GS1 Fresh Foods and Upstream GTIN Allocation Rules Standard

GTIN Allocation Rules for the Fresh Foods and Upstream Sectors

Release 1.0, Ratified, June 2016
Document Summary

<table>
<thead>
<tr>
<th>Document Item</th>
<th>Current Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Document Name</td>
<td>GS1 Fresh Foods and Upstream GTIN Allocation Rules Standard</td>
</tr>
<tr>
<td>Document Date</td>
<td>June 2016</td>
</tr>
<tr>
<td>Document Version</td>
<td>1.0</td>
</tr>
<tr>
<td>Document Status</td>
<td>Ratified</td>
</tr>
<tr>
<td>Document Description</td>
<td>GTIN Allocation Rules for the Fresh Foods and Upstream Sectors</td>
</tr>
</tbody>
</table>

Contributors

<table>
<thead>
<tr>
<th>Name</th>
<th>Organisation</th>
</tr>
</thead>
</table>

Log of Changes

<table>
<thead>
<tr>
<th>Release</th>
<th>Date of Change</th>
<th>Changed By</th>
<th>Summary of Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>June 2016</td>
<td>A. Hearn, D. Buckley</td>
<td>Standalone document created using Fresh Food and Upstream content in the ratified GTIN Allocation Rules Standard, April 2015</td>
</tr>
</tbody>
</table>

Disclaimer

GS1®, under its IP Policy, seeks to avoid uncertainty regarding intellectual property claims by requiring the participants in the Work Group that developed this GS1 Fresh Foods and Upstream GTIN Allocation Rules Standard to agree to grant to GS1 members a royalty-free licence or a RAND licence to Necessary Claims, as that term is defined in the GS1 IP Policy. Furthermore, attention is drawn to the possibility that an implementation of one or more features of this Specification may be the subject of a patent or other intellectual property right that does not involve a Necessary Claim. Any such patent or other intellectual property right is not subject to the licencing obligations of GS1. Moreover, the agreement to grant licences provided under the GS1 IP Policy does not include IP rights and any claims of third parties who were not participants in the Work Group.

Accordingly, GS1 recommends that any organization developing an implementation designed to be in conformance with this Specification should determine whether there are any patents that may encompass a specific implementation that the organisation is developing in compliance with the Specification and whether a licence under a patent or other intellectual property right is needed. Such a determination of a need for licencing should be made in view of the details of the specific system designed by the organisation in consultation with their own patent counsel.

**THIS DOCUMENT IS PROVIDED "AS IS" WITH NO WARRANTIES WHATSOEVER, INCLUDING ANY WARRANTY OF MERCHANTABILITY, NONINFRINGEMENT, FITNESS FOR PARTICULAR PURPOSE, OR ANY WARRANTY OTHER WISE ARISING OUT OF THIS SPECIFICATION. GS1 disclaims all liability for any damages arising from use or misuse of this Standard, whether special, indirect, consequential, or compensatory damages, and including liability for infringement of any intellectual property rights, relating to use of information in or reliance upon this document.**

GS1 retains the right to make changes to this document at any time, without notice. GS1 makes no warranty for the use of this document and assumes no responsibility for any errors which may appear in the document, nor does it make a commitment to update the information contained herein.

GS1 and the GS1 logo are registered trademarks of GS1 AISBL.
# Table of Contents

1 **Introduction** .................................................................................................................. 4  
1.1 GS1 standards and legal/regulatory compliance ................................................................. 4  
1.2 GTIN Management Standard and brand owner discretion .................................................. 4  

2 **Fresh foods** ................................................................................................................... 5  
2.1 Difference in weight .......................................................................................................... 5  
2.2 Sold individually then cut and sold by weight .................................................................. 5  
2.3 Item sold individually or by weight ................................................................................... 6  
2.4 Bulk items ......................................................................................................................... 6  
2.5 Items placed in a bag ......................................................................................................... 7  

3 **Upstream** ....................................................................................................................... 9  
3.1 Different logistical size ...................................................................................................... 9  
3.1.1 Trade item sold in variable measure varies in total weight ........................................... 9  
3.1.2 Trade item supplied in new size ................................................................................ 9  
3.1.3 Major packaging change ......................................................................................... 9  
3.1.4 Same trade item but ................................................................................................ 10  
3.2 Different substance .......................................................................................................... 10  
3.2.1 New specification .................................................................................................... 10  
3.2.2 Variations in the grade - trade item ........................................................................ 10  
3.2.3 Specifications vary within parameters .................................................................... 10  
3.2.4 Print design change ............................................................................................... 11  
3.2.5 Different finishing ................................................................................................. 11  
3.3 Different trading partners ............................................................................................... 11  
3.3.1 Supplier change - supplier assigned GTIN .............................................................. 11  
3.3.2 Supplier change - customer assigned GTIN ............................................................ 12  
3.3.3 Customer change - supplier assigned GTIN ........................................................... 12
1 Introduction

The Global Trade Item Number (GTIN) provides a global supply chain solution by identifying any trade item that may be priced, or ordered, or invoiced at any point in the supply chain upon which there is a need to retrieve pre-defined information.

