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## Table of Contents

1	InDIRECT: insect bioconversion and the law .....	5
1.1	Introduction: InDIRECT and aim of deliverable.....	5
1.2	Introduction: insect rearing and the law .....	6
2	Insects as farmed animals? .....	8
2.1	Council Directive 58/1998 on the Protection of farmed animals .....	8
2.1.1	Definition of farmed animals under Directive 58/1998.....	8
2.1.2	Consequences within the framework of the Directive .....	9
2.2	Regulation 1099/2009 on the Protection of animals at the time of killing .....	10
3	EU Legislation on Insect Rearing Feedstock.....	12
3.1	The Animal By-products Regulation 1069/2009 .....	12
3.2	Regulation 999/2001 on TSE .....	13
3.3	Regulation 893/2017: Feedstock for Insects for Insect PAP's?.....	14
3.4	Link between feedstock and final application of insect-derived products.....	14
3.5	Special Feeding Purposes under Regulation 1069 .....	15
3.6	Alternative methods of use or disposal of animal by-products under Regulation 1069 .....	16
3.7	Regulation 767/2009 on the placing on the market and use of feed .....	19
3.8	Regulation 183/2005 on requirements for feed hygiene .....	23
3.9	EFSA opinion on the risks of insects as food and feed.....	23
4	EU Legislation on Insect Derived Products.....	25
4.1	Regulation 1069/2009 and 142/2011 on Animal By-Products .....	25
4.2	TSE Regulation 999/2001 .....	27
4.3	Insect PAP-regulation 893/2017 .....	28
4.3.1	Farmed Insects PAP for Aquaculture .....	28
4.3.2	Insect PAPs beyond aquaculture.....	28
4.4	Which processing plants can produce Insect-PAP's?.....	29
4.5	How to label Insect-PAP's .....	30
4.6	Insect allowed for Insect-PAP's.....	30
4.7	Import into the EU of Insect-PAP's .....	30
4.8	What does Regulation 893 say about live insects and dried insects? .....	31
5	Regulation on producing insects for human consumption .....	32
5.1	Regulations 853/2004 and 854/2004 on the hygiene of food of animal origin.....	32
5.2	Regulation 258/97 concerning novel foods .....	32
5.3	Regulation 2283/2015 on novel foods.....	33
5.4	Regulation 2073/2005 on microbiological criteria for foodstuffs .....	34
6	Conclusion .....	35

## **Abbreviations**

ABP	Animal By-Products
Insect-PAP	“processed animal protein derived from farmed insects and compound feed containing such processed animal protein”
PAP	Processed Animal Protein
TSEs	Transmissible Spongiform Encephalopathies

# 1 INDIRECT: INSECT BIOCONVERSION AND THE LAW

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## 1.1 INTRODUCTION: INDIRECT AND AIM OF DELIVERABLE

The InDIRECT project targets biorefinery of under-spent side streams as feedstock, aiming at ‘closing loops’ and ‘producing more with less’. One of the value chains considered is the InDIRECT biorefinery, which converts side streams into crude extracts via a two-step process. The aim of the first step is to convert heterogenic feedstock into a homogenous biomass via insects. Insects can convert a variety of feedstock into a more homogenous biomass, being their own biomass. Even manure can be used as substrate. The second step is biorefinery of the insect biomass. The InDIRECT approach is expected to have potential for a year-round relatively stable production of mainly chitin, proteins, lipids and N-light compost.

Although the potential of insects is considerable and an increasing number of pioneers is attracted by the subject, there are still a number of barriers to reduce before insect based new value chains can be implemented. These barriers are related with aspects like legislation and acceptability of the generated products in terms of safety and perception. In Europe, the use of insects for feed and other applications is currently restricted to legislations that were put in place for classical agricultural approaches and not for new farming types, such as insect bio conversion.

One major potential barrier to the utilisation of insects as food and feed, or as waste bio convertors, is the lack of precise and insect-inclusive legislation, standards, labelling and other regulatory instruments governing the production, use and trade of insects along the food and feed value chains. So far, there has been relatively little international dialogue regarding the incorporation of insects as food and feed into international standards like the Codex.

Most, if not all legislation regarding the use of insects in Food, Feed or as a source of bio materials is regulated at a European level. This document aims at providing an overview of all relevant European legislation.

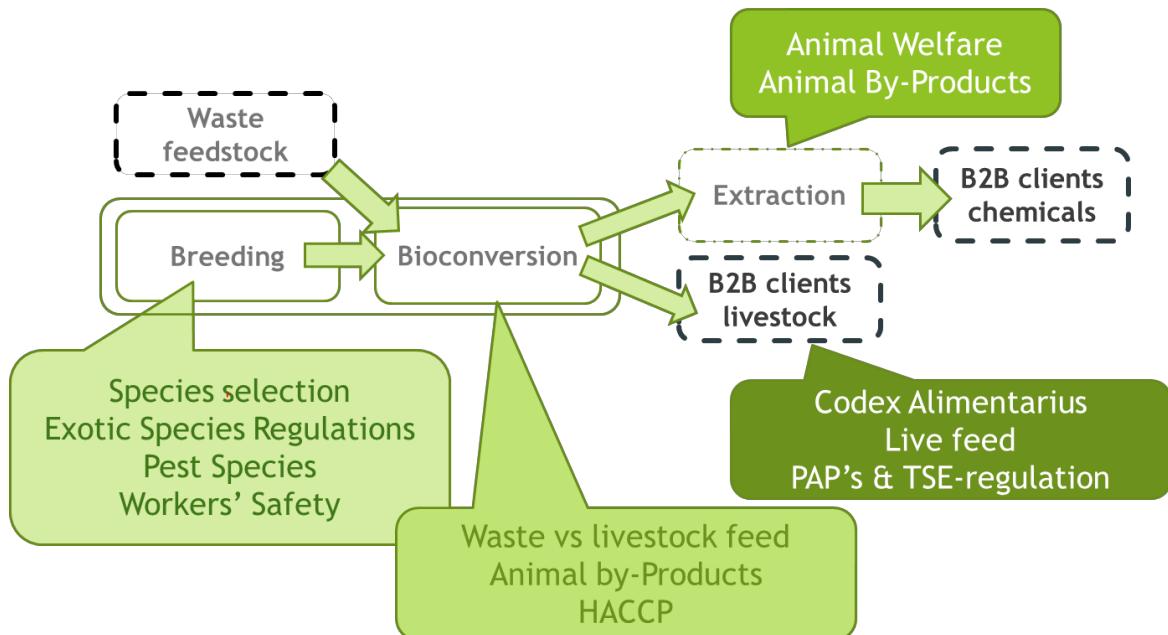
Currently, due to the demands from the nascent insect industry and from feed operators, the European Commission (EC) is elaborating a comprehensive framework that would cover all aspects of breeding and rearing insects for Food and Feed purposes. On these matters, the EC is in constant discussion, in several working groups, with the representatives of the member states (MS). This paper will summarize the main tracks the EC is working on. This paper also includes the relevant EU directives.

Legislation to be taken into account are numerous, comprising:

- Regulation (EU) No 68/2013 on the Catalogue of feed materials
- Council Directive 98/58/EC on the protection of animals kept for farming purposes
- (EC) 178/2002 on General Food Law
- Regulation (EC) 2283/2015 on Novel Foods
- Regulation (EC) 183/2005 on Feed Hygiene
- Regulation (EC) 999/2001 on rules for the prevention, control and eradication of certain transmissible spongiform encephalopathies
- Regulation (EC) 1069/2009 on Animal By-Products (ABP), and Regulation (EU) No 142/2011 implementing Regulation (EC) No 1069/2009 of the European Parliament and of the Council laying down health rules as regards animal by-products and derived products not intended for human consumption
- Regulation (EC) No 1099/2009 on the protection of animals at the time of killing

And most recently

- Regulation (EU) 893/2017 amending Annexes I and IV to Regulation (EC) No 999/2001 of the European Parliament and of the Council and Annexes X, XIV and XV to Commission Regulation (EU) No 142/2011 as regards the provisions on processed animal protein



#### **Document purpose and scope:**

The aim of DL1.1 is (1) to provide an inventory of legal aspects related to growth and use of insects, and (2) to list current bottlenecks, “easy” short-term goals and “harder” long-term legal issues. These barriers will be considered in the other work packages, and where possible, information will be collected to lower the identified barriers. Around mid-term, an inventory of new evolutions in the legal situation will be prepared.

Since the legislation on several issues is in rapid evolution, this document will be updated during the InDIRECT-project. It is therefore a snapshot of the current situation, and it aims at providing clear pathways as to where legislation should be taken, and what actions can contribute in that direction.

#### **Intended Audience:**

- InDIRECT consortium, to target the research in the InDIRECT-project towards the identified barriers
- Other parties involved in the insect biomass value chain.

## **1.2 INTRODUCTION: INSECT REARING AND THE LAW**

Insects are attracting a lot of interest, both from the public and from stakeholders in the industry, as a new source of more sustainable protein and lipids, for human consumption (Food), for livestock feed or pet food (Feed) or for technical applications (Non-feed). Insects are even being considered as a way of treating organic waste, in an analogy to worm-composting.

The use of insects for Food and Feed was analysed in “Edible insects: Prospects for food and feed security”, published by the FAO and Wageningen University in 2013.

This document covers all aspects of insect farming and consumption, and is one of the most frequently downloaded publications in the history of FAO. It has created a strong momentum for the insect industry.

It states in the Executive Summary: "Insects as food and feed emerge as an especially relevant issue in the twenty-first century due to the rising cost of animal protein, food and feed insecurity, environmental pressures, population growth and increasing demand for protein among the middle classes. Thus, alternative solutions to conventional livestock and feed sources urgently need to be found. The consumption of insects, or entomophagy, therefore contributes positively to the environment and to health and livelihoods<sup>1</sup>."

Chapter 14, "*Regulatory frameworks governing the use of insects for food security*", however is one of the shortest, and poses as many new questions as it provides answers. This is mainly due to the global scope of the document, since it is published by the Food & Agricultural Organisation of the United Nations, and to the pioneering character of the document at the time of publication (2013).

*"The production, trade and use of edible insects as food and feed touch on a wide range of regulatory areas, from product quality assurance to the environmental impact of insect farming. Globalization and growing consumer concern over food quality and production methods have dramatically changed consumption patterns in recent decades. Food chains have become longer and more complex due to the global trade in raw materials and food ingredients. As a result, food safety and the quality of traded food products have received increased attention and the regulatory frameworks governing food and feed have developed greatly in the last 20 years. In many societies, insects are not perceived as a regular food/feed product and, as such, they rarely fall within the remit of food/feed regulators. At the national and international levels, standards and regulations acknowledging the use of insects as ingredients for food and feed are rare." "At most, legislative references to insects in the context of food prescribe maximum limits of insect traces in foodstuffs, where this is unavoidable. The absence of specific legislation is not because the risks are being neglected but because the quantities of insects in food and feed are, at present, negligible. If insects were to become a more widely used ingredient in food and feed, a risk assessment would need to be carried out and an appropriate regulatory framework created."*

In this document, we will fill the gap identified by the FAO, and provide an analysis of the legal framework in the European Union for insect rearing for different purposes.

We will touch upon many questions, around which confusion exist. Are insects "farm animals"? Which regulation on "farm animal welfare" applies? What feedstock is allowed for insects? Is there a difference between insects reared for food and insects reared for feed? Should there be a difference? Is it possible to rear insects as a waste management agent? Or for technical applications, a bit like fur animals? Should we make that possible, and if so, how? What pieces of legislation do apply now "by default", and how do we create a comprehensive "insect rearing" legal framework?

