

Appendix O

Food & Drug Affirmation of Compliance

*This appendix lists codes used when submitting 801(a) data
and bio terrorism prior notice*

This list of affirmation of compliance codes is up to date at the time of publication. To keep abreast of any changes, read the administrative messages in ABI that pertain to this list. Individual records and/or the entire affirmation of compliance file may be queried and/or downloaded as per instructions in the Other Government Agency Query (OGQ) chapter of this document.

<i>FDA Affirmation of Compliance</i>	
Code	Compliance Type Description
ABP	Phil Anchovy/Bagoong Shprs Exemptia16-13
ACC	RCHSA Accession Number
ADA	Anticipated Date of Arrival
AIN	Food Additive Identification Number
ANA	Abbreviated New Animal Drug Number
AND	Abbreviated New Drug Application Number
APA	Anticipated Port of Arrival
APC	Anticipated Point of Crossing
ARV	Animal Drgs Imprt For Racetrack Ia 68-08
ATA	Anticipated Time of Arrival
AWB	Air Waybill
AWH	House Air Waybill
BAS	Basmati Rice Firms Exempt From Ia 02-01
BFL	Biologic Firm License Number
BIS	Sulfites In Shrimp, Firms Exempt Ia16-30
BOL	Master Bill of Lading – Surface (incl SCAC)
BPI	Black Pepper From India Exempt Ia 28-02
BPL	Biologic Product License Number
BRI	Brassware Shprs Exempt From Ia#52-01
CAN	Carrier Name
CCC	Chinese Ceramicware Factory Code
CCN	Carrier ISO Country Code
CFR	Code Of Federal Regulations Section
CIN	Color Identification Number
CNO	Container Number
<i>FDA Affirmation of Compliance</i>	
Code	Compliance Type Description
COA	Consignee ISO Country Code

COC	Consignee Firm Name
COE	Consignee Email
COF	Consignee First Name
COL	Shprs Exempt For Ill/Undec Color Ia45-02
COM	Consignee Last Name
CON	Consignee Number
COP	Consignee Phone Number
COS	Cosmetic Registration Number
COU	Consignee Address City
COV	Consignee Address State or Canadian Province
COX	Consignee FAX
COZ	Consignee Zip or Mail Code
CO1	Consignee Address Line 1
CO2	Consignee Address Line 2
CPH	Ceramic Shprs From Proc/Hk Exmpt IA52-06
CRT	Thai Cnd Crabmeat Shprs Exempt Ia 16-25
CSH	Country of Shipping
CTW	Cosmetic Shprs Exempt Frm Taiwan Ia53-06
CWN	Chloramphenicol W/O Nada Doc Ia 56-01
C12	Ext 12-03,Sft/Semisft Frm Goat Mlk 12c12
C15	Ext 12-03,Sft/Semi Sft-Fr Cow Milk,12c15
C16	Ext 12-03,Sft Ripened, Ewe Milk, 12c16
C52	Ext 12-03, Semisoft Cheese, 12a52
C53	Ext 12-03, Semisoft, Part Skim, 12a53
C56	Ext 12-03, Sft Ripend, Fr Cow Milk,12a56
DEV	Device Registration Number
DFT	Dry/Pick Fish Thail Shprs Exmpt Ia 16-07
DHC	Dioxin Health Certificate Code
DLS	Drug Listing Number
DPF	Dry/Prsvd/Fruit Shprs Exempt Ia 21-04
DPM	Shprs Dried Peppers Mex Exempt Ia 24-11
EAG	Eagle Brd. Med.Oil Mfr.Borden Ex Ia66-13
EFC	Entry Filer Code
ENT	Entry Number (Last 8 digits)
ERR	Entry Review Requested
ETP	Entry Type
FAP	Food Additive Petition Approval Number
FCC	French Cheese-Facility Certification No
FCE	Food Canning Establishment Number
FIR	Location of Goods (FIRMS Code)
<i>FDA Affirmation of Compliance</i>	
Code	Compliance Type Description
FMD	Country Free Of Foot/Mouth Dis.Ia17-02
FME	FDA PN Mfr Registration Exemption
FRG	Froleg Shprs Exempt From Ia 16-12
FTZ	FTZ Admission Number
HPF	Hk/Proc Fungus Shprs Exempt Ia 25-05

