

# Instructions:

[Home](#)[About CBP](#)[View Submissions](#)[View Tasks](#)

## UFLPA Exception Request

[Instructions](#)[Request Details](#)[POC Details](#)[Documents](#)[Review](#)[Confirmation](#)

## Instructions for Submitting a UFLPA Exception Request

You are about to submit an exception review request, prior to your submission, please ensure you have consulted the Strategy to Prevent the Importation of Goods Mined, Produced, or Manufactured with Forced Labor in the People's Republic of China, June 17, 2022 ("[DHS UFLPA Strategy](#)") and be prepared to provide documents outlined in Section VI of the DHS UFLPA Strategy which includes documentation showing a due diligence system or process that may include the following elements:

- Engagement with suppliers and other stakeholders to assess and address forced labor risk;
- Mapping of the supply chain and assessment of forced labor risks along the supply chain from raw materials to production of the imported good;
- Written supplier code of conduct forbidding the use of forced labor and addressing the risk of use of Chinese government labor schemes;
- Training on forced labor risks for employees and agents who select and interact with suppliers;
- Monitoring of supplier compliance with the code of conduct;
- Remediation of any forced labor conditions identified or termination of the supplier relationship if remediation is not possible or is not timely completed;
- Independent verification of the implementation and effectiveness of the due diligence system; and
- Reporting performance and engagement publicly on its due diligence system.

In addition, CBP also issued supplemental guidance in the [UFLPA Operational Guidance for Importers](#), June 13, 2022 in Section IV. The types of information that importers may provide, or that may be requested by CBP, to demonstrate their imports are either not subject to the UFLPA because their supply chains are wholly outside of Xinjiang and unconnected to listed entities, or to show that their imports are free of forced labor and in compliance with the UFLPA.

### • Evidence Pertaining to Overall Supply Chain

#### • Evidence Pertaining to Merchandise or Any Component Thereof

- Detailed description of supply chain including imported merchandise and components thereof, including all stages of mining, production, or manufacture;
- The role(s) of the entities in the supply chain, including shippers and exporters: for example, CBP will need to determine whether a supplier is also a manufacturer;
- For entities in the supply chain, identify any relationships in accordance with 19 C.F.R. § 152.102(g);
- A list of suppliers associated with each step of the production process, including names and contact information (addresses, email addresses, and phone number);
- Affidavits from each company or entity involved in the production process.

#### • Evidence Pertaining to Merchandise or Any Component Thereof

- Cover Letter
- List of all entries or detention notices for this request
- List of Exhibits
- Summary of Exhibits
- Explanation of Supply Chain
- Purchase orders
- Invoice for all suppliers and sub-suppliers
- Packing list
- Bill of materials
- Certificates of origin
- Payment records
- Seller's inventory records, including dock/warehouse receipts
- Shipping records, including manifests, bills of lading (e.g., airway/vessel/trucking)
- Buyer's inventory records, including dock/warehouse receipts
- Invoices and receipts for all suppliers and sub-suppliers
- Import/export records

#### • Evidence Pertaining to Miner, Producer, or Manufacturer

- Evidence listed above pertaining to merchandise or any component thereof for raw materials.
- Mining, production, or manufacturing records
  - Documents should allow CBP to trace raw materials to merchandise mined, produced, or manufactured
  - Production orders

- Reports on factory production capacity for the merchandise
- Reports on factory site visits by the importer, a downstream supplier sourcing from this factory, or a third party
- Evidence that the volume of inputs of component materials matches the volume of output for the merchandise produced
- Any other evidence to demonstrate that a good was not mined, produced, or manufactured wholly or in part by forced labor
- **Information on Supply Chain Management Measures**
  - Documentation on supply chain management measures, which may include:
    - i. Internal controls to prevent or mitigate forced labor risk and remediate any use of forced labor identified in the mining, production, or manufacture of imported goods.
    - ii. An importer should be able to demonstrate that documents provided are part of an operating system or an accounting system that includes audited financial statements.
- **Evidence Goods Originating in China Were Not Mined, Produced, or Manufactured Wholly or In Part by Forced Labor**
  - Documentation may include, but is not limited to:
    - i. Supply chain map identifying all entities involved in production of the goods;
    - ii. Information on workers at each entity involved in the production of the goods in China such as wage payment and production output per worker;
    - iii. Information on worker recruitment and internal controls to ensure that all workers in China were recruited and are working voluntarily; and
    - iv. Credible audits to identify forced labor indicators and remediation of these if applicable.

f you do not have the required documents, you can select the cancel button to exit this system.