The use of insect products on an industrial scale in the markets of food, animal feed and technical applications, is rapidly growing into a fully-fledged business sector.

The fact that insects can have applications in multiple sectors offers optionality to business operators, but also creates confusion regarding the legal framework. The level of protection that the public authorities want to provide regarding food and feed products is very high, especially since the outbreak of bovine spongiform encephalopathy (BSE), commonly known as mad cow disease, and local food contamination problems.

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<sup>1</sup> <http://www.fao.org/docrep/018/i3253e/i3253e.pdf>; page 15

## 2 INSECTS AS FARMED ANIMALS?

### 2.1 COUNCIL DIRECTIVE 58/1998 ON THE PROTECTION OF FARMED ANIMALS

Well described under 3.1 that Regulation 1069 on animal by-products clearly defines insects as farmed animals. That has implications on the authorised feedstocks, but should also have repercussions on animal welfare, another field where the EU has created a level playing-field for all operators across the Union.

The first EU rules on animals kept on the farm were adopted in 1986 and concerned the protection of laying hens. Council Directives followed in 1991, first on the protection of calves then of pigs.

In 1998, Council Directive 98/58/EC<sup>2</sup> on the protection of animals kept for farming purposes, gave general rules for the protection of animals of all species kept for the production of food, wool, skin or fur or for other farming purposes, including fish, reptiles and amphibians. These rules are based on the European Convention for the Protection of Animals kept for Farming Purposes.

The farm animal welfare legislation is designed to cover all stages of a farm-animal's life whilst on the farm, during transport and at the time of killing.

In the EU, the enforcement of this legislation falls within the principle of subsidiarity, which means that Member States are responsible for day to day enforcement through their national legislation and controlling activities; transposition of directives into national legislation and the implementation of EU rules at national level. The European Commission is responsible for providing appropriate information and where necessary training on EU legislative requirements; ensuring that EU legislation is properly implemented and enforced; in extreme cases acting against Member States that have failed to implement legal requirements

Legislation has been further developed since to progressively improve the welfare status of farmed animals and to set standards for their transport and conditions at the time of stunning and slaughter.

#### 2.1.1 Definition of farmed animals under Directive 58/1998

There is no specific EU legislation concerning *other farmed animals* such as ducks, geese and those raised for fur: here the general rules apply, as laid down in Council Directive 98/58/EC **on the Protection of farmed animals, irrespective of the species**.

The end of the phrase, "*irrespective of the species*", makes the scope of the Council Directive to be all-encompassing, seemingly to also include insects.

The directive then stipulates that these rules apply to farmed animals destined for the production of foodstuffs, wool, skin or fur, or *for other agricultural purposes*, including fish, reptiles and amphibians.

The "*other agricultural purposes*" is another comprehensive part of the definition, and seems intended to make sure no practice of farming animals could fall outside of the scope. As it stands, that would mean insects are included, but just not mentioned (for example because of an omission at the time of drafting).

<sup>2</sup> <http://eur-lex.europa.eu/legal-content/EN/LSU/?uri=CELEX:31998L0058>

The directive even specifically mentions fish, reptiles and amphibians, to make it clear that the Directive is not limited to the most common farm animals, which are mammals (cattle, pigs, rabbits, etc.) or birds (poultry, pigeons, ostrich, etc.), but also includes the 3 main other Classes of Vertebrata<sup>3</sup>.

This Directive, however, then specifically stipulates it does not apply to:

- wild animals;
- animals intended for use in sporting or cultural events (shows);
- experimental or laboratory animals;
- *invertebrate animals*.

This last specification is important: insects are not specifically mentioned, but it is without any doubt that insects are invertebrate animals. So, this Directive does not apply to rearing insects.

## 2.1.2 Consequences within the framework of the Directive

The Directive contains clear instruction for the Member States to adopt provisions to ensure that the owners or keepers of animals look after the welfare of their animals and see that they are not caused any unnecessary pain, suffering or injury. The rearing conditions relate to the following, with our own emphasis added on aspects which could be of impact when applied to insect rearing:

- **staff:** animals must be looked after by a sufficient number of staff who have the appropriate professional skills, knowledge and competence;
- **inspections:** all animals kept in husbandry systems *must be inspected at least once a day*. Injured or *ill animals must be treated immediately* and isolated if necessary in suitable premises;
- **maintaining records:** the owner or keeper of the animals must keep a record of any medical treatment for at least three years;
- **freedom of movement:** all animals, even if tethered, chained or confined, must be given *enough space to move* without unnecessary suffering or injury;
- **buildings and accommodation:** materials used in the construction of buildings must be capable of being cleaned and disinfected. Air circulation, dust levels, temperature and relative humidity should be kept within acceptable limits. Animals kept in buildings must *not be kept in permanent darkness* or constantly exposed to artificial lighting;
- **automatic or mechanical equipment:** automatic or mechanical equipment essential for the health and well-being of the animals *must be inspected at least once a day*. Where an artificial ventilation system is in use, *an appropriate backup system* must be in place to guarantee sufficient air renewal;
- **feed, water and other substances:** the animals must be given a wholesome and appropriate diet, fed to them in sufficient quantities and at regular intervals. All other substances are prohibited, unless given for therapeutic or prophylactic reasons or for the purposes of zootechnical treatment. In addition, the feeding and watering equipment must minimise the risks of contamination;
- **mutilations:** national rules on mutilation apply;
- **rearing methods:** rearing methods that cause suffering or injury must not be used unless their impact is minimal, brief or expressly allowed by the national authorities. No animal should be kept on a farm if it is harmful to its health or welfare.

### Inspections

Member States must take the necessary steps to ensure that the competent national authorities *carry out inspections*. They must report on these inspections to the Commission, which will use the reports to formulate proposals on harmonising inspections.

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<sup>3</sup> This is a legal analysis, without any ambition regarding the taxonomical system.

The fact that this Directive specifically excludes invertebrates (and thus also insects), means an insect breeding operation does not have the obligation to - for example - daily inspect all insects or the mechanical equipment; have a back-up system for the ventilation system; be inspected by the competent national authorities, etc.

This conclusion invalidates several obligations that seems logical in a regular livestock farming operation, but are not applicable when it comes to insects.

It improves the odds to get insect bioconversion approved as an alternative technology for disposal of animal by-products under Regulation 1069/2009, as elaborated below.

## 2.2 REGULATION 1099/2009 ON THE PROTECTION OF ANIMALS AT THE TIME OF KILLING

Closely linked to the theme of the welfare of farmed animals, is the issue of protection of animals at the time of killing, under Regulation 1099/2009.<sup>4</sup>

This Regulation introduces welfare rules for the killing or slaughter of animals kept for the production of food and products such as fur and leather. It also covers the killing of animals on farms in other contexts such as disease control situations. The regulation does not apply to animals killed in the wild, or as part of scientific experiments, hunting, cultural or sporting events and euthanasia practiced by a veterinarian, nor to poultry, rabbits or hares for private domestic consumption.

Animals must be spared any avoidable pain, distress or suffering during their killing. Businesses, such as slaughterhouse operators, must ensure that animals:

- are provided physical comfort and protection, kept clean, protected from injury and handled and housed considering their normal behaviour;
- do not show signs of avoidable pain or fear or abnormal behaviour;
- do not suffer from prolonged withdrawal of feed or water;
- are protected from avoidable interaction with other animals that could harm their welfare.

Facilities used for killing must fulfil all these conditions at all times.

The Regulation is quite detailed concerning Restraining and stunning methods, certificates of competence and the rules for the construction, the equipment and operations of slaughterhouses.

It refers explicitly to Article 13 of the Treaty on the Functioning of the European Union, which introduced the recognition that animals are sentient beings\*.

This could be an important piece of legislation regarding insect bioconversion, and the subsequent killings of insects. So, let's have a look at the applicable definitions:

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<sup>4</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2009:303:0001:0030:EN:PDF>

## *Article 2*

### **Definitions**

For the purposes of this Regulation, the following definitions shall apply:

- (a) 'killing' means any intentionally induced process which causes the death of an animal;
- (b)'related operations' means operations such as handling, lair aging, restraining, stunning and bleeding of animals taking place in the context and at the location where they are to be killed;
- (c) 'animal' means any **vertebrate** animal, excluding reptiles and amphibians;

This definition excludes all invertebrates (and even the vertebrate reptiles and amphibians), so insects clearly do not fall under the scope of this Regulation.

So, the two main pieces of legislation that cover the act of insect farming itself, do NOT consider insects as farmed animals. What gives rise to the notion that insects are farmed animals ? The Regulations covering the front-door ( what you can feed to insects), and the backdoor ( where farmed insects can be used for).

### 3 EU LEGISLATION ON INSECT REARING FEEDSTOCK

#### 3.1 THE ANIMAL BY-PRODUCTS REGULATION 1069/2009

The Animal By-products Regulation<sup>5</sup> 1069/2009 has its own definition of “farmed animal” under Article 3:

*“For the purposes of this Regulation, the following definitions shall apply:*

1. ‘animal by-products’ means entire bodies or parts of animals, products of animal origin or other products obtained from animals, which are not intended for human consumption, including oocytes, embryos and semen;
2. ‘derived products’ means products obtained from one or more treatments, transformations or steps of processing of animal by-products;
3. ‘products of animal origin’ means products of animal origin as defined in point 8.1 of Annex I to Regulation (EC) No 853/2004;
4. ‘carcass’ means carcass as defined in point 1.9 of Annex I to Regulation (EC) No 853/2004;
5. ‘animal’ means any **invertebrate** or vertebrate animal;
6. ‘farmed animal’ means: (a) any animal that is kept, fattened or bred by humans and used for the production of food, wool, fur, feathers, hides and skins or any other product obtained from animals or for other farming purposes;”

This definition clearly includes insects when they are farmed. So: farmed insects are “farmed animals”.

Then, we need to look at the purpose of this Regulation, to correctly assess the impact of this divergent definition of insects as “farmed animals”.

What is Regulation 1069 about?

*TITLE I: GENERAL PROVISIONS*

*CHAPTER I: Common provisions*

*Section 1: Subject matter, scope and definitions*

*Article 1: Subject matter*

*This Regulation lays down public health and animal health rules for animal by-products and derived products, in order to prevent and minimise risks to public and animal health arising from those products, and in particular to protect the safety of the food and feed chain.*

Article 1 of 1069/2009 is an interesting one, as it determines the two areas in which it has severe implications on the insect bioconversion industry.

First, we need to take a thorough look at the impact this Regulation 1069 has on which “animal by-products” can be used as animal feed. This sounds like a repetition of the first point, but here we will

<sup>5</sup> REGULATION (EC) No 1069/2009 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 21 October 2009 laying down health rules as regards animal by-products and derived products not intended for human consumption and repealing Regulation EC No 1774/2002

examine which side streams can be used as a feedstock for the insects! Indeed, any limitation Regulation 1069 imposes on the use of animal by-products in animal feed, will have a direct impact on the side streams that can be used to bioconvert insects.

The Animal By-products Regulation prohibits, in particular, the use of **manure, catering waste** and **unprocessed former foodstuff** containing meat or fish as feed for farmed animals.

Secondly, we'll see that the insect biomass resulting from insect bioconversion is without any doubt an "animal by-product" and need to follow the rules laid down under this regulation. This will have an impact on the markets where we can use insect products, especially in the feed market. We'll come back on this in Chapter 4.

Before we can do this, however, we need to have a close look at other Regulations that have an impact on the feedstock allowed for insects.

