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Modeled healthy eating patterns are largely constrained by currently estimated requirements for bioavailable iron and zinc – a diet optimization study in French Adults.

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Conflict of Interest

None.

List of abbreviations

ANSES, French Agency for Food, Environmental and Occupational Health & Safety;

DALYs, Disability Adjusted Life Years;

FBDG, Food-based dietary guidelines;

Flex, Flexible model;

NFlex, Non-Flexible model

Data described in the manuscript, code book, and analytic code will be made available upon request pending application and approval.

Abstract

- 1 Background: Healthier dietary patterns involve more plant-based foods than current Western diets rich in
- 2 animal products containing high levels of bioavailable iron and zinc. Little consideration is given to the
- 3 bioavailability of iron and zinc when studying healthy eating patterns.
- 4 Objectives: Our aim was to determine whether currently estimated requirements for bioavailable iron and
- 5 zinc limit the identification of healthier dietary patterns.
- 6 Methods: Using dietary data from a representative French survey and multi-criteria non-linear
- 7 optimization, we identified diets that maximize health criteria based on Food-Based Dietary Guidelines
- 8 and concomitantly depart only minimally from the observed diet, while complying with all nutrient
- 9 reference values either strictly (non-flexible optimization) or by allowing bioavailable iron and zinc below
- 10 the current reference values, but to a limited extent (flexible optimization). Using a comparative risk
- 11 assessment model, we estimated the resulting impact on cardiometabolic and colorectal cancer
- mortality/morbidity, and changes to iron-deficiency anemia.
- 13 Results: Under non-flexible optimization, reference values for bioavailable iron and zinc were the most
- 14 binding of the 35 nutrient constraints and modeled diets displayed considerable redistributions within
- 15 grains and meat. With flexible optimization, modeled diets were healthier as they contained less red meat
- and more whole-grain products, but would increase iron-deficiency anemia to 5.0% (95% CI: 3.9%, 6.4%).
- 17 Globally, in terms of Disability Adjusted Life Years (DALYs), as the loss due to anemia would represent <30%
- 18 of the gain otherwise made on chronic diseases, adding flexibility in the iron and zinc reference values
- would result in a further 18% decrease in the disease burden from 84,768 (95% Uncertainty Intervals (UI):
- 20 81,066, 88,470) to 99,689 (95,787, 103,591) DALYs averted.

- 21 Conclusions: Currently estimated requirements for bioavailable iron and zinc proved to be critical factors
- 22 when modelling healthy eating patterns. Considering lower reference values enables the identification of
- 23 diets that are apparently healthier overall.
- 24 Key words: diet optimization, healthy diet, dietary requirements, dietary patterns, iron and zinc
- 25 bioavailability

Introduction

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Nutritional adequacy depends on both the intake of nutrients and their bioavailability, the latter defined as the proportion of the ingested nutrient that is made available for use in normal functions (1). The absorption of non-heme iron and zinc, in particular, can vary as a function of many physiological and dietary factors. Phytate is known to inhibit both the absorption of non-heme iron and zinc (2-4), so that individuals consuming phytate-rich diets, high in plant products, have a greater dietary requirement for iron and zinc (3,5). The intake of many nutrients and their status vary largely as a function of the type of dietary pattern, and Western diets that are more reliant on animal sources, tend towards a better nutritional status regarding iodine, vitamin B12, calcium, iron and zinc (5). However, current western diets are making a major contribution to the burden of disease (6). Healthier dietary patterns have been identified using different approaches, including historical diets such as the Mediterranean diet (7), modeled Healthy Eating Patterns underlying Food-Based Dietary Guidelines (FBDG)(7–9) or prospective scenarios for human and planetary health (10,11). All these diets contain less red and processed meats and more whole grains, pulses, nuts, fruit and vegetables. They would therefore tend to reduce bioavailable iron and zinc by reducing both the intake of zinc and heme iron and the absorption of zinc and non-heme iron because of higher phytate. Almost no interventional trials have studied iron or zinc status, and our knowledge is based on modelling (12). Studies modeling healthier diets generally use constant absorption coefficients for iron and zinc (8,10,13) and seldom take account of variations in their bioavailability induced by dietary changes to modeled diets (14). Furthermore, uncertainties remain regarding the physiological requirements for iron and zinc because of a lack of accurate endpoints or intermediate markers and the considerable variability seen regarding iron requirements, particularly among menstruating females. For instance, the population reference intake for menstruating females (i.e. the amount of iron that covers the requirements of 95% of females) is ~50% higher than the that needed to cover the requirements of 80% of females (10). Furthermore, the prevalence of people with insufficient iron intake compared to the estimated requirement is much higher than the actual prevalence of iron-deficiency anemia, and the clinical impact of insufficient zinc intake has been little characterized in adults. The reference values used for iron and zinc might therefore be over-protective and thus excessively constraining when defining or assessing healthy dietary patterns.

During this study, we estimated the amounts of bioavailable iron and zinc in the diets of a reference sample of an adult population in France, which has similar background intakes and reference values for iron and zinc as other western countries (15) and then we used multi-criteria optimization to model healthy eating patterns in order to test the hypothesis that iron and zinc, rather than other nutrients, are important determinants of optimized healthy eating patterns. We then determined whether, and to what extent, meeting iron and zinc reference values limited our ability to identify healthier diets.

Methods

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Input data used for diet modeling

We used food consumption data for males (n=561, 18-64 years old) and pre-menopausal females (n=564, 18-54 years old) classified as non-under-reporters in the French INCA3 national study conducted in 2014-2015. The survey design and methods have been described in full elsewhere (16,17). The sociodemographic characteristics and lifestyles of the study population are presented in Table 1. Briefly, food and beverage intake were assessed using three unplanned non-consecutive 24h-dietary recalls collected by trained interviewers assisted by dietary software. Portion sizes were estimated using validated photographs (16). Nutrient intake was calculated using the 2016 nutritional composition database from the French Centre d'Information sur la Qualité des Aliments; CIQUAL) (18). Food items (n=1533) were categorized into 45 food groups (10)(Supplemental Table 1). In each food group, the nutrient composition (for 41 nutrients) was calculated as a composite composition by gender, being the average nutrient composition of the group food items weighted by their average gender-specific population intake. Using three 24h-recall provides low precision for the individual estimates of intakes for nutrients that are little evenly distributed within individual diets (e.g. vitamin A and vitamin B12) but provides a good precision for estimating the average and inter-individual variability of intakes in a population for most nutrients, including iron and zinc. Furthermore, remaining error related to the intra-individual variability of intake for iron and zinc was addressed by extraction when assessing usual intake, as presented below.