The GS1 Fresh Foods and Upstream Global Trade Item Number (GTIN) Allocation Rules Standard are focused on the additional rules that may be needed when operating in these sectors. These are in addition to the GTIN Management Standard that are designed to help industry make consistent decisions about the unique identification of trade items in open supply chains, but are focused on their specific industries.

This standard has been developed in accordance with the GS1 Global Standards Management Process (GSMP) and are considered a part of the GS1 system of standards. Overall, costs are minimised when all partners in the supply chain adhere to the GTIN Management Standards.

Unique identification of trade items is critical to maintaining operational efficiencies that business partners rely on to exchange information about products in consistent ways, as well as ensuring the smooth operations of global supply chains. Additionally, the unique identification of trade items is crucial when complying with various regulations across the globe. Finally, unique identification as well as communication between trading partners of those changes are essential to ensure the right product is made available on the store shelf or is presented and fulfilled properly from an e-commerce platform to the consumer.

1.1 GS1 standards and legal/regulatory compliance

The GTIN Management Standard represent a minimum requirement. Please be advised that there may be regulation(s) in your market area that are more stringent and SHALL be adhered to.

All local legal and regulatory requirements supersede the GTIN Management Standard.

1.2 GTIN Management Standard and brand owner discretion

The GTIN Management Standard represent the minimum GTIN changes that industry has decided upon. Brand owners may change the GTIN as often as they think is appropriate based upon their needs as well as the needs of their consumers and trading partners, considering the guiding principles defined in the GTIN Management Standard.
2 Fresh foods

These specific rules apply to fresh foods which includes product categories such as: fruits, vegetables, meat, seafood, bakery and ready-to-serve food such as cheeses, cold cooked or cured meats, and salad, etc.

2.1 Difference in weight

*Fresh pre-packed package item differs in weight*

Where a fresh food pre-packed package item differs in weight, is sold by weight but ordered by specific separate pack size a new / unique GTIN will be assigned to each type of pack size.

**Rules**

- New GTIN - Retail Consumer Trade Item
- N/A - Trade Item Grouping

**Rationale**

Pre-packaged chicken drumsticks, each package differs in weight, sold by weight but ordered by specific pack size (GTIN A = 10pk and GTIN B = 14pk)

![GTIN A](image1)

![GTIN B](image2)

**Consequence if rule not applied**

GTIN assignment would be inaccurate

2.2 Sold individually then cut and sold by weight

*Loose produce item is sold as an each (individual piece) then cut and sold weight*

Where a loose produce item is sold as an each (product 1), then cut and packaged to be sold by weight (product 2), product 1 and 2 require separate unique GTINs.

**Rules**

- New GTIN - Retail Consumer Trade Item
- N/A - Trade Item Grouping

**Rationale**

A whole watermelon is sold for $4.00 each. The retailer decides to cut the watermelon into halves and sell the quarters for $1.99 per kilo/pound
Consequence if rule not applied
GTIN assignment would be inaccurate

2.3 Item sold individually or by weight

*Loose produce item is sold as an each (individual piece) or weight.*

Where a loose produce item is sold as an each or weight (product 3), is then packaged in-store and sold as a fixed measure (product 4), product 3 and 4 require separate unique GTINs.

**Rules**
- New GTIN - Retail Consumer Trade Item
- N/A - Trade Item Grouping

**Rationale**
An apple sold by each or weight for 1.29 per kilo/pound. It is then packed in-store as a fixed measure container and sold at 3.00 for a 6-pack of apples.

Consequence if rule not applied
GTIN assignment would be inaccurate

2.4 Bulk items

*Fresh bulk items not intended for Point-of-Sale*

Where a bulk fresh food item of fixed or variable measure, not intended for Point-of-Sale, (product 5), is cut and packaged in-store and sold by weight (product 6), product 5 and 6 will require separate GTINs based on the requirement to use Indicator digit 9 in a GTIN-14 on product 5 and the requirement to use GTIN-12 or GTIN-13 on product 6 because it will be scanned at Point-of-Sale.
Rules
- New GTIN - Retail Consumer Trade Item
- N/A - Trade Item Grouping

Rationale
Example 1: A wheel of cheese (not intended for Point-of-Sale) is ordered by a GTIN-14 inclusive of Indicator digit 9, is cut and packaged in variable weight packages in the deli department and sold by weight, will require a new GTIN, either GTIN-12 or GTIN-13 at Point-of-Sale.

Example 2: Bulk chicken breast (not intended for POS) is ordered by a GTIN-14 inclusive of Indicator digit 9, then packaged into individual variable weight packages and sold by weight, will require a new GTIN, either GTIN-12 or GTIN-13 at Point-of-Sale.

Consequence if rule not applied
GTIN assignment would be inaccurate

2.5 Items placed in a bag

Loose produce item placed in a bag
Where a loose produce item (product 9) is placed in a bag (product 10) by the consumer, product 9 and 10 have the same GTIN.

