



# UNIVERSITY OF WISCONSIN - MADISON

## EXPORT CONTROL

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

Bethany Nelson

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### 2018 Conference Survey Results

Madison, WI conference

Compiled by Bethany Nelson of the University of Wisconsin-Madison

75 surveys were returned from Universities, Scientific Institutions and 1 from another entity.

1 school answered twice. Only 1 set of answers was counted.

1 result was not from a University or Scientific Institution and was not counted.

This gave a total of 73 discrete surveys answered.

This is an increase from 67 from 2017 and the same from 2016.

### Broad Observations:

Screening is increasing in all areas across the board with very few decreases. Some of these increases are quite large and show that there are some areas where almost all schools screen.

There were decreases in some areas in the “screen some of the time” column, but they were mostly off-set by an increases in the “screen all the time” column, indicating that more schools are developing more comprehensive screening procedures, rather than specific focuses.

Of note, a fair amount of schools allow interactions with restricted parties, though some schools did mention that they had not run into the issue yet.

### Note on numbers:

1 school only answered the front page of the survey, and one, only the back page meaning that all answers will use 72 as 100% response even though there were 73 discrete responses.

Some schools did not indicate if they screen an activity some or part of the time. Their responses were counted as some of the time overall, but are given their own column in tables for comparison. The amount that did not indicate is down significantly from last year.

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

### Visas

72 responses

Type	# of Universities who screen	Percentage	Change from 2017	Change from 2016
H-1B	68	94%	+9%	+5%
O-1	37	51%	+9%	+6%
J	58	81%	+12%	+19%
F	27	38%	-7%	+16%
Other	12	14%	+2%	+4%

Other specified as: B1, B2, TN, J-2, F-2, O, P, T



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Type	# of Universities who screen all the time	Percentage of all the time screening	Change from 2017	# of Universities who screen some of the time	No indication of how many screened	Percentage of some and no indication	Change from 2017
H-1B	55	76%	+9%	12	1	18%	No change
O-1	30	42%	+17%	6	1	10%	-8%
J	37	51%	+9%	19	2	29%	+2%
F	14	19%	+10%	12	1	18%	-18%

### Additional Information:

2 schools indicated that they screen anyone on any visa from an embargoed country

2 schools indicated that they screen if someone is working on an “export restricted project”

1 school specified that anyone who needs an invitation letter gets screened

1 school stated that they do not screen undergrad or summer students on visas

1 school said the International Office sends Js that are from sanctioned or embargoed countries to the Export Control Office

### Student Screenings

72 responses

Type	# who screen	percentage	Change from 2017	Change from 2016
Undergrad US	18	25%	+3%	+21%
Graduate US	23	32%	+5%	+25%
Post-doc US	22	31%	+9%	+24%
Undergrad International	33	46%	+12%	+34%
Graduate International	48	67%	No change	+31%
Post-doc International	50	67%	+6%	+16%



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All schools indicated that they screened some or all of the time on this question so the “no indication” column is not used.

Type	# of Universities who screen all the time	Percentage of all the time screening	Change from 2017	# of Universities who screen some of the time	Percentage of some screening	Change from 2017
Undergrad US	4	6%	No change	14	19%	+3%
Graduate US	7	10%	+4%	16	22%	+1%
Post-doc US	6	8%	+4%	16	22%	+4%
Undergrad International	9	13%	+3%	24	33%	+9%
Graduate International	18	25%	+7%	30	42%	+3%
Post-doc International	21	29%	+5%	29	40%	+3%

### Additional Information:

3 schools indicated that they screen U.S. students if they are working with a TCP

2 schools indicated that they screen international students only when involved in research that could be export controlled

1 school screens only when a student is party to an “NDA, MTA etc.”

1 school screens when students have restricted technology access

1 school indicated they may drop the student screenings

### Additional information not reflected in the above numbers:

1 school indicated that they will screen students only when contractually obligated

### Restricted Party Interactions

71 responses

Type	# of schools who allow	Percentage
Travel to Restricted Parties	22	31%
Visitors from Restricted Parties	29	40%
Contracts with Restricted Parties	7	10%
Students from Restricted Parties	32	44%

There are 71 responses because one school specifically indicated that they were not providing an answer.



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### Additional information

4 schools stated they had not had this situation

3 schools said it was on a case-by-case basis

2 schools said it was a case-by case basis but they had not had any yet

1 school indicated it has not come up but would allow it as long as there was compliance with the law

1 school that indicated they allow visitors, but said it is very rare and closely monitored

1 school indicated that some of the categories never came up, but added that may be because the school's procedures are not designed to identify them

1 school said that for travel, they counsel the traveler, for visitors they restrict closely and for students that monitor and counsel faculty

1 school said they would chat with the traveler

1 allows students if there is no current connection with a restricted university and the restricted university was simply one they had attended previously

1 allows with provisos

1 school stated that travel and visitors is decentralized and they have no way of knowing if interactions are occurring

1 school said that the Computer Science department will not allow visitors from restricted parties to come, but other departments will

