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Pires, Sara Monteiro; Boué, Géraldine; Boobis, Alan; Eneroth, Hanna; Hoekstra, Jeljer; Membré, Jeanne-Marie; Persson, Inez Maria; Poulsen, Morten; Ruzante, Juliana; van Klaveren, Jacob

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1	Risk Benefit Assessment of foods: key findings from an international workshop
2	Sara M. Pires <sup>1</sup> , Géraldine Boué <sup>2</sup> , Alan Boobis <sup>3</sup> , Hanna Eneroth <sup>4</sup> , Jeljer Hoekstra <sup>5</sup> ,
3	Jeanne-Marie Membré <sup>2</sup> , Inez Maria Persson <sup>1</sup> , Morten Poulsen <sup>1</sup> , Juliana Ruzante <sup>6</sup> , Jacob
4	van Klaveren <sup>1,5</sup> , Sofie T. Thomsen <sup>1</sup> , Maarten J. Nauta <sup>1</sup>
5	<sup>1</sup> Division of Diet, Disease Prevention and Toxicology, National Food Institute, Technical University of
6	Denmark, Lyngby, Denmark
7	<sup>2</sup> SECALIM, INRA, Oniris, Université Bretagne Loire, Nantes, France
8	<sup>3</sup> Faculty of Medicine, Department of Medicine, Imperial College London, United Kingdom
9	$^4$ Department of Risk Benefit Assessment, the National Food Agency, Uppsala, Sweden
10	<sup>5</sup> National Institute for Public Health and the Environment, Bilthoven, The Netherlands
11	<sup>6</sup> RTI International, Research Triangle Park, North Carolina, United States
12	
13	Corresponding author
14	Sara Monteiro Pires, DVM, PhD
15	Division of Diet, Disease prevention and Toxicology, National Food Institute, Technical University of

16

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Denmark. Kemitorvet, building 201. 2800 Kgs. Lyngby

Telephone: +45 40213489; Email: <a href="mailto:smpi@food.dtu.dk">smpi@food.dtu.dk</a>

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- 19 policy
- 20

#### 21 Abstract

22 Whilst risk management measures, including food policy, are developed for the protection of public health and 23 the environment, they may also lead to a reduction in health benefits. Policy decisions require then 24 consideration of these necessary trade-offs, which leads to an increasing need to apply formal risk-benefit 25 assessment (RBA) of foods. In this context, the European Food Safety Authority sponsored a Risk-Benefit 26 Assessment Workshop on "past, current and future developments within the risk-benefit assessment of foods 27 (RBA)" held in May 2017. The overall aims of the RBA Workshop were to discuss existing methods, challenges 28 and needs within RBA, and to draft a roadmap for future development of RBA. The specific objectives were to i) 29 identify RBA activities in Europe and globally; ii) discuss how to further develop and optimize RBA 30 methodology; iii) identify challenges and opportunities within RBA; and iv) increase collaboration internationally. The two-day workshop gathered 28 participants from 16 institutions in 11 countries. It included 31 32 technical presentations of RBA methods and case studies, and two break-out sessions for group discussions. All participants agreed that RBA has substantial potential to inform risk-management decisions in the areas of 33 34 food safety, nutrition and public health. Several activities to optimize further developments within RBA were 35 suggested. This paper provides a summary of workshop presentations, a discussion of challenges that limit 36 progress in this area, and suggestions of next steps for this promising approach supporting a science-based 37 decision process in the area of risk-benefit management of foods.

38

#### 39 1. Introduction

40 1.1. History of RBA of foods

41 Risk-benefit assessment (RBA) of foods is a relatively new decision-support tool that assesses the combined

42 beneficial and adverse health effects of consumption of foods in one integrated methodology. It integrates

knowledge on nutrition, toxicology, microbiology, chemistry and human epidemiology for comprehensive
health impact assessments. RBA is part of the Risk-Benefit Analysis paradigm that combines RBA, risk-benefit
management and risk-benefit communication, similar to the risk analysis paradigm (FAO, 2007). RBA is thus
useful to inform food safety policies or to provide dietary advice based on an integration of the available
scientific knowledge, with the ultimate aim of preventing food-associated diseases and promoting health and
wellbeing of consumers.

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50 Research to inform public health policies in the area of food and diets has been traditionally focused either on 51 food safety, i.e. assessing risks and implementing strategies to limit the presence of microbiological or chemical 52 hazards, or on nutritional assessments, i.e. assessing both risks or benefits of a lack or surplus of foods and 53 nutrients. RBA is a conceptual and practical shift from the separate assessment of risks or benefits, typically 54 within toxicology, microbiology and nutrition, to an integrated and multidisciplinary assessment of both risks 55 and benefits. International organizations such as the World Health Organization (WHO) and Food and 56 Agriculture Organization (FAO) have conducted RBA of foods to address risk-benefit questions (FAO/WHO, 57 2008, 2010). In the USA, several RBA studies have been performed on health risks and benefits of seafood 58 consumption (FDA, 2014; Gochfeld & Burger, 2005; Malden C. Nesheim and Ann L. Yaktine, 2007; Rheinberger 59 & Hammitt, 2012) Furthermore, the European Food Safety Authority (EFSA) started a discussion on RBA 60 methodology in 2006, and in 2010 launched a scientific opinion on Guidance on human health risk-benefit 61 assessment of foods (EFSA, 2006, 2010). Following these initial developments and discussions, important 62 research and progress within RBA has been performed, for example within European research projects like 63 BRAFO (Hoekstra et al., 2012), Qalibra (Hart et al., 2013), Beneris (Leino, Karjalainen, & Tuomisto, 2013), and 64 BEPRARIBEAN (H. Verhagen et al., 2012). In these projects, important steps have been taken to develop RBA 65 methodology, and first generation software tools were developed to facilitate RBA while taking relevant

66	uncertainties into account. In addition, a series of initial case studies was conducted (see e.g. Boobis et al.,
67	2013; Hart et al., 2013; Hoekstra et al., 2012; Hoekstra, Fransen, et al., 2013). These projects were also
68	important to identify main challenges and limitations of the implementation of RBA at that time. After the
69	termination of these EU projects, progress in RBA has been made by individual research groups, which have
70	addressed RBA questions in ad-hoc case studies in response to questions of food safety managers (Anonymous,
71	2017a; Eneroth, Wallin, Leander, Nilsson Sommar, & Åkesson, 2017; Steffensen et al., 2018) or to make further
72	progress in RBA method development (Berjia et al., 2014; Boué, 2017).



