

# Approaches to reduce zinc and iron deficits in food systems

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## Abstract

There is a deficit of mineral micronutrients in global food systems, known as ‘hidden hunger’, especially in the global south. This review focuses on zinc (Zn) and iron (Fe), whose entry into food systems depends primarily on soil and crop factors. Approaches to increase dietary supplies of Zn and Fe include: (1) supplementation, (2) food fortification, (3) dietary diversification, and (4) crop biofortification, including breeding and fertilizer-based approaches. Supply-based estimates indicate that Zn deficiency might be more widespread than Fe deficiency in sub-Saharan Africa, although there are major knowledge gaps at an individual biomarker level. Recent analytical advances, including the use of stable isotopes of Zn and Fe, can play an increasing role in improving our understanding of the movement of micronutrients in food systems, and thereby help to reduce the immense human cost of ‘hidden hunger’.

Keywords: biofortification, diet, food supply, micronutrient deficiency, micronutrients, stable isotopes

## 1. Introduction

### 1.1 Scope of Review

Micronutrient deficiencies (MNDs) can occur due to inadequate dietary intakes of vitamins and mineral elements, excessive losses, or malabsorption. Also known as ‘hidden hunger’, the consequences of MNDs are often less apparent than energy or protein deficiencies. However, their prevalence is likely to be more widespread than energy/protein malnutrition, with at least 1.5 billion (GBD, 2016), and potentially more than 3 billion (Kumssa et al. 2015a,b), people likely to be affected by one or more MNDs. Micronutrients is a term often used to include any of the >20 essential elements required by humans; the elements most commonly studied are calcium (Ca), copper (Cu), iron (Fe), iodine (I), magnesium (Mg), selenium (Se) and zinc (Zn)

49 (Black et al., 2008; Broadley and White, 2010; Bouis et al., 2011; Muthayya et al., 2013). The  
50 greatest prevalence of most MNDs occurs in less developed countries, including in sub-  
51 Saharan Africa (Muthayya et al., 2013; Joy et al., 2014; Kumssa et al., 2015a,b). However,  
52 estimating the prevalence of MNDs at national and sub-national scales remains a considerable  
53 challenge in terms of selecting appropriate biomarkers of nutritional status, measuring these  
54 in population-level surveys, and linking these with health outcomes. In turn, this constrains the  
55 development of policies to alleviate MNDs, including the application of innovations from the  
56 agriculture/nutrition research sectors.

57

58 The scope of this review is to provide an overview of dietary supplies of Zn and Fe in current  
59 global food systems. Dietary deficiencies of Zn and Fe have been estimated as the 40<sup>th</sup> and  
60 16<sup>th</sup> leading risk factors, respectively, underlying global burden of disease (GBD, 2016). It has  
61 been estimated that Zn and Fe deficiency reduces the Gross Domestic Product (GDP) of  
62 developing countries by 2–5% (Stein, 2014). The potential to develop policies to address  
63 deficits of Zn and Fe in food systems are considered from an agriculture/nutrition perspective,  
64 including the potential to use micronutrient fertilization and crop breeding to benefit human  
65 health.

66

## 67 **1.2. Functions of zinc and iron in humans**

68 An adult human body contains ~2 g of Zn of which ~60% is found in skeletal muscle and 30%  
69 in bone mass (Saltzman et al., 1990). Zinc has many fundamental roles for all life forms  
70 (Broadley et al., 2007), and binds with >900 proteins in the human body (Oliver and Gregory,  
71 2015). The World Health Organization and Food and Agriculture Organization (WHO & FAO,  
72 2004) Reference Nutrient Intake (RNI) for Zn is 14 and 10 mg *capita*<sup>-1</sup> d<sup>-1</sup> for adult males and  
73 females, respectively; the requirements for adolescents are greater. In children, Zn deficiency  
74 increases the incidence and severity of diarrhoea and increases the risk of stunting (Brown et  
75 al., 2009; Mayo-Wilson et al., 2014). There is mixed evidence to suggest an increase in  
76 mortality and morbidity due to lower respiratory tract infections and malaria (Bates et al., 1993;  
77 Salgueiro et al., 2002; Brown et al., 2009; Mayo-Wilson et al., 2014).

78

79 An adult human body contains ~4.0 g of Fe of which ~75% is in the oxygen-transporting  
80 proteins haemoglobin and myoglobin (Bothwell et al., 1979). The redox potential of Fe is  
81 critical in binding and releasing oxygen and for its functions in enzymes including energy,  
82 protein and nucleotide metabolism. The RNI for Fe is 13.7 mg *capita*<sup>-1</sup> d<sup>-1</sup> for adult males  
83 (WHO & FAO, 2004). Dietary requirements are greater for women of reproductive age (up to  
84 29.5 mg *capita*<sup>-1</sup> d<sup>-1</sup> for adolescent females) due to increased blood losses, and during  
85 pregnancy. Recommended intakes of Fe are also greater in cereal-based diets that are low in  
86 animal products, due to the presence of inhibitors of Fe (and Zn, Ca, Mg etc.) absorption, such  
87 as phytate (Gibson et al., 2010; Kumssa et al., 2015a,b). The consequences of dietary Fe  
88 deficiency include Fe-deficiency anaemia (Lynch, 2007), which is defined as low haemoglobin  
89 together with one or more indicators of Fe deficiency, e.g. low body Fe stores (Cook et al.,  
90 2003). Anaemia results in decreased physical capacity (Hass and Brownlie, 2001), and  
91 increased risk of low-birth weight, perinatal and neonatal mortality (Rasmussen, 2001; Kozuki  
92 et al., 2012; Rahman et al., 2016). In children, Fe deficiency impairs cognitive development  
93 and the immune system leading to increased susceptibility to infectious diseases (Oliver and  
94 Gregory, 2015).

