



# UNIVERSITY OF WISCONSIN - MADISON

## EXPORT CONTROL

1225 W. Dayton St., AOSS Bldg. Madison, Wisconsin 53706

Bethany Nelson

(608) 261-1128 [bcnelson2@wisc.edu](mailto:bcnelson2@wisc.edu)

### Conference Survey Results

71 surveys were returned.

1 school answered the survey four times. Only 1 set of answers was counted

1 result was not from a University and was not counted.

This gave a total of 67 discrete surveys answered.

This is a decline from 73 last year.

Some schools did not indicate if they screen an activity some or part of the time. The initial numbers for each section are a combination of all universities who indicated that they screened the activity.

Here are the total screenings and percentages (rounded to the nearest whole number).

### **VISAS**

67 responses

Type	# of Universities who screen	Percentage	Change from last year
H-1B	57	85%	-4%
O-1	28	42%	-3%
J	46	69%	+5%
F	30	45%	+23%
Other	8	12%	+2%

Type	# of Universities who screen all the time	Percentage of all the time screening	# of Universities who screen some of the time	No indication of how many screened	Percentage of some and no indication
H-1B	45	67%	4	8	18%
O-1	17	25%	8	4	18%
J	28	42%	15	3	27%
F	6	9%	21	3	36%

61(91%) schools screen at least 1 type of visa.

This is down from 65 last year.

My assumption is that some of the schools who answered the survey last year did not answer it this year leading to the decline in some numbers. Given the H1-B requirements on the I-129 form I wouldn't think a place would actively stop screening.

Additional information was provided that is not counted in the above numbers:

1 school indicated that HR has a law firm screen all visas

1 school said they screen case by case

1 school indicated review only when asked or red flag technologies and countries

These numbers indicate that 96% of schools screen at least some visas.

Other information:

1 school indicated that they don't screen anyone that the US government has allowed in the country

1 school screens certain countries only

Other visas indicated:

Some TN

Some Bs

B1

B2

B1/2

All follow-ons

### **STUDENT SCREENINGS**

67 responses

Type	# who screen	percentage	Change from last year
Undergrad US	15	22%	+16%
Graduate US	18	27%	+20%
Post-doc US	15	22%	+15%
Undergrad International	23	34%	+22%
Graduate International	38	67%	+31%
Post-doc International	41	61%	+10%

Type	# of Universities who screen all the time	Percentage of all the time screening	# of Universities who screen some of the time	No indication of how many screened	Percentage of some and no indication
Undergrad US	4	6%	9	2	16%
Graduate US	4	6%	12	2	21%
Post-doc US	3	4%	10	2	18%
Undergrad International	7	10%	12	4	24%
Graduate International	12	18%	21	5	39%
Post-doc International	16	24%	19	6	37%

46 Universities screen at least one set of students

Additional information was provided that is not counted in the above numbers:

1 school screens US students working under TCPs

**MTAs**

67 responses

Type	# of schools who screen	Percentage	Change from last year
Incoming Domestic MTAs	24	36%	+4%
Outgoing Domestic MTAs	30	45%	+12%
Incoming Foreign MTAs	44	66%	+2%
Outgoing Foreign MTAs	51	76%	-5%

Type	# of Universities who screen all the time	Percentage of all the time screening	# of Universities who screen some of the time	No indication of how many screened	Percentage of some and no indication
Incoming domestic	11	16%	12	1	19%
Outgoing domestic	13	19%	17	0	25%
Incoming foreign	29	43%	12	3	22%
Outgoing foreign	38	56%	8	5	19%

55 schools screen at least some type of MTA

Additional information was provided that is not counted in the above numbers:

1 school screens outgoing MTAs to foreign entities only if they are research-related

**Travel**

67 responses

Type	# of schools who screen	percentage	Change from last year
Domestic Travel	2	3%	+3%
Foreign Travel	62	93%	+22%

Type	# of Universities who screen all the time	Percentage of all the time screening	# of Universities who screen some of the time	No indication of how many screened	Percentage of some and no indication
Domestic Travel	0	0%	2	0	3%
Foreign Travel	14	21%	46	2	72%

62 schools screen travel

Additional information was provided:

1 school screens foreign travel only on research grants

1 embargoed countries

**Grants and Other Contracts**

67 responses

Type	# of schools who screen	percentage	Change from last year
Grants	58	87%	+3%
Fee For Service(FFS)	36	54%	+9%
NDA's	52	78%	+5%

Type	# of Universities who screen all the time	Percentage of all the time screening	# of Universities who screen some of the time	No indication of how many screened	Percentage of some and no indication
Grants	24	36%	30	4	51%
Fee For Service(FFS)	12	18%	22	2	36%
NDA's	19	28%	30	3	49%

65 universities screen for at least one of these

Additional information was provided:  
 1 school reviews all outgoing foreign subawards

**Purchases**

67 responses

Type	# of schools who screen	percentage	Change from last year
By the University from domestic sources	27	40%	+6%
By the University from foreign sources	41	61%	+2%
From the University by domestic sources	20	30%	+8%
From the University by foreign sources	33	49%	+15%
other	5	7%	N/A