## 3.2 REGULATION 999/2001 ON TSE

Regulation (EC) No 999/2001 of the European Parliament and of the Council of 22 May 2001 lays down rules for the prevention, control and eradication of certain Transmissible Spongiform Encephalopathies (TSE), also known as the Mad Cow Disease-regulation.

### Regulation (EC) No 999/2001 – rules for the prevention, control and eradication of certain transmissible spongiform encephalopathies

Regulation 999/2001 sets out rules to prevent, control and eradicate TSEs. It covers the production, placing on the market and, in some cases, the export of animals and animal products.

Transmissible Spongiform Encephalopathies (TSEs) are fatal diseases in which brain tissue degenerates, giving a sponge-like appearance.

They include Creutzfeldt-Jakob disease (CJD) in humans, Bovine Spongiform Encephalopathy (BSE) in cattle and Scrapie in small ruminants, such as sheep and goats.

Although it sounds rather technical and focussed on a disease that has very little to do with insects, the Regulation has a strong impact on what happens in the EU with all sorts of processed animal protein (PAP). By doing so, and by the same mechanism as Regulation 1069/2009 above, it impacts insect bioconversion at the front door and at the back door: it regulates which protein containing side streams can be fed to insects, and it regulates where insect-derived protein can be used for.

In short, regarding the front-door: as part of its risk reduction measures, feeding animal protein to ruminants is prohibited, as is *feeding processed animal protein (such as gelatin and blood products) to any farm animal* (except for fur-producing carnivores such as mink). Since insects are considered to be farm animals, feeding processed animal protein to insects is prohibited.

### 3.3 REGULATION 893/2017: FEEDSTOCK FOR INSECTS FOR INSECT PAP's?

Regulation 893/2017 will be discussed in detail under 4.3, as it regulates where “farmed insect processed animal proteins” can be used in the feed chain. In this chapter, we’ll have a look at the impact of this brand-new Regulation on the definition of insects as farmed animals and on the authorised feedstocks to rear insects on.

The Farmed Insect PAP-Regulation reinstates that insects bred for the production of processed animal protein derived from insects are to be considered as **farmed animals**, and are therefore subject to the **feed ban rules** laid down in Article 7 and Annex IV to Regulation (EC) No 999/2001 as well as to the rules of animal feeding laid down in Regulation (EC) No 1069/2009.

Thus, the use of ruminant proteins, catering waste, meat-and-bone meal and manure as a feed for insects is prohibited. Furthermore, in accordance with Annex III to Regulation (EC) No 767/2009 of the European Parliament and of the Council (4), the use of faeces for animal nutritional purposes is prohibited.

The amended Annex stipulates that the substrate for the feeding of insects may only contain products of non-animal origin and the following products of animal origin of Category 3 material: fishmeal; blood products from non-ruminants; di and tricalcium phosphate of animal origin; hydrolysed proteins from non-ruminants; hydrolysed proteins from hides and skins of ruminants; gelatine and collagen from non-ruminants; eggs and egg products; milk, milk based-products, milk-derived products and colostrum; honey; rendered fats.

Furthermore, the substrate for the feeding of insects and the insects or their larvae must not have been in contact with any other materials of animal origin than those mentioned above and the substrate did not contain manure, catering waste or other waste.

### 3.4 LINK BETWEEN FEEDSTOCK AND FINAL APPLICATION OF INSECT-DERIVED PRODUCTS

Careful inspection of the full text of Regulation 893 gives a better view of the intentions of the European Commission when laying down the provisions.

Regarding insect bioconversion of waste streams, paragraph 6 of the Preamble is particularly interesting:  
*As per the definition of ‘farmed animals’ laid down in Article 3(6) of Regulation (EC) No 1069/2009, insects bred for the production of processed animal protein derived from insects are to be considered as farmed animals, and are therefore subject to the feed ban rules laid down in Article 7 and Annex IV to Regulation (EC) No 999/2001 as well as to the rules of animal feeding laid down in Regulation (EC) No 1069/2009.*

This creates considerable room for interpretation.

Does it mean that “insects NOT bred for the production of processed animal protein derived from insects are NOT to be considered as farmed animals, and are therefore NOT subject to the feed ban rules laid down in Article 7 and Annex IV to Regulation (EC) No 999/2001 as well as to the rules of animal feeding laid down in Regulation (EC) No 1069/2009”?

This would create a serious opportunity for rearing insects as waste-management agents: if the business case can be made on waste tipping fees and the sales of the derived products for technical applications, it would be an interesting market.

Part of the answer is probably in Regulation 893 itself, as it adds its own definition of “farmed insects” to the legal framework, by amending Annexes I of Regulation (EC) No 999/2001 to include:

‘(m): “farmed insects” means farmed animals, as defined in Article 3(6)(a) of Regulation (EC) No 1069/2009, of those insect species which are authorised for the production of processed animal protein in accordance with <the Animal By-Product Regulations>’

One question we should focus on in the framework of insect bioconversion of waste, is whether this definition of “farmed insects” closes the option of legally rearing any other insect species than the seven listed in Regulation 893, or whether it actually loosens the legal framework for rearing them?

A cautious analysis would say they do, because they may not be “farmed insects”, but they remain “farmed animals”, so 1069 still applies.

Regulation 893 has only been applicable for a couple of days, and both operators and authorities still need to come to terms with the exact implications of all the provisions in this fast-changing industry, but it is clear what the European Commission were aiming for when drafting this Regulation 893: making this possible for the insect products in feed whilst safeguarding public and animal health.

The insect operators that do not aim for the Insect-PAP’s market should build on this to make new progress.

### 3.5 SPECIAL FEEDING PURPOSES UNDER REGULATION 1069

Regulation 893 creates a considerable market for Insect-PAP in European aquaculture, and we’ve analysed the limits Regulation 1069 imposes regarding the feedstock that can be used for rearing insects.

Now, when we step away completely from “insects for feed or food”, we should have a look at Regulation 1069/2009, and more specifically at the Derogations sections.

Under Article 18, several “Special feeding purposes” have been outlined, under which Category 3 and even specific Category 2 Animal By-Products are authorised for feeding to:

- (a) zoo animals;
- (b) circus animals;
- (c) reptiles and birds of prey other than zoo or circus animals;
- (d) fur animals;
- (e) wild animals;
- (f) dogs from recognised kennels or packs of hounds;
- (g) dogs and cats in shelters;
- (h) maggots and worms for fishing bait.

It is of course the last category that draws our attention, as it creates a certain category of insects that are not considered “farmed insects” under the Regulation 893 on Insect PAP’s. Indeed, fishing bait, servicing the recreational angler, is clearly distinct from use in commercial aquaculture-feed. And these “maggots and worms for fishing bait” seem to be exempted from being considered “farmed animals”.

The legislator has clearly made an effort to create the possibility to rear maggots (without specifying the species) and worms for an application that is not linked to human consumption of the insect, or the use as feed.

If the legislator would want to make a similar effort to allow for insect bioconversion of Category 3 Animal By-Products (or even Category 2), it only needed to extend the clause (h) to read “maggots and worms for fishing bait and/or other technical applications”.

Although this might seem, to an outsider, like a fairly easy amendment, it would entail a serious workload, because it would undoubtedly be reinforced with clauses making clear that the insect biomass generated would have to be treated as an animal by-product of the same category, and that operators should not be active in this market and the Insect-PAP’s market at the same time, etc. The legislators will want full guarantees that there can be no contamination from a waste-management insect rearing operation to an Insect-PAP’s-producing insect rearing operator, and will include provisions to that effect.

### **3.6 ALTERNATIVE METHODS OF USE OR DISPOSAL OF ANIMAL BY-PRODUCTS UNDER REGULATION 1069**

We have seen earlier that Regulation 1069 is quite strict on its definition of farmed animals, and on its categorization of animal by-products, and on what ABP can be used in animal feed and which certainly cannot. This is of course a direct result of several food crises, after which a clear “precautionary attitude” was taken in legislative action.

However, the European Commission states explicitly and repeatedly that the current legal framework is not cast in iron, but open for amendments when sufficient data is provided and positively evaluated. The preamble of Regulation 1069 states:

(30) Progress in science and technology may lead to the *development of processes which eliminate or minimise the risks to public and animal health*. Amendments to the lists of animal by-products set out in this Regulation should be possible, in order to take account of such progress. Prior to any such amendments, and in accordance with the general principles of Community legislation aimed at ensuring a high level of protection of public and animal health, a risk assessment should be carried out by the appropriate scientific institution, such as EFSA, the European Medicines Agency or the Scientific Committee for Consumer Products, depending on the type of animal by-products for which risks are to be assessed. However, it should be clear that once animal by-products of different categories are mixed, the mixture should be handled in accordance with the standards laid down for the proportion of the mixture belonging to the highest risk category.

(44) Novel technologies which are being developed offer advantageous ways of generating energy on the basis of animal by-products or of *providing for the safe disposal of such products*. Safe disposal may take place through a combination of methods for the safe containment of animal by-products on site with established disposal methods, and through a combination of authorised processing parameters with new standards which have been favourably assessed. To take account of the related progress in science and technology, *such technologies should be authorised as alternative methods for the disposal or use of animal by-products throughout the Community*.

The Commission comes back to this issue of new technologies in the body of the Regulation, and to the minimisation of health risks they could pose:

Article (4) New technologies have widened the possible use of animal by-products or derived products to a large number of productive sectors, in particular for the generation of energy. However, the use of those new technologies might pose health risks that must also be minimised.

Article (5) Community health rules for collection, transport, handling, treatment, transformation, processing, storage, placing on the market, distribution, use or disposal of animal by-products should be laid down in a coherent and comprehensive framework.

Article (6) Those general rules should be *proportionated to the risk to public and animal health* which animal by-products pose when they are dealt with by operators at different stages of the chain from collection to their use or disposal. The rules should also take into account the risks for the environment posed during those operations. The Community framework should include health rules on the placing on the market, including intra-Community trade and import, of animal by-products, where appropriate.

This Article 6 introduces the interesting concept of *proportionality* between rules and risks: if a novel technology poses (little or) no risk, the rules should not obstruct it. This mechanism can be used when elaborating an application file for EFSA examination of a novel technology.

Secondly, Article 6 refers to the risks for the environment: if a novel technology poses no risk to human health, but is environmentally unsound, the authorities will find here a reason to evaluate it negatively. This does, however, not mean that an environmentally positive novel technology will be accepted, whatever the risk to human or animal health. Public health safety will always be number one priority.

Now, let's have a look at the approval procedure, when a technological process has been developed by an operator.

The application will be checked by the competent national authority and examined by EFSA before such authorisation is granted, in order to ensure that an assessment of the risk reduction potential of the process is carried out and that the rights of individuals, including the confidentiality of business information, is preserved. The Regulation stipulates that an indicative standard format for application should be adopted, in order to provide advice to applicants.

