HOT TOPICS IN RESEARCH ADMINISTRATION

October 14, 2020

Fall 2020 Session

- Welcome – Research Highlights
- Office/Project Updates as related to Research Administration
  - Purdue for Life
  - P2P Improvement Project
  - Payroll Overpayment/Repayment & Effort Reporting
  - Foreign Influence
  - Purdue Office of Industry & Partnerships
- COVID-19 Topics
  - CAREs/FEMA $’s
  - Back up documentation
  - Protect Purdue and Makers Effort
  - Outcomes from Microsoft Tool application
- Questions
RESEARCH HIGHLIGHTS

Ken Sandel
## Purdue System-Wide Year-To-Date Proposals By Sponsor
### Compare Fiscal Years - FY20 vs FY19
#### (thru Period 12) with FY19 data as of Jun2019

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# Awards By Sponsor – FY 2019 and FY 2020

## Purdue System-Wide Year-To-Date Awards By Sponsor

**Compare Fiscal Years - FY20 vs FY19**

(thur Period 12)

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<tr>
<td>Profit</td>
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<td>Non-Profit</td>
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<td>State/Local Governments</td>
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<td>Purdue University/Purdue Research Fdn</td>
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<td>Foreign Governments</td>
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<td><strong>Total Non-Federal</strong></td>
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<td><strong>Total Purdue System-Wide</strong></td>
<td><strong>3,664 $514,992,388</strong></td>
<td><strong>3,712 $520,606,485</strong></td>
<td><strong>-1%</strong></td>
<td><strong>-$5,614,097</strong></td>
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</table>

10/14/2020 | 5
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<td>Industrials and Foundations (including Ag)</td>
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<td>Profit</td>
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<td>Purdue University/Purdue Research Fdn</td>
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<td>988</td>
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<td>288</td>
<td>-19%</td>
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<tr>
<td>Total Non-Federal</td>
<td>4,528</td>
<td>4,334</td>
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<td>Total Purdue System-Wide</td>
<td>9,353</td>
<td>8,558</td>
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% Change

$DIFF $AMOUNT

National Science Foundation 1,482,378
Dept. of Health and Human Services 7,698,560
Dept. of Defense 4,915,611
Dept. of Energy 1,881,451
National Aeronautics and Space Admin 2,146,372
Other Federal 1,760,199
Dept. of Education -126,255
Dept. of Interior 51,492
Environmental Protection Agency 67,329
Dept. of Transportation 541,542
Agency for International Development 3,634,913
Industrials and Foundations (including Ag) 7,638,570
Profit 12,090,327
Non-Profit -4,451,757
State/Local Governments -2,312
Purdue University/Purdue Research Fdn 347,945
Foreign Governments 966,394
Total Non-Federal 8,950,596
Total Purdue System-Wide 31,202,232
### System-wide Purdue Awards FYTD2021 as of 09/30/2020

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<td>$92,729,081</td>
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<td><strong>FYTD</strong></td>
<td><strong>$192,261,885</strong></td>
<td><strong>$164,632,635</strong></td>
<td><strong>$152,161,864</strong></td>
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<td><strong>Grand Total</strong></td>
<td><strong>$514,992,388</strong></td>
<td><strong>$520,606,485</strong></td>
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Purdue for Life Foundation Overview

Greg Kapp
Purdue for Life Committee Formation to Implementation

- April ‘19: President Daniels commissions Purdue for Life Committee (P4L)
- June ‘19: Committee convenes
- Summer ‘19: Benchmarking and interviews
- October, 2019: Findings and recommendations to Board of Trustees
  - Propose merge UDO and PAA into the Purdue for Life Foundation
    - Form integrated advancement model
- January, 2020
  - Ralph Amos resigns as PAA CEO; moves to Cal Tech
- March, 2020
  - Amy Noah resigns as VP for University Development
  - Matt Folk named EVP for University Advancement and CEO of the Purdue for Life Foundation
  - Pandemic disruption
Covid Impact and Bounce-Back ($M)

