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2017 October 9 - University Council Agenda and Minutes

University Council, East Tennessee State University

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AGENDA
University Council
Monday, October 9, 2017
East Tennessee Room – Culp Center
8:30 a.m. – 11:00 a.m.

1. Call to Order
2. Roll Call
3. Standing Items
 - 3.1. Approve minutes of September 11, 2017 meeting
 - 3.2. Review agenda
 - 3.3. President's Report – Dr. Brian Noland
 - 3.4. Report of Completed Action Items from:
 - 3.4.1. Academic Council – Dr. Bert Bach
 - 3.4.2. Council of Chairs – Dr. Janna Scarborough
 - 3.4.3. Information Technology Council – Dr. Karen King
 - 3.4.4. Research Council – Dr. William Duncan
 - 3.4.5. Faculty Senate – Dr. Susan Epps
 - 3.4.6. Staff Senate – Ms. Stefanie Murphy
 - 3.4.7. Student Government Association – Ms. Keyana Miller
 - 3.4.8. Graduate & Professional Student Association – Mr. Michael Luchtan
 - 3.4.9. Facilities/Construction – Mr. Jeremy Ross
4. Action Items
 - 4.1. Old Business
 - 4.1.1. Update on Interim Alcohol Policy Follow-up Following 30-day Public Comment – Lisa Williams
 - 4.2. New Business
 - 4.2.1. Review of Revisions to Board of Trustees-Approved Procedures – Introduction by Dr. David Linville
 - 4.2.1.1. General Purchasing, Receipt of Materials, and Payment of Invoices – Dr. B. J. King
 - 4.2.1.2. General Travel – Dr. B. J. King
 - 4.2.1.3. Contracts and Signatory Authority – Dr. B. J. King
5. Announcements
 - 5.1. Graduate School Trends – Dr. Cecilia McIntosh
 - 5.2. Other
6. Adjournment

University Council
October 9, 2017, at 8:30 a.m.
East Tennessee Room, Culp Center

1. Call to Order

Dr. Wilsie Bishop called the meeting to order and announced that Dr. Noland would arrive later in the meeting.

2. Roll Call

Ms. Jennifer Hill called the roll. Those in attendance were: Dr. Brian Noland (chair), Dr. Bert Bach, Ms. Bridget Baird, Dr. Wilsie Bishop (vice chair), Mr. Scott Carter, Dr. Cheri Clavier, Dr. William Duncan, Dr. Susan Epps, Dr. Bill Flora, Ms. Kristin France, Dr. Mike Hoff, Dr. Keith Johnson, Dr. Jane Jones, Dr. B.J. King, Dr. Karen King, Dr. Claudia Kozinetz, Dr. Angela Lewis, Dr. David Linville, Mr. Michael Luchtan, Dr. Cecilia McIntosh, Dr. Robert Means, Ms. Keyana Miller, Ms. Stefanie Murphy, Dr. Rick Osborn, Ms. Pam Ritter, Dr. David Roane, Dr. Janna Scarborough, Dr. Ramona Williams, Dr. Randy Wykoff.

Those absent were: Mr. Ed Kelly, Mr. Jeremy Ross, Dr. Joe Sherlin, Mr. Joe Smith.

Others in attendance: Ms. Jennifer Hill (taking minutes).

3. Standing Items

3.1 Approve minutes of September 11, 2017, meeting

The [minutes](#) were unanimously approved.

3.2 Review Agenda

Dr. Bishop announced that Dr. Bill Flora has volunteered to be parliamentarian of the University Council, and, later in the meeting, introduced Dr. Angela Lewis, who was recently named Vice Provost and Special Assistant to the President for Strategic Initiatives. She also noted that the President's Report would be delayed pending Dr. Noland's arrival.

3.4 Report of Completed Action Items From:

3.4.1. Academic Council – Dr. Bert Bach

- Dr. Bach presented four items that have been reported to the Academic and other councils.
 - First, a national search will be undertaken for a new director of Undergraduate Admissions following the resignation of Brian Henley, and this position is expected to be filled on or before June 30, 2018. During this search, ETSU will work with EAB Consultant Tom Taylor who will come this fall to: conduct a comprehensive review of current processes to ensure the fall 2018 recruitment agenda is in place and conduct a comprehensive analysis of all University services that have to do with the undergraduate and graduate admissions process, as well

as help ETSU prepare for the acquisition of our CRM (constituent relationship management) package. The RFP was issued Sept. 18; the proposals will be opened Oct. 17; technical evaluations will be completed by Oct. 25, and the cost proposals will be opened and scores calculated Oct. 31. The institution will issue its intent to award letter for the CRM on Nov. 2.

- An interim admissions director will be appointed, and Royall is helping us work with identifying that individual, who may be a recently retired professional who would come here on a full-time or substantial part-time basis. The University has asked specifically for someone knowledgeable on the implementation of CRM systems.
- Dr. Ramona Williams has reassigned three individuals in her office (Dawn Bridwell, Dusty Duncan, and Michelle Williams), and with the appointment of the interim director, Mr. Henley's former responsibilities will be fulfilled.
- Staff are looking at making sure they have good communication relative to visits to high schools and community colleges as part of the undergraduate admissions agenda. They will share a map indicating schools to which the seven admissions counselors are assigned. Dr. Williams and her staff have developed a software program to document where and when the visits are taking place. This will be presented to the Academic Council on Thursday, Oct. 12.
- Dr. Bach reported that Director of Veterans Affairs Tony Banchs and his staff are using grant funding to assist in developing a web-based platform to help prospective students in the military may determine what ETSU courses will articulate with military training. Dr. Rick Osborn has been involved in a similar effort in the past and has volunteered to assist.
- Dr. Bach reported that Dr. Mike Hoff has presented a preliminary report to the Academic Council that broke down the fall 2017 enrollment by college, department, and program and specified a process for finalizing the report to ensure the information is both useful and used; Dr. Hoff will meet with colleges and departments as necessary to identify five-year trends. The process will eventually become crucial to strategic planning.

3.4.2 Council of Chairs – Dr. Janna Scarborough

Dr. Scarborough reported that the council is continuing to plan for its meetings and looking at the possibility of a retreat in January. The Council does not have funding of its own to support some of its initiatives for meetings. The Council will try to bring chairs together to discuss their unique experiences as chairs and look for support from its Foundation account to fund initiatives.

3.4.3 Research Council – Dr. William Duncan

Dr. Duncan reported that five agenda items were addressed at the Sept. 13 meeting:

- The Council reviewed and approved the revisions to the ETSU policy on scholarship and research conduct, updating it to remove references to the Tennessee Board of Regents; this will be forwarded to Academic Council.

- The Council agreed to convene a working group to review current policies for application and current guidelines governing use of RDC funds and will organize a group of faculty to meet with the RDC and examine these policies, which have been in place for approximately 12 years.
- The Council reviewed the revision to the data storage and backup policy related to export control; this will be posted on the website and should be helpful to faculty and students in dealing with confidential information and will be an asset to the Institutional Review Board when reviewing policy and conducting studies that need confidentiality requirements to be included.
- The Council reviewed the current plan for establishing a mechanism to support “crowdfunding” for scholarly projects in the sciences and humanities at ETSU. It is slated to be launched sometime in the fall. This will be helpful for faculty and students who receive funding for small projects.
- The Council reviewed plans for an agreement with the University of Tennessee to provide advanced computing; a contract should be in place soon. This will provide expert resources in terms of individual support for faculty as well as actual computing resources.

3.4.4 Information Technology Council – Dr. Karen King

Dr. King reported that during its meeting the previous week, the ITC approved a TAF (Technology Access Fee) request for mapping software in Geosciences. This had been put forward as a proposal, and it was approved to pay 85 percent for the first year but reduced after that. They are willing to make this available to the entire campus.

Computers using Windows XP and Vista operating systems are now blocked from the campus network. Two requests for exemptions have been granted in the form of 30-day extensions to allow time to make better arrangements.

Dr. King referred back to Dr. Duncan’s report and noted that the specific motion that came through for action specified that any nonpublished data going outside the country must go before Dr. Duncan’s office and be reviewed by Wendy Eckert.

The ITC reinstated a Data Standards Committee with people from Financial Services, the Registrar’s Office, and others concerned with FERPA data and data security. This is also the group that will assist in creating policies for preferred names in the Banner system.

The ITC discussed an Enterprise Password Manager, an application that allows users to encrypt and store passwords. Individuals in ITS have been using these for some time. The ITC looked at other options and found that Enterprise is more economical. It will be tested among ITS staff before it is brought forward for wider use; it would be funded through ITS for the entire campus.

ITS is putting computer account request forms online; a form has been added for students to request name changes and other needs.

ITS successfully negotiated a contract for a 10 GB internet connection. ITS has been working on this for over a year, and it is half the cost of a 1 GB connection from another provider, which will save money and provide better service. However, implementation will take some time as ITS waits for the connection to arrive and replaces old firewalls with new ones that will handle the new service. Improvement in bandwidth should be noted by spring.

The ITC is considering a policy to prohibit employees from forwarding their emails to outside accounts following an incident in which one employee's email account was found to be compromised. The practice of forwarding email to outside accounts is used by approximately 54 ETSU employees as a means to archive all their emails. This new policy was sent to ITC members for an email vote but did not receive unanimous approval; it will continue to be discussed.

During discussion that followed, Dr. Duncan said the University must do a better job of educating faculty on export control issues and taking computers out of the country, especially to areas where there are restrictions; U.S. officials can confiscate computers upon re-entry.

3.4.5 Faculty Senate – Dr. Susan Epps

Dr. Epps reported that the Faculty Senate has been working on staffing the Faculty Concerns and Grievances Committee, which is chaired by Dr. Doug Burgess, and the Tenure and Promotion Committee. The Senate is working to ensure it is following policy and having one representative of each college and two alternates should any members need to recuse themselves.

Dr. Epps said that she and Randy Byington had attended the recent Tennessee University Faculty Senates (TUFS) meeting at the University of Tennessee. During discussions with representatives of other state universities, they expressed the positive experience ETSU has had thus far with its new Board of Trustees. They also learned that ETSU is the only university with a Staff Senate, which could indicate why the university boards do not have Staff Senate representation. Other topics discussed included outsourcing, which ETSU's Faculty Senate is on record as opposing. Tennessee Tech will host TUFS in the spring, and ETSU may host the fall meeting.

3.4.6 Staff Senate – Ms. Stephanie Murphy

Ms. Murphy noted that Staff Senate members showed support of Homecoming by both attending and participating in various events in different capacities.

Last month, the Staff Senate created the Staff Senate Cares Committee, a group committed to giving back to the community after a disaster. The Committee has already organized an Oct. 16 trip to Gatlinburg to assist with the continuing cleanup from the 2016 wildfires.

Chairs and co-chairs have been identified for committees.

The 2018 Staff Senate Picnic will be held May 11.

3.4.7 Student Government Association – Ms. Keyana Miller

Ms. Miller reported that the SGA Senate unanimously passed legislation in support of DACA and undocumented students. She stated that it was important for this message to come from students.

The SGA has been working on constitutional changes. The SGA constitution is currently 67 pages in length; the new draft is 14 pages. This draft is being reviewed through committees and will be presented to the full SGA for approval in November.

Ms. Miller reported that she recently attended a meeting sponsored by TBR for student representatives of campuses across the state. One point of discussion at this meeting centered on the students' wish to have the student representatives on the respective boards of Trustees be voting members. It was noted that the Tennessee Colleges of Applied Technology have a representative on the TBR who is a voting member, and the University of Tennessee has a voting student member within its

governance structure. Another item discussed during this meeting was tuition equality for DACA students. Former SGA presidents will lobby for DACA students who graduate from Tennessee high schools to pay regular in-state tuition. In discussion, it was asked how many DACA students are at ETSU; Ms. Bridget Baird said it was less than 1 percent, and Dr. Ramona Williams agreed, saying the number is low because they have to pay out-of-state tuition.

The SGA Major Fall Concert featuring All-American Rejects is Oct. 21; tickets are currently on sale.

Homecoming was a success, and Ms. Miller thanked faculty and staff for their participation.

3.4.8 Graduate and Professional Student Association – Mr. Michael Luchtan

Mr. Luchtan said that during its first meeting of the semester, the GPSA worked on allocating funds for student travel. They changed what could be approved for funding.

A thesis support group meeting was held; this is open to all graduate students.

A Halloween-themed food drive is planned.

Mr. Luchtan presented international students' concerns. He called international students "one of the shining lights of the University"; they contribute positively to the classroom and the student body. Health care is one of their chief concerns; they need health care but have only one choice of company for coverage. Some students are afraid to seek health care for fear of huge bills. In discussion, it was pointed out that Student Health Services is available, and that the current student health policy was chosen by bid; a less expensive student insurance policy had been considered but failed to provide baseline coverage. Dr. Bishop stated the University Council would take note of the efficacy of the student health policy, and Council members suggested that further communication efforts could be made to help students learn what is available to them and how to file claims and follow the process until a resolved bill arrives.

4. Action Items

4.1 Old Business

4.1.1 Update on Interim Alcohol Policy Follow-up Following 30-day Public Comment – Ms. Lisa Williams

Ms. Williams said the Office of University Counsel has reviewed the comments on the policy ([attached](#)), and many centered on adding different sites, with several requests to add art galleries. She said the University wants to move forward with the existing list as presented, and other locations may be added later. No changes have been made to the policy.

The motion was made to approve the policy by Dr. Wykoff and seconded by Dr. McIntosh. In discussion, Dr. Epps stated that the Ward Room needed to be removed from the list because it is slated to become academic office space. Following discussion regarding questions pertaining to Board and University approval of policies and procedures, Dr. Epps made a motion to amend the policy by removing the Ward Room; this motion was seconded and approved unanimously.

Mr. Luchtan stated that Slocumb Galleries needs to be added to the list of approved campus locations for serving of alcohol, and that the arts should be represented just as sports are. Ms. Williams reiterated that the list as presented is a starting point, and locations may be added later. Dr. McIntosh noted that the policy does allow exemptions to be requested.

The University Council unanimously approved the motion to approve the ETSU Alcohol Policy as amended to remove the Ward Room from the list of approved campus locations.

4.2 New Business

4.2.1 Review of Revisions to Board of Trustees-Approved Procedures – Introduction by Dr. David Linville

Dr. Linville deferred to Dr. B.J. King for the introduction. Dr. King said these three policies/procedures have been approved by the Board of Trustees. The University is currently in the process of procurement severance from the TBR. All policies related to procurement have been examined, and a website has been developed to show that the University is ready and capable of handling procurement on its own. The policies have been treated holistically and simplified.

4.2.1.1 General Purchasing, Receipt of Materials, and Payment of Invoices – Dr. B.J. King

Dr. King noted that this policy (see [attachment](#)) combines three older policies and adds *FP-21 Business Meals, Employee Recognition and Flowers* in a section on Special Purchasing Considerations. Further, in section XII of the policy on “Departmental Responsibility in Processing Payments,” the word *service* was added in numerous places to add definition to what may be covered. Dr. King asked if this policy a 30-day review. Dr. Linville replied that it did not because the Board has granted the President authority to approve policy, and it may be his wish to have the endorsement of the University Council before doing so. Dr. King said that in accordance with that, she would ask for Council endorsement of these policy changes. The motion was made and seconded to accept the policy. In discussion, Dr. Wykoff asked if the University could pay for alumni meals off-site in advance; Dr. King replied that they are still working through this process, but noted that state rules currently prohibit paying for something until it is received. After discussion, the motion to accept the policy was unanimously approved.