Iron and zinc bioavailability

We first of all considered heme iron (mainly present in red meat) and non-heme iron (present in other animal-based and plant-based foods)(19). The following equation was used for the absorption of heme iron (20):

where SF is serum ferritin, which was set at 15 μ g/L (15). A serum ferritin value of 15 μ g/L corresponds to an absence of iron reserve and a higher intestinal absorption, without any further functional impact (21). This value, as compared to 30 μ g/L, leads to a better estimate of iron absorption at marginal levels of iron intake. It also provides the lowest estimate of iron requirement, which is the least favourable situation for our hypothesis that current estimates of iron requirement limit the identification of healthier diets.

For non-heme iron, we used the following equation (22):

- where SF is serum ferritin which was also set at 15 μg /L, C is vitamin C (mg), MFP is meat, fish, and poultry
- 94 (g), T is tea (number of cups), P is phytate (mg), Ca is calcium (mg), and NH is non-heme iron (mg).
- 95 For zinc absorption, we used the following equation (23):

96 TAZ=
$$0.5 \times \left\{ 0.033 \times \left(1 + \frac{\text{TDP}}{0.68}\right) + 0.091 + \text{TDZ} - \sqrt{\left(0.033 \times \left(1 + \frac{\text{TDP}}{0.68}\right) + 0.091 + \text{TDZ}\right)^2 - 4 \times 0.091 \times \text{TDZ}} \right\}$$

- 97 where TAZ is bioavailable zinc (mmol), TDZ is dietary zinc (mmol) and TDP is dietary phytate (mmol).
- 98 Multi-criteria optimization of the diet

A multi-objective, non-linear, constrained optimization program was developed using the optmodel procedure under SAS software (SAS Institute®, Inc., Cary, NC, USA, version 9.4). The decision variables were the average daily consumptions of the 45 food groups. We considered male and female populations, the latter being divided into two subpopulations as a function of their iron requirement levels (Fe- or Fe+ females). Indeed, ~80% of pre-menopausal females have "low-to-medium" iron requirements (Fe-) that are covered by 1.72 mg/d bioavailable iron, and 20% have "high" iron requirements (Fe+) that are covered by 2.52 mg/d (10).

The optimization procedure consisted in maximizing the health quality of the modeled diet while simultaneously minimizing its deviation from the current diet. We therefore drew upon the multi-criteria diet optimization method developed in a previous study by the French Agency for Food, Environmental and Occupational Health & Safety (ANSES) on Healthy Eating Pattern modelling for French FBDG (10), which considered two sub-functions in the objective function. On the one hand, the *Health* sub-function set as its objective compliance with dietary recommendations derived from epidemiological knowledge on the associations between the consumption of certain food groups and the risk of chronic diseases (24–27). The *Health* sub-function was defined as consumptions to be reduced (red meat including offal, processed meat and sweetened beverages), as well as those to be increased (whole grain products, fruit and vegetables) in accordance with current French recommendations (24). The *Health* objective subfunction was thus expressed and maximized as follows:

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$$\operatorname{Max} Health = \sum_{i=1}^{3} \left[\frac{\operatorname{Opt}(i)}{\operatorname{P95}(i)} \right] - \sum_{i=1}^{3} \left[\frac{\operatorname{Opt}(j)}{\operatorname{Max}(j)} \right]$$

Where i is the number of food groups to increase (whole grain products, fruit and vegetables), j is the number of food groups to decrease (red meat, processed meat and sweetened beverages), Opt(i) and Opt(j) are the optimized consumptions of food groups i and j, respectively (in g/d), P95(i) is the current 95th percentile of consumption of food group i (in g/d) and Max(j) is the upper limit of consumption of the food group as defined by ANSES (in g/d).

On the other hand, the *Diet Departure* sub-function was used to minimize the difference between the optimized and observed food quantities in order to account for the dietary habits of the population. This *Diet Departure* sub-function was defined as the sum of the squares of the differences for each group between observed and optimized consumptions standardized by their standard deviations in the observed diets. We chose such a quadratic formulation (with the squares of differences) in order to favor numerous

small changes across a large number of food groups, rather than a few major changes (28). The *Diet Departure* sub-function was thus expressed and minimized as follows:

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$$\operatorname{Min} \operatorname{Diet} \operatorname{Departure} = \sum_{k=1}^{n} \left[\frac{\operatorname{Obs(k)} - \operatorname{Opt(k)}}{\operatorname{SD(k)}} \right]^{2}$$

Where k is the total number of food groups, Obs(k) and Opt(k) are the observed and optimized consumptions of food group k (in g/d), respectively, and SD(k) is the observed standard deviation of the consumption of food group k.

Because some food groups were considered to be more easily interchangeable, they were grouped together in the *Diet Departure* sub-function so as to avoid penalizing these substitutions. These non-penalized substitutions involved those between different kinds of fruit (fresh/dried/processed), breads (refined/whole grain), other starches (refined/whole grain), vegetable fats (low/high in α -linolenic acid), meat (poultry/red meat, excluding offal), sweetened beverages (beverages with added sugar/fruit juices), fish (fat/lean), fresh dairy products (natural/sweetened), and soups/bouillons.

