of the virus, but the vaccine cannot be used in pregnant mares. The inventor has determined the DNA sequence encoding the modified strain used in the vaccine. This DNA sequence can be used to develop new vaccine strains that can be used in pregnant mares.

8. **U.S. Patent Application Serial Number: (to be assigned)**

**Filed:** June 10, 2009

**Title:** “Synergistic Effects of Combinations of Nornicotine and Opioids for the Treatment of Pain”

**Inventors:** Drs. Joseph R. Holtman (Anesthesiology), Peter Crooks (Pharmaceutical Sciences)

**Technical Description:** This invention relates to pharmaceutical compositions and methods wherein an opioid analgesic in combination with nornicotine are administered in amounts to provide a synergistic analgesic response to pain.

**Summary:** The most common treatment for pain, opioids, can have undesirable side effects, such as addiction. The inventors have discovered that the drug nornicotine, when given in conjunction with opioids, enhances the analgesic effect of opioids. This enhancement allows a reduction in the amount of opioids administered, decreasing the likelihood of adverse side effects.

Patent Activities  
Fiscal year to date as of June 30, 2009

Number of Patent Applications	37
Number of Patents Issued	19
Patent Income	\$1,659,296

# FCR 18

Office of the President  
September 15, 2009

Members, Board of Trustees:

## CAPITAL CONSTRUCTION REPORT

Recommendation: that the capital construction report for the three months ending June 30, 2009 be accepted. This report refers only to projects that had activity within this quarter.

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

***For the period April 1, 2009 thru June 30, 2009:***

***There were six new contracts this quarter:***

Project 2248.1	Replace Steam and Condensate Pipe - Farm Road Lagco Inc., \$899,900 ( <i>Construction</i> )
Project 2286.1	Renovate/Expand the Center for Applied Energy Research Denham Blythe Co., \$1,156,991 ( <i>Construction</i> )
Project 2295.0	Renovate Koinonia House (aka Schmidt Vocal Art Center) Churchill-McGee, LLC, \$887,300 ( <i>Construction</i> )
Project 2297.1	Digital Village Building 2 Congleton-Hacker Co., \$984,400 ( <i>Construction</i> )
Project 2303.0	Construct Children's Garden at the Arboretum M2D Design Group, \$35,068 ( <i>Design</i> )
Project 2304.0	Renovate Central Computing Facility CMTA Engineers, \$48,500 ( <i>Design</i> )

***Two contracts were completed this quarter:***

Project 2261.0	Renovate Central Vivarium Denham Blythe, Co. \$776,334.50
Project 2291.1	Renovate Wildcat Lodge Jarboe Construction, \$20,295

***Four amendments were as follows:***

- Project 2235.0 Construct Biological Pharmaceutical Complex Building
- Additional scope of work necessary to accommodate the pre-construction services phase of the 4th and 5th floor fit-up, the 1st floor food services facility fit-up and the steam line extension design. (+) \$236,320
- Project 2239.0 Construct Patient Care Facility
- Expanded design services to include completion of design of the surgery waiting expansion, the expansion of Children's Hospital entry, expansion of the auditorium design, refining several infrastructure elements and further development of the gift shop case work. (+) \$332,700
- Project 2239.0 Construct Patient Care Facility
- Implementation of a GIS facility management system to import and manage data associated with buildings and spaces, with the ability to expand for future inclusion of detail equipment, finishes and furniture data information. (+) \$72,151
- Project 2299.1 Convert Hunt Morgan Space to Class Lab
- Deletion of the second floor laboratory design, preparation of new bid documents and an add alternate bid for the laboratory. (+) \$13,630

***Twenty Six change orders greater than \$25,000 were as follows:***

- Project 2235.0 Construct Biological Pharmaceutical Complex Building
- Provide alternate steam design. (+) \$72,000
  - Resolve conflict between mechanical circuit and distribution panel schedules. (+) \$45,307
  - Provide additional coordination between the ceiling grid and the light fixture. (+) \$43,873
  - Provide the required service area above ceiling and modify HVAC sizing. (+) \$26,967
  - Provide modifications to the finish carpentry. Add modesty panels and wireways in the auditoriums. (+) \$52,374
  - Extend Construction Manager services to allow for timely completion of the Vivarium due to inclement weather delays. (+) \$166,314
  - Provide for increased cost of Kentucky American Water Co. waterline installation. (+) \$80,706
  - Convert storage room 501C to create an egress exit out of the Vivarium. (+) \$27,478
- Project 2239.0 Construct Patient Care Facility
- Add remote monitoring and control capability to substation breakers. (+) \$26,288
  - Provide and install 12 humidifier condensate pumps. (+) \$25,931
  - Add a low pressure steam pumping system to the basement. (+) \$41,529
  - Provide a compatible mating of the curtain wall and precast systems. (+) \$228,937
  - Re-route lines allowing for placing of structural column to support the east connector. (+) \$30,633
  - Fund overtime paid to make up time lost due to weather delays in December and January. (+) \$29,521

- Fund overtime required in May to maintain the concrete pour schedule due to inclement weather. (+) \$39,687
  - Install backfill against the southeast and southwest corner of the Patient Care Facility. (+) \$47,723
  - Re-route the existing sanitary sewer to allow for installation of bridge pier. (+) \$26,436
  - Add venting and re-size piping. (+) \$320,823
  - Delete galley equipment from the 8<sup>th</sup> floor. (-) \$50,620
  - Relocate the required power for the elevator machine room. (+) \$33,352
- Project 2239.2 PCF – Hospital GMP # 2 – Parking Garage
- Reduce the contract value due to lien release payout. (-) \$372,393
- Project 2248.1 Replace Steam and Condensate Pipe – Farm Road
- Provide and install a portable steam boiler for the Gluck Equine Research Bldg. due to steam outage. (+) \$63,305
- Project 2252.0 Upgrade Cancer Center Radiologic Facility - Hospital
- Decrease the scope of the landscaping. (-) \$41,459
- Project 2299.1 Convert Hunt Morgan Space to Class Lab
- Increase the casework allowance. (+) \$44,084
  - Provide for replacement and re-routing of underground electric service. (+) \$51,128
  - Provide for repair of underslab electrical, fire alarm and other building systems as well as ground water pumping, new backfill material and reinforcement required due to unforeseen conditions. (+) \$28,078

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

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

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

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

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

## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY REPORT

### Glossary

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

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

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

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

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

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

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

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

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

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



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

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

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

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

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

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

**Major Projects**  
**Capital Project Management Division**  
**July 31, 2009**

**Construct Biological Pharmaceutical Complex Building**

*Project Description:*

Phase I of the Biological Sciences/Pharmaceutical Complex, was authorized by the 2005 General Assembly and funded in 2006 at \$40,000,000. Phase II was funded at \$92,792,000 and together these phases will complete the 279,000 gross square foot facility that includes some “shell space” to allow for the growing research needs. This “shell space” will be fitted out for research laboratories at a later date as university funds and/or grant dollars become available. This new building will provide the college with a state-of-the-art facility that will also allow the college to expand enrollment to address the shortage of pharmacists in Kentucky. The College of Pharmacy will relocate to this new facility and vacate their existing space. In addition to the current Pharmacy Building, college faculty members are housed in 10 buildings on and off campus. Consolidation of the research and teaching expertise of the eighth ranked College of Pharmacy in the U.S. will further strengthen the instruction of students and research collaboration among faculty. The project is expected to be complete by December 2009.

