



Schedule for February 16, 2012
Board of Trustees

Trustees are invited to attend all meetings.
Jefferson Room, Grawemeyer Hall

1:00 p.m.

[UofL Research Foundation](#)

Immediately
Following

[Personnel Committee](#)

(Scoppechio, James, Abrams, Blue, Butt, Cosby, Staat)

[Board of Trustees](#)

UNIVERSITY OF LOUISVILLE RESEARCH FOUNDATION, INC.
BOARD OF DIRECTORS MEETING

1:00 p.m., February 16, 2012
Jefferson Room, Grawemeyer Hall

In Open Session

			Tab
I.	Call to Order	Hughes	
II.	Approval of Minutes, November 11, 2011		1
III.	Action Item: Authorization to Sell Equipment Purchased to Support Kidney Dialysis Program	Ramsey	2
IV.	Adjournment		

MINUTES OF THE REGULAR MEETING OF THE UNIVERSITY OF LOUISVILLE RESEARCH
FOUNDATION, INC., BOARD OF DIRECTORS

In Open Session

Members of the University of Louisville Research Foundation, Inc., Board of Directors met on November 10, 2011, in the Jefferson Room, Grawemeyer Hall, Belknap Campus, with members present and absent as follows:

Present: Dr. Robert Curtis Hughes, Chair
Ms. Marie Abrams
Mr. Laurence Benz
Mr. Jonathan Blue
Mr. Ron Butt
Dr. Kevin Cosby
Mr. Michael Curtin
Mr. Kurtis Frizzell
Dr. David Dunn
Mr. Bruce Henderson
Ms. Augusta Brown Holland
Mr. David James
Mr. Frank Minnifield
Ms. Brucie Moore
Dr. James R. Ramsey
Mr. Robert W. Rounsavall, III
Ms. Debbie Scoppechio
Dr. William Selvidge
Dr. Robert Staat
Dr. Shirley Willihnganz

Absent: Mr. Owsley Brown Frazier
Judge Rebecca Jackson
Dr. William Pierce
Mr. J. Chester Porter
Mr. Larry Owsley
Ms. Phoebe Wood

From the
University: Mr. Sam Connally, Vice President for Human Resources
Mr. Dan Hall, Vice President for Community Engagement
Ms. Priscilla Hancock, Vice President for Information Technology
Ms. Angela D. Koshewa, University Counsel
Mr. Keith Inman, Vice President for University Advancement
Ms. Rebecca Simpson, Sr. Assoc., VP for University Advancement
Mr. Mark Hebert, Director of Media Relations
Ms Cynthia Hess, Director of Communications
Mr. John Drees, Associate VP, University Advancement
Mr. Jason Tomlinson, Associate Vice President for Finance
Ms. Anne Rademaker, Director of Financial Reporting and University Accounting
Mrs. Kathleen M. Smith, Assistant Secretary
Mrs. Debbie Dougherty, Board Liaison

Guests: Mr. Greg Davis, Stites & Harbison
Ms. Mary McKinley, BKD

I. Call to Order

Having determined a quorum present, Chair Hughes called the meeting to order at 1:00 p.m.

II. Consent Agenda

- Approval of Minutes, July 13, 2011
- Approval of Recommendation Regarding Security Clearance and Managerial Group

Dr. Staat noted in Section IV of the minutes the word “continuous” should be added to AALAC certification. With that addition, Ms. Abrams made a motion, which Dr. Benz seconded, to approve the consent agenda. The motion passed.

II. Action Item: Approval of

- Audited Financial Statements for Year Ended June 30, 2011 and Independent Auditor’s Report
- Consolidated Schedule of Expenditures of Federal Awards and Other Reports Required by OMB Circular A-133 for the Year ended June 30, 2011

Vice President Curtin reviewed the audited financial statements, noting the external auditing firm of BKD issued a clean, unqualified opinion. Mr. Curtin shared some of the funding highlights. The Research Foundation continued to expand its research base by promoting and investing in collaborative research efforts within the University. Mr. Curtin reviewed the Statement of Net Assets and Statements of Revenues, Expenses and Changes in Net Assets. He called upon Mary McKinley, CPA, principal with BKD. Ms. McKinley concurred with Mr. Curtin’s summary, stating the UL Research Foundation’s financial position was sound. Ms. McKinley noted the audit process was smooth because they received excellent cooperation from administration and University personnel.

Vice President Curtin provided highlights of the Consolidated Schedule of Expenditures of Federal Awards and Other Reports Required by OMB A-133. Ms. McKinley reported the excellent cooperation on this audit, also. Dr. Staat made a motion, which Dr. Selvidge seconded, to approve the

President’s recommendation that the Board of Directors approve the attached financial statements for the period ending June 30, 2011 and Independent Auditor’s Report; and

President’s recommendation that the Board of Directors accept the Consolidated Schedule of Expenditures of Federal Awards and Other Reports Required by OMB Circular A-13 for the Year Ended June 30, 2011.

The motion passed.

IV. Adjournment

Ms. Abrams made a motion, which Mr. James seconded, to adjourn the meeting at 1:20 p.m. The motion passed.

Tab 2

RECOMMENDATION TO THE BOARD OF DIRECTORS OF THE
UNIVERSITY OF LOUISVILLE RESEARCH FOUNDATION, INC. TO
AUTHORIZE THE PRESIDENT TO SELL EQUIPMENT

Board of Directors – February 16, 2012

RECOMMENDATION:

The Chair recommends the Board of Directors authorize the President or his designee to sell the equipment currently used in the Kidney Dialysis Program for its appraised value.

PERSONNEL COMMITTEE
UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES

February 16, 2012

Open Session Agenda

		Tab
I.	Call to Order	
	• Approval of Minutes, January 12, 2012	1
II.	Executive Session	
	• Motion to recess to discuss personnel matters Pursuant to KRS 61.810(1)(f)	
III.	Open Meeting Reconvenes	
	• Appropriate action, if any	
IV.	Action Item: Approval of	
	• School of Dentistry Bylaws	3
	• Redbook Section 4.3.3	4
V.	Adjournment	

Committee Members:

Ms. Debbie Scoppechio, Chair
Mr. David James, Vice Chair
Ms. Marie Abrams
Mr. Jonathan Blue
Mr. Ron Butt
Dr. Kevin Cosby
Dr. Robert Staat

MINUTES OF THE PERSONNEL COMMITTEE OF THE UNIVERSITY OF LOUISVILLE
BOARD OF TRUSTEES

January 12, 2012

In Open Session

Members of the Personnel Committee of the University of Louisville Board of Trustees met at 1:05 p.m. on January 12, 2012, in the Jefferson Room of Grawemeyer Hall, with members present and absent as follows:

Present: Mr. David James, Vice Chair
Ms. Marie Abrams
Mr. Ron Butt
Dr. Robert Staat

Absent: Ms. Debbie Scoppechio, Chair
Mr. Jonathan Blue
Dr. Kevin Cosby

Other Trustees

Present: Mr. Larry Benz
Mr. Kurtis Frizzell
Mr. Bruce Henderson
Ms. Augusta Brown Holland
Dr. Robert Curtis Hughes
Judge Rebecca Jackson
Ms. Brucie Moore
Mr. Robert W. Rounsavall, III
Dr. William Selvidge
Ms. Phoebe Wood

From the
University:

Dr. James R. Ramsey, President
Dr. Shirley Willihnganz, Executive Vice President and Provost
Dr. David Dunn, Executive Vice President for Health Affairs
Ms. Angela D. Koshewa, University Counsel
Mr. Michael J. Curtin, Vice President for Finance
Mr. Larry Owsley, Vice President for Business Affairs
Mr. Daniel Hall, Vice President for Community Engagement
Dr. Tom Jackson, Vice President for Student Affairs
Mr. David Barker, Associate Vice President, Audit Services & Institutional Compliance
Mr. Keith Inman, Vice President for University Advancement
Mr. Sam Connally, Vice President for Human Resources
Dr. Priscilla Hancock, Vice President for Information Technology
Ms. Renee Finnegan, Executive Director of Military Initiatives
Dr. Richard Goldstein, Vice Dean for Clinical Affairs at the School of Medicine
Ms. Cynthia Hess, Director of Communication and Marketing
Ms. Susan Howarth, Director of Budget, Vice President for Finance
Ms. Anne Rademaker, Director of Financial Reporting and University Accounting
Ms. Carolyn Cochran, Assistant to the Provost

Ms. Cheri Jones, Director of Audit Services
Ms. Kathleen Smith, Assistant Secretary
Ms. Debbie Dougherty, Board Liaison

I. Call to Order

Having determined a quorum present, Vice Chair James called the meeting to order at 1:05 p.m.

Approval of Minutes

Ms. Abrams made a motion, which Dr. Staat seconded, to approve the minutes of November 10, 2011. The motion passed.

II. Executive Session

Mr. Butt made a motion, which Ms. Abrams seconded, to go into executive session at 1:08 p.m. The motion passed.

III. Open Meeting Reconvenes

Vice Chair James reported the Committee discussed personnel matters during executive session.

Monthly Personnel Recommendations

Ms. Abrams made a motion, which Dr. Staat seconded, to approve the

President's recommendations that the following personnel recommendations be approved by the Board of Trustees.

SCHOOL OF MEDICINE

Monica Ann Shaw, M.D., Professor of Medicine (General Internal Medicine, Palliative Medicine and Medical Education) (Term); change of additional appointment from Interim Associate Dean to Associate Dean for Medical Education, March 1, 2012. The appointment as Associate Dean is at the pleasure of the Board of Trustees.

The motion passed.

Naming Request

Mr. Butt made a motion, which Ms. Abrams seconded, to approve the

President's recommendation that the Board of Trustees approve

Naming the Department of Surgery the Hiram Polk Department of Surgery

The motion passed.

IV. Adjournment

Dr. Staat made a motion, which Mr. Butt seconded, to adjourn the meeting at 1:20 p.m.

MINUTES OF THE PERSONNEL COMMITTEE OF THE UNIVERSITY OF LOUISVILLE
BOARD OF TRUSTEES

January 12, 2012

In Executive Session

Present: Mr. David James, Vice Chair
Ms. Marie Abrams
Mr. Ron Butt
Dr. Robert Staat

Absent: Ms. Debbie Scoppechio, Chair
Mr. Jonathan Blue
Dr. Kevin Cosby

Other Trustees

Present: Mr. Larry Benz
Mr. Kurtis Frizzell
Mr. Bruce Henderson
Ms. Augusta Brown Holland
Dr. Robert Curtis Hughes
Judge Rebecca Jackson
Ms. Brucie Moore
Mr. Robert W. Rounsavall, III
Dr. William Selvidge
Ms. Phoebe Wood

From the
University:

Dr. James R. Ramsey, President
Dr. Shirley Willihnganz, Executive Vice President and Provost
Dr. David Dunn, Executive Vice President for Health Affairs
Ms. Angela D. Koshewa, University Counsel
Mr. Michael J. Curtin, Vice President for Finance
Mr. Larry Owsley, Vice President for Business Affairs
Mr. Daniel Hall, Vice President for Community Engagement
Dr. Tom Jackson, Vice President for Student Affairs
Mr. David Barker, Associate Vice President, Audit Services & Institutional Compliance
Mr. Keith Inman, Vice President for University Advancement
Mr. Sam Connally, Vice President for Human Resources
Dr. Priscilla Hancock, Vice President for Information Technology
Ms. Carolyn Cochran, Assistant to the Provost
Ms. Kathleen Smith, Assistant Secretary
Ms. Debbie Dougherty, Board Liaison

I. Call to Order

Vice Chair James called the executive session to order.

II. Personnel Matters

Provost Willihnganz briefed the committee on personnel matters.

III. Adjournment

The executive session adjourned.

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING BYLAWS OF THE SCHOOL OF DENTISTRY

Personnel Committee – February 16, 2012

Board of Trustees – February 16, 2012

RECOMMENDATION:

The President recommends:

That the Board of Trustees approve the revised Bylaws for the School of Dentistry in the form attached, to be effective immediately.

University of Louisville School of Dentistry

ULSD Bylaws

The ULSD Faculty Governance Document and Bylaws

Approved by the ULSD Faculty Assembly 9/7/2011

Page -1-

University of Louisville School of Dentistry Bylaws

Preamble

These Bylaws are the official statement of the organization and rules of governance of the faculty of the School of Dentistry, University of Louisville. The School of Dentistry is an academic unit of the University of Louisville. It has the authority to recommend awarding degrees and certificates. It functions under the rules, regulations and guidelines of the University of Louisville as specified in the University's Redbook.

Mission

School of Dentistry Mission

The mission of the School of Dentistry is detailed in Appendix 1 of this document.

Departmental Missions, Goals and Objectives

The faculty of each of the departments of the University of Louisville, School of Dentistry, led by the department chair, will develop its own mission statement and goals to support its mission. These statements will be developed in congruence with the mission statements for the University and the School of Dentistry. The faculty will also develop objectives which will serve as a basis for assessment of the achievement of the departmental goals.

Academic Programs of the School of Dentistry

The programs of the school are those academic degrees or programs in the School of Dentistry that have been approved by the faculty and recognized officially by the University. The School of Dentistry operates the following academic programs:

1. The Doctor of Dental Medicine program
2. The baccalaureate program in Dental Hygiene
3. Masters Degree in Oral Biology
4. Postdoctoral certificate programs in various dental specialties.

The faculty of the School of Dentistry is responsible for general educational oversight of those programs. The governance committee structure is the method of carrying out that oversight.

Faculty of the School of Dentistry

The Faculty Assembly of the School of Dentistry is the organization that represents the faculty. Its purpose is to ensure that the faculty of the School of Dentistry fulfill their obligations and responsibilities and exercise their rights as defined in the University of Louisville's Redbook.

Authority

The University's Redbook (Article 3.3.2), gives the faculty of the School of Dentistry the following authority:

“Except as otherwise provided, each faculty shall have general legislative powers over all matters pertaining to its own personnel policies, criteria, and procedures, to its own meetings, and to admission requirements, curricula, instruction, examinations and recommendation to the Board of Trustees for granting degrees in its own academic units.”

The faculty of the School of Dentistry will exercise its authority through its general meetings and through its committee structure:

1. *Standing* committees perform a continuing function. The members may be elected by the faculty,

appointed by the chair of the Faculty Assembly, or appointed by the dean to oversee a continuing policy or research area.

2. *Governance* committees are standing committees that are elected by the executive or departmental faculty to administer their rights and responsibilities as defined in the Redbook (Article 3.3.2),
3. *Ad hoc* committees are appointed by the chair of the Faculty Assembly or the dean to address a particular issue for a limited time.

Any standing or ad hoc committees may not supersede the authority of a governance committee in its area of responsibility.

Responsibilities

As part of its general legislative power over all matters pertaining to its own affairs, the faculty and its members shall be responsible to:

1. Help to develop school and departmental mission statements.
2. Assist in the development and review of the school's strategic plan and priorities for action.
3. Advise the dean on matters related to the mission, budget, and planning of the school.
4. Recommend to the dean specific actions and programs to achieve the overall goals of the School of Dentistry.
5. Identify and explore areas of faculty concern and recommend appropriate action to the dean of the School of Dentistry.
6. Maintain academic excellence through development, refinement, implementation and review of the curriculum.
7. Promote excellence in patient care through development, refinement, implementation and review of the clinical patient care system.
8. Review and submit to the dean recommendations and proposals for establishing new certificate or degree programs or the dissolution of existing programs.
9. Recommend faculty personnel actions to the dean by way of the Faculty Personnel Committee.
10. Create from its membership standing and special committees, and elect representatives necessary to conduct its business.
11. Develop research and scholarly activities that enhance the school's research priorities.
12. Develop service activities that enhance the school's external service priorities.

Types of Faculty

General Faculty

Membership

The General Faculty of the School of Dentistry consists of:

1. All full-time faculty members (tenured, tenure track or term) who hold the rank of instructor, assistant professor, associate professor or professor in the School of Dentistry.
2. All part-time faculty members who have at least one day per week (.2 FTE) commitment to the School of Dentistry.

Privileges

1. Any member of the General faculty may attend and speak at any Faculty Assembly meeting.
2. Any member of the General Faculty may serve on any ad hoc committee of the school.

Executive Faculty

Membership

The Executive Faculty consists of:

1. All full-time members of the faculty.
2. All part time members of the faculty who have at least a 0.8 F.T.E. commitment to the school.
3. A part-time member of the faculty who has been elected to the Executive Faculty. The

part-time faculty who hold less than a .8 FTE commitment to the school will elect three of their members to serve as voting members of the faculty. These three members will be considered Executive Faculty members for voting privileges but not for election to the governance committees.