Nutritional constraints

A large set of nutritional constraints was applied to ensure that all nutrients requirements were covered, as well as a few dietary constraints relative to certain specific food groups under Food-Based Dietary Guidelines (FBDG). Nutrient constraints differed for some nutrients depending on the sub-population considered (males, Fe- females, Fe+ females) and were based on the recently revised ANSES Reference Values (15) (Table 2). One exception was vitamin D, for which we did not set any lower constraint, because the reference value is known to be much too high to permit a solution from diet optimization, as the observed dietary intake is only ~20% of the reference value and diet is not the sole source of body vitamin D (10). Dietary constraints were the upper bounds for food groups that had to be reduced according to the *Health* objective sub-function (i.e., their upper limits of consumption): 71 g/d for red meat (i.e. ~500

g/week (24)), 25 g/d for processed meat, and 2,63 g/d (i.e. the average portion size) for sweetened beverages (juices, nectars and soft drinks) (10).

Acceptability constraints

Acceptability constraints were used to keep the modeled consumptions per food group within the range observed in each sub-population (males, Fe- females, Fe+ females; Supplemental Table 2). Acceptability constraints included lower and higher values, corresponding to the 5th or 95th percentiles of consumption for all food groups, except those whose upper limit was set as a dietary constraint (red meat, processed meat and sweetened beverages – see above). In the acceptability constraints, in the same way as for the *Diet Departure* sub-function, the most substitutable food groups (see above) were grouped together to define their lower and upper bounds as the 5th or 95th percentiles of their total consumption.

Standardization of constraints to compare their relative influences

We estimated the dual values associated with each constraint; i.e. estimates of the potential gain in objective function that would result from relaxing by one unit the limiting bound of the considered constraint. All constraints were standardized on the value of their limiting bounds (29), so that the standardized dual values (representing the effect of a 100% relaxation of the limiting bound) could be compared numerically with each other, and the limiting (i.e., active) constraints for nutrient and food group intakes classified from the most to the least limiting.

Optimization models without or with flexibility on the nutrient constraints for zinc and iron

We finally used a standard optimization model (Non-Flexible, NFlex) and an alternative optimization model allowing flexibility on bioavailable iron and zinc (Flexible, Flex), the latter having been identified as the most binding nutrient constraints in the standard model. This alternative optimization model was developed with goal programming rather than strict constraints on these nutrient intakes in order to study

how the estimated requirements for bioavailable iron and zinc would drive and impact the composition of the modeled diets. Flexibility regarding zinc and iron intakes was thus introduced by replacing their nutrient constraints with a new goal variable added to the objective function, in order to minimize violation of the relaxed nutrient constraints while concomitantly maximizing the Health and minimizing the Diet Departure sub-functions. For safety reasons, new lower threshold values for bioavailable zinc and iron were also introduced as constraints and set as deficiency threshold corresponding to the minimum intake that would limit the probability of a nutritional deficiency, as previously described (30). The bioavailable zinc deficiency threshold was set at 1.6mg in males and 1.3mg in females (30). The bioavailable iron deficiency threshold was recalibrated to match the prevalence of iron-deficiency anemia in the French population. The distribution of bioavailable iron was log-transformed, and the usual bioavailable iron distribution was derived by extracting the intra-individual variation using the Nusser method (31). We then used the probabilistic approach (32) with Monte-Carlo simulation to estimate the number of individuals with bioavailable iron levels below the requirement, based on the modeled distribution of usual bioavailable iron and a risk curve obtained from the cumulative distribution of the requirement as modelled during an earlier work (33) and by ANSES (34). The risk curve was then recalibrated by translation to obtain prevalence estimates that matched the actual prevalence of irondeficiency anemia in the French population (i.e. 0.2% in males and ~4% in females)(35). The deficiency threshold was set at the 97.5th percentile of this recalibrated risk curve, and the values obtained for males and females are indicated in Table 2. As a complementary analysis, we also ran the two optimization models (without or with flexibility on bioavailable iron and zinc) while suppressing the Diet Departure term in the objective function (NFlex+ and Flex+, respectively), in order to test whether the effect of flexibility (i.e., between-model differences) would remain similar when allowing any diet change without penalization.

Characterizing the expected health impact of modeled diets

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The EpiDiet model was used to evaluate the health benefits of the modeled diets within each optimization model (NFlex and Flex), assessing expected changes in death rates, chronic disease risks and disease burden as the number of years of life lost that would be avoided if French adults would replace their observed diet with the considered modeled diet (36,37). EpiDiet is a simulation-based nutritional and epidemiological model previously developed by our group (37) that implements the comparative risk assessment framework. Like many other such risk assessment models (38,39), it quantifies the positive or negative changes in risk related to long-term health that would result from changes to the average diet for an individual, groups or population. In this study, we considered the observed diet in the French population as the baseline situation and the modeled diets obtained with the NFlex and Flex optimization models as counterfactual situations. We considered the food and nutrient intakes of males and females, grouping together Fe- and Fe+ females according to their 80:20 proportions in the population (see above). Uncertainty Intervals on health estimates, corresponding to the precision of the parameters of the EpiDiet model, were computed using Monte Carlo simulations. Details of the EpiDiet model and its application are presented in Supplemental Method 1. We also evaluated changes in the prevalence of iron-deficiency anemia that might be attributable to changes in bioavailable iron intake in the modeled diets, using the probabilistic approach. Bioavailable iron distribution was modeled by translating the modeled distribution of usual absorbed iron (see above) according to the difference between mean intakes for each sex and modeled diet, and used the sex-specific recalibrated risk curve for iron-deficiency anemia, as described above. Confidence Intervals were build taking into account sampling error and a binomial distribution. Finally, we estimated the burden of disease as Disability Adjusted Life Years (DALYs) averted or added and corresponding to changes in the risks of cerebrovascular diseases, ischemic heart diseases, diabetes and colorectal cancer on the one hand, and changes in estimates of the prevalence of iron-deficiency anemia on the other hand, for the diets modeled using each optimization model (see Supplemental Method 1).

