

## AGENDA

**Meeting of the Board of Trustees  
University of Kentucky  
1:00 P.M.  
October 10, 2006  
18 th Floor Patterson Office Tower**

### **Roll Call**

### **Approval of Minutes - (Consent)**

Minutes – September 12, 2006

### **President's Report and Action Items**

- PR 1 President's Report to the Trustees  
College of Communications and Information Studies – Dean David Johnson
- PR 2 Personnel Actions (Consent)
- PR 3 2006-09 Strategic Plan
- PR 4 Administrative Reorganization
- PR 5 Appointment to Board of Directors of the University of Kentucky Mining Engineering Foundation, Inc.
- PR 6 Waiver of Part X of the Governing Regulations Pertaining to the Employment of Relatives in the Case of Mala Subbaswamy

### **Academic Affairs Committee Report**

### **Finance Committee Report**

- FCR 1 Barnstable-Brown Party Diamond Derby, Inc. Pledge (Consent)
- FCR 2 CompEd, Inc. Pledge (Consent)
- FCR 3 Kentucky Medical Services Foundation Pledge (Consent)
- FCR 4 Estate of Janet H. Koller Gift to Equine Bioinformatics (Consent)
- FCR 5 Estate of Janet H. Koller Gift to Equine Infectious Disease Endowment (Consent)
- FCR 6 Estate of Ruth J. Southam Gift (Consent)
- FCR 7 Gifts to the William T. Young Library Endowment (Consent)
- FCR 8 Joseph W. Craft III Gift and Pledge (Consent)
- FCR 9 Anonymous Gift and Pledge of \$1 million to the UK Athletic Association (Consent)
- FCR 10 Anonymous Gift and Pledge of \$425,000 to the UK Athletic Association (Consent)
- FCR 11 Proposed Amendments to Government Regulation and Administrative

- Regulation: Capital Project Approval  
FCR 12 Authorization to Convey 1.7 Acres to the Center for Rural Development, Inc.  
FCR 13 Renovate Third Floor of the Little Library

### **Human Resources Committee Report**

- HRCR 1 Proposed Amendment to Governing Regulation: Smoke-Free Policy  
HRCR 2 Changes to the UK Retirement Administrative Regulation

### **Student Affairs Committee Report**

### **University Hospital Committee Report**

### **Other Business**

Athletic Association Board of Directors Report – Dermontti Dawson

### **Adjourn**

Office of the President  
October 10, 2006

1. Record First-year Enrollment Attends UK in 2006-07 Academic Year

University of Kentucky President Lee T. Todd Jr. said the momentum generated by UK's push for Top 20 status and an increased admissions focus resulted in the largest, most diverse first-year class in the university's 141-year history. The entering class of 4,192 is an increase of 348 students over last year's total of 3,844. The previous high for a first-year class was 3,961 in 2004. Overall enrollment is expected to be about 27,000, an increase of more than 300 over last year. UK also is reporting a 96 percent increase in first-year African-American student enrollment, with 296 students -- up from 151 last year. The previous record was 256 in 2004-05. Enrollment of Hispanic first-year students jumped 54 percent from 37 last year to 57 this year. Todd said an increased focus on -- and a more integrated approach to -- admissions and recruitment were also key factors in the enrollment growth. Eight admissions counselors were added last year, and the university invested an additional \$500,000 in diversity-related scholarships, one of a number of initiatives aimed at creating a more diverse campus environment.

2. UK College of Medicine Climbs in NIH Ranking for Research Funding

The UK College of Medicine now ranks 30th among public medical schools for research funding received from the National Institutes of Health (NIH), according to rankings for the 2005 fiscal year. This is a move up from 31st last year and 35th two years ago. Jay Perman, dean of the college and vice president for clinical affairs, said the ranking resulted from diligent work by college faculty and reflected the college's commitment to UK's pursuit of Top 20 status. The UK College of Medicine is ranked 57th among 123 public and private schools receiving NIH funding. In 2005, NIH funding to UK totaled nearly \$63 million. Current faculty successes and numerous new faculty recruits are expected to affect the numbers positively in coming years.

3. Church Committee 'Reunion' Brings Former Vice President, Senator to UK

Members of a 1970s congressional special committee that investigated U.S. intelligence agencies came together at UK in late September for a reunion that included their reflections on the post-9/11 needs for intelligence gathering. Former U.S. Senator and Vice President Walter F. Mondale, former U.S. Senator Walter "Dee" Huddleston of Kentucky, and Committee Chief Counsel Frederick A. O. Schwarz Jr. discussed the panel, more commonly known as the Church Committee, and its investigation of U.S. intelligence agencies, their operations, and their alleged abuses of power in a climate of fear that surrounded the Cold War society. The UK forum was the brainchild of Tracy

Campbell, co-director of UK Libraries' Wendell H. Ford Public Policy Research Center and professor of history in the UK Department of History.

4. Appalachian Math, Science Program Issues Third Round of Grants to Schools

UK's highly successful Appalachian Mathematics and Science Partnership (AMSP) issued a third round of Partnership Enhancement Programs (PEP) to elementary, middle and high schools in 20 Appalachian counties in Kentucky, Tennessee and Virginia. The new enhancement projects total \$564,638 and are part of the largest National Science Foundation grant ever received by UK – more than \$22 million over five years – all aimed at driving up the math and science skills of Appalachian students. Recent surveys of district superintendents and supervisors indicated improvement in both teacher and student performance as well as improved curricular alignment with state content standards as a result of their PEPs. PEP grants are a part of an AMSP-integrated initiative of nine institutions of higher education, 51 school districts, and the Kentucky Science and Technology Corporation. UK's higher education partners are Morehead State University, Eastern Kentucky University, Pikeville College, Kentucky State University, Union College, Somerset Community College, University of Virginia's College at Wise, and University of Tennessee at Knoxville. The new PEP awards are aimed at enhancing the math and science skills of Appalachian students through teacher partnerships, seminars, and other methods of focused learning for K-12 students. UK also created the Partnership Institute for Mathematics and Science Reform (PIMSR) program, which partners the UK College of Education and the UK College of Arts and Sciences. PIMSR gives a more permanent UK administrative structure to the Appalachian Mathematics and Science Partnership and is expected to build on the successes of the NSF-funded program.

5. Tragic Crash of Comair 5191 Touches UK Community

The UK community suffered a number of losses in the recent crash of Comair Flight 5191 at Lexington's Blue Grass Airport. Among the victims was UK's longtime director of Cooperative Extension, Larry Turner. Others include former employee Patrick Smith; UK Alumni Association members Homer Combs, Kay Morris, and Leslie Morris II; former UK baseball player Jonathan Hooker and his newlywed wife UK student Scarlett Parsley Hooker; and UK alumni Fenton Dawson, C. W. Fortner, W. Bart Frederick, Charles Lykins, Tim Snoddy, and Betty Young. Turner was also a UK alumnus.

6. Design, Engineering Researchers Work on Technology to See Through Walls

Researchers at UK's Center for Historic Architecture and Preservation (CHAP) in the College of Design and the College of Engineering are developing technology to allow preservationists and conservationists to see through walls. Recently the CHAP program received a substantial grant from the National Park Service's National Center for Preservation Training and Technology to study non-invasive technologies, such as infrared thermography, and interpret the best uses for resources and possible alterations

for using these technologies in various ways in historic preservation. Under the guidance of Michael Spencer, an assistant professor of historic preservation, and Lynn Penn, a professor of chemical engineering, UK is making groundbreaking advancements in the field of materials conservation in historic preservation. Infrared thermography is a non-invasive evaluation technique that is making it possible for preservationists and conservationists to see through walls. Thermography, the use of an infrared imaging and measurement camera to “see” and “measure” thermal energy emitted from an object, utilizes unique heat signatures that are found in all materials but are usually undetectable to the human eye.

7. Seismic Borehole Promises Major Research Results along New Madrid Fault

Drilling and construction have begun in Fulton County, Ky., on the deepest borehole for housing earthquake-monitoring instruments east of the Rocky Mountains – the 2,000-foot-deep Central U.S. Seismic Observatory. The site is near the most active part of the New Madrid seismic zone, providing the maximum amount of data from earthquakes in the zone. Scientific instruments placed in the new seismic hole will allow rigorous evaluation of the effects of earthquakes on bedrock and soil and the resulting ground motions in the region. The project is being overseen by Edward W. Woolery of UK’s Department of Earth and Environmental Sciences and Zhenming Wang of the Kentucky Geological Survey (KGS). When the four-inch (inside diameter) wide, steel-encased borehole is completed and equipped with instruments, it will serve as a permanent observatory for earthquake studies as well as research for earthquake-resistant construction in the central U.S. The borehole is expected to be completed by late October. Five partners involved in the project have committed a total of \$295,652 with a substantial amount coming from the United States Department of Energy through the Kentucky Research Consortium for Energy and Environment.

8. Center Finds Kentucky Students Are Served Healthier Food Choices

As Kentucky kids head back to school this fall, parents may be happy to know that their kids will be offered healthier food choices in school cafeterias. In fact, in a recent study conducted by the Center for Science in the Public Interest (CSPI), a non-profit consumer organization that focuses on issues relating to food and the food industry, Kentucky ranked #1 on the State School Foods Report Card with a grade of A-. Twelve states received a grade of B, 15 states received a C or D, and 23 states received a failing grade. The CSPI rated wellness policies for all 50 states and the District of Columbia. Each policy was graded based on five key considerations: beverage nutrition standards; food nutrition standards; grade level(s) to which policies apply; time during the school day to which policies apply; and location(s) on campus to which policies apply.

9. Work-life Survey: Employees Satisfied But Concerned About Wages, Burnout

Results of UK’s first-ever work-life survey among faculty and staff were reported to the campus community September 12. Results show that while a clear majority of

employees are pleased with their jobs, many of them also have deep concerns about burnout and wages as well as balancing family and work life. The survey, taken over several months during the last academic year, is the first of its kind among Kentucky universities and UK's benchmarks and is one of the few done in higher education nationally. President Todd said the university would move quickly to implement some immediate action items, while moving forward with action teams to recommend how best to enact longer term, and more expensive, initiatives.

10. 'Turning the Corner Series' Brings Contemporary Musicians to Singletary Center

The Singletary Center for the Arts announced its 2006-07 Turning the Corner Series. Designed to respond to the musical interests of the UK students, the series continues to draw the best in contemporary music to the Singletary Center's stage for reasonable prices that a student can afford. The series opened with a concert presented by two members of Grammy award-winning band Wilco, including UK alum Glenn Kotche. Other acts scheduled include the East Village Opera Company, The North Mississippi Allstars, Jars of Clay, and actor Gareth Armstrong who will present "Shylock."

11. Journalist Nick Clooney Brings Darfur Documentary to UK for Showing, Speech

Journalist Nick Clooney, a member of the Kentucky Journalism Hall of Fame at UK, presented "In Search of Darfur" at the William T. Young Library Auditorium on September 18. "In Search of Darfur" chronicles the April 2006 trip made by Clooney and his son, actor/director George Clooney, to Darfuri refugee camps in Chad. The Darfur region of Sudan continues to be the scene of brutalities against civilians by the Janjaweed militia operating at the behest of the Sudanese government. Clooney spoke about the situation in Darfur, what he and his son observed, and what role Americans can play in providing assistance. Clooney's visit was sponsored by the UK and Eastern Kentucky University student chapters of the Society of Professional Journalists, the Bluegrass professional chapter of SPJ, and the UK School of Journalism and Telecommunications.

12. UK Libraries Brings Leaders to Campus to Show Its Film-to-Digital Process

UK Libraries Preservation and Digital Programs welcomed 25 representatives from other institutions, as well as leaders from both the National Endowment for the Humanities and Library of Congress to campus in early September for "meta | morphosis: a university of kentucky film-to-digital institute." The institute educated others on UK's digitization process. UK is the only institution selected for the National Digital Newspaper Program doing their digitization in-house.

13. Law Professor's Research Is Cited in *New York Times* Editorial

A *New York Times* editorial published in mid-September cited UK College of Law associate professor Lori Ringhand's research on judicial activism. Conservatives

often portray more liberal justices as activists, but until Ringhand's study, there was little empirical evidence supporting or rebutting this assertion. Ringhand used Supreme Court voting records to see just how often individual justices invalidate legislation and overturn precedent, two actions that often are identified as "activist." The research found that, although their causes varied, conservative justices were more likely to take "activist" roles than liberals when reviewing federal legislation, and liberal justices were more likely to be activist when reviewing state legislation. While the results are not surprising to those who follow the Court closely, Ringhand says, the evidence is now concrete rather than rhetorical.

14. Art Museum Opens Three-month Exhibition of 19th Century French Landscapes

UK Art Museum opened an exhibition of 19th century French landscapes called "A Romance with the Landscape: Realism to Impressionism" in early September. The exhibition includes paintings and works on paper from such artists ranging from Charles François Daubigny to Claude Monet. A related exhibition, "American Impressionism," will run concurrently and features paintings by artists such as John Singer Sargent, Julien Alden Weir, Willard Metcalf, and Wilder Darling, a regional Impressionist from Ohio. The exhibition was organized by Janie Welker, UK Art Museum's curator of exhibitions and collections, and Linda Stratford, an art historian and Lilly Scholar at Asbury College. It closes December 10.

15. Nunn Center for Oral History Launches Kentucky Horse Industry History Project

The UK Libraries' Louie B. Nunn Center for Oral History, in cooperation with the Kentucky Historical Society, is initiating an ambitious project to document the history of the Kentucky horse industry. With start-up funds provided by the Kentucky Equine Education Project and UK, the Nunn Center has begun collecting the first-hand experiences and stories of people who work with horses in Kentucky.

16. House Calls Program Welcomes Newest Members of UK's Community

In early September, every new UK student received a residence-hall visit from a volunteer of the new House Calls program. Faculty or staff person welcomed the newest members of the campus community and provided pertinent information, such as where to find academic support, how to get involved in campus life, where to find key services, and how to be successful in the college classroom. The new program, adopted by the UK Office of Residence Life, was scheduled during "Get Smart" week, which is designed to promote academic success among undergraduate students.

17. Loyola University Chicago Professor to Speak on Girls' and Boys' Aggression

James Garbarino of Loyola University Chicago will present "The Origins of Aggression in Girls and Boys" as the 4<sup>th</sup> Annual Irma Sarett Rosenstein Lecture on Early Childhood Interventions at 1 p.m. Wednesday, October 11, in the William T. Young Library Auditorium. Garbarino holds the Maude C. Clarke Chair in Humanistic

Psychology at Loyola, and he has served as a consultant or advisor to a wide range of organizations, including the National Committee to Prevent Child Abuse, the National Science Foundation, the U.S. Advisory Board on Child Abuse and Neglect, and the FBI. A light lunch will precede the lecture, which is free and open to the public. The UK College of Social Work is sponsoring the event.

18. UK Air Force ROTC Unit Chosen for National Advertising Campaign

The UK Air Force ROTC was chosen for a national Air Force ROTC advertising campaign. The UK program will be featured in national print advertisements as well as in video interviews for the U.S. Air Force ROTC Web site. Production of the ads took place on campus in mid-September. The print advertisements and video interviews will depict not only student cadets participating in ROTC-related activities, but also their lives as college students. The ads will be used to recruit high school students into the Air Force ROTC program. There are currently about 75 students enrolled in the UK Air Force ROTC program. The program offers college scholarships and guarantees a job after graduation. Graduates of the program must serve four years of active duty with the U.S. Air Force.

19. UK Participates in Citywide Aluminum Recycling Effort

The university joined with the Lexington-Fayette Urban County Government, Fayette County Public Schools, and other members of the Bluegrass Partnership for a Green Community to compete in the 2006 U.S. Conference of Mayors City Recycling Challenge, September 15-30. The contest challenged Lexingtonians to collect and recycle aluminum beverage cans in competition against other cities of similar size nationwide. The awards will be announced November 15.

20. Art Department's Series brings Artist and Art Historian to Campus for Lectures

The Department of Art 2006-07 Visiting Artists and Scholars Series presented free public lectures by artist and educator Renée Shaw and art historian David Ehrenpreis in early September. Shaw is an award-winning digital video artist that has been recognized at various film festivals. Ehrenpreis is director of the Institute for Visual Studies at James Madison University and is known internationally for his research on 19<sup>th</sup> and 20<sup>th</sup> Century German visual culture.

21. Fiber Artist Bob Adams Visits UK to Lecture on Quilting

Fiber artist Bob Adams came to UK in late September as the UK College of Fine Arts' latest artist/speaker in this year's Visiting Artists and Scholars Series. Adams merged his previous art skills with quilting after taking a class at the 1998 International Quilt Festival that taught him how to use fabric dyes as paint and cotton as a canvas. His work has been included in three different Quilt National exhibitions, a prestigious fiber art event held at Dairy Barn Arts Center in Ohio. Adams has presented numerous workshops at such nationally recognized programs as Ohio's Nancy Crow Timber Barn



and New York's Quilting by the Lake. Among his future scheduled workshops are two programs located in England, Committed to Cloth Summer School and Festival of Quilts.

22. College of Law Inducts Three into its Hall of Fame

The UK College of Law inducted three people in mid-September into its Hall of Fame. The three inductees are retired Kentucky Court of Appeals Judge Julia Kurtz Tackett, who was the state's first female prosecutor, the first woman to serve as judge in the Eastern District of Kentucky, and the first woman to serve as president of the Kentucky Bar Association Young Lawyers Section; Pierce W. Hamblin, a distinguished attorney sought after for his skills as a legal mediator; and G. Chad Perry, who for 50 years served the Paintsville community both as an attorney and as a public official, winning recognition as "Outstanding Private Citizen" by the Eastern Kentucky Leadership Conference in 1999.

23. Architecture's Karen Lewis Creates Large Wall from Ale-8-One Bottles

Karen Lewis, Architecture, finished work on a mobile 7-foot tall, 16-foot wide wall with more than 750 Ale-8-One bottles outfitted with various colored fiber optic lighting that is sound sensitive to its surroundings for the Winchester soft drink company. The piece was part of Ale-8-One's 80th anniversary festivities. The wall can be displayed at the bottling company's factory for tours to view and gives the company a unique traveling exhibit for trade shows and possibly art galleries and other cultural events.

24. Red State Ramblers Perform as Part of 'Appalachia in the Bluegrass' Series

The John Jacob Niles Center for American Music presented a free public concert by the Red State Ramblers as part of a series of concerts titled, "Appalachia in the Bluegrass," which explores traditional music in the Appalachian region. The Red State Ramblers, known for having an authentic old-time string band sound, performed in early September in the Gallery of the Niles Center located in the Lucille Caudill Little Fine Arts Library.

25. Student Awards and Achievements

Georganne Way was named the Southeastern Conference Female Cross Country Athlete of the Week in early September. Way posted a personal-best two-mile time of 11:15.4 en route to a first-place finish at the Eastern Kentucky Invitational. She picked up the first victory of her collegiate career in leading four UK runners that finished in the meet's top five. Her first-place finish helped UK soundly defeat Eastern Kentucky and Marshall.

Linda Wermeling, Social Work, successfully defended her dissertation August 17. She is the 16<sup>th</sup> Ph.D. graduate from the college.

## 26. Faculty and Staff Awards and Achievements

Leslie Anderson, Animal and Food Sciences, received \$164,000 from the Kentucky Beef Network for the integrated resource management program.

Terry Birdwhistell, UK Libraries' Special Collections and Digital Programs, lent his expertise to the "Kentucky Conference on Oral History: Accomplished Past, Challenging Future," held in honor of the Kentucky Oral History Commission's 30th anniversary in early September. Birdwhistell participated in panel discussions on issues facing oral history in Kentucky and abroad. He was also honored as a pioneer in the field with five other peers at the event's evening session.

Czarena Crofcheck, Biosystems and Agricultural Engineering, received \$129,000 from the Kentucky Office of Energy Policy for development of heterogeneous catalysts for improved biodiesel production.

Richard Fording, Political Science, received the 2006 Policy Studies Best Paper Award for the best paper on public policy from the American Political Science Association in Philadelphia. The paper was chosen from more than 100 policy papers presented at the discipline's largest annual meeting. The paper, "The Color of Devolution: The Politics of Local Punishment in the New World of Welfare," was co-authored with Sanford Schram of Bryn Mawr College and Joe Soss of the University of Wisconsin at Madison.

Bernhard Hennig, Animal and Food Sciences, received \$2,107,000 from the National Institute of Environmental Health Sciences for Superfund research involving the interaction of nutrients with the toxic effects of specific environmental contaminants.

Dewayne Ingram, Horticulture, received \$980,000 from the Kentucky Horticulture Council for infrastructure support for growth of Kentucky's horticulture industries.

Larry Jones and Will Snell, Agricultural Economics, and Steve Isaacs, Extension Community and Economic Development, received grants totaling \$144,000 from the Kentucky Agricultural Development Board to conduct the Kentucky Agricultural Leadership Program.