The procedure is spelled out in detail in Section 4, including the delays the authorities are bound to for evaluation:

## Section 4: Alternative methods

### Article 20 Authorisation of alternative methods

1. The procedure for authorisation of an alternative method of use or disposal of animal by-products or derived products may be initiated either by the Commission or, following an application, by a Member State or by an interested party, which may represent several interested parties.
2. Interested parties shall send their applications to the competent authority of the Member State where they intend to use the alternative method. The competent authority shall evaluate, within a period of two months following receipt of a complete application, whether the application complies with the standard format for applications referred to in paragraph 10.
3. The competent authority shall communicate the applications of the Member States and interested parties, together with a report on its evaluation to the European Food Safety Authority (EFSA) and inform the Commission thereof.
4. When the Commission initiates the procedure for authorisation, it shall send a report on its evaluation to EFSA.
5. EFSA shall assess, within six months following receipt of a complete application, whether the method submitted ensures that risks to public or animal health are: (a) controlled in a manner which prevents their proliferation before disposal in accordance with this Regulation or the implementing measures thereof; or (b) reduced to a degree which is at least equivalent, for the relevant category of animal by-products, to the processing methods laid down pursuant to point (b) of the first subparagraph of Article 15(1). EFSA shall issue an opinion on the application submitted.
6. In duly justified cases where EFSA requests additional information from applicants, the period provided for in paragraph 5 may be extended. After consulting the Commission or the applicant, EFSA shall decide on a period within which that information shall be provided to it and inform the Commission and the applicant as appropriate of the additional period needed.
7. Where applicants wish to submit additional information on their own initiative, they shall send it directly to EFSA. In that case the period provided for in paragraph 5 shall not be extended by an additional period.
8. EFSA shall forward its opinion to the Commission, the applicant and the competent authority of the Member State concerned.
9. Within three months following receipt of the opinion of EFSA and taking account of that opinion, the Commission shall inform the applicant of the proposed measure to be adopted in accordance with paragraph 11.
10. A standard format for applications for alternative methods shall be adopted in accordance with the advisory procedure referred to in Article 52(2).
11. Following receipt of the opinion of EFSA, the following shall be adopted: (a) either a measure authorising an alternative method of use or disposal of animal by-products or derived products; or (b) a measure rejecting the authorisation of such an alternative method. Those measures, designed to amend non-essential elements of this Regulation by supplementing it, shall be adopted in accordance with the regulatory procedure with scrutiny referred to in Article 52(4).

This clearly opens the path for operators to apply for European approval for a novel technology for bioconverting side streams, containing animal by-products, as long as the resulting insect products are kept out of the feed and food chain.

That means Animal By-Products could be fed to insects, if the EU approves, under Regulation 1069. There are, however, some more general Regulations on Animal Feed, that we need to take a long, hard look at.

### 3.7 REGULATION 767/2009 ON THE PLACING ON THE MARKET AND USE OF FEED

The Regulations 1069 and 999 have an impact on both the front door of insect bioconversion and on the back door at the same time. Now we should have a closer look at Regulation 767/2009<sup>6</sup>, that regulates the placing on the market and the use of different kinds of animal feed. That's the front door: what can we use as a feedstock to rear insects on?

Again, definition is important, so let's have a look at what Regulation 767 has to say:

**Article 3: Definitions**

- (c) 'food-producing animal' means any animal that is fed, bred or kept for the production of food for human consumption, including animals that are not used for human consumption, but that belong to a species that is normally used for human consumption in the Community;
- (d) 'non-food producing animals' means any animal that is fed, bred or kept but that is not used for human consumption, such as fur animals, pets and animals kept in laboratories, zoos or circuses;

Insects that would be reared for use as animal-feed might strictly speaking not fall under "food-producing animal", but since they are intended for the food chain, they would be most definitely, under the spirit of the law, be considered as such.

Insects reared as a waste disposal method, for technical applications, could be considered as "non-food producing animals".

But that does not really matter much, since the Preamble clearly states that it is appropriate that this Regulation applies, given the risk of contamination of the feed and food chain, to feed for both food and non-food producing animals, including wild animals.

<sup>6</sup> <http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1458144587916&uri=CELEX:02009R0767-20100901>

#### **Article 4**

##### **Safety and marketing requirements**

1. Feed may only be placed on the market and used if:

(a) it is safe; and

(b) it does not have a direct adverse effect on the environment or animal welfare.

The requirements set out in Article 15 of Regulation (EC) No 178/2002 shall apply, *mutatis mutandis*, to feed for non-food producing animals.

2. In addition to the requirements set out in paragraph 1 of this Article, feed business operators placing feed on the market shall ensure that the feed:

(a) is sound, genuine, unadulterated, fit for its purpose and of merchantable quality; and

(b) is labelled, packaged and presented in accordance with the provisions laid down in this Regulation and other applicable Community legislation.

The requirements set out in Article 16 of Regulation (EC) No 178/2002 shall apply, *mutatis mutandis*, to feed for non-food producing animals.

3. Feed shall comply with the technical provisions on impurities and other chemical determinants set out in Annex I to this Regulation.

This seems to deal a heavy blow to the possibility of bioconverting waste streams with insects, since food-producing and non-food-producing animals are treated equal under this Regulation.

Let's have a short look at the requirements of Article 15 of Regulation (EC) No 178/2002, to which Regulation 767 refers in this respect:

#### **Regulation 178/2002**

##### **Article 15 Feed safety requirements**

1. Feed shall not be placed on the market or fed to any food-producing animal if it is unsafe.

2. Feed shall be deemed to be unsafe for its intended use if it is considered to:

— have an adverse effect on human or animal health;

— make the food derived from food-producing animals unsafe for human consumption.

3. Where a feed which has been identified as not satisfying the feed safety requirement is part of a batch, lot or consignment of feed of the same class or description, it shall be presumed that all of the feed in that batch, lot or consignment is so affected, unless following a detailed assessment there is no evidence that the rest of the batch, lot or consignment fails to satisfy the feed safety requirement.

4. Feed that complies with specific Community provisions governing feed safety shall be deemed to be safe insofar as the aspects covered by the specific Community provisions are concerned.

5. Conformity of a feed with specific provisions applicable to that feed shall not bar the competent authorities from taking appropriate measures to impose restrictions on it being placed on the market or to require its withdrawal from the market where there are reasons to suspect that, despite such conformity, the feed is unsafe.

6. Where there are no specific Community provisions, feed shall be deemed to be safe when it conforms to the specific provisions of national law governing feed safety of the Member State in whose territory the feed is in circulation, such provisions being drawn up and applied without prejudice to the Treaty, in particular Articles 28 and 30 thereof.

These are rather general principle of common sense, regarding feed safety, that do not necessarily block the approval of insect bioconversion of waste streams, as long as the derived products do not end up in the food chain.

However, Regulation 767 gets more specific than that:

**Regulation 767**

**Article 6**

**Restriction and prohibition**

- 1.** *Feed shall not contain or consist of materials whose placing on the market or use for animal nutritional purposes is restricted or prohibited. The list of such materials is set out in Annex III.*

This forces us to have a look at the Annexes, what the sting of many European Regulations really is:

**ANNEX III**

**Chapter 1: Prohibited materials**

- 1.** ***Faeces, urine** and separated digestive tract content resulting from the emptying or removal of digestive tract, irrespective of any form of treatment or admixture.*
- 2.** *Hide treated with tanning substances, including its waste.*
- 3.** *Seeds and other plant-propagating materials which, after harvest, have undergone specific treatment with plant-protection products for their intended use (propagation), and any by-products derived therefrom.*
- 4.** *Wood, including sawdust or other materials derived from wood, which has been **treated with wood preservatives** as defined in Annex V to Directive 98/8/EC of the European Parliament and of the Council of 16 February 1998 concerning the placing of biocidal products on the market.*
- 5.** *All waste obtained from the various phases of the treatment of the urban, domestic and industrial waste water, as defined in Article 2 of Council Directive 91/271/EEC of 21 May 1991 concerning urban waste water treatment, irrespective of any further processing of that waste and irrespective of the origin of the waste waters.*
- 6.** *Solid urban waste, such as household waste.*
- 7.** *Packaging from the use of products from the agri-food industry, **and parts thereof**.*
- 8.** *Protein products obtained from yeasts of the *Candida* variety cultivated on n-alkanes.*

This list eliminates quite a few side-streams that could benefit from insect-bioconversion.

- 1.** ***Faeces, urine**:* we should check whether this is an alternative definition for manure, or not. It could also be read as "**Faeces, urine** <>resulting from the emptying or removal of digestive tract". Notwithstanding the scope of the definition, it is clear that the EU does not allow for manure to be placed on the market as feed. When insect operators go for a derogation to this rule, they should read this in conjunction with Regulation 1069 on Animal By-Products, which manure clearly is.
- 2.** ***Wood**:* although not extensively researched yet, insect bioconversion of wood and derived products could become an alternative to the production of energy, for example by rearing termites. Question here is also on definition: is untreated wood allowed for as feed, or not?
- 3.** ***Waste water treatment waste**:* this could include a variety of sludges, especially from the food-processing industry, which are very suitable to insect bioconversion, and of which the disposal using current technologies places a heavy financial burden on the industry.
- 4.** ***Solid urban waste**:* especially in countries where the separation of organic waste from plastic, PET, and paper is not yet fully implemented at household-level, Solid Urban Waste contains up to 35-50% of organic matter, which could benefit from insect bioconversion. Of course, the risk of contamination from other waste (medication, dyes, batteries, plastics, pesticides etc.) is very high, so it is clear that this type of insect bioconversion is not without risk for the insects themselves, but also that the insect-derived products will never be suitable for the food chain.

5. **Packaging and parts thereof:** this prohibition on the feeding of packaging material, and parts thereof, to insects creates a problem regarding the bioconversion of former foodstuffs. Currently, the retail sector is looking for sustainable ways to reduce the environmental cost of their unsold food products. Most of these products are packaged in some way or another, and the current technologies to separate organic fraction from the packaging is not 100% effective, resulting in minor parts of packaging material still ending up in the organic fraction. This poses a technical problem for the bio-gas installations where these streams are currently headed, but would create a legal problem in the case of insect bioconversion.

Again, this list is not cast in stone, as the Regulation states that the Commission shall amend the list of materials whose placing on the market or use for animal nutritional purposes is restricted or prohibited taking into account in particular scientific evidence, technological developments, notifications under the Rapid Alert System for Food and Feed (RASFF) or results of official controls pursuant to Regulation (EC) No 882/2004.

## CHAPTER 6 **GENERAL AND FINAL PROVISIONS**

### *Article 27*

#### **Implementing measures**

1. The Commission may amend the Annexes in order to adapt them in light of scientific and technological developments.

Those measures, designed to amend non-essential elements of this Regulation, *inter alia*, by supplementing it, shall be adopted in accordance with the regulatory procedure with scrutiny referred to in Article 28(4).

The room for derogations under this Regulation is fairly limited:

### *Article 21*

8. By way of derogation from the provisions of this Regulation, Member States may apply national provisions for feed intended for animals kept for scientific or experimental purposes on condition that such purpose is clearly indicated on the label. The Member States shall notify those provisions to the Commission without delay.

### 3.8 REGULATION 183/2005 ON REQUIREMENTS FOR FEED HYGIENE

Whenever we look at European legislation regarding animal feed, we need to combine Regulation 767 with REGULATION 183/2005.

Regulation 183 lays down general rules on feed hygiene; conditions and arrangements ensuring traceability of feed; conditions and arrangements for registration and approval of establishments; and creates a framework of control mechanisms and auto-control schemes, following the “hazard analysis and critical control points” (HACCP) methodology.

Again, let's have a look at the definition regarding insects:

2. This Regulation shall not apply to:
  - (a) the private domestic production of feed:
    - (i) for food-producing animals kept for private domestic consumption; and
    - (ii) for animals not kept for food production;
  - (b) the feeding of food-producing animals kept for private domestic consumption or for the activities mentioned in Article 1(2)(c) of Regulation (EC) No 852/2004 of the European Parliament and of the Council of 29 April 2004 on the hygiene of foodstuffs (2);
  - (c) the feeding of animals not kept for food production;
  - (d) the direct supply of small quantities of primary production of feed at local level by the producer to local farms for use on those farms;
  - (e) the retailing of pet food.

