Good Afternoon, Chairman Baird, Ranking Member Ehlers, and subcommittee members. My name is Catheryn Cotten and I am Director of the International Office for both Duke University and Duke Medical Center and Health System. I appreciate the opportunity to provide testimony today on behalf of Duke, the American Council on Education and the Association of American Universities.

Before I begin my formal remarks, I would like to say a few words about Duke University and its medical and health enterprises. Duke University, Medical Center, and Health System comprise a major teaching and research university and teaching hospital. We grant undergraduate, graduate, and professional degrees and offer a multitude of organized, formal, and informal educational opportunities. Many of these lead to certification or other professional or vocational recognition. We operate one of the nation’s leading medical research facilities and teaching hospitals. Our university and medical facilities host numerous international students, scholars, patients, and visitors as a normal part of our daily operations.

We work cooperatively with both government research facilities and the research and development branches of businesses involved in science, medicine, technology, engineering, computing, mathematics, social sciences, and humanities. These relationships allow us to offer a broad range of experiences and opportunities to international faculty, research scholars, students, and international visitors. We have approximately 1,800 international students, most in F-1 or J-1 student status, who may file for student-connected work permission or other benefits.

We use the J-1 Exchange Visitor Program and H-1B, O-1, and TN, to sponsor approximately 1,000 international faculty, research scholars, and persons with specialized knowledge and skills to teach, conduct research and share their expertise.

We appreciate the opportunity to offer testimony. While we cannot speak for all educational institutions, we know that other colleges, universities, and research institutions...
share similar issues and concerns regarding opportunities for international students and scholars.

We have been asked to respond to three questions:

1. How do foreign students and scholars contribute to the science and engineering enterprise at your university?

   Statistical reports abound regarding the numbers and percentages of international students and scholars in our nation’s educational institutions and research facilities and the contributions that they make. Of the 2,800 international students and scholars at Duke, most are in science, technology, engineering, and mathematics fields.

   Duke is committed to interdisciplinary education and research to maximize and multiply the effective development of new technologies. Examples of such integration include: environmental science, resource management, environmental law, and public policy; computer applications in genomics or cardiology and related health statistics and demographics; biomedical engineering and new therapy developments leading to targeted drug delivery systems or quicker transitions of new therapies from “bench to bedside.”

   The very best U.S. and international students and scholars compete for admission to our degree programs and acceptance into our research projects. They bring not only superior knowledge, skills, and abilities, as do their U.S. colleagues, but they also offer new perspectives on ways of using disparate technologies to solve problems and identify new avenues of research.

2. How have visa delays or denials affected the ability of your university to recruit and retain top science and engineering students from abroad? How have they affected your ability to attract scholars for short-term appointments and research collaborations? To what extent has this process improved in the last few years? What difficulties remain? Did the significant problems for foreign students and scholars in the early years after 9/11 lead to long-term consequences for your university?

   We cannot know all that we have lost, the successes that might have been. How many excellent students or scholars, hearing the visa application horror stories from cousins, colleagues, and classmates, made the decision not to attempt to come to the U.S.? How many, while waiting to get a U.S. visa, gave up and took their second or third choice offer in another country?

   In the years immediately after 9/11, the U.S. created barriers for students and scholars that only the most dedicated schools, students, and scholars were able to cross. We had to defer admission for students who could not arrive on time, and we lost some students completely as they saw themselves falling behind their colleagues professionally because of visa delays or denials. Research projects were delayed or harmed because key researchers
could not arrive on time or could not come at all. Much remains to be done, but in recent years we have seen improvements:

- THEN mandatory interviews and wait times for visas at embassies and consulates caused serious delays. NOW the Department of State (DOS) policy of priority interviews for F-1 students and J-1 students and scholars sends a positive message and produces positive results. We are pleased and proud to be able to tell our students and scholars that our university wants them, that the U.S. wants them, and that the DOS, their “first contact point,” is showing that in meaningful ways.

- THEN security background checks delayed people for many months, often with no avenues for resolution and “no end in sight” for the review period. NOW the process has become more regularized, communications among the various agencies has improved, processing times have become shorter and more predictable, and DOS has developed processes for investigating and resolving most serious delays. Even so, we still must wait at least three months before inquiring about a security check that seems to be stuck in the system.