Jaime Nebbitt, an education/marketing assistant with the Clinical Research Organization and co-chair of the President's Commission on Diversity, was recently elected parliamentarian of the John D. O'Bryant Think Tank Caucus of National Conference on Race and Equality (NCORE). The NCORE series is recognized as the most comprehensive national forum on issues of race and ethnicity in American higher education. The conference focuses on the complex task of creating and sustaining comprehensive institutional change designed to improve racial and ethnic relations on the nation's campuses and to expand opportunities for educational access and success by culturally diverse, traditionally underrepresented populations.

Michael Reed, Agricultural Economics, received \$1 million from the U.S. Agency for International Development for the University of Kentucky Partnership Program in Indonesia.

Giuliang Tang, Plant and Soil Sciences, received \$167,000 from the U.S. Department of Agriculture Cooperative State Research, Education and Extension Service for developing microRNA vectors for gene suppression in agricultural plants.

Bruce Webb, Entomology, received \$123,000 from ParaTechs Corporation for research on enhancement of the baculovirus expression vector system.

# PR 2

Office of the President  
October 10, 2006

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 \_\_\_\_\_

**PRESIDENT**  
**AND**  
**EXECUTIVE VICE PRESIDENT**  
**FOR**  
**FINANCE AND ADMINISTRATION**

**I. BOARD ACTION**

**A. RETIREMENTS**

Executive Vice President for Finance and Administration

Suttles, Philip W., Carpenter, Employee Benefits, after 25 years, 4 months consecutive service, under AR II-1.6-1, Section III.B, effective 8/31/06.

Vickers, Thomas, Groundsman, Employee Benefits, after 40 years, 7 months of consecutive service, under AR II-1.6-1, Section III.B, effective 8/31/06.

**B. EARLY RETIREMENTS**

Vice President for Facilities Management

Lykins, Jerry W., Administrative Staff Officer III, Physical Plant Department, after 33 years, 11 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 9/30/06.

Reesor, William T., Physical Plant Manager III, Physical Plant Department, after 39 years, 10 months consecutive service, effective 9/30/06.

**II. ADMINISTRATIVE ACTIONS**

**A. ADMINISTRATIVE APPOINTMENTS**

Vice President for Information Technology

Phillips, Richard Allen, Lead Systems Programmer, Communications and Network Systems, effective 10/1/06.

**B. CHANGES**

Office of the Treasurer

Krauss, Susan, from Director of Investments and Endowment Services,  
Endowment Services, to Assistant Treasurer, Endowment Services,  
effective 9/1/06.

## PROVOST

### I. BOARD ACTION

#### A. ACADEMIC APPOINTMENTS

- Ambati, Jayakrishna, College of Medicine, Associate Professor (with tenure), Ophthalmology and Visual Sciences, and joint appointment as Associate Professor (without tenure), Physiology, appointed to the Dr. E. Vernon Smith and Eloise C. Smith Macular Degeneration Endowed Chair Fund, 9/1/06 through 6/30/11.
- Bouvette, Ralph E., College of Pharmacy, Associate Professor (part-time), 8/1/06 through 6/30/11.
- Cothran, Valerie E., College of Medicine, Clinical Assistant Professor, Family and Community Medicine, 9/1/06 through 6/30/07.
- Keller, Jeffrey N., College of Medicine, Associate Professor (with tenure), Anatomy and Neurobiology, appointed to the R.C. Durr Foundation Chair in Alzheimer's Disease, 9/1/06 through 6/30/11.
- Nour, Sameh, College of Medicine, Clinical Instructor, Anesthesiology, 10/1/06 through 6/30/07.
- Vasconez, Henry C., College of Medicine, Professor (with tenure), Surgery, and joint appointment as Professor (without tenure), Pediatrics, appointed to the William Stamps Farish Fund Chair in Plastic Surgery, 7/1/06 through 6/30/11.
- Wolbarst, Anthony B., College of Health Sciences, Associate Professor\* (with tenure), Clinical Sciences, and joint appointment as Associate Professor\* (without tenure), Diagnostic Radiology, College of Medicine, effective 8/1/06.
- Wood, Andrew M., College of Arts and Sciences, Associate Professor (with tenure), Geography, effective 8/16/06.
- Xenos, Eleftherios S., College of Medicine, Assistant Professor\*, Surgery, 10/1/06 through 6/30/07.

#### B. ADMINISTRATIVE APPOINTMENTS

- Cavanaugh, Carey, Graduate School, Professor (temporary), Patterson School of Diplomacy and International Commerce, appointed Director, Patterson School of Diplomacy and International Commerce, 8/16/06 through 6/30/10.

#### C. JOINT APPOINTMENTS

- Carter, Craig N., College of Agriculture, Professor\* (with tenure), Veterinary Science, joint appointment as Professor\* (without tenure), Epidemiology, College of Public Health, effective 10/1/06.

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\*Special Title Series

Mannino, David M., College of Medicine, Associate Professor (without tenure), Internal Medicine, and joint appointment as Associate Professor (without tenure), Preventive Medicine and Environmental Health, College of Public Health, new joint appointment as Associate Professor (without tenure), Epidemiology, College of Public Health, 9/1/06 through 6/30/07.

#### **D. REAPPOINTMENTS**

Albers, Dale, College of Arts and Sciences, Professor (visiting), Sociology, 8/16/06 through 5/15/07.  
Hopkins, Sidney F., College of Medicine, Associate Professor (voluntary), Surgery, and joint appointment as Associate Professor (voluntary), Family and Community Medicine, 7/1/06 through 6/30/11.  
Howard, Henry, College of Arts and Sciences, Professor (part-time), Mathematics, 8/16/06 through 12/31/06.  
Kleinert, Harold, College of Education, Associate Adjunct Professor, Special Education and Rehabilitation Counseling, 8/16/06 through 12/31/06.  
Romano, Carol A., College of Nursing, Professor (voluntary), 7/1/06 through 6/30/11.

#### **E. CHANGES**

Anderson, Heidi M., College of Pharmacy, Professor (with tenure), from Associate Provost for Academic Affairs, to Associate Provost for Faculty Affairs, effective 9/1/06.  
Flashman, Robert H., College of Agriculture, from Extension Professor (with tenure), Family and Consumer Science, to Extension Professor (with tenure), Family Studies, effective 7/1/06.  
Vail, Ann, College of Agriculture, Professor (temporary), Family Studies, from 8/29/06 through 6/30/07, to 7/1/06 through 6/30/07.

#### **F. RETIREMENTS**

Auterson, Virl, College of Arts and Sciences, Stores Supervisor, Military Science, after 34 years and 7 months of consecutive service, under AR II-1.6-1, Section III.B, effective 9/15/06.  
Hildreth, Gladys J., College of Agriculture, Professor (with tenure), Family Studies, after 7 years of consecutive service, under AR II-1.6-1, Section III.B, effective 8/31/06.

#### **G. EARLY RETIREMENTS**

Hopper, Peggy S., College of Medicine, Clinical Services Tech III, Internal Medicine, after 15 years of consecutive service, under AR II-1.6-1, Section III.A.2, effective 12/1/06.

Smith, Rebecca M., College of Agriculture, Staff Support Associate I, Animal and Food Sciences, after 16 years and 2 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 9/8/06.

Stafford, Nancy, College of Arts and Sciences, Administrative Support Associate I, Chemistry, after 30 years and 11 months of consecutive service, under AR II-1.6-1, Section III.A.2, effective 9/8/06.

## **H. POST-RETIREMENT APPOINTMENTS**

Cox, Raymond, College of Arts and Sciences, Associate Professor (part-time), Mathematics, 8/16/06 through 12/31/06.

James Drahovzal, Research Geologist (part-time), Kentucky Geological Survey, effective 10/1/06 through 6/30/07.

Gaines, Mary Jane, College of Agriculture, Extension County Clerk (part-time), Cooperative Extension Service, 9/1/06 through 6/30/07.

Johns, John T., College of Agriculture, Professor (part-time), Animal and Food Sciences, 11/4/06 through 11/3/07.

LeVeque, Paul, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/06 through 6/30/07.

Swift, Louis J., College of Arts and Sciences, Professor (part-time), Discovery Seminar Program, 8/16/06 through 12/31/06.

Thom, William O., College of Agriculture, appointed Acting Director, Regulatory Services, 10/5/06 through 6/30/07.

## **II. ADMINISTRATIVE ACTION**

### **A. ACADEMIC APPOINTMENTS**

Ahmed, Patricia B., College of Arts and Sciences, Assistant Professor, Sociology, 8/16/06 through 6/30/08.

Allen, Jeffrey, College of Pharmacy, Assistant Professor (voluntary), 6/14/06 through 6/30/11.

Atkins, Traci V., College of Nursing, Instructor (part-time), 8/15/06 through 6/30/07.

Austin, Clegg F., College of Medicine, Assistant Professor (voluntary), Pediatrics, 8/1/06 through 6/30/11.

Avula, Pravin N., College of Medicine, Instructor (voluntary), Internal Medicine, 8/1/06 through 6/30/11.

Bailey, Kathryn, College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 8/1/06 through 6/30/07.

Blount, Stephen C., College of Arts and Sciences, Instructor (temporary), English, 8/16/06 through 12/31/06.

Branham, Mary, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/06 through 6/30/07.



- Brown, Shirley K., College of Medicine, Assistant Professor (voluntary), Pediatrics, 8/1/06 through 6/30/11.
- Cain, John P., College of Arts and Sciences, Instructor (part-time), Statistics, 8/16/06 through 12/31/06.
- Clarke, Jennifer A., College of Arts and Sciences, Assistant Professor (visiting), Psychology, 8/16/06 through 12/31/06.
- Clepper, Marta L., College of Arts and Sciences, Instructor (part-time), Earth and Environmental Sciences, 8/16/06 through 12/31/06.
- Crutcher, Kathryn S., College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Denham, William C., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 8/1/06 through 6/30/11.
- Donahue, Arwen, College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 7/1/06 through 6/30/07.
- Dotson, Emily A., College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Elliott, Jeremy N., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 9/1/06 through 6/30/11.
- Fairfield, James C., College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Floyd, Robin M., College of Medicine, Assistant Professor (voluntary), Diagnostic Radiology, 9/1/06 through 6/30/11.
- Gajera, Ratilal G., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 8/1/06 through 6/30/11.
- Godbey, Matthew W., College of Arts and Sciences, Instructor (temporary), English, 8/16/06 through 12/31/06.
- Grazioli, Bruno, College of Arts and Sciences, Instructor (temporary), Modern and Classical Languages, Literatures and Cultures, 8/16/06 through 5/15/07.
- Guberman, Cristiane, College of Medicine, Instructor (voluntary), Obstetrics and Gynecology, 9/1/06 through 6/30/11.
- Halich, Gregory S., College of Agriculture, Assistant Extension Professor, Agricultural Economics, 6/14/06 through 6/30/06.
- Hayek, Kim, College of Agriculture, Instructor (part-time), Nutrition and Food Science, 7/1/06 through 6/30/07.
- Heaberlin, John C., College of Arts and Sciences, Instructor (part-time), Philosophy, 8/16/06 through 12/31/06.
- Henning, Zachary T., College of Communications and Information Studies, Instructor (part-time), Communication, 8/1/06 through 5/31/07.
- Howard, Patricia A., College of Arts and Sciences, Instructor (part-time), Anthropology, 8/16/06 through 12/31/06.
- James, Pearl, College of Arts and Sciences, Assistant Professor, English, 8/16/06 through 6/30/08.
- Jordan, Mickey, College of Arts and Sciences, Instructor, Aerospace Studies, 7/1/07 through 6/30/10.

- Karimian, Cyrus D., College of Arts and Sciences, Instructor (part-time), Political Science, 8/16/06 through 12/31/06.
- Kelemen, Erick R., College of Arts and Sciences, Assistant Professor (visiting), English, 8/16/06 through 6/30/07.
- Kline, Marc A., College of Arts and Sciences, Instructor (part-time), Philosophy, 8/16/06 through 12/31/06.
- Knoer, Susan K., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 7/1/06 through 6/30/07.
- Kretschmer, Emily H., College of Arts and Sciences, Instructor (temporary), English, 8/16/06 through 12/31/06.
- LaCroix, David D., College of Arts and Sciences, Assistant Professor (visiting), English, 8/16/06 through 6/30/07.
- Lee, Janet F., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 9/8/06 through 6/30/07.
- Leech, Janie W., College of Arts and Sciences, Instructor (part-time), Geography, 8/16/06 through 12/31/06.
- Li, Jingshan, College of Engineering, Assistant Professor, Electrical and Computer Engineering, and joint appointment as Assistant Professor, UK Center for Manufacturing, 9/1/06 through 6/30/08.
- Matson, Adrienne, College of Pharmacy, Assistant Professor (voluntary), 6/28/06 through 6/30/11.
- McCoy, Michael Q., College of Medicine, Instructor (part-time), Pediatrics, and joint appointment as Instructor (part-time), Internal Medicine, 10/11/06 through 6/30/07.
- Metzmeier, Kurt X., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 7/1/06 through 6/30/07.
- Mitchell, Trenika R., College of Pharmacy, Lecturer, 8/28/06 through 6/30/07.
- Murdock, Kenneth E., College of Medicine, Assistant Professor (part-time), Radiation Medicine, 9/25/06 through 6/30/07.
- Necamp, Samantha V., College of Arts and Sciences, Instructor (temporary), English, 8/16/06 through 12/31/06.
- O'Shea, Edwin M., College of Arts and Sciences, Assistant Professor (visiting), Mathematics, 8/16/06 through 6/30/07.
- Owens, Heather H., College of Dentistry, Assistant Professor (part-time), Oral Health Science, 7/31/06 through 6/30/07.
- Patel, Ramesh V., College of Medicine, Assistant Professor (voluntary), Internal Medicine, 8/1/06 through 6/30/11.
- Peterson, Patrick M., College of Arts and Sciences, Instructor (part-time), Statistics, 8/16/06 through 12/31/06.
- Robbins, Jakayla, College of Arts and Sciences, Lecturer, Mathematics, 8/16/06 through 5/15/07.
- Roehl, Alan G., College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/06 through 6/30/07.

- Sabate-Llobera, Nuria, College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 8/16/06 through 12/31/06.
- Saeed, Osman M., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 7/1/06 through 6/30/11.
- Salmons, Cynthia L., College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Sandmeyer, Robert D., College of Arts and Sciences, Instructor (part-time), Philosophy, 8/16/06 through 12/31/06.
- Saunders, Marnie M., Graduate School, Assistant Professor, Biomedical Engineering, 9/11/06 through 6/30/07.
- Schadler, Aric, College of Arts and Sciences, Instructor (part-time), Statistics, 8/16/06 through 12/31/06.
- Sheng, Jian, College of Engineering, Assistant Professor, Mechanical Engineering, 1/1/07 through 12/31/08.
- Simon, Rachel A., College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Sofyan, Agus, College of Arts and Sciences, Instructor (part-time), Biology, 8/16/06 through 12/31/06.
- Spears, Carol, College of Medicine, Assistant Professor (voluntary), Surgery, 10/1/06 through 6/30/11.
- Strunk, Lisa B., College of Pharmacy, Instructor (part-time), 7/1/06 through 6/30/07.
- Stuhlfaut, Mark W., College of Communications and Information Studies, Assistant Professor\*, Journalism and Telecommunications, 8/16/06 through 6/30/07.
- Sunkara, Hyma, College of Arts and Sciences, Instructor (part-time), Chemistry, 8/16/06 through 12/31/06.
- Susilastuti, Dewi H., College of Arts and Sciences, Assistant Professor (visiting), Sociology, 8/16/06 through 6/30/07.
- Tang, Siu-Hung, College of Arts and Sciences, Assistant Professor (visiting), Mathematics, 7/1/06 through 6/30/07.
- Thomas, Elizabeth M., College of Arts and Sciences, Instructor (part-time), Chemistry, 8/16/06 through 12/31/06.
- Tufail, Mohammad, College of Engineering, Instructor (part-time), Civil Engineering, 8/16/06 through 6/30/07.
- Visona, Paolo, College of Arts and Sciences, Instructor (part-time), Modern and Classical Languages, Literatures and Cultures, 8/16/06 through 12/31/06.
- Wheeler, David R., College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Wigginton, Andrew J., College of Arts and Sciences, Instructor (part-time), Biology, 8/16/06 through 12/31/06.
- Wilson, Carol, College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 8/1/06 through 6/30/07.
- Wray, Amanda B., College of Arts and Sciences, Instructor (temporary), English, 8/16/06 through 12/31/06.

Xu, Wentao, College of Arts and Sciences, Adjunct Instructor, Physics and Astronomy, 1/1/07 through 5/15/07.

Yoder, Mervin C., College of Medicine, Adjunct Professor, Pediatrics, 10/11/06 through 6/30/07.

## **B. ADMINISTRATIVE APPOINTMENTS**

Robke, David J., College of Pharmacy, Analytical Validation Manager, Pharmaceutical Sciences, effective 8/18/06.

Staben, Charles A., College of Arts and Sciences, Associate Professor (with tenure), Biology, and Associate Vice President for Research, appointed Acting Head, Office of the Vice President for Research, 10/1/06 through 6/30/07.

Tabor, Jessica, College of Medicine, Nurse Anesthetist, Anesthesiology, effective 9/11/06.

Taylor, Pamela, College of Medicine, Nurse Practitioner, Pediatrics, effective 9/1/06.

## **C. JOINT APPOINTMENTS**

Arevalo, Oscar A., College of Dentistry, Assistant Professor, Oral Health Science, joint appointment as Assistant Professor, Epidemiology, College of Public Health, 10/1/06 through 6/30/07.

Branscum, Adam J., College of Public Health, Assistant Professor, Biostatistics, and joint appointment as Assistant Professor, Statistics, College of Arts and Sciences, new joint appointment as Assistant Professor, Epidemiology, 10/1/06 through 6/30/07.

Jordan, Carol E., College of Arts and Sciences, Assistant Adjunct Professor, Psychology, joint appointment as Assistant Adjunct Professor, Psychiatry, College of Medicine, 9/1/06 through 6/30/07.

Schwarze, Steven R., College of Medicine, Assistant Professor, Molecular and Cellular Biochemistry, joint appointment as Assistant Professor, Surgery, 10/1/06 through 6/30/07.

## **D. REAPPOINTMENTS**

Abate, Anne K., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 7/1/06 through 6/30/07.

Alexandru, Andrei, College of Arts and Sciences, Instructor (part-time), Physics and Astronomy, 8/16/06 through 12/31/06.

Almquist, Sharon G., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 7/1/06 through 6/30/07.

Armistead, Jane, College of Education, Instructor (part-time), Curriculum and Instruction, 8/16/06 through 12/31/06.

- Arrington, Tamara B., College of Communications and Information Studies, Adjunct Instructor, Communication, 8/1/06 through 12/31/06.
- Bartlett, Marvin P., College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/06 through 6/30/07.
- Bennett, Heather, College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Blankenship, Cary W., College of Arts and Sciences, Instructor (part-time), History, 8/16/06 through 12/31/06.
- Bloodworth, John D., College of Communications and Information Studies, Instructor (part-time), Communication, 8/1/06 through 12/31/06.
- Bolton, Kathy L., College of Nursing, Instructor (voluntary), 7/1/06 through 6/30/11.
- Boyle, Karen R., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 7/1/06 through 6/30/07.
- Brown, Paul, College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 8/16/06 through 12/31/06.
- Buck, Patrick L., College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 8/16/06 through 12/31/06.
- Burke, William F., College of Arts and Sciences, Adjunct Instructor, Biology, 8/16/06 through 12/31/06.
- Burton, Deborah C., College of Communications and Information Studies, Adjunct Instructor, Communication, 8/1/06 through 6/30/07.
- Carter, Janis, College of Education, Assistant Professor (visiting), Curriculum and Instruction, 8/24/06 through 7/31/07.
- Caspani, Guido, College of Arts and Sciences, Instructor (part-time), Modern and Classical Languages, Literatures and Cultures, 8/16/06 through 12/31/06.
- Catlin, Michelle R., College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Chung, Deborah S., College of Communications and Information Studies, Assistant Professor, Journalism and Telecommunications, 7/1/06 through 6/30/07.
- Clark, Amy C., College of Arts and Sciences, Instructor (part-time), Modern and Classical Languages, Literatures and Cultures, 8/16/06 through 12/31/06.
- Clark, John R., College of Business and Economics, Instructor (part-time), Accountancy, 8/16/06 through 6/30/07.
- Cooley, Paul, College of Arts and Sciences, Instructor (part-time), Mathematics, 8/16/06 through 12/31/06.
- Costich, Julia F., College of Public Health, Assistant Professor\*, Health Services Management, 7/1/06 through 6/30/07.
- Crawford, Charles W., College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/06 through 6/30/07.