*Project Status:*

Exterior sitework continues on the north side of the building and exterior coping installation continues. Granite, limestone and brick masonry installation is complete on the building façade. Work has started on the exterior canopies. MEP continues on all floors. Final finishes have begun on the third floor. The hanging and finishing of the vivarium drywall ceiling is complete. Second floor hanging and drywall finishing as well as first coat painting activities are nearing completion. First floor framing of walls and ceilings is nearing completion. First floor drywall hanging and finishing continues. First floor prime and first coat painting has begun. Vivarium ceiling fixture installation started and painting of the epoxy walls and ceilings in the vivarium has begun. Project is on schedule to complete December 1, 2009 for first, second, and third floors. The basement vivarium will complete mid February

**Construct Children’s Garden at the Arboretum**

*Project Description:*

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

*Project Status:*

Design Development documents were completed and reviewed in late July. It was decided to include the “Quilt Fountain” part of the project as an add alternate to the base bid. The estimate for the base bid of the project is within the available funds for construction.

**Construct Patient Care Facility**

*Project Description:*

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

**PCF – Building (BP #'s 3B, 4, 5 & 6):**

*Project Description:*

This project includes:

- (BP #3B) Early Site Work
- (BP #4) The demolition of the existing Parking Structure # 4. The work will involve the start of all deep foundations up to the grade of the excavation.

- (BP #5) The construction of the new 1,022,000 gross square feet building's structural frame, fireproofing, exterior wall enclosure for all new building spaces, windows, exterior doors and roofs. Also included will be all exterior site improvements, civil design for roadways, drainage systems, landscaping, hardscape surfaces and walks.

- (BP #6) The interior fit-out partitions, interior finishes, doors and frames, ceilings, mechanical systems, electrical systems, technology systems, medical equipment and fire protection for approximately 490,000 occupiable square feet; and 532,000 square feet of shell space. The work also will include drawings and specifications for signage, interior furnishings and lighting.

*Project Status:*

- Mass Excavation, Early Site Work and Foundations (BP #3B & 4)

Completion of punch list items was the major area of activity during July. The contractor will continue to complete the work on the punch list during August.

- Core and Shell (BP #5)

The concrete podium structure was completed in July. The North area grade beam and pier cap foundations are close to completion. The foundation work for the bridge in front of Parking Structure #8 is 90% complete. Stone veneer installation began this month and will continue thru August on the west elevation. Precast panel installation completed on the west podium and the north podium elevation. This work will move to the south and east elevation during August. Installation of Structural Steel continued on the east and west towers this month. Levels 6 and 7 are approximately 90% complete. Metal deck installation has begun in the core area of level 6. The installation of stair #2 continued to the upper floors. Plenum steel progressed on the fourth level and installation of the west transfer stair was completed on the 3<sup>rd</sup>/4<sup>th</sup> level. ASI Ltd. began installation of window flashing on the ground level. This work will continue on the west elevation during August. The east material hoist was erected and is operational this month. The demolition contractor completed demolition in the CCC building. The exterior precast demolition was completed at the CCC. The general trades contractors continued working on installing roof davits and temporary shaft covers for the 5<sup>th</sup> level. The mechanical work continues in the basement with all major systems being installed; including pumps, HVAC units, and all major piping. The electrical work continues with installation of temporary power and lighting. Installation of conduit began at the 3<sup>rd</sup>/4<sup>th</sup> level. HVAC mechanical ductwork progressed on the 3<sup>rd</sup>/4<sup>th</sup> level. Installation of duct completed in the southwest shaft.

- Fit up (BP #6)

Interior masonry walls are approximately 98% complete. Only minor areas remain at locations, which must be left out to allow mechanical items to be installed. Installation of fire stopping between exterior precast and the concrete building structure has begun on the west elevation at the 3<sup>rd</sup> level. Installation of divider beams and framing at the elevators continues. Turner is also working with UK to release design on the structural supports for the exam lights and booms. The dry wall contractor continued with framing of walls in the basement and ground levels as well as the 1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup> level electrical, IDF, and EIDF rooms. The top out of walls continued on the ground level. Framing and top out of priority walls at levels 3 and 4 has begun. Blocking at ground level proceeded and will continue thru August. Installation of sprinkler pipe and testing continued at the basement level. Installation of HVAC duct mains and distribution continued on the ground and basement levels. Installation of hangers for distribution duct began at the 3<sup>rd</sup> level. Installation of storm piping began under the 5<sup>th</sup> level deck. Sanitary waste and vent piping continued on the ground level and basement levels. Sanitary piping work began under the 5<sup>th</sup> level deck. Potable water piping continued at the ground and basement levels. Medical gas piping was completed at ground level med gas zone 1 and continued at med gas zone 2. Installation of electrical conduit continued in the basement and ground level. Installation of cable tray began at the ground level. The pulling of wire began in the basement. Swisslog has begun installation of the pneumatic tube system.

**Convert Hunt Morgan Space to Class Lab**

*Project Description:*

This project will convert approximately 6,000 Net Square Feet of space on the ground floor of the Thomas Hunt Morgan Building into class lab teaching space. The project will include wet bench casework, flooring, ceilings, lighting, and Smart Classroom technology. The work will also include modifications to the plumbing, electrical and HVAC systems. Approximately 1800 Net Square Feet of space on the second floor will be renovated for two research faculty. There will be two research laboratories, each at 765 square feet and each with a 135 square foot office.

*Project Status:*

The contractors are 95% complete with the work on the Ground Floor Classrooms. Completion of the Room 200 Research Lab is anticipated on August 28<sup>th</sup>. The Biology Department requested a cell culture room in Room 215. The contractor is completing a cost estimate for this addition.

### **Expand Ophthalmology Clinic - Hospital**

#### *Project Description:*

This project consists of renovating approximately 12,500 square feet of space on the third floor of the Kentucky Clinic, some of which is currently occupied by Neurosurgery, in order to expand the existing Ophthalmology Clinic (also located on the third floor of the Kentucky Clinic) into the vacated space. It also includes refurbishing the existing Ophthalmology Clinic space. This project will necessitate phased construction activities to include expansion into the additional space as well as a full refurbishment of the existing Ophthalmology Clinic.

#### *Project Status:*

The project is officially on hold by the hospital; however, internal meetings for operational planning have begun. Design meetings are to follow the internal operational meetings.

### **Expand & Upgrade Livestock Disease Diagnostic Lab**

#### *Project Description:*

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

#### *Project Status:*

Abatement for ACM is more extensive than the initial building survey indicated and will continue this month. Work this month includes continuing construction of caissons, grade beams and digester concrete walls. Demolition of the incinerator area on the basement and first floor continues. The 10,000 pound tissue digester is complete and the ownership was transferred to the University. The digester has been insured by UK and remains stored at the manufacturer. Manufacturing of the second 10,000 pound tissue digester continues this month.

