

that the acutely toxic effects may be caused by the [REDACTED] surfactant alone, too, and that toxicity may be even enhanced when complete Roundup formulations were tested.

Furthermore, according to the information available to the Rapporteur, the cases of severe or even fatal intoxication were related to the ingestion of glyphosate products containing [REDACTED] surfactant. Sawada and Nagai (1987, Z35531) reported two cases of human poisonings with surfactants causing clinical signs resembling very much those observed after ingestion of large amounts of Roundup.

A possible potentiation of toxicity of glyphosate IPA salt and POEA in animals was reported by [REDACTED] (1991, Z80636) who tested the acute oral toxicity of Roundup formulations in rats. Using the intratracheal route of administration being of clinical relevance in cases of aspiration, the same authors observed a marked toxic effect of Roundup and of POEA alone to the lungs but this was much less pronounced with Polysorbate-80, i.e. another non-ionic surfactant.

Mucosal irritation in the respiratory tract caused by [REDACTED] surfactant may be also behind the much lower threshold level for adverse effects of a Roundup formulation as compared to glyphosate a.i. upon subacute inhalative exposure (see section B.5.3.3.2 in the monograph, also reported by WHO/IPCS in 1994, TOX9500301).

A statement of the notifier Monsanto was submitted to the Rapporteur in October, 1998. In this paper, it is suggested that the toxic and cytotoxic effects of polyoxyethylenamine (POEA) were responsible for the observed adverse effects on health and environment. Since it is an important objective to use environmentally safe and less toxic products, the polyoxyethylen [REDACTED] surfactants were replaced at least in some Monsanto products by others. The company stated that this decision was mainly based on the eye irritation potential and the aquatic toxicity related to the formerly used substances. Accordingly, in the formulations for which toxicological data have been submitted as part of the joint dossier of Monsanto and Cheminova, surfactants of this type are not contained any more. Indeed, cytotoxicity of other surfactants, e.g. Dodigen 4022, and their potential to cause acutely toxic or irritating effects are much lower as compared to POEA.

Thus, it can be expected that the replacement of toxic and irritating surfactants like POEA by other and less critical substances may reduce the risk of death or severe health effects following intentional or accidental ingestion of glyphosate products as well as the severity of eye or respiratory tract irritation.

Recently, the notifier Monsanto provided a new assessment explaining that POEA is a group of chemicals not all capable of causing adverse effects. It is suggested that only particular substances belonging to this group might be responsible for the toxic effects described in this addendum. However, since this is clearly relevant for assessment of formulations but not for health evaluation of the active ingredient, this item should be considered on a Member state level.

B.6.4.8 Published data (released since 2000)

B.6.4.8.1 Introduction

An earlier review of the toxicity of glyphosate and the original Roundup™ formulation concluded that neither glyphosate nor the formulation pose a risk for the production of

heritable/somatic mutations in humans (Williams et al., 2000, ASB2012-12053). This review of subsequent glyphosate genotoxicity publications includes analysis of study methodology and incorporation of all the findings into a weight of evidence for genotoxicity. Two publications provided limited additional support for the conclusion that glyphosate and glyphosate based formulations (GBFs) are not active in the gene mutation assay category. The weight of evidence from *in vitro* and *in vivo* mammalian chromosome effects studies supports the earlier conclusion that glyphosate and GBFs are predominantly negative for this end point category. Exceptions are mostly for unusual test systems but there are also some unexplained discordant positive results in mammalian systems. Several reports of positive results for the SCE and comet DNA damage endpoints have been published for glyphosate and GBFs. The data suggest that these DNA damage effects are likely due to cytotoxic effects rather than DNA reactivity. This weight of evidence review concludes that there is no significant *in vivo* genotoxicity and mutagenicity potential of glyphosate or GBFs that would be expected under normal exposure scenarios.

B.6.4.8.2 General review and analysis considerations

The published studies for review consideration were identified by literature searches for published reports containing references to glyphosate or glyphosate based formulations (GBFs) that also contained searchable terms which indicated that genotoxicity studies were performed. Literature search utilised Chemical Abstracts (provided by Chemical Abstracts Service, a division of the American Chemical Society) and Web of Knowledge (Thompson Reuters), using the following modules: Web of ScienceSM, BIOSIS Previews®, MEDLINE®, and CAB Abstracts® (CABI) abstracting services. Search criteria were as follows (glyphosate acid and the various salts): glyphosat* OR glifosat* OR glyfosat* OR 1071-83-6 OR 38641-94-0 OR 70901-12-1 OR 39600-42-5 OR 69200-57-3 OR 34494-04-7 OR 114370-14-8 OR 40465-66-5 OR 69254-40-6 OR (aminomethyl w phosphonic*) OR 1066-51-9. Each identified publication was evaluated to verify that it contained original results of one or more genotoxicity studies on glyphosate or GBFs. Emphasis was placed on publications in peer-reviewed journals and abstracts or other sources with incomplete information were not considered. Reviews without original data were not considered for evaluation; however, these reviews were examined to determine if there were any cited publications that had not been detected in the literature searches.

Each relevant publication was examined using several criteria to characterize the scientific quality of the reported genetic toxicology studies. Useful, objective criteria for this purpose were international guidelines for genetic toxicology studies developed by expert groups. These include principles for conducting studies, reporting results and analyzing and interpreting data. Some of the principles of the guidelines are generally applicable to categories of studies or all studies while others are specific for a particular type of test system and end point. Some of the specific types of studies encountered in the review do not yet have international guidelines; however, some of the guideline elements should be generically applicable to these studies. The guidelines for genetic toxicology tests developed for the Organisation for Economic Cooperation and Development (OECD) are a pre-eminent source of internationally agreed and expert guidelines. Other regulatory international and national regulatory genetic toxicology testing guidance are usually concordant with the OECD guidelines. Table B.6.4-28 presents some key OECD guideline criteria that were found to be relevant to analysis of the studies considered in this review.

Comparison of the published studies to the criteria in guidelines used for regulatory purposes does not represent an absolute judgment standard but it does serve to provide one means of

characterization of the various published studies. Some of the criteria are rarely met in scientific publications. For example, data for individual cultures and individual animals are not commonly included in publications in scientific journals. These data are presumably collected but are usually summarised as means with a measure of variance for the treatment and control groups. This is not considered to be a significant omission in a scientific publication. However, other guideline features are more essential in demonstrating scientific quality standards and should be considered as having greater weight in evaluating a study. For example, there are consistent recommendations that assays involving visual scoring (e.g. chromosome aberration, micronucleus and sister chromatid exchange) should use slides that are independently coded so that scoring is performed without knowledge of the treatment or control group being scored. This guidance is good scientific practice and studies that do not include a description of coding or “blind” scoring in the methodology would appear to have a deficiency either in the methodology or the description of the methodology used. Other examples of guideline features that have clear experimental scientific value are the use of concurrent negative and positive controls and concurrent measurement and reporting of toxicity endpoints in main experiments, especially in *in vitro* mammalian cell assays.