- Cross, Alvin, College of Communications and Information Studies, Assistant Extension Professor, Journalism and Telecommunications, 7/1/06 through 6/30/07.
- Cruz-Morgado, Luciano E., College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 8/16/06 through 12/31/06.
- Cupp, Pamela K., College of Communications and Information Studies, Assistant Research Professor, Communication, 7/1/06 through 8/31/06.
- Currie, George W., College of Business and Economics, Instructor (part-time), Accountancy, 8/16/06 through 6/30/07.
- Cushing, Tamara L., College of Agriculture, Assistant Professor, Forestry, 8/8/06 through 6/30/07.
- Dahl, Alan, College of Arts and Sciences, Instructor (part-time), Sociology, 8/16/06 through 12/31/06.
- DeMichele, Matthew, College of Arts and Sciences, Instructor (part-time), Sociology, 8/16/06 through 12/31/06.
- Dove, Ed, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/06 through 12/31/06.
- Durham, Brian, College of Arts and Sciences, Instructor (part-time), Mathematics, 8/16/06 through 12/31/06.
- Eblen, William T., College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/06 through 6/30/07.
- Eckman, Alyssa A., College of Communications and Information Studies, Assistant Professor\*, Journalism and Telecommunications, 7/1/06 through 6/30/07.
- Edin, Linda, College of Education, Instructor (part-time), Special Education and Rehabilitation Counseling, 8/16/06 through 12/31/06.
- Effinger, Kathy, College of Arts and Sciences, Instructor (part-time), Mathematics, 8/16/06 through 12/31/06.
- Farrell, James M., College of Communications and Information Studies, Assistant Professor\*, Journalism and Telecommunications, 7/1/06 through 6/30/07.
- Fegenbush, Warren, College of Pharmacy, Assistant Professor (voluntary), 7/1/06 through 6/30/11.
- Fields, Jim, College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Findley, Mary M., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 7/1/06 through 6/30/11.
- Fitzpatrick, Sarah, College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Fox, Bessie L., College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Gabbert, Doug C., College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 9/6/06 through 6/30/07.

- Gaur, Rajesh, College of Communications and Information Studies, Instructor (part-time), Communication, 8/1/06 through 12/31/06.
- Gibbs, William, College of Arts and Sciences, Instructor (part-time), History, 8/16/06 through 12/31/06.
- Goan, Melanie, College of Arts and Sciences, Instructor (part-time), History, 8/16/06 through 12/31/06.
- Hale, Frank, College of Arts and Sciences, Instructor (part-time), Philosophy, 8/16/06 through 12/31/06.
- Halich, Gregory S., College of Agriculture, Assistant Extension Professor, Agricultural Economics, 7/1/06 through 6/30/07.
- Halladay, Keith E., College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Heath, C. E., College of Business and Economics, Instructor (part-time), Management, 8/16/06 through 6/30/07.
- Higgs, Calvin T., College of Arts and Sciences, Instructor (part-time), Modern and Classical Languages, Literatures and Cultures, 8/16/06 through 12/31/06.
- Holbrook, Paul E., College of Arts and Sciences, Instructor (part-time), Philosophy, 8/16/06 through 12/31/06.
- Hood, James, College of Arts and Sciences, Instructor (part-time), History, 8/16/06 through 12/31/06.
- Kershaw, Debra S., College of Arts and Sciences, Instructor (part-time), Sociology, 8/16/06 through 12/31/06.
- LaBelle, David, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/06 through 6/30/07.
- Lancaster, Pamela S., College of Arts and Sciences, Instructor (part-time), Statistics, 8/16/06 through 12/31/06.
- Leedham, Cynthia, College of Arts and Sciences, Instructor (part-time), Sociology, 8/16/06 through 12/31/06.
- Little, Glennis S., College of Nursing, Instructor (voluntary), 7/1/06 through 6/30/11.
- Lockhart, Kathy, College of Business and Economics, Instructor (part-time), Management, 8/16/06 through 6/30/07.
- Luft, Christine, College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Massey, Christi S., College of Arts and Sciences, Instructor (part-time), Sociology, 8/16/06 through 12/31/06.
- Matsuyuki, Masami, College of Arts and Sciences, Instructor (part-time), Modern and Classical Languages, Literatures and Cultures, 8/16/06 through 12/31/06.
- Mayer, Danny, College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- McEachin, Neal, College of Education, Instructor (part-time), Kinesiology and Health Promotion, 8/16/06 through 12/31/06.

- McHugh, Susan, College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 7/1/06 through 6/30/07.
- Merriman, Scott, College of Arts and Sciences, Instructor (part-time), History, 8/16/06 through 12/31/06.
- Miller, Jennifer B., College of Arts and Sciences, Instructor (part-time), Political Science, 8/16/06 through 12/31/06.
- Miraztchijaska, Aelita T., College of Arts and Sciences, Instructor (part-time), Modern and Classical Languages, Literatures and Cultures, 8/16/06 through 12/31/06.
- Moss, Marvin, College of Arts and Sciences, Instructor (part-time), Mathematics, 8/16/06 through 12/31/06.
- Nelson, Rebecca, College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 7/1/06 through 6/30/07.
- Norman, Charlene, College of Arts and Sciences, Instructor (part-time), Mathematics, 8/16/06 through 12/31/06.
- O'Connor, Sandra F., College of Communications and Information Studies, Instructor (part-time), Communication, 8/1/06 through 12/31/06.
- Parker, James S., College of Communications and Information Studies, Instructor (part-time), Communication, 8/1/06 through 12/31/06.
- Parker, Larry A., College of Business and Economics, Instructor (part-time), Management, 8/16/06 through 6/30/07.
- Patrick, Kelli L., College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/06 through 6/30/07.
- Paul, Mark T., College of Communications and Information Studies, Instructor (part-time), Library and Information Science, 7/1/06 through 6/30/07.
- Pena Rivera, Carlos A., College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 8/16/06 through 12/31/06.
- Peshkopia, Ridvan, College of Arts and Sciences, Instructor (part-time), Political Science, 8/16/06 through 12/31/06.
- Poore, Chris, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/06 through 6/30/07.
- Popkin, Beate, College of Arts and Sciences, Instructor (part-time), History, 8/16/06 through 12/31/06.
- Portier-Caldwell, Helene, College of Arts and Sciences, Instructor (part-time), Modern and Classical Languages, Literatures and Cultures, 8/16/06 through 12/31/06.
- Puerto, Jose J., College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 8/16/06 through 12/31/06.
- Reedy-Strother, Tammy L., College of Arts and Sciences, Instructor (part-time), Sociology, 8/16/06 through 12/31/06.
- Ripley, Dee, College of Arts and Sciences, Instructor (part-time), Mathematics, 8/16/06 through 12/31/06.
- Risher, Richard L., College of Medicine, Assistant Professor (voluntary), Family and Community Medicine, 7/1/06 through 6/30/11.



- Robinson, Penelope, College of Arts and Sciences, Instructor (part-time), Mathematics, 8/16/06 through 12/31/06.
- Roozen, Mark A., College of Business and Economics, Instructor (part-time), Management, 8/16/06 through 6/30/07.
- Rosdatter, Paula E., College of Arts and Sciences, Instructor (part-time), Philosophy, 8/16/06 through 12/31/06.
- Rosenbaum, Ned, College of Arts and Sciences, Instructor (part-time), Modern and Classical Languages, Literatures and Cultures, 8/16/06 through 12/31/06.
- Ross, Danny, College of Business and Economics, Instructor (part-time), Accountancy, 8/16/06 through 6/30/07.
- Ross, Edgar C., College of Business and Economics, Instructor (part-time), Accountancy, 8/16/06 through 6/30/07.
- Saffari, Kay, College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 8/16/06 through 12/31/06.
- Seabolt, John P., College of Arts and Sciences, Adjunct Instructor, Biology, 8/16/06 through 12/31/06.
- Shotwell, John, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/06 through 6/30/07.
- Smith, Michelle, College of Arts and Sciences, Instructor (part-time), Statistics, 8/16/06 through 12/31/06.
- Smith, Richard, College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Smoot, Richard C., College of Arts and Sciences, Instructor (part-time), History, 8/16/06 through 12/31/06.
- Soult, Allison S., College of Arts and Sciences, Instructor (part-time), Chemistry, 8/16/06 through 12/31/06.
- Stevens, Nathan, College of Communications and Information Studies, Adjunct Instructor, Journalism and Telecommunications, 8/16/06 through 6/30/07.
- Van Erden, Don, College of Communications and Information Studies, Instructor (part-time), Journalism and Telecommunications, 8/16/06 through 6/30/07.
- Van Meter, James C., College of Arts and Sciences, Instructor (part-time), Mathematics, 8/16/06 through 12/31/06.
- Vanderpool, Betty, College of Arts and Sciences, Instructor (part-time), Mathematics, 8/16/06 through 12/31/06.
- VanSickels, Mary, College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Venugopal, Nithya, College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/06 through 6/30/07.
- Wang, Min, College of Engineering, Instructor (part-time), Civil Engineering, 7/1/06 through 6/30/07.
- Warren, Rebecca L., College of Communications and Information Studies, Instructor (part-time), Communication, 8/1/06 through 12/31/06.

- Wegrzyn, Joseph, College of Arts and Sciences, Instructor (part-time), English, 8/16/06 through 12/31/06.
- Weller, David, College of Communications and Information Studies, Instructor (temporary), Journalism and Telecommunications, 7/1/06 through 6/30/07.
- Wiemann, Alfred H., College of Dentistry, Assistant Professor (part-time), Oral Health Practice, 7/1/06 through 6/30/07.
- Woods, Dorothy K., College of Arts and Sciences, Instructor (part-time), Honors Program, 8/16/06 through 12/31/06.
- Yoo, Chan Y., College of Communications and Information Studies, Assistant Professor, Journalism and Telecommunications, 7/1/06 through 6/30/07.
- Zerpa, Levis, College of Arts and Sciences, Instructor (part-time), Hispanic Studies, 8/16/06 through 12/31/06.
- Zhao, Xiaodan, College of Business and Economics, Instructor (part-time), Economics, 8/16/06 through 6/30/07.

#### **E. CHANGES**

- Bailey, Richard A., College of Arts and Sciences, from Instructor (part-time), History, to Instructor (temporary), History, 8/16/06 through 5/15/07.
- Campbell, Todd, College of Arts and Sciences, from Instructor (part-time), English, to Instructor (temporary), English, 8/16/06 through 12/31/06.
- Cardiff, Cheryl, College of Arts and Sciences, from Instructor (part-time), Modern and Classical Languages, Literatures and Cultures, to Instructor (part-time), English, 8/16/06 through 12/31/06.
- Chavez, Daniel, College of Arts and Sciences, Assistant Professor (visiting), Hispanic Studies, from 6/1/06 through 5/31/07, to 7/1/06 through 6/30/07.
- Clarke, Benita J., College of Arts and Sciences, from Instructor (part-time), Hispanic Studies, to Adjunct Instructor, Hispanic Studies, 8/16/06 through 12/31/06.
- Horvath, Ivan, College of Arts and Sciences, from Assistant Research Professor, Physics and Astronomy, to Adjunct Instructor, Physics and Astronomy, 8/16/06 through 12/31/06.
- McRaven, Deborah K., College of Arts and Sciences, from Instructor (temporary), History, to Instructor (part-time), History, 8/16/06 through 12/31/06.
- Medina, Jorge, College of Arts and Sciences, from Instructor (part-time), Hispanic Studies, to Instructor (temporary), Hispanic Studies, 8/16/06 through 5/15/07.
- Morris, Sean, College of Arts and Sciences, from Instructor (part-time), English, to Instructor (temporary), English, 8/16/06 through 12/31/06.
- Omlor, Dan, College of Arts and Sciences, from Instructor (part-time), English, to Instructor (temporary), English, 8/16/06 through 12/31/06.

- Phillips, Lynn A., College of Arts and Sciences, from Assistant Adjunct Professor, Geography, to Assistant Professor (visiting), Geography, 8/16/06 through 6/30/07.
- Pica, John, College of Arts and Sciences, from Dean Assistant/Enrollment, Arts and Sciences, to Dean Assistant/Administration, Arts and Sciences, effective 9/15/06.
- Rawashdeh, Osamah A., College of Engineering, from Instructor (temporary), Electrical and Computer Engineering, to Lecturer, Electrical and Computer Engineering, 7/1/06 through 6/30/07.
- Ross, Frances, College of Medicine, from Registry Operations Director, Markey Cancer Center, to Operations and Field Research Director, Markey Cancer Center, effective 9/1/06.
- Shumer, Daniel, College of Arts and Sciences, from Instructor (part-time), English, to Instructor (temporary), English, 8/16/06 through 12/31/06.
- Thompson, Timothy, College of Arts and Sciences, from Instructor (temporary), Sociology, to Instructor (part-time), Sociology, 8/16/06 through 12/31/06.
- Ubelhor, Anthony E., College of Arts and Sciences, from Instructor (part-time), English, to Instructor (temporary), English, 8/16/06 through 12/31/06.
- Voskresensky, Anna, College of Arts and Sciences, from Instructor (part-time), Modern and Classical Languages, Literatures and Cultures, to Adjunct Instructor, Modern and Classical Languages, Literatures and Cultures, 8/16/06 through 12/31/06.
- Wood, Mark F., College of Arts and Sciences, from Instructor (part-time), English, to Instructor (temporary), English, 8/16/06 through 12/31/06.

#### **F. TERMINAL REAPPOINTMENTS**

- Horvath, Ivan, College of Arts and Sciences, Assistant Research Professor, Physics and Astronomy, 7/1/06 through 6/30/06.
- Kraner, Susan D., College of Medicine, Assistant Professor, Molecular and Biomedical Pharmacology, 12/1/06 through 11/30/07.

#### **G. LEAVES OF ABSENCE**

- Jones, Grace, College of Arts and Sciences, Professor (with tenure), Biology, from Sabbatical leave at two-thirds salary, 7/1/06 through 6/30/07, to Sabbatical with full salary, 1/1/07 through 6/30/07.
- Zimmerman, Rick S., College of Communications and Information Studies, Professor (with tenure), Communication, Leave with partial salary, 1/1/07 through 5/15/07, and 8/16/07 through 5/15/08.

#### **H. RESIGNATIONS**

- Benard, Paul E., College of Dentistry, Assistant Clinical Professor, Oral Health Science, effective 9/30/06.

Gould, Douglas J., College of Medicine, Associate Professor\* (with tenure),  
Anatomy and Neurobiology, effective 11/30/06.  
Kesavalu, Lakshmyya, College of Dentistry, Associate Research Professor, Oral  
Health Science, effective 10/15/06.  
Main, John A., College of Engineering, Associate Professor (with tenure),  
Mechanical Engineering, effective 8/19/06.  
Zhong, Li, College of Medicine, Assistant Research Professor, Internal Medicine,  
effective 8/23/06.

**EXECUTIVE VICE PRESIDENT FOR HEALTH AFFAIRS**

**I. BOARD ACTION**

**A. RETIREMENT**

Wade, Eva Marie, University Hospital, Therapeutic Services, Respiratory Therapist, after 35 years and 1 month of consecutive service under AR II-1.6-1, Section III.B, effective 8/5/06.

**B. EARLY RETIREMENTS**

Covington, Leanna Jo, University Hospital, Critical Care Services, Nurse Clinical, after 21 years and 3 months of consecutive service under AR II-1-6-1, Section III.A.2, effective 9/22/06.

Weathers, Della, University Hospital, Contract Dietary, Food Service Worker, after 28 years and 2 months of consecutive service under AR II-1-6-1, Section III.A.2, effective 9/15/06.

# PR 3

Office of the President  
October 10, 2006

Members, Board of Trustees:

## 2006-09 STRATEGIC PLAN

Recommendation: that the Board of Trustees adopt the attached 2006-09 Strategic Plan for the University of Kentucky and an amended version of the University's Mission, Vision, and Values Statement.

Background: At the direction of President Lee Todd, Provost Kumble Subbaswamy, the University Committee on Academic Planning and Priorities, and the council of deans began in March 2006 to craft the 2006-09 Strategic Plan for the University of Kentucky. A progress report and preliminary draft were presented to the Board of Trustees at its June 13, 2006 meeting. In August and September, the draft plan was circulated among the university faculty and staff for comment, and campus forums were held. Measures of progress have been added since the June 13 Board meeting.

The University's Mission, Vision, and Values Statement has been amended to align it with the university's Strategic Plan.

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

# UNIVERSITY OF KENTUCKY

## VISION

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

## MISSION

The University of Kentucky is a public, research-extensive, land grant university dedicated to improving people's lives through excellence in teaching, research, health care, cultural enrichment, and economic development.

The University of Kentucky:

- Facilitates learning, informed by scholarship and research.
- Expands knowledge through research, scholarship and creative activity.
- Serves a global community by disseminating, sharing and applying knowledge.

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

## VALUES

The values of the University guide its decisions and the behavior of its community. Its core values are:

- Integrity
- Academic excellence and academic freedom
- Mutual respect and human dignity
- Embracing diversity
- Personal and institutional responsibility and accountability
- Shared governance
- A sense of community
- Sensitivity to work-life concerns
- Civic responsibility
- Service to society

## UNIVERSITY OF KENTUCKY Adopted April 2003

### VISION

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### VALUES

The values of the University guide ~~our~~its decisions and the behavior. ~~Our of its~~community. Its core values are:

- Integrity
- Academic excellence and academic freedom
- Mutual respect and human dignity
- ~~Diversity of thought, culture, gender, and ethnicity~~
- Embracing diversity
- Personal and institutional responsibility and accountability
- Shared governance
- A sense of community
- Sensitivity to work-life concerns
- Civic responsibility
- Service to society



## **University of Kentucky Strategic Plan 2006-09**

Steeped in the rich tradition of America's land-grant universities, the University of Kentucky has for over 140 years touched every corner of the Commonwealth. Time and again, Kentuckians have looked to their flagship university as a major resource for educating their children, supporting their businesses, strengthening their communities, protecting their health, and improving their lives.

As this new century unfurls, UK is challenged to do more than ever. In a knowledge economy, there is a strong symbiotic relationship between a state's condition and its intellectual capital. That capital is most readily available at the statewide research university. Compared to the national average, people in states that are home to the nation's leading research universities enjoy higher educational attainment and higher incomes, are less likely to live in poverty, and are more likely to lead healthier lives.

The Commonwealth's strength and prosperity therefore depend on the quality and vitality of its leading research university. In 1997, Kentucky's elected representatives placed in statute their recognition of this valuable instrument for progress when they mandated that UK become a Top 20 public research university. This bond between the people of Kentucky and UK affirmed their mutual dependence and shared ambition. In return for substantial new investment from the state, UK would produce tangible benefits for the Commonwealth.

At its December 13, 2005 meeting the UK Board of Trustees adopted the Top 20 Business Plan. The Business Plan identifies the financial resources UK will need to implement a series of ambitious academic strategic plans that will chart the university's direction over the next 15 years. The 2006 Kentucky General Assembly then embraced the Business Plan, allocating substantial public resources to the achievement of its specific objectives. That support is accompanied by the expectation that UK has the vision and the will to transform itself.

In his letter transmitting the Business Plan to the Board of Trustees, UK President Lee T. Todd, Jr. wrote:

The next Strategic Plan will define specific measures of quality, establish strategic goals for excellence, and direct the allocation of resources across campus. . . . We will discuss as an academic community what our priorities and specific goals are, how we can best achieve those goals, and how resources will be allocated.

These discussions will translate the Business Plan into a plan of action. It must be a dynamic, serious, and honest conversation about what kind of university we want to be. Make no mistake about it. This institution must

change if we are going to succeed. A university wedded to the status quo in a dynamic world will fail. Just as we need to force a discussion with the state about our need for more resources, we must force the internal discussion about our priorities. And those priorities must ultimately find their core in the needs of the people of Kentucky and what their flagship university is uniquely qualified to provide.

At the direction of President Todd and under the leadership of newly appointed UK Provost Kumble Subbaswamy, the University Committee on Academic Planning and Priorities began crafting this Strategic Plan for 2006-09 in March 2006. By building on the 2003-06 Strategic Plan and marking the first step in the implementation of the Business Plan, the 2006-09 Strategic Plan represents both renewal and change. It articulates the goals of a university community that will continue its determined march toward Top 20 status and will have a broader and deeper impact on lives across the Commonwealth. The five goals of this Strategic Plan identify the principal areas of activity in which the talents and resources of the university will be invested over the next three years. Under each goal are several objectives that make specific the intentions of the University of Kentucky.

## **Goal I - Enhance the University's Stature among its Peers**

The University of Kentucky brings considerable strength to the task of achieving Top 20 status. It is home to a comprehensive mix of undergraduate, graduate, and professional programs, combined with land-grant responsibilities and extensive health-care operations. The university's organizational structure implemented during 2003-05 positions the institution to capitalize on intellectual diversity through the development and integration of its academic, research, extension, and health-care resources. This expansive collection of integrated resources encourages sharing ideas across disciplines and promoting multidisciplinary endeavors. It also enriches the educational and social experiences of a highly diverse and talented student body.

