

Instructions:

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

CAATSA Exception Request

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

Instructions for Submitting a CAATSA Exception Request

CAATSA Title III, Section 321(b) (22 U.S.C. § 9241a), created a rebuttable presumption that **goods made or mined wholly or in part by North Korean nationals or North Korean citizens anywhere in the world are forced-labor goods prohibited** under the Tariff Act of 1930 (19 U.S.C. § 1307). These goods are not entitled entry at any of the Ports in the United States, and may be subject to detention, seizure, and forfeiture.

Importer may overcome this presumption with "clear and convincing evidence." Importers have the responsibility to exercise reasonable care and provide CBP with such information as is necessary to enable CBP to determine if the merchandise may be released from CBP custody.

To demonstrate reasonable care, an importer may present evidence which include comprehensive due diligence efforts that may have been undertaken, such as:

- a. Information demonstrating that your company engaged meaningfully with affected stakeholders, including workers and trade unions, as part of the due diligence process;
- b. Workforce composition at the location in question;
- c. Training materials on North Korean forced labor prohibitions that have been provided to suppliers and sub-contractors;
- d. Company policies, and evidence of implementation, on using North Korean laborers;
- e. Contracts with suppliers and sub-contractors that state your policy on North Korean forced labor;
- f. Publishing the full names of all authorized production units and processing facilities, the worksite addresses, the parent company of the business at the worksite, the types of products made, and the number of workers at each worksite;
- g. Information on how and to whom wages are paid at the location;
- h. Information demonstrating that recruitment agencies are within the scope of any third-party audit with your suppliers;
- i. Documents verifying the use of authorized recruitment agencies and brokers or that you use direct recruitment;
- j. Documents verifying that the fee structure presented by the recruitment agency is transparent and has been verified through worker interviews;
- k. Reimbursed any fees paid, verification of such reimbursement,
- l. Demonstrated commitment to human rights and labor due diligence at the highest levels by your company; and,
- m. Results of your human rights and labor impact assessments.

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

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

Request Details:

CAATSA 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 ⓘ

* Importer Name

* Importer of Record #

* Subject ⓘ

Cancel Previous Next

POC Details:

CAATSA Exception Request

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

* = Required field

* Filer/Submitter Type	<input type="text" value="--None--"/>
* First Name	<input type="text" value="Joe"/>
* Last Name	<input type="text" value="Smith"/>
* Phone	<input type="text" value="2025551212"/>
* Email 	<input type="text" value="joe@email.com"/>
Title	<input type="text"/>
Country	<input type="text" value="United States"/>

Address Line 1	<input type="text"/>
Address Line 2	<input type="text"/>
City	<input type="text"/>
State/Province	<input type="text"/>
Zip Code	<input type="text"/>

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

Documents:

CAATSA 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/manufacture DEF & 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:

CAATSA Title III, Section 321(b) (22 U.S.C. § 9241a), created a rebuttable presumption that goods made or mined wholly or in part by North Korean nationals or North Korean citizens anywhere in the world are **forced-labor goods prohibited** under the Tariff Act of 1930 (19 U.S.C. § 1307). These goods are not entitled entry at any of the Ports in the United States, and may be subject to detention, seizure, and forfeiture.

Importer may overcome this presumption with "clear and convincing evidence." Importers have the responsibility to exercise reasonable care and provide CBP with such information as is necessary to enable CBP to determine if the merchandise may be released from CBP custody.

To demonstrate reasonable care, an importer may present evidence which include comprehensive due diligence efforts that may have been undertaken, such as:

- a. Information demonstrating that your company engaged meaningfully with affected stakeholders, including workers and trade unions, as part of the due diligence process;
- b. Workforce composition at the location in question;
- c. Training materials on North Korean forced labor prohibitions that have been provided to suppliers and sub-contractors;
- d. Company policies, and evidence of implementation, on using North Korean laborers;
- e. Contracts with suppliers and sub-contractors that state your policy on North Korean forced labor;
- f. Publishing the full names of all authorized production units and processing facilities, the worksite addresses, the parent company of the business at the worksite, the types of products made, and the number of workers at each worksite;
- g. Information on how and to whom wages are paid at the location;
- h. Information demonstrating that recruitment agencies are within the scope of any third-party audit with your suppliers;
- i. Documents verifying the use of authorized recruitment agencies and brokers or that you use direct recruitment;
- j. Documents verifying that the fee structure presented by the recruitment agency is transparent and has been verified through worker interviews;
- k. Reimbursed any fees paid, verification of such reimbursement;
- l. Demonstrated commitment to human rights and labor due diligence at the highest levels by your company; and,
- m. Results of your human rights and labor impact assessments.

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:

Home About CBP View Submissions View Tasks

CAATSA Exception Request



Request Details

Lead Entry #	SSA41698749
Detention Notice #	
Protest #	
Related to multiple entries?	No
Additional Entries	
Assigned Center	Apparel, Footwear & Textiles

Port Code	1234
Importer Name	xx
Importer of Record #	xx
Subject	xx

▼ POC Details

Filer/Submitter Type	Broker
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 Upload

File Name	Document Type	Other Document Type	Uploaded By	Uploaded Date
Testing doc.docx	Audit Report		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:

CAATSA Exception Request

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

Confirmation

Thank you!

Your intake number is: FLP-C-0000536

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.