

# KAT Guide for egg-products plants, the food industry and trading companies



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**KAT – Association for Controlled  
Alternative Animal Husbandry**

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## Table of contents

<b>PREAMBLE</b> .....	<b>1</b>
<b>1 KAT</b> .....	<b>1</b>
<b>2 Egg products in the KAT system</b> .....	<b>1</b>
<b>3 Websites <a href="http://www.was-steht-auf-dem-ei.de">www.was-steht-auf-dem-ei.de</a> and <a href="http://www.kat.ec">www.kat.ec</a></b> .....	<b>1</b>
<b>PART I: INTRODUCTION</b> .....	<b>1</b>
<b>1 Basic principles</b> .....	<b>1</b>
1.1 Scope of application .....	1
1.2 Legal requirements.....	1
<b>2 General conditions</b> .....	<b>2</b>
2.1 Participation in the system .....	2
2.2 Goods reports.....	2
2.3 Separation of KAT/non-KAT goods.....	4
2.4 KAT label.....	4
2.5 Administrative audits .....	5
2.6 Certificates .....	7
2.7 Database – data use/data protection .....	7
<b>PART II: LIST OF REQUIREMENTS</b> .....	<b>8</b>
<b>1 Participation requirement (EP, NI, HA)</b> .....	<b>8</b>
<b>2 Finished products store (physical) (EP, NI)</b> .....	<b>9</b>
<b>3 Outgoing goods (administrative) (EP, NI, HA)</b> .....	<b>10</b>
<b>4 Manufacturing process (refined egg product)/goods management (administrative)</b> <i>Scope of application: egg-products plants</i> .....	<b>12</b>
<b>5 Manufacturing process/goods management (administrative)</b> <i>Scope of application: food industry</i> .....	<b>14</b>
<b>6 KAT goods flow (administrative) (EP, NI, HA)</b> .....	<b>15</b>
<b>8 Incoming goods/raw products store (physical) (EP, NI)</b> .....	<b>18</b>
<b>ANNEX</b> .....	<b>1</b>
<b>1 Definition of terms</b> .....	<b>1</b>
<b>2 Signs and symbols</b> .....	<b>2</b>
<b>3 Applicable documents</b> .....	<b>2</b>
<b>4 Guide values for calculation</b> .....	<b>3</b>

## Preamble

### 1 KAT

The Association for Controlled Alternative Animal Husbandry (KAT) is the most important inspection body in Germany and neighbouring EU countries for the scrutiny of eggs from alternative forms of hen rearing (free-range, barn and organic rearing). Virtually all eggs offered for sale on the German market in the food retail trade bear the KAT inspection label. The number of member establishments has grown steadily since KAT was founded in 1995.

KAT's chief objectives are:

1. To lay down and implement uniform requirements in all EU countries for the barn, free-range and organic rearing of laying hens, taking account of animal welfare-related issues
2. To ensure the complete traceability and assurance of origin of eggs produced from alternative forms of rearing in order to eliminate misuse through wrongly labelled goods
3. To guarantee transparency for the consumer through the website [www.was-steht-auf-dem-ei.de](http://www.was-steht-auf-dem-ei.de).

### 2 Egg products in the KAT system

Given the ban on conventional cage rearing, eggs from alternative forms of rearing are gaining importance in the manufacture of egg products and there is a growing demand for them from the food trade and the food industry. The egg industry requires a clear differentiation and labelling of egg products that have been manufactured from eggs from alternative forms of rearing as opposed to small-group rearing.

In order to guarantee the actual origin of the eggs intended for the manufacture of egg products or foodstuffs through documentary evidence, a database-assisted inspection system with the clear documentation of goods movements was established.

KAT egg products may be made solely from eggs from KAT-certified laying farms, i.e. only KAT eggs may be used in the manufacture of KAT egg products. This is the only way of ensuring the comprehensive assurance of origin across the whole process chain from the laying farm via the egg products plant to the food industry. The labelling of egg products or foodstuffs made from them with the "Egg origin: checked by KAT" label is possible only if the relevant documentary evidence has been provided.

### 3 Websites [www.was-steht-auf-dem-ei.de](http://www.was-steht-auf-dem-ei.de) and [www.kat.ec](http://www.kat.ec)

In order to create greater transparency for consumers, KAT offers a special service on the query page at [www.was-steht-auf-dem-ei.de](http://www.was-steht-auf-dem-ei.de): when the stamp code is entered on the egg, the name and place of the establishment are displayed, as well as images of the henhouse and hens. The query page is also available as an app for smartphones.

