JOINT FAO/WHO FOOD STANDARDS PROGRAMME

CODEX ALIMENTARIUS COMMISSION

Thirty sixth Session
Rome, Italy, 1-5 July 2013

REPORT OF THE THIRTY FOURTH SESSION OF THE CODEX COMMITTEE ON NUTRITION AND FOODS FOR SPECIAL DIETARY USES

Bad Soden am Taunus, Germany
3 – 7 December 2012

Note: This document incorporates Circular Letter CL 2012/42-NFSDU
TO: Codex Contact Points
Interested International Organizations

FROM: Secretariat, Codex Alimentarius Commission
Joint FAO/WHO Food Standards Programme

SUBJECT: Distribution of the Report of the 34th Session of the Codex Committee on Nutrition and Foods for Special Dietary Uses (REP13/NFSDU)

The report of the 34th Session of the Codex Committee on Nutrition and Foods for Special Dietary Uses will be considered by the 36th Session of the Codex Alimentarius Commission (Rome, Italy, 1-5 July 2013).

MATTERS FOR ADOPTION BY THE 36th SESSION OF THE COMMISSION:

Draft and Proposed Draft Regional Standards at Step 8 and Steps 5/8 of the Procedure

1. Draft Revision of the Guidelines on Formulated Supplementary Foods for Older Infants and Young Children (CAC/GL 8-1991) (para. 41, Appendix II);

2. Draft Nutrient Reference Values (NRVs) (para. 65, Appendix V)


4. Proposed Draft Additional or Revised Nutrient Reference Values for Labelling Purposes in the Codex Guidelines on Nutrition Labelling (para. 103, Appendix VII)

Governments and interested international organizations wishing to comments on the above documents should do so in writing, preferably by e-mail, to the Secretariat, Codex Alimentarius Commission, Joint FAO/WHO Food Standards Programme, Viale delle Terme di Caracalla, 00153 Rome, Italy (e-mail: codex@fao.org; Fax +39 06 570 54593), before 31 March 2013.
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SUMMARY AND CONCLUSIONS

The 34th Session of the Codex Committee on Nutrition and Foods for Special Dietary Uses reached the following conclusions:

Matters for adoption by the 36th Session of the Codex Alimentarius Commission

The Committee:

- advanced to Step 8 and Step 5/8 the Draft Revision of the Guidelines on Formulated Supplementary Foods for Older Infants and Young Children (para. 41, Appendix II); the Draft Nutrient Reference Values (NRVs) (para. 65, Appendix V); the General Principles for Establishing Nutrient Reference Values for Nutrients Associated with Risk of Diet-Related Non-Communicable Diseases for General Population (NRVs-NCD) (para. 51, Appendix III); and the Proposed Draft Additional or Revised Nutrient Reference Values for Labelling Purposes in the Codex Guidelines on Nutrition Labelling (para. 103, Appendix VII).

- forwarded the Consolidation of the General Principles for Establishing NRVs of Vitamins and Minerals and General Principles for Establishing NRV-NCD for adoption (para. 59, Appendix IV)

Proposal for New Work

The Committee agreed to submit to the Commission, through the Executive Committee a proposal for new work on:

- Proposal to Review the Codex Standard for Follow-up Formula (paras 147-148, Appendix VIII)

Other Matters of Interest to the Commission

The Committee:

- agreed to return to Step 2/3 for redrafting, comments and further discussion at the next session the Proposed Draft Additional or Revised Nutrient Reference Values for Labelling Purposes in the Codex Guidelines on Nutrition Labelling (Other values than described above, including protein) (para. 103); the Proposed Draft Revision of the Codex General Principles for the Addition of Essential Nutrients to Foods (CAC/GL 9-1987) (para. 125); and the Proposed Draft Amendment of the Standard for Processed Cereal-Based Foods for Infants and Young Children to Include a New Part B for Underweight Children (paras 133-135)

Matters of Interest to Other Committees and Task Forces

Committee on Food Labelling (CCFL)

With regard to the question on Section 6.3 in the Guidelines on Nutrition and Health Claims, the Committee noted that there were different views on possible approaches and at this stage it was not possible to go into further detail but that CCFL should clarify the text (paras 5 – 9).

With regard to the request from the CCFL on the claim for “free” of trans fatty acids, the Committee agreed that it would consider the conditions after CCFL concludes to establish the claim after considering the global importance of trans fatty acids (paras 10 – 15).

Committee on Methods of Analysis and Sampling (CCMAS)

The Committee agreed to ask CCMAS to review the applicability of the methods of analysis for the trans fatty acid currently defined in the Guidelines on Nutrition Labelling (paras 16 – 19).
INTRODUCTION

1. The thirty-fourth Session of the Codex Committee on Nutrition and Foods for Special Dietary Uses (CCNFSDU) was held in Bad Soden am Taunus, Germany from 3 to 7 December 2012 at the kind invitation of the Government of Germany. The Session was chaired by Dr Pia Noble, Head of Division of Specific Foods, Food Supplements and Food Additives, Federal Ministry of Food, Agriculture and Consumer Protection. The Committee was attended by 274 delegates representing 62 Member Countries, one Member Organization and 31 International Organizations.

OPENING OF THE SESSION

2. Mr Peter Bleser, Parliamentary State Secretary to the Federal Minister of Food, Agriculture and Consumer protection, Germany opened the Session and welcomed participants. He emphasized the importance of Codex work under SPS and TBT agreement in WTO and when fighting against hunger and malnutrition. He also highlighted the important role of scientists to ensure that Codex work was based on scientific evidence.

Division of competence

3. Following Rule II.5 of the Rules of Procedure of the Codex Alimentarius Commission the Committee was informed about CRD 4 on the division of competence between the European Union (EU) and its Member States.

ADOPTION OF THE AGENDA (Agenda Item 1)

4. The Committee agreed to discuss biofortification through conventional breeding, proposed by IFPRI, under Agenda Item 11 “Other Business and Future Work” and noted that the questions regarding trans fatty acid referred from the Committee on Food Labelling (CCFL) should be considered under Agenda item 2a instead of Agenda Item 10. The Committee adopted the Provisional Agenda with the amendment as its Agenda for the Session.

MATTERS REFERRED TO THE COMMITTEE BY THE CODEX ALIMENTARIUS COMMISSION AND/OR OTHER CODEX COMMITTEES (Agenda Item 2a)

Comparative Claims

5. With regard to the request from CCFL about the condition for 10% of the NRV for comparative claims for micronutrients, the Committee clarified that 10% was the result of a pragmatic approach, rather than based on scientific evidence.

6. Some delegations were of the view that Section 6.3 in the Standard was confusing because the sentence included both macronutrients and micronutrients and suggested that the text should be made clearer.

7. Some delegations suggested that the increase in micronutrients should be based on the content of micronutrients between the compared foods as the requirement to base the comparison of increased micronutrients using the difference in NRV would complicate the implementation of this requirement and enforcement and for consistency with Section 6.3. Several delegations did not support the opinion as they used the current provisions for comparative claims for implementation purposes. Some delegations said that comparison should be based on substantial difference and that a 10% difference in micronutrient contents was too small.

8. One delegation considered that there was an inconsistency between the requirement for an absolute difference in nutrient content of 10% and the value for the claim for “source” of 15% of NRV per 100 g for vitamins and minerals. It was also suggested to use as the absolute minimum difference the value for “source” in the case of micronutrients as increased levels should be different versions of the same food or similar foods, which did not take into account fortification in the case of vitamins and minerals and proposed as an alternative solution to increase the relative difference to 25%.

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1 CX/NFSDU 12/34/1; CRD 2 (Comments of Nigeria)
2 CX/NFSDU 12/34/2; CRD 2 (Comments of Nigeria); CRD 9 (Comments of Malaysia)
9. The Committee noted that there were different views on possible approaches and at this stage it was not possible to go into further detail but that CCFL should clarify the text.

**Claim for “free” of trans fatty acids**

10. The Committee recalled that CCFL had asked the Committee to provide advice on the establishment of conditions for claims for “free” of trans fatty acids.

11. Some delegations supported the establishment of conditions for claims on free of trans fatty acids. One delegation proposed two different levels for fats and oils and fat emulsions and for ready-to-eat or other foods and did not support the claims for trans fatty acids associated with the levels of saturated fatty acids. Other delegations were of the view that the criteria associated with the levels of saturated fatty acids should be developed as in some products reducing trans fatty acid levels resulted in increasing saturated fatty acid levels.

12. Some delegations supported that the claims should be based on servings when serving size is regulated as this provides an important tool for consumers. Other delegations were of the view that the expression “per serving” was not appropriate because serving size might be misleading for consumers, especially in case the serving size was not regulated.

13. It was noted that the term “free” might be interpreted differently in each country.

14. One delegation expressed the view that trans fatty acids were of concern only in some countries, considering the previous discussion in CCFL and footnote in the Guidelines on Nutrition Labelling.

15. The Committee noted that CCFL had not concluded whether it would establish such a claim. The Committee therefore agreed that it would consider the conditions after CCFL concludes to establish the claim after considering the global importance of trans fatty acids.

**Methods of Analysis for trans fatty acids**

16. The CCFL had requested the Committee to consider requesting CCMAS to review method AOCS Ce 1H-05 for trans fatty acids in foods as it is only applicable to certain types of fats and oils and to consider method AOAC 996.06, currently a Type II method for the Guidelines on Nutrition Labelling for saturated fatty acids, as a Type II method for trans fatty acids for the purposes of the Guidelines on Nutrition Labelling and potentially for the Guidelines on Nutrition and Health Claims. One delegation indicated that AOAC 996.06 has not been validated for trans fatty acids.

17. One delegation proposed to establish a table for trans fatty acids in different types of foods as in the case of dietary fibre. Another delegation expressed the view that methods should be established only if a specific condition for claim was described. One delegation indicated that the Guidelines allows the declaration of trans fatty acids and that there should be a method for their determination.

18. The Secretariat recalled that AOCS Ce 1H-05 is listed only for trans fatty acids in infant formula as a specific level was defined in the corresponding standard, and that, a general approach, methods were selected when relevant provisions existed in Codex texts.

19. The Committee agreed to ask CCMAS to review the applicability of the methods of analysis for the trans fatty acid currently defined in the Guidelines on Nutrition Labelling.

**MATTERS OF INTEREST ARISING FROM FAO AND WHO (Agenda Item 2b)**

20. The Representative of FAO explained that FAO has a new strategy aimed to support member countries to increase the effectiveness of food and agriculture systems in improving nutrition across the life cycle, working with partners at the national, regional and global levels. FAO would bring expertise on food based approaches to topics of complementary feeding and maternal nutrition in global efforts like the Zero Hunger Challenge. FAO would provide scientific advice on nutrition requirements, nutrition and dietary assessments, food consumption patterns and food composition.
21. The Representative also said that FAO and WHO had worked together to finalize procedures to the Joint Expert Meetings on Nutrition (JEMNU), which would provide scientific advice to Codex and Member countries. JEMNU would not have a permanent secretariat and would be activated when scientific advice was requested, both organisations providing human resources for the temporary secretariat. Extra-budgetary funds would be required to carry out the work of the expert meetings. There would be a call for experts each time JEMNU is active. These experts would need to provide a declaration of interests and be approved by FAO and WHO. The report of JEMNU would be provided to Codex and members for their deliberation.

22. Referring to the document CX/NFSDU 12/34/3, the Representative of WHO highlighted some of the activities which may be of relevance to the on-going work of the Committee. These included the development of the comprehensive global monitoring framework for the prevention and control of noncommunicable diseases with indicators and a set of voluntary global targets including sodium target, the adoption of the Comprehensive Implementation Plan on maternal, infant and young child nutrition by the World Health Assembly (May 2012), the launching of the WHO Global Database on the Implementation of Nutrition Action (GINA), the publication of the technical note on supplementary foods for the management of moderate acute malnutrition in infants and children 6 – 59 months of age, as well as the work of the WHO Nutrition Guidance Expert Advisory Group (NUGAG), in particular its Subgroup on Diet and Health.

23. The Representative of WHO informed the Committee that the WHO Guidelines on Sodium and Potassium have been officially cleared by the Guideline Review Committee and will be published before the end of 2012 and the guidelines on total fat and sugars will soon be posted for public consultation before being submitted to the Guideline Review Committee in early 2013. Furthermore, the background systematic reviews on total fat intake in relation to weight gain will be published in the British Medical Journal (BMJ) in December 2012 and on sugars intake in relation to weight gain also in BMJ in January 2013.

24. The Representative of WHO also updated the Committee on the on-going work of the NUGAG Subgroup on Diet and Health on saturate fatty acids (SFA) and trans- fatty acids (TFA) for the prevention of NCDs. The required systematic reviews on SFA and TFA are currently being carried out and will be reviewed at the next meeting scheduled to be held in March 2013.

25. In response to the question raised by a delegate regarding the technical note on supplementary foods for the management of moderate acute malnutrition in infants and children 6 – 59 months of age, the Representative of WHO explained that it was the work of the NUGAG Subgroup on Lifecourse and Undernutrition, the on-going work of which was also presented to the Committee since 2010. The technical note provides summaries of the available evidence and presents some principles underlying the dietary management of moderate acute malnutrition in children with a proposed nutrient composition profile for supplementary foods relevant to situations in which their use may be warranted.

26. Some delegations expressed their appreciation to FAO and WHO for the establishment of JEMNU as it would provide the scientific basis for the work of the Committee and could be particularly relevant for some issues currently under consideration, especially NRVs for vitamins and minerals and NRV-NCDs. The Committee noted that a video Healthy Food, Healthy Child presenting an activity of the FAO EU Food Facility Project in Cambodia to improve dietary diversity and family feeding practices was available on the FAO website at http://www.fao.org/ag/humannutrition/nutritioneducation/70106/en/.

DRAFT REVISION OF THE GUIDELINES ON FORMULATED SUPPLEMENTARY FOODS FOR OLDER INFANTS AND YOUNG CHILDREN (CAC/GL 8-1991) (Agenda Item 3) 4

27. The Committee recalled that the Draft Revision had been adopted at Step 5 and forwarded to Step 6 by the 35th Session of the Commission.

4 REP12/NFSDU Appendix IV, CL 2012/19-NFSDU, CX/NFSDU 12/34/4 (comments of Brazil, Chile, Costa Rica, Ghana, Japan, New Zealand, Philippines, Units States of America, GAIN, IBFAN and IACFO), CX/NFSDU 12/34/4-Add.1 (comments of Botswana, European Union, Malaysia, Mexico, Nigeria, Thailand, ISDI), CRD 8 (comments of Indonesia); CRD 18 (comments of ISDI); CRD 20 (comments of Republic of Korea)
28. The Committee agreed to focus on the sections which had not been completed at the last session and required further discussion: the text in square brackets in section 6.5, and the Annex which had not been considered due to time constraints. Some delegations and observers expressed the view that several other sections required further discussion to address all the written comments. Other delegations pointed out that the text had been discussed extensively in previous sessions and that it was important to finalise the revision of the Guidelines at the current session. After some discussion, the Committee agreed to consider the outstanding issues first and then consider other proposals which may be put forward.

29. The Committee considered the sections mentioned below and made the following amendments and comments, in addition to editorial amendments.

Section 6.5 Carbohydrates

30. The Committee recalled that its last session had not been able to come to a conclusion on the provision for nutritive sweeteners in section 6.5.1 and the following text had been retained in square brackets: “If nutritive sweeteners are used, they should be used sparingly.”

31. The Committee had an extensive discussion and considered several alternative proposals to the term “nutritive sweeteners”. One delegation proposed to use the term “sugars as defined in the Codex Alimentarius and/or other carbohydrate sweeteners such as honey”, which had been used by the Committee on Processed Fruits and Vegetables to avoid confusion as “sweeteners” may include different types of products. Other delegations proposed to refer to “sugars” as defined in the Guidelines on Nutrition Labelling. The Representative of WHO proposed to use the term “free sugars”, in order to include all nutrients which could be used to sweeten formulated foods.

32. Several delegations supported the deletion of the text in square brackets as it did not provide any useful guidance since the term “sparingly” was not precise, and there was no evidence upon which to define a numerical value. Some delegations proposed alternative texts which referred to a numerical value of 10% of the energy requirements, or a recommendation for levels which should be “as low as practicable”. Other delegations supported the current text as it provided general guidance on the need to limit the use of sweeteners.

33. After some discussion, it was recalled that the rationale for this requirement was to limit the use of nutrients which gave a sweet taste to the product and it was also clarified that the section referred to carbohydrates and not to ingredients. It was therefore agreed that the text should read “any carbohydrate added for sweetness should be used sparingly”.

Annex

34. The Committee agreed to retain the Annex in the Guidelines as it provided guidance regarding the selection and amount of vitamins and minerals. The list of Estimated Average Requirements was deleted and the Reference Nutrient Intakes (RNIs) defined in the FAO/WHO Vitamins and Mineral Requirements in Human Nutrition were retained. It was agreed that the suggested total quantity of each of these vitamins and minerals contained in a daily ration should be at least 50% of the RNIs or Individual Nutrient Level (INL98), instead of 70%, taking into account other sources of nutrients from breast milk and local diets and the columns was deleted. The footnotes were amended accordingly and clarified as regards Iron and Zinc values.

Other issues

Section 4. Suitable raw materials and ingredients

35. In Section 4.1.3 Oil Seed Flours and Oil Seed products, one delegation expressed the view that defatted oil seed flours should not be allowed in formulated foods and reiterated the concerns expressed at the last session in this respect.

Section 5. Technologies for and effects of processing

36. In section 5.2.3 it was agreed that “adequate” rather than “prolonged” boiling was necessary to gelatinize starch portions as the boiling time may differ according to the ingredients.
37. The Committee noted a proposal to prohibit the use of ingredients treated by ionizing radiation to make the text consistent with the Standard for Processed Cereal-Based Foods for Infants and Young Children (CODEX STAN 74-1981) but the current text was retained. Some delegations proposed to prohibit the use of genetically modified ingredients in view of possible adverse health effects. The Delegation of Ghana indicated that this question had been discussed in the working group, that there was no consensus and as no scientific evidence was available, it was not included in the Guidelines. It was also noted that Codex texts could always be revised if new scientific evidence became available.

Section 7. Contaminants

38. The Committee agreed to update the text of section 7.2 Other Contaminants for consistency with the Standard for Infant Formula and Formulas for Special Medical Purposes Intended for Infants (CODEX STAN 72-1981).

Section 10. Labelling

39. Following a proposal on the labelling of allergens, the Committee recalled that the General Standard for the Labelling of Prepackaged Foods required the declaration of allergens for all foods.

40. Some delegations and observers proposed additional labelling provisions to ensure that presentation and marketing of formulated foods did not mislead consumers or create confusion with infant formula or discourage breastfeeding and that these products should not share the same branding as infant formula. After some discussion, the Committee agreed to add a new Section 11: “The products covered by these Guidelines are not breastmilk substitutes and shall not be presented as such” for consistency with the Standard for Processed Cereal Based Foods for Infants and Young Children.

Draft Revision of the Guidelines on Formulated Supplementary Foods for Older Infants and Young Children

41. The Committee agreed to advance the Draft Revision to Step 8 for adoption by the 36th Session of the Codex Alimentarius Commission (see Appendix II).

PRINCIPLES FOR THE DEVELOPMENT AND REVIEW OF NRVS FOR LABELLING PURPOSES FOR NUTRIENTS ASSOCIATED WITH RISK OF DIET-RELATED NON-COMMUNICABLE DISEASES (Agenda Item 4)

GENERAL PRINCIPLES FOR ESTABLISHING NUTRIENT REFERENCE VALUES FOR NUTRIENTS ASSOCIATED WITH RISK OF DIET-RELATED NON-COMMUNICABLE DISEASES FOR GENERAL POPULATION (NRVs-NCD) (Agenda Item 4a)

42. The Committee recalled that at its last session it returned the Proposed Draft General Principles at Step 2 and established an eWG to redraft the Proposed Draft for consideration at the next session.

43. The Delegation of the United States, as chair of the eWG, introduced the working document and explained that the eWG had multiple tasks, including work on the unresolved text in the General Principles for Establishing NRVs-NCD, consolidation of the General Principles for Establishing NRVs of Vitamins and Minerals and for establishing NRVs-NCD and other matters related to NRVs. The Committee thanked the Delegations of United States, Thailand and Chile and the eWG for their excellent work.

44. The Committee considered the texts in Attachment B to CX/NFSDU 12/34/5 and made the following amendments and comments in addition to editorial changes.

1. PREAMBLE

45. The Committee agreed to remove the square brackets in the first paragraph, which allowed governments the flexibility to use other level of evidence than “convincing/ generally accepted scientific evidence” when they established NRVs in their countries. Consequentially, it was agreed to delete the last sentence in the first bullet point in Section 3.1. The Delegation of Malaysia proposed to delete the text in square brackets to increase the level of evidence required.

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5 CX/NFSDU 12/34/5; CX/NFSDU 12/34/5-Add.1 (Comments of Canada, Republic of Korea, Norway, Philippines, South Africa, United States of America, ICBA); CX/NFSDU 12/34/5-Add.2 (Comments of Brazil, Costa Rica, European Union, Nigeria, Russian Federation, Uruguay); CRD 8 (Comments of Indonesia); CRD 12 (Comments of IDF); CRD 13 (Comments of NHF); CRD 15 (Comments of FoodDrinkEurope); CRD 17 (Comments of Thailand); CRD 20 (Comments of Republic of Korea)
3. GENERAL PRINCIPLES FOR ESTABLISHING NRVS-NCD

46. One delegation proposed that the first bullet point in Section 3.1 should read “Relevant convincing/generally accepted scientific evidence or the comparable level of evidence under the GRADE classification…” as WHO no longer used the term “convincing” and used GRADE evidence profile instead.

47. In response to the question raised on the methods for assessing the quality of evidence, the Representative of WHO explained that the categorization and criteria for “convincing, probably, possible or insufficient” evidence were used for the first time by the 2002 Joint WHO/FAO Expert Consultation\(^1\) and were also used by the 2008 Joint FAO/WHO Expert Consultation\(^2\). However, starting the implementation of the new guideline development process in WHO in 2009, WHO uses the GRADE (Grading of Recommendations, Assessment, Development and Evaluation) approach to assess the quality of a body of evidence. GRADE categorizes the quality of evidence as “high, moderate, low or very low”. These quality ratings are made to the body of evidence assessed for the PICO question which takes into consideration of factors such as risk of bias, inconsistency, indirectness, imprecision, reporting bias. The Representatives of WHO and FAO informed the Committee that JEMNU will also use GRADE methods for its work.

48. Several delegations were of the view that they needed time to study the proposal. Some delegations said that only convincing evidence should be considered. After some discussion, the Committee agreed with the text proposed. The Delegations of Brazil and Malaysia expressed their reservation because there was no time for consideration and consultation with national stakeholders.

49. The Representative of WHO described the current approach to assessment that is found in the WHO handbook. The Committee agreed to remove square brackets in the first bullet point in Section 3.1. The Delegation of Brazil was of the view that the text should be retained in square brackets for further consideration. The Delegation of Malaysia did not agree with the second part of the text in para. 3.1 and proposed its deletion.

50. With regard to the footnote to “convincing”, the Committee agreed to delete the first of two references for the source of the definition, noting that the first report refers to the second one.

Status of the Proposed Draft General Principles

51. The Committee agreed to advance the Proposed Draft General Principles to Step 5/8 for adoption by the 36\(^{\text{th}}\) Session of the Commission (Appendix III). The Delegation of Malaysia expressed their objection to the decision.

CONSOLIDATION OF THE GENERAL PRINCIPLES FOR ESTABLISHING NRVS OF VITAMINS AND MINERALS AND GENERAL PRINCIPLES FOR ESTABLISHING NRV-NCD (Agenda Item 4b)\(^6\)

52. The Committee recalled that at its last session it agreed to establish an eWG whose mandate included to propose in a separate document for consideration a draft Annex to the Guidelines on Nutrition Labelling that consolidates the Annex on general principles for establishing vitamin and mineral NRVs and NRVs-NCD.

53. The Committee agreed to consolidate these two Guidelines, subject to adoption of the Annex by the Commission. The Delegation of Malaysia expressed their objection to the decision.

54. It was clarified that the consolidated text would not be necessary to take the Step procedure as it was considered as editorial amendments. The Committee considered Attachment C to CX/NFSDU 12/34/5 and the following amendments and comments were made in addition to editorial changes and consequential changes made in Agenda Item 4a.

