

# CODEX ALIMENTARIUS COMMISSION

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Food and Agriculture  
Organization of the  
United Nations



World Health  
Organization

Viale delle Terme di Caracalla, 00153 Rome, Italy - Tel: (+39) 06 57051 - E-mail: [codex@fao.org](mailto:codex@fao.org) - [www.codexalimentarius.org](http://www.codexalimentarius.org)

**REP17/NFSDU**

**JOINT FAO/WHO FOOD STANDARDS PROGRAMME**

**CODEX ALIMENTARIUS COMMISSION**

*Fortieth Session*

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**REPORT OF THE THIRTY-EIGHTH SESSION OF THE  
CODEX COMMITTEE ON NUTRITION AND FOODS FOR SPECIAL DIETARY USES**

**Hamburg, Germany**

**5 – 9 December 2016**

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## SUMMARY AND STATUS OF WORK

Responsible Party	Purpose	Text/Topic	Code	Step	Para.
Members CCEXEC73 CAC40	Adoption	Proposed amendments to Section 6, paragraph 33 of the nutritional risk analysis principles (Procedural Manual)	-	-	12(i)
Codex Secretariat CAC40	Adoption	Editorial amendments to the <i>Guidelines on Nutrition Labelling</i>	CAC/GL 2-1985	-	12(ii)
CAC40	Adoption	Editorial amendments to various CCNFSDU standards: flavourings	CODEX STAN 73-1981 CODEX STAN 74-1981 CODEX STAN 156-1987 CAC/GL 8-1991	-	16
Members CCEXEC73 CAC40	Adoption	NRV-R for vitamins D and E and the conversion factors for vitamin E equivalents	CAC/GL 2-1985	5/8 and 8	26 and 28, 36
CCNFSDU39	Discussion	NRV-R for older infants and young children	CAC/GL 2-1985	-	40
CCNFSDU40	Discussion	Proposed draft essential composition and quality factors (section A: follow up formula for older infants); and certain essential composition and quality factors (section B: young children)	CODEX STAN 156-1987	4	125
Members EWG (New Zealand, France and Indonesia) CCNFSDU39	Redrafting	Review of the <i>Standard for Follow-up formula</i> (other sections)	CODEX STAN 156-1987	2/3	122 - 123
EWG (Zimbabwe, South Africa) CCNFSDU39	Redrafting	Proposed draft definition for biofortification	-	2/3	146
EWG Russia, Chile CCNFSDU39	Redrafting	Proposed draft NRV-NCD for EPA and DHA long chain omega-3 fatty acids	CAC/GL 2-1985	2/3	154
EWG (South Africa, Senegal, Uganda) CCNFSDU39	Redrafting	Proposed draft guideline for ready-to-use therapeutic foods (RUTF)	-	2/3	166
CCNFSDU39	Discussion	Claim for "free" of trans fatty acids	-	-	170
EWG (European Union, Russia) CCNFSDU39	Discussion	Mechanism / framework for considering technological justification / consider or confirm technological justification for certain food additives	-	-	178

CCMAS38 CAC40	Advice or endorsement / Adoption	Methods of analysis for provisions in the <i>Standard for infant formula and formulas for special medical purposes intended for infants</i>	CODEX STAN 72- 1981	-	180 - 190
FAO	Request	Consideration of possible Guidance on DIAAS for protein quality assessment	-	-	83, 165

### LIST OF ABBREVIATIONS

AI	Adequate intake
CAC	Codex Alimentarius Commission
CCCF	Codex Committee on Contaminants in Foods
CCEXEC	Executive Committee of the Codex Alimentarius Commission
CCFA	Codex Committee on Food Additives
CCFH	Codex Committee on Food Hygiene
CCNFSDU	Codex Committee on Nutrition and Foods for Special Dietary Uses
CCMAS	Codex Committee on Methods of Analysis and Sampling
CRD	Conference Room Document
DHA	Docosahexaenoic acid
DIAAS	Digestibility indispensable amino acid score
EFSA	European Food Safety Authority
ELISA	Enzyme-linked Immunosorbent assay
EPA	Eicosapentaenoic acid
EU	European Union
EWG	Electronic Working Group
FAO	Food and Agriculture Organization of the United Nations
GUL	Guidance upper level
IDF	International Dairy Federation
INS	International numbering system
IOM	Institute of Medicine (renamed Health and Medicine Division)
ISDI	International Special Dietary Foods Industries
ISO	International Organization for Standardization
JECFA	Joint Expert Committee on Food Additives
JEMNU	FAO/WHO Joint Expert Meetings on Nutrition
LC-PUFA	Long chain-polyunsaturated fatty acids
NUGAG	WHO Nutrition Guidance Expert Advisory Group
NRV-R	Nutrient reference values - requirements
NRV-NCD	Nutrient reference values – non-communicable diseases
PDCAAS	Protein digestibility corrected amino acid score
PER	Protein efficiency ratio
PWG	Physical Working Group
RASB	Recognized authoritative scientific body
RUTF	Ready-to-use therapeutic food
SAM	Severe acute malnutrition
TFA	Trans fatty acid
UN	United Nations
UNICEF	United Nations Children's Fund
UNAIDS	Joint United Nations Programme on HIV/AIDS
WHA	World Health Assembly
WHO	World Health Organization

## INTRODUCTION

1. The thirty-eighth Session of the Codex Committee on Nutrition and Foods for Special Dietary Uses (CCNFSDU) was held in Hamburg, Germany, from 5 to 9 December 2016 at the kind invitation of the Federal Government of Germany. The Session was chaired by Dr Pia Noble, Former Head of Division of Specific Foods, Food Supplements and Food Additives, Federal Ministry of Food and Agriculture of Germany. The Committee was attended by 56 member countries, one member organisation and 38 observer organisations. A list of participants is given in Appendix I.

## OPENING OF THE SESSION

2. Dr. Klaus Heider, Director-General for Food Policy, Product Safety and Innovation, Federal Ministry of Food and Agriculture of Germany, speaking on behalf of Mr Christian Schmidt Federal Minister for Food and Agriculture, welcomed delegates. Dr Heider reviewed the history of the Committee and recalled the outstanding achievements of CCNFSDU over the previous 50 years. Mr Tom Heilandt, Secretary of the Codex Alimentarius Commission also addressed the meeting.
3. To mark the 50<sup>th</sup> anniversary of the Committee, delegates welcomed three former chairs to the meeting: Dr. Horst Drews, Prof. Dr. Arpad Somogyi and Dr. Rolf Großklaus.

### Division of competence<sup>1</sup>

4. The Committee noted the division of competence between the European Union and its Member States, according to paragraph 5, Rule II of the Rules of Procedure of the Codex Alimentarius Commission as presented in CRD1.

### **ADOPTION OF THE AGENDA (Agenda Item 1)**<sup>2</sup>

5. The Committee adopted the Provisional Agenda as its Agenda for the Session and agreed that item 4b would be discussed before item 4a. The Committee also agreed to discuss document CX/NFSDU 16/38/12 (Methods of analysis in the *Standard for Infant Formula and Formulas for Special Medical Purposes Intended for Infants* (CODEX STAN 72-1981)), prepared by the United States of America, under item 11, Other Business and Future Work.

### **Matters Referred to the Committee by the Codex Alimentarius Commission and/or Other Subsidiary Bodies (Agenda Item 2)**<sup>3</sup>

6. The Committee noted that some matters were only for information, that several matters would be considered under other relevant agenda items and took the following decisions:

#### **Consistency of the Risk analysis Texts across relevant Committee**

7. The Committee considered the draft proposal prepared by the Secretariat on the amendment to Section 6 "Selection of risk assessor by CCNFSDU", paragraph 33 of the nutritional risk analysis principles to include JEMNU as a primary source of scientific advice and noted the following comments made by members:
  - Support for the addition of JEMNU to the text as well as various sources for provision of scientific advice;
  - Importance to ensure that the language used in the text is consistent with other related texts on the provision of scientific advice used by other Committees like CCFH, CCCF, CCFA;
  - JEMNU should be the primary source of information and therefore FAO, WHO as well as the second sentence to paragraph 33 should be deleted from the text;
  - The second sentence should be retained to enable consideration of scientific advice from other sources as this would provide flexibility to the Committee;
  - Scientific advice should be protected from conflict of interest and undue influence.
8. The Codex Secretariat clarified that the text was consistent with other risk analysis principles e.g. food hygiene and contaminants in food and feed, and that FAO and WHO would be the first call for scientific advice. She further explained that the second sentence of paragraph 33 provided flexibility. If FAO and WHO were not in a position to provide timely scientific advice then the Committee could consider other sources.
9. The Representative of FAO informed the Committee that FAO and WHO have in place sound and robust

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<sup>1</sup> CRD1

<sup>2</sup> CX/NFSDU 16/38/1

<sup>3</sup> CX/NFSDU 16/38/2, CRD4 (Comments from European Union, Kenya, African Union, IDF and ISDI); CRD14 (Comments from Benin)

policies and procedures that ensure independence as well as addressing the concerns related to undue influence at all stages of delivery of scientific advice to Codex including: call for experts; before and during meetings and impartiality of experts.

10. The Chair underscored the importance of drawing information from other scientific bodies (i.e. RASBs) apart from FAO, WHO and JEMNU that would provide flexibility to the Committee. She also noted the need to have consistent language across the different risk analysis texts and as a result of this some of the proposed amendments were typographical in nature and were intended to provide the required consistency.

#### Other

11. The Committee also noted the existing inconsistencies in sections 3.1 and 3.2 in the *Guidelines on Nutrition Labelling* (CAC/GL 2 -1985) arising out of further amendments to the definition of RASB in section 2.5 during CAC39.

#### **Conclusion**

12. The Committee agreed:
  - i. To forward the proposed amendments to Section 6, Paragraph 33 to the Commission for adoption (Appendix II);
  - ii. That the Codex Secretariat would compile the proposed amendments to section 3.1 and 3.2 of *Guidelines on Nutrition Labelling* (CAC/GL 2 -1985) and forward them to CAC40 for adoption.

#### **Methods of Analysis**

13. The Committee agreed to establish an In-Session Working Group, chaired by the United States of America, to examine: the questions raised by CCMAS on different methods for provisions in the *Standard for Infant Formula and Formulas for Special Medical Purposes Intended for Infants* (CODEXSTAN 72-1981); as well as the proposals in document CX/NFSDU 16/38/12.
14. The Committee further agreed not to include the ELISA G12 method in the *Standard for Foods for Special Dietary Use for Persons Intolerant to Gluten* (CODEX STAN 118-1979) noting that there were no comparability results with R5; and it would be considered at a future date when the results from the ongoing comparability studies by the international Working Group on Prolamin Analysis and Toxicity become available.

#### **Editorial amendment to texts on flavourings**

15. The Committee agreed to the proposals from CCFA on the editorial amendments related to the appropriate use of the term flavourings in the following standards: *Standard for Canned Baby Foods* (CODEX STAN 73-1981); *Standard for Processed Cereal-Based Foods for Infants and Young Children* (CODEX STAN 74-1981); *Standard for Follow-up Formula* (CODEX STAN 156-1987); *Guidelines on Formulated Complementary Foods for Older Infants and Young Children* (CAC/GL 8-1991). The amendments are as indicated in Appendix II.

#### **Conclusion**

16. The Committee agreed to forward the amended texts to CAC40 for adoption.

#### **FAO and WHO policies/strategies/guidelines<sup>4, 5</sup>**

17. The Representative of WHO called the attention of the Committee to the discussions of CCEXEC71 and CAC39 on the relations between FAO and WHO policies/strategies/guidelines and the work of Codex, and noted the increasing reference and request to Codex by the World Health Assembly (WHA) to strengthen its work and call to Member States to use Codex standards/guidelines to protect and promote the health of the population. But in recent years, the reference to Codex and the use of its standards/guidelines had been challenged in the discussions at WHA because Codex standards/guidelines were not always developed ensuring WHO policies and recommendations nor are they in line with WHO guidelines. The Representative noted that CAC39 had proposed that this matter be further discussed at CCEXEC79 in 2017 and finally highlighted the importance of Member Countries and observers of CCNFSDU to give full consideration to this.
18. The Representative of FAO noted that FAO and WHO were making a wide variety of resources available to the Codex Alimentarius Commission and its subsidiary bodies, including its own policy initiatives, scientific advice as well other resources and tools, and encouraged the Committee to make best use of these various resources. He further reminded the Committee that the Commission is an independent organization with a mandate to develop standards that ensure both food safety as well as enabling fair trade practices for all food items. He encouraged the Committee to leverage all resources to ensure their fullest use to fulfil the mandate of Codex for ensuring food safety and fair trade practices for all food items of relevance to the Committee.

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<sup>4</sup> REP16/EXEC, para 113 – 122

<sup>5</sup> REP16/CAC, para 137 – 145

**MATTERS OF INTEREST ARISING FROM FAO AND WHO (Agenda Item 3)<sup>6</sup>**

19. The Representative of FAO drew the attention of the committee to various activities of FAO of interest to CCNFSDU: (1) The International Nutrition Symposium on Sustainable Food Systems for Healthy Diets and Improved Nutrition, that was held in Rome on 1-2 December 2016. (2) The recent declaration by the UN General Assembly of the UN Decade of Action on Nutrition for the years 2016 to 2025, which committed Member States to ten years of sustained and coherent nutrition action. (3) The joint FAO and WHO technical consultation on “Staple crops biofortified with increased micronutrient content for improving vitamin and mineral status in populations” that was convened in April 2016. (4) The recent publication of an FAO Handbook on Food Labelling, which explains the general principles and good practices for food labelling, including international standards for labelling<sup>7</sup>.
20. In response to a request for information on the status of work concerning the definition of biofortification (in order to avoid duplication of work), the Representative of FAO informed the Committee that the technical consultation was ongoing and that FAO/WHO were waiting for CCNFSDU to provide a definition.
21. Referring to the document CX/NFSDU/16/38/3, the Representative of WHO highlighted some of the activities which may be of relevance to the on-going work of the Committee. In particular, she called the attention of the Committee to the resolution ([WHA69.9](#)) on the WHO guidance on ending the inappropriate promotion of foods for infants and young children<sup>8</sup> which clarifies that, in order to protect, promote and support breastfeeding, the marketing of “follow-up formula” and “growing-up milks” - targeted for consumption by infants and young children aged 6 months to 3 years - should be regulated in the same manner as infant formula for 0 to 6-month-olds. She also highlighted: 1) Technical meeting on nutrition labelling for promoting healthy diets held in December 2015, outcomes and evidence reviews of which will contribute to the new work being carried out by CCFL; 2) on-going work of the WHO Nutrition Guidance Expert Advisory Group (NUGAG) Subgroup on Diet and Health on polyunsaturated fatty acids (PUFA), non-sugar sweeteners, carbohydrates (fibre and starch) and dietary patterns; 3) development of nutrient profile models for regulating marketing of food and non-alcoholic beverages to children which will also be adapted for possible use for other applications, such as sales and promotion of foods and beverages in and around schools, taxation and front-of-pack labelling; and 4) on-going work on the development of risk assessment, disclosure and management tools to safeguard against possible conflicts of interest in policy development and implementation of nutrition programmes.
22. The Representative of WHO also informed the Committee of WHO’s initiative on removing sugar-sweetened beverages from sales and services in WHO Headquarters and in some of the Regional Offices, which was launched in October 2016 and also in UNAIDS in November 2016, as part of the “Walk the Talk” initiative through implementing WHO’s policies and guidelines.

**DRAFT NRV-R FOR VITAMIN E (Agenda item 4a)<sup>9</sup>****PROPOSED DRAFT ADDITIONAL OR REVISED NUTRIENT REFERENCE VALUES FOR LABELLING PURPOSES IN THE GUIDELINES ON NUTRITION LABELLING (VITAMIN D AND THE DIETARY EQUIVALENTS AND CONVERSION FACTOR FOR VITAMIN E) (Agenda Item 4b)<sup>10</sup>***Dietary equivalents and conversion factor for Vitamin E*

23. Australia, as chair of the electronic working group (eWG2015), reminded the Committee of the proposal for D- $\alpha$ -tocopherol as the only isomer with vitamin E activity and further drew the attention of the Committee to their comments in CX/NFSDU 16/38/4 which provided an updated review of all available information in RASB reports to identify the units of vitamin E in food used to derive the dietary intakes on which the adequate intakes (AIs) were based. Australia indicated it was worth noting that the equivalency equation had minor impact on estimates of vitamin E intake.
24. Those delegations supporting inclusion of all isomers for vitamin E activity as listed in the FAO/WHO (2004) publication, noted that these isomers, such as tocotrienols, also exhibited vitamin E activity and that these should be given due recognition and not be ignored. An observer was of the view that vitamin E was a complex

<sup>6</sup> CX/NFSDU 16/38/3

<sup>7</sup> Link to download publication: <http://www.fao.org/documents/card/en/c/fc5f4bc2-650a-4704-9162-9eb9b3a1fdd0/>  
<sup>8</sup> [http://apps.who.int/gb/ebwha/pdf\\_files/WHA69/A69\\_7Add1-en.pdf](http://apps.who.int/gb/ebwha/pdf_files/WHA69/A69_7Add1-en.pdf)

<sup>9</sup> CL 2016/19-NFSDU, CX/NFSDU 16.38/4 (comments from Australia, Canada, Chile, Colombia, Costa Rica, Cuba, Dominican Republic, European Union, Ghana, New Zealand, Paraguay, Philippines, Unites of States of America, CEFIC, CRN, ELC, IFT, IADSA and ISDI); CRD 5 (comments from India, Malaysia, Mexico, Peru and African Union), CRD 14 (comments from Benin); CRD16 (comments from Republic of Korea).

<sup>10</sup> REP16/NFSDU, Appendix II, Part III; CX/NFSDU 16/38/5 (comments from Argentina, Brazil, Canada, Costa Rica, Cuba, United States of America, ELC and ISDI); CRD 6 (comments from India, Indonesia, Malaysia, African Union and NHF); CRD 14 (comments from Benin); CRD 16 (comments from Republic of Korea).



of at least eight isomers and if only  $\alpha$ -tocopherol were recognized as vitamin E, Codex would not be in line with nutrition science on vitamin E.

25. Those in support of the identification of  $\alpha$ -tocopherol as vitamin E noted that other isomers, such as tocotrienols, while having vitamin E activity, were at levels of activity which did not meet the principles for establishing NRVs-R.

#### **Conclusion**

26. The Committee agreed to submit 1 mg  $\alpha$ -tocopherol (1mg RRR- $\alpha$ -tocopherol) as the dietary equivalent for vitamin E to CAC40 for adoption at Step 5/8 (Appendix III), noting the reservations of Malaysia and Indonesia to this decision.

#### **NRV-R for Vitamin E**

27. The Committee noted the general support for the NRV-R for vitamin E of 9 mg/day as all recommendations were Adequate Intakes (AIs) and a global value should be established, while those in favour of higher values indicated that the higher value was more in line with the needs of their particular populations, was more scientifically correct, and in line with the European Food Safety Authority (EFSA) opinion.

#### **Conclusion**

28. The Committee agreed to forward the NRV-R for vitamin E of 9 mg/day to CAC40 for adoption at Step 8 (Appendix III), noting the reservation of China to this decision.

#### *NRV-R for Vitamin D*

29. The Committee recalled the interim decision of CCNFSDU37 to retain the NRV-R for vitamin D of 5  $\mu$ g/day and to add a footnote on vitamin D to indicate that competent national or regional authorities should determine an appropriate NRV-R that accounts for population sunlight exposure and other relevant factors.

30. The Committee considered the proposal to revise upward the NRV-R for vitamin D from 5  $\mu$ g/day to either 10 or 15  $\mu$ g/day and a revised footnote to indicate the basis for the NRV-R.

31. The Committee noted the following views expressed on each of the levels:

32. Those in support of 15  $\mu$ g/day noted that it was in line with EFSA and Institute of Medicine (IOM) opinion; that this level was necessary to take into account latitude, cultural practices and use of sun block which limited endogenous, cutaneous vitamin D synthesis in spite of high sunlight exposure; that in some countries, there were vitamin D deficiencies and that levels even higher than 15  $\mu$ g/day were needed.

33. Those in support of 10  $\mu$ g/day in line with the Nordic Nutrition Recommendations 2012 reminded the Committee that the NRV-R was for labelling purposes and not for treatment of deficiencies; and was more appropriate. In addition to labelling values, NRVs can also be used as a guide for setting fortification levels.

34. Those delegations supporting retention of the current NRV-R of 5  $\mu$ g/day, indicated that due to the high exposure to sunlight in their countries, such an increase was not necessary. The footnote as agreed at CCNFSDU37 would still enable countries to set their own NRVs-R depending on their national or regional situation.

35. The Committee, noting a lack of consensus, then considered a proposal for a range from 5 – 15  $\mu$ g/day, while retaining a revised footnote: *the value of 15  $\mu$ g is based on minimal sunlight exposure throughout the year. Competent national and/or regional authorities should determine an appropriate NRV-R that best accounts for population sunlight exposure and other relevant factors.*

#### **Conclusion**

36. The Committee agreed to submit the NRV-R for vitamin D for a range from 5 – 15  $\mu$ g/day with the footnote as mentioned above for adoption by CAC40 at Step 5/8 (Appendix III).

#### **NRV-R FOR OLDER INFANTS AND YOUNG CHILDREN (Agenda item 4c)<sup>11</sup>**

37. The chair introduced the item and recalled the decision of the last session of the Committee as outlined in REP16/NFSDU, para. 51.

38. The Committee considered the following options:

- continue work through an eWG with the terms of reference as agreed at CCNFSDU37;
- postpone discussion; or

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<sup>11</sup> REP16/NFSDU, para.51

- discontinue work.

39. While there was interest to continue work through an eWG, it was not possible to find co-chairs to assist those countries who expressed interest in leading this extensive work.

### Conclusion

40. The Committee agreed to postpone discussion until the next session of the Committee.

### REVIEW OF THE STANDARD FOR FOLLOW-UP FORMULA (CODEX STAN 156-1987) (Agenda Item 5)<sup>12</sup>

41. The Chair of the electronic working group (eWG) New Zealand, speaking on behalf of the co-Chairs France and Indonesia, introduced the item and briefly outlined the work undertaken.

#### Essential Composition of Follow-up Formula (FUF) for older infants (6-12 months)

42. The Chair of the eWG recalled that the essential compositional requirements for follow-up formula for older infants aged 6-12 month still to be finalised included: protein, vitamin K, vitamin C, zinc, DHA and L(+) lactic acid producing cultures.

43. The Committee considered the recommendations of the eWG and made the following decisions and comments.

#### Protein

44. The Committee agreed a maximum value of 3.0 g/100 kcal although China expressed a preference for a level of 3.5 g/100 kcal;

45. The EU agreed to accept a value of 3.0 g/100 kcal, taking into account the limited evidence upon which to clearly determine a maximum level.

46. The Committee agreed to postpone the decision on a minimum level until the next session, also mindful that an EFSA opinion was expected by April 2017 assessing a level of 1.61 g/100 kcal.

#### Footnote 2 – nitrogen conversion factor for soy products

47. The Chair of the eWG informed the Committee that CCMAS had been unable to provide guidance on this matter.

48. The Representative of FAO reminded the Committee that all methods that relied on the total nitrogen determination for an estimate of the protein concentration were approximations in nature. The determination of the true protein content and/or the protein content with a view on relevance to human nutrition was not possible through a simple conversion from nitrogen to protein.

49. He added that given the importance of protein for human nutrition and for the valuation of food sources, a change of the established conversion factor was likely to have major impact on the evaluation of agricultural products as well as on product formulation, product labelling and potentially dietary recommendations regarding all products containing the protein source for which the conversion factor was modified.

50. In conclusion, he mentioned that if such an undertaking were to be considered for soybeans, the Committee should consider whether a similar argument might be true for other food categories and trigger the need to review all conversion factors (dairy, meat, fish (already ongoing at FAO fisheries), other vegetables such as beans and pulses, etc.).

51. An observer referring to CRD 4, called for an expert panel and requested to leave the footnote 2 as is until advice from this expert panel is received.