You will find further information about the KAT system on the website [www.kat.ec](http://www.kat.ec). Every KAT participant can register for the internal area of the website and download relevant documents (circulars, forms, member lists, etc.).

## Part I: Introduction

### 1 Basic principles

#### 1.1 Scope of application

This Guide was drawn up for KAT egg products and foodstuffs manufactured from them and applies to all companies that manufacture, pretreat, process or market egg products/foodstuffs from eggs originating from approved KAT establishments. The Guide serves as a tool for the systematic implementation of KAT requirements for the assurance of origin and traceability of KAT egg and/or finished goods.

#### 1.2 Legal requirements

- ✓ German Code on foodstuffs, consumer items and animal feed (German Food and Feed Code - LFGB), as amended
- ✓ COMMISSION REGULATION (EC) No 589/2008 of 23 June 2008 laying down detailed rules for implementing Council Regulation (EC) No 1234/2007 as regards marketing standards for eggs, as amended
- ✓ REGULATION (EC) No 852/2004 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 29 April 2004 on the hygiene of foodstuffs, as amended
- ✓ REGULATION (EC) No 853/2004 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 29 April 2004 laying down specific hygiene rules for food of animal origin, as amended
- ✓ REGULATION (EC) No 178/2002 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 28 January 2002 laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety, as amended
- ✓ COMMISSION REGULATION (EC) No 2073/2005 of 15 November 2005 on microbiological criteria for foodstuffs, as amended

## 2 General conditions

### 2.1 Participation in the system

Every establishment that wants to produce KAT goods and label them with the KAT logo must register for the KAT system and conclude a user contract. The application to participate in the system must be completed in full and sent to the KAT Office (info@kat.ec).

Certification in accordance with a standard recognised by the Global Food Safety Initiative (GFSI), e.g. IFS, BRC, is a compulsory requirement for participation in the KAT system. A valid certificate must be submitted with the application. A list of all standards recognised by the GFSI is available on the Internet at <http://www.mygfsi.com/>.

After successful examination of the application, the applicant receives two copies of the KAT user contract. By signing the contract, the applicant commits to enter the movement of KAT goods (incoming goods and outgoing goods reports) in the KAT database on a weekly basis with immediate effect. For this purpose, the KAT Office gives the applicant the necessary access data, as well as instructions on how to use the database. The establishment also receives a preliminary certificate of participation in the KAT system (see item 2.6). This is valid until the first audit, which must be conducted 6-8 weeks after contract conclusion.



#### FB-A 2

Registration form for KAT system participation for egg-products plants, food industry, trading companies



#### VA-EP\_NI 1

Procedural instructions for system participation, KAT egg products

### 2.2 Goods reports

In accordance with requirements, the goods reports are to be entered into the KAT database weekly, by midnight on Wednesday of the following week at the latest. Access data are to be treated as confidential by all establishments. The establishments are responsible for the accuracy of the input data.

The goods reports take the form of incoming goods reports and outgoing goods reports. The goods reports include all data required for traceability and plausibility checks, such as

- ✓ The supplier/recipient of the goods
- ✓ The delivery date
- ✓ The item
- ✓ The item quantity
- ✓ The form of rearing



**The following applies for the weekly incoming goods reports:**


1. The quantity of KAT goods received in incoming goods must be entered in the database, even if only a proportion of these are to be processed into KAT goods. The quantity documented on the delivery notes must correspond to the quantity received in incoming goods.
2. Non-KAT (system) goods (= third-party goods) are not reported.
3. A weekly zero report is to be submitted if no KAT goods were procured within one calendar week.


Incoming KAT goods		
KAT good	Non-KAT good	not KAT goods in purchasing
Supplier KAT-ID		Zero report
duty to report	not duty to report	duty to report

**The following applies for the weekly outgoing goods reports:**

1. Only the quantities of KAT goods that are produced and marketed are reported in the outgoing goods. This can be KAT egg products, KAT semi-finished products or KAT finished products (sold to the consumer) produced. The recipient of the invoice must always be stated as the recipient of the goods.
2. Non-KAT system goods (= third-party goods) are not reported.
3. A weekly zero report is to be submitted if no KAT goods were marketed during the reporting period.