HTS	Harmonized Tariff Number
IBP	Indian Black Pepper
IDE	Investigational Device Exemption Number
IFE	Import For Export/Reqs Quantity & Value
IMA	Importer ISO Country Code
IMC	Importer Firm Name
IME	Importer Email
IMF	Importer First Name
IMM	Importer Last Name
IMN	Importer Number
IMP	Importer Phone Number
IMS	Importer Address State or Canadian Province
IMU	Importer Address City
IMX	Importer FAX
IMZ	Importer Zip or Mail Code
IM1	Importer Address Line 1
IM2	Importer Address Line 2
INA	Investigational New Animal Drug Number
INB	In-Bond Number
IND	Investigational New Drug Number
INF	Infant Formula Mfrs.Exempt From Ia40-04
INT	In-Bond Type
IRC	Impact Resistance Lens Test Cert.
JPR	Japanese P/P Radish Shprs Exempt Ia25-07
LBI	Lobster Shprs From India Exempt Ia 16-23
LF1	Low Value-Food/Food Related <=\$200
LF2	Low Value-Food/Food Related \$200<= \$500
LF3	Low Value-Food/Food Related \$500<=\$1000
LR1	Low Value-Non Med Rad Emit. <=\$200
LR2	Low Value-Non Med Rad Emit. \$200<=\$1000
LST	Device Listing Number
LWC	Electrode Lead Wire Or Patient Cable
MAH	Mahimahi Firms Exempt From IA 16-05
MCH	Mexican Corn Husk Shprs Exempt IA 52-09
MDL	Model Number
MFA	Medicated Feed Application Number
<i>FDA Affirmation of Compliance</i>	
Code	Compliance Type Description
MOT	Mode of Transportation Code
MPS	Mex Pumpkin Seeds Shprs Exempt Ia 23-01
NAD	New Animal Drug Application Number
NDA	New Drug Application Number
NHB	NVOCC or House Bill Number (Special Bill)
OFT	Owner Firm Type
PAC	Private Analytical Certificate Date
PCW	Produce Shpr/Grwr Exempt Ctrywde Ia99-05
PFR	Food Facility Registration Number

PFT	Producer Firm Type
PK0	Package/Can Codes #10
PK1	Package/Can Codes #1
PK2	Package/Can Codes #2
PK3	Package/Can Codes #3
PK4	Package/Can Codes #4
PK5	Package/Can Codes #5
PK6	Package/Can Codes #6
PK7	Package/Can Codes #7
PK8	Package/Can Codes #8
PK9	Package/Can Codes #9
PMA	Device Premarket Approval Number
PMN	Device Premarket Notification Num (510k)
PNC	Prior Notice Confirmation Number
PND	Prior Notice Disclaimer for FD3 Tariff
PPG	Shprs Prsrd/Pkled Ginger Exempt Ia 25-01
PPP	Shpr/Mfr Exmpt/Pest Proces Prod Ia99-08
PVC	Privately Owned Vehicle Cntry of Registration
PVL	Privately Owned Vehicle License Number
PVP	Privately Owned Vehicle Province/Foreign St
PVS	Privately Owned Vehicle State Code
RAA	Rad Health Prdt Affirmation A (Fd 2877)
RAB	Rad Health Prdt Affirmation B (Fd 2877)
RAC	Rad Health Prdt Affirmation C (Fd 2877)
RAD	Rad Health Prdt Affirmation D (Fd 2877)
RA1	Rad Health Product Declaration A1 (Fda 2877)
RA2	Rad Health Product Declaration A2 (Fda 2877)
RA3	Rad Health Product Declaration A3 (Fda 2877)
RA4	Rad Health Product Declaration A4 (Fda 2877)
RA5	Rad Health Product Declaration A5 (Fda 2877)
RA6	Rad Health Product Declaration A6 (Fda 2877)
RA7	Rad Health Product Declaration A7 (Fda 2877)
FDA Affirmation of Compliance	
Code	Compliance Type Description
RB1	Rad Health Product Declaration B1 (Fda 2877)
RB2	Rad Health Product Declaration B2 (Fda 2877)
RCN	Rice Stks/Verm Proc Shpr Exempt Ia 04-05
RC1	Rad Health Product Declaration C1 (Fda 2877)
RC2	Rad Health Product Declaration C2 (Fda 2877)
RD1	Rad Health Product Declaration D1 (Fda 2877)
RD2	Rad Health Product Declaration D2 (Fda 2877)
RD3	Rad Health Product Declaration D3 (Fda 2877)
REG	Drug Registration Number
RNO	Rail Car Number
RPA	02c- -, Rice Flr, Ext 02-02
RPB	02d02, Prcd Rice, Plain, Polished Ext 02-02
RPC	02d10, Prcd, Pkgd Rice/Meal/Milled 02-02