1. PREAMBLE

55. The Committee agreed to delete the text in the square brackets in the second paragraph.

\(^6\) CX/NFSDU 12/34/5
2. DEFINITIONS

56. With regard to definitions of NRVs-R and NRVs-NCD, the Committee agreed to take Option 2, which was to propose to CCFL that the new definition of NRVs for inclusion in Section 2 of the Guidelines on Nutrition Labelling be revised, with replacement in the definition of Nutrient Reference Values of “include” with “comprise” to clarify that there are only two types of NRVs. (Appendix VI)

57. The Committee agreed to use the term “the daily intake reference value” in the definition of Individual Nutrient Level 98 (Section 2.4 in the original document) as the original term might be confusing with NRV.

3. GENERAL PRINCIPLES FOR ESTABLISHING NRVs

58. In Section 3.2.1.2, the Committee agreed to remove the square brackets of “NRVs-R” and remove the alternative text.

Status of the Draft Nutrient Reference Values

59. The Committee agreed to forward the consolidated text for consideration by the 41st Session of CCFL and to the 36th Session of the Commission for adoption (Appendix IV).

DRAFT NUTRIENT REFERENCE VALUES (NRVS) (Agenda Item 4c)

60. The Committee recalled that at its last session it had forwarded to the Commission at Step 5/8 the proposed draft NRVs on saturated fatty acids and sodium and that the Commission had adopted it at Step 5 for further consideration by the Committee in the light of the outcome of the WHO work on sodium and saturated fatty acids.

61. The Delegation of Philippines did not support the proposed NRV-NCD for saturated fat because of its different effects on blood lipids and individual saturated fatty acids exhibit different biological properties, physiological effects and metabolic properties among other reasons. The Delegation of Malaysia did not support to establish an NRV on saturated fatty acids because there was no consensus at the last session of the Committee; the effects of different SFA should be considered as not all SFAs would raise blood cholesterol; and some studies suggested that the intake of SFA was not significantly associated with NCDs. The Delegation also expressed the view that the Committee should respect the conclusion of the Commission and wait for the outcome of WHO work. This view was supported by Delegations of Pakistan and Philippines as well as the Observers of IDF and NHF.

62. Several delegations supported to advance the NRVs to Step 8 because: they were based on convincing scientific evidence, including the report of the Joint Expert Consultation Report on Fats and Fatty acids in Human Nutrition; the declaration of sodium and saturated fatty acids are mandatory in the Guidelines on Nutrition Labelling where nutrient declaration was applied; the work was important to implement the Global Strategy on Diet, Physical Activity and Health; and developing countries needed such guidance. One delegation noted that if an NRV on a specific saturated fatty acids were to be established, the value could be more restrictive; the guideline provided flexibility for governments to develop specific NRVs for particular populations; and in addition, WHO/FAO recommendations were for total SFA intake in the diet.

63. In response to the question raised about the on-going work of the NUGAG Subgroup on Diet and Health regarding the development of the updated guidelines on SFA and TFA, the Representative of WHO stated that WHO will continue to inform the Committee of the progress and outcomes of the work. However, based on the available evidence and recommendations to date including the joint FAO/WHO Expert Consultations and WHO’s guidelines, WHO would support the proposed 20 g of SFA as NRV-NCD. Regarding the proposed 2000 mg of sodium as NRV-NCD, the Representative noted that the new WHO guideline on sodium intake for adults and children (2012) also support the value and requested this new guidelines to be also referenced.

64. It was clarified that the Committee was able to advance the NRVs to Step 8 if it agreed, regardless of availability of the outcome of the Systematic Review.

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7 REP12/NFSDU Appendix III; CL 2012/19-NFSDU; CX/NFSDU 12/34/7 (Comments of Brazil, Costa Rica, Japan, New Zealand, Philippines, United States of America); CX/NFSDU 12/34/7-Add.1 (Comments of Thailand); CRD 9 (Comments of Malaysia)
Status of the Draft Nutrient Reference Values

65. The Committee agreed to advance the Draft Nutrient Reference Values, 20 g for saturated fatty acids and 2000 mg for sodium, to Step 8 for adoption by the 36th Session of the Commission (Appendix V). The Delegations of Malaysia and Philippines expressed their objection on the NRV for saturated fatty acids.

OTHER RECOMMENDATIONS RELATED TO AGENDA ITEM 4

66. The Delegation of Thailand, as the co-chair of the eWG, explained the work of the eWG, including potential suitable data sources for assessing convincing evidence in addition to FAO/WHO data sources and new work on NRV for protein.

Section 3.4.4 of the Guidelines on Nutrition Labelling

67. The Committee considered the proposal of the eWG to amend Section 3.4.4 of the Guidelines that relate to the listing of NRVs. The Committee agreed with the following amendments in addition to editorial and consequential amendments.

68. The Committee agreed to replace “achieve overall healthful dietary intake” with “make choices that contribute to an overall…” in the third paragraph for consistency and remove square brackets in the fourth paragraph. The Committee also agreed to insert footnotes to saturated fatty acid and sodium with appropriate reference.

69. The Committee agreed to refer the amendment to CCFL for consideration. (Appendix VI)

NRV for Protein

70. The Committee considered the proposal of the eWG to review the NRV for protein. Several delegations questioned whether it was a high priority and highlighted the NRV, 50 g, was supported by the recent evaluation by EFSA.

71. Some delegations supported the work as the 2002 Joint WHO/FAO/UNU Expert Consultation and data from recognized authoritative scientific bodies provided a scientific basis.

72. It was clarified that the work for NRV for protein had already been covered in the scope of the Proposed Draft Additional or revised Nutrient Reference Values for Labelling Purposes in the Codex Guidelines on Nutrition Labelling and that new work proposal was not necessary. The Committee therefore agreed that the NRV for protein would be considered by the eWG that would work for NRVs for vitamins and minerals (See Agenda Item 5).

Other matters

73. The Delegation of the United States noted that they would prepare a discussion paper on a potential NRV for potassium in relation to the risk of NCD and consider suitable data sources from FAO/WHO and recognized authoritative scientific bodies.

PROPOSED DRAFT ADDITIONAL OR REVISED NUTRIENT REFERENCE VALUES FOR LABELLING PURPOSES IN THE CODEX GUIDELINES ON NUTRITION LABELLING (Agenda Item 5)\(^8\)

74. The Committee recalled that its last session had considered the report presented by FAO and WHO on the Review of the existing daily vitamin and mineral intake reference values and had agreed that an electronic working group (eWG) chaired by Australia would, on the basis of the report and in accordance with the General Principles for Establishing Nutrient Reference Values of Vitamins and Minerals for the General Population consider all nutrient reference values (NRVs) for vitamins and minerals listed in Appendix IV, ALINORM 10/33/26, and formulate recommendations for NRVs for vitamins and minerals for the general population, for comments and consideration at the next session.

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\(^8\) CX/NFSDU 12/34/8, CX/NFSDU 12/34/8-Add.1 (comments of Canada, Philippines, South Africa, United States of America, Uruguay, IADSA), CX/NFSDU 12/34/8-Add.2 (comments of Brazil, Chile, Costa Rica, European Union, New Zealand, ICGMA, IDF), CRD 8 (comments of Indonesia), CRD 10 (comments of Chile), CRD 12 (comments of IDF), CRD 13 (comments of NHF), CRD 15 (comments of FoodDrinkEurope)
75. The Delegation of Australia indicated that the General Principles had been applied in the process of selecting the NRVs, while recognising that several approaches could be taken, and that the data calculations and associated issues involved in deriving a comparator from the FAO/WHO spreadsheet were presented in Attachment 4. The eWG had considered potential NRVs derived from WHO/FAO Recommended Nutrient Intakes (RNIs) and those for which no RNI had been established, and which were based on the Institute of Medicine (IOM) Dietary Reference Intakes (DRI). The potential NRVs had been grouped into several categories according to their suitability.

76. The Committee thanked the Delegation of Australia and the working group for their comprehensive work on complex issues and discussed their recommendations as presented below.

**Sodium and Potassium**

77. As regards the recommendation not to consider NRVs for sodium and potassium, it was recalled that the Committee had so far considered only an NRV-NCD for sodium, and that the current session had agreed under Agenda Item 4 to consider a discussion paper on potassium in relation to NCD at the next session. The Committee agreed that whether NRVs could be established according to both dietary adequacy and reduction of risk of NCD would require further discussion at a later stage.

**Suitable NRVs derived from WHO/FAO RNIs**

78. The Committee considered the recommendations of the WG to establish revised or new NRVs for the following vitamins and minerals derived from WHO/FAO RNIs and considered suitable: Vitamin K, Thiamin, Riboflavin, Niacin, Vitamin B6, Folate, Vitamin B12, Pantothenate, and Biotin; Calcium and Iodine.

79. Some delegations expressed the view that the values for several vitamins and minerals were too low and should not be classed as suitable and that at the national level they had problems of micronutrient deficiencies. Other delegations supported the values proposed as they resulted from FAO/WHO recommendations based on science and would be applicable at the national level.

80. One Observer pointed out that the values proposed for the NRVs were too low and should be increased in order to ensure optimal health and to take into account current scientific studies, and also that the levels of calcium and magnesium should be balanced. This view was supported by one delegation.

81. One Observer supported the values in Table 1 with the exception of biotin, for which scientific evidence justified a higher level, and pointed out that there were no safety issues involved.

82. Another Observer expressed the view that the value for calcium was too high for the purposes of labelling, and may result in preventing nutrition claims for milk and milk products as a source of Calcium, and also proposed that Vitamin K should be presented as K1 and K2.

83. The Delegation of Australia clarified how the values had been derived, recalled that they were intended for a healthy population and that the Principles allowed governments to establish NRVs at the national level as required. As regards Vitamins K1 and K2, the Delegation pointed out that in most countries for which values were reported, the distinction between isomers was not made.

84. The Committee generally agreed that the above NRVs were suitable for inclusion in the Guidelines on Nutrition Labelling and noted some questions concerning the opportunity of adopting only a partial list of NRVs while further work was still required on other values. It was however agreed that this would allow progress on the update of the NRVs.

85. The Committee agreed to forward the values mentioned above to Step 5/8 for adoption by the 36th Session of the Commission (see Appendix VII, see also para. 103).

**Other NRVs derived from WHO/FAO RNIs**

86. The Committee agreed with the conclusion of the working group that the following NRVs for vitamins and minerals derived from WHO/FAO RNIs were potentially unsuitable for use in Codex nutrition labelling: Vitamin A, Vitamin D, Vitamin E, Vitamin C, Magnesium, Selenium, and discussed how to proceed.
87. The Committee agreed that scientific advice could be sought from FAO/WHO, through JEMNU, on the suitability of these NRVs and that, for this purpose, specific questions should be formulated, possibly by an electronic WG, for consideration by the next session. The Representatives of FAO and WHO pointed out that requests should be prioritised, that the questions should be clearly formulated and that the time frame would depend on the nature of the requests and on the availability of resources.

88. The Committee noted the information on the process followed in the United States to develop NRVs and was informed that in the EU, EFSA was conducting a full review of vitamins and minerals which would be completed in 2015.

Iron and Zinc

89. The Committee noted that although the NRVs for Iron and Zinc are derived from WHO/FAO RNIs, they were considered separately because of their multiple values based on varying percentages of absorption from national diets and there was no agreement in the WG on the number of NRVs which should be established.

90. Some Observers supported a pragmatic approach with a single percentage at the international level, as in view of current data, it was not possible to establish different values. It was also noted that, at the national level, countries had the possibility to determine the NRV corresponding to the % absorption of Iron and Zinc in national diets. Another Observer expressed the view that different values should be established for males and females.

91. The Committee agreed that the issues related to NRVs for Iron and Zinc could not be addressed at this stage and would require further consideration.

Other NRVs

92. The Committee agreed that other potential NRVs for vitamins and minerals which were not derived from WHO/FAO RNIs and were based on the Institute of Medicine (IOM) Dietary Reference Intakes (DRI) would be set aside for further consideration at a later date: Phosphorus, Chloride, Copper, Fluoride, Manganese, Chromium, Molybdenum.

Recognized, authoritative, scientific body

93. The Committee generally agreed with the approach outlined in the process for further work and considered the working definition of “Recognized, authoritative, scientific body” proposed by the working group for the purpose of establishing NRVs. It was agreed to refer to “national and/or regional authorities” and clarification of appropriate term was requested to Codex Secretariat. In addition, some further amendments were made for clarification purposes. Following a proposal to refer to organisations supported by an UN agency, the Representative of WHO clarified that only FAO and WHO carried out normative work and could provide scientific advice. The text was modified accordingly and the Committee agreed on the following working definition:

Recognized, authoritative, scientific body (RASB)

For the purposes of establishing Codex Nutrient Reference Values, a recognized authoritative scientific body is an organization supported by a government(s) or competent national and/or regional authorities or FAO and/or WHO that provides independent and transparent* authoritative scientific advice on daily intake reference values upon request, and for which such advice is recognised through its use in the development of policies in one or more countries.

* In providing transparent scientific advice, the Committee would have access to what was considered by a RASB in establishing a daily intake reference value in order to understand the derivation of the value.

94. The Committee noted that this definition was for use in the process of selection of NRVs and was not intended for inclusion in the Guidelines on Nutrition Labelling.

Conversion Factors

95. The Committee discussed the conversion factors to be included after the list of NRVs in section 3.4.4. of the Guidelines.
The Committee agreed with the proposed conversion factor for niacin and discussed the conversion factor for Folate. Several delegations pointed out that it was premature to establish dietary equivalents for Folate and folic acid as they differed according to the mode of consumption: supplement taken separately, fortified food, or natural folate in food. It was noted that the values proposed were from the IOM report and referred to folic acid added to food or as a supplement consumed with food, and this is clarified in the Table.

After some discussion, it was also agreed to insert a note to the Table to reflect that conversion factors were intended to provide supporting information for national authorities but not to harmonise the conversions factors per se. One delegation noted the concern but did not agree that this text should be incorporated into the Guidelines on Nutrition Labelling.

The Committee agreed that the conversion factors for Vitamins A and E should be considered further at the next session.

Footnotes

In section 3.4.4 of the Guidelines on Nutrition Labelling, the Committee agreed to delete:

- Footnote 7 regarding the review of the lists of nutrients, as it is always possible to update Codex texts in view of new developments.
- Footnote 9 on NRVs for Vitamin D, Niacin and iodine as the preamble of the General Principles mentions that governments can consider the suitability of the General Principles and additional factors in establishing their own NRVs (consistency: starting with capital or small letters)

It was agreed that the proposal to delete the second sentence of Footnote 9 on Iron and Zinc in CX/NFSDU 12/34/8 would require further consideration.

Other matters

The Committee did not specifically discuss the other recommendations in the working document and agreed that they should be considered further by the electronic working group (see below), especially the replacement of ‘bioavailability’ with ‘absorption’ for Iron and Zinc and the inclusion of dietary descriptions corresponding to the established rates of absorption for Iron and Zinc.

Further work

The Committee agreed to proceed with work on NRVs following and for this purpose, agreed to establish an electronic working group chaired by Australia and working in English, with the Terms of Reference:

1. Recommend draft additional or revised NRVs-R for Vitamins A, D, E, C, Magnesium, Selenium, Iron and Zinc and relevant conversion factors, developed according to the following process:
   a) select one or more recognized authoritative scientific bodies (RASB) according to the Committee’s working definition of RASB;
   b) derive candidate NRVs-R from daily intake reference values that are reported by each selected RASB and WHO/FAO for the above vitamins and minerals in accordance with the relevant General Principles;
   c) i) evaluate the characteristics of candidate NRVs-R for the purpose of international applicability and the relevant conversion factors and determine draft recommendations; and
   ii) determine whether some or all of the evaluation in c-i) should be referred to FAO/WHO for scientific advice and if so, draft appropriate questions for FAO/WHO.

2. Review the NRV for protein in accordance with the relevant General Principles and as appropriate, recommend a draft revised NRV-R for protein.

3. Review the working definition of RASB, and as appropriate, recommend a final definition of RASB.
Status of the Proposed Draft Additional or Revised Nutrient Reference Values for Labelling Purposes in the Guidelines on Nutrition Labelling

103. The Committee agreed to advance to Step 5/8 the Proposed Draft NRVs for Vitamin K, Thiamin, Riboflavin, Niacin, Vitamin B6, Folate, Vitamin B12, Pantothenate, Biotin, Calcium and Iodine with the conversion factors for Folate and Niacin and related footnotes (see Appendix VII). The other values were returned for further consideration in the working group as described above, comments at Step 3 and consideration at the next session.

PROPOSED DRAFT REVISION OF THE CODEX GENERAL PRINCIPLES FOR THE ADDITION OF ESSENTIAL NUTRIENTS TO FOODS (CAC/GL 9-1987) (Agenda Item 6)

104. The Committee recalled that its last session had considered the report of the physical working group that had met prior to the session and could not consider the document in detail due to time constraints. It had agreed to return the proposed draft revision for redrafting by an eWG chaired by Canada and co-chaired by New Zealand.

105. The Delegation of Canada indicated that the WG had agreed to continue with a structure including Scope; Definitions; Principles; and Principles for Specific Types of Nutrient Addition, with final decisions to be taken on the naming of the sections. The Delegation noted that there was disagreement mainly on the need for sub-sections on the specific types of addition, and proposed to first discuss the merits of having principles for restoration, nutritional equivalence of substitute foods and special purpose foods, as well as Section 4.1 as to whether this deals only with mandatory addition or more generally the addition of essential nutrients to address a demonstrated public health need, prior to proceeding through the document clause by clause.

106. The Committee thanked Canada, New Zealand and the working group for their excellent and comprehensive work on the revision

General

107. The Committee discussed whether it was necessary to include separate subsections for the specific types of addition of essential nutrients, such as restoration or nutritional equivalence, as it was specified that the addition of nutrients should be rational and safe. Some delegations supported retaining these sections that are in the original document in order to provide additional guidance to governments and the meaning of rational and safe addition, while several other delegations considered that they should be deleted as “rational and safe” already covered such requirements.

108. The Committee discussed whether foods for special dietary uses and/or special purpose foods should be included in the Principles as some delegations considered that they should be excluded.

109. One delegation suggested deleting the definition of “special purpose foods” in section 2.9 as the principle established in section 4.4 (Nutrient addition to Special Purpose Foods) is already covered by the fundamental principles. Other delegations proposed to refer to the current definition of Foods for Special Dietary Uses. Some modification to the scope, there seems to be agreement to delete section 4.4 but the other types of addition still need to be discussed.

110. Several delegations pointed out that there should be a clear separation between mandatory and voluntary addition of nutrients in certain sections, and that if section 4.1.1 applied to both types of addition there could be some confusion as to how to demonstrate a public health need to the authorities. Other delegations pointed out that public health need had to be demonstrated in both mandatory and voluntary addition. Some delegations pointed out that both voluntary and mandatory addition can address public health needs.

111. The Committee considered some of the sections highlighted below. As there was no conclusion on any of the proposals, which were put forward for further consideration in the redrafting of the text at a later stage, all proposals put forward were included in square brackets.

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9 CX/NFSDU 12/34/9, CX/NFSDU 12/34/9-Add.1 (comments of Brazil, Philippines, IADSA, ICBA), CX/NFSDU 12/34/9-Add.2 (Canada, Chile, Costa Rica, European Union, New Zealand, Norway, Thailand, United States of America, ICGMA, IDF), CRD 8 (comments of Indonesia), CRD 9 (comments of Malaysia), CRD 11 (comments of Chile); CRD 16 (comments of Mexico)
Introduction

112. Several delegations supported the use of “Principles” instead of the current title, “General Principles”. It was noted that the terminology would be reconsidered following further discussion of the entire document.

113. The Committee noted a proposal by the Delegation of Europea Union to reinsert the provisions on the purpose of the addition of essential nutrients to foods in the Introduction, rather than in section 3 on Principles. The Delegation of United States noted that at the 32nd session of the Committee it had agreed to move the text to section 3.

114. The Committee considered a proposal to add the following text at the end of the paragraph “(principles…) that prevent the indiscriminate addition of nutrients to foods” . Some delegations supported this addition to strengthen the provisions of the introduction as to “rational and safe” addition, while other delegations considered that it was not necessary, and no conclusion was reached at this stage. The Committee considered replacing “ national “ with “ official” authorities as it would include both regional and national and was used in other Codex texts.

Section 1. Scope

115. The Committee had an extensive discussion on whether to exclude infant formula from the Scope. Several delegations did not support an exception only for infant formula, and pointed out that specific levels of vitamins and minerals were defined in other standards besides the Standard for Infant Formula and Formulas for Special Medical Purposes Intended for Infants. Other delegations considered that infant formula should be excluded as it is the only food consumed by infants of a certain age group. The Committee could not come to a conclusion and agreed that it required further consideration.

Section 2. Definitions

116. In section 2.6 on mandatory addition, some amendments were made for clarification purposes but there was no consensus on the proposal to insert “as part of a food standard”.

117. In section 2.7 on voluntary addition, Some delegations proposed to make it clear that even voluntary fortification should be clearly justified and under the control of the official authorities and several terms were proposed: official authorities permitting food manufacturer to add nutrients; manufacturers choosing to add essential nutrients” in conjunction” or “in conformity” with national legislation; or referring to the purpose of the Guidelines or to Codex Principles. The Committee could not come to a conclusion and retained all alternatives for further consideration.

Section 3. Principles

118. The Committee considered proposals for referring to “general” or “overarching” principles in the title of the section in order to differentiate the principles in section 3 and 4, and to avoid confusion with the title of the entire document, if it was decided to refer only to “Principles”.

119. In section 3.1.1 and 3.1.3, it was proposed to refer to prevention, in addition to correction of a demonstrated deficiency. Several delegations and one Observer objected to this term as claims for the prevention and cure of diseases were not allowed in the framework of Codex. Other delegations considered that the section should reflect a logical sequence between correcting deficiencies, reducing risk: maintenance of health and nutritional status and ensuring nutritional quality of foods, and some reordering was also suggested. One delegation drew the attention to the possibility of misleading health claims on prevention of diseases. Another delegation noted that this was not related to prevention of diseases but preventing nutrient deficiency. Some observers supported the reference to prevention of deficiencies.

120. In section 3.1.3, there was some agreement to transfer the last sentence to section 4 as it was more related to the types of nutrient addition.

121. The first sentence of section 3.1.4 was deleted as it was not necessary and some editorial amendments were made for clarification purposes.

122. In section 3.1.4, the Committee noted a proposal to refer to “idealizing”, and the comments that this was covered the requirements not to deceive the consumer, and it was noted that this could be discussed in further consideration of the document.
Conclusion

123. The Committee recognized that it was not possible to proceed further with the text as many critical issues remained to be addressed and insufficient time remaining, and agreed to establish an electronic working group chaired by Canada and co-chaired by New Zealand and working in English, to consider the comments made in writing and at the session, to prepare a revised draft for comments and consideration at the next session.

124. The Committee also agreed to convene a physical working group prior to the next session to consider the revised draft and the comments at Step 3.

Status of the Draft Revision of the Proposed Draft Revision of the Codex General Principles for the Addition of Essential Nutrients to Foods

125. The Committee agreed to return the Proposed Draft Revision for redrafting by an electronic working group as mentioned above, comments at Step 3 and consideration at the next session.

PROPOSED DRAFT AMENDMENT OF THE STANDARD FOR PROCESSED CEREAL-BASED FOODS FOR INFANTS AND YOUNG CHILDREN TO INCLUDE A NEW PART B FOR UNDERWEIGHT CHILDREN (Agenda Item 7)

126. The Committee recalled that the 34th Session of the Commission had approved new work on the inclusion of a New Part B for Underweight Children in the Standard for Processed Cereal-Based Foods for Infants and young Children (CODEX STAN 74-1981), that at the last session of the Committee it had not been able to consider the proposed draft due to time constraint and that it had agreed to return the proposed draft amendment for redrafting in the light of the written comments by an eWG chaired by India, circulation for comments at Step 3, and consideration at the next session.

127. The Committee noted that an invitation letter to the eWG had not been distributed and that it had not requested comments at Step 3 due to late distribution of the document. The Delegation of India said that they had asked for comments to the members of the eWG established in 2011; however some contact persons had changed in some members in eWG and could not participate. The Delegation had also taken into account the comments informally received when redrafting.

128. The Committee considered the scope of the proposed draft. The Delegation of India explained that “young children” at the second line was unintentionally deleted and that the Standard would cover food intended for underweight young children.

129. Several delegations said that they needed time to study the document due to late arrival of the document. Several delegations pointed out that foods for children at risk of becoming underweight should be covered by Part A of the Standard. The Delegation of India clarified that Part A does not address the problem sufficiently.

130. The Representative of WHO stated the need for further clarification of the scope of the proposed standard for which these foods are intended. Underweight, whether it is to cover − 1 SD and above or -2 SD and above, is a combination of stunting and wasting and stunted and wasted children do not have the same dietary needs. In addition, the scope stated in CX/NFSDU 12/34/10 includes those at risk of becoming underweight which would include all children in a certain setting and that could be covered by the existing Standard. The Representative suggested that perhaps what the Delegation of India would like to address would be moderate acute malnutrition in children which is measured by weight-for-height between -3 and -2 Z-scores of the median of the WHO child growth standards.