FY20 Monthly Average - FY20 Monthly Average - FY21 - Monthly Average
July - February March - June - July - September

$34.2 $17.1 $32.8
1. All Advancement (Engagement/Development/Stewardship/Athletics) is now supported w/in one foundation
2. P4L Executive Board of Directors provides DIRECT University Oversight of the Foundation
3. Merger of PAA by the Purdue For Life Foundation
   a. Simple contract-driven merger of PAA and UDO into Purdue for Life Foundation
   b. No State of Indiana governmental involvement
   c. No change of Purdue Trustee nomination process
   d. Maintains current PAA Board Election Process and Participation via Alumni Leadership Council
   e. Not subject to Open Records Requests
   f. Donor information remains confidential
Way Forward

- Merger Agreements – Alumni Association and Purdue for Life Foundation
  - Master services agreement in place
  - Ancillary agreements in process
  - Expect completion before year-end

- Salesforce CRM implementation – January, 2021

- No major anticipated changes
  - Gift processing
  - Endowment investment and management

- University Development Office focus
  - More horizontal approach; Principal Gifts function
PROCURE-TO-PAY (P2P) OPTIMIZATION PROJECT

Jason Dietz  
Senior Director, Finance

Jessica Robertson  
Director, Procurement Services

October 14, 2020
Background

- Focus groups with faculty and business office representatives were conducted to identify P2P process pain points including research purchases
- Immediate opportunities were identified as well as long term improvements
- P2P Continuous Improvement team with reps from business office, operation centers, procurement and other central office stakeholders

Goals

- Ensure clear procurement guidelines for research/departmental purchases
- Establish consistent processes across all business operation centers
- Enhance procurement cycle time and ease of doing business
Procurement worked with Business Offices to finalize card limits and conduct a complete review of all cards
  - Reduced cards by 12%
  - MCC Code restrictions lifted
- Card checkout and distribution processes under review to accommodate remote working environment
- Annual holistic p-card review process going forward
Procurement Resources

✓ Reference documents posted to the Purchasing Resources webpage
  o Ariba vendor listing reference spreadsheet including contracted suppliers, top 50 non-catalog suppliers, FAQ, etc.
  o Procurement method decision flow chart (Ariba, P-Card, DIV)

✓ Training
  o Monthly Procurement Services Training is available for Procurement Centers as well a Regional campuses
  o Standardized self-directed training established for Ariba Procure-to-Pay
  o Support documentation available by role: Requester, Receiver, Fiscal Approver, Invoice Reconciler
University Sponsored Amazon Business Account

- Amazon Business P-Card model
  - Consolidate existing Prime accounts ($ savings)
  - Ensure tax exemption
  - Improved reporting, tracking and visibility
  - Establish customized product category availability
  - Pilot with Engineering scheduled to start November 2020
  - Anticipate University roll-out in January 2021
Focused on Continuous Improvement
- Continue to identify/address pain points/roadblocks
- GRIR improvement and best practices
- Defined service level agreements
- Consistency across procurement operation centers
- Metrics to measure process improvements
- Training needs
- Identify opportunities for system improvements

Your feedback is welcomed and appreciated
PAYROLL: OVERPAYMENTS, REPAYMENTS AND EFFORT REPORTING

Matt Clawson
What is the magnitude of overpayments?

