



UNIVERSITY OF SOUTHERN MAINE
Office of Research Integrity & Outreach

H1-B DEEMED EXPORT WORKSHEET

Must be completed by the beneficiary's direct supervisor/project principal investigator(s) ie Sponsor. Note that because the H-1B must be sponsored by a single department, the sponsoring department is responsible for reviewing all projects and programs under which the H-1B nonimmigrant employee will be funded, including those housed in other departments.

Section A. Beneficiary Information

Beneficiary's name:
Country of citizenship:
Country of legal permanent residency:
Country of most recent residency:
Foreign institution/entity affiliation (if any):
Applicant proposed hire date:

Section B. Sponsor Information

Name of sponsor (supervisor/PI):
Name of sponsoring department:

Section C. Document Checklist

- Job description
Beneficiary's curriculum vitae

Table with 3 columns: Beneficiary's Passport Pages for Country of, Citizenship, Permanent Residency. Rows include Country of issuance page, Photo page, Signature page, Vital statistics page.

Section D. Project Information

Titles & PeopleSoft chartfields of all known grants/contracts on which the beneficiary will work:

Table with 2 columns: Grant/Contract Title, PeopleSoft chartfield. Multiple rows for data entry.

Beneficiary Name:

1. Licenses from the Department of Commerce may be required for foreign nationals who are working on projects involving “dual-use” technologies (i.e., having potential applications for military, terrorist, or criminal purposes in addition to their usual commercial uses). Does the intended work of the visa applicant fall into any of the broad categories listed on the [Commerce Control List](#) (CCL)?

No – Proceed to Question 2

Yes – If yes, was any item(s), information or software to be shared, transmitted or transferred to the visa applicant developed under a sponsored agreement or government contract which imposed publication restrictions for proprietary reasons (other than limited sponsor prepublication review to insure intellectual property or patent rights); or pursuant to specific U.S. Government access and dissemination controls? (See CITI Export Control module for more information on ECR Public Domain and Fundamental Research Exclusions)

No

Yes – Contact Export Control Officer

2. Will the visa applicant be provided with technology, data, software, or other material that was disclosed to the USM from an external sponsor, vendor, collaborator or other third party?

No – Proceed to Question 3

Yes – If yes, did this third party, under a material transfer agreement, confidentiality agreement, or other non-disclosure agreement, restrict publication of or transfer of the item(s), information or software that will be shared, shipped, transmitted or transferred to the visa applicant?

No

Yes – Contact Export Control Officer

3. Licenses from the Department of State may be required for foreign nationals who are working on projects that involve equipment, software, or technology designed or modified for a military use or for use in outer space; or could reasonably be used in the development of weapons of mass destruction. Does the intended work of the visa applicant fall into any of the broad categories listed on the [United States Munitions List](#) (USML)?

No – Proceed to Question 4

Yes – If yes, is the USML-listed equipment, software, or technology that is being shared, transmitted, or transferred to the visa applicant published, patented, or otherwise generally accessible and available to the public? (See CITI Export Control Module for more information on ECR Public Domain and Fundamental Research Exclusions)

Yes

No – Contact Export Control Officer

Beneficiary Name: \_\_\_\_\_

4. Do you know of, or have any reason to believe that the item, information, or software to be shared with the visa applicant will support the design, development, production, stockpiling, or use of nuclear explosive devices, chemical or biological weapons, or missiles?

No                       Yes – Contact Export Control Officer

5. Will the visa applicant be receiving, sharing, transmitting, or transferring USM-developed encryption software and/or traveling outside of the U.S. with such software?

No                       Yes – Contact Export Control Officer

Beneficiary Name: \_\_\_\_\_

**PART IV: H1-B PETITIONER DEEMED EXPORT COMPLIANCE CERTIFICATION**

*Must be signed by the beneficiary's direct supervisor/principal investigator(s), the Chair of the H-1B sponsoring department and applicable college Dean. Signatures by other authorized personnel and/or designees are not permissible.*

The signatory certifies that s/he has read the [H1-B Visa Deemed Export Advisory](#) attached and has familiarized him/herself with Export Control Regulations including items, which are subject to Export Control Regulations under EAR, ITAR and OFAC. S/he certifies that the above information is accurate, complete, and current as of the date of signature, to the best of his/her knowledge, and understands that the Export Control Officer in the Office of Research Integrity and Outreach makes the form I-129 attestations under penalty of perjury. This certification is made under penalty of perjury (28 USC 1746). Penalties for providing false information may include, but are not limited to, fines, criminal prosecution, and disbarment from the H-1B program.

Sponsor/Supervisor/PI -  
Printed Name: \_\_\_\_\_

Sponsor/Supervisor/PI  
Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Please add additional Certification pages if there are additional Principal Investigators. If there is no Principal Investigator, or if the PI is also one of the signatories below, please note that in the signature box above.

Department Chair - Printed Name: \_\_\_\_\_

Department Chair - Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Dean - Printed Name: \_\_\_\_\_

Dean - Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Title: \_\_\_\_\_

Beneficiary Name: \_\_\_\_\_

**UNIVERSITY OF SOUTHERN MAINE DEEMED EXPORT ATTESTATION**

The Export Control Officer, who administers the export control compliance program at the University of Southern Maine, has reviewed the attached certifications and associated agreements and information submitted by Sponsor(s): \_\_\_\_\_

\_\_\_\_\_

for the Beneficiary, \_\_\_\_\_

As of the date signed, and with respect to the technology or technical data the petitioner will release or otherwise provide access to the beneficiary, the petitioner certifies that it has reviewed the Export Administration Regulations (EAR) and the International Traffic in Arms Regulations (ITAR) and has determined that:

- 1. a license is not required from either the U.S. Department of Commerce or the U.S. Department of State to release such technology or technical data to the foreign person; or
- 2. a license is required from the U.S. Department of Commerce and/or the U.S. Department of State to release such technology or technical data to the beneficiary and the petitioner will prevent access to the controlled technology or technical data by the beneficiary until and unless the petitioner has received the required license or other authorization to release it to the beneficiary.

Export Control Officer -Printed Name \_\_\_\_\_

Export Control Officer - Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Beneficiary Name: \_\_\_\_\_