131. One delegation pointed out that obesity of children is also a problem and expressed their concern that the term “risk of becoming underweight” might be used as a marketing tool for whole population. The Delegation of India said that the Standard was to increase cereal content to provide energy and protein to address underweight. The Delegation of India explained that stunting is a different situation which may not be corrected by such complementary foods but may require special medical or therapeutic foods. The Committee did not reach a consensus.

10 CX/NFSDU 12/34/10; CRD 7 (Comments of Thailand)
132. One delegation proposed to change the scope to “high energy, high protein food” to focus on the nature of food rather than target population. The Delegation of India did not agree with the proposal because the scope in Part A focuses on target population.

Status of the Proposed Draft Amendment of the Standard for Processed Cereal-Based Foods for Infants and Young Children to Include a New Part B for Underweight Children

133. The Committee agreed to establish an eWG, chaired by India and co-chaired by Botswana and working in English, to revise the Proposed Draft, especially the Scope, taking into account the comments made during the session and WHO technical note “Food supplementation for children with moderate acute malnutrition”.

134. The Committee agreed to return the Proposed Draft Amendment for redrafting by the above-mentioned working group, comments at Step 3 and consideration at the next session.

135. The Committee noted that the chair of the eWG should prepare an invitation letter and send it to Codex Secretariat for distribution to all Members and observers as soon as possible.

PROPOSAL TO REVIEW THE CODEX STANDARD FOR FOLLOW-UP FORMULA (Agenda Item 8)\(^\text{11}\)

136. The Committee recalled that at its 32\(^{\text{nd}}\) Session it had agreed that New Zealand would prepare a discussion paper to consider the full or partial review of the Standard for Follow-up Formula (CODEX STAN 156-1987) and that at the last Session it had agreed to consider the matter at the next session as it had not had enough time to consider the discussion paper.

137. The Delegation of New Zealand explained that the Standard was developed over 20 years ago and required updating to take into account technological developments and the diversification of follow-up formula in several countries. The Delegation therefore proposed to review the Standard and asked the Committee whether the Standard should be reviewed fully or partially. The Committee thanked New Zealand for the discussion paper.

138. The Committee agreed with full review of the Standard. Several delegations pointed out that the food covered by the Standard, which was intended for infants between 6 and 12 months old, would be covered by the Standard for Infant Formula and Formulas for Special Medical purposes Intended for Infants, which is for foods intended for infants up to 12 months old and that the scope is therefore overlapping with that standard.

139. In this regard, one delegation proposed to change the scope of the Standard for foods for young children between 12 months and 36 months old. Other delegations, supported by some observers, were of the view that a standard on foods for children older than 12 months was not necessary because family food and breast milk are sufficient for them. In addition, they did not support the extension of its scope to cover “growing-up milk”. Several delegations expressed their view that if there were no standard for these foods which were traded internationally, they would not be regulated appropriately. Some delegation said that the role of such products in diet should be scientifically considered. After some discussion, the Committee agreed that the review should include whether such a standard was still necessary in light of global infant and child feeding recommendation. Some delegations and observers pointed out that:

- The WHA resolutions (eg WHA 39.28) on infant and young child feeding state that specially formulated baby milks such as follow up and growing up milks are unnecessary and therefore there was no need for Codex international standards for such products.
- The challenge of having international standards for such products is that this might prevent governments from preventing such unnecessary baby food imports, on optimal infant and young child feeding or child health grounds.
- These products could be regulated at national levels if necessary.

\(^{11}\)CX/NFSDU 12/34/11; CRD 2 (Comments of Nigeria); CRD 5 (Comments of Costa Rica); CRD 6; CRD 8 (Comments of Indonesia); CRD 9 (Comments of Malaysia); CRD 19 (Comments of New Zealand); CRD 20 (Comments of Republic of Korea)
140. The representative of WHO stated that the World Health Assembly has clearly stated that specially formulated milks such as so-called follow-up milks is not necessary (WHA 39.28). Therefore, if the Committee would proceed with a review of the existing *Standard for Follow-up Formula*, WHO would support a full review, provided that the review would also consider the question of whether follow-up formula is an appropriate part of the diets of older infants and young children as noted in the section 3.4 of the document CX/NFSDU 12/34/11, and requested this question to be included as part of the purpose and scope of the new work, and this was accepted.

141. The Committee considered the proposed project document and made following amendments and comments, in addition to editorial changes.

3. **Main Aspects to be Covered**

142. The Committee clarified that products referred to in some countries as follow-on formula was covered under the review.

4. **Assessment against the Criteria for the Establishment of Work Priorities**

143. The Committee noted that “growing-up milk” is a commercial term and agreed to include “so-called” before the term in the proposed project document. The Committee agreed that, in the context of the project document, reference to “so-called growing-up milk products” should be interpreted as covering all milk-based drinks and similar products intended for young children.

7. **Identification of Any Requirement for and Availability of Expert Scientific Advice**

8. **Identification of Any Need for technical Input to the Standard from External Bodies so that This Can Be Planned for**

144. The Committee noted that input from technical experts with respect to producing the products was necessary. One delegation was of the view that the Standard should be reviewed by experts on nutrition for infant and young children and food science and technology.

145. It was clarified that in general, Section 7 includes the scientific advice from FAO and WHO and Section 8 from other bodies and the Committee amended the project document accordingly, taking into account the Risk Analysis Principles. One observer proposed to include data from social science about use, marketing, prevalence and parental perception of those products.

146. Time line for the work was adjusted as in appendix.

**Conclusion**

147. The Committee agreed to propose new work to review the *Standard for Follow-up Formula* (Appendix VIII). Subject to the approval of the Commission, the Committee further agreed to establish an eWG, chaired by New Zealand and co-chaired by France and Indonesia and working in English and French, with the following Terms of Reference:

i. Develop a draft discussion document for the review of the *Standard for Follow-up Formula* (CODEX STAN 156-1987) with an initial focus on the essential composition of Follow-up Formula for older infants and young children aged 6-36 months

ii. Consider if any differences are required in the essential composition for older infants (6-12 months) and young children (12-36 months)

iii. Identify areas where additional technical guidance and expert advice will be required by the Committee

iv. Collect data and information on Follow-up Formula and its role in the diet that will assist the Committee with the review of the Follow-up Formula standard

v. Develop a draft revised standard for consideration by the CCNFSDU at Step 2

148. The Committee noted that the eWG would start working early next year due to its huge workload.
PROPOSED DRAFT REVISION OF THE LIST OF FOOD ADDITIVES (Agenda Item 9)<sup>12</sup>

149. The Committee recalled that at its last session it had agreed that Switzerland would redraft the list of additives for circulation through a circular letter and revise it in the light of the comments for consideration by the next session. One delegation requested further information on the categorization of food additives as outlined in the paper from CCFA.

150. The Committee agreed to consider the matter at the next session because there was no time to look into the document due to late delivery. The Committee noted that Switzerland would prepare the document which would include information on whether each additive was necessary or not for the products.

PROPOSAL TO REVIEW THE CODEX DEFINITION OF TRANS FATTY ACIDS (Agenda Item 10)<sup>13</sup>

151. The Committee recalled that at its last session it had agreed that Australia would prepare a discussion paper on the definition of trans fatty acids to reconsider the exemption of conjugated fatty acids in view of new studies on the health effects for consideration at the next session.

152. In response to request form Australia, the representative of WHO stated that the on-going work of the NUGAG Subgroup on Diet and Health on SFA and TFA, conjugated linolenic acid is also included in the review in terms of the health effects on prioritized health outcomes such as coronary heart disease, blood lipids, total cholesterol/ LDL and HDL cholesterol, all cause mortality, stroke, diabetes, cardiovascular disease as well as adverse effects, but not on health benefits<em> per se</em>.

153. The Committee agreed to differ the consideration of this agenda item until after the outcome of NUGAG is available.

OTHER BUSINESS AND FUTURE WORK (Agenda Item 11)

Proposal to Develop a Discussion Paper on the Biofortification of Staple Food Crops with Essential Vitamins and Minerals by Conventional Breeding<sup>14</sup>

154. The Observer of IFPRI made a presentation about biofortification of crops by conventional breeding and proposed that it would prepare a discussion paper for consideration at the next session.

155. Several delegations supported the development of a discussion paper. Several delegations questioned what the purpose of the discussion paper was and recalled that biofortification had been excluded from the revision of the General Principles for the Addition of Essential Nutrients to Foods. One Delegation asked if IFPRI considered whether the existing<em> General Principles for the Addition of Essential Nutrients to Foods</em> (CAC/GL 9-1987) might be used for biofortification.

156. The Delegation of Canada proposed to collaborate with IFPRI to clarify the purpose of the discussion paper on the biofortification of the staple food crops with essential vitamins and mineral by conventional breeding and assist the development and how to direct, if appropriate. The Committee agreed with the proposal of Canada.

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

157. The Committee was informed that its 35<sup>th</sup> Session was scheduled to be held in Germany, from 4 to 8 November 2013, the final arrangements being subject to confirmation by the Host Country and the Codex Secretariat.

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<sup>12</sup> CX/NFSDU 12/34/12
<sup>13</sup> CX/NFSDU 12/34/13; CRD 3 (Comments of Costa Rica, Nigeria, Philippines); CRD 14 (Comments of IADSA); CRD 15 (Comments of FoodDrinkEurope)
<sup>14</sup> CRD 1
<table>
<thead>
<tr>
<th>SUBJECT MATTER</th>
<th>STEP</th>
<th>ACTION BY:</th>
<th>DOCUMENT REFERENCE (REP13/NFSDU)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Draft Revision of the Guidelines on Formulated Supplementary Foods for Older Infants and Young Children (CAC/GL 8-1991)</td>
<td>8</td>
<td>Government 36th CAC</td>
<td>para. 41 Appendix II</td>
</tr>
<tr>
<td>Draft Nutrient Reference Values (NRVs)</td>
<td>8</td>
<td>Government 36th CAC</td>
<td>para. 65 Appendix V</td>
</tr>
<tr>
<td>Proposed Draft Additional or Revised Nutrient Reference Values for Labelling Purposes in the Codex Guidelines on Nutrition Labelling (Vitamin K, Thiamin, Riboflavin, Niacin, Vitamin B6, Folate, Vitamin B12, Pantothenate, Biotin, Calcium and Iodine and related footnotes)</td>
<td>5/8</td>
<td>Government 36th CAC</td>
<td>para. 103 Appendix VII</td>
</tr>
<tr>
<td>Consolidation of the General Principles for Establishing NRVs of Vitamins and Minerals and General Principles for Establishing NRV-NCD</td>
<td>adoption</td>
<td>Government 36th CAC</td>
<td>para. 59 Appendix IV</td>
</tr>
<tr>
<td>Proposed Draft Additional or Revised Nutrient Reference Values for Labelling Purposes in the Codex Guidelines on Nutrition Labelling (Other values than described above, including protein)</td>
<td>2/3</td>
<td>eWG chaired by Australia Government 35th CCNFSDU</td>
<td>para. 103</td>
</tr>
<tr>
<td>Proposed Draft Revision of the Codex General Principles for the Addition of Essential Nutrients to Foods (CAC/GL 9-1987)</td>
<td>2/3</td>
<td>eWG chaired by Canada and co-chaired by New Zealand Government 35th CCNFSDU</td>
<td>para. 125</td>
</tr>
<tr>
<td>Proposed Draft Amendment of the Standard for Processed Cereal-Based Foods for Infants and Young Children to Include a New Part B for Underweight Children</td>
<td>2/3</td>
<td>eWG chaired by India and co-chaired by Botswana Government 35th CCNFSDU</td>
<td>paras 133 - 135</td>
</tr>
<tr>
<td>Proposal to Review the Codex Standard for Follow-up Formula (CODEX STAN 156-1987)</td>
<td>1/2/3</td>
<td>eWG chaired by New Zealand co-chaired by France and Indonesia Government 35th CCNFSDU</td>
<td>paras 147 – 148 Appendix VIII</td>
</tr>
<tr>
<td>Discussion Paper on a Potential NRV for Potassium in relation to the risk of NCD</td>
<td>discussion paper</td>
<td>United States</td>
<td>para. 73</td>
</tr>
<tr>
<td>Proposed Draft Revision of the List of Food Additives</td>
<td>discussion paper</td>
<td>Switzerland</td>
<td>para. 150</td>
</tr>
<tr>
<td>Discussion Paper on Biofortification</td>
<td>discussion paper</td>
<td>Canada, IFPRI</td>
<td>para. 156</td>
</tr>
</tbody>
</table>
APPENDIX I

LIST OF PARTICIPANTS
LISTE DES PARTICIPANTS
LISTA DE PARTICIPANTES

CHAIRPERSON/PRESIDENT/PRESIDENTE
Dr Pia Noble
Federal Ministry of Food, Agriculture and Consumer Protection
Rochusstrasse 1
53123 Bonn
Germany
Tel.: +49 (228) 99 529 4665
Fax: +49 (228) 99 529 4965
E-Mail: ccnfsdu@bmelv.bund.de

ASSISTANT TO THE CHAIRPERSON/ASSISTANT AU PRESIDENT/

ASISTENTE AL PRESIDENTE
Ms Katharina Adler
Federal Ministry of Food, Agriculture and Consumer Protection
Rochusstraße 1
53123 Bonn
Germany
Tel: +49 (228) 99 529 4647
Fax: +49 (228) 99 529 4965
E-Mail: ccnfsdu@bmelv.bund.de

MEMBER COUNTRIES/PAYS MEMBRES/
PAYSES MIEMBROS

ALGERIA / ALGÉRIE / ARGELIA
Mr Benabid Tahar
Recteur de l’Universite de Batna
Ministere de l’Enseignement Superieur
Universite Hadj Lakhdar Batna Rectorat
05000 Batna
Algeria
Tel: +213 6 6134 4545
Fax: +213 6 3396 0443
E-Mail: thenabid06@yahoo.fr

ANTIGUA AND BARBUDA / ANTIGUA E BARBUDA /
ANTIGUY Y BARBUDA
Ms Samantha Moitt
Registered Dietitian
Ministry of Health
Mount St. John Medical Center
Michael’s Mount
St John’s
Antigua
Te.: +268 4842 761
E-Mail: samantha.moitt@gmail.com

ARMENIA / ARMÉNIE
Ms Viktorya Harutyunyan
Leading Specialist State Hygiene and Anti-Epidemic Inspectorate
Ministry of Health
10, G. Hovsepyan St. Nork Marash
0047 Yerevan
Armenia
Tel.: +374 10 650305
Fax: +374 10 651660
E-Mail: ph@ph.am

AUSTRALIA / AUSTRALIE
Dr Janine Lewis
Principal Nutritionist
Food Standards Australia New Zealand
P.O.Box 7186
Canberra BC ACT 2610
Australia
Tel.: +61 (2) 6271 2245
Fax: +61 (2) 6271 2278
E-Mail: janine.lewis@foodstandards.gov.au

Ms Victoria Landells
Regulatory Strategist – Health and Nutrition Fonterra
327 Ferntree Gully Road, Mt Waverly
3149 Victoria
Australia
Tel.: +61 (3) 8541 1327
Fax: +61 (3) 8541 1462
E-Mail: victoria.landells@fonterra.com
**AUSTRIA/ AUTRICHE**  
Dr Fritz Wagner  
Dept. Director  
Federal Ministry of Health  
Radetzkystrasse 2  
1030 Vienna  
Austria  
Tel.: +43 (1) 71100 4426  
Fax: +43 (1) 713404 1644  
E-Mail: fritz.wagner@bmg.gv.at

**BELGIUM / BELGIQUE / BELGICA**  
Pascale De Gryse  
Service public fédéral de la Santé Publique, Sécurité de la Chaîne alimentaire et Environnement  
Eurostation Bloc II  
Place Victor Hugo 40 bte 10  
1060 Brussels  
Belgium  
Tel.: +32 2 524 7368  
Fax: +32 2 524 7399  
E-Mail: pascale.degryse@health.belgium.be

**BENIN / BENIN**  
Mr Sètondji Ignace Zinsou  
Chef Service de la Qualité, des Analyses et de la Législation Alimentaire  
Direction de l’Alimentation et de la Nutrition Appliquée (DANA)  
Ministère de l’Agriculture, de l’Elevage et de la Pêche  
BP 295 Porto-Novo  
Benin  
Tel.: +229 202 457 91/+229 9722 8079  
Fax: +229 2024 5792  
E-Mail: ignaciodezin@yahoo.fr

**BOTSWANA**  
Mr Hussein Tarimo  
Principal Scientific Officer, Food Safety  
Executive Secretary- National Food Control Board  
Ministry of Health  
P.B. 00269 Gabarone  
Gabarone  
Botswana  
Tel.: +267 3632 121  
Fax: +267 3902 092  
E-Mail: htarimo@gov.bw  
Mrs Jacinta Sibiya  
Principal Health Officer  
Nutrition & Acting Head  
Nutrition and Food Control Division  
Ministry of Health  
Department of Public Health  
P.Bag 00269 Gabarone  
Gabarone  
Botswana  
Tel.: +267 3632 163  
Fax: +267 3902 092  
E-Mail: jsibiya@gov.bw

**BRAZIL / BRÉSIL / BRASIL**  
Ms Elisabete Gonçalves Dutra  
Technical Assistant  
National Health Surveillance Agency – Anvisa  
SIA, Trecho 5, Área Especial 57  
71.205-050 Brasilia DF  
Brazil  
Tel.: +55 61 3462 5333  
Fax: +55 61 34 53 15  
E-Mail: elisabete.goncalves@anvisa.gov.br  
Ms Aline Cristino Figueiredo  
Specialist in Health Surveillance  
National Health Surveillance Agency – Anvisa  
Setor de Índustria e Abastecimento (SIA)  
Trecho 5, Área Especial 57  
71205-050 Brasilia DF  
Brazil  
Tel.: +55 61 3462 5358  
E-Mail: aline.figueiredo@anvisa.gov.br  
Mrs Tânia Cunha  
Pharmacist  
ABIA – Brazilian Association of Food Industry  
Av. Brigadeiro Faria Lima, 1478 – 11° andar  
01451-001 São Paulo  
Brazil  
Tel.: +55 11 5508 1909  
Fax: +55 11 5508 1977  
E-Mail: tania.cunha@abbott.com  
Mr Antonio Mantoan  
ABIA – Brazilian Association of Food Industry  
Av. Brigadeiro Faria Lima, 1478 – 11° andar  
01451-001 São Paulo  
Brazil  
Tel.: +55 11 3030 1353  
E-Mail: antonio.mantoan@mhn.com

**CAMEROON / CAMEROUN / CAMERUN**  
Mr Jean Martin Etoundi  
Taechnical Secretary of CCAFIRCA  
National Codex committee  
BP 8/86 Yaoundé  
Yaoundé  
Cameroon  
Tel.: +237 7774 2241  
E-Mail: etoundjime@yahoo.fr  
Mr Etabi Bikie Yannick Herve  
etabicoldex@yahoo.fr
Dr Jing **Zhang**  
Director  
Center for Health Food Evaluation of State Food Drug Administration  
No. 188 Western Road, South 4th Ring Road  
100070 Beijing  
P. R. China  
Tel.: +86 1063 703531  
Fax: +86 10 6370 3355-602  
E-Mail: zj@zybh.gov.cn

Dr Sujuan **Zhou**  
Censor  
Center for Health Food Evaluation of State Food Drug Administration  
No. 188 Western Road, South 4th Ring Road  
100070 Beijing  
P. R. China  
Tel.: +86 10 63 703355 412  
Fax: +86 19 6370 3355-421  
E-Mail: zsj@zybh.gov.cn

Dr Chi Wai Allen **Chan**  
Senior Medical Officer Risk Assessment  
Centre for Food Safety  
Food and Environmental Hygiene Department, Hong Kong  
3/F, 4 Hospital Road, Sai Ying Pun  
Hong Kong  
P. R. China  
Tel.: +852 3962 2060  
Fax: +852 2803 0534  
E-Mail: acwchan@fehd.gov.hk

Dr Violette Fu Po **Lin**  
Scientific Officer Nutrition  
Centre for Food Safety, Food and Environmental Hygiene Department  
3/F, 4 Hospital Road, Sai Ying Pun  
Hong Kong  
P. R. China  
Tel.: +852 3962 2069  
Fax: +852 2803 0534  
E-Mail: vfplin@fehd.gov.hk

Dr Xuejun **Zhao**  
Scientific and Regulatory Affairs Director  
Dumex Baby Food Co. Ltd.  
Building 12  
27 Xinjinqiao Rd. Pudong  
Shanghai, 201206  
P. R. China  
Tel.: +86 (21) 3860 8840  
Fax: +86 10 3860 8899  
E-Mail: xuejun_zhao@danone.com

Mr Hongmin **Xu**  
Technical and Regulatory Director  
Amway (China) Co.Ltd  
41/F CITIC Plaza  
233 Tianhe N. Road  
510613 Guangzhou  
P. R. China  
Tel.: +86 (20) 8519 8818  
Fax: +86 (20) 3891 2877  
E-Mail: hongmin_xu@amway.com

Ms Chunzhu **Wu**  
Senior Regulatory & Scientific Affairs Manager  
Nestle China Ltd.  
Level 9, Tower B, LSH Plaza, No 8 Wangjing Road  
Changyang District  
100102 Beijing  
P. R. China  
Tel.: +86 10 8434 7887  
Fax: +86 10 6438 9326  
E-Mail: chunzhu.wu@cn.nestle.com

Ms Qian **Huang**  
RSA Manager  
Nestle (China) Ltd.  
Rm. 2903 West Tower LG Twin Towers, No 12B  
Jianguomenwai Ave. Chaoyang Dist.  
100022 Beijing  
P. R. China  
Tel.: +86 10 8434 7654  
E-Mail: qian.huang@cn.nestle.com

Ms Ying **Jin**  
Sr. Regulatory Affairs Manager  
Friesland Campina China  
Rm. 2903 West Tower LG Twin Towers, No 12B  
Jianguomenwai Ave. Chaoyang Dist.  
100022 Beijing  
P. R. China  
Tel.: +86 10 8434 8090-148  
E-Mail: jin.ying@frieslandcampina.com

Ms Bing **Feng**  
Sr. Regulatory Specialist  
Abbott Laboratory S.A. Beijing Office  
Rm 1709-1716 Canway Building, 66 Nanlishi Road  
100045 Beijing  
P. R. China  
Tel.: +86 6802 8080-148  
E-Mail: bing.feng@abbott.com

Ms Jing **Han**  
Regulatory Manager  
Wyeth Nutrition (China) Co. Ltd.  
8/F, Tower B, The 5th Square, No. 3-7, North Chao Yang District  
100010 Beijing  
P. R. china  
Tel.: +86 10 8516 1062  
Fax: +86 10 8516 1199  
E-Mail: grace.han@pfizer.com
**COLOMBIA/COLOMBIE**

Mr Juan Mayr Maldonado  
Ambassador of Colombia  
Kurfürstenstraße 84 Piso 5  
10787 Berlin  
Germany  
Tel.: +49 30 2639 6111  
E-Mail: j.mayr@embajada-colombia.de  

Mrs Laura Otálora Cortés  
Representante del Comité Nacional de Regimenes Especiales  
Comité Nacional de Regimenes Especiales  
Cll 76 N° 11-17 piso 3  
Bogotá  
Colombia  
Tel.: +57 3 1647 02781  
E-Mail: lauraotalora52@hotmail.com

**CÔTE D’IVOIRE**

Dr Yoboue Patricia N’goran  
Directeur Coordinateur du Programme Nationale de Nutrition de la Côte d’Ivoire  
Direction de Coordination du Programme Nationale de Nutrition  
18 BP 976, Abidjan 18  
00225 Abidjan  
Côte d’Ivoire  
Tel.: +225 07 794541  
Fax: +225 2021 8461  
E-Mail: patricianty@yahoo.fr

Dr Quattara Sanga Mamadou  
Medecin de Sante Publique Charge de la Fortification et de la Lutte contre les Carences en Micronutriments  
Direction de Coordination du Programme Nationale de Nutrition  
27 BP 340 Abidjan 27  
00225 Abidjan  
Côte d’Ivoire  
Tel.: +225 02 813404  
Fax: +225 2021 8461  
E-Mail: quattarasanga@hotmail.com

**CUBA**

Dr Yarisa Dominguez Ayllón  
Nutritional Master in Science  
National Institute of Food and Hygiene  
Infanta 1158  
10400 La Habana  
Cuba  
Tel.: +53 7 8785 919  
E-Mail: yarisa65@yahoo.com