RPD	02h04, Rice Starch, Ext 02-02
RPE	03f07, Rice Crackers, Ext 02-02
RPF	03y12, Rice Cake/Rice Cake Mix Ext 02-02
RPG	04y02, Rice Vermicelli, Ext 02-02
RPH	04y04, Rice Sticks, Ext 02-02
RPI	04y05, Rice Flakes/Paper Ext 02-02
RPJ	04y99, Rice Noodles,N.E.C. Ext 02-02
RPK	05a03, Rice Flks,Ready To Eat, Ext 02-02
RPO	Rice Products Exempt From Ia 02-02.
RSV	Rice Stks/Verm Proc Shpr Exempt Ia 02-04
RUD	Ext 1674, Smoked, Based On Rpm 9-25 Req.
RUE	Ext 1674, Saltcured,Based On Rpm 9-25 Req
RUF	Ext 16-74, Airdried,Based On Rpm 9-25 Req
SAC	Submitter Address City
SAS	Submitter Address State or Province
SA1	Submitter Address Line 1
SA2	Submitter Address Line 2
SCA	Importing Carrier
SCC	Submitter ISO Country Code
SCN	Submitter Firm Name
SCZ	Submitter Zip or Mail Code
SDT	Thail Cnd Shrimp/Decom Exempt Ia 16-22
SEM	Submitter Email
SFN	Submitter First Name
SFR	Shipper Registration Number
SFT	Submitter Firm Type
SFX	Submitter FAX Number
SID	Schedule Identifier Number
<i>FDA Affirmation of Compliance</i>	
Code	Compliance Type Description
SIF	Seafood Haccp Inporter Firm
SLN	Submitter Last Name
SPI	India Shmp Shprs Exempt From Ia 16-35
SPN	Submitter Phone Number
SPO	Shrimp Shprs Exempt From Ia 16-18
SRK	Shark Cartilage Shprs Exempt Ia-16-02
SSG	Surg. Instr Pk Mfr Gmps Met Ia76-01a
SSI	Surg. Instr Exmpt Fm Ia76-01 (B List)
SWO	Swordfish Exempt From Ia 16-08
TAM	Tamarind Shippers Exempt From Ia21-07
UFC	Unacceptable To Foreign Country
UVD	Exempt 1674, Smoked, Unevis. Fish
UVE	Exempt 16-74,Salt Cured, Unevis Fish
UVF	Firms Exempt From Ia 16-74 Unevisc Fish
VFT	Voyage, Trip, Flight Number

Valid FDA Bioterrorism Act (BTA) Affirmation Codes and Qualifiers

The affirmation of compliance codes and qualifiers must be edited and validated as follows:

*All submitter and arrival data elements (numbers 1 through 7, 9 through 16, and 31-32) are **MANDATORY** if a prior notice confirmation number (PNC) is **not** present. If the PNC is used, it must be in the affirmation of compliance field on the FD01 record.

All affirmation of compliance codes in this table requires a qualifier.