52. The Committee:

- agreed on the wording for footnote 2 as amended;
- agreed on the wording of footnotes 3, 4 and 5;
- agreed to further discuss the wording of footnote 6 for clinical evaluation of formula based on non-hydrolysed milk protein at protein levels of 1.6 – 1.8 g/100 kcal and the need for clinical evaluation of formula based on hydrolysed protein as there was currently no consensus.

#### Vitamin K: minimum requirements

<sup>12</sup> CX/NFSDU 16/38/6; CX/NFSDU 16/38/6 Add.1 (comments from Argentina, Brazil, Canada, Colombia, Costa Rica, Nepal, New Zealand, Norway, Philippines, United States of America, AOCS, CEFS, ELC, ENSA, ENSA/EUVEPRO, HKI, IBFAN, IDF and ISDI) and Add.2 (comments from Ecuador, European Union, Malaysia, Thailand, Vietnam and IFT); CRD 2, 13 and 17 – Report of the Physical Working Group, CRD 3 (comments from India, Indonesia, Kenya, Nigeria, African Union); (CRD14 (comments from Benin); CRD15 (comments from Chile, Mexico, ESPHGAN).

53. The Committee agreed to a value of 4µg/100 kcal.

**Vitamin C: minimum requirements**

54. The Committee agreed to a value of 10mg/100 kcal.
55. The EU and Norway indicated that they could accept the levels agreed by the Committee for both vitamins K and C in the spirit of compromise, and taking into account the global nature of Codex standards, despite their preference for a value of 1 µg/100 kcal (vitamin K) and 4 mg/100 kcal (vitamin C) – as recommended by EFSA based on infants' requirements.

**Zinc: guidance upper level (GUL)**

56. The Committee agreed on a GUL of 1.5 mg/100 kcal and to delete the maximum value from footnote 20.
57. The EU and Brazil indicated that they could accept the levels agreed by the Committee for zinc, in the spirit of compromise, despite a preference for 1.0 mg/100 kcal. The EU and Norway stated that a GUL of 1.5 mg/100 kcal could lead to an excessive intake of zinc and so constituted a safety risk.

**Docosahexanoic acid (DHA)**

58. The Committee agreed:
- i. to set a minimum content in a footnote if DHA is added as an optional ingredient;
  - ii. to further consider the levels for DHA based on total energy density instead of as a percentage of total fat.

**Optional addition: L (+) lactic acid producing cultures**

59. It was outlined that lactic acid producing cultures should not be added unless the safety and suitability is demonstrated in order to avoid any health risk.
60. Norway was of the view that the safety and suitability of the use of probiotics in formula had not to date been fully demonstrated..
61. Concerns were also expressed that a number of issues had not yet been addressed including risks to those who were immuno-compromised; possible metabolic syndromes that could appear; possible excessive stimulation of the immune system, and the transfer of resistant bacteria.
62. Other risks including inadequate practices for preparing the product and lack of knowledge on how the products may be marketed were also mentioned.
63. In terms of the technological use of L (+) lactic acid producing cultures for the purpose of producing acidified follow-up formula, it was noted that the final formula should not contain significant amounts of viable L (+) lactic acid producing cultures. The safety and suitability of the addition of L (+) lactic acid producing cultures for particular beneficial physiological effects must be demonstrated by clinical evaluation and generally accepted scientific evidence for the particular strain used. The text was redrafted to reflect these issues.

**Framework for the essential composition of follow-up formula<sup>13</sup> for young children (12-36 months)**

64. The Chair of the physical working group (pWG) New Zealand, introduced the item and highlighted the conclusions of the pWG as presented in CRD2.

**Section 4: Framework for the Essential Composition of follow-up formula for Young Children**

65. The Chair of the pWG recalled the previous decision of the Committee to review the compositional requirements for follow-up formula with a point of differentiation at 12 months. Section A of the proposed framework referred to the essential composition and labelling of follow-up formula for older infants, whilst Section B dealt with the essential composition and labelling of the product for young children.
66. In the general discussion, the following views were expressed:
- Section A (older infants) could be incorporated into the *Standard for Infant Formula and Formulas for Special Medical Purposes Intended for Infants* and the current separation in Section A and Section B could be revised once the definitions of the products had been agreed.
  - The product for 12-36 months should not be called "follow-up formula". The current composition under discussion potentially makes the product unsuitable for feeding children less than 12 months and having the same name may cause confusion. This term can create confusion as it combines infants and young children under a single heading. Section A and Section B could become two separate standards.

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<sup>13</sup> Note: the name of the product has not yet been decided and will be further discussed in the EWG.

- There is concern with the multiplicity of standards and consideration should be given to have instead a single standard.
- Policy coherence with appropriate reference to WHA resolutions and WHO guidelines should be taken into consideration.

67. In response to concerns that agreement had already been reached on the future form of the standard, the Codex Secretariat noted that it was possible to keep the matter open on the final structure of the standard. Options could include one standard in two parts, two separate standards, or merged with other standards.

68. The Committee supported this position and recognised that it would be possible to see levels of commonality between product ranges as progress was made on the detail of the standard. Continuing to work on an A/B format for the moment would assist the Committee in gaining an understanding of what work could be completed the following year.

69. The Committee agreed on the proposed framework.

#### **Principles for mandatory addition**

70. The Chair of the eWG outlined the approach as to what would be captured in the mandatory composition and how to structure and implement the essential composition (section 3.1.4 of the draft standard). The approach taken to determine the mandatory requirements for the essential composition of follow-up formula for young children was based on the agreements in 2015 and in previous eWGs that a standard for a product for 12-36 months of age needed to be:

- flexible in the composition to address key nutrients of concern which may vary regionally;
- less prescriptive, as follow-up formula for young children does not need to contain the full range of nutrients that are mandated for addition to follow-up formula for older infants;
- however, consistent with compositional parameters for follow-up formula for older infants (where possible); contain the key nutrients of global concern in the diets of young children, as well as the key nutrients in cows' milk; and maintain nutritional integrity.

71. This approach was elaborated in the eWG to develop principles to underpin the selection of nutrients for the mandatory essential composition of follow up formula for young children. It was noted that these were working principles only and would not appear in the standard but would be captured in the report of the current meeting.

#### **Principles for selecting which nutrients must be mandatory**

72. The Committee considered the amended principles as follows:

Evidence to support:

1. contribution to the nutritional needs of young children where the consumption of the nutrient is widely inadequate; and/or
2. contribution of adequate amounts of key nutrients from milk, and if appropriate breast milk, where such nutrients are key contributors to the diet of young children; and/or
3. the nutritional quality and integrity of product to ensure nutritional safety.

73. It was noted that breastmilk, formulas for infants and milk were all suitable for this age group. Therefore any levels specified in this standard would need to accommodate these foods.

74. In discussing and amending the text, delegates made the following observations:

- The Committee had initially agreed to a limited list of mandatory components, however that list was increasing. It may therefore be more appropriate to modify the text, to take into account those parts of the world where there is no concern, or high concern for a particular component.
- The initial intention was a small core composition. That core has subsequently been added to with almost every nutrient. The list can be revisited to see if all are core components or if some can be optional.
- If the Committee leaves all decisions to national authorities, then it will never reach the Codex goal of an international reference standard.
- There is concern that not all countries will be able to set levels for nutrients at the national level. Codex should set minimum/maximum levels so that countries have a guide.
- The text should stress the importance of breastfeeding.

- There is a risk of expanding trade to developing countries that do not want the product. If core mandatory components are reduced, then unsuitable nutrients might be added for which claims might be made.
- Key principles of Codex to ensure protecting the health of consumers and fair practices in food trade should be followed.
- The Committee should work on a harmonised product with core common agreements and not lose sight of the goal of achieving a product similar to breast milk.

75. The Committee agreed to the principles as amended (para. 72).

#### **Framework for Optional Addition**

76. The Committee discussed a revised proposed wording for section 3.2 of the draft standard.
77. Senegal with support from Togo raised concerns that it was not possible to quantify optional compositional requirements when exact levels for these substances had not been indicated.
78. A preference was expressed for a principle-based approach rather than inclusion of any nutrients in a list. It was further stated that additions should be chosen from the essential composition of follow-up formula for older infants. This view was based on the recommendations by EFSA that formula consumed during the first year can continue to be used by young children. It was noted that this option would provide more guidance, and, to a greater extent, ensure that follow-up formula for young children were safe.
79. The Committee agreed on the proposed text for section 3.2.3 as amended.

#### **Energy density**

80. The Committee agreed on the proposed text for section 3.1.2.

#### **Energy contribution from macronutrients**

81. The Committee:
- i. agreed to set maximum levels for available carbohydrate and minimum levels for protein and fat;
  - ii. agreed to set a minimum level for protein of 1.8 g/100 kcal;
  - iii. noted that levels for available carbohydrate that were considered included values of 12, 12.5 and 14 g/100 kcal;
  - iv. noted that levels for fat that were considered included 3.5, 4.0 and 4.4 g/100 kcal;
  - v. agreed that no minimum level would be set for carbohydrate and no maximum levels for protein and fat;
  - vi. noted that the information in CRD17 could serve as a guide for further discussions on these levels to further consider specific levels for maximum carbohydrate and minimum fat at the next session.

#### **Protein quality**

82. There was widespread support to establish protein quality requirements. In discussing the need to include minimum protein quality requirements the following views were expressed:
- It was stated that there was no need for a level of protein quality if the definition included reference to suitable ingredients (as referenced in 3.1.1 of section B).
  - If the Committee wished to set a value of not less than 85% of casein, then questions arose if it applied only to the Protein Efficiency Ratio (PER) method and/or the Protein Digestibility Corrected Amino Acid Score (PDCAAS).
  - Reference to a certain quality level of protein should be maintained.
  - There would be a concern that other plant base proteins may not be of appropriate quality to support growth if this requirement were removed.
83. In response to a question on the use of DIAAS (Digestible Indispensable Amino Acid Score), the Representative of FAO clarified that the DIAAS method for protein quality assessment was not yet ready. He advised that for an interim period the PDCAAS method should be used. FAO would consider convening an expert consultation to provide guidelines.
84. The Committee agreed that the quality of protein shall not be less than 85% of that of casein and agreed to the proposed text on methods to determine protein quality.

#### **Quality of Dietary Fat**

85. The Committee agreed to include a mandatory requirement for  $\alpha$ -linolenic acid as proposed by the pWG

(50 mg/100 kcal) and the mandatory requirement for linoleic acid at 300 mg/100 kcal.

86. The EU stated that they were not aware of any deficiency of linoleic acid in the EU. However as this is a health concern in other regions they agreed to include and accept the proposed level on the understanding that the statement in section 3.1.4. applies.

#### **Commercially Hydrogenated oils**

87. The Committee agreed that partially hydrogenated oils and fats should not be used due to health concerns regarding trans-fatty acids.

#### **Types of carbohydrates**

88. The Chair of the pWG explained that the issue related to a footnote to specify suitable carbohydrates to be used in product for young children.
89. The Committee agreed that lactose should be the preferred type of carbohydrate and that the reference to gluten-free precooked and/or gelatinised starches could be removed due to diversity of the young child's diet.
90. The Committee agreed to continue discussing the limits on sugars as it was not yet possible to reach consensus on the maximum level for sugars as a percentage of available carbohydrates until a decision has been taken on the maximum level for carbohydrates (see para 81) and on a wording regarding limiting carbohydrates that contribute to the sweet taste.

#### **Iron and vitamin C levels**

91. The Committee agreed to the recommendation of the pWG.
92. The EU agreed to accept the proposed levels (due to possible health concerns in other regions) on the understanding that the statement in section 3.1.4. applies.

#### **Calcium, riboflavin and vitamin B12 levels**

93. Some Members supported including a calcium to phosphorus ratio for nutritional integrity and to retain a nutritionally balanced product.
94. The Committee agreed to the recommendation of the pWG for the minimum, maximum and GUL values for calcium, riboflavin and vitamin B12 and to discuss further the calcium: phosphorous ratio.
95. The EU agreed to accept the proposed levels (due to possible health concerns in other regions) on the understanding that the statement in section 3.1.4. applies.

#### **Zinc**

96. The Chair of the pWG reported widespread support that zinc should be included as a mandatory nutrient as it met the amended principle 1 and was widely inadequate in the diets of young children. This view was not supported by the EU as it was not deemed to meet any of the principles for mandatory addition. It was stated that zinc inadequacy was not an issue in Europe, and therefore not a global issue; nor was cows' milk a significant contributor of zinc in the diet.
97. The Committee agreed to a Guidance Upper Level (GUL) of 1.5 mg /100 kcal.

#### **Vitamin A**

98. The Chair of the pWG reported widespread support that vitamin A should be included as a mandatory nutrient as it met the amended principle 1 and was widely inadequate in the diets of young children.
99. In discussion, the following views were expressed:
- There was originally agreement to establish a smaller number of core nutrients and then consider additional ones. There is a problem with mandatory addition.
  - Milk is a significant source of vitamin A. Taking min/max values of 48-75 µg RE/100 kcal would be safer.
  - The maximum level proposed is that of CODEX STAN 72-1981 and it is therefore appropriate to keep the maximum level at 180 µg RE/100 kcal.
  - Codex standards are used by countries to develop their health systems and programmes. These countries do require levels as they may not have the resources to determine their own levels as this would require data collection.
  - Fortification would have to be supported by a rationale of the targeted audience and reduce the concern of over consumption.
  - There are no toxicological problems that are applicable to this age group.

100. Norway expressed their concern that the value of 180 µg RE/100 kcal was too high and that those in the 12-36 months age range received vitamin A from a progressively diversified diet. They proposed a value of 120 µg RE/100 kcal (an average taken from full fat milk and 180 µg RE/100 kcal from infant formula) which was also in line with EFSA advice and higher than the breast milk level of 85 µg RE/100 kcal. The EU also shared this concern.
101. The Committee agreed to the text and the values for vitamin A as proposed by the pWG.
102. The EU and Norway expressed their reservation to this decision.

#### **Vitamin D**

103. The Committee agreed to continue discussing these values.

#### **Sodium**

104. The Committee agreed not to set any values but to state that “*Sodium chloride should not be added to [name of the product] for young children*”.

#### **Scope**

105. There was widespread support to differentiate the two products in the scope and labelling sections (and throughout the document) between *older infants* and then *younger children*, adopting the same approach as that for compositional requirements.
106. There was also very broad support to include references to the *International Code of Marketing of Breast-milk Substitutes* (1981), the *Global Strategy for Infant and Young Child Feeding* and all relevant World Health Assembly resolutions and WHO guidelines in the scope of the draft Standard. These included WHA 39.28, WHA 63.23 and WHA 69.9.
107. Members and Observer organizations also underlined the importance of aligning the scope of this draft standard with that of the *Standard for Infant Formula and formulas for Special Medical Purposes Intended for Infants*.
108. The Committee discussed the alternatives and relative advantages of including relevant WHO guidelines and WHA resolutions in the scope of the standard or either as a preamble or introduction.
109. The Codex Secretariat, in response to the question of the status of the preamble or introduction, clarified that from a legal point of view everything that was written in the standard was an integral part of the standard. She reminded the Committee that it should also consider the requirements of the *Format for Codex Commodity Standards* (Procedural Manual) when developing this text and that the scope should contain a clear and concise statement.
110. The Representative of WHO supported the proposal to use the contents of the scope from the *Standard for Infant Formula and formulas for Special Medical Purposes Intended for Infants* (CODEX STAN 72-1981) which include references to the *International Code of the Marketing of Breast-milk Substitutes* and relevant WHA resolutions, but the reference to WHA resolutions should be expanded to include recent relevant WHA resolutions, including 69.9.
111. In response to the question raised regarding whether FUF for young children is considered as a breast milk substitute, the Representative of WHO stated that in accordance with the new WHO Guidance on ending the inappropriate promotion of foods for infants and young children from 6 to 36 months of age (which had been accepted by Member States through adoption of resolution WHA69.9), both products for older infants (6 to 12 months) and young children (12 to 36 months) are considered as breast-milk substitutes and therefore, they will be covered by the *International Code of Marketing of Breast-milk Substitutes*.
112. This statement was supported by India and other delegations and observers.
113. The Committee agreed that:
- i. the scope from the *Standard for Infant Formula and formulas for Special Medical Purposes Intended for Infants* should be the starting point for this standard;
  - ii. the reference to relevant WHO guidelines and WHA resolutions could either be included in a preamble to the standard or in the scope;
  - iii. all remaining matters could be considered in the eWG.

#### **Labelling**

114. The Chair of the eWG noted that the section of the standard regarding older infants could be aligned with the infant formula standard but raised the question of labelling in the standard for young children.
115. There was widespread support for differentiating between the two age groups with appropriate labelling for

each. It was also noted the importance of differentiating between products that are nutritionally appropriate and those products that are not substitutes for breast-milk.

116. It was noted that the issue of whether the products should be considered breast-milk substitutes or not would be considered by the eWG.
117. In response to the concern raised about the current language contained in section 9.6, stating that the products covered by the standard are not a breast milk substitute, the Representative of WHO stated that as the products currently under consideration for inclusion in the standard are considered as breast milk substitutes in the new WHO Guidance, they are therefore covered by the *International Code of Marketing of Breast-milk Substitutes* and their labelling requirements and promotion must be informed by relevant Code provisions and resolutions, and by relevant Guidance recommendations. Language to this effect should be added to the section on labelling. This would ensure consistency with the proposed statements under the scope (or preamble) of the standard referencing the Code and relevant resolutions.
118. It was requested that the eWG also examine the promotional aspect as well as misleading claims, especially misleading health claims.
119. Observer organisations noted the need to clearly state that the products should not be used for younger infants as there was a risk of inadequate nutritional input. They also stated there should be a statement that the products were not necessary and a positive message about continued breast feeding.
120. In response to a question as to whether Codex standards also extended to promotional practices, the Secretariat clarified, that while Codex could deal with issues of advertising it did not have specific guidelines for marketing. Any labelling conditions would be referred to CCFL and a possible solution could be to refer to the WHO guidelines and WHA resolutions in the preamble to the standard.
121. India requested the Committee to include the WHA resolutions 54.2 and 69.9 in the labelling of the draft standard on follow-up formula for older infants and young children.

### Conclusion

122. The Committee agreed to establish an eWG, hosted by New Zealand and co-hosted by France and Indonesia, working in English with the following terms of reference:
  - i. Finalise the minimum protein requirements and levels for the optional addition of DHA on the Essential Composition of Follow-up Formula for older infants (6-12 months) (Sub-section 3 of Section A);
  - ii. Finalise the outstanding requirements for the Essential Composition of product for young children (12-36 months) (Sub-section 3 of Section B);
  - iii. Finalise the product definitions contained within Definition 2.1 including the name of product for 12-36 months;
  - iv. Review the Scope and Labelling Sections with a point of differentiation at 12 months, for Section A and Section B of the draft Standard based on the discussions at CCNFSDU38, and propose draft text.
123. The points for further discussion and consideration as indicated in Appendix IV will be circulated for comments at Step 3 and forwarded to the eWG as a starting point for their discussion.
124. The eWG will consider working via the online platform currently being used for eWGs and will report back to the Committee at its next session.
125. All other requirements on which agreement has been reached will be held at Step 4 (Appendix IV).
126. Subject to the outcome of the eWG, consideration will be given to convening a pWG chaired by New Zealand and co-chaired by France and Indonesia prior to the next session.
127. The proposed timeline for the development of the draft standard would be: adoption at Step 5 in 2018 with a view to adoption by CAC in July 2019. The CCEXEC would be informed accordingly.

### PROPOSED DRAFT DEFINITION FOR BIOFORTIFICATION (Agenda Item 6)<sup>14</sup>

128. Zimbabwe, as the co-Chair of the eWG, introduced document CX NFSDU 16/38/8 and noted that the eWG had revised the nine criteria to 6 (six); and based on these, a draft definition had been developed. Accordingly the eWG made five recommendations for consideration by CCNFSDU.

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<sup>14</sup> CX/NFSDU 16/38/7; CX/NFSDU 16/38/7 Add.1 (comments from Australia, Brazil, Canada, Costa Rica, Cuba, El Salvador, Guatemala, New Zealand, Nicaragua, Panama, Paraguay, Philippines, ICBA, ICGMA, IFPRI and IFT); CX/NFSDU 16/38/7 Add.2 (comments from Ghana, Malaysia, Mexico, United States of America, FoodDrinkEurope and IBFAN); CRD 7 (comments from Ecuador, European Union, India, Nigeria, Peru, Thailand and African Union); CRD 14 (comments from Benin).



129. The Chairperson proposed to the Committee to first discuss recommendation 1 (Criteria) and recommendation 2 (the definition for biofortification) before considering other recommendations.

### General Comments

130. The Committee noted the following general comments made by delegations:
- The scope of the draft definition was too large; covered many different processes, including modern biotechnology (GMOs); and there was no clarity on what exactly it would cover; and the use of such a definition as a claim was of great concern, due to the potential risk of its misuse and misleading consumers.
  - Issues related to biofortification could be better addressed through use of existing Codex Standards instead of by establishing a definition. The definition of biofortification was considered to be an important concept for the academic world rather than for Codex.
  - The definition should focus on the meaning of biofortification and exclude its purpose.
  - The definition should be broad; cover pre-processing aspects of food production; and should ensure that safe food is secured for the population.
  - The background paper on biofortification by FAO and the Cochrane review by WHO should be taken into account.
  - Concern was expressed about a single nutrient approach rather than promotion of diversified diets.
  - In several countries the term biofortification would be difficult to use because of its close connotation with organic agriculture.
131. An observer informed the Committee about some aspects of their genetic selection programme which starts with the Svalbard Global Seed Vault. This selection is then followed by conventional breeding for high micronutrient content in staple food crops.
132. The Representative of FAO clarified that the FAO background paper on “Biofortification: A food-based approach for improving micronutrient intake” would provide information on the biofortification process, as part of a broader portfolio of food-based approaches to prevent micronutrient deficiencies. However, and as indicated in para. 20, the report expects CCNFSDU to provide a definition.
133. The Chairperson clarified that CCNFSDU<sup>15</sup> had decided that the definition would be broad enough to cover the various organisms and methods of biofortification and sufficiently detailed to distinguish between them.

### Recommendation 1 (Criteria)

134. The Committee considered all the six criteria in general, proposed changes and made the following specific comments:

#### Criterion 1

135. Animal feed and fertilisers should be excluded from this criterion as well as methods of production as they are considered under criterion 6.

#### Criterion 2

136. This criterion should not only cover essential nutrients but all nutrients (micro and macro) as defined in the *Guidelines on Nutrition Labelling (CAC/GL 2-1985)*.

#### Criterion 3

137. This criterion is directly linked to nutrient bioavailability rather than level of nutrient absorption – a term that is already covered in the *Nutritional Risk Analysis Principles and Guidelines for Application to the Work of CCNFSDU*. Increased absorption would be difficult to measure and enforce.

#### Criterion 4

138. The general purpose should be the goal of improved nutritional quality for human health.

#### Criteria 5

139. There should be a significant increase in nutrient levels beyond the normal variation.
140. It was noted that it would not always be possible to have consistent nutrient levels because of natural variation.
141. Measurable levels of nutrients were directly linked to nutritional quality of food. The improvement could be made by either increasing the nutrient (e.g. zinc) or decreasing the anti-nutrient (e.g. phytate). Thus

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<sup>15</sup> REP15/NFSDU para 163

measurement of suitable change may require measure in food or in the consumer (i.e. bioavailability).

142. The increased levels of nutrients in biofortified food should be significant (or higher) than the natural variation when compared to non-biofortified food. The criterion should be clarified further to indicate that the increase in nutrient levels was in the food.

#### Criterion 6

143. There is need to further discuss this criterion especially: coverage (prior to processing); methods of production which should be carefully defined and harmonised; the role of Competent Authorities, and how to avoid potential trade restrictions that could arise from production methods.
144. Food processing, and addition of essential nutrients to food during normal processing should be excluded from this criterion as this type of addition is covered by *General Principles for the Addition of Essential Nutrients to Foods* (CAC/GL 9-1987).

#### Other proposals

145. One Observer noted the need to establish a new criterion that would ensure that food was not produced using unsafe technologies and that such a criterion would require an independent and rigorous evaluation of such food.