UK's responsibility to the Commonwealth requires that the university not only become a Top 20 university, but do so while increasing substantially its engagement with the state. That engagement will go beyond the vast clinical, extension, and outreach services the university already provides. It will include more active partnerships with communities to solve problems and create a better society.

The hallmark of a Top 20 public university is an unwavering and across-the-board commitment to excellence, with a considerable number of programs ranked among the best in the United States. A Top 20 university cultivates and celebrates success in the classroom, the laboratory, the performance stage or gallery, the extension office, and the clinic with equal vigor. It also builds futures for its students by emphasizing emotional and physical health as well as intellectual growth. UK's ability to reach this level of consistent excellence will require the significant advance of every aspect of the university. As the Business Plan makes clear, 40 percent of the resources needed to

achieve Top 20 status will be self-generated, through a combination of internal reallocations and increased research, clinical, and gift income. The state and UK students will be asked to bear the remaining cost of this investment. The Strategic Plan therefore must articulate the framework for identifying programmatic and infrastructure priorities and the strategies for investing in those priorities.

***Objectives:***

1. **The university will develop or update plans for achieving excellence in all its endeavors, in accordance with the Top 20 Business Plan.** To attain Top 20 status is to have most of the university's programs ranked in the top quartile among their peers, with some considered the very best. Every college, department, and auxiliary and support unit must examine its strengths and weaknesses, take stock of emerging trends in their areas, and make strategic decisions about how to attain further excellence. Taking full advantage of the strengths of a flagship, land-grant, research university with an extensive health care enterprise, the entire University community must enthusiastically embrace its obligation to serve the Commonwealth. Every strategy for excellence must aim to assure education and research benefits that accrue to the people of the Commonwealth - in the areas of health and welfare, economic development, education for life, public policy development, and quality of life. Many parts of the UK community, including UK Healthcare and the UK Athletic Association, have developed strategic plans aligned with the Top 20 Business Plan. However, the university-wide Strategic Plan for 2006-09 will fully integrate plans for all sectors of the university.
2. **The university will update its capital project priorities and Master Plan to accommodate a larger faculty and student body and the expansion of research and clinical operations.** The correlation between rank and size is well-known. To be competitive, the university must increase the size of its faculty and student body. The challenge of growth is exacerbated by the constraints of current physical space; the lead time needed for planning, constructing, and utilizing future space; and the limitations on available University bonding capacity. Priorities for classrooms, student facilities, laboratories, and health care facilities must be assigned carefully.
3. **The University will recruit additional faculty members to teach a larger student body and enhance substantially its research and engagement efforts.** The university will expand its faculty in order to maintain competitive student-to-faculty ratios and build a foundation for rapid improvement in the quality of its academic missions. The attendant growth in the university's research enterprise will increase Kentucky's intellectual and cultural capital and enhance the health and economic welfare of its people.
4. **The university will offer competitive salaries, benefits, and professional support to retain and attract outstanding faculty and staff.** Achieving Top 20 status hinges on the aggressive cultivation of current faculty members and strategic hiring of outstanding new ones. It also depends on the continuous professional development of

university faculty and staff. Competitive compensation and progressive career advancement opportunities are essential resources for developing and retaining excellent faculty and staff. These efforts will foster and sustain an enjoyable professional climate in which employees can manage effectively the way they live, work, and raise their families.

## **Goal II - Prepare Students for Leadership in the Knowledge Economy and Global Society**

A university's chief responsibilities are to provide its students with knowledge about the human and natural worlds, train them to organize that knowledge, and teach them to express and apply that knowledge effectively. These pursuits carry with them civic and economic dimensions that are intertwined. Students will be challenged to become active members of their communities, welcoming different points of view and systems of belief while examining and refining their own. They must develop the skills they will need to become productive members of an increasingly educated work force. In a world where jobs and knowledge flow freely across industries and national boundaries, the success of University of Kentucky graduates demands an education that prepares them to participate effectively in an increasingly interdependent global economy and society.

Kentucky's success in this global economy depends on a broadly trained workforce and well-informed society. The university is among the handful of American higher education institutions that offer on one campus a full range of academic programs and colleges, including the full spectrum of health science colleges. It must take full advantage of connections across academic programs at all levels of study to encourage international experiences that broaden perspectives, emphasize interdisciplinary and inter-professional training, and inspire student partnerships with faculty to explore knowledge at the fluid borders of academic disciplines. The university must demonstrate again and again that teaching and scholarship are inextricably linked, are pursued with equal dedication, and create extraordinary opportunities.

The key to Kentucky's success in the global flow of talent is to ensure that much of the human capital built at home and recruited from beyond Kentucky's borders remain in Kentucky. As one of the top public research universities in the United States, UK can become a beacon for attracting top talent from across the world who will enrich the campus community through their participation in it. When their days as UK students are complete, their professional and civic accomplishments will add cultural and economic capital to the Commonwealth and across the United States and the globe.

### ***Objectives:***

1. **The university will enhance interdisciplinary learning and inter-professional training.** The university community must foster innovation in teaching and learning, emphasizing critical thinking and cultural sensitivity; revise and reform curricula, increasing connections within and across colleges by blurring disciplinary and

professional boundaries; integrate curricular and extracurricular experiences and ensure those experiences reflect the goal of diversity to the fullest extent possible; and expand internships, externships, and community-based engagement activities. UK will create an academic environment in which students can hone their problem-solving and entrepreneurial skills.

2. **The university will increase opportunities for international and multicultural educational experiences for its students.** Being a Top 20 university in the 21<sup>st</sup> Century means being engaged effectively in the international educational marketplace. UK must build aggressively on its longstanding relationships with educational institutions in other countries to form new partnerships for the exchange of students. Every UK student must develop a broad international perspective through curricular, extracurricular, on-campus, and off-campus experiences.
3. **The university will set and achieve six-year growth and quality targets for undergraduate, graduate, and professional enrollments.** The Business Plan establishes goals for enrollment growth, the mix of resident and non-resident students, and first-year student ACT/SAT scores. The Plan does not specify an ideal distribution of students across academic areas. Recruitment and admission strategies need to respond to the imperative to train highly educated professionals in areas of pressing social need. For example, strategies must be developed to address both in-state and national shortages of physicians, dentists, nurses, pharmacists, and engineers, as well as math, science, foreign language, and special education teachers. Careful study is needed to set targets and develop the consequent recruitment strategies. Viable targets and strategies will incorporate the interests in various majors and programs expressed by students and employers. UK's holistic screening process in undergraduate admissions is part of a national trend away from over-reliance on standardized tests in making admission decisions. More than selective admission, the true measure of the quality of all UK's educational programs is the breadth and depth of what students learn, their timely graduation and career success, and the impact they have on their communities. At the graduate level, the number and dollar amount of stipends for graduate assistants and other supported students will need to be increased, if we are to remain competitive across all disciplines and increase the number of doctorates awarded.
4. **The university will integrate more aggressively its teaching, research, and outreach missions.** Nationally acclaimed programs provide rich opportunities for inquiry-based learning. The University of Kentucky must seek to provide every student with meaningful research and service-learning opportunities at all levels of instruction. Students must be integrated more fully into research and outreach programs to facilitate their roles as new investigators and future community leaders. Such a combination of increasing quality, productivity, and recognition for the university can stimulate high-end economic growth in Kentucky. All these efforts will enhance UK's ability to recruit the finest students and postdoctoral scholars, who in turn will strengthen every facet of the University community.

## **Goal III - Enhance the Intellectual and Economic Capital of Kentucky through Growth in Research**

As Kentucky's land-grant research university, the University of Kentucky pursues with equal vigor the dual purposes of research: the expansion of the body of knowledge and the translation of basic research into practical innovations for the people of Kentucky and those beyond the state's borders. All missions of the university are infused with and benefit from this dedication to the creation and application of new knowledge. While scholarship often has an immediate impact, experience teaches that the benefit of research and creative work is not always immediate or predictable. The university must be Kentucky's most celebrated locale where creative work can be pursued purely for the advancement of knowledge and enlightenment. This is the true meaning of intellectual capital.

Research and creative activity in the 21<sup>st</sup> Century has been re-invented as a thoroughly interdisciplinary and collaborative pursuit, employing theoretical and clinical constructs, analytical tools, and laboratory techniques scarcely imaginable a few decades ago. UK has made significant advances in its research and creative activities in recent years and enthusiastically embraces the challenge of substantially increasing the volume and the quality of those efforts in the next decade.

### ***Objectives:***

- 1. The university will cultivate and celebrate the full range of efforts in creative achievement and research.** The University of Kentucky is home to a broad range of disciplines and intellectual endeavors that enrich lives and improve communities across Kentucky. Cultivating excellence in students and faculty requires fostering leading scholarship and creative endeavor throughout the university; increasing collaborations across departments and colleges; celebrating the accomplishments of faculty, staff, and students; and communicating successes inside and outside the university.
- 2. The university will invest strategically in research areas of current strength, emerging interest, and greatest importance.** A program's ability to rise in national rankings is a function of multiple factors, including size, existing strengths, competition, and available resources. The university has made significant investments to build on current strengths. The most promising of these initiatives should continue. To serve the Commonwealth, the university also must identify and invest in emerging research areas of importance, excitement, and promise. In addition, the university must define its research agenda within the context of evolving national trends such as the National Institutes of Health Roadmap Initiatives.
- 3. The university will develop the infrastructure and administrative support required to achieve Top 20 status.** Growth in research and creative endeavor depends on adequate space and facilities. The University of Kentucky is committed to

maintaining state-of-the-art laboratories, clinical facilities, performance and studio spaces, simulation facilities, information technology, libraries, and analytical services. It is likewise committed to efficient business operations and strong staff support. The university must assess and address facilities carefully and support administrative needs in a timely manner.

4. **The university will actively transmit the benefits of its knowledge and expertise to the public it serves.** More than ever before, the engaged research university can serve as an economic development partner – producing qualified students for industry; providing intellectual and research resources; and promoting cultural experiences. The University of Kentucky will directly and indirectly address needs across the Commonwealth by extending its research and creative endeavors to every school, business, and community in Kentucky. With equal tenacity, research and creative endeavor must be aimed at improving the quality of individual lives, in areas such as health, education, and the arts.

#### **Goal IV - Embrace and Nurture Diversity**

Diversity should be celebrated as a strength of American society. It is a simple but important fact of life that participation in diverse families, workplaces, schools, and communities is the norm and not the exception. The university of Kentucky will prepare students for meaningful and responsible engagement within and across diverse communities. Through its own example and engagement, the University will improve the climate for diversity throughout Kentucky, a commitment given special importance and emphasis by shared history. The composite effect of work with students in classrooms, residence halls, offices, laboratories, clinics, libraries, and public places should be to enable them to develop a more enlightened worldview; attain a deeper understanding of and commitment to authentic democratic values and social justice; embrace a greater commitment to service and leadership for the common good; exhibit greater cultural knowledge and competence; and facilitate Kentucky's success in the global economy.

Embracing and nurturing diversity is the responsibility of every member of the university community. It must be demonstrated in a clear and convincing way that diversity is an essential value of the university community that informs its every aspect. A genuine commitment to diversity as a core value makes necessary the adoption of a comprehensive view that celebrates diversity as a systemic influence on our conduct as students, faculty, and staff and as members of society.

#### ***Objectives:***

1. **The university will adopt an organizational structure that supports diversity, makes explicit the shared responsibility of the entire community, and facilitates**

**the achievement of its aspirations.** Diversity must be woven fully into the academic and administrative fabric of the University of Kentucky. Until then, diversity goals must be articulated again and again by leaders at the highest levels and embraced by the wider university community as an individual and collective responsibility. In particular, the existing structure of administrative offices, commissions, and standing committees will be reexamined and streamlined to address more effectively issues of diversity and the concerns of students, staff, and faculty.

2. **The university will establish a coherent, focused, university-wide implementation strategy to achieve diversity.** The United States Supreme Court has affirmed the principle of diversity and its signal contribution to the campus environment. The university will build on existing implementation strategies to enhance demographic diversity and monitor progress. In particular, the university will be aggressive in recruiting and retaining students, staff, and faculty from all segments of society in order to create an even more diverse campus community.
3. **The university will ensure that its core belief in the value of diversity is manifest in its curriculum, extra-curricular activities, and campus climate.** Recognition of the value of different cultural traditions is an integral component of a 21<sup>st</sup> Century education. Curricular and enrichment activities must reflect the histories and aspirations, at once shared and discrete, that community members bring to campus. All UK students must graduate with an understanding of, and respect for, cultures and traditions other than their own and become effective members of today's pluralistic society.
4. **The university will use its community engagement efforts to affirm the value of diversity and promote dialogue about pressing social issues.** The University of Kentucky is an important participant in communities across the Commonwealth, the United States, and the world. As a consistent standard-bearer for diversity, UK will use its intellectual resources and scholarly activity to expand community commitment to equal opportunity.

## **Goal V: Engage Kentuckians through Partnerships to Elevate Quality of Life**

Outreach has been the historic hallmark of public research universities with the dual roles of flagship and land-grant. The University of Kentucky must recognize fully and embrace enthusiastically its outreach responsibilities and its potential for improving lives across Kentucky.

An engaged university in the 21<sup>st</sup> Century has a commitment to share its human, intellectual, and material resources with the larger community for the benefit of both. Consistent with the fundamental premise of the Top 20 Business Plan, the university rededicates itself to improving the lives of Kentuckians through its time-honored commitment to outreach and community engagement. The key to success is creating and



sustaining efforts to build stronger communities, advance schools, recruit and create businesses, fight disease, and improve and enrich lives.

It is incumbent upon UK to be an activist institution, reaching out to communities to combine local understanding of problems with university expertise to seek practical solutions. Likewise, the engaged university also must listen to the communities it serves to fully understand their needs and ideas in the formation of responsive partnerships. While the primary ground for UK's engagement is Kentucky, the scope of the university's involvement must extend to the region, to the nation, and to the world.

***Objectives:***

- 1. The university will encourage greater engagement with outside communities.** The engaged university forms effective partnerships with outside communities, matching community needs with university resources, marshalling funds for projects and maintaining a database of service and engagement activities. To facilitate the expansion of its engagement efforts, the university will develop a single point of contact for individuals and organizations seeking partnerships with the university. Assessment efforts such as focus groups, advisory committees, and surveys will be used to foster interactions between the university and outside communities to identify projects that hold the greatest promise of mutual benefit.
- 2. The university will define research and scholarship more broadly to include work that engages the communities it serves.** Engaged research and scholarship addresses significant, current, and relevant problems that face groups and individuals. It is almost always "applied" and can have immediate and important effects on people's lives. It is important that the value of this type of research and the procedures for its validation be understood by all constituents, whether in the university or in the community. As such, faculty and staff reward structures need to be aligned with an appropriately broad definition of applied research.
- 3. The university will increase learning opportunities for its students by involving them in its engagement efforts.** Service learning opportunities, internships, and practica will be enhanced through engagement with community, government, and industry partners as well as in programs and projects in underserved parts of the world. Student-led research, learning, and service will provide opportunities for value-added learning, leading to improved quality of life for both the students and the community members with whom they are engaged. Engaged learning will extend to global learning through participation with industry, government, non-governmental organizations, and academia across the Commonwealth, throughout the United States, and around the world.

## Measures of Progress

### Area

### 2008-2009 Milestone

#### Undergraduate Education

ACT/SAT

Middle 50% 22-28

Student/Faculty Ratio

17.2/1

Education Abroad Participants

600 students

#### Graduate/Professional Education

Doctorates & Professional Doctorates Awarded

694

#### Faculty Development

Number of Full-Time Faculty

2023

Percent Minority Full-time Faculty

African American Faculty: 4%  
All Minority Faculty: 14%

Professional Society Awards & other  
National or International Awards

10% increase over baseline

#### Research

Number of Programs in Top Quartile

20

Citations of Publications

49,000

#### Engagement

Develop and pilot a university-wide assessment strategy to inventory engagement activities and provide information on outcomes and impacts

Engagement assessment strategy established.

#### Staff Development

Complete compensation analysis and implement enhancement plan

Staff enhancement plan implemented.

## EXCELLENCE

- \* Make it a habit in everything UK does.
- \* Begin thinking and acting like a Top 20 university.

## EXPANSION

- \* More faculty, students, and support staff.
- \* Increase research and creative work.

## ENGAGEMENT

- \* Increase collaboration with communities UK serves.
- \* Bring UK research to bear on improving quality of life for Kentuckians.

## ENTREPRENEURSHIP

- \* Instill entrepreneurial spirit in UK the community.
- \* Increase private and federal support for university missions.

## INNOVATION

- \* Increase experimentation.
- \* Encourage risk-taking.

## INTEGRATION

- \* Increase collaborations among all UK academic and support units.
- \* Support interdisciplinary studies and inter-professional training.

## INCLUSIVITY

- \* Embrace and nurture diversity.
- \* Place responsibility and accountability at every level and in every process.

## INTERNATIONALIZATION

- \* Increase international exposure for students through curricular and co-curricular experiences.
- \* Increase UK's international presence and visibility.

# PR 4

Office of the President  
October 10, 2006

Members, Board of Trustees:

## ADMINISTRATIVE REORGANIZATION

Recommendation: that the Board of Trustees approve (a) the creation of the position Vice President for Research in place of the position of Executive Vice President for Research; (b) the establishment of an Office of Economic Development; and (c) the establishment of the position Vice President for Institutional Diversity, effective November 1, 2006.

### (a) VICE PRESIDENT FOR RESEARCH

Background: Establishing a Provost model that encompassed every college, including those in the Medical Center, was a significant organizational change for the University of Kentucky (UK). Since the provost structure has had time to mature, it is time to make other organizational changes. With the solid foundation now established, further organizational changes designed to bring greater focus to UK's Top 20 goals are being proposed. Based on consultation with deans, Senate Council chair, and others, it is proposed that the research operations be incorporated into the Provost model. Specifically, the creation of the position of Vice President for Research with a direct reporting line to the Provost is proposed in place of the current position of Executive Vice President for Research. This new structure is a design established at many of UK's benchmark institutions, and it will facilitate the alignment of research priorities across the entire academic enterprise. Upon approval by the Board, a national search would be launched to fill this position. No major changes in the research administration portion of the organization are planned. The exception will be the areas of economic development, ASTeCC, and intellectual property, where an organizational change is proposed (see below).

### (b) OFFICE OF ECONOMIC DEVELOPMENT

Background: As a part of UK's Top 20 Plan, the university has dedicated itself to improving Kentuckians' educational, health, and economic achievements. The university has multiple assets that contribute directly to the Commonwealth's economic development, but they are dispersed organizationally, not well coordinated, and not easily accessible to outside organizations. While UK has done remarkably well in recent years in taking research results to the market place, there is a great deal more that needs to be done in this regard, especially in light of the considerable growth in research

contemplated in the Top 20 Business Plan. The Office of Economic Development, reporting to the President, will serve as a portal for technology transfer based on university research and as a portal for accessing UK assets by business and government organizations. All university entities with technology transfer, business creation and incubation, and economic development functions will be coordinated and strengthened through this reorganization.

(c) VICE PRESIDENT FOR INSTITUTIONAL DIVERSITY

Background: The Provisional Strategic Plan for 2006-2009 presented to the Board of Trustees in June 2006 (and currently submitted for adoption in final form) calls for a reexamination of the administrative offices principally responsible for implementation of the university's diversity goals. Having concluded that the centrality of diversity at the University of Kentucky should be reflected in UK's administrative structure, the Task Force on Racial Equality and Diversity has endorsed a plan to create a more senior-level administrative position. The Office of the Vice President for Institutional Diversity will be the focal point in the Provost's Office for the establishment of a climate which nurtures and sustains diversity in all spheres of the university. The Vice President for Institutional Diversity will be the senior administrative officer responsible for promoting collaboration across faculty, staff, administration, and students in earnest pursuit of the university's diversity goals. In particular, the Vice President for Institutional Diversity will be charged with the development, implementation, and evaluation of the university's diversity plan, in close collaboration with all relevant governance and administrative groups. The current position of Associate Provost for Multicultural Affairs will be eliminated after the position of Vice President for Institutional Diversity is filled.

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

# PR 5

Office of the President  
October 10, 2006

Members, Board of Trustees:

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

Recommendation: that the Board of Trustees approve the appointment of Robert Addington, Nick Carter, Chauncey Curtz, Catherine C. Thompson, and Paul Vining to the Board of Directors of the University of Kentucky Mining Engineering Foundation for two-year terms, ending June 30, 2008.

