

KAT – Verein für kontrollierte alternative Tierhaltungsformen e.V.

KAT-Guide Administrative Audits - Packing Stations, Dyeing Operations, Sales Outlets and Agents

Version 2022.01



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Version 2022.01

replaces version 2017.01

approved 01/10/2021

Status: valid with effect from 01/01/2022

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Part I: Basic principles

1 Preamble

The Verein für kontrollierte alternative Tierhaltungsformen e.V. (Association for Controlled Alternative Animal Husbandry, KAT) is the most important inspection body in Germany and neighbouring EU countries for the inspection of eggs from alternative forms of hen keeping (free-range, barn and organic egg production). Virtually all eggs offered for sale on the German food retail market bear the KAT conformity seal. The number of member establishments has grown continually since the association was founded in 1995.

The chief objectives of KAT are:

- to ensure full traceability, assurance of origin, and quality assurance of eggs and egg products from barn, free-range and organic rearing produced, traded or placed on the market by Members;
- to lay down and implement uniform requirements for the barn, free-range and organic rearing of laying hens, taking account of animal welfare issues;
- to lay down and implement uniform requirements for the keeping of male laying hybrids, taking account of animal welfare issues;
- transparency for the consumer by providing information (e.g. through the www.was-steht-auf-dem-ei.de).

2 Scope of application

This Guide has been compiled for packing stations, farm packing stations, small packing stations, dyeing operations, sales outlets and agents as a basis for performing administrative audits of the respective establishment. The requirements upon which the guide is based are independent of the size of the establishment and apply to all participants.

3 Participation in the system

Any establishment that wishes to be part of the KAT value chain must register with KAT at www.anmeldung.kat.eu and – if not already a participant in the KAT system – enter into a KAT participant contract.

Once the KAT Office has been provided with all of the necessary registration documents and signed participant contract, the establishment will be given access details for the KAT database and the database instructions.

4 Responsibilities

Every stage in the value chain is responsible for complying with the described requirements and for correctly reporting the necessary data to the KAT database.

5 Data protection

The data entered by the system participant in the KAT database system are stored on the internet server and computer system and on data storage media. All data are protected against tampering and access by third parties through state-of-the-art technology. Master data are not transferred to third parties and are used exclusively by KAT for participant administration.

Only the KAT Office and the participants themselves have access to the data entered in the system. The disclosure of data to entities outside the system (“the public”) is fundamentally excluded.



For the purpose of plausibility checks, the KAT Office has comprehensive access rights to participant data and can also access information on bird movements at all production and sales stages included in the KAT system.

6 Internet portal

In order to create greater transparency, KAT offers a special service on the query page at www.was-steht-auf-dem-ei.de: By entering the number printed on the egg (stamp number), consumers can find out the name and location of the laying farm and view pictures of the henhouse and birds. The query function is also available in the form of a smartphone app.

Further information on the KAT system can be found at www.kat.eu Every KAT participant can register for the internal area of the website and download the documents held there (circulars, forms, member lists, etc.).

Part II: List of requirements

1 Storage

1.1 Cleanliness and hygiene

- 1.1.1 The establishment is kept clean and tidy. In terms of hygiene law, the site poses absolutely no risk for the product.

1.2 Separation of flow of goods

1.2.1 **[K.O.]** Separation of KAT goods and third-party goods

In cases where the packing station procures third-party goods, measures are in place to ensure that KAT unsorted eggs and third-party unsorted eggs are physically separated with no risk of the goods being confused or mixed up. If it is not possible to store KAT goods and third-party goods separately, the goods are clearly labelled and identifiable at all times.

Information: Spatial separation requires a separated area that is clearly defined and identified.

1.2.2 Separation by form of production

Where physical goods are being procured, measures are in place to ensure that the unsorted eggs are stored separately according to the form of production. The stamping of eggs alone is not sufficient for differentiating the various forms of production.

There are clearly labelled and allocated storage areas for each form of production.

Information: If, due to lack of space, goods from different forms of production must be stored directly next to each other, the form of production must be clearly identified by means of a label on the pallets (only one form per row).

1.2.3 Separate storage of eggs for industrial use

Eggs intended for industrial use are stored in the dedicated and labelled storage areas and kept separate from unsorted eggs.

2 Labelling

2.1 Stamping of eggs

- 2.1.1 **[K.O.]** Unsorted eggs from KAT farms are stamped at the packing station. KAT eggs must be stamped directly at the laying farm.