### **Expand/Renovate Kentucky Clinic – Outpatient Clinic**

#### *Project Description:*

This project consists of renovating approximately 13,300 square feet of existing space on the first floor of the Kentucky Clinic, which is to be vacated by the University Health Services (Student Health Facility) to create a new outpatient clinic for the Kentucky Neuroscience Institute (Neurology, Neurosurgery and Physical Medicine & Rehabilitation clinical services). This project includes renovation of part of the space and refurbishment of all of the space. After completion of the construction work associated with this renovation, KNI departments will move into this space.

#### *Project Status:*

This project has been accepted as substantially complete and has been occupied. PPD has completed landscaping of the adjacent courtyard.

### **Digital Village, Building 2**

#### *Project Description:*

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

#### *Project Status:*

Design meetings have been held on a regular basis with the future building occupants, along with other campus departments to clearly define and coordinate design goals and requirements. Stantec has provided site survey and geotechnical services. Congleton-Hacker has been contracted to provide Construction Management services. Facility Commissioning Group has been contracted to provide commissioning services. Phase two, Design Development documents have been approved. The project is currently in the phase three, construction document phase. Forty and eighty percent phase three design review meetings have been held. The project is currently on schedule and in budget.

### **Renovate Koinonia House (aka Schmidt Vocal Art Center)**

#### *Project Description:*

The project continues the renovation of the Vocal Arts Center, which houses the UK Opera Program. The facility was acquired by the University in 1991. At that time, some of the first floor was renovated, but the second floor of the building remained shelled space. The current project includes upgrades to the electrical and mechanical systems, installation of a sprinkler system, a new stairwell, and an elevator. The project also begins fitting out the second floor to address needs created by the recent growth of the Opera Program. The second floor will eventually include rehearsal rooms, teaching studios, classrooms, practice rooms, a dance studio, and office space for staff and graduate assistants. Following this initial phase, additional shell space remains for a later project or phase.

#### *Project Status:*

Demolition, stud installation, rerouting of the underground communications lines to the communications closet in the Career Center, relocation of communications lines in the Schmidt building, rerouting sprinkler lines, wall framing and patching holes in the floor are all complete. The sub-floor for the raised flooring system has been installed. Electrical conduit and plumbing are scheduled to be installed this month. Drywall installation and HVAC ductwork will begin. The pit excavation for the elevator will also begin in August.

### **Renovate/Expand the Center for Applied Energy Research**

#### *Project Description:*

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

#### *Project Status:*

The installation of the foundations and grade beams is 70% complete. The components of the metal building are scheduled to arrive onsite in August. Demolition Crushing Room Building has been completed..

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

#### *Project Description:*

This project encompasses refurbishing 8 elevators in KY Clinic. The refurbishment includes replacing all cab finishes, lighting, major wear components, and controls. Elevator “land line” emergency phones will be replaced with voice over IP phones, which have lower operating cost. The elevators will be refurbished one at a time so as not to impact patient care. This project allows the Hospital to provide maintenance and upgrades to prevent breakdowns in the system. The Hospital relies on these systems for the efficient transfer of patients, visitors, supplies, and equipment.

#### *Project Status:*

Oracle Elevator was selected as the best value among the respondents by RFP process. Oracle's proposal was slightly over the construction budget; however, the overall project is within budget. Construction will begin in mid-August.

### **Replace Emergency Generators & Fire Pump - UK Good Samaritan Hospital**

#### *Project Description:*

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

#### *Project Status:*

Bid Package # 1, the purchase and installation of a Deareator Tank, was awarded to TJ Dyer. The tank is on order. Bid Package # 2 is the purchase and installation of Emergency Generators and Fire Pump. The pre-bid conference was held in July and a bid-opening is scheduled for mid-August.

### **Replace Steam and Condensate Pipe - Farm Road**

#### *Project Description:*

Replace the existing, direct buried steam piping and vaults from the Kentucky Tobacco Research and Development Center to the Gluck Equine Research Center. The new pipe is to be routed south of Farm road and outside the ARS Agriculture Project (FAPRL) leased/construction area. The location of this future ARS connection will be coordinated with that project.

#### *Project Status:*

Excavation of the piping on the west end is complete. The contractor uncovered a water line for a building hydrant that needed to be relocated to allow proper routing of the new steam lines. Initial excavation on the east end is ongoing. Construction of new steam pits continues. Project is on schedule.

### **Upgrade Cancer Center Radiologic Facility - Hospital**

#### *Project Description:*

The University of Kentucky Hospital needs to significantly upgrade and improve the current clinical space in the Lower Level of University Hospital. This will include therapy rooms, clinic exam areas, infusion space, office, education, and support space for the clinical practice. Given that the clinic will need to continue operations during the project, it is anticipated that areas will be taken down, or phased, during the construction. Surge space to allow the phasing has been identified. The addition will be located along the west side of the Markey Cancer Center/Ben F. Roach Cancer Care Facility, while the renovation will occur in existing research space on the Lower Level of the same building. Development of Radiation Medicine clinical areas is essential to growth of cancer programs, supportive of the strategic plans for UK HealthCare. Current facilities are split between the Lower Level of the hospital and the Roach Building. Several initial facility studies have been completed that identified expansion and renovation of the areas of the Lower Level of the Roach Building to respond to immediate needs and is consistent with the Ambulatory Master Plan.

#### *Project Status:*

All interior work is substantially complete. Substantial completion for the exterior work is scheduled before the final progress meeting.

### **ARS - Agriculture Project**

#### *Project Description:*

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

#### *Project Status:*

A 100% Construction Documents review meeting proposed for May 2009 was delayed to September 2009 due to Federal delays.

### **Expand Coldstream Research Campus – Redundant Power Supply**

#### *Project Description:*

The main electrical service to Coldstream Research Campus is currently supplied by Kentucky Utilities through a combination of overhead supply and underground distribution systems. The main 12KV power supply is delivered by an overhead circuit from Kentucky Utilities' IBM station. Several existing and future projects require that Coldstream Research Campus have a redundant electrical power supply available. The immediate redundant power needs are for the first building in the Lexhold Technology Center (under construction), Exstream Software buildings (under construction), the LFUCG Emergency Operations Center (being designed) and the UK Data Center (in design). In order to successfully market the Coldstream Research Campus in the future, separate and redundant power feeds will be essential.

#### *Project Status:*

Kentucky Utilities' design of the electrical and communications ductbanks is anticipated to be complete in late August. The project will go out to bid in September 2009.

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

*Project Description:*

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

*Project Status:*

The Dean's office from the College of Arts and Sciences is determining space allocation for Chemistry and Physics. Design is on hold until a decision has been reached. Currently we are in the first phase of design and the project is approximately one month behind schedule pending the above decision.

## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

### Construct Biological Pharmaceutical Complex Building

Project Number: 2235.00

#### Project Description:

Scope: \$132,792,000

Phase I of the Biological Sciences/Pharmaceutical Complex, was authorized by the 2005 General Assembly and funded in 2006 at \$40,000,000. Phase II was funded at \$92,792,000 and together these phases will complete the 279,000 gross square foot facility that includes some "shell space" to allow for the growing research needs. This "shell space" will be fitted out for research laboratories at a later date as university funds and/or grant dollars become available. This new building will provide the college with a state-of-the-art facility that will also allow the college to expand enrollment to address the shortage of pharmacists in Kentucky. The College of Pharmacy will relocate to this new facility and vacate their existing space. In addition to the current Pharmacy Building, college faculty members are housed in 10 buildings on and off campus. Consolidation of the research and teaching expertise of the eighth ranked College of Pharmacy in the U.S. will further strengthen the instruction of students and research collaboration among faculty. The vacated Pharmacy Building is currently scheduled to be reassigned to the Department of Biology to provide needed expansion space for classrooms, research, and faculty to meet the needs of the growing student enrollment in UK's largest department. The project is expected to be complete by December 2009.