Background: The nominating committee of the University of Kentucky Mining Engineering Foundation, which includes the dean of the College of Engineering, recommended these appointments to the Provost. These recommended appointments require approval by the Board of Trustees in accordance with the Articles of Incorporation and By-Laws for the University of Kentucky Mining Engineering Foundation approved by the Board of Trustees at its meeting on December 14, 1982.

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

Bios for Board of Directors  
University of Kentucky Mining Engineering Foundation, Inc.

Robert Addington: Mr. Addington has a 30 year history of large-scale success in the energy business. He and his brothers have built several of the largest independent coal companies in the U.S. For almost as long as he's been in the mining business, Mr. Addington has been working on and investing in alternative energy technologies. One of the companies he owns a significant interest in and manages is commercializing a breakthrough approach to coal and biomass gasification, trademarked Hymelt<sup>®</sup>. Another of his companies, DTX Technologies, is the developer of DTX Oil's innovative process to reclaim/re-refine used lubricating oil. Mr. Addington has also helped to form or acquire and manage successful companies engaged in municipal waste landfills; oil & gas exploration and production; mining equipment design and commercialization; and gold exploration and mining. Mr. Addington has served on the advisory boards of the National Coal Foundation and the Kentucky Energy Policy Board, and continues to serve on the board of the University of Kentucky Center for Applied Energy Research. He has a B.S. in mathematics and industrial technology from Morehead State University.

Nick Carter: Mr. Carter is President and Chief Operating Officer of GP Natural Resource Partners LLC. He has also served as President of the general partner of Western Pocahontas Properties Limited Partnership and New Gauley Coal Corporation since 1990 and as President of the general partner of Great Northern Properties Limited Partnership from 1992 to 1998. Prior to 1990, Mr. Carter held various positions with MAPCO Coal Corporation and was engaged in the private practice of law. He serves as President of the National Council of Coal Lessors, as the former Chair of the West Virginia Chamber of Commerce and as a board member of the Kentucky Coal Association.

Chauncey S.R. Curtz: Mr. Curtz is President of Coal Energy Investments & Management and managing partner of Big Sandy Company LP. Of Counsel with Dinsmore & Shohl LLP, a law firm in Lexington, Kentucky. He was admitted to the bar in 1981, Kentucky and Wisconsin; 1982, U.S. District Court, Eastern District of Kentucky; 1983, U.S. Court of Appeals, Sixth Circuit; 1986, U.S. Supreme Court; 1993, U.S. District Court, Western District of Kentucky. Education: Georgetown University; McGill University (B.S., Honors, 1976); University of Wisconsin (J.D., 1981). He is a member of the Fayette County and Kentucky Bar Associations and his practice areas are natural resources law and commercial litigation.

Catherine C. Thompson: Ms. Thompson is Engineering Manager of Tennessee Valley Authority (TVA) Shawnee Fossil Plant in Paducah, Kentucky. She is responsible for management of the engineering organization of a large fossil power plant. Areas of focus include plant water chemistry control, equipment performance testing, environmental compliance, system performance assessment, significant event analysis, predictive maintenance, plant configuration management, business planning support, and capital projects justification/implementation support. She received a BS in Engineering Physics from Murray State University and M.S. in Chemical Engineering from the University of Kentucky.

Paul Vining: Mr. Vining is President and CEO of Magnum Coal. He has been in the mining industry over 25 years, holding positions with Massey Energy, Island Creek Coal, Peabody and Arch Coal.

# PR 6

Office of the President  
October 10, 2006

Members, Board of Trustees:

WAIVER OF PART X OF THE GOVERNING REGULATIONS PERTAINING TO THE  
EMPLOYMENT OF RELATIVES IN THE CASE OF MALA SUBBASWAMY

Recommendation: that the Board of Trustees authorize the part-time employment of Mala Subbaswamy, wife of Provost Kumble R. Subbaswamy, pursuant to the provision contained in Governing Regulations X authorizing a waiver of the rules prohibiting employment of a relative of the Provost, Vice President, or Associate Vice President in that officer's administrative area.

Background: Until she left Lexington in 1997 when her husband assumed a deanship at the University of Miami, Mala Subbaswamy worked at the University of Kentucky, much of the time as a computer specialist in the Survey Research Center. She returned to Lexington in July of this year when her husband began his duties as Provost. Dr. Richard Clayton (Associate Dean for Research in the College of Public Health), who is familiar with her work as a former employee of the Survey Research Center, has asked Mala Subbaswamy to work part-time as a web specialist in his office.

The Governing Regulations state "no relative of the Provost, or any Vice President, or any Associate Provost or Associate Vice President shall be employed in a position in that officer's administrative area." The Board may permit a waiver of this regulation for up to two years. The regulations further state that the relative is not eligible for reappointment under the terms of any exception unless approval is given by the Board of Trustees. Finally, the regulations prohibit an individual holding an appointment in a position over which a relative exercises supervisory or line authority.

If employed by the College of Public Health, Mala Subbaswamy will hold a position that technically falls in the Provost's administrative area. In light of the fact that Mala Subbaswamy will be employed part-time in a position that is several levels removed from her husband and she has a record of demonstrable success here and elsewhere in the technical field related to the position under consideration herein, it is recommended that the Board grant this waiver so Mala Subbaswamy may resume her employment at the University of Kentucky. Kumble R. Subbaswamy will not be involved in any personnel action concerning Mala Subbaswamy to include merit reviews, compensation, consideration for promotion, reappointment, academic assignment, or any other matter involving her employment or evaluation at the university. The Executive Vice President for Administration will assume all such supervisory responsibilities and if necessary seek higher level approval from the President.

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



# FCR 1

Office of the President  
October 10, 2006

Members, Board of Trustees:

## BARNSTABLE-BROWN PARTY DIAMOND DERBY, INC. PLEDGE

Recommendation: that the Board of Trustees accept a pledge of \$500,000 from the Barnstable-Brown Party Diamond Derby, Inc. of Louisville, Kentucky to create and endow the Barnstable-Brown Pediatric Diabetes Laboratories Research Endowment in the College of Medicine's Department of Pediatrics and submit this pledge of \$500,000 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 Board of Trustees accepted gifts and pledges of \$500,000 in March 1999 from the Barnstable-Brown Party Diamond Derby, Inc. to establish the Barnstable-Brown Chair in Pediatric Diabetes Research. Previous gifts and pledges, along with state matching funds, have resulted in a \$1.8 million endowment to support the Barnstable-Brown Chair. The new endowment created by the pledge accepted in October 2006 will support research conducted in the Barnstable-Brown Pediatrics Diabetes Laboratories by the Barnstable-Brown Chair in Pediatric Diabetes Research.

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

# FCR 2

Office of the President  
October 10, 2006

Members, Board of Trustees:

## COMPED, INC. PLEDGE

Recommendation: that the Board of Trustees accept a pledge of \$100,000 from CompEd, Inc. of Louisville, Kentucky to add to the existing CompEd, Inc. Fellowship Fund in the College of Law and submit this pledge 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: CompEd, Inc. has supported student fellowships in the College of Law since 1994. Ched Jennings, president of CompEd, is a 1972 graduate of the College of Arts and Sciences.

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

# FCR 3

Office of the President  
October 10, 2006

Members, Board of Trustees:

## KENTUCKY MEDICAL SERVICES FOUNDATION PLEDGE

Recommendation: that the Board of Trustees accept a pledge of \$400,000 from the Kentucky Medical Services Foundation to add to the existing Cardiovascular Imaging Professorship Fund in the College of Medicine's division of Cardiovascular Medicine and submit this pledge is of \$400,000 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 Cardiovascular Imaging Professorship Fund supports the salary of the holder and other research support costs.

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

# FCR 4

Office of the President  
October 10, 2006

Members, Board of Trustees:

## ESTATE OF JANET H. KOLLER GIFT TO EQUINE BIOINFORMATICS

Recommendation: that the Board of Trustees accept a gift of \$489,388 from the estate of Janet H. Koller to add to the existing Janet H. Koller Equine Bioinformatics Endowment in the College of Agriculture's Gluck Equine Research Center and submit this gift of \$489,388 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 Board of Trustees accepted the initial distribution of the Janet H. Koller Estate gift at its meeting on January 11, 2005. This gift represents the final distribution from the estate for this endowment.

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

# FCR 5

Office of the President  
October 10, 2006

Members, Board of Trustees:

ESTATE OF JANET H. KOLLER GIFT TO EQUINE INFECTIOUS DISEASE ENDOWMENT

Recommendation: that the Board of Trustees accept a gift of \$489,388 from the estate of Janet H. Koller to add to the existing Janet H. Koller Equine Infectious Disease Endowment in the College of Agriculture's Gluck Equine Research Center and submit this gift of \$489,388 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 Board of Trustees accepted the initial distribution of the Janet H. Koller Estate gift at its meeting on January 11, 2005. This gift represents the final distribution from the estate for this endowment.

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

# FCR 6

Office of the President  
October 10, 2006

Members, Board of Trustees:

## ESTATE OF RUTH J. SOUTHAM GIFT

Recommendation: that the Board of Trustees accept a gift of \$265,000 from the Estate of Ruth Southam to add to the existing John L. and Ruth J. Southam Animal Biopathology Research Endowment in the College of Agriculture's Livestock Disease Diagnostic Center and submit this gift of \$265,000 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 Board of Trustees accepted the first distribution of the Ruth J. Southam Estate on September 20, 2005. This gift represents the final distribution from the estate.

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

# FCR 7

Office of the President  
October 10, 2006

Members, Board of Trustees:

## GIFTS TO THE WILLIAM T. YOUNG LIBRARY ENDOWMENT

Recommendation: that the Board of Trustees accept gifts of \$88,688 to add to the existing William T. Young Library Endowment in the W. T. Young Library and submit these gifts of \$88,688 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 William T. Young Library Endowment provides funds for library research materials, including those in digital or electronic format. Donors include numerous foundations, corporations, and individuals.

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

# FCR 8

Office of the President  
October 10, 2006

Members, Board of Trustees:

## JOSEPH W. CRAFT III GIFT AND PLEDGE

Recommendation: that the Board of Trustees accept a gift of \$401,280 and a pledge of \$5,598,720 from Joseph W. Craft III of Tulsa, Oklahoma to the Capital Projects Gift Fund in the UK Athletic Association. This gift and pledge of \$6 million will be used for the construction of the basketball practice facility.

Background: Joseph W. (Joe) Craft III is a native of Hazard, Kentucky and is a proud supporter of UK Athletics. The \$30 million (\$27.5 million construction and \$2.5 million design) basketball facility will provide practice courts, a training room, a weight room and a video room for the men's and women's basketball programs in addition to administrative offices.

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



# FCR 9

Office of the President  
October 10, 2006

Members, Board of Trustees:

ANONYMOUS GIFT AND PLEDGE OF \$1 MILLION TO THE UK ATHLETIC  
ASSOCIATION

Recommendation: that the Board of Trustees accept a gift of \$200,000 and a pledge of \$800,000 from an anonymous donor to the Capital Projects Gift Fund in the UK Athletic Association. This gift and pledge of \$1 million will be used for the construction of the basketball practice facility.

Background: The anonymous donor is a western Kentucky native and currently lives in another state. The \$30 million (\$27.5 million construction and \$2.5 million design) basketball facility will provide practice courts, a training room, a weight room and a video room for the men's and women's basketball programs in addition to administrative offices.

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

# FCR 10

Office of the President  
October 10, 2006

Members, Board of Trustees:

ANONYMOUS GIFT AND PLEDGE OF \$425,000 TO THE UK ATHLETIC ASSOCIATION

Recommendation: that the Board of Trustees accept a gift of \$38,636 and a pledge of \$386,364 from an anonymous donor to the Capital Projects Gift Fund in the UK Athletic Association. This gift and pledge of \$425,000 will be used for the construction of the basketball practice facility.

Background: The anonymous donor is a life-long resident of eastern Kentucky and is a proud supporter of UK Athletics. The \$30 million (\$27.5 million construction and \$2.5 million design) basketball facility will provide practice courts, a training room, a weight room and a video room for the men's and women's basketball programs in addition to administrative offices.

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

# FCR 11

Office of the President  
October 10, 2006

Members, Board of Trustees:

PROPOSED AMENDMENTS TO GOVERNING REGULATION AND  
ADMINISTRATIVE REGULATION: CAPITAL PROJECT APPROVAL

Recommendation: that the Board of Trustees approve the attached proposed revisions to Administrative Regulation II-1.4-1 and Governing Regulation II.A.6(g) that was received for preliminary consideration at the September 12, 2006 meeting. The proposed revisions relate to legislation passed by the 2006 Kentucky General Assembly that increase threshold amounts for legislative authorization of capital projects.

Background: As reported to the Board at its April 25, 2006 meeting, the 2006 General Assembly enacted Senate Bill 84, which increases the thresholds of capital-related activities that do not require legislative authorization:

- Capital construction projects increased from \$400,000 to \$600,000;
- Purchase or lease of movable equipment increased from \$100,000 to \$200,000; and
- Acquisition, upgrade, or replacement of an information technology system increased from \$400,000 to \$600,000.

Administrative Regulation II-1.4-1 requires that the Board of Trustees approve capital projects prior to their submission for authorization to state government and prior to the initiation of a project. The attached revision updates the administrative regulation to reflect the increased capital project thresholds.

Governing Regulation II.A.6(g) relates to the Board of Trustees' Finance Committee, which has oversight responsibility for the university's financial management. Governing Regulation II.A.6(g) currently requires the Finance Committee to make recommendations to the Board in the areas of capital construction of \$400,000 or more and lease amounts over \$100,000 per year. The attached revision updates the governing regulation to reflect the legislative increase for capital project thresholds.

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

UNIVERSITY OF KENTUCKY  <b>ADMINISTRATIVE REGULATIONS</b>	IDENTIFICATION AR II-1.4-1	PAGE i
	DATE EFFECTIVE 12/14/04	SUPERSEDES REGULATION DATED 7/1/83 10/1/84 9/18/93 9/23/94 6/11/96 8/18/98 11/1/01

POLICIES AND PROCEDURES FOR THE APPROVAL OF CAPITAL PROJECTS  
Approved by Board of Trustees

I. Introduction

The purpose of this Administrative Regulation is to establish a process for approval of capital projects by the University of Kentucky Board of Trustees and submission of capital projects to the Council on Postsecondary Education and the General Assembly for authorization.

II. Definition

For the purposes of this Administrative Regulation, “Capital Project” means:

- A. the construction, reconstruction, acquisition, and structural maintenance of buildings of greater than ~~\$600,000~~\$400,000; or
- B. the acquisition or improvement of a building or real property of greater than ~~\$600,000~~\$400,000;

III. Capital Project Approval Authority

- A. The Board of Trustees or its Executive Committee shall approve:
  - 1. all University of Kentucky capital projects, regardless of fund source and including but not limited to capital projects of the University Hospital and affiliated corporations, prior to initiation; and
  - 2. all bond issuances for University of Kentucky capital projects.
- B. The Board of Trustees shall approve the Operating and Capital budgets prior to the start of each fiscal year.
- C. Pursuant to KRS 45.760, the General Assembly’s Capital Projects and Bond Oversight Committee shall authorize changes in capital project scope or fund source.  
Prior to legislative authorization:
  - 1. The Board of Trustees or its Executive Committee shall approve:
    - a. scope increases to capital projects that exceed fifteen percent (15%); and
    - b. changes in fund source allocation that exceed fifteen percent (15%).

2. The President shall approve:
  - a. scope increases to capital projects that do not exceed fifteen percent (15%); and
  - b. changes in fund source allocation that do not exceed fifteen percent (15%).

D. The President shall provide to the Board of Trustees a Quarterly Capital Construction Report describing the status of ongoing capital projects

#### IV. Capital Request Approval

- A. In April of each odd-numbered year, the University of Kentucky shall submit its Six Year Capital Plan to the Capital Planning Advisory Board. This plan shall be reported to the Board of Trustees at the next meeting. A revised Six-Year Capital Plan may be submitted to the Capital Planning Advisory Board by October 1 of each odd-numbered year.
- B. The University of Kentucky is required to submit an executive budget request to the Commonwealth of Kentucky every two years. In June of each odd-numbered year, the Board of Trustees shall approve the University's Capital Request for the next biennium. Following approval by the Board of Trustees, the Request shall be submitted to the Council on Postsecondary Education. The Capital Request generally represents the first two years of the six-year Capital Plan.
- C. In November of each odd-number year, the Council on Postsecondary Education submits a biennial operating and capital recommendation to the Governor, including a list of capital projects to be authorized for each public university.
- D. Prior to a legislative session in which approval of the Commonwealth's Biennial Budget shall be considered, the President shall provide the Board of Trustees a report on the Capital Request that reflects the Council on Postsecondary Education's recommendations and any known capital project changes or additions for which the University shall seek authorization. However, as needed, the President may submit additional Capital Request changes or additions to the General Assembly during the legislative session. The President shall report the results of the legislative session to the Board of Trustees, including a list of the authorized capital projects. Capital projects that have been authorized by the General Assembly shall be submitted to the Board of Trustees for approval prior to initiation.

- E. During legislative interims, the university may submit to the General Assembly new capital projects or changes to previously authorized capital projects in which at least fifty percent (50%) of the cost is paid for using private and/or federal funds. The Board of Trustees or its Executive Committee shall approve such projects prior to submission to the Council on Postsecondary Education and the General Assembly's Capital Projects and Bond Oversight Committee for interim authorization.
- V. Procedure for Requesting Board of Trustees Approval to Initiate a Project
- A. Prior to requesting Board of Trustees approval to initiate a project, the department, college, or unit shall, in consultation with the Capital Projects Management Division as necessary, develop a Capital Project Plan that includes a:
1. need analysis;
  2. project scope; and
  3. financial plan.
- B. The Capital Project Plan shall be submitted to the Provost or appropriate executive vice president for review. The Provost or appropriate executive vice president shall, in consultation with the Executive Vice President for Finance and Administration (EVPFA), the Office of the Treasurer (OT), and the Office of Planning, Budget, and Policy Analysis (OPBPA), make a recommendation to the President.
- C. The President shall determine whether to recommend the Capital Project to the Board of Trustees.
- D. Project scope increases or decreases and revised financial plans shall be reviewed by the EVPFA, in consultation with the OT and the OPBPA, prior to implementation.

References:

KRS 164A.560; KRS 7A.010; KRS 45.760  
University of Kentucky Governing Regulation II

## PART II

### GOVERNANCE OF THE UNIVERSITY OF KENTUCKY

The governance of the University of Kentucky is vested by law in the Board of Trustees (KRS 164.131). Within the limits set by the State Constitution and the federal and state laws,\* the Board of Trustees is the final authority in all matters affecting the institution and exercises jurisdiction over the institution's financial, educational, and other policies and its relation with the state and federal governments.

These *Governing Regulations* describe the composition, powers, and duties of the Board of Trustees of the University of Kentucky, as defined by Kentucky Revised Statutes, and establish policies and procedures for the performance of its functions. In these *Governing Regulations*, the Board of Trustees delegates certain responsibilities to the President, the University Senate, the Staff Senate, the Student Government Association, the Graduate Faculty, and the faculties of educational units in order to provide for the responsible and efficient administration of the University and the accomplishment of its goals.

As the chief administrative officer of the University, the President is authorized by the Board of Trustees to promulgate the *Administrative Regulations* including the *Human Resources Policy and Procedures Administrative Regulation*, to provide interpretation and implementation of these *Governing Regulations*, and of the *Minutes of the Board of Trustees*, and to delineate policies within the sphere of delegated responsibility. Chief administrative officers are authorized to establish unit policies and procedures attendant to their delegated administrative responsibilities.

At an institution-wide level, the University Senate, as a primary educational policy-forming agency of the University, establishes the broad academic policies of the University. Within the limits set by the Board of Trustees and the University Senate, the Graduate Faculty is delegated jurisdiction over programs leading to graduate degrees and has the responsibility to safeguard, promote and assist in the development of research in all fields. Within the limits set by the institution-wide policies of the Board of Trustees, the University Senate, and the Graduate Faculty, the respective faculties exercise the governance role of policy-making responsibility for the instructional, research and service programs of their educational units. The University Senate, the Graduate Faculty, and the faculties of educational units are authorized to issue rules concerning the policy and procedure-making responsibilities that are attendant to their delegated educational policy-making role.

Where appropriate, the rules and regulations appearing in the *Administrative Regulations*, *Human Resources Policy and Procedures Administrative Regulations* and *University Senate Rules* should refer to the source or sources in these *Governing Regulations* or *Minutes of the Board of Trustees*.

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\* The Council on Postsecondary Education in Kentucky (KRS 164.020) has powers and duties that relate to the governance of the University of Kentucky. These powers and duties are listed in the Appendix to these regulations.