95

## 96 **1.3. Prevalence of zinc and iron deficiencies**

97 Various types of data are used to estimate the prevalence of Zn and Fe deficiencies, including  
98 proxies based on (1) national food supply; (2) dietary intake surveys; and (3) health data, and  
99 (4) biomarkers of status. Caution is needed when interpreting single sources of data and a  
100 combination of data sources and approaches is therefore generally considered to be the most  
101 reliable method to assess MND prevalence (e.g. King et al., 2016). For example, food balance  
102 sheets (FBSs; FAO, 2016) represent net *per capita* food supply calculated from national  
103 production, trade, transport losses, storage, non-food uses, livestock feed, etc., but with no  
104 adjustment for household waste or inter- and intra-household variation in access to food (Joy  
105 et al., 2014; Kumssa et al. 2015a,b). Household or individual-level consumption surveys can  
106 also be affected by behavioural factors and systematic misreporting (Rennie et al., 2007;  
107 Archer et al., 2013). Uncertainties about food supply or consumption can also be compounded  
108 by a lack of good quality data on the micronutrient composition of foods, which can be affected  
109 greatly by soil type and cultivation conditions (Joy et al., 2015a).

110  
111 Tissue biomarkers and proxy health data for estimating Zn deficiency can be difficult to  
112 interpret. For example, King et al. (2016) concluded that the prevalence of Zn deficiency in a  
113 population was best achieved using a combination of intake data, plasma/serum Zn  
114 concentration, and height-to-weight ratios (stunting). However, data are often not available at  
115 appropriate scales. Using FBSs for 2011 and United States Department of Agriculture (USDA)  
116 food composition data, the prevalence of inadequate dietary Zn supplies was estimated to be  
117 17% globally (Kumssa et al., 2015b; Fig. 1). The data are consistent with earlier studies  
118 (Wuehler et al., 2005; Wessells and Brown, 2012), including a study in Africa which used more  
119 regional food composition information (Joy et al., 2014), indicating that Zn deficiency is  
120 widespread in low-income countries. Recent studies of tissue biomarkers have shown that the  
121 prevalence of Zn deficiency appears to be higher than that of Fe deficiency in both Ethiopia  
122 (Gashu et al. 2016) and Malawi (Siyame et al., 2013; Gibson et al., 2015).

123  
124 Quantifying the prevalence of Fe deficiency at wide scales can be particularly problematic.  
125 Currently, the prevalence of anaemia is used as a proxy for Fe deficiency with an assumption  
126 that half of all anaemia cases result from Fe deficiency (Stoltzfus et al., 2004 Lynch, 2007).  
127 However, the prevalence of dietary Fe deficiency estimated from food supply was lower than  
128 expected from anaemia rates in continental Africa (Joy et al., 2014; Fig 2). Anaemia is also  
129 caused by other nutritional deficiencies (e.g. vitamin A and folic acid), impaired Fe absorption  
130 or increased Fe losses due to inflammatory and infectious diseases. The regulation of serum  
131 Fe is an important component of the immune system, starving pathogens of Fe (Ward et al.,  
132 2011; Guida et al., 2015); for example, anaemia offers children protection against *Plasmodium*  
133 *falciparum* malaria (Goheen et al., 2016). In a recent review, Petry et al. (2016) pooled data  
134 from 23 nationally-representative surveys of pre-school children and non-pregnant women,  
135 finding that the proportion of anaemia associated with Fe deficiency is typically <<50%,  
136 especially in countries with a high prevalence of anaemia, among rural populations and in  
137 countries with very high inflammation exposure. Progress is being made to define  
138 complementary markers of Fe status including serum ferritin, soluble transferrin receptor and  
139 hepcidin to quantify Fe stores and the adequacy of Fe supplies, although their application in  
140 developing countries has mainly been limited to small-scale studies (Lynch, 2012; Prentice et  
141 al., 2012).

## 142 143 **2. Crop nutrition and Zn and Fe concentrations of edible plant parts**

144 Zinc and Fe are both essential nutrients for plants, and in many low-income settings where  
145 consumption of animal-source foods is low, plant-based foods provide the majority of dietary  
146 Zn and Fe. The quantity of Zn and Fe contained in plant organs depends on several interacting  
147 factors including soil type, plant type and variety, and the growing environment and its  
148 management.