Rules
- Same GTIN - Retail Consumer Trade Item
- N/A - Trade Item Grouping
**Rationale**

Loose Produce items presented for sale at the POS, either individually or in a bag (placed by the consumer) will be identified with the same GTIN. Placing the loose produce items in a bag by the consumer does not change the GTIN.

**Consequence if rule not applied**

GTIN assignment would be inaccurate
3 Upstream

These specific rules apply to packaging and raw material trade items supplied to manufacturing companies. Upstream suppliers are those companies that typically supply or manufacture trade items that are supplied to other companies for further processing. Examples of these trade items include raw ingredient and packaging materials.

3.1 Different logistical size

3.1.1 Trade item sold in variable measure varies in total weight

Trade item sold in variable measure varies in total weight

Rules
- Same GTIN - Trade Item

Rationale
All identification includes the measure as an attribute of the GTIN, so no new GTIN is required (See GS1 General Specifications for further guidance on variable measure items).

Consequence if rule not applied
Unnecessary introduction of new GTINs.

3.1.2 Trade item supplied in new size

Trade item supplied in new size

Rules
- New GTIN - Trade Item

Rationale
Different sized trade items must have different GTINs.

Consequence if rule not applied
Impossible to distinguish between different sizes of trade item.

3.1.3 Major packaging change

Major packaging change

Any dimensional change of more than 20%, but net weight remains unchanged.

Rules
- New GTIN - Trade Item

Rationale
Inventory and logistics systems need to be updated to ensure optimal space allocation.

Consequence if rule not applied
20% rule meets reasonability test (e.g. 0% is unacceptable to suppliers, and 100% is unacceptable to customers.) Note: Any change in Net Declared Weight requires a new GTIN.
3.1.4 Same trade item but...

Same trade item but different handling parameters
Same trade item but different handling parameters, e.g. change of container or packaging.

Rules
■ Same GTIN - Trade Item

Rationale
The trade item is unaffected by how it is delivered.

Consequence if rule not applied
Unnecessary introduction of new GTINs.

3.2 Different substance

3.2.1 New specification

New specification for the trade item
The party that assigns the GTIN has issued a new specification for the trade item.

Rules
■ New GTIN - Trade Item

Rationale
Trade item must be distinguished from previous trade item.

Consequence if rule not applied
Old and new trade items are confused with each other.

3.2.2 Variations in the grade - trade item

Variations in the grade of the trade item
Variations in the grade of the trade item.

Rules
■ New GTIN - Trade Item

Rationale
Different grades of a trade item must be distinguished from one another.

Consequence if rule not applied
Different grades are confused with one another.

3.2.3 Specifications vary within parameters

Specification varies within the parameters of the party assigning the GTIN
Trade item specification varies within the parameters of the party assigning the GTIN.

Rules
■ Same GTIN - Trade Item
### Rationale
The trade item still falls within the specification defined for trading purposes so no new GTIN is required. The supplier could use the Application Identifier for Product Variant (AI (20)) to distinguish the technical improvement.

### Consequence if rule not applied
Unnecessary introduction of new GTINs.

### 3.2.4 Print design change

**Trade item is printed packaging material, and print design has changed**

The trade item is printed packaging material, and the print design has changed.

#### Rules
- New GTIN - Trade Item

#### Rationale
The change in print design will affect where and how the trade item can be used in the manufacturing process.

#### Consequence if rule not applied
Unable to ensure that correct packaging is used for the appropriate production process and batch.

### 3.2.5 Different finishing

**Different finishing**

Different finishing (e.g., a trade item is finished or converted to order).

#### Rules
- New GTIN - Trade Item

#### Rationale
The final conversion produces different trade item which must be separately identified.

#### Consequence if rule not applied
Unable to distinguish between different trade items.

### 3.3 Different trading partners

### 3.3.1 Supplier change - supplier assigned GTIN

**Change of supplier and GTIN assigned by supplier**

Change of supplier and the GTIN is assigned by the supplier.

#### Rules
- New GTIN - Trade Item

#### Rationale
Each supplier's trade items need to be identified separately from those of another supplier.
Consequence if rule not applied
Impossible to track and trace trade items manufactured or supplied by different companies.

3.3.2 Supplier change - customer assigned GTIN
Change of supplier and GTIN assigned by customer
Change of supplier and the GTIN is assigned by the customer.

Rules
■ Same GTIN - Trade Item

Rationale
The trade item is specified by the customer who allocates the GTIN to the trade item.

Consequence if rule not applied
Unnecessary introduction of new GTINs.

3.3.3 Customer change - supplier assigned GTIN
Change of customer and GTIN assigned by supplier
Change of customer and the GTIN is assigned by the supplier.

Rules
■ Same GTIN - Trade Item

Rationale
The trade item is unaffected by the change in customer.

Consequence if rule not applied
Unnecessary introduction of new GTINs.