#	Aff Code	Affirmation of Compliance Qualifier	Stat	Length/ Class	ACS Qualifier Validations	Notes
1	SLN	Submitter Last Name	C*	To 25X		
2	SFN	Submitter First Name	C*	To 25X		May be difference from contact name (FD04).
3	SPN	Submitter Phone Number	C*	10 To 14X	US domestic phone numbers must be 10 digits (area code + number). If foreign, include a valid telephone country and area code where applicable.	May be different from contact phone number (FD04)
4	SFX	Submitter Fax	C*	10 To 14X	Same as above.	If none zero fill
5	SEM	Submitter E-mail	C*	To 25X		If none enter "none"
6	SCN	Submitter Firm Name	C*	To 25X		
7	SA1	Submitter Address Line 1	C*	To 25X		
8	SA2	Submitter Address Line 2	C	To 25X		Enter line 2 of address if it exists
9	SAC	Submitter Address City	C*	To 25X		
10	SAS	Submitter Address State or Canadian Province.	C*	2A	Valid USPS State code or Canadian Province code. Use "FN" for all other.	Must be 'FN' if other than valid Canadian province (from below) or valid U.S. state code. Do not spell out state or province name. Note 1
11	SCZ	Submitter ZIP or Mail Code	C*	5 To 25X		
12	SCC	Submitter ISO Country Code	C*	2AN	Must be a valid ISO country code	Note 2

#	Aff Code	Affirmation of Compliance Qualifier	Stat	Length/ Class	ACS Qualifier Validations	Notes
13	SFT	Submitter Firm Type	C*	1X	Must be one: M - Manufacturer/ Producer Grower/ Harvester, or Consolidator S – Shipper C – Carrier I - Importer U – Consignee F - Filer or agent	Use to describe the type of submitter
14	APA	Anticipated Port of Arrival	C*	DDPP	Must be a valid port code	
15	ADA	Anticipated Date of Arrival	C*	MMDDYY YY	Must be a valid date. It may be up to 10 days earlier than the current date.	
16	ATA	Anticipated Time of Arrival	C*	HHMM	24-hour clock	
17	APC	Anticipated Point of Crossing	C	To 25X		This is mandatory if there is more than one point of crossing at the port, e.g. Peace Bridge, Lewiston Bridge, Buffalo Airport, or Port of Buffalo for port code 0901.
18	VFT	Voyage Trip Flight Number	C	To 5X max		All modes where voyage trip or flight number exists.
19	CAN	Carrier Name	C	25X max		If SCAC or IATA codes are not provided at the entry level, then Privately Owned Vehicle License Number (PVL) and State/Country (PVS or PVP and PVC) or CAN and CCN should be provided.
20	CCN	Carrier Country	C	2A	Code must be a valid ISO country code	Note 2
21	BOL	Master Bill of Lading - Surface (incl. SCAC)	C	16AN max	SCAC must be valid. 4AN + up to 12N for total up to 16AN.	Note 3

#	Aff Code	Affirmation of Compliance Qualifier	Stat	Length/ Class	ACS Qualifier Validations	Notes
22	NHB	NVOCC or House Bill Number	C	16AN	4AN + up to 12N for total to 16AN. Edit same as BOL. Must follow BOL. If no BOL. Reject	Also called “Special Bill”. It is conditional based on its existence.
23	AWB	Master Air Waybill	C	12X	Must include hyphen between the third and fourth digits.	Follows AWB convention.
24	AWH	House Air Waybill	C	12X max	1X min	Must follow AWB
25	CNO	Container Number	C	14X max		Multiple container numbers can be supplied per line using this code.
26	RNO	Rail Car Number	C	14X max		MOT 20, 21 only
27	PFR	Food Facility Registration Number	C	11X	1 - numeric fixed 8 - random	Use this code if the food is processed in a facility which is required to register with FDA. If the facility is exempt from FDA’s registration requirements, transmit the appropriate exemption reason: (See FME)
28	PFT	Producer Firm Type	C	1X	Must be one: G - Grower/ Harvester C - Consolidator M – Manufacturer/ Producer	
29	FME	Food Facility Registration Exemption	C	1A		Note 8 If a PFR code and qualifier are not supplied, transmit this code and a valid exemption reason.
30	SFR	Shipper Registration Number	C	11X	1 - numeric fixed 8 - random 2 - check digit	Use only when required to register
31	CSH	Country of Shipping	C*	2A	Valid ISO code. US is not valid.	Last country before U.S. Note 2
32	OFT	Owner Firm Type	C*	1X	Must be one: M – Manufacturer/ Producer, Grower/ Harvester or Consolidator C - Carrier I - Importer U - Consignee	