Cancel Next

## Request Details:

Home About CBP View Submissions View Tasks

### UFLPA Exception Request

Instructions Request Details POC Details Documents Review Confirmation

\* = Required field

Note: Including the Lead Entry # and the Detention Notice # facilitates identification of your shipment. If any of the information is not correct, you will not be able to make a submission.

\* Lead Entry #

Detention Notice #

Protest #

Related to multiple entries?  Yes  No

\* Assigned Center

\* Port Code

\* Assigned Center

\* Port Code 

\* Importer Name

\* Importer of Record #

\* Subject 

[Cancel](#) [Previous](#) [Next](#)

## POC Details:

### UFLPA Exception Request

Instructions

Request Details

POC Details

Documents

Review

Confirmation

\* = Required field

\* Filer/Submitter Type

\* First Name

Complete this field.

\* Last Name

Complete this field.

\* Phone

Complete this field.

\* Email 

Complete this field.

Title

Country

Address Line 1

Address Line 2

City

State/Province

Zip Code

Cancel

Previous

Next

### Documents:

## UFLPA Exception Request

[Instructions](#)[Request Details](#)[POC Details](#)[Documents](#)[Review](#)[Confirmation](#)

### Instructions:

- (1) Clearly label submissions, particularly multiple documents with the same name. Electronic files containing multiple documents should be grouped in an organized manner to efficiently allow for tracing of the supply chain, for example, grouping by each component or production stage. System of numbering each document and exhibits should be consistent throughout. (Examples: 1.1 supplier123/manufacture ABC & copper tube; 1.2 supplier456/manufactureDEF & copper tube)
- (2) Provide a numbered exhibit list that lists all the exhibits accompanying the cover letter.
- (3) Make scanned image-only pages in PDF submissions searchable (i.e. OCR)
- (4) Provide original non-English version and English translated versions of documents provided.
- (5) Avoid providing unnecessary or duplicative document.
- (6) Avoid submitting unnecessary and multiple files.

(7) Note: If a file is uploaded, a Document Type must be selected. Other Document Type can only be inputted if "Other" is selected for the Document Type.

**Reminder:**

You are about to submit an exception review request, prior to your submission, please ensure you have consulted the Strategy to Prevent the Importation of Goods Mined, Produced, or Manufactured with Forced Labor in the People's Republic of China, June 17, 2022 ("DHS UFLPA Strategy") and be prepared to provide documents outlined in Section VI of the DHS UFLPA Strategy which includes documentation showing a due diligence system or process that may include the following elements:

- Engagement with suppliers and other stakeholders to assess and address forced labor risk;
- Mapping of the supply chain and assessment of forced labor risks along the supply chain from raw materials to production of the imported good;
- Written supplier code of conduct forbidding the use of forced labor and addressing the risk of use of Chinese government labor schemes;
- Training on forced labor risks for employees and agents who select and interact with suppliers;
- Monitoring of supplier compliance with the code of conduct;
- Remediation of any forced labor conditions identified or termination of the supplier relationship if remediation is not possible or is not timely completed;
- Independent verification of the implementation and effectiveness of the due diligence system; and
- Reporting performance and engagement publicly on its due diligence system.

In addition, CBP also issued supplemental guidance in the [UFLPA Operational Guidance for Importers](#), June 13, 2022 in Section IV. The types of information that importers may provide, or that may be requested by CBP, to demonstrate their imports are either not subject to the UFLPA because their supply chains are wholly outside of Xinjiang and unconnected to listed entities, or to show that their imports are free of forced labor and in compliance with the UFLPA.

- **Evidence Pertaining to Overall Supply Chain**
- **Evidence Pertaining to Merchandise or Any Component Thereof**
  - Detailed description of supply chain including imported merchandise and components thereof, including all stages of mining, production, or manufacture;
  - The role(s) of the entities in the supply chain, including shippers and exporters: for example, CBP will need to determine whether a supplier is also a manufacturer;
  - For entities in the supply chain, identify any relationships in accordance with 19 C.F.R. § 152.102(g);

- A list of suppliers associated with each step of the production process, including names and contact information (addresses, email addresses, and phone number);
- Affidavits from each company or entity involved in the production process.