#### Consultant: EOP Architects

Contract # A061150/A071060

Total Amendments to Date: 4

Original Contract Amount: \$10,585,020

Cumulative Amendment Amount: \$1,083,566

#### Describe all amendments :

Revised Contract Amount: \$11,668,586

**Amendment #1, 5/8/07**, an increase of \$220,700, was approved for additional design services to provide an additional research floor as well as a new utility tunnel. This amendment also provides for wind tunnel testing as well as a specialized lighting consultant. **Amendment #2**, an increase of \$282,276, was approved for Structural engineers to redesign the foundation and sub-slab connections due to discovery of unforeseen solution channel to bedrock and to redesign the first floor from a steel frame to a concrete frame. Additionally the amendment was to design a Donor Recognition Program that will address the range of donor opportunities as outlined by the University, as well as a standard program of plaque recognition. Pinpoint Associates are to locate all underground utilities beginning with Parking Structure # 2, traveling on Washington Avenue and ending at Limestone Avenue. This amendment also provides for an independent third party consultant to provide for all Special and Material Testing as required by the construction documents and 2007 KBC. **Amendment #3, 1/13/09**, an increase of \$344,270 was approved for additional scope of work necessary to accommodate the fit-up of the fourth and fifth floors as a separate stand alone package. The amendment also provides for additional structural engineering services associated with the addition of an elevator machine room, reinforcement of chilled water pipe structure at the Utility Tunnel and expediting design and construction documents for Bid Package 4. Additional special inspection and testing services are also included as well as civil engineering services associated with the survey, plat and filing as necessary for the permanent closure of Leader Avenue. **Amendment #4, 6/9/09**, an increase of \$236,320 was approved for additional scope of work necessary to accommodate the pre-construction phase of the 4th and 5th floor fit-up, the 1st floor food services facility fit-up and construction documents for the mast arm traffic signal and the steam line extension design.

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

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

Contract % complete was calculated using the estimated \$107 Million Construction Budget.

Contract # 4500007696

Total Change Orders to Date: 185

Low Bid:

High Bid:

Original Contract Amount: \$107,507,652

Cumulative Change Order Amount: \$2,667,845

Revised Contract Amount: \$110,175,497

Contract Percent Complete: 83%

Number of Bids:

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

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

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



## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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

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

CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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**Construct Children's Garden at the Arboretum**

Project Number: 2303.00

Scope: \$500,000

**Project Description:**

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

**Consultant:** M2D Design Group

Contract # A091040E #1

Total Amendments to Date:

**Describe all amendments :**

**No amendments this quarter.**

Original Contract Amount:

\$35,068

Cumulative Amendment Amount:

Revised Contract Amount:

\$35,068

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

Contract #

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

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

Original Contract Amount:

Cumulative Change Order Amount:

Revised Contract Amount:

Contract Percent Complete:

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

**Construct Patient Care Facility**

**Project Number: 2239.0**

**Scope: \$532,300,000**

**Project Description:**

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

**Consultant:** GBBN, Inc.

Contract #	A061080	Original Contract Amount:	\$30,400,226
Total Amendments to Date:	5	Cumulative Amendment Amount:	\$6,442,631
<b>Describe all Amendments:</b>		Revised Contract Amount:	\$35,549,157

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

**Contractor:** Turner Construction Co.

*Note: This is a 'CM-At-Risk' contract. The amount will be increased as sub-contracts are bid and added. \*Turner's contract was awarded by RFP process. Contract % was complete was calculated using the estimated \$300 Million Construction Budget*

Total Change Orders to Date:	257	Original Contract Amount:	\$306,215,701
Low Bid:		Cumulative Change Order Amount:	\$7,719,968
High Bid:		Revised Contract Amount:	\$313,935,669
Number of Bids:		Contract % complete:	42.00%

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

**Change Order # 1**, 6/4/07, was approved for an increase of \$91,344 to facilitate the procurement strategy and meet the project timeline. A portion of select infrastructure was transferred from Bid Pack 4A to the earlier Bid Pack 3B. **Change Order #2**, 5/31/07, was approved for an increase of \$65,296 to relocate the existing direct buried steam lines and pressurized drain found to be in conflict with the new tunnel. Since the lines must be moved they will be relocated into the new tunnel to make the lines accessible for maintenance. **Change Order # 3**, 7/11/07, was approved for an increase of \$58,928 to relocate an existing sanitary sewer manhole and associated lines to sanitary sewer manhole and associated lines to resolve underground utility conflicts. **Change Order # 5**, 9/6/07, was approved for an increase of \$49,439 to replace and relocate deteriorated and inaccessible 2 1/2" and 1 1/2" underground direct buried steam lines that were revealed upon excavation. **Change Order # 9**, 10/3/07, was approved for \$2,840,457 to convert the TC-01 Sitework (RAM Engineering) Rock Allowance to an unspecified status. Ram will be responsible to remove all the rock associated with their scope of work for BP 3B and as defined by the Geotechnical Report. This is due to misinterpretation of site conditions. Actual rock removal quantities are greater than estimated quantities in the contract documents. **Change Order # 10**, 10/1/07, was approved for an increase of \$55,314 to convert the portion of the six existing sanitary and storm sewer lines that pass through the main tunnel to ductile iron to ensure that these lines don't rupture. The increase also provided for re-routing the existing water lines to avoid conflict with the new tunnel. **Change Order # 11**, 10/4/07, was approved for an increase of \$47,780 to replace and re-route the existing domestic water line as well as reroute the existing water main. **Change Order # 13**, 10/9/07, was approved for \$40,755 to relocate approximately 150' storm line and associated manhole due to conflict with the new Cooling Plant # 3 utility tunnel. **Change Order # 21**, 11/21/07, was approved for an increase of \$53,383 to convert the 7000KVA transformer from aluminum to copper windings, add an air switch to the transformer and add a medium voltage outdoor breaker with remote monitoring and control capability to all five electric substations. These changes were made to increase the efficiency of the system and to meet specifications of upcoming substation upgrades. **Change Order # 23**, 12/10/07, was approved for a decrease of \$48,383 to alter the installation of the cold water and the cold water return piping system to avoid conflict with sensitive boiler equipment. **Change Order # 27**, 12/5/07, was approved for an increase of \$144,844 to provide saw cutting

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

of the pedestrian walkway and walkway roofing instead of traditional hammering. The saw cutting method will reduce noise and vibration impacts to the adjacent Critical Care Facility. **Change Order # 32**, 1/18/08, was approved for an increase of \$33,072 to enlarge the existing emergency generator pads to support installation of new diesel generators due to changes in EPA regulations. **Change Order # 34**, 2/1/08, was approved for \$388,426 to provide additional construction manager's staff and general conditions due to an additional two floors being added to the Patient Care Facility. **Change Order # 42**, 3/20/08, was approved for an increase of \$128,502 to extend the limits of the blasting and excavation of rock in Bid Pack # 4 to accommodate the installation of sanitary line. The rock removal was originally intended for Bid Pack # 5, but will provide cost savings if moved to Bid Pack # 4. Early rock removal will also eliminate blasting after installation of foundation in Bid Pack # 4.

