



UNIVERSITY OF WISCONSIN - MADISON

EXPORT CONTROL

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

Bethany Nelson

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2021 Screening Survey Results

Virtual

Compiled by Bethany Nelson of the University of Wisconsin-Madison

Previous survey results can be found at:

<https://research.wisc.edu/integrity-and-other-requirements/export-control/additional-information/>

70 surveys were returned with no schools submitted twice.

This is a decrease for the first time since the survey's inception, down from 82 last year, 77 the year before, 75 in 2018, and 67 in 2017.

Thank you to everyone who answered.

Broad Observations:

Generally, we're seeing priorities shift, with screening priorities seemingly moving from one area to another as if everyone has hit their work load abilities and are trying to prioritize as best they can.

It looks like offices are hiring more people to handle this area.

Certain areas like major category visa reviews seem to have pretty much stabilized with some movement, while an uptick in what a few years ago would be considered outlying areas (such as F visa reviews) continues to rise.

It's also interesting to see how numbers have decreased in the "screen some of the time" category while increasing in the "screen all" category, indicating that a shift toward more screenings instead of a divided approach is occurring.

Online course reviews took a large jump.

Restricted party interactions allowed remain fairly low overall.

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

Visas

Type	# of Universities who screen	Percentage	Change from 2020	Change from 2019	Change from 2018
H-1B	67	96%	+2%	+2%	+2%
O-1	40	57%	-7%	-3%	+6%
J	60	86%	-1%	+7%	+5%
F	39	56%	+7%	+8%	+18%
Other	23	33%	+2%	+19%	+19%



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Type	# of Universities who screen all the time	Change from 2020 / 2019	# of Universities who screen some of the time	Change from 2020 / 2019
H-1B	54 (77%)	-7% / +3%	13 (19%)	+9% / -2 %
O-1	25 (36%)	-8% / -4%	15 (21%)	No change / +2%
J	38 (54%)	+3% / +9%	22 (31%)	+4% / -3%
F	10 (14%)	+1% / +1%	29 (41%)	+6% / +6 %

Other: TN, B

Additional Information:

2 Handled by international office, not EC

2 working on screening process

Screen F1 opt and grad students from OFAC countries, for international campuses and online masters programs only

Visa support team requests screenings of undergrad and grad students from "high risk" countries

Screen all non-US persons obtaining an appointment

Students only if taking a job

J1s and F1s if they are coming from Iran

Focus on screening highest risk groups

Only screen foreign students if participating in restricted research or will need a license

RPS for all interactions and exchanges, US and foreign

Screen all employees

All visiting scholars

Foreign visitor office is not good at asking for screening

Screen F and other visas for STEM research

Screen variations such as TN and occasional B, would like to make it routine

Screen anyone working on controlled or restricted project that requires a TCP

Screen all foreign national visitors when the proper deemed export form is submitted

Foreign visitors outside of research are not mandated to be reported to EC office

Screenings are narrowly focused on who is accessing certain research, not every foreign student and visitor

Remote work reviewed for export controls and sanctions

Will implement J1 screening



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Student Screenings

Type	# who screen	percentage	Change from 2020	Change from 2019	Change from 2018
Undergrad US	27	39%	-1%	+7%	+14%
Graduate US	32	46%	-2%	+7%	+14%
Post-doc US	32	46%	-3%	+6%	+15%
Undergrad International	38	54%	+2%	+3%	+8%
Graduate International	57	81%	-1%	+3%	+14%
Post-doc International	59	84%	-1%	No change	+17%

Type	# of Universities who screen all the time	Change from 2020 / 2019	# of Universities who screen some of the time	Change from 2020 / 2019
Undergrad US	5 (7%)	+1% / +3%	22 (31%)	-3% / +3 %
Graduate US	5 (7%)	-2% / +3%	27 (39%)	No change / +4%
Post-doc US	5 (7%)	-4% / +1%	27 (39%)	+1% / +5%
Undergrad International	12 (17%)	+10% / +8%	26 (37%)	+8% / -5%
Graduate International	20 (29%)	+9% / +12%	37 (53%)	-9% / -8%
Post-doc International	31 (44%)	+11% / +14%	28 (40%)	-13% / -15%

Additional Information:

6 If participating in a project with a TCP

3 When added to controlled projects/ restricted research

Being developed

Anyone school sponsors visas for

All international grad students in STEM

Screen when in a lab with controlled items or a contract/grant with export control terms

Employees only

Screen based on projects, not students

Screen based on visa type

On a case-by-case basis

Only those associated with emerging tech in proposals
 State school is in is adding a statute that will require screening international students, potential employees, and US citizen who have spent significant time abroad.