**DENMARK/DANEMARK/DINAMARCA**

Mr Troels Vensild  
Senior Advisor  
Danish Veterinary and Food Administration  
Stationsparken 31  
2600 Glostrup  
Denmark  
Tel.: +45 7227 6900  
E-Mail: tve@fvst.dk

Mrs Dagny Loevoll Warming  
Scientific Officer  
Danish Veterinary and Food Administration  
Stationsparken 31  
2600 Glostrup  
Denmark  
Tel.: +45 7227 6900  
E-Mail: dlw@fvst.dk

Ms Anne Scott  
Ministry of Food Agriculture and Fisheries  
Stationsparken 31  
2600 Glostrup  
Denmark  
Tel.: +45 7227 6900  
Ms Laila Lundby  
Danish Agriculture and Food Council  
Axeltorv 3  
1609 Kopenhagen  
Denmark  
Tel.: +45 3339 4476  
E-Mail:llu@lf.dk

Mr Stephane Brion  
Administrator  
Council of the European Union  
Rue de la Loi 175  
1048 Brussles  
Belgium  
Tel.: +32 2 281 2142  
Fax: +32 2 281 6168  
E-Mail: stephane.brion@consilium.europe.eu

**EGYPT/ÉGYPTE/EGIPTO**

Prof. Mohamed Massoud  
Professor of Human Nutrition  
Regional Center for Food and Feed  
Agricultural Research Center, Ministry of Agriculture  
9 El Gamaa St. Agric. Res. Center  
588 Orman Giza  
Egypt  
Tel.: +20 3573 2280  
Fax: +20 3571 3250  
E-Mail: clff@intouch.com
Mr Mohamed Abd el Hamed  
Food Standards Specialist  
Egyptian Organization for Standardization and Quality (EOS)  
16, Tadreeb Al-Modarrebeen St., Ameriya  
Cairo  
Egypt  
Tel.: +20 2228 45531  
Fax: +20 2228 45502  
E-Mail: atch_toto3@yahoo.com  

Dr Neamat Bassuony  
Associate Professor of Contamination Food and Feed  
Regional Center for Food and Feed, Agricultural Research Center, Ministry of Agriculture  
9 El Gamaa st. Agric. Res. Center  
588 orman Giza  
Egypt  
Tel.: +20 3573 2280  
Fax: +20 3571 3250  
E-Mail: clff@intouch.com  

Mr Yasser Mansour  
Technical Officer  
Chamber of Food Industries  
1195 Cornich El – Nil  
Cairo  
Egypt  
Tel.: +20 2257 48312  
Fax: +20 3571 3250  
E-Mail: Yasser@egycfi.org.eg  

ESTONIA / ESTONIE  
Dr Siret Surva  
Chief Specialist of General food law bureau  
Ministry of Agriculture  
Food Safety  
Lai 39/41  
15056 Tallinn  
Estonia  
Tel.: +372 6256213  
Fax: +372 6256210  
E-Mail: siret.surva@agri.ee  

EUROPEAN UNION / UNION EUROPÉENNE / UNIÓN EUROPEA  
Mr Basil Mathioudakis  
Head of Unit  
European Commission  
Health and Consumers Directorate-General (SANCO)  
Office B232 2/115  
Rue Belliard 232  
1049 Brussels  
Belgium  
Tel.: +32 (0) 2 295 9182  
Fax: +32 (0) 2 295 1735  
E-Mail: basil.mathioudakis@ec.europa.eu  

Dr Eva Maria Zamora Escribano  
Administrator responsible for Codex issues  
European Commission  
Health and Consumers Directorate General (SANCO G6)  
Rue Froissart 101  
1049 Brussels  
Belgium  
Tel.: +32 (2) 299 8682  
Fax: +32 (2) 299 8566  
E-Mail: eva-maria.zamora-escribano@ec.europa.eu  

Mr Francesco Carlucci  
European Commission  
DG SANCO  
B232 02/009  
1049 Brussels  
Belgium  
Tel.: +32 229 97987  
E-Mail: Francesco-felice.carlucci@ec.europa.eu  

Mr Christophe Didion  
European Commission  
Health and Consumers Directorate-General (SANCO)  
Office B232 2/115  
Rue Belliard 232  
1049 Brussels  
Belgium  
Tel.: +32 229 95427  
E-Mail: christophe.didion@ec.europa.eu  

Ms Camilla Scassellati-Sforzolini  
European Commission  
DG SANCO  
B232 02/009  
1049 Brussels  
Belgium  
Tel.:  
E-Mail: Camille.scassellati-sforzolini@ec.europa.eu  

Mrs Stephanie Bodenbach  
Administrator  
European Commission  
DG Sanco  
rue Bellilard 232 02/140  
1049 Brussels  
Belgium  
Tel.: +32 229 80938  
E-Mail: Stephanie.abodenbach@ec.europa.eu  

MRS Alice Stengel  
Chargée de mission nutrition  
Ministère de l’Économie et des Finances  
DGCCRF  
59, bd V. Auriol  
75013 Paris  
France  
Tel.: +33 1 4497 3325  
Fax: +33 1 4497 3048  
E-Mail: alice.stengel@dgccrf.finances.gouv.fr
Mrs Françoise Costes  
Chargée de mission Réglementaire  
ATLA  
42 Rue de Châteaudun  
75009 Paris  
France  
Tel.: +33 (1) 4970 7269  
Fax: +33 (1) 4280 6365  
E-Mail: fcostes@atla.asso.fr

Mrs Brigitte Lelievre  
Regulation Affairs  
Syndicat Français de la Nutrition Spécialisée (SFNS)  
194, rue de Rivoli  
75001 Paris  
France  
Tel.: +33 (1) 4477 8585  
E-Mail: bbelievre@alliance7.com

Mrs Jolanta Leone  
Syndicat Français de la Nutrition Spécialisée (SFNS)  
194, rue de Rivoli  
75001 Paris  
France  
Tel.: +33 (1) 4477 8585  
E-Mail: jolanta.leone@danone.com

Ms Annie Loc'h  
Corporate Regulatory Affairs Director  
Groupe Danone  
15 Rue Helder  
75009 Paris  
France  
Tel.: +33 (6) 1467 2825  
E-Mail: annie.loch@danone.com

Mrs Pauline Messan Zouna  
Vice President codex alimentarius  
Ministère Economie  
B.P. 8793  
B.P. 11 02 60  
10832 Berlin  
Tel.: +49 30 18444 10128  
Fax: +49 30 18444 89999  
E-Mail: p.messanzouna@yahoo.fr

Mrs Isabel Gärtner  
Bund für Lebensmittelrecht und Lebensmittelkunde e.V. (BLL)  
Claire-Waldoff-Straße 7  
10117 Berlin  
Tel.: +49 30 206143  
Fax: +49 30 206143  
E-Mail: igaertner@bll.de

Dr. Anke Weissenborn  
Bundesinsitut für Risikobewertung  
Max-Dohrn-Straße 8-10  
10589 Berlin  
Germany  
Tel.: +49 (30) 8412 3812  
E-Mail: anke.weissenborn@bfr.bund.de

Mrs Klara Jirzik  
Bundesamt für Verbraucherschutz und Lebensmittelsicherheit, Referat 101  
Postfach 11 02 60  
10832 Berlin  
Tel.: +49 30 18444 10128  
Fax: +49 30 18444 89999  
E-Mail: klara.jirzik@bvl.bund.de

Mr. Niklas Schulze Icking  
Federal Ministry of Food, Agriculture and Consumer Protection  
Unit 314 – Deputy Head of Division  
Wilhelmstraße 54  
10117 Berlin  
Tel.: +49 30 18 529 3515  
Fax: +49 30 18 529 3273  
E-Mail: codex.germany@bmelv.bund.de

Dr. Gerda Jost  
Manager Corporate & Regulatory Affairs  
Milupa GmbH  
Bahnstraße 14-30  
61381 Friedrichsdorf  
Germany  
Tel.: +49 (6172) 99 1423  
Fax: +49 (6172) 99 1244  
E-Mail: gerda.jost@danone.com

Dr. Susanne Kettler  
Director Regulatory Affairs  
EU-Scientific & Regulatory Affairs  
Coca-Cola Services s.a.  
Chaussee de Mons 1424  
1070 Brüssel  
Belgium  
Tel.: +32 471 989045  
Fax: +32 (2) 559 2378  
E-Mail: skettler@coca-cola.com
Dr. Gert Krabichler
Head Global Regulatory Affairs
Merck Selbstmedikation GmbH
Roesslerstraße 96
64293 Darmstadt
Tel.: +49 (6151) 7214 2264
Fax: +49 (6151) 7214 2218
E-Mail: gert.krabichler@merckgroup.com

Mrs Inga-Katharina Neuschäfer
Bundesverband der Hersteller für eine besondere Ernährung (Diätverband) e.V.
Godesberger Allee 142-148
53175 Bonn
Germany
Tel.: +49 (228) 308 5111
Fax: +49 (228) 308 5150
E-Mail: neuschaefer@diaetverband.de

Dr. Michael Packert
Südzucker AG
Maximilianstraße 10
68165 Mannheim
Germany
Tel.: +49 (621) 421 573
Fax: +49 (621) 421 7573
E-Mail: michael.packert@suedzucker.de

Mr Norbert Pahne
Managing Director
Bundesverband der Hersteller für eine besondere Ernährung (Diätverband) e.V.
Godesberger Allee 142-148
53175 Bonn
Germany
Tel.: +49 (228) 308 5110
Fax: +49 (228) 308 5150
E-Mail: pahne@diaetverband.de

Mrs Antje Preussker
Bund für Lebensmittelrecht und Lebensmittelkunde e.V. (BLL)
Claire-Waldoff-Straße 7
10117 Berlin
Tel.: +49 30 206143 146
Fax: +49 30 206143 246
E-Mail: apreussker@bll.de

Ms Manuela Windhausen
Deutsches Nationalkomitee im internationalen Milchwirtschaftsverband (IDF)
Jägerstraße 51
10117 Berlin
Tel.: +49 30 206 489 612
Fax: +49 30 206 489 620
E-Mail: m.windhausen@idf-germany.com

GHANA
Prof Anna Lartey
Associate Professor
University of Ghana, Department of Nutrition and Food Science
P.O.Box LG 134, Legon
Accra
Ghana
Tel.: +233 (21)513294
E-Mail: aalartey@ug.edu.gh

Juliana Abena Yeboah Demanya
Deputy Chief Dietician
Korle bu Teaching Hospital
Dietetics Department
P.O.Box 77, Korle Bu
Accra
Ghana
Tel.: +233 302 667759 /+233 24420 1857
E-Mail: julieyeboah@yahoo.com

Ms Celestine Osei
Assistant Standards Officer
Ghana Standards Authority
P.O.Box MB 245
Accra
Ghana
Tel.: +233 243 187 857
Fax: +233 302 500 231
E-Mail: codex@gsa.gov.gh

HUNGARY / HONGRIE / HUNGRIA
Dr Éva Barna
Head of Department
National Institute for Food and Nutrition Science
Gyáli út 3/a
1097 Budapest
Hungary
Tel.: +36 1 476 6450
Fax: +36 1 215 5369
E-Mail: barna.eva@oeti.antsz.hu

INDIA
Dr Surender Ghonkroka
Director
Food Safety and Standards Authority
Kotla Road
110002 New Delhi
India
Tel.: +91 9958 281717
Fax: +91 11 2322 0994
E-Mail: sghonkroka@fssai.gov.in
Ms Anita Makhijani  
Asstt. Technical Adviser  
Ministry of WCD, Govt. of India  
Room No. 016, Jeevandeep Building  
Parliament Street  
New Delhi – 110001  
Tel.: +91 11 23743978  
Fax: +91 11 2334 6029  
E-Mail: anitam_atafnb@yahoo.com

INDONESIA / INDONÉSIE  
Mrs Tetty Helfery Sihombing  
Director of Food Product Standardization  
National Agency of Drug and Food Control  
Jl. Percetakan Negara No 23  
10560 Jakarta  
Indonesia  
Tel.: +62 (21) 4287 5584  
Fax: +62 (21) 4287 5780  
E-Mail: tettyhelfery@yahoo.com

Mrs Neny Rochany  
national Agency of Drug and Food Control  
Jl. Percetakan Negara 23  
10560 Jakarta  
Indonesia  
Tel.: +62 21 4280 0221  
Fax: +62 21 4245 267  
E-Mail: nenirochyani@yahoo.com

Ms Uken Sukaeni Sanusi MS, PhD  
National Institute for Health Research and Development  
Ministry of Health  
Jl. Semeru 63  
16112 Bogor  
Indonesia  
Tel.: +62 251 8321 763  
+62 8131 7823376  
Fax: +62 251 8326 348  
E-Mail: usoetrisno@gmail.com

Dr Damayanti Soekarjo  
Global Alliance for Improved Nutrition (GAIN)  
Talavera Office Park 28th Fl  
Jl. TB Simatupang 22-26  
Jakarta 12430  
Indonesia  
E-Mail: dama.soekarjo@savica.co.id

Mrs Sri Irawati Susalit  
Executive Director of Association of Nutritions Products for Mother and Children Companies (APPNIA)  
Jakarta 10560  
Indonesia  
Tel.: +62 (21) 7451086  
E-Mail: appnia@gmail.com  
irawati.susalit@gmail.com

Prof Dr Hardinsyah MS  
Department of Community Nutrition, Faculty of Human Ecology  
Bogor Agricultural University (IPB)  
Jl Wijaya Kusuma Raya no 45 Taman Ysmin  
Sektor I Kota Bogor, Jawa Barat  
16211 Bogor  
Indonesia  
Tel.: +62 2518345 278  
cell phone: +628 129192 259  
E-Mail: hardinsyah2010@gmail.com

Ms Adrianti  
National Agency of Drug and Food Control  
Jl. Percetakan Negara 23  
10560 JAKARTA  
INDONESIA  
Tel: +62 (21) 42875584  
Fax: +62 (21) 42875780  
E-Mail: yantiadnan@yahoo.com

IRAN, ISLAMIC REP. OF / IRAN, RÉP. ISLAMIQUE D’/ IRAN, REPÚBLICA ISLÁMICA DEL  
Atfeh Fooladi Moghaddam  
Food Expert  
Food & Drug Organization, Ministry of Health  
Building #3 Enqelab Ave, Fakhre Razi Ave  
1314715311 Tehran  
Iran  
Tel.: +98 2166 467265  
E-Mail: atefeh.fooladi@gmail.com

IRELAND / IRELANDE / IRLANDA  
Dr Mary Flynn  
Chief Specialist Public Health Nutrition  
Food Safety Authority of Ireland  
Abbey Court, Lr. Abbey Street  
Dublin 1  
Ireland  
Tel.: +353 (1) 817 1315  
Fax: +353 (1) 817 1215  
E-Mail: mflynn@fsai.ie

ITALY / ITALIE / ITALIA  
Dr. Ciro Impagnatiello  
Ministry of Agriculture, Food and Forestry Policies  
Via XX Settembre, 20  
00187 Rome  
Italy  
Tel.: +39 (6) 4665 6046  
Fax: +39 (6) 4880 273  
E-Mail: c.impagnatiello@mipaaf.gov.it

JAPAN / JAPON/JAPÓN  
Mr Naohiro Masuda  
Director  
Consumer Affairs Agency  
2-11-1 Nagata-cho, Chiyoda-ku  
100-6178 Tokyo  
Japan  
Tel.: +81 3 3507 9220  
Fax: +81 3 3507 9292  
E-Mail: g.codex-j@ca.go.jp
Mr Hiroaki Hamano  
Technical Advisor  
Japan Health Food and Nutrition Food Association  
2-7-27 Sadohara-cho, Ichigaya, Shinjuku-ku  
162-0842 Tokyo  
Japan  
Tel.: +81 3 3268 3134  
Fax: +81 3 3268 3136  
E-Mail: hiroaki.hamano@danisco.com

Dr Yoshiko Ishimi  
Chief, Department of Food Function and Labeling  
National Institute of Health and Nutrition  
1-23-1 Toyama, Shinjyuku-ku  
162-8636 Tokyo  
Japan  
Tel.: +81 (3) 3203 8063  
Fax: +81 (3) 3205 6549  
E-Mail: ishimi@nih.go.jp

Dr Nobuyoshi Shiozawa  
Officer Consumer Affairs Agency  
Food Labelling Division  
2-11-1 Nagata-cho, Chiyoda-ku  
100-6178 Tokyo  
Japan  
Tel.: +81 3 3507 9220  
Fax: +81 3 3507 9292  
E-Mail: g.codex-j@caa.go.jp

Dr. Manabu Sumi  
Director  
Ministry of Health, Labour and Welfare  
1-2-2 Kasumigaseki, Chiyoda-ku  
100-8916 Tokyo  
Japan  
tel.: +81 3 3595 2326  
Fax: +81 3 3503 7965  
E-Mail: codexj@mhlw.go.jp

Ms Takako Yano  
Section Chief  
Ministry of Agriculture, Forestry and Fisheries  
Food Safety and consumer Policy Division  
1-2-1 Kasumigaseki, Chiyoda-ku  
100-8950 Tokyo  
Japan  
Tel.: +81 3 3502 8732  
Fax: +81 3 3507 4232  
E-Mail: takako_yano@nm.maff.go.jp

KENYA  
Mr Peter Mutua  
Principal Standards Officer  
Kenya Bureau of Standards  
P.O.Box 54974  
00200 Nairobi  
Kenya  
Tel.: +254 (20) 6948 000  
Fax: +254 (20) 609 660  
E-Mail: mutuap@kebs.org

LESOTHO  
Dr. Masekonyela Sebotsa  
Director  
Food and Nutrition Coordinating Office (Cabinet)  
FNCO, P/Bag A78  
100 Maseru  
Lesotho  
Tel.: +266 2232 3716  
Fax: +266 2232 2179  
E-Mail: sebotsa@ananzi.co.za

LIBYA  
Prof. Mohamed R. Al-Sereiti  
Teaching Staff  
Faculty of Medicine, Tripoli University  
Alhashan Algenoobi, Saug Algaumaa  
Tripoli  
Libya  
Tel.: +218 9255 45249  
E-Mail: mralserei@hotmail.com

Mr Tarek Zahmal  
Head of Food Industries Department  
Industrial Research Center  
Libya  
Tel.: +218 9264 01164  
E-Mail: tarekalawal@yahoo.co.uk

Mr Abduladim Alalem  
BSc in Food Science  
Supervisor of Dairy lab  
Industrial Research Center  
Libya  
Tel.:  
E-Mail:  

Mr Jamal Nasr  
Researcher  
Agricultural Research Center-  
Libya  
Tel.: +218 92 502 3082  
E-Mail: j_bulgassem@yahoo.com

LITHUANIA  
Dr Indre Chmieliauskaite  
Chief Specialist  
Public Health Department  
Ministry of Health  
Vilniaus St. 33  
LT-01506 Vilnius  
Lithuania  
Tel.: +370 5219 3337  
Fax: +370 5266 1402  
E-Mail: indre.chmieliauskaite@sam.lt
Ms Tatjana Zabolotnaja
Chief Expert of Nutrition and Physical Activity Division
Ministry of Health
Vilniaus st. 33
LT-01506 Vilnius
Lithuania
Tel.: +370 5219 3338
E-Mail: tatjana.zabolotnaja@sam.lt

MALAYSIA / MALASIE / MALASIA
Ms Fatimah Sulong
Principal Assistant Director
Food Safety and Quality Division
Ministry of Health Malaysia
Level 3, Block E7, Parcel E
Federal Government Administration Centre
62590 Putrajaya
Malaysia
Tel.: +60 3 8885 0740
Fax: +60 3 8885 0790
E-Mail: fatimahsulong@moh.gov.my

Dr Nagendran Balasundram
Minister Counsellor
Mission of Malaysia to the European Union
Avenue de Tervueren 414A
1150 Brussels
Belgium
Tel.: +32 2 7628 997
Fax: +32 2 7628 998
E-Mail: nagen@mpob.gov.my

Dr Kanga Rani Selvaduray
Senior Research Officer
Malaysian Palm Oil Board
No 6, Persiaran Institusi, Bandar Baru Bangi
43000 Kajang, Selangor
Malaysia
Tel.: +60 3 8769 4606
Fax: +60 3 8922 1742
E-Mail: krani@mpob.gov.my

MEXICO / MEXIQUE / MÉXICO
Ms Pamela Suárez
Gerente de Asuntos Internacionales en Inocuidad Alimentaria
Comisión Federal para la Protección contra Riesgos Sanitarios
Monterrey No 33, Colonia Roma Norte, Delegación Cuauhtémoc
0670 Distrito Federal
Mexico
Tel.: +52 55 5080 5389
Fax: +52 55 5028 2974
E-Mail: psuarez@cofepris.gob.mx

Ms María Guadalupe Arizmendi
Enlace en Inocuidad Alimentaria
comisión Federal para la Protección contra Riesgos Sanitarios, Secretaría de Salud
Monterrey No 33, Colonia Roma Norte, Delegación Cuauhtémoc
Mexico
Tel.: +52 55 5080 5200
Fax: +52 55 5028 2974
E-Mail: mgarizmendi@cofepris.gob.mx

Mr Carlos Almanza Rodriguez
Regulatory & Governmental Affairs
Abbott Nutrition International.
Calzada de Tlalpan No. 3092
Col. Ex Hacienda Coapa
Delegación Coyoacán 04980
Distrito Federal
México
Tel.: +52 55 5809 7579
E-Mail: carlos.almanza@abbott.com

MYANMAR
Dr Khin Nyein Aye
Food and Drug Administration,
Department of Health, Ministry of Health
Office No 47, Naypyitaw
15011 Naypyitaw
Myanmar
Tel.: +95 8575 877
Fax: +95 67 431134
E-Mail: drknyeinaye@gmail.com

NETHERLANDS / PAYS BAS / PAÍSES BAJOS
Dr Jaap Schrijver
Manager Regulatory Affairs Baby Foods
Danone Baby Nutrition
P.O.Box 75538
1118 ZN Schiphol Airport
Netherlands
Tel.: +31 (20) 456 9466
Fax: +31 (20) 456 8466
E-Mail: jaap.schrijver@danone.com

Mrs Anneke Sellis
Policy Officer
Ministry of Health, Welfare and Sport
Department of Nutrition, Health Protection and Prevention
P.O.Box 20350
2500 EJ The Hague
Netherlands
Tel.: +31 70 340 5916
E-Mail: a.sellis@minvws.nl#
NEW ZEALAND/NOUVELLE-ZÉLANDE/NUEVA ZELANDA
Ms Jenny Reid
Manager Food Safety and Risk Assessment
Ministry for Primary Industries
PO Box 2526
Pastoral House
Wellington 6011
New Zealand
Tel.: +64 (4) 894 2582
Fax: +64 (4) 894 2530
E-Mail:jenny.reid@mpi.govt.nz

Ms Jenny Campbell
Lead Regulatory Strategist
Fonterra Co-operative Group Limited
9 Princess Street
Auckland
New Zealand
Tel.: +64 (9) 374 9517
E-Mail: jenny.campbell@fonterra.com

Ms Michelle Gibbs
Adviser Food Science
Ministry for Primary Industries
Food Science
Pastoral House, 25 the Terrace
6021 Wellington
New Zealand
Tel.: +64 (4) 894 408
E-Mail: michelle.gibbs@mpi.govt.nz

NIGERIA
Mrs. Jane Omojokun
Deputy Director (Regulatory Affairs)
National Agency for Food and Drug Administration
and Control
445 Herbert Macaulay Way, Yaba
Lagos
Nigeria
Tel.: +234 8033 3381 84
E-Mail: omojokun.j@nafdac.gov.ng

Dr James Mbachiantim
Special Assistant to DG-NAFDAC
National Agency for Food and Drug Administration and Control
Plot 2032 Olusegun Obasanjo Way, Wuse, Zone 7
Abuja
Nigeria
Tel.: +234 7039 502584
E-Mail: tjmanger@yahoo.com

Dr David Oluleye
Registrar/Chief Executive
Institute of Public Analysts of Nigeria (IPAN)
443 Herbert Macaulay Way, Yaba Lagos
Lagos
Nigeria
Tel.: +234 8060 525661
E-Mail: dsoleulaye@gmail.com

PAKISTAN/PAKISTÁN
Dr Muhammad Siddique
Chief Nutrition Division
National Institute of Health
45500 Islamabad
Pakistan
Tel.: +92 51 9255079
Fax: +92 51 9255099
E-Mail: drsiddiquekhan@yahoo.com

PHILIPPINES/FILIPINAS
Ms Helena Alcaraz
Nutritionist – Dietitian III
Food and Drug Administration, Department of Health
Civic Drive Filinvest Corporate City, Alabang
1711 Muntinlupa City
Philippines
Tel.: +63 2 857 1900
Fax: +63 2 807 0700
E-Mail: helenaalcaraz@yahoo.com