Test materials, as described in the publications, were reviewed by industry experts to identify any publicly available and useful information on composition for the reported formulations to assist in interpreting the relevance of findings to glyphosate and/or formulation components. It should be noted that a common problem encountered in the published literature is the use of the terms “glyphosate”, “glyphosate salt” or “Roundup” to indicate what may be any GBF that contains additional components such as surfactants. Published results from studies with different formulations have sometimes been incorrectly or inappropriately attributed to the active ingredient. The original Roundup formulation (MON 2139), containing 41 % isopropyl amine glyphosate salt and 15.4 % MON 0818 (a polyethoxylated [REDACTED] based surfactant blend), is no longer sold in many markets. However, other glyphosate based formulations are sold under the Roundup brand name with varying glyphosate forms, concentrations and surfactant systems. Clear identification of the test material is very important in toxicology studies because toxicity of formulations can be dramatically different than the active ingredient. The fact that test materials identified as Roundup formulations may actually have different compositions should be considered when comparing results of different studies. A major consideration, especially for DNA damage endpoints and for *in vitro* mammalian cell assays, is an assessment of whether observed effects might be due to toxicity or extreme culture conditions rather than indicating DNA-reactive mediated processes. Relevant considerations include control of medium pH and osmolality for *in vitro* mammalian cell studies and whether effects are observed only at cytotoxic doses or in association with severe toxicity to the test system. Other important generic considerations in evaluating experimental results of each published study are evidence of experimental reproducibility and whether a biologically plausible dose response has been demonstrated.

Table B.6.4-28: Genetic Toxicology Test Guideline Criteria

Area	Guidance	Reference
All studies	Test material purity and stability should be reported	OECD 471 (1997) OECD 473 (1997)
	Concurrent negative and positive controls should be included with each assay	
Assays with visual scoring	All slides should be independently coded before analysis (i.e. scored without knowledge of the treatment or control group)	OECD 473 (1997) OECD 479 (1986)
<i>In vitro</i> mammalian cell assays	Assay should be usually be conducted in the presence and absence of an appropriate exogenous metabolic activation system	OECD 473 (1997)
	Cytotoxicity should be determined in the main experiment	

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	At least three analyzable concentrations should be used	
	Maximum dose determined by toxicity or 5 µg/ml, 5 mg/ml or 10 mM for soluble non-toxic test materials	
	Individual culture data should be provided	
<i>In vivo</i> mammalian assays	Five analyzable animals per group. Single sex may be used if there are no substantial difference in toxicity between sexes	OECD 475 (1997) OECD 474 (1997)
	Limit dose for non-toxic substances of 2000 mg/kg for treatments up to 14 days and 1000 mg/kg for treatments longer than 14 days	
<i>In vitro</i> chromosome aberration	Treatment for 3-6 hours in one experiment and harvest at 1.5 cell cycles. If negative a second experiment with continuous treatment for 1.5 cell cycles	OECD 473 (1997)
	Scoring of at least 200 metaphases ideally divided between duplicate cultures	
<i>In vitro</i> sister chromatid exchange	Treatment for 1-2 hours up to two cell cycles with harvest after two cell cycles in the presence of bromodeoxyuridine	OECD 479 (1986)
	Scoring of 25 metaphases per culture (50 per treatment group)	
<i>In vitro</i> micronucleus	Most active agents detected by treatment for 3-6 hours with harvest at 1.5-2 cell cycles after treatment. An extended treatment for 1.5-2 cycles in the absence of metabolic activation is also used	OECD 487 (2010)
	Scoring of at least 2000 binucleated cells or cells for micronuclei for each treatment or control group	
<i>In vivo</i> bone marrow chromosome aberration	Single treatment with first harvest at 1.5 cell cycles after treatment and second harvest 24 hour later or single harvest 1.5 cycles after last treatment for multiple daily treatments	OECD 475 (1997)
	Three dose levels usually recommended except when limit dose produces no toxicity	
	Concurrent measures of animal toxicity and toxicity to target cells	
	At least 100 cells analyzed per animal	
	Individual animal data should be reported	
<i>In vivo</i> erythrocyte micronucleus	Three dose levels for first sampling time	OECD 474 (1997)
	Treatment once with at least 2 harvests usually at 24 and 48 h after treatment or one harvest 18-24 h after final treatment if two or more daily treatments are used	
	Scoring of 2000 immature erythrocytes per animal or 2000 mature erythrocytes for treatments of 4 weeks or longer	

Table B.6.4-29 presents a summary of genotoxicity test results for glyphosate and GBFs published subsequent to Williams et al. (2000, ASB2012-12053). Test results are organised by the major genotoxicity assay categories of gene mutation, chromosome effects and DNA damage and other end points. Major features presented for each publication are the assay endpoint, the test system, the test material, the maximum dose tested and comments relevant to the reported conduct and results of the assay. For brevity, earlier reviewed individual publications of genotoxicity study results are referred to by citation of (Williams et al., 2000, ASB2012-12053) rather than the original references reviewed in (Williams et al., 2000, ASB2012-12053).

Table B.6.4-29: Genetic toxicology studies of glyphosate and glyphosate formulations published on or after 2000

End point	Test System	Test Material	Maximum Dose	Result	Comment ^a	Reference
<i>In Vitro Gene Mutation</i>						

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End point	Test System	Test Material	Maximum Dose	Result	Comment ^a	Reference
Point mutation	Ames strains	Perzocyd 10 SL formulation	2 µg/plate (toxic)	Negative	TA1535 not used	Chruscielska et al., 2000, (ASB2013-9830)
Wing spot test	Drosophila	glyphosate (96%)	10 mM in larval stage	Negative/ inconclusive ^c	Negative or inconclusive in crosses not sensitive to recombination events	Kaya et al., 2000, (ASB2013-9832)
<i>In Vitro Chromosome Effects—Mammalian Systems</i>						
Cytokinesis block micronucleus	Bovine lymphocytes	Glyphosate formulation (62% glyphosate Monsanto source)	560 µM 48 h –S9	Positive?	PH, MA, SC, TO	Piesova, 2004 (ASB2012-12001)
Cytokinesis block micronucleus	Bovine lymphocytes	Glyphosate formulation (62% glyphosate Monsanto source)	560 µM 48 h –S9 2 h –S9 2 h +S9	Positive? Negative Negative	PH, SC, TO	Piesova, 2005 (ASB2012-12000)
Chromosome aberration	Mouse spleen cells	herbazed formulation	50 µM?	Positive	Concentrations used not clear. PH, MA, SC, TO, RE	Amer et al., 2006 (ASB2012-11539)
Chromosome aberration	Bovine lymphocytes	Glyphosate formulation (62% glyphosate) Monsanto source	1.12 mM (toxic) (24 h)	Negative	Chromosome 1 FISH analysis. PH, MA, PC, SC, TO, RE	Holeckova, 2006 (ASB2012-11847)
Chromosome aberration	Bovine lymphocytes	Glyphosate formulation (62% glyphosate) Monsanto source	1.12 mM (toxic) (24 h)	Negative	PH, MA, SC, RE	Sivikova and Dianovsky, 2006 (ASB2012-12029)
Chromosome aberration	Human lymphocytes	Glyphosate (96%)	6 mM (not toxic)	Negative	MA, IC, RE	Manas et al., (2009 ASB2012-11892)
Cytokinesis block micronucleus	Human lymphocytes	Glyphosate (technical, 96%)	580 µg/mL (toxic) (est. 3.43 mM)	Negative (-S9) Positive (+S9)	SC, RE	Mladinic et al., 2009 (ASB2012-11906)
Cytokinesis block micronucleus	Human lymphocytes	Glyphosate (technical, 96%)	580 µg/mL (toxic) (est. 3.43 mM)	Negative (-S9) Positive (+S9)	SC, RE	Mladinic et al., 2009 (ASB2012-11907)
<i>In Vitro Chromosome Effects—Non Mammalian Systems</i>						
Chromosome aberration	Onion root tip meristem	Roundup formulation (Bulgaria)	1% active ingredient (estimated)	Negative	TO, IC, RE	Dimitrov et al., 2006 (SB2012-