149

## 150 **2.1 Soil type**

151 Soil is the source of most Zn and Fe within plants, so soil type has a major role in determining  
152 the amounts contained in crops. Most soils used for agriculture contain 10–300  $\mu\text{g Zn g}^{-1}$  soil  
153 with the concentration in soil solution ranging from  $10^{-8}$ – $10^{-6}$  M (White and Greenwood, 2013).  
154 Concentrations of Fe in most agricultural soil solutions also range from  $10^{-8}$ – $10^{-6}$  M but only  
155  $10^{-10}$  M in alkaline or calcareous soils (White and Greenwood, 2013). Table 1 summarises the  
156 major soil types and their association with both Zn and Fe deficiency and toxicity. Zinc  
157 deficiency in plants is often associated with alkaline and calcareous soils of high pH, and also  
158 with highly weathered soils, so occurs on a number of soil types. Iron deficiency in plants  
159 occurs on several soil types but is typically associated with low phytoavailability rather than  
160 low abundance *per se* (Fageria, 2009; White and Greenwood, 2013). The concentration of Fe  
161 in soil solution decreases as the redox potential and/or pH increases, with concentrations in  
162 calcareous and alkaline soils (such as the Aridisols and some Entisols and Inceptisols shown  
163 in Table 1) typically 100–1000 times lower than in soils with a pH of 6–7 (Fageria, 2009). It is  
164 estimated that up to one-third of the world's soils used for agriculture are calcareous with the  
165 plants grown on them susceptible to what is called 'lime-induced Fe chlorosis' (White and  
166 Greenwood, 2013; FAO, 2015). Toxicity of Fe occurs in soils with inherently high  
167 concentrations of Fe (such as some Oxisols) but more commonly on other soil types where  
168 flooding or waterlogging occurs resulting in the reduction of ferric Fe to ferrous Fe thereby  
169 increasing its bioavailability to plants. In contrast, Zn toxicity is rare but can occur on some  
170 acidic soils (especially in urban and peri-urban areas) enriched with sewage sludge or land  
171 contaminated by mining or smelting activities (White and Greenwood, 2013).

172

## 173 **2.2 Plant type and variety**

174 The concentration of mineral elements in plant tissues varies between plant taxa growing in  
175 the same environment (Watanabe et al., 2007; White et al., 2012). Whilst phylogenetic studies  
176 of flowering plants (angiosperms) have shown that there can be systematic general  
177 differences between plant families, closely related species and even sub-species can often  
178 have substantially different Zn and Fe concentrations in their tissues. For example, some plant  
179 species can hyperaccumulate Zn in their leaves at concentrations several orders of magnitude  
180 greater than those in closely-related species grown on in the same environment (Broadley et  
181 al., 2007).

182

183 Table 2 shows the range of Zn and Fe concentrations measured in the edible parts of several  
184 crop species grown under field conditions. Typically, the results were for a collection of  
185 different genotypes of the crop, but the environments were different for each crop collection  
186 so that the differences in concentration cannot be ascribed solely to plant species.  
187 Nevertheless, some generalizations can be made. The seeds of most cereals (maize, rice and  
188 wheat) have lower concentrations of Zn and Fe than seeds of legumes (Table 2; White and  
189 Broadley, 2005a; Graham et al., 2012). In addition to taxonomic differences that affect the  
190 ability of plants to accumulate mineral elements, the concentration in edible plant parts is also  
191 influenced by their mobility in the plant. Thus, Zn and Fe are not readily transported in the

192 phloem so that phloem-fed tissues such as tubers, fruits and seeds are frequently poorer  
193 sources of Zn and Fe than the leaves; leafy vegetables are particularly rich sources of Zn and  
194 Fe (White and Broadley, 2009).

195  
196 Several workers have studied the heritability of Zn and Fe concentrations in crops as a means  
197 to identifying the potential for breeding to alleviate deficiencies in human diets. For example,  
198 Blair et al. (2009) used a quantitative trait locus (QTL) approach to identify genomic regions  
199 important in Zn and Fe accumulation in common bean (*Phaseolus vulgaris*) as a prelude to  
200 developing marker assisted selection in breeding programmes. Similarly, Broadley et al.  
201 (2010) identified QTL associated with Zn concentration in shoots of *Brassica oleracea*, but  
202 these were generally weak and markedly influenced by growing conditions. Other approaches,  
203 such as association mapping, have demonstrated promise for enhancing mineral element  
204 concentrations in plants. For example, Velu et al. (2016) found that genomic selection had  
205 moderate to high levels of predictability sufficient to support the potential of breeding for  
206 enhanced Zn and Fe concentrations in bread wheat germplasm.

207  
208 Some studies suggest that the concentrations of mineral elements in edible parts have  
209 decreased over the last 50 years or so (Davis et al., 2004; Davis, 2009; White and Broadley,  
210 2005b). Such decreases are difficult to substantiate precisely because historical data are  
211 confounded by changes in genotype, crop management, environmental factors, analytical  
212 method, and yield. However, decreased concentrations of Zn and Fe in wheat, are coincident  
213 with the introduction of semi-dwarf cultivars in the UK and not with depletion of Zn and Fe in  
214 the soil (Fan et al., 2008).

### 215 216 **2.3 Environment and crop management**

217 It has been known for a long time that growing conditions have large effects on both crop yield  
218 and the quality of produce available for human consumption. Horticultural production often  
219 seeks to minimise these environmental effects to deliver products with defined composition  
220 and market acceptance. Chief among these environmental effects (beside soil, described in  
221 Section 2.1) are the weather (especially rain), the availability of nutrients, and the incidence of  
222 pests and diseases, all of which may also influence Zn and Fe composition of edible plant  
223 parts.

224  
225 Generally, environmental factors that increase plant growth rates reduce the concentrations  
226 of mineral elements in plant organs – known as a ‘yield dilution’ effect (Davis et al., 2004;  
227 Davis, 2009; White and Broadley, 2009). However, inputs of nutrients to increase yield are not  
228 always associated with decreases in mineral element concentrations of edible plant parts. For  
229 example, Monasterio and Graham (2000) reported that grain concentrations of Zn and Fe in  
230 wheat grown on a nitrogen (N)-deficient soil were increased by 8–10  $\mu\text{g g}^{-1}$  when N fertilizer  
231 was applied. They concluded that although there was a trend for new genotypes of wheat to  
232 have lower Zn and Fe concentrations in their grain, this was more than compensated for by  
233 the positive effects of N application. White et al. (2009) summarised the literature for potato  
234 tubers and highlighted that additions of different fertilizers could affect mineral composition in  
235 different ways. Addition of N fertilizers decreased tuber Fe and phosphorus (P) concentrations  
236 whereas application of potassium (K) fertilizers often increased tuber Mg, but reduced P and  
237 Ca concentrations. Furthermore, when different potato genotypes were grown on the same  
238 soil type there was no significant relation between tuber Zn and Fe concentrations and tuber  
239 yield.