POLAND/POLOGNE/POLONIA
Anna Janasik
Agricultural and Food Quality Inspection
International Co-operation Department
30 Wspolna Str.
00-930 Warsaw
Poland
Tel.: +48 22 6232 903
Fax: +48 22 6232 997
E-Mail: ajanasik@ijhars.gov.pl

NORWAY/NORVÈGE/NORUEGA
Ms Svanhild Vaskinn
Senior Adviser
Norwegian Food Safety Authority
P.O. Box 383
N-2381 Brumunddal
Norway
Tel.: +47 (23) 21 68 00
Fax: +47 (23) 21 68 01
E-Mail: svvas@mattilsynet.no

Ms Ida Tidemann-Andersen
Adviser
Norwegian Food Safety Authority
P.O.Box 383
N-2381 Brumunddal
Norway
Tel.: +47 (23) 21 65 73
E-Mail: idtid@mattilsynet.no

Dr Linda Granlund
Research and Nutrition Manager
Mills DA
P.O.Box 4644 Sofienberg
N-0506 Oslo
Norway
Tel.: +47 9901 9418
E-Mail: linda.granlund@mills.no

Dr David Oluleye
Registrar/Chief Executive
Institute of Public Analysts of Nigeria (IPAN)
443 Herbert Macaulay Way, Yaba Lagos
Lagos
Nigeria
Tel.: +234 8060 525661
E-Mail: dsoleulaye@gmail.com
Dr Katarzyna Stos
Head of Food Safety Department
National Food and Nutrition Institute
Powsinska 61/63
02-903 Warsaw
Poland
Tel.: +48 22 550 9781
Fax: +48 22 842 1103
E-Mail: kstos@izz.waw.pl

QATAR
Mrs Daniya Abed Al Raouf Al-Zereqi
Senior Food Standards Researcher
Standards & Metrology Department
Laboratories & Standardization Affairs
Doha
Qatar
Tel.: +974 4413 9440
Fax: +974 4413 9543
E-Mail: dizereqi@mor.gov.qa

Mr Kalid Al-Sulaiti
Health Inspection Specialist
Port Health @ Food Control Section
Supreme Council of Health
Doha
Qatar
Tel.: +974 440 70210
Fax: +974 440 70824
E-Mail: kalsulaiti@sch.gov.qa

REPUBLIC OF KOREA/REPUBLIQUE DE COREE/REPUBLICA DE COREA
Dr Gui Im Moon
Deputy Director
Nutrition Policy Division,
Korea Food and Drug Administration
Osong Health Technology Administraion Complex,
187 Osongsaengmyeong 2-ro,
Gangoe-myeon
Cheongwon-gun
363-951 Chungcheongbuk-do
Republic of Korea
Tel.: +82 43 719 2259
Fax: +82 43 719 2250
E-Mail: jwparkdvm@korea.kr

Dr Yang-Hee Cho
Executive Director
Amway Korea
4F Textile Center Bldg., #944-31, Daechi-dong
Kangnam-ku
135-713 Seoul
Republic of Korea
Tel.: +82 (2) 3468 7106
Fax: +82 (2) 3468 6249
E-Mail: yhcho@amway.com

Mrs Eun Kyung Hong
Senior Researcher
Korea Food & Drug Administration
Nutrition Policy Division
Osong Health Technology, Administration Complex
187 Osongsaeng
363-700 Cheongwon-gun, Chungcheongbuk, do
Republic of Korea
Tel.: +82 43 719 2272
Fax: +82 43 719 2250
E-Mail: hongek3@korea.kr

Mrs Hye Jeong Kim
Scientific Officer
Korea Food and Drug Administration (KFDA)
Food Standards Division
Osong Health Technology Administration Complex
187 Osongseang
363-700 Cheongwon-gun, Chungcheongbuk-do
Republic of Korea
Tel.: +82 43 719 2417
Fax: +82 43 719 2400
E-Mail: flowdeer@korea.kr

Mr Jaewoo Park
Quarantine Officer, DVM
Livestock Products Standard Division
Animal, Plant and Fisheries Quarantine and Inspection Agency
175 Anyang-ro, Manan-gu, Anyang
430-757 Anyang
Republic of Korea
Tel.: +82 (31) 467 1986
Fax: +82 (31) 467 1989
E-Mail: jwparkdvm@korea.kr

REPUBLIC OF MOLDOVA/REPUBLIQUE DE MOLDOVA/REPUBLICA DE MOLDOVA
Dr Iurie Pinzaru
President of National Codex committee
DeputyDirector of the National Center of Public Health
Ministry of Health
67a Gheorghe Asachi street
MD-2028 Chisinau
Republic of Moldova
Tel.: +373 22 574 502
Fax: +373 22 729 725
E-Mail: iurie_pinsar@gmail.com

RUSSIAN FEDERATION / FÉDÉRATION DE RUSSIE / FEDERACIÓN DE RUSIA
Mr Anatoly Kutyshenko
Deputy Head
Russian Union of Industrialists and Entrepreneurs
Commission on optimal Food and dietary Food Supplements Industry
Kotelnicheskaya nab, 17
109240 Moscow
Russian Federation
Tel.: +7 9257 724415
E-Mail: anatol-k@rambler.ru
Mr Dmitriy Miklin
Regulatory Affairs Director
Danone Baby Nutrition Russia
Panfilova Str. 19, BC
141407 Khimki
Russian Federation
Tel.: +7 916 201 4060
Fax: +7 495 739 4809
E-Mail: dmitriy.miklin@danone.com

Mr Alexey Petrenko
Coordinator of Codex Program
Russian Union of Consumer Market Participants
Donskaya ulitsa 15, office 204
119049 Moscow
Russian Federation
Tel.: +7 499 2727 70
E-Mail: codex@np-supr.ru

Mrs Elena Smirnova
Senior Researcher
The Russian Institute of Nutrition of the RAMS
Laboratory of Novel Specialized Food Products
Ustyinskyi proezd 2/14
109240 Moscow
Russian Federation
Tel.: +7 495 698 5389
Fax: +7 495 698 5379
E-Mail: smirnova@ion.ru

Mrs Veronika Vysotskaya
Regulatory Affairs Manager
Abbott Laboratories
Leningradskoe highway, 16A bld.1
125171 Moscow
Russian Federation
Tel.: +7 495 258 4280
Fax: +7 495 258 4280
E-Mail: veronika.vysotskaya@abbott.com

SAUDI ARABIA / ARABIE SAoudite / ARABIA SAUDITA
Mr Sami Al-Nokhilan
Senior Food Safety Specialist
Ext. Department for Technical Regulations and Standards
SFDA 3292 Northern Ring Road – Alnafel Area
13312-6288 Riyadh
Saudi Arabia
Tel.: +966 1 2751 282
Fax: +966 1 2038 222
E-Mail: codex.cp@sfda.gov.sa

Mr Naser Assiri
Standards Specialist
Saudi Food and Drug Authority
Executive Department of Technicla Regulations and Standards
SFDA-3292 Nothern ring road
13312-6288 Riyadh
Saudi Arabia
Tel.: +966 1203 8222
E-Mail: codex.cp@sfda.gov.sa

SINGAPORE / SINGAPOUR / SINGAPUR
Mr Sean Wong
Acting Assistant Director
Regulatory Administration Department
Agri-Food & Veterinary Authority of Singapore
5 Maxwell Road, #18-00 Tower Block, MND Complex
069110 Singapore
Singapore
Tel.: +65 6325 7829
Fax: +65 6220 6068
E-Mail: sean_wong@ava.gov.sg

Ms Yi Ling Tan
Executive Manager
Regulatory Administration Department
Agri-Food & Veterinary Authority of Singapore
5 Maxwell Road, #18-00 Tower Block, MND Complex
069110 Singapore
Singapore
Tel.: +65 6325 8556
Fax: +65 6220 6068
E-Mail: tan_yi_ling@ava.gov.sg

SOUTH AFRICA
Mrs Andiswa Ngqaka
Assistant Director Nutrition
Department of Health
Directorate: Nutrition
Private Bag X828
Pretoria 0001
South Africa
Tel.: +27 (12) 395 8511
Email: NgqakA@health.gov.za
andiswa_ngqaka@yahoo.com

Mrs Antoinette Booyzen
Directorate: Food Control
Department of Health
Private Bag X828
0001 Pretoria
South Africa
Tel.: +27 12 395 8792
Fax: +27 0866 330104
E-Mail: booyza@health.gov.za

Ms Jane Badham
Managing Director
JB Consultancy
P.O. Box 67396
Bryanston 2021
2021 Gauteng
South Africa
Tel.: +27 11 463 0679
Fax: +27 11 463 0679
E-Mail: jane@jbconsultancy.co.za
Spain / Espagne / España
Ms Almudena Rollán Gordo
Spanish Food Safety and Nutrition Agency
Ministry of Health, Social Policy and Equality
Alcalá, no 56, Planta 4º – Despacho-445
28006 Madrid
Spain
Tel.: +34 (91) 3380 710
Fax: +34 (91) 3380 169
E-Mail: arollan@msss.es

Sudan / Soudan / Sudán
Dr Awad Sukrab
Manager of Standards Dept.
Sudanese Standards and Metrology Organization (SSMO)
P.O.Box 13573
11111 Khartoum
Sudan
Tel.: +249 9123 91190
Fax: +249 1837 41765
E-Mail: awadsookrab@hotmail.com

Mrs Thoria Elnageeb Akasha Ali Ebeid
Sudanese Standards & Metrology Organization
Baladia Street
11111 Kharthoum
Sudan
Tel.: +249 9124
E-Mail: elnagaka@hotmail.com

Sweden / Suède / Sverige
Cecilia Wanhainen
Principal Regulatory Officer
National Food Agency
Food Standards Department
Box 622
SE-75126 Uppsala
Sweden
Tel.: +46 18 17 55 00
E-Mail: codex@slv.se

Switzerland / Suisse / Sveiz
Mrs Elisabeth Nellen-Regli
Swiss Federal Office of Public Health
Consumer Protection Directorate
Schwarzenburgstr. 165
CH-3003 Bern
Switzerland
Tel.: +41 (31) 322 9560
Fax: +41 (31) 322 9574
E-Mail: elisabeth.nellen@bag.admin.ch

Dr Dirk Cremer
Global Regulatory Affairs Manager
DSM Nutritional Products
P.O.Box 2676
CH-4002 Basel
Switzerland
Tel.: +41 61 8158109
Fax: +41 61 815 8770
E-Mail: dirk.cremer@dsn.com

Dr Marie-France Pagerey
CT-Regulatory and Scientific Affairs, Nestlé
Avenue Nestlé 55
1800 Vevey
Switzerland
Tel.: +41 21 924 6429
E-Mail: mariefrance.pagerey@nestle.com

Ms Ursula Trueeb
Swiss Consumer Organizations
Bölzli 1
4312 Magden
Switzerland
Tel.: +41 61 841 1256
E-Mail: ursula.trueb@vtxmail.ch

Thailand / Thaïlande / Tailândia
Prof Kraisid Tontisirin
Senior Advisor
National Bureau of Agricultural Commodity and Food Standards
Ministry of Agriculture and Cooperatives
50 Phaholyothin Road, Lad Yao, Chatuchak
Bangkok 10900
Thailand
Tel.: +66 (2) 561 2277
Fax: +66 (2) 561 3357
E-Mail: kraisid.tontisirin@gmail.com

Ms Mayuree Ditmetharoj
Food and Drug Technical Officer
Food and Drug Administration, Thailand
Ministry of Public Health
Tiwanond Road
11000 Nondhaburi
Thailand
Tel.: +66 2 590 7406
Fax: +66 2 590 7322
E-Mail: bankyindy@yahoo.com

Dr Pichet Itkor
Vice-Chairman
Food Processing Industries Club
The Federation of Thai Industries
Queen Sirikit National Convention Center
Zone C 4th Floor
60 New Rachadapisek Rd. Klongtoey
10110 Bangkok
Thailand
Tel.: +66 (2) 725 1093
Fax: +66 (2) 725 1082
E-Mail: pichet.itkor@mjn.com
Ms Pitchaya Kajonwaharth  
Regulatory Affairs Manager  
The Federation of Thai Industries  
Food Processing Industries Club  
Queen Sirikit National Convention Center  
Zone C 4th Floor  
60 New Rachadapisek Rd. Klongtoey  
10110 Bangkok  
Thailand  
Tel.: +66 (2) 657 5517  
Fax: +66 (2) 657 5517  
E-Mail: 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  
10900 Bangkok  
Thailand  
Tel.: +66 (2) 561 2277 ext. 1445  
Fax: +66 (2) 561 3357  
E-Mail: sanida.sk@gmail.com

Mr Manat Larpphon  
Senior Standards Officer  
National Bureau of Agricultural Commodity and Food Standards  
Ministry of Agriculture and Cooperatives  
50 Phaholyothin Road, Lad Yao, Chatuchak  
Bangkok 10900  
Thailand  
Tel.: +66 (2) 561 2277 ext. 1443  
Fax: +66 (2) 561 3357  
E-Mail: mlarpphon@yahoo.com

Togo  
Dr Tchala Kazia  
Chef Division Nutrition, Technologie Alimentaire et Qualité des produits  
Institut Togolais de Recherche Agronomique, Ministère de l’Agriculture  
POBox: 1163-Lomé-TOGO  
Tel: +228 90023325/+228 22254118  
Fax: +228 2225 1559  
E-Mail: kaziatchala@yahoo.fr / itra@cafe.tg

Tunisia / Tunisie / تونس  
Dr Braham Noura  
Agence Nationale de Contrôle Sanitaire et Environnemental des Produits  
2, Rue Ibn Nadim – Monplaisir  
1073 Tunis  
Tunisia  
Tel.: +216 71 903 942  
Fax: +216 71 909 223  
E-Mail: braham.noura@gmail.com

Turkey / Turquie / Turquía  
Mr İlhami Şahin  
Coordinator for Food Codex  
Ministry of Food, Agriculture and Livestock  
General Directorate of Food and Control  
Eskisehir Yolu 9. Km Lodumlu  
06550 Ankara  
Turkey  
Tel.: +90 3122 587757  
Fax: +90 3122 587760  
E-Mail: ilhami.sahin@tarim.gov.tr

United States of America / États-Unis d’Amérique / Estados Unidos de América  
Dr Barbara O. Schneeman  
Director, Office of Nutrition Labeling and Dietary Supplements  
Center for Food Safety & Applied Nutrition  
U.S. Food and Drug Administration (HFS-800)  
5100 Paint Branch Parkway  
College Park, MD 20740  
USA  
Tel.: +1 (240) 402 2373  
Fax: +1 (301) 436 26369  
E-Mail: barbara.schneeman@fda.hhs.gov

Dr Allison A. Yates  
Associate Director  
Beltsville Area  
Agricultural Research Service  
U.S. Department of Agriculture  
10300 Baltimore Avenue  
Bldg 003, Rm. 223, BARC-West  
Beltsville, MD 20705  
USA  
Tel.: +1 (301) 504-5193  
Fax: +1 (301) 504-5863  
E-Mail: allison.yates@ars.usda.gov

Mr Paulo Almeida  
Associate Manager  
U.S. Codex Office  
Food Safety and Inspection Service  
U.S. Department of Agriculture  
1400 Independence Avenue, S.W.  
Washington, DC 20250  
USA  
Tel.: +1 (202) 205 0574  
E-Mail: paulo.almeida@fsis.usda.gov

Dr Sue A. Anderson  
Team Leader  
Regulations and Review Team  
Office of Nutrition, Labeling and Dietary Supplements  
Center for Food Safety & Applied Nutrition  
Food and Drug Administration (HFS-850)  
5100 Paint Branch Parkway  
College Park, MD 20740  
USA  
Tel.: +1 240-402-1453  
Fax: +1 240-402-2636  
E-Mail: sue.anderson@fda.hhs.gov
Ms Nancy T. Crane
Expert Regulatory Review Scientist
Office of Nutrition, Labeling and Dietary Supplements
Center for Food Safety & Applied Nutrition
Food and Drug Administration (HFS-830)
5100 Paint Branch Parkway
College Park, MD 20740
USA
Tel.: +1 (240) 402 1450
Fax: +1(240) 402 2636
E-Mail: nancy.crane@fda.hhs.gov

Mrs Jessica A. Tilahun
Nutrition Advisor
Office of Health, Infection Diseases and Nutrition
U.S. Agency for International Development
1201 Pennsylvania Ave., NW ‘315
Washington, DC 20004
USA
Tel.: +1 202 808 3787
Fax: +1 202 808 3741
E-Mail: jtilahun@usaid.gov

Dr Paula R. Trumbo
Acting Director for Nutrition Programs
Office of Nutrition, Labeling and Dietary Supplements
U. S. Food and Drug Administration
5100 Paint Branch Parkway
College Park, MD 20740
USA
Tel.: +1 240 402 2519
Fax: +1 240 402 2636
E-Mail: paula.trumbo@fda.hhs.gov

Non-Governmental Advisors

Dr. Sukh D. Bassi
Vice President, Scientific Affairs
Chief Science Officer
MGP Ingredients, Inc.
P.O.Box 130
Atchison, Kansas 66002
USA
Tel.: +1 (913) 488 7409
Fax: +1 (913) 360-5746
E-Mail: sukh.bassi@mgpingredients.com

Dr Lisa Craig
Director, Regulatory Affairs
Abbott Nutrition
Dept. 104070, RP3-2,
625 Cleveland Avenue
Columbus, Ohio 43215
USA
Tel.: +1 (614) 624 3696
Fax: +1 (614) 727 3696
E-Mail: lisa.craig@abbott.com

Mrs Gretchen DuBeau
Executive and Legal Director
Alliance for Natural Health USA (ANH-USA)
6931 Arlington Road, Suite 304
Bethesda, MD 20814
USA
Tel.: +1 202 803 5120
Fax: +1 202 315 5837
E-Mail:

Dr Mary H. Hager
Principal, Hager and Associates
88 East Main Street, Suite 134
Mendham, NJ 07945
USA
Tel.: +1 (973) 252 9924
E-Mail: hagernmh@aol.com

Dr William C. MacLean, Jr.
Consultant
The Ohio State University
1800 Upper Chelsea Road
Columbus, Ohio 43212
USA
Tel.: +1 (614) 486 6170
E-Mail: william.maclean@earthlink.net

Ms Mardi K. Mountford
Executive Vice President
International Formula Council
1100 Johnson Ferry Road, Suite 300
Atlanta, Georgia 30342
USA
Tel.: +1 (404) 252 3663
Fax: +1 (404) 252 0774
E-Mail: mmountford@kellencompany.com

VIETNAM

Mr Dung Le Van
Vice Head of Food Products management Division
Food Safety Department
Ministry of Health
138A Giang Vo Str., Badinh Dist.
10000 Hanoi
Vietnam
Tel.: +84 9130 10812
Fax: +84 4383 63739
E-Mail: khtcvfa@yahoo.com

Ms Trang Nguyen Thuy
Officer of Legislation and Intergration Division, Food Safety Department
Ministry of Health
10000 Hanoi
Vietnam
Tel.: +84 9361 32068
Fax: +84 4384 63739
E-Mail: thuytrang_vfa@yahoo.com
Mr Liem Pham Thanh  
Vice Head of Standard and Testing Management  
Division, Food Safety Department  
Ministry of Health  
138A Giang Vo Str., Badinh Dist.  
10000 Hanoi  
Vietnam  
Tel.: +84 9032 51515  
Fax: +84 4384 63739  
E-Mail: pthfa@gmail.com  

Mr Uy Nguyen Hong  
Regulatory Affairs Director  
Abbott Laboratories  
8th Floor, Handi Resco, 521 Kim Ma, Ba Dinh  
Hanoi  
Vietnam  
tel.: +84 4 3733 7486  
Fax: +84 4 7337 542  
E-Mail: honguy.nguyen@abbott.com  

ZIMBABWE  
Mrs Ancikaria Chigumira  
Deputy Director Nutrition Services  
Ministry of Health and Child Welfare  
P.O.Box CY1122 Causeway  
Harare  
Zimbabwe  
Tel.: +263 (4) 792454  
E-Mail: ancikaria53@gmail.com  

INTERNATIONAL NON-GOVERNMENTAL ORGANIZATIONS  

AESGP – ASSOCIATION OF THE EUROPEAN SELF-MEDICATION INDUSTRY  
Dr Rose Schraitle  
Drug Regulatory Affairs Manager  
AESGP  
7, Avenue de Tervuren  
B-1040 Brussels  
Belgium  
Tel.: +32 2 735 5130  
Fax: +32 2 735 5222  
E-Mail: info@aesgp.eu  

AFRICAN UNION  
Dr Raphael Coly  
Project Coordinator of Panspso  
African Union Interafican Bureau for Animal Resources  
Westlands Road, Kenindia Business Park  
P.O.Box 30786-00100  
Nairobi  
Kenya  
Tel.: +254 2036 74000  
Fax: +254 2036 74341  
E-Mail: raphael.coly@au-ibar.org  

CCC – CALORIE CONTROL COUNCIL  
Mrs Victoria Betteridge  
Vice President and Director, Regulatory and Governmental Affairs  
Tate & Lyle Plc  
1 Kingsway  
WC2B 6AT  
London  
United Kingdom  
Tel.: +44 257 2100  
Fax: +44 257 2200  
E-Mail: victoria.betteridge@tateandlyle.com  

Mr Wim Caers  
Manager Regulatory Affairs  
Beneo Group  
Aandorenstraat 1  
3300 Tienen  
Belgium  
Tel.: +32 16 801483  
Fax: +32 16 801592  
E-Mail: wim.caers@beneo.com  

CEFS – COMITÉ EUROPÉEN DES FABRICANTS DE SUCRE  
Mrs Emilie Majster-Leibovitch  
Scientific & Regulatory Affairs Advisor  
CEFS- Comité Européen des Fabricants de Sucre  
Avenue de Tervuren 182  
1150 Brussels  
Belgium  
Tel.: +32 (2) 762 0760  
Fax: +32 (2) 771 0026  
E-Mail: emilie.leibovitch@cefs.org  

CRN - COUNCIL FOR RESPONSIBLE NUTRITION  
Mr James C. Griffiths  
Vice President, Scientific & International Affairs  
CRN  
1828 L Street, N.W., Suite 510  
Washington DC 20036  
USA  
Tel: +1 202 204 7662  
Fax: +1 202 204 7701  
E-Mail: jgriffiths@crnusa.org  

Ms Marianne Heer  
Global Scientific Marketing manager  
BASF  
BASF SE, G-ENH/MT-F 31  
68623 Lampertheim  
Germany  
Tel.: +49 621 6055 087  
E-Mail: marianne.heer@basf.com
Mr Harvey Kamil  
Vice Chairman  
NBTY. Inc.  
2100 Smithtown Avenue  
11779 Ronkonkoma, New York  
USA  
Tel.: +1 631 200 2023  
E-Mail: hkamil@nbtym.com

Mr Mark LeDoux  
Chairman and CEO  
Natural Alternatives International  
1185 Linda Vista Drive  
92078 San Marcos, California  
USA  
Tel.: +1 760 736 7742  
E-Mail: mledoux@nai-online.com

Mr Steven Mister  
President & CEO  
CRN  
1828 L Street, N.W., Suite 510  
Washington D.C. 20036  
USA  
Tel.: +1 202 204 7676  
E-Mail: smister@crnusa.org

Mr David Morrison  
Vice President, Scientific & Regulatory Affairs  
The Vitamin Shoppe  
210191st Street  
North Bergen, NJ 07047  
USA  
Tel.: +1 201624 3606  
E-Mail: dmorrison@vitaminshoppe.com

Mr John Venardos  
Senior Vice President  
Herbalife Ltd.  
990 West 190th St, Suite 650  
90502 Torrance, CA  
USA  
Tel.: +1 310 851 2346  
Fax +1 310 767 3316  
E-Mail: johnv@herbalife.com

Mr Christian Baz  
Scientific Advisor  
ECU  
c/o Ajinomoto Eurolysine SAS  
153 rue de Courcelles  
75817 Paris Cedex 17  
France  
Tel.: +33 (1) 476698  
Fax: +33 (1) 4440 1215  
E-Mail: christian_baz@ehq.ajinomoto.com

ELC – FEDERATION OF EUROPEAN SPECIALITY FOOD INGREDIENTS INDUSTRIES  
Ms Stephanie Frank  
Product Stewardship  
Chemische Fabrik Budenheim KG  
EHs  
Rheinstrasse 27  
55257 Budenheim  
Germany  
Tel.: +49 6139 89432  
E-Mail: stephanie.frank@budenheim.com