#	Aff Code	Affirmation of Compliance Qualifier	Stat	Length/ Class	ACS Qualifier Validations	Notes
33	PNC	Prior Notice Confirmation Number	C	12X		Mandatory if Prior Notice Confirmation is received through FDA web system (PNSI) or ABI “WP” application. Must be in first affirmation of compliance field on FD01 record
34	PND	Prior Notice Disclaim				Use of this code should be limited to lines with FD3 tariff codes. The PND indicates prior notice is not required but 801(a) data is required. Must be in first affirmation of compliance field on FD01 record.
35	PVL	Privately owned vehicle license number	C	Max 25X	Free form text	If SCAC or IATA code are not provided at the entry level, and Carrier Name (CAN) and Carrier Country (CCN) are not used, then Privately Owned Vehicle License Number (PVL) and State/ Country (PVS) or PVP AND PVC) should be provided as appropriate.
36	PVS	Privately owned vehicle state code - Valid U.S. state codes	C	2A	Valid USPS State Code.	Do not spell out the name of the state.
37	PVP	Privately owned vehicle state/province name - Free form text	C	Max 25X	Min 2X	Valid foreign state or province code.
38	PVC	Privately owned vehicle country of registration	C	2AN	Valid ISO code	Note 2
Following Affirmations of Compliance are to be used exclusively for BTA prior notice transactions submitted using the “WP” application, i.e., for BTA prior notice transactions not submitted as part of an entry (EI, HI, HN) transmission:						
39	EFC	Entry Filer Code	C	3X		
40	ENT	Entry Number	C	8X		
41	ETP	Entry Type	C	2X	Must be valid.	Note 4
42	INB	In-Bond Number	C	12X		Note 5

Customs and Trade Automated Interface Requirements

#	Aff Code	Affirmation of Compliance Qualifier	Stat	Length/ Class	ACS Qualifier Validations	Notes
43	INT	In-Bond Type	C	2N	61 or 62 only	Type 63 is exempt.
44	MOT	Mode of Transportation	M	2N	Must be valid.	Note 6
45	FIR	Location of Goods (FIRMS code)	C	4X	Must be valid.	Note 7
46	FTZ	FTZ Admission Number	C	25X Max		
47	SCA	Importing Carrier	C*	4X	SCAC, IATA	Must be a valid carrier code. Do not use the AWB prefix or the Census abbreviation for the air carrier. Note 3
48	HTS	Harmonized Tariff Number	C*	10X		Must be valid at 6 or 8 or 10 digit level.
49	IMN	Importer Number	C	12AN		
50	IMM	Importer Last Name	C*	To 25X		
51	IMF	Importer First Name	C*	To 25X		May be different from contact name (FD04 record).
52	IMP	Importer Phone Number	C*	10 To 14X		May be different from contact phone number (FD04).
53	IMX	Importer Fax	C*	10 To 14X	If none zero fill	
54	IME	Importer Email	C*	To 25X	If none enter "none"	
55	IMC	Importer Firm Name	C*	To 25X		
56	IM1	Importer Address Line 1	C*	To 25X		
57	IM2	Importer Address Line 2	C	To 25X		Enter line 2 of address if it exists
58	IMU	Importer Address City	C*	To 25X		
59	IMS	Importer Address State or Canadian Province.	C*	2A	Valid USPS State code or Canadian Province code. Use "FN" for all other.	Must be 'FN', or valid Canadian province (from below) or valid state code.
60	IMZ	Importer ZIP or Mail Code	C*	5 To 25X		
61	IMA	Importer ISO Country Code	C*	2AN		
62	CON	Consignee Number	C	12AN		
63	COM	Consignee Last Name	C*	To 25X		
64	COF	Consignee First Name	C*	To 25X	May be different from contact name (FD04).	
65	COP	Consignee Phone Number	C*	10 To 14X	May be different from contact phone number (FD04)	
66	COX	Consignee Fax	C*	10 To 14X	If none zero fill	
67	COE	Consignee Email	C*	To 25X	If none enter "none"	
68	COC	Consignee Firm Name	C*	To 25X		
69	CO1	Consignee Address Line 1	C*	To 25X		