Privileges

1. Any member of the Executive Faculty may vote on any issues brought before the faculty. These include elections to School of Dentistry and university-wide committees, changes to bylaws and other documents related to faculty governance, issues related curriculum, admissions, student progress, or graduation from the programs of the School of Dentistry.
2. Any member of the Executive Faculty may serve on the governance committees, standing committees or ad hoc committees of the School of Dentistry (except as noted above for part-time faculty elected to the executive faculty).

Graduate Faculty

Membership

The Graduate Faculty consists of:

1. All members of the faculty who have applied for and been accepted as members of the Graduate Faculty as defined in the *Minimum Guidelines for Graduate Education at ULSD*.

Privileges

1. Only members of the Graduate Faculty may serve on committees overseeing, or vote on any issues directly related to the Graduate Research Programs.

Officers of the Faculty

The Executive Faculty of the ULSD Faculty Assembly shall elect the following officers on or before July 1 of each year. The officers will serve a two-year term beginning the fall semester of the academic year. Any officer may succeed him/herself in any position. No permanent member of the school or university administration (department chair or higher) may serve as an officer of the Faculty Assembly during their appointment to the administrative position. The duties of the officers are:

1. Chair

1. Preside over all meetings of the Faculty Assembly, except for the special meeting called by the dean for the purpose of approval of candidates for graduation.
2. Represent the Faculty Assembly when and where appropriate.
3. Serve as representative of the faculty on the School of Dentistry Council.
4. Appoint members to standing and ad hoc faculty committees, as needed.

2. Vice Chair

1. Chair the Faculty Assembly in the absence of the chair.

3. Secretary

1. Record and transmit the minutes of all meetings to all members of the Faculty Assembly.
2. Serve as the corresponding secretary, when appropriate.
3. Maintain records as necessary.

Executive Committee of the Faculty Assembly:

The Executive Committee of the Faculty Assembly shall act as an advisory body to the chair of the Faculty Assembly. The chair of the Faculty Assembly will determine meeting times and frequency and will preside over meetings.

The Executive Committee shall be composed of the current and the immediate past officers of the Faculty Assembly, and the school's university senators. The committee will advise the chair on faculty matters and serve as the nominating committee, as described later. If any member of the Executive Committee is unable to complete his or her term, the chair of the Faculty Assembly may appoint a replacement to serve

the remaining term of the member.

Meetings of the Faculty

The Faculty Assembly will meet regularly as needed to complete its business.

1. The Faculty Assembly shall meet regularly, at the discretion of the chair. The chair must call at least one meeting each semester.
2. The chair of the Faculty Assembly will call a special meeting upon receipt of a petition stating the specific nature of business to be transacted. It will include the time and date and must be signed by one third of the members of the Executive Faculty. Written or electronic notice of the meeting will be circulated to all Faculty Assembly members.
3. The dean will call a special meeting of the Faculty Assembly to recommend granting degrees and certificates from the programs at the School of Dentistry.
4. The dean may request that the chair call a meeting of the Faculty Assembly at any time.
5. A quorum is 33% of the eligible members (Executive Faculty).
6. The secretary of the Faculty Assembly will record the meeting and prepare the minutes. Minutes shall be distributed with the agenda for the next meeting to all faculty members. Agendas and approved minutes shall be sent to the dean and the Office of the Vice President and University Provost.
7. Votes may be taken through the University e-mail system. A voting quorum is 33% of the eligible members (Executive Faculty).
8. The latest edition of Robert's Rules of Order shall govern the conduct of business in all instances not covered by the Bylaws.

Committees of the Faculty Assembly:

The Executive Committee of the Faculty Assembly will develop governance committees for approval of the Executive Faculty. These committees fulfill the faculty's rights and obligations according to the Redbook. These are described in Appendix 2 to this document.

The faculty may enact other standing or ad hoc committees it deems important in conducting its business at the School of Dentistry. The faculty may dispose of committees it has formed that it deems no longer necessary. Governance committees may only be changed through changing the bylaws.

The chair of the Faculty Assembly and the dean will together meet with each governance committee at the beginning of the academic year to charge the committee with routine and special tasks for the upcoming year.

Administrative Officers

The Dean of the School of Dentistry

The dean is the administrative and educational head of the School of Dentistry as specified in the Redbook. The dean serves at the pleasure of the Board of Trustees and reports to both the University Executive Vice President and Provost, and to the Executive Vice President for Health Affairs as appropriate.

Authority

The University's Redbook (Article 3.2.2), gives the dean of the School of Dentistry the following authority:

"Deans shall be the educational and administrative heads of their units. They shall report to the Executive Vice President and University Provost, through whom they shall be responsible to the President for the administration of their units."

Responsibilities

The dean shall be responsible to:

1. Recommend the appointment of other administrative officers of the School of Dentistry.
2. Fill departmental officer vacancies as specified in the Redbook.
3. In consultation with the chairs/directors of the concerned departments/divisions and appropriate committees as specified in the Redbook, recommend to the Executive Vice President and University Provost the appointment, tenure, promotion, retention, sabbatical leave, annual salary increase and retirement actions of any faculty members and administrative officers of the school.
4. In consultation with the council, the Faculty Assembly, or independently as appropriate, appoint members to standing and ad hoc committees as needed for the proper operation of the school.
5. Serve as chairperson of the council and preside over the Faculty Assembly during special meetings to recommend the granting of degrees and certificates.
6. Represent the school at meetings of the university, professional associations, governmental agencies and other groups.
7. Create an environment that facilitates research and scholarly activity.
8. Develop and promote public service among members of the School of Dentistry community.
9. Develop and administer the School of Dentistry's budget.
10. Promote the School of Dentistry through fund-raising and alumni activities.
11. Recruit and retain the school's faculty and staff in response to programmatic needs and encourage their professional development.
12. Delegate duties to appropriate individuals or groups whenever indicated.
13. Assume other responsibilities and perform other duties as may be prescribed by the Board of Trustees, the President, the Executive Vice President and University Provost, the Vice President for Health Affairs or other appropriate administrative officers of the University.

Office of the Dean

The dean may appoint vice, associate and assistant deans (as specified in the Redbook) for the proper functioning of the administration of the school. The people in these positions will be evaluated every five years as part of the University's unit decanal review.

Department Chairs

Authority

The University's Redbook (Article 3.3.5.C), gives the divisional or departmental officers of the School of Dentistry the following authority:

"The officer of a department, division, institute or school within a unit shall be the educational and administrative head of that group. The chair or director of any department, school, institute, or division shall be immediately responsible to the dean of the unit for work and progress of the department or division. "

Responsibility

The departmental chair "shall be responsible for implementing the mission statement and specific goals and objectives through administration of faculty workload plans, space, equipment, staff, budgets, and other resources in the department, consistent with university policy and the law." The departmental chairs report to the dean and serve as members of the school's council. Each chair will carry out appropriate teaching, scholarship and service activities as a faculty member, and will be responsible for administering the academic, financial, physical and human resources of the department to achieve the goals of the department, school, and university.

The departmental chair has the following responsibilities:

1. Maintain and assure the integrity and curricular appropriateness of the department's academic programs.
 - a. Assess departmental course offerings as to curricular and educational effectiveness.
 - b. Assist and direct faculty development.
2. Maintain and assure the effective operation of departmental clinical teaching activities.
 - a. Schedule faculty to meet clinical education needs.
 - b. Direct clinical policies to assure proper patient treatment in departmental clinics.
3. Direct and assist the implementation of departmental mission, goals and objectives.
 - a. Negotiate the department's annual goals and work plan with the School of Dentistry's central administration.
 - b. Negotiate annual work plans with each of the faculty members of the department, perform annual reviews of performance based upon those plans, and recommend salary increases based upon the annual performance reviews.
 - c. Conduct and/or review annual performance appraisals and recommend salary increases to the staff assigned to the department.
 - d. Assure an appropriate balance of individual and departmental activities to meet the departmental mission, assisting and directing individual faculty in their scholarly, teaching and service development.
4. Prepare, administer and report the department's annual budget.
 - a. Maintain accountability for departmental expenditures.
 - b. Allocate space and other resources within the department.
5. Serve as information conduit, representing and communicating departmental needs and interests to central administration, and administration's needs and interests to the department, including serving on the School of Dentistry council.

Dental School Council

The Dental School Council is advisory to the dean in all matters relating to the administration of the School of Dentistry. The chair of the faculty assembly and departmental chairs are members of the council. The dean may appoint additional members of the council so that there is a broad-based representation of all constituencies of the School.

The Dental School Council meets as often as requested by the dean.

Students

The students of the School of Dentistry are those students who have been admitted into one of the academic programs as defined in Article II, Section C.

The School of Dentistry recognizes the student associations of each academic program as organizations that support all endeavors of student interest, as well as to establish effective representation with the faculty, administration, and other appropriate bodies. They may establish bylaws and other documents in accordance with all University policies, the Redbook, and the Student Handbook.

Staff

The Staff Assembly shall be the official representative of the staff to the school. It shall promote and support endeavors of staff interest and shall contribute to the overall effectiveness of the school. The Staff Assembly may determine its process of representation to other university bodies by establishing bylaws and other documents in accordance with all university policies, the Redbook, and the Staff

Handbook.

Amendment to these Bylaws and Appended Documents

These Bylaws and may be amended through the following process:

1. Any proposed amendments to any School of Dentistry governance document will be considered by the faculty only in written form. Any amendment proposal must be distributed to the members of the faculty with a date for an open forum to discuss the proposal. The proposal must be distributed at least two weeks before the forum.
2. The final version of the proposed amendment will be distributed to members of the faculty within 48 hours of the close of the discussion meeting by e-mail.
3. Voting on the amendment will take place within five working days of distribution of the final version of the amendment. The vote on the final proposed amendment will be through ballots submitted to the chair of the Faculty Assembly. Those ballots may be distributed through a meeting or the campus e-mail system. Members of the faculty have five working days after the distribution of ballots to submit votes by e-mail or campus mail.
4. Amendments to governance documents require votes cast by a minimum of 67% of the Executive Faculty (faculty eligible to vote). Acceptance of the proposal requires an affirmative vote of 50% of the members who vote on the proposal.
5. Amendments must be sent to the Vice President and University Provost for final administrative approval according to the provisions of the Redbook.

Appendix 1 - Mission of the School of Dentistry

The University of Louisville School of Dentistry, through excellence in teaching and research, will educate competent dental professionals. The school will provide quality dental care and will serve the community to fulfill our urban and statewide missions.

Goals:

To educate competent general dentists, specialists, and allied dental professionals.

To provide quality dental care.

To provide life-long learning opportunities for dental professionals.

To advance knowledge through research.

To serve the profession, the University, the community and Commonwealth, and the national/international community.

Departmental Missions, Goals, and Objectives

Each department of the University of Louisville School of Dentistry has developed its own mission statement and goals to support its mission. These were developed in congruence with the mission statements for the University and the School of Dentistry. Each department has also developed objectives which serve as a basis for assessment of the achievement of the departmental goals.

Appendix 2 - Governance Committees of the Faculty of the School of Dentistry

This document defines the governance committees of the Faculty of the School of Dentistry. It describes their purpose, membership, terms of office, and selection of a chair.

Authority

According to the University's Redbook (Article 3.3.2), the faculty of each unit has the following responsibility and authority:

“Except as otherwise provided, each faculty shall have general legislative powers over all matters pertaining to its own personnel policies, criteria, and procedures, to its own meetings, and to admission requirements, curricula, instruction, examinations and recommendation to the Board of Trustees for granting degrees in its own academic units.”

When applied to the School of Dentistry, the Redbook's mandate says that the faculty has responsibility and authority in four general areas:

1. Admissions to the School of Dentistry programs.
The faculty will determine the criteria for admission, and who is admitted to the programs of the school.
2. The curricula, instruction, and examinations in the programs of the School of Dentistry.
The faculty will determine the curricula required for the programs of the School of Dentistry, and will establish methods of instruction and examinations that prove student competence.
3. Certifying the graduates of the programs of the School of Dentistry.
The faculty will review the progress of each student in the programs of the school, require remedial or other additional work when required, and propose dismissal of students from the program when students do not meet the academic or professional expectations of the faculty. Through this process and a cumulative affirmation, the faculty will certify to the Board of Trustees that graduates have fulfilled the academic requirements of the faculty.
4. Faculty governance for the faculty of the School of Dentistry.
The faculty will establish criteria for promotion in rank, tenure, and other issues related to the governance of the faculty. It will establish criteria and procedures for its meetings and fulfill its faculty responsibilities.

The faculty of the School of Dentistry has established committees to fulfill their responsibilities in these areas for the various programs of the school. These are the governance committees of the Faculty of the School of Dentistry and will serve as the official representative of the faculty in these issues. The dean, Faculty Assembly, or other entities may appoint or elect committees for other purposes within the school, but they may not supersede the authority of the governance committee in their area of responsibility. These may be recurring (standing) committees or may be called for a limited time or purpose (ad hoc committees).

Faculty committees will meet as needed to fulfill their responsibility. Faculty members will be elected to various committees of the Faculty Assembly during the first week of the fall semester each year. The Executive Committee of the Faculty Assembly will insure that each position is filled as required by this document. The administration of the School of Dentistry will provide staff support for these functions. In consultation with the chair of the department, the dean will ensure that faculty members are assigned appropriate teaching, service and research loads (through the Annual Work Plan) to accomplish their

elected committee activities.

The governance committees of the Faculty of the School of Dentistry are:

Admissions

- D.M.D. Program Admissions Committee
- Dental Hygiene Admissions Committee
- Postdoctoral Affairs Committee (PAC)
- Graduate Programs Oversight Committee

Curriculum

- D.M.D. Program Curriculum Committee
- Dental Hygiene Curriculum Committee
- Patient Care and Clinical Operations Committee
- Postdoctoral Affairs Committee (PAC)
- Graduate Programs Oversight Committee

Certifying Graduates

- D.M.D. Program Student Progress and Promotion Committee (SPPC)
- Dental Hygiene Academic Achievement Committee
- Graduate Programs Oversight Committee
- Student Review Council
- Student Grievance Committee

Faculty Governance

- Faculty Personnel Committee

Eligible Faculty Members

Any member of the Executive Faculty is eligible to serve on the governance committees of the Faculty of the School of Dentistry. All ex-officio committee members are non-voting members of the committee.

Nomination of Members for Election

The Executive Committee of the Faculty Assembly serves as the nominating committee for elections to committee vacancies (except as otherwise stipulated below). They will allocate the positions among the departments (where required by this document) to insure that a proportional representation on committees is achieved. They will ensure (to the degree possible) that faculty members of all involved departments and areas of the school are appropriately represented on each governance committee.

The nominating committee will ensure that there is an open call for nominations for vacant positions and that eligible faculty members are given the opportunity to run for that position.

The nominating committee then provides a slate of candidates to fill expiring faculty positions on each governance committee.

The nominating committee will meet as needed so that the election to governance committees will occur so that members will be seated by the beginning of the fall semester.

Terms of Members

Each faculty member elected to a governance committee will serve for a two-year term. They may succeed themselves. Members will serve staggered terms, so that approximately one-half of the membership of each governance committee will be elected each year.

Committee Operations

The chair of the Faculty Assembly and the dean will charge each governance committee at the annual meeting the first month of the fall semester. Each governance committee will elect a chair from its members at the first meeting of the academic year, except as noted below.

Committees to Govern the Admission of Students

Dental Hygiene Program Admissions Committee

Purpose:

The committee interprets and applies the standards of admission approved by the faculty. Based upon these criteria, they select candidates for admission to the Dental Hygiene program each year. The committee recommends changes in policy and criteria to the Faculty Assembly when it believes such changes are warranted, and informs the dean of the applicants to be admitted.

Membership:

The Dental Hygiene Admissions Committee is composed of all Executive Faculty members of the dental hygiene program faculty, and one D.M.D. program faculty member elected by the faculty of the School of Dentistry. The dean or his/her designee serves as an ex officio member of the committee.

Elections:

The D.M.D. faculty member will be elected by the faculty at large.

Chair:

The chair will be elected from and by the committee's membership annually.

D.M.D. Program Admissions Committee

Purpose:

The committee interprets and applies the standards for admission approved by the faculty. Based upon these standards, they select candidates for admission to the D.M.D. program each year. The committee recommends changes in policy and criteria to the Faculty Assembly when it believes such changes are warranted, and informs the dean of the applicants to be admitted.

Membership:

The committee is composed of six members of the executive faculty. The committee may annually elect additional faculty members (Executive or General) with full rights to help fulfill its purpose. The committee may also appoint student or other non-faculty members to aid in the recruitment and interview process, but at no time may these non-faculty members vote on the admission status of a candidate to the D.M.D. Program. The dean or his/her designee serves as an ex officio member of the committee.

Elections:

The D.M.D. faculty members will be elected by and from the executive faculty at large.

Chair:

The chair will be elected from and by the committee's membership annually.