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End point	Test System	Test Material	Maximum Dose	Result	Comment ^a	Reference
			4.4-5.9 mM)			11607)
Micronucleus	Onion root tip meristem	Roundup formulation (Bulgaria)	1% active ingredient (estimated 4.4-5.9 mM)	Negative	TO, RE	Dimitrov et al., 2006 (SB2012-11607)
<i>In Vivo Chromosome Effects—Mammalian Systems</i>						
Bone marrow erythrocyte micronucleus	Mouse	Glyphosate	300 mg/kg i.p. Perzocyd 10 SL formulation	Negative Negative	DL, TO, SC, IM, RE DL, TO, SC, IM, RE	██████████ ██████████ 2000, (ASB2013-9830)
Bone marrow erythrocyte micronucleus	Mouse	Roundup 69 formulation	2 x 200 mg/kg i.p.	Negative	TO, SC, IE, RE	██████████ ██████████ ██████████ ██████████ 2000 (ASB2013-11477)
Bone marrow erythrocyte micronucleus	Mouse	Roundup™ formulation (Monsanto)	2 x 200 mg/kg i.p.	Negative	TO, SC, IE, RE	██████████, 2002 (SB2012-11834)
Bone marrow Chromosome aberration	Rabbit	Roundup™ formulation	750 ppm in drinking water	Positive?	DL, PC, TO, SC, IC	██████████ ██████████ 2005 (ASB2012-11841)
Bone marrow Chromosome aberration	Mouse	Herbazed formulation (84% glyphosate)	50 mg/kg i.p. (1,3, 5 days) 100 mg/kg oral (1,7, 14, and 21 days)	Negative Positive	TO, SC, RE	██████████ ██████████ 2006 (ASB2012-11539)
Spermatocyte Chromosome aberration	Mouse	Herbazed formulation (84% glyphosate)	50 mg/kg i.p. (1,3, 5 days) 100 mg/kg oral (1,7, 14, and 21 days)	Negative Positive	TO, SC, RE	██████████ ██████████ 2006 (ASB2012-11539)
Bone marrow Chromosome aberration	Mouse	Roundup formulation (Bulgaria)	1080 mg/kg p.o. (1/2 LD50)	Negative	DL, TO, IC, RE	██████████ ██████████ 2006 (ASB2012-11607)
Bone marrow erythrocyte micronucleus	Mouse	Analytical glyphosate (96%)	2 x 200 mg/kg i.p.	Positive	Erythrocytes scored? TO, SC, IC, RE	██████████ ██████████ 2009 (ASB2012-11892)
Bone marrow	Mouse	Roundup™	50 mg/kg	Positive	DL, SC, IC, RE	██████████

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End point	Test System	Test Material	Maximum Dose	Result	Comment ^a	Reference
Chromosome aberration		formulation (Monsanto)	i.p.			█, 2009 (ASB2012-12005)
<i>In Vivo Chromosome Effects—Non-Mammalian Systems</i>						
Erythrocyte micronucleus	Oreochromis niloticus (Tilapia)	Roundup 69	170 mg/kg i.p. (maximum tolerated)	Negative?^c	TO, RE	█ █ █ █ 2000 (ASB2013-11477)
Wing spot test	Drosophila	Glyphosate (96%)	10 mM in larval stage	Positive/inconclusive^b		█ 2000 (ASB2013-9832)
Erythrocyte micronucleus	Tilapia	Roundup™ formulation (Monsanto)	170 mg/kg (abdominal injection)	Positive	TO, RE	█ 2002 (ASB2012-11834)
Erythrocyte micronucleus	Crassus auratus (goldfish)	Roundup formulation	15 ppm glyphosate in water (2, 4 and 6 days)	Positive	TO, IE, RE	█ █ 2007 (ASB2012-11587)
	Prochilodus lineatus (tropical fish)	Roundup™ formulation (75% of 96 h LC50)	10 mg/l (6, 12 and 24 h) in water	Negative	DL, TO, SC, RE	█ █ 2008 (ASB2012-11586)
Erythrocyte micronucleus	Caiman eggs	Roundup® Full II formulation	1750 ug/egg	Positive	RE	█ █ 2009 (ASB2012-12002)
Erythrocyte micronucleus	Caiman eggs	Roundup® Full II formulation	Sprayed 2x with 100 litres of 3%/ha 30 days apart	Positive	DL, TO, RE	█ █ 2009 (ASB2012-12002)
Micronucleus (and alkaline SCGE)	Fish (Guppy)	Roundup® Transorb	5.65 µg/l	Positive		█ █ 2013 (ASB2014-7617)
<i>In Vitro DNA Damage Mammalian Systems</i>						
Alkaline SCGE	GM38 human fibroblasts and HT1090 human fibrosarcoma	Glyphosate (technical grade)	6.5 mM	Positive	MA, PH, TO, SC, RE	Monroy et al., 2005 (ASB2012-11910)
Sister chromatid exchange	mouse spleen cells	herbazed formulation	50 µM?	Positive	Concentrations used not clear MA, PH, TO, SC, RE	Amer et al., 2006 (ASB2012-11539)
Sister chromatid exchange	bovine lymphocytes	Glyphosate formulation (62%)	1.12 mM (toxic)	Positive	PH, SC, RE	Sivikova and Dianovsky,