Type	# of Universities who screen all the time	Percentage of all the time screening	# of Universities who screen some of the time	No indication of how many screened	Percentage of some and no indication
By the University from domestic sources	8	12%	18	1	28%
By the University from foreign sources	15	22%	22	4	39%
From the University by domestic sources	7	10%	11	2	19%
From the University by foreign sources	13	19%	16	4	30%

48 Universities screen purchases at some point.

5 schools indicated other and indicated the following:

- 1-purchasing office contacts the export control office if any order raises export control concerns
- 1-RPS on vendors
- 1-screen on grants that will be sent or taken to foreign locations
- 1-one-time batch screening of all vendors
- 1-through business services

Time screened: 48 responses

Screen purchases before	18	
Screen purchases after	2	
Mixture of both	24	

**Shipments**

67 responses

Type	# of schools who screen	percentage	Change from last year
Domestic shipments	7	10%	+7%
Foreign shipments	50	75%	+24%

Type	# of Universities who screen all the time	Percentage of all the time screening	# of Universities who screen some of the time	No indication of how many screened	Percentage of some and no indication
Domestic shipments	1	1%	5	1	9%
Foreign shipments	8	12%	39	3	63%

50 universities screen shipments; this is a significant increase over last year's 35.

Additional information was provided:

1 school screens foreign shipments related to research and charged grants

1 indicated that they previously screened domestic shipments

1 moving to all in near future

**Visitors**

67 responses

Type	# of schools who screen	percentage	Change from last year
Conference visitors	25	37%	+17%
Regular campus visitors	35	52%	+19%

Type	# of Universities who screen all the time	Percentage of all the time screening	# of Universities who screen some of the time	No indication of how many screened	Percentage of some and no indication
Conference Visitors	5	7%	20	0	30%
Regular Visitors	6	9%	29	0	43%

40 schools screen at least one type of visitor

Additional information was provided that is not counted in the above numbers:

1 school indicated that they screen all visiting foreign faculty

**Classified Research Acceptance**

66 responses

Accepts classified	21	32%
Does not accept classified	45	68%

Additional information:

5 schools indicated that they accept classified but do not perform it on campus

1 school indicated that they are moving into classified research (this was not counted in the numbers)

1 indicated sometimes (not reflected above)

**Mandatory Training**

61 responses

Mandatory Training	37	61%
No Mandatory Training	24	39%

Schools have mandatory training for the following:

17-anyone on a TCP

6-export controlled projects/research

3-personnel on TCPS using CITI modules

2-PIs on export controlled projects through CITI

1- all staff

1-basic awareness training during on boarding of employees

1-Train Traq module required for all employees every two years

1-uses CITI for mandatory training but did not elaborate

1- when dealing with restricted party visitors

1-for visual compliance users

1-Foreign nationals

1-students on export controlled projects through CITI module

1-for those with access to export controlled facility

1-Intro EC for all first time researchers who receive sponsored program money

1- Specific contracts

1-all graduate students in STEM fields

1-higher risk (this was the only thing mentioned)

1-CITI training

1-training embedded in other mandatory screening

1-Faculty required to take training in a number of courses

Notes:

1 school soon will have mandatory training

1 stated overall no but some departments require online EC training as part of their RCR training

1 school has CITI training available but it's not mandatory

1 asking for approval for mandatory training for those on TCPs

***Developing Processes***

28 schools indicated that they were developing processes

The following were listed as things that have processes being developed.

7-Shipments

4-Purchase screenings

4-Vendor screening

3-MTAs

3-Foreign travel

7-Visitor screening

2-J1s

5-improving/developing all processes

2-Foreign shipments

2-Visiting scholar

1-New hire screen

1-Tech transfer for MTAs and NDAs

1-Training

1-Screening for all employees

1-Screening for some students

1-Screening for all foreign scholars

1-International visitors

1-International students

1-To be able to review all

1-Short term visitors

1-Travel

1-Purchases prior to transaction

1-Any international activity

1-F visas

1-Key staff departments

1-H-1 b questionnaire

1-High tech

1-Personnel on ec projects

1-Foreign sponsor/collaborators

1-Shifting RPS to general counsel for visas



1- All export controlled projects

1- Exploring

Breaking down the numbers as Universities who accept classified research vs. those that don't

	Accepts classified-21 total	Does not accept classified-45 total
H-1B	19	38
O-1	10	18
J	15	31
F	9	6
Other	4	4
Undergrad US	8	7
Grad US	8	10
Post-doc US	7	8
Undergrad International	9	14
Grad International	13	25
Post-doc International	16	25
Incoming Domestic MTAs	11	13
Outgoing Domestic MTAs	12	18
Incoming Foreign MTAs	16	28
Outgoing Foreign MTAs	16	35
Domestic Travel	1	1
Foreign Travel	20	42
Grants	18	40
FFS	15	21
NDA	19	33
Purchases by the University from Domestic sources	9	18
Purchases by the University from Foreign sources	12	29
Purchases from the University by Domestic sources	7	13
Purchases from the University by Foreign sources	11	20
Domestic shipments	2	5
Foreign shipments	19	31
Conference visitors	10	15
Regular visitors	9	22
Mandatory Training	17	20