74 Several of the challenges identified as a result of the European RBA projects (Boobis et al., 2013) still remain, and 75 include data and knowledge gaps; methodological limitations; difficulties in aggregating/comparing risks and 76 benefits and in combining human data with data extrapolated from animal studies; lack of harmonization of 77 concepts; and complexities in communicating RBA results. Furthermore, new research questions and agendas 78 emphasize a need for assessments that include other societal impacts such as environmental, sustainability and 79 economic concerns, in addition to public health effects. Tackling these challenges and paving the way for further 80 development and implementation of RBA requires commitment and contribution of international experts in all 81 aspects of risk assessment, food safety and nutrition. International collaboration will be crucial for the 82 establishment and consolidation of RBA as a tool to evaluate scientific evidence to inform decision makers in 83 public health and food safety at national and international levels. Several research groups in different countries 84 are committed to further advance the field of RBA of foods, develop methodologies and provide evidence to 85 support risk-benefit management in food safety and nutrition at national and global level. Leveraging on these 86 research activities, EFSA sponsored a two-day workshop to gathered international RBA experts to pave the way 87 forward within the RBA area. This paper describes the structure, contents and overall conclusions of the workshop. It starts by providing a brief overview of the RBA process and methodology (section 2), describes 88 89 examples of current developments of RBA that were presented at the workshop (section 3), as well as the most 90 important challenges within the field (section 4), and presents the opportunities and suggestions for next steps 91 within RBA discussed by the experts (section 5).1.2. Workshop objectives and structure 92 The overall aims of the RBA Workshop were to discuss methods, challenges and needs within RBA and to draft 93 a roadmap for its future development. The specific objectives were to i) identify RBA activities in Europe and 94 worldwide; ii) discuss how to further develop and optimize RBA methodology; iii) identify challenges and 95 opportunities within RBA; and iv) increase collaboration internationally. The two-day workshop gathered 28

96 participants from 16 institutions in 11 countries in Copenhagen, Denmark, May 2017. Participants and their

97 affiliations are presented in the appendix 1. The workshop included scientific presentations sharing past and
98 current achievements in the area of RBA; break-out discussion sessions to identify challenges and to discuss
99 opportunities for further developments in terms of data collection; methodologies and expansion of the scope
100 of RBA to include other measures of impact; and an overall discussion to plan the future of RBA.

#### 101 **2.** Risk-benefit assessment process and methodology

102 The process of an RBA is similar to the process of a traditional risk assessment. First, the risk-benefit question is 103 defined by the risk manager, describing the purpose, scope and boundaries of the assessment including at 104 what level (component, food or diet) the assessment is performed. As part of the problem formulation, the 105 scenarios to be investigated are defined and the relevant subpopulations are identified. A reference scenario, 106 which is usually current exposure or consumption, is compared to one or more alternative scenarios. The 107 alternative scenarios serve to investigate the health impacts of a change in intake, and may be defined based 108 on for example a worst-case exposure scenario or a recommended intake. Next, the RBA process can be 109 divided into five steps, where the first four are common to the ones of traditional risk assessments but applied to risks and benefits separately (Boobis et al., 2013) (Figure 1). Lastly, risks and benefits are integrated to 110 111 answer the risk-benefit question. Hence, the RBA process includes i) the identification of adverse and beneficial 112 health effects associated with the consumption of food(s) and the exposure to food components considered; ii) 113 the assessment of food consumption or exposure to food components; iii) the characterisation of the relevant 114 health effects by determining the dose-response relationships for the food components or foods, describing 115 the association between exposure and likelihood of an effect; and iv) the characterization of risks and benefits 116 by integrating the information on dose-response relationships and the outcome of the exposure assessment. 117 The conclusion of the risk-benefit characterization (i.e. step v) can be that a change in intake scenario is 118 expected to lead to an increase or decrease in the incidence of the studied health effects. This conclusion may

119	be based on a qualitative assessment, stating that the health impact of one scenario is beneficial as compared
120	to another without giving an estimate of the size of the health impact, but it can also be a quantitative
121	estimate, expressing the health impact in terms of a common health metric such as incidence, mortality,
122	disability adjusted life years (DALY) or quality adjusted life years (QALY) (Gold, Stevenson, & Fryback, 2002;
123	Tijhuis et al., 2012). A quantitative assessment may be necessary if one scenario does not clearly stand out
124	more beneficial or adverse compared to another in the qualitative assessment (Tijhuis et al., 2012);
125	alternatively the aim of the RBA may be a quantitative outcome from the beginning.
126	RBA methods have evolved substantially over the years, allowing for improved evaluations of the health impact
120	Reality of the reality over the years, anowing for improved evaluations of the nearth impact
127	of foods. These developments have been equally evident in terms of data collection and analysis, and of
128	method development and modelling (see 3.). As examples, while the first RBA studies focused on one single
129	food (e.g. fish) (e.g Hoekstra et al., 2013; Skåre et al., 2015) or one single food component (e.g. folic acid
130	(Hoekstra et al., 2008)) and investigated risks and benefits in the population as a whole, recent work has taken
131	into account the health effects of substitution of foods in overall dietary patterns, or variation in the population
132	in terms of susceptibility or dietary preferences (see 3.2. and 3.3.). The technical session of the workshop
133	included presentations of past and present RBA case studies illustrating different approaches, some of which
134	are summarized below.

# **3. Current developments in quantitative RBA of foods**

**3.1.** RBA of single foods

138 The majority of published RBA in the area of food safety and nutrition focused on single foods (Berjia et al.,

139 2014; Eneroth et al., 2017; Hoekstra, Fransen, et al., 2013; Hoekstra, Hart, et al., 2013), with fish being most

140 frequently evaluated (Boué, Guillou, Antignac, Bizec, & Membré, 2015). These RBA studies aimed to assess the 141 overall impact of a food consumed while considering different levels of exposure and different factors affecting 142 human health related to the fields of nutrition and/or microbiology and/or toxicology. Although many RBA 143 performed recognize the broad impact of chemical hazards, nutrients and pathogens, most of them limited the 144 analysis to only a few. For instance, the first RBA studies addressing fish consumption balanced potential 145 nutritional benefits with chemical risks without considering potential microbiological effects, whereas another 146 study on cold smoked salmon considered microbiological risks and nutritional benefits (Berjia et al., 2012). Only 147 three out of more than 70 RBA studies included microbiological, chemical and nutritional concerns (ANSES, 148 2013; NAP, 2007; VKM, 2013), but these covered microbiology only with regard to hygiene practices 149 recommendations.

150 Until recently, several studies have made efforts to address the challenges of including all potential types of 151 risks and benefits of foods (Büchner, Hoekstra, & van Rossum, 2007; FAO/WHO, 2006; VKM, 2013), but none of 152 them were comprehensive by including the three fields of research, nor were they quantitative to enable 153 estimation of an overall health impact. A recent study that aimed to progress on RBA method development 154 focused on infant milk consumption during the first months of life, considering breast milk and powdered 155 infant formula (Boué et al., 2017). Methodological developments were investigated by taking into account a 156 limited selection of five agents relevant to the case study (Boué et al., 2017). The model was built to quantify 157 the risk of microbiological and chemical hazards (Cronobacter sakazakii, Cryptosporidium, dioxin like 158 polychlorinated biphenyls (dl-PCBs) and arsenic), and the benefit of nutrients (docosahexaenoic acid (DHA)) by 159 taking into account the variability in the population and data and model uncertainty (Boué et al., 2017). In 160 addition, to progress further on RBA methodological development, variability and uncertainty were studied 161 separately, using second-order Monte Carlo simulation.