240

241 The effects of organic manures and organic systems of production on Zn and Fe  
242 concentrations in edible organs appears to be small. On an Aridisol, Srivastava and Sethi  
243 (1981) found that applications of farmyard manure over a period of three years increased the  
244 amount of soil Zn that was extractable, with a 0.1% increase of soil organic carbon associated  
245 with a 0.2  $\mu\text{g g}^{-1}$  increase of DTPA extractable Zn. However, Warman and Havard (1998) grew  
246 potato and sweet corn crops either conventionally or with the same amounts of N and P in  
247 composts but found no significant effects on Zn or Fe concentrations in tubers or grain. Ryan  
248 et al. (2004) found that on soils with pH about 6, organic management (principally via  
249 applications of rock phosphate) reduced wheat grain yields by 17–84% due to P limitations  
250 and weeds, but grain Zn concentrations were increased by 25–56% with Fe concentrations  
251 not significantly affected. These results demonstrate that there is not a simple relation between  
252 plant size (yield) and mineral element concentration, but rather that there are complex  
253 interactions between the phytoavailability of different elements and their distribution within  
254 plants.

255

256 One interaction that is particularly important for Zn nutrition of plants is that with P, because  
257 applications of P fertilizers can decrease the bioavailability of Zn in soil (Loneragan et al.,  
258 1979). Ryan et al. (2008) found a 33–39% reduction in Zn concentration in wheat grain when  
259 only 20 kg P  $\text{ha}^{-1}$  was applied to a low-P soil; this was a consequence of a dilution of Zn due  
260 to increased grain yield (by an average of 78%); Zn uptake *per se* was not reduced. However,  
261 there are additional physiological interactions within the plant (see Broadley et al. 2012 for  
262 details) that result in Zn deficiency symptoms becoming more severe even though Zn  
263 concentration in tissues may not be decreased (Cakmak and Marschner, 1987). Because of  
264 the narrow range of Zn concentrations in soil solution, optimizing both P and Zn nutrition  
265 remains challenging. Zhang et al. (2015) studied this interaction in a high-yielding winter wheat  
266 system on the North China Plain over two growing seasons and found that P application  
267 significantly increased grain yield, shoot biomass and P concentration in shoots but decreased  
268 Zn concentration. Zhang et al. (2015) concluded that optimal P management in intensive  
269 agricultural systems is needed to ensure both high wheat yields and high concentrations of Zn  
270 in grain for human nutrition.

271

272 The concentration of Fe is typically about three orders of magnitude greater in soil than in  
273 plant tissues. Thus, the presence of even small amounts of contaminated soil may greatly  
274 affect the concentration of Fe when plant tissues are analysed, and indeed consumed. The  
275 contribution of contaminant soil to dietary Fe intakes has been demonstrated in Ethiopia where  
276 the staple grain *teff* (*Eragrostis tef*) is threshed by the hooves of oxen (Harvey et al., 2000),  
277 and extraneous Fe may be an important determinant of Fe status in Malawi (Gibson et al.,  
278 2015). Soil was shown to contribute ~77% and 34% of Fe in leaf and grain samples,  
279 respectively, prior to cooking (Joy et al., 2015a; 2016b).

280

### 281 **3. Factors affecting Zn and Fe bioavailability**

282 A primary cause of Zn and Fe deficiencies is insufficient dietary supply of the element.  
283 However, it is also possible that the quantity of Zn and Fe consumed is sufficient to meet  
284 needs, but that absorption is impaired due to physiological reasons or the presence of large  
285 quantities of anti-nutrients in the diet.

286

287 In humans, various mechanisms support Zn and Fe homeostasis at systemic levels to support  
288 essential functions and protect against toxicity despite wide ranges of intakes. Regulation of  
289 serum Fe is also an important function of immune response to pathogens. Homeostasis of Zn  
290 is maintained through regulating gastrointestinal absorption and endogenous intestinal  
291 excretion (August et al., 1989; Ziegler et al., 1989; Lönnerdal, 2000; King et al., 2000). Other  
292 homeostatic mechanisms may occur with very low Zn intakes or prolonged, marginally  
293 inadequate intakes, including reduced urinary excretion and changes in plasma Zn turnover  
294 (King et al., 2000). Homeostasis of Fe is maintained through regulation of gastrointestinal  
295 absorption, Fe recycling and release from body Fe stores (Collins et al., 2008).

296

297 The bioavailability of Zn and Fe may be affected by other components of the diet. Phytate  
298 forms insoluble complexes with Zn and Fe, inhibiting their absorption in the human intestine.  
299 Phytate is not easily digestible by monogastric animals, such as humans, due to a lack of  
300 endogenous phytase enzymes (Hurrell and Egli, 2010). A phytic acid:Zn molar ratio >15 is  
301 typically used to define diets with inadequate bioavailable Zn (Gibson et al., 2010). The Fe in  
302 plant tissues is found in non-haem forms and its bioavailability is inhibited by tannins, phytate,  
303 polyphenols and other dietary components (McMillian, 2002; Hurrell and Egli, 2010).  
304 Conversely, ascorbic acid may increase the bioavailability of Fe by reducing ferric to ferrous  
305 forms and by acting as a chelate (Conrad and Schade, 1968; Siegenberg et al., 1991). In  
306 meat, ~20–60% of Fe is found in haemoproteins including haemoglobin and myoglobin (Cross  
307 et al., 2012) and this form of Fe is significantly more bioavailable.