Committees to Govern the Curricula of the Programs

D.M.D. Program Curriculum Committee

Purpose:

The Curriculum Committee establishes and oversees the content and structure of the didactic and clinical curricula. To fulfill their mission, they:

1. Ensure that the goals and objectives of the faculty and D.M.D. program are met.
2. Ensure that the curriculum meets the requirements of accrediting bodies.
3. Review the curriculum annually

4. Propose changes in courses to departmental chairs.
5. Set academic schedules to insure continuity.

Membership:

The committee is composed of eight faculty members from the ULSD departments that have D.M.D. courses (academic or clinical) assigned to and taught from their departments, and one faculty member from the basic science faculty of the School of Medicine who teaches a course in the D.M.D. curriculum. In addition, each student class elects one student consultant (non-voting) member. The dean or his/her designee serves as an ex officio member of the committee.

Elections:

The Executive Committee of the Faculty Assembly will allocate vacant positions to ensure proportional departmental representation on the committee. Members of the committee will be elected by their departmental faculty.

Chair:

The chair is elected from and by the Executive Faculty at large and will not be considered an additional faculty member of the department for allocation of representation to this committee.

Dental Hygiene Program Curriculum Committee

Purpose:

The Dental Hygiene Curriculum Committee establishes and oversees the content and structure of the didactic and clinical curricula. To fulfill their mission, they:

1. Ensure that the goals and objectives of the faculty and dental hygiene program are met.
2. Ensure that the curriculum meets the requirements of accrediting bodies.
3. Review the curriculum annually
4. Propose changes in courses to departmental chairs.
5. Set academic schedules to insure continuity.

Membership:

The Dental Hygiene Curriculum Committee is composed of all Executive Faculty from the dental hygiene program. Additionally, one D.M.D. faculty member who is a dental hygiene course director, and one faculty member from the basic science faculty of the School of Medicine who teaches a course in the dental hygiene curriculum will be members. The dean or his/her designee will serve as an ex officio member of the committee.

Elections:

The non-program faculty members will be elected by the Executive Faculty at large.

Chair:

The chair will be elected from and by the committee membership annually.

Clinical Operations and Patient Care Committee

Purpose:

The committee ensures that the mission of the clinical curriculum is fulfilled. To fulfill their responsibility, they:

1. Ensure that clinical competencies (as defined in the curriculum) are met through availability of patients, patient assignment mechanisms and other clinical systems that support the needs of the clinical education program.
2. Evaluate and implement methods to improve patient care.
3. Coordinate clinical education and communication between the disciplines in the clinical programs of the school.

Membership:

The committee is composed of the clinical Group Leaders and the Discipline Coordinators (including one faculty member from the Dental Hygiene program). In addition, one student consultant (non-voting) from the Senior and Junior D.M.D. classes will be elected by the students of that class. The dean or his/her designee or designees will serve as an ex officio member of the committee.

Elections:

The Executive Committee of the Faculty Assembly will allocate vacant positions to ensure proportional departmental representation on the committee. Members of the committee will be elected by their departmental faculty.

Chair:

The chair will be elected from the Executive Faculty at large and will not be considered an additional faculty member of the department for allocation of representation to this committee.

Committees to Monitor Student Progress and Certify Graduates

D.M.D. Program Student Progress and Promotion Committee (SPPC)

Purpose:

The Student Progress and Promotion Committee recommends actions to the dean concerning D.M.D. student performance and continuation in the program. The SPPC:

1. Reviews the academic progress of each D.M.D. student regularly.
2. Makes recommendations to the dean concerning:
 - a. D.M.D. Program students in actual or potential academic difficulty
 - b. D.M.D. Program students who have demonstrated outstanding ability
 - c. D.M.D. Program students who are not meeting the professional or academic expectations of the faculty.
3. Proposes academic policy development or suggests modification to the appropriate sections of this document to the School of Dentistry's faculty.

Membership:

The committee is composed of eight executive faculty members from the ULSD departments that have D.M.D. courses (academic or clinical) assigned to and taught from their departments, and one faculty member from the basic science faculty of the School of Medicine who teaches a course in the D.M.D. curriculum. The dean or his/her designee will serve as an ex officio member of the committee.

Elections:

The Executive Committee of the Faculty Assembly will allocate vacant positions to ensure proportional departmental representation on the committee. Members of the committee will be elected by their departmental faculty.

Chair:

The chair will be elected annually from the membership of the committee.

Dental Hygiene Program Academic Achievement Committee (DHAAC)

Purpose:

The Dental Hygiene Academic Achievement Committee recommends to the dean actions concerning dental hygiene program student performance and continuation in the program. The DHAAC:

1. Reviews the academic progress of each Dental Hygiene student regularly.
2. Makes recommendations to the dean concerning:
 - a. Dental hygiene program students in actual or potential academic difficulty
 - b. Dental hygiene program students who have demonstrated outstanding ability
 - c. Dental hygiene program students who are not meeting the academic or professional expectations of the faculty.
3. Proposes academic policy development or suggests modification to the appropriate sections of this document to the School of Dentistry's faculty.

Membership:

The committee is composed of all Executive Faculty members of the dental hygiene program

faculty, full-time faculty members of the dental hygiene program, and invited dental hygiene course directors. The dean or his/her designee will serve as an ex officio member of the committee.

Chair:

The chair will be elected for a term of three years from the full-time dental hygiene faculty membership of the committee.

Student Review Council

Purpose:

The Student Review Council administers the Student Code of Professional Responsibility and reviews students who are accused of breaching the code. They recommend actions to the dean concerning sanctions and punishments for students who have been found guilty of violating the Code. They report their recommendations to the dean.

Membership:

The Student Review Council consists of four Executive Faculty members and two (non-voting) student members.

Elections:

Members will be elected by and from the Executive Faculty at large. One student representative will be elected from the combined freshman, sophomore, and dental hygiene classes and one representative will be elected from the combined junior and senior classes.

Chair:

The chair will be elected annually from and by the membership of the committee.

Student Grievance Committee

Purpose:

The Student Grievance Committee processes student grievances concerning academic matters. Academic matters are defined as those concerning instructional activities, research activities, activities closely related to either of these functions, or decisions involving instruction or affecting academic freedom. The committee makes recommendations on formal grievances to the dean.

Membership:

The Student Grievance Committee consists of four faculty members and three (voting) student members.

Elections:

One student representative will be elected from the combined freshman and sophomore classes, one representative will be elected from the combined junior and senior classes, and one member will be elected from the combined dental hygiene classes. Student members will be elected annually by and from their constituent groups. The faculty members will be elected from the Executive Faculty at large.

Chair:

The chair will be elected annually from and by the membership of the committee.

Committees with Combined Governance Responsibility

Graduate Research Program Oversight Committee

Purpose:

The committee is responsible for oversight of the admissions, curriculum and student progress of students in the Master's Degree in Oral Biology program. The committee also coordinates with the School of Interdisciplinary and Graduate Studies (SIGS) to insure compliance with that program. To fulfill these responsibilities, they:

1. Develop criteria for, and monitor the selection of candidates for admission to the

- program.
2. Develop and monitor curriculum of the program to ensure that accreditation compliance and the goals and objectives of the faculty are met.
 3. Monitor and report student progress through the program.
 4. Recommend actions to the dean concerning students who do not meet the academic or professional expectations of the faculty.
 5. Recommend to the faculty at large those candidates who have completed the program and are eligible for award of the degree.
 6. Propose academic policy development or suggest modification to the appropriate sections of this document to the School of Dentistry's faculty.
 7. Coordinate the School of Dentistry graduate offerings with the School of Interdisciplinary Graduate Studies (SIGS) to insure compliance with those programs.

Membership:

The committee is composed of five members of the Executive Faculty who hold an appointment as Graduate Faculty in the School of Dentistry. The dean or his/her designee serves as an ex officio member of the committee.

Elections:

The faculty members will be elected by and from the Executive Faculty at large who hold appointments as Graduate Faculty in the School of Dentistry.

Chair:

The chair will be elected from and by the committee membership annually.

Postdoctoral Affairs Committee (PAC)

Purpose:

The committee is responsible for oversight of the admissions, curriculum and student progress of students in the postdoctoral clinical (certificate) programs. To fulfill these responsibilities, they:

1. Promulgate rules for selection of candidates for admission to the programs.
2. Provide oversight and assistance to the directors of the postdoctoral programs in fulfilling the clinical and didactic requirements of their programs.
3. Monitor curricula of the programs to ensure that accreditation compliance and the goals and objectives of the faculty are met.
4. Monitor and report student progress through the program.
5. Recommend actions to the dean concerning students who do not meet the academic or professional expectations of the faculty.
6. Recommend to the faculty at large those candidates who have completed the program and are eligible for award of the certificate.
7. Propose academic policy development or suggest modification to the appropriate sections of this document to the School of Dentistry's faculty.

Membership:

The committee consists of the director of each postdoctoral and advanced education clinical program sponsored by the School of Dentistry. The dean or his/her designee serves as an ex officio member of the committee.

Elections:

Members of the committee serve by result of their administrative position as director of their respective program.

Chair:

The chair will be elected from and by the committee's membership annually.

Committees for Faculty Governance

Faculty Personnel Committee

Purpose:

This committee constitutes the personnel committee as required by the Redbook. The purposes of this committee are to:

1. Assess the proposed appointment for all 80% or greater faculty appointments.
2. Recommend the award or denial of tenure to faculty members of the school.
3. Make recommendations for pre-tenure and post-tenure reviews.
4. Make recommendations for promotion in rank.
5. Review the periodic post-tenure review process.

Membership:

The committee is composed of seven tenured Executive Faculty members. In addition, one part-time member of the General Faculty will serve as an alternate when a part-time faculty member is being considered for promotion. The dean or his/her designee will serve as an ex officio member of the committee.

Elections:

The Executive Committee of the Faculty Assembly will allocate vacant positions to ensure proportional departmental representation on the committee. The members will be elected by and from the Executive Faculty at large. The part-time member will be elected by and from the General Faculty who are not Executive Faculty.

Chair:

The chair will be elected annually from and by the membership of the committee.

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING REVISIONS TO *THE REDBOOK*
CHAPTER FOUR**

**Personnel Committee – February 16, 2012
Board of Trustees – February 16, 2012**

RECOMMENDATION:

The President recommends:

That the Board of Trustees approve revision to following section of *The Redbook* Chapter Four as indicated below, to be effective immediately:

Sec. 4.3.3 Work Outside the University

Full-time faculty of the University may carry out professional work outside the University, with or without pay, usually for not more than the equivalent of one work day a week, averaged throughout the number of weeks of their employment in a given year, provided that such work is previously approved by the dean as appropriate to the faculty member's expertise and the mission of the university and provided that such work does not conflict or interfere with the faculty member's schedule of assignments and responsibilities at the University. As part of the documentation for annual review, full-time faculty shall submit a report of this professional work outside the University under the provisions of this section. **If a unit has a Professional Practice Plan that has been reviewed by the faculty of the Unit and approved by the Board of Trustees, then that Professional Practice Plan supersedes this section.**

BOARD OF TRUSTEES
UNIVERSITY OF LOUISVILLE

February 16, 2012
Jefferson Room, Grawemeyer Hall

Open Session Agenda

			Tab
I.	Call to Order	Minnifield	
II.	Consent Agenda		
	A. Approval of Minutes		1
	a. Minutes from Board Meeting, 11/10/2011		
	b. Minutes from Executive Committee Meeting, 12/21/2011		2
	B. From the Personnel Committee		
	a. Approval of Naming, Hiram Polk, Jr. Department of Surgery		3
	b. Approval of Personnel Recommendations: January, February		4, 5
	c. School of Dentistry Bylaws		6
	d. Redbook Section 4.3.3		7
	C. From the Academic and Student Affairs Committee		
	a. Approval of Ph.D. in Pan African Studies		8
	D. From the Audit Committee		
	a. Approval of Institutional Compliance Plan		9
	E. From the Finance Committee		
	a. Approval Capital Construction Projects		10
III.	Action Item: Approval of Bond Refunding	Ramsey	11
IV.	Information Updates		
	• African American Theatre Program Presentation	Ramsey	
V.	Report of the President	Ramsey	
	• Mid Year Progress Goals Update		
VI.	Executive Session	Minnifield	
	• Motion to recess to discuss a new business proposal Pursuant to KRS 61.810(1)(g)		
VII.	Open Meeting Reconvenes	Minnifield	
	• Appropriate action, if any		

VIII. Report of the Chair

Minnifield

IX. Adjournment

MINUTES OF THE REGULAR MEETING OF THE UNIVERSITY OF LOUISVILLE
BOARD OF TRUSTEES

November 10, 2011

In Open Session

Members of the University of Louisville Board of Trustees met at 2:50 p.m. on November 10, 2011, in the Jefferson Room, Grawemeyer Hall, Belknap Campus, with members present and absent as follows:

Present: Mr. Frank Minnifield, Chair
Ms. Marie Abrams
Mr. Laurence Benz
Mr. Jonathan Blue
Mr. Ron Butt
Dr. Kevin Cosby
Mr. Kurtis Frizzell
Mr. Bruce Henderson
Mrs. Augusta Brown Holland
Dr. Robert Curtis Hughes
Mr. David James
Ms. Brucie Moore
Mr. Robert W. Rounsavall, III
Ms. Debbie Scoppechio
Dr. William Selvidge
Dr. Robert Staat

Absent: Mr. Owlsey Brown Frazier
Judge Rebecca Jackson
Mr. J. Chester Porter
Ms. Phoebe Wood

From the
University: Dr. James R. Ramsey, President
Dr. Shirley Willihnganz, Executive Vice President and Provost
Dr. David Dunn, Executive Vice President for Health Affairs
Mr. Michael Curtin, Vice President for Finance
Ms. Angela D. Koshewa, University Counsel
Mr. Sam Connally, Vice President for Human Resources
Dr. Priscilla Hancock, Vice President for Information Technology
Mr. Dan Hall, Vice President for Community Engagement
Mr. Keith Inman, Vice President for University Advancement
Mr. John Drees, Associate VP, University Advancement
Ms. Anne Rademaker, Director of Financial Reporting and University Accounting
Ms. Cynthia Hess, Director of Communications & Marketing
Mr. Jason Tomlinson, Associate Vice President for Finance
Mr. Mark Hebert, Director, Media Relations
Ms. Kathleen Smith, Assistant Secretary
Mrs. Debbie Dougherty, Board Liaison

Guests: Ms. Mary McKinley, BKD
Mr. Greg Davis, Stites & Harbison

I. Call to Order

Having determined a quorum present, Chair Minnifield called the meeting to order at 2:50 p.m.

II. Consent Agenda

Chair Minnifield read the consent agenda items.

- A. Approval of Minutes
 - Special Board Minutes, October 13, 2011
- B. From the Personnel Committee
 - Approval of Monthly Personnel Recommendations
 - Approval of Honorary Degree, Karel Husa
- C. Approval of Candidates for Degrees, December, 2011
- D. Approval of Security Clearance and Managerial Group

Hearing no opposition, Ms. Scoppechio made a motion, which Dr. Benz seconded, to approve the consent agenda. The motion passed.

III. Action Item: Approval of the

Center for Mental Health Disparities

President Ramsey reported this Center will support research projects, training, community outreach, and services to address mental health disparities to increase resiliency among historically underserved families in the community. He called upon the Provost, who explained the Center is in keeping with the University's mission as a premier metropolitan research university. The Center will partner with Jefferson County Public School officials, elected officials and community members and agencies to facilitate the community-based participatory research initiatives. Ms. Scoppechio made a motion, which Mr. James seconded, to approve the

President's recommendation that the Board of Trustees approve the creation of the Center for Mental Health Disparities

The motion passed.

Ph.D. in Justice Administration

President Ramsey reported this doctoral degree will follow traditional academic criteria in criminal justice/justice administration but with some unique features. Provost Willihnganz explained the curriculum emphasizes the examination of public policies and programs in criminal justice, especially their management and effectiveness. She noted it will stress applied scientific knowledge within the context of theory development. It will allow students to pursue the Ph.D. on a part-time basis, also. She recognized the University's Department of Justice Administration as one of the oldest in the United States, dating back to 1951, with the inception of the Southern

Police Institute and the Administrative Officers' Course. Mr. James made a motion, which Ms. Scoppechio seconded, to approve the

President's recommendation that the Board of Trustees approve the creation of the Doctoral (Ph.D.) degree in Justice Administration

The motion passed.

IV. Action Item: Approval of Differential Tuition Rate for Active Duty Military

President Ramsey reported this recommendation stems from a Department of Defense (DOD) requirement, effective January 1, 2012, that all universities participating in the Military Tuition Assistance Program have a memorandum in place with the DOD. This recommendation caps the cost of tuition at \$250 per credit hour for all undergraduate and graduate courses taken by Active Duty Service Members and Reserve Component Service Members who receive DOD tuition assistance funds. President Ramsey noted the University's participation in this program is in line with ongoing efforts as a "military friendly" university. Ms. Abrams made a motion, which Mr. James seconded, to approve the

President's recommendation that the Board of Trustees approve a \$250 per credit hour differential tuition rate effective Spring 2012 for undergraduate and graduate courses. This rate would continue to include all Active Duty Service Members, and all Reserve Component Service Members who are receiving Department of Defense (DOD) tuition assistance funds.