162 This study's individual risk and benefit assessments components (microbiological, nutritional, and chemical) 163 involved the use of different methods, highlighting the difficulty of using a single harmonized approach. 164 Likewise, it was not possible to apply one common health metric for all health effects considered. Therefore, 165 the assessment ended with different output measures (e.g. exposure or DALYs), which hampered the 166 comparison of all health impacts in a single metric and thus restrained scenarios comparison. To overcome this 167 limitation, a scoreboard table was suggested, which also facilitated communication of RBA results while providing a transparent and comprehensive overview. The RBA model developed was the first fully three-168 169 disciplinary and quantitative RBA performed for a single food and highlighted that the integration of different 170 methods and the assessment and communication of variability and uncertainties are still some of the 171 challenges that have to be tackled.

#### 172 3.2. Health impact of substitution of foods

173 Changes in the intake of one food will lead to changes in the consumption of other foods, which will indirectly 174 affect the overall health impact of the food under study. If the intake of a food product is increased or decreased, it either leads to a change in overall food intake, or it is compensated by a change of the rest of the 175 176 diet. Hence, to obtain a more integrated and realistic assessment of the overall health impact of our diet, it is 177 essential to consider the whole diet and the potential substitution of foods. Thus far, few studies have 178 addressed food substitutions in RBA. Van der Voet et al. applied a probabilistic model to assess the health 179 impact of substituting 10-100% of red meat (beef/pork) with fish in the Dutch diet (van der Voet, de Mul, & van 180 Klaveren, 2007). The health impact was assessed in terms of probability of exposure being below the tolerable 181 daily intake (TDI) of hazardous substances (dioxin) and above the adequate intake of beneficial components (n-3 long-chain polyunsaturated fatty acids, DHA and eicosapentaenoic acid (EPA)). By estimating individual 182 183 probabilities, this approach allowed the authors to include variability of food consumption between consumers 184 into the RBA. Hollander et al. 2018 (Hollander, De Jonge, Biesbroek, Hoekstra, & Zijp, 2018) assessed

185 qualitatively the health effects of a gram for gram substitution of meat by fish, and Temme et al. 2013 186 investigated the effects of replacing dairy and meat by plant based products (Temme et al., 2013). 187 Substitutions on a nutrient level were also assessed as part of the BRAFO project, which included substitution 188 of saturated fatty acids with mono-unsaturated fatty acids, substitution of saturated fatty acids with 189 carbohydrates, and substitution of mono- and di-saccharides with low-calorie sweeteners (Hans Verhagen et 190 al., 2012). However, none of the RBAs reached a quantitative health impact estimate, either due to the lack of 191 a true risk-benefit question or inconclusive evidence. Others investigated the risk-benefit balance of 192 substituting added sugar in beverages with artificial sweeteners, in terms of either risk of exceeding established 193 reference doses (Husøy et al., 2008) or body mass index (BMI) (Hendriksen, Tijhuis, Fransen, Verhagen, & 194 Hoekstra, 2011).

195 Current work at DTU Food investigates the health impact of changing from the current Danish diet to a diet 196 that follows the Danish National Dietary Guidelines (Thomsen et al., 2018). The approach weighs nutritional 197 benefits against nutritional and toxicological risks, and accounts for the substitution of foods. The model is 198 based on a case study on substitution of red and processed meat with fish in the Danish adult diet. In this case 199 study, the observed individual mean daily fish intakes for all adult individuals (> 15 years) in the Danish 200 National Survey of Diet and Physical Activity are increased to 50 g/day as recommended in the guidelines (350 201 g/week). Using pre-defined substitution factors that take portion sizes and meal-specific differences into 202 account, a corresponding decrease in the intake of red and processed meat was modelled. Four substitution 203 scenarios addressing the impact of varying chemical and nutrient exposures on the final health impact were 204 investigated and the net health gain or loss of the substitutions was measured in DALYs. Other foods could 205 potentially be added to the model to reflect a more realistic substitution and the whole diet. The approach may 206 account for changes in energy intake associated with substitutions, as well as the health impact of these

changes. To our knowledge, this is the first quantitative RBA that uses DALYs as health metric whilst taking
substitution of foods into account.

209 3.3. Optimization of personalized dietary recommendations

210 Even though official dietary guidelines are developed to motivate the population to follow healthy food 211 consumption patterns, repeated national surveys have shown that most individuals do not meet the intakes 212 recommended by the food and health authorities (Pedersen et al., 2010; Tetens et al., 2013). To investigate 213 how to inform dietary advice that has a higher adherence by individuals, recent studies have applied 214 mathematical optimization techniques to propose personalized intake recommendations (Maillot et al., 2009; 215 Maillot, Vieux, Amiot, & Darmon, 2010; Persson et al., 2018). Personalized recommendations may be perceived 216 as more relevant, because they can account for individual preference, needs, and beliefs (Brug, Campbell, & 217 van Assema, 1999).

218 In a case-study on consumption of fish in the Danish adult population, quadratic programming models were 219 applied to generate personalized fish intake recommendations fulfilling pre-defined criteria in terms of intake 220 recommendations for EPA, DHA, and vitamin D and tolerable intake levels for methyl mercury, dioxins, and dl-221 PCBs, while simultaneously deviating as little as possible from observed individual intakes (Persson et al., 222 2018). Such an approach has the potential to increase compliance with dietary guidelines by targeting the 223 individual consumers and minimizing the need for large and potentially unrealistic changes in consumption 224 patterns. The output is a range of intakes for different fish species that can be proposed as a personalized 225 recommendation for each individual in the population.