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End point	Test System	Test Material	Maximum Dose	Result	Comment ^a	Reference
		glyphosate, Monsanto)				2006 (ASB2012-12029)
Alkaline single cell gel electrophoresis (SCGE, comet)	Hep-2 cells	Glyphosate (analytical, 96%)	7.5 mM (limited by toxicity)	Positive	MA, PH, RE	Manas et al., 2009 (ASB2012-11892)
Alkaline SCGE	Human lymphocytes	Glyphosate (technical, 96%)	580 µg/ml (toxic) (est. 3.43 mM)	Positive (-S9) Positive (+S9)		Mladinic et al., 2009 (ASB2012-11906)
SCGE	Human lymphocytes (compared with Tilapia erythrocytes and Tradescantia nuclei)	Glyphosate (96%)	700 µM	Positive (according to authors)	Inconsistent and not clear dose dependent	Alvarez-Moya et al., 2014 (ASB2014-6902)
SCGE	Human buccal epithelial cells	Glyphosate (95%) and Roundup Ultra Max	200 mg/l	Positive	Higher activity of formulation than pure a. s.	Koller et al., 2012 (ASB2014-7618)
<i>In Vitro DNA Damage Non-Mammalian Systems</i>						
SOS	E. coli	Roundup BIO formulation	2.5 ug/sample	Positive		Raipulis et al. 2009 (ASB2012-12008)
Alkaline SCGE	Tradescantia flowers and nuclei	Glyphosate(technical, 96%)	700 µM	Positive	PH, SC	Alvarez-Moya et al., 2011 (ASB2012-11538)
<i>In Vivo DNA Damage Mammalian Systems</i>						
Spermatocytes and bone marrow	Mouse	herbazed formulation (84% glyphosate)	200 mg/kg p.o.	Positive	TO, SC, RE	Amer et al., 2006 (ASB2012-11539)
SCGE blood cells, liver cells,	Mouse	Glyphosate (96%) and AMPA	400 mg/kg bw/day Glyphosate or 100 mg/kg bw/day AMPA	Glyphosate and AMPA positive		Manas et al., 2013 (ASB2014-6909)
<i>In Vivo DNA Damage Non-Mammalian Systems</i>						
Erythrocyte alkaline SCGE	Crassus auratus (goldfish)	Roundup formulation	15 ppm glyphosate in water (2, 4 and 6 days)	Positive	TO, RE	██████████ ██████████ 2007 (ASB2012-11587)
Erythrocyte and gill cell alkaline SCGE	Prochilodus lineatus (tropical fish)	Roundup™ formulation (75% of 96 h LC ₅₀)	10 mg/l (6, 12 and 24 h) in water	Positive	DL, TO, RE	██████████ ██████████ 2008 (ASB2012-11586)
Erythrocyte	Caiman	Roundup®	1750	Positive	RE	██████████

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End point	Test System	Test Material	Maximum Dose	Result	Comment ^a	Reference
alkaline SCGE	eggs/hatchlings	Full II formulation	µg/egg			■, 2009 (ASB2012-12002)
Erythrocyte alkaline SCGE	European eel	Roundup formulation	166 µg/liter	Positive	DL, SC, RE	■ 2010 (ASB2012-11836)
Erythrocyte alkaline SCGE	Caiman eggs/hatchlings	Roundup® Full II formulation	Sprayed 2x with 100 l of 3%/ha 30 days apart	Positive	DL, RE	■ 2009 (ASB2012-12002)
SCGE blood cells	European eel	Roundup Ultra and Glyphosate and POAE	116 µg/l 35.7 µg/l 18.6 µg/l	positive	No increased effect of glyphosate in combination with POAE	Guilherme et al., 2012 (ASB2014-7619)
SCGE	Fish (Prochilodus)	Roundup Transorb and Glyphosate	5 mg/l 2.4 mg/l	positive	Inconsistent and not clearly dose dependent	Moreno et al., 2014 (ASB2014-7522)

^a MA, Mammalian metabolic activation system not used and short exposure not used;
 PH, no indication of pH or osmolality control;
 DL, less than three dose levels used; PC, no concurrent positive control;
 TO, no concurrent measurement of toxicity reported or toxicity not observed for highest dose level;
 SC, independent coding of slides for scoring not indicated for visually scored slides;
 IC, less than 200 cells scored per treatment or less than 100 metaphases scored per animal for chromosome aberrations.;
 IE, less than 2000 erythrocytes scored per animal;
 RE, results not reported separately for replicate cultures or individual animals;
^b Positive for small wing spots only in one cross. Negative or inconclusive for all spot categories for three other crosses.
^c Statistically significant increase in micronucleated PCE frequency only at mid dose level but overall result judged negative.

A new comprehensive review on genotoxicity studies of glyphosate and glyphosate-based formulations was submitted by Kier and Kirkland (2013, ASB2014-9587). The authors concluded that an overwhelming preponderance of negative results in well-conducted bacterial reversion and *in vivo* mammalian micronucleus and chromosomal aberration assays indicates that glyphosate and typical GBFs are not genotoxic in these core assays. Negative results for *in vitro* gene mutation and a majority of negative results for chromosomal effect assays in mammalian cells add to the weight of evidence that glyphosate is not typically genotoxic for these endpoints in mammalian systems. Mixed results were observed for micronucleus assays of GBFs in non-mammalian systems. Reports of positive results for DNA damage endpoints indicate that glyphosate and GBFs tend to elicit DNA damage effects at high or toxic dose levels, but the data suggest that this is due to cytotoxicity rather than DNA interaction with GBF activity perhaps associated with the surfactants present in many GBFs. Glyphosate and typical GBFs do not appear to present significant genotoxic risk under normal conditions of human or environmental exposures.

B.6.4.8.3 Structure Activity Analysis

Glyphosate was evaluated using Derek for Windows (Lhasa Ltd., Leeds, UK, Version 11.0.0, October 24, 2009). No structural alerts were identified for chromosome damage, genotoxicity, mutagenicity or carcinogenicity. This small molecule consists of the amino acid, glycine, joined with a phosphonomethyl group. These moieties are not known to be genotoxic; therefore, the lack of structure activity alerts for glyphosate is expected.

B.6.4.8.4 Gene Mutation

As reviewed by Williams et al., (2000, ASB2012-12053), most gene mutation studies for glyphosate and GBFs were negative. Gene mutation assays included numerous Ames/*Salmonella* and *E. coli* WP2 bacterial reversion assays, *Drosophila* sex-linked recessive lethal assays and a CHO/HGPRT *in vitro* mammalian cell assay. Of fifteen gene mutation assays reported, there were only two positive observations. A reported positive Ames/*Salmonella* result for Roundup formulation was not replicated in numerous other studies. There was one report of a positive result for a GBF in the *Drosophila* sex-linked recessive lethal assay but this was contradicted by a negative result for the same GBF in this assay reported by another laboratory. Further, the positive study had some features that hampered interpretation, including the lack of concurrent negative controls (Williams et al., 2000).

Subsequent to the Williams et al. (2000, ASB2012-12053) review only two gene mutation studies have been reported (Table B.6.4-29). One negative Ames/*Salmonella* assay result was reported for a GBF of undefined composition, Percozyd 10 SL (Chruscielska et al., 2000, ASB2013-9820). Although this result is consistent with a large number of negative Ames/*Salmonella* results for glyphosate and GBFs, the reported study results have significant limitations. One of the recommended test strains, TA1535, was not used and results were only presented as “-“ without presentation of revertant/plate data. A positive result for glyphosate was reported in the *Drosophila* wing spot assay which can indicate both gene mutation and mitotic recombination endpoints (Kaya et al., 2000, ASB2013-9832). Small increases in small wing spot frequencies were observed in one of four crosses of larvae treated with up to 10 mM glyphosate. The lack of a positive response in the balancer-heterozygous cross offspring, which are insensitive to mitotic recombination events, suggests that there is no evidence for effects on gene mutation endpoint events such as intragenic mutations or deletions in this publication.

These gene-mutation publications add very limited data to the weight of evidence conclusion that glyphosate and GBFs do not pose significant risk for gene mutation.