- THEN the Student and Exchange Visitor Information System (SEVIS) was developed in haste after 9/11, ignoring or omitting many of the positive operational elements that had been planned for a more organized roll out. The system was rigid and did not reflect the regulations under which schools and exchange programs were required to operate. The nascent database and data sharing capabilities created delays and confusion, produced false or conflicting data, resulted in denials of proper benefits, and visited hardships on our students and scholars. NOW the Department of Homeland Security (DHS) is and has been working diligently with the educational community to add and upgrade SEVIS functionality. Unfortunately, we still find that in certain areas the software conflicts with the regulations, that students and scholars have benefits delayed or denied, and that data fails to move swiftly or accurately among databases. On the positive side, the information in the current version of SEVIS seems to be more available to DOS consular officers and DHS port officers. Those officers seem more confident about relying on the information in SEVIS to admit students and scholars into the U.S. But we still see a lag in functionality in SEVIS for the J-1 program. We understand that DHS is planning a total revision of SEVIS. We welcome that endeavor and hope to be an active and involved part of the process.

3. Do you have recommendations for changes or improvements to current policies that would further improve the flow of students and scholars without compromising national security? How do you communicate your concerns and recommendations to the relevant federal agencies and how responsive are the agencies?
Reviewing the past and present informs us. But moving toward future improvements with a willingness to think differently empowers us to bring the best of the best to the U.S. and to build the strong and lasting international relationships that contribute fundamentally to our national security. In response to this question, we have identified areas that continue to frustrate international exchange and offer different ways of addressing issues of concern. We have placed the most important items first in each section.

STATESIDE VISA EXTENSION OR ISSUANCE

Having to apply for visas abroad, lengthy security clearances, and the fear of rejection or delays prevent critical and important exchanges. Individuals are afraid to attend meetings or conferences or to visit family at home. A few years ago, a Duke Ph.D. student went home to pick up her parents so they could attend her graduation. When she tried to return to the U.S, she was denied the student visa she needed to return and defend her dissertation and graduate. Also, a Duke researcher who attended a conference overseas was “trapped” outside the U.S. for months waiting for a security clearance.

The recent DHS regulations regarding the REAL ID Act create additional problems by making one of the documents used to establish identity an “unexpired foreign passport with a valid, unexpired U.S. visa affixed accompanied by the approved I-94 form documenting the applicant’s most recent admittance into the United States.” A review of the other documents that could be used to show identity indicate that, in most cases, our international students and scholars would not have access to alternate documents and would be forced to use the passport with a valid visa stamp. Coordinating travel to get visa stamps, which can only be obtained abroad, against driver’s license, passport, and I-94 expirations (all with possible different dates) will become a travel and consular post nightmare.

Policy/Practice Solutions – What could be done now.

The most useful change would be allowing stateside visa applications, security clearances, and granting of visas before people leave the U.S. DHS and DOS have the authority to make stateside processing possible. Indeed, stateside processing used to be available for the H-1B visas. Our students and scholars would be willing to pay appropriate fees to make this service available. An individual who needs to attend a four-day meeting abroad would not have to spend an extra three weeks outside the U.S. to get a visa stamp and worry for those three weeks that it might not be granted.

With the availability of e-communications among U.S. departments, agencies, law enforcement, and security entities, there is no reason to force consular posts to process visa extensions rather than providing that service stateside.
In addition, to the extent possible under the law, the federal government should provide long-term visa stamps to students and scholars so they are not forced to apply for new or extended visa stamps so often. Such changes made to the F and J visas a few years ago have been very useful. We need to build on that success.

**NONIMMIGRANT INTENT**

F and J status require “nonimmigrant intent” or proof of intention to return home. The inability to show nonimmigrant intent is one of the most common reasons for visa delay or denial for F and J students and scholars. Determination of intent requires consular officials to engage in a kind of psychic mind reading. They must speculate on the intent of the applicant and make a visa decision in part on that speculation. Although DOS instructions in recent years have allowed consular officers to give these students and scholars the “benefit of the doubt,” the unpredictability of this determination makes students and scholars afraid to travel. If and when they receive the first visa stamp and arrive in the U.S., their memories of the worries and uncertainty of that process stay with them. Students may remain in the U.S. for years, fearing that if they try to visit their families they will not be able to return to the U.S. Scholars hesitate to attend important international meetings and conferences, fearing they will be stuck outside the U.S. for months or indefinitely. (Please see Appendix 1 for further discussion of this point.)

