

SCIENTIFIC OPINION

Scientific Opinion on the substantiation of health claims related to 5-hydroxytryptophan (5-HTP) and increase in satiety leading to a reduction in energy intake (ID 4223) pursuant to Article 13(1) of Regulation (EC) No 1924/2006¹

EFSA Panel on Dietetic Products, Nutrition and Allergies (NDA)^{2, 3}

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SUMMARY

Following a request from the European Commission, the Panel on Dietetic Products, Nutrition and Allergies was asked to provide a scientific opinion on a list of health claims pursuant to Article 13 of Regulation (EC) No 1924/2006. This opinion addresses the scientific substantiation of health claims in relation to 5-hydroxytryptophan and increase in satiety leading to a reduction in energy intake. The scientific substantiation is based on the information provided by the Member States in the consolidated list of Article 13 health claims and references that EFSA has received from Member States or directly from stakeholders.

The food constituent that is the subject of the claim is 5-hydroxytryptophan (5-HTP). The Panel considers that 5-hydroxytryptophan is sufficiently characterised.

The claimed effect is “satiety”. The target population is assumed to be the general population. The Panel considers that an increase in satiety leading to a reduction in energy intake, if sustained, might be a beneficial physiological effect.

No references were provided from which conclusions could be drawn for the scientific substantiation of the claim.

On the basis of the data presented, the Panel concludes that a cause and effect relationship has not been established between the consumption of 5-hydroxytryptophan and a sustained increase in satiety leading to a reduction in energy intake.

¹ On request from the European Commission, Question No EFSA-Q-2008-4933, adopted on 08 April 2011.

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KEY WORDS

5-Hydroxytryptophan, satiety, health claims.

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EFSA DISCLAIMER

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INFORMATION AS PROVIDED IN THE CONSOLIDATED LIST

The consolidated list of health claims pursuant to Article 13 of Regulation (EC) No 1924/2006⁴ submitted by Member States contains main entry claims with corresponding conditions of use and literature for similar health claims. EFSA has screened all health claims contained in the original consolidated list of Article 13 health claims which was received by EFSA in 2008 using six criteria established by the NDA Panel to identify claims for which EFSA considered sufficient information had been provided for evaluation and those for which more information or clarification was needed before evaluation could be carried out⁵. The clarifications which were received by EFSA through the screening process have been included in the consolidated list. This additional information will serve as clarification to the originally provided information. The information provided in the consolidated list for the health claims which are the subject of this opinion is tabulated in Appendix C.

ASSESSMENT

1. Characterisation of the food/constituent (ID 4223)

The food constituent that is the subject of the claim is 5-hydroxytryptophan (5-HTP), which is an intermediate metabolite of the essential amino acid tryptophan in the biosynthesis of serotonin.

5-HTP has a molecular weight of 220.23 Da and can be measured using High Performance Liquid Chromatography (HPLC) methods (Lemaire and Adosraku, 2002). Dietary sources of 5-HTP are limited. Whilst it naturally occurs in some foods (including bananas, tomatoes, plums and avocados), the amounts are extremely small. Also, consumption of tryptophan-containing foods does not significantly increase 5-HTP concentrations. 5-HTP is usually consumed in the form of food supplements obtained via solvent extraction from seeds of the African tree *Griffonia simplicifolia* (Vahl ex DC) Baill.

The Panel considers that the food constituent, 5-HTP, which is the subject of the claim, is sufficiently characterised.

2. Relevance of the claimed effect to human health (ID 4223)

The claimed effect is “satiety”. The Panel assumes that the target population is the general population.

Satiety is the decrease in motivation to eat after consumption of food. The effect may persist up to several hours, may reduce energy intake either at the next meal or across the day and, if sustained, may lead to a reduction in body weight.

The Panel considers that an increase in satiety leading to a reduction in energy intake, if sustained, might be a beneficial physiological effect.

3. Scientific substantiation of the claimed effect (ID 4223)

Among the references provided in relation to the claim was a confidential report with insufficient data for a full scientific evaluation and one publication that investigated the effects of 5-HTP on outcomes

⁴ Regulation (EC) No 1924/2006 of the European Parliament and of the Council of 20 December 2006 on nutrition and health claims made on foods. OJ L 404, 30.12.2006, p. 9–25.

⁵ EFSA Panel on Dietetic Products, Nutrition and Allergies (NDA), 2011. General guidance for stakeholders on the evaluation of Article 13.1, 13.5 and 14 health claims. EFSA Journal, 9(4):2135, 24 pp.

other than measures of satiety (reduction of hot flushes). The Panel considers that no conclusions can be drawn from these references for the scientific substantiation of the claim.