Outgoing KAT goods				
KAT to KAT	KAT to LEH	KAT to Non-KAT	Non-KAT system goods	non sales of KAT goods
to KAT-ID (resipient)	to KAT-ID (resipient)	to NI-000-DE		zero report
duty to report	duty to report	duty to report	not duty to report	duty to report

 KAT database user documentation (EP, NI, HA)

 KAT guide for reporting CSV-based files (EP, NI, HA)

### **Exemption of the food industry from outgoing goods reports**

Establishments operating in the food industry can be exempted from the outgoing goods reports under the following conditions:

- ✓ Exclusive procurement and processing of KAT goods
- ✓ Manufacture of end products (no further processing) and packing in pre-packaging
- ✓ Exclusively direct sale to the final distribution level (e.g. food retail trade, gastronomy, catering).

To this end, the foodstuff plant must apply to the KAT Office for an exemption. The subsequent audit checks whether the site meets the requirements for exemption. If this is the case, the exemption is granted until the next audit is performed.



**FB-EP\_NI 3** Application for the food industry for exemption from outgoing goods reports

## **2.3 Separation of KAT/non-KAT goods**

All participants in the process chain must clearly document volume flows. For the egg-products plants/food industry establishments participating in the KAT system, this means the obligation to separate the volume flows of KAT and non-KAT goods clearly and comprehensibly at all times, including in bookkeeping. Any risk of KAT goods being mistaken for or intermixed with non-KAT goods must be excluded. If it is not possible to store the KAT goods and non-KAT goods in separate areas, the goods must be suitably and clearly labelled and identifiable.

## **2.4 KAT label**

KAT goods must be labelled clearly, consistently and transparently. This applies to incoming raw products, production, storage and dispatch. The following labelling requirements must be observed:

### **Labelling of incoming KAT goods on delivery notes/invoices**

KAT goods must be clearly labelled as such on all delivery notes/invoices. The KAT label is always to be used in conjunction with the item designation (e.g. for raw eggs: "Eggs from barn production from KAT-certified establishments" and for egg products: "Whole egg, barn rearing, KAT"). Non-KAT goods may only be listed on a delivery note/invoice with KAT goods if the item label clearly indicates that the goods are system goods. The use of the KAT logo as general logo on delivery notes/invoices is only permissible if they list exclusively KAT goods.

### **Labelling of outgoing KAT goods on the delivery notes/invoices** **(Egg products and food industry that does not produce finished products)**

KAT goods must be clearly labelled as such on all delivery notes/invoices. The "KAT" label must always be included in conjunction with the item designation (e.g. "Whole egg, barn rearing, KAT"). Non-KAT goods may only be listed on a delivery note/invoice with KAT goods if the item label clearly indicates that the goods are system goods. The use of the KAT logo as general logo on delivery notes/invoices is only permissible if exclusively KAT goods are listed. If the goods are not labelled as KAT goods on the delivery documents for outgoing goods (invoices/delivery notes), these goods are deemed to have been completely removed from the KAT traceability system and may no longer be marketed as KAT goods, even at a future date.

Exception: direct deliveries to the food retail trade; in this case, the KAT product is defined and traced via the item number.





## **Specifications**

In all customer and supplier specifications, the requirement for the use of KAT goods is noted and clearly linked with the product. In the customer specification, the KAT eggs included must be labelled as follows: "Eggs from *"form of rearing"* from KAT-certified establishments". The item numbers are to be clearly assigned to the specifications.

## **Use of the KAT logo on consumer packaging**

An application can be made to the KAT Office for use of the KAT logo on consumer packaging for individual items.

*After passing the administrative audit, the company has the right to use the brand "Egg origin: checked by KAT" on its business records.*

## **2.5 Administrative audits**

All KAT participants undertake to comply with KAT requirements/criteria and to have this compliance checked and monitored.

In order to ensure the goods flow and the traceability of goods produced by KAT, documentary checks are performed in the form of administrative audits. To give the auditor the necessary overview of the establishment and its internal structures, a site inspection is first necessary. The entries documenting the movements of goods in the KAT database form the basis for the administrative audits.

These take the form of a quantity balance of the incoming and outgoing goods reports by comparing delivery notes and invoices. The internal traceability system and the clear separation of KAT and non-KAT goods are checked on the basis of one or several selected random samples.

The first administrative audit takes place six to eight weeks after contract conclusion.

## 2.5.1 Procedure for the administrative audit

The administrative audit takes place in three stages.

### ✓ **Preparation**

The KAT auditor agrees a date for the administrative audit with the individual responsible for the site and, in addition to any existing audit reports, checks the data in the KAT database for completeness and consistency (incoming and outgoing goods reports). On the basis of this Guide and the checklist, the establishment makes the necessary preparations for the audit.