4.2.1.2 General Travel – Dr. B.J. King

Dr. King noted that this revision of FP-7 (see [attachment](#)) adds another policy from the TBR called *Athletic and Group Travel* into the General Travel policy. Following a motion and second to approve this policy, Dr. King explained that a large portion of the policy is geared toward getting the University in line with state rates; a section was added about requiring employees to personally sign their individual authorization request. Also, items were added regarding taking personal leave in the midst of travel, athletics travel, and more. She said audit results required some changes to travel procedures; in addition to an internal audit, a state

audit on athletic travel remains ongoing, and the two areas for which the University has had audits have been athletic travel and study abroad, so these are covered in more detail. Although these changes, she said, do not have the appearance of being minimal, they are, in fact, simple updates addressing mileage, the use of Enterprise, procedures, use of personal automobiles, and more. She pointed out an oddity in Section VIII, item E, which specifies that after travel claims for team/group or study abroad travel are submitted into eBucs, the original travel claim documents must be sent to Financial Services; although it was requested previously that original documents be shredded to avoid inadvertent processing of a claim multiple times, an audit required that original copies with “wet signatures” be kept on file. Section X on Athletic Travel and all Other Group Travel includes TBR 4.03.03.50 and the recommendations of our Internal Audit on Athletics Travel. Sections on travel rates are based on state finance and administration (F&A) rates. Dr. King said this revision attempts to achieve compliance with audit reports to include our group and athletic travel as well as conformity with state finance and administration policies and procedures. Following discussion, the motion to approve the policy as presented passed unanimously. Training and information sessions will be offered for those responsible for implementation of the policy.

4.2.1.3 Contracts and Signatory Authority – Dr. B.J. King

Following a motion and second to accept the Contracts and Signatory Authority policy (see [attachment](#)), Dr. King stated that the policy adds FP-40 into the previous policy from the TBR. She said Section V adds designated officials who may execute contracts on behalf of the University, and Section VII specifies prohibited contracts. Also added was wording about the president’s approval of agreements and contracts and a statement of policy explaining why the University has a policy on contracts and signatory authority. She said she has already had a question about delegation of signature and said a policy will be presented to the Board of Trustees at its November meeting that is specific to delegation of signature; however, signature delegation is not addressed in this policy, so a separate policy addressing that facet will be necessary. Discussion ensued regarding the definition of the word *professorship* within the policy (II.A.5.) and whether the term would encompass only tenure-track professors or also include visiting and other classifications of professors; Dr. King said that this language came from the previous policy and will require further investigation. The motion to approve the policy as presented, with the understanding that Dr. King would investigate the definition of *professorship*, was approved unanimously.

5. Announcements

5.1 Graduate School Trends – Dr. Cecilia McIntosh

Dr. McIntosh delivered a presentation titled “Update on Status of Graduate Education at ETSU 2017” (see attached [PowerPoint](#)), noting that the last such

comprehensive presentation was given in 2012. She outlined the vision of the ETSU School of Graduate Studies, which is to assure a reputation for quality and excellence in graduate education; to innovate; to collaborate; and to serve the state, region, nation, and world with delivery of high-quality graduate programs. Among the points made regarding the current status were the fact that ETSU now serves over 2,400 graduate students through 42 master's programs, 12 doctoral programs (not including the M.D. or Pharm.D.), and 34 graduate certificates, with over 150 choices for study; offers professional development opportunities for students and faculty; and continually looks for innovations in new and interdisciplinary programs. Interest, applications, and enrollment are trending upward, and ETSU is using various methods to market its programs to take advantage of that trend. Some examples of programs experiencing growth include sport management, digital marketing, global sport leadership, and nursing; she noted that some concerns arose when the nursing program left the Regents Online Degree Program, but it has seen increases nonetheless. Applications and admissions for degree and certificate programs are also trending upward. In international applications, ETSU has experienced a 47.7 percent increase, compared to the national trend of a 1-2 percent increase per year over the past two years; top programs attracting applications from international students are largely in the areas of science, technology, mathematics, and business. Dr. McIntosh listed a number of initiatives the School of Graduate Studies is using to boost retention, and noted an 80 percent retention rate among students who go to the Graduate Student Success Specialists for assistance. Graduation rates are also trending upward, and a record 903 students graduated in 2016-17. Among areas of challenge and opportunities for growth are recruitment of top students, application completion, and matriculation of accepted students.

3.3 President's Report – Dr. Brian Noland

3.3.1 State of the University Address

Dr. Noland presented some highlights from his Oct. 2 State of the University Address and noted that the materials he used in his presentation were available online on the President's Office website. Among these highlights were: ETSU's enrollment is up by 346 students this fall; the freshman class is at 2,050, which is an increase over last year; and the freshman class is academically well-prepared. ETSU's retention rate is the highest in the history of the institution, growing almost 10 percentage points over the past five years. He noted this is the year for implementation of the Strategic Plan, and significant substantive work is in progress. The University also spent considerable time implementing its new budget model and was able to incorporate salary enhancements and Equity Plan adjustments; building projects are also under way.

3.3.2 Implementation of New Budget Model

Dr. Noland reiterated that this is the year of implementing the new budget model, which has required several years to develop and set the framework from both policy and cultural perspectives. He noted that faculty and staff are excited that enrollment is up and, as a result, are looking forward to increased distribution of revenue, which will occur after the authorization to do so is granted by the Board of Trustees. The Board will meet on Nov. 10, and details on how those revenues will be distributed will be presented to the University Council on Nov.

13. Dr. Noland said that considerations in distributing the additional funding include: addressing the “Category 4” items determined earlier during the budget process; building the University’s reserves, which currently stand at \$3.46 million, for a “rainy day”; and rewarding those colleges and departments that have grown. In discussion, questions arose pertaining to the history of the “Category 4” items and whether they might be reconsidered. Dr. Noland noted that the history and listing of these items are available online in the minutes and budget materials from previous meetings and said that because the University was able to grow this year, ETSU would be able to honor the commitments made through the shared governance process. He said that to undo the decisions made through that process would run counter to the trust the University has worked hard to establish.

3.3.3 Homecoming

Following an update on an incident that occurred on campus the night of Oct. 7, Dr. Noland described the University’s Homecoming celebration as “magical,” with one of the largest community celebrations held on campus in a long time taking place Oct. 6, including the Homecoming parade, pep rally, and fireworks, which were followed by an excellent Homecoming Day on Oct. 7. He also described the emotions he and others felt during a concert held Oct. 6 at Munsey Memorial United Methodist Church, in which current and alumni choirs of the ETSU Department of Music honored longtime supporter James Powell on the occasion of his 80th birthday.

Dr. Noland said the night of Oct. 7 continued the “outstanding” Homecoming festivities with a crowd of approximately 1,800 watching the Step Show in the ETSU/Mountain States Health Alliance Athletics Center (Minidome). However, according to a timeline still being determined, at 10:04 p.m., shortly before the scheduled Comedy Show, Public Safety officers were made aware of a threat that someone would “shoot up the place” at 10:30 p.m. Dr. Noland described how, within 20 minutes, Public Safety and Student Affairs officials made the difficult decision to evacuate the Minidome out of concern for the safety of everyone present. He said that comments in a newspaper about a bomb threat and about the decision to evacuate being political in nature were untrue. He said the investigation is ongoing, processes would be reviewed, and plans were in place to speak with the students who were in the building to get a sense of what they were hearing. He said that the University will implement a “clear bag” policy and begin using a wand metal detector for most events in the future.

3.3.4 Alcohol Policy

Dr. Noland referred to the discussion earlier in the meeting regarding the alcohol policy and noted that the new policy provides a level of consistency in application that had not been practiced under a previous policy. In addition, he wished to dispel the myths that the University will sell alcohol and that students could have alcohol in the residence halls, neither of which is the case. Requests may be submitted to serve alcohol at locations that are not on the approved list. The issue is not about the sale of beverages; rather, the focus should be on the distribution (i.e., serving) of alcohol by only licensed individuals (i.e., bartenders) at university activities.

3.3.5 Board of Trustees

Dr. Noland reminded the University Council of the fourth meeting of the Board of Trustees slated for Nov. 10 and said that both the meeting of the full Board as well as all committee meetings are open to the public. He said Council members should encourage faculty and staff who are interested to attend and indicated that members of the Board of Trustees have expressed their enjoyment of interacting with members of the campus community during their time on campus.

5.2 Other

In other business, a question was asked regarding designated representatives if a University Council member must miss a meeting. Dr. Bishop replied that alternate representatives have been named for the student groups but not for other members. She also pointed out that minutes are provided and enough other people are in attendance who can take information back to their areas. She also said, in response to a comment that materials for today's meeting were not available until Friday, that the intent was to distribute those materials earlier.

6. Adjournment

A motion was made and seconded to adjourn, and passed unanimously. The meeting was adjourned at 11:10 a.m.

Policy Title: Approval of Agreements Contracts and Signatory Authority

Commented [KKM1]: This revises and renames an ETSU Board policy approved in March.

Policy Type: Finance/Administration **New/revised:** Revised

Old Policy #: 1:03:02:10, FP-40

Approval level: Board of Trustees
 President
 Vice President
 Other (specify here)

Purpose: The following policy ~~on approvals~~ delineates the framework and approval process for ~~contracts, procurements and agreements~~ to be entered into by the ~~university~~ University, either electronically or via paper.

Policy:

I. Whether the document is called a contract, an agreement, memorandum of agreement, memorandum of understanding, terms and conditions, purchase order or similar name, it is subject to the requirements of this policy. The purpose of a written contract is to embody the complete agreement in writing. All relevant terms should be included in the contract document and not left to unwritten understanding or verbal agreement. The contract document should be explicit and clearly state the rights and duties of each party and clearly identify all parties.

Any type of agreement that legally obligates the University including but not limited to the provision of payments, services, goods or use of University properties, facilities or other resources to an external party (hereinafter "contracts") must be signed by the President or designee. Only the President and those specific individuals authorized in this policy or in writing by the President, through published policies or other authorizing documents, have the authority to enter into contracts on behalf of the University. The Vice President for Business and Finance shall be responsible for the development and administration of procedures to ensure compliance with this policy.

Commented [KKM2]: From 1:03:02:15 added 10/2/17

Contracts which are not ETSU standard forms must be reviewed by the Office of University Counsel before being signed by an authorized University official. Contracts may be called, but are not limited to, contracts, agreements, memorandum of understanding, memorandum of agreement, purchase orders, or terms and conditions. **Individuals who execute contracts that are not authorized to do so may be personally liable for the obligation of the contract**

II. Approval by the President

A. All agreements and contracts affecting the ~~university~~ University must be approved and executed by the President or the President's designee including:

1. Employment contracts for permanent faculty, administrative staff and coaches.
2. Employment contracts for adjunct faculty
3. Memorandum of understanding/agreement with other schools regarding exchange of students and/or faculty
4. Post retirement agreements
5. Professorship appointments
6. Exceptions to credit hour and/or compensation limits for part-time faculty
7. moving expense agreements
- 4-8. Scholarships

##-III. The following agreements, contracts or procurements, in addition to being approved as set out above, shall be submitted to the Board of Trustees for approval:

- A. Agreements and contracts involving or related to the purchase or disposal of real property and capital outlay projects.
- B. Agreements involving or related to the leasing (institution as lessee or lessor) of real property for more than five (5) years or more than \$150,000 per year.
- C. The primary operating agreement between the university and its foundation.
- D. Banking, procurement card, and other financial services agreements.
- E. Renewals of the above agreements do not require approval by the Board of Trustees if no changes have been made.

##-IV. The Board of Trustees shall be regularly informed of the following agreements approved by the President:

- A. Any agreement, including purchase orders, for two hundred fifty thousand dollars (\$250,000) or more in annual revenue or expense.
- B. Any agreement between the university and any other institution, agency, organization or entity which provides for the coordinated or cooperative offering of any credit or non-credit programs or activities or in which certificate or degree requirements are met or credit is given for coursework or activities offered by another institution as stipulated in academic policies.
 - 1. Examples of such agreements include provisions for either credit or non-credit academic programs or public service activities to private or state agencies and institutions in the fulfillment of that agency's responsibility for state-wide services or governmental training, and
 - 2. Agreements which require consortia or cooperative arrangements with other institutions, agencies, or associations.
- C. Any noncompetitive contract with a potential term of more than one (1) year and a cumulative value of two hundred fifty thousand dollars (\$250,000) or more. Institutions-University shall not enter into multiple one-year contracts, involving the same vendor for the same service, to circumvent this requirement.

V. Additional Designations: The President designates to the following University officials the authority to execute contracts on behalf of the University, subject to applicable restrictions contained in the aforementioned policy:

- A. **Vice Presidents: Employment and reappointment contracts for temporary employees. Personal, professional or consulting services contracts less than \$250,000 on behalf of their divisions.**
- B. **Vice President of Administration: Employment contracts for clerical and support staff.**
- C. **Vice President Academic Affairs, Provost, and Vice President Health Affairs: Study abroad agreements.**
- D. **Vice President University Advancement: ETSU Alumni Association agreements using non-state funds. The Vice President University Advancement is the signature authority for the East Tennessee State University Foundation.**
- E. **Vice Provost for Research and Sponsored Programs: Research and service related grants and contracts submitted through the Office of Research and Sponsored Programs and subaward agreements issued from the Office of Research and Sponsored Programs and/or received from the East Tennessee State University Research Foundation (ETSURF). The Vice President for Research and Sponsored Programs is the signature authority for ETSURF contracts.**
- F. **Associate Vice President Procurement and Contract Services: Contracts less than \$250,000 associated with approved requisitions/purchase orders, which do not require the President's approval.**
- G. **Director of Athletics: Grant-in-aid contracts for athletes, game sponsorship agreements, personal, professional or consulting services less than \$250,000 for Athletics, and athletic**

Commented [KKM3]: Previously was VP Finance and Administration

sponsorship agreements.

H. Dean of Graduate Studies: Graduate assistant contracts.

I. Director of Residence Life: Student housing agreements (residence halls and apartments).

J. Director of Financial Aid: Student aid agreements and work-study programs.

K. Departmental Supervisors: Work study program agreements (federal work study and regular work program).

~~IV-VI.~~ Other Approvals

A. Certain agreements may be subject to additional review and/or approval processes as set out in TCA or other state policies, i.e. Fiscal Review, State Building Commission, etc.

VII. Prohibited Contracts

A. The University shall not knowingly contract for the procurement of any merchandise, equipment or material with an individual who is, or within the past six (6) months has been, a State employee.

1. An individual shall be deemed a State employee until such time as all compensation for salary, termination pay, and annual leave has been paid.

B. The University shall not knowingly contract with a company or corporation in which a controlling interest is held by any State employee or the employee's spouse.

C. The University shall not knowingly contract with any person in violation of Federal or State law.

VIII. Contracts Guideline

A. The University shall maintain a written Contracts Guideline, which may be in electronic format, to ensure that all contracts comply with Federal and State laws and regulations.

B. All University contracts shall comply with the Contracts Guideline.

Commented [KKM4]: From 1:03:02:15 added 10/2/17

IX. Exceptions

a. The Board of Trustees may approve exceptions to the requirements of this policy in appropriate circumstances. Requests for exceptions must be signed by the President and include sufficient justification documentation.