1 advises against travel to restricted entities but will advise on not sharing confidential or proprietary information and limits students based on the fiduciary relationship

1 indicated that they will allow visitors for fundamental research only

1 seldom allows travel and if there is a student will have a meeting with the PI and possibly the FBI

### Not reflected in numbers:

1 school indicated that they will sometimes allow these things under limited circumstances with controls, but they did not mark anything

### MTAs

72 responses

Type	# of schools who screen	Percentage	Change from 2017	Change from 2016
Incoming Domestic MTAs	28	39%	+5%	+7%
Outgoing Domestic MTAs	30	42%	+3%	+9%
Incoming Foreign MTAs	50	69%	+3%	+5%
Outgoing Foreign	63	88%	+12%	+7%



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MTAs				
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Type	# of Universities who screen all the time	Percentage of all the time screening	Change from 2017	# of Universities who screen some of the time	No indication of how many screened	Percentage of some and no indication	Change from 2017
Incoming domestic	13	18%	+2%	13	2	21%	+2%
Outgoing domestic	16	22%	+3%	13	1	19%	-6%
Incoming foreign	33	46%	+3%	14	2	22%	No change
Outgoing foreign	51	71%	+15%	9	3	17%	-2%

### Additional information:

1 school indicated that their sponsored programs office will forward when they think it might have an export issue

1 school screens domestic MTAs when it involves export controlled material

1 school screens MTAs that involved controlled materials or ones that have export language

1 school's MTA screenings are handled by the Office of Technology Licensing

### Travel

72 responses

Type	# of schools who screen	percentage	Change from 2017	Change from 2016
Domestic Travel	3	4%	+1%	+4%
Foreign Travel	70	97%	+4%	+16%

Type	# of Universities who screen all the time	Percentage of all the time screening	Change from 2017	# of Universities who screen some of the time	No indication of how many screened	Percentage of some and no indication	Change from 2017
Domestic Travel	1	1%	+1%	2	0	3%	No change
Foreign Travel	26	36%	+15%	41	3	61%	-11%



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### Additional information:

- 1 school screens foreign travel if bringing school-owned equipment or traveling to sanctioned countries
- 1 school screens some travel to sanctioned countries
- 1 school screens anyone who registered with their internal system
- 1 school screens in departments that do restricted work
- 1 school screens travel to embargoed/sanctioned countries
- 1 school sends an e-mail when foreign travel is indicated in a budget and has a website that asks students to indicate foreign travel
- 1 school screens travel when there is a foreign sponsor or if there is export control language in the contract

### Grants and other contracts

72 responses

Type	# of schools who screen	percentage	Change from 2017	Change from 2016
Grants	68	94%	+7%	+10%
Fee For Service(FFS)	41	57%	+3%	+12%
NDA's	64	89%	+11%	+16%

Type	# of Universities who screen all the time	Percentage of all the time screening	Change from 2017	# of Universities who screen some of the time	No indication of how many screened	Percentage of some and no indication	Change from 2017
Grants	33	46%	+10%	34	1	49%	-2%
Fee For Service(FFS)	17	24%	+6%	24	0	33%	-3%
NDA's	26	36%	+8%	37	1	53%	+4%

### Additional information:

- 1 school indicated that they screen grants that are DOD or DOE funded and screen NDA's if they have export control language
- 1 school screens NDA's with foreign parties
- 1 school screens grants with export control red flags
- 1 schools screens all international awards



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### Purchases

72 responses

Type	# of schools who screen	percentage	Change from 2017	Change from 2016
By the University from domestic sources	34	47%	+7%	+13%
By the University from foreign sources	55	76%	+15%	+17%
From the University by domestic sources	19	26%	-4%	+4%
From the University by foreign sources	38	53%	+4%	+19%
other	3			

Type	# of Universities who screen all the time	Percentage of all the time screening	Change from 2017	# of Universities who screen some of the time	No indication of how many screened	Percentage of some and no indication	Change from 2017
By the University from domestic sources	14	19%	+5%	20	0	28%	No change
By the University from foreign sources	23	32%	+10%	31	1	44%	+5%
From the University by domestic sources	10	14%	+4%	9	0	13%	-6%
From the University by foreign sources	17	24%	+5%	20	1	29%	-1%



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### Additional Information:

1 school indicated that they screen purchase card transactions when made for specific items like cameras, software etc.

1 school indicated that they do not sell anything

1 school screens based on a list of high risk items

### Time Screened

Type	# who screen
Screen purchases before	20
Screen purchases after	2
Mixture of both	33

### Shipments

72 responses

Type	# of schools who screen	percentage	Change from 2017	Change from 2016
Domestic shipments	6	8%	-3%	+5%
Foreign shipments	59	82%	+7%	+31%

Type	# of Universities who screen all the time	Percentage of all the time screening	Change from 2017	# of Universities who screen some of the time	No indication of how many screened	Percentage of some and no indication	Change from 2017
Domestic shipments	2	3%	+2%	4	0	6%	-3%
Foreign shipments	16	22%	+10%	42	1	60%	-3%

### Additional information:

1 school indicated that they are in the process of moving from screening some foreign shipments to all foreign shipments

1 school indicated that they were confident they were catching over 90% of international shipments and had checked the all foreign shipments screened

1 school stated that they send an automated e-mail to departments to contact the export control office regarding shipping when an award is funded





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### Visitors

72 responses

Type	# of schools who screen	percentage	Change from 2017	Change from 2016
Conference visitors	33	46%	+9%	+46%
Regular campus visitors	46	64%	+12%	+14%

All schools indicated that they screened some or all of the time on this question so the “no indication” column is not used.