In a double-blind, placebo-controlled intervention study (Cangiano et al., 1998), 25 (11 females) overweight non-insulin dependent diabetic outpatients (age range 35-70 years, BMI 25-30 kg/m²), some of whom were taking oral hypoglycaemic medications, were randomised to consume 5-HTP (750 mg/day; n=12) or placebo (corn starch, mannitol and magnesium stearate; n=13) for two consecutive weeks. On days 7 and 14, food intake (assessed by daily weighed dietary records), eating behaviour and body weight were evaluated. The effect of 5-HTP and placebo on appetite ratings was not assessed. The Panel considers that no conclusions can be drawn from this study for the scientific substantiation of the claim.

In a double-blind, placebo-controlled intervention study by Cangiano et al. (1992), 28 obese female subjects (mean age 43.2 years, BMI 30–40 kg/m²) were randomly assigned to receive either 5-HTP (900 mg/day) or a placebo (corn starch, mannitol and magnesium stearate). Interventions were administered in capsule form three times per day 30 minutes before meals for 12 weeks. The study duration was subdivided into two consecutive six-week periods. During the first period no dietary restrictions were imposed, whereas during the second period a 5,040 kJ/day diet containing 53 % carbohydrates, 29 % lipids and 18 % proteins (as % energy) was recommended. During both study periods the participants were asked to report, in a questionnaire, on the presence of a series of symptoms which included early satiety. The Panel notes that this questionnaire was not validated to assess satiety. Subjects were also examined every two weeks to evaluate eating behaviour and body weight. Total daily energy intake and single macronutrient selection were assessed at each time point using a three-day food diary. Subjects were instructed to weigh the food before and after consumption with reports being checked by a next of kin's signatures. The Panel notes that as a result of the placebo group failing to adhere to the dietary restriction in the second study period, the impact of 5-HTP on satiety, food intake and body weight independently of dietary restriction cannot be determined during this phase. Twenty participants, 10 in each study group, completed the study. The Panel notes the high drop-out rate, and that direct statistical comparisons between the intervention and placebo groups with respect to changes in energy intake and body weight were not reported. The Panel considers that no conclusions can be drawn from this study for the scientific substantiation of the claim.

In a double-blind, placebo-controlled cross-over study (Ceci et al., 1989), 19 obese female subjects (mean age 41 years, BMI 30–40 kg/m²) consumed 5-HTP (8 mg/kg/day) and placebo (not specified) in capsules 30 minutes before each meal for five weeks each, with a wash-out period of one week in between. The order of the intervention was randomised. No dietary restrictions were prescribed during the study periods. Subjective self-evaluations of appetite and satiety at lunchtime were obtained twice weekly by the Silverstone test. Food intake and eating behaviour were assessed at the beginning and at the end of the two treatment periods using a three-day weighed dietary record. Dietary records were checked by next of kin's signatures. Body weight was also assessed on a weekly basis. Power calculations were not performed, the primary outcome of the study was not reported, carry-over effects were not addressed, and no adjustments for multiple testing were made. The Panel notes the major limitations of this study and considers that no conclusions can be drawn from it for the scientific substantiation of the claim.

The Panel concludes that a cause and effect relationship has not been established between the consumption of 5-HTP and a sustained increase in satiety leading to a reduction in energy intake.

CONCLUSIONS

On the basis of the data presented, the Panel concludes that:

- The food constituent, 5-hydroxytryptophan (5-HTP), which is the subject of the health claim, is sufficiently characterised.
- The claimed effect is “satiety”. The target population is assumed to be the general population. An increase in satiety leading to a reduction in energy intake, if sustained, might be a beneficial physiological effect.
- A cause and effect relationship has not been established between the consumption of 5-hydroxytryptophan and a sustained increase in satiety leading to a reduction in energy intake.

DOCUMENTATION PROVIDED TO EFSA

Health claims pursuant to Article 13 of Regulation (EC) No 1924/2006 (No: EFSA-Q-2008-4933). The scientific substantiation is based on the information provided by the Member States in the consolidated list of Article 13 health claims and references that EFSA has received from Member States or directly from stakeholders.

The full list of supporting references as provided to EFSA is available on: <http://www.efsa.europa.eu/panels/nda/claims/article13.htm>.

REFERENCES

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- Lemaire PA and Adosraku RK, 2002. An HPLC method for the direct assay of the serotonin precursor, 5-hydroxytryptophan, in seeds of *Griffonia simplicifolia*. *Phytochemical Analysis*, 13, 333-337.

APPENDICES

APPENDIX A

BACKGROUND AND TERMS OF REFERENCE AS PROVIDED BY THE EUROPEAN COMMISSION

The Regulation 1924/2006 on nutrition and health claims made on foods⁶ (hereinafter "the Regulation") entered into force on 19th January 2007.