- **Evidence Pertaining to Merchandise or Any Component Thereof**

- Cover Letter
- List of all entries or detention notices for this request
- List of Exhibits
- Summary of Exhibits
- Explanation of Supply Chain
- Purchase orders
- Invoice for all suppliers and sub-suppliers
- Packing list
- Bill of materials
- Certificates of origin
- Payment records
- Seller's inventory records, including dock/warehouse receipts
- Shipping records, including manifests, bills of lading (e.g., airway/vessel/trucking)
- Buyer's inventory records, including dock/warehouse receipts
- Invoices and receipts for all suppliers and sub-suppliers
- Import/export records

- **Evidence Pertaining to Miner, Producer, or Manufacturer**

- Evidence listed above pertaining to merchandise or any component thereof for raw materials.
- Mining, production, or manufacturing records
  - Documents should allow CBP to trace raw materials to merchandise mined, produced, or manufactured
  - Production orders
  - Reports on factory production capacity for the merchandise

- Reports on factory site visits by the importer, a downstream supplier sourcing from this factory, or a third party
  - Evidence that the volume of inputs of component materials matches the volume of output for the merchandise produced
  - Any other evidence to demonstrate that a good was not mined, produced, or manufactured wholly or in part by forced labor
- **Information on Supply Chain Management Measures**
    - Documentation on supply chain management measures, which may include:
      - i. Internal controls to prevent or mitigate forced labor risk and remediate any use of forced labor identified in the mining, production, or manufacture of imported goods.
      - ii. An importer should be able to demonstrate that documents provided are part of an operating system or an accounting system that includes audited financial statements.
- **Evidence Goods Originating in China Were Not Mined, Produced, or Manufactured Wholly or In Part by Forced Labor**
    - Documentation may include, but is not limited to:
      - i. Supply chain map identifying all entities involved in production of the goods;
      - ii. Information on workers at each entity involved in the production of the goods in China such as wage payment and production output per worker;
      - iii. Information on worker recruitment and internal controls to ensure that all workers in China were recruited and are working voluntarily; and
      - iv. Credible audits to identify forced labor indicators and remediation of these if applicable.
- If you do not have the required documents, you can select the cancel button to exit this system.

Upload Files or Drop Files

File Name	Document Type	Other Document Type	Uploaded By	Uploaded Date
▼	▼	▼	▼	▼

Cancel
Previous
Next

## Review:

### UFLPA Exception Request



▼ Request Details

Lead Entry #	<input type="text" value="SSA41697520"/>
Detention Notice #	<input type="text"/>
Protest #	<input type="text"/>
Related to multiple entries?	<input type="text" value="No"/>
Additional Entries	<input type="text"/>

Assigned Center	Base Metals
Port Code	0123
Importer Name	xx
Importer of Record #	xx
Subject	xx

---

▼ POC Details

Filer/Submitter Type	Consultant
Other Filer/Submitter Type	
First Name	Joe
Last Name	Smith
Phone	2025551212

Email

joe@email.com

Title

Law Firm

Country

United States

Address Line 1

Address Line 2

City

State/Province

Zip Code

File Name	Document Type	Other Document Type	Uploaded By	Uploaded Date
Testing doc.docx	Affidavits		Cynthia Soliman	7/22/2024

\* I certify that the information submitted is true and correct to the best of my knowledge and belief.