Jaap D. Kluifhooft  
Head of Regulatory and Scientific Affairs  
Stepan Lipid Nutrition  
Museumlaan 16  
1541 LP Koog aan de Zaan  
Netherlands  
Tel.: +31 75 7271011  
E-Mail: jkluifhooft@stepan.com

ENA – EARLY NUTRITION ACADEMY  
Prof Berthold Koletzko  
Early Nutrition Academy (ENA)  
Dr von Hauner Children’s Hospital  
University of Munich Medical Center  
Lindwurmstr. 4  
80337 München  
Germany  
Tel.: +49 89 5160 2826  
Fax: +49 89 5160 7742  
E-Mail: office.koletzko@med.uni-muenchen.de

ENCA – EUROPEAN NETWORK OF CHILDBIRTH ASSOCIATION  
Dr Helen Crawley  
First Steps Nutrition Trust  
112 Queens Road  
London SW 19 8LS  
United Kingdom  
E-Mail: helen@firststepsnutrition.org

ESPGHAN - EUROPEAN SOCIETY FOR PEDIATRIC GASTROENTEROLOGY, HEPATOLOGY AND NUTRITION  
Prof. Walter Mihatsch  
ESPGHAN  
Ulm University Dept. of Pediatrics and  
Harlaching Hospital  
Munich Municipal Hospitals  
Sanatoriumsplatz 2  
81545 München  
Germany  
Tel.: +49 (89) 6210 2720  
Fax: +49 (89) 6210 2929  
E-Mail: walter.mihatsch@klinikum-muenchen.de
**FOODDRINKEUROPE**
Ms Maria Xipsiti
Manager Consumer Information, Diet and Health
Av. des Nerviens 9-31
1040 Bruxelles
Belgium
Tel.: +32 2 549 5605
E-Mail: m.xipsiti@fooddrinkeurope.eu

**GAIN – GLOBAL ALLIANCE FOR IMPROVED NUTRITION**
Dr Layla McCay
Senior Manager for Global and National Policy and Advocacy
GAIN
1776 Massachusetts Ave., Suite 700
20036 Washington, DC
Tel.: +1 202 559 8507
E-Mail: lmccay@gainhealth.org

Dr Jonathan Siekmann
Technical Advisor
GAIN
Rue de Vermont 37-39
P.O.Box 55
CH-1211 Geneva 20
Switzerland
Tel.: +41 (22) 749 1850
Fax: +41 (22) 749 1851
E-Mail: jsiekmann@gainhealth.org

**IACFO – INTERNATIONAL ASSOCIATION OF CONSUMER FOOD ORGANISATIONS**
Mrs Patti Rundall
Policy Director
Baby Milk Action / IBFAN
34 Trumpington St.
Cambridge CB2 1QY
United Kingdom
Tel.: +44 01223 464420
Fax. +44 01223 464417
E-Mail: prundall@babymilkaction.org

**IADSA - INTERNATIONAL ALLIANCE OF DIETARY / FOOD SUPPLEMENT ASSOCIATIONS**
Mr David Pineda Ereño
Director, Regulatory Affairs
IADSA
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1155
Fax: +32 (2) 219 7342
E-Mail: davidpineda@iadsa.be

Mr Cade Buck
IADSA
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1155
Fax: +32 (2) 223 3064
E-Mail: secretariat.general@iadsa.be
Prof David Richardson
Scientific Advisor
IADSA
50, Rue de l’Association
1000 Brussels
Belgium
Tel.: +32 (2) 209 1155
Fax: +32 (2) 223 3064
E-Mail: secretariat@iadsa.be

Mrs Cynthia Rousselot
Secretariat
IADSA
50, Rue de l’Association
1000 Brussels
Belgium
Tel.: +32 (2) 209 1155
Fax: +32 (2) 223 3064
E-Mail: pieterdhondt@iadsa.org

Mrs Michelle Stout
Secretariat
IADSA
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1155
Fax: +32 (2) 223 3064
E-Mail: secretariat@iadsa.be

Mr Kazuo Sueki
IADSA
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1155
Fax: +32 (2) 223 3064
E-Mail: secretariat@iadsa.be

IBFAN - INTERNATIONAL BABY FOOD ACTION NETWORK
Ms Elisabeth Sterken
Director
INFANT Canada/IBFAN North America
520 Colborne Street
London ON, N6B 2T5
Canada
Tel.: +1 (416) 595 9819
E-Mail: esterken@infactcanada.ca

Mrs Rufaro Charity Madzima
Consultant
IBFAN Africa
8 Southam Road
Greenstone Park, Harare
Zimbabwe
Tel.: +263 773 016522
E-Mail: chakulanalishe@yahoo.com

ICAAS – INTERNATIONAL COUNCIL ON AMINO ACID SCIENCE
Dr Shin-ichi Hashimoto
President
Kyowa Hakko Europe GmbH
Am Wehrhahn 50
40211 Düsseldorf
Germany
E-Mail: hashimoto@kyowa.de

ICBA - INTERNATIONAL COUNCIL OF BEVERAGES ASSOCIATIONS
Mr Robert Earl
Nutrition Advisor
ICBA
1101 15th Street NW
Washington, DC 20036
USA
Tel.: +1 202 263 6790
E-Mail: roberthearl@coca-cola.com

Mr Hidekazu Hosono
Technical Advisor
Japan Soft Drinks Association
3-3-3 Nihonbashi-Muromachi Chuo Ku
103-0022 Tokyo
Japan
Tel.: +81 (3) 3270 7300
Fax: +81 (3) 3270 7306
E-Mail: hidekazu_hosono@suntory.co.jp

Mr Hiromi Ohta
Technical Advisor
Japan Soft Drinks Association
3-3-3 Nihonbashi-Muromachi Chuo Ku
103-0022 Tokyo
Japan
Tel.: +81 (3) 3270 7300
Fax: +81 (3) 3270 7306
E-Mail: hiromi_ohta@suntory.co.jp

ICGA – INTERNATIONAL CHEWING GUM ASSOCIATION
Mr Christophe Leprêtre
Executive Director
Scientific & Regulatory Affairs
International Chewing Gum Association
1001 G Street NW, Suite 500 West
20001 Washington D.C.
USA
Tel.: +32 2 645 5060
Fax: +32 2 645 5050
E-Mail: icga@gumassociation.org
**ICGMA – INTERNATIONAL COUNCIL OF GROCERY MANUFACTURERS ASSOCIATIONS**

**Ms Phyllis Tanaka**  
Vice-President Scientific & Regulatory Affairs  
Food and Consumer Products of Canada  
100 Sheppard Avenue E, Suite 600  
M2N 6N5 Toronto, Ontario  
Canada  
Tel.: +1 416 510 8175  
Fax: +1 416 510 8043  
E-Mail: phyllist@fcpc.ca

**Ms Sarah Levy**  
Senior Manager, health & Nutrition Policy  
ICGMA  
1350 I Street NW, Suite 300  
20005 Washington, DC  
USA  
Tel.: +1 202 637 4805  
E-Mail: slevy@gmaonline.org

**Ms Maritza Rojas**  
Senior Director  
Regulatroy Affairs  
Abbott Nutrition  
3300 Stelzer Road, OH  
43219 Columbus  
USA  
Tel.: +1 847 938 8226  
E-Mail: maritza.rojas@abbott.com

**IDACE – EUROPEAN DIETETIC FOOD INDUSTRY ASSOCIATION**

**Mrs Isabelle Caelen**  
Member  
IDACE  
50 Rue de l’Association  
1000 Brussels  
Belgium  
Tel.: +32 (2) 209 1141  
Fax: +32 (2) 219 7342  
E-Mail: secretariat@idace.eu

**Ms Myriam Garcia Cofrades**  
Member  
IDACE  
50 Rue de l’Association  
1000 Brussels  
Belgium  
Tel.: +32 (2) 209 1141  
Fax: +32 (2) 219 7342  
E-Mail: secretariat@idace.eu

**Ms Nynke Keestra**  
Member  
IDACE  
50 Rue de l’Association  
1000 Brussels  
Belgium  
Tel.: +32 (2) 209 1141  
Fax: +32 (2) 219 7342  
E-Mail: secretariat@idace.eu

**Mr Kevin O’Brien**  
Member  
IDACE  
Avenue des Nerviens 9 – 3, 5th Floor  
Brussels  
Belgium  
Tel.: +32 (2) 209 1141  
Fax: +32 (2) 219 7342  
E-Mail: secretariat@idace.eu

**Louis Vareille**  
Member  
IDACE  
Avenue des Nerviens 9 – 3, 5th Floor  
Brussels  
Belgium  
Tel.: +32 (2) 209 1141  
Fax: +32 (2) 219 7342  
E-Mail: secretariat@idace.eu

**Ms Isabelle Neiderer**  
Director of Nutrition  
Dairy Farmers of Canada  
1801 McGill College Avenue, Suite 700  
H3E 2N4 Montreal  
Canada  
Tel.: +1 (514) 284 1092  
Fax: +1 (514) 284 0449  
E-Mail: isabelle.neiderer@dfc-plc.ca

**Ms Melanie Bignol**  
Nutrition Officer  
CNIEL  
42, rue de Chateaudun  
F-75009 Paris  
France  
Tel.: +33 1 4970 7227  
E-Mail: mbignol@cniel.com

**Mr Joerg Seifert**  
Technical Director  
International Dairy Federation  
70, Boulevard Auguste Reyers  
1030 Brussels  
Belgium  
Tel.: +32 2 3256 743  
Fax: +32 2 7330 413  
E-Mail: jseifert@fil-idf.org
Ms Laurence Rycken  
Nutrition Officer  
International Dairy Federation  
70, Boulevard Auguste Reyers  
1030 Brussels  
Belgium  
Tel.: +32 2 3256 750  
Fax: +32 2 7330 413  
E-Mail: lrycken@fil-idf.org

Dr Anne MacKenzie  
Standards Advisor  
IFPRI  
2033 K Street, NW  
20006 Washington, DC  
USA  
Tel.: +1 613 692 0211  
E-Mail: amackenzie@rogers.com

Dr Marilia Nutti  
Scientific Advisor  
IFPRI  
2033 K Street NW  
20006 Washington DC  
USA  
Tel.: +1 202 862 5600  
Fax: +1 202 467 4439  
E-Mail: mnutti@uninet.com.br

Dr Fabiana Moura  
Research Fellow  
IFPRI  
2033 K Street, NW  
20006 Washington, DC  
USA  
Tel.: +1 301 385 2168  
E-Mail: f.moura@cgiar.org

Prof Rosemary Walzem, RD  
Texas A&M University  
Department of Poultry Science  
Kleberg Center RM 242  
77843-2472 College Station, TX  
USA  
Tel.: +1 (979) 845 7537  
Fax: +1 (979) 845 1921  
E-Mail: rwalzem@poultry.tamu.edu

Ms Gloria Brooks-Ray  
Advisor, Codex and International Regulatory Affairs  
Exponent, Inc.  
Center for Chemical Regulation and Food Safety  
P.O.Box 97  
07046 Mountain Lakes NJ  
USA  
Tel.: +1 (973) 334 4652  
E-Mail: gbrooksray@exponent.com

Dr Rodney J.H. Gray  
Vice President Regulatory Affairs  
Nutritional Lipids  
DSM Nutritional Products  
6480 Dobbin Road  
21045 Columbia, Maryland  
USA  
Tel.: +1 (410) 740 0081  
Fax: +1 (410) 470 2985  
E-Mail: rodney.gray@dsm.com

Dr Rod McFarlane  
Vice President – Regulatory Affairs  
Monsanto  
2000 Enterprise Drive  
St. Louis, MO 63141 USA  
Tel.: +1 314 694 8071  
Fax: +1 314 694 8930  
E-Mail: mcfarlane@monsanto.com

Dr Michael Shirreffs  
ILSI  
1156 15th Street, NW, Suite 200  
20005 Washington  
USA  
Tel.: +1 202 659 0074 ext. 175  
Fax: +1 202 659 3617  
E-Mail: mshirreffs@ilsi.org

Prof Rosemary Walzem, RD  
Texas A&M University  
Department of Poultry Science  
Kleberg Center RM 242  
77843-2472 College Station, TX  
USA  
Tel.: +1 (979) 845 7537  
Fax: +1 (979) 845 1921  
E-Mail: rwalzem@poultry.tamu.edu

Ms Gloria Brooks-Ray  
Advisor, Codex and International Regulatory Affairs  
Exponent, Inc.  
Center for Chemical Regulation and Food Safety  
P.O.Box 97  
07046 Mountain Lakes NJ  
USA  
Tel.: +1 (973) 334 4652  
E-Mail: gbrooksray@exponent.com
Dr Hiroshi Tsuchita
Food Technology Research Institute
Meiji Co. Ltd.
540 Naruda, Odawara
Kanagawa 250-0862
Japan
Tel.: +81 465 373661
Fax: +81 465 373713
E-Mail: hiroshi.tsuchita@meiji.com

ISDI – INTERNATIONAL SPECIAL DIETARY FOODS INDUSTRIES
Kartika Adiwilaga
Member
ISDI
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1143
Fax: +32 (2) 219 7342
E-Mail: secretariat@isdi.org

Coryn Commare
Member
ISDI
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1143
Fax: +32 (2) 219 7342
E-Mail: secretariat@isdi.org

Ms Margaret Creedon
Member
ISDI
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1143
Fax: +32 (2) 219 7342
E-Mail: secretariat@isdi.org

Hossam El Gammal
Member
ISDI
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1143
Fax: +32 (2) 219 7342
E-Mail: secretariat@isdi.org

Mrs Marie Odile Gailling
Member
ISDI
50 Rue de l’Association
1000 Brussels
Belgium
Tel.: +32 (2) 209 1143
Fax: +32 (2) 219 7342
E-Mail: secretariat@isdi.org

Mrs Stephanie Kramer-Jutant
Member
ISDI
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1143
Fax: +32 (2) 219 7342
E-Mail: secretariat@isdi.org

Mr Xavier Lavigne
Secretary General
ISDI
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1143
Fax: +32 (2) 219 7342
E-Mail: secretariat@isdi.org

Dr Peter van Dael
Member
ISDI
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1143
Fax: +32 (2) 219 7342
E-Mail: secretariat@isdi.org

Mrs Ayu Puspitalena
Member
ISDI
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1143
Fax: +32 (2) 219 7342
E-Mail: secretariat@isdi.org

Mr Manfred Ruthsatz
Member
ISDI
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1143
Fax: +32 (2) 219 7342
E-Mail: secretariat@isdi.org

Kelly Sowden
Member
ISDI
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1143
Fax: +32 (2) 219 7342
E-Mail: secretariat@isdi.org
Karin Tan
Member
ISDI
Rue de l’Association 50
1000 Brussels
Belgium
Tel.: +32 (2) 209 1143
Fax: +32 (2) 219 7342
E-Mail: secretariat@isdi.org

NHF – NATIONAL HEALTH FEDERATION
Dr Scott C. Tips
President
National Health Federation
PO Box 688
Monrovia, California 91017
USA
Tel.: +1 (626) 357 2182
Fax: +1 (626) 303 0642
E-Mail: scott@rivieramail.com

Mrs Katherine A. Carroll
National Health Federation
P.O. Box 688
91017 Monrovia
USA
Tel.: +1 626 357 2181
Fax: +1 626 303 0642
E-Mail: katacarroll@gmail.com

OFCA – ORGANISATION DES FABRICANTS DE PRODUITS CELLULOSIQUES ALIMENTAIRES
Dr Huub Scheres
Kerkweide 27
2265 DM Leidschendam
Netherlands
Tel.: +
Fax: +
E-Mail: ofca@kpnmail.nl

USP – UNITED STATES PHARMACOPEIAL CONVENTION
Mr Carlos Celestino
Senior Counsel
USP
12601 Twinbrook Parkway
Rockville, MD 20852-1790
USA
Tel.: +1 (301) 230 6329
Fax: +1 (301) 998 6798
E-Mail: cmc@usp.org

WSRO - WORLD SUGAR RESEARCH ORGANIZATION
Dr Richard Cottrell
Director General
WSRO
70 Collingwood House
Dolphin Square
SWIV 3LX London
United Kingdom
Tel.: +44 (20) 7821 6800
Fax: +44 (20) 7834 4137
E-Mail: rcottrell@wsro.org

Dr. Charles Baker
Chief Scientific Officer
The Sugar Association Inc.
1300 L Street, NW Suite 101
20005-4263 Washington, DC
USA
Tel.: +1 202 785 1122 x120
Fax: +1 202 785 5019
E-Mail: cbaker@sugar.org

Dr. Anna Wittekind
Assistant Director
WSRO
70 Collingwood House
Dolphin Square
SWIV 3LX London
United Kingdom
Tel.: +44 20 7821 6800
Fax: +44 20 7843 4137
E-Mail: awittekind@wsro.org

INTERNATIONAL GOVERNMENTAL ORGANIZATION
WHO - WORLD HEALTH ORGANIZATION
Dr Chizuru Nishida
Coordinator
Nutrition Policy and Scientific Advice
Department of Nutrition for Health and Development
WHO
20. Avenue Appia
1211 Geneva 27
Switzerland
Tel.: +41 (22) 791 3317/3455
Fax: +41 (22) 791 4156
E-Mail: nishidac@who.int

FAO – FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
Dr Janice Albert
Nutrition Officer
Assessment and Nutrient Requirements Group
Nutrition and Consumer Protection Division
FAO
Viale delle Terme di Caracalla
153 Roma
Italy
Tel.: +39 (6) 570 53552
E-Mail: janice.albert@fao.org

GERMAN SECRETARIAT
Mr Georg Müller
Federal Ministry of Food, Agriculture and Consumer Protection
Rochusstraße 1
53123 Bonn
Germany
Tel.: +49 (228) 99 529 33 87
Fax: +49 (228) 99 529 49 65
E-Mail: cefnsdu@bmelv.bund.de
Mrs Ursula Siebert  
Federal Ministry of Food, Agriculture and Consumer Protection  
Rochusstraße 1  
53123 Bonn  
Germany  
Tel.: +49 99 529 4109  
Fax: +49 99 529 4965  
E-Mail: ccnfsdu@bmelv.bund.de

Ms Petra Starke  
Federal Ministry of Food, Agriculture and Consumer Protection  
Unit 314  
Wilhelmstraße 54  
10117 Berlin  
Tel.: +49 30 18 529 3685  
Fax: +49 30 18 529 3273  
E-Mail: codex.germany@bmelv.bund.de

**CODEX SECRETARIAT**

Ms Selma Doyran  
Codex Secretary  
Joint FAO/WHO Food Standards Programme  
Viale delle Terme di Caracalla  
00153 Rome  
Italy  
Tel.: +39 (6) 570 55629  
Fax: +39 (6) 570 54593  
E-Mail: selma.doyran@fao.org

Dr Hidetaka Kobayashi  
Food Standards Officer  
Joint FAO/WHO Food Standards Programme  
Viale delle Terme di Caracalla  
00153 Rome  
Italy  
Tel.: +39 348 285 8891  
Fax: +39 6 570 54593  
E-Mail: hidetaka.kobayashi@fao.org
APPENDIX II

GUIDELINES ON FORMULATED COMPLEMENTARY FOODS FOR OLDER INFANTS AND YOUNG CHILDREN

(Step 8)

1. PURPOSE

To provide guidance on nutritional and technical aspects of the production of Formulated Complementary Foods for Older Infants and Young Children as defined in Section 3.1, including:

i. Formulation of such foods, based on the nutritional requirements of older infants and young children;
ii. Processing techniques;
iii. Hygienic requirements;
iv. Provisions for packaging;

2. SCOPE

The provisions of these Guidelines apply to Formulated Complementary Foods for Older Infants and Young Children as defined in Section 3.1 below and include but are not limited to porridges containing cereals, ready-to-use products and food-based home fortificants. Micronutrient supplements, processed cereal based foods\(^1\), and canned baby foods\(^2\) are not covered by these Guidelines.

These Guidelines should be used in accordance with the Global Strategy for Infants and Young Child Feeding and World Health Assembly Resolution WHA54.2 (2001).

3. DESCRIPTION

3.1 Formulated Complementary Foods for Older Infants and Young Children means foods that are suitable for use during the complementary feeding period. These foods are specifically formulated with appropriate nutritional quality to provide additional energy and nutrients to complement the family foods derived from the local diet by providing those nutrients which are either lacking or are present in insufficient quantities.

3.2 Older infants means persons from the age of 6 months and not more than 12 months of age.

3.3 Young children means persons from the age of more than 12 months up to the age of three years (36 months).

3.4 Complementary feeding period means the period when older infants and young children transition from exclusive feeding of breastmilk and/or breastmilk substitutes to eating the family diet\(^3\).

4. SUITABLE RAW MATERIALS AND INGREDIENTS

4.1 Basic Raw Materials and Ingredients

The following raw materials, most of which are locally available, are suitable ingredients for the production of Formulated Complementary Foods for older infants and young children under the specified conditions given below:

4.1.1 Cereals

4.1.1.1 All milled cereals suitable for human consumption may be used provided that they are processed in such a way as to reduce the fibre content, when necessary, and to decrease and, if possible, to eliminate antinutrients such as phytates, tannins or other phenolic materials, lectins, trypsin, and chymotrypsin inhibitors

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\(^1\) Codex Standard for Processed Cereal-Based Foods for Infants and Young Children (CODEX STAN 74-1981, rev. 1-2006)

\(^2\) Codex Standard for Canned Baby Foods (CODEX STAN 73-1981)

\(^3\) According to the WHO, 2002, Complementary Feeding. Report of the Global Consultation appropriate complementary feedings should start from the age of six months with continued breast feeding up to two years or beyond; refer also to WHO 2003 Guiding Principles for Complementary feeding of the breastfed child, WHO 2005 Guiding principles for feeding non-breastfed children 6-24 months of age.
which can lower the protein quality and digestibility, amino acid bioavailability and mineral absorption. The use of appropriate enzymes may be considered to decrease fibre and anti-nutrients, if needed.

4.1.1.2 Besides carbohydrates (mainly consisting of starch) cereals contain a significant quantity of protein (8-12%) but are limiting in the amino acid lysine. Combining cereals with legumes and/or pulses, which are higher in lysine, can compensate for the limiting level in cereals.

4.1.2 Legumes and Pulses

4.1.2.1 Legumes and pulses, such as chick peas, lentils, peas, cowpeas, mungo beans, green gram, kidney beans and soya beans, containing at least 20% protein on a dry weight basis.

4.1.2.2 On the whole, legumes and pulses are deficient in L-methionine. Depending on the nature of the other ingredients in the formulation, the addition of L-methionine may be desirable in order to improve the nutritional value of the product.

4.1.2.3 Legumes and pulses must be appropriately processed to reduce, as much as possible, the anti-nutritional factors normally present, such as phytate, lectins (haemagglutenins), trypsin and chymotrypsin inhibitors. When phytoestrogen containing legumes and pulses such as soya are added as an ingredient, products with low levels of phytoestrogens should be used.

- Lectins can be reduced by moist heat treatment;
- Trypsin inhibitor activity may be reduced to acceptable levels by heating to high temperatures or by prolonged boiling.
- Phytate can be reduced enzymatically or by soaking or fermentation.
- Phytoestrogens can be reduced by fermentation.

4.1.2.4 Field beans or faba beans (Vicia faba L.) should not be used in the formulation of Complementary Food for Older Infants and Young Children because of the danger of favism. Heat treatment does not completely inactivate the toxic components (vicine and co-vicine).

4.1.3 Oil Seed Flours and Oil Seed Protein Products

4.1.3.1 Flours, protein concentrates and protein isolates of oil seeds are acceptable if manufactured to appropriate specifications which assure sufficient reduction of anti-nutritional factors and undesirable toxic substances such as trypsin and chymotrypsin inhibitors and gossypol. Such oil seeds may include

- Soya beans: dehulled flour, (full fat and defatted) protein concentrate, protein isolate
- Groundnuts: paste, protein isolate
- Sesame seed: whole ground and defatted flour
- Cottonseed: defatted flour
- Sunflower seed: defatted flour, full fat
- Low erucic acid rapeseed: full fat flour.

4.1.3.2 Defatted oil seed flours and protein isolates, if produced and appropriately processed for human consumption, can be good sources of protein (50-95%).

4.1.4 Animal Source Foods

Animal source foods such as meat, fish, poultry, eggs, milk and milk products are nutrient dense and good sources of high quality proteins and micronutrients and incorporation of these foods or their derived protein concentrates in Formulated Complementary Foods as technologically feasible is encouraged.