308

#### 309 **4. Strategies to increase Zn and Fe concentrations in edible plant parts and in human** 310 **diets**

311 Policy makers can call upon a range of strategies to address human dietary Zn and Fe  
312 deficiencies. There are four main approaches to increase intakes of bioavailable  
313 micronutrients: (1) direct supplementation, (2) food fortification at home or processing stage,  
314 (3) dietary diversification, and (4) crop biofortification, including breeding and fertilizer-based  
315 approaches. Alternative approaches may look to address micronutrient losses or  
316 malabsorption, e.g. due to infection or inflammation, but are considered outside the scope of  
317 this review of Zn and Fe in food systems. The best strategy will, of course, depend upon the  
318 context of the deficiency. For example, a high prevalence of a deficiency in a small population  
319 group might be best addressed with a targeted supplementation scheme, whereas wide-scale  
320 deficiencies might warrant a national food fortification or crop biofortification scheme. The  
321 merits of different approaches can be assessed on the criteria of ‘effectiveness’ and ‘cost-  
322 effectiveness’. The Disability Adjusted Life Year (DALY) framework provides a mechanism to  
323 test effectiveness measured as the reduction in DALYs lost due to deficiency and cost-  
324 effectiveness measured as cost-*per*-DALY saved (Stein, 2014). The relative cost-  
325 effectiveness of interventions, specifically to address Zn deficiency, are summarised in Table  
326 3.

327

##### 328 *4.1 Direct supplementation*

329 Diets can be supplemented with nutrients including Zn and Fe, often in the form of tablets.  
330 This approach may be suitable for specific target groups, e.g. Fe supplements for pregnant  
331 women. However, supply chain issues and poor compliance often undermine the success of  
332 supplementation schemes in addressing widespread, highly prevalent deficiencies (WHO and  
333 FAO, 2006). Supplements are not discussed further as they are considered outside the scope  
334 of this review of Zn and Fe in food systems.

335

#### 336 *4.2 Food fortification*

337 Food fortification can occur during meal preparation, such as the addition of Zn and Fe  
338 'sprinkles' to infants' complementary foods or dishes to be consumed by other at-risk  
339 populations, e.g. pregnant women, young children, individuals suffering HIV/AIDS etc., in  
340 home, school or community-based settings (Zlotkin et al., 2003). Such approaches may be  
341 favoured because they typically require minor changes in behaviour or diets. However, certain  
342 groups may be excluded. For example, disabled children have been shown to have less  
343 access to community-based programmes (Kuper et al., 2015).

344

345 Food fortification can also occur at processing stages and may be mandated by government  
346 or undertaken by individual processors/manufacturers to add value to their products. Staple  
347 foods such as cereal flours, breakfast cereals, cooking oil and salt are typically chosen as food  
348 vehicles. Although the conceptual potential of food fortification for addressing Fe and Zn  
349 deficiencies is clear, especially where the consumption of processed food is high, such  
350 approaches are likely to be less successful in settings where the majority of households  
351 depend on subsistence production, including in much of sub-Saharan Africa and South Asia.  
352 Typically, the consumption of processed foods is greater in wealthier and urban households  
353 while there is greater prevalence of MNDs in poorer and rural households, thus limiting the  
354 effectiveness and equitability of schemes (Fiedler et al., 2013). Mandatory schemes also  
355 require sufficient government capacity to monitor compliance and to ensure that fortificant  
356 levels are sufficient and safe. However, there is also still a general lack of evidence of the  
357 effectiveness of large fortification programmes. A large systematic review of the effectiveness  
358 of Fe fortification of flour found various case studies in Asia and South America, with limited  
359 evidence of a reduction in anaemia prevalence although fortification did consistently reduce  
360 the prevalence of low ferritin in women (Pachón et al., 2015).

361

#### 362 *4.3 Dietary diversification*

363 In many settings, cereals and other starchy staples typically contribute >50% of dietary energy  
364 supply with a low (or seasonal) consumption of animal products, fruits and vegetables,  
365 particularly among poorer households (Joy et al., 2015b). For example, in Ethiopian food  
366 systems, the supply of energy, carbohydrates, protein, Zn, and Fe from cereals was 68, 73,  
367 65, 62 and 74%, respectively (data for 2009; Joy et al., 2014). Dietary diversification can  
368 potentially improve intakes of multiple micronutrients. However, greater consumption of fish  
369 and other nutrient-dense food products in wealthier households suggests that resource  
370 constraints, including household purchasing power, limit dietary diversity and successful  
371 interventions that reach the poorest households are likely to require intensive financial support  
372 and nutrition education (Tontisirin, 2002).

373

#### 374 *4.4 Biofortification*

375 In its broadest definition, biofortification is considered to be the production of crops with greater  
376 bioavailable concentrations of nutrients in their edible portions (White and Broadley, 2009).  
377 This can be achieved by (i) using breeding to develop crops with increased concentrations of  
378 the target nutrient, or decreased concentration of molecules that inhibit absorption such as  
379 phytate, or (ii) using fertilizers.