B.6.4.8.5 Chromosome effects

Assays to detect chromosome effects such as structural chromosome aberrations and micronucleus incidence constitute a second major genotoxicity end point category. A large number of publications with chromosome effects endpoints have been reported since the Williams et al. (2000, ASB2012-12053) review. These are described in Table B.6.4-29 and are separated into various test system categories which include *in vitro* cultured mammalian cell assays, *in vitro* tests in non-mammalian systems, *in vivo* mammalian assays and *in vivo* assays in non-mammalian systems. A *Drosophila* wing spot test (discussed previously) is also included in this category because results are relevant to somatic recombination.

B.6.4.8.5.1 *In vitro* chromosome effects

Two human and one bovine *in vitro* peripheral lymphocyte chromosome aberration studies of glyphosate were considered in the earlier review (Williams et al., 2000, ASB2012-12053). One human lymphocyte *in vitro* study had negative results for glyphosate tested up to approximately 2-3 mM (calculated from reported mg/ml) in the absence and presence of an exogenous mammalian activation system. The other two studies with human and bovine lymphocytes and no metabolic activation system reported positive results at concentrations more than two orders of magnitude lower. The earlier review noted several other unusual features about the positive result studies including an unusual exposure protocol and discordant positive results for another chemical found negative in other laboratories.

As indicated in Table B.6.4-29 both positive and negative results have been reported for glyphosate and GBFs in the nine *in vitro* chromosome effects assays published after the Williams et al. (2000, ASB2012-12053) review. It is noteworthy that many of these studies have various deficiencies in conduct or reporting compared to internationally accepted guidelines for conduct of *in vitro* chromosome aberration or micronucleus studies (see Table B.6.4-28). Perhaps the most significant deficiency was that coding and scoring of slides without knowledge of the treatment or control group was not indicated in seven of nine publications. This could be a deficiency in conducting the studies or perhaps a deficiency in describing methodology in the publications. Other common deficiencies included failure to indicate control of exposure medium pH, no use of exogenous metabolic activation and no reporting of concurrent measures of toxicity.

Results for glyphosate active ingredient

Three publications reported testing of technical glyphosate for micronucleus or chromosome aberration endpoints in cultured human lymphocytes (Manas et al., 2009, ASB2012-11892; Mladinic et al., 2009, ASB2012-11906; Mladinic et al., 2009, ASB2012-11907). Negative results for the micronucleus or chromosome aberration end points were observed in the absence of exogenous metabolic activation (S9) in all three publications. The maximum exposure concentration in the absence of S9 was in the range of 3-6 mM in these studies.

Two publications by one author reported cytokinesis block micronucleus results for cultured bovine lymphocytes treated with what was reported as 62 % by weight isopropyl amine salt of glyphosate from a Monsanto Belgium source (Piesova, 2004, ASB2012-12001; Piesova, 2005, ASB2012-12000). This test material appears to be a manufacturing batch of the isopropylamine salt of glyphosate in water without surfactants, which is not sold as a GBF. In one publication no statistically significant increases in binucleated cell micronucleus frequency were observed with 24 hours of treatment (Piesova, 2004, ASB2012-12001). For 48 hours of treatment a statistically significant increase in micronucleus frequency was observed in one donor at 280 μ M but not at 560 μ M and in a second donor at 560 μ M but not 280 μ M. The second publication reported negative results for the cytokinesis block micronucleus assay in bovine lymphocytes incubated with glyphosate formulation up to 560 μ M for two hours in the absence and presence of a mammalian metabolic activation system (Piesova, 2005, ASB2012-12000). This publication also reported positive results for 48 hours of treatment without S9. Curiously, in this second publication the same inconsistent dose response pattern was observed in which a statistically significant increase in micronucleus frequency was observed in one donor at 280 μ M but not at 560 μ M and in a second donor at 560 μ M but not 280 μ M. The lack of a consistent dose response pattern between donors suggests that the results with 48 hours of treatment are questionably positive. Two other publications found negative results for the chromosome aberration endpoint in cultured bovine lymphocytes treated with what appears to be the same test material of 62 %

by weight isopropylamine salt of glyphosate from a Monsanto Belgium source, (Holeckova, 2006, ASB2012-11847; Sivikova and Dianovsky, 2006, ASB2012-12029). Both the studies used a maximum concentration of 1.12 mM which was reported to cause a decrease in mitotic inhibition of >50 %. These two studies have several limitations including that an exogenous mammalian metabolic activation system was not used for chromosome aberration and scoring was not reported to be on coded slides. In addition, Holeckova (2006, ASB2012-11847) only examined effects detectable by staining of chromosome 1 and did not report positive control results (Holeckova, 2006, ASB2012-11847). Despite these limitations and the variable donor results, the results from these two studies are generally consistent with a lack of chromosome aberration effects of the isopropylamine salt of glyphosate on *in vitro* cultured mammalian cells in several experiments using high, toxic dose levels and exposures of 2-24 hours in the absence of S9.

One laboratory reported increases in cytokinesis-blocked micronucleus frequency in cultured human lymphocytes exposed to glyphosate for 4 hours in the presence of an exogenous human liver metabolic activation system (S9) in two publications (Mladinic et al., 2009a; Mladinic et al., 2009b). In both publications a statistically significant increase in micronuclei was observed with S9 at the highest dose level of glyphosate tested (580 µg/mL, ≈ 3.4 mM). Increased proportions of centromere- and DAPI-positive micronuclei were observed for the high dose with S9 suggesting that the induced micronuclei were derived from chromosomes rather than chromosome fragments. Statistically significant increases in the frequency of nuclear abnormalities (buds and bridges) and DNA strand breakage were also observed at the highest dose tested in both publications. In parallel experiments cytotoxic effects such as early apoptosis, late apoptosis and necrosis were observed and these effects were uniquely or preferentially observed in the presence of S9 and at the highest dose level tested (Mladinic et al., 2009, ASB2012-11906). Also, the negative control level of such end points as necrosis and alkaline SCGE tail moment was significantly increased in the presence of S9 (Mladinic et al., 2009, ASB2012-11906). It should be noted that glyphosate is mostly excreted unmetabolised *in vivo* in mammals with only very small levels of aminomethylphosphonic acid (AMPA) or an AMPA-related structure observed (██████████, 2009, ASB2012-11542; ██████████ 1991, TOX9551791). These observations suggest that the observations of S9 mediated effects by Mladinic et al. are not likely to be due to *in vivo* relevant metabolites. The preponderance of *in vitro* genotoxicity studies conducted with exogenous mammalian metabolic activation systems has been negative, including a previously reviewed chromosome aberration study in human lymphocytes conducted up to a similar dose level (Williams et al., 2000, ASB2012-12053) and a bovine lymphocyte cytokinesis block micronucleus study (Piesova, 2005, ASB2012-12000). Overall these results suggest the possibility of a weak aneugenic rather than clastogenic (chromosome breaking) effect occurring in the presence of S9 at high dose levels of glyphosate. The pattern of activity as well as the failure to observe activity in several other *in vitro* genotoxicity assays conducted with S9 suggests that the activity observed in the Mladinic et al. studies does not have a significant weight of evidence for *in vitro* genotoxicity and is not likely to be relevant to *in vivo* genotoxicity.