The approach of optimization of a single food recommendation can be improved by taking into account individual exposures to nutrients and contaminants from other sources than the food of interest, which enable refined minimum and maximum exposure criteria. The approach can also be used to optimize whole diets

229 (Barre et al., 2016; Maillot et al., 2009, 2010). Environmental or other specific individual background exposures 230 may still require consideration in both cases. Current research at DTU Food analyses the impact of individual 231 exposures due to foods other than fish, dietary supplements and the environment, by expanding the case study 232 of fish intake in Denmark (Persson et al., 2018) with individual data on this background exposure. Lastly, the 233 optimization approach can be expanded to include other food-related issues beyond public health, such as 234 sustainability (Horgan, Perrin, Whybrow, & Macdiarmid, 2016; Kramer, Tyszler, Veer, & Blonk, 2017), economic 235 impact (Darmon, Ferguson, & Briend, 2002; Maillot, Vieux, Delaere, Lluch, & Darmon, 2017) or both (Van 236 Dooren, Tyszler, Kramer, & Aiking, 2015)

## 237 4. Current challenges within RBA

Although significant progress has been made in the development of RBA, several challenges remain (Maarten J. 238 239 Nauta et al., 2018). RBA has to face challenges of traditional risk assessment in the different disciplines, which are not specific for RBA, i.e. challenges related to data availability, variability between groups of consumers and 240 241 individuals, strength of evidence and uncertainty in the dose response. In addition, there are challenges in 242 defining how uncertainties should be presented to policymakers and the general public, and what guidance can 243 be given to help policymakers make decisions based on uncertain evidence. Because of the parallel streams 244 assessing adverse and beneficial impacts of foods or components, RBA faces additional challenges, including 245 the integration of diverse data sources (e.g. from experimental animal studies and human epidemiological 246 studies); heterogeneity of information between risks and benefits, classification of approaches for different 247 types of risk-benefit questions (i.e. focusing on foods, food components or diets); scenario development 248 including relevant policy options; and selection of metrics to evaluate and compare risks and benefits. Lastly, 249 there are also challenges related to the current need to incorporate more than just health risks and benefits 250 (e.g.: sustainability and economic consequences) to allow policymakers to make better informed decisions, and

the consequent requirement to further develop methodologies and approaches to perform those "expanded RBA". During the workshop, two categories of challenges were discussed in working groups, those related to "health RBA" and those specific to "expanded RBA".

#### 4.1. Challenges related to RBA of health impact of foods

#### 255 Aligning the Risk-Benefit question and the methodological approaches

256 The formulation of a risk-benefit question precedes the RBA and is of crucial importance to ensure that the 257 RBA is focused, fit for purpose, and well-structured (Boobis et al., 2013; Hoekstra et al., 2012). The risk-benefit 258 question will guide the choice of the RBA methodology and also the choice of risk-benefit metric. It is usually 259 the risk-benefit manager that asks the RBA question, refined as necessary in dialogue with the risk-benefit 260 assessors. Risk-benefit managers may be regulatory agencies such as national governments. However, policy 261 makers with focus in the various aspects of food are often scattered in different regulatory bodies, with distinct 262 interests, areas of action and potentially RBA questions. In addition, food companies and consumers may also 263 have the "risk-benefit manager role" and will have different interests for such assessments. As an example, 264 regulatory bodies may be primarily interested in defining safety criteria, priority setting and public health, 265 whereas consumers may have more interest in their personal dietary choices and the anticipated health 266 impacts of these choices. Hence, a broad range of risk-benefit questions and objectives are possible. For 267 example, RBA may want to consider different levels of aggregation (e.g. a food component, food product or the 268 whole diet), or the objective may be to compare specific scenarios and/or sub-populations to assess if the risk 269 exceeds the benefit or vice versa (Hans Verhagen et al., 2012). The goal may also be to identify the most 270 advantageous intake scenario (Berjia et al., 2014), or to provide a quantitative estimate of the overall health 271 impact. RBA can include only health effects or be "expanded" to include non-health factors such as economy, 272 sustainability and consumer preference (Ocké MC, Toxopeus IB, Geurts M, Mengelers MJB, Temme EHM, 2017;

Juliana M. Ruzante, Grieger, Woodward, Lambertini, & Kowalcyk, 2017; Seves et al., 2016; Temme et al., 2013;
van de Kamp, Seves, & Temme, 2018).

275 Development of guidance on the approaches that can be adopted for different types of risk-benefit questions 276 would facilitate the framing and the performance of RBA, and would support methodological harmonization in 277 the future. Depending on the type of question, such guidance could for example assist in the selection of food 278 components and foods as well as the health effects to be included in the RBA, and point out when quantitative 279 approaches are needed. In general, clear and continuous communication between risk-benefit assessors and 280 risk-benefit managers about the risk-benefit question and the methodological approach of choice is of crucial 281 importance to ensure *fit for purpose* RBA.

### 282 Variability between groups of consumers and individuals

The inherent differences between individuals may lead to the risks and benefits differing between individuals and certain subpopulations (e.g. children, pregnant women, elderly). If this variability is ignored in RBA, certain (groups of) vulnerable individuals suffering from higher health risks may be ignored in its conclusions, even if an intake scenario, on average, is beneficial for the population. However, inclusion of variability demands knowledge on potential differences in health effects between groups of consumers and individuals, and this knowledge may not be available. Also, it increases the complexity of the RBA.

Variability is for example a concern for decisions on fortification, such as folic acid fortification of bread and iodine fortification of salt. This fortification may be considered beneficial for the majority of the population, or beneficial as expressed by overall population health gain, but may have negative health effects for subgroups (Hoekstra et al., 2008). Food policies such as fortification may lead to (health) winners and losers and it is an ethical political question whether such a policy should be implemented. However, it is the responsibility of the risk-benefit assessor to inform the policy maker of the effects on different subpopulations. Due to this different susceptibility among the population groups, the application of folic acid fortification is still debated (Eckner,
Bjørn, Lunestad, & Rosnes, 2014). Taking the variability into account is crucial in RBA and can reveal population
groups that are at high risk or that will gain large benefit. It enables evaluation of the effect of specific
interventions (i.e. assessing which groups gain the largest benefit and which population group might
experience a health loss due to the intervention), thus enabling better informed policy decisions (Hart et al.,
2013; Hoekstra, Hart, et al., 2013).

There are different levels at which the variability can be assessed in RBA. First, the entire distribution of exposures within the population can be used instead of a mean exposure estimate (Hart et al., 2013). This has been addressed by different methods in previous RBAs (Hart et al., 2013; Hoekstra, Hart, et al., 2013; van der Voet et al., 2007). Second, if detailed population statistics are available, variability between sub-population groups can also be taken into account explicitly. In such cases, RBAs are performed for each sub-population group and results are compared.

307 Risk-Benefit comparison metrics

308 There are several health metrics that can be used in RBA. Fransen et al (2010) divided risk-benefit comparison 309 metrics into three categories: single outcome (e.g.: disease incidence, mortality); integrated (or summary) health (e.g.: DALY and QALY); and economically oriented measures such as WTP (willingness to pay). The choice 310 311 of metric will depend on the type of question being asked by the risk-benefit manager and the complexity of 312 the evaluation being done. For instance, in a situation where different components affect the same endpoint in 313 an individual both positively and negatively, a net effect for the health outcome can be calculated, and 314 integrated measures might not be needed (Fransen et al., 2010; Zeilmaker et al., 2013b). However, it is often 315 the case that risk-benefit questions are more complex and involve multiple health effects, including different 316 health effects for hazards and benefits, and therefore summary population measures such as disability

adjusted life year (DALY) can be helpful. For this reason, we focused our discussions during the workshop on
the use and challenges associated with integrated measures, more specifically DALY.