3/24/2017 – approved by the Board of Trustees.

~~Interim~~ ETSU Alcohol Policy

(reviewed and approved and implemented by University Council
8/14/2017 _____)

OBJECTIVE: To provide guidance to the ETSU campus on the possession, use, and purchase of alcohol on campus and the purchase of alcohol off campus.

General Policy

East Tennessee State University, in compliance with federal, state and local law, allows lawful, responsible alcohol consumption at University functions, as long as the use occurs at a University activity and at a campus location where alcohol is allowed.

Students

The University's policy on student possession and consumption of alcohol is contained in the University Catalog. The current edition affirms that the use and/or possession of alcoholic beverages is prohibited "on institution owned or controlled property. This offense includes the violation of any local ordinance, state, or federal law concerning alcoholic beverages, on or off institution owned or controlled property, including but not limited to where an affiliated group or organization has alcoholic beverages present and available for consumption."

Student organizations hosting off-campus events must comply with ETSU student organization policies and procedures for registering events with alcohol and all risk management assurance guidelines. ETSU student organizations associated with a local, state, regional or inter/national organization will be held responsible for compliance with risk management policies and procedures required for that affiliation. The policy and procedures are administered by the Student Organization Resource Center (SORC).

Approved Campus Locations

The serving or consumption of alcoholic beverages is prohibited in all academic buildings and student facilities.

The University also recognizes at select university functions the serving of alcohol is appropriate as alumni, donors, and other special guests are entertained. However, these functions are to be held in only approved locations and are subject to the following restrictions.

The approved locations are:

- Skyboxes at the football stadium
- The Alumni House (908 W. Maple St.)
- The CPA enclosed courtyard
- The Performing Arts Center Lobby
- The Reece Museum
- Shelbridge, ETSU's Presidential Residence
- Select areas of Thomas Stadium

- The Outdoor lobby of Brown Hall
- Select areas of the Mountain States Health Alliance Athletics Center (Mini-Dome):
 - Gordon Ball Practice Court
 - Lobby
 - Wardroom

Procedures

Alcoholic beverages may only be served by vendors who are properly licensed and possess all the appropriate state and local permits. Any individual serving alcoholic beverages must possess the appropriate license and credentials.

Underage persons may not be served or be in possession of alcoholic beverages at any University controlled event on or off campus.

The serving or consumption of alcoholic beverages is prohibited in all academic buildings (unless the building is noted above as an approved location).

Due to the number of approved locations, only under extenuating circumstances shall exceptions be granted. The President or his designee has the authority to grant these exceptions, which will be in writing.

Stadium and Arena Suites

Alcohol may be stored and served inside the suites stadiums. Alcohol must be stored and consumed within the defined suite area. The delivery of alcohol to the individual suites must conform to the stipulations issued by the Department of Athletics. Furthermore, University employees may not transport or store the alcohol products, and all movement of such products must be initiated by the suite-holders or their designee.

Approved Purchasing Processes

The University does not have a license to sell alcohol.

The University has an obligation to manage its funds in a manner consistent with the best interests of the citizens of Tennessee. Purchasing certain items may cause the public to believe the institution is not exercising its responsibility in an appropriate manner. Alcohol is one such item that comes under great scrutiny.

State funds may not be used for the purchase of alcohol. Some ETSU Foundation funds may allow for the purchase of alcohol. University funds may be used to pay for the services of the licensed server.

Purchasing and entertainment policies must be followed.

Policy Title: General Purchasing, Receipt of Materials, and Payment of Invoices

Policy Type: Finance/Administration **New/revised:** Revised

Old Policy #: 4:02:10:00, FP-4, FP-5

Approval level: Board of Trustees
 President
 Vice President
 Other (specify here)

Purpose: The purpose of this policy is the establishment of procedures for purchasing, receipt of materials, and payment of invoices.

Policy:

I. **General**

Purchases made with University funds must adhere to sound, ethical business practices. No financial commitment may be made by any employee of the University without specific written authority of the President. University officials authorized to approve purchases of goods and services must exercise prudent judgment when expending funds or determining if an expenditure is appropriate.

II. **Principles**

- A. The purchase must comply with this policy and the laws of the State of Tennessee for the purchase of goods and services.
- B. The purchase must support the mission and purpose of the University.
- C. The purchase must not be personal in nature.
- D. The amount expended should be reasonable.
- E. Employees of the University serve the interests of the State of Tennessee and must comply with the University Conflict of Interest Policy.
- F. The President of the University has delegated authority to the Associate Vice President for Procurement and Contract Services and the Purchasing Director to make purchase commitments. The President of the University has delegated authority to the Associate Vice President for Procurement and Contract Services to sign contracts for the University when they are associated with purchase orders. No employee has authority to make any purchase commitment, enter into any contract for goods or services, or otherwise take action with respect to third parties which may be construed as financially binding to the University except through the authority of Procurement and Contract Services, unless specifically authorized by other applicable University policy or in writing by the President. This policy applies to all expenditures of funds administered by the University, regardless of origin. This policy does not apply to agency funds set up with ETSU Business Financial Services.

- G. The ETSU Standard Bid Terms and Conditions and the ETSU Code of Ethics in Procurement and Contracting (Appendix A) are adopted as minimum standards in the procurement of goods and services.
- H. Except as specifically provided in other university policies and guidelines, authority pursuant to those policies shall not include the purchase or lease of real property, the purchase of insurance, or purchases for capital outlay projects from any fund source whatsoever.
- I. No employee of the University responsible for initiating or approving requisitions shall accept or receive, directly or indirectly, from any person, firm or corporation to whom any contract may be awarded, by rebate, gift or otherwise, any money or anything of value whatsoever, or any promise, obligation or contract for future awards or compensation. Whenever any contract/purchase order is awarded contrary to this provision, the contract/purchase order shall be void and of no effect, and if the violation was intentional, the employee responsible for the purchase shall be liable for any state funds paid contrary to this provision.

III. Definitions

- A. **Banner Finance System** - A computerized on-line system used to produce and maintain the University's financial records for the eBucs System. The Banner Finance System is the official system of record for all procurement transactions created in eBucs.
- B. **Conflict of Interest** - A conflict of interest occurs when the personal interests, financial or otherwise, of a person who owes a duty to the Board of Trustees or the University (all employees) actually or potentially diverge with the person's professional obligations to and the best interests of the Board of Trustees and University. It is a conflict of interest for any person or any company with whom such person is an officer, a director, or an equity owner of greater than 1% interest to bid on any public contract for products or services for a governmental entity if such person or a relative of such person is a member of a board or commission having responsibility for letting or approving such contract. For purposes of this section only, "relative" means spouse, parent, sibling, or child (T.C.A. § 12-3-106(b)(2003)). It is the policy of the University that no employee shall use his/her employment for personal benefit. Any appearance of favoritism or influence in doing business is prohibited.
- C. **Unlawful Employee Activities** - It is unlawful for any employee to bid on, sell, or offer for sale, any merchandise, equipment or material, or similar commodity, to the state of Tennessee or to have any interest in the selling of the same to the state during that person's term of employment and for six months thereafter (T.C.A. § 12-4-103). Disclosure of any such transaction by an employee or member of the employee's family or by a business in which an employee or member of the employee's family has any significant (more than 4%) ownership interest or for which an employee or employee family member serves as an officer is required by this policy. Family member includes the spouse and children (both dependent and non-dependent) of a person covered by this policy.
- D. **eBucs System** - A computerized electronic procurement (eProcurement) system used to manage the University's procurement process online. The eBucs application includes modules that address each step in the procurement process: shop and compare, create

requisition, requisition approval process, create and distribute purchase order, process invoices, and receipt management.

- E. Minority-Owned business - A continuing, independent, for-profit business which performs a commercially useful function and is at least 51% owned and controlled by one or more minority individuals who are impeded from normal entry into the economic mainstream because of past practices of discrimination based on race or ethnic background in accordance with the provisions of T.C.A. § 12-3-802.
- F. Non-Competitive Purchases and Contracts - Purchases and contracts made when items or services are unique and possess specific characteristics that can be filled by only one source.
- G. Procard - The procurement card program available for purchases of goods less than \$5,000.
- H. Service Disabled Veteran business - Tennessee service-disabled veteran means any person who served honorably on active duty in the Armed Forces of the United States with at least a twenty percent (20%) disability that is service-connected meaning that such disability was incurred or aggravated in the line of duty in the active military, naval or air service. "Tennessee service disabled veteran owned business" means a service disabled veteran owned business that is a continuing, independent, for profit business located in the state of Tennessee that performs a commercially useful function, and is at least 51% owned and controlled by one (1) or more service-disabled veterans in accordance with the provisions of T.C.A. § 12-3-802.
- I. Small business - A business which is independently owned and operated, in accordance with the provisions of T.C.A. § 12-3-802, and is not dominant in its field of operation.
- J. Surplus Property - Any University property such as movable equipment or supplies (not real property such as land or buildings) a department determines to be excess to its needs and for which the department has no foreseeable requirement.
- K. Woman - Owned business- A women-owned business that is a continuing, independent, for-profit business which performs a commercially useful function, and is at least 51% owned and controlled by one or more women; or, in the case of any publicly owned business, at least 51% of the stock of which is owned and controlled by one or more women and whose management and daily business operations are under the control of one or more women in accordance with the provisions of T.C.A. § 12-3-802.

IV. **Purchasing**

- A. Planning a Purchase - In preparation of the purchase of goods and services, a clear description of the requirements or specifications is the basis for assuring that departmental needs will be met. The approving authority from the ordering department must assure that funds have been appropriated and are available for the purchase of materials, supplies, equipment or services prior to award of a contract. The ordering department is responsible for determining that all items to be purchased are necessary.
- B. Purchase Requisition Procedures - Purchase requisitions should be submitted online by accessing the eBucs system. Purchase requisitions are submitted by the ordering department, approved by the appropriate officials and forwarded electronically to

Procurement and Contract Services for processing into a bid or a purchase order. C. The purchase requisition should include, but not be limited to the following:

1. Information describing the purpose of the acquisition, technical requirements, bidder qualifications, and any other information considered relevant to the goods or services being acquired. Whenever possible, all specifications for materials, supplies, equipment and services shall be worded or designed so as to permit open and competitive bidding.
2. The quantity or amount of articles or services required.
3. The estimated cost of goods or services.

D. Additional Purchasing Methods - In addition to the purchase requisition, other purchasing methods, such as the Procard and contract purchases may be available.

E. Competitive Bidding and Specifications - All purchases valued at \$10,000 or more shall be based upon the principles of competitive bidding except as provided herein.

Whenever possible, all specifications for materials, supplies, equipment and services shall be worded or designed so as to permit open and competitive bidding for the supplying of the articles, commodities or services to which they apply. Bid thresholds are set by the State of Tennessee to establish the minimum dollar amount for which any purchase of goods or services must be competitively bid. Currently the bid threshold is \$10,000.

F. Bidding is required when the total purchase amount is \$10,000 or more. A minimum of three bids is required when the total purchase amount is \$10,000 to \$50,000. Departmental personnel may contact sources of supply for quotes when the amount of the total purchase is \$10,000 but less than \$50,000. Procurement Services will assist in the development of specifications and provide capable suppliers upon request. Procurement Services is also available to obtain the bids. All bid information is to be attached as internal information on the purchase requisition in eBucs. If available, furnish with the purchase requisition such specifications, catalog pages, brochures, or other data as will provide an adequate basis for determining the quality and functional capabilities of the products being requested.

G. Procurement Services will issue bids for goods and services \$50,000 or more.

H. The University shall actively solicit bids from small, minority, service-disabled veteran, and woman-owned businesses in order to obtain a fair proportion of goods and services from such businesses, whenever possible.

I. Non-Competitive Purchases - Goods and services over the bid threshold may be procured without competitive bidding only if such purchases are justified in writing and approved by the President or Purchasing Director or designee.

J. Emergency Purchases - Requests for purchases of specific materials, supplies, equipment, or services may be made in the open market for immediate delivery only to meet bona fide emergencies arising from any unforeseen cause. The President or designee must approve all bona fide emergency purchase requests, and a written report on the circumstances of any such emergency justifying the purchase shall be prepared by the ordering department and maintained by the University. All emergency purchases shall, if practicable, be made on the basis of competitive bids.

- K. Contracts and Agreements - All contracts and agreements will be in conformance with ETSU policy Contracts and Signature Authority and other State requirements.
- L. Contracts \$250,000 and greater require approval by the President. Non-competitive contracts of \$250,000 or more and for a term greater than one (1) year require approval by the President, the Board of Trustees, and State of Tennessee Fiscal Review Committee. (Allow a minimum of 75 days prior to the effective date of the agreement).
- M. Prohibited Transactions - No personal items shall be purchased through the University or from funds of the University for any employee of the University or any relative of any employee. Personal gifts for employees cannot be purchased with university funds. Whenever any contract/purchase order is awarded to the contrary to this provision, the contract/purchase order shall be void and of no effect, and if the violation was intentional, the employee responsible for the purchase shall be liable for any state funds paid contrary to this provision.

V. Special Purchasing Considerations –

A. Business Meals – The University may pay or reimburse properly documented meals when the primary purpose is a business discussion. Business meals generally include at least one non-university employee. However, occasional gatherings of University employees may also be reimbursed as business meals. Expenses may be incurred only for those individuals whose presence is necessary to the business discussion.
In addition to an itemized receipt, IRS rules on substantiation of business expenses require documentation of the time, date, place, specific topic of discussion and attendees at the meals. The documentation requirements apply to all on-campus or off-campus business meals, regardless of payment methods. Accordingly, all on-campus dining facilities require this documentation for all meals charged to departmental accounts.

Commented [KKM1]: Suggest we use individual instead of employee

Under no circumstances will alcohol expenditures be reimbursed. The University will deny reimbursement for meal expenses that lack documentation or a clear business purpose. Gatherings that are primarily social in nature do not qualify for payment or reimbursement as business meals.

B. Faculty/Staff Recognition Events –

Institutional funds may be used to purchase food and non-alcoholic beverages for recognition, appreciation and/or retirement events. Expenses for these events must be reasonable. Recognition gifts and retirement plaques are allowable up to a reasonable value limit per employee/retiree recognized.

Commented [KKM2]: Taken from FP-21, sections III Business Meals and IV Faculty/Staff Recognition Events

V.VI. Procurement Cards -

- A. Procurement cards (Procards) are to be used only for authorized official institutional business.
- B. Procurement of goods or services shall be in compliance with this policy and the laws of the State of Tennessee.
- C. A complete record shall be maintained on each procurement transaction in order to provide a clear audit trail.

- D. The procurement card manual sets forth all processes and procedures for procurement card purchases to ensure that all transactions are in compliance with this policy and the laws of the State of Tennessee.
- E. Employee participation in the Procard program is considered a privilege and may be revoked at any time for abuse, inappropriate/fraudulent use, or for program mismanagement.