#### **Conclusion**

146. The Committee noted that there was need for further discussion on some of the criteria especially criterion 6 (Methods of production and its corresponding footnote) and agreed to:
- i. re-establish an eWG hosted by Zimbabwe, and co-hosted by South Africa and working in English only to revise the criteria on the basis of the discussion at the session and the written comments submitted to the session, and to further develop the definition on biofortification for consideration its next session;
  - ii. revise the timelines for completion of the work to 2018 by CCNFSDU and adoption by the Commission in 2019, and accordingly inform CCEXEC.
147. The Committee agreed to consider recommendations 3-5 at the next session.

#### **PROPOSED DRAFT NRV-NCD for EPA and DHA LONG CHAIN OMEGA-3 FATTY ACIDS (Agenda item 7)<sup>16</sup>**

148. The Russian Federation, as co-chair of the eWG speaking on behalf of the co-chair, Chile, introduced the item and presented the results of the eWG.
149. The co-Chair reported that:
- in the eWG discussion, a number of member countries continued to question if EPA and DHA were the right nutrients for an NRV-NCD considering that the relation with cardiovascular health was not well characterized.
  - at the request of some member countries, the co-chairs had reviewed the strength of evidence presented in 13 recent systematic reviews and meta-analyses relevant to the PICO question, formulated in line with WHO methodology, under the GRADE classification; and
  - 22 scientific and expert organisations were proposed by members and shortlisted as listed in CX/NFSDU 16/38/8. In selecting RASBs, the eWG expressed different views on the RASB selection, which originated from different interpretations of 3.1.2 of the General Principles for Establishing Nutrient Reference Values for General Population (Annex to the *Guidelines on Nutrition Labelling* (CAC/GL 2-1985).
150. Based on all the evidence a proposal for an NRV-NCD of 250 mg/day was proposed.
151. The Representative of WHO informed the Committee of the status of the systematic reviews being carried out on polyunsaturated fatty acids (PUFA) as part of the guideline development by the NUGAG Subgroup on Diet and Health. The critical and important health outcomes identified for PUFA reviews for adults include cardiovascular mortality, cardiovascular events, coronary heart disease (including lipids), stroke, all-cause mortality, neuro-cognition (including dementia), type 2 diabetes, depression, breast cancer, atrial fibrillation, inflammatory bowel disease and measures of adiposity. The NUGAG meeting held three weeks ago reviewed the preliminary outcomes of the systematic reviews and the analysis of RCTs on n-3 LC-PUFA in adults, suggested no effects on cardiovascular events and mortality. Regarding other critical and important health

<sup>16</sup> CX/NFSDU 16/38/8; CX/NFSDU 16/38/8 Add.1 (comments from Canada, Colombia, Cuba, Ghana, Mexico, New Zealand, Paraguay, Philippines, CRN, ELC, GOED, IADSA, ICGMA and ISDI); CX/NFSDU 16/38/8 Add.2 (comments from Brazil, Costa Rica, Japan and the United States of America); CRD 8 (comments from Ecuador, European Union, Peru, Thailand and African Union); CRD14 (comments from Benin).

outcomes, the systematic reviews seemed to indicate no effect on any outcomes other than a small non-significant increase in HDL and decrease in triglycerides. An initial analysis of some cohort studies which reviewed fish oil and food sources with n-3 LC-PUFA as exposure seemed to suggest a non-significant decrease in all-cause mortality. The systematic reviews of both RCTs and cohort studies are currently being finalised and planned for completion in April 2017.

152. The representative further offered to present the final outcomes of the systematic reviews and analysis of NUGAG in a side-event at CCFNSDU39.

### **Conclusion**

153. In view of the decision of CCFNSDU37 for the need to take into account the work of NUGAG, the Committee agreed to defer discussion until the next session. In addition it was agreed that a discussion would be held at the next session on the interpretation of 3.1.2 of the *General Principles for Establishing Nutrient Reference Values for General Population*.
154. The Committee agreed to re-establish the eWG, hosted by Russia and Chile, working in English to take into account the final report of NUGAG and to make recommendations for an NRV-NCD for consideration by CCFNSDU at the next session.
155. The Committee agreed to a new timeline for completion of the work by 2018 and to inform the CCEXEC accordingly.

### **PROPOSED DRAFT GUIDELINE FOR READY-TO-USE THERAPEUTIC FOODS (Agenda item 8)<sup>17</sup>**

156. South Africa as chair of the eWG, speaking on behalf of the co-Chairs Senegal and Uganda, introduced the item. He reviewed the process followed by the eWG and presented the Committee with a series of recommendations for their consideration.

#### **Recommendation 1 - Purpose**

157. The Committee agreed on the wording and outline structure of the purpose of the guideline.

#### **Recommendation 2 – Scope**

158. Discussion focussed primarily on the targeted age range for the guideline of 6-59 months. Members and Observers noted that while it was true that ready-to-use therapeutic foods (RUTF) were given to other age groups, the primary focus for treating severe acute malnutrition (SAM) was on the stated range of 6-59 months and this should remain the priority. Developing a guideline with a more open age range would make it more difficult to set a definition of SAM or the compositional and nutritional requirements.
159. Regarding the question on the age limitation of 6–59 months, the Representative of WHO stated that WHO guidelines and other related documents use the age range of 6–59 months, but the definition of RUTF in the 2007 Joint Statement states “children from the age of six months”, as noted by an observer. The Representative confirmed this was not a contradiction as RUTF were also used by older children (or even by adults who are severely malnourished) and as mentioned by UNICEF, the dose of RUTF is adjusted according to the body weight of the child under treatment.
160. It was noted that a preamble or introduction to the guideline could be another option for the eWG when working on the development of the text relating to appropriate use.
161. Other suggestions included use of a preamble to state the importance of integration of RUTF into sustainable local family based solutions and breastfeeding from 6 months. A reference to the *Code of Ethics for International Trade in Food including Concessional and Food Aid Transactions* (CAC/RCP 20-1979) could be made.
162. The Secretariat noted that an introduction or preamble could set the scene for the guideline and the eWG should try and expand on this aspect and then reference how the guideline should be used.
163. The Committee agreed to the recommendation for scope and to task the eWG with elaborating an introduction or preamble for discussion at the next meeting.

#### **Recommendation 4 - food additives and 12b - contaminants**

164. The Committee agreed that the eWG should discuss raw materials and ingredients before deciding which other Codex committees may have to be consulted.

<sup>17</sup> CX/NFSDU 16/38/9; CX/NFSDU 16/38/9 Add 1 (comments from Brazil, Canada, Colombia, Cuba, Ecuador, El Salvador, Paraguay, Philippines, ELC, HKI, IACFO, IBFAN, IDF, ISDI and UNICEF); CX/NFSDU 16/38/9 Add.2 (comments from Ghana, Japan and United States of America); CRD 9 (Comments from Ecuador, El Salvador, European Union, India, Kenya, Mexico, Nigeria, Thailand, African Union and FEDIOL); CRD 14 (comments from Benin).

**Recommendation 11 - quality of protein**

165. The Representative of FAO confirmed that in the interim the PDCAAS method should be used as DIAAS was not yet completed. The RUTF would be added to the terms of reference of the guidelines in using PDCAAS methods as referenced in para 83 so that a guideline could be produced in the shortest possible time.

**Conclusion**

166. The Committee agreed to establish an eWG, hosted by South Africa and co-hosted by Senegal and Uganda and working in English and French to continue to develop the proposed guideline for circulation for comments at Step 3 and consideration at the next session.

**DISCUSSION PAPER ON CLAIM FOR “FREE” OF TRANS FATTY ACIDS (Agenda Item 9)<sup>18</sup>**

167. Canada introduced document CX/NFSDU 16/38/10, and informed the Committee that CCFSDU36 had agreed to wait for the outcome of the NUGAG report and also to take into account the reply from CCMAS before the claim from free of Trans Fatty Acids (TFA) could be further considered. Based on advice from CCMAS and the latest scientific information from WHO, the discussion paper had been revised and a new proposal made. A value of 1 g of TFA per 100 g of fat was proposed. Canada also stated that according to the two WHO systematic reviews, trans fatty acids and saturated fatty acids were both reported to have an effect on the blood lipid profile and, therefore, the conditions for the claim of free of saturated fats should be kept as part of a claim on free of TFA.
168. On the methods of analysis for TFA, Canada noted that comments made at CCFSDU36 and CCMAS36 that “the methods of analysis for determining TFAs should be practical and internationally accepted as well as being reliable and consistently reproducible” were valid. Based on these comments, three options were now available for recommendation to CCMAS depending on the food matrix.
169. One delegation while supporting the three options, expressed a concern that the determination of TFA using the proposed methods was rather complex and some countries did not have the required resources. Many developing countries, especially in the Near East and South East Asia where TFA consumption is high, required support in the development in capacity of trans fat analysis.

**Conclusion**

170. Noting the importance of methods of analysis to the question of TFA, the Committee agreed to first request CCMAS to review if the three methods were applicable to determine TFA as defined in both the *Guidelines on Nutrition Labelling* (CAC/GL 2-1985) and the WHO definition – at least one double bond in the trans configuration - at the level of 1 g per 100 g of fat. Based on the reply from CCMAS, the Committee would consider the proposed level for the claim.

**ALIGNMENT OF FOOD ADDITIVE PROVISIONS IN STANDARDS DEVELOPED BY CCFSDU (Agenda Item 10)<sup>19</sup>**

171. The Codex Secretariat introduced document CX/NFSDU 16/38/11 and recalled the decision of CCFSDU37 to start work on alignment of food additives in the commodity standards under its mandate in line with the recommendation of CCFA. The Secretariat further noted that the document also proposed to establish an eWG to explore the alignment of food additive provisions and develop a framework on how to address the question on technological justification of substances prior to being proposed for evaluation by JECFA for their potential use as additives in commodity standards developed by CCFSDU.

**General consideration**

172. The Committee reaffirmed that the use of food additives in food intended for babies should be kept to a minimum and recalled the basic principle on the use of additives in baby foods as set out by JECFA and adopted by CAC i.e. “*Baby foods should be prepared without food additives whenever possible. Where the use of a food additive becomes necessary in baby foods, great caution should be exercised regarding both the choice of additive and its level of use.*” (JECFA, 1971, Annex 3 of TRS 488).
173. The Committee further noted that, CCFA was currently developing guidelines to be used by commodity committees to undertake work on alignment; and that it would be important to take into account such guidance when undertaking the work of alignment of food additives by CCFSDU.

<sup>18</sup> CX/NFSDU 16/38/10; CRD 10 (comments from India, Indonesia, Kenya, Malaysia, Nigeria, United States of America, African Union, IDF and IFMA); CRD 14 (comments from Benin); CRD 16 (Comments from Republic of Korea).

<sup>19</sup> CX/NFSDU 16/38/11; CRD 11 (comments from Nigeria, Thailand, African Union, IFMA and ISDI); CRD 14 (comments from Benin).

### Technological justification

#### *Xanthan gum (INS 415) and Pectin (INS 440)*

174. The observer from ISDI informed the Committee that CCNFSDU36 had recommended the evaluation of Xanthan gum (INS 415) and Pectin (INS 440), by JECFA, for use as a thickener in the *Standard for Infant Formula and Formulas for Special Medical Purposes intended for Infants* (CODEX STAN 72-1981), Section B. The Committee's attention was also drawn to the recent evaluation by JECFA82 (June 2016) that had recommended the two additives were safe for use in this product at the specified levels. ISDI, supported by several observers, requested CCNFSDU to consider including these two additives in CODEX STAN 72-1981.
175. The Chairperson noted that members had not had sufficient time to study the information on technological justification provided on the two additives (CRD11), and proposed to refer the substances to the eWG for consideration and to discuss the outcome at the next session.

#### *Gellan gum (INS 418)*

176. Regarding the technological justification on the use of gellan gum (INS 418) in infant formula, formulas for special medical purposes intended for infants, and follow-up formula, the Committee noted that in the European Union, these products were being produced without the use of gellan gum and in the EU's view, gellan gum was not necessary and not technologically justified for use in these foods. This view was supported by other delegations.
177. Noting that confirmation of the technological need was required to support JECFA evaluation of gellan gum (INS 418), the Committee agreed to refer the matter to the eWG for consideration and agreed to inform CCFA that reply would be provided at a future date.

### Conclusion

178. In light of the above discussion the Committee agreed to:
- i. Defer the alignment of food additives, until the guidance document on alignment of additives is finalized by CCFA;
  - ii. Establish an eWG, hosted by the European Union, and co-hosted by the Russian Federation working in English with the following terms of reference:
    - a) Propose a mechanism or framework for considering the technological justification for substances intended for inclusion on the priority list of substances for JECFA evaluation;
    - b) To consider and confirm the technological justification of gellan gum; and
    - c) To propose how to handle new substances that have already been evaluated by JECFA, but for which technological justification has not yet been confirmed by CCNFSDU (i.e. xanthan gum, pectin).

### OTHER BUSINESS AND FUTURE WORK (Agenda item 11)<sup>20</sup>

#### **Methods of analysis for provisions in the *Standard for infant formula and formulas for special medical purposes intended for infants* (CODEX STAN 72-1981)**

179. The Committee considered the report of the in-session working group and took the following decisions:

#### Chromium, selenium and molybdenum: review of criteria

180. The Committee agreed:
- i. to inform CCMAS that it did not support using the criteria approach because:
    - a) a general or single conversion factor to convert  $\mu\text{g}/100\text{kCAL}$  to  $\mu\text{g}/\text{g}$  should not be used, as the energy density of infant formula varies across products; and
    - b) none of the current methods in CODEX STAN 234-1999, nor the newer methods AOAC 2011.19 | ISO 20649 | IDF 235 meet the criteria (REP16/MAS, para. 31).
  - ii. to request that CCMAS reconsider the method for chromium, selenium and molybdenum, AOAC 2011.19 | ISO 20649 | IDF 235 as Type II in light of published validation data measuring the minimum level for chromium, selenium and molybdenum in CODEX STAN 72-1981, and
  - iii. to inform CCMAS that the other methods for chromium, selenium and molybdenum other than the AOAC method were still fit for purpose and to reconsider their classification, if necessary.

<sup>20</sup> CX/NFSDU 16/38/2; CX/NFSDU 16/38/12; CRD 12 (comments of Mexico, Nigeria, Thailand, African Union and ISDI); CRD 14 (comments from Benin); CRD 18 (Report of the in-session working group on methods of analysis).

181. In response to the concerns expressed with regard to the inclusion of methods requiring expensive instrumentation and the typing of these methods as Type II, it was clarified that the method was for dispute settlement purposes and that for routine analysis, other methods were available and could be used.

#### Vitamin B12

182. The Committee confirmed that the existing method, AOAC 986.23, is fit for purpose.
183. The Committee noted that the method AOAC 2011.10 | ISO 20634 had already been endorsed by CCMAS and should be sent to CAC for adoption (Appendix V).

#### Total fatty acid profile

184. The Committee agreed to inform CCMAS that the current method, AOAC 996.06, is fit for purpose and agreed with its classification as Type III. Method AOAC 2012.13 endorsed by CCMAS should be sent to CAC for adoption (Appendix V).
185. The Committee requested that the provision be retained as “total fatty acid” profile to maintain consistency with the term used in CODEX STAN 72-1981.

#### Myo-inositol and Vitamin E

186. The Committee confirmed that the definition and scope of the methods harmonize and should be sent to CAC for adoption (Appendix V).
187. A delegation noted that CODEX STAN 72-1981 recognizes forms of vitamin E as  $\alpha$ -tocopherol, while the *Advisory List Of Nutrient Compounds For Use In Foods For Special Dietary Uses Intended For Infants And Young Children* (CAC/GL 10-1979) lists DL- $\alpha$ -tocopherol forms which have half of activity of D form and could lead to a slight over-estimation depending on use of DL- $\alpha$ -tocopherol nutrient forms. The observer from AOAC confirmed that the method can measure either form, but cannot separate DL forms from L forms, and that at present there were no other validated methods, but that studies were ongoing.

#### Formula for the conversion of units

188. The Committee agreed to inform CCMAS that it did not recommend an explanatory text on conversion of units in CODEX STAN 72-1981.

#### Vitamin C

189. The Committee agreed to submit the method, AOAC 2012 | ISO/DIS 20635 for review, classification as Type II, endorsement and inclusion in CODEX STAN 234-1999 in Part A, section “foods for special dietary uses: with the description “infant formula”.
190. The Committee also agreed to request CCMAS to remove or reclassify methods that are not validated for infant formula in CODEX STAN 234-1999 that might be replaced by the abovementioned method.

#### **DATE AND PLACE OF THE NEXT SESSION (Agenda Item 12)**

191. The Committee was informed that the 39<sup>th</sup> Session was scheduled to be held in Berlin, Germany from 4 to 8 December 2017, the final arrangements being subject to confirmation by the host government in consultation with the Codex Secretariat.

## APPENDIX I

**LIST OF PARTICIPANTS  
LISTE DES PARTICIPANTS  
LISTA DE PARTICIPANTES****CHAIRPERSON - PRÉSIDENT – PRESIDENTE**

Dr Pia Noble  
Federal Ministry of Food and Agriculture  
Rochusstraße 1  
Bonn  
Germany  
Email: [ccnfsdu@bmel.bund.de](mailto:ccnfsdu@bmel.bund.de)

**ASSISTANT TO THE CHAIRPERSON - ASSISTANT AU PRÉSIDENT - ASISTENTE AL PRESIDENTE**

Ms Katharina Adler  
Federal Ministry of Food and Agriculture  
Rochusstraße 1  
Bonn  
Germany  
Tel: +49 228 99 529 4647  
Email: [ccnfsdu@bmel.bund.de](mailto:ccnfsdu@bmel.bund.de)

**MEMBER COUNTRIES - PAYS MEMBRES - PAÍSES MIEMBROS****ALGERIA - ALGÉRIE - ARGELIA**

Ms Henda Souilamas  
Sous Directrice  
Ministère du Commerce  
Cité Zerhouni Mokhtar El Mohammadia  
Alger  
Algeria  
Tel: 00 213 662 839 686  
Email: [heliumser19@yahoo.fr](mailto:heliumser19@yahoo.fr)

**AUSTRALIA - AUSTRALIE**

Ms Janine Lewis  
Principal Nutritionist  
Food Standards Australia New Zealand  
PO Box 7186 Barton ACT 2610  
Australia  
Tel: +61 2 6271 2245  
Email: [janine.lewis@foodstandards.gov.au](mailto:janine.lewis@foodstandards.gov.au)

Ms Michelle Farnfield  
Global Scientific & Regulatory Affairs Manager  
Aspen Pharmacare Australia Pty Ltd  
34-36 Chandos Street St Leonards NSW 2065  
Australia  
Tel: +61 409 326 645  
Email: [michelle.farnfield@aspenspharmacare.com.au](mailto:michelle.farnfield@aspenspharmacare.com.au)

Ms Victoria Landells  
Regulatory Strategists  
Fonterra Australia Pty Ltd  
327 Ferntree Gully Road Mt Waverly VIC 3149  
Tel: +61385411327  
Email: [Victoria.Landells@fonterra.com](mailto:Victoria.Landells@fonterra.com)

Ms Melissa Toh  
Nestle Australia Ltd  
Level 2, Building D 1 Homebush Bay Drive  
Rhodes NSW  
Australia  
Tel: +61 2 9736 0416  
Email: [melissa.toh@au.nestle.com](mailto:melissa.toh@au.nestle.com)

**AUSTRIA - AUTRICHE**

Mrs Lisa-Maria Urban  
Executive Officer  
Federal Ministry of Health and Women's Affairs  
Radetzkystraße 2  
Vienna  
Austria  
Tel: +43171100644793  
Email: [lisa-maria.urban@bmgf.gv.at](mailto:lisa-maria.urban@bmgf.gv.at)

Ms Judith Benedics  
Executive Officer  
Federal Ministry of Health and Women's Affairs  
Radetzkystraße 2  
Vienna  
Austria  
Tel: +43171100644271  
Email: [judith.benedics@bmgf.gv.at](mailto:judith.benedics@bmgf.gv.at)

**BELGIUM - BELGIQUE - BÉLGICA**

Ms Isabelle Laquière  
Regulatory Expert  
Food, Feed and other consumption product  
FPS public health.  
Eurostation - Place victor horta, 40 bte 10  
Brussels  
Belgium  
Tel: +32 2 524 73 64  
Email: [Isabelle.laquiere@health.belgium.be](mailto:Isabelle.laquiere@health.belgium.be)

**BRAZIL - BRÉSIL - BRASIL**

Mrs Ana Claudia Marquim Firmo De Araújo  
Brazilian Health Regulatory Agency  
National Health Surveillance Agency  
SIA, Trecho 5, área especial 57-71.205-050  
Brasília-DF  
Brazil  
Email: [ana.firmo@anvisa.gov.br](mailto:ana.firmo@anvisa.gov.br)

Ms Vanessa Maestro  
Membership Country  
Brazilian Health Regulatory Agency  
National Health Surveillance Agency  
SIA Trecho 5, Área Especial 57, Bloco D, 2º  
andar  
Brasília  
Brazil  
Tel: 55 61 3462-5352  
Email: [vanessa.maestro@anvisa.gov.br](mailto:vanessa.maestro@anvisa.gov.br)

Mr Alexandre Novachi  
ABIA's Technical Consultant  
ABIA – Brazilian Association of Food Industries  
Av. Brigadeiro Faria Lima, 1478 – 11ª andar  
São Paulo  
Brazil  
Tel: 55 11 9813 4145  
Email: [detec@abia.com.br](mailto:detec@abia.com.br)

Dr Virginia Resende S. Weffort  
Membership Country  
Brazilian Society of Pediatrics  
Rua Barão da Ponte Alta, 63  
Uberaba - MG  
Brazil  
Tel: 55 34 991984418  
Email: [weffort@mednet.com.br](mailto:weffort@mednet.com.br)

Mr Hélio Vannucchi  
Membership Country  
University of Sao Paulo  
Av. Bandeirantes, 3900  
Ribeirão Preto - SP  
Brazil  
Tel: 55 61 991114142  
Email: [hvannucc@fmrp.usp.br](mailto:hvannucc@fmrp.usp.br)

**CANADA - CANADÁ**

Ms Maya Villeneuve  
Associate Director  
Bureau of Nutritional Sciences  
Health Canada  
251 Sir Frederick Banting Driveway, A.L.  
2203B, room B333  
Ottawa  
Canada  
Tel: 613-960-4740  
Email: [Maya.Villeneuve@HC-SC.gc.ca](mailto:Maya.Villeneuve@HC-SC.gc.ca)

Mr Paul Browner  
Global Lead  
Regulatory Affairs, Nutritional Lipids  
DSM  
105 Neptune Drive  
Dartmouth  
Canada  
Tel: 902-877-0467  
Email: [paul.browner@dsm.com](mailto:paul.browner@dsm.com)

Ms Melody Harwood  
Director, Scientific and Regulatory Affairs  
Neptune Wellness Solution  
545 Promenade du Centropolis Suite 100  
Laval, Quebec  
Canada  
Tel: 424-384-7872  
Email: [m.harwood@neptunecorp.com](mailto:m.harwood@neptunecorp.com)



Ms Deborah Hayward  
Section Head, Infant Nutrition  
Bureau of Nutritional Sciences  
Health Canada  
251 Sir Frederick Banting Driveway, A.L.  
2203B  
Ottawa  
Canada  
Tel: 613-622-7651  
Email: [deborah.hayward@hc-sc.gc.ca](mailto:deborah.hayward@hc-sc.gc.ca)

Mrs Annie Morvan  
Acting National Manager  
Consumer Protection and Market Fairness  
Division  
Canadian Food Protection Agency  
1400 Merivale Road, Tower 2 Floor 6, Room  
256  
Ottawa  
Canada  
Tel: 613-773-5508  
Email: [annie.morvan@inspection.gc.ca](mailto:annie.morvan@inspection.gc.ca)

#### CHILE - CHILI

Eng Luisa Kipreos García  
Asesor Técnico  
Nutrición y Alimentos División  
Políticas Públicas Saludables y Promoción  
Ministerio de Salud  
Monjitas 565, piso 10  
Santiago  
Chile  
Email: [luisa.kipreos@minsal.cl](mailto:luisa.kipreos@minsal.cl)

Mr Héctor Cori Traverso  
Nutrition Science Director LatAm, DSM  
Nutritional Products  
Nutrition Science and Advocacy  
Nueva Sucre 2544, Ñuñoa  
Santiago  
Chile  
Tel: 56 222375 4179  
Email: [hector.cori@dsm.com](mailto:hector.cori@dsm.com)

