CBP and Trade Automated Interface Requirements

Stand-alone Filing for Prior Notice Data, Status Notification (PO)

March 1, 2021

U.S. Customs and Border Protection

ace

This chapter provides record formats and processing instructions for submitting data to government agencies that will participate with modernization of the automated cargo systems.

Contents

Table of Changes

Revision Number	Date of Change	Section(s) Affected	Brief Description of Change
13	March 1, 2021	A) PO71	A) Updated description for reason code 52 and subreason code 139; Added subreason code 191 under reason code 52
12	February 23, 2021	B) PO70	A) NOTE 1: Updated description for 08 PGA line level status code; NOTE 2: Removed reason code 53 under status code 08; Updated descriptions for 30 and 31 (under 08)
11	March 10, 2020	A) Main introduction B) PO70, Note 2 C) PO71	A) Added sentence regarding the agency that uses this transaction B) Changed reason codes: from 28, 29 to 52, 53 C) Removed filler and added two data elements; Updated Note 1; For Note 4, changed status reason code: from 28 to 52
10	May 10, 2018	A) PO71, NOTE 4	A) Updated description for subreason codes 14:111 and 14:112
9	February 16, 2018	A) Overall document	A) Removed 'Draft' from footer and from language on page 2
8	January 30, 2018	A) P070, NOTE 2 B) PO71, NOTE 4 C) Overall document	A) Added reason code 26 (PN DATA REJECTED), to status code 04 (DATA REJECTED PER PGA REVIEW); Updated table style B) Added the following subreason codes associated to reason code 14: 151, 152, 153; Deleted the following subreason codes associated to reason code 14: 123,124,125 Added the following subreason codes associated to reason code 26: 122, 149. Updated table style; Updated page numbering:
7	November 28, 2016	A) P010	A) Added 'Filer Defined reference number' (9X) and description (internal number used by trade for data correlation purposes, as needed); Added space fill of 1X; Reduced Length of 'Reference Identifier Number' field from 46 to 36; Updated the description; Renumbered the record accordingly.

Revision Number	Date of Change	Section(s) Affected	Brief Description of Change
6	October 5, 2016	A)PO70	A)Updated text in Note 1 in PO70 to remove references to entries
5	August 31, 2016	A)Output Status Record Usage Maps	A)Corrected typo in Record ID from SO to PO
4	August 11, 2016	A)Output Status Record Usage Map B)PO10	A)Updated to reflect PGA Processing Group B)Changed status of Envelope Number from C (conditional) to M (mandatory)
3	February 17, 2016	A)PO10	A)Updated length of 'Reference Identifier Number' from 35X to 46X (to match the input length on PE). Removed 'Filler' and renumbered accordingly
2	December 22, 2015	A)PO60 B)PO70 C)PO71	A)PO60 – removed disposition code 80 (In-Bond number not on file) B)PO70: Added sentence in the record header. Deleted the following data elements since they are not involved in this transaction: Beginning CBP Line, Range indicator, Ending CBP line, Ending PGA Line; Changed title of data element from "Beginning PGA Line" to just "PGA Line"; renumbered positions accordingly; For NOTE 1: Added Status Code of "08 – Move to Secure Hldng Fclty" For NOTE 2: Added four Valid Reason Codes associated with code 08 C)PO71: Added seven Sub Reason Codes associated with Status Reason Code 28
1	September 1, 2015	A)Chapter title B)P070 C)PO71 D)PO72 E)PO10 F)PO60	A)Changed chapter title B)Changed Status of Government Agency Program code from 'M' to "C"; changed Beginning PGA Line and Ending PGA line to be 3AN; renumbered accordingly C)Changed length/class of PGA Reference Identification Number to X; deleted code '2' from note 1; changed code '1' to '01'; Corrected length/class for PGA Reference Identification Number Receipt date. Renumbered accordingly; changed to be a conditional record. D)Corrected description of Comments to Trade from PGA E)Corrected position for Entry type; Changed Filing Type to M F)Removed 'future use' text. Added code indicating cancellation of PN number(s)

Status Notification for PE Data Submission

(Stand-alone Partner Government Agency Data)

This transaction is currently only used for filing FDA Prior Notice. In the future, it may be used by other agencies.