The recently published results for mammalian *in vitro* chromosome aberration and micronucleus assays demonstrate a weight of evidence that technical glyphosate and glyphosate salt concentrates are negative for these end points in cultured mammalian cells in the absence of an exogenous mammalian metabolic activation system. Five publications from four laboratories report negative *in vitro* mammalian cell chromosome or micronucleus results in the absence of exogenous activation while three publications from two laboratories report positive results. These results reinforce the Williams et al. (2000, ASB2012-12053) conclusion that positive chromosome aberration results reported for glyphosate in cultured human lymphocytes in the absence of an exogenous metabolic activation system are aberrant.

Recent reports of positive chromosome aberration and micronucleus results for glyphosate in the presence of an exogenous mammalian activation system in cultured human lymphocytes in one laboratory (Mladinic et al., 2009, ASB2012-11906; Mladinic et al., 2009, ASB2012-11907) have no substantial reproducibility verification from other laboratories in the recent *in vitro* chromosome effects studies considered in this review because most of the studies performed by other laboratories (Table B.6.4-29) did not employ an exogenous mammalian activation system. These results are discordant with one previously reviewed result demonstrating a negative result for glyphosate in cultured human lymphocytes with mammalian metabolic activation using the chromosome aberration endpoint (Williams et al 2000, ASB2012-12053) and a negative result in the presence of S9 for the micronucleus endpoint in bovine lymphocytes (Piesova, 2005, ASB2012-12000). The numerous consistent negative results for glyphosate and GBFs in gene mutation studies which employed exogenous mammalian metabolic activation and careful examination of the data suggests that the positive results indicate a possible threshold aneugenic effect associated with cytotoxicity rather than a DNA-reactive mechanism resulting in chromosome breakage. Thus, the weight evidence for the *in vitro* chromosome effect assays indicates a lack of DNA-reactive clastogenic chromosome effects.

Results for GBFs

Amer et al. (2006, ASB2012-11539) reported positive *in vitro* chromosome aberration effects in mouse spleen cells for a formulation described as herbazed, which was reported to contain 84 % glyphosate and 16 % solvent, an unusually high glyphosate concentration for a formulation. The test material is not further characterised, lacking description of the glyphosate salt form and inert ingredients. The glyphosate concentrations used in the study are not clear because there are different descriptions of the concentration units (M or M glyphosate/ml medium) in the publication. Thus, the maximum concentration might have been 5×10^{-5} M (50 μ M) or 5×10^{-5} M glyphosate/mL medium (50 mM). The former concentration, which was reported as toxic, would indicate effects at concentrations well below those typically found toxic for GBFs in cultured mammalian cells. The latter level of 50 mM would be well in excess of the limit level of 10 mM recommended in OECD guidelines (OECD473, 1997). In addition to a question about the concentration used there are several other limitations to the reported study including no indication that pH of treatment solutions was controlled, no use of a mammalian metabolic activation system, no reported concurrent toxicity measurements and no reported use of coded slides for scoring. Given these limitations, the uncertainty about the concentrations used and the nature of the test material, these results should not be considered to have significant relevance or reliability with respect to glyphosate or GBFs.

In addition to *in vitro* mammalian cell studies there is also a report of negative results for the chromosome aberration and micronucleus endpoints in onion root tips incubated with a Roundup formulation (Dimitrov et al., 2006, ASB2012-11607). The maximum exposure concentration (stated as 1 % active ingredient) is estimated to be on the order of 4-6 mM. This study did not employ an exogenous mammalian metabolic activation system; however, it does provide evidence for a lack of chromosome effects for glyphosate and a GBF in a non-mammalian *in vitro* system. The result agrees with earlier reported negative onion root tip chromosome aberration results for glyphosate but is discordant with earlier reported positive results for a Roundup GBF in this system (Williams et al., 2000, ASB2012-12053).

B.6.4.8.5.2 *In vivo* Chromosome Effects—Mammalian Systems

The Williams et al. (2000, ASB2012-12053) glyphosate toxicity review presented results from *in vivo* mammalian chromosome effect assays. Results from several mouse bone marrow erythrocyte micronucleus studies of glyphosate and GBFs (e.g. Roundup, Rodeo and Direct) were negative for micronucleus induction. These included studies from different laboratories mostly following modern guidelines. The intraperitoneal (i.p.) route was used for most of the negative studies and maximum doses for many of the studies were toxic or appropriately close to LD50 values. In addition to i.p. studies a 13 week mouse feeding study was also negative for the micronucleus endpoint with an estimated maximum daily glyphosate dose of over 11,000 mg/kg/day. There was one published report of a weak positive mouse bone marrow micronucleus response observed for glyphosate and Roundup GBF. This study, which employed a smaller number of animals per group than other negative studies, was clearly aberrant from the numerous other negative studies not only in micronucleated cell frequency finding but also the finding of altered polychromatic erythrocyte to normochromatic erythrocyte (PCE/NCE) ratios. The overall weight of evidence from the earlier reviewed studies was that glyphosate and GBFs were negative in the mouse bone marrow erythrocyte micronucleus assay. The earlier review also noted a negative mouse dominant lethal result for glyphosate administered by gavage at a maximum dose level of 2000 mg/kg.

As indicated in Table B.6.4-29, there are numerous subsequent publications of *in vivo* mammalian chromosome effects assays. With one exception, all of the *in vivo* mammalian studies were conducted in the mouse using either the bone marrow chromosome aberration or micronucleus endpoints. It should be noted that there are some fairly consistent limitations in the reported conduct of these studies compared to OECD guidelines. In most studies concurrent indications of toxicity (other than effects on the bone marrow) are not reported, coding of slides for scoring is not reported, individual animal data are not reported and fewer than recommended cells or metaphases per animal were scored. Other limitations encountered include use of only a single or two dose levels rather than three dose levels.

Results for glyphosate active ingredient

Two publications reported results for glyphosate in the mouse bone marrow erythrocyte micronucleus assay. Negative results were reported in one study which used a dose of 300 mg/kg of glyphosate administered once i.p. with sacrifices at 24, 48 and 74 hours after dosing (██████████ 2000, ASB2013-9820). This study had some limitations including the use of only one dose level, no reporting of toxicity other than PCE/NCE ratio, no reported coding of slides for scoring and scoring of 1000 PCE's per animal (scoring of 2000 PCE's per animal is recommended by OECD guidelines). A second publication reported positive results for glyphosate administered at 50, 100 and 200 mg/kg via i.p. injections repeated at 24 hours apart with sacrifice 24 hours after the second dose (██████████., 2009, ASB2012-11892). A statistically significant increase in micronucleated erythrocytes was observed in the high dose group. This study had limitations comparable to the negative study. A more significant potential difficulty with this second publication is that “erythrocytes” rather than polychromatic erythrocytes were indicated as scored for micronuclei. This does not appear to be a case of using “erythrocytes” to mean polychromatic erythrocytes because the term “polychromatic erythrocytes” is used elsewhere in the publication describing measurements of PCE/NCE ratios. Scoring of total erythrocytes instead of immature polychromatic erythrocytes for micronuclei would be inappropriate in an assay with the stated treatment and harvest times because of the transient nature of micronucleated PCE's in bone marrow (OECD474, 1997).