Information: Unstamped KAT eggs may only be accepted by the packing station if the stamping machine at the laying farm malfunctions and KAT has been notified accordingly using the relevant form. If unstamped KAT eggs are included with incoming goods without any notification of a stamping machine malfunction having been received from the KAT Office, the packing station immediately removes the KAT status.

- 2.1.2 In accordance with marketing standards, the stamp on sorted eggs must be clearly visible, easily legible and at least 2 mm high.

Information: During spot checks of loose/packed eggs, the maximum permitted level of illegible stamps is 20% of the goods.

2.2 Labelling of goods

2.2.1 Unsorted eggs

If unsorted eggs are bought in, each pallet/transport packaging must have a label containing at least the following information:

- ✓ Identification as KAT goods/third-party goods
- ✓ Name and address of the producer
- ✓ Stamp number
- ✓ Number and/or weight of eggs
- ✓ Laying date or laying period
- ✓ Dispatch date
- ✓ Stamp number

2.2.2 Sorted eggs

If sorted eggs are bought in, each pallet/transport packaging must have a label containing at least the following information:

- ✓ Identification as KAT goods/third-party goods
- ✓ Number of packaging station
- ✓ Quality class
- ✓ Weight class
- ✓ Best-before date
- ✓ Form of production
- ✓ Stamp number

2.2.3 Pre-packaging

The outer packaging for quality class A eggs is labelled with at least the following information, which is clearly visible and easily legible:

- ✓ KAT logo for small packaging
- ✓ Packing station number
- ✓ Quality class
- ✓ Weight class or the information “Eggs of various sizes” and the minimum net weight of the eggs in grams
- ✓ Best-before date
- ✓ Recommendation to consumers to store eggs at fridge temperature after purchase
- ✓ Form of production
- ✓ Explanation of what the stamp number means

Information: If quality class A eggs from various weight classes are included in the same package, the minimum net weight of the eggs in grams must be specified on the outside of the packaging. Additionally, the wording “Eggs of various sizes” or similar description must be included on the packaging.

2.3 Labelling of eggs for industrial use

Eggs may be classed as quality class A or quality class B. Class B eggs are eggs that lack the quality characteristics of class A eggs or that have been downgraded from class A. Generally, class B eggs must also be stamped with the stamp number. It is not mandatory to label cracked eggs or dirty eggs that cannot be stamped for technical reasons.

Eggs for the food-processing industry may continue to be identified with the yellow sleeve.

Information: The legislator abolished the yellow sleeve as obligatory identification for eggs for the food-processing industry in 2008. It may, however, still be used. It is only the labelling of eggs for the non-food processing industry with the red sleeve that is still mandatory.

2.3.1 Eggs supplied to the food-processing industry are clearly marked as “Eggs for the food-processing industry”.

2.3.2 Eggs being supplied to the “Non-food industry” are marked with a red label or sleeve. The following information is required:

- ✓ Name and address of the recipient
- ✓ Name and address of the market participant that dispatched the eggs
- ✓ Identification as “Eggs for industrial use” in 2 cm high block capitals and identification as “Unfit for human consumption” in at least 8 mm high letters.

2.4 Labelling in documents

2.4.1 KAT stocks must be clearly assigned and labelled.

Information: Simply stating the KAT identification number (KAT ID) as labelling in documents is not sufficient.

2.4.2 Each KAT item has its own item number that clearly identifies it as a KAT good.

2.4.3 There are no item numbers that are used for both a KAT item and a third-party item.

2.4.4 The delivery notes for the outgoing unsorted eggs at least include the following information:

- ✓ Item number/description
- ✓ Stamp number
- ✓ Clear KAT labelling
- ✓ Laying date/period
- ✓ Form of production
- ✓ Recipient
- ✓ Quantity
- ✓ Dispatch/delivery date

2.4.5 The delivery notes for the incoming unsorted eggs at least include the following information:

- ✓ Stamp number
- ✓ Clear KAT labelling
- ✓ Form of production
- ✓ Laying date/period
- ✓ Sender/recipient
- ✓ Quantity
- ✓ Dispatch/delivery date

2.4.6 The delivery notes for the outgoing sorted eggs at least include the following information:

- ✓ Item number/description
- ✓ Quality and weight class
- ✓ Stamp number
- ✓ Clear KAT labelling
- ✓ Form of production
- ✓ Best before date

- ✓ Recipient
- ✓ Quantity/number/weight
- ✓ Dispatch/delivery date
- ✓ Customer's signature