The PE record is used for the input. The PX record is used for the output. The PO is used for providing status notifications for accepted PE submissions.

Processing Results

The processing results notify the submitter of the Prior Notice Confirmation number, or when submitting Prior Notice data via the PE, a PO will be used to return status related to the submitted information.

FDA Prior Notice Status Notifications

When submitting Prior Notice data via the PE, a PO will be used to return status related to the submitted information.

General Data Submission Rules

Unused fields, which are defined as numeric, should not be zero-filled. These fields should be space filled or data errors may result.

Data should not be placed in fields defined as filler. If data is present in filler fields, an error message may be system generated.

When transmitting data, all letters must be upper case. While some applications may not return specific error messages when detecting lower-case letters, CBP cannot guarantee the consistency of processing results for data transmitted in lower case.

Data Elements

The data element descriptors are defined as:

Code	Description
A	The data element is alphabetic only.
AN	The data element is alphanumeric only.
C	The data element is special characters.
N	The data element is numeric only.
X	The data element is alphanumeric or special characters.

All data elements are in fixed-length format. If all positions are not filled, the formatting rules are:

Code	Description
A	Left justify and Space fill.
AN	Left justify and Space fill.
C	Left justify and Space fill.
N	Right justify and zero-fill.
X	Left justify and Space fill.

Note: **If there is no data to insert in a field, Space fill.**

OUTPUT STATUS RECORD USAGE MAPS

The following tables illustrate how the automated interface expects repeating groups to be structured within an output status message.

Record ID	Name	Req. Des.	Max Use	Loop Repeat	
	Block Control Grouping	M		1	
	Transaction Control Headers (A,B)	M			
	Header Grouping	M		1	
PO10	Status Reference	M	1		
PO60	Processing Information	C	999		
	PGA Processing Grouping	M		999	
PO70	PGA Processing Disposition	M	1		
PO71	PGA Reference ID Information	C	99		
PO72	PGA Narrative Information	C	99		
	Transaction Control Trailers (Y,Z)	M			

Designation: M = Reporting Mandatory; C = Reporting Conditional; O = Reporting Optional

Record Identifier PO10 (Output)

This is a mandatory output record that provides data pertaining to the information provided on the PE10 input.

Data Element	Length/ Class	Position	Status	Description	Note
Record Identifier PO10 (Input)					
Record Type	4AN	1-4	M	Must always equal PO10.	
Filler	1X	5	M	Space Fill	
Filing Type	1AN	6	M	A code representing the filing type of this submission	
Reference Qualifier Code	3AN	7-9	M	Code that defines the Reference Identifier Number being provided	
Filer or Issuer code for Reference Identifier	4AN	10-13	C	The filer or issuer code associated with the Reference Identifier Number. The issuer code is representing the issuer of the bill of lading.	
Reference Identifier Number	36X	14-49	M	The unique identifying number associated to the Reference Qualifier Code.	
Filer Defined reference number	9X	50-58	O	Internal number used by trade for their purposes. Allows them to correlate data back to their systems, as applicable.	
Space fill	1X	59	M	Space fill	
Bill Type Indicator	1X	60	C	Code identifying the type of Bill of Lading Number.	
Carrier	4AN	61-64	C	A code identifying the carrier. SCAC or IATA.	
Entry Type	2AN	65-66	C	A code representing the entry type.	
Mode of Transportation (MOT) Code	2AN	67-68	C	A code representing the mode of transportation.	
Envelope Number	12AN	69-80	M	Envelope number issued by CBP	

Record Identifier PO60 (Output)

This is a conditional output record that provides data pertaining to the disposition action date, time, and code; and narrative message. This record is repeated as often as necessary.