319 In recent years, the DALY has been frequently used in quantitative RBA as it is able to aggregate both mortality 320 and morbidity measures associated with several health outcomes (Murray, 1994). It is the metric of choice for 321 the Global Burden of Disease studies (Anonymous, 2017b), and has been shown to be a valuable instrument for 322 risk ranking of foodborne hazards (Havelaar et al., 2012, 2015). It has also been applied in RBA studies to 323 summarize the overall health impacts of foods (Berjia et al., 2014; Eneroth et al., 2017; Hoekstra, Fransen, et 324 al., 2013; Hoekstra, Hart, et al., 2013). While a single DALY estimate is usually the final estimate in burden of 325 disease studies, the difference in DALYs between a reference and an alternative scenario ( $\Delta DALY$ ) has been 326 used as the final estimate of RBA studies (Eneroth et al., 2017; Firew Berjia, Andersen, Hoekstra, Poulsen, & 327 Nauta, 2012).

328 Several limitations of the DALY have been identified, both in terms of how the metric is communicated and 329 perceived, and in the assumptions behind the method. Underlying the DALY metric is the idea that many 330 people suffering from a mild disease is as bad as few people suffering from a severe disease. The DALY provides 331 an expected value for the population and does not clearly reflect the two dimensions used for its calculation: 332 the probability of effect for individuals in the population and the severity of these effects. As an illustration, 333 consider a population of 100,000 people with a remaining life expectancy of 20 years, where all individuals get 334 infected by a pathogen. If the single effect of this infection is a probability of immediate death of one in a 335 million (0.0001%), this yields a loss of 100,000 \* 0.000001 \* 20 = 2 DALYs. If the single effect is that 10% of the 336 people get 1 day of mild diarrhea, with severity weight 0.074 (Salomon et al 2015), this also yields a loss of 337 100,000\*1/365\*0.074\*0.1 = 2 DALYs. Despite the same DALY estimation, the two scenarios are clearly 338 different: in the first case, it is most likely that none of the 100,000 people involved will suffer from anything; in 339 the second case, 10% of the people get ill, so around 10,000 people will be affected. If risk managers are only

informed about the 2 DALY and not about this difference (about 10,000 ill people versus maybe one death),

they may base their decisions on incomplete information. Hence, the advantage of an integrated metric, i.e.

that it summarizes complex issues into one figure allowing direct comparison of multiple risks and benefits,

343 may also be a disadvantage if improperly used or misinterpreted. Care should therefore always be given to

344 presenting all of the relevant underlying information (such as the basic assumptions and estimates of

345 incidence, mortality and attending uncertainty) to the decision makers. Likewise, because multiple health

346 outcomes may be considered in the total DALY estimate, the impact on the net health of one subgroup may be

347 clearly greater than for another subgroup in the population. Again, an example would be folic acid fortification

in which one group benefits whereas another group experiences the risks (Hoekstra et al. 2008).

Quality adjusted life years (QALY) were not the focus of the discussions, but have also been used as integrated measures in RBA (EFSA, 2006; Ponce et al., 2000). QALY has similar advantages and disadvantages as the DALY and is also part of the Qalibra software tool (Hart et al., 2013).

**352** The strength of evidence and uncertainty

Weighing and integrating evidence represents a substantial challenge because RBA involves various individual risks and benefits assessments, for which the current scientific strength of evidence might be different (Dorne

et al., 2016). Consequently, evidence for each health is collected from different types of studies (e.g.

356 epidemiological and toxicological studies). To date, all lines of evidence considered in RBA are reported only

357 qualitatively, as advised by the EFSA guidance on RBA and the BRAFO approach (EFSA, 2010; Hoekstra et al.,

358 2012). This qualitative integration does not allow for integrating the strength of evidence in the final output of

359 quantitative RBA (e.g. DALY), which introduces an additional source of uncertainty.

The criteria for minimum weight of evidence are different in toxicology and nutrition. In general, the evidence
 accepted to refer to a toxicological hazard as "hazard" may be much weaker than the evidence needed to refer

362 to a benefit as "benefit". In risk assessment, it is likely that a precautionary approach will be applied if there are 363 indications of a potential risk, even if the evidence is weak (Boobis et al., 2013; Hoekstra, Hart, et al., 2013; M.J. 364 Nauta et al., 2018; Tijhuis et al., 2012). In contrast, claims for beneficial or adverse health effects of a food or 365 nutrient need to be supported by convincing scientific evidence before they are acknowledged (Boobis et al., 366 2013). If the established criteria for inclusion of adverse and beneficial health effects are used, toxicological 367 risks with a low level of evidence may be more likely to be included than nutritional benefits with the same low 368 level of evidence., This may lead to a skewed RBA. For example, the relative risk of colorectal cancer from 369 folate supplements is around 1, with an upper 95% confidence interval of around 1.2, but as high as 1.7 is some 370 studies (see (SACN, 2017)). The relative risk of a neural tube affected pregnancy is 0.29 after folic acid 371 supplements, with 95% CI of 0.12-0.71 (MRC Vitamine Study Research Group, 1991), An approach to assess an upper bound risk of up to 77% increased incidence from a non-significant risk against a significant benefit of a 372 373 70% reduction, on average, in NTDs is still not available. This is clearly an area of RBA that needs further 374 development, such that risks and benefits can be weighted in some way for the respective levels of evidence

375

376 The characterization of the risks and benefits (i.e. the estimated health impact) is not necessarily affected by 377 this discrepancy, unless uncertainty factors that address the high uncertainty for low level evidence effects are 378 included in the dose response. However, if effects with a low level of evidence i.e. high uncertainty of 379 occurring, but potentially high health impact are ignored, the assessment could give a misleading suggestion. 380 Therefore, in communication with policymakers or risk managers, it is important to clearly address the 381 intentions of the RBA, and carefully demonstrate the assumptions in the inclusion and exclusion criteria of adverse and positive health effects and their level of evidence. RBA should not be misused to play down health 382 383 risks associated with foods, nor should it overemphasize or ignore potential health benefits. This implies again 384 that transparency is of crucial importance for RBA, and that communication is an essential component of the

RBA process. Ultimately, it is the RBA manager that is responsible for the policy decision, and to support this decision, it is the role of the RBA assessor to provide all relevant information, including an assessment of the uncertainties, in as clear and transparent manner as possible, to support this.

