



UNIVERSITY OF WISCONSIN - MADISON

EXPORT CONTROL

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Conference Survey Results

77 surveys returned in a mix of electronic and paper form.

3 schools answered the survey twice. Interestingly, all gave different answers on the two results. I only counted results from them that matched. That is, only screenings that were indicated on both surveys were counted.

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

This gave me a total of 73 discrete surveys answered.

4 survey takers seemed to not realize there was a back side to the paper survey and did not answer that which is why the questions regarding when screenings take place, shipments and visitors had only 69 responses counted.

One person taking the online survey did not answer the classified research page so that response had only 68 responses counted.

I divided this up by counting things first as a binary system of either yes or no based on what the person responded to in the questions. I noticed, however, that several people added notes stating things like they screened something in certain instances. I have noted the initial numbers in the tables below. I then listed the comments provided. These comments are divided into general notes as well as things not counted in the numbers. I have indicated adjusted percentages for some, but not all, categories beneath these sections. People may choose to add in the comments to the numbers for whatever situations they may find.

Here are the total screenings and percentages(rounded).

Visas: 73 responses

Type	# of Universities who screen	Percentage
H-1B visas	65	89%
O-1 visas	33	45%
J visas	45	62%
F visas	16	22%
Other	7	10%

65 schools screen at least 1 type of visa

Notes:

1 University runs all visas through RPS

1 screens all visa types

Other visas screened include A(2 universities), B, TN(2 universities), NATO

1 did not specify the other types screened

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

- 1 university screens visas on a case by case basis
- 1 screens all non-university personnel in certain colleges and units that do export controlled research(they also indicate that they screen all H-1B and O-1s which is reflected in the above numbers)
- 3 screen Js for certain countries
- 3 screen Fs for embargoed/high risk countries
- 3 screen some Fs

This would indicate that:

- 48(67%) schools screen J's at least some of the time
- 22(30%) schools screen F's at least some of the time

Student Screenings: 73 responses

Undergrad US	3	4%
Graduate US	5	7%
Post-doc US	5	7%
Undergrad International	9	12%
Graduate International	26	36%
Post-doc International	37	51%

38 Universities screen at least one set of students

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

- 1 university screens students working on export controlled projects
- 2 screen across all students depending on the activities
- 1 screens international grad and post-docs who are employees
- 1 screens international students if working on export controlled projects
- 1 screens some international graduate and undergraduates (they screen all post-doc international students which is counted in the above numbers)
- 1 screens depending on visa type and who they are working with
- 1 screens when they need access to controlled technology
- 1 screens international students from certain countries
- 2 screen some international grad and post-docs
- 1 screens international grad and post-docs is they are in certain types of research
- 1 screens graduate international students when requested
- 1 screens US grad and post-doc students in research

This would indicate that:

- 49(67%) schools screen at least one set of students

- 7(10%) schools screen US undergrads at least some of the time
- 10(14%) schools screen US grad students at least some of the time
- 10(14%) schools screen US post-docs at least some of the time
- 17(23%) schools screen international undergrads at least some of the time
- 39(53%) schools screen international graduate students at least some of the time
- 48(66%) schools screen post-doc international students at least some of the time

MTA Screenings: 73 responses

Incoming Domestic MTAs	23	32%
Outgoing Domestic MTAs	24	33%
Incoming Foreign MTAs	47	64%
Outgoing Foreign MTAs	59	81%

60 schools screen at least some type of MTA

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

- 1 screens some outgoing domestic MTAs
- 1 screens domestic MTAs if there is an export control issue

This would indicate that:

- 24(33%) schools screen incoming domestic MTAs at least some of the time
- 25(34%) schools screen outgoing domestic MTAs at least some of the time

Travel: 73 responses

Domestic Travel	0	0%
Foreign Travel	52	71%

52 schools screen travel

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

- 3 screen foreign travel when notified
- 1 screens foreign travel occasionally
- 2 screen to embargoed destinations
- 2 screen for certain foreign destinations
- 1 screens some foreign travel

This would indicate that:

- 61(84%) schools screen at least some foreign travel

Grants and other contracts: 73 responses

Grants	61	84%
Fee For Service(FFS)	33	45%
NDA's	53	73%

61 universities screen for one of these

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

- 1 screens NDA's and FFS if there is a foreign sponsor or red flag
- 3 screen some grants
- 1 screens some NDA's

This would indicate that:

- 64(88%) schools screen at least some grants
- 34(47%) schools screen at least some FFS
- 55(75%) screen schools at least some NDA's

Purchases: 73 responses

By the University from domestic sources	25	34%
By the University from foreign sources	43	59%
From the University by domestic sources	16	22%
From the University by foreign sources	25	34%

A total of 43 Universities screen purchases at some point.