2.4.7 The delivery notes for the incoming sorted eggs at least include the following information:

- ✓ Item number/description
- ✓ Quality and weight class
- ✓ Stamp number
- ✓ Clear KAT labelling
- ✓ Best before date
- ✓ Form of production
- ✓ Sender/recipient
- ✓ Quantity/number/weight
- ✓ Best-before date
- ✓ Dispatch/delivery date
- ✓ Customer's signature

2.4.8 The invoices at least include the following information:

- ✓ Item number/description
- ✓ Quality and weight class
- ✓ Clear KAT labelling
- ✓ Form of production
- ✓ Sender/recipient
- ✓ Quantity/number/weight
- ✓ Delivery note number or delivery date
- ✓ Invoice number

2.5 Use of the KAT logo

2.5.1 The use of the KAT logo on egg packaging for the German food retail trade is compulsory for the clear identification of KAT goods. The KAT logo complies with the current design rules and is displayed accordingly on the egg packaging.

2.5.2 The KAT logo may be used as a general logo on delivery notes and invoices provided that the items are also clearly marked as KAT or third-party goods or are exclusively KAT goods.

 *KAT logo design rules*

3 KAT database reports and documentation requirements

3.1 KAT database reports

The goods reports are entered weekly – by no later than midnight on Wednesday of the following week – into the KAT database at <https://datenbank.kat.eu>.

Every establishment is responsible for correctly inputting the required data in the KAT database itself.

The access details are treated as confidential. The establishments are responsible for the accuracy of the input data.

The database reports include all data necessary for traceability and plausibility checks.

 *Procedural instruction VA-PVMFB-01-EN_Database_instructions*

Information: For non-KAT participants, the general KAT IDs such as PS99 or standard IDs may be used.

- 3.1.1 **[K.O.]** All goods reports to the KAT database are submitted in accordance with the procedural instruction.

 *Procedural instruction VA-PVMFB-02_EN_Submission_of_goods_reports*

- 3.1.2 The data for outgoing KAT goods are reported to the KAT database on a weekly basis.
- 3.1.3 Outgoing KAT goods are reported to the KAT database for each customer stating the recipient's KAT ID.
- 3.1.4 The data for outgoing third-party goods are reported to the KAT database on a weekly basis.
- 3.1.5 The data for incoming third-party goods are reported to the KAT database on a weekly basis.
- 3.1.6 The data for goods passed to contract processors are reported to the KAT database on a weekly basis.

Information: If the processing of KAT eggs is taken care of by contract processors that are not participants in the KAT system, the eggs lose their KAT status and may not re-enter the KAT system.

- 3.1.7 Information on existing suppliers is up to date and complete in the KAT database.
- 3.1.8 Information on existing recipients is up to date and complete in the KAT database.
- 3.1.9 The establishment has measures in place to ensure that all incoming goods from its suppliers are entered in the KAT database in the form of up-to-date and complete reports.
- 3.1.10 Incoming goods reports made by a packing station itself are stored completely and correctly in the KAT database.
- 3.1.11 The establishment regularly checks the completeness of all incoming goods reports in the KAT database as well as all outgoing reports for goods that are forwarded for contract processing.
- If individual suppliers fail to comply with their reporting obligations, the establishment informs them of this failure in writing.

3.2 Documentation requirements

Information: If an establishment does not have an enterprise resource planning system, daily routing lists must be kept, indicating the customer, delivery date and best-before date.

- 3.2.1 The establishment description is complete and up to date. Any changes to the establishment description are reported to the KAT Office immediately.
-  *Form FB-A-01-EN_Establishment_description*
- 3.2.2 All documents relevant to the flow of goods are kept for at least 12 months after the expiry of the best-before date in order to reconcile the flow of goods.
- 3.2.3 Files are organised on the basis of accounting requirements, with delivery notes and invoices for KAT goods stored separately.

- 3.2.4 The number of delivery notes for outgoing goods is complete.
- 3.2.5 All invoices for outgoing goods are available and are numbered consecutively.
By evaluating sales of KAT items, the outgoing goods for the period under review can be displayed. Item numbers are clearly assigned to the outgoing goods invoices.
- 3.2.6 **[K.O.]** The link between delivery notes and invoices can be clearly established and is plausible.
- 3.2.7 All invoices are posted correctly and in full. Information on bank statements/sales statistics is complete, comprehensive and correct.
- 3.2.8 The total loss of goods is documented on a monthly basis.