### ✓ **On-site audit**

An initial meeting takes place between the responsible employees of the establishment and the KAT auditor; this is followed by a site inspection and an examination of documents. In a final meeting, any deviations identified during the administrative audit are summarised and corrective action is discussed and established. If necessary, this includes arranging a date for a follow-up audit. The preliminary report is countersigned by the establishment.

### ✓ **Follow-up**

Together with the certificate confirming that the administrative audit has been passed, the final audit report is uploaded to the KAT database where it can be viewed by the KAT Office, as well as by the auditors and the establishment. In addition, both documents are sent to the establishment via regular mail.

## 2.5.2 Audit frequency

As a rule, every participating establishment is audited **two to four times per year**. The frequency of this administrative audit is established on the basis of a risk-based analysis.

The KAT Office can agree an **annual audit frequency** under the following conditions. All listed points must be met:

- ✓ Exclusive use of KAT raw products/egg products/semi-finished goods
- ✓ Exclusive production of finished products, no semi-finished products (intermediate products)
- ✓ Direct delivery to the final distribution level
- ✓ Complete and consistent goods reports
- ✓ No system-relevant deviations in the last two administrative audits

An annual audit can also be performed in the case of exclusive seasonal production, provided that the conditions listed above are met.

Regardless of the audit frequency described, in cases arousing suspicion, the system provider can commission special audits.



## 2.6 Certificates

### **Preliminary certificate of participation**

Upon receipt of the signed user contract, the KAT Office issues the establishment with a preliminary KAT certificate of participation and thus the right to use the brand "Egg origin: checked by KAT", which is valid for eight weeks. The first administrative audit is performed within this period.

### **Ordinary certificate of participation confirming that the administrative audit has been passed**

The ordinary certificate of participation confirming that the administrative audit has been passed is issued to the establishment after passing the first or follow-up audit. It is always valid from the day of performance of the audit + 364 days.

## 2.7 Database – data use/data protection

The data entered by the system participant in the KAT database system are stored on the Internet server, the computer system and on data storage media. All data are protected against tampering and access by third parties through state-of-the-art technology.

The master data are not transferred to third parties and are used exclusively for the management of participants by KAT.

The participant expressly agrees to the storage and use of the master data which they have entered for the administrative purposes cited.

The report data entered by the participant are linked with the respective data of the upstream and downstream production and marketing stages. Only the participant and the KAT Office have access to the report data that the participant has entered.

Only KAT system participants have access to the database.

The forwarding of data to agencies outside the system ("the public") is fundamentally excluded.

For the purpose of plausibility checks, at all participating production and sales stages, the KAT Office has comprehensive access rights to participant data and can also access volume flows.

## Part II: List of requirements

*In addition to the general sections 1 to 3 and 6 to 8, section 4 only applies for egg-products plants (EP) and section 5 only for the food industry (NI). Sections 1, 3, 6 and 7 apply for trading companies (HA).*

### General establishment data

An establishment overview containing the following information is available:

- ✓ Address of the company with all operating/production sites, indicating the type of establishment
- ✓ Contact person and deputy
- ✓ Telephone and fax numbers
- ✓ Email address
- ✓ Registration number (veterinary approval number)
- ✓ Submission of a currently valid certificate issued by a standard recognised by GFSI
- ✓ VAT no. or comparable numbers issued by the respective countries (e.g. BTW no.)



#### FB-EP\_NI 1

Establishment description for egg-products plants, food industry and trading companies

## 1 Participation requirement (EP, NI, HA)

### 1.1 **[K.O.] A valid certificate issued by a standard recognised by GFSI is available.**

If a certificate was withdrawn during the validity period, the KAT Office was informed immediately.

### 1.2 **Measures in an emergency: there is an emergency list containing the contact numbers of all responsible people.**

If the system participant/food business operator recognises or has grounds for assuming that a foodstuff they have introduced, produced, processed, manufactured or marketed does not meet food safety requirements, and/or if they have grounds for assuming that a foodstuff they have placed on the market may be harmful to people's health, they must take immediate measures to withdraw the foodstuff concerned from the market. If system goods (KAT egg products, finished products) are affected, the KAT Office must be informed without delay. Furthermore, if there is a threat of damage to the image of the KAT system, the system participant is obliged to carefully coordinate the procedure with the KAT Office. Statements to third parties referring to the requirements/bases of the KAT system may only be made after prior coordination with the Office.

A contingency plan with clearly defined responsibilities and an up-to-date emergency contact list must be in place in the event of an emergency. The documents ensure that all persons in charge can be reached outside operating hours.



#### FB-EP\_NI 2 Emergency contact list

## 2 Finished products store (physical) (EP, NI)

### 2.1 In terms of hygiene law, there is no risk to the product due to building defects, cleanliness and/or organisation.