**Change Order # 43**, 3/31/08, was approved for an increase of \$229,016 to increase the rock allowance due to greater rock quantities than anticipated. **Change Order # 58**, 4/23/08, a decrease of \$60,522 was approved to utilize the existing ductbank for the new conductors. The existing ductbank was lower than expected and did not interfere with the new storm tunnel. **Change Order # 60**, 4/23/08, was approved for \$34,827 to increase the ductbank from six to twelve conduits to match the size of the existing ductbank. **Change Order # 66**, 5/6/08, was approved for \$42,700 to offset new 36" chilled water lines. A 2" foam glass board insulation was put in place between the chilled water and high pressure steam line due to unexpected elevation. **Change Order # 68**, 6/4/08, was approved for \$39,794 to perform rock removal while classes are in session using a rock trenching machine so as not to disturb teachers, students and staff in the Ag. Science Building. **Change Order # 71**, 5/7/08, was approved for \$47,571 to install four new handicap ramps and thermoplastic street marking to comply with ADA standards. **Change Order # 73**, 6/6/08, was approved for \$37,090 to remove and replace water meter vault that is in the CP # 3 tunnel excavation footprint due to location of hidden chilled water lines. **Change Order # 85**, 6/4/08, was approved for \$28,092 to revise alignment and depth of electrical ductbank that runs from Scott Street toward Electric Substation # 2, and revise the location of it's associated manhole. This will insure proper cover for manhole and ductbank when future changes are made in this area. **Change Order # 90**, 6/9/08, was approved for \$42,604 to install new ductbank at a depth greater than planned due to concealed high voltage ductbank. **Change Order # 98**, 7/3/08, was approved for an increase of \$62,263 to modify the tower crane foundation. This was required due to unsatisfactory rock with mud seams and fractures found in the west tower crane location. **Change Order # 102**, 7/14/08, was approved for an increase of \$50,183 to increase the size of both main electrical duct banks. **Change Order # 110**, 7/30/08, was approved for an increase of \$25,219 to remove an additional 240 linear feet of bad soil on Scott Street that is unsuitable for the new duct bank. Excavated material will be replaced with flowable fill concrete. **Change Order # 121**, 8/25/08, was approved for an increase of \$32,912 to provide additional excavation for fuel tanks to meet required depth. **Change Order # 127**, 8/22/08, was approved for an increase of \$43,493 to perform additional excavation at area "A" shear wall/grade beam due to unsuitable rock. Excavated material will be replaced with 4000 psi concrete. **Change Order # 128**, 8/22/08, was approved for an increase of \$30,655 to perform additional excavation at area "B" shear wall/grade beam due to unsuitable bearing. Excavated material will be replaced with 4000 psi concrete. **Change Order # 130**, 9/9/08, was approved for an increase of \$27,914 to provide control of the control valves with a selector switch and indicator lights. The switch will allow the operator to select which tank to pull oil from. **Change Order # 138**, 9/22/08, was approved for \$40,322 to provide a larger drilling rig needed to sleeve and bore larger holes due to the composition of the subgrade. **Change Order # 139**, 9/22/08, was approved for \$27,303 to sawcut the CCC tunnel footers and slab as required for the 16" sanitary pipe to pass thru the tunnel. The pipe will be sleeved to prevent shearing and concrete and resteel placed around the sleeve. This is due to the existing sanitary pipe being lower than expected. **Change Order # 143**, 9/29/08, was approved for \$33,766 to excavate 6' to 7' below design elevation on the 12.3 line from Column Line D.1 to the southeast corner. Excavated material will be replaced with 4000 psi concrete and added resteel. This is due to found rock. **Change Order # 159**, 11/3/08, was approved for an increase of \$38,301 to offset the chilled water piping to avoid conflict with the communications tie-in to the cable tray. **Change Order # 164**, 11/26/08, was approved for an increase of \$34,881 to install a high pressure steam valve and a pump discharge valve in the main on the south side of the Gill Heart tap. This will reduce the outage to the Gill Heart building and the Critical Care to less than one day and will eliminate future outages. **Change Order # 165**, 11/26/08, was approved for an increase of \$73,079 to provide for additional removal of rock and soil and to provide additional concrete for the drilled piers. Found subsurface conditions required deeper piers than were required by contract. **Change Order # 173**, 1/20/09 was approved for and increase of \$39,957 to provide for additional cost required to bore under existing gas line for the new 24" sanitary main. The original gas line was not relocated by Columbia Gas as originally planned due to access issues. **Change Order # 177**, 3/2/09, was approved for an increase of \$51,550 to remove existing unsuitable soil where fuel tanks were removed by the University. Backfill and compact will be added to grade to match existing slope.

### BP # 5 Change Orders

**Change Order # 2 BP # 5**, 6/30/08, was approved for \$36,359 to provide and install 48" diameter sump pit and piping, for the existing subsurface groundwater. This addressed the field condition of ground water that has been observed in open excavations. **Change Order # 4 BP # 5**, 7/23/08, was approved for \$26,723 to provide two mock-ups of the architectural precast panels. **Change Order # 7 BP # 5**, 9/15/08, was approved for an increase of \$39,922 to provide concrete shear walls at Column Line 12/E-F and Column Line 12/L-M, ground level to underside of third level. **Change Order # 8 BP # 5**, 9/30/08, was approved for an increase of \$26,540 to add one (1) gate valve and three (3) triple duty offset butterfly valves to high pressure steam lines. The original design did not allow for a partial cut-off of steam supply to the building. **Change Order # 20, BP # 5**, 12/2/08, was approved for an increase of \$38,438 to provide concrete shear walls in accordance with the structural documents. The trade contractors scope descriptions failed to assign this task. **Change Order # 24, BP # 5** 2/6/09 was approved for an increase of \$27,389 to revise the medium voltage cable spec to meet published UK standard. **Change Order # 26, BP # 5**, 1/20/09 was approved for an increase of \$25,547 to provide additional doors to the freight elevators allowing access to these elevators from the exterior. **Change Order # 27, BP # 5** 1/20/09 was approved for an increase of \$29,111 to install 60 linear feet of 18" reinforced concrete pipe from the existing storm manhole to the new 12' diameter manhole. **Change Order # 32, BP # 5**, 2/10/09 was approved for an increase of \$71,714 for the upsizing and rerouting of the steam generators. **Change Order # 41, BP # 5**, 3/26/09 was approved for an increase of \$75,511 to provide miscellaneous electrical revisions to Bid Pack 5 electrical systems to include new distribution panel and critical bus duct plugs. **Change Order # 45**, 4/30/09, was approved for an increase of \$26,288 to add a medium voltage outdoor breaker with remote monitoring and control capability to all five substation breakers. This will increase the efficiency of the system. **Change Order # 46**, 4/30/09, was approved for an increase of \$25,931 to provide and install twelve (12) humidifier condensate pumps to provide for disposal of the condensate from the air handlers. **Change Order # 47**, 5/12/09, was approved for an increase of \$41,529 to add a low pressure steam pumping system to the basement level of the facility. These pumps are required for proper function of the system.