VI-VII. Examples of Purchases Not Allowed with University Funds -

- A. Gifts and flowers except for officially sponsored events and student activities
- B. Personal purchases for employees or students
 - 1. Professional license fees
 - 2. Memberships and license fees examples: civic organizations or professional organizations
 - 3. Subscriptions
 - 4. Purchases for office use examples: decorations for private offices, coffee pots, microwaves, tissues, food, drinks, cups, plates, etc.
- C. Employee **monetary** awards/rewards

Commented [KKM3]: Suggest adding this for clarification 8/22/17

VII-VIII. Allowed Transactions for Non-Employees with University Funds -

- A. Honoraria
- B. Token of appreciation for service rendered - \$50 or less per person
- C. Incentives/Rewards for participating in research studies, surveys, or projects, or for attending events
- D. Promotional items for give-away in order to promote departments and departmental programs
- E. Gift cards: Non-employee and non-resident alien research participant payments are limited to a maximum of \$50 per payment and a total payment of less than \$600 to any one research participant. The department must retain a copy of the research participant name, address, social security number and signature acknowledging receipt of the gift card. Department must be able to show that all the gift cards were distributed. These records are subject to audit by university and State Audit. A request to purchase gift cards should be sent to Accounts Payable for a check to be issued to the vendor. University Procards cannot be used to purchase gift cards.
- F. Cash payments: Non-employee and non-resident alien research participant payments are limited to a maximum of \$50 per payment and a total payment of less than \$600 to any one research participant. Any individual research participant payment over \$50 must be processed through Accounts Payable via a check to the individual research participant. Complete the **Cash Payment to Research Participants form** and return it to Financial Services before any funds can be distributed. Research participant name, social security number, address and signature acknowledging receipt of the cash must be obtained. Differing from the use of gift cards, the petty cash receipts are returned to the Bursars Office when the petty cash account is closed out at the end of a grant or when the fund is replenished. The receipts are retained in the Bursars vault and are subject to audit by university and State Audit. Note: Whether gift cards or cash are distributed, a method of securing cards or cash is needed.

~~VIII~~.X. Receipt and Delivery of Materials -

A. Central Receiving

1. University Purchase Orders and Procard orders specify the location to which orders are to be delivered. University Purchase Orders will normally be delivered to Central Receiving. Procard orders may be delivered to Central Receiving or directly to the department.
2. When deliveries are made to Central Receiving, employees of Central Receiving will:
 - a. Compare the number of cartons or packages with the shipping documents.
 - b. Inspect for visible damage; note damages on the shipping document and obtain the delivery driver's signature.
 - c. Compare the delivery to the purchasing information and make appropriate entries into the eBucs Purchasing System regarding purchase orders.
 - d. Prepare delivery documents.
 - e. Deliver the material or equipment to the appropriate department, and obtain a signature from the person accepting the delivery.
3. To maintain a safe campus environment delivery trucks are generally limited to Central Receiving vehicles. Most deliveries of goods will be made to Central Receiving.

B. When deliveries are made to the department, employees of the department will:

1. Compare the material or equipment received with the ordering records immediately upon receipt for conformity as to the specifications and quantity. The date received, quantity and condition of the items should be noted on the ordering records.
2. Report any deviation from specifications, shortages, damages, etc. to the purchasing agent in writing. The purchasing agent will initiate the communications with the vendor, except for apparent damage in transit, in which case the department should contact Central Receiving, who will file the proper claims with the vendor and shipper.
3. Complete records on all receiving reports shall be maintained in order to provide a clear audit trail on the receipt of all purchases.

~~IX~~.X. Surplus Personal Property

- A. Surplus property is personal property (not real property such as land or buildings) owned by the University which has been determined by a department to be obsolete, outmoded, unusable or no longer needed for which future needs do not justify the cost of maintenance and/or storage.
- B. In some instances, other University departments may want to utilize personal property declared surplus to the needs of another department. Items may be transferred between departments or to surplus property for disposal by accessing the Central Receiving site.

~~X~~.XI. Payment of Invoices

- A. In order to make payment to an outside vendor, the Accounts Payable Section of the Procurement and Contract Services must have the original itemized invoice. Payments will not be made on a statement unless supported by itemized delivery tickets attached thereto. Invoices must not be approved and sent to Accounts Payable for payment until all of the items covered by the invoice have been received in good order. Some purchase order invoices will be received electronically through the eProcurement system.
- B. Vendors have the right to expect prompt payment by the University after delivery. Each department head is responsible to ensure that invoices are promptly processed for payment and a receipt is created through the eProcurement system when appropriate. Should an invoice not be within 30 days of receipt, the University may be required to pay interest on late payments which will be charged to the requisitioning department.

XI-XII. Departmental Responsibility in Processing Payments - There are three methods for making payments to vendors. The departmental responsibilities are detailed for each of the methods below.

- A. Pre-Approval of Invoices
 - 1. Purchases made by purchase order generally will not receive a copy of the invoice. The Accounts Payable Office will ensure that the material [or service](#) has been [received/receipted](#), and that the quantity and price on the invoice match that of the PO. Once this match has been established, the Accounts Payable Office will consider the invoice to be pre-approved and will make payment on the appropriate date.
 - 2. It is the department's responsibility to ensure that the material [or service](#) is as ordered and is in good working order. Creation of a receipt through the eProcurement system, signifies receipt and acceptance of the items [or service](#) on the invoice. Any problems with an item [or service](#) should be reported to Purchasing immediately. Purchasing will freeze the purchase order until the issue can be resolved. This procedure will not be used for the following types of invoices: subscriptions or copiers with varying charges to several departments.
- B. Invoices on which departmental approval is required
 - 1. The invoice must be compared to the notation made on the purchase order at the time of delivery to ensure that the material [or service](#) has been received (See paragraph I.B. above). At the same time the unit price must be verified.
 - 2. Extensions and additions on all invoices must be verified. If errors are noted, the purchasing department must be contacted for instructions in handling.
 - 3. The requisitioner must affix his/her signature of approval on the invoice. Initials, rubber stamp or other facsimile is not permitted. If the purchase order number does not appear on the invoice, it must be written in a conspicuous place. If the invoice is not covered by a purchase order [or contract](#), the index number to be charged must be indicated directly on the invoice.
- C. Payment for Procurement Card Transactions
 - 1. The department user will receive a monthly summary statement from the bank that issues the procurement card. Any discrepancies are handled

between the departmental purchaser and the vendors. If a particular transaction is in dispute, the departmental purchaser is to communicate directly with the bank. All procurement card records are to be maintained in the department.

2. Accounting will pay the bank on a monthly basis for all procurement card transactions, except those transactions in dispute.

XII-XIII. Approval of an Invoice for Payment -

- A. Approval of an invoice for payment certifies to Accounts Payable that:
 1. The merchandise or service has been received, is acceptable and is in conformity to the purchase order or contract,
 2. That the index charged is the proper one and that funds are available to cover the expenditure.

6/9/2017 – approved by the Board of Trustees.

**EAST TENNESSEE STATE UNIVERSITY
CODE OF ETHICS IN PROCUREMENT AND CONTRACTING**

I. The code of ethics was developed by East Tennessee State University, approved by the Board of Trustees, and shall be applicable to all ETSU employees who are primarily responsible for the purchase of goods or services for the institution.

A. Statement of Policy

1. Employees must discharge their duties and responsibilities fairly and impartially.
2. They also should maintain a standard of conduct that will inspire public confidence in the integrity of the institution.

B. General Standards of Ethical Conduct

1. Any attempt to realize personal gain through public employment, inconsistent with the responsible discharge of that public employment, is a breach of public trust.
2. Employees shall base all purchases on the principle of competitive bidding consistent with policies of the Board and the institution.
3. Employees shall grant all competitive bidders equal consideration, regard each transaction on its own merits, and foster and promote fair, ethical and legal trade practices.
4. Employees shall avoid misrepresentation and sharp practices, and demand honesty in sales representations whether offered through the medium of a verbal or written statement, an advertisement, or a sample of a product.
5. Employees shall be receptive to competent counsel from colleagues, and be willing to submit any major controversy through the appropriate appeals processes.
6. Employees shall accord prompt and courteous reception insofar as conditions permit to all who call on legitimate business missions.
7. Employees shall not use without consent the original designs developed by a vendor for competitive purposes.

C. Conflict of Interest

1. It shall be a breach of ethical standards for any employee, in the performance of his or her official duties, to participate directly or indirectly in any proceeding or application, request for ruling or other determination, claim or controversy, or other particular matter pertaining to any contract, or subcontract, and any solicitation or proposal thereof, in which to his or her knowledge:

- a. he or she or any member of his or her immediate family has a substantial financial interest; or
- b. a business or organization in which he or she or any member of his or her immediate family has a substantial financial interest as an officer, director, trustee, partner or employee, is a party; or
- c. any other person, business, or organization with whom he or she or a member of his or her immediate family is negotiating or has an agreement concerning prospective employment is a party.

2. The determination of whether a substantial financial interest exists shall be based upon the criteria identified in TBR Policy No. 1:02:03:10, Conflict of Interest.

3. Direct or indirect participation shall include but not be limited to involvement through decision, approval, disapproval, recommendation, preparation of any part of a purchase request, influencing the content of any specification or purchase standard, rendering of advice, investigation, auditing or in any other advisory capacity.

D. Gratuities

It shall be a breach of ethical standards for any employee or former employee to solicit, demand, accept, or agree to accept from another person, a gratuity or an offer of employment, in connection with any decision, approval, disapproval, recommendation, preparation of any part of a purchase request, influencing the content of any specification or purchase standard, rendering of advice, investigation, auditing, or in any other advisory capacity in any proceeding or application, request for ruling or other determination, claim or controversy, or other particular matter, pertaining to any contract or subcontract and any solicitation or proposal thereof. E. Contemporaneous Employment Prohibited

It shall be a breach of ethical standards for any employee who is involved in procurement to become or be, while such an employee, the employee of any party contracting with the particular governmental body by which the employee is employed.

Policy Title: General Travel

Policy Type: Finance/Administration

New/revised: Revised

Old Policy #: FP-7 and 4:03:03:00

Approval level: Board of Trustees
 President
 Vice President
 Other (specify here)

Purpose: The following policy applies to the travel of all employees of the University in the performance of their official duties. Provisions of this policy also may apply to individuals other than employees who are authorized to travel at University expense. Departments may adopt more restrictive policies than those included in this document. Authorization for travel will not be granted and expenses will not be reimbursed unless the travel is made and reimbursement claimed in accordance with this policy and any approved exceptions hereto.

Procurement cards may be used for the payment of registration fees and required advance payments for airline. Procurement cards may not be used for expenses incurred during actual travel time except in instances of team/group travel.

This policy and specific reimbursement rates for travel expenses allowed under this policy shall be consistent with those of the Comprehensive Travel Regulations of the State of Tennessee. Current reimbursement rates can be found in [the Travel Rate Schedule Section XIII of this policy](#).

All travel must be consistent with the educational, research, and professional needs of the University. Employees must conduct all travel with integrity, in compliance with applicable laws, policies, and procedures, and in a manner that excludes considerations of personal advantage. Employees must exercise good judgment and conduct all aspects of travel in a cost-efficient manner.

Policy:

I. General Provisions

- A. No authorization for travel by an employee shall be granted, and no reimbursement for travel expenses shall be made, except in accordance with the provisions of these policies and procedures. Reimbursement for travel expenses shall be limited to expenses incurred upon travel authorized in advance by the appropriate approving authorities.
- B. Travel which may be authorized, and pursuant to which expenses may be reimbursed, shall be limited to the following:
 - 1. Travel which is necessary for the proper execution of official University business, or in justifiable pursuit of the University's educational and research objectives; or
 - 2. Travel to meetings and conferences of a professional nature which will increase the attending employee's usefulness to the University.
- C. Travel shall not include, and no reimbursement for expenses shall be made for, transportation in connection with an employee's official station of employment. The employee's "official station" is his or her regular area of employment activity, e.g., campus, or designated location of an employee

established in the field.

1. The official station of an employee shall be designated by the appointing authority.
 2. It is normally expected that the official station is that location at which the employee spends greater than 50% of his or her working time.
 3. For an employee required to be on call (as determined by his or her job description), either overnight or on weekends, the official station of the employee while on call becomes his or her residence, or the location at which the employee receives the call.
 4. Reimbursable mileage begins at the location at which the employee receives the call.
- D. The employee is considered to be on official travel status, and as such, eligible for reimbursement of travel expenses, at the time of departure from the employee's official station or residence, whichever is applicable, for the purpose of traveling on University business.
1. Expenses for meals and lodging will be allowed when overnight travel or occasional excessive hours of work are required outside the county of the employee's official station of residence.
 2. En route lodging will be allowed for only one day each way on trips of long duration.
 3. Expenses for lodging will only be allowed in cases where the approved and most direct or expeditious mode of travel will require more than ten (10) hours of continuous travel for trips of long duration.
 4. The lodging expense will not be considered en route lodging if it does not add an additional day of lodging expense.
 5. For example: An employee has a 9:00 a.m. meeting in Atlanta. Assume the employee needs to work a full day prior to the trip. It would be less expensive and more convenient to drive rather than fly. The employee leaves the night before and drives to within two hours of Atlanta. Then the employee spends the night, continues the drive the next morning and arrives for the 9:00 a.m. meeting. This will be reimbursed but is not considered en route lodging as it did not add an additional day of lodging expense to the normal travel expenses.
- E. The limitations on travel expenses contained herein are maximum amounts above which reimbursement will not be made. Employees are expected to be as conservative as possible in incurring travel expenses.
- F. Reimbursement for travel expenses shall only be allowed for actual expenses incurred, subject to the maximum limitations cited in [the Travel Rate Schedule Section XIII, Travel Rates](#).
1. Receipts must accompany claims for reimbursement for all expenses exceeding the amount cited [on Travel Rate Schedule in Section XIII, Travel Rates](#).
 2. Receipts are not required for meals, taxi fares, tolls, and ferry fees.
 3. Lodging receipts are required and must itemize room charges and taxes. No expenses shall be reimbursed until after travel has been completed.
- G. Internet travel sites such as Expedia, Travelocity or Kayak can be utilized to purchase single travel services such as an airline ticket. Internet travel sites cannot be used to

purchase a package or one or more travel services. Purchases of travel packages that combine services such as lodging, airline, or vehicle rentals are not allowed. These package deals do not usually provide sufficient itemized pricing for each service purchased and therefore do not allow for proper comparison to CONUS or conference rates as required by policy.

H. Procurement cards may be used for travel expenses for team/group travel as approved by the procurement card administrator.

II. Authorization of Travel

A. **Approving Authorities** - The President or President's designees shall have authority to approve travel by employees of the University. Authorization for travel by a student, regardless of the destination, shall be approved by the President or their designee.

A-B. **Traveler's signature** – All employees/travelers must [personally sign the travel authorization request.](#)

B-C. **In-State Travel** - All employees must obtain prior authorization for in-state travel by the employee's appropriate approving authority. Written authorization may not be necessary for in-state travel where the expected expenses will not be substantial, or when there is no advance notice of the circumstances necessitating the travel, and such travel is approved orally by the appropriate approving authority. Employees whose employment requires frequent in-state travel may obtain blanket authorization in writing for such travel.

D. **Out-of-State Travel** - All employees must obtain prior written authorization for out-of-state travel, which must be approved by the employee's appropriate approving authority. The authorization must show the name of the person traveling, purpose of the trip, destinations, date of departure and return, mode of transportation, estimated expenses, and availability of funds. If, in the normal course of official business, the employee must routinely travel into another state and back in the same day, such travel will be considered in-state travel and shall be subject to the in-state travel provisions. This exception applies for trips which do not exceed 50 miles into another state. Employees whose employment requires frequent out-of-state travel may obtain blanket authorization in writing for such travel.

E. **Canada Travel** - Authorization for travel by an employee to Canada shall be approved by the President for employees of institutions.