Per Overpayment Dashboard Calendar YTD through BW20 2020 (thru October)

Calendar YTD 2020

- Bi-Weekly
  - 2,116 Overpayments
  - $730,710 in Overpayments*

- Monthly
  - 856 Overpayments
  - $477,735 in Overpayments**

- Total
  - 2,972 Overpayments
  - $1,208,445 in Overpayments

Calendar YTD 2019

- Total 9,212 Overpayments
- $2,167,768 in Overpayments

*$295,689.89 from CY 2019 included
**$367,641.29 from CY 2019 included
Overpayment Dashboard

Overpayment Summary by Pay Period

Jan - Dec 2020

Bi-Weekly Payroll

YTD Count: 2,116

YTD Total $: $730,710

Annual Payroll

YTD Count: 856

YTD Total $: $477,735

Approx. Month

Jan 20
Feb 78k
Mar 45k
Apr 37k
May 20k
Jun 27k
Jul 14k
Aug 46k
Sep 28k
Oct 20k
Nov 19k
Dec 15k

Monthly Payroll

MO1 15k
MO2 25k
MO3 0
MO4 346
MO5 217
MO6 65
MO7 46
MO8 17
MO9 76
MO10 30
MO11 31
MO12 46
MO13 0
MO14 0
MO15 0
MO16 51k
MO17 29k
MO18 20k
MO19 30k
MO20 45k

Jan - Dec 2020

10/14/2020
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<th>Add Pay</th>
<th>Cost Dist</th>
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<td>6</td>
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<td>3</td>
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Root Causes

Early Findings

- Biggest issues identified so far have been based on behavioral issues.
  - Supervisor actions
    - Late actions/Termination
    - Changes to previously submitted time or leave
    - Pay and CUL changes- Retro changes to pay or CUL
Overpayments Affecting PARs

Overpayments are recorded and left on S&W Wage Types

- S&W Wages Types are pulled into SEEMLESS for Effort Reporting—therefore, Overpayments are being certified in PARs
- If cost distribution is not moved off of grants, then the incorrect $ amount is certified is incorrect
- If cost distribution for the overpayment is moved off a grant, then the percentage certified is incorrect
Impact to Sponsored Programs

Early Findings

- How do we get overpayments off grants in timely manner?
  - Proposed solutions
    - Engineering pilot project
    - College level IO to clear to
    - Improved processes that create timely corrections.

- What is the risk if overdrafts are left on grants?

- Repayment methods
  - Project will advise decision tree repayment methods based on overpayment scenario
Core Team

- Kristi Mickle
- Susie Geswein
- Matt Clawson
- Kristi Stine
- John Lahrman
- Ashlee Smith
- Stacy Umlauf
- Kim Hoebel
- Monique Rawles
- Cindy Davis
FOREIGN INFLUENCE

Ken Sandel, Amanda Hamaker, Mary Millsaps
Current Landscape (Internal Factors)

- Purdue University values international collaboration with researchers from around the world and welcomes students and scholars to campus from all parts of the globe.

- The success of these important partnerships depends on the highest standards of integrity, transparency, and trust.

- Purdue is guided by
  - A philosophy of openness and inclusion
  - A strong culture of research integrity
  - A strong regulatory and security framework
  - A focus on protecting critical and sensitive technologies
  - An holistic approach to managing international engagement
Current Landscape (External Factors)

- Growing concerns regarding “undue foreign influence” in higher education has led several federal agencies to issue statements emphasizing the need for increased transparency around activities that have the potential to unduly influence our activities.

- Recent federal enforcement actions underscore the importance of ensuring that the University community works together to protect the credibility of our research, the integrity of our scholarly activities, and the reputations and careers of our faculty, staff, students, and the University.

- Many federal agencies continue to enhance their requirements and guidelines for the disclosure and reporting of international

- Federal agencies are evaluating the associations and collaborations of our principal investigators, students and researchers and they will adjust funding and support as necessary
Circle of Compliance

- Proposal & Award Reporting & Disclosure
- Outside Activity
- Conflicts of Commitment
- Publications
- Restricted Party Screening
- Gifts and Contract Reporting
- International Travel
- IP Disclosure

Foreign Influence
Reporting and Compliance Responsibilities

- To best protect the integrity and credibility of our faculty, students, and staff, it is important to disclose individual and institutional relationships to avoid even the appearance that the relationship may have inappropriately influence actions and decisions. These disclosures are made in various ways:

