

This form is to request O-1 status for an employee and must be completed by a Department Contact and submitted to oiss-scholars@northwestern.edu. Before proceeding please review the O-1 section of our [website](#).

BENEFICIARY INFORMATION

Family Name

First Name

Current Immigration Status

- O-1 J-1 Dependent (H-4/F-2/J-2) Not currently in the U.S.
 H-1B F-1 Other

DEPARTMENT INFORMATION

NU Department

Administrative Contact Name

O-1 INFORMATION

O-1 Job Title

Start Date

End Date

Salary/year

O-1 APPLICATION CHECKLIST

Complete requests should be e-mailed as one PDF to oiss-scholars@northwestern.edu.

- O-1 Department Request Form
 Official university position confirmation

*Must cover dates of requested O-1

- Research Staff Appointment form - research positions
<http://www.research.northwestern.edu/policies/research-appointments/research-staff.html>
- Faculty appointment letter - faculty positions

Updated CV

Passport bio page and (if in the U.S. in O-1 status) copy of visa stamp, I-94, I-797 approval notice

DEPARTMENT AUTHORIZATIONS

I certify that the information included in this application is correct. I further attest that the beneficiary has attained national or international acclaim for extraordinary achievements in the sciences, arts, education, business or athletics.

Hiring Principal Investigator or Faculty Sponsor

Printed Name

Signature

Date

Dean/Department Chair

Printed Name

Signature

Date

Certification Regarding the Release of Controlled Technology or Technical Data to Foreign Persons in the United States

NORTHWESTERN UNIVERSITY POLICY

Northwestern University policy states that the University does not enter into agreements to conduct "secret" or "classified" research, nor does it agree to any requirements that restrict the freedom of a scholar to publish or disseminate findings. Further, University policy states that the University does not discriminate on the basis of citizenship status.

Research activities are excluded from export controls because of a general exception for fundamental research provided in the National Policy on the Transfer of Scientific, Technical and Engineering Information as set forth in National Security Decision Directive 189 (NSDD 189). Fundamental research is basic and applied research in science and/or engineering where the resulting information is ordinarily published and shared broadly in the scientific community. By not accepting any restriction on publication or foreign nationals, Northwestern maintains the fundamental research exclusion.

For further information please see the Northwestern University Office for Sponsored Research website for the following information: "Foreign Nationals in Research: U.S. Export Control Regulations in the University Setting"

http://www.research.northwestern.edu/osr/export_controls.html.

DEPARTMENT AUTHORIZATIONS

I hereby certify that the technology or technical data released or otherwise provided access to the beneficiary is considered fundamental research. This fundamental research is in compliance with Northwestern University policy. A license from U.S. Department of State or U.S. Department of Commerce is NOT required to release such technology or technical data to a foreign national.

I have read and acknowledge the information provided on the second page of this form and will keep it for my records.

If there are any changes in the release of technology or technical data to the beneficiary during the term of the beneficiary's employment, I will contact the Office for Sponsored Research and the Office of the General Counsel for approval.

Hiring Principal Investigator or Faculty Sponsor

Printed Name Signature* Date

Department Chair

Printed Name Signature* Date

**These must be original signatures, signed in blue ink. No stamps please.*

FURTHER INFORMATION ON DEEMED EXPORT CONTROL**U.S. Export Controls on Release of Controlled Technology or Technical Data to Foreign Persons**

The Export Administration Regulations (EAR) and the International Traffic in Arms Regulations (ITAR) require U.S. persons to seek and receive authorization from the U.S. government before releasing to foreign persons in the United States controlled technology or technical data. Under both the EAT and the ITAR, release of controlled technology or technical data to foreign persons in the United States—even by an employer—is deemed to be an export to the person's country or countries of nationality. One implication of this rule is that a U.S. company must seek and receive a license from the U.S. Government before it releases controlled technology or technical data to its nonimmigrant workers employed as H-1B, L-1 or O-1A beneficiaries.

Requirement to Certify Compliance with U.S. Export Control Regulations

The U.S. government requires each company or other entity to certify that it has reviewed the EAR and ITAR and determined whether it will require a U.S. government export license to release controlled technology or technical data to the beneficiary. If an export license is required, then the company or other entity must further certify that it will not release or otherwise provide access to controlled technology or technical data to the beneficiary until it has received from the U.S. government the required authorization to do so. The petitioner must indicate whether or not a license is required on Page 6, Part 7 of Form I 129.

Controls on Release of Controlled Technology or Technical Data to Foreign Persons

The export regulations (Commerce Control List (CCL) and the ITAR's U.S. Munitions List (USML) control the release of technology and technical data to foreign persons even within the United States. But most technology is not highly controlled and can be exported or released to foreign persons. Therefore, the licensing requirements affect only a small percentage of petitioners for their activities at Northwestern University.

CCL: The EAR-controlled technology on the CCL generally pertains to that which is for the production, development, or use of what is basically known as "dual use" items. See the link for details: <https://www.ecfr.gov/current/title-15/subtitle-B/chapter-VII/subchapter-C/part-774>. The U.S. Department of Commerce's Bureau of Industry and Security (BIS) administers the CCL. BIS is responsible for issuing licenses for the release to foreign persons of technology controlled under the EAR. Contact [Export Controls & International Compliance for assistance](#).

USML: The ITAR-controlled technical data on the USML generally pertains to that which is directly related to defense articles. See link for details: <https://www.ecfr.gov/current/title-22/chapter-I/subchapter-M/part-121>. The U.S. Department of State's Directorate of Defense Trade Controls (DDTC) administers the USML and is responsible for issuing licenses for the release to foreign persons of technical data controlled under the ITAR. Contact [Export Controls & International Compliance](#) for assistance.

****Some of the links may not work directly off the form and you may have to copy and paste them into your browser.***