The motion passed.

V. Action Item: Approval of Capital Construction Projects

University Club Roof Replacement

President Ramsey reported the University Club needs reroofing, reflashng and a sealant repair of a portion of the building along with renewal of water repellent coatings and sealants for the masonry.

College of Business

- Brandeis Circle Improvements
- Renovation of Classroom/Auditorium

President Ramsey reported renovation of the Brandeis Circle, located in front of the College of Business, incorporates a gathering space for students, repainting "Big Red" and creating a recognition area for donors. He said renovation of Room 106 (Auditorium) of the College of Business incorporates up-to-date electronics, acoustics and seating. Ms. Scoppechio made a motion, which Mr. James seconded, to approve the

President's recommendation that the Board of Trustees approve the following renovation projects:

<u>Project</u>	<u>Estimated Cost</u>	<u>Fund Source</u>
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University Club Roof Replacement	\$575,000	University Club and Plant Funds
Brandeis Circle Improvements	\$375,000	Private Funds
College of Business Auditorium	\$275,000	Private Funds

The motion passed.

- VI. Action Item: Authorization of Executive Committee to Act on Grawemeyer Awards Designations and Namings, and Routine Personnel Matters

President Ramsey noted the Board will not meet between November and February; therefore, this authorization will allow the Executive Committee of the Board of Trustees to act for the board during that timeframe. Dr. Selvidge made a motion, which Dr. Hughes seconded, to approve the

Chair's recommendation that the Board authorize the Executive Committee to take action on the following:

- **Adopt Grawemeyer Awards for 2012**
- **Monthly Personnel Actions and Routine Personnel Policy Revisions**
- **Designations and Awards**
- **Other Matters of Housekeeping Nature**

The motion passed.

- VII. Action Item: Approval of Endowment Match Annual Report

President Ramsey stated this program matches public funds with private gifts to support endowed chairs, professorships, fellowships, scholarships, and mission support. The report includes how state and matching funds are used during the fiscal year. Dr. Hughes made a motion, which Ms. Scoppechio seconded, to approve the

President's recommendation that the Board of Trustees approve the Endowment Match Program 2010-2011 Annual Report as requested by the Council on Postsecondary Education

The motion passed.

- VIII. Report of the President

President Ramsey noted the James Graham Brown Cancer Center is celebrating its 30th anniversary. Dr. Ramsey recognized Mr. Rounsavall's service to the Cancer Center board. Dr. Ramsey then showed the Cancer Center's video depicting its many accomplishments.

- IX. Adjournment

Dr. Selvidge made a motion, which Ms. Scoppechio seconded, to adjourn the meeting at 3:20 p.m. The motion passed.

MINUTES OF THE MEETING OF THE EXECUTIVE COMMITTEE OF THE
BOARD OF TRUSTEES OF THE UNIVERSITY OF LOUISVILLE

December 21, 2011

IN OPEN SESSION

Members of the Executive Committee of the University of Louisville Board of Trustees met at 12 Noon on Wednesday, December 21, 2011, in the Jefferson Room, Grawemeyer Hall, Belknap Campus, with members present and absent as follows:

Present: Mr. Frank Minnifield, Chair
Dr. Robert Curtis Hughes, Vice Chair
Ms. Debbie Scoppechio, Treasurer
Dr. Robert Staat, Constituency Representative
Judge Rebecca Jackson, at large

Absent: Mr. Owsley B. Frazier, *ex officio*
Dr. William Selvidge, Secretary

From the
University: Dr. James R. Ramsey, President
Ms. Angela D. Koshewa, University Counsel
Dr. Allen Dittmer, Adjunct Professor
Mr. Mark Hebert, Director of Media Relations
Ms. Debbie Dougherty, Board Liaison

I. Call to Order

Having determined a quorum present, Chair Minnifield called the meeting to order at 12 Noon.

II. Action Item: Approval of 2012 Grawemeyer Awards

President Ramsey explained in November the Board received a briefing on four Grawemeyer Awards and the University publicly released information about the recipients. This action makes the four awards official. Judge Jackson made a motion, which Ms. Scoppechio seconded, to approve the

President's recommendation that the Board of Trustees approve the following nominees for the 2012 Grawemeyer Awards:

Music: Esa-Pekka Salonen

Improving World Order: Severine Autesserre

Psychology: Dr. Leslie Ungerleider and Dr. Mortimer Mishkin

Religion: Barbara Dianne Savage

The motion passed.

III. Executive Session

Judge Jackson made a motion, which Dr. Staat seconded, to go into executive session to discuss personnel matters. The motion passed.

IV. Reconvene Open Session

Chair Minnifield reconvened the open session at 12:25 p.m. and reported the Executive Committee discussed personnel matters.

Personnel Recommendations

Judge Jackson made a motion, which Ms. Scoppechio seconded, to approve the following personnel recommendations.

Administration

C. Maurice Snook, M.B.A., University of North Carolina, Chapel Hill; Associate Vice President for Health Affairs for Finance and Administration, January 1, 2012. The appointment as Associate Vice President is at the pleasure of the Board of Trustees.

College of Arts and Sciences

Lt. Col. Michael A. Quitania, M.B.A., Webster University; Professor and chair of Military Science, January 1, 2012. The appointment is at the pleasure of the Board of Trustees.

The motion passed.

2012 Grawemeyer Award in Education

Judge Jackson made a motion, which Ms. Scoppechio seconded, to approve the

President's recommendation that the Board of Trustees approve

Linda Darling-Hammond as the 2012 Grawemeyer Award in Education

The motion passed.

V. Adjournment

There being no further business to discuss, the meeting adjourned at 12:30 p.m.

MINUTES OF THE EXECUTIVE COMMITTEE OF THE
BOARD OF TRUSTEES OF THE UNIVERSITY OF LOUISVILLE

December 21, 2011

In Executive Session

Present: Mr. Frank Minnifield, Chair
Dr. Robert Curtis Hughes, Vice Chair
Ms. Debbie Scoppechio, Treasurer
Dr. Robert Staat, Constituency Representative
Judge Rebecca Jackson, at large

Absent: Mr. Owsley B. Frazier, *ex officio*
Dr. William Selvidge, Secretary

From the
University: Dr. James R. Ramsey, President
Ms. Angela D. Koshewa, University Counsel
Dr. Allen Dittmer, Adjunct Professor
Ms. Debbie Dougherty, Board Liaison

I. Call to Order

Chair Minnifield called the executive session to order.

II. Personnel Recommendations

President Ramsey briefed the Committee regarding the personnel recommendations.

III. Recommendation on Education Grawemeyer Award

Prof. Dittmer briefed the Committee regarding the Grawemeyer in Education Award nominee.

IV. Adjournment

The executive session adjourned at 12:20 p.m.

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING NAMING AND DESIGNATIONS**

Personnel Committee – January 12, 2012

Board of Trustees – February 16, 2012

RECOMMENDATION:

The President recommends the Board of Trustees approve

Naming the Department of Surgery the Hiram Polk Department of Surgery

RECOMMENDATION TO BOARD OF TRUSTEES

January 12, 2012 (Personnel Committee)

February 16, 2012 (Board of Trustees)

The President recommends:

That the following personnel recommendation be approved by the Board of Trustees.

SCHOOL OF MEDICINE

Monica Ann Shaw, M.D., Professor of Medicine (General Internal Medicine, Palliative Medicine and Medical Education) (Term); change of additional appointment from Interim Associate Dean to Associate Dean for Medical Education, March 1, 2012. The appointment as Associate Dean is at the pleasure of the Board of Trustees.

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING BYLAWS OF THE SCHOOL OF DENTISTRY

Personnel Committee – February 16, 2012

Board of Trustees – February 16, 2012

RECOMMENDATION:

The President recommends:

That the Board of Trustees approve the revised Bylaws for the School of Dentistry in the form attached, to be effective immediately.

University of Louisville School of Dentistry

ULSD Bylaws

The ULSD Faculty Governance Document and Bylaws

Approved by the ULSD Faculty Assembly 9/7/2011

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University of Louisville School of Dentistry Bylaws

Preamble

These Bylaws are the official statement of the organization and rules of governance of the faculty of the School of Dentistry, University of Louisville. The School of Dentistry is an academic unit of the University of Louisville. It has the authority to recommend awarding degrees and certificates. It functions under the rules, regulations and guidelines of the University of Louisville as specified in the University's Redbook.

Mission

School of Dentistry Mission

The mission of the School of Dentistry is detailed in Appendix 1 of this document.

Departmental Missions, Goals and Objectives

The faculty of each of the departments of the University of Louisville, School of Dentistry, led by the department chair, will develop its own mission statement and goals to support its mission. These statements will be developed in congruence with the mission statements for the University and the School of Dentistry. The faculty will also develop objectives which will serve as a basis for assessment of the achievement of the departmental goals.

Academic Programs of the School of Dentistry

The programs of the school are those academic degrees or programs in the School of Dentistry that have been approved by the faculty and recognized officially by the University. The School of Dentistry operates the following academic programs:

1. The Doctor of Dental Medicine program
2. The baccalaureate program in Dental Hygiene
3. Masters Degree in Oral Biology
4. Postdoctoral certificate programs in various dental specialties.

The faculty of the School of Dentistry is responsible for general educational oversight of those programs. The governance committee structure is the method of carrying out that oversight.

Faculty of the School of Dentistry

The Faculty Assembly of the School of Dentistry is the organization that represents the faculty. Its purpose is to ensure that the faculty of the School of Dentistry fulfill their obligations and responsibilities and exercise their rights as defined in the University of Louisville's Redbook.

Authority

The University's Redbook (Article 3.3.2), gives the faculty of the School of Dentistry the following authority:

“Except as otherwise provided, each faculty shall have general legislative powers over all matters pertaining to its own personnel policies, criteria, and procedures, to its own meetings, and to admission requirements, curricula, instruction, examinations and recommendation to the Board of Trustees for granting degrees in its own academic units.”

The faculty of the School of Dentistry will exercise its authority through its general meetings and through its committee structure:

1. *Standing* committees perform a continuing function. The members may be elected by the faculty,

appointed by the chair of the Faculty Assembly, or appointed by the dean to oversee a continuing policy or research area.

2. *Governance* committees are standing committees that are elected by the executive or departmental faculty to administer their rights and responsibilities as defined in the Redbook (Article 3.3.2),
3. *Ad hoc* committees are appointed by the chair of the Faculty Assembly or the dean to address a particular issue for a limited time.

Any standing or ad hoc committees may not supersede the authority of a governance committee in its area of responsibility.

Responsibilities

As part of its general legislative power over all matters pertaining to its own affairs, the faculty and its members shall be responsible to:

1. Help to develop school and departmental mission statements.
2. Assist in the development and review of the school's strategic plan and priorities for action.
3. Advise the dean on matters related to the mission, budget, and planning of the school.
4. Recommend to the dean specific actions and programs to achieve the overall goals of the School of Dentistry.
5. Identify and explore areas of faculty concern and recommend appropriate action to the dean of the School of Dentistry.
6. Maintain academic excellence through development, refinement, implementation and review of the curriculum.
7. Promote excellence in patient care through development, refinement, implementation and review of the clinical patient care system.
8. Review and submit to the dean recommendations and proposals for establishing new certificate or degree programs or the dissolution of existing programs.
9. Recommend faculty personnel actions to the dean by way of the Faculty Personnel Committee.
10. Create from its membership standing and special committees, and elect representatives necessary to conduct its business.
11. Develop research and scholarly activities that enhance the school's research priorities.
12. Develop service activities that enhance the school's external service priorities.

Types of Faculty

General Faculty

Membership

The General Faculty of the School of Dentistry consists of:

1. All full-time faculty members (tenured, tenure track or term) who hold the rank of instructor, assistant professor, associate professor or professor in the School of Dentistry.
2. All part-time faculty members who have at least one day per week (.2 FTE) commitment to the School of Dentistry.

Privileges

1. Any member of the General faculty may attend and speak at any Faculty Assembly meeting.
2. Any member of the General Faculty may serve on any ad hoc committee of the school.

Executive Faculty

Membership

The Executive Faculty consists of:

1. All full-time members of the faculty.
2. All part time members of the faculty who have at least a 0.8 F.T.E. commitment to the school.
3. A part-time member of the faculty who has been elected to the Executive Faculty. The

part-time faculty who hold less than a .8 FTE commitment to the school will elect three of their members to serve as voting members of the faculty. These three members will be considered Executive Faculty members for voting privileges but not for election to the governance committees.

Privileges

1. Any member of the Executive Faculty may vote on any issues brought before the faculty. These include elections to School of Dentistry and university-wide committees, changes to bylaws and other documents related to faculty governance, issues related curriculum, admissions, student progress, or graduation from the programs of the School of Dentistry.
2. Any member of the Executive Faculty may serve on the governance committees, standing committees or ad hoc committees of the School of Dentistry (except as noted above for part-time faculty elected to the executive faculty).

Graduate Faculty

Membership

The Graduate Faculty consists of:

1. All members of the faculty who have applied for and been accepted as members of the Graduate Faculty as defined in the *Minimum Guidelines for Graduate Education at ULSD*.

Privileges

1. Only members of the Graduate Faculty may serve on committees overseeing, or vote on any issues directly related to the Graduate Research Programs.

Officers of the Faculty

The Executive Faculty of the ULSD Faculty Assembly shall elect the following officers on or before July 1 of each year. The officers will serve a two-year term beginning the fall semester of the academic year. Any officer may succeed him/herself in any position. No permanent member of the school or university administration (department chair or higher) may serve as an officer of the Faculty Assembly during their appointment to the administrative position. The duties of the officers are:

1. Chair

1. Preside over all meetings of the Faculty Assembly, except for the special meeting called by the dean for the purpose of approval of candidates for graduation.
2. Represent the Faculty Assembly when and where appropriate.
3. Serve as representative of the faculty on the School of Dentistry Council.
4. Appoint members to standing and ad hoc faculty committees, as needed.

2. Vice Chair

1. Chair the Faculty Assembly in the absence of the chair.

3. Secretary

1. Record and transmit the minutes of all meetings to all members of the Faculty Assembly.
2. Serve as the corresponding secretary, when appropriate.
3. Maintain records as necessary.

Executive Committee of the Faculty Assembly:

The Executive Committee of the Faculty Assembly shall act as an advisory body to the chair of the Faculty Assembly. The chair of the Faculty Assembly will determine meeting times and frequency and will preside over meetings.

The Executive Committee shall be composed of the current and the immediate past officers of the Faculty Assembly, and the school's university senators. The committee will advise the chair on faculty matters and serve as the nominating committee, as described later. If any member of the Executive Committee is unable to complete his or her term, the chair of the Faculty Assembly may appoint a replacement to serve

the remaining term of the member.

Meetings of the Faculty

The Faculty Assembly will meet regularly as needed to complete its business.

1. The Faculty Assembly shall meet regularly, at the discretion of the chair. The chair must call at least one meeting each semester.
2. The chair of the Faculty Assembly will call a special meeting upon receipt of a petition stating the specific nature of business to be transacted. It will include the time and date and must be signed by one third of the members of the Executive Faculty. Written or electronic notice of the meeting will be circulated to all Faculty Assembly members.
3. The dean will call a special meeting of the Faculty Assembly to recommend granting degrees and certificates from the programs at the School of Dentistry.
4. The dean may request that the chair call a meeting of the Faculty Assembly at any time.
5. A quorum is 33% of the eligible members (Executive Faculty).
6. The secretary of the Faculty Assembly will record the meeting and prepare the minutes. Minutes shall be distributed with the agenda for the next meeting to all faculty members. Agendas and approved minutes shall be sent to the dean and the Office of the Vice President and University Provost.
7. Votes may be taken through the University e-mail system. A voting quorum is 33% of the eligible members (Executive Faculty).
8. The latest edition of Robert's Rules of Order shall govern the conduct of business in all instances not covered by the Bylaws.

Committees of the Faculty Assembly:

The Executive Committee of the Faculty Assembly will develop governance committees for approval of the Executive Faculty. These committees fulfill the faculty's rights and obligations according to the Redbook. These are described in Appendix 2 to this document.

The faculty may enact other standing or ad hoc committees it deems important in conducting its business at the School of Dentistry. The faculty may dispose of committees it has formed that it deems no longer necessary. Governance committees may only be changed through changing the bylaws.

The chair of the Faculty Assembly and the dean will together meet with each governance committee at the beginning of the academic year to charge the committee with routine and special tasks for the upcoming year.