A. Board of Trustees

1. Definition

The Board of Trustees is a body corporate, under the name of Board of Trustees of the University of Kentucky, with the usual corporate powers, and possesses all the immunities, rights, privileges, and franchises usually attaching to the governing bodies of educational institutions. It may receive, hold, and administer, on behalf of the University, subject to the conditions attached, all revenues accruing from endowments, appropriations, allotments, grants or bequests, and all types of property. (KRS 164.160)

2. Membership

The Board of Trustees of the University of Kentucky consists of sixteen members appointed by the Governor, two (2) University faculty members who shall have the right to vote on all matters except that of faculty compensation, one (1) University staff employee, and one (1) University student.

(a) Appointed Members

The Governor shall make the appointments so as to reflect proportional representation on the Board of the two leading political parties of the Commonwealth based on the state's voter registration and to reflect no less than proportional representation of the minority racial composition of the Commonwealth. Appointments to fill vacancies shall be made for any unexpired terms in the same manner as provided for the original appointments. (KRS 164.131)

The terms of the appointed members shall be for six (6) years and until their successors are appointed and qualified. Three (3) of the appointments shall be graduates of the University and may include one (1) graduate of the institution who may reside outside the Commonwealth; three (3) shall be representative of agricultural interests; and ten (10) shall be other distinguished citizens representative of the learned professions. Each graduate member is appointed by the Governor from a list of three (3) names submitted by the alumni of the University according to a method prescribed by the Board of Trustees, upon recommendation of the UK Alumni Association, pursuant to KRS 164.131(2)(a); KRS 164.140. The prescribed methods are published in the *Minutes of the Meetings of the Board of Trustees* (May 6, 2003).

(b) Elected Members

The number of faculty members, staff employees, and student members elected to the Board of Trustees shall not exceed four (4). (KRS 164.131)

(i) The two (2) faculty members representing the University shall be members of the faculty of the rank of assistant professor or above, elected by secret ballot by faculty members of the rank of assistant professor or above.



In accordance with KRS 164.131(3), faculty members eligible to vote and eligible to serve as elected members of the Board of Trustees shall be those regular, full-time employees conferred with a faculty title and a rank at the level of assistant professor (or its equivalent, librarian III) or above, whose primary assignments, i.e., more than fifty percent (50%), are in instruction, research, and/or public services, as defined in *Human Resources Policy and Procedure Administrative Regulation Number 4.0: Employee Status*.

The faculty members shall serve for terms of three (3) years and until their successors are elected and qualified. They are eligible for re-election but are ineligible to continue to serve as members of the Board of Trustees if they cease to be members of the faculty. Elections to fill vacancies for any unexpired terms shall be held in the same manner as for the original elections.

The authority to develop procedures for the election of faculty members to serve as members of the Board of Trustees, in accordance with the provisions of KRS 164.131(3), is hereby delegated to the University Senate.

(ii) The staff employee representing the University shall be a regular, full-time staff employee as defined in the *Human Resources Policy and Procedure Administrative Regulation Number 4.0: Employee Status*, excluding the President, Provost, executive vice presidents, vice presidents, and academic deans. The staff trustee shall represent all University staff employees.

The staff member shall serve a term of three (3) years and until a successor is elected and qualified. The staff member shall be eligible for reelection, but is ineligible to continue to serve as a member of the Board of Trustees if the staff employee ceases to be an employee of the University. Elections to fill vacancies shall be for any unexpired term and shall be held in the same manner as provided for the original election.

The staff trustee shall be elected by secret ballot by the regular, full-time staff employees, including the President, Provost, executive vice presidents, vice presidents and academic deans.

The authority to develop procedures for the election of a staff employee to serve as a member of the Board of Trustees, in accordance with the provisions of KRS 164.131(4) is hereby delegated to the Staff Senate.

(iii) The student member shall be the President of the Student Government Association during the appropriate academic year and may be an out-of-state resident. If the student member does not maintain the position as President or status as a full-time student at any time during that academic year, a special election shall be held to select a full-time student. The authority to develop procedures for the election of a student of the University to serve as a member of the Board of Trustees, in accordance with the provisions of KRS 164.131(5), is hereby delegated to the Student Government Association.

(c) Non-voting members

Pursuant to KRS 164.170 and 164.131(1)(e), the Board of Trustees may from time to time designate persons as nonvoting honorary members of the Board of Trustees, with responsibilities and privileges as it may deem appropriate, except for the power to vote.

3. Meetings

The Board of Trustees shall meet at least quarterly. Special meetings may be called by the Chair or by any three (3) members upon giving ten (10) days' written notice to each member of the Board of Trustees. The business to be transacted at special meetings shall be specified in the notice of the meeting. All meetings are to be held on the campus of the University unless otherwise specified by a majority vote of the Board of Trustees. A majority of the voting members of the Board of Trustees constitutes a quorum. (KRS 164.170)

The Board of Trustees may adjourn any regular or called meeting to any date that it may set for such adjournment. Any meeting of the Board of Trustees, if a quorum is not present, may be adjourned by the members attending to a time when a quorum shall be present.

The meetings of the Board of Trustees shall be open to the public. The Board of Trustees is required to arrange for a stenographic transcript of each of its meetings to be prepared and filed, to send an agenda for each of the meetings to each member of the Board of Trustees, and to make a copy of the agenda available to the press. (KRS 164.170) The Board of Trustees and its committees shall operate in compliance with the provisions of the Open Meetings Law. (KRS 61.800-KRS 61.850)

All necessary expenses incurred by the Trustees in traveling to and from and while attending meetings of the Board of Trustees are designated to be paid out of the funds of the University. (KRS 164.170)

4. Conflicts of Interests of Board Membership

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

No member of a board of trustees shall have an interest in any contract with a state university unless such contract shall have been subjected to competitive bidding in compliance with KRS Chapter 45A, unless such trustee shall have been the lowest bidder and unless such trustee shall have first notified in writing the remaining members of the board, and to the newspaper having the largest circulation in the county in which the state university is located, of his intention to bid on such contract. (KRS 45A.340(7))

No member of the Board of Trustees may be held to be a public officer by reason of membership on the Board except as provided in KRS 45A.335 for the purpose of KRS 45A.340. (KRS 164.150)

5. Officers

The Chair, Vice Chair, Secretary, and Assistant Secretary of the Board of Trustees shall be elected annually at the first fall meeting of the Board of Trustees. (KRS 164.180) The Chair of the Board of Trustees shall be limited to no more than four (4) consecutive terms as Chair. In the absence of the Chair, the Vice Chair presides at meetings of the Board of Trustees and of the Executive Committee.

The Secretary keeps the minutes of all meetings, issues notices of meetings, and provides for the publication and distribution of the minutes in accordance with instructions from the Board of Trustees. The Secretary is responsible for the maintenance of an official revised copy of these *Governing Regulations* and for the publication of revisions. The Assistant Secretary is empowered to perform the duties of the Secretary when the Secretary is not present. The Assistant Secretary need not be a member of the Board of Trustees.

6. Standing and Special Committees

The purpose of standing and special committees is to assist the Board of Trustees in its oversight role by gathering information, discussing, and providing advice on policy proposals prior to their coming before the entire Board of Trustees. Membership of standing committees shall include at least five (5) members of the Board of Trustees including the committee chair.

(a) Executive Committee

The Board of Trustees annually elects an Executive Committee of five (5) members that has the powers that the Board of Trustees delegates to it as prescribed in KRS 164.190. This election shall be held at the first fall meeting of the Board of Trustees. Vacancies may be filled at any meeting of the Board of Trustees. The Chair of the Board of Trustees shall be one (1) of the five (5) members and shall also serve as Chair of the Executive Committee. In general, the Executive Committee exercises oversight of the financial and business interests of the University and possesses the same powers as the Board of Trustees during the periods between meetings of the full Board of Trustees.

Meetings may be held as necessary at the call of the Chair. The Secretary of the Board of Trustees is the *ex officio* Secretary of the Executive Committee. The President shall attend all meetings.

The Executive Committee is required to submit to the Board of Trustees at each meeting, for the latter's consideration and approval, a complete record of the proceedings of the Executive Committee. The authority of the Board of Trustees to amend the action of the Executive Committee does not extend to the rejection of any valid or authenticated expenditure of money

by the Executive Committee (KRS 164.190). The Executive Committee shall serve as a hearing panel in the event of a faculty member, staff employee, or student appeal coming to the Board of Trustees. The Executive Committee shall also serve as a hearing committee in the event of a community member or group desiring to address the Board of Trustees. (AR II-1.0-4)

The Executive Committee shall serve as the performance review committee for the President, setting and reviewing goals each fiscal year. The Executive Committee shall involve the entire Board of Trustees in this evaluation and shall also solicit input from the executive committees or executive councils of the University Senate, Staff Senate, and Student Government Association.

(b) Academic Affairs Committee

(i) The Academic Affairs Committee reviews recommendations on policy matters pertaining to the academic mission of the University in instruction, research, and public service as well as to policy matters concerning academic freedom, tenure, and shared governance.

(ii) The Committee reviews academic program proposals from the President to ensure that a) the academic programs are consistent with the University's mission; b) resources are available to achieve academic priorities as set forth in the strategic plan; c) academic programs are appropriate for its student needs; and d) the University has a system in place for assessing the effectiveness of its academic programs.

(iii) The Committee reviews new program proposals and changes in the academic units or in the academic organization to ensure these proposals or changes will effectively carry out the academic mission.

(iv) The Committee reviews the list of candidates for academic degrees approved by the faculty of the University through the University Senate for submission to the Board of Trustees.

(v) The Committee provides needed information to the Board of Trustees.

(c) Student Affairs Committee

This committee reviews recommendations regarding revisions of the *Code of Student Conduct*. The Committee reviews recommendations concerning the general welfare of students and the adoption of rules, procedures, rights, and responsibilities governing non-academic relationships between the University and its students.

(d) Human Resources Committee

This committee reviews recommendations to the Board of Trustees regarding policies pertaining to employee benefits, rights and privileges requiring Board of Trustees approval.

(e) University Relations Committee

This committee reviews recommendations relating to the economic, social, and public policy environments within which the University operates that directly affect the University. The Committee reviews policies or policy proposals regarding marketing and development as well as public, governmental, and alumni relations.

(f) Investment Committee

Under delegation from the Board of Trustees, and consistent with KRS 164A.550 through 164A.630, the Investment Committee is responsible for review and oversight of the endowment investment programs of the University and its affiliated corporations. These responsibilities include: formulating and reviewing investment policies; appointing, monitoring and evaluating investment managers and consultants; and reviewing and approving plans for the general management of the endowment funds of the University.

The Investment Committee Chair reports to the Board of Trustees after each meeting of the committee on the performance results of endowment investments. Policies of the committee are implemented by the Office of the Treasurer in carrying out the day-to-day operations of the University's endowment funds.

(g) Finance Committee and Audit Subcommittee

This committee ensures the financial stability and long-term economic health of the University by monitoring the financial operations of the University and its affiliated corporations and making appropriate recommendations to the Board of Trustees to ensure achievement of the University's mission. Consistent with KRS 164A.550 through 164A.630, the committee maintains oversight responsibility for the financial management of the University in the areas of accounting, auditing, payroll, purchasing, capital construction, real property, and affiliated corporations. The Committee shall oversee the budgets of the University by reviewing and recommending to the Board of Trustees on the annual operating budgets. The Committee shall ensure that accurate and complete financial records are maintained by reviewing and recommending to the Board of Trustees on annual financial reports and related recommendations from the Audit Subcommittee, interim financial reports, ~~capital construction reports~~, long-term debt obligation, gifts to the University, capital projects of \$600,000~~\$400,000~~ or more, leases over \$200,000~~\$100,000~~ per year, disposition of property, sale of assets, and financial transactions not provided for in the annual operating budget.

The Audit Subcommittee recommends to the Finance Committee on the appointment of the external auditors, receives and reviews the annual reports from the external auditors, and makes recommendations to the Finance Committee concerning these reports.

(h) Nominating Committee

This committee nominates officers of the Board of Trustees and members of the Executive Committee. The Committee reviews and recommends the appointment of trustees to the boards and committees of the University and its affiliated entities.

(i) University Hospital Committee

This Committee shall serve as a governing body to operate the University Hospital in accordance with the Joint Commission on Accreditation of Health Care Organizations (JCAHO). This responsibility includes management oversight for the development of policies, rules, and regulations for the governance of the University Hospital. Policies of the Committee are implemented by the Executive Vice President for Health Affairs in carrying out the day-to-day operations of the University Hospital.

The membership of the Committee shall include five members from the Board of Trustees. Each member shall be appointed by the Chair of the Board of Trustees acting upon recommendation of the President of the University. The initial Board of Trustee member appointments to the University Hospital Committee shall be for staggered terms in the following manner: two members for three years, two members for four years and one member for five years. Any Board member appointed thereafter shall serve for three years and may be reappointed for an additional three years. Any vacancy occurring before the expiration of the term of the appointment shall be filled for the unexpired term. A quorum of the Committee members must be present in order to conduct business.

The University Hospital Committee may create sub-committees and shall create committee rules to guide their governance consistent with the Joint Commission on Accreditation of Health Care Organizations (JCAHO).

(j) Special Committees

Special committees may be established and appointed at any time by the Chair of the Board of Trustees and with such charge as the Board of Trustees Chair may determine. Special committees shall carry out their duties as specified and report to the Board of Trustees. Such committees shall function until discharged. Membership shall include trustees and may also include persons who are not Board of Trustees members.

7. Powers and Responsibilities

The powers and responsibilities of the Board of Trustees include the following:

(a) Establish proper regulations for the governance of the University and the physical training, military or otherwise, of the students. The Board may authorize the suspension and

dismissal of students for neglect or violation of the regulations or for other conduct prejudicial to the character and welfare of the University. (KRS 164.200)

(b) Determine the colleges, schools, divisions, departments, bureaus, and offices which shall comprise the University within the scope of the Acts of Congress approved July 2, 1862, and Acts supplementary thereto, and the relation which each division shall sustain to each other division and to the whole. It may devise, allot, and arrange the distribution of divisions with the designation appropriate for each, and devise the means required for their effective instruction, administration, and governance. (KRS 164.210)

(c) Appoint a President, professors, assistants, tutors and other personnel and determine the compensation, duties, and official relations of each and in making such appointments no preference may be shown to any religious denomination.<sup>†</sup> The Board is required to provide compensation for all positions created and filled by the Board of Trustees. The Board may provide for employee retirement benefits and such other employee benefits as are related to the respective employments and services furnished. Retirement plans may include, but without limitation, the retirement ages, the benefits of employees including group insurance, annuities, establishment of a trust fund or funds, and, the amounts to be paid or contributed by employees and the amounts to be paid or contributed by the University of Kentucky, and other appropriate terms and provisions with respect thereto. (KRS 164.220)

(d) Suspend or remove any of the officers, teachers, professors, or agents that it is authorized to appoint, except that no President, professor, or teacher may be removed except for incompetence, neglect of or refusal to perform duties, or for immoral conduct, and then only after ten (10) days' notice in writing stating the nature of the charges preferred, and after the individual has been given an opportunity to make defense before the Board of Trustees by counsel or otherwise and to introduce testimony which shall be heard and determined by the Board of Trustees. (KRS 164.230)

(e) Grant degrees to graduates of the University, prescribe conditions for the award of honorary degrees, and confer such honorary degrees, upon the recommendation of the faculty of the University, as it deems proper. (KRS 164.240)

(f) Make a full report to the General Assembly, within the first month of each even-numbered year regular session, of the condition and operation of the University since the date of the previous report, with such recommendations concerning the University as are deemed necessary. (KRS 164.250)

(g) Acquire additional lands or other property or material for the purpose of expanding its plant and extending its usefulness. When unable to contract with the owner of land or other property or material necessary for the purposes of the University, it may acquire the same by condemnation proceedings in the manner provided in KRS 416.010 to 416.080. (KRS 164.260)

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\* See Parts I.D.2.(c)(1) and X.A.

(h) Dispose of real estate held by the Commonwealth for the use or benefit of the University or the Kentucky Agricultural Experiment Station as authorized in KRS 164.270 and KRS 45.360.

8. Order of Business

The order of business at meetings of the Board of Trustees normally is as follows:

- Call to Order
- Roll Call
- Reading and Approval of Minutes with Necessary Modifications
- Report of the President
- Consideration of President's Recommendations for Action
- Consideration of President's Discussion Items
- Reports of Committees
- Other Business
- Adjournment

The most recent version of *Robert's Rules of Order* shall be observed in conducting the business of the Board of Trustees except as these may be modified by regulations adopted by the Board of Trustees.



# FCR 12

Office of the President  
October 10, 2006

Members, Board of Trustees:

AUTHORIZATION TO CONVEY 1.7 ACRES  
TO THE CENTER FOR RURAL DEVELOPMENT, INC.

Recommendation: that the Board of Trustees authorize the Executive Vice President for Finance and Administration to convey, at no cost, 1.7 acres of University of Kentucky property to the Center for Rural Development, Inc. in Somerset, Kentucky.

Background: On January 12, 1994, the city of Somerset, Kentucky conveyed, at no cost, a total of 16.59 acres to the university to be used as the site for the construction of the Center for Rural Development. The city of Somerset and the university agreed to cooperate in the construction of the center on this site for the use and benefit of the university, the city of Somerset, Pulaski County, Somerset Community College, and the Commonwealth's Fifth District. This property was condemned and paid for by the city of Somerset for this purpose. The university constructed the center on the site with funds provided by the Commonwealth, federal, and local governments.

The center has recently distributed a Request for Proposals to build an upscale hotel adjacent to the center on a site which includes the 1.7 acres mentioned above (currently used, in part, for parking). The hotel is intended to attract meetings and events that will compliment and enhance the non-profit mission of the center, to wit, increase economic opportunity, improve infrastructure, elevate the quality of life, and attract tourism to the area.

On February 20, 1996, the university leased the facility to the center for \$1.00 per year in accordance with its stated objectives. On January 15, 2003, the university and the center amended the lease to detail their respective obligations and responsibilities of maintenance and operations of the facility.

This transfer of 1.7 acres has been requested by the center to assist it in furtherance of its mission.

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

# FCR 13

Office of the President  
October 10, 2006

Members, Board of Trustees:

## RENOVATE THIRD FLOOR OF THE LITTLE LIBRARY

Recommendation: that the Board of Trustees approve initiation of the renovation of the third floor of the Little Library.

Background: This project, authorized by the 2006 General Assembly, will renovate and fit-up 7,178 square feet of the third floor of the Little Library for the College of Communications and Information Studies. The renovation will provide much needed space for faculty and college support offices and a student lounge. The college will move from the fifth floor of the M. I. King Library. The vacated M. I. King Library space will be used to address other needs related to expanding faculty, increasing enrollment and growing research programs. The renovation is expected to cost approximately \$1.9 million with the completed project not to exceed the authorized scope of \$2.5 million. The project will be paid for with unrestricted fund balances.

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

# HRCR 1

Office of the President  
October 10, 2006

Members, Board of Trustees:

PROPOSED AMENDMENT TO GOVERNING REGULATIONS:  
SMOKE-FREE POLICY

Recommendation: that the Board of Trustees approve the attached revision of Governing Regulations, Part I, which was received for preliminary consideration at the September 12, 2006 Board meeting. The proposed revision relates to legislation passed by the 2006 Kentucky General Assembly that requires each of the state's postsecondary education institutions to adopt a written policy relating to smoking.

Background: The 2006 General Assembly enacted House Bill 55 (Kentucky Revised Statute 61.165) which requires the board of trustees for each of the state's postsecondary education institutions to adopt a written policy relating to smoking in all buildings owned, operated, or under the jurisdiction of the institution. The policy must:

- (a)
  - 1. Provide for accessible indoor smoking areas in any building where smoking is otherwise restricted; and
  - 2. Favor allowing smoking in open public areas where ventilation and air exchange are adequate and there are no restrictions otherwise placed on the area by the state fire marshal or other similar authority; or
- (b) Prohibit indoor smoking.

University of Kentucky Governing Regulation, Part I, relates to the University's Vision, Mission, and Values, and includes its Ethical Principles and Code of Conduct. The attached revision: (a) adds a general smoke-free policy to the Governing Regulation; and (b) delegates to the President the authority to promulgate an Administrative Regulation related to this policy.

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

By virtue of the above, University of Kentucky facilities shall be used only for educational, cultural or charitable purposes, or other purposes as determined by the President or by the administrative officer to whom the President has delegated this responsibility in accordance with these *Governing Regulations*, *Administrative Regulations*, and *University Senate Rules*.

K. Political Activity

The University cannot endorse, support or promote any political candidate or any partisan political activity. Therefore, University facilities shall not be used for conventions, rallies, or any campaign activities that would further the interests of a political party\* or of a candidate or candidates for public office. The facilities of the University may be used for public forums to which all legally qualified candidates for a public office are invited to speak provided that all such candidates are given equal access and opportunity to speak.

University facilities may be used by registered student organizations for meetings with a candidate or candidates for public office when meetings are open in attendance to students, faculty members, and staff employees of the University.