Restricted Party Interactions

Type	# of schools who allow	Percentage	Change from 2020	Change from 2019	Change from 2018
Travel to Restricted Parties	19	27%	+1%	-7%	-4%
Visitors from Restricted Parties	19	27%	No change	-10%	-13%
Contracts with Restricted Parties	12	17%	+2%	+3%	+7%
Students from Restricted Parties	26	37%	+5%	-6%	-7%
Do not have a policy	18	26%	-2%	N/A	N/A
Has not come up	11	16%	+1%	N/A	N/A
Do not allow any	17	24%	+7%	N/A	N/A

Additional information:

- 10 Evaluated on case-by-case basis
- 2 Have policy that prevents all transactions with RP
- Have partner on entity list and have guidance on how to handle
- If travel, visitors, or students are approved, impose additional restrictions and explain that further collaboration may not be possible.
- Do not allow contracts or research visitors
- Had joint Phd program with some entities before they were placed on the list so those relationships are maintained with provisos.
- No centralized policy. EC provides risk assessment, but it's a business decision for each department.
- Work with an RP requires either a security plan or a restricted party visitor plan, but these are rare.
- Use acknowledgement forms for visitors on RP lists to notify supervisor of RP obligations.
- No policy but instances are discussed with university administration.
- EC provides guidance/advisory information for travel to entities on TP lists.
- No formal policy but provide education to hosting department and PI and let them decide.
- Travel department is not required to RP screenings.



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No policy of mechanism for comprehensive screening, done when EC becomes aware.

Cannot answer definitively because there may be visitors and travel that EC is not aware of.

Might allow based on department and field of study.

Advise caution, but if no restricted research it would be allowed.

Students are not screened unless identified as associated with research projects.

MTAs

Type	# of schools who screen	Percentage	Change from 2020	Change from 2019	Change from 2018
Incoming Domestic MTAs	37	53%	+7%	+9%	+14%
Outgoing Domestic MTAs	40	57%	+5%	+8%	+15%
Incoming Foreign MTAs	59	84%	+4%	+8%	+15%
Outgoing Foreign MTAs	66	94%	+9%	No change	+6%

Type	# of Universities who screen all the time	Change from 2020 / 2019	# of Universities who screen some of the time	Change from 2020 / 2019
Incoming domestic MTAs	13 (19%)	+1% / +1%	24 (34%)	+6% / +9%
Outgoing domestic MTAs	15 (21%)	-1% / +5%	25 (36%)	+7% / +13%
Incoming foreign MTAs	44 (63%)	+4% / +11%	15 (21%)	-1% / +4%
Outgoing foreign MTAs	59 (84%)	+12% / +15%	7 (10%)	-5% / +15%

Additional information:

If a domestic MTA includes a third party that's international, the international party will be screened

Only look at domestic MTAs with risk factors

All MTA and NDA have an RPS and export control review screening for all sponsors

Screen any ones that are flagged for EC office

Only when contract department sees an export control clause and forwards it

Only look at incoming MTAs if there is EC language

Only look at domestic outgoing if there is material with an ECCN



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Grants and other contracts

Type	# of schools who screen	percentage	Change from 2020	Change from 2019	Change from 2018
Grants	67	95%	+6%	-2%	-1%
Fee For Service(FFS)	51	73%	+2%	+11%	+16%
NDAs	61	87%	+5%	-4%	+2%
Other	17	24%	N/A	N/A	N/A

Type	# of Universities who screen all the time	Change from 2020 / 2019	# of Universities who screen some of the time	Change from 2020 / 2019
Grants	18 (26%)	-14% / -9%	49 (70%)	+21% / +8%
Fee For Service(FFS)	10 (14%)	-13% / -9%	41 (59%)	+15% / +20%
NDAs	16 (23%)	+7% / -17%	45 (64%)	+13% / +13%
Other	6 (9%)	N/A	11 (16%)	N/A

Additional information:

4 Grants and contracts with red flags are referred to EC

Office of Sponsored Programs does most of the award screening

Office of Grants and Contracts refers anything that contains reference to EC

Screen all agreements when contract identifies export control indicators via checklist