Administrative Officers

The Dean of the School of Dentistry

The dean is the administrative and educational head of the School of Dentistry as specified in the Redbook. The dean serves at the pleasure of the Board of Trustees and reports to both the University Executive Vice President and Provost, and to the Executive Vice President for Health Affairs as appropriate.

Authority

The University's Redbook (Article 3.2.2), gives the dean of the School of Dentistry the following authority:

"Deans shall be the educational and administrative heads of their units. They shall report to the Executive Vice President and University Provost, through whom they shall be responsible to the President for the administration of their units."

Responsibilities

The dean shall be responsible to:

1. Recommend the appointment of other administrative officers of the School of Dentistry.
2. Fill departmental officer vacancies as specified in the Redbook.
3. In consultation with the chairs/directors of the concerned departments/divisions and appropriate committees as specified in the Redbook, recommend to the Executive Vice President and University Provost the appointment, tenure, promotion, retention, sabbatical leave, annual salary increase and retirement actions of any faculty members and administrative officers of the school.
4. In consultation with the council, the Faculty Assembly, or independently as appropriate, appoint members to standing and ad hoc committees as needed for the proper operation of the school.
5. Serve as chairperson of the council and preside over the Faculty Assembly during special meetings to recommend the granting of degrees and certificates.
6. Represent the school at meetings of the university, professional associations, governmental agencies and other groups.
7. Create an environment that facilitates research and scholarly activity.
8. Develop and promote public service among members of the School of Dentistry community.
9. Develop and administer the School of Dentistry's budget.
10. Promote the School of Dentistry through fund-raising and alumni activities.
11. Recruit and retain the school's faculty and staff in response to programmatic needs and encourage their professional development.
12. Delegate duties to appropriate individuals or groups whenever indicated.
13. Assume other responsibilities and perform other duties as may be prescribed by the Board of Trustees, the President, the Executive Vice President and University Provost, the Vice President for Health Affairs or other appropriate administrative officers of the University.

Office of the Dean

The dean may appoint vice, associate and assistant deans (as specified in the Redbook) for the proper functioning of the administration of the school. The people in these positions will be evaluated every five years as part of the University's unit decanal review.

Department Chairs

Authority

The University's Redbook (Article 3.3.5.C), gives the divisional or departmental officers of the School of Dentistry the following authority:

"The officer of a department, division, institute or school within a unit shall be the educational and administrative head of that group. The chair or director of any department, school, institute, or division shall be immediately responsible to the dean of the unit for work and progress of the department or division. "

Responsibility

The departmental chair "shall be responsible for implementing the mission statement and specific goals and objectives through administration of faculty workload plans, space, equipment, staff, budgets, and other resources in the department, consistent with university policy and the law." The departmental chairs report to the dean and serve as members of the school's council. Each chair will carry out appropriate teaching, scholarship and service activities as a faculty member, and will be responsible for administering the academic, financial, physical and human resources of the department to achieve the goals of the department, school, and university.

The departmental chair has the following responsibilities:

1. Maintain and assure the integrity and curricular appropriateness of the department's academic programs.
 - a. Assess departmental course offerings as to curricular and educational effectiveness.
 - b. Assist and direct faculty development.
2. Maintain and assure the effective operation of departmental clinical teaching activities.
 - a. Schedule faculty to meet clinical education needs.
 - b. Direct clinical policies to assure proper patient treatment in departmental clinics.
3. Direct and assist the implementation of departmental mission, goals and objectives.
 - a. Negotiate the department's annual goals and work plan with the School of Dentistry's central administration.
 - b. Negotiate annual work plans with each of the faculty members of the department, perform annual reviews of performance based upon those plans, and recommend salary increases based upon the annual performance reviews.
 - c. Conduct and/or review annual performance appraisals and recommend salary increases to the staff assigned to the department.
 - d. Assure an appropriate balance of individual and departmental activities to meet the departmental mission, assisting and directing individual faculty in their scholarly, teaching and service development.
4. Prepare, administer and report the department's annual budget.
 - a. Maintain accountability for departmental expenditures.
 - b. Allocate space and other resources within the department.
5. Serve as information conduit, representing and communicating departmental needs and interests to central administration, and administration's needs and interests to the department, including serving on the School of Dentistry council.

Dental School Council

The Dental School Council is advisory to the dean in all matters relating to the administration of the School of Dentistry. The chair of the faculty assembly and departmental chairs are members of the council. The dean may appoint additional members of the council so that there is a broad-based representation of all constituencies of the School.

The Dental School Council meets as often as requested by the dean.

Students

The students of the School of Dentistry are those students who have been admitted into one of the academic programs as defined in Article II, Section C.

The School of Dentistry recognizes the student associations of each academic program as organizations that support all endeavors of student interest, as well as to establish effective representation with the faculty, administration, and other appropriate bodies. They may establish bylaws and other documents in accordance with all University policies, the Redbook, and the Student Handbook.

Staff

The Staff Assembly shall be the official representative of the staff to the school. It shall promote and support endeavors of staff interest and shall contribute to the overall effectiveness of the school. The Staff Assembly may determine its process of representation to other university bodies by establishing bylaws and other documents in accordance with all university policies, the Redbook, and the Staff

Handbook.

Amendment to these Bylaws and Appended Documents

These Bylaws and may be amended through the following process:

1. Any proposed amendments to any School of Dentistry governance document will be considered by the faculty only in written form. Any amendment proposal must be distributed to the members of the faculty with a date for an open forum to discuss the proposal. The proposal must be distributed at least two weeks before the forum.
2. The final version of the proposed amendment will be distributed to members of the faculty within 48 hours of the close of the discussion meeting by e-mail.
3. Voting on the amendment will take place within five working days of distribution of the final version of the amendment. The vote on the final proposed amendment will be through ballots submitted to the chair of the Faculty Assembly. Those ballots may be distributed through a meeting or the campus e-mail system. Members of the faculty have five working days after the distribution of ballots to submit votes by e-mail or campus mail.
4. Amendments to governance documents require votes cast by a minimum of 67% of the Executive Faculty (faculty eligible to vote). Acceptance of the proposal requires an affirmative vote of 50% of the members who vote on the proposal.
5. Amendments must be sent to the Vice President and University Provost for final administrative approval according to the provisions of the Redbook.

Appendix 1 - Mission of the School of Dentistry

The University of Louisville School of Dentistry, through excellence in teaching and research, will educate competent dental professionals. The school will provide quality dental care and will serve the community to fulfill our urban and statewide missions.

Goals:

To educate competent general dentists, specialists, and allied dental professionals.

To provide quality dental care.

To provide life-long learning opportunities for dental professionals.

To advance knowledge through research.

To serve the profession, the University, the community and Commonwealth, and the national/international community.

Departmental Missions, Goals, and Objectives

Each department of the University of Louisville School of Dentistry has developed its own mission statement and goals to support its mission. These were developed in congruence with the mission statements for the University and the School of Dentistry. Each department has also developed objectives which serve as a basis for assessment of the achievement of the departmental goals.

Appendix 2 - Governance Committees of the Faculty of the School of Dentistry

This document defines the governance committees of the Faculty of the School of Dentistry. It describes their purpose, membership, terms of office, and selection of a chair.

Authority

According to the University's Redbook (Article 3.3.2), the faculty of each unit has the following responsibility and authority:

“Except as otherwise provided, each faculty shall have general legislative powers over all matters pertaining to its own personnel policies, criteria, and procedures, to its own meetings, and to admission requirements, curricula, instruction, examinations and recommendation to the Board of Trustees for granting degrees in its own academic units.”

When applied to the School of Dentistry, the Redbook's mandate says that the faculty has responsibility and authority in four general areas:

1. Admissions to the School of Dentistry programs.
The faculty will determine the criteria for admission, and who is admitted to the programs of the school.
2. The curricula, instruction, and examinations in the programs of the School of Dentistry.
The faculty will determine the curricula required for the programs of the School of Dentistry, and will establish methods of instruction and examinations that prove student competence.
3. Certifying the graduates of the programs of the School of Dentistry.
The faculty will review the progress of each student in the programs of the school, require remedial or other additional work when required, and propose dismissal of students from the program when students do not meet the academic or professional expectations of the faculty. Through this process and a cumulative affirmation, the faculty will certify to the Board of Trustees that graduates have fulfilled the academic requirements of the faculty.
4. Faculty governance for the faculty of the School of Dentistry.
The faculty will establish criteria for promotion in rank, tenure, and other issues related to the governance of the faculty. It will establish criteria and procedures for its meetings and fulfill its faculty responsibilities.

The faculty of the School of Dentistry has established committees to fulfill their responsibilities in these areas for the various programs of the school. These are the governance committees of the Faculty of the School of Dentistry and will serve as the official representative of the faculty in these issues. The dean, Faculty Assembly, or other entities may appoint or elect committees for other purposes within the school, but they may not supersede the authority of the governance committee in their area of responsibility. These may be recurring (standing) committees or may be called for a limited time or purpose (ad hoc committees).

Faculty committees will meet as needed to fulfill their responsibility. Faculty members will be elected to various committees of the Faculty Assembly during the first week of the fall semester each year. The Executive Committee of the Faculty Assembly will insure that each position is filled as required by this document. The administration of the School of Dentistry will provide staff support for these functions. In consultation with the chair of the department, the dean will ensure that faculty members are assigned appropriate teaching, service and research loads (through the Annual Work Plan) to accomplish their

elected committee activities.

The governance committees of the Faculty of the School of Dentistry are:

Admissions

D.M.D. Program Admissions Committee
Dental Hygiene Admissions Committee
Postdoctoral Affairs Committee (PAC)
Graduate Programs Oversight Committee

Curriculum

D.M.D. Program Curriculum Committee
Dental Hygiene Curriculum Committee
Patient Care and Clinical Operations Committee
Postdoctoral Affairs Committee (PAC)
Graduate Programs Oversight Committee

Certifying Graduates

D.M.D. Program Student Progress and Promotion Committee (SPPC)
Dental Hygiene Academic Achievement Committee
Graduate Programs Oversight Committee
Student Review Council
Student Grievance Committee

Faculty Governance

Faculty Personnel Committee

Eligible Faculty Members

Any member of the Executive Faculty is eligible to serve on the governance committees of the Faculty of the School of Dentistry. All ex-officio committee members are non-voting members of the committee.

Nomination of Members for Election

The Executive Committee of the Faculty Assembly serves as the nominating committee for elections to committee vacancies (except as otherwise stipulated below). They will allocate the positions among the departments (where required by this document) to insure that a proportional representation on committees is achieved. They will ensure (to the degree possible) that faculty members of all involved departments and areas of the school are appropriately represented on each governance committee.

The nominating committee will ensure that there is an open call for nominations for vacant positions and that eligible faculty members are given the opportunity to run for that position.

The nominating committee then provides a slate of candidates to fill expiring faculty positions on each governance committee.

The nominating committee will meet as needed so that the election to governance committees will occur so that members will be seated by the beginning of the fall semester.

Terms of Members

Each faculty member elected to a governance committee will serve for a two-year term. They may succeed themselves. Members will serve staggered terms, so that approximately one-half of the membership of each governance committee will be elected each year.

Committee Operations

The chair of the Faculty Assembly and the dean will charge each governance committee at the annual meeting the first month of the fall semester. Each governance committee will elect a chair from its members at the first meeting of the academic year, except as noted below.

Committees to Govern the Admission of Students

Dental Hygiene Program Admissions Committee

Purpose:

The committee interprets and applies the standards of admission approved by the faculty. Based upon these criteria, they select candidates for admission to the Dental Hygiene program each year. The committee recommends changes in policy and criteria to the Faculty Assembly when it believes such changes are warranted, and informs the dean of the applicants to be admitted.

Membership:

The Dental Hygiene Admissions Committee is composed of all Executive Faculty members of the dental hygiene program faculty, and one D.M.D. program faculty member elected by the faculty of the School of Dentistry. The dean or his/her designee serves as an ex officio member of the committee.

Elections:

The D.M.D. faculty member will be elected by the faculty at large.

Chair:

The chair will be elected from and by the committee's membership annually.

D.M.D. Program Admissions Committee

Purpose:

The committee interprets and applies the standards for admission approved by the faculty. Based upon these standards, they select candidates for admission to the D.M.D. program each year. The committee recommends changes in policy and criteria to the Faculty Assembly when it believes such changes are warranted, and informs the dean of the applicants to be admitted.

Membership:

The committee is composed of six members of the executive faculty. The committee may annually elect additional faculty members (Executive or General) with full rights to help fulfill its purpose. The committee may also appoint student or other non-faculty members to aid in the recruitment and interview process, but at no time may these non-faculty members vote on the admission status of a candidate to the D.M.D. Program. The dean or his/her designee serves as an ex officio member of the committee.

Elections:

The D.M.D. faculty members will be elected by and from the executive faculty at large.

Chair:

The chair will be elected from and by the committee's membership annually.

Committees to Govern the Curricula of the Programs

D.M.D. Program Curriculum Committee

Purpose:

The Curriculum Committee establishes and oversees the content and structure of the didactic and clinical curricula. To fulfill their mission, they:

1. Ensure that the goals and objectives of the faculty and D.M.D. program are met.
2. Ensure that the curriculum meets the requirements of accrediting bodies.
3. Review the curriculum annually

4. Propose changes in courses to departmental chairs.
5. Set academic schedules to insure continuity.

Membership:

The committee is composed of eight faculty members from the ULSD departments that have D.M.D. courses (academic or clinical) assigned to and taught from their departments, and one faculty member from the basic science faculty of the School of Medicine who teaches a course in the D.M.D. curriculum. In addition, each student class elects one student consultant (non-voting) member. The dean or his/her designee serves as an ex officio member of the committee.

Elections:

The Executive Committee of the Faculty Assembly will allocate vacant positions to ensure proportional departmental representation on the committee. Members of the committee will be elected by their departmental faculty.

Chair:

The chair is elected from and by the Executive Faculty at large and will not be considered an additional faculty member of the department for allocation of representation to this committee.

Dental Hygiene Program Curriculum Committee

Purpose:

The Dental Hygiene Curriculum Committee establishes and oversees the content and structure of the didactic and clinical curricula. To fulfill their mission, they:

1. Ensure that the goals and objectives of the faculty and dental hygiene program are met.
2. Ensure that the curriculum meets the requirements of accrediting bodies.
3. Review the curriculum annually
4. Propose changes in courses to departmental chairs.
5. Set academic schedules to insure continuity.

Membership:

The Dental Hygiene Curriculum Committee is composed of all Executive Faculty from the dental hygiene program. Additionally, one D.M.D. faculty member who is a dental hygiene course director, and one faculty member from the basic science faculty of the School of Medicine who teaches a course in the dental hygiene curriculum will be members. The dean or his/her designee will serve as an ex officio member of the committee.

Elections:

The non-program faculty members will be elected by the Executive Faculty at large.

Chair:

The chair will be elected from and by the committee membership annually.

Clinical Operations and Patient Care Committee

Purpose:

The committee ensures that the mission of the clinical curriculum is fulfilled. To fulfill their responsibility, they:

1. Ensure that clinical competencies (as defined in the curriculum) are met through availability of patients, patient assignment mechanisms and other clinical systems that support the needs of the clinical education program.
2. Evaluate and implement methods to improve patient care.
3. Coordinate clinical education and communication between the disciplines in the clinical programs of the school.

Membership:

The committee is composed of the clinical Group Leaders and the Discipline Coordinators (including one faculty member from the Dental Hygiene program). In addition, one student consultant (non-voting) from the Senior and Junior D.M.D. classes will be elected by the students of that class. The dean or his/her designee or designees will serve as an ex officio member of the committee.

Elections:

The Executive Committee of the Faculty Assembly will allocate vacant positions to ensure proportional departmental representation on the committee. Members of the committee will be elected by their departmental faculty.

Chair:

The chair will be elected from the Executive Faculty at large and will not be considered an additional faculty member of the department for allocation of representation to this committee.

Committees to Monitor Student Progress and Certify Graduates

D.M.D. Program Student Progress and Promotion Committee (SPPC)

Purpose:

The Student Progress and Promotion Committee recommends actions to the dean concerning D.M.D. student performance and continuation in the program. The SPPC:

1. Reviews the academic progress of each D.M.D. student regularly.
2. Makes recommendations to the dean concerning:
 - a. D.M.D. Program students in actual or potential academic difficulty
 - b. D.M.D. Program students who have demonstrated outstanding ability
 - c. D.M.D. Program students who are not meeting the professional or academic expectations of the faculty.
3. Proposes academic policy development or suggests modification to the appropriate sections of this document to the School of Dentistry's faculty.

Membership:

The committee is composed of eight executive faculty members from the ULSD departments that have D.M.D. courses (academic or clinical) assigned to and taught from their departments, and one faculty member from the basic science faculty of the School of Medicine who teaches a course in the D.M.D. curriculum. The dean or his/her designee will serve as an ex officio member of the committee.