D-F. **Alaska, Hawaii and Out-of-Country/International Travel** - Authorization for travel by an employee to Alaska, Hawaii, and all out-of-country/international travel shall be subject to approval by the President. Authorization for travel to Alaska, Hawaii, and all out-of-country/international travel by the President shall be subject to approval by the Chair of the Board of Trustees. Requests for authorizations should reach the President's Office fourteen (14) days before the date approval is needed.

G. **Personal Leave** – [If personal days are taken at the beginning or at the end of a trip, these days must be included on the travel authorization request and noted in the comment section that these are personal days.](#)

E-H. **Athletics Travel** - [All athletics travel, including recruitment, conferences and meetings etc., will require a travel authorization request for each trip taken.](#)

III. Transportation

A. **General** - All travel must be by the most direct or expeditious route possible and any employee who travels by indirect route must bear any extra expense occasioned thereby. When work is performed by an employee en route to or from the official station, reimbursable mileage is computed by deducting the employee's normal commuting mileage from the actual mileage driven in performing the work in route to or from the official station. For example, if an employee normally commutes 10 miles (20 miles round trip), and performs work on the way home

from the official station which results in 12 miles driven, the mileage reimbursement will be for 2 miles only, as that is the amount of mileage in excess of the employee's normal commute. In no instance shall mileage claimed for reimbursement exceed actual miles traveled.

- B. **Mode of Transportation** - Transportation for employees traveling singly should be by common carrier (air, train, or bus) whenever practical. The use of air travel is recommended when time is an important factor or when the trip is so long that other methods of travel would increase the subsistence expense. Automobile transportation may be used to save time when common carrier transportation cannot be satisfactorily scheduled or to reduce expenses when two or more employees are making the trip. Employees who have approval to drive rather than fly on long trips will be reimbursed for two day's meals and one day's lodging in route to the destination and similarly on return to campus. Reimbursement for personal vehicle use may be claimed at the lesser of the standard mileage rate or comparable cost of commercial transportation including taxi fares and/or limousine charges.
 - C. **Common Carrier Travel** - When travel is by common carrier, the fare must not exceed the standard coach fare charged the general public, and advantage must be taken of round trip rates when available. The employee's copy of the ticket, or an acceptable itemized receipt, must be submitted for reimbursement of common carrier expenses. Baggage Fees will be allowed when necessary. A receipt is required for reimbursement. Charges for trip insurance are not reimbursable. The State of Tennessee is self-insured and does not purchase separate insurance, and therefore will not reimburse for insurance purchases made for trips. Airfare charges such as seat selection, priority boarding, comfort seats and upgrades are not reimbursable.
 - D. **Chartered Aircraft** - Generally, faculty and staff (including group travel and athletics) whose duties require travel will use commercial ground and air carriers or a University vehicle. However, a chartered aircraft may be used if time and/or distance preclude ground travel or if a commercial air service is either unavailable or does not meet the needs of the traveler(s). The following guidelines apply:
 - 1. Chief Financial Officer will be responsible for:
 - i. reviewing and approving requests for charter air services,
 - ii. scheduling charter flights, and
 - iii. informing those who request charter flights of the charter company's policy on canceling scheduled flights.
 - 2. Charter services will be obtained only when it can be shown that the charter does not exceed the sum of all traveling costs by commercial carrier (e.g. transportation, meals, and lodging) or that circumstances necessitate travel when no other means is available.
 - 3. The charter company must provide the institution with an original, itemized invoice showing the beginning and ending dates of the charter, the origin and destination of each flight, and the names of passengers on each flight.
- IV. **Travel by Automobile**
- A. **Automobile Travel** - When travel by personal vehicle is appropriate, employees may use state-owned vehicles whenever available and feasible. However, state-owned vehicles should be used only on official business.
 - 1. National/Enterprise Rental Cars – The University operates under a state contract for the use of National/Enterprise which is to be used for most travel. Employees must be registered as an Emerald Club member in order to rent a vehicle. Approved individuals may also have approval to have the rental car

direct billed to the University. Cars may be rented using the State of Tennessee specialized website at www.enterprise-carshare.com/tennessee. The contract with National/Enterprise provides all required insurance coverage so all insurance should be declined when renting a vehicle as it will not be reimbursed. [When submitting the National/Enterprise invoice in eBucs, the approved travel authorization must be uploaded along with the invoice.](#)

2. State-Owned Automobiles - When transportation is by a state-owned vehicle, all necessary repair bills, tolls, parking, gasoline and storage expenses are allowable. When using motor pool vehicles, employees will be furnished with courtesy cards for purchase of gasoline, oil, and other vehicle services, and such expenses should not be claimed by employees as travel expenses. Emergency out-of-pocket expenses, such as towing or emergency repairs, will be reimbursed but must be accompanied by proper receipt identifying the vehicle and itemizing the services. Such expenditures must be of an emergency nature where immediate service is required and access to a state facility is not possible. Major repairs should be approved by campus officials prior to work being performed. Such expenditures are allowed but should be filed or reimbursement separately.
3. Personally-Owned Automobiles - Use of a personally-owned vehicle must be authorized. [The minimum mileage that can be driven for personal purposes without using the Enterprise Trip Optimizer is 250 miles per day. This will enable faculty/staff to include trips to Knoxville and other locations within a 125 mile radius to use their personal vehicles and be reimbursed without using the calculations of the trip optimizer.](#) The trip optimizer function of the National/Enterprise website should be used to determine if the use of a personal vehicle is cheaper than the anticipated cost of a rental car. When using a personal vehicle when the trip optimizer indicates the use of a rental vehicle will be at less cost, reimbursement for the personal vehicle will be limited to the amount shown by the trip optimizer. A copy of the trip optimizer calculations must be included with all travel claims where personal mileage is being claimed. When travel by personal vehicle is shown to be less mileage reimbursement rates are provided on [Section XIII, Travel Rates, Travel Rate Schedule](#). [When using the trip optimizer, pickup and drop off times may be utilized when determining the number of days for a rental. For example, on a one day trip to Nashville where the employee is required to be in Nashville at 9 a.m. for a meeting that is expected to last until 4 p.m., this would require an Enterprise vehicle to be picked up the day before the trip and returned the day after the trip due to hours of the Enterprise location. Since this would require a three-day rental for a one-day trip, the three \(3\) days may also be used for the trip optimizer when computing the savings and determining what the reimbursement rate would be if the decision was made to drive a personal vehicle.](#) The authorized mileage allowance includes all operating expenses such as gas, oil, and repairs precluding any separate claim for such items. Employees may use reputable websites to determine point-to-point and/or vicinity mileage. Commuter Mileage procedures for calculating mileage are based on the fact that the State is prohibited from reimbursing employees for normal commuting mileage. If an employee begins or ends a trip at his/her official station, reimbursable mileage will be the mileage from the official station to the destination. If work is performed by an employee in route to or from his/her official station, reimbursable mileage is computed by deducting the employee's normal commuting mileage from the actual mileage driven. If

an employee begins or ends his/her trip at his/her residence without stopping at his/her official station, reimbursable mileage will be the lesser of the mileage from the employee's residence to his/her destination or his/her official station to the destination. On weekends and holidays, the employee may typically be reimbursed for actual mileage from his/her residence to the destination. If an employee travels between destinations without returning to his/her official station or his/her residence, reimbursable mileage is the actual mileage between those destinations. When personal automobile is used by the employee for convenience on a work related trip, a more comprehensive review of all costs of flying versus driving must be considered and employee/traveler must submit supporting documentation to substantiate the claim for mileage; the lowest expense, automobile mileage vs airfare, will be reimbursed.

4. The travel claim must indicate the employee's itinerary and must show the official business mileage. Business mileage as indicated in the Rand-McNally or reputable websites for out-of-state routes will be as official. Vicinity mileage must be reported on a separate line and not included with point-to-point mileage. Only mileage while on official business may be claimed.
- B. **Airport and Hotel Parking** – Necessary charges for hotel and airport parking will be allowed. A receipt is required if the fee exceeds the maximum indicated in the Travel Rate Schedule-Section XIII, Travel Rates.
 - C. **Limousine and Taxi Services** - When travel is by common carrier, reasonable limousine and taxi fares will be allowed for necessary transportation. Bus or limousine service to and from airports will be used when available and practical. After arrival at destination, necessary taxi fares for traveling between hotel or lodging and meeting or conference will be allowed. Personal taxi expenses such as shopping, meals or entertainment will not be reimbursed. –No receipt is required for reimbursement of reasonable taxi fares.
 - D. **Car Rentals at Destination** - Charges for vehicle rental shall be allowed whenever it is more economical than alternative methods of transportation or it is the only practical means of transportation. When renting a vehicle at the destination, the National/Enterprise contract must be used using the State of Tennessee specialized website at www.enterprise-carshare.com/tennessee. This contract includes all necessary insurance coverage's so all insurance should be declined when making the reservation. If not direct billed to the University, an itemized receipt must be submitted for reimbursement. Whenever possible, employees should refuel before returning vehicles to the rental agency. If an agency other than National/Enterprise is used, evidence must be provided that the cost was less or reimbursement will be limited to amounts per the National/Enterprise contract. If a car was rented at destination, evidence must be provided that the cost was the most economical option.
 - E. **Tolls and Ferry Fees** - Reasonable tolls and ferry fees will be allowed when necessary. No receipt is required for reimbursement of tolls and ferry fees.
 - F. **Daily Parking Fees** - Daily parking fees for those employees working in downtown offices will not be allowed. However, if an employee is required to leave his or her office on state business and later returns, the actual additional charge required to park will be reimbursed up to the maximum indicated on the Travel Rate Schedule-Section XIII, Travel Rates. Also, those employees required to utilize commercial parking facilities in the daily performance of duties, or while on travel status will be allowed reimbursement for actual costs up to the maximum indicated per day. A receipt is required if the fee exceeds the maximum indicated in the Travel Rate Schedule-Section XIII, Travel Rates.

- G. Unnecessary meals and lodging expenses which are occasioned by the use of an automobile for reasons of the employee's personal convenience, or which are due to travel by an indirect route, will not be allowed.
- H. If travel is by common carrier, the employee will be reimbursed for expenses in traveling to and from the common carrier including related parking expenses.

V. Lodging

- A. **In-State Lodging** - Lodging expenses incurred within the state while on authorized travel will be reimbursable to the maximum stated in [Travel Rate Schedule Section XIII, Travel Rates](#).
- B. **Out-of-State Lodging** - Lodging expenses incurred out of the state while on authorized travel will be reimbursable to a maximum stated in [Travel Rate Schedule Section XIII, Travel Rates](#). The maximum reimbursement rates for out-of-state travel are the same as those maintained by the U.S. General Services Administration for federal employees within the continental United States (CONUS). The CONUS list, ~~available on the General Services Administration web site~~, contains a standard reimbursement rate for lodging and meals and incidentals, and several pages of exceptions. Most destinations for out-of-state travel fall within the list of exceptions. En route lodging will be allowed for only one day each way on trips of long duration. En route lodging will only be allowed in cases where the approved and most direct or expeditious mode of travel will require more than ten (10) hours of continuous travel.
- C. **Out of Country Lodging** – Lodging expenses incurred while out of country will be reimbursed ~~at actual expenses with receipts~~ to the maximum stated in Section XIII, Travel Rates.
- D. **Lodging-Related Taxes** – Sales taxes on lodging costs will be reimbursable.
- E. **Additional Lodging Expenses** –
 - 1. Convention or Conference Lodging - Higher rates for lodging at the location of a convention or conference will be allowed, without special approval, up to the amount indicated in the convention or conference brochure or conference website. A printed copy of the online information is to be submitted with the claim for reimbursement.
 - 2. President Lodging - Additional lodging for the President will be approved on the same basis as approval is granted for other employees. Any exceptions must be approved by the Chair of the Board of Trustees.
- F. The convention or conference brochure which indicates the lodging rates must be included with the travel claim. Otherwise, reimbursement will be limited to the applicable lodging rate as provided in these regulations.
- G. **Shared Lodging** - In the event of double occupancy for University employees on official travel, both employees should attach an explanation to his or her travel claim detailing dates and other employees with whom the room was shared. The lodging cost may be claimed by the employee who incurred the cost, or one half the double occupancy charges may be allowable for each employee. If a room is shared with other than a University employee, actual cost subject to the maximum in [Travel Rate Schedule Section XIII, Travel Rates](#), will be allowed. The receipt for the entire amount should be submitted with each travel expense claim.

VI. Meals and Incidental Expenses

- A. **In-State and Out-of-State Meals** - While on authorized travel, actual expenses not to exceed maximum stated in [the Travel Rate Schedule Section XIII, Travel Rates](#), per day will be allowed for meals. The maximum per diem rates include a fixed allowance for meals and for incidental expenses (M&I). The M&I rate, or fraction thereof, is payable to the traveler without itemization of expenses or receipts. Incidentals are intended to include miscellaneous costs associated with travel such

as tips for baggage handling, phone calls home, ~~taxis~~, etc.

- B. The M&I rates for out-of-state travel are available on the CONUS web site. As with lodging, there is a standard rate for the continental United States, and a list of exceptions. Reimbursement for meals and incidentals for the day of departure shall be three-fourths of the appropriate M&I rate prescribed for the lodging location. Reimbursement for M&I for the day of return shall be three-fourths of the M&I rate applicable to the preceding calendar day.
- C. The breakdown of meal (breakfast, lunch and dinner) and incidental expenses is available on the CONUS web site.
- D. **Reimbursement for meals will not be permitted when overnight travel is not involved.**

~~E. Out of Country/International Meals - Out of Country/International meals are reimbursed at actual expense with itemized receipts. If no receipts are provided, the maximum rate will be the maximum CONUS rate for Out of State travel.~~

~~F.E. The CONUS rates currently range from \$51 to \$74 so the out of country/international rate is \$74, reimbursable to the maximum stated in Section XIII, Travel Rates.~~

~~G.F. Official Banquets - When the expenses for an official banquet of a meeting or conference are in excess of the above limits, the excess will be allowed provided a receipt or other documentation of the charge is submitted.~~

~~H.G. Business Meals - See ETSU Policy on Business Meals for criteria on reimbursing business meals.~~

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VII. Miscellaneous Expenses

- A. **Personal Expenses** - Expenses for entertainment (employees or others), laundry, tips, and gratuities, etc., are personal expenses and will not be reimbursed in excess of the incidental portion of the M&I rate.
- B. **Telephone, Internet and Fax Expenses** - Charges for long distance telephone calls, Internet and/or fax on official business will be allowed provided a statement is furnished showing the date, the name and location called, and the nature of the business. Charges for necessary local calls on official business will be allowed.
- C. **Registration Fees** - Registration fees for approved conferences, conventions, seminars, meetings, etc., will be allowed including cost of official banquets and/or luncheons if authorized in advance by the appropriate approving authority and provided receipts are submitted with the travel claim.
- D. The Procard may be used for payment of conference registrations, workshop registrations and booth/exhibitor fees. The Procard may not be used for CME credits, entertainment, tours, charges for spouse or other family members, banquets and luncheons.
- ~~E. If Procards are not accepted as a form of payment, the registration can be paid by check by completing the Registration Fee Prepayment Request Form and forwarding this on to the Travel Office.~~
- ~~F. Visa Travel Visa expenses are reimbursable if permission is required by the government of the country visiting for business.~~
- ~~G. Passport application fees and photographs are not reimbursable. Passports are personal in nature and are good for ten years. The University views the business related expense as minimal in comparison to the personal benefit.~~

VIII. Claims

- A. **Claim Form** - The Travel Claim Form shall be used for reimbursement of expenses. The form must show movement and detail of expenses on a daily basis and be signed by the employee and be approved by the appropriate approving authority prior to reimbursement. All signatures on travel claims must be original or electronic in accordance with TBR-ETSU policy. Where adequate controls have been

implemented to minimize risks associated with travel claim (such as the risk that duplicate claims will be submitted or alterations made to the original claim subsequent to approval by approving authority), travel claims may be submitted for payment electronically via email. Receipts for appropriate expenses must be submitted with the claim for reimbursement. Expenses for books, supplies, postage, and other items that do not constitute actual traveling expenses should not be included in the claim form. Claims for reimbursement for travel expenses should be submitted no later than (30) days after completion of the travel. Any travel claims submitted more than 30 days after the last date of travel will require a justification memo as to why it is being submitted late. The memo must be signed by the traveler and the department head. Any expenses charged to the Procard must be subtracted from the total amount of the claim.