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Standard non-flexible (NFlex) optimization model

Compared to the observed diets, the modeled diets obtained using the first, non-flexible (NFlex) optimization model were characterized by healthier dietary patterns (Figure 1) due to some gains in the Health criteria at the cost of some deterioration in the Diet Departure criteria (Table 3). These healthier dietary patterns involved a large substitution of refined grain products (with variations of -56% to -95% between the different sub-populations) with whole grain products, with a total grain product consumption that remained generally unchanged, alongside an increase in fruit and vegetable consumption (+45% to +71%), a reduction in processed meats (-17% to -100%) and in soft drinks among males (Supplemental Table 3). Total red meat consumption remained almost unchanged in males (-10%) but increased markedly among females (+67%) with a particular increase in offal consumption by Fe+ females. By contrast, poultry increased in males and Fe+ females (+250% and +247%, respectively, but -33% in Fe- females), so that total meat consumption was finally almost similar in males (+11%) and Fe- females (+1%) but markedly increased in Fe+ females (+98%). Whatever the population, the most limiting constraints with the greatest impact on the composition of modeled diets were bioavailable iron and zinc constraints, which displayed higher dual values than those for all other constraints affecting nutrients or food groups (Table 3). In the modeled versus the observed diets, covering nutrient reference values led to increases in bioavailable zinc and iron that were marked among Fe- females (+42% for iron and +6% for zinc) and even greater in Fe+ females (+108% for iron and +21% for zinc) (Figure 2 and Supplemental Table 4). Reaching zinc reference values was more constraining in males while meeting iron reference value was more constraining in females and particularly in Fe+ females where it required the most important dietary changes (as can be seen from their higher Diet Departure value). In addition, the constraints on zinc and iron worked together by involving similar dietary changes, even if the most limiting constraint in each gender (namely, zinc in males and iron in females) was so predominant that it masked the influence of the other. In males, the influence of the iron requirement could be revealed when relaxing the zinc requirement, and *vice versa* in females (results not shown).

Alternative flexible (Flex) optimization model

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Under the alternative optimization model (Flex), flexibility was applied simultaneously to the constraints on bioavailable iron and zinc because of their inter-dependency. When compared to both the observed and NFlex-modeled diets, Flex-modeled diets contained less meat, and particularly less red meat, and more grain products, and notably more whole grain products (Figure 1). As compared to NFlex, the Flex modeling option did result in a reduction in red meat (-87% to -91% vs observed, i.e., a massive and similar reduction whatever the population) (Supplemental Table 3), and a further increase in whole grain products (+97% in males, -3% in Fe-females, +153% in Fe+females, vs NFlex). Unlike with the NFlex-modeled diets, total meat in the Flex-modeled diets was globally similar to that of the observed diet, as poultry was also increased less in males and Fe+ females, and total red meat was reduced more in females. Compared to the NFlex option, the Flex option accordingly resulted in better Health criteria together with lower Diet Departure criteria (Table 3), since fewer dietary changes were required to cover the lower zinc and iron constraints that were by construct between the nutrient reference values and the deficiency thresholds. In the Flex-modeled diets, bioavailable zinc and iron were respectively 20% and 30% lower than their reference values in males, 14% and 37% lower in Fe- females and 14% and 57% lower in Fe+ females (Table 3, Figure 2 and Supplemental Tables 3 and 5). In the Flex optimization model, i.e. when relaxing the constraints on bioavailable iron and zinc, we found that six nutritional constraints were limiting, namely (and in decreasing order of importance) sodium,

iodine, saturated fatty acids, α -linolenic acid, fiber and vitamin A (Table 3). Sodium was the most limiting

constraint in both sexes, followed by α -linolenic acid and saturated fatty acids in males and iodine and saturated fatty acids in females.

Estimate of changes to the disease burden resulting from modeled diets

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We estimated that in French adults, the mortality risk from ischemic heart diseases, cerebrovascular diseases, diabetes and colorectal cancer would be reduced by 22% in males and 15% in females with the NFlex-modeled diets, and by 26% in males and 23% in females with the Flex-modeled diets (Table 4 and Supplemental Table 6). We also estimated that the burden of these diseases would be reduced by 24% in males and 15% in females by the NFlex-modeled diets and by 28% in males and 25% in females by the Flexmodeled diets (Supplemental Table 7). When compared to the NFlex optimization, the Flex optimization thus resulted in a further decrease in the burden of these diseases of 19% in males (+13,654 DALYs averted) and 70% in females (+7,131 DALYs averted) (Table 4). By contrast, being more flexible with iron and zinc reference values would also tend to increase the prevalence of iron-deficiency anemia (from 2.1% (95% CI: 1.4%, 3.9%) currently to 5.0% (3.9%, 6.4%) in adults, from 0.21% (0.04%, 0.98%) currently to 3.0% (1.8%, 4.6%) in males, and from 3.9% (2.6%, 5.9%) currently to 7.0% (5.1%, 9.4%) in females), whereas the figures would be virtually null without flexibility (0.11% (0.02%, 0.49%) in adults, 0.17% (0%, 0.65%) in males and 0.05% (0%, 0.66%) in females). However, the DALYs resulting from this increase in iron-deficiency anemia with flexibility (Flex vs NFlex) would be small compared to the DALYs otherwise averted by the decrease in chronic disease (2,705 vs 13,654, i.e. 20% in males and 3,157 vs 7,131, i.e. 44% in females) (Table 4). Globally, when taking account of all these chronic diseases and anemia and on average over the whole population, the Flex optimization resulted in a further 18% reduction in the burden of disease compared to the NFlex optimization (+14,921 DALYs averted). The expected reduction in mortality and disease burden with Flex-modeled diets versus NFlex-modeled diets was mostly ascribed to the reduction in red meat consumption (Supplemental Tables 6 and 7). The increase in whole grain products in Flex- versus NFlex-modeled diets did not therefore result in any additional risk reduction under the comparative risk assessment model. The changes in mortality risk resulting from the changes to red meat consumption were a 3% increase in females under the NFlex option but a 5% decrease in both males and females under the Flex option, while the changes to mortality risks resulting from increases in whole grain products were a similar 5% reduction in both males and females with both options (see Supplemental Table 6). Changes to the risk of morbidity related to cerebrovascular diseases, ischemic heart diseases, diabetes and colorectal cancer due specifically to red meat involved a 3% increase in females under the NFlex option but a 5-6% decrease in both males and females under the Flex option, while the changes to these morbidity risks specifically due to an increase in whole grain consumption were a similar 4-5% decrease in both males and females with both options (see Supplemental Table 7). Soft drinks were another food group whose variations between the observed and modeled diets significantly affected the risks of mortality and morbidity, but soft drinks varied less between the NFlex and Flex options than red meat and whole grain products, and the changes in mortality and morbidity risks due specifically to a reduction in soft drink consumption were a similar 6-8% decrease with both options (see Supplemental Tables 6 and 7).