Article 13 of the Regulation foresees that the Commission shall adopt a Community list of permitted health claims other than those referring to the reduction of disease risk and to children's development and health. This Community list shall be adopted through the Regulatory Committee procedure and following consultation of the European Food Safety Authority (EFSA).

Health claims are defined as "any claim that states, suggests or implies that a relationship exists between a food category, a food or one of its constituents and health".

In accordance with Article 13 (1) health claims other than those referring to the reduction of disease risk and to children's development and health are health claims describing or referring to:

- a) the role of a nutrient or other substance in growth, development and the functions of the body; or
- b) psychological and behavioural functions; or
- c) without prejudice to Directive 96/8/EC, slimming or weight-control or a reduction in the sense of hunger or an increase in the sense of satiety or to the reduction of the available energy from the diet.

To be included in the Community list of permitted health claims, the claims shall be:

- (i) based on generally accepted scientific evidence; and
- (ii) well understood by the average consumer.

Member States provided the Commission with lists of claims as referred to in Article 13 (1) by 31 January 2008 accompanied by the conditions applying to them and by references to the relevant scientific justification. These lists have been consolidated into the list which forms the basis for the EFSA consultation in accordance with Article 13 (3).

ISSUES THAT NEED TO BE CONSIDERED

IMPORTANCE AND PERTINENCE OF THE FOOD⁷

Foods are commonly involved in many different functions⁸ of the body, and for one single food many health claims may therefore be scientifically true. Therefore, the relative importance of food e.g. nutrients in relation to other nutrients for the expressed beneficial effect should be considered: for functions affected by a large number of dietary factors it should be considered whether a reference to a single food is scientifically pertinent.

⁶ OJ L12, 18/01/2007

⁷ The term 'food' when used in this Terms of Reference refers to a food constituent, the food or the food category.

⁸ The term 'function' when used in this Terms of Reference refers to health claims in Article 13(1)(a), (b) and (c).

It should also be considered if the information on the characteristics of the food contains aspects pertinent to the beneficial effect.

SUBSTANTIATION OF CLAIMS BY GENERALLY ACCEPTABLE SCIENTIFIC EVIDENCE

Scientific substantiation is the main aspect to be taken into account to authorise health claims. Claims should be scientifically substantiated by taking into account the totality of the available scientific data, and by weighing the evidence, and shall demonstrate the extent to which:

- (a) the claimed effect of the food is beneficial for human health,
- (b) a cause and effect relationship is established between consumption of the food and the claimed effect in humans (such as: the strength, consistency, specificity, dose-response, and biological plausibility of the relationship),
- (c) the quantity of the food and pattern of consumption required to obtain the claimed effect could reasonably be achieved as part of a balanced diet,
- (d) the specific study group(s) in which the evidence was obtained is representative of the target population for which the claim is intended.

EFSA has mentioned in its scientific and technical guidance for the preparation and presentation of the application for authorisation of health claims consistent criteria for the potential sources of scientific data. Such sources may not be available for all health claims. Nevertheless it will be relevant and important that EFSA comments on the availability and quality of such data in order to allow the regulator to judge and make a risk management decision about the acceptability of health claims included in the submitted list.

The scientific evidence about the role of a food on a nutritional or physiological function is not enough to justify the claim. The beneficial effect of the dietary intake has also to be demonstrated. Moreover, the beneficial effect should be significant i.e. satisfactorily demonstrate to beneficially affect identified functions in the body in a way which is relevant to health. Although an appreciation of the beneficial effect in relation to the nutritional status of the European population may be of interest, the presence or absence of the actual need for a nutrient or other substance with nutritional or physiological effect for that population should not, however, condition such considerations.

Different types of effects can be claimed. Claims referring to the maintenance of a function may be distinct from claims referring to the improvement of a function. EFSA may wish to comment whether such different claims comply with the criteria laid down in the Regulation.

WORDING OF HEALTH CLAIMS

Scientific substantiation of health claims is the main aspect on which EFSA's opinion is requested. However, the wording of health claims should also be commented by EFSA in its opinion.

There is potentially a plethora of expressions that may be used to convey the relationship between the food and the function. This may be due to commercial practices, consumer perception and linguistic or cultural differences across the EU. Nevertheless, the wording used to make health claims should be truthful, clear, reliable and useful to the consumer in choosing a healthy diet.

In addition to fulfilling the general principles and conditions of the Regulation laid down in Article 3 and 5, Article 13(1)(a) stipulates that health claims shall describe or refer to "the role of a nutrient or other substance in growth, development and the functions of the body". Therefore, the requirement to

describe or refer to the 'role' of a nutrient or substance in growth, development and the functions of the body should be carefully considered.