In accordance with the Constitution of the Commonwealth of Kentucky, the decisions of the United States Supreme Court, and the opinions of the Office of the Attorney General to the Commonwealth of Kentucky, University facilities shall not be used to advance or inhibit religion.

L. Smoke-Free Policy

Kentucky Revised Statute 61.165 requires the Board of Trustees to adopt a written policy related to smoking in buildings owned, operated, or under the jurisdiction of the University. Smoking is generally prohibited in all University owned, operated, leased or controlled buildings, and enclosed walkways or bridges. Smoking is also prohibited within a reasonable distance from building entrances, exits, air intake ducts, and windows. The President is delegated authority to promulgate an appropriate Administrative Regulation.

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\*"Political party" is defined as a voluntary association of persons formed and organized for the purpose of nominating or electing candidates for public office. This definition includes, but is not limited to, the meaning of "political party" as defined in KRS 119.010.

# HRCR 2

Office of the President  
October 10, 2006

Members, Board of Trustees:

## CHANGES TO THE UK RETIREMENT ADMINISTRATIVE REGULATION

Recommendation: that the Board of Trustees approve changes to the University of Kentucky Retirement Plan as defined in AR II-1.6-1. Changes to the Plan include the removal of the mandatory retirement age for executives at age 65 and a complete reformatting of the administrative regulation by placing historical sections of the document in two separate appendices.

Background: The university has received feedback from various campus groups and committees regarding the need to eliminate the requirement to vacate an executive position at age 65. The President's Commission on Women has indicated this age provision is restrictive to female executives who may have started their career later or had mid career interruptions due to family responsibilities. Most of the benchmark institutions do not have a mandatory retirement age for executives. (Attachment A).

The formatting change is needed to clarify and make the AR more user-friendly by placing outdated sections of the administrative regulation related to historical "Contribution Amounts and Vesting" along with the "Supplemental Unfunded Retirement Plan" in to two separate appendices where they will be maintained for reference. The actual body of the administrative regulation will contain information that is relevant to the current workforce.

A revised copy of AR II-1.6.1 is enclosed (Attachment B). The language being deleted related to the removal of the mandatory retirement age is redlined. A copy of AR II-1.6.1 prior to the reformatting is enclosed as well (Attachment C). Eliminating the mandatory retirement age for executives will bring the university in line with benchmark institutions and allow the university to recruit and retain mid-career employees for executive positions.

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

Attachment A  
Mandatory Retirement Policy -- Benchmarks

Michigan State University	NO	Repealed. Mandatory retirement policy for police officers only at, age 70.
North Carolina State University	NO	
Pennsylvania State University	NO	Repealed in 1992.
University of Arizona	NO	The current University President is retiring this year at age 70.
University of Florida	NO	
University of Georgia	NO	
University of Illinois	NO	
University of Iowa	NO	
University of Maryland	NO	
University of Michigan	NO	
University of Minnesota	NO	
University of North Carolina – Chapel Hill	NO	Current Chancellor is currently over 65.

Attachment A  
Mandatory Retirement Policy -- Benchmarks

University of Virginia	NO	
University of Washington	NO	Repealed in 1994.
University of Wisconsin	NO	
Texas A & M University	YES	65 – Texas is increasing to age 70. Policy does not specifically define “bona fide executive or high policymaking position”. Texas interprets the policy to apply only to highest level executives, such as Chancellors, Presidents, and Senior VPs. It does not include Deans. It has not been enforced in the past 7 years.
University of California – Los Angeles	YES	67 – Policy includes Deans. Selectively enforced. Most get a post-retirement continuing appointment. They also hire new executives who are over the age limit.
Ohio State University	YES	70 – Regular officers and employees. 65 – “Principle Administrative Officers”, defined as “President’s Planning Cabinet members, Exec dean of the colleges of the arts and sciences, Deans of colleges, Dean and directors of regional campuses and their designated staffs, Director of the university libraries, Chairs of academic departments, Directors of schools and academic centers, Director of athletics, Members of president’s planning cabinet shall identify to the president such other persons in their areas of responsibility who shall be considered principle administrative officials of the university.” The policy contains an option whereby Principle Officers may opt to remain until age 70, but it may be in another capacity.  The policy states, “nothing herein shall preclude such an officer from being retained in the employment of the University in some other capacity until the mandatory retirement date next following the attainment of age 70, and it is the express intention of the Board that such persons shall be retained in the employment of the University where practicable if they so desire until they reach the normal retirement date next following the attainment of age 70.”
		Ohio originally responded that they did not have a mandatory retirement policy, but legal

Attachment A  
Mandatory Retirement Policy -- Benchmarks

		counsel later advised me of a 1959 Board Resolution. Interestingly, the counsel's email stated, "I apologize for the delay, but it seems this was an obscure concept on my campus".
Purdue University	YES	65 – "Executives" are defined as "President, Executive VPs, VPs, Chancellors, Deans of Academic Schools and the Dean of Libraries, and Director of Agricultural Experiment Station, Cooperative Extension Service, and Intercollegiate Athletics."

- 15 Universities do not have a mandatory retirement policy for executives.
- 4 Universities have mandatory retirement policies for executives.
  - Texas – currently age 65, but revising policy to age 70. Deans are not included.
  - UCLA – age 67. Deans are included.
  - Ohio – age 70 for regular employees and officers. Age 65 for Principal Administrative Officers. Includes Deans. Ohio's Policy gives the Principle Administrative Officers an option to remain at the university in some other capacity until age 70, if the Principle Administrative Officer so desires.
  - Purdue – age 65. Deans are included.

2/6/2006



## Attachment B

UNIVERSITY OF KENTUCKY  <b>ADMINISTRATIVE REGULATIONS</b>	IDENTIFICATION AR II-1.6-1	PAGE 1
	DATE EFFECTIVE mo/dd/yy	SUPERSEDES REGULATION DATED 8/21/90, 6/16/92, 12/12/95, 6/11/96, 3/4/97, 7/1/98, 9/19/00, 8/13/02, 3/1/03

### UNIVERSITY OF KENTUCKY RETIREMENT PLAN (APPROVED BY THE BOARD OF TRUSTEES)

#### I. Introduction

The policies governing the University of Kentucky Retirement Plan are set forth in this administrative regulation. The University of Kentucky Board of Trustees has authorized three retirement plan carriers to be utilized by University of Kentucky employees: Teachers Insurance and Annuity Association/College Retirement Equities Fund (TIAA/CREF); Fidelity Investment Tax-Exempt Services Company (Fidelity Investments); and American Century Investors, Inc. (American Century). It is the Board's intention that University employees be given a wide range of investment options during the years in which contributions are being made on the employees' behalf as well as a wide range of withdrawal options at the time of retirement. The term "retirement plan carrier," as used throughout this administrative regulation, includes all three retirement plan carriers that have been authorized by the Board of Trustees.

#### SUPPLEMENTAL ("Unfunded") RETIREMENT INCOME

Employees in retirement groups I, II and III, referred to in Section II, who were age 40 or older prior to the date of establishment of each group plan, and who were employed by the University prior to that date, qualify for the minimum annual retirement benefit provisions of the retirement plan. Benefits for these eligible employees are based upon a percentage, determined through years of service, of the participant's annual salary in the last year of employment prior to retirement. Retirement benefits as determined are funded by each individual retiree's accumulation in the group retirement plan, with the balance, if necessary, provided by the University as supplemental retirement income. For complete details on the Supplemental Unfunded Retirement Plan, refer to Appendix I.

The policies governing insurance benefits for University retirees are a part of the Human Resources Policy and Procedure Administrative Regulations and are found in Numbers 91.0, 93.0, and 94.0. Information on these insurance programs is not included in this Administrative Regulation.

#### II. Retirement Groups

##### A. Eligibility

1. Group I Personnel

Eligibility of personnel for classification in Group I is conditioned upon:

- (a) regular full-time employment;
- (b) employment in a faculty position or a position otherwise specifically approved for Group I by the President; and,
- (c) occupation of a position not covered by the United States Civil Service Retirement Plan or the Federal Employees Retirement System.

2. Group II Personnel

Eligibility of personnel for classification in Group II is conditioned upon:

- (a) regular full-time employment with the University or, upon approval of the Board of Trustees, with an agency for which the University serves as fiscal and payroll agent;
- (b) employment in a position classified as technical and scientific staff, office and clerical staff, or service and maintenance staff; and,
- (c) occupation of a position not covered by the United States Civil Service Retirement Plan.

3. Group III Personnel

Eligibility of personnel for classification in Group III is conditioned upon:

- (a) regular full-time employment with the University or, upon approval of the Board of Trustees, with an agency for which the University serves as fiscal and payroll agent;
- (b) employment in a position classified as administrative staff, managerial specialist staff, or professional staff;
- (c) occupation of a position not covered by the United States Civil Service Retirement Plan or the Federal Employees Retirement System; and,
- (d) approval by the President or his delegate.

4. Group IV Personnel

Eligibility of personnel for classification in Group IV is conditioned upon:

- (a) regular full-time employment;
- (b) occupation of a position covered by the United States Civil Service Retirement Plan; and,
- (c) eligibility rights under the United States Civil Service Retirement Plan.

5. Group V Personnel

Eligibility of personnel for classification in Group V is conditioned upon:

- (a) regular full-time employment;
- (b) occupation in a position covered by the Federal Employees Retirement System (FERS) Act; and,
- (c) participation rights under the FERS retirement plan.

B. Participation Requirements

1. Mandatory Participation

Participation of Groups I, II and III personnel is mandatory upon attainment of age 30. Participation is voluntary prior to age 30. An employee who enrolls under the voluntary provisions of this policy shall make an irrevocable, one-time salary reduction agreement when entering the plan; that employee may not withdraw from the University's retirement plan as long as that employee remains eligible for plan participation.

2. Voluntary Participation

Participation of Groups IV and V personnel is voluntary. An employee who enrolls under the voluntary provisions of this policy shall make an irrevocable, one-time salary reduction agreement when entering the plan; that employee may not withdraw from the University's retirement plan as long as that employee remains eligible for plan participation.

3. Historical Detail – refer to Appendix II.

III. Contributions and Vesting

A. Groups I, II, III and IV

Notwithstanding any provision to the contrary contained herein, all Groups I, II, III and IV personnel who have satisfied the age and service requirements for mandatory participation shall be required to contribute on a salary reduction (pre-tax) basis all contributions which are required to be made by the participant according to the applicable contributions schedule contained herein; provided; however, that this provision shall not apply to any participant who prior to December 22, 1986, was making contributions on a salary deduction (after-tax) basis.

Contributions toward retirement benefits for participating Group I, II, III and IV personnel, from FY 1997-98 forward, shall be made in accordance with the following schedule:

**Contributions as a Percent of Basic Annual Salary**

<u>By the Participant</u>	<u>By the Institution</u>	<u>Total</u>
5%	10%	15%

B. Group V

Contributions to the retirement plan shall be made in accordance with the following schedule:

**Contributions as a Percent of Basic Annual Salary**

<u>By the Participant</u>	<u>By the Institution</u>	<u>Total</u>
1%	2%	3%

C. President, Provost, Executive Vice Presidents, General Counsel, and Chief of Staff to the President

Annual contributions to the Retirement Plan shall be made on behalf of the President, Provost, each executive vice president, the General Counsel, and the Chief of Staff to the President in an amount equal to the aggregate of employee and University contributions otherwise provided herein for Group I employees

D. Historical Detail – refer to Appendix II.

E. Vesting

Retirement benefits purchased with the combined employee and University contributions shall become the property of individual participants immediately upon purchase. The employee is 100% vested. All benefits are primarily for the purpose of providing retirement and/or death benefits.

IV. Plan Limits (Groups I, II, III, IV and V)

A. Beginning July 1, 1996, the University shall withhold the contribution of the participant from regular salary payments, add its contribution, and remit the combined sum to the retirement plan carrier(s) selected by the participant for the purchase of retirement benefits.

In addition to other applicable limitations stated in the plan, and notwithstanding any other provisions of the University's retirement regulations to the contrary, for plan years beginning on or after January 1, 1996, the annual compensation of each employee taken into account under the plan shall not exceed the Omnibus Budget Reconciliation Act of 1993 (OBRA '93) annual maximum includable compensation limit. The OBRA '93 annual limit is adjusted by the Commissioner of the Internal Revenue Service for increases in the cost of living in accordance with section 401(a)(17)(B) of the Internal Revenue Code. The cost-of-living adjustment in effect for a calendar year applies to any period, beginning in such calendar year over which compensation is determined (determination period); this period may not exceed 12 months.

B. For plan years beginning on or after January 1, 1996, any reference in this plan to the limitation under section 401(a)(17) of the Code shall mean the OBRA '93 annual maximum includable compensation limit stated in this provision. The University of Kentucky Retirement Plan Year is deemed to begin January 1 of a calendar year and end December 31 of the same calendar year.

C. Notwithstanding the above, employees who became participants in the University's retirement plan before the first day of the plan year beginning on or after January 1, 1996, will not be subject to this annual limit.

1. The participant will direct the portion of the combined retirement contribution that is to be remitted to each carrier, if two or more carriers are selected. The participant also must advise each retirement plan carrier of which investment options have been chosen and, if two or more options are selected with a single carrier, of the part of the retirement contribution that is to be allocated to each option.

2. A participant may change the ratio of allocating funds among retirement plan carriers or change options by completing the appropriate paper work. Changes in allocating contributions among the plan options are accomplished by the participant directly with the retirement plan carrier.

D. In addition to contributions based on basic annual salary, contributions also shall be applied on compensation paid to faculty members for service during an interim between regular assignment periods, provided the faculty members are employed full-time by the University for at least one full month of continuous service in the interim, on a basis other than a fee schedule, without reduction in rate of earned salary per month as described in AR II-1.3-2. An interim between regular assignment periods for a faculty member on a regular nine-month, ten-month, or eleven-month assignment basis is defined in AR II-1.1-7.

E. If by applying the above-stated percentages there would be a violation of federal or state laws, as a result of the employer and/or employee contributions, then these percentages shall not be applied to the extent of violating applicable laws. In such cases, the amount of the employer contribution that cannot be forwarded to a retirement plan carrier shall be paid to the employee as a temporary salary increase for the balance of the calendar year.

V. Termination of Contributions

Beginning January 1, 1988, retirement plan contributions on behalf of personnel shall terminate upon retirement or cessation of regular full-time employment.

VI. Retirement Dates

A. Retirement Prior to Age 65

Retirement prior to age 65 generally is considered as early retirement. Early retirement is authorized when the combination of the employee's age and years of regular full-time service (with a minimum of 15 years of continuous service at the time of retirement) equals or exceeds the number 75. Regular part-time service will be counted on a pro rata basis. Employees taking advantage of this early retirement must provide written notification through normal administrative channels to their the Provost or appropriate vice president at least three months in advance of the desired retirement date.

B. Normal Retirement

The normal retirement date for all employees of the University of Kentucky fiscal year in which the employee attains age 65.

C. Mandatory Retirement

1. ~~General~~

~~With the exceptions described in Sections III.C.2 and III.C.3, no mandatory retirement date is applicable to employees of the University of Kentucky.~~

2. Executives

~~The mandatory retirement date, as an executive, for all employees of the University of Kentucky employed in bona fide executive or high policy making positions for two or more years prior to the attainment of age 65 and who are entitled to an immediate nonforfeitable annual retirement benefit from the University which equals or exceeds the amount per year specified by federal statute is hereby established as the end of the University's fiscal year in which the employee attains age 65. For purposes of this regulation, "bona fide executive or high policy making position" means the President, Provost, Senior Vice Presidents, Vice Presidents, Deans of the academic colleges, the Director of Athletics, and the General Counsel.~~

With the exception of a mandatory retirement date for all law enforcement officers, no mandatory retirement date is applicable to employees of the University of Kentucky. The mandatory retirement date for all law enforcement officers of the University of Kentucky shall be at the end of the University's fiscal year in which the employee attains age 70.

D. Disability Retirement

1. Prior to Normal Retirement Date

An employee with an extended period of service to the University may, at the discretion of the President, be permitted to retire prior to age 65, upon the employee's request if same is supported by a statement of a licensed physician certifying that the employee cannot engage in normal employment because of physical or mental disability. The benefit level in such a special case shall be related to the period of service and rate of compensation at retirement, and shall be conditioned upon continuance of the employee's total disability.

2. Subsequent to Normal Retirement Date

An employee who has elected to continue in employment beyond his or her normal retirement date, as established herein, may be required to retire in the event that the said employee's condition of health becomes such that it prevents the discharge of assigned duties and responsibilities.

VII. Retirement Benefits

A. Benefits through Retirement Plan Carriers

Each participant is entitled, upon separation of service, at retirement or upon electing participation in the Phased Retirement Program under AR II-1.6-2, to activate any or all retirement benefits that have been acquired under the University of Kentucky Retirement Plan in accordance with procedures and rules established by the retirement plan carriers. In addition to lump sum or partial lump sum provisions, there will be both annuitized and non-annuitized methods of withdrawal. There may be variances in the retirement withdrawal options among the carriers. All retirement plan carriers do not offer the same withdrawal options.

B. Benefits in Case of Death before Retirement

In the event of a University employee's death prior to the commencement of retirement benefits, an income or lump-sum benefit will be paid by the retirement plan carrier to the participant's designated beneficiary or beneficiaries according to policy established by the carrier.

VIII. Contributions during Leave of Absence with Pay

A participant on leave with pay shall make the employee contribution and receive the University contribution based on the amount of the salary that is paid through the University payroll. Contributions to a participant's retirement plan shall be made on the actual salary paid through the University payroll, not to exceed the annual salary.

IX. Contributions under Uniformed Services Leave

A participant on Uniformed Services Leave shall have the ability to continue making retirement contributions to the plan. The amount of employee contributions will be made for the entire salary not received while on leave and is eligible for the University match.

X. Employment beyond Retirement

Employees who have elected to retire from University service under any of the provisions hereof shall not be eligible for reemployment except to perform duties for which fee schedules have been approved or upon the specific prior action of the Board of Trustees granting approval of the appointment. Employees who have elected to retire and who have been reemployed under this provision will be considered temporary employees.



## **Appendix I – Supplemental “Unfunded” Retirement Plan**

### **I. Retirement Dates**

#### **A. Retirement Prior to Age 65**

1. Retirement prior to age 65 generally is considered as early retirement. Early retirement is authorized when the combination of the employee's age and years of regular full-time service (with a minimum of 15 years of continuous service at the time of retirement) equals or exceeds the number 75. Regular part-time service will be counted on a pro rata basis. Employees taking advantage of this early retirement must provide written notification through normal administrative channels to their the Provost or appropriate vice president at least three months in advance of the desired retirement date.

2. An employee who is taking early retirement and who is eligible for benefits as provided in Appendix II, Section I A. shall be permitted to retire with entitlement to all University benefits except supplemental retirement income if applicable (as calculated in Appendix I, Section IV.A) at the time of retirement. Any supplemental retirement income is subject to the following conditions:

- (a) Payment of supplemental retirement income shall not begin until the month in which the early retiree attains age 65;
- (b) Service credit for supplemental retirement income shall not accrue after the person retires;
- (c) The salary used to determine supplemental retirement income shall be the basic annual salary for the last year of active employment;
- (d) An early retiree who elects to proceed under this option shall not receive supplemental retirement benefits, which exceed 20% of the basic annual salary received during the last year of active employment plus 1% of such salary for each year of active service to the University;
- (e) The computation of supplemental retirement income will be based on the assumptions in Appendix I, Section IV.A., except that the value of the single life annuity option is to be computed on the basis of the employee's age at the time early retirement commences; and AR II-1.6-1; and,
- (f) Supplemental retirement benefits are not payable to survivors in

the event the retiree dies prior to the attainment of age 65.

B. Normal Retirement

The normal retirement date for all employees of the University of Kentucky employed on or after July 1, 1964, and those employed prior to that date who attain age 56 after June 30, 1964, is hereby established as the end of the University's fiscal year in which the employee attains age 65 or, upon administrative approval at least three months in advance, during the month in which the employee attains age 65.

C. Mandatory Retirement

With the exceptions described below, no mandatory retirement date is applicable to employees of the University of Kentucky.

1. Executives

The mandatory retirement date, as an executive, for all employees of the University of Kentucky employed in bona fide executive or high policy making positions for two or more years prior to the attainment of age 65 and who are entitled to an immediate nonforfeitable annual retirement benefit from the University which equals or exceeds the amount per year specified by federal statute is hereby established as the end of the University's fiscal year in which the employee attains age 65. For purposes of this regulation, "bona fide executive or high policy making position" means the President, Provost, Executive Vice Presidents, Vice Presidents, Deans of the academic colleges, the Director of Athletics, the General Counsel and Chief of Staff to the President.