A.B. Personal Leave - If personal days are taken at the beginning or at the end of a trip, these days must be included on the travel claim form.

C. Mileage Only – Claims for reimbursement (mileage only) of multiple local trips may be claimed on the Travel Claim Mileage Only form. This form must list each trip separately. Any travel claims submitted more than 30 days after the last date of travel will require a justification memo as to why it is being submitted late. The memo must be signed by the traveler and the department head.

B.D. Foreign language receipts - To ensure a quicker turnaround of ~~your~~the claim, vendor receipts printed in a foreign language must be translated to English before submitting for reimbursement. A helpful tool for doing so is Google Translate.

Fluctuating exchange rates make reimbursement for foreign travel somewhat complex. Hotel and dining bills paid with a credit card will be charged in the foreign country's currency and the credit card company will convert the bill to US dollars. To ensure accurate and fair reimbursement, a copy of the credit card statement in US dollars should be submitted with the request for reimbursement, in addition to the original receipt in the foreign currency. If payment is in cash, a receipt showing the amount spent and items purchased must accompany the claim form. These amounts should be converted to US dollars by using one of the following websites: OANDA Currency Converter or XE Travel Expense Calculator. Each receipt must have USD dollar amount on it.

C.E. eBucs Claim Submission – Once the Travel Claim Form or Travel Claim Mileage Only has been completed, the employee can request reimbursement through eBucs. The Travel Claim Form or the Travel Claim Mileage Only form and all the required receipts will be required as an attachment in eBucs. The only signature required on the Travel Claim Form or on the Travel Claim Mileage Only is the traveler's signature. All other appropriate approvals will be received electronically through eBucs. If the travel claim is for Team/group travel or Study Abroad travel, after it has been submitted into eBucs the original travel claim documents must be sent to Financial Services. The claim will not be processed until the original travel claim documents are in Financial Services.

IX. Travel Advances

A. Permanent Travel Advances – ~~When an employee has blanket travel authorization, and is expected to travel the major portion of each month, the employee may be placed upon permanent travel status. Upon determination of the employee's estimated monthly expenses, if such expenses exceed \$100, the employee may be provided with a single advance in an amount sufficient to cover such expenses for one month, provided such amount may not exceed the semi-monthly salary of the employee. Subsequent to the initial advance, the employee shall submit appropriate claims and be~~

~~reimbursed as heretofore provided, with any unused portion of the advance to be returned upon termination of the employee's permanent travel status.~~

~~B.A.~~ **Temporary Travel Advances** - When temporary travel is authorized for an employee the employee is expected to request reimbursement for their expenses after travel is completed. Travel advances are available only under extraordinary circumstances. The employee must justify the extraordinary circumstances that warrant an advance. As an exception to policy, the employee may receive an advance, provided a request for the advance is submitted to the appropriate approving authority with the Travel Authorization Request. The employee must prepare a Request for Exception for Travel Advance. Exceptions may be granted by the Associate Vice President Administrative Services based upon written request for exception for an advance approved by the Dean or Director. An amount equal to 80% of the estimated expenditures, excluding airfare and registrations if purchased through the Procard or ETSU check, will be allowed as an advance. No advance less than \$100 will be made.

~~C.B.~~ **Student Travel Advances** - Students traveling under individual authorizations or an employee traveling with a student or students who is responsible for disbursing all funds for the trip may be advanced ~~100~~80% of the amount of the authorization, excluding airfare and registrations if purchased through the Procard or ETSU check.

~~D.C.~~ **Payroll Deduction Authorization** - Each employee receiving ~~a permanent or~~ temporary travel advance must sign a payroll deduction authorization which will allow the University to recover the advance from any salary owed the employee in the event of termination of employment or failure to submit a travel claim. This deduction from payroll will be used as a last resort only in the event all other efforts to collect the advance have failed.

~~E.D.~~ **Expense Claim** - Upon return, the employee should submit a Travel Claim Form or a Travel Claim Mileage Only detailing their actual expenditures within 30 days of the completion of travel. This claim should show the total expenses incurred. The advanced amount should be subtracted from this total. No advance should exceed actual expenses. If the travel advance should exceed actual expenses, the expense claim should be forwarded to the Travel Office showing that the difference has been repaid. Repayment of any or part of an advance must be made to a cashier at the Bursar's Office and the receipt provided to the Travel Office.

~~F.E.~~ **Personal Expenses** - An employee is eligible for reimbursement of travel expenses if the trip was entirely business related. If the trip was primarily for business and, while at the business destination, the employee extends the stay, makes a personal side trip, or had other personal activities, the employee can obtain reimbursement for only the business related travel expenses. These expenses include the travel costs of getting to and from the business destination but do not include additional lodging, parking, and per diem for the days not required for the business travel. Additional days are not considered business related unless they are necessary to provide rest or sleep required for the employee to properly perform their duties.

X. Athletic Travel and all Other Group Travel

The University recognizes the unique characteristics associated with travel by athletic personnel, teams, and other groups. For purposes of this section, other group travel is defined as a group, traveling as a single unit, that does not consist entirely of University personnel. Generally, other groups are student groups participating in programs or activities of the University; however, on occasions, may include, or consist of, individuals that are not University students. This section addresses practical considerations for, and is applicable only to, travel related specifically to the performance of intercollegiate athletic recruiting, athletic team travel, and other group travel. ETSU shall comply with all pertinent regulations on the National Collegiate Athletic Association (NCAA) and the athletic conference of which

the University is a member.

A. Athletic Recruiting

1. Travel Advances are provided consistent with Section IX.A. Temporary travel advances may be provided to staff members engaged in recruiting when such advances are approved by the President or designee.
2. Approval for Travel – The following are subject to prior approval by the President:
 - i. Blanket travel authorization for scouting or recruiting
 - ii. The travel of visitors and guests at University expense for any occasion related to recruiting.
3. Guest Meals – The actual cost of guest meals may be claimed when incurred by a staff member for recruiting purposes. Such claims must be submitted in appropriate detail. Receipts are required.
4. Student Recruits –
 - i. Staff members are responsible for compliance with pertinent NCAA and conference rules regarding student recruits.
 - ii. Lodging in University facilities should be arranged, if space is available. If University space is not available, arrangements may be made for lodging in local motels/hotels, and, with the approval of the Athletic Director, may be charged to the Athletic Department.
 - iii. If available, the use of University dining services should be arranged, and costs may be charged to the Athletic Department. If necessary, staff members will be reimbursed at cost for off-campus meals, with reasonable and customary gratuities allowed. Receipts must accompany claims.
 - iv. Transportation may be arranged through a local travel service and charged to the Athletic Department, with the approval of the Athletic Director.
 - v. Automobile mileage may be reimbursed to a student recruit at the maximum rate allowed under this policy for the use of a personal vehicle.
 - vi. Entertainment expenses may be reimbursed at cost within NCAA and conference rules.

B. Travel

1. The President or designee must approve University officials, and guests of the University, who accompany the team or group on trips, in advance.
2. In all cases, transportation will be arranged through established University procedures, and travel itineraries are to be arranged in advance. Documentation must be maintained in the Athletic Department, or other appropriate University department or office, indicating that various cost alternatives have been explored before making all arrangements and reservations.
3. Travel Authorization. A roster of all individuals on a particular trip must be included with the Travel Authorization Request. For study abroad travel, a Travel Authorization Request must be submitted by the faculty member, which includes a roster of all individuals traveling abroad, even if the participants are paying their own expenses. If participants are to receive a travel reimbursement they will need to complete their own travel authorization request.
4. Travel Claim. A team/group roster, signed by all of the participating individuals, must be included with the travel claim for proper accounting and auditing purposes if any cash was received. Students must sign the team/group Travel Roster and Certification, which certifies participation on the trip, date, and the amount of the cash received, if any.

5. A travel advance for athletic team travel, or other group travel, in the amount of one hundred percent (100%) of the estimated trip expenses may be allowed. One (1) person from the Athletic Department, or other appropriate University department or office, who is familiar with the travel regulations will be responsible for the advance and all bills connected with team or group travel.
6. Receipts are required for all team or group travel expenses, consistent with this policy.
7. Actual lodging expenses (unless reduced by department) will be reimbursed. Documentation must be maintained in the Athletic Department, or other appropriate department or office, indicating that various cost alternatives have been explored before making all arrangements and reservations.
8. Miscellaneous expenses, such as movies while on team trips, must be supported by receipts. Telephone calls by staff members for business purposes may be claimed consistent with this policy.
9. Individual meals associated with team or group travel will be reimbursed, consistent with this policy. All team or group meals, (including pre-game and after-game meals for athletic teams) will be reimbursed at actual cost. Gratuities, not to exceed reasonable and customary rates, are allowed. Appropriate documentation and receipts are required.
10. All travel claims and requisitions for team or group travel must be approved, in writing, by the appropriate approving authority.
11. Procards may be used for team/group travel expenses incurred during actual travel time, only as approved by the University Procard administrator.
12. Travel by student groups, or other groups of participants in programs or activities of the University, may be reimbursed under the same provisions as included in Section B. above. A Release of Liability & Hold Harmless agreement is provided by the Office of the University Counsel on their website. A release is not appropriate for travel that is required as part of an academic program.

XI. Visitor Travel

All terms and conditions of University travel regulations apply to official University visitors, except where specified below. Reimbursement rates apply to visitors. Lodging rates will be based on the in-state or out-of-state location where the lodging occurs. Meals will be presumed to be in-state if travel is to Johnson City, Tennessee, unless a satisfactory explanation is provided.

XII. Exceptions

A. General - The President shall have the authority to grant exceptions to any part or all of the provisions of this policy when deemed appropriate and necessary. Any exception directly affecting the President must be approved by the Chair of the Board of Trustees.

B. Two (2) areas of standing exceptions to the policy are provided below.

1. Exception No. 1

- i. Provisions for travel contained in this Exception No. 1 shall be applicable to the President.
- ii. This exception corresponds with the Dept. of Finance and Administration Special Travel Regulation Three. All provisions of Sections I. through X. of this policy shall be applicable, unless superseded by the following:
 - Transportation: First class travel on common carrier shall be allowable, at the option of the above designated persons, when accompanying others not employed by the State who are traveling in first class accommodations.
 - Charges for automobile rental shall be allowed whenever it is

more economical than alternative methods of transportation or whenever it is the only practical means of transportation.

2. Exception No. 2

- i. Members of the Board of Trustees shall be reimbursed for travel in the performance of their official duties in accordance with applicable provisions of this policy, unless superseded by the following, which corresponds with the Dept. of Business and Finance and Administration Special Travel Regulation Four, provided that necessary approvals shall be made by the President, rather than the Commissioner of Finance and Administration.
- ii. Members of the Board of Trustees shall be reimbursed by the University for all allowable travel expenses upon submission of a standard Travel Expense Claim and appropriate receipts.

XIII. ETSU Travel Rates

A. This section provides the specific expense considerations cited in this policy.

- 1. The reimbursement rates listed below are consistent with the current Dept. of Finance and Administration Policy 8-Comprehensive Travel Regulations, which may be revised from time to time.
- 2. The following shall remain in effect from, and after, October 1, 2017, until revised by the President.
- 3. The Board of Trustees delegates to the President the authority to increase University travel rates, commensurate with any rate increases approved by the State of Tennessee.

B. General Reimbursement Rates

- 1. Standard mileage rate, which is currently \$0.47 per mile. Rate approved in Dept. of Finance and Administration Policy 8-Comprehensive Travel Regulations.
- Maximum parking fee without receipt is eight dollars (\$8.00) per day.
- Fee for handling of equipment or promotional materials is twenty dollars (\$20.00) per hotel.
- Per Diem Rates for Travel in Continental U.S.
 - a) **Lodging and Meal Allowances** – The maximum allowances for both lodging and meals will be in accordance with the rates published by the U.S. General Services Administration (CONUS). The meal allowance includes both the allowance for meals plus \$5.00 for incidentals. The CONUS rates applicable for all cities can be found at the U.S General Services Administration web site. The lodging and meal per diem will be determined by the CONUS/OCONUS rate for hotel address, “where you lay your head”, not the meeting destination.
 - b) **Partial Meal Allowances for Day of Departure and Day of Return for Both In-State and Out-of State Travel** – Reimbursement for meals for the day of departure and the day of the return will be 75% of the normal reimbursement rate regardless of the time of departure or return.

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±:

| <u>Day of Departure & Return</u> | <u>Maximum Lodging</u> | <u>Maximum Meals & Incidentals</u> |
|--------------------------------------|------------------------|--|
| 75% of M&I | \$161.00 + tax | \$59.00 |

Level II Counties and Cities: Anderson County, Shelby County, Knox County, Hamilton County, Gatlinburg, Pigeon Forge, Sullivan County, Williamson County, Montgomery-

County, Putnam County, Rutherford County, Washington County (Includes Paris Landing, Montgomery Bell, Natchez Trace, Pickwick, Fall Creek Falls, and Henry Horton State Parks)

| Day of Departure & Return | Maximum Lodging | Maximum Meals & Incidentals |
|---------------------------|-----------------|-----------------------------|
| 75% of M&I | \$121.00 + tax | \$51.00 |

Level III Counties and Cities: All other counties and cities not listed above

| Day of Departure & Return | Maximum Lodging | Maximum Meals & Incidentals |
|---------------------------|-----------------|-----------------------------|
| 75% of M&I | \$91.00 + tax | \$51.00 |

E.D. Standard Out-of-Country Rates: Per Diem Rates for Travel Outside the Continental U.S.

1. The maximum allowances for both lodging and meals will be in accordance with the rates published by the Department of Defense (OCONUS). Reimbursement for meals for the day of departure and the day of return will be 75% of the normal reimbursement rate regardless of the time of departure or return.

| Day of Departure & Return | Maximum Lodging | Maximum Meals & Incidentals |
|------------------------------|-----------------|-----------------------------|
| Actual expense or 75% of M&I | Actual expense | Actual expense or \$74.00 |

FE. Special Rates Under Exception No. 1.

This exception applies to ~~members of the Board of Trustees, the President and Board of Trustees members, and University employees traveling in their company.~~ This exception rate schedule corresponds with the Dept. of Finance and Administration Special Travel Regulation Three.