#	Aff Code	Affirmation of Compliance Qualifier	Stat	Length/ Class	ACS Qualifier Validations	Notes
70	CO2	Consignee Address Line 2	C	To 25X		Enter line 2 of address if it exists
71	COU	Consignee Address City	C*	To 25X		
72	COV	Consignee Address State or Canadian Province	C*	2A	Valid USPS State code or Canadian Province code. Use "FN" for all other.	Must be 'FN', or valid Canadian province (from below) or valid state code.
73	COZ	Consignee ZIP or Mail Code	C*	5 To 25X		
74	COA	Consignee ISO Country Code	C*	2AN		Note 2

Note 1

Valid Canadian Province Codes:

AB	-	Alberta
BC	-	British Columbia
MB	-	Manitoba
NB	-	New Brunswick
NL	-	Newfoundland and Labrador
NS	-	Nova Scotia
NT	-	Northwest Territories
NU	-	Nunavut
ON	-	Ontario
PE	-	Prince Edward Island
QC	-	Quebec
SK	-	Saskatchewan
YT	-	Yukon Territories

Note 2

Valid ISO Country Codes may be accessed using the specifications provided in the Extract Reference File chapter. ISO Country Codes must represent the actual country that exists at the time of the transaction. AP, FP and EU etc. are not valid country codes.

Note 3

Carrier codes, both SCAC and IATA, may be accessed using the specifications provided in the Extract reference File chapter.

Note 4

Entry types exempt from BTA Prior Notice reporting are:

- 06 Withdrawals from a Foreign Trade Zone (FTZ) (They are exempt but a PNC would need to be provided if the original admission into the FTZ was made after December 12, 2003)
- 22 Rewarehouse
- 63 Immediate Exportation

Note 5

The in-bond number can be “V” paperless or the air waybill used as an in-bond, or a conventional 9-digit number.

Note 6

Valid Mode of Transport Codes

10	21	33	50
11	30	34	60
12	31	40	70
20	32	41	80

The full explanation for MOT codes are listed in Appendix B.

Note 7

Location of Goods or FIRMS codes may be accessed using the specifications in the Extract Reference File chapter.

Note 8

The Prior Notice Interim Final Rule requires submission of a registration number for the producer of the article of food unless the facility is exempt from registration or if the article of food was imported for "transshipment or other export". If the facility is exempt from registration, transmit the "FME" (Food Facility Registration Exemption) Affirmation of Compliance code and the reason code. The codes represent the acceptable reasons for registration exemption. Additional one-digit alpha codes may be added if additional exemption reasons are identified by FDA.

- A Facility is out of business
- B Facility is a private residence (21 CFR 1.227(b)(2))
- C Facility is a restaurant (21 CFR 1.226(d); 1.227(b)(10))
- D Facility is a retail food establishment (21 CFR 1.226(c); 1.227(b)(11))
- E Facility is a non-processing fishing vessel (21 CFR 1.226(f))
- F Facility is a non-bottled drinking water collection and distribution establishment (21 CFR 1.227(b)(2))
- G Individual gift-label name/address in lieu of registration # (21 CFR 1.281(a)(6), (b)(5) and (c)(6))
- H Grower – satisfies farm exemption (21 CFR 1.226(b); 1.227(b)(3))
- Y Yes (This qualifier will be end-dated after filer notification.)