In terms of hygiene law, the production site, including the outdoor area, poses absolutely no risk for the product.

### 2.2 **[K.O.] The labelling and observance of the best before dates for egg products/finished products is complete and there is a clear separation of goods.**

Complete product labelling includes:

- ✓ Complete item designation
- ✓ Batch number
- ✓ KAT labelling in the item names in accordance with the specification (e.g. "*Whole egg, barn production, KAT*")
- ✓ Weight
- ✓ Best before date
- ✓ Form of rearing
- ✓ Dispatch date

The labelling is uniform and clearly visible. For liquid egg products, the containers are labelled and, for powders, every box is labelled; exclusive labelling of pallets is insufficient. In the case of goods transported in tanks, the accompanying records and delivery notes are labelled. The separation of KAT/non-KAT goods is ensured consistently. Wherever necessary, there is a spatial separation of goods. A spatial separation is understood as being a specially designated and labelled separate area.

### 3 **Outgoing goods (administrative) (EP, NI, HA)**

#### 3.1 **[K.O.] Has the item number been structured and assigned in such a way as to ensure a clear classification of KAT and non-KAT goods?**

The labelling of KAT goods is structured and clearly traceable until allocation of the item numbers, so preventing a mix-up or the incorrect labelling of KAT goods and non-KAT goods. There are no item numbers that are used for both a KAT item and a non-KAT item.

#### 3.2 **KAT products, including item numbers, can be clearly assigned to a specification and the item number is included on the invoices.**

KAT products, including the relevant item numbers, can be clearly assigned to the specifications and are included on the invoices. The item numbers can be assigned to the number range of the invoices. The invoices have a closed number range.

#### 3.3 **[K.O.] The delivery notes for the outgoing goods are complete and consistent.**

Comprehensive labelling of the delivery notes at the egg-products plants includes:

- ✓ Item number
- ✓ Clear labelling of the product specification: designation "KAT" in the product name (egg-products plants stage)
- ✓ Batch number
- ✓ Form of rearing
- ✓ Best before date
- ✓ Recipient
- ✓ Quantity

*For the food industry, the KAT label in accordance with item 5.6 on the checklist/list of requirements applies.*

#### 3.4 **A link between batch and item numbers of the outgoing goods can be identified.**

Based on the batch numbers assigned, all production batches are fully traceable throughout the production process. The batch numbers of KAT goods are clearly linked with the item numbers. In outgoing goods, KAT goods are clearly identifiable as such.

#### 3.5 **All delivery notes for the outgoing goods are available in full.**

All delivery notes are available and can be clearly assigned by means of consecutive numbering.

Documents to be reviewed:

- ✓ Delivery notes
- ✓ If applicable, chronological list of consecutive numbering

#### 3.6 **The number of invoices for the outgoing goods is complete.**

Invoices are numbered consecutively. Outgoing goods invoices can be verified on the basis of item sales statistics. KAT labelling is consistent throughout.

Documents to be reviewed:

- ✓ Invoices and, if applicable, chronological list
- ✓ Item sales statistics

### 3.7 The correspondence between invoice and delivery note for the outgoing goods is plausible.

The outgoing goods documents contain comprehensive information about:

- ✓ Item designation
- ✓ Item number
- ✓ Quantity
- ✓ Customer
- ✓ Date
- ✓ Delivery note number
- ✓ KAT label
- ✓ Signature on the delivery note (receipt by customer)

The link between delivery notes and invoices can be clearly established.

Documents to be reviewed:

- ✓ Delivery notes
- ✓ Invoices

### 3.8 The available invoices have been posted.

All invoices were posted correctly. This is fully documented by means of invoices, customer balance lists, customer sales statistics, prima nota, goods lists and bank statements.

Documents to be reviewed:

- ✓ Invoices
- ✓ Customer balance lists
- ✓ Customer sales statistics
- ✓ Establishment sales statistics
- ✓ Goods lists and bank statements

### 3.9 The customer list is complete (database and directory).

The goods flows are reported on a customer-specific basis. The establishment's customer list corresponds to the customer list in the KAT database.

Documents to be reviewed:

- ✓ List of KAT customers
- ✓ Invoices
- ✓ If applicable, list of all customers

### 3.10 **[K.O.]** The data reported for KAT outgoing goods are complete and correct.

Throughout the audit period, all quantity reports for outgoing goods correspond in terms of quantity, type and time to the invoices and delivery notes.