#### CHINA - CHINE

Mr Zhenyu Yang  
Associate Professor  
National Institute for Nutrition and Health,  
China CDC  
29 Nanwei Road, Xicheng District,  
Beijing  
China  
Tel: +86-10-83132932  
Email: [Yang\\_zhenyuid@126.com](mailto:Yang_zhenyuid@126.com)

Mr Jingyu Gu  
Department Director  
The Center of Inspection, National Center  
for Health and family planning  
Commission(NHFPC),  
No.32 Beisantiao Jiaodaokou, Dongcheng  
District,  
Beijing  
China  
Tel: +86-010-84088588  
Email: [Jingyugu@sina.com](mailto:Jingyugu@sina.com)

Prof Junhua Han  
Professor  
China National Center for Food Safety Risk  
Assessment  
2-209, No 37. Guangqu Road, Chaoyang  
District  
Beijing  
China  
Tel: +86-10-52165426  
Email: [hanjhua@cfsa.net.cn](mailto:hanjhua@cfsa.net.cn)

Mr Xiaomeng Hu  
Deputy Director General  
The Center of Inspection, National Center  
for Health and family planning  
Commission(NHFPC), China  
No.32 Beisantiao Jiaodaokou, Dongcheng  
District,  
Beijing  
China  
Tel: +86-10-84088501  
Email: [huxm@nhfpc.gov.cn](mailto:huxm@nhfpc.gov.cn)

Ms Po Kwan Jasmine Lau  
Chemist  
Centre for Food Safety, Food and  
Environmental  
Hygiene Department, HKSAR Government  
43/F, Queensway Government Offices  
66 Queensway  
HongKong  
China  
Tel: +852-39622091  
Email: [jpklau@fehd.gov.hk](mailto:jpklau@fehd.gov.hk)

Ms Dong Liang  
China National Center for Food Safety Risk  
Assessment  
Building 2, No.37 Guangqu Road, Chaoyang  
District  
Beijing  
China  
Tel: +86-13910619647  
Email: [liangdong@cfsa.net.cn](mailto:liangdong@cfsa.net.cn)

Mr Jun Liu  
Chief  
Hangzhou Entry Exit Inspection and  
Quarantine Bureau  
Room 1715, No. 2, Wensanlu Road  
Hangzhou  
China  
Tel: +86-571-56663231  
Email: [723280623@qq.com](mailto:723280623@qq.com)

Dr Peng Liu  
Associate Professor  
China National Institute of Standardization  
No.4 Zhi Chun Road, Haidian District  
Beijing  
China  
Tel: +86-10-58811639  
Email: [liupeng@cnis.gov.cn](mailto:liupeng@cnis.gov.cn)

Ms Wei Peng  
Deputy Director-General  
Health and Family Planning Commission of  
Guangdong Province  
No.17, Xianlie Nan Road  
Guangzhou  
China  
Tel: +86-20-83827881  
Email: [pw@838.cn](mailto:pw@838.cn)

Mr Guangfeng Ruan  
Director of Communication and Research  
China Food Information Center,  
Pomegranate Center, NO.88 Liu Xiang Road,  
Fengtai District  
Beijing  
China  
Tel: +86-15201420208  
Email: [guangfengruan@chinafic.org](mailto:guangfengruan@chinafic.org)

Dr Sau King Carole Tam  
Head (RAS)  
Centre for Food Safety, Food and  
Environmental Hygiene Department, HKSAR  
Government  
43/F, Queensway Government Offices,  
66 Queensway  
HongKong  
China  
Tel: +852-28675526  
Email: [csktam@fehd.gov.hk](mailto:csktam@fehd.gov.hk)

Ms Yanjun Tan  
Doctor-in-charge  
Guangdong Provincial Institute of Public  
Health  
No.160, Qunxian Road, Dashi, Panyu District  
Guangzhou  
China  
Tel: +86-20-31051176  
Email: [tanyanjun716@163.com](mailto:tanyanjun716@163.com)

Mr Hongmin Xu  
Staff  
China Nutrition and Health Food Association  
5F, TowerA, Winterless Center,  
No.1, West Da Wang Road, Chaoyang District  
Beijing  
China  
Tel: +86-13602768306  
Email: [Jiajunxu0001@126.com](mailto:Jiajunxu0001@126.com)

Ms Jiao Xu  
Director  
National Health and Family Planning  
Commission  
1 Xizhimenwai South Road, Xicheneq  
Beijing  
China  
Tel: +86-10-68792615  
Email: [xujiaobj@qq.com](mailto:xujiaobj@qq.com)

Mr Weixing Yan  
Deputy Director  
China National Center for Food Safety Risk  
Assessment  
Building 2, no 37. Guangqu road, Chaoyang  
District  
Beijing  
China  
Tel: +86-10-52165426  
Email: [yanweixin@cfsa.net.cn](mailto:yanweixin@cfsa.net.cn)

Ms Yue Zeng  
Principal Staff Member  
China Food and Drug Administration  
Building2, No 26, Xuanwumen West Street,  
Xicheng District  
Beijing  
China  
Tel: +86-10-88330551  
Email: [Zengyue@cfda.gov.cn](mailto:Zengyue@cfda.gov.cn)

Mr Wei Zeng  
Associate Consultant  
China Food and Drug Administration  
Building2, No 26, Xuanwumen West Street,  
Xicheng District  
Beijing  
China  
Tel: +86-10-88331032  
Email: [zengwei@cfda.gov.cn](mailto:zengwei@cfda.gov.cn)

Mr Bing Zhang  
Deputy Director  
National Institute for Nutrition and Health,  
China CDC  
27 Nanwei Road, Xicheng District  
Beijing  
China  
Tel: +86-10-66237008  
Email: [zzhangb327@aliyun.com](mailto:zzhangb327@aliyun.com)

### **COLOMBIA - COLOMBIE**

Ms Laura Otalora  
Pharmacist  
ANDI  
Carrera 83 N°71-81 piso 3  
Bogota  
Colombia  
Tel: 57 3164702781  
Email: [lauraotalora52@hotmail.com](mailto:lauraotalora52@hotmail.com)

### **COSTA RICA**

Ms Alejandra Chaverri Esquivel  
Licenciada en Nutrición  
Normalización y Control  
Ministerio de Salud  
Costado sur del Hospital San Juan de Dios,  
Primer edificio.  
San José  
Costa Rica  
Email: [alejandra.chaverri@misalud.go.cr](mailto:alejandra.chaverri@misalud.go.cr)

### **DENMARK - DANEMARK - DINAMARCA**

Mrs Dagny Løvoll Warming  
Scientific Officer  
Danish Veterinary and Food Administration  
Stationsparken 31  
Glostrup  
Denmark  
Tel: +45 7227 6900  
Email: [dlw@fvst.dk](mailto:dlw@fvst.dk)

Mrs Laila Lundby  
Senior Consultant  
Danish Agriculture and Food Council  
Axeltorv 3  
Copenhagen V  
Denmark  
Tel: +45 3339 4476  
Email: [llu@lf.dk](mailto:llu@lf.dk)

### **ECUADOR - ÉQUATEUR**

Mrs Rosa Nelly Castro Varas  
Jefa de la Oficina Comercial del Ecuador en  
Hamburgo  
PRO ECUADOR  
Schopenstehl 20  
Hamburg  
Germany  
Tel: +49-040-44140512  
Email: [rcaastrov@proecuador.gob.ec](mailto:rcaastrov@proecuador.gob.ec)

### **EGYPT - ÉGYPTE - EGIPTO**

Prof Mervat Fouad  
Consultant of Herbs& medicinal plants  
and Foods for Special Dietary Uses  
National Nutrition Institute (NNI)  
53, Amman st, Dokki, Giza, Egypt  
Giza  
Egypt  
Tel: +201005016726  
Email: [mevo\\_73@hotmail.com](mailto:mevo_73@hotmail.com)

Ing Mohamed Abd Elhamid Naser  
Food Standards Specialist  
Organization: Egyptian Organization for  
Standardization and Quality (EOS)  
16 tadreeb el motderbeen  
Cairo  
Egypt  
Tel: 0201281337667  
Email: [atch\\_toto3@yahoo.com](mailto:atch_toto3@yahoo.com)

Dr Adel Ismail  
Research and Development Director  
Hero Middle East & Africa  
Cairo  
Egypt  
Tel: +201223449563  
Email: [adel.ismail@hero.com.eg](mailto:adel.ismail@hero.com.eg)

Dr Shaimaa Sarhan  
Regulatory Affairs Manager  
Wyeth Nutrition  
Summit 44- ElShamaly 90 St.,AlTagamoaaa  
ElKhames  
Cairo  
Egypt  
Tel: +201281130888  
Email: [shaimaa.sarhan@eg.nestle.com](mailto:shaimaa.sarhan@eg.nestle.com)

Ing Yasser Shazly  
Technical Officer  
Chamber of food industries  
1195 Cornish EL Nil, P.O Box  
Cairo  
Egypt  
Tel: +20225748627  
Email: [yasser@egycofi.org.eg](mailto:yasser@egycofi.org.eg)

### **ESTONIA - ESTONIE**

Ms Siret Surva  
Counsellor for Agricultural Affairs  
Permanent Representation of Estonia to the  
EU  
Rue Guimard 11/13  
Brussels  
Belgium  
Tel: +32 (0) 224 307 027  
Email: [Siret.Surva@mfa.ee](mailto:Siret.Surva@mfa.ee)

Ms Ebe Meitern  
Chief Specialist  
Food Safety Department  
Ministry of Rural Affairs  
Lai tn 39 // Lai tn 41  
Tallinn  
Estonia  
Tel: (+372) 6256 231  
Email: [ebe.meitern@agri.ee](mailto:ebe.meitern@agri.ee)

Ms Airika Salumets  
Chief Specialist  
Food Department  
The Veterinary and Food Board  
Väike-Paala 3  
Tallinn  
Estonia  
Tel: +372 605 4765  
Email: [airika.salumets@vet.agri.ee](mailto:airika.salumets@vet.agri.ee)

### **EUROPEAN UNION - UNION EUROPÉENNE - UNIÓN EUROPEA**

Ms Stephanie Bodenbach  
Administrator  
DG Sante E 1  
European Commission  
Rue Belliard 232  
Brussels  
Belgium  
Tel: +32 229-80938  
Email: [Stephanie.BODENBACH@ec.europa.eu](mailto:Stephanie.BODENBACH@ec.europa.eu)

Mr Valeriu Curtui  
Head of Unit  
Head of Nutrition Unit  
EFSA  
Via Carlo Magno 1A,  
Parma  
Italy  
Tel: +39 0521 036 526  
Email: [Valeriu.CURTUI@efsa.europa.eu](mailto:Valeriu.CURTUI@efsa.europa.eu)

Ms Maria Giaprakis  
Assistant  
DG Sante D 2  
European Commission  
Rue Froissart 101  
Brussels  
Belgium  
Tel: +32 229-95442  
Email: [maria.giaprakis@ec.europa.eu](mailto:maria.giaprakis@ec.europa.eu)

Ms Barbara Moretti  
Administrator  
DG Sante - D2  
European Commission  
Rue Froissart 101  
Brussels  
Belgium  
Email: [barbara.moretti@ec.europa.eu](mailto:barbara.moretti@ec.europa.eu)

Ms Alexandra Nikolakopoulou  
Head of Unit  
DG Sante E 1  
European Commission  
Rue Belliard 232  
Brussels  
Belgium  
Tel: +32 229-86854  
Email: [Alexandra.NIKOLAKOPOULOU@ec.europa.eu](mailto:Alexandra.NIKOLAKOPOULOU@ec.europa.eu)

**FINLAND - FINLANDE - FINLANDIA**

Ms Anna Lemström  
Senior Officer, Food Policy  
Ministry of Agriculture and Forestry  
PO Box 30, 00023 Government,  
Helsinki  
Finland  
Tel: +358 50 502 0414  
Email: [anna.lemstrom@mmm.fi](mailto:anna.lemstrom@mmm.fi)

**FRANCE - FRANCIA**

Ms Alice Stengel  
DGCCRF  
Ministère de l'économie, de l'industrie et du  
numérique  
59, bd Vincent Auriol  
Paris  
France  
Tel: 00 33 1 44 97 33 25  
Email: [Alice.STENGEL@dgccrf.finances.gouv.fr](mailto:Alice.STENGEL@dgccrf.finances.gouv.fr)

Mrs Mathilde Bridier  
Directrice Qualité  
Nutriset  
Hameau du Bois Ricard  
Malaunay  
France  
Tel: +33 (0) 2 32 93 82 82  
Email: [mbridier@nutriset.fr](mailto:mbridier@nutriset.fr)

Mrs Magali Bocquet  
Secrétaire générale SFNS  
9, bd Malesherbes  
75008 Paris  
France  
Tel: 00 33(0) 6 16 75 35 97  
Email: [mbocquet@alliance7.com](mailto:mbocquet@alliance7.com)

Mr Thomas Couaillet  
Deputy General Manager  
Nutriset  
Hameau du Bois Ricard  
Malaunay  
France  
Tel: +33 2 32 93 82 82  
Email: [tcouaillet@nutriset.fr](mailto:tcouaillet@nutriset.fr)

**GERMANY - ALLEMAGNE - ALEMANIA**

Mrs Marie-Luise Trebes  
Head of Division  
Federal Ministry of Food and Agriculture  
Rochusstr. 1  
53123 Bonn  
Germany  
Tel: +49 228 99 529 3394  
Email: [CCNFSDU@bmel.bund.de](mailto:CCNFSDU@bmel.bund.de)

Mrs Anja Broenstrup  
Federal Ministry for Food and Agriculture  
Rochusstraße 1  
53123 Bonn  
Germany  
Email: [anja.broenstrup@bmel.bund.de](mailto:anja.broenstrup@bmel.bund.de)

Ms Claudia Callies-Klüpfel  
Manager Global Regulatory & External Affairs  
Human Nutrition  
ENS/HR - F31  
BASF SE  
ENS/HR - F31  
Lampertheim  
Germany  
Tel: +49 621 60 58377  
Email: [claudia.callies-kluepfel@basf.com](mailto:claudia.callies-kluepfel@basf.com)

Ms Klara Jirzik  
Food Chemist  
Federal Office of Consumer Protection and  
Food Safety (BVL)  
Mauerstr. 39 - 42  
Berlin  
Germany  
Tel: +49 30 18444 10128  
Email: [klara.jirzik@bvl.bund.de](mailto:klara.jirzik@bvl.bund.de)

Dr Gert Krabichler  
Head Global Regulatory Affairs  
Research & Development  
Merck Consumer Health  
Frankfurter Straße 250  
Darmstadt  
Germany  
Tel: +49 6151 856 3264  
Email: [gert.krabichler@merckgroup.com](mailto:gert.krabichler@merckgroup.com)

Ms Angelika Mrohs  
Managing Director  
German Federation for Food Law and Food  
Science (BLL)  
Claire-Waldoff-Straße 7  
Berlin  
Germany  
Tel: +49 30 206 143-133  
Email: [amrohs@bll.de](mailto:amrohs@bll.de)

Mr Norbert Pahne  
Managing Director  
Federation of German Dietetic Foods  
Godesberger Allee 142 - 145  
Bonn  
Germany  
Tel: +49 228 3085110  
Email: [pahne@diaetverband.de](mailto:pahne@diaetverband.de)

Ms Antje Preussker  
Manager Scientific and Regulatory Affairs  
German Federation for Food Law and Food  
Science  
Claire-Waldoff-Strasse 7  
Berlin  
Germany  
Tel: +49 30 206143 146  
Email: [apreussker@bll.de](mailto:apreussker@bll.de)

Ms Inken Stark  
Jurist  
Federation of German Dietetic Foods  
Godesberger Allee 142 - 145  
Bonn  
Germany  
Tel: +49 228 3085111  
Email: [stark@diaetverband.de](mailto:stark@diaetverband.de)

Ms Sabine Sulzer  
Manager Regulatory and Scientific Affairs  
Nestlé Deutschland AG  
Lyoner Straße 23  
Frankfurt am Main  
Germany  
Tel: +49 69 6671 2276  
Email: [sabine.sulzer@de.nestle.com](mailto:sabine.sulzer@de.nestle.com)

Dr Anke Weissenborn  
Unit Nutritional Risks, Allergies and  
Novel Foods  
Department of Food Safety  
Federal Institute for Risk Assessment  
Max-Dohrn-Strasse 8-10  
Berlin  
Germany  
Tel: +49 30 18412-3812  
Email: [Anke.Weissenborn@bfr.bund.de](mailto:Anke.Weissenborn@bfr.bund.de)

Mrs Petra Wendorf-Ams  
Nutricia Research Early Nutrition Team  
Milupa Nutricia GmbH  
Germany  
Tel: 0049 6172 99 1186  
Email: [petra.wendorf-ams@danone.com](mailto:petra.wendorf-ams@danone.com)

## HUNGARY - HONGRIE - HUNGRIA

Ms Ágnes Szegedyné Fricz  
Deputy Head of Department  
Department of Food Processing  
Ministry of Agriculture  
Kossuth tér 11.  
Budapest  
Hungary  
Tel: +36 1 795 3759  
Email: [agnes.fricz@fm.gov.hu](mailto:agnes.fricz@fm.gov.hu)

Dr Éva Barna  
Consultant  
National Institute of Pharmacy and Nutrition  
Albert Flórián út 3/a  
Budapest  
Hungary  
Tel: +36 1 476 6450  
Email: [Barna.Eva@ogyei.gov.hu](mailto:Barna.Eva@ogyei.gov.hu)

## INDIA - INDE

Ms Navneet Kaur  
Technical Officer  
Ministry of Health and Family Welfare  
Food Safety and Standards Authority of India  
FDA Bhawan, Kotla Road,  
New Delhi - 110002  
India  
Email: [kaur.navneet31@gmail.com](mailto:kaur.navneet31@gmail.com)

Dr Hemalatha R  
Scientist- F  
National Institute of Nutrition (Indian Council of  
Medical Research)  
Jamai-Osmania PO.  
Hyderabad  
India  
Tel: 040-27197297  
Email: [rhemalathanin@yahoo.com](mailto:rhemalathanin@yahoo.com)

Ms Sukhmani Singh  
Technical Officer-Codex  
Ministry of Health and Family Welfare  
Food Safety and Standards Authority of India  
FDA Bhawan, Kotla Road  
New Delhi - 110002  
India  
Email: [sukhmax@googlemail.com](mailto:sukhmax@googlemail.com)

**INDONESIA - INDONÉSIE**

Ms Yusra Egayanti  
Deputy Director for Certain Food  
Standardization  
National Agency for Drug and Food Control  
Jl. Percetakan Negara 23  
Jakarta  
Indonesia  
Tel: 6221 42875584  
Email: [egayanti@yahoo.com](mailto:egayanti@yahoo.com)

Ms Dedeh Endawati  
Head of International Organization Division  
Bureau for International Cooperation  
National Agency for Drug and Food Control  
Jl. Percetakan Negara 23  
Jakarta  
Indonesia  
Tel: + 6281389952226  
Email: [ksln@pom.go.id](mailto:ksln@pom.go.id)

Mrs Nani Hidayani  
Regulatory Committee  
APPNIA  
Sovereign Plaza, 1st floor  
Jl. Tb Simatupang Kav 36  
Jakarta  
Indonesia  
Tel: +6221 29400268  
Email: [nani.hidayani@mjn.com](mailto:nani.hidayani@mjn.com)

Dr Prima Sehanputri  
Regulatory Affairs  
The Indonesian Food and Beverages  
Association (GAPMMI)  
Annex Building 2nd floor (PPM Management  
complex)  
Jl. Menteng Raya No 9-19  
Jakarta  
Indonesia  
Tel: +62 811890690  
Email: [prima.sehanputri@gmail.com](mailto:prima.sehanputri@gmail.com)

Mrs Roch Ratri Wandansari  
Vice Chairman of Technical Regulation  
The Indonesian Food and Beverages  
Association (GAPMMI)  
Annex Building 2nd floor (PPM Management  
complex)  
Jl. Menteng Raya No 9-19  
Jakarta  
Indonesia  
Tel: +62811886009  
Email: [rwandansari@yahoo.com](mailto:rwandansari@yahoo.com)

**IRELAND - IRLANDE - IRLANDA**

Dr Mary Flynn  
Chief Specialist Public Health Nutrition  
Food Safety Authority of Ireland  
Abbey Court Lower Abbey Street Dublin  
Dublin  
Ireland  
Tel: +353 1 8171315  
Email: [obruton@fsai.ie](mailto:obruton@fsai.ie)

**ITALY - ITALIE - ITALIA**

Mr Ciro Impagnatiello  
Codex Contact Point  
Department of the European Union and  
International Policies and of the Rural  
Development  
Ministry of Agricultural Food and Forestry  
Policies  
Via XX Settembre, 20  
Rome  
Italy  
Tel: +39 06 46654058  
Email: [c.impagnatiello@politicheagricole.it](mailto:c.impagnatiello@politicheagricole.it)

**JAPAN - JAPON - JAPÓN**

Dr Toshitaka Masuda  
Deputy Director  
Food Labelling Division  
Consumer Affairs Agency  
3-1-1 Kasumigaseki, Chiyoda-ku,  
Tokyo  
Japan  
Tel: +81-3-3507-8800  
Email: [g.codex-j@caa.go.jp](mailto:g.codex-j@caa.go.jp)

Dr Yoshiko Ishimi  
Chief  
National Institute of Health and Nutrition  
(NIHN)  
National Institutes of Biomedical Innovation,  
Health and Nutrition  
1-23-1 Toyama, Shinjuku-Ku  
Tokyo  
Japan  
Tel: +81-3-3203-8063  
Email: [ishimi@nih.go.jp](mailto:ishimi@nih.go.jp)

Prof Satoshi Ishizuka  
Adviser  
Laboratory of Nutritional Biochemistry  
Research Faculty of Agriculture  
Hokkaido University  
Kita 9, Nishi 9, Kita-ku, Sapporo  
Hokkaido  
Japan

Tel: +81-11-706-2811  
 Email: [g.codex-j@caa.go.jp](mailto:g.codex-j@caa.go.jp)

Mr Kenji Kuroiwa  
 Technical Official  
 Department of Environmental Health and  
 Food Safety  
 Ministry of Health, Labour and Welfare  
 1-2-2 Kasumigaseki, Chiyoda-ku  
 Tokyo  
 Japan  
 Tel: +81-3-3595-2326  
 Email: [codexj@mhlw.go.jp](mailto:codexj@mhlw.go.jp)

Ms Aya Orito-Nozawa  
 Section Chief  
 Food Safety Policy Division,  
 Food Safety and Consumer Affairs Bureau  
 Ministry of Agriculture, Forestry and Fisheries  
 1-2-1, Kasumigadeki, Chiyoda-ku  
 Tokyo  
 Japan  
 Tel: +81-3-3502-8732  
 Email: [aya\\_orito460@maff.go.jp](mailto:aya_orito460@maff.go.jp)

## KENYA

Mr Peter Mutua  
 Principle Standard Officer  
 Standard development  
 Kenya Bureau of Standards  
 P.O.Box 54974 Popo Road of Mombasa  
 Road  
 Nairobi  
 Kenya  
 Tel: +254-20 6948000  
 Email: [mutuap@kebs.org](mailto:mutuap@kebs.org)

Mr James Ojiambo Olumbe  
 Regulatory and Scientific Affairs Manager  
 Nestle Kenya Limited  
 P.O.Box 30265 Nairobi  
 Nairobi  
 Kenya  
 Tel: +254 20 3990000  
 Email: [james.ojiambo@ke.nestle.com](mailto:james.ojiambo@ke.nestle.com)

## LESOTHO

Dr Masekonyela Sebotsa  
 Director  
 Food and Nutrition Coordination Office  
 Prime Minister's Office  
 Food and Nutrition Coordination Office p/bag  
 A78 Maseru 100  
 Lesotho  
 Tel: 22327268  
 Email: [masekonyelasebotsa@yahoo.com](mailto:masekonyelasebotsa@yahoo.com)