4 Quantity balance

4.1 Plausibility check

- 4.1.1 **[K.O.]** Based on the available data and documents, a complete flow-of-goods calculation for KAT goods broken down by form of production is possible, whereby the total balance of KAT goods can be mathematically traced through incoming goods, sorting/packaging and outgoing goods for random samples.
- 4.1.2 **[K.O.]** The data reported for KAT outgoing goods are complete and correct.
The quantities, types and times on all of the outgoing goods reports match the information on the corresponding invoices and delivery notes.
- 4.1.3 **[K.O.]** The quantities, types and times on all of the incoming goods reports match the information on the corresponding invoices and delivery notes.
- 4.1.4 The stamp numbers for the outgoing goods reports correspond to the stamp numbers on the delivery notes for the outgoing goods.
- 4.1.5 The outgoing goods reports only contain stamp numbers that are also reported for incoming goods. The quantities for each stamp number are the same for incoming and outgoing goods.
- 4.1.6 The plausibility of the outgoing goods invoices can be verified using the item statistics.
- 4.1.7 The quantities in the outgoing goods reports match the quantities in the food retail trade's incoming goods reports.
- 4.1.8 The quantities in the packing station's incoming goods reports match the documented quantities on the laying lists for the supplying laying farm.

4.2 Traceability

- 4.2.1 **[K.O.]** The establishment has a system that guarantees the identification of batches of unsorted eggs and for tracing and documenting how these relate to batches of sorted eggs. The traceability of the KAT goods is ensured by means of a 1:1 correlation.

Part III: Appendix

1 Explanation of symbols

[K.O.] Knock-Out-criteria

 *References to other applicable documents*

 *Documents to be provided or submitted*

2 Abbreviations

EU	European Union
FB	Form
K.O.	Knock-out
KAT e.V.	Verein für kontrollierte alternative Tierhaltungsformen
KAT ID	KAT identification number
KVP	Small packaging
LEH	Food retail trade
MHD	Best-before date
VA	Procedural instruction

3 Explanation of terms

Tab. 1: Explanation of terms

Term	Definition/explanation
Agent	Agents are companies that only handle the goods and that neither have a physical relationship with the respective establishment (egg product plant, egg packing station, laying farm) or goods nor carry out marketing and invoicing in their own name and for their own account (commission-based invoicing). Like packing stations, agents are required to enter their weekly outgoing goods in the KAT database.
Contract processing	A commissioned service (contract dyeing, contract sorting, contract spray drying etc.) without any change in ownership of the goods
Dyeing operation	Site that produces boiled and dyed eggs.
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 only be produced from hen's eggs (<i>Gallus gallus domesticus</i>). 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.
Eggs for industrial use	Eggs that are not marketed as eggs for consumption but that are supplied to the food-processing industry.
Industrial goods	Eggs that are not intended for consumption that are supplied exclusively to the non-food processing industry and that are identified accordingly
KAT goods	Goods from KAT-compliant establishments that are subject to a conformity assessment across the whole process chain
KAT stocks	Stocks from establishments that are KAT-compliant and are subject to a conformity assessment across all stages
Laying farm	A local, economic and epidemiologically safe unit comprising one or several henhouses for the production of eggs
Male laying hybrid	The male of the hybrid of the Gallus gallus species; laying hybrids are optimised for poultry farming based on hybrids and are bred specifically for their laying performance
Packing station	Any establishment that is licensed pursuant to Article 5 of Regulation (EU) 589/2008 and in which eggs are sorted and packed by weight class, with the packaging being labelled accordingly
Sales outlet	Establishments that market KAT goods in their own name; there is no physical change to the goods (sorting, labelling and packaging); sales outlets must also enter their weekly data on outgoing goods into the KAT database
Small packing station	Establishment that sorts, packages and markets eggs from its own laying farm or contract farmers and/or other packing stations. Incoming goods must not exceed 15 million eggs per year
Sorted eggs	Sorted eggs in the shell in quality class A that are intended for immediate consumption.
Third-party goods	Goods from establishments/operational areas that are not members of the KAT system and that do not hold a KAT conformity certificate
Unsorted eggs	Unprocessed, unsorted, raw shell egg from hens of the Gallus gallus species that is suitable for immediate consumption or for the manufacture of egg products.

4 Applicable documents

Applicable documents (in the respective applicable version) include:

The documents are available to download from the internal area at www.kat.eu.

KAT-dokuments

- ✓ KAT logo design rules
- ✓ Procedural instruction VA-PVMFB-01-EN_Database_instructions
- ✓ Procedural instruction VA-PVMFB-02_EN_Submission_of_goods_reports
- ✓ Form FB-A-01-EN_Establishment_description