Additional models to test the impact of Diet Departure criteria

We also ran additional models with optimization without the *Diet Departure* criteria (i.e., with optimization on the *Health* criteria only), without or with flexibility on bioavailable zinc and iron (NFlex+ and Flex+ models, respectively). They all led to healthier dietary patterns than their standard counterparts that included the *Diet Departure* criteria, by further notable increases in the consumption of fruit and vegetables and whole grain products (Supplemental Figure 1 and Supplemental Tables 3 and 5). The differences between Flex+ and NFlex+ were similar to those previously observed between Flex and NFlex with regard to diet contents in red meat (only reduced under Flex+ and not under NFlex+) and whole grains (further increased in Flex+ compared to NFlex+), and also with regard to the amounts of bioavailable iron and zinc that were similarly reduced in the event of flexibility, whether the *Diet Departure* criteria were

integrated or not (Supplemental Figure 2). Lastly, the dual values analysis showed that like the NFlex and Flex models, the most limiting constraint for healthier diets were bioavailable iron and zinc in the NFlex+ model, and sodium, iodine, vitamin A, energy intake, docosahexaenoic acid (DHA) and eicosapentaenoic acid (EPA) in the Flex+ model (Supplemental Table 8).

Discussion

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Our study has revealed a conflict between meeting current estimates for iron and zinc requirements that take account of their bioavailability, and implementing a healthy diet. We have indeed shown that in males and females, securing iron and zinc provisions precludes a reduction in red meat consumption and limits any increase in whole grains. By contrast, both of these goals can be achieved by allowing some flexibility regarding current reference values for bioavailable iron and zinc which leads to contrasted effects on health (more anemia but less chronic disease) but a better overall balance (18% more DALYs averted with flexibility than without). Without flexibility, we have shown by dual value analysis that bioavailable iron and zinc were always the most limiting nutrients when modeling healthier dietary patterns, in both males and females and whether or not account was taken of dietary cultural inertia (standard NFlex and additional NFlex+ models). This conflict between meeting the estimated requirements for bioavailable iron and zinc and adopting healthier dietary patterns therefore appears to concern all populations and prevailing dietary contexts. We have also shown that this limitation, and the effect of it being removed by flexibility, was further accentuated when considering females with high iron requirements. In this case, the very high target value for bioavailable iron fully precluded any reduction in red meat and also largely limited the increase in whole grains (because of their phytate content that limits iron bioavailability). Although the nutrients with the greatest influence were zinc in males and iron in females, in all cases zinc and iron were the two most influential nutrients and worked together by driving similar dietary changes. This could be explained by the fact that the dietary contributors of iron intake are mostly the same as those of zinc, and iron and zinc absorption are both largely dependent on phytate (2,3). Animal products, and particularly meat and red meat, are known to be important contributors of iron and

zinc intakes, and iron requirements are known to be high for the top quintile of females of childbearing

age, whereas the phytate content in plants is well known to largely inhibit non-heme iron and zinc absorption (40,41). Yet there are few data in the literature which characterize the importance of this expected conflict when dealing with the transition toward diets with a higher plant-based content. In particular, there have been almost no published studies on diet modeling and optimization on health criteria that account for iron or zinc bioavailability. In a diet optimization study on environmental criteria, designed to decrease diet-induced environmental pressures that also require a reduction in red meat consumption, Barre et al. showed that including bioavailability factors tended to limit the reduction in red and processed meats (14). The model used by these authors integrated 402 food items in the same French context, whereas in the present model we focused on 45 food groups that prevented the selection of individual food items that were atypical within their group. The smaller decrease in processed meat when accounting for bioavailability indicated by Barre et al. (14) was indeed ascribed to a dramatic increase in the consumption of blood sausage (a processed meat specialty made from pork blood), which was sufficient to cover the iron reference value (88% of heme iron was sourced by this increase in blood sausage consumption according to Barre et al., while blood sausage accounted for only 1.5% of its food group (processed meat) consumption in our study). Ferrari et al. (42) also found that in females, the constraint related to iron requirement was incompatible with a constraint limiting red meat consumption, but these authors considered iron intake and not bioavailable iron (42) in females with low iron intakes. Unlike iron, the importance of zinc when considering healthy dietary patterns has been little emphasized. This can again be ascribed to the paucity of data considering zinc absorption in diet modeling, and also by the fact that it remains difficult to define zinc requirements using health-based criteria, as it remains difficult to assess zinc status. Although the important effect of phytate on zinc absorption is well documented (43), and sources of zinc are animal-based, and evidence for altered zinc status in vegetarians is unclear (4). No adequate biomarkers for zinc status are available to derive requirement estimates.