## MALAYSIA - MALAISIE - MALASIA

Ms Zalma Abdul Razak  
 Director  
 Nutrition Division  
 Ministry of Health Malaysia  
 Level 1, Block E3, Parcel E, Federal  
 Government Administration Centre  
 Putrajaya  
 Malaysia  
 Tel: +603-8892 4556  
 Email: [zalma@moh.gov.my](mailto:zalma@moh.gov.my)

Ms Rohaya Mamat  
 Director  
 Regulatory Affairs  
 Federation of Malaysian Manufacturers  
 Wisma FMM, No. 3, Persiaran Dagang PJU  
 9, Bandar Sri Damansara  
 Kuala Lumpur  
 Malaysia  
 Tel: +603-22657808  
 Email: [rohaya.mamat@mjn.com](mailto:rohaya.mamat@mjn.com)

Ms Noor ul-Aziha Muhammad  
 Senior Assistant Director  
 Food Safety and Quality Division  
 Ministry of Health Malaysia  
 Level 4, Menara Prisma, No. 26, Jalan  
 Persiaran Perdana, Precinct 3  
 Putrajaya  
 Malaysia  
 Tel: +603-8885 0797  
 Email: [noorulaziha@moh.gov.my](mailto:noorulaziha@moh.gov.my)

Mr Uthaya Kumar Muthu  
 Regional Manager – Europe  
 Marketing  
 Malaysian Palm Oil Council  
 Avenue Emile Vandervelde 31  
 Brussels  
 Belgium  
 Tel: +32 475 669 700  
 Email: [kumar@mpoc.eu](mailto:kumar@mpoc.eu)

Dr Kanga Rani Selvaduray  
 Head of Nutrition Unit  
 Product Development and Advisory Services  
 Division  
 Malaysian Palm Oil Board  
 No 6, Persiaran Institusi Bandar Baru Bangi  
 Kajang, Selangor  
 Malaysia  
 Tel: +603-87694216  
 Email: [krani@mpob.gov.my](mailto:krani@mpob.gov.my)



Dr Kalyana Sundram  
Deputy Chief Executive Officer/Director  
Science and Environment Division  
Malaysian Palm Oil Council  
2nd Floor Wisma Sawit, Lot 6 SS6, Jalan  
Perbandaran  
Kelana Jaya, Selangor  
Malaysia  
Tel: +603-78064097  
Email: [kalyana@mpoc.org.my](mailto:kalyana@mpoc.org.my)

### **MEXICO - MEXIQUE - MÉXICO**

Mr Aldo Heladio Verver Y Vargas Duarte  
Director General Adjunto  
Comisión de Fomento Sanitario  
Comisión Federal para la Protección Contra  
Riesgos Sanitarios  
Oklahoma 14, Col. Napoles, Delegación  
Benito Juarez  
Distrito Federal  
Mexico  
Tel: +52 55 50805200  
Email: [aververyvargas@cofepris.gob.mx](mailto:aververyvargas@cofepris.gob.mx)

Ms María Guadalupe Arizmendi Ramírez  
Verificadora Especializada  
Dirección Ejecutiva de Operación  
Internacional  
Comisión Federal para la Protección contra  
Riesgos Sanitarios (COFEPRIS)  
Monterrey #33 PH, Col. Roma Delegación  
Cauhtémoc  
Mexico Distrito Federal  
Mexico  
Tel: 525550805213  
Email: [mgarizmendi@cofepris.gob.mx](mailto:mgarizmendi@cofepris.gob.mx)

Ms Ana Laura Castro Becerra  
Cámara Nacional de Industriales de la Leche  
(CANILEC)  
Email: [ana\\_laura283@yahoo.com.mx](mailto:ana_laura283@yahoo.com.mx)

Ms Elisabeth Haring Bolivar  
Gerente Senior Regulatorio  
Email: [e\\_haring26@yahoo.com.mx](mailto:e_haring26@yahoo.com.mx)

Mr Javier Luna Carrasco  
Chairman  
ANIPRON (México Trade Association for  
Natural Products)  
Email: [javier\\_luna\\_carrasco@hotmail.com](mailto:javier_luna_carrasco@hotmail.com)

Ms Alejandra Salas Fernández  
Asesora del Subsecretario  
Subsecretaría de Prevención y Promoción de  
la Salud  
Secretaría de Salud  
Email: [alejandra.salas@salud.gob.mx](mailto:alejandra.salas@salud.gob.mx)

Ms Pamela Suárez Brito  
Directora Ejecutiva de Programas Especiales  
Comisión de Operación Sanitaria  
Comisión Federal para la Protección contra  
Riesgos Sanitarios (COFEPRIS)  
Oklahoma #14, Col. Nápoles  
Distrito Federal  
Mexico  
Tel: 525550805389  
Email: [psuarez@cofepris.gob.mx](mailto:psuarez@cofepris.gob.mx)

### **MOROCCO - MAROC - MARRUECOS**

Mr Mohamed Tannaoui  
Chef de la Section Agricole  
Ministère de l'Agriculture et de la Pêche  
Maritime  
Laboratoire Officiel d'Analyses et de  
Recherches Chimiques  
25, Rue Nichakra (ex rue de Tours)  
Casablanca  
Morocco  
Tel: +212 522 302007  
Email: [tannaoui1@yahoo.fr](mailto:tannaoui1@yahoo.fr)

Mr El Mekroum Brahim  
Chef de Département  
Département Recherche et Développement  
Société les Eaux Minérale d'Oulmes  
les Eaux Minérales d'Oulmes S.A 20180  
Bouskoura  
Casablanca  
Morocco  
Tel: +212 661326698  
Email: [elmekroum@oulmes.ma](mailto:elmekroum@oulmes.ma)

Eng Bouchra Messaoudi  
Cadre au Service de la Normalisation  
Ministère de l'Agriculture et de la Pêche  
Maritime  
Office National de la Sécurité Sanitaire des  
Produits Alimentaires  
Avenue Hadj Ahmed Cherkaoui Agdal  
Rabat  
Morocco  
Tel: 00212654438047  
Email: [bouchring@yahoo.fr](mailto:bouchring@yahoo.fr)

Ms Bentahila Nawal  
Présidente de l'AMNI  
Association Marocaine de la Nutrition Infantile  
Casablanca Business Center Mandarouna  
300, 6ème étage N°63 Sidi Maârouf  
Casablanca  
Morocco  
Tel: +212 661868220  
Email: [nawal.bentahila@amni.ma](mailto:nawal.bentahila@amni.ma)

Prof Mouane Nezha  
Professeur en Pédiatrie surspécialité  
Gastroentérologie Nutrition  
Pédiatrie  
Hôpital d'enfants Rabat – CH Ibn Sina  
Hopital d'enfants Avenue Ibn Rochd , Agdal  
Rabat  
Morocco  
Tel: +212 661208173  
Email: [nezhamouane@hotmail.com](mailto:nezhamouane@hotmail.com)

Mr El Madrassi Youness  
External Relations and policy Application  
Manager  
NESTLE/AMNI  
CasaNearshore, Bd AL Qods, Shore 10  
Casablanca  
Casablanca  
Morocco  
Tel: 00212661101943  
Email: [Youness.elmadrassi@ma.nestle.com](mailto:Youness.elmadrassi@ma.nestle.com)

#### NEPAL - NÉPAL

Mr Sanjeev Kumar Karn  
Director General  
Department of Food Technology and Quality  
Control (DFTQC)  
Ministry of Agriculture and Development  
Babarmahal  
Kathmandu  
Nepal  
Tel: +977-9849449589  
Email: [sanjeevkkarn@gmail.com](mailto:sanjeevkkarn@gmail.com)

Dr Matina Joshi Vaidya  
Deputy Director General  
Department of Food Technology and Quality  
Control (DFTQC)  
Ministry of Agriculture and Development  
Babarmahal  
Kathmandu  
Nepal  
Tel: +977-9841501690  
Email: [matina\\_joshi@yahoo.com](mailto:matina_joshi@yahoo.com)

Dr Atul Upadhyay  
Senior Project Manager  
Helen Keller International (HKI)  
Chakupat, Patan  
Lalitpur  
Nepal  
Tel: +977-9862077504  
Email: [atul616@yahoo.com](mailto:atul616@yahoo.com)

Mr Purnachandra Wasti  
Senior Food Research Officer  
Nutrition  
Department of Food Technology and Quality  
Control (DFTQC)  
Ministry of Agriculture and Development  
Babarmahal  
Kathmandu  
Nepal  
Tel: 9841368726  
Email: [pcwasti@gmail.com](mailto:pcwasti@gmail.com)

#### NETHERLANDS - PAYS-BAS - PAÍSES BAJOS

Ms Erika Smale  
Senior Policy Advisor  
Ministry of Health, Welfare and Sports  
PO Box 20350  
The Hague  
Netherlands  
Tel: +31 (0)6 11370803  
Email: [bh.smale@minvws.nl](mailto:bh.smale@minvws.nl)

#### NEW ZEALAND - NOUVELLE-ZÉLANDE - NUEVA ZELANDIA

Ms Jenny Reid  
Manager  
Food Science & Risk Assessment  
Ministry for Primary Industries  
25 The Terrace  
Wellington  
New Zealand  
Email: [jenny.reid@mpi.govt.nz](mailto:jenny.reid@mpi.govt.nz)

Ms Jane Broughton  
Regulatory & Scientific Affairs Manager  
Nestle New Zealand Ltd  
PO Box 1794 Shortland St  
Auckland  
New Zealand  
Email: [jane.broughton@nz.nestle.com](mailto:jane.broughton@nz.nestle.com)

Ms Jenny Campbell  
Lead Regulatory Strategist  
Fonterra Co-operative Group Ltd  
9 Princes Street  
Auckland  
New Zealand  
Email: [jenny.campbell@fonterra.com](mailto:jenny.campbell@fonterra.com)

Ms Michelle Gibbs  
Senior Adviser  
Food Science  
Ministry for Primary Industries  
25 The Terrace  
Wellington  
New Zealand  
Email: [michelle.gibbs@mpi.govt.nz](mailto:michelle.gibbs@mpi.govt.nz)

Ms Dianne Lowry  
Regulatory and Technical Liaison Manager  
Dairy Goat Cooperative (NZ) Ltd  
18 Gallagher Drive  
Hamilton  
New Zealand  
Email: [Dianne.Lowry@dgc.co.nz](mailto:Dianne.Lowry@dgc.co.nz)

#### **NIGERIA - NIGÉRIA**

Mrs Eva Obiageli Edwards  
Assistant Director  
Food Safety and Applied Nutrition  
National Agency for Food and Drug  
Administration and Control  
Plot 1, Isolo Industrial Estate Apapa/Oshodi  
Express Way  
Lagos  
Nigeria  
Tel: + 234 80 23109251  
Email: [eoedwards@yahoo.com](mailto:eoedwards@yahoo.com)

Mr Princewill Chinwe Aguiyi  
Chief Technical Officer, Codex Unit  
Standards Organisation of Nigeria  
Plot 13/14 Victoria Arobieke Street Lekki  
Phase 1, Lekki  
Lagos  
Nigeria  
Tel: +234-33086987  
Email: [aguiyiprincewill@yahoo.com](mailto:aguiyiprincewill@yahoo.com)

Mrs Adeyinka Elizabeth Oluwatoyin Akinbinu  
Assistant Chief Agric. Superintendent  
Federal Department of Agriculture  
Federal Ministry of Agriculture and Rural  
Development  
FCDA New Secretariat, Area 11, Garki  
Abuja  
Nigeria  
Tel: +2348059607576  
Email: [akinadeli@yahoo.com](mailto:akinadeli@yahoo.com)

Mrs Ummulkhairi Ahmed Bobboi  
Assistant Director  
Food Safety and Applied Nutrition  
National Agency for Food and Drug  
Administration and Control  
NAFDAC, Wuse Zone 7,  
Abuja  
Nigeria  
Tel: +2348053235501  
Email: [ummubobboi@yahoo.com](mailto:ummubobboi@yahoo.com)

Mr Udeme David Udom  
Assistant Director  
Standards Organisation of Nigeria  
Plot 13/14 Victoria Arobieke Street, Off  
Admiralty Way, Lekki Peninsula Lekki Phase1  
Lagos  
Nigeria  
Tel: +2348035646983  
Email: [obongudemedavid@yahoo.com](mailto:obongudemedavid@yahoo.com)

#### **NORWAY - NORVÈGE - NORUEGA**

Mrs Svanhild Vaskinn  
Senior Adviser  
Head Office  
Norwegian Food Safety Authority  
Brumunddal  
Norway  
Tel: +47 22400000  
Email: [svvas@mattilsynet.no](mailto:svvas@mattilsynet.no)

Mrs Gry Hay  
Senior Adviser, Dr.Philos  
Norwegian Directorate of Health  
Oslo  
Norway  
Tel: +47 24163000  
Email: [Gry.Hay@helsedir.no](mailto:Gry.Hay@helsedir.no)

#### **PANAMA - PANAMÁ**

Mrs Aracelis Alexis Arosemena De Vergara  
Ing. Agronomo  
Departamento de Proteccion de Alimentos  
Ministerio de Salud  
Rio Abajo calle decima casa#53  
Panama  
Tel: +507 64979616  
Email: [aracelisdv@gmail.com](mailto:aracelisdv@gmail.com)

**PARAGUAY**

Mr Alberto Francisco Bareiro Arce  
Coordinador de Asuntos Regulatorios  
Coordinación de Asuntos Regulatorios  
Instituto Nacional de Alimentación y Nutrición  
del Ministerio de Salud Pública y Bienestar  
Social  
Itapúa y Av. Santísima Trinidad  
Asunción  
Paraguay  
Tel: (+595) 981 542531  
Email: [albareiro@gmail.com](mailto:albareiro@gmail.com)

**PERU - PÉROU - PERÚ**

Mr Raul Daniel Loarte Ruiz  
Cónsul General Adscrito  
Consulado General del Perú en Hamburgo  
Blumenstr. 28, 22301 - Hamburgo  
Germany  
Tel: + 49 176 726 03320  
Email: [daniel.loarte@gmail.com](mailto:daniel.loarte@gmail.com)

**PHILIPPINES - FILIPINAS**

Ms Helena Alcaraz  
Nutritionist-Dietitian III  
Food and Drug Administration Philippines  
Department of Health  
Civic Drive Alabang Corporate City, Alabang,  
Muntinlupa City, Philippines  
Muntinlupa City  
Philippines  
Tel: 857-1921  
Email: [hsalcaraz@fda.gov.ph](mailto:hsalcaraz@fda.gov.ph)

Ms Catherine Sarmiento  
RSA Manager  
Infant and Pediatric Nutrition Association of  
the Philippines  
Regulatory & Scientific Working Group  
6A, 6/F DAO 1 Condominium, 189 Salcedo  
Street Legaspi Village  
Makati City  
Philippines  
Tel: 639175312771  
Email: [cgsarmiento.rnd@gmail.com](mailto:cgsarmiento.rnd@gmail.com)

**POLAND - POLOGNE - POLONIA**

Dr Katarzyna Stos  
Deputy Director  
Food Safety and Food Supplements  
National Food and Nutrition Institute  
Powsińska Street 61/63  
Warsaw  
Poland  
Email: [kstos@izz.waw.pl](mailto:kstos@izz.waw.pl)

Ms Anna Janasik  
Main Expert  
International Co-operation Department,  
Codex Contact Point for Poland  
Agricultural and Food Quality Inspection  
30, Wspolna St.  
Warsaw  
Poland  
Tel: +48 22 623 29 03  
Email: [ajanasik@ijhars.gov.pl](mailto:ajanasik@ijhars.gov.pl)

**REPUBLIC OF KOREA - RÉPUBLIQUE DE  
CORÉE - REPÚBLICA DE COREA**

Ms Songyi Han  
Ministry of Food and Drug Safety  
Osong Health Technology Administration  
Complex 187, Osongsaengmyeong 2-ro,  
Osong-eup, Heungdeok-gu, Cheongju-si,  
Chungcheongbuk-do  
Cheong-Ju  
Republic of Korea  
Email: [sy4513@korea.kr](mailto:sy4513@korea.kr)

Mr Chansoo Lee  
Scientific Officer  
Ministry of Food and Drug Safety  
Osong Health Technology Administration  
Complex 187, Osongsaengmyeong 2-ro,  
Osong-eup, Heungdeok-gu, Cheongju-si,  
Chungcheongbuk-do  
Cheong-Ju  
Republic of Korea  
Email: [cslee01@korea.kr](mailto:cslee01@korea.kr)

Dr Seongkon Lee  
Senior Researcher  
National Institute of Agricultural Sciences  
Ministry of Agriculture, Food, and Rural  
Affairs  
166 Nongsaengmyeong-ro, Iseo-myeon,  
Wanju-gun, Jeollabuk-do  
Wanju-gun  
Republic of Korea  
Tel: +82-10-3306-0477  
Email: [goryeong@korea.kr](mailto:goryeong@korea.kr)

Mrs Younghui Shin  
Deputy Director  
Ministry of Food and Drug Safety  
Osong Health Technology Administration  
Complex 187, Osongsaengmyeong 2-ro,  
Osong-eup, Heungdeok-gu, Cheongju-si,  
Chungcheongbuk-do  
Cheong-Ju  
Republic of Korea  
Tel: +82-43-719-2259  
Email: [yhminerva@korea.kr](mailto:yhminerva@korea.kr)

**RUSSIAN FEDERATION - FÉDÉRATION  
DE RUSSIE - FEDERACIÓN DE RUSIA**

Ms Elena Smirnova  
Scientific Secretary  
Federal Research Centre of Nutrition,  
Biotechnology and Food Safety  
Ustyinskiy proezd 2/14  
Moscow  
Russian Federation  
Tel: +7 495 698 53 42  
Email: [smirnova@ion.ru](mailto:smirnova@ion.ru)

Mrs Yuliya Kalinova  
Regulatory Affairs Expert  
Consumer Market Participants Union  
1-y Schipkovsky per., 20, 403a  
Moscow  
Russian Federation  
Tel: +7 (499) 235-74-81  
Email: [yulia.kalinova@yahoo.com](mailto:yulia.kalinova@yahoo.com)

Mr Anatoly Kutysenko  
Vice-chair  
Optimal Foods Committee  
Russian Union of Industrialists and  
Entrepreneurs (RUIE)  
Kotelnicheskaya nab., 17  
Moscow  
Russian Federation  
Tel: +7-495-642-6140  
Email: [Anatol-k@rambler.ru](mailto:Anatol-k@rambler.ru)

Mr Dmitriy Miklin  
Regulatory Affairs Expert  
Consumer Market Participants Union  
1-y Schipkovsky per., 20, 403a  
Moscow  
Russian Federation  
Tel: +7 (499) 235-74-81  
Email: [miklindm@mail.ru](mailto:miklindm@mail.ru)

Dr Alexey Petrenko  
Advisor to Codex Contact Point  
Optimal Nutrition Commission  
Russian Union of Industrialists and  
Entrepreneurs  
Kotelnicheskaya nab., 17  
Moscow  
Russian Federation  
Email: [codex@ion.ru](mailto:codex@ion.ru)

**SENEGAL - SÉNÉGAL**

Dr Maty Diagne Camara  
Chef Division Alimentation et Nutrition,  
Coordonnatrice du Comité du Codex sur les  
Aliments Diététiques ou de Régime  
Direction de la Santé de la Reproduction et  
de la Survie de l'Enfant  
Ministère de la Santé et de l'Action sociale  
Cité Keur Gorgui - VDN  
Dakar  
Senegal  
Tel: +221 77 566 70 30  
Email: [matydiagne@yahoo.com](mailto:matydiagne@yahoo.com)

Dr Moussa Ndong  
Enseignant Chercheur  
Universite Gaston Berger  
Saint-Louis  
Senegal  
Email: [moussa.ndong@ugb.edu.sn](mailto:moussa.ndong@ugb.edu.sn)

Prof Mohamadou Guelaye Sall  
Professeur titulaire  
Ministere Enseignement Superieur et de la  
Recherche  
UCAD  
BP 6251  
Dakar  
Senegal  
Email: [mgsall@gmail.com](mailto:mgsall@gmail.com)

**SINGAPORE - SINGAPOUR - SINGAPUR**

Ms Peik Ching Seah  
Deputy Director, Regulatory Programmes  
Department  
Regulatory Administration Group  
Agri-Food & Veterinary Authority of  
Singapore  
52, Jurong Gateway Road, #14-01 Singapore  
608550  
Singapore  
Tel: +656805 2913  
Email: [seah\\_peik\\_ching@ava.gov.sg](mailto:seah_peik_ching@ava.gov.sg)

Ms Yi Ling Tan  
Senior Manager  
Regulatory Programmes Department,  
Regulatory Administration Group  
Agri-Food & Veterinary Authority of  
Singapore  
52, Jurong Gateway Road, #14-01  
Singapore  
Tel: +65 6805 2915  
Email: [tan\\_yi\\_ling@ava.gov.sg](mailto:tan_yi_ling@ava.gov.sg)

**SLOVAKIA - SLOVAQUIE - ESLOVAQUIA**

Dr Iveta Trusková, MD  
Deputy Director for Professional Activities  
Head of Department on Nutrition and Food  
Safety  
Public Health Authority of the Slovak  
Republic  
Trnavská 52  
Bratislava  
Slovakia  
Tel: +421 2 492 84 392  
Email: [iveta.truskova@uvzsr.sk](mailto:iveta.truskova@uvzsr.sk)

Ms Silvia Bednárová  
Attaché  
Unit of Health  
Permanent Representation of the Slovak  
Republic to the European Union  
Avenue de Cortenbergh 107  
Brussels  
Belgium  
Tel: +32 2 7436744  
Email: [silvia.bednarova@mzv.sk](mailto:silvia.bednarova@mzv.sk)

Ms Katarina Kromerova, MD  
Deputy Head  
Department on Food Safety  
Public Health Authority of the Slovak  
Republic  
Trnavská 52  
Bratislava  
Slovakia  
Tel: +421249284327  
Email: [katarina.kromerova@uvzsr.sk](mailto:katarina.kromerova@uvzsr.sk)

Ms Dagmar Némethová  
Head of Department  
Department of International Relations  
Public Health Authority of the Slovak  
Republic  
Trnavská cesta 52  
Bratislava  
Slovakia  
Tel: +421 2 49 284 394  
Email: [dagmar.nemethova@uvzsr.sk](mailto:dagmar.nemethova@uvzsr.sk)

Mr Alexander Rogge  
Administrator  
DGB 2B  
General Secretariat of the Council  
Rue de la Loi/Wetstraat 175  
Brussels  
Belgium  
Email: [alexander.rogge@consilium.europa.eu](mailto:alexander.rogge@consilium.europa.eu)

**SOUTH AFRICA - AFRIQUE DU SUD - SUDÁFRICA**

Mr Gilbert Tshitauzi  
Deputy Director: Nutrition  
Department of Health  
Private Bag X828  
Pretoria  
South Africa  
Tel: +27 12 3958513  
Email: [TshitG@health.gov.za](mailto:TshitG@health.gov.za)

Prof Marius Smuts  
Director: Centre of Excellence for Nutrition  
North-West University  
11 Hoffman Street, North-West University  
Potchefstroom  
South Africa  
Tel: +27-18-299 2086  
Email: [cornelius-smuts@gmail.com](mailto:cornelius-smuts@gmail.com)

**SUDAN - SOUDAN - SUDÁN**

Ms Thoria Elnageeb Akasha  
Chemist of Food  
Laboratory Sector  
Sudanese Standard & Metrology  
Aljamaa Street  
Khartoum  
Sudan  
Tel: +249912468700  
Email: [elnagaka@yahoo.com](mailto:elnagaka@yahoo.com)

Mrs Maha Ibrahim  
Executive Office Manager  
Sudanese Standard & Metrology  
Organization  
Eljamaa Street  
Khartoum  
Sudan  
Tel: +249127460726  
Email: [maabmoib2391960@gmail.com](mailto:maabmoib2391960@gmail.com)

**SWEDEN - SUÈDE - SUECIA**

Ms Cecilia Wanhainen  
Principal Regulatory Officer  
National Food Agency  
Box 622  
Uppsala  
Sweden  
Tel: +46 727351485  
Email: [cecilia.wanhainen@slv.se](mailto:cecilia.wanhainen@slv.se)