Any agreement entered into through the division of research is screened

Agreements that involved an international party are screened

Agreements that involve international component comes to EC

Purchases

Type	# of schools who screen	percentage	Change from 2020	Change from 2019	Change from 2018
By the University from domestic sources	37	53%	-2%	+1%	+6%
By the University from foreign sources	61	87%	+8%	+6%	+11%
From the University by domestic sources	27	39%	-2%	+2%	+13%
From the University by foreign sources	49	70%	+4%	+11%	+17%



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Type	# of Universities who screen all the time	Change from 2020 / 2019	# of Universities who screen some of the time	Change from 2020 / 2019
By the University from domestic sources	7 (10%)	-10% / -5%	30 (43%)	+8% / +6%
By the University from foreign sources	32 (46%)	+13% / +13%	29 (41%)	-5% / -7%
From the University by domestic sources	6 (9%)	-6% / -3%	21 (30%)	+3% / +5%
From the University by foreign sources	26 (37%)	+3% / +9%	23 (33%)	+1% / +3%

Time Screened

Type	# who screen
Screen purchases before	38
Screen purchases after	1
Mixture of both	21
Don't Screen	4

Additional Information:

2 Screening happens during vendor set-up process

Screening is happening mostly before if procurement is involved

Getting eShip Global so screening will happen before on that platform

Screen domestic vendors if they have EC terms in their Terms & Conditions or Licensing agreement
Being developed

Any purchase through procurement is screened, both foreign and domestic, but not all purchases go through procurement

All purchases over \$10,000 in STEM field are reviewed

Procurement screens around 35,000 vendors per year

Screening connected to purchases is haphazard with no policy or solid process, but the EC office is sometimes looped in

Purchasing requests ECCN information and notifies EC of anything that is not EAR99

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ITAR item purchases need to be approved by VP for Research

EC doesn't receive purchasing information

Purchasing does RPS screens

Note: Feedback was received regarding the wording of the purchasing question and an attempt will be made to clarify in future, perhaps by asking about vendors and p-cards.

Travel

Type	# of schools who screen	percentage	Change from 2020	Change from 2019	Change from 2018
Foreign Travel	64	91%	-6%	No change	-6%

Type	# of Universities who screen all the time	Change from 2020 / 2019	# of Universities who screen some of the time	Change from 2020 / 2019
Foreign Travel	27 (39%)	No change / +11%	37 (53%)	-1% / +10%

Additional information:

Questionnaire for foreign travel and review the ones needed

International travel registry sends EC office registrations for certain destinations, activities, travel with equipment, or travel on a TCP

Screen foreign travel that is registered with the University

State we are located in is adding a statute that will require us to screen international travel

Recently began requiring all international travel be reviewed by EC office

Shipments

Type	# of schools who screen	percentage	Change from 2020	Change from 2019	Change from 2018
Foreign shipments	62	89%	+10%	+2%	+7%

Type	# of Universities who screen all the time	Change from 2020 / 2019	# of Universities who screen some of the time	Change from 2020 / 2019
Foreign shipments	20 (29%)	-5% / +2%	42 (60%)	+15% / no change

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Additional information:

- 11 Review all that are brought to EC office's attention
- Don't have a good handle on foreign shipments
- Don't screen international documents

Visitors

Type	# of schools who screen	percentage	Change from 2020	Change from 2019	Change from 2018
Conference visitors	37	53%	-2%	No change	+7%
Regular campus visitors	45	64%	-1%	No change	No change

Type	# of Universities who screen all the time	Change from 2020 / 2019	# of Universities who screen some of the time	Change from 2020 / 2019
Conference Visitors	5 (7%)	+6% / +4 %	32 (46%)	-9% / -5%
Regular Visitors	7 (10%)	+4% / -3%	38 (54%)	-5% / -3%

Additional information:

- 5 Screen international visitors when informed
- 3 Only screen foreign persons coming to campus
- Developing a process
- Screen vendors and contractors
- Visitors less than 3 days are not screened
- Depends on business relationship
- All visitors to ITAR projects are screened
- Have occasionally done screening for virtual conferences
- Depends on where the visitor will be allowed

Online Courses

Type	# of Universities	Percentage	Change from 2020	Change from 2019
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Offers online courses	67	96%	+17%	+11%
Does not offer online courses	3	4%	-7%	-11%