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4 The following Guidelines were elaborated by the FAO/WHO/UNICEF Protein and Energy Advisory Group:
PAG Guidelines No 2: Preparation of Food Quality Ground Flour
PAG Guidelines No 4: Preparation of Edible Cotton Seed Protein Concentrates
PAG Guidelines No 5: Guideline for Heat Processed Soy Grits and Flours
5 Codex Standard for Vegetable Protein Products (CODEX STAN 174-1989)
6 Codex Standard for Soy Protein Products (CODEX STAN 175-1989)
7 Codex Standard for Wheat Protein (CODEX STAN 163-1987)
4.1.5 Fats and Oils
4.1.5.1 Fats and oils can be incorporated in adequate quantities as technologically feasible for the purpose of increasing the energy density of the product. Care must be taken to avoid oxidized fat which will adversely affect nutrition, flavour and shelf life. Such care is important for fat-containing ingredients (e.g., oil seed flours and oil seed protein products, fish meals, and fish protein concentrates) as well as fats and oils.
4.1.5.2 Partially hydrogenated fats (and oils) should not be used in Formulated Complementary Foods.

4.1.6 Fruits and Vegetables
Fruits and vegetables may be good sources of micronutrients and can be added to Formulated Complementary Foods, when technologically feasible.

4.2 Other Ingredients
Other ingredients, including those listed below, may be used to improve the nutritional quality and/or acceptability of the Formulated Complementary Foods provided that they are readily available and have been proven to be suitable and safe for their intended purpose.

4.2.1 Digestible carbohydrates
Energy density of Formulated Complementary Foods can be increased by the addition of appropriate digestible carbohydrates.

4.2.2 Food additives and flavours
Food additives and flavours listed in the Codex Standard for Processed Cereal-Based Foods for Infants and Young Children (CODEX STAN 074-1981, REV 1-2006) and the Codex 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).

5 TECHNOLOGIES FOR AND EFFECTS OF PROCESSING

5.1 Preliminary Treatment of Raw Materials
Cereals, legumes, pulses and oilseeds should first be treated to obtain wholesome and clean raw materials of good quality. Such treatments include, but are not limited to:

5.1.1 Cleaning or washing: to eliminate dirt, damaged grains, foreign grains and noxious seeds, insects and insect excreta and any adhering material.

5.1.2 Dehulling: when necessary, pulses, legumes, oilseeds and certain cereals such as oats, barley, sorghum, millet and teff should be dehulled as completely as is feasible to reduce the fibre content to acceptable levels and to decrease, and if possible, to eliminate phytates, tannins and other phenolic materials, trypsin and chymotrypsin inhibitors which can lower the protein digestibility and amino acid bioavailability and mineral absorption.

5.1.3 Degermination: where necessary and appropriate, degermination of wheat, corn, soy and other crops should be considered in order to reduce the phytate content.

5.2 Milling
5.2.1 Milling or grinding of suitable raw materials should be carried out in such a way as to minimize the loss of nutritional value and to avoid undesirable changes in the technological properties of the ingredients.
5.2.2 Dry raw materials may be milled together, if technologically feasible, or mixed after milling or grinding.

5.2.3 Formulations containing milled cereals, legumes, pulses and/or oilseeds that have not been otherwise processed require adequate boiling to gelatinize the starch portions and/or eliminate anti-nutritional factors present in legumes and pulses. Boiling improves the digestibility and absorption of nutrients.

5.2.4 The bulkiness of foods from food formulations containing dry ingredients obtained by milling of the raw materials can be reduced by adding, during the formulation, adequate amounts of enzymes such as alpha-amylase which, during the slow heating to boiling, predigest partially the starch and reduce the amount of water needed for the preparation of the food.

5.3 Toasting

5.3.1 Toasting (dry heating) enhances the flavour and the taste of the food through dextrinization of starch. It also improves digestibility and contributes to reducing the bulkiness of the formulated food. Moreover, it reduces microorganisms and enzyme activity and destroys insects, thus improving keeping qualities.

5.3.2 Protein damage due to the Maillard reaction may occur in the presence of reducing carbohydrates. The toasting process should therefore be carefully controlled.

5.3.3 Pulses as well as oilseeds such as soya beans, groundnuts and sesame seeds can be toasted as whole grains directly or after soaking.

5.3.4 Toasted raw materials can be milled or ground for use as ingredients.

5.4 Sprouting, Malting and Fermentation

5.4.1 Cereals and pulses can be induced to germinate by soaking or humidifying. It is necessary, however, to ensure that growth of mycotoxin producing microorganisms does not occur. The action of natural amylases contained in the grains results in the predigestion of the starchy portion of the grain (dextrinization) thus reducing the bulk of the food when prepared for feeding and, ultimately, increasing the nutrient density of the food. Sprouting, malting and fermentation can induce hydrolysis of phytates and decrease its inhibitory effect on mineral absorption, and may improve B vitamin content.

5.4.2 During the germination process, the seed coat of the grain splits and can be removed by washing. The malted raw material is milled or ground after drying.

5.5 Other Processing Technologies

5.5.1 Extrusion Cooking

5.5.1.1 The mix of milled or ground basic ingredients (cereals, pulses, oilseed flours) may be further processed by extrusion cooking. Extrusion cooking may decrease available L-lysine, sulphur-containing amino acids, L-arginine, L-tryptophan and vitamins. The process should therefore be carefully controlled. The extruded product, after drying if necessary, is milled or ground to the desired particle size.

5.5.1.2 The effects of this technology are:
- gelatinization of the starchy portion of the mixture with minimal quantities of water;
- inactivation of lectins and reduction of trypsin inhibitor activity;
- a reduction in the quantities of water needed for preparation of the food;
- flavour development.

5.5.2 Enzymatic Predigestion

5.5.2.1 With this process the milled or ground basic ingredients (cereals, pulses, and oilseed flours) can be processed in the presence of water and appropriate enzymes under continuous stirring until the mixture acquires the desired fluidity. In the case of the use of amylase, starch molecules are split into dextrans and reducing sugars. After raising the temperature to inactivate the enzyme, the slurry is dried and comminuted to flour or to small flakes to allow for greater nutrient density.

5.5.2.2 The predigested product may have improved organoleptic characteristics, higher digestibility, good solubility, requires less water for the preparation of the food, and hence higher nutrient density.
6. NUTRITIONAL COMPOSITION AND QUALITY FACTORS

6.1 General Aspects

6.1.1 The selection of raw materials and ingredients for the formulation of Formulated Complementary Foods for Older Infants and Young Children should be made having regard to the provisions in Sections 4 and 5 and taking into account the following aspects:

- nutrient content of the local diet;
- dietary habits and infant feeding practices;
- other socio-economic aspects as determined by the national authorities dealing with nutrition;
- availability and quality of raw materials and ingredients.

6.1.2 All processing should be carried out in a manner that maintains protein quality and minimizes loss of micronutrients and maintains overall nutritive value.

6.1.3 Ten to fifty grammes of the Formulated Complementary Food, when prepared according to the instructions, is considered a reasonable quantity which an older infant or young child during the complementary feeding period can ingest easily in one feeding and who may receive two or more feedings per day, depending on age. The range in amount per feeding allows for the various types of Formulated Complementary Foods. The lower part of the range applies to products with higher energy density (e.g., lipid-based products) whereas the upper part of the range would apply to products with lower energy density (e.g., porridges containing cereals).

6.2 Energy

6.2.1 The energy density of a mixture of milled cereals and pulses and defatted oilseed meals and flours on dry weight basis is relatively low.

6.2.2 The energy density of the food can be increased during manufacture by the addition of energy containing ingredients (i.e. fats and oils and/or digestible carbohydrates) and/or processing the basic raw materials and ingredients as indicated in Section 5.

6.2.3 The energy density of the Formulated Complementary Food should be at least 4 kcal per gram on dry weight basis.

6.3 Proteins

6.3.1 Mixtures of cereals, legumes, pulses and/or oilseed flours, can constitute an appropriate source of proteins, provided that the proteins in the Formulated Complementary Food satisfy the criteria below. Protein quality can also be improved by the inclusion of fish products, milk and milk products and/or other animal source foods.

6.3.2 The Protein Digestibility Corrected Amino Acid Score (PDCAAS)\(^8\)\(^9\)\(^10\) should not be less than 70 per cent of that of the WHO amino acid reference pattern for children from 2 – 5 years.

6.3.3 If, for technical reasons, the PDCAAS digestibility of a protein cannot be determined, the protein quality should be measured by biological assays. Alternatively, the protein quality may be calculated from published data on essential amino acid patterns of dietary proteins and their digestibility.

6.3.4 The addition of methionine, lysine, tryptophan or other limiting amino acids, solely in the L-form should be contemplated only when, for economic and technological reasons, no mixture of vegetable and/or animal proteins makes it possible to obtain an adequate protein quality (see 6.3.2).

6.3.5 Taking into account the preceding considerations, the energy from protein\(^11\) should not be less than 6 % of the total energy from the product and typically should not exceed 15%\(^12\).

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\(^8\) PDCAAS (\%) = \(\frac{\text{mg of limiting amino acid in 1 gram of test protein} \times \text{true digestibility of test protein}}{\text{mg of limiting amino acid in 1 gram of reference protein}} \times 100\)

\(^9\) The limiting amino acid is the essential amino present in the lowest proportion as compared with the quantity of this amino acid reference pattern


\(^11\) Energy from protein

\(^12\) Typically should not exceed 15%
6.4 Fat

6.4.1 Incorporation of fats and/or oils in Formulated Complementary Foods serves to increase the energy density and the amount of essential fatty acids as well as reduce total volume of the food consumed. At least 20% of energy derived from fat is desirable.

6.4.2 The level of linoleic acid (in the form of glycerides) should not be less than 333 mg per 100 kcal or 1.6 g per 100 g of dry product and the fat or oil when used in the production of Formulated Complementary Foods should ensure a ratio between linoleic acid and alpha-linolenic acid of between 5:1 and 15:1.

6.4.3 The use of edible oils containing polyunsaturated fatty acids, including omega-3 fatty acids and in particular docosahexaenoic acid, should be considered. The levels in the FAO/WHO recommendations may be considered.

6.5 Carbohydrates

6.5.1 Starch is likely to be a major constituent of many Formulated Complementary Foods. To ensure that its energy value is realized, this starch should be provided in a readily digestible form. Guidance on increasing the digestibility of starches is given in Section 5. Any carbohydrate added for sweetness should be used sparingly.

6.5.2 Dietary fibres and other non-absorbable carbohydrates are partially fermented by the intestinal flora to produce short-chain fatty acids, lactate and ethanol which may subsequently be absorbed and metabolized. Increasing the intake of dietary fibres increases stool bulk, may cause flatulence and decrease appetite. Fibre load also can reduce the energy density of Formulated Complementary Foods. They also may affect the efficiency of absorption of important nutrients from diets with marginal nutrient contents. The dietary fibre content of the Formulated Complementary Food should therefore be reduced to a level not exceeding 5 g per 100 g on a dry weight basis.

6.6 Vitamins and Minerals

6.6.1 Setting levels for the addition of vitamins and minerals

6.6.1.1 The decision to add vitamins and minerals to a Formulated Complementary Food should take into account local conditions including the nutrient contribution to the diet from local foods, vitamins and minerals provided by national programs, food processing technologies applied and the nutritional status of the target population as well as the requirements stipulated by national legislation and the General Principles for the Addition of Essential Nutrients to Foods (CAC/GL 9-1987).

6.6.1.2 If the dietary intake data for the target population are available, they can be used to determine appropriate levels for the addition of vitamins and/or minerals to ensure a low prevalence of either inadequate or excessive nutrient intakes using available assessment or monitoring tools.

6.6.1.3 If the dietary intake data for the target population is not available, the vitamins and minerals listed in the Table in the Annex to these Guidelines can be used as a reference for the selection of particular vitamins and minerals and their amounts for addition to a Formulated Complementary Food.

6.6.2 National authorities should ensure that the total micronutrient intake from the Formulated Complementary Foods, local diet (including breastmilk and/or breastmilk substitutes) and other sources do not regularly exceed recommended upper levels of micronutrient intake for older infants and young children.

6.6.3 Selecting vitamins and/or minerals for nutrient addition

6.6.3.1 When establishing the specifications for the premix of vitamin compounds and mineral salts, the vitamin and mineral content and presence of antinutritive substances in the other ingredients used in the formulation of the food should be taken into account.

6.6.3.2 Vitamins and/or minerals should be selected from the Advisory Lists of Nutrient Compounds for Use in Foods for Special Dietary Uses intended for Infants and Young Children (CAC/GL 10-1979) those authorised for cereal-based foods and canned baby foods.

6.6.3.3 The choice of a vitamin and/or mineral compound should take into account its relative bioavailability within the food vehicle, the effect on the sensory properties of the food vehicle and its stability in the packaged food vehicle under normal storage conditions. The General Principles for the Addition of Essential Nutrients to Foods (CAC/GL 9-1987) provides specific guidelines in this area.
7. CONTAMINANTS

7.1 Pesticides Residues

The products should be prepared with special care under good manufacturing practices, so that residues of those pesticides which may be required in the production, storage or processing of the raw materials or the finished food ingredients do not remain, or, if technically unavoidable, are reduced to the maximum extent possible.

These measures should take into account the specific nature of the products concerned and the specific population group for which they are intended.

7.2. Other Contaminants

The product should not contain contaminants or other undesirable substances (e.g. biologically active substances) in amounts which may represent a hazard to the health of older infants and young children. The product covered by the provisions of these Guidelines shall comply with those maximum residue limits and maximum levels established by the Codex Alimentarius Commission.

8. HYGIENE

8.1 It is recommended that the products covered by the provisions of these Guidelines be prepared and handled in accordance with the appropriate sections of the Recommended International Code of Practice – General Principles of Hygiene (CAC/RCP 1-1969) and other relevant Codex texts such as Codes of Hygienic Practice and Codes of Practice.

The product should comply with any microbiological criteria established in accordance with the Principles for the Establishment and Application of Microbiological Criteria for Foods (CAC/GL 21-1997).

8.2 The ingredients and final product should be prepared, packed and held under sanitary conditions and should comply with relevant Codex texts.

9. PACKAGING

9.1 It is recommended that Formulated Complementary Foods for Older Infants and Young Children be packed in containers which will safeguard the hygienic and other qualities of the food.

9.2 The containers, including packaging material, shall be made only of materials which are safe and suitable for their intended uses. Where the Codex Alimentarius Commission has established a standard for any such substance used as packaging material, that standard shall apply.

10. LABELLING

10.1 It is recommended that the labelling of Formulated Complementary Foods for Older Infants and Young Children be in accordance with the Codex General Standard for the Labelling of Prepackaged Foods for Special Dietary Uses (CODEX STAN 146-1985), the Guidelines for Use of Nutrition and Health Claims (CAC/GL 23-1997) and the Guidelines on Nutrition Labelling (CAC/GL 2-1985).

10.2 The following mandatory provisions should apply:

10.2.1 The Name of the Food

The name of the food to be declared on the label shall indicate that the food is a Formulated Complementary Food for Older Infants and Young Children. The appropriate designation indicating the true nature of the food should be in accordance with national legislation. The major sources of protein and the age from which the product is recommended for use shall appear in close proximity to the name of the food.

10.2.2 List of Ingredients

The list of ingredients shall be declared in accordance with Section 4.2 of the Codex General Standard for the Labelling of Prepackaged Foods (CODEX STAN 1-1985).

10.2.3 Declaration of Nutritive Value

The declaration of energy and nutrients on the label or in labelling shall contain the following information expressed per 100 grammes of the Formulated Complementary-Food as sold or otherwise distributed as well as per feeding of the food ready for consumption:
(a) energy value, expressed in kilocalories and kilojoules;
(b) the amounts of protein, carbohydrates and fat, expressed in grammes;
(c) in addition to any other nutritional information required by national legislation, the total quantity per feeding of the Formulated Complementary Food ready for consumption of each vitamin and mineral added in accordance with Section 6.6, expressed in metric units.

10.2.4 Instructions for use

10.2.4.1 The label should indicate clearly from which age the product is recommended for use. This age shall not be less than six months for any product. In addition, the label shall include a statement indicating that the decision when precisely to introduce formulated complementary feeding, including any exception to six months of age, should be made in consultation with a health worker, based on the individual infant's specific growth and development needs. Additional requirements in this respect may be made in accordance with the legislation of the country in which the product is sold.

10.2.4.2 Directions as to the preparation and use of the food shall be given; preferably accompanied by graphical presentations.

10.2.4.3 The suggested number of feedings per day should be indicated.

10.2.4.4 In the case that addition of water is needed, the directions for the preparation shall include a precise statement that:

(a) where the food contains non-heat-processed basic ingredients, the food must be adequately boiled in a prescribed amount of water;
(b) where the food contains heat-processed basic ingredients:
   (i) the food requires boiling, or
   (ii) can be mixed with boiled water that has been cooled.

10.2.4.5 For Formulated Complementary Foods to which fats, sugars or other digestible carbohydrates should be added during preparation, the instructions for use shall identify appropriate sources and indicate the amounts of the ingredients to be added. In such situations, fats and oils with an appropriate essential fatty acid ratio should be recommended.

10.2.4.6 Directions for use shall include a statement that only an amount of food sufficient for one feeding occasion should be prepared at one time. Foods not consumed during the feeding occasion should be discarded, unless consumed within a period as recommended by the manufacturer under the instructions for use.

10.2.4.7 The label should also include a statement that Formulated Complementary Foods are to be consumed to complement family foods and breastmilk/breastmilk substitutes.

11. Additional Requirements:
The products covered by these Guidelines are not breastmilk substitutes and shall not be presented as such.
ANNEX

TABLE

The reference INL<sub>98</sub> values listed in the Table provide a guide for selection and amounts of vitamins and minerals to be added to a Formulated Complementary Food. The suggested total quantity of each of these vitamins and/or minerals contained in a daily ration of the Formulated Complementary Food is at least 50% of INL<sub>98</sub>.

<table>
<thead>
<tr>
<th>VITAMINS AND MINERALS</th>
<th>REFERENCE&lt;sup&gt;10&lt;/sup&gt; NUTRIENT INTAKE (RNI) or Individual Nutrient Levels&lt;sub&gt;INL&lt;sub&gt;98&lt;/sub&gt;&lt;/sub&gt;</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vitamin A µg retinol equivalent</td>
<td>400</td>
</tr>
<tr>
<td>Vitamin D&lt;sup&gt;10&lt;/sup&gt; µg</td>
<td>5</td>
</tr>
<tr>
<td>Vitamin E mg (α-Tocopherol)</td>
<td>5</td>
</tr>
<tr>
<td>Vitamin C mg</td>
<td>30</td>
</tr>
<tr>
<td>Thiamine mg</td>
<td>0.5</td>
</tr>
<tr>
<td>Riboflavin mg</td>
<td>0.5</td>
</tr>
<tr>
<td>Niacin mg NE</td>
<td>6</td>
</tr>
<tr>
<td>Vitamin B&lt;sub&gt;6&lt;/sub&gt; mg</td>
<td>0.5</td>
</tr>
<tr>
<td>Folate µg DFE</td>
<td>150</td>
</tr>
<tr>
<td>Vitamin B&lt;sub&gt;12&lt;/sub&gt; µg</td>
<td>0.9</td>
</tr>
<tr>
<td>Calcium mg</td>
<td>500</td>
</tr>
<tr>
<td>Iron mg&lt;sup&gt;11&lt;/sup&gt;</td>
<td>11.6, 5.8, 3.9</td>
</tr>
<tr>
<td>Zinc mg&lt;sup&gt;12&lt;/sup&gt;</td>
<td>8.3, 4.1, 2.4</td>
</tr>
<tr>
<td>Iodine µg</td>
<td>90</td>
</tr>
<tr>
<td>Copper mg&lt;sup&gt;13&lt;/sup&gt;</td>
<td>0.34</td>
</tr>
<tr>
<td>Selenium µg</td>
<td>17</td>
</tr>
<tr>
<td>Vitamin K µg</td>
<td>15</td>
</tr>
<tr>
<td>Biotin µg</td>
<td>8</td>
</tr>
<tr>
<td>Pantothenic acid mg</td>
<td>2</td>
</tr>
<tr>
<td>Magnesium mg</td>
<td>60</td>
</tr>
<tr>
<td>Manganese mg&lt;sup&gt;13&lt;/sup&gt;</td>
<td>1.2</td>
</tr>
<tr>
<td>Phosphorus mg&lt;sup&gt;13&lt;/sup&gt;</td>
<td>460</td>
</tr>
</tbody>
</table>

---

<sup>10</sup> Vitamin D should be added if there is inadequate exposure to sunlight
<sup>11</sup> Iron values are given for 5%, 10 % and 15% dietary iron bioavailability
<sup>12</sup> Zinc values are given for low, medium and high dietary zinc bioavailability
<sup>13</sup> Values are Dietary Reference Intakes, Institute of Medicine, 1997/2001 (Source for Copper, Manganese and Phosphorus).
PROPOSED DRAFT GENERAL PRINCIPLES FOR ESTABLISHING NUTRIENT REFERENCE VALUES FOR NUTRIENTS ASSOCIATED WITH RISK OF DIET-RELATED NONCOMMUNICABLE DISEASES FOR THE GENERAL POPULATION

(at Step 5/8)

1. PREAMBLE

These Principles apply to the establishment of Codex Nutrient Reference Values for labelling purposes for nutrients associated with risk of diet-related noncommunicable diseases (NRVs-NCD) for the general population identified as individuals older than 36 months. These values may be used for helping consumers 1) estimate the relative contribution of individual products to overall healthful dietary intake, and 2) as one way to compare the nutrient content between products.

Governments are encouraged to use the NRVs-NCD, or alternatively, consider the suitability of the general principles below including the level of evidence required, and additional factors specific to a country or region in establishing their own reference values for labelling purposes, for nutrients associated with diet-related noncommunicable diseases. For example, at the national level, population-weighted values for the general population may be established by weighting science-based reference values for daily intakes for age-sex groups using census data for a country and proportions of each age-sex group. Governments may also consider whether to establish separate food label reference values for specific segments of the general population.

2. DEFINITION(S)

2.1 Nutrient Reference Values - Noncommunicable Disease (NRVs-NCD) refer to Codex nutrient reference values for food labelling purposes for nutrients that are associated with risk of diet-related noncommunicable diseases not including nutrient deficiency diseases or disorders.

2.2 Daily Intake Reference Values as used in these Principles refer to reference nutrient intake values provided by FAO/WHO or other recognized authoritative scientific bodies that may be considered in establishing an NRV-NCD based on the principles and criteria in Section 3. These values may be expressed in different ways (e.g., as a single value or a range), and are applicable to the total population or to a segment of the population (e.g., recommendations for a specified age range).

2.3 Upper Level of Intake (UL) is the maximum level of habitual intake from all sources of a nutrient or related substance judged to be unlikely to lead to adverse health effects in humans.

2.4 Acceptable Macronutrient Distribution Range (AMDR) is a range of intakes for a particular energy source that is associated with reduced risk of diet-related noncommunicable diseases while providing adequate intakes of essential nutrients. For macronutrients, they are generally expressed as a percentage of energy intake.

3. GENERAL PRINCIPLES FOR ESTABLISHING NRVs-NCD

3.1 Criteria for Selection of Nutrients

The following criteria should be considered in the selection of nutrients for the establishment of NRVs-NCD:

Different countries may use other terms for this concept, for example, Tolerable Upper Nutrient Intake Level (UL) or upper end of safe intake range.
- Relevant convincing\textsuperscript{2}/generally accepted\textsuperscript{3} scientific evidence or the comparable level of evidence under the GRADE classification\textsuperscript{4} for the relationship between a nutrient and noncommunicable disease risk, including validated biomarkers for the disease risk, for at least one major segment of the population (e.g., adults).

- Public health importance of the nutrient-noncommunicable disease risk relationship(s) among Codex member countries.

3.2 Selection of Suitable Data Sources to Establish NRVs-NCD

3.2.1 Relevant daily intake reference values provided by FAO/WHO that are based on a recent review of the science should be taken into consideration as primary sources in establishing NRVs-NCD.

3.2.2 Relevant daily intake reference values that reflect recent independent review of the science, from recognized authoritative scientific bodies other than FAO/WHO could also be taken into consideration. Higher priority should be given to values in which the evidence has been evaluated through a systematic review.

3.2.3 The daily intake reference values should reflect intake recommendations for the general population.

3.3 Selection of Appropriate Basis for Determining and Expressing NRVs-NCD

3.3.1 Relevant and peer-reviewed scientific evidence for quantitative reference values for daily intake should be available in order to determine an NRV-NCD that is applicable to the general population.

3.3.2 Daily intake reference values from FAO/WHO or other recognized authoritative scientific bodies that may be considered for NRVs-NCD include values expressed in absolute amounts or as a percentage of energy intake.

3.3.3 For practical application in nutrition labelling, a single NRV-NCD for the general population should be established for each nutrient that meets the principles and criteria in this Annex.