Documents to be reviewed:

- ✓ Database reports
- ✓ Delivery notes
- ✓ Invoices
- ✓ Item statistics in the goods management system

Exception: with the exclusive procurement and processing of KAT egg products, the food industry can be exempted from the outgoing goods reports. If this is the case, the application for exemption (see section 2.2.2) and a relevant valid approval issued by KAT have been provided.

#### **4 Manufacturing process (refined egg product)/goods management (administrative)**

*Scope of application: egg-products plants*

##### **4.1 A direct link can be established between the delivery note of the incoming goods and the raw data obtained by weighing.**

Based on the available documentation (delivery notes and incoming goods invoices), a direct link can be established between the incoming goods and the raw data obtained by weighing.

##### **4.2 The weighing protocols are consistent and complete.**

The weighing protocols contain comprehensive information about:

- ✓ Time of weighing
- ✓ Quantity
- ✓ Supplier
- ✓ Form of rearing
- ✓ Batch number of the incoming goods
- ✓ KAT/non-KAT goods

The weighing protocols are consistent and complete and managed correctly. There is a consistent differentiation between KAT and non-KAT goods.

##### **4.3 The number of weighing protocols is complete.**

All weighing protocols are available in full.

##### **4.4 In incoming goods, semi-finished products are labelled correctly.**

The papers accompanying goods and delivery notes contain comprehensive information about

- ✓ Dry mass content
- ✓ Best before date
- ✓ KAT labelling in the item name in accordance with the specification (e.g. "*Whole egg, barn production, KAT*")
- ✓ Further information about the product: e.g. container number, seal

In incoming goods, semi-finished products are fully labelled. The KAT product is labelled consistently and meets requirements (if necessary, assignment of an internal item number for the KAT product).

##### **4.5 [K.O.] The goods flow for KAT products can be calculated.**

Taking account of the standard values (see Annex) for the product calculations and the dry mass contents, the goods flow can be calculated.



## 4.6 **[K.O.] The documentation of the goods flow of KAT products is clearly traceable.**

The documents contain the following information:

- ✓ Time of processing
- ✓ Quantity
- ✓ Form of rearing
- ✓ Batch number
- ✓ KAT label

The auditor must be given access to the following product-relevant documents for the relevant audit period:

- ✓ Egg-cracking protocols
- ✓ Tank plans
- ✓ Pasteurisation protocols
- ✓ Filling protocols
- ✓ etc.

All documents are consistent and complete. All the documentation for the KAT goods flow enables full traceability. It documents the fact that the possibility of a mixing/confusion of KAT and non-KAT goods is excluded throughout the production process. KAT goods are labelled immediately and correctly within the respective production stage.

## 4.7 **[K.O.] The clear assignment of the tanks to the KAT product is ensured.**

KAT products can be clearly assigned to individual tanks. A mix-up of KAT and non-KAT goods is excluded. Separation is achieved, for example, by filling the goods into separate tanks and/or at different filling times. This can be verified by the relevant documentation.

## 4.8 **[K.O.] In the customer specification, the use of KAT goods is clearly labelled.**

In the customer specification, KAT goods are clearly labelled (in the title and list of ingredients). The KAT eggs contained are declared in the list of ingredients as follows: "Eggs from [*form of rearing*] from KAT-certified establishments". The item number can be clearly assigned to the customer specification. There is a specific number range for all KAT products. There are no item numbers that are used for both a KAT items and a non-KAT items.

## 4.9 **The form of rearing is indicated in the customer specification.**

The form of rearing is indicated correctly throughout the customer specification.

## 5 Manufacturing process/goods management (administrative)

*Scope of application: food industry*

### 5.1 Product-specific documents for egg products in incoming goods are complete and correct.

All documents required for the egg products supplied are available in incoming goods. Amongst other things, any additives, the egg dry mass content, the KAT label and any laboratory tests required by law are identified consistently. The documents can be clearly assigned to the respective egg products and are available in full.

### 5.2 **[K.O.] The quantity of KAT egg product in the initial ingredients can be clearly identified (link between production batch and egg product batch).**

**When using re-work, it can be linked to the original batch.**

The quantity of KAT egg product in the initial ingredients is clearly labelled and documented. This ensures a clear assignment to the production batches. When using re-work, it can be traced back to the original batch.

### 5.3 In addition to the KAT egg product, other premixes containing egg (non-KAT goods) are used.

In addition to KAT goods, other non-KAT premixes containing egg are used in the KAT product and are included in the list of ingredients for the KAT product.

### 5.4 For each product made from KAT goods, recipes are available listing the egg content of the initial ingredients or final product. The egg content in the initial ingredients is traceable and plausible with regard to the labelled egg content in the final product.