- **Funding Proposals and Awards**
  - NIH - Disclosure of Foreign Components (collaborations, facility use, financial support, extensive travel)
  - NIH, NSF & Other Agencies – Current and Pending Support/Other Support and Bio-sketches (financial support, equipment or research material, consulting, work with visitors, funds received from foreign recruitment programs, foreign and domestic resources available to a researcher) Must be transparent accurately reflect appointments and affiliations.
  - NSF - Research Performance Progress Report (RPPR) – Added a question “Has there been a change in the active other support of the PI/PD(s) since the last reporting period?”

- **Activity Disclosures to Examine of Conflict of Interest and Conflict of Commitment**
  - Disclose outside professional activities and financial relationships, whether compensated or uncompensated, through the Reportable Outside Activity Form
  - Disclose research related Significant Financial Interests, including stipends, living expenses, payments and travel reimbursements received from foreign governments and institutions.
Reporting and Compliance Responsibilities

- **Other Disclosures**
  - Promptly disclose intellectual property to the University through the Office of Technology Commercialization
  - Disclose to the University Development Office any gift solicitation with foreign organizations in compliance with University requirements
  - Disclose financial interests related to your research in all public sharing of research results including journal articles, presentations, and other publications.

- **Compliance**
  - Comply with U.S. export control regulations when doing any of the following: accepting publication restrictions in research; traveling internationally and attending conferences; participating in international collaborations; using proprietary information; working with international staff and students; hosting international visitors; shipping materials internationally; or engaging in any international transactions
  - Comply with the Foreign Corrupt Practices Act
  - Follow the guidelines for travel to high-risk countries
Recent Federal Actions and Proposed Rules

- **Certification regarding Telecommunication Equipment**: Section 889 of the National Defense Authorization Act: Prohibition of certain telecommunications and video surveillance services or equipment: Representations and certifications are required that we will not provide to the government or utilize in the performance of a project certain telecommunications equipment or services produced by any of five named Chinese companies or their subsidiaries and affiliates.

- **Foreign National Restrictions**: Department of Energy made a change to DOE Order 142.3 that requires prior approval by DOE before a foreign national can participate in a DOE funded project.

- **Foreign Gift and Contract Reporting**: Section 117 of the Higher Education Act of 1965 (20 U.S.C. § 1011f) requires us to disclose and report statutorily defined gifts, contracts, and/or restricted and conditional gifts or contracts from or with a statutorily defined foreign source, to the U.S. Department of Education (Department).
  - Dept. of ED has published a proposed rule related to the requirement to provide true copies of gift agreements and contracts for those agreements that meet the disclosure requirements under Section 117 of the HEA.

- **IT Security Requirements**: Cybersecurity Maturity Model Certification (CMMC) has been published in the Federal Register and enhanced requirements will be incorporated into contracts and solicitations.
Recent Purdue Actions

- Transformed our processes for collecting information to ensure compliance with reporting obligations of foreign gifts and contracts to the Dept. of Education (Section 117)
- Enhanced our utilization and training for Visual Compliance to perform restricted party screenings to ensure that international collaborators are not prohibited from participation.
- Heightened focus and utilization of the Foreign National Flag in SAP
- Improved our communications and information provided to faculty and principal investigators on changes in expectations related to current and pending support and other support.
- Made modifications to the reportable outside activity forms and disclosure processes.
- Made modifications to the Cybersecurity “WEBER” environment to comply with the new CMMC requirements.
OFFICE OF INDUSTRY PARTNERSHIPS

Hot Topics in Research, October 14, 2020
Dave McKinnis, Interim AVP
Established November 2019 to develop holistic corporate partnerships that provide exceptional value to our partners and Purdue

Reports to the office of the Executive Vice President for Research & Partnerships and the Purdue for Life Foundation