380

##### 381 *4.4.1 Biofortification through crop breeding*



382 Efficacy of breeding programmes require that variation in the Zn and Fe concentration in the  
383 edible portions of crops are sufficiently heritable and that increased concentrations do not  
384 correlate with decreased yields (Section 2.2). Ultimately, it is also essential that varieties are  
385 readily taken up by farmers. The most successful example of breeding crops for increased Zn  
386 and Fe concentration, and subsequent take-up by farmers has been through the HarvestPlus  
387 programme. Crops released to date include high-Fe bean (*Phaseolus vulgaris*) in Rwanda,  
388 high-Fe pearl millet (*Pennisetum glaucum*) in India, and high-Zn wheat in India and Pakistan  
389 (<http://www.harvestplus.org/> [accessed November 2016]). In 2015, HarvestPlus released 70 t  
390 of high-Zn wheat for seed bulking in Pakistan with a target of 2000 t of seed for the 2016/17  
391 cropping season. In India, farmers received 350 t of high-Zn wheat through partner seed  
392 companies.

393

394 It is likely that crop breeding will be a highly cost-effective solution to addressing Zn and Fe  
395 deficiencies in some food systems. However, the efficacy of high-Zn and Fe crops to alleviate  
396 dietary Zn and Fe deficiencies can be limited by high concentrations of phytate and  
397 polyphenols which co-occur in the edible tissues of crops (Donangelo et al., 2003; Petry et al.,  
398 2012). For example, up to 80% of the P content of seeds occurs as mixed salts of phytic acid  
399 (myo-inositol hexakisphosphate, IP6; Raboy, 2009), collectively termed phytate. In most  
400 countries in sub-Saharan Africa, dietary phytate supplies are likely to exceed 2000 mg *capita*<sup>-1</sup>  
401 *d*<sup>-1</sup> and phytate:Zn molar ratios are likely to exceed 15, indicating widespread risk of Zn  
402 deficiency (Kumssa et al. 2015a,b; Figure 3). This is likely to remain a major constraint to  
403 realising the full potential of crop Zn and Fe biofortification. Crop breeding can also be used  
404 to reduce the phytate content of cereals and legumes and thereby complement other  
405 biofortification strategies (White and Broadley, 2009, Bouis and Welch, 2010; Joy et al., 2014).

406

#### 407 4.4.2 Agronomic Biofortification

408 Agronomic biofortification involves the application of micronutrient-enriched fertilizers to  
409 increase their bioavailable concentrations in the edible portion of crops (Cakmak, 2008; White  
410 and Broadley, 2009). Micronutrients can be applied in combination with commonly-used  
411 granular fertilizers applied to soils, or as foliar sprays. There are often already considerable  
412 reserves of Zn and Fe in soils, albeit of limited phytoavailability. Soil-applied fertilizers are  
413 often fixed rapidly within the interlayer spaces of aluminosilicate clays and/or bind to  
414 negatively-charged manganese oxides in low pH soils, or fixed rapidly to Ca carbonates in  
415 high-pH soils. For soil-applied Zn, it has been shown that applications of organic nutrients  
416 such as cattle manure and woodland litter, in combination with NPK and Zn fertilizers, provided  
417 additional increase in maize grain Zn concentration beyond that expected from the additional  
418 Zn inputs from these sources, presumably through improvements to soil structure (Manzeke  
419 et al., 2012; 2014). To minimise the effects of soil fixation, Fe-chelates have been used as soil  
420 Fe fertilizers (Shuman, 1998; Rengel et al., 1999). Typically, lower amounts of Zn and Fe  
421 fertilizers are needed if foliar forms are used, albeit at a higher cost of application. To reduce  
422 these costs, it may be possible to combine foliar applications of Zn and Fe fertilizers with  
423 pesticide applications for some crops (Ram et al., 2016; Wang et al., 2016).

424

425 Three *ex ante* macro-economic analyses of Zn fertilizer use have recently been published, in  
426 sub-Saharan Africa (Joy et al., 2015c), Pakistan (Joy et al., 2016a) and China (Wang et al.,  
427 2016). These studies all show that Zn fertilizers are highly likely to be a cost-effective way to  
428 increase grain Zn concentration. In Pakistan, increased Zn fertilizer-use scenarios were  
429 explored for the major wheat production areas of Punjab and Sindh Provinces. An estimated

430 245,000 DALYs y<sup>-1</sup> are lost in Punjab and Sindh due to Zn deficiency. The wheat area currently  
431 receiving Zn fertilizers, and actual grain yield responses to Zn of 8 and 14 % in Punjab and  
432 Sindh, respectively, were obtained from a survey of >2500 farmers. Increased grain Zn  
433 concentrations with foliar and granular forms of Zn fertilization, estimated from previous  
434 literature reviews were converted to improved Zn intake in humans and a reduction in DALYs  
435 lost. Application of Zn fertilizers to the full area under wheat production in Punjab and Sindh,  
436 at current soil:foliar usage ratios (70:30), was projected to halve the prevalence of Zn  
437 deficiency, assuming no other changes to food consumption. If each DALY lost to Zn  
438 deficiency was monetised at a single multiple of Gross National Income *per capita* on  
439 purchasing power parity (GNI<sub>PPP</sub>), the additive Benefit-Cost Ratio (BCR) is similar to those for  
440 yield alone (13 and 18 for Punjab and Sindh, respectively). Monetised health benefits dwarf  
441 monetised yield benefits if a 3-fold multiple of GNI<sub>PPP</sub> is used, in line with WHO approaches  
442 (Stein, 2014). In China, it has been estimated that the cost *per* DALY saved could be as little  
443 as US\$ 41, using foliar-applied Zn on wheat combined with pesticides (Wang et al., 2016). It  
444 therefore seems highly likely that there are both market- and subsidy-based incentives, for  
445 yield and health returns, respectively, to increase Zn fertilizer-use in many countries.