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

Change Order # 51, 5/29/09, was approved for an increase of \$228,937 to provide a compatible mating of the curtain wall and precast systems. This silicone tape allows for a water tight skin on the structure. Change Order # 52, 5/15/09, was approved for an increase of \$30,633 to re-route existing lines allowing for placing of structural column to support east connector. Change Order # 57, 6/1/09, was approved for an increase of \$29,521 to fund overtime payment for Baker Construction. This additional cost will be used to make up time lost due to weather delays in December 2008 and January 2009. These days will need to be made up to open the Emergency Department on the currently scheduled date. Change Order # 62, was approved for an increase of \$36,687 to fund overtime payment for Baker Concrete over four weeks in May to maintain schedule. Overtime work was required to maintain the concrete pour schedule due to inclement weather. Change Order # 65, was approved for an increase of \$47,723 to install backfill against the southeast and southwest corners of the Patient Care Facility. Change Order # 66, 6/26/09, was approved for an increase of \$26,436 to re-route existing allow for installation of bridge pier.

### **BP # 6 Change Orders**

Change Order # 1, BP # 6, 1/23/09 was approved for an increase of \$74,499 to increase booster pump capacity. Change Order # 2, BP # 6, 3/3/09 was approved for an increase of \$38,126 to allow for the installation of piping for dialysis systems on the 5th floor. Change Order # 3, BP # 6, 3/24/09 was approved for an increase of \$101,006 to utilize Densarmor exterior sheeting for the electric and data closets. This will allow for the installation of the materials prior to the roofing of the structure. This will enhance the schedule and allow the project to remain on track for the substantial completion of the emergency department. Change Order # 11 BP # 6, 5/21/09, was approved for an increase of \$320,823 to re-design to meet the State's interpretation of the KY plumbing code. Venting was added as well as the resizing of piping. Change Order # 12 BP # 6, 5/29/09, was approved for a decrease of \$50,620 to delete all Galley Equipment from the 8th Floor due to the decision to not fit-out the 8th floor in phase 1A. Change Order # 13 BP # 6, 6/1/09, was approved for an increase of \$33,352 to relocate the required power for the elevator machine room.

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**PCF - Hospital GMP # 2 - Parking Garage**

Project Number: 2239.20

Scope: \$32,766,968

**Project Description:**

GMP # 2. This is a portion of the larger Patient Care Facility Project (2239.0). This package will construct a seven level parking structure that will have an approximate 1,600 car capacity. The new garage will be located on the west side of Limestone Street, between Conn Terrace and Transcript Avenue. This structure will replace the existing Med. Center parking garage that must be demolished in order to tie the new Patient Care Facility to the existing Medical Center. A future pedestrian bridge will connect the new structure to the Patient Care Facility and the design has allowed for the future addition of approximately 15,000 square feet of retail space fronting Limestone.

**Consultant:** GBBN, Inc.

See project 2239.0

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

**Describe all amendments :**

Revised Contract Amount:

**Contractor:** Gilbane Building Company (GMP #2)

Contract # 4500001350

Original Contract Amount:

\$32,766,968

Total Change Orders to Date: 4

Cumulative Change Order Amount:

-\$390,393

Low Bid:

Revised Contract Amount:

\$32,376,575

High Bid:

Contract Percent Complete:

99%

Number of Bids:

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

**Change Order # 57, 4/22/09, was approved for a decrease of \$372,393 to reduce the contract value due to lien payout to E.C. Matthews Company, Inc.**

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**PCF - Hospital - CUP Expansion**

Project Number: 2239.32

Scope: \$13,150,000

**Project Description:**

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

**Consultant:** GBBN Inc.

See project 2239.0

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

**Describe all amendments :**

Revised Contract Amount:

**Contractor:** Messer Construction Co.

Contract # 4500008954

Original Contract Amount:

\$9,474,000

Total Change Orders to Date: 42

Cumulative Change Order Amount:

\$678,078

Low Bid: \$9,474,000

Revised Contract Amount:

\$10,152,078

High Bid: \$10,400,000

Contract Percent Complete:

99%

Number of Bids: 2

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

**Change Order # 4**, 12/10/07, was approved for \$37,518 to provide required additional rock and soil drilling. **Change Order # 7**, 2/21/08, was approved for an increase of \$53,981 to provide temporary building heat until the new deaerator and surge tank are installed. **Change Order # 14**, 7/23/08, was approved for an increase of \$28,219 to change the boiler water piping from ductile iron to schedule 80 black steel pipe. **Change Order # 17**, 7/10/08, was approved for an increase of \$26,270 to install new platform in the northwest corner of the CUP addition to provide greater accessibility and safer access to valves and equipment. **Change Order # 21**, 7/23/08, was approved for an increase of \$45,585 to provide for additional costs resulting from the late delivery of the boilers provided by the University and resulting complications which impacted items on the critical path. Liquidated damages collected from the boiler manufacturer will be applied to the compensation associated with this change order. **Change Order # 30**, 8/11/08, was approved for an increase of \$28,249 to relocate the new condensate pump from the BBSRB tunnel to the College of Pharmacy tunnel. Provide valving to allow the pump to pump in either direction. This change allows for more versatile operation of the campus steam system. **Change Order # 34**, 10/30/08, was approved for an increase of \$52,257 to provide and install pipe insulation for the new boiler feed water piping and the boiler blow-down piping. **Change Order # 35**, 11/3/08, was approved for an increase of \$34,693 to provide and install two wye strainers and to install and connect the stack gas analyzers and Horiba panels. Because the boilers were a direct purchase by the University this scope of work was not originally included in the contract documents. **Change Order # 37**, 2/2/09 was approved for \$26,661 to revise the Civil Site plan to provide greater security and improve the utilization of the grounds north of the new construction.

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CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

**Convert Hunt Morgan Space to Class Lab**

Project Number: 2299.10

Scope: \$2,969,900

**Project Description:**

This project will convert approximately 6,000 Net Square Feet of space on the ground floor of the Thomas Hunt Morgan Building into class lab teaching space. The project will include wet bench casework, flooring, ceilings, lighting, and Smart Classroom technology. The work will also include modifications to the plumbing, electrical and HVAC systems. Approximately 1800 Net Square Feet of space on the second floor will renovated for two research faculty. There will be two research laboratories, each at 765 square feet and each with a 135 square foot office.