Elections:

The Executive Committee of the Faculty Assembly will allocate vacant positions to ensure proportional departmental representation on the committee. Members of the committee will be elected by their departmental faculty.

Chair:

The chair will be elected annually from the membership of the committee.

Dental Hygiene Program Academic Achievement Committee (DHAAC)

Purpose:

The Dental Hygiene Academic Achievement Committee recommends to the dean actions concerning dental hygiene program student performance and continuation in the program. The DHAAC:

1. Reviews the academic progress of each Dental Hygiene student regularly.
2. Makes recommendations to the dean concerning:
 - a. Dental hygiene program students in actual or potential academic difficulty
 - b. Dental hygiene program students who have demonstrated outstanding ability
 - c. Dental hygiene program students who are not meeting the academic or professional expectations of the faculty.
3. Proposes academic policy development or suggests modification to the appropriate sections of this document to the School of Dentistry's faculty.

Membership:

The committee is composed of all Executive Faculty members of the dental hygiene program

faculty, full-time faculty members of the dental hygiene program, and invited dental hygiene course directors. The dean or his/her designee will serve as an ex officio member of the committee.

Chair:

The chair will be elected for a term of three years from the full-time dental hygiene faculty membership of the committee.

Student Review Council

Purpose:

The Student Review Council administers the Student Code of Professional Responsibility and reviews students who are accused of breaching the code. They recommend actions to the dean concerning sanctions and punishments for students who have been found guilty of violating the Code. They report their recommendations to the dean.

Membership:

The Student Review Council consists of four Executive Faculty members and two (non-voting) student members.

Elections:

Members will be elected by and from the Executive Faculty at large. One student representative will be elected from the combined freshman, sophomore, and dental hygiene classes and one representative will be elected from the combined junior and senior classes.

Chair:

The chair will be elected annually from and by the membership of the committee.

Student Grievance Committee

Purpose:

The Student Grievance Committee processes student grievances concerning academic matters. Academic matters are defined as those concerning instructional activities, research activities, activities closely related to either of these functions, or decisions involving instruction or affecting academic freedom. The committee makes recommendations on formal grievances to the dean.

Membership:

The Student Grievance Committee consists of four faculty members and three (voting) student members.

Elections:

One student representative will be elected from the combined freshman and sophomore classes, one representative will be elected from the combined junior and senior classes, and one member will be elected from the combined dental hygiene classes. Student members will be elected annually by and from their constituent groups. The faculty members will be elected from the Executive Faculty at large.

Chair:

The chair will be elected annually from and by the membership of the committee.

Committees with Combined Governance Responsibility

Graduate Research Program Oversight Committee

Purpose:

The committee is responsible for oversight of the admissions, curriculum and student progress of students in the Master's Degree in Oral Biology program. The committee also coordinates with the School of Interdisciplinary and Graduate Studies (SIGS) to insure compliance with that program. To fulfill these responsibilities, they:

1. Develop criteria for, and monitor the selection of candidates for admission to the

- program.
2. Develop and monitor curriculum of the program to ensure that accreditation compliance and the goals and objectives of the faculty are met.
 3. Monitor and report student progress through the program.
 4. Recommend actions to the dean concerning students who do not meet the academic or professional expectations of the faculty.
 5. Recommend to the faculty at large those candidates who have completed the program and are eligible for award of the degree.
 6. Propose academic policy development or suggest modification to the appropriate sections of this document to the School of Dentistry's faculty.
 7. Coordinate the School of Dentistry graduate offerings with the School of Interdisciplinary Graduate Studies (SIGS) to insure compliance with those programs.

Membership:

The committee is composed of five members of the Executive Faculty who hold an appointment as Graduate Faculty in the School of Dentistry. The dean or his/her designee serves as an ex officio member of the committee.

Elections:

The faculty members will be elected by and from the Executive Faculty at large who hold appointments as Graduate Faculty in the School of Dentistry.

Chair:

The chair will be elected from and by the committee membership annually.

Postdoctoral Affairs Committee (PAC)

Purpose:

The committee is responsible for oversight of the admissions, curriculum and student progress of students in the postdoctoral clinical (certificate) programs. To fulfill these responsibilities, they:

1. Promulgate rules for selection of candidates for admission to the programs.
2. Provide oversight and assistance to the directors of the postdoctoral programs in fulfilling the clinical and didactic requirements of their programs.
3. Monitor curricula of the programs to ensure that accreditation compliance and the goals and objectives of the faculty are met.
4. Monitor and report student progress through the program.
5. Recommend actions to the dean concerning students who do not meet the academic or professional expectations of the faculty.
6. Recommend to the faculty at large those candidates who have completed the program and are eligible for award of the certificate.
7. Propose academic policy development or suggest modification to the appropriate sections of this document to the School of Dentistry's faculty.

Membership:

The committee consists of the director of each postdoctoral and advanced education clinical program sponsored by the School of Dentistry. The dean or his/her designee serves as an ex officio member of the committee.

Elections:

Members of the committee serve by result of their administrative position as director of their respective program.

Chair:

The chair will be elected from and by the committee's membership annually.

Committees for Faculty Governance

Faculty Personnel Committee

Purpose:

This committee constitutes the personnel committee as required by the Redbook. The purposes of this committee are to:

1. Assess the proposed appointment for all 80% or greater faculty appointments.
2. Recommend the award or denial of tenure to faculty members of the school.
3. Make recommendations for pre-tenure and post-tenure reviews.
4. Make recommendations for promotion in rank.
5. Review the periodic post-tenure review process.

Membership:

The committee is composed of seven tenured Executive Faculty members. In addition, one part-time member of the General Faculty will serve as an alternate when a part-time faculty member is being considered for promotion. The dean or his/her designee will serve as an ex officio member of the committee.

Elections:

The Executive Committee of the Faculty Assembly will allocate vacant positions to ensure proportional departmental representation on the committee. The members will be elected by and from the Executive Faculty at large. The part-time member will be elected by and from the General Faculty who are not Executive Faculty.

Chair:

The chair will be elected annually from and by the membership of the committee.

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING REVISIONS TO *THE REDBOOK*
CHAPTER FOUR**

**Personnel Committee – February 16, 2012
Board of Trustees – February 16, 2012**

RECOMMENDATION:

The President recommends:

That the Board of Trustees approve revision to following section of *The Redbook* Chapter Four as indicated below, to be effective immediately:

Sec. 4.3.3 Work Outside the University

Full-time faculty of the University may carry out professional work outside the University, with or without pay, usually for not more than the equivalent of one work day a week, averaged throughout the number of weeks of their employment in a given year, provided that such work is previously approved by the dean as appropriate to the faculty member's expertise and the mission of the university and provided that such work does not conflict or interfere with the faculty member's schedule of assignments and responsibilities at the University. As part of the documentation for annual review, full-time faculty shall submit a report of this professional work outside the University under the provisions of this section. **If a unit has a Professional Practice Plan that has been reviewed by the faculty of the Unit and approved by the Board of Trustees, then that Professional Practice Plan supersedes this section.**

**RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING THE CREATION OF THE
DOCTORAL DEGREE IN PAN AFRICAN STUDIES**

RECOMMENDATION:

The President recommends that the Board of Trustees approve the creation of the Doctoral (Ph.D.) degree in Pan African Studies.

RECOMMENDATION TO THE BOARD OF TRUSTEES
CONCERNING ADOPTION OF
THE UNIVERSITY OF LOUISVILLE INSTITUTIONAL COMPLIANCE PLAN

Audit Committee – January 12, 2012
Board of Trustees – February 16, 2012

RECOMMENDATION:

The President recommends:

That the Board of Trustees approve the attached Institutional Compliance Plan (the “Plan”), effective February 16, 2012

**RECOMMENDATION TO THE BOARD OF TRUSTEES
UNIVERSITY OF LOUISVILLE
CONCERNING CAPITAL CONSTRUCTION PROJECTS**

Finance Committee – January 12, 2012

Board of Trustees – February 16, 2012

RECOMMENDATION:

The President recommends that the following projects be approved:

<u>PROJECT:</u>	<u>ESTIMATED COST:</u>	<u>FUND SOURCE:</u>
University Tower Apartments Exterior Repairs	\$407,000	Auxiliary Funds
Medical Dental Apartments For Speech Pathology	\$400,000	Clinical Funds

RECOMMENDATION TO THE BOARD OF TRUSTEES OF THE UNIVERSITY OF
LOUISVILLE CONCERNING THE ISSUANCE OF GENERAL RECEIPTS
REFUNDING BONDS, 2012 SERIES A

Board of Trustees – February 16, 2012

RECOMMENDATION:

The President recommends that the Board of Trustees:

authorize the President or his designee to execute the attached resolution and all actions needed to refund Consolidated Education Buildings Revenue Bonds, Series N and Series O by issuing General Receipts Refunding Bonds, 2012 Series A.

Board Action:

Passed: _____

Did Not Pass: _____

Other: _____

Assistant Secretary

SERIES RESOLUTION

A RESOLUTION PROVIDING FOR THE AUTHORIZATION, ISSUANCE AND SALE OF APPROXIMATELY \$17,500,000 GENERAL RECEIPTS REFUNDING BONDS, 2012 SERIES A OF THE UNIVERSITY OF LOUISVILLE, PURSUANT TO THE TRUST AGREEMENT DATED AS OF MARCH 1, 2007.

WHEREAS, the University of Louisville (herein called the "University"), a public body corporate and an educational institution and agency of the Commonwealth of Kentucky, by resolution adopted by the Board of Trustees of the University on February 21, 2007 (herein called the "General Bond Resolution"), and by a Trust Agreement, dated as of March 1, 2007, as supplemented (herein called the "Trust Agreement"), comprised in part of the General Bond Resolution, has provided for the issuance from time to time of Obligations (as defined in the Trust Agreement) of the University secured by a pledge of the University's "General Receipts" (as defined in the Trust Agreement), each such issue to be authorized by a Series Resolution, as required by the Trust Agreement; and

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

WHEREAS, the University, under a resolution adopted by the Board of Trustees on January 18, 1971 (and supplemental resolutions related thereto) (the "Prior Basic Resolution"), has provided for the issuance from time to time of Consolidated Educational Buildings Revenue Bonds of the University, including the outstanding Consolidated Educational Buildings Revenue Bonds, Series N, dated June 1, 2003 and Consolidated Educational Buildings Revenue Bonds, Series O, dated October 1, 2003 (collectively, the "Prior Bonds"); and

WHEREAS, the Board of Trustees has determined to authorize the refunding of the Prior Bonds maturing on or after May 1, 2013 (the "Refunded Prior Bonds") in order to achieve debt service savings and in order that the Refunded Prior Bonds will no longer be outstanding under the Prior Basic Resolution; and

WHEREAS, the Board of Trustees, in order to pay the costs of refunding the Refunded Prior Bonds, desires to provide for the issuance and sale of University of Louisville General Receipts Bonds and for other matters in connection therewith, by the adoption of this Resolution;

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

SECTION 1. Definitions and Interpretations. All words and terms defined in Section 1 of the General Bond Resolution and all interpretations therein provided shall have the same meanings, respectively, and be subject to the same interpretations as therein provided where used in this Resolution, unless the context or use clearly indicates another or different meaning or intent, except that this Resolution is sometimes herein called and may be known as the "2012 Series A Bond Resolution," the Obligations authorized by this Resolution are referred to herein

and in the Supplemental Trust Agreement hereby authorized as the "2012 Series A Bonds," and the terms "hereof," "hereby," "hereto," "herein," and "hereunder," and similar terms, mean this Resolution.

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

SECTION 3. Authorization, Designation and Purpose of 2012 Series A Bonds. It is hereby declared to be necessary to, and the Board shall, issue, sell and deliver, as provided and authorized herein, approximately \$17,500,000 principal amount of Obligations (the "2012 Series A Bonds") which shall be issued as General Receipts Bonds. Such Obligations shall be designated "University of Louisville General Receipts Refunding Bonds, 2012 Series A" and shall bear such further designations, if any, as the Fiscal Officer (as defined in the Trust Agreement) deems appropriate. The 2012 Series A Bonds shall be issued for the purpose of (i) refunding all or a portion of the Refunded Prior Bonds, and (ii) paying costs of issuance in connection with the 2012 Series A Bonds. The proceeds from the sale of such 2012 Series A Bonds shall be deposited and allocated as provided in Section 6 hereof.

In the event subsequent to the date of adoption of this Resolution, the conditions of the municipal bond market shall be such that the Fiscal Officer determines it is necessary to defer the refunding of all or any series of the Refunded Prior Bonds until a later date, the authorization contained in this Section 3 shall extend to the issuance of a separate series of Obligations for the purpose of refunding all or a portion of the Refunded Prior Bonds ("Series Refunding Obligations"), bearing such designations as the Fiscal Officer may subsequently determine. If there shall be issued a series of Series Refunding Obligations hereunder, separate from the 2012 Series A Bonds, all subsequent sections of this Resolution referring to 2012 Series A Bonds shall be deemed to apply to the Series Refunding Bonds in addition to the 2012 Series A Bonds.

SECTION 4. Terms and Provisions Applicable to the 2012 Series A Bonds.

(a) Form, Numbering and Designation. The 2012 Series A Bonds shall be issued in the form of fully registered Obligations as approved by the Fiscal Officer, shall be numbered from 1 upwards, and shall bear such series designation as the Fiscal Officer deems appropriate.

(b) Denomination and Dates. The 2012 Series A Bonds shall be in such denominations as requested by the Original Purchaser (hereafter defined), and shall be dated on the date determined by the Fiscal Officer and may be issued in installments (each installment being a part of the 2012 Series A Bonds herein authorized) with maturity dates approved by the Fiscal Officer, having a final maturity that is no later than twenty years from the date the 2012 Series A Bonds are issued.

(c) Interest. The 2012 Series A Bonds shall bear interest from their respective dates payable on dates approved by the Fiscal Officer, beginning on a date approved by the Fiscal Officer, at the rate or rates per annum determined pursuant to Section 5 hereof.

(d) Maturities. The 2012 Series A Bonds shall mature on such dates, in the years and in the principal amounts set forth in the maturity schedule approved by the Fiscal Officer pursuant to Section 5 hereof.

(e) Redemption Terms and Prices. The 2012 Series A Bonds shall be subject to optional and mandatory redemption on such dates and terms as approved by the Fiscal Officer, with the advice of the Financial Advisor (hereinafter identified) and set forth in the Supplemental Trust Agreement. If less than all of the outstanding 2012 Series A Bonds are called for redemption at one time, they shall be called in the order of the maturities as directed by the Fiscal Officer. If less than all of the outstanding 2012 Series A Bonds of one maturity are to be called, the selection of such 2012 Series A Bonds or portions of 2012 Series A Bonds of such maturity to be called shall be made by lot in the manner provided in the Trust Agreement. Notice of call for redemption of 2012 Series A Bonds shall be given in the manner provided in the Trust Agreement.

(f) Other Provisions. The 2012 Series A Bonds may, at the option of the Fiscal Officer, be secured by municipal bond insurance or similar instrument issued by a financial or insurance institution acceptable to the Fiscal Officer.

(g) Place of Payment and Paying Agents. The principal, interest and any redemption premium on registered 2012 Series A Bonds shall be payable by check or draft, as provided in the Trust Agreement.

(h) Execution. The 2012 Series A Bonds shall be executed in the manner provided in the General Bond Resolution.

SECTION 5. Award and Sale of 2012 Series A Bonds. The 2012 Series A Bonds shall be offered publicly for sale upon the basis of competitive bids at such time as the Fiscal Officer, upon advice of the Financial Advisor to the University, shall designate.

The Fiscal Officer is hereby authorized and directed to cause an appropriate form or forms of a Notice of Sale of Bonds to be published in *The Courier Journal*, a legal newspaper published in the City of Louisville, Kentucky, which will afford local and statewide notice of the sale, and, to the extent required by law, in *The Bond Buyer*, a financial journal published in the City of New York, New York, which is a publication having general circulation among bond buyers; and said newspapers and financial journal are hereby declared to be qualified to publish such notice for the Board within the meaning and provisions of Chapter 424 of the Kentucky Revised Statutes. Such notice shall be published in said newspapers and financial journal at least once not less than seven nor more than twenty-one days prior to the scheduled date of sale of the 2012 Series A Bonds.

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

Bidders shall be advised that the fee of the Financial Advisor for services rendered with respect to the sale of the 2012 Series A Bonds is contingent upon the issuance and delivery of the 2012 Series A Bonds.

Upon the date and at the respective hour set forth for the submission and consideration of purchase bids, as provided in the instruments hereinabove approved, bids shall be reviewed as provided in such instruments. If there shall be one or more bids which conform in all respects to

the prescribed terms and conditions, such bids shall be compared, and the Fiscal Officer, upon the advice of the Financial Advisor, is authorized to accept the best of such bids, as measured in terms of the lowest interest cost to the Board, as calculated in the manner prescribed in the Official Terms and Conditions of Sale of Bonds. Calculations shall be performed as are necessary to determine the exact amount of 2012 Series A Bonds that are required to be issued in order to (i) refund the Refunded Prior Bonds determined by the Fiscal Officer to be refunded and (ii) pay the costs of issuing the 2012 Series A Bonds, and the final principal amount, interest rates and maturities of the 2012 Series A Bonds shall thereupon be established, as prescribed in the Official Terms and Conditions of Sale of Bonds.

