

## Citations, Testing Exclusions, and Disclaims

### Citations

**Filers must submit a citation code for every rule, ban, standard, or regulation applicable to the product to which the filer is certifying.<sup>1</sup>**

- Each citation code is a 3-14 character code.
- In most cases, the code is based on the Code of Federal Regulations (CFR) part number for the particular citation, including the subsection, where applicable. (The code will include any special characters).
  - Examples:
    - The regulation for Full-Size Cribs is found in 16 CFR 1219. Therefore, the citation code is 1219.
    - The regulation for Fireworks (audible effect) is found in 16 CFR 1500.17(a)(3). Therefore, the citation code is 1500.17(a)(3).
- For products subject to the ASTM Toy Standard, every applicable section must be listed. The citation code is the ASTM section number.
  - Examples:
    - The regulation for Small Objects is found in ASTM F963-17 section 4.6. Therefore, the citation code is 4.6.
    - The regulation for Squeeze Toys is found in ASTM F963-17 section 4.24. Therefore, the citation code is 4.24.

#### **When using the Full Message Set:**

The filer must enter the citation code in PG60, beginning in position 8, and must repeat PG60 for each applicable citation.

#### **When using the Product Registry:**

With the user interface, the filer will select the citation code from a drop-down list. This list will contain the citation code and citation description.

With the batch or API upload, the filer will enter the citation code in the appropriate field.

---

<sup>1</sup> Rules requiring a CPC can be found at: [Rules Requiring Third-Party Testing and a Children's Product Certificate | CPSC.gov](#); rules requiring a GCC can be found at: [Rules Requiring a General Certificate of Conformity \(GCC\) - General Use/Non-Children's Products | CPSC.gov](#); the ASTM F963-17 requirements can be found here: [ASTM F 963-17 Requirements | CPSC.gov](#).

## Testing Exclusions

**Filers must submit a testing exclusion code for any testing exclusion applicable to the product to which the filer is claiming.<sup>2</sup> Testing exclusion codes will only be used when a certificate is required for another rule, ban, standard, or regulation. If no certificate is required for the product, then a disclaimer message must be submitted instead (see below).**

- Similar to citation codes, a testing exclusion code is a 3-14 character code, based on the CFR part number for the particular citation, including the subsection. (The code will include any special characters).
  - Examples:
    - The testing exclusion for lead content for certain materials is found in 16 CFR 1500.91(d)(1) - (8), dependent on the material.  
The codes are 1500.91(d)(1), 1500.91(d)(2), ... 1500.91(d)(8).
    - The testing exclusion for wearing apparel (when the testing exclusion is applied to children's wearing apparel) is found in 16 CFR 1610.1(d)(1) and 16 CFR 1610.1(d)(2).  
The codes are 1610.1(d)(1) and 1610.2(d)(2).

---

<sup>2</sup> "Testing exclusions" include exemptions, exclusions, or determinations defined in a rule, ban, standard, or regulation applicable to the product.

## Disclaimers

Filers should submit a Disclaimer Message Set if no certificate is required. Filers must also submit an intended use code with a Disclaimer.<sup>3</sup>

- **Disclaim A:** product is not regulated by this agency (meaning no rule, ban, standard, or regulation *requiring a certificate* applies.)
  - To be used if the product is:
    - Captured by CPSC’s HTS codes AND is within CPSC’s jurisdiction, BUT no rule, ban, standard, or regulation *requiring a certificate* applies.
      - Examples:
        - Hats, scarves, gloves.
        - Collectible toys intended for adults.
        - Sport helmets, besides bicycle helmets.
        - 15(j) products, besides drawstrings (found in 16 CFR 1120).
      - Captured by CPSC’s HTS codes BUT is outside of CPSC’s jurisdiction.
        - Examples:
          - Medical products similar to general-use products.
          - Non-consumer use industrial equipment.
        - Captured by CPSC’s HTS codes AND is a component part intended for further assembly or manufacturing in the United States.
          - The eFiling requirement only applies to imported final products. However, if a product that in some cases can be considered as a component part, but is imported for direct sale to a consumer, then the product is considered a final product and may require a certificate.
          - Examples:
            - Bicycle parts
            - Doll clothing
      - Intended Use Codes:

081.XXX	For Human Medical Use as Medical Device
090.XXX	For Military Use as a Non-Food Product
100.XXX	For Personal Use as a Non-Food Product
130.XXX	For Consumer Use as a Non-Food Product (besides 130.001-005)
155.XXX	For Commercial Assembly as a Non-Food Product
940.XXX	For Compassionate/Emergency Use of a Non-Food Product
970.XXX	For Export
980.000	For Other Use (with Intended Use Description)

\*Other Intended Use Codes may be used.

---

<sup>3</sup> Filing a Disclaimer Message Set is not required for products captured by CPSC’s HTS codes, but do not require a certificate. However, by filing a Disclaimer, the risk score for the shipment may decrease.

- **Disclaim B:** data is not required per agency guidance
  - To be used if the product is captured by CPSC’s HTS Codes AND is within CPSC’s jurisdiction AND a rule, ban, standard, or regulation applies, BUT CPSC is exercising enforcement discretion that no certificate is required.
    - Only certain products meet these requirements.
      - Examples:
        - Adult wearing apparel claiming exemption under 16 CFR 1610.1(d)(1) or 1610.1(d)(2).
        - Household refrigerators if the product displays an appropriate safety certification mark indicating compliance.
        - Pre-filled portable fuel containers until July 12, 2024.
        - Packages of Zinc-air button cell or coin batteries until March 8, 2024.
  - Intended Use Codes:

130.006	Consumer product intended for People aged 13 Years or Older
---------	---

\*No other code can be used, because these above products are for consumers aged 13 years or older.

### How to claim a testing exclusion?

Does a CPSC rule, ban, standard, or regulation requiring a certificate apply?	Is CPSC exercising enforcement discretion?	What should be submitted?	What Intended Use Codes should be provided?
No	N/A	Disclaim A	081.XXX 090.XXX 100.XXX 130.XXX (besides 130.001-005) 155.XXX 940.XXX 970.XXX 980.000 (required)
Yes	No	Certificate with testing exclusion codes	130.001-005 (optional)
	Yes	Disclaim B	130.006 (required)