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364 Furthermore, zinc requirements have been estimated using a factorial approach to considering 365 physiological requirements by estimated total daily losses and zinc absorption coefficients (44). 366 The strength of our work was therefore that it evidenced and characterized the importance of the conflict 367 between iron and zinc on the one hand, and red meat and whole grain consumption on the other. This 368 conflict stems from the importance of red meat as a contributor to iron and zinc, and the importance of 369 whole grains in decreasing iron and zinc absorption because of phytate. This work has also highlighted the 370 importance of uncertainties regarding iron and zinc absorption and phytate contents in foods. In particular, 371 major modeling efforts have been made to predict iron and zinc bioavailability in diets, but uncertainties 372 remain (12,14,45). 373 Because iron and zinc are so important to defining healthy eating patterns that can be used to build Food-374 Based Dietary Guidelines (FBDG), a precise assessment of iron and zinc requirements and their 375 recommended dietary allowances is a primary concern. Iron and zinc reference values are based on 376 physiological requirements assessed from estimates of mandatory losses. For zinc, again, an adequate 377 marker of status is lacking, and it is difficult to ascertain its relevance to health. There are considerable 378 variations in iron requirements among females, and this has led to a very high recommended dietary 379 allowance in order to cover 95% of them whereas most (80%) have much lower requirements. According 380 to these requirements, iron insufficiency does not match actual iron deficiency as assessed by iron-381 deficiency anemia. For example, among French females, the prevalence of iron-deficiency anemia has 382 been estimated at ~4%, while 20% of females have iron intakes below their requirements and most have 383 intakes below the population reference intake (10). As demonstrated by Hallberg et al., non-heme iron 384 absorption is higher in populations that are vulnerable to iron deficiency (46). The risk of iron-deficiency 385 anemia could therefore be taken as a safeguard which would lead to a much lower reference target value, 386 indeed as low as the deficiency threshold we used in the model with flexibility (Flex). The provision of iron 387 at higher levels than this threshold may also have health benefits in preventing iron deficiency without

anemia. However, the adverse health effects of iron deficiency have been poorly characterized in literature studies, due to small sample sizes, confounding by other dietary and lifestyle factors, and by alterations in iron metabolism in response to infection. Furthermore, thresholds of iron deficiency at which these adverse effects might develop have not been well characterized and their prevalence in western countries is unknown (47). Clearly, further research is needed to characterize the relationship between iron intake and iron deficiency without anemia in adults in western countries, and evaluate its importance for health. During the present study, we found that waiving the importance of iron and zinc in the Flex model brought bioavailable iron levels down to the deficiency threshold we used in females, which would translate into an increase in the prevalence of iron-deficiency anemia among females from ~4% at present to 7% under the modeled diets. This contrasted with the virtual absence of iron-deficiency anemia (0.05%) in the diets modeled without flexibility (NFlex) that imposed a reference value for bioavailable iron in Fe+ females that was triple the deficiency threshold. To further assess the conflict that we have evidenced, this modeled increase in iron-deficiency anemia was weighed against the expected long-term health benefits that would result from adopting a healthier diet, which could help to inform about the importance of the iron reference value. Using the single metric of DALYs averted, we were able to show that the long-term health benefit of diets identified as being flexible with iron and zinc outweighed the adverse effects resulting from the increase in iron-deficiency anemia. Our work has implications for healthy eating modeling and thus dietary guidelines. Iron and zinc absorption have been little studied in this regard. Dietary guidelines usually advocate healthy eating patterns, similar to the diets identified during the present study (including lower red meat and higher whole grain consumption) but with uncertainties regarding the actual benchmark levels for meat and red meat (7-9). Likewise, prospective diets for human and planetary health have defined plant-based diets as the reference, but the impact on iron status of such diets has not been fully characterized (10-12). Markedly reducing red meat and increasing whole grains imply lowering levels of bioavailable iron and zinc, and the

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ensuing risk of an increase in iron-deficiency anemia. This risk may be deemed acceptable if outweighed by the clearly beneficial effects of healthier dietary patterns on chronic diseases with very high prevalence. This risk may also be acceptable if it can be mitigated. Indeed, in developed countries, iron-deficiency anemia can be detected and treated on an individual basis, and could also be prevented by food fortification at the population level (48).

Strengths and limitations

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Our study had certain strengths and limitations. One strength was the use of data and equations to monitor bioavailable iron and zinc in the modeled diets, but these bioavailability estimates involved some uncertainties (49,50). A second strength was the use of advanced optimization models with multi-criteria optimization by nonlinear programming, in order to identify the food groups and nutrient-related factors that hinder or favor healthier dietary patterns. However, in terms of limitations, diet modeling and optimization can exacerbate uncertainties and are reliant on a complex definition of constraints and objectives, which often involves an implicit weighting of numerous criteria (10). For instance, regarding the constraint on bioavailable iron, although we used the most accurate estimates available, some uncertainty remained in the equation used to calculate its absorption and in the estimate of the deficiency threshold we used in the case of flexibility. The number of food groups also greatly influenced the model by smoothing the nutritional contents of the groups and thus masking any specificity of certain contributors within each group, at a more detailed level. However, the food groups in the modeled diet remained interpretable because they continued to reflect the true food consumption at present within these groups. Lastly we used recent, representative data for food consumption, with a sample size (n=1,125) that may appear to be low. A higher sample size would have been useful for better characterizing the variability of the dietary patterns in the population, but since the study mainly relies on modelled shifts in average intakes from observed diets using optimization models, the sample size is large enough to provide a good precision for these population estimates and to run nutritional/health impact analysis based on the modeled diets.

Conclusion

Using diet modeling and considering bioavailability, we have evidenced that iron and zinc are the most critical nutritional factors with respect to healthy eating patterns. Lower iron and zinc intakes from a lower consumption of meat (especially red meat) and a higher phytate intake from eating more plant-based products (especially whole grains) result in low bioavailable iron and zinc in modeled diets that tend to limit the overall health benefits of the healthiest dietary patterns. Our results highlight the predominance of iron and zinc reference values in diet modeling for Food-Based Dietary Guidelines.

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TABLE 1 Lifestyle and sociodemographic characteristics of the sample of adults (n = 1,125) extracted from the French national INCA3 study, 2014-2015.