**Policy/Practice Solution – What could be done now**

In order to alleviate this uncertainty for international students and scholars, DOS could simply interpret immigrant intent differently for F and J visas. Rather than asking consular officers to “guess” at intent, DOS should set a simple standard. If F or J applicants have not had labor certification or immigration petitions filed on their behalf and have not filed an application for lawful permanent resident status, that should be considered evidence of nonimmigrant intent.

Some may argue that the “exchange” nature of the J Exchange Visitor Program assumes and requires a strong intent to return to the home country, and thus should be held to a strict standard. Again, if a person has taken no formal, legal action toward legal permanent residency status, that person has shown no immigrant intent. We should also rethink the 20th century ideas of exchange in the 21st century. When information can be shared globally and instantly electronically, J exchange visitors may be more effective in sharing and carrying out the purposes of the Exchange Visitor Program based on their access to communications rather than their presence in a specified geographic location.

**Statutory Solution**

Remove the nonimmigrant intent language from the F visa, and possibly from the J visa. The F change has been discussed for years.
ELIMINATE THE J-1 PROFESSOR-RESEARCHER CATEGORY “BARS”

The DOS J-1 Exchange Visitor Program (EVP) has convoluted regulations on “bars” to participation in the Professor/Research Scholar (PRS) category that wreak havoc on teaching and research. For colleges and universities, this is the most serious issue in the Exchange Visitor Program. In brief, the PRS category has a five-year participation limit if the person participates in the program continuously for five years. However, if we bring a researcher to the U.S. in the PRS category for a few months and that person returns to the home university to continue collaborative research, he or she is barred for two years from returning to the U.S. in the PRS category. (There is another six-month/12-month bar operating within and around the two-year bar, but that is more detail than is necessary for this discussion.)

The bars completely disrupt critical collaborative research and academic exchange. Important senior scholars or young and innovative researchers might come to one university for a period of time, but could not return later to another university until two years have passed. Officials with the DOS Exchange Visitor Program explain this bar as protecting the integrity of the EVP by preventing “repeat” visitors, which they seem to see as an abuse of the program. Repeat visits, ongoing exchanges, and a free flow of talent is exactly what we need. EVP officials also have argued that a professor should not be permitted to teach a senior level course during one semester each year as a J-1 exchange visitor. Instead, they say, the university should invite a different person to teach that course each year, thus increasing the number of people who can participate in exchange. Such a philosophy ignores the basic concepts of academic teaching and research and educational exchange. The number of people at the top of the field in any discipline is limited. Professors cannot be used as “interchangeable parts” in senior level courses and research. Equally important, having them engage in intermittent exchange generates and multiplies exchange opportunities for others. By building strong ongoing relationships, we create conduits for young students and scholars, both U.S. and international, to travel between and among institutions globally.

Policy/Practice Solution – What could be done now.

DOS could simply change its regulations to remove the “six-/12- month” and “two-year” bars. These bars are entirely a construct of the DOS-EVP, which could be changed easily. The higher education community has advocated strongly for such changes, but DOS-EVP officials appear to believe that our arguments lack sufficient merit or show a misunderstanding of the role of professors and research scholars in the Exchange Visitor Program.

NEW HIGHER EDUCATION NONIMMIGRANT CLASSIFICATION

Currently there is no nonimmigrant classification that meets the special needs of higher education and research institutions. Teaching and research activities are funded from
multiple sources, have varying duration, may or may not involve employment, and often involve multiple sites. Teachers and researchers need quick and easy ways to navigate these opportunities and to travel globally. The H-1B, while useful and valuable to academe, is fundamentally an employment classification controlled by a cumbersome petition process through DHS. It does not permit multiple funding sources (private or public grants, home country, home employer, etc.). The J-1 provides useful flexibility, but, as described above, DOS has made the J-1 very difficult to use and requires nonimmigrant intent. This makes travel unreliable and risky.