## DHS PRIVACY ACT STATEMENT

### AUTHORITY:

CBP is authorized to collect the information requested on this form pursuant to DHS's complex regulations to support law enforcement and trade missions and of which are derived from department regulations 5 U.S.C. 301; the Federal Records Act, 44 U.S.C. 3101; and from a wide spectrum of federal statutes supporting immigration, customs, treasury, and agriculture, including: 8 U.S.C. Aliens and Nationality: 1221, Lists of Alien and Citizen Passengers Arriving and Departing; 1321, Prevention of Unauthorized Landing of Aliens; 1322, Bringing in Aliens Subject to Denial of Admission on a Health-Related Ground, Persons Liable, Clearance Papers, with Exceptions; "Person" Defined; 1323, Unlawful Bringing of Aliens into United States; 1324, Bringing in and Harboring Certain Aliens; 1324a, Unlawful Employment of Aliens; 1324b, Unfair Immigration-Related Employment Practices; 1324c, Penalties for Document Fraud; 1324d, Civil Penalties for Failure to Depart; 1325, Improper Entry by Alien; 1326, Reentry of Removed Aliens; 1327, Aiding or Assisting Certain Aliens to Enter; 1328, Importation of Alien for Immoral Purpose. 8 CFR Parts 270, Penalties for Document Fraud; 274, Seizure and forfeiture of Conveyances; and 280, Imposition and Collection of Fines. The Customs Laws include: 18 U.S.C. 542, Entry of Goods by Means of False Statements; 545, Smuggling Goods into the United States; and 19 U.S.C. 66, Rules and forms Prescribed by Secretary; 1436, Penalties for Violations of Arrival, Reporting, Entry, and Clearance Requirements; 1497, Penalties for Failure to Declare; 1509, Examination of Books and Witnesses; 1592, Penalties for Fraud, Gross Negligence, and Negligence; 1593a, Penalties for False Drawback Claims; 1594, Seizure of Conveyances; 1595a, Forfeitures and other Penalties; 1618, Remission or Mitigation of Penalties; 1619, Award of Compensation to Informers; 1624, General Regulations; and 1703, Seizure and forfeiture of Vessels. 19 CFR (U.S. Customs and Border Protection, Department of Homeland Security; Department of The Treasury) Parts 1623, Bonds and Other Security; 171, Fines, Penalties, and forfeitures; and 172, Claims for Liquidated Damages; Penalties Secured By Bonds. The Agriculture Laws, including 7 U.S.C. 8303, Restriction on Importation or Entry; 8304, Exportation; and 8307, Inspections, Seizures, and Warrants.

### PURPOSE:

CBP is requesting this information as part of trade allegations covered by the SEACATS System of Records Notice (SORN) (DHS/CBP-013). Records maintained pursuant to the SEACATS SORN are used to: document individuals and businesses who violated, or are alleged to have violated, Customs, immigration, agriculture, and other laws and regulations for enforcement to be administered by CBP or its partner government agencies (PGA); and for the collection and maintenance of records of individuals who have provided assistance with respect to identifying or locating individuals who have or are alleged to have

violated Customs, immigration, agriculture, and other laws and regulations enforced or administered by CBP and its PGAs. SEACATS specifically permits the collection of information about current and former violators and those alleged or otherwise suspected of violations of Customs, immigration, agriculture, or other laws and regulations administered or enforced by CBP, and related parties involved in, or affected by, an inquiry concerning the violation of Customs, immigration, agriculture, or other law enforced or administered by CBP and its PGAs.

#### ROUTINE USES:

The information requested on this form may be shared externally as a "routine use" to other government agencies, and foreign law enforcement partners to assist the Department as part of the investigatory or analysis process of the trade allegations and to take a trade enforcement action, generate trade intelligence records, or both. A complete list of the routine uses can be found in the system of records notice associated with this form, "Department of Homeland Security/CBP-013." The Department's full list of system of records notices can be found on the Department's website at <http://www.dhs.gov/system-records-notices-sorn>

#### CONSEQUENCES OF FAILURE TO PROVIDE INFORMATION:

Providing this information to CBP is voluntary. Failure to provide information related to an allegation may result in CBP from effectively carrying out its missions for reducing costs for industry and enforcing trade laws against counterfeit, unsafe, and fraudulently entered goods, or for enabling legitimate trade to protect against risks to public health and safety. Failure to provide your contact information, may prevent CBP from carrying out its obligations under 19 U.S.C. 1619, Award of Compensation to Informers.

#### PAPERWORK REDUCTION ACT STATEMENT

An agency may not conduct or sponsor, and persons are not required to respond to, a collection of information unless it displays a currently valid OMB control number. The control number for this collection is 1651-0131, expiration 02/28/2026. This collection is currently under review a new expiration date is pending. The estimated average time to complete this submission is 15 minutes per respondent. If you have any comments regarding the burden estimate you can write to U.S. Customs and Border Protection, 90 K Street, NE, 10th floor, Washington D.C., 20229.

Cancel

Previous

Submit

## Confirmation:

Home

About CBP

View Submissions

View Tasks

### UFLPA Exception Request

Instructions

Request Details

POC Details

Documents

Review

Confirmation

### Confirmation

Thank you!

Your intake number is: FLP-E-0000535

NOTE: Please retain Intake #. You may update or provide additional documentation by logging into the Forced Labor Portal to view this Intake record. To update your submission (providing additional documents or files), please select the "View Submissions" tab above.