3.3.4 An NRV-NCD for the general population should be determined from the daily intake reference value for the general population or adults, or if given by sex, the mean of adult males and adult females.

3.3.5 Where a daily intake reference value is based on a percentage energy intake, the single NRV-NCD should be expressed in grams or milligrams based on a reference intake for the general population of 8370 kilojoules/2000 kilocalories.

Governments may use a Codex NRV-NCD based on the reference energy intake of 8370 kilojoules/2000 kilocalories, or may derive their own reference values for nutrition labelling based on another reference energy intake that considers factors specific to their country or region.

3.4 Consideration of Daily Intake Reference Values for Upper Levels

The establishment of general population NRVs-NCDs should take into account daily intake reference values for upper levels established by FAO/WHO or other recognized scientific authoritative bodies where applicable (e.g., Upper Level of Intake, Acceptable Macronutrient Distribution Range).

\begin{itemize}
  \item \textsuperscript{2} At the time these guiding principles were drafted, the definition and criteria for “convincing evidence” from the following FAO/WHO report were used: Diet, Nutrition and the Prevention of Chronic Diseases. \textsuperscript{5} WHO Technical Report Series 916. WHO, 2003.
  \item \textsuperscript{3} For these General Principles the terms convincing/generally accepted evidence are considered synonymous.
\end{itemize}
APPENDIX IV

PROPOSED DRAFT ANNEX TO THE CODEX GUIDELINES ON NUTRITION LABELLING – CONSOLIDATED VERSION:

GENERAL PRINCIPLES FOR ESTABLISHING NUTRIENT REFERENCE VALUES FOR THE GENERAL POPULATION

(for adoption)

1. PREAMBLE

These Principles apply to the establishment of Codex Nutrient Reference Values (NRVs) for the general population identified as individuals older than 36 months. These values may be used for helping consumers (1) estimate the relative contribution of individual products to overall healthful dietary intake, and (2) as one way to compare the nutrient content between products.

Governments are encouraged to use the NRVs, or alternatively, consider the suitability of the general principles below including the level of evidence required, and additional factors specific to a country or region in establishing their own reference values for labelling purposes. For example, at the national level, population-weighted values for the general population may be established by weighting science-based reference values for daily intakes for age-sex groups using census data for a country and proportions of each age-sex group. In addition, governments may establish reference values for food labelling that take into account country or region specific factors that affect nutrient absorption, utilization, or requirements. Governments may also consider whether to establish separate food label reference values for specific segments of the general population.

2. DEFINITIONS

2.1 Daily Intake Reference Values as used in these Principles refer to reference nutrient intake values provided by FAO/WHO or other recognized authoritative scientific bodies that may be considered in establishing an NRV based on the principles and criteria in Section 3. These values may be expressed in different ways (e.g., as a single value or a range), and are applicable to the general population or to a segment of the population (e.g., recommendations for a specified age range).

2.2 Individual Nutrient Level 98 (INL\textsubscript{98})\textsuperscript{1} is the daily intake reference value that is estimated to meet the nutrient requirement of 98 percent of the apparently healthy individuals in a specific life stage and sex group.

2.3 Upper Level of Intake (UL)\textsuperscript{2} is the maximum level of habitual intake from all sources of a nutrient or related substance judged to be unlikely to lead to adverse health effects in humans.

2.4 Acceptable Macronutrient Distribution Range (AMDR) is a range of intakes for a particular energy source that is associated with reduced risk of diet-related noncommunicable diseases while providing adequate intakes of essential nutrients. For macronutrients, they are generally expressed as a percentage of energy intake.

3. GENERAL PRINCIPLES FOR ESTABLISHING NRVs

3.1 Selection of Suitable Data Sources to Establish NRVs

3.1.1 Relevant daily intake reference values provided by FAO/WHO that are based on a recent review of the science should be taken into consideration as primary sources in establishing NRVs.

3.1.2 Relevant daily intake reference values that reflect recent independent review of the science, from recognized authoritative scientific bodies other than FAO/WHO could also be taken into consideration. Higher priority should be given to values in which the evidence has been evaluated through a systematic review.

\textsuperscript{1} Different countries may use other terms for this concept, for example, Recommended Dietary Allowance (RDA), Recommended Daily Allowance (RDA), Reference Nutrient Intake (RNI), or Population Reference Intake (PRI).

\textsuperscript{2} Different countries may use other terms for this concept, for example, Tolerable Upper Nutrient Intake Level (UL) or upper end of safe intake range.
3.1.3 The daily intake reference values should reflect intake recommendations for the general population.

3.2 Selection of Nutrients and Appropriate Basis for NRVs

3.2.1 Selection of Nutrients and Appropriate Basis for NRVs-R

3.2.1.1 The NRVs-R should be based on Individual Nutrient Level 98 (INL98). In cases where there is an absence of an established INL98 for a nutrient for a specific sub-group(s), it may be appropriate to consider the use of other reference values or ranges that have been established by recognized authoritative scientific bodies. The derivation of these values should be reviewed on a case-by-case basis.

3.2.1.2 The general population NRVs-R should be determined by calculating the mean values for a chosen reference population group older than 36 months. NRVs-R derived by the CCNFSDU are based on the widest applicable age range for each of adult males and females.

3.2.1.3 For the purpose of establishing these NRVs-R, the values for pregnant and lactating women should be excluded.

3.2.2 Selection of Nutrients and Appropriate Basis for NRVs-NCD

3.2.2.1 The following criteria should be considered in the selection of nutrients for the establishment of NRVs-NCD:

- Relevant convincing\(^3\) generally accepted\(^4\) scientific evidence or the comparable level of evidence under the GRADE classification\(^5\) for the relationship between a nutrient and noncommunicable disease risk relationship, including validated biomarkers for the disease risk, for at least one major segment of the population (e.g., adults).

- Public health importance of the nutrient-noncommunicable disease risk relationship(s) among Codex member countries.

3.2.2.2 Relevant and peer-reviewed scientific evidence for quantitative reference values for daily intake should be available in order to determine an NRV-NCD that is applicable to the general population.

3.2.2.3 Daily intake reference values from FAO/WHO or other recognized authoritative scientific bodies that may be considered for NRVs-NCD include values expressed in absolute amounts or as a percentage of energy intake.

3.2.2.4 For practical application in nutrition labelling, a single NRV-NCD for the general population should be established for each nutrient that meets the principles and criteria in this Annex.

3.2.2.5 An NRV-NCD for the general population should be determined from the daily intake reference value for the general population or adults, or if given by sex, the mean of adult males and adult females.

3.2.2.6 Where a daily intake reference value is based on a percentage energy intake, the single NRV-NCD should be expressed in grams or milligrams based on a reference intake for the general population of 8370 kilojoules/2000 kilocalories.

Governments may use a Codex NRV-NCD based on the reference energy intake of 8370 kilojoules/2000 kilocalories, or may derive their own reference values for nutrition labelling based on another reference energy intake that considers factors specific to their country or region.

3.3 Consideration of Daily Intake Reference Values for Upper Levels

The establishment of general population NRVs should also take into account daily intake reference values for upper levels established by FAO/WHO or other recognized authoritative scientific bodies where applicable (e.g., Upper Level of Intake, Acceptable Macronutrient Distribution Range).

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\(^3\) At the time these guiding principles were drafted, the definition and criteria for “convincing evidence” from the following FAO/WHO report were used Diet, Nutrition and the Prevention of Chronic Diseases. WHO Technical Report Series 96. WHO, 2003.

\(^4\) For these General Principles the terms convincing/generally accepted evidence are considered synonymous.

APPENDIX V

PROPOSED DRAFT NUTRIENT REFERENCE VALUES FOR NUTRIENTS ASSOCIATED WITH RISK OF DIET-RELATED NONCOMMUNICABLE DISEASES FOR GENERAL POPULATION (NRVS-NCD)

(Step 8)

For inclusion in the Guidelines on Nutrition Labelling

<table>
<thead>
<tr>
<th>Nutrient</th>
<th>NRV-NCD</th>
</tr>
</thead>
<tbody>
<tr>
<td>saturated fatty acids</td>
<td>20 g</td>
</tr>
<tr>
<td>sodium</td>
<td>2000 mg</td>
</tr>
</tbody>
</table>
2.6 **Nutrient Reference Values (NRVs)*** are a set of numerical values that are based on scientific data for purposes of nutrition labelling and relevant claims. They comprise the following two types of NRVs:

- **Nutrient Reference Values - Requirements (NRVs-R)** refer to NRVs that are based on levels of nutrients associated with nutrient requirements.

- **Nutrient Reference Values - Noncommunicable Disease (NRVs-NCD)** refer to NRVs that are based on levels of nutrients associated with the reduction in the risk of diet-related noncommunicable diseases not including nutrient deficiency diseases or disorders.

* See also the Annex for the General Principles for the Establishment of Nutrient Reference Values.

3.4 **Presentation of nutrient content**

3.4.4 Numerical information on vitamins and minerals should be expressed in metric units and/or as a percentage of the NRV per 100 g or per 100 ml or per package if the package contains only a single portion. In addition, this information may be given per serving as quantified on the label or per portion provided that the number of portions contained in the package is stated.

In addition, information on protein and additional nutrients may also be expressed as percentages of the NRV where an NRV has been established.

The following NRVs are for the general population identified as individuals older than 36 months. They should be used for labelling purposes to help consumers make choices that contribute to an overall healthful dietary intake in the interests of international standardization and harmonization.

1. **Saturated fatty acids**
   
   20 g

2. **Sodium**
   
   2000 mg

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* In order to take into account future scientific developments, future FAO/WHO and other expert recommendations and other relevant information, the list of nutrients and the list of nutrient reference values should be kept under review.

1. The general principles and related definitions used in establishing these NRVs are identified in [Identify the Annex or Annexes].

2. This value is based on the reference energy intake of 8370 kilojoules/2000 kilocalories.

3. The selection of these nutrients for the establishment of an NRV was based on “convincing evidence” for a relationship with NCD risk as defined in the report *Diet, Nutrition and the Prevention of Chronic Diseases*. WHO Technical Report Series 916. WHO, 2003.
APPENDIX VII

PROPOSED DRAFT ADDITIONAL OR REVISED NUTRIENT REFERENCE VALUES FOR LABELLING PURPOSES IN THE CODEX GUIDELINES ON NUTRITION LABELLING

(Step 5/8)

Proposed Draft NRVs

<table>
<thead>
<tr>
<th>Vitamins and Minerals</th>
<th>NRVs -R</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Vitamins</strong></td>
<td></td>
</tr>
<tr>
<td>Vitamin K (µg)</td>
<td>60</td>
</tr>
<tr>
<td>Thiamin (mg)</td>
<td>1.2</td>
</tr>
<tr>
<td>Riboflavin (mg)</td>
<td>1.2</td>
</tr>
<tr>
<td>Niacin (mg NE)</td>
<td>15</td>
</tr>
<tr>
<td>Vitamin B6 (mg)</td>
<td>1.3</td>
</tr>
<tr>
<td>Folate (µg DFE)</td>
<td>400</td>
</tr>
<tr>
<td>Vitamin B12 (µg)</td>
<td>2.4</td>
</tr>
<tr>
<td>Pantothenate (mg)</td>
<td>5</td>
</tr>
<tr>
<td>Biotin (µg)</td>
<td>30</td>
</tr>
<tr>
<td><strong>Minerals</strong></td>
<td></td>
</tr>
<tr>
<td>Calcium (mg)</td>
<td>1,000</td>
</tr>
<tr>
<td>Iodine (µg)</td>
<td>150</td>
</tr>
</tbody>
</table>

Conversion factors for niacin and folate equivalents

<table>
<thead>
<tr>
<th>Vitamin</th>
<th>Dietary equivalents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Niacin</td>
<td>1 mg niacin equivalents (NE) =</td>
</tr>
<tr>
<td></td>
<td>1 mg niacin</td>
</tr>
<tr>
<td></td>
<td>60 mg tryptophan</td>
</tr>
<tr>
<td>Folate</td>
<td>1 µg dietary folate equivalents (DFE) =</td>
</tr>
<tr>
<td></td>
<td>1 µg food folate</td>
</tr>
<tr>
<td></td>
<td>0.6 µg folic acid added to food or as</td>
</tr>
<tr>
<td></td>
<td>supplement consumed with food</td>
</tr>
<tr>
<td></td>
<td>0.5 µg folic acid as supplement taken on</td>
</tr>
<tr>
<td></td>
<td>an empty stomach</td>
</tr>
</tbody>
</table>

The conversion factors for vitamin equivalents in the Table provide supporting information for national authorities to enable national authorities to determine the application of NRVs at national level and they are not intended as a harmonisation of the conversion factors per se.
APPENDIX VIII

PROPOSAL TO REVIEW THE CODEX STANDARD FOR FOLLOW-UP FORMULA
(CODEX STAN 156-1987)

PROJECT DOCUMENT

1 PURPOSE AND SCOPE OF THE NEW WORK

The purpose of the proposed new work is a review of the Codex Standard for Follow-up Formula (CODEX STAN 156-1987, hereafter called ‘the Standard’). The Codex Standard for Follow-up Formula was issued in 1987. The category of food covered by the Standard has been subject to significant development over the 25 years since its development. There is a concern that the Standard may not provide adequate guidance to members in relation to the range of existing and potential follow-up formula products, and that it does not incorporate the key directions taken in the recent review of the Codex Standard for Infant Formula and Formulas for Special Medical Purposes Intended for Infants (CODEX STAN 72-1981(Rev.2007)). A review of the Standard would explore the lack of harmonisation in regulations for follow-up formula across member countries, and will include consideration of issues such as technological developments in follow-up formula production and composition over the past 25 years, the age range of the intended population, product definition, the role of such products in the diet and the need for such a Standard.

An interlinked set of social and technological developments over the past 20-30 years has prompted a growing interest from industry to provide consumers with a wider selection of infant formula products. ACNielsen reported a 12 per cent increase in global infant formula product sales from 2006 to 2007. According to Euromonitor International, the estimated global consumption of follow-up formula in 2010 was in the vicinity of 438,000 tonnes. This compares to the estimated global consumption of 309,000 tonnes in 2005. The growth in the follow-up formula market has been greatest in Asia, particularly China. Eastern Europe, and to a lesser extent the Middle East and Latin America are also experiencing growth in their infant formula products markets. It is expected that the global market for infant formula products will continue to grow rapidly due to factors such as rising disposable income levels and the growing number of working mothers.

2 RELEVANCE AND TIMELINESS

The current Standard is outdated. There is a marked diversification of national follow-up formula standards across members, and this is expected to continue in the absence of an up-to-date international reference point. Several countries have already modified their regulations for follow-up formula since the development of the Standard, while other countries either use the current Standard or have adopted regulations that closely follow it. In addition, a number of countries are currently working on, or have already developed, regulations for ‘growing-up milk’ products. In many cases, the age range for growing-up milk products in these regulations overlaps the age range used in the Standard. A similar situation is also evident between member countries in the overlap of age ranges for some follow-up formula and infant formula regulations. A revised Standard may be useful for promoting international harmonisation in the regulation of follow-up formula products.

3 MAIN ASPECTS TO BE COVERED

A full review of the Standard would look at the following aspects:

Description

There are discrepancies between member countries’ follow-up formula regulations, particularly with regard to the defined age-range for which follow-up formula products are intended. The current Standard states that follow-up formula is suitable for infants and young children aged between 6 and 36 months. There are broadly two approaches in country regulations to the age range for follow-up formula, whereby some country regulations are consistent with the age range (6 – 36 months) in the Standard, while others provide a narrower age range of 6-12 months.

The Standard contains the following definitions:
• **Follow-up formula** means ‘a food intended for use as a liquid part of the weaning diet for the infant from the 6th month on and for young children’.

• **Infants** are defined as ‘a person not more that 12 months of age’.

• **Young children** means ‘persons from the age of more than 12 months up to the age of three years (36 months)’.

• **Follow-up formula** is further defined as a ‘food prepared from the milk of cows or other animals and/or other constituents of animal and/or plant origin, which have proved to be suitable for infants from the 6th month on and for young children’.

**Essential Composition and Quality Factors**

There is a concern that scientific and technological developments and changes in consumption patterns since the introduction of the Standard mean that it may no longer provide adequate guidance to member countries. This is especially important as many countries rely on the Standard for domestic regulation, and the Standard is the default for inter-country trade in follow-up formula.

There has been considerable advancement in the science underpinning the nutritional needs of infants. This was considered in detail in the review of Codex Standard for Infant Formula and Formulas for Special Medical Purposes Intended for Infants (CODEX STAN 72-1981(Rev.2007)). There is an argument that these advances should be considered as part of a review of the follow-up formula Standard. The main areas of concern include (but are not limited to):

• the minimum and maximum levels of protein in the current Standard;
• maximum or guiding upper limits for vitamins and minerals; and
• the provisions for optional ingredients.

**Labelling**

The use of health claims on food products for infants and young children continues to be a contentious issue. The current Codex Guideline for Use of Nutrition and Health Claims (CAC/GL 23 – 1997) states under section 1.4 that ‘Nutrition and health claims shall not be permitted for foods for infants and young children except where specifically provided for in relevant Codex standards or national legislation’.

The Standard does not contain any explicit provisions for nutrition and health claims.

**The International Code of Marketing of Breast-milk Substitutes**

The 1981 WHO International Code of Marketing of Breast-milk Substitutes (the WHO Code) applies to marketing and related practices in relation to the following products:

• breast-milk substitutes, including infant formula;
• other milk products, foods and beverages, including bottle-fed complementary foods;
• feeding bottles, and teats.

There is a divergence in approaches between member countries as to whether follow-up formula is defined as a breast-milk substitute, and whether follow-up formula products fall within the scope of the WHO Code. The WHO urges all Member States to take action to give effect to the principles and aim of the WHO Code as appropriate to their social and legislative framework.

Additional Requirements of the Codex Standard (Section 9.6) states that ‘the products covered by this standard are not breast-milk substitutes and shall not be represented as such’. It is worth noting that the WHO briefing note on “Follow-Up Formula in the Context of the International Code of Marketing of Breast-milk Substitutes” is presently being considered for revision by the WHO pending review of new and emerging information on the subject.

**Other Issues**

Other sections of the Codex Standard would be assessed to ensure they reflect the latest Codex position including food additives, contaminants, packaging and hygiene.
4 ASSESSMENT AGAINST THE CRITERIA FOR THE ESTABLISHMENT OF WORK PRIORITIES

4.1 General criterion

The proposed revision of the Standard is focused on establishing whether this standard provides for the adequate supply of nutrients through the provision of safe follow-up formula products which are scientifically demonstrated to support the nutritional requirements of the infants and young children for whom these products are intended, in order to promote normal growth and development.

Due to scientific and technical developments, there may be a need to ensure the Standard represents the optimal composition that might be achieved, while also considering safety and suitability.

The diversification of national regulation for follow-up formula products across member countries may present significant issues for the international trade of these products. For example, differences in the regulations applied to exports of follow-up formula may disadvantage countries seeking to ensure that follow-up formula product exports are safe and suitable for the intended consumer and equally may disadvantage consumers if the regulations are too liberal. International standards can provide guidance on the appropriate level of regulation to ensure safety and suitability while facilitating trade.

The new work can contribute to facilitating international trade by providing clear international guidance on provisions for follow-up formula products.

4.2 Criteria applicable to commodities

a) Volume of production and consumption in individual countries and volume and pattern of trade between countries.

Follow-up formula is manufactured in many countries and has become a commodity of increasing trade significance with consistent growth in international trade over the past decade. According to Euromonitor International, the estimated global consumption of follow-up formula in 2010 was in the vicinity of 438,000 tonnes. This compares to the estimated global consumption of 309,000 tonnes in 2005. Much of the growth in sales and consumption has been in developing countries. China and Indonesia have the highest volume of consumption of follow-up formula of all the countries included in the Euromonitor survey with a reported market of 127,100 and 30,400 tonnes, respectively in 2010.

b) Diversification of national legislation and apparent resultant or potential impediments to international trade.

The Standard is 24 years old and has not been reviewed during this time. It is apparent from a review of national regulation for follow-up formula that differences exist between countries. Although we are not aware of any evidence of market failure in those markets that have adopted the Standard in its entirety or partially, it appears that some countries have since reviewed and updated their national legislation for this commodity due to developments in scientific research. The differences in national regulations may create barriers to the international trade in safe and suitable follow-up formula products.

An updated Standard would assist in providing an improved technical and scientific basis for establishing national regulations.

c) International or regional market potential.

Follow-up formula products are widely traded. A revised Standard should enhance opportunities for insuring global and regional trade.

d) Amenability of the commodity to standardisation.

While there is general support for the harmonisation of food regulations for follow-up formula to assist in eliminating any impediments to international trade, many industry representatives are keen to retain permissions for the addition of ‘optional ingredients’ to follow-up formula to allow for innovation and product development.
e) Coverage of the main consumer protection and trade issues by existing or proposed general standards.

Updating the Standard to ensure that it is based on robust and up-to-date science will facilitate an internationally harmonised approach to this commodity and thereby contribute to consumer protection whilst ensuring fair practices in trade.

f) Number of commodities which would need separate standards indicating whether raw, semi-processed or processed.

One of the critical issues to be addressed in the review of the Standard is the intended age range for follow-up formula. Depending on the age range determined, the CCNFSDU could also consider expanding the scope of the Standard to explicitly include or not so-called growing-up milk products as these are generally intended for young children in the age range of the Standard on follow-up formula.

g) Work already undertaken by other international organizations in this field and/or suggested by the relevant international intergovernmental body (ies).

A review of the Standard would require technical support and input from recognised international experts in the area of infant and young child nutrition, as well as from governments and relevant international organisations.

5 RELEVANCE TO CODEX STRATEGIC GOALS

The proposed work is consistent with the Commission’s strategic goals with particular reference to the following:

Goal 1: Promoting sound regulatory frameworks - Revision and update of the current Codex Standard will greatly assist in promoting sound regulatory frameworks for these products.

Goal 2: Promoting widest and consistent application of scientific principles and risk analysis- The revision of the current standard will draw on the latest scientific evidence and facilitate the development of a risk based standard for regulation of these products.

Goal 5: Promoting maximum and effective participation of members - The products covered by the proposed work is of significant global interest and the revision process will be carried out with the input and participation of as many members as possible.

6 INFORMATION ON THE RELATION BETWEEN THE PROPOSAL AND OTHER EXISTING DOCUMENTS

Codex has developed standards for other foods that cover this age range, including:

- Standard for Infant Formula and Formulas for Special Medical Purposes Intended for Infants (CODEX STAN 72-1981(Rev.2007))
- Standard for Processed Cereal-based foods for infants and young children (CODEX STAN 74-1981)
- Guidelines on formulated Supplementary Foods for Older Infants and Young Children (CAC/GL 09-1991)

7 IDENTIFICATION OF ANY REQUIREMENT FOR AND AVAILABILITY OF EXPERT SCIENTIFIC ADVICE

The Committee may seek expert scientific advice as needed from FAO and WHO in the area of infant and young child nutrition and suitable manufacturing of these foods.

8 IDENTIFICATION OF ANY NEED FOR TECHNICAL INPUT TO THE STANDARD FROM EXTERNAL BODIES SO THAT THIS CAN BE PLANNED FOR

A review of the Standard may require technical support and input, as needed by recognised international experts in the area of infant and young child nutrition and manufacturing of these products.
9 PROPOSED TIMELINE FOR COMPLETION OF THE NEW WORK

Subject to approval, the proposed time line for completion of the new work is as follows:

Endorsement of new work proposal by CCNFSDU and establishment of electronic working group to develop draft discussion document and draft revised standard

<table>
<thead>
<tr>
<th>Time Frame</th>
<th>Action</th>
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<tbody>
<tr>
<td>July 2013</td>
<td>Approval of new work by CAC</td>
</tr>
<tr>
<td>Between July and October 2013</td>
<td>Circulation for comments at Step 3</td>
</tr>
<tr>
<td>November 2013</td>
<td>Consideration of draft revised standard at Step 4 by CCNFSDU</td>
</tr>
<tr>
<td>November 2013 – November 2014</td>
<td>Consideration of draft standard and further work with technical experts and eWG and circulation for comments at Step 3</td>
</tr>
<tr>
<td>November 2015</td>
<td>Consideration of draft standard and advancement at Step 5</td>
</tr>
<tr>
<td>July 2016</td>
<td>CAC adoption of draft standard to Step 5</td>
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<tr>
<td>November 2016</td>
<td>Discussion of draft standard and advancement to Step 8</td>
</tr>
<tr>
<td>July 2017</td>
<td>Adoption of draft standard at Step 8</td>
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The revision and progression of work between sessions will be carried out through electronic/physical working groups to ensure timely development of the standard.