A primary goal is the expansion of the corporate research enterprise
OIP TEAM

Theresa Mayer, EVP for Research and Partnerships

Dave McKinnis, Interim AVP (1996)

Matt Folk, President and CEO, Purdue for Life Foundation

Dave Snow, Director Manufacturing Extension Partnership (2005)

Mat Trampski, Director cyberTAP (2013)

Jon Ferenczy, Senior Director, CoE (2019)

Eric Woods, Executive Director (2013)

Jennifer Perkins, Director, VetMed, Pharm, Cancer Ctr (2019)

Ben Forsythe, Director, Ag (2019)

Jackie Richeson, Administrative Assistant (2014)

Michelle Dennis, Director, CoE (2017)

John Langenkamp, Director, CoE (2016)

Mel Minkel, Administrative Assistant, CoE (2017)

Larry Sommers, Director, CoS (1996)

Doris Cronkhite, Assistant Director (2007)

(Year = Start date with PRF/Purdue)
OIP works to make connections along each level of the pyramid, with the goal of progressing to strategic partnerships, where appropriate.
Purdue’s FY2019 research expenditures were $705,000,000
Hundreds of companies and thousands of faculty, students, and staff involved
Comprehensive facilities and laboratories for a broad range of research
RESEARCH CAPABILITY EXAMPLE: ENHANCED TRUCK PLATOONING

- Advanced controls, connectivity & select automation to save fuel & improve safety
- Up to 20% fuel savings

Funders and collaborators:

G. Shaver (ME)  D. DeLaurentis (AAE)  N. Jain (ME)  D. Bullock (CE)
Direct = Expenditures against awards that are direct from a corporate sponsor to Purdue.
Flow-Through = Expenditures against awards that have a corporate prime or intermediate sponsor.
For example, where the DoD is prime, a company is intermediate, and Purdue is the awardee.
Net Production = Cash + GIK adjusted for pledges and pledge payments
OIP student engagement efforts support corporate recruitment of research positions

- Graduate student assistantships and fellowships
- For defense; cleared students
- Undergraduate research programs
- Data Mine
- Senior Design/Capstone Projects
- Women in Engineering
- Student Teams (e.g., Formula SAE)
- Interns, co-op, GEARE
Campus presence enables comprehensive engagement with our faculty, graduate students, and undergrads.

Bayer Crop Science and Beck’s have recently taken occupancy in the Convergence center.
A holistic partnership

- 5-year partnership between Purdue and the animal health company, Elanco
- Strategic Alliance Agreement signed Jan 2020
- Scope of partnership:
  - Research related to animal science, structural biology, protein evolution and engineering, microbiome discovery and clinical veterinary medicine
  - Testing (i.e.: Bindley, ADDL, Histology Research Lab)
  - Co-locating to campus
  - Continuing education
  - Talent acquisition
  - Facility use/training
COVID-19 TOPICS

Susan Corwin, Kathy Thomason, Ken Sandel
Institutional Grant Awarded September 2020

- Allowable “costs associated with significant changes to the delivery of instruction”
- Refunds to students for room & board, tuition, and other fees
- Laptops and IT costs to provide students with tools to participate in distance learning
- PPE, cleaning supplies, facility cleaning
- Non-permanent changes to existing instructional facilities to ensure social distancing
President's March 13 nationwide emergency declaration

- Personal Protective Equipment
- Certain types of medical care
- Non-Congregate medical sheltering
- Operation of emergency operations centers
- Communications to disseminate public information
- Disinfecting, cleaning and temporary physical barriers
### COVID Research Proposals (Includes CARES not HEERF)

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<th>Proposal Amount</th>
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### COVID Awards (Includes CARES)

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<td>Total COVID &amp; CARES Awards</td>
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CARES = Coronavirus Aid, Relief, & Economic Security Act  
HEERF = Higher Education Emergency Relief Fund
OMB flexibilities – M-20-17 (expired June 16th & M-20-26 expired September 30th)

- **M-20-17 - 6. Allowability of salaries and other project activities** - Awarding agencies may allow recipients to continue to charge salaries and benefits to currently active Federal awards consistent with the recipients' policy of paying salaries (under unexpected or extraordinary circumstances) from all funding sources, Federal and non-Federal.