**Consultant:** Omni Architects

Contract # A091100

Total Amendments to Date: 1

**Describe all amendments :**

Original Contract Amount: \$295,000

Cumulative Amendment Amount: \$13,630

Revised Contract Amount: \$308,630

**Amendment # 1, 4/14/09 an increase of \$13,630 was approved for additional design services as required to modify the bid documents to delete the second floor laboratory design, prepare new bid documents and prepare an add alternate bid for laboratory 215.**

**Contractor:** Denham-Blythe Inc.

Contract # 4500031786

Total Change Orders to Date: 7

Low Bid: \$1,679,638

High Bid: \$2,860,000

Number of Bids: 9

Original Contract Amount: \$1,679,638

Cumulative Change Order Amount: \$127,208

Revised Contract Amount: \$1,806,846

Contract Percent Complete: 55%

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

**Change Order # 1, 5/2/09, was approved for an increase of \$44,084 to increase the allowance for the laboratory casework. The original allowance was based on a preliminary estimate by the architects and the final quote was based on the actual bid documents. Change Order # 2, 5/12/09, was approved for an increase of \$51,128 to provide for replacement and re-routing of underground electric service due to concealed conditions. Change Order # 4, 5/18/09, was approved for an increase of \$28,078 to provide temporary repair of underslab electrical, fire alarm, and other building systems that were not documented. This change order also provided for ground water pumping during excavation as well as new backfill material and reinforcement. These issues were concealed conditions not known by maintenance personnel or shown on the original drawings.**



**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Expand Ophthalmology Clinic - Hospital**

Project Number: 2301.00

Scope: \$4,185,000

**Project Description:**

This project consists of renovating approximately 12,500 square feet of space on the third floor of the Kentucky Clinic, some of which is currently occupied by Neurosurgery, in order to expand the existing Ophthalmology Clinic (also located on the third floor of the Kentucky Clinic) into the vacated space. It also includes refurbishing the existing Ophthalmology Clinic space. This project will necessitate phased construction activities to include expansion into the additional space as well as a full refurbishment of the existing Ophthalmology Clinic.

**Consultant:** JRA Architects

Contract # A081140

Total Amendments to Date:

**Describe all amendments :**

**No amendments this quarter.**

Original Contract Amount:	\$249,078
Cumulative Amendment Amount:	
Revised Contract Amount:	\$249,078

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

Contract #

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

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

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

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

**Expand & Upgrade Livestock Disease Diagnostic Lab**

Project Number: 2234.00

Scope: \$28,500,000

**Project Description:**

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

**Consultant:** CMW, Inc.

Contract # A061100

Total Amendments to Date: 3

Original Contract Amount: \$648,000

Cumulative Amendment Amount: \$1,846,800

Revised Contract Amount: \$2,494,800

**Describe all amendments :**

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

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

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

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

Contract # 4500026910

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

Original Contract Amount: \$2,011,780

Cumulative Change Order Amount:

Revised Contract Amount: \$2,011,780

Contract Percent Complete: 12%

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

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

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## CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

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### Expand/Renovate Kentucky Clinic - Outpatient Clinic

Project Number: 2298.10

**Project Description:**

Scope: \$2,930,000

This project consists of renovating approximately 13,300 square feet of existing space on the first floor of the Kentucky Clinic, which is to be vacated by the University Health Services (Student Health Facility) to create a new outpatient clinic for the Kentucky Neuroscience Institute (Neurology, Neurosurgery and Physical Medicine & Rehabilitation clinical services). This project includes renovation of part of the space and refurbishment of all of the space. After completion of the construction work associated with this renovation, KNI departments will move into this space.

**Consultant:** JRA Architects

Contract # A081130

Total Amendments to Date:

**Describe all amendments :**

**No amendments this quarter.**

Original Contract Amount:	\$235,686
Cumulative Amendment Amount:	
Revised Contract Amount:	\$235,686

**Contractor:** Messer Construction Co.

Contract # 4500029550

Total Change Orders to Date: 25

Low Bid: \$2,055,000

High Bid: \$2,578,500

Number of Bids: 7

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

**Change Order # 4**, 1/9/09 was approved for \$27,734 to replace the existing (2) runs of double wall ductwork with new high velocity single wall ductwork. Replacement of the ductwork is necessary due to a leak in the existing ductwork. This will provide for proper airflows and balancing. **No change orders greater than \$25,000 this quarter.**

Original Contract Amount:	\$2,055,000
Cumulative Change Order Amount:	\$74,013
Revised Contract Amount:	\$2,129,013
Contract Percent Complete:	99%

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Digital Village Building 2**

Project Number: 2297.10

Scope: \$18,169,725

**Project Description:**

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

**Consultant:** JRA Architects

Contract # A091110

Total Amendments to Date:

**Describe all amendments :**

**No amendments this quarter.**

Original Contract Amount: \$1,409,934

Cumulative Amendment Amount:

Revised Contract Amount: \$1,409,934

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

Contract # 4500031914

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

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

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

Original Contract Amount: \$984,400

Cumulative Change Order Amount:

Revised Contract Amount: \$984,400

Contract Percent Complete:

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**Renovate Central Computing Facility**

Project Number: 2304.00

Scope: \$845,000

**Project Description:**

McVey Hall is the current facility housing the central computing operations. It is imperative that some facility issues be addressed for UK Information Technology (UKIT) to continue to provide reliable service for mission critical IT systems. The power and air-conditioning problems in McVey Hall require immediate short-term investments to ensure sufficient cooling and power distribution for the next few years. This project will include reconfiguration and upgrading of existing cooling units, replacing of UPS units that are expiring and installation of back-up electricity and cooling equipment.

**Consultant:** CMTA Engineers

Contract # A091020P #1

Total Amendments to Date:

**Describe all amendments :**

**No amendments this quarter.**

Original Contract Amount: \$48,500

Cumulative Amendment Amount:

Revised Contract Amount: \$48,500

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

Contract #

Total Change Orders to Date:

Low Bid:

High Bid:

Number of Bids:

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

Original Contract Amount:

Cumulative Change Order Amount:

Revised Contract Amount:

Contract Percent Complete:

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Renovate Central Vivarium**

Project Number: 2261.00

Scope: \$1,245,827

**Project Description:**

The project will involve the purchase of a new Primate Cage Wash unit to be installed in a renovated cage wash area within the existing DLAR facility.

**Consultant:** BHDP

Contract # A071000C

Total Amendments to Date:

**Describe all amendments :**

**No amendments this quarter.**

Original Contract Amount:	\$43,500
Cumulative Amendment Amount:	
Revised Contract Amount:	\$43,500

**Contractor:** Denham Blythe Company, Inc.

\*Price Contract

Contract # 4500024638

Total Change Orders to Date: 20

Low Bid:

High Bid:

Number of Bids:

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

**Change Order # 14**, 12/23/08, was approved for an increase of \$35,643 to replace existing underground sanitary line to serve the new cage wash unit. The existing line was found to be deteriorated and unusable. **No change orders greater than \$25,000 this quarter.**

Original Contract Amount:	\$687,001
Cumulative Change Order Amount:	\$89,334
Revised Contract Amount:	\$776,335
Contract Percent Complete:	100%

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Renovate Koinonia House (aka Schmidt Vocal Art Center)**

Project Number: 2295.00

Scope: \$1,127,000

**Project Description:**

The project continues the renovation of the Vocal Arts Center, which houses the UK Opera Program. The facility was acquired by the University in 1991. At that time, some of the first floor was renovated, but the second floor of the building remained shelled space. The current project includes upgrades to the electrical and mechanical systems, installation of a sprinkler system, a new stairwell, and an elevator. The project also begins fitting out the second floor to address needs created by the recent growth of the Opera Program. The second floor will eventually include rehearsal rooms, teaching studios, classrooms, practice rooms, a dance studio, and office space for staff and graduate assistants. Following this initial phase, additional shell space remains for a later project or phase.