2. Law Enforcement Officers

The mandatory retirement date for all law enforcement officers of the University of Kentucky shall be at the end of the University's fiscal year in which the employee attains age 70.

D. Disability Retirement

1. Prior to Normal Retirement Date

An employee with an extended period of service to the University may, at the discretion of the President, be permitted to retire prior to age 65, upon the employee's request if same is supported by a statement of a licensed physician certifying that the employee cannot engage in normal employment because of physical or mental disability. The benefit level in such a special case shall be related to the period of service and rate of compensation at retirement, and shall be conditioned upon continuance of the employee's total disability.

2. Subsequent to Normal Retirement Date

An employee who has elected to continue in employment beyond his or her normal retirement date, as established herein, may be required to retire in the event that the said employee's condition of health becomes such that it prevents the discharge of assigned duties and responsibilities.

3. In Conjunction with Long Term Disability Plan

An employee entitled to disability benefits after age 65 under the Long Term Disability Program, who qualifies for retirement and supplemental retirement income pursuant to this plan, will be eligible to retire and activate supplemental retirement income under the following conditions:

- (a) The amount of annual supplemental retirement income to be provided shall be determined according to the formula provided in Section Appendix I, Section IV.A.;
- (b) University-sponsored disability plan benefits are to be deducted from supplemental retirement income; and,
- (c) Supplemental retirement income will be adjusted at the time disability benefits cease according to the formula provided in Section Appendix I, Section IV.A.

II. Participation Requirements

A. Participation of Group I personnel employed prior to July 1, 1964, is as follows:

- 1. Voluntary for employees who had attained age 56 prior to July 1, 1964, and for employees who had completed one year of continuous service but had not attained age 30.
- 2. Mandatory for employees who had completed one year of continuous service and attained age 30 but not age 56 as of July 1, 1964.
- 3. Mandatory upon the completion of one year of continuous service and the attainment of age 30 for all other such employees.  
Participation of Group I personnel employed on or after July 1, 1964, is voluntary for those employees who have not attained age 30 and mandatory for those employees who attained age 30.
- 4. An employee who enrolls under the voluntary provisions of this policy shall make an irrevocable, one-time salary reduction agreement when entering the plan; that employee may not withdraw from the University's retirement

plan as long as that employee remains eligible for plan participation.

B. Participation of Group II personnel employed prior to July 1, 1971, is as follows:

1. Voluntary for employees who had attained age 56 before July 1, 1971, and for employees who have completed one year of continuous service but have not attained age 30.
2. Mandatory for employees who had completed one year of continuous service and attained age 30 but not age 56 as of July 1, 1971.
3. Mandatory upon the completion of one year of continuous service and the attainment of age 30 for all other such employees.
4. Participation of Group II personnel employed on or after July 1, 1971, is voluntary for those employees who have not attained age 30 and mandatory for those employees who attained age 30.
5. An employee who enrolls under the voluntary provisions of this policy shall make an irrevocable, one-time salary reduction agreement when entering the plan; that employee may be eligible for plan participation.

C. Participation of Group III personnel employed prior to July 1, 1972, is as follows:

1. Voluntary for employees who had attained age 56 before July 1, 1972, and for employees who have completed one year of continuous service but have not attained age 30.
2. Mandatory for employees who had completed one year of continuous service and attained age 30 but not age 56 as of July 1, 1972.
3. Mandatory upon the completion of one year of continuous service and attainment of age 30 for all other such employees.
4. Participation of Group III personnel employed on or after July 1, 1972, is voluntary for those employees who have not attained age 30 and mandatory for those employees who attained age 30.

D. Participation of Group IV personnel is as follows:

1. Participation of Group IV personnel employed on or after January 1, 1973, is voluntary.

2. An employee who enrolls under the voluntary provisions of this policy shall make an irrevocable, one-time salary reduction agreement when entering the plan; that employee may not withdraw from the University's retirement plan as long as that employee remains eligible for plan participation.

E. Participation of Group V personnel is as follows:

1. Participation of Group V personnel hired on or after January 1, 1973, but no later than March 31, 1987 is voluntary.

2. An employee who enrolls under the voluntary provisions of this policy shall make an irrevocable, one-time salary reduction agreement when entering the plan; that employee may not withdraw from the University's retirement plan as long as that employee remains eligible for plan participation.

III. Termination of Contributions

Contributions on behalf of personnel in the Retirement Plan through December 31, 1987, shall terminate at the end of the fiscal year in which the employee attains age 65 or upon the earliest occurrence of any one or more of the following:

- A. Cessation of regular full-time employment
- B. Retirement

IV. Retirement Benefits

A. Minimum Annual Retirement Benefit and University Supplemental Retirement Income

1. Group I Personnel

For each Group I employee see AR II-1.6-1 (Section II.A.1) who was age 40 or older prior to July 1, 1964, and who was employed by the University prior to July 1, 1964, and who retires pursuant to the provisions hereof, the University will provide an annual supplemental retirement income during the lifetime of the employee, where necessary, to assure a minimum annual retirement benefit. The minimum annual retirement benefit shall be the following percentage of the basic annual salary at the employee's retirement date (unless the employee is serving outside the country on a University project and, in which case, the salary to be used in the computation shall be the basic annual salary received at the University during the year immediately preceding such foreign service):

(a) 20% plus 1% for each year of eligible service to the University plus

(b) For the employee who had attained age 56 prior to July 1, 1964, 1% for each full year by which retirement precedes the end of the fiscal year in which the employee's 70th birthday is attained. or For the employee who had attained age 51, but not age 56 prior to July 1, 1964, the following percentage:

<u>Age</u>	<u>Percentage</u>
51	1
52	2
53	3
54	4
55	5

In no event shall the applicable percentage exceed 20% plus 1% for each year of eligible service. Any service credit allowed for years of part-time employment shall be computed on an appropriate fractional basis. Annual supplemental retirement income, if any, shall be determined according to the following equation or formula:

$$\begin{array}{l} \text{Fixed Annual} \\ \text{Supplemental} \\ \text{Retirement} = \\ \text{Benefit} \end{array} = \begin{array}{l} \text{Computed1} \\ \text{Minimum} \\ \text{Annual} \\ \text{Retirement} \\ \text{Benefit} \end{array} - \begin{array}{l} \text{Computed2 Annual} \\ \text{Retirement} \\ \text{Benefit from} \\ \text{the Funded Plan} \\ \text{Accumulations} \end{array}$$

1 Computed as explained above in this section

2 Computed on the basis of assumptions in Section IV.A.6(a).

Under the conditions of this formula, an employee would receive supplemental retirement income only if the computed annual retirement benefit from the funded plan accumulations is less than the computed minimum annual retirement benefits to which the employee is entitled.

## 2. Group II Personnel

For each Group II employee see AR II-1.6-1 (Section II.A.2) who was employed prior to July 1, 1971, and who had attained age 40 as of that date and has at least 15 years of consecutive service as of the employee's retirement date the University will provide an annual supplemental retirement income during the lifetime of the employee where necessary to assure a

minimum annual retirement benefit under the plan equal to 20% of the basic annual salary received by the participant at the retirement date plus 1% of that salary for each year of eligible service at the University. The amount of annual supplemental retirement income to be provided shall be determined according to the formula provided in Section IV.A.1.

Information regarding computation of the minimum annual retirement benefit and annual supplemental retirement income for the participant employed prior to July 1, 1964, and who has been continuously employed since that date, is provided in Section IV.A.1.

3. Group III Personnel

For each Group III employee see AR II-1.6-1 (Section II.A.3) who was employed prior to July 1, 1972, and who had attained age 40 as of that date and has at least 15 years of consecutive service at the employee's retirement date the University will provide an annual supplemental retirement income during the lifetime of the employee, where necessary, to assure a minimum annual retirement benefit under the plan equal to 20% of the basic annual salary received by the participant at the retirement date plus 1% of that salary for each year of eligible service at the University. The amount of annual supplemental retirement income to be provided shall be determined according to the formula provided in Section IV.A.1.

Information regarding computation of the minimum annual retirement benefit and annual supplemental retirement income for the participant employed prior to July 1, 1964, and who had been continuously employed since that date, is provided in Section IV.A.1.

4. Group IV Personnel

For each Group IV employee see AR II-1.6-1 (Section II.A.4) who was employed by the University prior to January 1, 1973, and whose University employment includes periods of eligible service covered in part by the United States Civil Service Retirement Plan and in part by the Group IV Plan and/or by the older University unfunded plan, the University will provide an annual supplemental retirement income during the lifetime of the employee, where necessary, to assure a minimum annual retirement benefit equal to that which would have been received had all eligible service been exclusively under the University's unfunded retirement plan. The amount of supplemental retirement income, if any, to be provided shall be computed using the following equation or formula:

Fixed Annual                      Computed1    Computed2    Computed3

$$\begin{array}{rclcl} \text{Supplemental} & & \text{Minimum} & \text{Annual} & \text{Annual Benefit} \\ \text{Retirement} & = & \text{Annual -} & \text{Benefit from -} & \text{from Civil Service} \\ \text{Income} & & \text{Retirement} & \text{the Funded} & \text{Plan Service} \\ & & \text{Benefit} & \text{Accumulations} & \text{Retirement} \end{array}$$

- 1 Computed as explained in Section IV.A.1.
- 2 Computed on the basis of assumptions in Section IV.A.6.a.
- 3 Computed on the basis of assumption in Section IV.A.6.b.

Under the conditions of this formula, an employee would receive supplemental retirement income only if the sum of the computed annual benefit from the Civil Service retirement plan plus the computed annual retirement benefit received from the funded plan accumulations is less than the computed minimum annual retirement benefit to which the employee is entitled.

If an employee eligible for Civil Service retirement benefits elects to retire at an age earlier than the normal University retirement age of 65, all retirement benefits will be calculated on the age attained at retirement rather than age 65. Any University supplemental retirement benefit due the employee will be deferred until the employee attains age 65.

The policy described herein applies to retirements, which become effective on or after January 1, 1974. Employees whose service is in part with the University of Kentucky and in part with the U.S. Veterans Administration are not covered under the Group IV Plan.

5. Group V Personnel

Employees covered under the Group V plan do not have minimum annual retirement benefit rights.

6. Assumptions in Computation of Supplemental Retirement Income

In determining whether participation in the Civil Service or the funded retirement plan(s) has produced the minimum annual retirement benefit described in Sections IV.A.1 through IV.A.4, the following assumptions shall be used:

(a) Assumptions Applicable to Calculation of Benefit from the Funded Plan:

- i. That all retirement contributions, both from the employee and the University, were invested in a TIAA annuity contract



(regardless of the percentages actually allocated to the authorized retirement plan carriers), and

ii. That the retiring employee elected the single life annuity option the value of which is computed on the basis of the employee's age at time of normal retirement (regardless of the option(s) actually elected).

(b) Assumption Applicable to Calculation of Benefit from Civil Service:

That the retiring employee elected the single life annuity option (regardless of the option(s) actually elected).

7. Periods of Service

(a) As used in this retirement plan, "period of service" means the number of years of full-time employment plus credit allowed for part-time employment plus periods in an approved leave of absence status. Periods of service and eligible service shall be computed to the nearest half-year.

(b) The term "eligible service" means the number of years of full-time employment plus credit allowed for part-time employment plus periods in an approved leave of absence status plus periods in an approved disability status occurring prior to the retirement date. Eligible service also includes service that is derived from Staff Personnel Policy and Procedure regulations that govern utilization of temporary disability leave in conjunction with retirement under this Administrative Regulation.

(c) Only years of continuous service immediately preceding retirement shall be counted in computing periods of eligible service, except where a leave of absence approved by the Board of Trustees or its Executive Committee is of record. When an approved leave is for employment other than by the University, and when the absence is in excess of one year, years of absence in excess of one shall not be counted in determining supplemental retirement income, except by specific agreement at the time the leave is taken or in exceptional instances upon recommendation of the President and approval of the Board of Trustees. The period during which an employee receives benefits under the University's Total Disability Program will be included in the total period of service factor used in the computation of benefits under the non-funded retirement program.

(d) An employee who has had a break in continuous service with the University and, except for the required minimum of fifteen years of continuous service at retirement, otherwise qualifies for retirement benefits may count total service at the University in order to establish a minimum annual retirement benefit, provided total service is equal to at least fifteen years. In any event, the last re-employment date must have preceded the establishment of the funded retirement plan for the group of employees, in which the retiring employee is or was eligible to participate.

8. Retirement Age

The retirement age required under each of the various subsections of Section III may be modified by the provisions of Staff Personnel Policy and Procedure regulations that govern utilization of temporary disability leave in conjunction with retirement age.

B. Retirement Benefits Offset(s)

Any University employee who, at the time of retirement, is eligible for payments by the University under provisions of the unfunded retirement plan or under provisions for supplemental retirement income associated with the funded retirement plan, shall have any continuing benefits that are payable after retirement under the Workers' Compensation Laws or Unemployment Compensation Laws deducted from the University benefit payment. It is intended that the employee receive the total amount of the greatest single benefit but in no event receive any combination of benefits that will exceed the greatest single benefit.

Reduction in University benefit rates as a result of Workers' Compensation payments and/or Unemployment Compensation payments will be adjusted in the event that all or any portion of such payments are discontinued.

V. Survivorship Option

A. Employees eligible for supplemental retirement income pursuant to Section II may elect a spouse survivor option as to such benefits.

B. The election may be filed at any time prior to the month in which the employee attains age 65, or thereafter at any time prior to retirement.

C. If the survivor option is elected supplemental retirement income will be reduced to an amount which is the actuarial equivalent (as determined by TIAA at the time of retirement) of a joint and two-thirds benefit to the surviving spouse payable

for life.

D. Election of this option is revocable prior to the beginning of the month in which the employee attains age 65 unless, at an earlier date, benefits have been paid or accrued pursuant to said election. In all other cases the election is irrevocable.

E. Election of this option may not be exercised posthumously.

F. Survivor benefits pursuant to the provisions of this section are not payable, even though an election has been filed prior to retirement, unless the employee has (1) attained normal retirement age or (2) has been granted disability retirement pursuant to Section I. D.1.

## Appendix II. Contributions and Vesting (DETAIL)

### I. Contributions and Vesting

#### A. Group I

Notwithstanding any provision to the contrary contained herein, all Group I personnel who have satisfied the age and service requirements for mandatory participation shall be required to contribute on a salary reduction (pre-tax) basis all contributions which are required to be made by the participant according to the applicable contributions schedule contained herein; provided, however, that this provision shall not apply to any participant who prior to December 22, 1986, was making contributions on a salary deduction (after-tax) basis.

Contributions to the retirement plan shall be made in accordance with the following schedule:

#### **Contributions as a Percent of Basic Annual Salary**

<u>By the Participant</u>	<u>By the Institution</u>	<u>Total</u>
5%	10%	15%

#### B. Group II

Notwithstanding any provision to the contrary contained herein, all Group II personnel who have satisfied the age and service requirements for mandatory participation shall be required to contribute on a salary reduction (pre-tax) basis all contributions which are required to be made by the participant according to the applicable contributions schedule contained herein; provided, however, that this provision shall not apply to any participant who prior to December 22, 1986, was making contributions on a salary deduction (after-tax) basis.

Contributions to the retirement plan shall be made in accordance with the following schedule:

#### **Contributions as a Percent of Basic Annual Salary**

<u>For the Fiscal Year</u>	<u>By the Participant</u>	<u>By the University</u>	<u>Total</u>
1971-1972	0.5%	1.0%	1.5%
1972-1973	1.2	2.0	3.2

1973-1974	1.9	3.0	4.9
1974-1975	2.6	4.0	6.6
1975-1976	3.3	5.0	8.3
1976-1977	4.0	6.0	10.0
1977-1978	4.0	6.5	10.5
1978-1979	4.0	7.0	11.0
1979-1980	4.0	7.5	11.5
1980-1991	4.0	8.0	12.0
1991-1993	4.25	8.5	12.75
1993-1994	4.5	9.0	13.5
1994-1995	4.625	9.25	13.875
1995-1996	4.75	9.5	14.25
1996-1997	4.875	9.75	14.625
1997-1998	5.0	10.0	15.0
and later			

Beginning July 1, 1996, the University shall withhold the contribution of the participant from regular wage payments, add its contribution, and remit the combined sum to the retirement plan carrier(s) selected by the participant for the purchase

C. Group III

Notwithstanding any provision to the contrary contained herein, all Group III personnel who have satisfied the age and service requirements for mandatory participation shall be required to contribute on a salary reduction (pre-tax) basis all contributions which are required to be made by the participant according to the applicable contributions schedule contained herein; provided, however, that this provision shall not apply to any participant who prior to December 22, 1986, was making contributions on a salary deduction (after-tax) basis.

Contributions to the retirement plan shall be made in accordance with the following schedule:

**Contributions as a Percent of Basic Annual Salary**

<u>For the Fiscal Year</u>	<u>By the Participant</u>	<u>By the University</u>	<u>Total</u>
1972-1973	1.0%	2.0%	3.0%
1973-1974	2.0	4.0	6.0
1974-1975	3.0	6.0	9.0
1975-1991	4.0	8.0	12.0
1991-1993	4.25	8.5	12.75
1993-1994	4.5	9.0	13.5

1994-1995	4.625	9.25	13.875
1995-1996	4.75	9.5	14.25
1996-1997	4.875	9.75	14.625
1997-1998	5.0	10.0	15.0
and later			

D. Group IV

Contributions to the Group IV retirement plan shall be made in accordance with the following schedule for the period of January 1, 1973, through June 30, 1987:

**Contributions as a Percent of Basic Annual Salary**

By the Participant 1%	By the Institution 2%	Total 3%
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Beginning July 1, 1987, contributions to the retirement plan shall be increased as follows:

**Contributions as a Percent of Basic Annual Salary**

For the Fiscal Year	By the <u>Participant</u>	By the <u>Institution</u>	<u>Total</u>
1987-1991	4.0%	8.0%	12.0%
1991-1993	4.25%	8.5%	12.75%
1993-1994	4.5%	9.0%	13.5%
1994-1995	4.625%	9.25%	13.875%
1995-1996	4.75%	9.5%	14.25%
1996-1997	4.875%	9.75%	14.625%
1997-1998	5.0%	10.0%	15.0%
and later			

E. Group V

Contributions to the Group V retirement plan shall be made in accordance with the following schedule:

**Contributions as a Percent of Basic Annual Salary**

By the Participant 1%	By the Institution 2%	Total 3%
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F. President, Provost, Executive Vice Presidents, General Counsel, and Chief of Staff to the President

Annual contributions to the Retirement Plan shall be made on behalf of the President, Provost, each executive vice president, the General Counsel, and the Chief of Staff to the President in an amount equal to the aggregate of employee and University contributions otherwise provided herein for Group I employees. Provided, however, that nothing contained herein shall be construed to impair the retirement entitlement of any President or vice president employed in that capacity as of September 18, 1979. The Chairperson of the Executive Committee of the Board of Trustees, on behalf of the Board, shall execute contracts with the individual officers providing for the age of retirement of the officers and the other details of the arrangement authorized by this Retirement Plan.

An employee who has elected to continue in employment beyond his or her normal retirement date, as established herein, may be required to retire in the event that the said employee's condition of health becomes such that it prevents the discharge of assigned duties and responsibilities.

VII. Retirement Benefits

A. Benefits through Retirement Plan Carriers

Each participant is entitled, upon separation of service, at retirement or upon electing participation in the Phased Retirement Program under AR II-1.6-2, to activate any or all retirement benefits that have been acquired under the University of Kentucky Retirement Plan in accordance with procedures and rules established by the retirement plan carriers. In addition to lump sum or partial lump sum provisions, there will be both annuitized and non-annuitized methods of withdrawal. There may be variances in the retirement withdrawal options among the carriers. All retirement plan carriers do not offer the same withdrawal options.

B. Benefits in Case of Death before Retirement

In the event of a University employee's death prior to the commencement of retirement benefits, an income or lump-sum benefit will be paid by the retirement plan carrier to the participant's designated beneficiary or beneficiaries according to policy established by the carrier.

VIII. Contributions during Leave of Absence with Pay

A participant on leave with pay shall make the employee contribution and receive the

University contribution based on the amount of the salary that is paid through the University payroll. Contributions to a participant's retirement plan shall be made on the actual salary paid through the University payroll, not to exceed the annual salary.

IX. Contributions under Uniformed Services Leave

A participant on Uniformed Services Leave shall have the ability to continue making retirement contributions to the plan. The amount of employee contributions will be made for the entire salary not received while on leave and is eligible for the University match.

X. Employment beyond Retirement

Employees who have elected to retire from University service under any of the provisions hereof shall not be eligible for reemployment except to perform duties for which fee schedules have been approved or upon the specific prior action of the Board of Trustees granting approval of the appointment. Employees who have elected to retire and who have been reemployed under this provision will be considered temporary employees.

References: KRS 164.220(3); GR X.A.4