- **M-20-17 - 7. Allowability of Costs not Normally Chargeable to Awards** - Awarding agencies may allow recipients who incur costs related to the cancellation of events, travel, or other activities necessary and reasonable for the performance of the award, or the pausing and restarting of grant funded activities.

- **M-20-26 - 1. Allowability of Salaries and Other Project Activities** - Awarding agencies may allow recipients to continue to charge salaries and benefits to active Federal awards consistent with the recipients’ policy of paying salaries (under unexpected or extraordinary circumstances) from all funding sources... Awarding agencies must require recipients to maintain appropriate records and cost documentation as required by 2 CFR § 200.302 - Financial management and 2 CFR § 200.333 - Retention requirement of records to substantiate the charging of any salaries and other project activities costs related to interruption of operations or services.

- Purdue utilized OMB Guidance M-20-17 until it expired June 16, 2020, and M-20-26 until June 30, 2020. We were able to utilize this flexibility because Purdue has a policy that allows the paying of salaries during periods of leave (under unexpected or extraordinary circumstances) from all funding sources, Federal and non-Federal. This is documented in our cost accounting standards and HR policies related to sick leave, vacation, and other paid leaves and it was modified in March 2020 to address emergency leaves and emergency FMLA leaves. Purdue also instituted an interim COVID-19 policy in March 2020 that enabled all employees to continue earning their salaries (regardless of funding source) through the end of their contract term (for employees whose appointment ended before June 30, 2020) or until June 30, 2020 for those who are employed on a fiscal year basis. This broadly applicable policy enabled Purdue to charge salaries to all funding sources regardless of their ability to work or make progress towards their deliverables.
Innovations

- Launched Protect Purdue Pledge (“New” Normal)
- Launched Protect Purdue Health Center (75+ medical prof.)
- Certified ADDL (11 business days)
- Introduced Saliva Testing (>40,000 tests)
- Implemented WiFi Contact Tracing (identify “Hot Spots”)
- Repurposed PVIL Campus (quarantine & isolation)
- Produced 76,594 pieces of PPE (“Maker’s Effort”)
Items designed and produced

- Two varieties of face shields
- Splash glasses
- Isolation gowns
- Foot covers
- Surgical caps
- Reusable, N95-compliant respirator mask
- Various ventilator filters and components
- Various adapters for first responder equipment
- Various production tools and fixtures

Statistics

- 6 Month Effort (March 20 – September 8)
- 48 Faculty, Staff and Students Involved
- 6 Colleges Participated
- 76,594 pieces
  - External: 27,822 (March 20 – July 1)
  - Purdue: 48,772 (July 1 – September 8)
- 7 counties and 12 different organizations
Outcomes from Microsoft Tool Application

- $15 million Reported Impact/Loss
- 920 Co-PIs of 1,284 CO-PIs, 72% reported (salary)
- 4,211 Employees of 5,176 Employees, 81% reported
- $117 million of $137 Million Expense Base, 86% reported

- 11% Overall Average Impact/Loss on Total Expenditures
- 20% Impact/Loss on Total Salaries
- 50% of Employees had No Impact or Loss Reported

- $2.9 million Impact on DHHS Expenses
- $2.5 million Impact on NSF Expenditures
- 35% of Employees Reporting Restricted Facilities as the Reason for Loss

- $11 million Impact on Salaries and Benefits
- $1.2 million Impact on DOD Expenditures
- 5% of Employees Reporting Restricted Travel as the Reason for Loss

- $1.2 million Impact on USDA Expenditures
QUESTIONS