Record Identifier PO60 (Output)					
Data Element	**Length/ Class**	**Position**	**Status**	**Description**	**Note**
Control Identifier	4AN	1-4	M	Must always equal PO60.	
Disposition Action Date	6N	5-10	M	A numeric date in MMDDYY (month, day, year) format representing the disposition action date.	
Disposition Action Time	4N	11-14	M	The military time in HHMM (hour, minute) format representing the time of the disposition action.	
Disposition Action Code	2AN	15-16	M	A code representing the disposition action.	1
Narrative Message	40X	17-56	M	The narrative message associated with the disposition code.	1

Note 1:

Valid Disposition Codes and their narrative messages are:

Code   Description

01   PN CONFIRMATION NUMBER(S) ARE CANCELLED

Record Identifier PO70 (Output)

This is a conditional output record that provides results pertaining to the PGA review of data submitted on a PE transaction.

This record is returned only in situations when there is an issue with the data.

Record Identifier PO70 (Output)					
Data Element	**Length/ Class**	**Position**	**Status**	**Description**	**Note**
Control Identifier	4AN	1-4	M	Must always equal PO70.	
Government Agency Code	3AN	5-7	M	A code indicating the Partner Government Agency. Valid codes can be found in Appendix V (Government Agency Codes) in the ACE ABI CATAIR Appendices.	
Government Agency Program Code	3AN	8-10	C	A code indicating an agency's program for which the PGA data set is related. Refer to Appendix PGA for valid codes.	
Filler	42X	11-52	C	Space fill	
PGA Line Level Status Code	2AN	53-54	C	A code representing the status of a PGAs review at the PGA Line level.	1
Status Reason Code	2AN	55-56	C	A code representing the reason for a PGAs status review	2
PGA Line	3N	57-59	C	The beginning PGA line number	
Filler	21X	60-80	C	Space fill	

Note 1:
Valid Status Codes are:

Code	**Description**
01	DATA UNDER PGA REVIEW
04	DATA REJECTED PER PGA REVIEW
08	PN ONLY – PGA DATA RELATED ENFORCEMENT

If any PGA line with Prior Notice (PN) data is rejected by FDA, then trade will only receive the information related to the PN reject(s). Trade will not receive PN confirmation numbers for PGA lines in this situation that may have been accepted. Trade must resubmit with the updated PN data.

Note 2:

If Status Code is:	Then a Valid Reason Code can be:	Description
04	**14**	DATA REJECTED PER PGA REVIEW
04	**26**	PN DATA REJECTED
08	**52**	PN REFUSED INACCURATE PRIOR NOTICE
08	**30**	PN REFUSED –PRIOR NOTICE NOT SUBMITTED FOR ALL FOODS
08	**31**	PN-REGISTRATION HOLD-MANUFACTURER NOT REGISTERED

Record Identifier PO71 (Output)

This is a conditional output record used to return prior notice confirmation numbers and PGA processing of data (e.g., rejections, refusals). It is repeated as often as necessary.

For FDA, prior notice confirmation numbers should be used when filing entries. The prior notice numbers should also be on any documents submitted to USCBP for in-bond, FTZ admission, etc.

Data Element	Length/ Class	Position	Status	Description	Note
Record Identifier PO71 (Output)					
Control Identifier	4AN	1-4	M	Must always equal PO71.	
PGA Reference Identification Number Qualifier	2AN	5-6	C	A code representing the type of number being provided from the PGA, in response to data submitted by trade	1
PGA Reference Identification Number	12X	7-18	C	The number being provided by the PGA, in response to data submitted by trade	2
PGA Reference Identification Number Receipt Date	6N	19-24	C	A numeric date in MMDDYY (month, day, year) format representing the date that the PGA confirmation was received.	3
PGA Reference Identification Number Receipt Time	6N	25-30	C	The military time in HHMMSS (hour, minute, second) format representing the time that the PGA confirmation was received.	3
PGA Line Sub Reason Code	3AN	31-33	C	Code identifying PGA review reason.	4
PGA Line Sub Reason Code	3AN	34-36	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	37-39	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	40-42	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	43-45	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	46-48	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	49-51	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	52-54	C	Code identifying PGA review reason.	
PGA Line Sub Reason Code	3AN	55-57	C	Code identifying PGA review reason.	