Recipes with the respective egg contents are available for all production stages. The egg content in the initial ingredients and in the final product can be calculated using standard values. The production documentation ensures the use of KAT goods.

### 5.5 The use of KAT goods is clearly labelled in the supplier and customer specifications.

In all customer and supplier specifications, the requirement for the use of KAT goods is noted and clearly linked with the product. In the customer specification, the KAT eggs included must be labelled as follows: "Eggs from *[form of rearing]* from KAT-certified establishments". The item numbers can be clearly assigned to the specifications. As a rule, there is a specific number range for all KAT products. There are no item numbers that are used for both a KAT item and a non-KAT item.

### 5.6 The KAT product is labelled as such for the customer (food retail trade).

The KAT product can be labelled as follows for the customer:

- ✓ In the customer specifications
- ✓ On the delivery notes/invoices
- ✓ Via internal requirement: exclusive use of KAT goods
- ✓ On a voluntary basis: use of the KAT label on consumer packaging



## **6 KAT goods flow (administrative) (EP, NI, HA)**

### **6.1 The goods flow calculation for KAT goods is comprehensible and complete.**

One-to-one traceability of KAT goods is ensured. This means that the quantity of KAT goods in incoming goods must correspond to the quantity of KAT goods in outgoing goods. Internal calculation formulae or standard values are used to calculate the flow of goods. Based on a random sample, the overall balance of the KAT goods flow via incoming goods, production and outgoing goods is traceable and consistent.

## 7 Incoming goods (administrative) (EP, NI, HA)

### 7.1 **[K.O.] The delivery notes for the incoming goods are complete and consistent.**

Comprehensive labelling of the delivery notes in incoming goods includes:

- ✓ Address
- ✓ Item
- ✓ Quantity
- ✓ Form of rearing
- ✓ Class-A goods/class-B goods/raw products/goods intended for industrial processing
- ✓ KAT label
- ✓ Date
- ✓ Signature

All information on the delivery notes is complete, consistent and comprehensive.

Documents to be reviewed:

- ✓ Delivery notes

### 7.2 **The link between invoice and delivery note is plausible.**

Every delivery note can be assigned to a purchase invoice. Invoice and delivery note are filed together. The delivery note number is stated on the invoices. All information on the delivery note is also included on the purchase invoices.

Documents to be reviewed:

- ✓ Invoices
- ✓ Delivery notes

### 7.3 **[K.O.] The information on the invoices is complete and consistent.**

All information on the invoices is complete and consistent:

- ✓ Supplier
- ✓ Item
- ✓ Quantity
- ✓ Form of rearing
- ✓ Date
- ✓ KAT label

Documents to be reviewed

- ✓ Invoices
- ✓ If applicable, chronological list

### 7.4 **[K.O.] The available invoices were posted.**

All invoices were posted correctly and in full. The information on bank statements/sales statistics of the supplier accounts is complete, comprehensive and correct.

Documents to be reviewed:

- ✓ Invoices
- ✓ Balance lists of the suppliers
- ✓ Sales statistics of the suppliers
- ✓ Sales statistics of the establishment
- ✓ Goods lists and bank statements



## 7.5 The data about the incoming KAT goods reported in the database are correct.

Throughout the audit period, all reports for incoming goods correspond in terms of quantity, type and time to the invoices and delivery notes.

Documents to be reviewed:

- ✓ Database reports
- ✓ Delivery notes
- ✓ Invoices
- ✓ Item statistics in the goods management system

## 8 Incoming goods/raw products store (physical) (EP, NI)

### 8.1 In terms of hygiene law, there is no risk to the product due to building defects, cleanliness and/or organisation.

In terms of hygiene law, the production site, including the outdoor area and delivery zone, does not pose any risk for the product.

### 8.2 Eggs are stamped in accordance with requirements.

Stamping of eggs on the laying farm is obligatory for KAT. KAT raw products (raw eggs) in incoming goods are stamped and clearly legible. Exception: stamping of eggs is not required if a contractual regulation exists between supplier and establishment regarding the exclusive production of goods for industrial processing and the direct procurement of goods.

### 8.3 The containers/pallets are fully labelled.

Stamping the eggs to label the goods is insufficient. Comprehensive labelling of the raw products (raw eggs) involves the following:

- ✓ Name and address of the producer
- ✓ Stamp code
- ✓ Number or weight of eggs
- ✓ Laying date or period
- ✓ Best before date
- ✓ Dispatch date
- ✓ In the case of class-B eggs: packing date
- ✓ KAT label

Comprehensive labelling of egg products/semi-finished products includes:

- ✓ Name and address of supplier
- ✓ Batch number
- ✓ Weight
- ✓ Best before date
- ✓ Form of rearing
- ✓ Dispatch date
- ✓ KAT label

Labelling of containers/pallets is uniform, complete, legible and traceable.