**SWITZERLAND - SUISSE - SUIZA**

Mr Didier Lusuardi  
Scientific Officer  
Food and Nutrition  
Federal Food Safety and Veterinary Office  
Bern  
Switzerland  
Email: [Didier.Lusuardi@blv.admin.ch](mailto:Didier.Lusuardi@blv.admin.ch)

Dr Dirk Cremer  
Regulatory Affairs Manager  
DSM Nutritional Products Europe Ltd.,  
Human Nutrition and Health  
P.O. Box 2676 Bldg. 242/2nd floor  
Basel  
Switzerland  
Tel: +41 61 815 79 65  
Email: [dirk.cremer@dsm.com](mailto:dirk.cremer@dsm.com)

Mr Martin Müller  
Swiss Codex Contact Point  
Federal Food Safety and Veterinary Office  
Bern  
Switzerland  
Email: [martin.mueller@blv.admin.ch](mailto:martin.mueller@blv.admin.ch)

Mrs Marie-France Pagerey  
CT-Regulatory and Scientific Affairs  
Nestec SA  
Avenue Nestlé 55 Post Box  
Vevey  
Switzerland  
Tel: +41 21 924 64 29  
Email: [MarieFrance.Pagerey@nestle.com](mailto:MarieFrance.Pagerey@nestle.com)

Mrs Ursula Trüeb  
Representative  
Swiss Consumer Organizations  
Bölzli 1  
Magden  
Switzerland  
Tel: +41 61 841 12 56  
Email: [ursula.trueb@vtxmail.ch](mailto:ursula.trueb@vtxmail.ch)

Mr Paul Zwiker  
Representative  
Swiss Consumer Organizations  
Post Box 45

Bischofszell  
Switzerland  
Tel: + 41 71 420 06 44  
Email: [zwiker@bluewin.ch](mailto:zwiker@bluewin.ch)

**THAILAND - THAÏLANDE - TAILANDIA**

Prof Kraiid Tontisirin  
Senior Advisor  
National Bureau of Agricultural Commodity  
and Food Standards, Ministry of Agriculture  
and Cooperatives  
50 Phaholyothin Road, Lad Yao, Chatuchak  
Bangkok  
Thailand  
Tel: +66 (2) 561 2277  
Email: [kraisid.tontisirin@gmail.com](mailto:kraisid.tontisirin@gmail.com)

Ms Mayuree Ditmeyharoj  
Food and Drug Technical Officer  
Food and Drug Administration  
Ministry of Public Health  
Tiwanond Road  
Nonthaburi  
Thailand  
Tel: +66 (2) 590 7185  
Email: [bankyindy@yahoo.com](mailto:bankyindy@yahoo.com)

Dr Pichet Itkor  
Vice Chairman  
The Federation of Thai Industries  
Food Processing Industry Club  
Queen Sirikit National Convention Center,  
Zone C 4th Floor, 60 New Rachadapisek Rd.,  
Klongtoey  
Bangkok  
Thailand  
Tel: +66 (2) 725 1093  
Email: [Pichet.itkor@mjn.com](mailto:Pichet.itkor@mjn.com)

Ms Pitchaya Kajonwaharth  
Committee of Food Processing Industry Club  
The Federation of Thai Industries  
Queen Sirikit National Convention Center,  
Zone C 4th Floor, 60 New Rachadapisek Rd.,  
Klongtoey  
Bangkok  
Thailand  
Tel: +66 (2) 345 1167  
Email: [Pitchaya.kajonwaharth@abbott.com](mailto:Pitchaya.kajonwaharth@abbott.com)

Ms Sanida Khoonpanich  
Standards Officer  
National Bureau of Agricultural Commodity  
and Food Standards, Ministry of Agriculture  
and Cooperatives  
50 Phaholyothin Road, Lad Yao, Chatuchak  
Bangkok  
Thailand

Tel: +66 (2) 561 2277 ext. 1445  
 Email: [sanida.sk@gmail.com](mailto:sanida.sk@gmail.com)

Dr Hataya Kongchuntuk Rodbumrung  
 Committee of Food Processing Industry Club  
 The Federation of Thai Industries  
 Queen Sirikit National Convention Center,  
 Zone C 4th Floor, 60 New Rachadapisek Rd.,  
 Klongtoey  
 Bangkok  
 Thailand  
 Tel: +6684 751 4826  
 Email: [hataya.kongchuntuk@gmail.com](mailto:hataya.kongchuntuk@gmail.com)

#### **TOGO**

Dr Tchala Kazia  
 Codex Contact Point  
 Agriculture  
 Ministry of Agriculture  
 1, rue de l'Espérance  
 Lome  
 Togo  
 Tel: +22890023325  
 Email: [kaziatchala@yahoo.fr](mailto:kaziatchala@yahoo.fr)

#### **TURKEY - TURQUIE - TURQUÍA**

Mr Dursun Kodaz  
 Engineer  
 The General Directorate of Food and Control  
 The Ministry of Food, Agriculture and  
 Livestock  
 Eskisehir Yolu 9. km Lodumlu  
 Ankara  
 Turkey  
 Tel: 00903122587755  
 Email: [dursun.kodaz@tarim.gov.tr](mailto:dursun.kodaz@tarim.gov.tr)

Mrs E. Sema Toraman  
 Technical Regulatory Specialist | R&D EIA  
 Ataturk Organize San. Bolgesi 10002 Sok.  
 No:9 Cigli  
 Izmir  
 Turkey  
 Tel: +90 232 328 16 20 Ext:120  
 Email: [sema.toraman@amway.com](mailto:sema.toraman@amway.com)

#### **UGANDA - OUGANDA**

Ms Irene Wanyenya  
 Deputy Food Desk Coordinator  
 Food Desk  
 National Drug Authority  
 Plot 46-48 Lumumba Avenue P.O. Box 23096  
 Kampala  
 Uganda

Tel: +256 712 478333  
 Email: [iwanyenya@gmail.com](mailto:iwanyenya@gmail.com)

Ms Hope Kabirisi  
 Senior Presidential Assistant  
 State House  
 P.O. Box 254 Nakasero Kampala, Uganda  
 Kampala  
 Uganda  
 Tel: +256 772 505646  
 Email: [kahopekabirisi@yahoo.co.uk](mailto:kahopekabirisi@yahoo.co.uk)

#### **UNITED KINGDOM - ROYAUME-UNI - REINO UNIDO**

Mr Noel Griffin  
 Policy Manager  
 Healthy Behaviours  
 Department of Health  
 R114 Richmond House, 79 Whitehall,  
 London  
 United Kingdom  
 Email: [noel.griffin@dh.gsi.gov.uk](mailto:noel.griffin@dh.gsi.gov.uk)

#### **UNITED STATES OF AMERICA - ÉTATS-UNIS D'AMÉRIQUE - ESTADOSUNIDOS DE AMÉRICA**

Dr Douglas Balentine  
 Director  
 Labeling and Dietary Supplements  
 Office of Nutrition and Food Labeling  
 U.S. Food and Drug Administration  
 5001 Campus Drive, HPS-830  
 College Park, MD  
 United States of America  
 Tel: 240 402 2373  
 Email: [douglas.balentine@fda.hhs.gov](mailto:douglas.balentine@fda.hhs.gov)

Dr Paul Hanlon  
 Associate Director  
 Regulatory Affairs  
 Abbott Nutrition  
 3300 Stelzer Road  
 Columbus, OH  
 United States of America  
 Tel: 614 624 3213  
 Email: [paul.hanlon@abbott.com](mailto:paul.hanlon@abbott.com)

Dr Leila Beker  
 Senior Interdisciplinary Scientist  
 Labeling and Dietary Supplements  
 Office of Nutrition and Food Labeling  
 U.S. Food and Drug Administration  
 5001 Campus Drive  
 College Park, Maryland  
 United States of America



Tel: 12404021851  
Email: [leila.beker@fda.hhs.gov](mailto:leila.beker@fda.hhs.gov)

Ms Joanna Brown  
International Economist  
U.S. Department of Agriculture  
Foreign Agriculture Service  
1400 Independence Avenue, SW  
Washington, DC  
United States of America  
Tel: (202) 690-0131  
Email: [joanna.brown@fas.usda.gov](mailto:joanna.brown@fas.usda.gov)

Dr Susan Carlson  
AJ Rice Professor of Nutrition, Director  
PhD Program in Medical Nutrition Science  
Univ. of Kansas Medical Center  
3901 Rainbow Blvd  
Kansas City  
United States of America  
Tel: 913 588 5359  
Email: [scarlson@kumc.edu](mailto:scarlson@kumc.edu)

Mrs Doreen Chen-Moulec  
International Issues Analyst  
Food Safety and Inspection Service; Office of  
CODEX  
U.S. Department of Agriculture  
1400 Independence Ave  
Washington, DC  
United States of America  
Tel: 202-720-4063  
Email: [Doreen.Chen-Moulec@fsis.usda.gov](mailto:Doreen.Chen-Moulec@fsis.usda.gov)

Dr Carolyn Chung  
Nutritionist  
Labeling and Dietary Supplements  
Office of Nutrition and Food Labeling  
U.S. Food and Drug Administration  
5001 Campus Drive, HPS-830  
College Park, MD  
United States of America  
Tel: 202 402 3068  
Email: [carolyn.chung@fda.hhs.gov](mailto:carolyn.chung@fda.hhs.gov)

Mrs Cheryl Issa  
Public Health Nutritionist  
Labeling and Dietary Supplements  
Office of Nutrition and Food Labeling  
U.S. Food and Drug Administration  
5001 Campus Drive  
College Park, Maryland  
United States of America  
Tel: 124041441  
Email: [cheryl.issa@fda.hhs.gov](mailto:cheryl.issa@fda.hhs.gov)

Ms Elizabeth Jordan-Bell  
Nutrition Advisor  
U.S. Agency for International Development  
Office of Maternal and Child Health and  
Nutrition  
1299 Pennsylvania Avenue,  
Washington  
United States of America  
Tel: 202 808 3878  
Email: [ejordanbell@usaid.gov](mailto:ejordanbell@usaid.gov)

Ms Catherine Kwik-Urbe  
Scientific & Regulatory Affairs, MSS  
Mars Inc.  
20425 Seneca Meadows Parkway,  
Germantown, MD  
United States of America  
Tel: 301-444-7951  
Email: [Catherine.Kwik-Urbe@mss.affm.com](mailto:Catherine.Kwik-Urbe@mss.affm.com)

Ms Mardi Mountford  
President  
International Formula Council  
1100 Johnson Ferry Road,  
Atlanta, GA  
United States of America  
Tel: 1404 252 3663  
Email: [mmountford@kellencompany.com](mailto:mmountford@kellencompany.com)

Dr Pamela Pehrsson  
Research Leader  
USDA  
ARS-Nutrient Data Laboratory  
10300 Baltimore Avenue Bldg. 005  
Beltsville  
United States of America  
Tel: 3015040635  
Email: [pamela.pehrsson@ars.usda.gov](mailto:pamela.pehrsson@ars.usda.gov)

Dr Rufino Perez  
USAID/FFP Senior Food Technology Advisor  
U.S. Agency for International Development  
Office for Food for Peace  
180 West Manchester Drive  
Wheeling, IL  
United States of America  
Tel: 571 225 4287  
Email: [ruperez@usaid.gov](mailto:ruperez@usaid.gov)

**URUGUAY**

Mrs María Elizabeth Bogosian  
 Consul General en Hamburgo  
 Consulado General de Uruguay en  
 Hamburgo  
 Ministerio de Relaciones Exteriores  
 Hochallee 76  
 20149 Hamburg  
 Germany  
 Tel: +49-1578 7548221  
 Email: [elizabethbogosian@conuruale.de](mailto:elizabethbogosian@conuruale.de)

Tel: 903941827  
 Email: [kimhangle128@yahoo.com](mailto:kimhangle128@yahoo.com)

Mrs Thi Thanh Hang Pham  
 Official  
 Vietnam Food Administration  
 Ministry of Health  
 135 Nui truc street  
 Viet Nam  
 Tel: 983547603  
 Email: [hangpham2267@gmail.com](mailto:hangpham2267@gmail.com)

**VIET NAM**

Mrs Thi Thuy Lan Do  
 Regulatory Affairs Manager  
 Abbott Laboratories S.A  
 8th Floor, A Tower, Handi Resco Building No  
 521 Kim Ma Str, Ba Dinh District,  
 Hanoi  
 Viet Nam  
 Tel: 988 26 55 83  
 Email: [Lan.dothithuy@abbott.com](mailto:Lan.dothithuy@abbott.com)

Mrs Kim Hang Le  
 Food Inspector  
 Quality Assurance and Testing center 3  
 Directorate for Standards and Quality  
 49 Pasteur street, District 1  
 Ho Chi Minh  
 Viet Nam

**ZIMBABWE**

Mrs Ancikaria. Chigumira  
 Deputy Director-Nutrition  
 Nutrition Services  
 Ministry of Health and Child Care  
 P.O.Box CY 1122, Causeway  
 Harare  
 Zimbabwe  
 Tel: +263 4 792454  
 Email: [ancikaria53@gmail.com](mailto:ancikaria53@gmail.com)

Mr Fredy Chinyavanhu  
 Deputy Director-Food Control  
 Government Analyst Laboratory  
 Ministry of Health and Child Care  
 P.O. Box CY 231, Causeway, Harare.  
 Harare  
 Zimbabwe  
 Tel: +263 712 875 435  
 Email: [nepfoodsafety.zw@gmail.com](mailto:nepfoodsafety.zw@gmail.com)

**SPECIAL OBSERVERS - OBSERVATEURS SPECIAUX - OBSERVADORES ESPECIALES****PALESTINE – PALESTINA**

Mr Mousa Alhalayqa  
 Acting Director  
 Nutrition Department  
 Ministry of Health  
 Palestine  
 Email: [sjayyousi@psi.pna.ps](mailto:sjayyousi@psi.pna.ps)

Mr Saleem Jayyousi  
 Chair  
 Technical Regulations Committee  
 Palestine Standards Institution  
 Palestine  
 Email: [sjayyousi@psi.pna.ps](mailto:sjayyousi@psi.pna.ps)

**ORGANIZATIONS - ORGANISATIONS OBSERVATEURS - ORGANIZACIONES OBSERVADORAS****AFRICAN UNION (AU)**

Dr Raphael Coly  
 Coordinator Standards & Trade Secretariat  
 AU-IBAR  
 African Union  
 Kenindia Business Park Westlands Road  
 Nairobi

Kenya  
 Tel: +254203674323  
 Email: [raphael.coly@au-ibar.org](mailto:raphael.coly@au-ibar.org)

Mr John Oppong-Otoo  
 Food Safety Officer  
 Drea  
 African Union

Westlands Road  
Nairobi  
Kenya  
Tel: +254203674338  
Email: [john.oppong-otoo@au-ibar.org](mailto:john.oppong-otoo@au-ibar.org)

**INTER-AMERICAN INSTITUTE FOR  
COOPERATION ON AGRICULTURE (IICA)**

Dr Horryst Friaca  
Food Safety Specialist  
Agricultural Health and Food Safety  
Interamerican Institute for Cooperation on  
Agriculture - IICA  
1889 F St. NW, Suite 360, Washington, DC,  
20006.  
Washington  
United States of America  
Tel: +1-202-458-6965  
Email: [horryst.friaca@iica.int](mailto:horryst.friaca@iica.int)

**AOAC INTERNATIONAL (AOAC)**

Mr Darryl Sullivan  
Secretary  
AOAC INTERNATIONAL  
2275 Research Blvd, Suite 300  
Rockville  
United States of America  
Email: [darryl.sullivan@covance.com](mailto:darryl.sullivan@covance.com)

Mr Wayne Wargo  
Principal Res Scientist  
AR&D and Food Safety  
Abbott Nutrition  
3300 Stelzer Road, D104110/RP4-2  
Columbus  
United States of America  
Email: [wayne.wargo@abbott.com](mailto:wayne.wargo@abbott.com)

**AMERICAN OIL CHEMISTS' SOCIETY  
(AOCS)**

Dr Barry Tulk  
Lead  
Analytical Sciences  
DuPont Nutrition & Health  
4300 Duncan Ave  
St Louis  
United States of America  
Email: [Barry.Tulk@dupont.com](mailto:Barry.Tulk@dupont.com)

**ASSOCIATION OF EUROPEAN COELIAC  
SOCIETIES (AOECS)**

Mrs Hertha Deutsch  
Codex and Regulatory Affairs  
AOECS

Anton-Baumgartner-Strasse 44/C5/2302  
Vienna  
Austria  
Tel: +43/1 66 71 887  
Email: [hertha.deutsch@gmx.at](mailto:hertha.deutsch@gmx.at)

**CALORIE CONTROL COUNCIL (CCC)**

Ms Victoria Betteridge  
VP & Director, Reg. & Government Affairs  
Calorie Control Council  
Tate & Lyle Plc 1 Kingsway  
London  
United Kingdom  
Email: [victoria.betteridge@tateandlyle.com](mailto:victoria.betteridge@tateandlyle.com)

Mr Wim Caers  
Regulatory Affairs Director  
Calorie Control Council  
Tate & Lyle Plc 1 Kingsway  
London  
United Kingdom  
Email: [wim.caers@tateandlyle.com](mailto:wim.caers@tateandlyle.com)

**CONSEIL EUROPÉEN DE L'INDUSTRIE  
CHIMIQUE (CEFIC)**

Mrs Eleanor Tredway  
Regulatory Affairs Manager  
Food Chain  
CEFIC  
4 Avenue E. Van Nieuwenhuysse  
Brussels  
Belgium  
Email: [mve@cefic.be](mailto:mve@cefic.be)

**COUNCIL FOR RESPONSIBLE NUTRITION  
(CRN)**

Dr James Griffiths  
Vice President  
Science & International Affairs  
CRN  
1828 L St., NW Ste. 510  
Washington  
United States of America  
Tel: 202-204-7662  
Email: [jgriffiths@crnusa.org](mailto:jgriffiths@crnusa.org)

Dr Daniel Marsman  
Head, Product Safety  
Product Safety  
CRN - Procter & Gamble  
P&G 8700 Mason-Montgomery Road  
Mason  
United States of America  
Tel: 513-698-6088  
Email: [marsman.ds@pg.com](mailto:marsman.ds@pg.com)

Mr David Morrison  
VP, Scientific & Regulatory Affairs  
Scientific & Regulatory Affairs  
CRN - Vitamin Shoppe  
2101 91st Street  
North Bergen  
United States of America  
Tel: 201-624-3606  
Email: [dmorrison@vitaminshoppe.com](mailto:dmorrison@vitaminshoppe.com)

#### **FEDERATION OF EUROPEAN SPECIALTY FOOD INGREDIENTS INDUSTRIES (ELC)**

Ms Catherine Mignot  
Member  
ELC, Federation of European Specialty Food  
Ingredients Industries  
Email: [catherine.mignot@dsm.com](mailto:catherine.mignot@dsm.com)

Mr Christian Baz  
Member  
ELC, Federation of European Specialty Food  
Ingredients Industries  
Email: [Christian\\_Baz@aoc.ajinomoto.com](mailto:Christian_Baz@aoc.ajinomoto.com)

Ms Caroline Bustandi  
Member  
ELC, Federation of European Specialty Food  
Ingredients Industries  
Email: [caroline.bustandi@beneo.com](mailto:caroline.bustandi@beneo.com)

Prof Stewart Forsyth  
Member  
ELC, Federation of European Specialty Food  
Ingredients Industries  
Email: [elc@ecco-eu.com](mailto:elc@ecco-eu.com)

Dr Rob Winwood  
Member  
ELC  
Email: [rob.winwood@dsm.com](mailto:rob.winwood@dsm.com)

#### **EUROPEAN NETWORK OF CHILDBIRTH ASSOCIATIONS (ENCA)**

Dr Helen Crawley  
First Steps Nutrition Trust  
ENCA  
Email: [helen@firststepsnutrition.org](mailto:helen@firststepsnutrition.org)

#### **EUROPEAN SOCIETY FOR PAEDIATRIC GASTROENTEROLOGY HEPATOLOGY AND NUTRITION (ESPGHAN)**

Prof Berthold Koletzko  
Professor of Paediatrics  
Dr von Hauner Children's Hospital  
ESPGHAN  
Lindwurmstr. 4  
München  
Germany  
Tel: +4989440052826  
Email: [berthold.koletzko@uni-muenchen.de](mailto:berthold.koletzko@uni-muenchen.de)

Prof Alexandre Lapillone  
Professor  
Hopital Necker Univ. Descartes Paria  
ESPGHAN  
149 Rue de Sèvres, 75015 Paris, France  
Paris  
France  
Email: [office@espghan.org](mailto:office@espghan.org)

#### **EUROPEAN VEGETABLE PROTEIN FEDERATION (EUVEPRO)**

Mrs Susanne Meyer  
Secretary General  
EUVEPRO  
Avenue Jules Bordet 142  
Brussels  
Belgium  
Email: [euvepro@agep.eu](mailto:euvepro@agep.eu)

Mr Victor Basuki  
EUVEPRO  
Avenue Jules Bordet 142  
Brussels  
Belgium  
Email: [Victor.Basuki@dupont.com](mailto:Victor.Basuki@dupont.com)

Mr Huub Scheres  
EUVEPRO  
Avenue Jules Bordet 142  
Brussels  
Belgium  
Email: [Huub.Scheres@dupont.com](mailto:Huub.Scheres@dupont.com)

**FOOD INDUSTRY ASIA (FIA)**

Ms Yifan Jiang  
Regional Regulatory Affairs Manager  
Food Industry Asia (FIA)  
1 Scotts Road, Shaw Centre #19-07/08  
Singapore  
Tel: +65 6235 3854  
Email: [yifan.jiang@foodindustry.asia](mailto:yifan.jiang@foodindustry.asia)

**FOODDRINKEUROPE**

Mrs Susanne Aschmoneit  
FoodDrinkEurope  
Email: [Susanne.Aschmoneit@unilever.com](mailto:Susanne.Aschmoneit@unilever.com)

Mr Dirk Jacobs  
Deputy Director General  
FoodDrinkEurope  
9-31 Av. des Nerviens  
Brussels  
Belgium  
Email: [d.jacobs@fooddrinkeuropa.eu](mailto:d.jacobs@fooddrinkeuropa.eu)

Mrs Annie Loc'h  
Directeur Affaires Réglementaires  
FoodDrinkEurope  
Avenue des Nerviens 9-31  
Bruxelles  
Belgium  
Email: [annie.loch@danone.com](mailto:annie.loch@danone.com)

Mrs Sabine Seggelke  
Corporate public affairs Director  
FoodDrinkEurope  
Av des Nerviens 9-31  
Brussels  
Belgium  
Email: [sabine.seggelke@dsm.com](mailto:sabine.seggelke@dsm.com)

Ms Aleksandra Wesolowska  
FoodDrinkEurope  
Av des Nerviens, 9-31  
Brussels  
Belgium  
Email: [awesolowska@coca-cola.com](mailto:awesolowska@coca-cola.com)

**GLOBAL ORGANIZATION FOR EPA AND DHA OMEGA-3S (GOED)**

Dr Harry Rice  
VP, Regulatory & Scientific Affairs  
Global Organization for EPA and DHA  
Omega-3s (GOED)  
1075 Hollywood Avenue  
Salt Lake City  
United States of America  
Email: [harry@goedomega3.com](mailto:harry@goedomega3.com)

**HELEN KELLER INTERNATIONAL (HKI)**

Ms Jane Badham  
Consultant  
Hellen Keller International  
PO Box 67396 Bryanston 2021 South Africa  
Johannesburg  
South Africa  
Tel: 27114630679  
Email: [jane@jbconsultancy.co.za](mailto:jane@jbconsultancy.co.za)

Dr Elhadji Issakha Diop  
Regional Nutrition Specialist  
Helen Keller International  
Yoff Toundoup Rya Lot 122| 29898 Dakar-  
Yoff Senegal  
Dakar  
Senegal  
Tel: +221 33 869 10 63  
Email: [EDiop@hki.org](mailto:EDiop@hki.org)

Dr Chessa Lutter  
Consultant  
Helen Keller International  
C/O HKI 1120 20th Street NW Suite 500 N  
Washington, D.C. 20036 USA  
Washington  
United States of America  
Email: [chessa.lutter@gmail.com](mailto:chessa.lutter@gmail.com)