446

### 447 **5. Recent advances in quantifying the movement of Zn and Fe in the food chains**

448 There are many techniques to measure Zn and Fe directly in soil, crop, food and human  
449 matrices which can involve both 'wet' and 'dry' chemistry methods (reviewed by van  
450 Maarschalkerweerd and Husted, 2015). Wet chemistry methods involve the total or partial  
451 dissolution of the matrix under investigation followed by analysis using a variety of  
452 spectrometric methods, the most accurate being inductively coupled plasma-mass  
453 spectrometry (ICP-MS). For total elemental analysis, dissolution of the matrix under  
454 investigation requires a strong oxidising agent, e.g. *aqua regia* or hydrofluoric acid. To quantify  
455 plant-available Zn and Fe in soils, weaker extractants are used, depending on soil type. To  
456 quantify bioavailable fractions in humans, food matrices can be digested *in vitro* with enzymes  
457 prior to spectrometric quantification. Dry methods include near and mid-infrared (NIR and MIR)  
458 spectroscopy, chlorophyll fluorescence, and X-ray fluorescence (van Maarschalkerweerd and  
459 Husted, 2015), and these are becoming attractive options for multi-scale soil mapping (e.g.  
460 Hengl et al., 2015).

461

462 Radioactive isotopes of Zn (<sup>65</sup>Zn) and Fe (<sup>55</sup>Fe) have long been used as tracers to study the  
463 movement of these elements in the food chain (e.g. Hendricks and Dean, 1952). In recent  
464 decades, a range of stable isotopes of Zn (e.g. <sup>64</sup>Zn, <sup>66</sup>Zn, <sup>70</sup>Zn) and Fe (<sup>54</sup>Fe, <sup>57</sup>Fe, <sup>58</sup>Fe) have  
465 become the preferred approach. Thus, it is possible to add stable-isotope enriched forms of  
466 Zn and Fe to different parts of the food chain (e.g. fertilizers, crops, foods, people), and to then  
467 track the movement of this 'label' based on the altered ratios compared to natural isotopic  
468 abundances. It is even now possible to study subtle differences in the fractionation of stable  
469 isotopes of Zn and Fe, across physical and biological boundaries, in their naturally-occurring  
470 concentration ranges (Caldelas and Weiss 2016). These approaches were pioneered recently  
471 by studying Zn in soil/plant systems using ultra-sensitive multicollector ICP-MS (MC-ICP-MS)  
472 (Weiss et al., 2005; Arnold et al., 2010; Deng et al., 2014). These techniques have shed new  
473 light on mechanisms of Zn uptake and translocation in plants. For example, Weiss et al. (2005)  
474 showed that the roots of rice, lettuce, and tomato were enriched in <sup>66</sup>Zn ( $\Delta^{66}\text{Zn}_{\text{root-solution}}=0.08\text{--}$   
475  $0.16\text{‰}$ ). This was attributed to (1) preferential adsorption/binding of <sup>66</sup>Zn onto root cell walls  
476 and (2) uptake of isotopically lighter Zn<sup>2+</sup> into root cells and translocation to shoots. Arnold et  
477 al. (2010) showed subsequently that in soils with low Zn available, <sup>66</sup>Zn was enriched in the

478 shoots of a rice variety tolerant to Zn deficiency (RIL46) compared with the soils, and also the  
479 shoots of intolerant plants. They attributed this to the uptake of Zn in the form of complexes  
480 with deoxymugineic acid (DMA). In a survey involving ten species grown in agricultural soil,  
481 the stems, leaves, and grains of strategy I (non-graminaceous species) plants accumulated  
482  $^{54}\text{Fe}$  compared to the soil while those of strategy II plants (graminaceous) were isotopically  
483 heavier in  $^{56}\text{Fe}$  (Guelke-Stelling and von Blanckenburg, 2007).

484

## 485 **6. Concluding remarks**

486 This review highlights widespread deficiencies of both Zn and Fe contributing to widespread  
487 malnutrition and under-achievement of human potential. The wide-scale surveillance of Zn  
488 and Fe deficiency in humans is likely to remain a hugely challenging but essential component  
489 of strategies to alleviate 'hidden hunger' through policy interventions. Several interventions  
490 are possible to reduce the incidence of such deficiencies including increased dietary diversity,  
491 food supplementation and biofortification of crops through breeding and more balanced  
492 fertilizer practices. Further innovative approaches with stable isotopes of Zn and Fe have  
493 considerable potential applications in wider food systems studies to quantify flows within the  
494 system and to increase understanding of crucial processes and mechanisms contributing to  
495 their bioavailability.