388 Within RBA, strength of evidence is closely connected to the uncertainty assessment, which expresses the 389 belief in the obtained results. Uncertainties are propagated for example via the derived dose-response models 390 to the final DALY estimate and may, if not quantified, lead to misleading conclusions (Benford et al., 2018). This 391 stresses the need for quantification, or at least a qualitative assessment, of uncertainties in RBA (Hart et al., 392 2013). For RBA, the EU project Qalibra has developed a tool to include uncertainty in stochastic quantitative 393 models (Hart et al., 2013). The methodology of uncertainty assessment is still in development, it is not specific 394 to RBA but inherent to any science-based decision: the lack of knowledge generates imprecision in the results. 395 The impact of this imprecision has to be assessed before making decision. Sensitivity analysis is a powerful 396 technique to assess this impact (Saltelli, 2002). In particular, it helps prioritizing additional data collection or 397 research. However, when quantification is not possible, reporting a qualitative expression of uncertainty is still 398 important as advised in the BRAFO tiered approach (Hoekstra et al., 2012) and illustrated in (Hoekstra, Hart, et 399 al., 2013) and (Boué, 2017).

400 Uncertainty in the dose response

One of the major sources of uncertainty in RBA is the relationship between intake of a food or food component and a health effect. The ideal scientific studies to establish causality between exposure to a component and a health effect are randomized control trials with human participants. However, these are often not feasible for ethical and/or economic reasons. Other types of studies, such as (human or animal) observational studies that may reveal associations between intake of food components, contaminants, foods and diets and the likelihood of a health effect, may be used alternatively. Systematic reviews and meta-analyses of all available epidemiological evidence (e.g. derived by longitudinal cohort studies), which are suitable for ensuring a higher

level of evidence compared to using single studies available, are commonly used to describe the change in risk
of health effects associated with dietary patterns and chronic exposure to chemicals (e.g. (Aune et al., 2015;
Aune, Ursin, & Veierød, 2009; Hoekstra, Hart, et al., 2013)). Data from animal studies may be used to establish

411 dose-response relations for chemical hazards, preferably supported by epidemiological studies.

412 For establishing the dose response relation, different types of evidence may be used in toxicology,

413 microbiology and nutrition. Specifically in microbiological risk assessment, animal experiments are often not 414 informative to establish a dose response relation, because the response to exposure to human pathogens is 415 not comparable between humans and animals. The evidence often originates from either experimental studies 416 with human volunteers, usually healthy young people that are not representative for the whole population 417 (Teunis, Nagelkerke, & Haas, 1999), or outbreak studies that typically involve the more virulent strains or more 418 vulnerable people (Teunis et al., 2010). In nutrition, whilst some data may be available from controlled clinical 419 studies, more often reliance is on observational human epidemiological studies, which demand advanced 420 statistical analysis, and interaction and confounding plays an important role: as only association can be studied, 421 the evidence for causal relations may be weak (Tijhuis et al., 2012). In toxicological risk assessment, 422 extrapolation/uncertainty factors are used to account for intra-species differences, and interspecies differences 423 when translating observations from animal experiments into anticipated human health effects (van der Voet & Slob, 2007). . Another challenge is that adverse effects observed in animal studies may not be easily translated 424 425 into human disease. Similarly, extracting the time of onset of a disease can be difficult, often requiring 426 debatable assumptions. Examples of how in some cases exposure to chemicals is converted in DALYs can be 427 found in (Gibb et al., 2015; Hoekstra, Hart, et al., 2013; Zeilmaker et al., 2013a).

The difference in methods for deriving dose response relations in RBA may be associated with different biases and systematic errors, and the attending uncertainties are of a different nature. Within a research discipline,

430 these biases and errors may be relatively unimportant when risks or benefits that are derived by the same

431 methods are compared. But in RBA these differences may have a large impact on the output of the RBA.

432 Currently, no established methods are available to overcome these differences. Performing a sensitivity

433 analysis to highlight which sources contribute more to the overall uncertainty is recommended.

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#### **435** *Data availability*

436 The availability and quality of data is a common challenge in RBA, just as it is in traditional nutrition and risk assessments. Previous reviews have identified a number of data needs and general challenges, and most of 437 these still remain (Boobis et al., 2013; EFSA, 2010; Maarten J. Nauta et al., 2018). There are different types of 438 439 data to consider: data on food consumption, levels of nutrients and contaminants in foods, microbial 440 contamination of food, background data on human disease (e.g. incidence, disability weights, pattern of 441 disease progression), and dose-responses relationships. Food consumption data may be available from national 442 dietary food surveys, which have been expanded and improved continuously (e.g. (ANSES, 2017; Pedersen et 443 al., 2010)), but it may be difficult to compare them between countries, due to differences in their design. Regional databases such as the EFSA Comprehensive Food Consumption Database and harmonization guidance 444 445 (e.g. the EFSA's general principles for the collection of national food consumption data in the view of a pan-446 European dietary survey, known as the EU Menu) are a valuable resource to overcome these limitations and 447 ensure comparability (EFSA, 2011, 2014b). National food databases usually include information on nutrient 448 content of foods, but national monitoring data on the concentration of contaminants in foods may not be 449 available. Data from which dose-response relationships can be constructed are crucial to enable risks and 450 benefits to be estimated quantitatively. The type of data and source of information greatly differ between 451 microbiology, toxicology, nutrition, and epidemiology; and between foods, food components, and 452 contaminants. If using an integrated metric such as the DALY to compare risks and benefits, data on life 453 expectancy, disability weights and duration associated with the different health effects are needed

454 (Devleesschauwer et al., 2014; Hart et al., 2013). These data are specific to the sub-population of interest but 455 rarely available at the national level. In addition, even though substantial amounts of data were published, 456 these may be available in different formats or not directly suitable for use in RBA. Increased efforts to establish 457 available, transparent and easily accessible database(s), with suitable contextual information i.e. the metadata, 458 are needed to fill these data gaps for RBA. If observational or experimental data are lacking, another option is 459 to gather information through expert elicitation (Cooke, 1991; EFSA, 2014a; EPA, 2009). This technique is 460 already used in microbial risk assessment (Albert et al., 2012; Pujol, Johnson, Magras, Albert, & Membré, 2015; 461 Van der Fels-Klerx, Cooke, Nauta, Goossens, & Havelaar, 2005) and more generally in food safety (Hald et al., 462 2016).