### 8.4 **[K.O.] There is separate storage according to form of rearing, as well as separation into KAT and non-KAT goods (raw products, finished goods and goods for processing).**

The separation according to forms of rearing and of KAT/non-KAT goods is ensured consistently. A mix-up of KAT/non-KAT goods is excluded. Wherever necessary, there is a spatial separation of goods and/or pallets/containers are marked in different colours. A spatial separation is understood as being a specially designated and labelled separate area.

## Annex

### 1 Definition of terms

#### 1.1 Egg products

Egg products means processed products resulting from the processing of eggs, or of various components or mixtures of eggs, or from the further processing of such processed products (definition in acc. with Annex I No. 7.3 of Ordinance (EC) No. 853/2004). The products can be liquid, concentrated, dried, crystallised, frozen, deep-frozen or fermented. They may be produced only from hen's eggs (*Gallus gallus domesticus*). Other foods or additives can be added to these products. Within the KAT system, egg products are documented that also have to be specified in the declaration of the respective mixture/food.

#### 1.2 Egg products plant (EP)

An establishment in which egg products are made, i.e. where eggs are treated or pretreated.

#### 1.3 Food industry (NI)

Establishment for the further processing of egg products into finished products, such as biscuits, cake, egg liqueur, pasta, etc.

##### 1.3.1 Mixing establishment/processor

Establishments that receive egg products and mix or process these products further into compounds for the food industry.

#### 1.4 Trading companies (HA)

Companies in which trading and marketing (purchase/sale) of egg products and foods and/or invoicing occur under the company's own name without there being a physical link with the goods. There is trader activity with egg products and the products made from these.

#### 1.5 Raw product

Untreated base product. This can be raw eggs, for example.

#### 1.6 Semi-finished product

Premade upstream product (e.g. egg products) which is either in storage on the company's own premises for later use or supplied to other companies, where it is turned into a finished product.

#### 1.7 Finished product (foodstuffs)

Finished product which is sold directly to the consumer and does not undergo further processing.

## 2 Signs and symbols

**[K.O.]** Knock-out criterion



References to applicable documents



Documents to be provided

## 3 Applicable documents

The applicable documents include:

### 3.1 KAT documents

- ✓ KAT membership fee scale (EP,NI,HA)
- ✓ KAT audit fees
- ✓ KAT database user documentation (EP, NI, HA)
- ✓ KAT guide for reporting CSV-based files (EP,NI,HA)
- ✓ KAT compliance guide "Anti-trust law"
- ✓ KAT label statutes 2016
- ✓ KAT design guidelines for KAT logos
- ✓ VA-EP\_NI 1 Procedural instructions for system participation, KAT egg products

### 3.2 KAT forms

- ✓ FB-A 2 Application for KAT system participation for egg-products plants, food industry and trading companies
- ✓ FB-EP\_NI 1 Establishment description for egg-products plants, food industry and trading companies
- ✓ FB-EP\_NI 2 Emergency contact list
- ✓ FB-EP\_NI 3 Application for exemption for the food industry from outgoing goods reports

### 3.3 KAT certificates

- ✓ Preliminary confirmation of your KAT system participation
- ✓ Ordinary certificate confirming that the administrative audit has been passed
- ✓ Confirmation for exemption from the outgoing goods reports

*The documents can be downloaded from the internal area of the KAT website [www.kat.ec](http://www.kat.ec).*





## 4 Guide values for calculation

The guide values are used to calculate the yield after treatment and/or processing of the raw egg. The auditors refer to these when calculating the plausibility of the KAT goods flow. Internal fluctuations are possible.

### 4.1 Standard values for calculating the plausibility of egg products:

Industrial protein:	4-5%, including adhering protein
Whole-egg yield:	85-87% of the shell egg weight
Egg white:	approx. 65 % of the whole-egg yield
Egg yolk:	approx. 35% of the whole-egg yield
Lysozyme:	approx. 3.5% of the egg-white yield

### 4.2 Dry mass contents

Whole-egg powder:	min. 96%
Egg-yolk powder:	min. 96.5%
Egg-white powder:	min. 92%
Whole egg:	approx. 23%
Egg white:	approx. 11%
Egg yolk:	approx. 43%