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

- 1 screens some purchases
- 1 screens some purchases from the university by domestic sources (they screen for all three others which is reflected in the above numbers)
- 1 screens dome domestic purchases by the University
- 1 screens purchases by the University for export controlled projects
- 1 screens sole source purchases and anything over \$25,000
- 1 screens purchases on sponsored programs
- 1 screens purchases over \$5000 in engineering, science and IT

1 screens purchases over \$5000

1 screens if a threshold is met

This would indicate that:

51(70%) schools screen for at least some purchases

Time screened: 52 responses

Screen purchases before	22	
Screen purchases after	4	
Mixture of both	26	

I think I worded this question incompletely as it was meant to capture when screening for purchases was done. While 43 Universities indicated they screened purchases, 52 responses were given to this question so I did not provide a percentage as I was unsure what to base it on.

Shipments: 69 responses

Domestic shipments	2	3%
Foreign shipments	35	51%

35 universities screen shipments

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

3 screen some foreign shipments

1 screens when export control is being shipped

1 screens if export control items are being shipped and they are aware of the shipment

1 screens domestic shipments if they are export controlled

1 screens biological shipments

1 attempts to screen foreign shipments but has no centralized mechanism

3 screen foreign shipments that they are aware of

1 tries to screen foreign shipments

1 said "depends"

This would indicate that:

43(62%) schools screen foreign shipments at least some of the time

48(70%) schools screen shipments at least some of the time

Visitors: 69 responses

Conference visitors	14	20%
Regular campus visitors	22	32%

25 schools screen at least one type of visitor

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

- 1 screens conference visitors on a case by case basis
- 1 screens if the department contacts export control
- 4 screens some visitors
- 2 screens when they know they are coming
- 1 screens visitors who stay over a week
- 1 screens international visitors in high risk areas
- 1 screens visitors to foreign campuses
- 1 screens conference visitors when they are visiting a lab

This indicates that:

37(54%) schools screen at least some visitors

Classified:68 responses

Accepts classified	25	37%
Does not accept classified	43	63%

Developing processes:

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

The number in front indicates the number of Universities who are developing a process for that item.

- 8 shipments
- 6 visitors
- 6 answered yes without elaborating
- 4 are developing processes for all of the items in the survey
- 4 travel
- 3 visas
- 3 MTAs
- 3 vendors
- 2 grants
- 2 purchases
- 1 automate screening
- 1 students
- 1 grad and above
- 1 collaborators for NDAs, MTAs, MOVs
- 1 conference visitors
- 1 regular visitors
- 1 unifying separate processes
- 1 J visas

- 1 international visitors to certain areas
- 1 training
- 1 collaborators
- 1 planning to expand
- 1 domestic MTAs
- 1 domestic shipments
- 1 NDAs
- 1 visiting scientists
- 1 visiting students
- 1 tightening processes
- 1 students
- 1 visiting scholars
- 1 contracts
- 1 persons in med school and med center
- 1 wire transfers and check requests
- 1 visitors to controlled labs
- 1 purchases from foreign sources

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

	Accepts classified-25 total	Does not accept classified-43 total
H-1B	24	37
O-1	16	17
J	17	24
F	9	6
Undergrad US	3	0
Grad US	2	2
Post-doc US	2	2
Undergrad International	4	4
Grad International	9	14
Post-doc International	13	20
Incoming Domestic MTAs	10	12
Outgoing Domestic MTAs	11	12
Incoming Foreign MTAs	17	28
Outgoing Foreign MTAs	22	34
Domestic Travel	0	0
Foreign Travel	16	32
Grants	20	38
FFS	12	20
NDA	20	28
Purchases by the University from Domestic sources	10	13

Purchases by the University from Foreign sources	17	22
Purchases from the University by Domestic sources	7	7
Purchases from the University by Foreign sources	10	12
Domestic shipments	0	2
Foreign shipments	16	18
Conference visitors	5	9
Regular visitors	9	13