In short, when insects are reared with the intention to bring them to the feed market under the “Farmed Insect-PAP”-regulation 893/2017, Regulation 183/2005 applies, and operators must implement and adhere to a system of auto-control and external control.

When insects are reared as a waste management technique, of which the resulting insect biomass is to be kept out of the food chain, this Regulation would not apply.

Regarding the precise implementation of the above-mentioned clause, the Regulation allows the Member States to establish rules and guidance governing these activities to ensure the achievement of the objectives of this Regulation.

### 3.9 EFSA OPINION ON THE RISKS OF INSECTS AS FOOD AND FEED

It is clear that any change in the rules regarding the feedstock allowed for insects, will be made only after careful evaluation of sufficient and solid scientific data. The European Food Safety Authority<sup>7</sup> will play a crucial role in such a breakthrough.

EFSA has already drawn the outlines of the possibilities of insect bioconversion and the associated risks in 2015. In its scientific opinion of 8 October 2015 on the "Risk profile related to production and consumption of insects as food and feed"<sup>8</sup>, EFSA concluded that the **substrate used as feed for the insects is considered to be one of the crucial elements** with an impact on the occurrence and levels of biological and chemical contaminants. Thus, EFSA concluded that new substrates need to be specifically assessed.

<sup>7</sup> <http://www.efsa.europa.eu/>

<sup>8</sup> <http://onlinelibrary.wiley.com/doi/10.2903/j.efsa.2015.4257/full>

The risk profile presented potential biological and chemical hazards as well as allergenicity and environmental hazards associated with farmed insects used as food and feed, taking into account of the entire chain, from farming to the final product.

The opinion also addressed the occurrence of these hazards in non-processed insects, grown on different substrate categories, in comparison to the occurrence of these hazards in other non-processed sources of protein of animal origin. When currently allowed feed materials are used as substrate to feed insects, the possible occurrence of microbiological hazards is expected to be comparable to their occurrence in other non-processed sources of protein of animal origin.

The possible occurrence of prions in non-processed insects will depend on whether the substrate includes protein of human or ruminant origin. Data on transfer of chemical contaminants from different substrates to the insects are very limited. Substrates like kitchen waste, human and animal manure are also considered and hazards from insects fed on these substrates need to be specifically assessed. It is concluded that for both biological and chemical hazards, the specific production methods, the substrate used, the stage of harvest, the insect species and developmental stage, as well as the methods for further processing will all have an impact on the occurrence and levels of biological and chemical contaminants in food and feed products derived from insects.

Hazards related to the environment are expected to be comparable to other animal production systems.

The opinion also identifies the uncertainties (lack of knowledge) related to possible hazards when insects are used as food and feed and notes that there are no systematically collected data on animal and human consumption of insects.

## 4 EU LEGISLATION ON INSECT DERIVED PRODUCTS

### 4.1 REGULATION 1069/2009 AND 142/2011 ON ANIMAL BY-PRODUCTS<sup>9</sup>

In chapter 3, we've seen that the "Animal By-Products Regulation" impacts the insect bioconversion at the front door (feedstock going to insects), but *a fortiori* at the back door: where can we use insect derived products for.

Now, let's have a look at how Regulation 1069 impacts insect products.

Article 4 defines the "Starting point" in the manufacturing chain and the obligations that arise for operators when they create "animal by-products" and Article 5 defines the "End point in the manufacturing chain", determining when "animal by-products" stop being ABP's and become another products, regulated by other directives. This applies to all "ABP's", and is not of particular importance to insect bioconversion.

The main mechanism of Regulation 1069, which it inherited from the earlier Regulation (EC) No 1774/2002 it replaces, is categorizing, in Article 7, the different types of Animal By-Product "into specific categories which reflect the level of risk to public and animal health arising from those animal by-products, in accordance with the lists laid down in Articles 8, 9 and 10."

We can jump straight to Article 10, which defines the "Category 3 material", to comprise the following animal by-products:

< a – k > **(I) aquatic and terrestrial invertebrates other than species pathogenic to humans or animals; < m – p >**

This clearly includes insects, as long as they are not pathogenic to humans and animals.<sup>10</sup>

This categorization in Category 3 is clearly good news for insect bioconversion, because Category 1 is highest risk, and Category 3 is lowest risk. Logically, Cat. 3 animal by-products, which pose the smallest risk to human and animal health, has the broadest scope of possible "disposal and use" methods.

Those "Disposal and use"-methods for Category 3 material are stipulated in Article 14 of Regulation 1069:

<sup>9</sup> For the sake of clarity: content-wise, 1069 and 142/2011 are similar, the latter being an implementation regulation for the former; in later documents, references are made to both

<sup>10</sup> Clarification needs to be sought regarding the definition of "pathogenic", to verify whether this includes poisonous insects, and/or insects capable of transmitting diseases rather than "producing disease", the strictest definition of "pathogenic"

## **Article 14**

### **Disposal and use of Category 3 material**

**Category 3 material shall be:**

- (a) disposed of as waste by incineration, with or without prior processing;
- (b) recovered or disposed of by co-incineration, with or without prior processing, if the Category 3 material is waste;
- (c) disposed of in an authorised landfill, following processing;
- (d) processed, except in the case of Category 3 material which has changed through decomposition or spoilage so as to present an unacceptable risk to public or animal health, through that product, and used:
  - (i) for the **manufacturing of feed for farmed animals** other than fur animals, to be placed on the market in accordance with Article 31, except in the case of material referred to in Article 10(n), (o) and (p);
  - (ii) for the **manufacturing of feed for fur animals**, to be placed on the market in accordance with Article 36;
  - (iii) for the **manufacturing of pet food**, to be placed on the market in accordance with Article 35; or
  - (iv) for the **manufacturing of organic fertilisers or soil improvers**, to be placed on the market in accordance with Article 32;
- (e) used for the production of raw pet food, to be placed on the market in accordance with Article 35;
- (f) composted or transformed into biogas;
- (g) in the case of material originating from aquatic animals, ensiled, composted or transformed into biogas;
- (h) in the case of shells from shellfish, other than those referred to in Article 2(2)(f), and egg shells, used under conditions determined by the competent authority which prevent risks arising to public and animal health;
- (i) used as a fuel for combustion with or without prior processing;
- (j) used for the **manufacture of derived products** referred to in Articles 33, 34 and 36 and placed on the market in accordance with those Articles;
- (k) in the case of catering waste referred to in Article 10(p) processed by pressure sterilisation or by processing methods referred to in point (b) of the first subparagraph of Article 15(1) or composted or transformed into biogas; or
- (l) applied to land without processing, in the case of raw milk, colostrum and products derived therefrom, which the competent authority does not consider to present a risk of any disease communicable through those products to humans or animals.

This article paints a very broad scope of potential uses for insect-derived “animal by-products”, going from feed for farmed animals, petfood and fur animals to derived products, all being legally possible under Regulation 1069. So, if all of these markets are open for insect-derived products, what is the problem, then?

The 1069/2009 Regulation on Animal By-Products also stipulates how these products can be place in the market:

CHAPTER II: Placing on the market

Section 1

*Animal by-products and derived products for feeding to farmed animals excluding fur animals*

*Article 31 Placing on the market*

*1. Animal by-products and derived products destined for feeding to farmed animals, excluding fur animals, may only be placed on the market provided:*

*(a) they are or they are derived from Category 3 material other than material referred to in Article 10(n), (o) and (p);*

*(b) they have been collected or processed, as applicable, in accordance with the conditions for pressure sterilisation or other conditions to prevent risks arising to public and animal health in accordance with measures adopted pursuant to Article 15 and any measures which have been laid down in accordance with paragraph 2 of this Article; and*

*(c) they come from approved or registered establishments or plants, as applicable for the animal by-product or derived product concerned.*

These stipulations seem rather harmless, but have, in the case of insects, created a significant obstacle. One of the reasons why insects have attracted so much attention the last years, was their perceived role as a source of high-quality protein, to help fill the so-called protein gap.

When insects are rendered into PAP, operators currently producing insect meal with plant-based substrates must comply with **processing methods 1-5 or processing method 7** provided for by the ABP implementing Regulation. The processing is based on parameters such as the combination of reduction of particle size, heat treatment, time and pressure.

The mandatory HACCP system in insect farms includes also sampling during the production process and the checking of the final insect products against the microbiological criteria set out by the ABP implementing Regulation.

So, one of the products derived from insects, is protein. (The others are lipids and chitin, more about those later.) Now, under sub-paragraph c) of article 31 of 1069/2009, we need to look at the "approved or registered establishments or plants, as applicable for the animal by-product or derived product concerned", in this case protein.

## 4.2 TSE REGULATION 999/2001

Regarding the back-door for insect bioconversion, Regulation 999 also provided clear instruction on the operators authorized to place Processed Animal Protein on the market. Annex IV to Regulation (EC) No 999/2001 extends the prohibition provided for in Article 7(1) to the feeding of, inter alia, processed animal protein to non-ruminant farmed animals. This means the entire feed market is blocked, except for petfood and carnivorous fur producing animals.

There was however, under specific conditions, a derogation (Chapter II of Annex IV) authorising the feeding of non-ruminant processed animal protein to aquaculture animals only.

This was allowed for processed animal protein produced in slaughterhouses or cutting plants in compliance with Section D of Chapter IV of Annex IV to Regulation (EC) No 999/2001. Given the production process of processed animal protein derived from insects, this requirement cannot be met in the case of insects, since no slaughterhouse wants to take on insect-slaughtering, since it cannot be combined with other animal

species and since it is legally unclear how insect slaughtering should be executed. Thus, the use of processed animal protein derived from insects in feed for aquaculture animals was not allowed under this Regulation.

## 4.3 INSECT PAP-REGULATION 893/2017

### 4.3.1 Farmed Insects PAP for Aquaculture

Recently, both Regulations were amended by **COMMISSION REGULATION (EU) 2017/893** of 24 May 2017, amending Annexes I and IV to Regulation (EC) No 999/2001 of the European Parliament and of the Council and Annexes X, XIV and XV to Commission Regulation (EU) No 142/2011 about the provisions on processed animal protein<sup>11</sup>.

Regulation 893 entered into force on **1<sup>st</sup> July 2017**.

This amendment was introduced **specifically with insects in mind**. In the introductory remarks of the text, the Commission noted that *“In several Member States, the rearing of insects for the production of processed animal protein derived from them and other insect derivatives destined for petfood has started. This production is carried out under the national control schemes of the competent authorities of the Member States. Studies have shown that farmed insects could represent an alternative and sustainable solution to conventional sources of animal proteins destined for feed for non-ruminant farmed animals.”*

In short, Regulation 893/2017 allows “Processed animal protein derived from insects and compound feed containing such processed animal protein” for feeding aquaculture animals.

So, in short, Regulation 893 is an enormous step forward for the insect breeding sector, as it opens an enormous market: aquaculture. Not only in size is this market very large, the feed requirements of several species such as salmon and trout are very high, and can only be met using high-value protein sources such as fishmeal. The authorization to bring insect-derived proteins to this market is a major breakthrough.

### 4.3.2 Insect PAPs beyond aquaculture

In a second stage, once operational and validated analytical techniques are available, the use of insect PAP in **feed for pigs and poultry** could be authorised under the condition that the substrate and the processing of the insects ensure that there is no risk of transmission of pathogens to which those species are susceptible.

In order to be able to test for the absence of pig or poultry protein in the Farmed Insect PAP, DNA-tests are under development. These tests are necessary to avoid the so-called “cannibalism”, feeding for example pigs protein back to pigs through insects, since this could create a health risk.

Currently, the Commission has, in line with the position expressed in the TSE Roadmap 218, no intention to propose a revision of the feed ban in view of allowing the use of insect PAP in feed for ruminants.