**INTERNATIONAL ASSOCIATION OF CONSUMER FOOD ORGANIZATIONS (IACFO)**

Ms Patti Rundall  
Policy Director  
Baby Milk Action IBFAN UK  
4 Brooklands Avenue  
Cambridge  
United Kingdom  
Tel: +441223464420  
Email: [prundall@babymilkaction.org](mailto:prundall@babymilkaction.org)

**INTERNATIONAL ALLIANCE OF DIETARY/FOOD SUPPLEMENT ASSOCIATIONS (IADSA)**

Mr David Richardson  
International Alliance of Dietary/Food  
Supplement Associations (IADSA)  
Gridiron Building One Pancras Square  
London  
United Kingdom  
Email: [secretariat@iadsa.org](mailto:secretariat@iadsa.org)

Mr Tomoji Igarashi  
 Members  
 International Alliance of Dietary/Food  
 Supplements Associations (IADSA)  
 Gridiron Building One Pancras Square  
 London  
 United Kingdom  
 Email: [secretariat@iadsa.org](mailto:secretariat@iadsa.org)

Mr Simon Pettman  
 Executive Director  
 International Alliance of Dietary/Food  
 Supplement Associations (IADSA)  
 Gridiron building One Pancras Square  
 London  
 United Kingdom  
 Email: [secretariat@iadsa.org](mailto:secretariat@iadsa.org)

Dr Nico Raczek  
 member  
 International Alliance of Dietary/Food  
 Supplements Associations (IADSA)  
 Gridiron Building One Pancras Square  
 London  
 United Kingdom  
 Email: [secretariat@iadsa.org](mailto:secretariat@iadsa.org)

Ms Cynthia Rousselot  
 Director Scientific & Technical Affairs  
 International Alliance of Dietary/Food  
 Supplement Associations (IADSA)  
 Gridiron Building One Pancras Square  
 London  
 United Kingdom  
 Tel: 00447903731078  
 Email: [secretariat@iadsa.org](mailto:secretariat@iadsa.org)

Mr Andrew Shao  
 Chair Scientific Council  
 International Alliance of Dietary/Food  
 Supplements Associations (IADSA)  
 Gridiron Building One Pancras Square  
 London  
 United Kingdom  
 Email: [secretariat@iadsa.org](mailto:secretariat@iadsa.org)

Ms Michelle Stout  
 IADSA Board member  
 International Alliance of Dietary/Food  
 Supplement Associations (IADSA)  
 Gridiron Building One Pancras Square  
 London  
 United Kingdom  
 Email: [secretariat@iadsa.org](mailto:secretariat@iadsa.org)

#### **INTERNATIONAL BABY FOOD ACTION NETWORK (IBFAN)**

Ms Elisabeth Sterken  
 Director INFACCT Canada/IBFAN North  
 America  
 International Baby Food Action Network  
 (IBFAN)  
 63 Burtch's Lane  
 Rockport, ON  
 Canada  
 Email: [esterken@infactcanada.ca](mailto:esterken@infactcanada.ca)

Dr Jai Prakash Dadhich  
 National Coordinator, Breastfeeding  
 Promotion Network of India (BPNI)  
 International Baby Food Action Network  
 (IBFAN)  
 BP-33, Pitampura  
 Delhi  
 India  
 Tel: +91-11-27343608,  
 Email: [jpdadhich@bpni.org](mailto:jpdadhich@bpni.org)

#### **INTERNATIONAL CO-OPERATIVE ALLIANCE (ICA)**

Mr Kazuo Onitake  
 Head of Unit, Staff of Safety Policy Service  
 Japanese Consumers' Co-operative Union  
 International Co-operative Alliance  
 Coop Plaza 3-29-8 Shibuya, Shibuya-ku  
 Tokyo  
 Japan  
 Tel: +81 3 5778 8109  
 Email: [kazuo.onitake@jccu.coop](mailto:kazuo.onitake@jccu.coop)

Mr Hitoshi Inoue  
 Assistant Manager  
 Safety Policy Service  
 Japanese Consumers' Co-operative Union  
 CO-OP Plaza, 3-29-8, Shibuya, Shibuya-Ku  
 Tokyo  
 Japan  
 Tel: +81-3-5778-8109  
 Email: [hitoshi.72.inoue@jccu.coop](mailto:hitoshi.72.inoue@jccu.coop)

#### **INTERNATIONAL COUNCIL ON AMINO ACID SCIENCE (ICAAS)**

Dr Masashi Nagata  
 ICAAS - International Council on Amino Acid  
 Science  
 Email: [ICAAS@kelleneurope.com](mailto:ICAAS@kelleneurope.com)

Mr Hiromi Ota  
 ICAAS - International Council on Amino Acid  
 Science  
 Tel: +81447385467  
 Email: [ICAAS@kelleneurope.com](mailto:ICAAS@kelleneurope.com)

**INTERNATIONAL COUNCIL OF BEVERAGES ASSOCIATIONS (ICBA)**

Dr Hugh Lippman  
Technical Advisor  
International Council of Beverages Associations  
ICBA c/o American Beverage Association  
1275 Pennsylvania Avenue NW, Suite 1100  
Washington DC  
United States of America  
Email: [lippman@coca-cola.com](mailto:lippman@coca-cola.com)

Dr Tatsuya Ehara  
Technical Advisor  
Morinaga Milk Industry Co.,LTD  
5-1-83, Higashihar Kanagawa pref.  
Zama city  
Japan  
Tel: +81-462-52-3046  
Email: [t-ehara@morinagamilk.co.jp](mailto:t-ehara@morinagamilk.co.jp)

Mr Soichiro Shima  
Technical Advisor  
Japan Soft Drink Association  
2-3-3 Daiba, Minato-ku  
Tokyo  
Japan  
Tel: +81-3-5579-1521  
Email: [Soichiro\\_Shima@suntory.co.jp](mailto:Soichiro_Shima@suntory.co.jp)

**INTERNATIONAL CHEWING GUM ASSOCIATION (ICGA)**

Mr Christophe Lepretre  
Executive Director - Regulatory and Scientific Affairs  
ICGA  
Stephanie I Avenue Louise, 54  
Brussels  
Belgium  
Tel: +32 (0) 2 645 5060/5078  
Email: [lepretre@gumassociation.org](mailto:lepretre@gumassociation.org)

**INTERNATIONAL COUNCIL OF GROCERY MANUFACTURERS ASSOCIATIONS (ICGMA)**

Ms Kimberly Wingfield  
Director, Science Policy, Labeling and Standards  
Grocery Manufacturers Association  
1350 I Street, N.W. Suite 300  
Washington, DC  
United States of America  
Email: [kwingfield@gmaonline.org](mailto:kwingfield@gmaonline.org)

Dr Debra Miller  
Director, Science and Regulatory Affairs  
The Hershey Company  
1025 Reese Ave.  
Hershey, Pennsylvania  
United States of America  
Email: [debramiller@hersheys.com](mailto:debramiller@hersheys.com)

**INTERNATIONAL DAIRY FEDERATION (IDF/FIL)**

Ms Luisa Candido  
Nutrition and Technical Manager  
Dairy UK  
United Kingdom  
Email: [lcandido@dairyUK.org](mailto:lcandido@dairyUK.org)

Ms Laurence Rycken  
Technical Manager  
International Dairy Federation  
Boulevard Auguste Reyers 70B  
Brussels  
Belgium  
Email: [lrycken@fil-idf.org](mailto:lrycken@fil-idf.org)

Mr Harrie van den Bijgaart  
Operations Manager Laboratories  
Qlip B.V.  
Oostzeestraat 2a, P.O. Box 119  
Zutphen  
Netherlands  
Tel: +31887547010  
Email: [bijgaart@qlip.nl](mailto:bijgaart@qlip.nl)

Ms Dacia Whitsett-Morrow  
Manager, Strategy & Insights  
U.S. Dairy Export Council  
2101 Wilson Blvd., Suite 400  
Arlington  
United States of America  
Email: [DWhitsett@usdec.org](mailto:DWhitsett@usdec.org)

**INTERNATIONAL FOOD ADDITIVES COUNCIL (IFAC)**

Ms Allison Cooke  
Mgr., Regulatory & Scientific Affairs  
International Food Additives Council  
750 National Press Building 529 14th Street  
NW  
Washington  
United States of America  
Tel: 2022071130  
Email: [acooke@kellencompany.com](mailto:acooke@kellencompany.com)

Mr Hugo Yu  
International Food Additives Council  
DuPont Nutrition and Health 18/F, Tower A,  
Gemdale Plaza No. 91, Jianguo Road

Chaoyang District  
Beijing  
China  
Tel: 86 10 85571769  
Email: [hugo.yu@dupont.com](mailto:hugo.yu@dupont.com)

**INSTITUTE OF FOOD TECHNOLOGISTS  
(IFT)**

Prof Rosemary Walzem  
Institute of Food Technologists  
Department of Poultry Science and Faculty of  
Nutrition 242D Kleberg Center MS 2472  
Texas A&M University College Station, TX  
77843-22472  
College Station  
United States of America  
Tel: 979.847.7361  
Email: [rwalzem@tamu.edu](mailto:rwalzem@tamu.edu)

Mrs Sheila Gautier  
IFT  
Email: [sheila.gautier@dsm.com](mailto:sheila.gautier@dsm.com)

**INTERNATIONAL LACTATION  
CONSULTANT ASSOCIATION (ILCA)**

Mrs Maryse Arendt  
Lactation Consultant IBCLC  
Initiativ Liewensufank Luxemburg  
ILCA  
20 rue de Contern  
Itzig  
Luxembourg  
Email: [maryse.arendt@liewensufank.lu](mailto:maryse.arendt@liewensufank.lu)

**INTERNATIONAL LIFE SCIENCES  
INSTITUTE (ILSI)**

Ms Flavia Goldfinger  
Executive Director  
ILSI Brasil  
Rua Hungria 664 - cj 113  
Sao Paulo  
Brazil  
Tel: 55-11-30355585  
Email: [flavia@ilsil.org.br](mailto:flavia@ilsil.org.br)

Mr Antonio Manoel Mantoan  
ILSI Brasil  
Rua Artur Azevedo 1231  
Sao Paulo  
Brazil  
Tel: 55-119-8580-7108  
Email: [antoniomantoan@hotmail.com](mailto:antoniomantoan@hotmail.com)

Mr Takashi Shimizu  
Department Manager  
R&D Division

Morinaga Milk Industry Co., Ltd.  
5-1-83, Hashihara Zama  
Kanagawa  
Japan  
Tel: 81-46-252-3046  
Email: [t\\_simizu@morinagamilk.co.jp](mailto:t_simizu@morinagamilk.co.jp)

Mr Shigeru Taniguchi  
Executive Officer  
R&D Division  
Meiji Company, Ltd.  
540 Naruda Odawara  
Kanagawa  
Japan  
Tel: 81-465-37-3674  
Email: [shigeru.taniguchi@meiji.com](mailto:shigeru.taniguchi@meiji.com)

**INTERNATIONAL PROBIOTICS  
ASSOCIATION (IPA)**

Mr George Paraskevacos  
Executive Director  
International Probiotics Association  
1824 South Robertson Blvd.  
Los Angeles  
United States of America  
Tel: 514-571-5949  
Email: [george@internationalprobiotics.org](mailto:george@internationalprobiotics.org)

**INTERNATIONAL SPECIAL DIETARY  
FOODS INDUSTRIES (ISDI)**

Mr Michael J. Barry  
Regulatory Affairs Officer  
ISDI-International Special Dietary Foods  
Industries  
Email: [secretariat@isdi.org](mailto:secretariat@isdi.org)

Ms Cristine Bradley  
Regulatory Affairs Officer  
ISDI-International Special Dietary Foods  
Industries  
Email: [secretariat@isdi.org](mailto:secretariat@isdi.org)

Mr Jan Carey  
Regulatory Affairs Officer  
ISDI-International Special Dietary Foods  
Industries  
Email: [secretariat@isdi.org](mailto:secretariat@isdi.org)

Mrs Marie-Odile Gailing  
Regulatory Affairs Officer  
ISDI-International Special Dietary Foods  
Industries  
Email: [secretariat@isdi.org](mailto:secretariat@isdi.org)

Ms Louise Gottsche  
Regulatory Affairs Officer  
ISDI-International Special Dietary Foods



Industries  
Email: [secretariat@isdi.org](mailto:secretariat@isdi.org)

Mr Jean Christophe Kremer  
Secretary General  
ISDI-International Special Dietary Foods  
Industries  
Email: [secretariat@isdi.org](mailto:secretariat@isdi.org)

Mr Xavier Lavigne  
Regulatory Affairs Officer  
ISDI-International Special Dietary Foods  
Industries  
Email: [secretariat@isdi.org](mailto:secretariat@isdi.org)

Ms Nuria Moreno Otero  
Regulatory Affairs Officer  
ISDI-International Special Dietary Foods  
Industries  
Email: [secretariat@isdi.org](mailto:secretariat@isdi.org)

Mr Jaap Schrijver  
Regulatory Affairs Officer  
ISDI-International Special Dietary Foods  
Industries  
Email: [secretariat@isdi.org](mailto:secretariat@isdi.org)

Mr Peter Van Dael  
Regulatory Affairs Officer  
ISDI-International Special Dietary Foods  
Industries  
Email: [secretariat@isdi.org](mailto:secretariat@isdi.org)

#### **INTERNATIONAL FOOD POLICY RESEARCH INSTITUTE**

Dr Anne Mackenzie  
6442 Aston Road  
Ottawa  
Canada  
Tel: 613 692 0211  
Email: [a.mackenzie@cgjar.org](mailto:a.mackenzie@cgjar.org)

Dr Meike Andersson  
CIAT/HarvestPlus  
Email: [m.andersson@cgjar.org](mailto:m.andersson@cgjar.org)

Ms Marilia Nutti  
HarvestPlus - IFPRI  
Email: [m.nutti@cgjar.org](mailto:m.nutti@cgjar.org)

#### **MÉDECINS SANS FRONTIÈRES INTERNATIONAL MSF (MSF)**

Mrs Odile Caron  
Coordinator for Food Quality Assurance  
QA International Office

MSF (Medecins Sans Frontières International)  
Email: [odile.caron@msf.org](mailto:odile.caron@msf.org)

Dr Kerstin Hanson  
Nutrition and Pediatrics referent  
MSF France  
MSF (Medecins Sans Frontières)  
Email: [kerstin.hanson@msf.org](mailto:kerstin.hanson@msf.org)

#### **NATIONAL HEALTH FEDERATION (NHF)**

Mr Scott Tips  
President  
National Health Federation  
PO Box 688  
Monrovia  
United States of America  
Tel: 16263572181  
Email: [scott@rivieramail.com](mailto:scott@rivieramail.com)

Ms Katherine Carroll  
Executive Director  
California  
National Health Federation  
PO Box 688  
Monrovia  
United States of America  
Tel: 16263572181  
Email: [katacarroll@gmail.com](mailto:katacarroll@gmail.com)

Mr David Noakes  
NHF Board Member  
NHF  
PO Box 688  
Monrovia  
United States of America  
Tel: +1 626 357 2181  
Email: [dn@help.vg](mailto:dn@help.vg)

#### **SPECIALISED NUTRITION EUROPE (SNE)**

Ms Aurelie Perrichet  
Specialised Nutrition Europe  
Avenue des Nerviens 9-31  
Brussels  
Belgium  
Tel: +32 2 508 10 74  
Email: [secretariat@specialisednutritioneurope.eu](mailto:secretariat@specialisednutritioneurope.eu)

Ms Wioleta Dzieszuk-Brzozowska  
Specialised Nutrition Europe  
Avenue des Nerviens 9-31  
Brussels  
Belgium  
Tel: +32 2 508 10 74  
Email: [secretariat@specialisednutritioneurope.eu](mailto:secretariat@specialisednutritioneurope.eu)

Mrs Mary Friel  
Specialised Nutrition Europe  
Avenue des Nerviens 9-31  
Brussels  
Belgium  
Tel: +32 2 508 10 74  
Email: [secretariat@specialisednutritioneurope.eu](mailto:secretariat@specialisednutritioneurope.eu)

Mr Kaushik Janakiraman  
SNE Delegation  
Specialised Nutrition Europe (SNE)  
Brussels  
Belgium  
Tel: +32 2 508 10 74  
Email: [secretariat@specialisednutritioneurope.eu](mailto:secretariat@specialisednutritioneurope.eu)

Ms Joanna Klosowska  
Specialised Nutrition Europe  
Avenue des Nerviens 9-31  
Brussels  
Belgium  
Tel: +32 2 508 10 74  
Email: [secretariat@specialisednutritioneurope.eu](mailto:secretariat@specialisednutritioneurope.eu)

Mr Declan O'Brien  
Specialised Nutrition Europe  
Avenue des Nerviens 9-31  
Brussels  
Belgium  
Tel: +32 2 508 10 74  
Email: [secretariat@specialisednutritioneurope.eu](mailto:secretariat@specialisednutritioneurope.eu)

Ms Susanne Steinberg  
SNE Delegation  
Specialised Nutrition Europe (SNE)  
Brussels  
Belgium  
Tel: +32 2 508 10 74  
Email: [secretariat@specialisednutritioneurope.eu](mailto:secretariat@specialisednutritioneurope.eu)

Mr Leslie Teo  
SNE Delegation  
Specialised Nutrition Europe (SNE)  
Brussels  
Belgium  
Tel: +32 2 508 10 74  
Email: [secretariat@specialisednutritioneurope.eu](mailto:secretariat@specialisednutritioneurope.eu)

Ms Sherry Xu  
Specialised Nutrition Europe  
Avenue des Nerviens 9-31  
Brussels  
Belgium

Tel: +32 2 508 10 74  
Email: [secretariat@specialisednutritioneurope.eu](mailto:secretariat@specialisednutritioneurope.eu)

#### **ASSOCIATION OF YOGHURTS & LIVE FERMENTED MILKS (YLFA)**

Ms Carine Lambert  
Secretary General  
YLFA International  
Ave d'Auderghem 22-28  
Brussels  
Belgium  
Tel: +32 2 549 50 81  
Email: [c.lambert@ylfa.org](mailto:c.lambert@ylfa.org)

#### **UNITED NATIONS CHILDREN'S FUND (UNICEF)**

Ms Alison Fleet  
Technical Specialist  
Nutrition  
UNICEF  
Oceanvej 10-12  
Copenhagen  
Denmark  
Tel: +45 45335642  
Email: [afleet@unicef.org](mailto:afleet@unicef.org)

#### **FAO PERSONNEL PERSONNEL DE LA FAO PERSONAL DE LA FAO**

Dr Warren Lee  
Senior Nutrition Officer & Group Leader  
Nutrition and Food Systems Division (ESN)  
FAO  
Viale delle Terme di Caracalla  
Rome  
Italy  
Tel: +39 06 570 54077  
Email: [warren.lee@fao.org](mailto:warren.lee@fao.org)

Dr Markus Lipp  
JECFA Secretariat, Scientific Advice  
AGFF  
Food and Agriculture Organization  
Via delle Terme di Caracalla  
Rome  
Italy  
Tel: +39 06570 53283  
Email: [markus.lipp@fao.org](mailto:markus.lipp@fao.org)

Ms Maria Xipsiti  
Nutrition Officer  
Nutrition and Food Systems Division  
Food and Agriculture Organization of the UN  
Viale delle Terme di Caracalla  
Rome

Italy  
Tel: 0657056060  
Email: [maria.xipsiti@fao.org](mailto:maria.xipsiti@fao.org)

**WHO PERSONNEL  
PERSONNEL DE L'OMS  
PERSONAL DE LA OMS**

Dr Chizuru Nishida  
Coordinator, Nutrition Policy and Scientific  
Advice  
Department of Nutrition for Health and  
Development  
WHO  
20 Avenue Appia  
Geneva  
Switzerland  
Tel: +41 22 791 3317  
Email: [nishidac@who.int](mailto:nishidac@who.int)

Dr Jason Montez  
Technical Officer, Nutrition Policy and  
Scientific Advice  
Department of Nutrition for Health and  
Development  
WHO  
20 Avenue Appia  
Geneva  
Switzerland  
Email: [montezj@who.int](mailto:montezj@who.int)

Mr Marcus M. Stahlhofer  
Technical Officer  
Department of Maternal, Newborn, Child and  
Adolescent health  
WHO  
20 Avenue Appia  
Geneva

Switzerland  
Email: [stahlhoferm@who.int](mailto:stahlhoferm@who.int)

**CODEX SECRETARIAT  
SECRETARIAT DU CODEX  
SECRETARÍA DEL CODEX**

Mrs Verna Carolissen-Mackay  
Food Standards Officer  
Joint FAO/WHO Food Standards Programme  
Food and Agriculture Organization of the  
United Nations (FAO)  
Viale delle Terme di Caracalla  
Rome  
Italy  
Tel: +39 06 5705 5629  
Email: [verna.carolissen@fao.org](mailto:verna.carolissen@fao.org)

Mr Patrick Sekitoleko  
Food Standards Officer  
Joint FAO/WHO Food Standards Programme  
Food and Agriculture Organization of the  
United Nations (FAO)  
Viale delle Terme di Caracalla  
Rome  
Italy  
Tel: +39 06 5705 6626  
Email: [patrick.sekitoleko@fao.org](mailto:patrick.sekitoleko@fao.org)

Mr David Massey  
Specialist Advisor  
Joint FAO/WHO Food Standards Programme  
Food and Agriculture Organization of the  
United Nations (FAO)  
Via delle Terme di Caracalla  
Rome  
Italy  
Tel: +39 0657053465  
Email: [David.Massey@fao.org](mailto:David.Massey@fao.org)

**CCNFSDU SECRETARIAT  
SECRETARIAT DU CCNFSDU  
SECRETARÍA DE CCNFSDU**

Ms Alina Steinert  
Federal Ministry of Food and Agriculture  
Rochusstraße 1  
Bonn  
Germany  
Tel: +49 228 99 529 4459  
Email: [ccnfsdu@bmel.bund.de](mailto:ccnfsdu@bmel.bund.de)

Mrs Ursula Siebert  
Federal Ministry of Food and Agriculture  
Rochusstraße 1  
Bonn  
Germany  
Tel: +49 228 99 529 4109  
Email: [ccnfsdu@bmel.bund.de](mailto:ccnfsdu@bmel.bund.de)

Mrs Melanie Teuber  
Federal Ministry of Food and Agriculture  
Wilhelmstraße 54  
Bonn  
Germany  
Email: [ccnfsdu@bmel.bund.de](mailto:ccnfsdu@bmel.bund.de)

## APPENDIX II

**AMENDMENT TO PROCEDURAL MANUAL: THE NUTRITIONAL RISK ANALYSIS PRINCIPLES AND GUIDELINES FOR APPLICATION TO THE WORK OF THE COMMITTEE ON NUTRITION AND FOODS FOR SPECIAL DIETARY USES (SECTION 6 – SELECTION OF RISK ASSESSOR BY CCNFSDU)****(for adoption)****(Note: amendments in bold and underlined)**

33. Consistent with their important role in providing scientific advice to the Codex Alimentarius Commission and its subsidiary bodies, FAO and/or WHO, including the FAO/WHO Joint Expert Meetings on Nutrition (JEMNU), are acknowledged as the primary source of nutritional risk assessment advice to Codex Alimentarius. This acknowledgement however, does not preclude the possible consideration of recommendations arising from other internationally recognized expert bodies, as approved by the Commission.

**AMENDMENTS TO NUTRITION STANDARDS (RELATED TO FLAVOURINGS)****(for adoption)****STANDARD FOR CANNED BABY FOODS****CODEX STAN 73-1981****4.5 Flavourings**

4.5.1 Vanilla extract Limited by good manufacturing practice

4.5.2 Ethyl vanillin 7 mg

4.5.3 Vanillin 7 mg

**STANDARD FOR PROCESSED CEREAL-BASED FOODS FOR INFANTS AND YOUNG CHILDREN****CODEX STAN 74-1981****3.9 Flavourings**The following **flavourings** may be used:

- Natural fruit extracts and vanilla extract: GMP
- Ethyl vanillin and vanillin: 7 mg/100 g RTU

**STANDARD FOR FOLLOW-UP FORMULA****CODEX STAN 156-1987****4.5 Flavourings**

4.5.1 Natural Fruit Extracts GMP

4.5.2 Vanilla extract GMP

4.5.3 Ethyl vanillin 5 mg

4.5.4 Vanillin 5 mg

## GUIDELINES ON FORMULATED COMPLEMENTARY FOODS FOR OLDER INFANTS AND YOUNG CHILDREN

CAC/GL 8-1991

### 4.2.2 Food additives and flavourings

Food additives and flavourings listed in the *Standard for Processed Cereal-Based Foods for Infants and Young Children* (CODEX STAN 74-1981) and the *Standard for Canned Baby Foods* (CODEX STAN 73-1981) may be used in Formulated Complementary Foods to the maximum limits given in those Standards.