1. Out-of-State Reimbursement Rates - The President and Board of Trustees members are to utilize the CONUS rates provided by the federal government.
2. In-State Travel Reimbursement Rate

President and Board of Trustees Member – In-State Travel Reimbursement Rates

The President and Board of Trustees Member lodging rate of \$103.00 and the standard rate of \$51.00 for meals and incidentals should be used for all in-state locations not listed below.

| Counties | Maximum Lodging | Maximum Meals & Incidentals | 75% of Meals & Incidentals |
|----------|-----------------|-----------------------------|----------------------------|
|----------|-----------------|-----------------------------|----------------------------|

| | | | |
|--|----------------|------|---------|
| Davidson (Nashville) (July and August only) | \$180 \$172 | \$59 | \$44.25 |
| Shelby (Memphis) | \$127 | \$59 | \$44.25 |
| Williamson (Brentwood/Franklin) | \$137 | \$59 | \$44.25 |
| Hamilton (Chattanooga) | \$113 | \$64 | \$48.00 |
| Knox (Knoxville) | \$108 | \$59 | \$44.25 |

Both in-state and out-of-state meals and incidentals are reimbursed at 75% for day of departure and/or day of return.

Level I Counties and Cities: Davidson County

| Day of Departure & Return | Maximum Lodging | Maximum Meals & Incidentals |
|------------------------------|-----------------|-----------------------------|
| Actual expense or 75% of M&I | \$166.00 + tax | \$59.00 |

Level II Counties and Cities: Anderson County, Shelby County, Knox County, Hamilton County, Gatlinburg, Pigeon Forge, Sullivan County, Williamson County, Montgomery County, Putnam County, Rutherford County, Washington County (Includes Paris Landing, Montgomery Bell, Natchez Trace, Pickwick, Fall Creek Falls, and Henry Horton State Parks)

| Day of Departure & Return | Maximum Lodging | Maximum Meals & Incidentals |
|---------------------------|-----------------|-----------------------------|
| 75% of M&I | \$126.00 + tax | \$51 |

Level III Counties and Cities: All other counties and cities not listed above.

| Day of Departure & Return | Maximum Lodging | Maximum Meals & Incidentals |
|---------------------------|-----------------|-----------------------------|
| 75% of M&I | \$96.00 + tax | \$51 |

G. Special Rates Under Exception No. 2.

This exception applies to members of the Board of Trustees who are reimbursed for travel in the performance of their official duties. This exception rate schedule corresponds with Dept. of Finance and Administration [Special Travel Regulation Three](#).

Out of State Reimbursement Rates

1. Employees are to utilize the [CONUS rates](#) provided by the federal government.
2. The CONUS rates are located on the [U.S. Government's web page](#).
3. Use the CONUS standard rates for all locations within the Continental U.S. not specifically shown on the web page as a listed point.

In State Travel Reimbursement Rates

Level I Counties and Cities: Davidson County

| Day of Departure & Return | Maximum Lodging | Maximum Meals & Incidentals |
|--------------------------------------|------------------------|--|
| Actual expense or 75% of M&I | \$181.00 + tax | \$59.00 |

Level II Counties and Cities: Anderson County, Shelby County, Knox County, Hamilton County, Gatlinburg, Pigeon Forge, Sullivan County, Williamson County, Montgomery County, Putnam County, Rutherford County, Washington County (Includes Paris Landing, Montgomery Bell, Natchez Trace, Pickwick, Fall Creek Falls, and Henry Horton State Parks)

| Day of Departure & Return | Maximum Lodging | Maximum Meals & Incidentals |
|--------------------------------------|------------------------|--|
| Actual expense or 75% of M&I | \$141.00 + tax | \$51.00 |

Level III Counties and Cities: All other counties and cities not listed above.

| Day of Departure & Return | Maximum Lodging | Maximum Meals & Incidentals |
|--------------------------------------|------------------------|--|
| 75% of M&I | \$111.00 + tax | \$51.00 |

Related Forms

Travel Authorization Request

<http://www.etsu.edu/bf/fs/documents/travelauthorization.xlsx>

Claim for Travel Expenses

<https://www.etsu.edu/bf/documents/travelclaim.xlsx>

Claim for Mileage Only Travel Expenses

http://www.etsu.edu/bf/fs/mileage_only_8-01-11.xls

Registration Fee Prepayment Request Form

<http://www.etsu.edu/bf/documents/registrationprepayment.xls>

Request for Exception for Travel Advance

<http://www.etsu.edu/bf/documents/traveladvance.xlsx>

[Back to Top](#)

Helpful Links and Websites

Travel Reimbursement Rates

<https://policies.tbr.edu/policies/general-travel#Addendum>

CONUS Rates

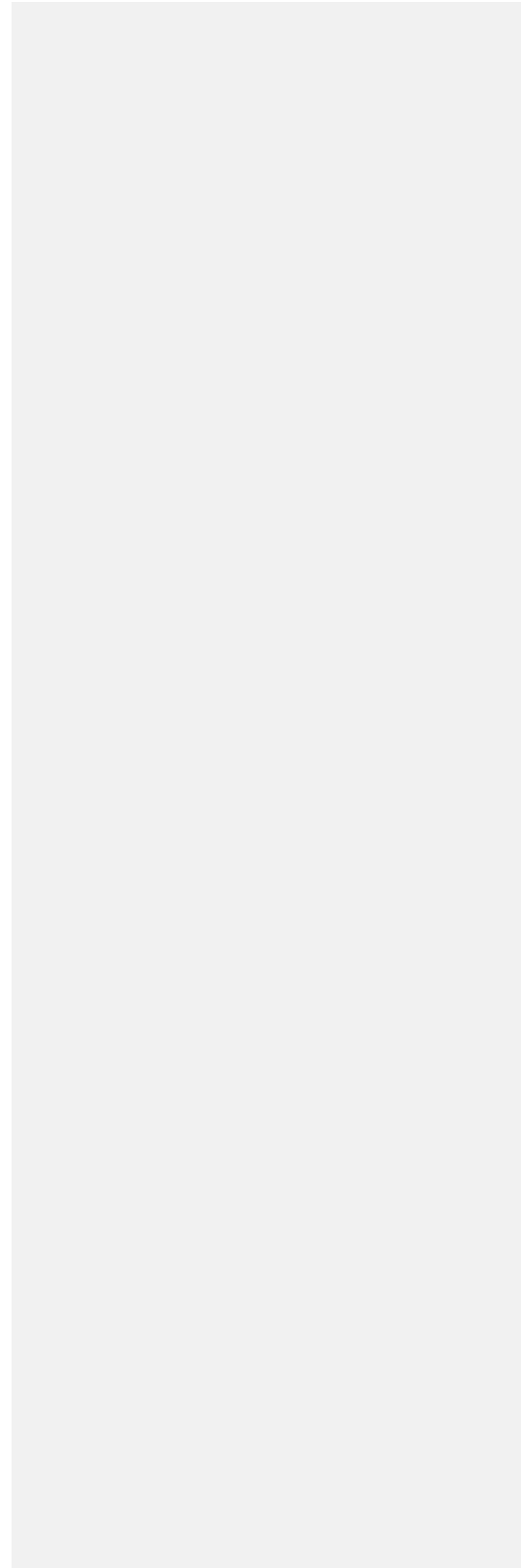
<http://www.defensetravel.dod.mil/site/perdiemCalc.cfm>

[eBucs](#)

<https://solutions.sciquest.com/apps/Router/Login?e>

[n?e](#)

3/24/2017 – approved by the Board of Trustees.





EAST TENNESSEE STATE UNIVERSITY

School of Graduate Studies

Update on Status of Graduate Education at ETSU

2017



SCHOOL of
GRADUATE STUDIES
EAST TENNESSEE STATE UNIVERSITY

Vision

- Assure reputation for quality and excellence in graduate education
- Innovate
- Collaborate
- Serve state, region, nation, and world with delivery of high quality graduate programs

Goal of Presentation

- Provide update from 2012 presentation goals designed to
 - Bring people together to identify and act on opportunities and strategies for growth
 - Serve more students (many programs turn away qualified applicants)
 - Increase efficiency
 - Increase retention
 - Decrease time to degree

Graduate education at ETSU

- Master's programs (42), doctoral programs (12, not including MD, PharmD); graduate certificates (34)
- Over 150 choices for study
- Curriculum development
- Recruitment, application, admission, matriculation, graduation, appeals (2400+ students)
- Graduate assistants, tuition scholars, scholarships
- Graduate Faculty tracking
- SACSCOC reporting
- Innovation (new programs, interdisciplinary programs)

Continued:

- Professional development, students and faculty
 - Courses: 6 courses for faculty, 6 courses for graduate students; presentation March 3, 2017 to CSGS on Professional Development and Mentoring
 - Awards and recognition (research grants, Outstanding Thesis/Dissertation/Capstone, Excellence in Teaching, Service for the Public Good, Mentor Award, scholarships, award ceremony in spring)
 - Thesis/Dissertation Boot Camp
- Other services (staff analyses and reports for campus and national agencies)
- Professional presence in graduate education (TCGS, SCGS, CGS, NSF, NIH, etc)
- ETSU policies and procedures are used as model by others
- Service to TBR (ETSU BOT), THEC
- And more

Trends

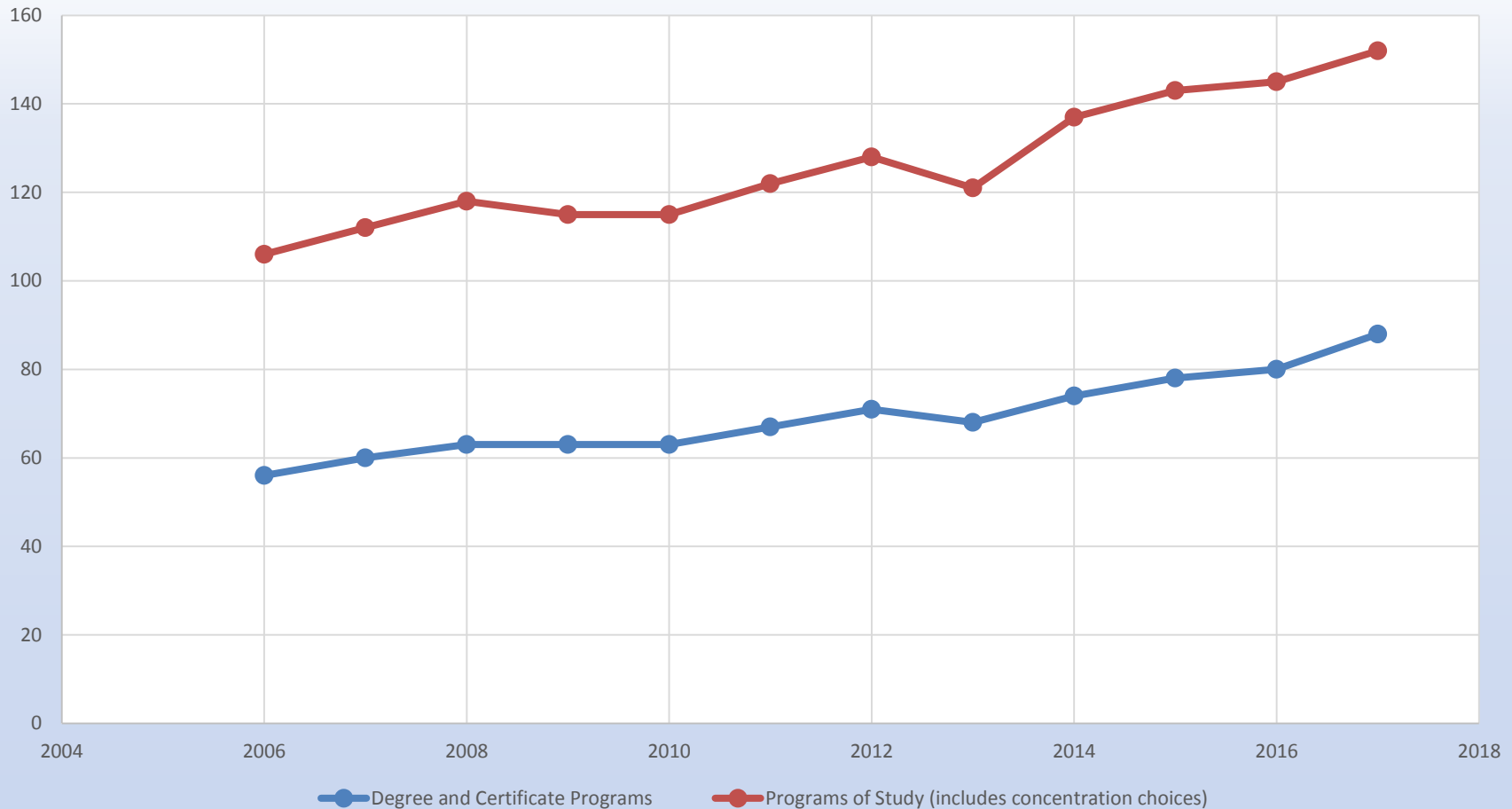
- Programs and Concentrations
- Applications
- Admissions
- Enrollment
- Graduation
- Capacity
- Opportunities
- SGS Long-term Grad Data report key resource (22 years of data)

Considerations

- Market interest in program (applications; inquiries; contact sheets)
- Quality of applicants and capacity (admission)
- Matriculation into program (enrollment; documenting loss of admitted students)
- Retention and completion (time to degree, matriculation limit, graduation)
- Program delivery options (calendar, mode of delivery)
- Barriers to growth and resources needed to overcome barriers
- Program viability (all data)



Trends in Degree Programs, Certificates, and Concentrations



New programs and/or concentrations result in increased interest, applications, and enrollment