Regulation 893 comes, however, with a couple of complicating factors:

A number of specific conditions apply to the production and use of Insect-PAP intended to be used for feeding aquaculture animals.

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<sup>11</sup> <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32017R0893>

## 4.4 WHICH PROCESSING PLANTS CAN PRODUCE INSECT-PAP's?

Regulation 893 stipulates that Insect-PAP must be produced in processing plants approved in accordance with Article 24(1)(a) of Regulation (EC) No 1069/2009 and dedicated **exclusively** to the production of products derived from farmed insects.

Compound feed containing processed animal protein derived from farmed insects must be produced in establishments authorised for that purpose by the competent authority and which are dedicated **exclusively to the production of feed for aquaculture animals**.

By way of derogation from this last specific condition, the production of compound feed, containing processed animal protein derived from farmed insects, for aquaculture animals in establishments which also produce compound feed intended for other farmed animals, except for fur animals, may be authorised by the competent authority, following an on-site inspection, subject to compliance with the following conditions:

- compound feed destined for ruminants must be manufactured and kept, during storage, transport and packaging, in facilities that are physically separate from those facilities where compound feed for non-ruminant animals are manufactured and kept,
- compound feed destined for aquaculture animals must be manufactured and kept, during storage, transport and packaging, in facilities that are physically separate from those facilities where compound feed for other non-ruminant animals are manufactured and kept,
- records detailing the purchases and uses of processed animal protein derived from farmed insects and the sales of compound feed containing such protein must be kept available to the competent authority for a period of at least five years,
- regular sampling and analysis of the compound feed destined for farmed animals other than aquaculture animals in order to verify the absence of unauthorised constituents of animal origin using the methods of analysis for the determination of constituents of animal origin for the control of feed set out in Annex VI to Regulation (EC) No 152/2009; the frequency of such sampling and analysis shall be determined on the basis of a risk assessment carried out by the operator as part of its procedures based on the HACCP principles; the results must be kept available to the competent authority for a period of at least five years;
- a specific authorisation to produce complete feed from compound feed containing processed animal protein derived from farmed insects shall not be required for *home compounders* that comply with the following conditions:
  - ✓ they are registered by the competent authority as producing complete feed from compound feed containing processed animal protein derived from farmed insects,
  - ✓ they keep only aquaculture animals, and
  - ✓ the compound feed containing processed animal protein derived from farmed insects used in their production contains less than 50 % crude protein.

In short: this means that the insect producing companies must most probably process their insects themselves, since it will require an investment in machinery that can only be used for insect processing. Secondly, it means insect-PAP's will most probably only go to aquaculture-feed producers, because of the extra administrative burden, but at least it is clear what conditions must be met by feed producers that also produce for other markets.

## 4.5 HOW TO LABEL INSECT-PAP'S

The accompanying commercial document or health certificate<sup>12</sup>, as appropriate, of processed animal protein derived from farmed insects and the label thereof shall be clearly marked with the following words: “*processed insect protein — shall not be used in feed for farmed animals except aquaculture and fur animals*”.

The following words shall be clearly indicated on the label of *compound feed* containing processed animal protein derived from insects: “*contains non-ruminant processed animal protein — shall not be fed to farmed animals except aquaculture and fur animals*”.

## 4.6 INSECT ALLOWED FOR INSECT-PAP'S

Under Regulation 893, insect-PAP, intended for the production of feed for farmed animals other than fur animals, may only be obtained from the following insect species:

- Black Soldier Fly (*Hermetia illucens*)
- Common Housefly (*Musca domestica*)
- Yellow Mealworm (*Tenebrio molitor*)
- Lesser Mealworm (*Alphitobius diaperinus*)
- House cricket (*Acheta domesticus*)
- Banded cricket (*Gryllodes sigillatus*)
- Field Cricket (*Gryllus assimilis*)

This list is explicitly based on national risk assessments of species already reared commercially, as well as the EFSA opinion of 8 October 2015. With respect to the insect species reared in the European Union, these should not be pathogenic or have other adverse effects on plant, animal or human health; they should not be recognised as vectors of human, animal or plant pathogens and they should not be protected or defined as invasive alien species.

The Regulation stipulates that this list may be amended in the future based on an assessment of the risks posed by the insect species concerned to animal health, public health, plant health or the environment.

In short, the current regulation limits the production of Insect PAP's to seven species, which are currently already reared at commercial level. This, however, will soon turn out to be quite restrictive, given the number of available insect species and the growing knowledge about rearing them commercially. A notable absentee from the list is the Migratory Locust (*Locusta Migratoria*).

## 4.7 IMPORT INTO THE EU OF INSECT-PAP'S

Regulation 893 retains the conditions for EU-produced Insect-PAP's for the import of Insect-PAP's from outside the EU. This is logical when it comes to creating a level playing field, but might also turn out to place an unnecessary obstacle for insect-producers in third countries, rearing other insects that are banned in the EU but are locally - in those Third countries - not considered a risk to animal health, public health, plant health or the environment.

Given the large numbers of insects already being reared for human consumption and for local use as livestock feed, it is only a matter of time before operators of third countries request permission to import Insect-PAP's of these species for use in European aquaculture.

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<sup>12</sup> under Article 21(2) of Regulation (EC) No 1069/2009

## 4.8 WHAT DOES REGULATION 893 SAY ABOUT LIVE INSECTS AND DRIED INSECTS?

The Regulation specifically mentions that the provisions set out in Annex X do **not** cover live insects and dried insects in feed for **farmed** animals. This means that they can still be used in that form for feeding other farmed animals than aquaculture, such as poultry and pigs.

This underlines the specification in **COMMISSION REGULATION (EU) No 68/2013 on the Catalogue of feed materials<sup>13</sup>, which includes:**

9.16.1	<b>Terrestrial invertebrates</b> <a href="#">(<sup>27</sup>)</a>	Whole or parts of terrestrial invertebrates, in all their life stages, other than species pathogenic to humans and animals; with or without treatment such as fresh, frozen, dried.	
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This is quite strange, since the use of dried insects in or as **pet** food is subject to the provisions set out in Annex XIII to the aforementioned Regulation 893.

<sup>13</sup> [http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32013R0068&qid=1458145153829#ntr27-L\\_2013029EN.01000301-E0027](http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32013R0068&qid=1458145153829#ntr27-L_2013029EN.01000301-E0027)

## **5 REGULATION ON PRODUCING INSECTS FOR HUMAN CONSUMPTION**

When insects are destined for use in food applications, they automatically fall under all legislation covering food items:

- REGULATION 178/2002 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<sup>i</sup>
- REGULATION 852/2004 on the hygiene of foodstuffs<sup>ii</sup>

As insect products are correctly considered to be of animal origin, the Regulation with specific hygiene rules for food items of animal origins also applies:

### **5.1 REGULATIONS 853/2004 AND 854/2004 ON THE HYGIENE OF FOOD OF ANIMAL ORIGIN**

Regulation (EC) No. 853/2004<sup>14</sup> lays down specific rules on the hygiene of food of animal origin for food business operators. They shall apply to unprocessed and processed products of animal origin. It is complemented by Regulation (EC) No. 854/2004<sup>15</sup> which lays down specific rules for the organisation of official controls on products of animal origin intended for human consumption. Both Regulations are important for insect rearing, specifically for human consumption.

This EU legislation was implemented and often complemented by local legislation, regarding traceability, reporting obligations and sectoral autocontrol systems; the local food safety authorities also have a system of certifications, permits and registrations.

However, the current EU legislation has no specific stipulations regarding the farming, transformation and distribution of insects.

### **5.2 REGULATION 258/97 CONCERNING NOVEL FOODS**

The fact that no specific regulation on the farming or transformation of insects for human consumption was in place, did not mean, however, that the road was wide open. The national authorities in charge of food safety quickly pointed out to the insect snack start-ups that this innovative food product quite possibly constituted a “novel food”, also when only “whole insects” are used and not the extracted components of these insects. In that case, the procedures for submitting an application file for each insect species and its products as outlined in Reg 258/97 would be applicable.

The situation of insects was unclear due to the fact that extractions from insects where described in regulation 258/97<sup>16</sup>, but not the insects as a whole. The interpretation made by most local Safety Authorities in the different EU countries was that the legislator’s intention was clear: insects (also as a whole) are Novel Foods. Others though interpreted the implicit distinction between “extractions” and “insects as a whole” and the absence of the explicit mentioning of “insect as a whole” being a Novel Food, as the legislator’s intention to “not forbid” insects as Novel Food. Every local safety authority has the

<sup>14</sup> [http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex%3A32004R0853R\(01\)](http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex%3A32004R0853R(01))

<sup>15</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2004:226:0083:0127:EN:PDF>

<sup>16</sup> <http://eur-lex.europa.eu/legal-content/EN/LSU/?uri=CELEX:31997R0258>

obligation and the right to implement and apply EU regulations on its own territory. Several countries have taken national initiatives regarding these matters, resulting in different shades of acceptance and tolerance of insect farming and entomophagy. So, Novel Food or not Novel Food, that was the question. Given the heavy burden that this status of Novel Food inflicts on market operators who have to prove the safety of their new products before they can be brought to the market and given the philosophy of one single market; this situation was not to be continued indefinitely, and the European authorities have chosen to include insect food products under the amended Regulation: 2283/2015<sup>17</sup> on Novel Food, which repeals and replaces Regulation 258/97

### 5.3 REGULATION 2283/2015 ON NOVEL FOODS

**Regulation 2283/2015** lays down rules for the placing of novel foods on the market in the European Union (EU). These are designed to provide a high level of protection for human health and consumers' interest.

Novel food is defined as food not used for human consumption to a significant degree in the EU before 15 May 1997. This covers a wide range of products, such as food with a new or intentionally modified molecular structure, food using a new food production process (bread treated with UV-light to increase vitamin D content) or produced from microorganisms, fungi or algae (e.g. the use of the micro-algae *Schizochytrium* sp in foods such as cereal bars, cooking fats, etc. as an alternative source of Docosahexaenoic acid).

Food business operators must determine whether the product they wish to place on the market is covered by the legislation. If they are unsure:

- they may consult the national authorities of the market concerned by providing all the necessary information;
- those national authorities may consult colleagues in other EU countries and the European Commission.

The Commission must establish a positive **list of authorised novel foods** by 1 January 2018 and update it regularly.

An **authorised product must not**:

- pose a risk to human health, based on scientific evidence;
- mislead consumers, especially when it is intended to replace another food and there is a significant change in nutritional value;
- be nutritionally disadvantageous when replacing another food under normal consumption.

The **authorisation procedure** for the placing of a novel food on the market can be triggered either by an applicant (EU country, a non-EU country or an interested party) or by the Commission.

The **application** must include details, such as the name and description of the novel food, its detailed composition, production processes and scientific evidence, confirming that it does not pose any danger to human health.

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<sup>17</sup> <http://eur-lex.europa.eu/legal-content/EN/LSU/?uri=celex:32015R2283>

The Commission may ask the European Food Safety Authority to give its opinion on the safety of the novel food. The Commission presents its final opinion on whether to authorise a novel food to the Standing Committee on Plants, Animals, Food and Feed. Its endorsement is necessary before the new product can be added to the positive list.

Specific rules apply to traditional foods from non-EU countries which their food business operators or importers wish to sell in the EU, a rule that will be applicable for several “customary” insect food products, from Third countries.

**This Regulation** applies from 1 January 2018.

This brings clarity to the situation of new insect products for human consumption as from its date of entering into action, 1<sup>st</sup> January 2018: if there is no clear History of Consumption (HOC) of a specific insect species or product based on this specific insect species in the EU in the recent history (since 1945), this insect species or product containing this insects species, is a Novel Food.