	Males (n = 564)	Females (n = 561)
Age, %		
< 25y	9%	8%
25-35y	16%	25%
35-50y	38%	52%
50-65y	37%	15%
Level of education, %		
< High-school diploma	34%	23%
High-school diploma	21%	21%
Post-secondary graduation	44%	56%
Body Mass Index, %		
< 18.5 kg·m ⁻²	2%	4%
18.5-24.99 kg·m⁻²	49%	59%
25-29.99 kg·m⁻²	38%	24%
> 30 kg·m ⁻²	11%	12%
Alcohol consumption, %		
Non-drinker	30%	54%
Moderate drinker ¹	70%	46%
Heavy drinker	-	-

¹<20g/d for females and <30 g/d for males)

TABLE 2 Nutritional constraints used in the optimization models

		Lower bounds ¹		Upper bounds ²	
		Males	Females	Males	Females
Nutrient	Unit	(18-64 y)	(18-54 y)	(18-64 y)	(18-54 y)
Energy intake ³	kcal·d ⁻¹	2,470	1,995	2,730	2,205
Retinol	μg∙d ⁻¹	-	-	3,000	3,000
Vitamin A	μg·d ⁻¹	750	650	-	-
Thiamin	μg·(kcal·d) ⁻¹	0.418	0.418	-	-
Riboflavin	mg∙d ⁻¹	1.6	1.6	-	-
Niacin	mg NE·(kcal·d) ⁻¹	0.0067	0.0067		
Pantothenic acid	mg∙d ⁻¹	3.77	3.22	-	
Vitamin B6	mg·d⁻¹	1.7	1.6	25	25
Folate	μg∙d ⁻¹	330	330	-	-
Vitamin B12	μg∙d ⁻¹	4	4	-	-
Vitamin C	mg·d⁻¹	110	110	-	-
Vitamin D	$\mu g \cdot d^{ ext{-}1}$	-	-	100	100
Vitamin E	mg∙d ⁻¹	5.28	4.37	-	-
Vitamin K1	μg·d⁻¹	39.47	34.48	-	-
Calcium	mg∙d ⁻¹	950	950	2,500	2,500
Copper	mg∙d ⁻¹	1.07	0.89	5	5
Bioavailable iron - NFlex model ⁴	mg∙d ⁻¹	1.72	1.72 or 2.52 ⁵	-	-
Bioavailable iron - Flex model ⁴	mg∙d ⁻¹	0.83	1.08	-	-
lodine	μg·d⁻¹	150	150	600	600
Magnesium	mg∙d ⁻¹	254	195	-	-
Manganese	mg·d⁻¹	1.99	1.52	-	-
Phosphorus	mg∙d ⁻¹	550	550	-	-
Potassium	mg∙d ⁻¹	3,500	3,500	-	-
Selenium	μg∙d ⁻¹	70	70	300	300
Sodium	mg∙d ⁻¹	1,500	1,500	2,300	2,300
Bioavailable Zinc - NFlex model ⁴	mg∙d ⁻¹	3.63	3.23	25	25
Bioavailable Zinc - Flex model ⁴	mg∙d ⁻¹	1.6	1.3	25	25
Water	g·d ⁻¹	2,500	2,000	-	-
Saturated fatty acids	%EI·d ⁻¹	-	-	12%	12%
Lauric, myristic and palmitic	%EI·d⁻¹	_	_	8%	8%
acids					
Linoleic acid	%EI·d ⁻¹	4%	4%	-	-
α-linolenic acid	%EI·d ⁻¹	1%	1%	-	-
Linoleic acid : α -linolenic acid	-	-		5	5
EPA+DHA ³	g·d ⁻¹	0.5	0.5	-	-
Sugar excluding lactose	g·d ⁻¹	-		100	100
Protein	g·(kg_bw·d) ⁻¹	0.83	0.83	2.3	2.3
Fiber	g·d ⁻¹	30	30	-	

¹ Lower bounds are the Population Reference Intake or lowest value of the macronutrient reference intake range.

² Upper bounds are the Tolerable Upper Intake Level or highest value of the macronutrients reference intake range.

³ Deficiency thresholds. DHA, docosahexaenoic acid; El, energy intake; EPA, eicosapentaenoic acid. 1 kcal = 0.0042 MJ. ⁴NFlex, standard multicriteria optimization model; Flex, goal programming option allowing flexibility regarding

nutrient constraints for zinc and iron. 5 for females with low-to-medium (Fe- females) / high (Fe+ females) iron requirements.

TABLE 3 Values of the objective sub-functions used during optimization in males, females with low-to-medium iron requirements (Fe-), and females with high iron requirements (Fe+), using the standard multicriteria optimization model (NFlex) or the goal programming option allowing flexibility regarding nutrient constraints for zinc and iron (Flex)

	Males				Female	Females Fe-		Females Fe+		
	Observed diet	Modeled diets		Observed diet	Modeled diets		Observed diet	Modeled diets		
		NFlex	Flex		NFlex	Flex	· 	NFlex	Flex	
Objective sub-functions ¹										
Health	-3.18	0.17	1.04	-1.78	-0.44	0.80	-1.78	-1.53	0.81	
Diet Departure	0.00	5.32	3.43	0.00	4.63	3.12	0.00	65.18	3.13	
Goal		0.00	0.50		0.00	0.51		0.00	0.71	
Deviations from requirements ²										
Bioavailable iron		0.00	0.30		0.00	0.37		0.00	0.57	
Bioavailable zinc		0.00	0.20		0.00	0.14		0.00	0.14	
Dual values of nutrient constraints ³										
Bioavailable zinc		34	0		0	0		0	0	
Bioavailable iron		4	0		23	0		645	0	
Sodium		-10	-8		-12	-8		-57	-8	
lodine		0	2		13	7		0	7	
Saturated fatty acids		-3	-3		-2	-5		0	-5	
Alpha-linolenic acid		4	4		5	4		9	4	
Fiber		9	1		7	4		13	4	
Vitamin A		2	3		1	4		0	4	

¹Multi-criteria optimization consisted in maximizing the Health criteria while minimizing the Diet Departure and Goal criteria, with the Goal criteria being the sum of the goal variables regarding bioavailable zinc and iron intakes. ²Relative deviations from reference values (e.g. bioavailable iron = 0.30 means that the value is 30% below requirement), whose sum is equal to the Goal criteria. ³Standardized dual values representing the potential effect of a 100% relaxation of the limiting bound of the constraint considered, to classify the nutritional constraints from the most to the least limiting (i.e., active). Limiting constraints have a positive (negative) value if the lower (upper) bound is binding. Only nutrients with a limiting

constraint (i.e. with a non-null dual value) are presented here. For each scenario, the most limiting constraint (i.e., with the highest absolute value) is in bold.