Sanctioned screenings of online courses

Calculations based on 65 responses to this question

Type	# of Universities	Percentage	Change from 2020	Change from 2019
Screen online course participants for sanctioned country students	25	38%	+9%	+15%
Do not screen online course participants for sanctioned country students	15	23%	-15%	-41%
Unsure	12	18%	-5%	N/A
Other	13	20%	+10%	N/A

Additional information:

- Screen when brought to EC office's attention
- Only when remote abroad
- Office of online education is aware of limitations
- Online grad students
- Screening is managed by online/distance learning unit
- Screen the shipment of their documents for enrollment
- Online course platform is not available in sanctioned countries
- Have IP blockers in place

Mandatory Training

Type	# of Universities	Percentage	Change from 2020	Change from 2019	Change from 2018
Mandatory Training	47	67%	+1%	-9%	+5%
No Mandatory Training	21	39%	+12%	+15%	+6%

Some schools indicated the specific areas of mandatory training as follows:

- 20 schools require training for TCP participants
- 6 CITI program



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CUI projects

Getting CITI training to encourage more stakeholders on campus to take

Brief module included in the annual mandatory compliance training

Admin staff incorporated in the compliance program, like sponsored research, have training

Annually IT security staff and OSP pre-award staff

Export and sanctions notice to all new employees

Annual reminder to all university personnel

As requested

In grants process with interactions with foreign entities

People who sponsor J1s/H1bs

Faculty, staff, and students involved with sponsored research

Faculty, staff, and students that intersect with export control regulations

Every two years, there is mandatory training for college deans, academic unit heads, anyone on a TCP,

Export Control Advisory Committee members, non-academic heads of departments that are likely to overlap with export controls, and personnel who approve annual faculty activity reports

For people working with controlled technology

All full-time employees every three years

Sponsored programs offers compliance training in which EC has a small section

Online new faculty training

Number of Export Control Staff

69 responses

Amount of Export Control Staff	# of Universities	Percentage	Percentage change from 2020
Less than .5	15	21%	No change
.5-.99	8	12%	-1%
1	14	20%	-5%
1.01-1.5	9	13%	+2%
1.51-1.99	5	7%	+6%
2	7	10%	-6%
3	3	4%	-4%
More than 3	8	12%	+7%



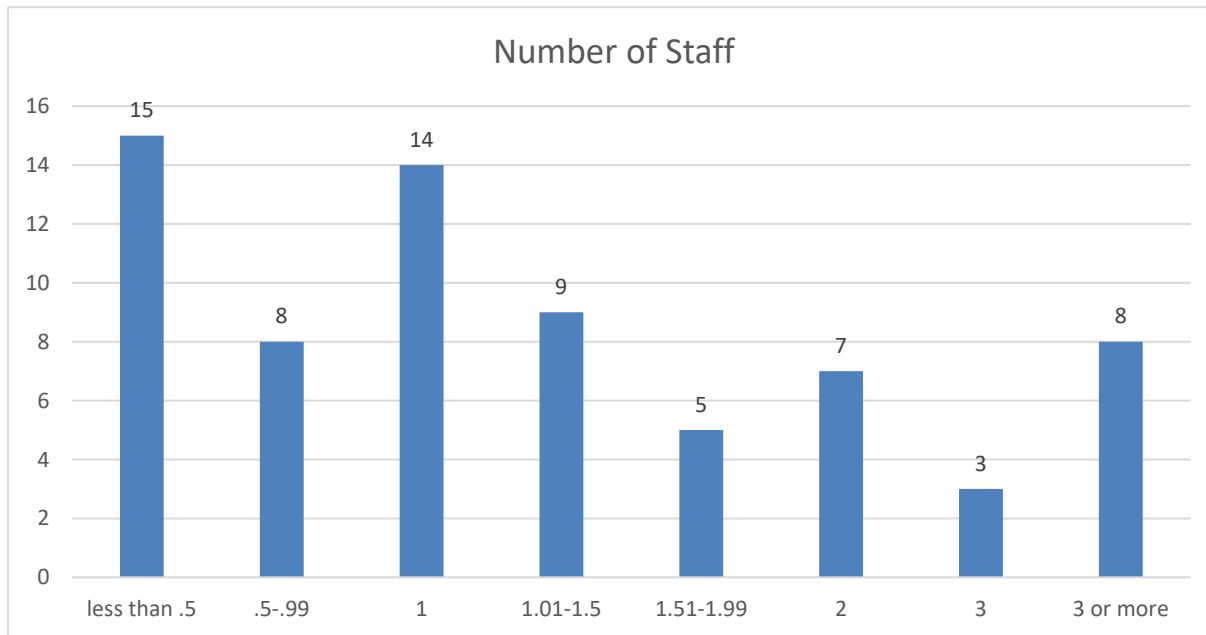
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Developing Processes