The countries that had tolerated insects and insect food products on their national markets had the possibility to specify the terms that their local operators had to adhere to during the current transition phase, whilst preparing their “Novel Food application”

Only the Belgian authorities have conducted a far-reaching and transparent tolerance policy over the last few years. Due to constructive cooperation between Belgian operators (united in the Belgian Insect Industry Federation) and local authorities, a transitional period will be applicable after 1<sup>st</sup> January 2018. Only operators who submitted a novel food dossier for a specific insect species before January 1, 2018 may continue to place this insect on the market, until (dis)approved by the European Commission for this insect species and its applications.

## 5.4 REGULATION 2073/2005 ON MICROBIOLOGICAL CRITERIA FOR FOODSTUFFS

This Regulation lays down the microbiological criteria for certain micro-organisms and the implementing rules to be complied with by food business operators when implementing the general and specific hygiene measures referred to in Article 4 of Regulation (EC) No 852/2004.

This Regulation refers to problematic contamination with *Listeria*, *E. Coli* and other pathogens, that could be harmful or lethal to the consumer.

Although the Annexes to the Regulation contain specifications regarding echinoderms, tunicates and gastropods (snails and slugs), no mention of insect products can be found.

## 6 CONCLUSION

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On a biological level, the use of insects as feed for livestock animals is a natural thing to do, since several of the most popular livestock animals, such as chicken, pigs, turkey and several fish species, are omnivorous by nature where insects are a part of their daily diet.

On an economic level, rearing a type of animals specifically as a source of feed for other farm animals, adds a trophic level to the agricultural chain. This is quite uncommon in traditional livestock farming, where plant-based fodder is fed to animals, which are in turn aimed for human consumption. Fishmeal might be the closest analogy to animal-based feed, but these small fish that form the basis of fishmeal are not reared but caught in the wild.

Another analogy could be the use of Processed Animal Protein (PAP's) in livestock feed, but the PAP's themselves are a side stream of the meat industry, as it mostly consists of slaughterhouse offal.

A perfect analogy would be rearing zooplankton as fish feed, but very few examples are known, and very few people consider zooplankton to be animals, although biologically, they are.

So insect bioconversion creates a new concept, of rearing animals as feed for other animals, and it would be an understatement to say that the existing legislation was not written down with room for such an innovation to easily fit in.

The example of Processed Animal Protein also takes us to the underlying problem with "insects as feed": the use of slaughterhouse waste (in PAP's) led to the "mad cow disease" (TSE) problem, with severe consequences for animal welfare and consumer safety. The legislators subsequently tackled the problem, by banning the use of PAP's in most feedstock applications. This decision, taken around the turn of the century, turned out to be a serious barrier for insect-breeding start-ups aiming for the animal feed market in the past couple of years.

As in most markets, cost price of the new products will be a determining factor of success. And as for most types of livestock farming, one of the determining cost factors is the price of feedstock. An important aspect of breeding insects is their ability to grow on relatively low value side streams. This means that in principle large quantities of cheap feedstock are available, creating the possibility of cheap insect farming. This use of side streams also offers an additional advantage, as it adds to the sustainability appeal of insects.

The use of side streams, however, can seriously complicate matters on the legal level. Some side streams are on feed-grade level, and pose no additional legal challenge, but a lot of side streams are currently considered as waste, i.e. excluded for use as livestock feed. This prohibition is understandable when the insects would end up in the food chain, either directly as insect food products or indirectly as livestock feed.

The logic is not so clear if the insects are reared specifically as a waste treatment agent, or as a source of raw materials for use outside the food chain (for example in industrial detergents, lubricants, coatings or glues). A general overview of animal fractions and their authorisation for feed applications is given in Figure 1

It has become clear for all involved parties that the current legislative framework was not written with insect bioconversion in mind, and that it contains numerous stipulations that make perfect sense in traditional livestock farming, but are actually counterproductive in the development of an insect industry, playing a role in the circular economy the authorities have set as our common objective.

Currently, the legislative stipulations on a certain aspect are completely disconnected from what happens further down the value chain: for example, a number of side streams are forbidden for use as insect feed, full stop. They are forbidden for reasons of food safety, even when the insects will be kept out of the food chain altogether.

	Farmed animals other than fur animals			Pets and fur animals
	Ruminants	Non-ruminants (except fish)	Fish	
<b>Ruminant Processed Animal Proteins, except blood meal and fish meal</b>	NA	NA	NA	A
<b>Non-ruminant Processed Animal Proteins, except fish meal</b>	NA	NA	A	A
<b>Blood meal from ruminants</b>	NA	NA	NA	A
<b>Blood products from ruminants</b>	NA	NA	NA	A
<b>Gelatine from ruminants</b>	NA	NA	NA	A
<b>Hydrolysed proteins other than those derived from non-ruminants or from ruminant hides and skins</b>	NA	NA	NA	A
<b>Blood meal from non-ruminants</b>	NA	NA	A	A
<b>Fishmeal</b>	NA*	A	A	A
<b>Blood products from non-ruminants</b>	NA	A	A	A
<b>Di and tricalcium phosphate of animal origin</b>	NA	A	A	A
<b>Hydrolysed proteins from non-ruminants or from ruminant hides and skins</b>	A	A	A	A
<b>Gelatine from non-ruminants</b>	A	A	A	A
<b>Egg, egg products, milk, milk products, colostrum</b>	A	A	A	A
<b>Animal proteins other than the above- mentioned ones</b>	NA	A	A	A

Farmed Insect  
Processed Animal  
Protein

**Figure 1: Overview of animal fractions and their authorisation for different feed applications.** \* Milk replacers containing fishmeal and intended only for unweaned ruminants are authorised. A = authorised; NA = not authorised.

Insects can act as an cross-sectoral bridge, and turn organic waste into bio based building blocks for the chemical industry, but this means that legislative packages in several sectors must be examined and adapted. Rather than adapting minor clauses in a specific Regulation, a broad review of all relevant legislative packages and the integration of the relevant measures in a comprehensive Regulation on insect breeding and rearing for the different possible purposes seems to be the way ahead.

A summary of the legislative barriers related to the implementation of insect-based value chains is given in Table 1. The barriers were grouped around topics along the value chain ranging from ‘rearing insects’, ‘transport & storage’ to applications in different field. For most barriers the linked legislation is given, as well as a short description of the legislation and potential solutions/opportunities at short and longer term. In addition, potential contributions of the InDIRECT project to lower the identified legislative barriers are formulated.

The table will be used by the InDIRECT project partners to tailor their research to collect data contributing as much as possible to lower at least a number of identified barriers. The selection of the topics to focus on is to be made.

An update of this document (DL1.1) will be prepared lateron in the project (as DL1.3) taking into account new legislation and evolutions. In addition, a section on insect rest fraction will be added.



**Table 1: Summary of legislative barrier related to insect-based value chains.**

Topic	Related legislation	Description of the legislation	Barrier / advantage	Potential solution/opportunity short term	Potential solution/opportunity longer term	Possible contribution of InDIRECT to lower the barrier
<b>Rearing insects</b>						
Protection of farmed animals	Council directives 58/1998, 98/58/EC	Protection of farmed animals irrespective of the species: does not apply for insects.	Invalidation of obligations that are applicable on regular livestock farming (e.g. Staffing, inspection, records, accommodation, rearing method ...)	Insect bioconversion for disposal of Animal By-Product is possible under this directive: it simplifies the operational organization of insect bioconversion	Keep insects (non-feed and non-food) as non-farmed animals  If Feed- or Food-insects are considered as Farmed animals, have specific clauses regarding their welfare	Provide scientific data and analysis regarding insect welfare when used as bioconvertors
	Regulation (EC) No 1069/2009 of the European Parliament and of the Council of 21 October 2009	Describes health rules as regards Animal By-Products and derived products not intended for human consumption - "Insects" are "farmed animals".  - "Farmed insects" are "farmed animals"	Insects are to be treated under the regulations as "farmed animals"		Specifically exclude non-feed and non-food insects from 1069, from definition as "farmed animals".	
Side streams/ Feedstock	Regulation (EC) No 1069/2009 of the European Parliament and of the Council of 21 October 2009	Which "animal by-products" can be used as animal feedstock	Prohibits the use of manure, catering waste and unprocessed former foodstuff (containing meat or fish)	New regulation (cf. regulation 893/2017) amending annexes in regulation 999/2001 to use catering waste and unprocessed former foodstuff as feedstock for insects	Specifically exclude non-feed and non-food insects from 1069, as waste treatment agents, or bioconvertors of waste into technical raw materials outside the foodchain	Select raw materials that are widely available and relevant for insect rearing
	Regulation (EC) No 999/2001 of the European Parliament and of the Council of 22 May 2001	Rules for prevention, control and eradication of TSE (mad cow, Creutzfeldt-Jakob). Covers production and placing on the market	Prohibits Processed Animal Protein as feedstock for farmed animals e.g. insects Limitation in substrate for rearing insect	Use of approved GMP raw materials	New regulation (cf. regulation 893/2017) amending annexes in regulation 999/2001 to increase legal applications to use PAP as feedstock for insects as farmed animals	Provide scientific data and analysis regarding insect bioconversion, showing the economic and ecological potential

Topic	Related legislation	Description of the legislation	Barrier / advantage	Potential solution/opportunity short term	Potential solution/opportunity longer term	Possible contribution of InDIRECT to lower the barrier
Frass (excrement of insect larvae)		Frass is an “animal by-product”	Limitation on the use of frass as e.g. fertiliser	Clarification on the legal use of frass, would open new applications and markets		Provide scientific data and analysis regarding insect frass’ biosafety and potential and soil improver
Animal well-fare	Regulation (EC) No 1099/2009 of the European Parliament and of the Council of 24 September 2009	During their killing: animals must be spared pain, distress or suffering. By definition, insects are excluded.	Invalidation of obligations during killing that are applicable on regular livestock farming (e.g. restraining and stunning methods, protection, accommodation ...)	Most applied methods are blanching and freezing, which are fast in execution, easy to use and cost efficient.	Use most (scientifically) accepted methodology for killing insects	Evaluation different killing methods: frying, cooking, grinding (alive), ...
<b>Transport and storage of insects</b>						
General	Animal welfare legislation  Regulation (EC) No 893/2017 24 May 2017 of the European Parliament and of the Council	Covers all stages of all farm animals: on the farm, during transport and at time of killing  Describes amendments of annexes of Regulation 999/2001 as regards on transport and storage of feedstock for non-ruminants including feedstock from farmed insects	Transport and storage of feed materials and compound feed derived from Insect-PAP intended for aquaculture need to be separated from feed intended for non-ruminants other than aquaculture and for ruminants,	Clear description on storage and transport, helps building momentum that supports insect operators aiming on insect-PAP, to make progress in organising their operations.  Use of GMP approved raw materials		Provide scientific data and analysis regarding insect welfare during transport and storage
<b>Applications in general</b>						
Insect-products in general	Regulation (EC) No 1069/2009 of the European Parliament and of the Council of 21 October 2009	Describes health rules as regards Animal By-Products and derived products not intended for human consumption.	Animal By-Products are considered Category 3 material – which poses the smallest risk to human and animal health.	Enabling operators to use insects in a very broad scope : because they are considered category 3 material		Provide scientific data and analysis regarding safety of insect-derived products in technical applications
<b>Application in feed</b>						