There is no definitive explanation for the discrepancy between the two publications. Although one study used a single dose with multiple harvest times and the second used two doses and a single harvest time, both are acceptable protocols and would not be expected to lead to such discordant results (OECD474, 1997). The negative result reported for the 13 week feeding study in the earlier review (Williams et al., 2000, ASB2012-12053) confirms that positive results are not simply due to repeat dosing. The reported negative result (██████████, 2000, ASB2013-9820) seems to be in accord with a majority of earlier reviewed mouse bone marrow micronucleus studies of glyphosate using similar doses and the i.p. or feeding routes (Williams et al., 2000, ASB2012-12053). Also, the apparent scoring of micronuclei in erythrocytes rather than just polychromatic erythrocytes raises a significant methodological question for the reported positive study.

Results for GBFs

There are several publications reporting *in vivo* mammalian bone marrow chromosome aberration and micronucleus endpoint results for Roundup GBFs. Three publications report negative results for Roundup branded GBF in mouse chromosome aberration or micronucleus assays. Negative results were reported for two different Roundup branded GBFs administered at 2 x 200 mg/kg i.p. in mouse bone marrow erythrocyte micronucleus assays (██████████, 2000, ASB2013-11477; ██████████, 2002, ASB2012-11834). The second study did not report coding of slides for scoring. Another publication reported negative results in mouse bone marrow studies for both the chromosome aberration and erythrocyte micronucleus endpoints (██████████, 2006, ASB2012-11607) using a dose of 1080 mg/kg administered orally (p.o.). In contrast, one publication reported positive results for Roundup GBF in mouse bone marrow for the chromosome aberration and erythrocyte micronucleus endpoints using a single maximum dose of 50 mg/kg i.p. (██████████, 2009, ASB2012-12005). Both the positive results and the magnitude of the increases in the chromosome aberration and micronucleus endpoint reported in this study are remarkably discordant with other reported results for Roundup and other GBFs in mouse bone marrow chromosome aberration and erythrocyte studies in a number of laboratories and publications (Table B.6.4-29 and Williams et al., 2000, ASB2012-12053). The reasons for this discordance are not clear. One unusual feature of the positive study is that the Roundup GBF was administered in dimethylsulfoxide. This is an unusual vehicle to use in *in vivo* genotoxicity studies, particularly for glyphosate which is water soluble and especially so in a formulated product. A published toxicity study found that use of a dimethylsulfoxide/olive oil vehicle by the i.p. route produced dramatically enhanced toxicity of glyphosate formulation or the formulation without glyphosate compared to saline vehicle and that the enhanced toxicity observed with this vehicle was not observed when the oral route was used (██████████, 2008, ASB2012-11845). These observations suggest that use of DMSO as a vehicle for administration of formulation components by the i.p. route might produce unusual toxic effects that are not relevant to normally encountered exposures. Regardless of the reasons for the discordant positive results it is clear that a large preponderance of evidence indicates that GBFs are typically negative in mouse bone marrow chromosome aberration and erythrocyte assays.

One publication reported positive results for bone marrow chromosome aberration in rabbits administered Roundup GBF in drinking water at 750 ppm for 60 days (██████████, 2005, ASB2012-11841). This study is relatively unique in terms of species and route of administration. The results do not report water intake in the test and control groups. Given the potential for water palatability issues with a formulated product, this is a significant shortcoming, as any effects noted may be attributable to dehydration. This study had further limitations including the use of only a single dose level and not coding slides for scoring.

Examination of the chromosome aberration scoring results showed that large increases for the treated group were observed for gaps and “centromeric attenuation” which were included in the summation and evaluation of structural chromosome aberration effects. Ordinarily gaps are scored but are not recommended for inclusion in total aberration frequency and centromeric attenuation is not included in ordinary structural aberrations (OECD475, 1997). These unusual scoring and interpretive features raise significant questions about using this study to make conclusions about clastogenicity of the GBF tested.

Two other publications report *in vivo* mammalian chromosome aberration or micronucleus results for GBFs. An uncharacterised GBF, Percozyd 10L, was reported to be negative in a mouse bone marrow erythrocyte micronucleus assay (██████████ 2000, ASB2013-8929 and ASB2013-8931). The maximum dose level tested, 90 mg/kg i.p., was reported to be 70 of the i.p LD₅₀ as determined experimentally by the authors. This study had several limitations including use of less than three dose levels and no reported coding of slides for scoring. Positive results were reported for another uncharacterized GBF, herbazed, in mouse bone marrow and spermatocyte chromosome aberration studies (██████████ 2006, ASB2012-11539). No statistically significant increases in aberrant cells were observed in bone marrow cells for i.p. treatment of 50 mg/kg for 1, 3 or 5 days or in spermatocytes for 1 or 3 days treatment. Statistically significant increases in frequency of spermatocytes with aberrations were reported for 5 days of treatment with 50 mg/kg (i.p.). Oral treatment of 50 mg/kg and 100 mg/kg were reported to produce increases in aberrant cell frequency in bone marrow cells after extended treatments (14 and 21 days) but not after shorter 1 and 7 day treatments. Similarly, significant increases in aberrant cell frequencies of spermatocytes were reported at 14 and 21 days of 50 mg/kg oral treatment (negative for 1 and 7 days treatment) and at 7, 14 and 21 days of 100 mg/kg treatment (negative for 1 day treatment). Although not a genotoxic endpoint per se, it should be noted that statistically significant increases in frequency of sperm with abnormal morphology were also observed in mice treated with 100 and 200 mg/kg p.o. for 5 days. The positive results for the uncharacterized herbazed GBF were only observed after extended oral treatments (bone marrow and spermatocytes) and extended i.p. treatments (spermatocytes). The fact that positive results were not observed in an erythrocyte micronucleus test of mice treated with glyphosate up to 50,000 ppm in feed for 13 weeks (Williams et al., 2000, ASB2012-12053) provides direct evidence that extended glyphosate treatment by the oral route does not induce detectable chromosome effects. This treatment was longer and up to much higher glyphosate exposures than those used for the ██████████ (2006, ASB2012-11539) studies. Thus, it appears likely that these effects were due to some component(s) of the specific herbazed GBF tested rather than glyphosate.

In vivo mammalian assays for chromosome effects are an important category for characterising genotoxicity that complements the gene mutation category. While some positive results have been reported the preponderance of evidence and published results are negative for glyphosate and GBFs.

B.6.4.8.5.3 In vivo Chromosome Effects—Non-Mammalian Systems

The Williams et al. (2000, ASB2012-12053) review reported a few *in vivo* plant assays for chromosome effects in non-mammalian systems. These included negative results for glyphosate and positive results for Roundup GBFs for chromosome aberrations in an onion root tip assay and negative results for glyphosate with the micronucleus end point in a *Vicia faba* root tip assay.