463

#### 464 **4.2. Challenges related to RBA including non-health related impact**

465 RBA research has so far built on the principles of risk analysis for food safety, where the end-point is the human 466 health impact of food intake scenarios. However, decision makers must take into consideration factors other 467 than human health when making policy decisions (FAO/WHO, 2011; FAO, 2017). Thus, what the risk benefit 468 manager needs is a comprehensive understanding and a way to consider and balance the health impacts of 469 changes in food intake with effects on other factors such as sustainability, consumer preferences, the 470 economy, and societal values. For clarity, the question whether other disciplines should be included in the RBA must be included in the risk-benefit question. Often, this question is in line with the general interests of 471 472 society, e.g. discuss how risk and benefits are balanced in other disciplines, including pharmaceutical drugs (H. 473 Verhagen et al., 2012). There is consensus that, in the longer-term, RBA based only on health will not be 474 sufficient to address risk management and societal questions, and including non-health factors is inevitable and 475 necessary. This need is not unique to RBA and has been thoroughly discussed in different food-related policy 476 areas such as food safety, agriculture, the environment and nutrition (Anonymous, 2018; FAO, 2017). Clear

477 priorities need to be identified at national and international levels in order to make best use of finite resources, 478 and to ensure that decisions to ensure food safety do not negatively impact on other dimensions essential for 479 development, e.g. trade, economics, food security, tourism, social well-being (FAO, 2017). An integrated 480 approach requires an interdisciplinary procedure as well as exchange of data from the different disciplines 481 involved. Bringing together data on safety (e.g. contamination), health aspects (e.g. nutrient composition), 482 sustainability indicators (e.g. land use) and other characteristics (such as price) concerning the same products is 483 important in order to facilitate interdisciplinary research. However, adding such factors makes the analysis 484 more complex, potentially less transparent and harder to be updated as new data becomes available. Also, it 485 increases the number of stakeholders involved, and requires a methodology in which those effects can be 486 transparently weighted and compared. Multi-criteria decision analysis (MCDA) has been designed to address such complex decision problems, while making the analysis transparent and systematic. MCDA has been used 487 488 in innumerous fields from emerging technologies (Bates et al., 2016) to establishing priorities for foodborne illness (Juliana Martins Ruzante et al., 2010). It is a robust decision analysis tool that integrates different factors 489 490 (i.e. criteria), while considering the preference and values of policy makers as well as stakeholders (FAO, 2017). 491 MCDA has been used to balance risk and benefits of pharmaceutical drugs (Hsu, Tang, & Lu, 2015; Tervonen, 492 van Valkenhoef, Buskens, Hillege, & Postmus, 2011), emerging technologies (Tsang, Bates, Madison, & Linkov, 493 2014), and just recently a framework was proposed describing how it could be applied to foods (Juliana M. 494 Ruzante et al., 2017). The challenges associated with incorporating other factors relevant to policy decision 495 besides the typical RBA will not be related directly to the application of MCDA, but rather with the different 496 magnitudes of uncertainty and the data availability to characterize those other factors. The field of medical 497 products and drug development is more advanced in this area than food and nutrition, and has guidelines to 498 gather and incorporate patient's perspective into their RBA analysis of future drugs (FDA, 2013; Nixon et al., 499 2016), which can be used as an example for RBA of foods.

500 At the workshop, sustainability was mentioned as being on the shortlist of aspects to include in the RBA. 501 However, sustainability is not easily quantified by a single indicator. Several indicators in the area of food exist, 502 such as greenhouse gas emission, water use, biodiversity, and others (Agovino, Cerciello, & Gatto, 2018; 503 Chaudhary, Gustafson, & Mathys, 2018; Dora et al., 2015; Hallström, Carlsson-Kanyama, & Börjesson, 2015; 504 Horgan, Perrin, Whybrow, & Macdiarmid, 2016; van Wagenberg et al., 2017). The choice for the most suitable 505 indicator and/or weighing between them must be made depending on the assessment. Economic factors and 506 consumer preferences were mentioned as other aspects that are important in a food policy assessment. 507 Sustainability factors have been incorporated in some studies (e.g. (Donati et al., 2016; Masset, Soler, Vieux, & 508 Darmon, 2014)). In another example, Temme et al. 2013 investigated the health and sustainability effects if 509 meat and dairy were to be replaced by plant derived foods. Health effects were expressed as saturated fatty 510 acid (SFA) and iron (Fe) intake in women, and sustainability was expressed as land use. An integrative metric 511 was not necessary as all indicators pointed in the same direction: replacement of meat and dairy foods by 512 plant-based foods reduced land use for food consumption, and SFA intake of young females and did not 513 compromise total Fe intake. Seves et al. 2015 examined the health and sustainability effects of the 514 consumption of different fish species. Sustainability was measured by land use (by fish farms) and greenhouse 515 gas emission, and having a sustainability label which was partly a measure for overfishing. The health benefits 516 were expressed by the EPA and DHA (fish oil) content of the fish species. The study concluded that herring and 517 salmon (cultivate and wild-caught with ASC/MSC logo) are species favorable in terms of beneficial for health 518 and the environment. In 2017, RIVM published a large study involving the current and future Dutch diet (Ocké 519 MC, Toxopeus IB, Geurts M, Mengelers MJB, Temme EHM, 2017) that attempted to disentangle and analyze 520 the integrated complexity of safe, healthy and sustainable diets. It analyzes the population's diet according to 521 microbial and chemical safety, nutritious value, cost, consumer preference, future trends in production, and 522 sustainability factors. Ocké et al. (2017) discovered that the trio of safety, health and sustainability is not

523 enough when it comes to the actual behavioral motives related to food. Consumer motives like convenience, 524 enjoyment and cost, as well as prosperity motives like employment and export and ethical issues like animal 525 welfare are also involved. These are all issues that carry weight individually and in society. The report is 526 concentrated on safe, healthy and sustainable diets without disregarding these other motives. Three extreme 527 scenarios were developed qualitatively, focusing on safety, health or sustainability. The scenarios were 528 analyzed and scored by exerts with a systematic group decision-support method. An attempt was made to use 529 an MCDA method to weigh different scenarios (Ocké MC, Toxopeus IB, Geurts M, Mengelers MJB, Temme 530 EHM, 2017; Saaty, 1994). Although the method proved promising, due to the uncertainties in quantifying 531 underlying sub-criteria of indicators for sustainability, food safety and health, it was not possible to make the 532 (subjective) weighing of the different aspects transparent and the final outcome was not used. Nevertheless, using expert-judgement and semi-quantification, the report concludes that opportunities to combine safety, 533 534 health and ecological sustainability in an integrated food policy exist.

535

#### 536 4.3. Communication of RBA results

The area of risk communication has been growing and has made great progress in better understanding
consumer behavior, and how risk is perceived (Frewer et al., 2016). Despite remaining challenges and
limitations, stakeholders are now better equipped to communicate risks to consumers. Under the risk-analysis
paradigm, risk assessors have also made progress in communicating with risk managers and other stakeholders
before, during and after a risk assessment is conducted and results are published. In most areas there is a
demand for decisions to be transparent, and engaging with stakeholders early-on is key.
Communicating RBA messages is more complex than communicating risks or benefits separately. On one hand,

the way risk is perceived is very different of how benefit is perceived by consumers. On the other hand,

545 because the overall process incorporates (at least) those two components' analyses, and their integration, the 546 data, the uncertainty around it and the assumptions are more difficult to be described, which could potentially 547 add confusion. It is important to understand the target population and establish trust by working in close 548 collaboration with stakeholders and social scientists specialized in risk communication. More research is 549 needed to understand consumer's trade-offs and values when it comes to risk and benefits of foods. Rideout 550 and Kosatsky (2017) argue that also other factors than risks and benefits associated with physical health should be assessed when developing advice for specific populations (Rideout & Kosatsky, 2017). They suggest other 551 552 factors to weigh in addition to health risks and benefits, such as socioeconomic and sociocultural factors, and 553 to apply e.g. health impact assessment to evaluate external impacts of a consumption advice or policy (such as 554 substitution of foods), and other qualitative tools for development of more comprehensive and effective 555 advice.