Topic	Related legislation	Description of the legislation	Barrier / advantage	Potential solution/opportunity short term	Potential solution/opportunity longer term	Possible contribution of InDIRECT to lower the barrier
Market	Regulation (EC) No 1069/2009 of the European Parliament and of the Council of 21 October 2009. Chapter II	Describes health rules as regards Animal By-Products and derived products not intended for human consumption.	ABP for feeding farmed animals, are derived from category 3 material via processing methods 1-5 or 7 and under HACCP conditions:	Enabling operators to use insects in a very broad scope		Provide scientific data and analysis regarding insect PAP's, lipids and chitin for use in animal feed
	Regulation (EC) No 893/2017 24 May 2017 of the European Parliament and of the Council	Describes amendments of annexes of Regulation 999/2001 as regards the provisions on PAP	Supporting insect-products in Feed and creating a market for insect-PAP in aquaculture whilst safeguarding public and animal health	Both operators and authorities still need to come to terms with the exact implications of all provisions. Insect operators aiming on insect-PAP, can build on this momentum to make progress.		Provide scientific data and analysis regarding insect PAP's, for use in animal feed, including nutritional data and possibly health benefits
	Regulation (EC) No 767/2009 of the European Parliament and of the Council of 13 July 2009.	Regulates the placing on the market and the use of (animal) Feed; Food-producing and non-food-producing animals are treated equal	No explicit block on an approval of insects bioconversion of waste streams (excluding faeces, urine, wood, waste water, solid urban waste, packaging), as long as those insects are not used in food chain, but derogations are limited.	Need for the possibility of insects bioconversion of waste stream, under conditions and after approval.	Possibility of insects bioconversion of waste stream, under conditions and after approval.	Provide scientific data and analysis regarding safety of insect products, when fed on sidestreams that are currently excluded, or contain packaging material
	Regulation (EC) No 999/2001 of the European Parliament and of the Council of 22 May 2001	Rules for prevention, control and eradication of TSE (mad cow, Creutzfeldt-Jakob). Covers production, placing on the market...)	Prohibits Processed Animal Protein as feedstock for farmed animals e.g. insects	This blocks the entire feed market, except for petfood and carnivorous fur producing animals.		

Topic	Related legislation	Description of the legislation	Barrier / advantage	Potential solution/opportunity short term	Potential solution/opportunity longer term	Possible contribution of InDIRECT to lower the barrier
New technologies	Regulation (EC) No 1069/2009 of the European Parliament and of the Council of 21 October 2009, article 6	Article 6 introduces the concept of proportionality between rules and risks	If a novel technology poses (little or) no risk to public health safety, the rules should not obstruct it. This supports the elaboration of an application file for EFSA of a novel technology.	Opens a path for operators to apply for European approval for a new technology.	Opens a path for operators to apply for European approval for a new technology.	Provide scientific data and analysis that will support the application of insect bioconversion as a new technology for ABP-treatment
Hygiene	Regulation (EC) No 183/2005 of the European Parliament and of the Council of 12 January 2005	General rules on feed hygiene; traceability of feed; framework of control mechanisms and auto-control schemes (HACCP)	Mandatory implementation of auto-control system and external control if insects are used in feed market as "farmed insect-PAP"	No auto-control or external control applies if insect bioconversion is used as waste management facilitates operational organisation of operators.		Provide scientific data and analysis regarding an auto-control system/handbook for the insect breeders/rearers
Aquaculture	Regulation (EC) No 893/2017 24 May 2017 of the European Parliament and of the Council	Describes amendments of annexes of Regulation 999/2001 as regards the provisions on PAP	Allows "PAP derived from insects and compound feed containing such processed animal protein" for feeding aquaculture animals, if the complete insect-PAP process is kept separated from the processes destined for feed for ruminants and non-ruminants (except aquaculture).	It is clear what conditions must be met by feed producers to include insect-PAP as feed(component), therefore this is an enormous step forward for the insect breeding sector, as it opens an enormous market: aquaculture		Provide scientific data and analysis regarding other insects than the species currently mentioned
Other Feed applications	Regulation (EC) No 893/2017 24 May 2017 of the European Parliament and of the Council	Describes amendments of annexes of Regulation 999/2001 as regards the provisions on PAP	Does not allows "PAP derived from insects and compound feed containing such processed animal protein" for feeding pigs and poultry.	Once reg. 893/2017 is operational, the use of insect PAP in feed for pigs and poultry could be authorised under the condition that the substrate and the processing of the insects ensure that there is no risk of transmission of pathogens.		Provide scientific data and analysis regarding insect PAP's, for use in poultry and pigs, as the next step after aquaculture.

Topic	Related legislation	Description of the legislation	Barrier / advantage	Potential solution/opportunity short term	Potential solution/opportunity longer term	Possible contribution of InDIRECT to lower the barrier
	Regulation (EU) No 68/2013 on the Catalogue of feed materials	Described feed catalogue: Includes whole (or parts) of insects in all their life stages.	In line with TSE roadmap 218, there is no intention to make insect-PAP usable as feed for ruminants.  Insect-PAP intended for feed for farmed animals" (e.g. insect) may only be obtained for 7 described species . But 893/2017 doesn't cover live and dried insect as feed for farmed animals  Potential use of live and dried insects as petfood	non  Restriction of 7 species can be amended.	non  Restriction of 7 species can be amended.	Provide scientific data and analysis supporting the inclusion of specific insect derived products in the Catalogue of Feed materials.
<b>Application in technical solutions</b>						
General	Regulation (EC) No 1069/2009 of the European Parliament and of the Council of 21 October 2009; article 18	Derogations described in article 18, creates a category of insects to be used in an application (fishing bait) that is not linked to food or feed.	This derogations of the "fishing bait"-application, can be supplemented by a description "technical applications"	non	Allowing insect bioconversion of Category 3 and/or 2 Animal By-Products	
Safety			Bioaccumulation of chemical substances (heavy metals, veterinary medicine, pesticides, antibiotics, mycotoxins) and pathogens	Use of GMP approved raw materials	Define strategies for avoiding risks	Detect and quantify risks
Safety/impact	N.A.		Antinutritional effects of co-extracted chitin	Use chitin free protein fractions.	Use well defined chitin fractions	Qualify and quantify chitin in insects

Topic	Related legislation	Description of the legislation	Barrier / advantage	Potential solution/opportunity short term	Potential solution/opportunity longer term	Possible contribution of InDIRECT to lower the barrier
Safety	Directive 2002/32/EC of the European Parliament and of the Council of 7 May 2002		Bioaccumulation of chemical substances (heavy metals, veterinary medicine, pesticides, antibiotics, mycotoxins) and pathogens	Use of GMP approved raw materials	Define strategies for avoiding risks	Detect and quantify risks
	Regulation (EC) No 183/2005 of the European Parliament and of the Council of 12 January 2005		Allergens (type tropomyosins)	Create awareness among people handling and eating insects. Labelling of insect based products for possible allergenic reactions	Labelling of insect based concepts for possible allergenic reactions	Qualify and quantify allergenic potential in insects
	Directive 2002/32/EC of the European Parliament and of the Council of 7 May 2002					
Processing	Regulation (EC) No 893/2017 24 May 2017 of the European Parliament and of the Council	Describes amendments of annexes of Regulation 999/2001 as regards the provisions on PAP	Allows "PAP derived from insects and compound feed containing such processed animal protein" for feeding aquaculture animals, if the complete insect-PAP process is kept separated from the processes destined for feed for ruminants and non-ruminants (except aquaculture).	A clear description of the conditions that must be met by feed producers to include insect-PAP as a feed (component). Most probably, (1) only insect producing companies will process their insects, (2) only aquaculture feed producers will use insect-PAP		Evaluation of potential processing methodologies (physical, chemical and biotechnological)
	Regulation (EC) No 183/2005 of the European Parliament and		Scale of production	Investment in scalable insect rearing and downstream-processing solutions are viable		Select raw materials that are widely available
			Residual processing aids (solvents, ...)	Use feed grade solvents	Avoid solvents	Evaluation of potential processing methodologies (physical, chemical and biotechnological)

Topic	Related legislation	Description of the legislation	Barrier / advantage	Potential solution/opportunity short term	Potential solution/opportunity longer term	Possible contribution of InDIRECT to lower the barrier
	of the Council of 12 January 2005  Directive 2002/32/EC of the European Parliament and of the Council of 7 May 2002  Regulation (EC) No 178/2002 of the European Parliament and of the Council of 28 January 2002 Regulation (EC) No 1831/2003 of the European Parliament and of the Council of 22 September 2003 Regulation (EC) No. 882/2004 of the European Parliament and of the Council of 29 April 2004 Regulation (EC) No 183/2005 of the European Parliament and of the Council of 12 January 2005  N.A.		Residual substrates in gastrointestinal tract of insect  Presence of parasites during cultivation of insects, and possibly harming livestock	Use of GMP approved raw materials  Use hygienic rearing conditions	Use of GMP approved raw materials or suitable feeding strategy (including fasting of insects)  Prevent parasite contamination	Selection of relevant feeding strategies  Make an inventory of parasites and prevention methodologies
labelling	Regulation (EC) No 893/2017 24 May 2017 of the European Parliament and of the Council	Describes amendments of annexes of Regulation 999/2001 as regards the provisions on PAP	Label for PAP derived from farmed insects and for compound feed containing PAP derived from insects shall be clearly marked.	Labelling of insect based products for possible allergenic reactions	Use of GMP approved raw materials or suitable feeding strategy (including fasting of insects)	Selection of relevant feeding strategies
Application in food						
Hygiene	Regulation (EC) No 853/2004 of the European Parliament and of the Council	Specific rules on the hygiene of food of animal origin for food business operators.	Local food safety authorities have a system of certifications, permits and registrations of the	Possibilities for local operators to establish an agreement with local safety authorities concerning	Need for an alignment of the application of regulations 853, 854, 2283, in order to establish one general EU	Provide scientific data and analysis regarding hygiene of insect farms and farming procedures

Topic	Related legislation	Description of the legislation	Barrier / advantage	Potential solution/opportunity short term	Potential solution/opportunity longer term	Possible contribution of InDIRECT to lower the barrier
	Regulation (EC) No 854/2004 of the European Parliament and of the Council	Specific rules for the organisation of official controls on products of animal origin intended for human consumption	operators. Creating different local regulations for insect rearing and transformation of insect into products	rearing, transforming and placing on the market of insects.	market for insects and products thereof. Generating one EU market is the only way to create a viable market for insects as human food.	
Novel Foods	Regulation (EC) No 2283/2015 of the European Parliament and of the Council	Placing of Novel Foods on the market. Need for a granted application if an absence by a significant degree of use for human consumption within the EU before 15 May 1997, occurs	From the 1 <sup>st</sup> of January 2018, this new Regulation will be in force: declaring that insects are Novel Food. If no granted application on the applied insect species and its products exist; the species and products thereof cannot be placed on the market	Possibilities for local operators to establish a transitional arrangement from the 1 <sup>st</sup> of January 2018 onwards and continue rearing, transformation and placing on the market of insects and their products.		
Safety	Regulation (EC) No 2073/2005 of the European Parliament and of the Council	Microbiological criteria for certain micro-organisms and the implementing rules to be complied with by food business operators	No mention of insect products can be found. This void in regulation on food safety and thereby the void in controlling possibilities of food products, based on insects, creates a more severe control than scientifically needed.	Need for an amendment of regulation 2073/2005 on the microbiological criteria for foodstuff base on insects.		Provide scientific data and analysis regarding microbiological load of insect products for human consumption

<sup>i</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2002:031:0001:0024:en:PDF>

<sup>ii</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2004:139:0001:0054:en:PDF>