SECTION 6. Allocation of Proceeds of 2012 Series A Bonds. All of the proceeds from the sale of the 2012 Series A Bonds and other lawfully available funds of the University shall be received and receipted for by the Fiscal Officer and shall be deposited and allocated as set forth in the Supplemental Trust Agreement approved hereby.

SECTION 7. Additional Covenants with Respect to Internal Revenue Code of 1986, as Amended. This Board hereby finds and determines that all of the proceeds from the sale of the 2012 Series A Bonds will be needed for the purposes set forth in Section 6 hereof. This Board hereby covenants for and on behalf of the University, that it will restrict the use of the proceeds of the 2012 Series A Bonds in such manner and to such extent, if any, and take such other actions as may be necessary, in view of reasonable expectations at the time of issuance of the 2012 Series A Bonds, so that the 2012 Series A Bonds will not constitute obligations the interest on which is subject to federal income taxation or "arbitrage bonds" under Sections 103(b)(2) and 148 of the Internal Revenue Code of 1986, as amended (the "Code"), and regulations prescribed under such Sections. The Fiscal Officer or any other officer of the University having responsibility with respect to issuance of the 2012 Series A Bonds is hereby authorized and directed to give an appropriate certificate for inclusion in the transcript of proceedings with respect to the 2012 Series A Bonds, setting forth the facts, estimates and reasonable expectations pertinent under said Sections 103(b)(2) and 148 of the Code and an election, if appropriate, with respect to Section 148(f)(4)(B)(IV)(V) of the Code. The Fiscal Officer is hereby authorized and directed to create a Rebate Account (which shall be held by either the University or the Trustee, at the discretion of the Fiscal Officer) if the Fiscal Officer determines such account is necessary so that the University complies with the rules concerning "rebate" as set forth in the Code, as they apply to the 2012 Series A Bonds.

SECTION 8. Supplemental Trust Agreement. The Chairman of the Board is authorized and directed to execute, acknowledge and deliver to the Trustee, in the name of and on behalf of the University, a Supplemental Trust Agreement pursuant to the Trust Agreement and in connection with the issuance of the 2012 Series A Bonds, in substantially the form submitted to this Board with such changes therein not substantially adverse to the University as may be permitted by the Act and the Trust Agreement and approved by the officer executing the same on behalf of the University. The approval of such changes, and that such changes are not substantially adverse to the University, shall be conclusively evidenced by the execution of such Supplemental Trust Agreement by such officer.

SECTION 9. Official Statement. The Chairman is hereby authorized and directed to execute and deliver an Official Statement with respect to the 2012 Series A Bonds for the purpose of making available to potential investors the information therein contained, which describes the interest rates and other terms to be borne by and the price to be paid for the 2012

Series A Bonds, and such other information with respect to the University and the 2012 Series A Bonds, necessary in the judgment of the Chairman with the advice of the Fiscal Officer and the Financial Advisors. The Chairman and the Fiscal Officer are each hereby authorized to deem the Preliminary Official Statement and final Official Statement "near final" and "final" for purposes of Securities Exchange Commission Rule 15c2-12, as amended and interpreted from time to time, promulgated by the Securities and Exchange Commission pursuant to the Securities Exchange Act of 1934 (the "Rule").

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

SECTION 11. Open Meetings. This Board hereby finds and determines that all formal actions relative to the adoption of this Resolution were taken in an open meeting of this Board, and that all deliberations of this Board and of its committees, if any, which resulted in formal action, were taken in meetings open to the public, in full compliance with applicable legal requirements.

SECTION 12. Further Authorization. That the proper and appropriate officers of the Board and of the University, to the extent authorized by law, are hereby authorized to execute and deliver the closing certificates, if any, with such modifications thereto as may be required by the purchasers of the 2012 Series A Bonds and approved by special bond counsel to the University as well as such other documents, certificates and statements as may be required in connection with sale and delivery of the 2012 Series A Bonds, including, without limitation, the termination or modification or amendment of that certain Debt Service Reserve Forward Delivery Agreement dated as of November 1, 2004 (the "2004 Forward Agreement") among the University, The Bank of New York Mellon Trust Company, N.A. (as lawful successor in interest to J.P. Morgan Trust Company, National Association) and Wells Fargo Bank, National Association (as lawful successor in interest to Wachovia Bank, National Association) relating to the reserve funds established for the Prior Bonds. In connection with the prospective termination, modification or amendment of the 2004 Forward Agreement, J.J.B. Hilliard, W.L. Lyons, as Financial Advisor to the University, and Peck, Shaffer & Williams LLP, as Bond Counsel, are directed to undertake such actions on behalf of the University relating to the negotiation of the terms of such termination, modification or amendment as may be necessary to enable the Fiscal Officer to execute such termination, modification or amendment.

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

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

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

Adopted February 16, 2012.

Chairman, Board of Trustees
University of Louisville

Attest:

Secretary, Board of Trustees
University of Louisville

CERTIFICATION

The undersigned, Secretary of the Board of Trustees of the University of Louisville, Louisville, Kentucky, hereby certifies that the foregoing is a true copy of a Resolution adopted by the Board of Trustees of said University at a meeting held on February 16, 2012, as recorded in the official Minute Books of said Board of Trustees, which is in my custody and under my control, that said meeting was held in accordance with all applicable requirements of Kentucky law, including KRS 61.810, 61.815, 61.820, and 61.823, that a quorum was present at said meeting, and that the aforesaid Resolution is of record in the office of the Board, has not been modified, amended, or rescinded, and is in full force and effect at this date.

WITNESS my signature as Secretary of said Board this ____ day of _____, 2012.

Secretary, Board of Trustees
University of Louisville



Office of the President: The 2020 Plan: Making it Happen
2011-2012 Goals

Mission Statement: The University of Louisville shall be a premier, nationally-recognized metropolitan research university with a commitment to the liberal arts and sciences and to the intellectual, cultural, and economic development of our diverse communities and citizens.

Three levels of performance measures are defined as Good: "increase over previous year"; Better: "increase over previous year and meet annual university goal" and Best: "increase over previous year and exceed annual university goal".

Overreaching Institutional Goals for the 2020 Plan							
Goal No.	Description of Goal Proposal	2020 Plan Baseline (2008)	2010 Actual	2011 Actual	2012 Goals	2012 Progress (through 12.15.11)	2020 Goals
	Educational Excellence						
1.1	Increase number of baccalaureate degrees awarded annually	2,298	2,550 (Best)	(N=2,618) (Best)	2,656	1,187 ² (progressing positively)	3,197
1.2	Increase the baccalaureate graduation rate	45.7%	48.4% (Best)	48.6% (Good)	50.2%	50.8% (Best)	60.5%
1.3	Increase doctorate degrees awarded annually	151	162 (Best)	(N=163) (Good)	170	107 ² (progressing positively)	272
1.5	Enhance national recognition		Better ¹	Best ¹	Progress	Good ^{1,2}	Progress
	Research, Scholarship, and Creative Activity						
2.1a	Increase total grant and contract expenditures ⁷	\$148.9M	\$189.1M ⁴	\$195.5M ^{2,3,8} (Best)	\$203.8M	\$92.3M ²	\$310.3M
2.2	National Cancer Center (NCI) Cancer Center designation	Not Achieved	Best ¹	Good ¹	Progress	Best ^{1,2}	Achieved
2.3	Increase national faculty recognition/awards		Good ¹	Good ¹	Progress	Available: July, 2012	Achieved
	Community Engagement						
3.1	Increase collaborative partnerships with the community		Best ¹	Best ¹	Progress	Better ^{1,2,9}	Achieved
3.2	Increase economic development/entrepreneurial activities	Progress	Better ¹	Good ¹	Progress	Progressing positively	Achieved
	Diversity, Opportunity, and Social Justice						
4.1	Achieve Kentucky Plan Goals	7 for 8	8 for 8 (Best)	8 for 8 (Best)	8 for 8 ⁶	Goal under review pending CPE ⁶	8 for 8 ⁶
4.2	Achieve annual goals specified in the University Diversity Plan	85%	91% (Best)	100% (Best)	92.5% ⁶	Goal under review pending CPE ⁶	95% ⁶
	Creative and Responsible Stewardship						
5.1b	Annual philanthropy (development dollars) received	\$85M	\$126.1M ⁵ (Best)	\$140.7M ² (Best)	\$150M	\$63.1M ²	\$150M
5.1c	Percentage of alumni giving to annual fund	11%	11.5% (Did not achieve)	13.6% (Best)	14%	5.6% ²	20%
5.6	Increase Institutional survey average score on The Chronicle's annual 'Great Colleges to Work For' survey	68%	62% (Did not achieve)	Re-survey Spring 2012	64%	Re-survey Spring 2012	75%

¹ Progress for overarching goal will be measured based upon the progress of the subgoals (i.e. progress on X of 4 subgoals). Please refer to data definitions/guidelines dated (1.24.12) for more information.

² Preliminary data

³ Includes federal stimulus funding (ARRA)

⁴ Data revised and reconciled between EVPR and Controller's Office

⁵ Data revised per University Advancement

⁶ Goal under review for realignment pending clarification from CPE

⁷ Total grant and contract expenditures as reported to the NSF/SRS Survey of R&D expenditures at universities and colleges (includes institutional support)

⁸ Data revised since 8.31.11

⁹ Goals under revision



Mid Year Progress Report for Tactical Goals for the Office of the President for 2011-12						
No.	Goal	Baseline	Good Performance	Better Performance	Best Performance	Progress Achieved
President						
	Increase revenue streams to protect the University from the impact of economic downturns and declining state support		Increase income from clinical; rental from the University of Louisville Foundation research and office park assets; investments in faculty-related commercial projects; and other revenue producing initiatives	Implement fully the agreements evolving from the merged relationship among CHI, JHSM, UH, and UofL; represent UofL on the CHI national board of directors	Pursue TIF strategy for Shelby Campus public infrastructure according to the new law; use approved procedures and process for HSC TIF capitalization to leverage funding for HSC buildings; pursue capitalization for Belknap Campus TIF	<p>The Office Park strategy has produced 1) approximately \$1M (gross) annually from Cardinal Station; 2) Nucleus has approximately \$1.2M annually; and 600 North at ShelbyHurst is projected to have positive income by June (over the decade, the projection is nearly \$18M gross).</p> <p>Foundation investment in faculty-related commercial projects has reached \$3.75M, with several of the companies in late stage clinical trials;</p> <p>We hope to have the merger approved by the Governor before the end of 2011.</p> <p>TIF for the HSC has been activated as of December 2011 with initial projection to generate \$1.3M in next year; Belknap Campus TIF waiting final approval by KEDVA; and process begun on TIF strategy for Shelby Campus development.</p>
	Implement the Capital Campaign and recruit milestone/capstone gifts from the friends of the University		Pursue campaign prospects to increase capital giving to 67% of campaign	Establish new giving recognition levels and induct major donors into those new programs.	Consider feasibility of increasing the goal and timeline for the campaign.	Trustees increased goal to \$1B; capital giving reached 73% before campaign goal extended to \$1B; new recognition levels of “million dollar” group, Conn Society, etc. are in development.
	Statewide leadership initiatives		Work with the General Assembly to reinstitute programs to enhance research (e.g., Bucks) and philanthropic support of academic programs	Initiate discussions with the new president of the University of Kentucky to enhance effective collaboration in targeted research, clinical services, and public policy initiatives	Establish an MOU with the leadership of Ft. Knox to engage the U.S. Army in collaborative agreements with the University for clinical research, exercise physiology, expanded educational programming, etc.	Bucks for Brains strategy before General Assembly in 2012; had several meetings with Eli Capilouto to reach out for greater collaboration—response good, but guarded in cancer, etc.—working with Capilouto on BEAM project; MOU signed with Ft. Knox in August to focus on collaboration in TBI/PTSD, energy sustainability, and educational initiatives—MOU to be signed with National Guard of Kentucky in December, 2011. White paper to be submitted to Congressman Rogers in January-February for support of collaboration on TBI with Ft. Knox Ireland. Educational program initiatives in Workforce Leadership attractive to U.S. Army. MOU to be signed in January for 5 MS candidates per year from JAG corps for HR management at CEHD

DRAFT Tactical Goals for the Office of the President for 2011-12						
No.	Goal	Baseline	Good Performance	Better Performance	Best Performance	Progress Achieved
Executive Vice President and University Provost						
	Improve Graduation Rates		Implement an undergraduate student-engagement transcript	Implement the “out-in-four” Flight Plan for academic programs (including an academic/career alignment element [requirement]) in four (4) undergraduate units	Plan the implementation of all recommendations in the Persistence to Graduation Report	<p>--Student Engagement Transcript (aka Student Involvement Record-SIR): The SIR project is being headed by VPSA staff. Throughout summer and fall 2011, work was done on development of the SIR IT processes in conjunction with the VPIT staff. In December 2011, testing of phase 1 occurred and feedback gathered. In spring 2012, development of the process will continue and further testing will be initiated. The University will be invited to submit information to be included in the SIR and a web site and awareness campaign will be developed. The SIR project is expected to be open for student participation by fall 2012.</p> <p>--“Out-in-Four”: Entering undergraduates are now offered the election of a 4-year plan toward a major. Proposal for the academic/career alignment element is in hand; funding for this element may be sought through a student fee, to be proposed for 2012-13. All units are working on this project; four units or more should be completed in this academic year.</p> <p>--Persistence to Graduation: Persistence core team proposal was presented to the provost on 1/3/12 for approval and decision on next steps.</p>
	Improve the graduate and undergraduate experience		Begin construction of the new Student Recreational Center	Develop four new undergraduate and/or graduate degree programs	Approve a strategic plan for International Affairs, including broad goals and measurable outcomes for achieving study abroad goals and recruitment of international students and scholars	<p>--Student Recreational Center: The construction documents are currently out for bid and construction is expected to begin in February 2012.</p> <p>--Degree Programs: The interdisciplinary Ph.D.-Bioinformatics track was approved in July 2011 and expects to enroll its first students in January; an interdisciplinary Neuroscience degree and Sustainability degree are in early discussions; the Justice Administration PhD and Pan African Studies PhD were approved by the faculty in fall 2011 and presented to the Board in November 2011 and January 2012 respectively; and two new certificate programs (in Autism and Post Doc Prosthodontics) are under review at this time.</p> <p>--International Affairs: International Center staff are working on a first draft of a strategic plan to be completed by mid-January.</p>