TABLE 4 Expected changes to mortality and morbidity in French adults resulting from the adoption of modeled diets as compared to observed diets

	Adults	(over 18 y)	Males (18-64 y)	Females ¹ (18-54 y) Modeled diets		
	Mode	led diets	Modele	ed diets			
	NFlex	Flex	NFlex	Flex	NFlex	Flex	
Decrease in mortality risk, %	<u>(95%UI)</u> ^{2 3}						
Ischemic Heart Diseases	20 (18, 22)	19 (18, 21)	20 (18, 22)	19 (17, 21)	24 (21, 27)	23 (19, 26)	
Cerebrovascular Diseases	16 (13, 18)	23 (21, 26)	17 (14, 20)	24 (21, 27)	11 (8, 13)	21 (18, 24)	
Diabetes	35 (34, 37)	46 (44, 48)	37 (35, 39)	47 (45, 49)	21 (18, 23)	39 (37, 41)	
Colorectal Cancer	23 (21, 25)	31 (29, 34)	26 (23, 28)	33 (31, 36)	12 (10, 14)	24 (22, 26)	
Total	21 (19, 23)	25 (24, 27)	22 (20, 24)	26 (24, 28)	15 (13, 16)	23 (21, 25)	
DALYs averted (95% UI) 234							
Ischemic Heart Diseases	28,130 (25,581, 30,678)	27,156 (24,648,29,664)	25,468 (22,942, 27,994)	24,618 (22,133, 27,104)	2,661 (2,324, 2,999)	2,538 (2,200, 2,875)	
Cerebrovascular Diseases	14,359 (12,370, 16,348)	21,870 (19,794, 23,945)	11,541 (9,657, 13,426)	16,185 (14,244, 18,127)	2,817 (2,182, 3,453)	5,684 (4,950, 6,418)	
Diabetes	22,023 (21,180, 22,865)	29,150 (28,237, 30,064)	19,681 (18,882, 20,479)	24,678 (23,795, 25,562)	2,342 (2,073, 2,611)	4,472 (4,239, 4,705)	
Colorectal Cancer	18,708 (17,202, 20,215)	25,827 (24,267, 27,388)	16,379 (14,901, 17,857)	21,241 (19,718, 22,763)	2,329 (2,034, 2,625)	4,587 (4,243, 4,930)	
Sub-total Δ vs NFlex	83,220 (79,555, 86,884)	104,003 (100,279, 107,727) 20,784 (15,559, 26,009)	73,069 (69,498, 76,640)	86,723 (83,111, 90,334) 13,654 (8,574, 18,733)	10,150 (9,327, 10,973)	17,281 (16,372, 18,189) 7,131 (5,905, 8,356)	
Iron deficiency anemia Δ vs NFlex	1,548 (1,087, 2,138)	-4,313 (-5,500, -3,169) -5,862 (-7,141, -4,584)	30 (27, 129)	-2,675 (-3,556, -1,771) -2,705 (-3,599, -1,811)	1,518 (1,060, 2,009)	-1,638 (-1,944, -1,398) -3,157 (-3,705, -2,610)	
Total Δ vs NFlex	84,768 (81,066, 88,470)	99,689 (95,787, 103,591) 14,921 (9,542, 20,300)	73,100 (69,528, 76,671)	84,048 (80,327, 87,768) 10,948 (5,791, 16,105)	11,668 (10,718, 12,618)	15,641 (14,693, 16,590) 3,973 (2,631, 5,315)	

¹Food and nutrient intakes of Fe- and Fe+ females, used to estimate changes to risk as compared to the observed situation in females using comparative risk assessment, were averaged according to their 80:20 ratio in the population. ² Estimated changes to the risk of mortality in France comparing diets modeled using different optimization models with the current observed diet in the French adult population. ³ 95% Uncertainty Intervals (UI) of the estimated impacts were computed from modelized errors in model parameters estimates using Monte Carlo simulations. ⁴DALYs, Disability-adjusted life years averted, comparing diets modeled with different optimization models with the currently observed diet in the French adult population. NFlex, standard multicriteria optimization model; Flex, goal programming option allowing flexibility regarding nutrient constraints for zinc and iron. Uncertainty intervals for averted DALYs are shown in brackets.

Legends for Figures

FIGURE 1 Daily food category consumption in the observed diets (Obs) and modeled diets in males (panel A), females with "low-to-medium" iron requirements (Fe-) (panel B), and females with high iron requirements (Fe+) (panel C), using either the standard multicriteria optimization model (NFlex) or the goal programming option allowing flexibility regarding the nutrient constraints for zinc and iron (Flex) For clarity, the 45 modeled food groups are not represented here but grouped into broader categories that are included in the Health sub-function (such as red meat, processed meat, soft drinks, grain products, fruit and vegetables) or represent other protein sources (poultry, fish and dairy products), and other food groups have been grouped as "others" (20 groups) and "other drinks" (3 groups). Details are shown in Supplemental Tables 1 and 5.

FIGURE 2 Amount of absorbed iron (upper panel A) and absorbed zinc (lower panel B) under the observed diets (Obs) and modeled diets in males, females with "low-to-medium" iron requirements (Fe-), and females with high iron requirements (Fe+) using either the standard multicriteria optimization model (NFlex) or the goal programming option allowing flexibility regarding nutrient constraints for zinc and iron (Flex)

The solid lines indicate the current reference values for the nutrient and population considered, which are used as the lower bound of the constraint in the NFlex model, and the broken lines indicate the deficiency threshold for the nutrient and population considered that is used as the lower bound of the constraint in the Flex model.