**Legislative Solution**

Create a new nonimmigrant classification with the following characteristics:

- Is managed in SEVIS directly by the college, university, or research facility, as is the J currently. Institutions would be responsible for proper management. This change would bring personal and study/research data into the SEVIS database, thus contributing to national security and making valuable information available to the government in a form that could be easily “mined.”
- Does not require nonimmigrant intent. As already mentioned, nonimmigrant intent hampers our ability to conduct research globally. We need to remove, not create, barriers to travel.
- Can be funded from multiple sources without requiring a “prevailing wage” or “required wage” only from the U.S. employer. We do not suggest that these faculty and researchers should not have adequate funding, but rather that they be permitted to receive support from usual academic sources and at usual academic rates.
- Does allow individuals to participate in various academic activities with other institutions or organizations with or without reimbursement of expenses or payment of honoraria or other compensation. Professors and researchers will often be asked to lecture or consult at other institutions or may be offered the opportunity to write book chapters, edit books, etc., for a fee. The host institution should be able to authorize such activities as part of and appropriate to usual academic appointments.
- Does permit long-term (five-10 years), continuous, intermittent, or sporadic use without “bars” or similar penalties. While the specific limits may require further discussion, a restructured SEVIS should enable educational institutions to manage participation through notices and updates in SEVIS, rather than through lengthy petitions through DHS.

**GENERAL WORK PERMISSION AND EXTENDED OPTIONAL PRACTICAL TRAINING FOR F-1 STUDENTS**

F-1 and J-1 students are permitted variations in work permission that have special rules and restrictions as to location (on or off campus), hours (usually 20 hours per week...
during school and full-time during vacations), and purpose (usually must be related to field of study or for severe economic hardship).

Students need generalized work permission to participate in the many service and enhancement opportunities that schools and businesses make available to them. For example, Duke Engage (see Appendix 2) provides opportunities for students to volunteer their services in communities or engage in research or enrichment in the U.S. and abroad. The inability to “work” causes unexpected problems. Example: An international student volunteers to teach during a summer science enrichment program for junior high school students. All volunteers are given housing and a small stipend of $1,000 to offset living expenses. All volunteers must go into the host school’s employee system to receive the housing and stipend and for insurance and liability purposes. The student and school must complete an I-9, which the international student cannot do, as he/she does not have work permission. The valuable resource of this international student’s talent and love for science is lost to young U.S. citizens because this student cannot “work” in the U.S.

F-1 students also need more Optional Practical Training (OPT) time and they need for that time to be made available in usable increments. A student can use OPT time either during the educational program or after graduation. Motivated students who wish to undertake experiential learning and research opportunities during their summer vacations can use up most or all of their OPT, leaving little or no OPT time after graduation. In addition, the current OPT adjudication mechanisms at DHS can waste valuable OPT time by requiring that OPT be used in large chunks or by making it impossible to end permission and reclaim unused time.

In 2007, DHS took far more than 90 days to adjudicate summer OPT requests. DHS is required by its own regulations to grant immediate interim work permission if it takes longer than 90 days to adjudicate an application. DHS refused to follow its own regulation, thus causing students to lose jobs because they could not report to work on time.

Policy/Practice Solution – What could be done now.

Give F-1 and J-1 students general work permission for 20 hours per week while school is in session and full-time during breaks and vacations. SEVIS provides a way to control and manage such permission through its reporting mechanisms. As they do now with Curricular Practical Training (CPT), schools could authorize and report other work and issue documents that employers could use to verify employment authorization.

Lengthen the period of OPT and make it easier to manage. DHS is already working on revising the OPT rules to lengthen the period of OPT from 12 to 29 months. We applaud and strongly encourage this change.
We also recommend that the OPT no longer be an adjudication action, but rather an authorization by the school official properly reported through SEVIS. Again, the mechanism already exists to do this for CPT. SEVIS could easily incorporate OPT into this process. Handling the OPT through SEVIS reporting would also provide more direct and accurate information on the work in which students are engaged, thus improving database information. We understand that DHS may depend upon the additional income currently generated by the OPT adjudications (Form I-765) to cover other non-OPT costs. This balancing of income against quality and speed of service needs closer review.