Type	# of Universities who screen all the time	Percentage of all the time screening	Change from 2017	# of Universities who screen some of the time	Percentage of some	Change from 2017
Conference Visitors	6	8%	+1%	27	38%	+8%
Regular Visitors	8	11%	+2%	38	53%	+10%

Additional information:

6 schools indicated that they only screen international visitors

1 school screens visitors if they know they are coming

1 school is rolling out a centralized visitor process that will not require faculty to send visitor names, but will direct them to do so

### Mandatory Training

72 responses

Type	# of Universities	Percentage	Change from 2017
Mandatory Training	45	63%	+2%
No Mandatory Training	24	33%	-6%
No indication	1	1%	N/A

### Classified Research Acceptance

72 responses

Accepts classified	25	35%
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Does not accept classified	42	58%
Unclear/did not indicate	5	7%

### Notes on unclear category:

- 2 schools did not indicate
- 1 school circled both yes and no
- 1 school put a question mark
- 1 school said sort of

### Developing Processes

35 Schools indicated that they were developing processes in a variety of areas. Some schools listed more than one process in development

The following processes are listed as in development:

- 8 Shipping
- 4 visitors
- 4 purchases
- 3 J visas
- 2 mandatory training
- 2 international visitors
- 2 looking for an integrated system
- 2 foreign travel
- 2 All items listed in survey
- 2 F-1 visas
- 1 travel
- 1 expand screening to more visa types
- 1 screening international grad students and post do-docs
- 1 B visas
- 1 vendors and sub-contractors
- 1 consignees and end-users
- 1 use visual compliance
- 1 university Policy
- 1 looking at the risk and benefit of a lot of different areas in favor of focusing on areas of restricted work
- 1 broad program development
- 1 revising and updating processes
- 1 MTAs
- 1 annual question/disclosure as part of COI
- 1 all visas
- 1 all new hires



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- 1 foreign military students
- 1 purchases from the University by domestic and foreign sources
- 1 FFS
- 1 evaluating RPS process and system for automatic screening of employees and grad students
- 1 TCPs
- 1 University-wide program
- 1 improve screening

Breaking down the numbers as Universities who accept classified research vs. those that don't  
 Percentages were based on that category total only(i.e classified was based on 25 total etc.).

	Accepts classified-25 total	Does not accept classified-45 total	Unclear/did not indicate-5 total
H-1B	24 (96%)	40 (89%)	4
O-1	13 (52%)	23 (51%)	1
J	22 (88%)	32 (71%)	4
F	12 (48%)	14 (31%)	1
Other	5 (20%)	6 (13%)	1
Undergrad US	9 (36%)	7 (16%)	2
Grad US	11 (44%)	10 (22%)	2
Post-doc US	11 (44%)	9 (20%)	2
Undergrad International	15 (60%)	16 (36%)	2
Grad International	19 (76%)	26 (58%)	3
Post-doc International	21 (84%)	26 (58%)	3
Allow travel to Restricted Parties	9 (36%)	13 (29%)	0
Allow Visitors from Restricted Parties	10 (40%)	17 (38%)	2
Allow contracts with restricted parties	2 (8%)	5 (11%)	0
Allow students from restricted parties	12 (48%)	18 (40%)	2
Incoming Domestic MTAs	15 (60%)	12 (27%)	1
Outgoing Domestic MTAs	14 (56%)	15 (33%)	1
Incoming Foreign MTAs	20 (80%)	27 (60%)	3
Outgoing Foreign MTAs	23 (92%)	35 (78%)	5
Domestic Travel	2 (8%)	1 (2%)	0
Foreign Travel	25 (100%)	40 (88%)	5
Grants	23 (92%)	40 (88%)	5
FFS	18 (72%)	20 (44%)	3
NDA	24 (96%)	35 (78%)	5
Purchases by the University from Domestic	13 (52%)	18 (40%)	3



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sources			
Purchases by the University from Foreign sources	21 (84%)	29 (64%)	5
Purchases from the University by Domestic sources	9 (36%)	8 (18%)	2
Purchases from the University by Foreign sources	18 (72%)	15 (33%)	5
Domestic shipments	3 (12%)	3 (7%)	0
Foreign shipments	20 (80%)	34 (76%)	5
Conference visitors	13 (52%)	19 (42%)	1
Regular visitors	20 (80%)	24 (53%)	2
Mandatory Training	22 (88%)	21 (47%)	2