The specificity of the wording is very important. Health claims such as "Substance X supports the function of the joints" may not sufficiently do so, whereas a claim such as "Substance X helps maintain the flexibility of the joints" would. In the first example of a claim it is unclear which of the various functions of the joints is described or referred to contrary to the latter example which specifies this by using the word "flexibility".

The clarity of the wording is very important. The guiding principle should be that the description or reference to the role of the nutrient or other substance shall be clear and unambiguous and therefore be specified to the extent possible i.e. descriptive words/ terms which can have multiple meanings should be avoided. To this end, wordings like "strengthens your natural defences" or "contain antioxidants" should be considered as well as "may" or "might" as opposed to words like "contributes", "aids" or "helps".

In addition, for functions affected by a large number of dietary factors it should be considered whether wordings such as "indispensable", "necessary", "essential" and "important" reflects the strength of the scientific evidence.

Similar alternative wordings as mentioned above are used for claims relating to different relationships between the various foods and health. It is not the intention of the regulator to adopt a detailed and rigid list of claims where all possible wordings for the different claims are approved. Therefore, it is not required that EFSA comments on each individual wording for each claim unless the wording is strictly pertinent to a specific claim. It would be appreciated though that EFSA may consider and comment generally on such elements relating to wording to ensure the compliance with the criteria laid down in the Regulation.

In doing so the explanation provided for in recital 16 of the Regulation on the notion of the average consumer should be recalled. In addition, such assessment should take into account the particular perspective and/or knowledge in the target group of the claim, if such is indicated or implied.

TERMS OF REFERENCE

HEALTH CLAIMS OTHER THAN THOSE REFERRING TO THE REDUCTION OF DISEASE RISK AND TO CHILDREN'S DEVELOPMENT AND HEALTH

EFSA should in particular consider, and provide advice on the following aspects:

- Whether adequate information is provided on the characteristics of the food pertinent to the beneficial effect.
- Whether the beneficial effect of the food on the function is substantiated by generally accepted scientific evidence by taking into account the totality of the available scientific data, and by weighing the evidence. In this context EFSA is invited to comment on the nature and quality of the totality of the evidence provided according to consistent criteria.
- The specific importance of the food for the claimed effect. For functions affected by a large number of dietary factors whether a reference to a single food is scientifically pertinent.

In addition, EFSA should consider the claimed effect on the function, and provide advice on the extent to which:

- the claimed effect of the food in the identified function is beneficial.
- a cause and effect relationship has been established between consumption of the food and the claimed effect in humans and whether the magnitude of the effect is related to the quantity consumed.
- where appropriate, the effect on the function is significant in relation to the quantity of the food proposed to be consumed and if this quantity could reasonably be consumed as part of a balanced diet.
- the specific study group(s) in which the evidence was obtained is representative of the target population for which the claim is intended.
- the wordings used to express the claimed effect reflect the scientific evidence and complies with the criteria laid down in the Regulation.

When considering these elements EFSA should also provide advice, when appropriate:

- on the appropriate application of Article 10 (2) (c) and (d) in the Regulation, which provides for additional labelling requirements addressed to persons who should avoid using the food; and/or warnings for products that are likely to present a health risk if consumed to excess.

APPENDIX B

EFSA DISCLAIMER

The present opinion does not constitute, and cannot be construed as, an authorisation to the marketing of the food/food constituent, a positive assessment of its safety, nor a decision on whether the food/food constituent is, or is not, classified as foodstuffs. It should be noted that such an assessment is not foreseen in the framework of Regulation (EC) No 1924/2006.

It should also be highlighted that the scope, the proposed wordings of the claims and the conditions of use as proposed in the Consolidated List may be subject to changes, pending the outcome of the authorisation procedure foreseen in Article 13(3) of Regulation (EC) No 1924/2006.

APPENDIX C

Table 1. Main entry health claims related to 5-hydroxytryptophan, including conditions of use from similar claims, as proposed in the Consolidated List.

ID	Food or Food constituent	Health Relationship	Proposed wording
4223	Food supplement with 5-hydroxytryptophane (5-HTP)	Satiety	<p>Helps to reduce the caloric intake</p> <p>Assists controlling portions and snacking</p> <p>Promotes the syntheses of serotonin, a known satiety factor</p>
<p>Conditions of use</p> <p>- 2 tablets per day before each meal (300 mg of 5-HTP per day)</p>			

GLOSSARY AND ABBREVIATIONS

BMI Body mass index

HTP Hydroxytryptophan

HPLC High performance liquid chromatography