556 In addition, it is crucial that the results and methods of RBA studies are transparent and that uncertainty, when 557 possible, is taken into account and reported with the results. Likewise, it is important that the level of evidence 558 for all effects is considered, and that the limitations in available data and assumptions made are communicated 559 with the results. Especially when RBA studies are made for methodology development purposes, particular 560 care should be taken in how any preliminary results are communicated, if they do not reflect a definitive RBA. 561 Moving towards an optimal communication of RBA results to all stakeholders requires a closer collaboration 562 with social scientists. While these needs were considered and emphasized at the workshop, communication 563 tools were not the scope of the discussions.

## 564 **5. Opportunities and way forward**

As a last step, the participants of the workshop discussed the practical way forward to take RBA to the next stage. Building on the challenges and opportunities identified, a number of needs and practical suggestions were presented. In addition, activities that promote collaboration and integration of research efforts were puton the agenda for a RBA Network formally launched at the event.

569 It was generally agreed that the discussions on needs, methods and challenges should now be followed by the 570 development of case studies, in which the identified challenges are addressed. Two options were identified: to 571 develop new cases using the tools and frameworks that are now available; to re-open cases that have been 572 performed previously, and apply new data and new methods to test the improvements that can be made and to evaluate their robustness. Examples include probabilistic approaches that allow for the assessment of 573 574 variability and uncertainty and models that take substitution of foods into account. These case studies can also 575 be applied to compare different health metrics (in parallel to the DALY). The latter should preferably be 576 followed by research on the perception and communication of these different metrics to different 577 stakeholders.

A categorization of RBA studies will be advantageous, for example by comparing the level of aggregation of the RBA (on food components, foods or diet), the risk-benefit question (which scenarios are to be compared, which consumer groups are included, what food components and contaminants associated with potential health effects are included), whether there is a need for a quantitative and/or stochastic approach, etc. (see section *Aligning Risk-Benefit question and methodological approaches,* section 4.1.). Ideally, these case studies would be performed by different research groups, and a platform to share and discuss their assessments should be created.

Another generally recognized challenge within RBA is the availability of data (section 4.1). To harmonize RBA internationally and to facilitate the application of RBA by national and international risk and benefit managers, it is important to establish and maintain shared databases with dietary intake data, concentration data on nutrients and contaminants, dose response data, data from observational studies and health data. These

databases should be transparent and easily accessible, and setting up and maintaining such a database(s)
would be a community effort that requires broad international support.

In Europe, EFSA might expand its role as curator of such databases. RBA research groups should provide input to EFSA and other data providers on data needs. Furthermore, EFSA is already taking initiative to lead discussions on current challenges of the integration of evidence with very diverse and not readily comparable underlying evidence bases, and motivate stakeholders to address them (EFSA, 2018). Again, this should be a collaborative effort with broad international support.

596 As the challenges associated to RBA are complex, expertise required are numerous and the data needs are 597 large, the workshop participants concluded that intensive international collaboration is a prerequisite for the 598 development of this novel discipline. Formalizing an RBA international network will facilitate all future activities 599 discussed and proposed in the workshop, and will help partners in consolidating and further developing current 600 activities. Ideally, such a platform should be formed within a European or global international project, to 601 ensure that harmonized approaches can be developed, and that these build on consensus in the international 602 scientific community and can serve as a basis for global decision making. Due to the unique multidisciplinary 603 character of RBA, it may be challenging to identify scientific associations and funding bodies that cover all its 604 scientific and societal aspects. Still, networking initiatives can be established, for example via research 605 applications and, at international level, with symposia organized at scientific conferences. With this in mind, 606 participants have decided to launch the International Network for Risk-Benefit Assessment of Foods. The 607 network is to be chaired by DTU Food and will be open to any group or individual with an active interest in the 608 area. Among other overall goals, this network will serve as a forum for continuation of the discussions here described. 609

Overall, the workshop participants agreed that RBA is a promising and highly relevant research area that
 deserves increased attention worldwide. Because the broad range of public-health activities associated with

- foods and diets brings a high degree of complexity to policy development and a need to involve various
- 513 stakeholders to ensure synergy, international bodies such as the FAO have stressed that 'policy coherence'
- 614 across ministries is key (FAO, 2017). RBA approaches, particularly when expanded to include non-health related
- 615 impacts, can be a powerful tool to assist risk-managers defining policy that achieves the best societal
- 616 outcomes.
- 617 RBA ultimately may show how integration of a variety of scientific disciplines and approaches can be used to
- 618 address specific and general policy questions, and serve governmental regulatory bodies, food industry and
- 619 individual consumers alike.

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## 955 Appendix 1: List of participants and affiliations

Participant name	Affiliantion
Alan R Boobis	Imperial College London, UK
Bernhard Watzl	Max Rubner-Institut, Germany
David Senaeve	University of Ghent, Belgium
Didier Verloo	EFSA
Florent Vieux	MS-Nutrition, France
Géraldine Boué	ONIRIS - INRA Secalim, France
Hanna Eneroth	National Food Agency, Sweden
Hans Verhagen	EFSA
Helga Gunnlaugsdottir	Matis ltd., Island
Inger Therese L. Lillegaard	VKM, Scientific Committee for Food Safety, Norway

Jacob van Klaveren	RIVM, The Netherlands
Jean-Luc Volatier	Anses, France
Jeanne-Marie Membré	INRA Secalim, France
Jeljer Hoekstra	RIVM, The Netherlands
Johannes Kruisselbrink	Wageningen University, Biometris, The Netherlands
Juliana Ruzante	RTI International, US
Kim Petersen	WHO/FOS
Marco Zeilmaker	RIVM, The Netherlands
Matthias Greiner	Federal Institute for Risk Assessment BfR), Germany
Morten Poulsen	Technical University of Denmark
Maarten Nauta	Technical University of Denmark
Rikke Andersen	Technical University of Denmark
Salomon Sand	National Food Agency, Sweden
Sara Monteiro Pires	Technical University of Denmark
Majken Ege	Technical University of Denmark
Lea Jakobsen	Technical University of Denmark
Maria Persson	Technical University of Denmark
Sofie Thomsen	Technical University of Denmark