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<p>Implement new initiatives to make UofL a “great place to work”</p>		<p>Develop methodology for a faculty salary equity study</p>	<p>Develop a performance-based evaluation system for staff</p>	<p>Implement new faculty and staff grievance procedures</p>	<p><u>New Initiatives-GPTW:</u></p> <p>Completed FYTD (July - Dec 2011):</p> <ul style="list-style-type: none"> a) Restoration of 3.0% merit funding for FY 2011-12. b) Early adoption of reproductive health care as preventive coverage, effective Aug 1, 2011 (not subject to co-pays or deductibles). c) Adoption of tuition remission program changes that promote a more sustainable benefit for employees and dependent children and provide parity in tuition remission for graduate programs that charge program-level tuition. d) Re-balancing of university health plan subsidies to provide comparable benefits to every employee, regardless of health plan option, to promote equity in health benefits. Maintained total employee premiums fixed for fourth consecutive year. e) Flexible scheduling guidelines developed to facilitate work-family balance. f) Elder care workshop series implemented to provide information and referral sources for employees who have elder care responsibilities. <p>Anticipated Initiatives (Jan - Jun 2012):</p> <ul style="list-style-type: none"> a) Assignment of responsibility for GPTW Initiative to Vice President for Human Resources, Vice Provost for Faculty Personnel, and Vice Provost for Diversity & International Programs as co-chairs to "institutionalize" our GPTW Initiative under university officers responsible for employee-related policies and programs. b) Community-wide distribution and assessment of campus climate survey results, in collaboration with Faculty Senate, Staff Senate, CODRE, and COSW. <p><u>Faculty salary equity study:</u></p> <p>Completed FYTD (July - Dec 2011):</p> <ul style="list-style-type: none"> a) Faculty Salary Equity Study Group Appointed b) Salary Equity Study Model Developed c) Study Model endorsed by Faculty Senate, CODRE, and COSW d) Anticipate endorsement of study model by CAO on Dec 21 <p>Anticipated (Jan - Jun 2012):</p> <ul style="list-style-type: none"> a) Develop & conduct regression model to identify salary variation b) Salary outliers to be evaluated on qualitative basis by academic chairs, deans, and provost. <p><u>Staff Evaluation System:</u></p>
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						<p>Completed FYTD (July - Dec 2011):</p> <ul style="list-style-type: none"> a) New performance evaluation form for staff employees developed. b) Endorsed by Staff Senate and Deans/VPs c) Campus-wide training effort launched: 550 / 1650 supervisors trained to date. <p>Anticipated (Jan - Jun 2012):</p> <ul style="list-style-type: none"> a) Complete campus-wide training of all supervisors of staff employees. b) Close out 2011 performance evaluations using 2011 forms; introduce 2012 work plans using new form. <p><u>Staff and Faculty Grievance Procedures:</u></p> <p>Staff:</p> <p>Completed FYTD (July - Dec 2011):</p> <ul style="list-style-type: none"> a) Staff Senate agreed to review disciplinary & appeal policies concurrent with grievance policy to ensure balanced package of performance-related policies. b) New polices developed with significant input from Grievance Committee of Staff Senate, deans, and vice presidents. c) Unanimous endorsement by Staff Senate, Sep 2, 2011. d) Campus-wide training conducted in Oct, 2011. e) New policies published and effective Nov 1, 2011. <p>This goal is completed.</p> <p>Faculty:</p> <p>New faculty grievance procedures approved by Board of Trustees in October, the web site has been updated, and new forms created; Vice Provost for Faculty Personnel is taking the lead on implementing and the timeline for implementation follows: current committee will be disbanded and faculty senate will be nominating new committee chair candidates and apportioning representatives from all units in January 2012; President will name chair of new committee and units will elect representatives in February 2012; new committee members will be trained in March and April 2012.</p>
	Support strategic university-wide initiatives		Advancement: Develop plans and funding sources for Center for Creative Studies	Finance/Budget: Develop models for university-wide budget "rebasings" process (year one of a three-year process)	Diversity: Develop and begin implementation of initiatives to meet the University's Diversity Plan 2011-2015 to align with the new state-wide	<p>--Center for Creative Studies:</p> <p>An internal group consisting of the Provost and representatives from Business Affairs, Planning Design & Construction, and Advancement have worked up a plan for fundraising and construction of the center. The university has contracted with an external project director who has been involved in all phases of the planning. The Provost and</p>

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					<p>diversity plan</p> <p>Advancement representatives have made two out of town trips to visit with prospective donors and have consulted with and continue to entertain the local champions of this project. The Frederick Hart Foundation has agreed to fund the hiring of an architect to work up the preliminary drawings and numbers for actual costs for the Center for Creative Studies. In addition, the university has contracted with an external consultant who will be working on a vision for the university and the community in the arts, humanities and music. The Center for Creative Studies is one piece of that vision.</p> <p>--“Rebasing” Budget Process: Discussions have centered on “rebasing” versus “zero-base budgeting.” Leadership will be continuing this discussion in January 2012.</p> <p>--Diversity Plan:</p> <ul style="list-style-type: none"> • Michael Anthony and Brian Buford have been assigned to serve as liaisons to work with the unit diversity chairs and committees to develop and implement unit plans as well as ensure that unit goals are aligned with the University’s Diversity Plan goals. • An assessment tool is being developed with quantifiable measures that will be used to assess the progress units are making in reaching their diversity goals. • Communication with the deans and vice presidents will be enhanced to help ensure they remain aware of how reaching unit diversity goals will impact the University’s Diversity Plan goals.
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Mid Year Tactical Goals for the Office of the President for 2011-12						
No.	Goal	Baseline	Good Performance	Better Performance	Best Performance	Progress Achieved
Executive Vice President for Health Affairs						
	Ensure Implementation of KSN Merger		Participate and effectively engage in KSN Oversight and Transaction Process Leader meetings.	Establish affiliation with Baptist East in the area of Women's Health. Craft transportation policy for indigent women treated at Baptist East. Impanel and launch KSN Academic Medical Center Committee.	Establish RFP process for Academic Medical Center Committee and deliver \$200 million investment plan to KSN Board of Directors. Ensure closure of KSN merger transaction.	<p>All proposed goals accomplished at Best Performance. Gubernatorial decision to halt the merger rendered below work effort moot and led to return of \$11 M to UMC and placed this academic funding source at risk going forward.</p> <p>Kentucky Statewide Network (KSN) Academic Health Center Committee (AHCC) appointed and Request for Business Proposals (RFBP) process finalized and initiated.</p> <p>Successfully negotiated encumbrance of \$200 M investment at the time of merger close and allowance for a strategic planning process to proceed with a drop dead date of June 30, 2012 to refine \$200 million investment metrics and establish milestones.</p> <p>Successfully negotiated creation of a committee consisting of the KSN CEO, CHI COO, EVPHA, and EVPHA designate to review and endorse business plans and present to the KSN BOD for final approval.</p> <p>Successfully negotiated floor of \$96 M in ongoing annual support from KSN to UofL Academic Health Center (AHC).</p> <p>Successfully negotiated floor of 94 K sf academic space donated by KSN to UofL AHC in perpetuity.</p> <p>Successfully negotiated reconciliation of \$11 M annual payment from UMC to UofL AHC such that payments previously a year in arrears will be current as of calendar year end 2011.</p> <p>Successfully negotiated transfer of \$15 M to fund indigent patient care services that will no longer be performed at UMC per contractual agreements to UofL Foundation as philanthropy</p>
	Separate Key Administrative Functions of the Office of the EVPHA and Dean, School of Medicine, and Create Brand Recognition of		Evaluate all administrative roles and responsibilities related to the Office of the EVPHA and Office of the Dean, School of	Create strategic management plan to separate administrative roles and responsibilities related to Office of the EVPHA and Office of the Dean, School of Medicine,	Rebrand Academic Medical Center, currently University Medical Center and medical school centric, to an Academic Health Center and hire Chief Financial Officer and other personnel to serve	<p>Worked closely with consultants to complete evaluation process.</p> <p>Restructuring plan finalized and ready for dissemination.</p> <p>Chief Financial Officer recruited and hired.</p> <p>Executive Assistant to the EVPHA position restructured and reclassified.</p>

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	UofL Academic Health Center.		Medicine, respectively.	respectively, to better serve the entire UofL Academic Health Center.	broader interests of the UofL Academic Health Center. Tie these activities into KSN merger activities in relation to consolidation of downtown teaching hospitals.	Chief of Staff to EVPHA position created and recruitment underway. Louisville Academic Health Center (LAHC) brand gaining significant traction, differentiated from the former proposed consolidation of University Medical Center, James Graham Brown Cancer Center, Jewish Hospital, and Frazier Rehab Institute under the umbrella of the Louisville Academic Medical Center as the hospital components of the LAHC.
	Strategically Invest in UofL AHC Academic Programs		Maintain current levels of subsidies to UofL AHC decanal units and institutes/centers.	Provide funding to recruit and retain selected key faculty in all four UofL AHC schools.	Review, analyze and if necessary modify and/or enhance hiring plans in all AHC decanal units and deploy resources to implement in order to achieve long term academic growth. Analyze, modify and implement financial investment plan to normalize School of Nursing faculty salaries to preclude predatory recruitment of faculty to peer institutions (e.g. UK). Analyze, modify and implement financial investment plan to academically enhance the School of Public Health and Information Sciences Department of Biostatistics and create synergies with the KSN HIT investment and implementation plan.	Hiring plans in all LAHC decanal units reviewed, approved, and appropriately resourced. Accomplished. Recruitment and hire of finalist for Chair of Biostatistics approved and resourced. Biostatistics cluster hire being considered. Until January KSN AHCC evaluating \$22 M proposal to fund Biostatistics, Clinical Trials, and Informatics infrastructure.
	Strategically Invest in the UofL Clinical Enterprise to Enhance Clinical Revenue Generation		Maintain current levels of investment in UPA/ULP infrastructure to foster economies of scale, revenue growth, and consolidation of	Evaluate clinical service line activity at all ULP practice sites, particularly in relation to post KSN merger close states. Monitor and provide guidance regarding the	Act as conduit for information regarding UPA/ULP to UofL Senior Leadership Team, coordinate strategic planning, execution of same, and messaging and communication strategies across the	Accomplished at Best Performance Level. Unanticipated loss of state safety net funds via Passport to UPA now replaced by UPL/IGT funds via Passport to UPA. Metrics to deploy the latter funds under development.

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			<p>clinical practice plans into a single enterprise.</p>	<p>ULP-Humana negotiations.</p>	<p>UofL/UPA/ULP platform.</p> <p>Engage in and provide oversight and guidance in relation to technical aspects of the not-for-profit [501(c)3] incorporation process of ULP (e.g. 1023 filing), and then provide input and guidance in operationalizing the consolidation process (e.g. valuation of assets and liabilities, sequencing the wind down and ramp up of various clinical practices, implementation of new benefits programs, IT EHR, billing, and referral systems).</p> <p>Evaluate current AHC compliance program in collaboration with UofL Audits and Compliance and ULP and, if necessary, restructure to assure adherence to best practices.</p> <p>Strategically invest in the ULP HIT platform (infrastructure, training, achieve meaningful use) to ensure capture of ARRA HITECH funding to enhance clinical revenue generation, coupled with long term goal of enhanced support for clinical trial activity.</p> <p>Strategically invest in the ULP Primary Care platform, ideally in collaboration with KSN,</p>	<p>Accomplished at Best Performance Level. ULP consolidation on track and appropriately resourced (\$4 M).</p> <p>Consultants engaged in conjunction with UofL central compliance office. Work effort has commenced and will continue throughout the first quarter of 2012.</p> <p>ULP plan pending, but until January largely superseded by KSN AHCC request to fund Informatics/Clinical Trials Infrastructure (\$22 M).</p> <p>ULP plan pending, but until January largely superseded by KSN AHCC request to fund Primary Care/Geriatrics/Expanded Access/Nursing/Women’s Health (\$34 M).</p>
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					<p>to enhance primary care referrals to clinical practice plans incorporated into ULP. This presupposes that the Departments of Family Medicine and Medicine will roll enter into ULP early on.</p> <p>Enhance access to Cardinal Care providers by UofL faculty and staff.</p>	<p>Discussions with UofL and ULP HR will continue in 2012, also linked to KSN AHCC evaluation of request to fund Primary Care/Geriatrics/Expanded Access/Nursing/Women's Health (\$34 M).</p>
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Mid Year Tactical Goals for the Office of the President for 2011-12

No.	Goal	Baseline	Good Performance	Better Performance	Best Performance	Progress
Executive Vice President for Research and Innovation						
	Integrate research and innovation goals with other UofL Strategic Plan 2020 goals		Perform a comprehensive review and rewriting of the research strategic plan, along with an update of the UofL Research Handbook. Integrate the efforts of the research enterprise with Educational Excellence; Community Engagement; Diversity, Opportunity and Social Justice and Creative and Responsible Stewardship with specific tactics and metrics for analysis.	Support development of interdisciplinary research and new Interdisciplinary Ph.D. tracks in key areas of opportunity for research development (e.g., bioinformatics, neurosciences.)	Perform comprehensive analysis of programs and outcomes in hiring and retention of research intensive faculty since 1997. Identify changes, gaps and needs, then develop strategy for another surge.	<p>ACHIEVED (1/1/2012)</p> <ul style="list-style-type: none"> • Strategic Plan 2020 has been examined and <u>research & innovation</u> interactions in all categories have been reduced to tactical level in draft form. • Plan has been devised to carry initial draft to campus research community for input / discussion and development of further tactics and metrics • EVPRI office is working with EVPHA to develop opportunities in informatics in conjunction with clinical research • Initial analysis of hiring and success (as measured by funding and other success measures) of research intensive faculty since 1997. • Review has been accomplished, with VPUA, concerning use of philanthropy for hiring research intensive faculty. • Analysis accomplished for retention of research intensive faculty. • Promotion of renewed CPE and General Assembly support of "Bucks for Brains" faculty hiring. <p>ANTICIPATED (by 6/30/2012)</p> <ul style="list-style-type: none"> • Strategic Plan 2020 has been examined and <u>research & innovation</u> interactions in all categories have been reduced to tactical level. Will carry initial draft to campus research community for input / discussion and development of further tactics and metrics – develop campus buy-in. • Research Policy Handbook will be revised. • EVPRI office working with Dean of SIGS to provide support for Ph.D. programs in Informatics and Neurosciences

	<p>Develop research support and infrastructure</p>		<p>Develop, within the EVPRI office, increased service culture, tools, personnel and processes to enable and facilitate research, from inception to completion.</p>	<p>Develop and implement a comprehensive Federal Strategy for attraction of federal research funding. Maximize effectiveness of current contacts and cultivate new contacts with executive branch agencies.</p>	<p>Develop and support research excellence in traditional disciplines with a special emphasis on synergistic interactions of opportunity. These include fostering interdisciplinary research (e.g. centers and institutes), regional research foci (e.g. long term care) and new partnerships and opportunities (e.g. health care merger.)</p>	<p>ACHIEVED (1/1/2012)</p> <ul style="list-style-type: none"> • All steps for research and selection of appropriate software (iMedris) with extensive plans for funding and implementation have been achieved. • Consultants evaluated for analysis and subsequent coaching for increased service culture and processes to enable and facilitate research. • Plan is being devised to carry initial draft to campus research community for input / discussion and development of further tactics and metrics for future efforts. • EVPRI office working with EVPHA to develop opportunities in informatics in conjunction with clinical research. • Strategy in place to engage UofL faculty with connections to Federal agencies to attract funding and develop future strategic planning. • A new research facilitator in the College of A&S is being recruited to increase funded research efforts in areas of arts, humanities and social sciences. • Memoranda of Understanding and integration with research teams in the areas of long term care are being developed. <p>ANTICIPATED (by 6/30/2012)</p> <ul style="list-style-type: none"> • Implementation of appropriate software (iMedris) will begin with a 12-18 month plan inplace, working with VPIT. • Consultants to be retained for analysis and coaching for increased service culture and processes to enable and facilitate research. • Opportunities for use of research capacity in Centers and Institutes to be developed. • EVPRI office working with EVPHA to develop opportunities for research-clinical interactions related to hospital merger.
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	<p>Lead initiatives in translation and innovation derived from UofL research</p>		<p>Hire an Associate VP for Commercialization charged with (1) final analysis of the Barker report and current practice, (2) analysis of benchmark institutions, best practices and national data base of university technology transfer and (3) appropriate changes in operational structure and function.</p>	<p>Identify gaps in the research-development-commercialization continuum. Develop and implement programs to bridge these gaps. Develop strategic plan for translation and commercialization that is congruent with UofL Strategic Plan 2020.</p>	<p>Assist faculty in establishment of research-development-translation partnerships with the private sector and with state and local economic development initiatives.</p> <p>ACHIEVED (1/1/2012)</p> <ul style="list-style-type: none"> • In conjunction with local commercialization consultants, an expert has been retained for examination of innovation strategies for integration of UofL research and innovation delivery. • Strategic Plan 2020 has been examined and <u>research & innovation</u> interactions in all categories have been reduced to tactical level • Plan is being devised to carry initial draft to campus research community for input / discussion and development of further tactics and metrics • Integration with public and private sector partners for innovation and commercialization is underway. These include: <ul style="list-style-type: none"> o Innovate LTC o Battelle Laboratories o Wright-Patterson AFB o General Electric o Raytheon <p>ANTICIPATED (6/30/2012)</p> <ul style="list-style-type: none"> • Development of public and private sector partners for innovation and commercialization is underway to support core and service center activities. • Develop comprehensive plan for research-innovation continuum.
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**ADVANCEMENT MONTHLY STATUS REPORT
STRATEGIC PLANS FY2011-2012**

Status Key: ● = complete ● = on track ● = behind ● = goal not met

Development

1. Increase fundraising goals (Good = \$130,000,000; Better = \$140,000,000; Best = \$150,000,000)

Status:

- 1. Raised \$23,101,524 since July 1, 2011 – November 2, 2011 (goal \$150 million)
- 2. Face to Face Visits: 1,212/goal 5,486
- 3. Major Gifts:
 - Opened – 111/goal 705
 - Closed – 94/goal 601
- 4. Annual Fund:
 - Opened – 585/goal 2,262
 - Closed – 299/goal 1,285
- 5. Charting Our Course Campaign as of November 2, 2011
 - \$539,970,330/goal \$1 billion

2. Increase alumni giving to 14% (Good = 13.5%; Better = 14%; Best = 14.5%)

Status:

- 3.12% to date

Comments regarding the month of October

- 1. The creation of the Million Dollar Roundtable is progressing.
- 2. The establishment of the Hank and Rebecca Conn Legacy Society is moving forward.
- 3. Hired a new Associate Vice President for the Health Sciences Campus.
- 4. 25 proposals of 6+ figure gifts closed totaling \$9,300,585 (excluding administrators and athletics)