496

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502

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850 Table 1 The prevalence of Fe and Zn deficiency and toxicity in USDA soil orders used for  
 851 agriculture (data from USDA (2006); Fageria et al. (2006))  
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Soil order	Distinguishing features	Zn	Fe
Alfisols	Moderately weathered soils that have a horizon in which clay-sized particles have accumulated. Common under boreal forests and in the humid semi-tropics. Occupy 9.6% of global land area	Deficiency	Deficiency
Andisols	Formed from volcanic ejections; high in poorly crystalline Fe and Al minerals. Occupy 0.7% of global land area	-	-
Aridisols	Dry soils found commonly in arid regions. Can have a variety of horizons but pale colours are common. Occupy 12.7% of global land area	-	Deficiency
Entisols	These soils have the least development of soil horizons. Pale colours are common. Occupy 16.3% of global land area	Deficiency	Deficiency; toxicity in some river deposits
Histosols	Soils in which either half of the upper 80 cm is organic material or if organic soil material of any thickness rests on rock or fragmented material infilled with organic materials. Common in wetlands. Occupy 1.2% of global land area	-	-
Inceptisols	Similar to an Entisol but have a clear distinction between upper and sub-surface horizons. Common on eroded or young deposits. Occupy 9.9% of global land area	Deficiency	Deficiency; some toxicity in wet areas
Mollisols	Soils with a surface horizon of mineral matter that is finely structured and dark in colour. Common in grasslands. Occupy 6.9% of global land area	Deficiency	Deficiency; some toxicity in wet areas
Oxisols	Very weathered soils with low nutrient availability dominated by Al and Fe oxides; typically red. Common in old landscapes of the	-	Toxicity

	tropics. Occupy 7.6% of global land area		
Spodosols	Typically have a sub-surface horizon that is continuously cemented by some combination of organic matter, Fe or Al. Often with both light and dark horizons, and acidic. Occupy 2.6% of global land area	Deficiency	-
Ultisols	Must have a sub-surface horizon in which clay has accumulated; typically red. Common in subtropical regions. Occupy 8.5% of global land area	Deficiency	Deficiency; some toxicity
Vertisols	Soils with >30% clay to a depth of 50 cm or more. Typically crack in the dry season, self-mulch at the surface and mix soil materials to depth. Often black but can be red. Occupy 2.4% of global land area	-	Deficiency

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855 Table 2 Typical concentrations of Fe and Zn in the dry tissue of edible plant parts  
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<b>Crop</b>		<b>Fe (<math>\mu\text{g g}^{-1}</math>)</b>	<b>Zn (<math>\mu\text{g g}^{-1}</math>)</b>	<b>Source</b>
<b>Cereals</b>				
Barley	<i>Hordeum vulgare</i>	22.6-36.7	20.0-49.7	El-Haramein and Grando (2008)
Maize	<i>Zea mays</i>	16.4-22.9 (mean 19.6)	14.7-24.0 (mean 19.8)	Welch and Graham (2004)
Rice	<i>Oryza sativa</i>	7.5-24.4	13.5-58.4	Welch and Graham (2004)
Sorghum	<i>Sorghum bicolor</i>	11.0-95.4	11.2-75.8	Badigannavar et al. (2016)
Wheat	<i>Triticum aestivum</i>	28.8-56.5 (mean 37.2)	25.2 – 53.3 (mean 35.0)	Welch and Graham (2004)
<b>Legumes</b>				
Chickpea	<i>Cicer arietinum</i>	24-41	35-60	Zia-ul-Haq et al (2007)
Common bean	<i>Phaseolus vulgaris</i>	34-89 (mean 55)	21-54 (mean 35)	Welch and Graham (2004)
Common bean	<i>Phaseolus vulgaris</i>	40.0-84.6	17.7-42.4	Blair et al (2009)
Pea	<i>Pisum sativum</i>	23-105	16-107	Grusak and Cakmak (2005)
Soybean	<i>Glycine max</i>	38.4-90.6 (mean 70.4)	31.5-39.3 (mean 34.1)	Wiersma and Moraghan (2013)
Soybean	<i>Glycine max</i>	58-163 (mean 78)	31-48 (mean 40)	Oliveira et al. (2016)
<b>Roots and tubers</b>				
Cassava	<i>Manihot esculenta</i>	6-230	3-38	Chávez et al. (2005)
Potato	<i>Solanum tuberosum</i>	9-37	8-20	Burgos et al. (2007)
Potato	<i>Solanum tuberosum</i>	32-374	7-17	White et al. (2009)
<b>Vegetables</b>				

Spinach

*Spinacia oleracea* 50-139

31-387

Grusak and  
Cakmak (2005)

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860 Table 3. Estimated cost per DALY saved for a range of food system approaches to alleviate  
 861 Zn and Fe deficiencies

Intervention	Cost per DALY saved (US \$)	Notes	Source
Granular fertilizer	773-6457	sub-Saharan Africa	Joy et al., 2015c
Foliar fertilizer	81-575	sub-Saharan Africa	Joy et al., 2015c
Soil + foliar fertilizer	256-549	Pakistan (Punjab and Sindh Provinces)	Joy et al., 2016a
Foliar (with pesticide)	41-594	China	Wang et al. 2016
Crop breeding	0.7-7.3	India	Stein et al., 2006
Supplements	65-2758	Prophylactic, 1-4 years	Fink & Heitner, 2014
Flour fortification	401	Zambia, vitamin A, Fe, Zn	Fielder et al., 2013

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866 **Legends to Figures**

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869 Fig. 1. Global supply data and deficiency risks for Zn at a national scale, redrawn from  
870 Kumssa et al 2015b. Data are from 2011, except for Democratic Republic of Congo (DRC)  
871 which uses data from 2009; Sudan data used for South Sudan.

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873 Fig. 2. Supply data and deficiency risks for Fe in Africa, redrawn from Joy et al. (2014). Data  
874 are from 2009.

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876 Fig. 3. Global estimates of phytate : zinc molar ratios in national level food supplies, redrawn  
877 from Kumssa et al (2015b). Data are from 2011, except for DRC which is from 2009; Sudan  
878 data used for South Sudan.

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