**Consultant:** Ross Tarrant Architects

Contract # A091090

Total Amendments to Date:

**Describe all amendments :**

**No amendments this quarter.**

Original Contract Amount:	\$98,000
Cumulative Amendment Amount:	
Revised Contract Amount:	\$98,000

**Contractor:** Churchill-McGee, LLC

Contract # 4500033010

Total Change Orders to Date:

Low Bid: \$887,300

High Bid: \$1,123,750

Number of Bids: 6

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

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

Original Contract Amount:	\$887,300
Cumulative Change Order Amount:	
Revised Contract Amount:	\$887,300
Contract Percent Complete:	

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Renovate Wildcat Lodge**

Project Number: 2291.10

Scope: \$1,500,000

**Project Description:**

Wildcat Lodge is an approximately 16,000 sf. facility used for student housing on the campus of the University of Kentucky. Its residents are primarily from the University's basketball team, thus the focus of the design is on displaying the rich history of UK basketball while providing a safe, up-to-date home for the students. In addition, there are some historically significant aspects to the building that will be maintained and highlighted. This renovation will consist of replacing flooring, wall materials, lighting, handrails and door hardware throughout the facility. **Project has been cancelled at this time and further review of Wildcat Lodge needs and/or replacement will take place in the future.**

**Consultant:** Moody Nolan Inc

Contract # A091000T

Total Amendments to Date:

**Describe all amendments :**

**No amendments this quarter.**

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

**Contractor:** Jarboe Construction, Inc.

Contract # 4500031824

Total Change Orders to Date: 1

Low Bid: \$715,000

High Bid: \$1,147,000

Number of Bids: 13

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

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

Original Contract Amount:	\$715,000
Cumulative Change Order Amount:	-\$694,705
Revised Contract Amount:	\$20,295
Contract Percent Complete:	100%

**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Renovate/Expand the Center For Applied Energy Research**

Project Number: 2286.10

**Project Description:**

Scope: \$2,000,000

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

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

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

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

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

**Consultant:** Biagi, Chance, Cummins, London & Titzer

Contract # A091080

Total Amendments to Date:

**Describe all amendments :**

**No amendments this quarter.**

Original Contract Amount:	\$200,000
Cumulative Amendment Amount:	
Revised Contract Amount:	\$200,000

**Contractor:** Denham Blythe, Co.

Contract # 4500033050

Total Change Orders to Date:

Low Bid: \$1,156,991

High Bid: \$1,544,000

Number of Bids: 6

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

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

Original Contract Amount:	\$1,156,991
Cumulative Change Order Amount:	
Revised Contract Amount:	\$1,156,991
Contract Percent Complete:	



CAPITAL CONSTRUCTION QUARTERLY ACTIVITY

**Repair, Upgrade, Improve Building Systems - (Elevators Upgrade for KY Clinic)**

Project Number: 2296.10

**Project Description:**

Scope: \$1,000,000

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

**Consultant:** N/A

Contract #

Original Contract Amount:

Total Amendments to Date:

Cumulative Amendment Amount:

**Describe all amendments :**

Revised Contract Amount:

**Contractor:** No contract awarded to date.

Contract #

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

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

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

**Replace Emergency Generators & Fire Pump - UK Good Samaritan Hospital**

Project Number: 2277.30

**Project Description:**

Scope: \$1,737,600

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

**Consultant:** CMW, Inc.

Contract # A081150

Original Contract Amount:

\$140,000

Total Amendments to Date: 1

Cumulative Amendment Amount:

\$8,200

**Describe all amendments :**

Revised Contract Amount:

\$148,200

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

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

Contract #

Original Contract Amount:

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount:

High Bid:

Contract Percent Complete:

Number of Bids:

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

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Replace Steam and Condensate Pipe - Farm Road**

Project Number: 2248.10

**Project Description:**

Scope: \$1,675,000

Replace the existing, direct buried steam piping and vaults from the Kentucky Tobacco Research and Development Center to the Gluck Equine Research Center. The new pipe is to be routed south of Farm road and outside the ARS Agriculture Project (FAPRL) leased/construction area. The location of this future ARS connection will be coordinated with that project.

**Consultant:** Staggs & Fisher

Contract # A081160

Original Contract Amount: \$210,000

Total Amendments to Date:

Cumulative Amendment Amount:

**Describe all amendments :**

Revised Contract Amount: \$210,000

**No amendments this quarter.**

**Contractor:** Lagco, Inc.

Contract # 4500033011

Original Contract Amount: \$899,900

Total Change Orders to Date: 1

Cumulative Change Order Amount: \$63,305

Low Bid:

Revised Contract Amount: \$963,205

High Bid:

Contract Percent Complete: 15%

Number of Bids:

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

**Change Order # 1, 6/24/09, was approved for an increase of \$63,305 to provide and install a portable steam boiler for the Gluck Equine Research Building. This was necessary because Gluck requires a minimum amount of steam throughout the year to operate laboratory cage washers as well as autoclaves.**

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**Student Housing - Supporting Utility Plant Upgrades**

Project Number: 2153.30

**Project Description:**

Scope: \$1,275,000

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

**Consultant:** AM Kinney

Contract # A041000GG

Original Contract Amount: \$26,315

Total Amendments to Date:

Cumulative Amendment Amount:

**Describe all amendments :**

Revised Contract Amount: \$26,315

**No amendments this quarter.**

**Contractor:** English Boiler & Tube Inc.

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

Contract # 4500008298

Original Contract Amount: \$1,147,748

Total Change Orders to Date:

Cumulative Change Order Amount:

Low Bid:

Revised Contract Amount: \$1,147,748

High Bid:

Contract Percent Complete: 99%

Number of Bids:

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

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

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**CAPITAL CONSTRUCTION QUARTERLY ACTIVITY**

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**Upgrade Cancer Center Radiologic Facility - Hospital**

Project Number: 2252.00

Scope: \$6,000,000

**Project Description:**

The University of Kentucky Hospital needs to significantly upgrade and improve the current clinical space in the Lower Level of University Hospital. This will include therapy rooms, clinic exam areas, infusion space, office, education, and support space for the clinical practice. Given that the clinic will need to continue operations during the project, it is anticipated that areas will be taken down, or phased, during the construction. Surge space to allow the phasing has been identified. The addition will be located along the west side of the Markey Cancer Center/Ben F. Roach Cancer Care Facility, while the renovation will occur in existing research space on the on the Lower Level of the same building. Development of Radiation Medicine clinical areas is essential to growth of cancer programs supportive of the strategic plans for UK HealthCare. Current facilities are split between the Lower Level of the hospital and the Roach Building. Several initial facility studies have been completed that identified expansion and renovation of the areas of the Lower Level of the Roach Building to respond to immediate needs and is consistent with the Ambulatory Master Plan.

**Consultant:** BSA Lifestructures

Contract # AO71130

Total Amendments to Date:

**Describe all amendments :**

**No amendments this quarter.**

Original Contract Amount: \$535,000

Cumulative Amendment Amount:

Revised Contract Amount: \$535,000

**Contractor:** Woodford Builders, Inc.

Contract # 4500024505

Total Change Orders to Date: 35

Low Bid: \$4,935,000

High Bid: \$5,190,000

Number of Bids: 3

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

**Change Order # 37, 6/15/09, was approved for a decrease of \$41,459 due to a change in landscaping scope.**