Record Identifier PO71 (Output)						
PGA Line Sub Reason Code	3AN	58-60		C	Code identifying PGA review reason.	
PGA Reference Identification Number Qualifier	2AN	61-62	61-62	C	A code representing the type of number being provided from the PGA, in response to data submitted by trade	A code representing the type of number being provided from the PGA, in response to data submitted by trade
PGA Reference Identification Number	18X	63-80		C	The identifier being provided by the PGA, in response to data submitted by trade	

Note 1

Additional codes will be added by PGAs as they are known.

For positions 5-6 valid qualifier codes are:

    Code   Description

    01   Prior Notice Confirmation Number

For position 61-62, there are currently no valid qualifier codes.

Note 2

For FDA, the prior notice confirmation number is the validation and certification from FDA that the prior notice data was received for the merchandise. This should be retained by the filer.

Note 3

For FDA, the prior notice receipt date and time are returned when FDA generates a prior notice received message to the filer for the merchandise. This information should be retained with the confirmation number.

Note 4

There can be multiple sub reason codes for a given PGA line.

The following are valid PGA line sub reason codes:

If the Status Reason code is:	then a valid Sub Reason Code is:	Description
14	107	FOREIGN ULTIMATE CONSIGNEE
14	108	MISSING REGISTRATION
14	109	REGISTRATION NOT ON FILE
14	110	MISMATCH IN REGISTRATION
14	111	CANCELLED FACILITY REGISTRATION
14	112	FACILITY REGISTRATION INVALIDATED BY FDA
14	113	INVALID QUANTITY FORMAT
14	114	INVALID ID FOR MANUFACTURER
14	115	INVALID ID FOR SHIPPER
14	116	INVALID ID FOR IMPORTER
14	117	INVALID ID FOR ULTIMATE CONSIGNEE
14	118	INVALID STATE/ZIP FOR US MANUFATURER
14	119	INVALID COUNTRY OF PRODUCTION
14	120	INVALID COUNTRY OF SHIPPING
14	122	INVALID EXEMPTION (FME) QUALIFIER
14	126	INVALID FILER
14	127	INVALID OWNER ENTITY ID
14	128	INVALID SUBMITTER ENTITY ID
14	129	INVALID TRANSMITTER ENTITY ID
14	130	INVALID DELIVER TO PARTY ENTITY ID
14	131	MISSING BILL OF LADING OR AIR WAY BILL
14	151	MISSING DATA
14	152	INVALID CANADIAN PROVINCE
14	153	INVALID PRODUCT CODE
26	149	FDA PRODUCT CODE MISMATCH TO GROWER/CONSOLIDATOR/MANUFACTURER ROLE CODE
26	122	INVALID EXEMPTION (FME) QUALIFIER
52	133	INACCURATE MANUFACTURER
52	134	INACCURATE ULTIMATE CONSIGNEE
52	135	INACCURATE SHIPPER
52	136	INACCURATE IMPORTER
52	137	INACURRATE FDA PRODUCT CODE
52	138	INACCURATE BILL OF LADING OR AIRWAY BILL
52	139	INACCURATE PRIOR NOTICE INFORMATION
52	191	UNTIMELY PRIOR NOTICE

Record Identifier PO72 (Output)

This is a conditional output record that provides information to trade from PGAs. If this record is used, a PO71 may be provided. This record can be repeated as often as necessary.

Record Identifier PO72 (Output)					
Data Element	**Length/ Class**	**Position**	**Status**	**Description**	**Note**
Control Identifier	4AN	1-4	M	Must always equal PO72	
Comments to Trade from PGA	76X	5-80	M	A narrative message to trade from PGA regarding a particular PGA line.	