Only the food additives referred to in those Standards may be present in the foods covered by these Guidelines, as a result of carry-over from a raw material or other ingredients (including food additives) used to produce the food, subject to the following conditions:

- a) The amount of the food additive in the raw materials or other ingredients (including food additives) does not exceed the maximum level specified; and
- b) The food into which the food additive is carried over does not contain the food additive in greater quantity than would be introduced by the use of the raw material or ingredients under good manufacturing practice, consistent with the provisions on carry-over in the Preamble of the *General Standard for Food Additives* (CODEX STAN 192-1995).

## APPENDIX III

**PROPOSED DRAFT AND DRAFT REVISED NUTRIENT REFERENCE VALUES AND  
CONVERSION FACTORS FOR LABELLING PURPOSES IN THE *GUIDELINES ON NUTRITION  
LABELLING (CAC/GL 2-1985)***

(for adoption at Step 8 and Step 5/8)

**3.4.4.1 NRVs-R**

<b>Vitamins</b>	
Vitamin D <sup>1</sup> (µg)	5 – 15*
Vitamin E <sup>2</sup> (mg)	9

\* The value of 15 µg is based on minimal sunlight exposure throughout the year. Competent national and/or regional authorities should determine an appropriate NRV-R that best accounts for population sunlight exposure and other relevant factors

**Conversion factors for vitamin equivalents (for adoption at Step 5/8)**

<b>Vitamin</b>	<b>Dietary equivalents</b>	
Vitamin E	1 mg α-tocopherol	1 mg RRR- α-tocopherol (d- α-tocopherol)

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<sup>1</sup> For adoption at Step 5/8

<sup>2</sup> For adoption at Step 8

**PROPOSED DRAFT REVISED STANDARD FOR FOLLOW-UP FORMULA (CODEX STAN 156-1987)****(Section A: All text held at Step 4, except for those sections in square brackets, which are at Step 3)<sup>1</sup>****SECTION A: FOLLOW-UP FORMULA FOR OLDER INFANTS****3. ESSENTIAL COMPOSITION AND QUALITY FACTORS****3.1 Essential composition**

3.1.1 **Follow-up formula for older infants** is a product based on milk of cows or other animals or a mixture thereof and/or other ingredients which have been proven to be safe and suitable for the feeding of older infants.

The nutritional safety and adequacy of follow-up formula for older infants shall be scientifically demonstrated to support growth and development of older infants.

3.1.2 When prepared ready for consumption in accordance with the instructions of the manufacturer, the products shall contain per 100 ml not less than 60 kcal (250 kJ) and not more than 70 kcal (293 kJ) of energy

3.1.3 Follow-up Formula prepared ready for consumption shall contain per 100 kcal (100 kJ) the following nutrients with the following minimum and maximum or guidance upper levels (GUL), as appropriate.

**a) Protein<sup>2), 3), 4)</sup>**

Unit	Minimum	Maximum	GUL
g/100 kcal	[1.8] <sup>5),6)</sup>	3.0	-
g/100 kJ	[0.43] <sup>5),6)</sup>	0.72	-

<sup>2)</sup> For the purpose of this standard the calculation of the protein content of the final product ready for consumption should be based on N x 6.25, unless a scientific justification is provided for the use of a different conversion factor for a particular product. The protein levels set in this standard are based on a nitrogen conversion factor of 6.25. For information the value of 6.38 is used as a specific factor appropriate for conversion of nitrogen to protein in other Codex standards for milk products.

<sup>3)</sup> For an equal energy value the formula must contain an available quantity of each essential and semi-essential amino acid at least equal to that contained in the reference protein (breast-milk as defined in Annex I of the *Standard for Infant Formula and Formulas for Special Medical Purposes Intended for Infants* (CODEX STAN 72-1981)); nevertheless for calculation purposes the concentrations of tyrosine and phenylalanine may be added together and the concentrations of methionine and cysteine may be added together.

<sup>4)</sup> Isolated amino acids may be added to follow-up formula only to improve its nutritional value for infants. Essential and semi-essential amino acids may be added to improve protein quality, only in amounts necessary for that purpose. Only L-forms of amino acids shall be used.

<sup>5)</sup> The minimum value applies to cows' and goats' milk protein. For follow-up formula based on non-cows' milk protein other minimum values may need to be applied. For follow-up formula based on soy protein isolate, a minimum value of [2.25 g/100 kcal (0.5 g/100 kJ)] applies.

<sup>6)</sup> Follow-up formula based on non-hydrolysed milk protein containing [1.61 – 1.8 g] protein/100 kcal should be clinically evaluated by a competent national and/or regional authority. Follow-up formula based on hydrolysed protein containing less than [2.25 g protein/100 kcal] should be clinically evaluated].

<sup>1</sup> Parts in square brackets (at Step 3) for comments and discussion in EWG.



**b) Lipids****Total Fat** <sup>7),8)</sup>

Unit	Minimum	Maximum	GUL
g/100 kcal	4.4	6.0	-
g/100 kJ	1.1	1.4	-

<sup>7)</sup> Partially hydrogenated oils and fats shall not be used in follow-up formula for older infants.

<sup>8)</sup> Lauric acid and myristic acids are constituents of fats, but combined shall not exceed 20% of total fatty acids. The content of trans fatty acids shall not exceed 3% of total fatty acids. Trans fatty acids are endogenous components of milk fat. The acceptance of up to 3% of trans fatty acids is intended to allow for the use of milk fat in infant formulae. The erucic acid content shall not exceed 1% of total fatty acids. The total content of phospholipids should not exceed 300 mg/100 kcal (72 mg/100 kJ).

**Linoleic acid**

Unit	Minimum	Maximum	GUL
mg/100 kcal	300	-	1400
mg/100 kJ	72	-	335

**α-Linolenic acid**

Unit	Minimum	Maximum	GUL
mg/100 kcal	50	N.S.*	-
mg/100 kJ	12	N.S.	-

\*N.S. = not specified

**Ratio linoleic acid/ α-Linolenic acid**

Min	Max
5:1	15:1

**c) Carbohydrates****Available carbohydrates**<sup>9)</sup>

Unit	Minimum	Maximum	GUL
g/100 kcal	9.0	14.0	-
g/100 kJ	2.2	3.3	-

<sup>9)</sup> Lactose and glucose polymers should be the preferred carbohydrates in formula based on cows' milk protein and hydrolysed protein. Only precooked and/or gelatinised starches gluten-free by nature may be added. Sucrose and/or fructose should not be added, unless needed as a carbohydrate source, and provided the sum of these does not exceed 20% of available carbohydrate.

**d) Vitamins****Vitamin A**

Unit	Minimum	Maximum	GUL
µg RE <sup>10)</sup> /100 kcal	75	180	-
µg RE <sup>10)</sup> /100 kJ	18	43	-

<sup>10)</sup> expressed as retinol equivalents (RE)

1 µg RE = 3.33 IU Vitamin A = 1 µg trans retinol. Retinol contents shall be provided by preformed retinol, while any contents of carotenoids should not be included in the calculation and declaration of vitamin A activity.

#### Vitamin D

Unit	Minimum	Maximum	GUL
µg <sup>11)</sup> /100 kcal	1.0	3.0	-
µg <sup>11)</sup> /100 kJ	0.24	0.72	-

<sup>11)</sup> Calciferol. 1 µg calciferol = 40 IU vitamin D.

#### Vitamin E

Unit	Minimum	Maximum	GUL
mg α-TE <sup>12)</sup> /100 kcal	0.5 <sup>13)</sup>	-	5
mg α-TE <sup>12)</sup> /100 kJ	0.12 <sup>13)</sup>	-	1.2

<sup>12)</sup> 1 mg α-TE (alpha-tocopherol equivalents) = 1 mg d-α-tocopherol

<sup>13)</sup> Vitamin E shall be at least 0.5 mg α-TE per g PUFA, using the following factors of equivalence to adapt the minimal vitamin E content to the number of fatty acid double bonds in the formula: 0.5 mg α-TE /g linoleic acid (18:2 n-6); 0.75 α-TE/g α-linolenic acid (18:3 n-3); 1.0 mg α-TE/g arachidonic acid (20:4 n-6); 1.25 mg α-TE/g eicosapentanoic acid (20:5 n-3); 1.5 mg α-TE/g docosahexaenoic acid (22:6 n-3).

#### Vitamin K

Unit	Minimum	Maximum	GUL
µg /100 kcal	4	-	27
µg /100 kJ	1.0	-	6.5

#### Thiamin

Unit	Minimum	Maximum	GUL
µg /100 kcal	60	-	300
µg /100 kJ	14	-	72

#### Riboflavin

Unit	Minimum	Maximum	GUL
µg /100 kcal	80	-	500
µg /100 kJ	19	-	119

#### Niacin <sup>14)</sup>

Unit	Minimum	Maximum	GUL
µg /100 kcal	300	-	1500
µg /100 kJ	72	-	360

<sup>14)</sup> Niacin refers to preformed niacin

#### Vitamin B<sub>6</sub>

Unit	Minimum	Maximum	GUL
µg /100 kcal	35	-	175
µg /100 kJ	8.4	-	41.8

**Vitamin B<sub>12</sub>**

Unit	Minimum	Maximum	GUL
µg /100 kcal	0.1	-	1.5
µg /100 kJ	0.024	-	0.36

**Pantothenic acid**

Unit	Minimum	Maximum	GUL
µg /100 kcal	400	-	2000
µg /100 kJ	96	-	478

**Folic acid**

Unit	Minimum	Maximum	GUL
µg /100 kcal	10	-	50
µg /100 kJ	2.4	-	12

**Vitamin C<sup>15)</sup>**

Unit	Minimum	Maximum	GUL
mg /100 kcal	10	-	70 <sup>16)</sup>
mg /100 kJ	2.4	-	17 <sup>16)</sup>

<sup>15)</sup> expressed as L-ascorbic acid

<sup>16)</sup> This GUL has been set to account for possible high losses over shelf-life in liquid formulas; for powdered products lower upper levels should be aimed for.

**Biotin**

Unit	Minimum	Maximum	GUL
µg /100 kcal	1.5	-	10
µg /100 kJ	0.4	-	2.4

**e) Minerals and Trace Elements****Iron<sup>[17]</sup>**

Unit	Minimum	Maximum	GUL
mg /100 kcal	1.0	2.0	-
mg /100 kJ	0.24	0.48	-

<sup>[17]</sup> For Follow-up formula based on soy protein isolate a minimum value of 1.5 mg/100 kcal (0.36/100 kJ) and maximum of 2.5 mg/100 kcal (0.6 mg/100 kJ) applies

**Calcium**

Unit	Minimum	Maximum	GUL
mg /100 kcal	50	-	180
mg /100 kJ	12	-	43

**Phosphorous**

Unit	Minimum	Maximum	GUL
mg /100 kcal	25	-	100 <sup>18)</sup>
mg /100 kJ	6	-	24 <sup>18)</sup>

<sup>18)</sup> This GUL should accommodate higher needs with soy formula.

**Ratio calcium/phosphorous**

Min	Max
1:1	2:1

**Magnesium**

Unit	Minimum	Maximum	GUL
mg /100 kcal	5	-	15
mg /100 kJ	1.2	-	3.6

**Sodium**

Unit	Minimum	Maximum	GUL
mg /100 kcal	20	60	-
mg /100 kJ	5	14	-

**Chloride**

Unit	Minimum	Maximum	GUL
mg /100 kcal	50	160	-
mg /100 kJ	12	38	-

**Potassium**

Unit	Minimum	Maximum	GUL
mg /100 kcal	60	180	-
mg /100 kJ	14	43	-

**Manganese**

Unit	Minimum	Maximum	GUL
µg /100 kcal	1.0	-	100
µg /100 kJ	0.24	-	24

**Iodine**

Unit	Minimum	Maximum	GUL
µg /100 kcal	10	-	60
µg /100 kJ	2.4	-	14.3

**Selenium**

Unit	Minimum	Maximum	GUL
µg /100 kcal	2	-	9
µg /100 kJ	0.48	-	2.2

**Copper<sup>19)</sup>**

Unit	Minimum	Maximum	GUL
µg /100 kcal	35	-	120
µg /100 kJ	8.4	-	2

<sup>19)</sup> Adjustment may be needed in these levels for follow-up formula made in regions with a high content of copper in the water supply

**Zinc<sup>20)</sup>**

Unit	Minimum	Maximum	GUL
mg /100 kcal	0.5	-	1.5
mg /100 kJ	0.12	-	0.36

<sup>20)</sup> For Follow-up formula based on soy protein isolate a minimum value of 0.75 mg/100 kcal (0.18 mg/100 kJ).

**3.3.2 Optional Ingredients**

3.3.2.1 In addition to the compositional requirements listed under 3.2.4 to 3.2.6, other ingredients or substances may be added to follow-up formula for older infants where the safety and suitability of the optional ingredient for particular nutritional purposes, at the level of use, is evaluated and demonstrated by generally accepted scientific evidence.

3.3.2.2 When any of these ingredients or substances is added the formula shall contain sufficient amounts to achieve the intended effect, taking into account levels in human milk.

3.3.2.3 The following substances may be added in conformity with national legislation, in which case their content per 100 kcal (100kJ) in the Follow-up Formula ready for consumption shall not exceed the levels listed below. This is not intended to be an exhaustive list, but provides a guide for competent national and/or regional authorities as to appropriate levels when these substances are added.

**Taurine**

Unit	Minimum	Maximum	GUL
mg /100 kcal	-	12	-
mg /100 kJ	-	3	-

**Total nucleotides**

Levels may need to be determined by national authorities.

**Docosahexaenoic acid<sup>21)</sup>**

<b>Unit</b>	<b>Minimum</b>	<b>Maximum</b>	<b>GUL</b>
mg/100 kcal	-	-	<b>[to be fixed after the fat content has agreed upon]</b>

<sup>21)</sup> If docosahexaenoic acid (22:6 n-3) is added to follow-up formula, a minimum level of [20 mg/100kcal] should be reached, and arachidonic acid (20:4 n-6) contents should reach at least the same concentration as DHA. The content of eicosapentaenoic acid (20:5 n-3), which can occur in sources of LC-PUFA, should not exceed the content of docosahexaenoic acid. Competent national and/or regional authorities may deviate from the above conditions, as appropriate for the nutritional needs.

**Choline**

<b>Unit</b>	<b>Minimum</b>	<b>Maximum</b>	<b>GUL</b>
mg /100 kcal	-	-	50
mg /100 kJ	-	-	12

**Myo-inositol**

<b>Unit</b>	<b>Minimum</b>	<b>Maximum</b>	<b>GUL</b>
mg /100 kcal	-	-	40
mg /100 kJ	-	-	9.6

**L-Carnitine**

Levels may need to be determined by national authorities.

3.3.2.4 Only L (+) lactic producing cultures may be used for the purpose of producing acidified follow-up formula for older infants. The acidified final formula product should not contain significant amounts of viable L (+) lactic acid-producing cultures, and residual amounts should not represent any health risk.

3.3.2.5 The safety and suitability of the addition of specific strains of L(+) lactic acid producing cultures for particular beneficial physiological effects, at the level of use, must be demonstrated by clinical evaluation and generally accepted scientific evidence. When added for this purpose, the final product ready for consumption shall contain sufficient amounts of viable cultures to achieve the intended effect.

**Section B (All text held at Step 4, except for those sections in square brackets which are at Step 3)****SECTION B: [NAME OF PRODUCT] FOR YOUNG CHILDREN****3. ESSENTIAL COMPOSITION AND QUALITY FACTORS****3.1 Essential composition**

3.1.1 **[Name of product] for young children** is a product based on milk of cows or other animals or a mixture thereof and/or other ingredients which have been proven to be safe and suitable for the feeding of young children.

The nutritional safety and adequacy of [Name of Product] for young children shall be scientifically demonstrated to support growth and development of young children.

3.1.2 When prepared ready for consumption in accordance with the instructions of the manufacturer, the products shall contain per 100 ml not less than 60 kcal (250 kJ) and not more than 70 kcal (293 kJ) of energy. National and/or regional authorities can deviate from the minimum energy content in line with national/regional dietary guidelines taking into account the nutritional needs of the local population.

3.1.3 (Name of product) for young children prepared ready for consumption shall contain per 100 kcal (100 kJ) the following nutrients with the following minimum and maximum or guidance upper levels (GUL), as appropriate.

**a) Protein<sup>\*)</sup>, <sup>\*\*)</sup>**

Unit	Minimum	Maximum	GUL
g/100 kcal	1.8	-	-
g/100 kJ	0.43	-	-

<sup>\*)</sup> For the purpose of this standard the calculation of the protein content of the final product ready for consumption should be based on N x 6.25, unless a scientific justification is provided for the use of a different conversion factor for a particular product. The protein levels set in this standard are based on a nitrogen conversion factor of 6.25. For information the value of 6.38 is used as a specific factor appropriate for conversion of nitrogen to protein in other Codex standards for milk products.

<sup>\*\*)</sup> The quality of protein shall not be less than 85% of that of casein.

The protein quality shall be determined provisionally using the PER or PDCAAS and other methods that come available in the future.

**b) Lipids<sup>\*\*)</sup>****Total fat**

Unit	Minimum	Maximum	GUL
g/100 kcal	[3.5] or [4.0] or [4.4]	-	-
g/100 kJ	[0.84] or [0.96] or [1.1]	-	-

 **$\alpha$ -linolenic acid**

Unit	Minimum	Maximum	GUL
mg/100 kcal	50	-	-
mg/100 kJ	12	-	-

**Linoleic acid**

Unit	Minimum	Maximum	GUL
mg/100 kcal	300	-	-
mg/100 kJ	72	-	-

\*\*\*) Partially hydrogenated oils and fats shall not be used in [name of product] for young children.

**c) Carbohydrates**

**Available carbohydrates<sup>4)</sup>**

Unit	Minimum	Maximum	GUL
g/100 kcal	-	[12.0] or [12.5]	-
g/100 kJ	-	[2.9] or [3.0]	-

<sup>4)</sup> Lactose should be the preferred carbohydrates in [name of product] based on milk protein. Sugars, other than lactose [or other carbohydrates contributing to the sweet taste of [name of product]] should not exceed [10%] or [20%] of available carbohydrate. Sucrose and/or fructose should not be added, unless needed as a carbohydrate source.

**Iron<sup>5)</sup>**

Unit	Minimum	Maximum	GUL
mg/100 kcal	1.0	3.0	-
mg/100 kJ	0.25	0.7	-

<sup>5)</sup> For [name of product] based on soy protein isolate a minimum value of 1.5 mg/100 kcal (0.36 mg/100 kJ) applies.

**Vitamin C<sup>6)</sup>**

Unit	Minimum	Maximum	GUL
mg/100 kcal	10	-	70
mg/100 kJ	2.4	-	17

<sup>6)</sup> expressed as L-ascorbic acid

**Calcium**

Unit	Minimum	Maximum	GUL
mg/100 kcal	90	-	280
mg/100 kJ	22	-	67

[Ratio calcium/phosphorous]

Min	Max
[1:1]	[2:1]

**Riboflavin**

Unit	Minimum	Maximum	GUL
µg/100 kcal	80	-	650
µg/100 kJ	19	-	155

**Vitamin B12**

Unit	Minimum	Maximum	GUL
µg/100 kcal	0.1	-	2.0
µg/100 kJ	0.024	-	0.48



**Zinc**

Unit	Minimum	Maximum	GUL
mg /100 kcal	0.5	-	1.5
mg /100 kJ	0.12	-	0.36

**Vitamin A**

Unit	Minimum	Maximum	GUL
µg RE <sup>8)</sup> /100 kcal	60	180	-
µg RE <sup>8)</sup> /100 kJ	14	43	-

<sup>8)</sup> expressed as retinol equivalents (RE)

1 µg RE = 3.33 IU Vitamin A = 1 µg all-trans retinol. Retinol contents shall be provided by preformed retinol, while any contents of carotenoids should not be included in the calculation and declaration of vitamin A activity.

**[Vitamin D]**

Unit	Minimum	Maximum	[GUL]
µg <sup>9)</sup> /100 kcal	[1.5] or [1.0]	[4.5] or [3.0]	-
µg <sup>9)</sup> /100 kJ	[0.36 ] or [0.24]	[1.08] or [0.72]	-

<sup>9)</sup> Calciferol. 1 µg calciferol = 40 IU vitamin D.

**Sodium chloride** should not be added to [name of the product] for young children.

3.1.4 National and/or regional authorities may add mandatory requirements for essential nutrients listed under 3.1.3, Section B. Any additional mandatory nutrients should be chosen from the essential composition of follow-up formula for older infants under 3.1.3 Section A. If additional mandatory nutrients are added, the nutrient levels must be based on the nutrient composition of follow-up formula for older infants (3.1.3 Section A) which is informed by the composition of breast milk, and take into account the inherent levels of nutrients in cows' milk.

All nutrient levels may be amended if the nutritional needs of the local population and scientific justification warrants such deviation.

**3.2 Optional Ingredients**

3.2.1 In addition to the essential compositional requirements listed under 3.1.3 Section B, other ingredients, substances or nutrients may be added to [name of the product] for young children where the safety and suitability of the optional ingredient for particular nutritional purposes, at the level of use, is evaluated by national and/or regional authorities and demonstrated by generally accepted scientific evidence. Optional ingredients listed in 3.1.3 Section A are also permitted.

3.2.2 When any of these ingredients, substances or nutrients is added the formula shall contain sufficient amounts to achieve the intended effect.

3.2.3 Additional nutrients may also be added to [name of the product] for young children provided these nutrients are chosen from the essential composition of follow-up formula for older infants and levels are as per the minimum, maximum, GULs stipulated for follow-up formula for older infants (3.1.3 Section A) and take into account the inherent levels of nutrients in cows' milk; or amended by national and/or regional authorities if the nutritional needs of the local population and scientific justification warrants such deviation.

**APPENDIX V**

**METHODS OF ANALYSIS FOR PROVISIONS IN CODEX STAN 72-1981  
PART A: For information to CCMAS and adoption by CAC**

Commodity	Provision	Method	Principle	Type
Infant formula	Vitamin B12	AOAC 2011.10   ISO 20634	HPLC	II
		AOAC 986.23 Total B12 as cyanocobalamin	Turbidmetric	III
Infant formula	Myo-inositol	AOAC 2011.18   ISO 20637	LC-pulsed amperometry	II
Infant formula	Vitamin E	AOAC 2012.10   ISO 20633	HPLC	II
Infant formula	Total fatty acid	AOAC 2012.13   ISO 16958   IDF 231	Gas chromatography	II

**PART B: For endorsement by CCMAS**

Commodity	Provision	Method	Principle	Type
Infant formula	Vitamin C	AOAC 2012.22   ISO/DIS 20635	HPLC	II
Infant formula	Chromium, Selenium, molybdenum	AOAC 2011.19   ISO 20649   IDF 235	ICP-MS	II <sup>1</sup>

**DETERMINATION OF TFA:  
PART C: for review by CCMAS (suitability for determination of TFA)**

Product	Method		
	ISO 16958/IDF 231/ AOAC 2012.13	AOCS Ce 1h-05 and AOAC 996.06	AOCS Ce 1j-07 and Ce 2b-11/Ce 2c-11
Dairy and ruminant products/fats	✓		✓
Adult nutritionals	✓		
Infant Formula	✓	✓	Ce 2b-11 only
Samples containing vegetable oils		✓	
Samples containing marine oils or other oils with long chain polyunsaturated fatty acids			✓ (Ce 1i-07 is recommended instead of 1j-07)
Samples with unknown fat sources			✓

<sup>1</sup> Submitted to CCMAS to reconsider the classification of the method as Type II