51 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 travel

6 Training

4 Export control policy and procedures

5 Shipping

4 Visiting scholars

3 J-1 visas

3 Visitor screenings

2 All

2 Campus wide visitor policy

2 TCPs

EC transitioned to Office of General Counsel to be centralized so more staff are being hired to develop more process and procedures

Screening the countries of students

H1-B visas

Trying to get screening incorporated into functional area SOPs



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Automating messages to students living in sanctioned countries and taking remote courses

Reference RPS

Formal policies for international collaborations

Update data policies

Visa screenings beyond H1-Bs

Vendor/purchase screening

Expansion of deemed export worksheet

Procurement implementing screenings

Building a working relationship with the Global Education Office

Foreign visiting faculty

Streamlining/reducing screening for all foreign shipments

Clean laptop program

Review unfunded research projects

Getting policy and manual implemented

Outreach to department heads for J-1 screenings

Technology assessment

Visa reviews

Online student course roster

Foreign student screening policy

Restricted party screening

Remote work

MTAs

NDA's

Conflict of Interest

Undue Foreign Influence

Visitor registry

International visitor policy

Classified Research Acceptance

69 responses

Accepts classified	22	32%
Does not accept classified	39	57%
Other	8	12%

Other:

2 No classified research at this time, but probably open to it

3 Conducted off campus

Subsidiaries do

Unsure



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Previously, but not currently

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 22 total etc.).

	Accepts classified-22 total	Does not accept classified-39 total
H-1B	22 (100%)	38 (97%)
O-1	12(55%)	22 (56%)
J	20 (91%)	34 (87%)
F	16 (73%)	19 (49%)
Other	9 (41%)	11 (28%)
Undergrad US	12 (55%)	11 (28%)
Grad US	14 (64%)	13 (33%)
Post-doc US	14 (64%)	14 (36%)
Undergrad International	15 (68%)	18 (46%)
Grad International	21 (95%)	30 (77%)
Post-doc International	21 (95%)	31 (79%)
Allow travel to Restricted Parties	3 (14%)	13 (33%)
Allow Visitors from Restricted Parties	3 (14%)	13 (33%)
Allow contracts with restricted parties	1 (5%)	9 (23%)
Allow students from restricted parties	6 (27%)	17 (44%)
Don't allow any restricted party interactions listed	10 (45%)	6 (15%)
Incoming Domestic MTAs	11 (50%)	19 (49%)
Outgoing Domestic MTAs	13 (59%)	20 (51%)
Incoming Foreign MTAs	20 (91%)	32 (82%)
Outgoing Foreign MTAs	11 (100%)	37 (95%)
Grants	20 (91%)	38 (97%)
FFS	17 (77%)	28 (72%)
NDA	21 (95%)	33 (85%)
Purchases by the University from Domestic sources	13 (59%)	20 (51%)
Purchases by the University from Foreign sources	21 (95%)	33 (85%)



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Purchases from the University by Domestic sources	10 (45%)	13 (33%)
Purchases from the University by Foreign sources	18 (82%)	25 (64%)
Foreign Travel	21 (95%)	37 (95%)
Foreign shipments	20 (91%)	35 (90%)
Conference visitors	15 (68%)	19 (49%)
Regular visitors	17 (77%)	24 (62%)
Mandatory Training	17 (77%)	24 (62%)

Other comments:

Currently the EC team has a lawyer and paralegal borrowed from another team and a temp employee. Office has two people but duties include things like stem cell approvals and research integrity investigations.

We were able to add a .5 employee in 2021.

I need help convincing the administration that EC needs more info.

In process of hiring a FTE dedicated to export control compliance.

Currently use an RPS tool that does not rescreen entities, and are in the process of integrating Visual Compliance with PeopleSoft for export control screenings.

Distribute compliance responsibilities throughout departments as well as centrally.