WORK PERMISSION OPTION FOR F-2 DEPENDENTS

DHS should amend its regulations to allow F-2 dependents to apply for and receive general work permission, as is now the case for the J-2. Allowing dependents to work not only provides useful additional income, but also provides a much greater benefit in giving the F-1 student and his/her family fuller participation in and understanding of the American way of life.

Thank you Chairman Baird, Ranking Member Ehlers, and members of the subcommittee for this opportunity to testify and share some of my experiences in shepherding international students and scholars through the visa process. I appreciate your interest in this important issue and welcome the opportunity to answer any of your questions.
Bruce and Martha Karsh to Give $20 Million to Support International Students

The gift is the Karshes' second in three years to support financial aid, bringing their total support for Duke students to $32 million.

Wednesday, January 30, 2008

DURHAM, NC -- Duke University trustee Bruce Karsh and his wife Martha will give the school $20 million in permanent endowment to support undergraduate students from other countries, President Richard H. Brodhead announced Wednesday. This gift, which includes $15 million for financial aid, is the largest donation devoted to the needs of international undergraduates in Duke’s history.

The gift is the second from the Karshes to support financial aid in the past three years. In 2005, they committed $12 million principally to support Duke’s need-based financial aid endowment for domestic undergraduate students, bringing their total support for students to $32 million.

“The Karshes understand the importance of a robust financial aid program and the advantages to all Duke students if the best in the world are among them,” Brodhead said. “In the past, while we have had some aid for international undergraduates, we have been open mainly to those who could afford Duke. We will now be able to admit many more who require financial aid, enriching our community and advancing Duke’s global connectivity.”

Most of the gift, $15 million, will be used to establish an endowment that provides need-based scholarship grants to international undergraduates. Officials said the gift will enable Duke to bring the number of aided international undergraduates on campus to around 90. Currently, 416 international students are enrolled in Duke’s two undergraduate schools, the Trinity College of Arts and Sciences and the Pratt School of Engineering.

The balance of the gift will be used to enhance the experience of international students who receive aid. Half of this, $2.5 million, will establish an endowment to provide enhanced benefits to all aided international undergraduates, including financial assistance for travel home and an expanded orientation program when they arrive on campus.

[Committee Testimony Note: Having money to go home makes it financial possible, but if these students are afraid that they cannot get a visa to come back, they may choose not to go home. Both stateside processing of visa extensions and a rethinking of nonimmigrant intent are needed to make these students feel secure enough to travel.]

The final $2.5 million will establish an endowment to support the Karsh International Scholars Program. This new program will provide a select group of aided international students with funding for three summers of research or research-service opportunities in Durham, throughout...
the U.S. or abroad, including in their home countries. The program is expected to support summer stipends for about 20 such scholars who will be selected through a competitive process.

[[Committee Testimony Note: While the stipend may come from Duke, the kinds of activities may require that students go on “payroll” (perhaps at zero rate) for other purposes such as insurance at the summer venue. Such students would have to be employable (“I-9able”) even if they were receiving no direct payment. Further, students who are afraid that they cannot get visas will be reluctant or unable to participate in programs abroad.]]

“We expect the Karsh International Scholars Program to draw some of the most accomplished international students in the world to Duke,” Brodhead said.

Duke is one of a limited number of schools with a “need-blind” admissions policy, which means that all U.S. applicants are accepted regardless of their ability to pay for college. Duke guarantees it will meet 100 percent of demonstrated financial need. Financial aid packages combine grants, loans and work-study opportunities after assessing what parents and students can reasonably contribute. More than 40 percent of Duke’s undergraduates receive financial aid to attend the university. In December, Duke announced significant enhancements to its financial aid program to provide access to a Duke education for lower and middle income families. (See http://news.duke.edu/2007/12/financialaid.html/)

In his 2004 inaugural address, Brodhead identified increasing Duke’s endowment for financial aid as one of his top priorities. In 2005, he announced a three-year campaign, the Financial Aid Initiative, with a goal of raising $300 million in endowment by Dec. 31, 2008. (See http://news.duke.edu/2005/12/financialaid.html) With $15 million of the Karshes’ gift directed to financial aid endowment, the effort to date has raised $260 million, more than 85 percent of the goal.