Recruitment – marketing of all programs

Multipronged approach to support recruiting done by the programs themselves

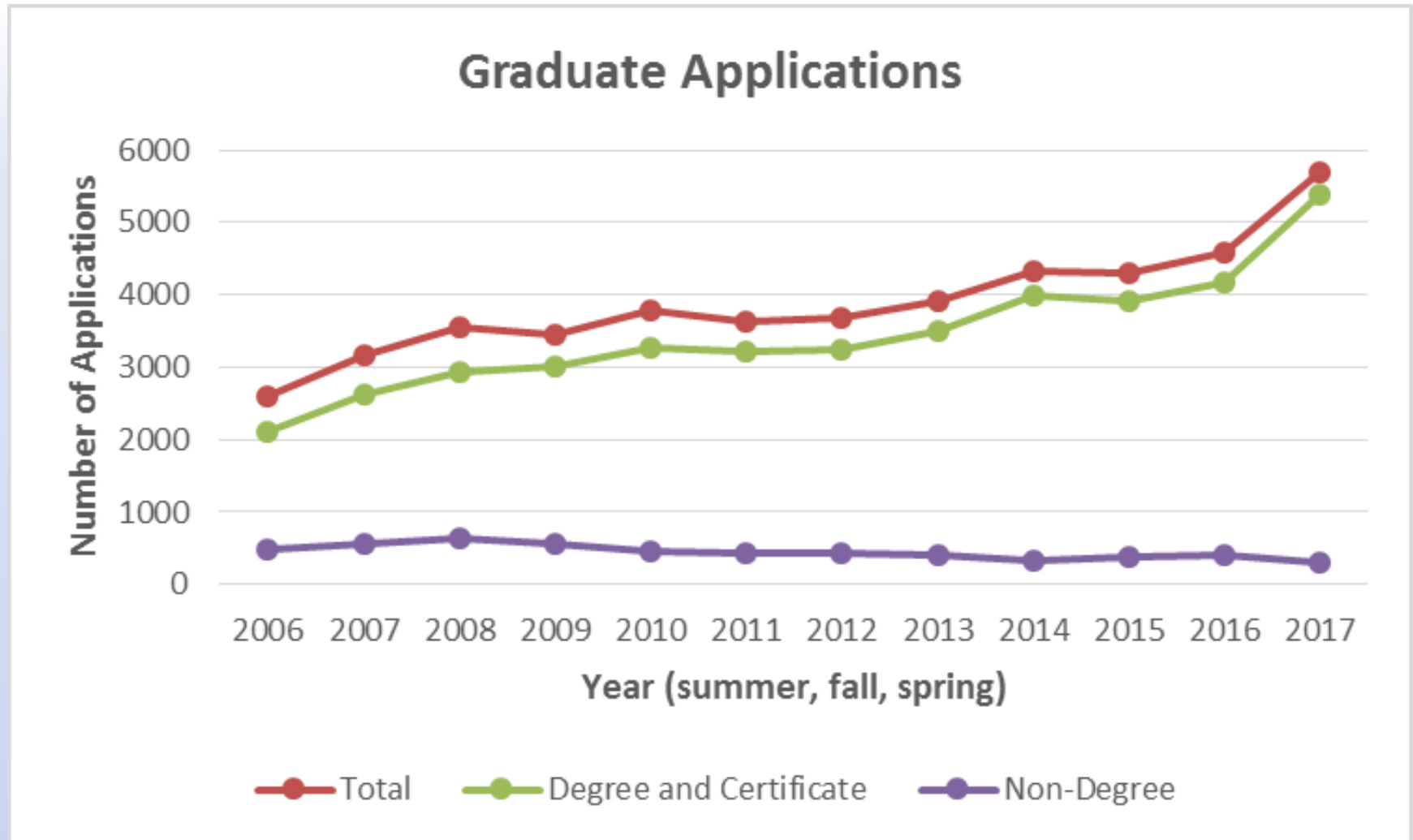
- Graduate and Career Fairs
- Targeted campus visits
- Hosting visiting groups; Organizing tours
- Market scholarships – ex. Carter and Gilbreath for grad students, students can be part-time
- Web recruiting: landing page (referrals to graduate coordinators); partner with eLearning marketing
- Social media
- ELS Center
- Highlight new programs and updated programs

Examples

| Program/Concentration | Apps/ 6/17/16 (8/18/17) | Apps 6/16/17 (8/18/17) | Net change |
|-----------------------|----------------------------|---------------------------|------------|
| Sport Mgmt | 32 | 50 | +18 |
| Sport Sci/Coach Ed | 45 | 61 | +16 |
| MPA new named Conc. | 41 (45) | 63 (72) | +21 (+27) |
| Strategic Comm (PCOM) | 10 | | |
| Brand/Media Strat | | 28 (33) | +18 (+23) |
| MSN RODP | 126 (128) | | |
| ETSU MSN | | 176 (200) | +50 (+72) |
| PUBH C4 | | 11 (15) | +11 (+15) |
| Dig Mkt | 20 (24) | 33 (37) | +14 |
| Human Services MA | 0 | 36 (38) | +36 (+38) |
| Comm Coll Lead C4 | 0 | 7 (20) | +7 (+20) |
| GSLD | 13 (18) | 19 (30) | +6 (+12) |



Trends in Applications



Trends in International Applications



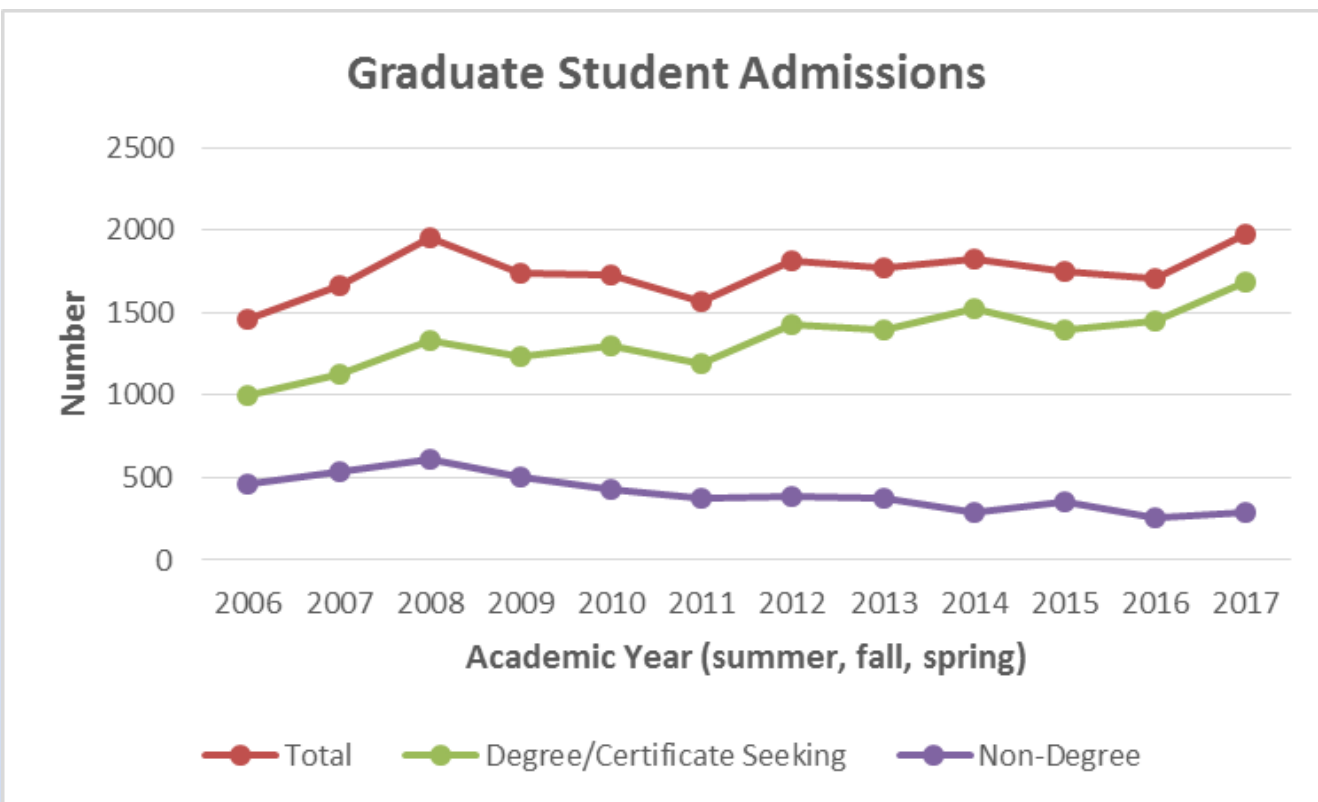
National trend is 1-2% increase per year last 2 years, ETSU experienced 47.7% increase

Top 5 countries: Nigeria, Ghana, Saudi Arabia, China, and India for 80% of applications

Top 10 programs for international applicants: chemistry, technology, computer science, biology, MPH, MBA, MPA, math, geosciences, biomedical sciences



Trends in Admissions



Why admissions not parallel applications?

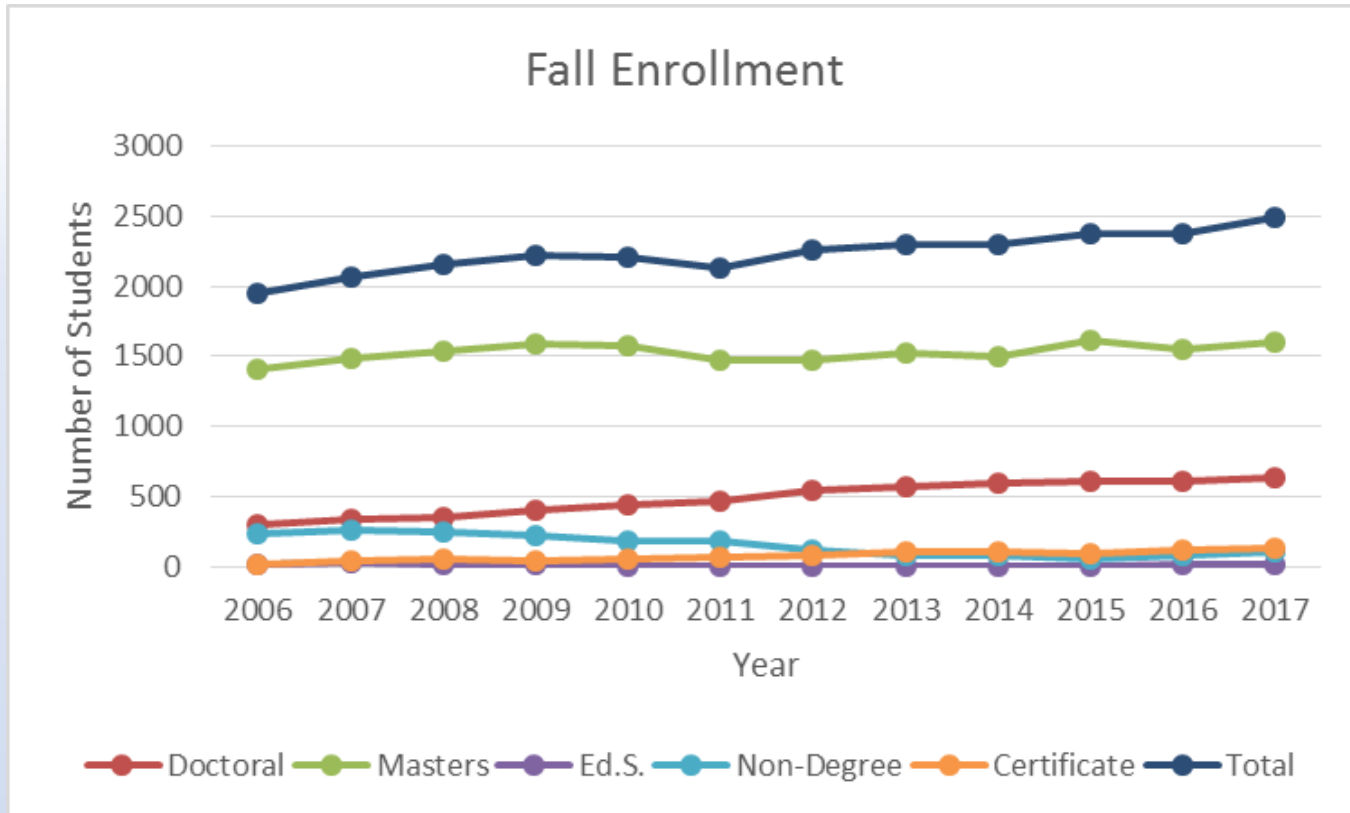
1. Incomplete applications
2. Unqualified or non-competitive applicants
3. Program capacity

Top 5 countries for international admissions:

Nigeria, Ghana, China, Bangladesh, Saudi Arabia



Trends in Enrollment



Not all admitted enroll
 Trend is 60-70% (some programs 100%, others 20%)
 Higher number of graduates further challenges increasing enrollment
 New programs and updated programs help with enrollment
 Increasing capacity increases enrollment

International Enrollment grew 25% in last 2 years.
 Top 5 countries: Nigeria, Ghana, China, Saudi Arabia, and Nepal for 61.5% of enrolled international students

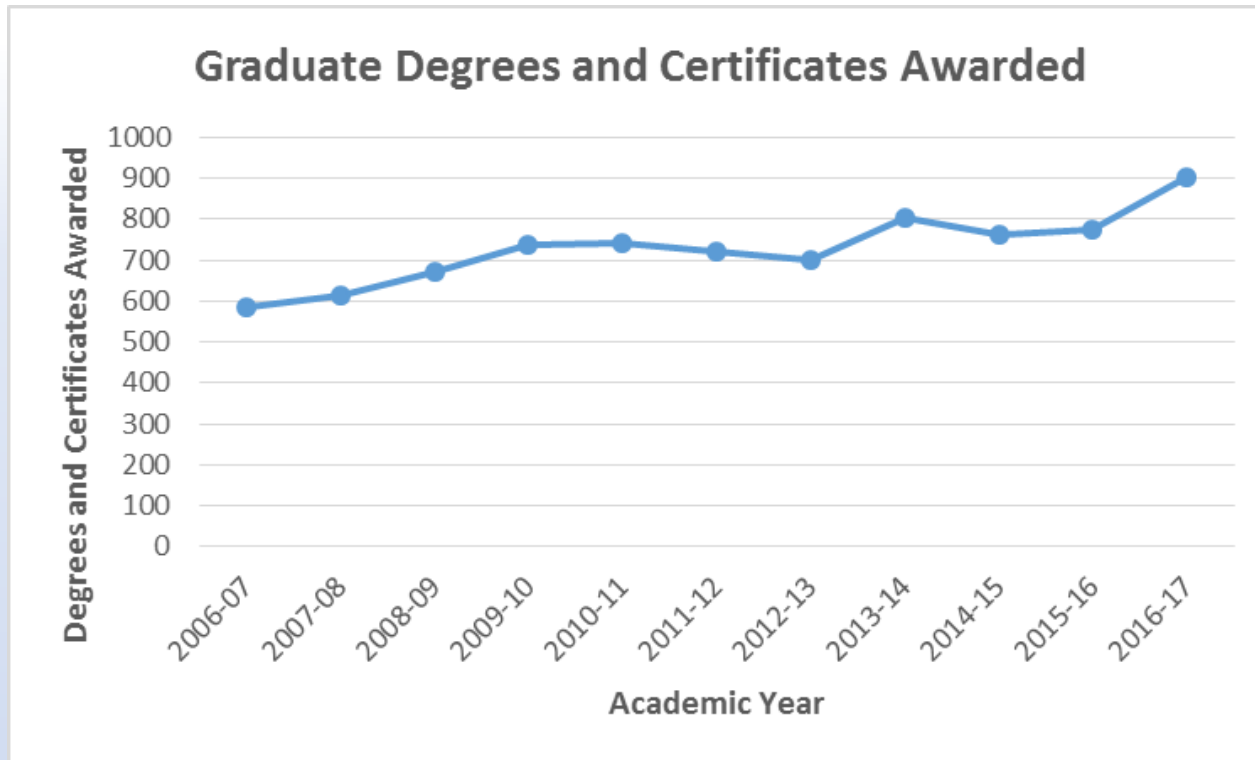
PharmD/MBA 10 enrolled fall 2017
 MD/MPH 6 enrolled; PharmD/MPH, 4 enrolled



Retention

- Graduate Student Success Specialists
- Online Graduate Student Liaison
- Graduate Program Specialists
- Boot Camp
- Thesis/dissertation scholarships
- Add-On Fellowship; GA/TS Fee Scholarship
- Increasing GA stipends
- Summer tuition remission for summer GA's
- New pending scholarships (Buc\$ for Books)
- Graduate Academic Fresh Start
- Accelerated Bachelors to Masters
- Extensive professional development opportunities

Trends in Graduation



Have worked to address issues related to

1. Time to degree
2. Matriculation limits
3. Finishing thesis/dissertation
 - a) Scholarship
 - b) Boot Camp



Challenges to and Opportunities for Growth

- Factors to consider to achieve goal:
 - Program profiles, revising programs where strategic
 - New programs and concentrations
 - Recruitment of top students
 - Application completion
 - Capacity
 - Increasing capacity
 - Filling existing capacity
 - Accepted students matriculating
- Resources and innovations

Questions?



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