“We heartily endorse Duke’s commitment to a ‘need-blind’ policy for domestic students, as well as its effort to increase assistance to talented students from around the world,” said Bruce Karsh, a 1977 Duke graduate. “In making this gift, Martha and I seek to enhance intellectual diversity at Duke and offer the world’s best and brightest students, regardless of financial circumstances, the opportunity to study at one of this nation’s top universities. In addition, we hope to foster cross-cultural alliances and friendships that will both promote the power of education and encourage goodwill toward Duke and the United States throughout the world.”

Bruce Karsh is president of Oaktree Capital Management, LLC in Los Angeles. He chairs the board of directors of Duke Management Company, which is responsible for managing Duke’s endowment, and is a member of the Duke Board of Trustees’ Executive Committee.
APPENDIX 2

Following is a sampling of items selected from the Duke web site. Note the science and technology components and the global nature of the study and research. Visits to the web sites of other major teaching and research institutions would show similar global involvement.

http://www.international.duke.edu/

Highlights of Duke Internationalization

- Duke undergraduates study abroad at the highest rate of participation (48%) of any of the top ten private research universities.

- Duke offers instruction in 25 foreign languages

- The Duke Class of 2011 is 9.4% international

- Duke offers an undergraduate major in International Comparative Studies

- The DukeEngage program offers every student a civic engagement opportunity somewhere in the world

- Duke has five Federally-funded Title VI Centers for Foreign Language and Area Studies

- Duke has a Federally-funded Title VI Center for International Business Education and Research

- Duke has a Global Health Institute involving all its schools

- Duke has over 300 partnerships with international institutions

- Duke has a world-wide network of over 40 international alumni clubs

International News

- Following the Law on Export Controls
  published on Wed, 30 Jan 2008 17:08:00 -0500
  New office helps faculty, staff navigate federal rules

- Dressy Top and Jeans Make for a Ball Supporting Women’s Health in Africa
  published on Wed, 30 Jan 2008 15:45:00 -0500
  Duke to hold first Blue Jean Ball Feb. 16

- New Rules for the Road
  published on Wed, 30 Jan 2008 15:20:00 -0500
  New policy improves opportunities for international study

- Bruce and Martha Karsh to Give $20 Million to Support International Students
  published on Wed, 30 Jan 2008 13:06:00 -0500
  The gift is the Karshes' second in three years to support financial aid, bringing their total support for Duke students to $32 million.

- President Addresses Duke Community on Death of Graduate Student
  published on Mon, 21 Jan 2008 21:30:00 -0500
  Open forum to be held Jan. 23 in CIEMAS
Duke Receives Largest Number of Applications in School History

Duke's new financial aid policies may have encouraged more students to apply, said Dean of Undergraduate Admissions Christoph Guttentag.
http://dukeengage.duke.edu/

About DukeEngage

The DukeEngage program provides funding for Duke undergraduates who wish to pursue an intensive civic engagement experience anywhere in the world. Through DukeEngage, students apply what they have learned in the classroom to address societal issues at home or abroad. Not only do students tackle real-world problems, but they develop the valuable skills and self-knowledge that evolve from spending time in an immersive service experience.

The Duke Endowment and the Bill & Melinda Gates Foundation each contributed $15 million to start an endowment that will enable a significant portion of Duke’s student body to serve locally, nationally and internationally through DukeEngage. Through their service, Duke students and the communities they touch will be transformed.

Any Duke undergraduate who has completed at least two semesters of classes is eligible for participation. Duke will cover expenses (travel and living) associated with the immersive experience. For students on need-based financial aid, Duke will also assume responsibility for the “summer earnings” requirement.

Students can serve in one of three ways:
• by participating in a Duke-sponsored or organized program;
• by participating in a program that Duke coordinates with an outside provider of student internships or volunteer work in the U.S. and/or abroad;
• by submitting a funding proposal for a unique internship experience of a student’s own creation.

In the summer of 2007, nearly 90 Duke students participated in the DukeEngage pilot program, serving in Durham (NC), New Orleans, India, Kenya, Tanzania, Yemen, Ukraine, Costa Rica, South Africa and other locations across the globe.

[[Committee Testimony Note: The domestic work and volunteer services raise the “employment” issues already mentioned. The international travel opportunities raise the stateside visa extension and nonimmigrant intent issues already mentioned.]]