Subsequent to the earlier review a number of publications reported results for erythrocyte micronucleus assays conducted on GBFs in several non-mammalian fish and reptile species

with discordant results. One publication reported apparently negative results for the erythrocyte micronucleus test in *Oreochromis niloticus* (Nile tilapia) administered a test material described as Roundup 69 GBF, at an upper dose of 170 mg/kg i.p. (██████████ 2000, ASB2013-11477). Although there was an increase in micronucleated erythrocyte frequency at the mid-dose level this was not observed at the high dose level and considerable variability in frequencies in different groups was noted. Negative results were also reported in another fish species (*Prochilodus lineatus*) exposed to 10 mg/liter Roundup branded GBF for 6, 24 and 96 hours (██████████ 2008, ASB2012-11586). This concentration was reported to be 96 % of a 96 hour LC₅₀. Positive results were reported for the erythrocyte micronucleus assay conducted in the fish *Tilapia rendalii* exposed to 170 mg/kg i.p. of another Roundup GBF (██████████ 2002, ASB2012-11834). Examination of the micronucleus frequencies in this publication indicated that the negative control micronucleus frequency was considerably lower than the frequencies for all but one of 21 treatment groups for 7 different test materials. This suggests an unusually low control frequency and at least one treatment group was statistically significantly elevated for each of the 7 test materials, including many instances where the statistically significant increases were not consistent with a biologically plausible dose response. The possibility that the apparently significant increases were due to a low negative control value should be considered for this publication. Another publication reported positive erythrocyte micronucleus results in goldfish (*Carassius auratus*) exposed to 5 to 15 ppm of a Roundup GBF for 2 to 6 days (██████████, 2007, ASB2012-11587). The reasons for the discordant results are not clear for these fish erythrocyte micronucleus assays of Roundup GBFs. Although different species and GBF's were used in the different studies there were pairs of studies with positive and negative results that used similar treatment conditions (170 mg/kg i.p. or 10-15 mg/litre in water).

Results for an unusual test system of exposed caiman eggs are reported by ██████████ 2009, ASB2012-12002. Eggs were topically exposed in a laboratory setting to Roundup Full II GBF, and erythrocyte micronucleus formation was measured in hatchlings (██████████, 2009, ASB2012-12002). The GBF tested was reported to contain the potassium salt of glyphosate and alkoxyated alkylamine derivatives as surfactants. Statistically significant increases in micronucleated erythrocytes were observed in hatchlings from eggs treated with 500-1750 µg/egg. This system is quite unusual in the species tested and even more so in using an egg application with measurement of effects in hatchlings. Although there is some experience with a hen's egg erythrocyte micronucleus assay using *in ovo* exposure the erythrocytes are evaluated in embryos with only a few days between treatment and the erythrocyte micronucleus end point. In the reported caiman egg assay there was presumably a single topical exposure followed by an egg incubation period of about 10 weeks before hatching. Biological plausibility raises questions whether genotoxic events *in ovo* can produce elevated micronucleated erythrocyte frequencies detectable after 10 weeks, given the number of cell divisions occurring in development of a hatchling.

One published study reported a weak positive result in a *Drosophila* wing spot assay (Kaya et al., 2000, ASB2013-9832). Statistically significant positive increases were only in one of four crosses for small twin spots and not for the two other wing spot categories (large wing spots and twin wing spots). As discussed above, only negative or inconclusive results were observed for crosses that were not subject to mitotic recombination effects. If the result was actually treatment related it only would indicate an increase in recombination events and not in somatic mutations.

The above *in vivo* chromosome effect assays in non-mammalian systems give discordant results for reasons that aren't precisely defined. Typically these results would be given lower weight than mammalian systems in being predictive of mammalian effects, especially since

there is little or practically no assay experience with these systems in comparison with *in vivo* mammalian chromosome effects assays, such as the rat or mouse bone marrow chromosome aberration or erythrocyte micronucleus assays.

B.6.4.8.6 DNA damage and other end points

A number of studies of glyphosate and GBFs have been published since 2000 which used various DNA damage end points in a variety of *in vitro* and *in vivo* systems. The DNA damage category includes end points such as sister chromatid exchange and DNA repair response in bacteria, but the most common DNA damage end point encountered was the alkaline single cell gel electrophoresis end point (alkaline SCGE) also commonly referred to as the “comet” assay. The alkaline SCGE end point has been applied to both *in vitro* and *in vivo* test systems.

In addition to DNA damage there are a few reports of other types of studies which can be associated with genotoxic effects even though the end points are not specific indicators of genotoxicity per se. These include sperm morphology and carcinogenicity studies.

***In vitro* DNA Damage Studies**

Some positive results for glyphosate or GBFs in the SCE end point were reported in cultured human and bovine lymphocytes in the earlier review (Williams et al., 2000, ASB2012-12053). These results tended to be weak, inconsistent and with limited evidence for dose response. A number of limitations were observed for the studies such as the failure to control pH and abnormally low control values. Additional *in vitro* DNA damage end point results described in the earlier review included negative results for glyphosate in the *B. subtilis* rec-assay and in the primary hepatocyte rat hepatocyte unscheduled DNA synthesis assay.

There are two subsequent publications using *in vitro* cultured mammalian cells and the SCE endpoint. Positive SCE results were reported for the uncharacterised herbazed GBF in mouse spleen cells (Amer et al., 2006, ASB2012-11539). The dose response pattern for SCE response in this study was similar to the response for chromosome aberrations in this publication. Limitations of this study are in common to those described above for the chromosome aberration end point portion of the study; no indication that pH of treatment solutions was controlled, no use of a mammalian metabolic activation system, no reported concurrent toxicity measurements and no reported use of coded slides for scoring. Positive SCE results were also reported for cultured bovine lymphocytes treated with up to 1.12 mM glyphosate for 24 and 48 hours without exogenous mammalian metabolic activation (Sivikova and Dianovsky, 2006, ASB2012-12029). The highest dose of 1.12 mM significantly delayed cell cycle progression with 48 hour treatment. These same concentrations for 24 h exposures did not induce statistically significant increases in chromosome aberrations which provides a clear example of a differential response of the SCE endpoint (Sivikova and Dianovsky, 2006, ASB2012-12029). This is an important consideration in these publications, as chromosome effects are considered more relevant to genotoxicity than DNA damage.

Positive results for glyphosate are reported for the alkaline SCGE end point in three publications. Positive SCGE results were observed for two mammalian cell lines exposed to glyphosate for 4 hours at concentrations of 4.5-6.5 mM (GM39 cells) and 4.75-6.5 mM (HT1080 cells) (Monroy et al., 2005, ASB2012-11910). These concentrations are close to the upper limit dose of 10 mM generally recommended for *in vitro* mammalian cell assays and control of medium pH is not indicated. Characterisation of nuclear damage was done by visual scoring without coding of slides being indicated. Positive alkaline SCGE results were also reported in Hep-2 cells exposed for 4 hours to 3.5-7.5 mM glyphosate (Manas et al.,

2009, ASB2012-11892). Higher concentrations of glyphosate were reported to result in viability of <80 % as determined by dye exclusion. As noted for the preceding publication, the concentrations employed were reasonably close to a limit dose of 10 mM and control of medium pH was not reported. This publication reported negative results for the chromosome aberration endpoint in cultured human lymphocytes exposed to up to 6 mM glyphosate for 48 hours and it should be noted that in this case an appropriate control of medium pH was reported for this human lymphocyte experiment. Positive alkaline SCGE results have also been reported for cultured human lymphocytes exposed to glyphosate at concentrations up to 580 µg/ml (estimated 3.4 mM) for 4 hours (Mladinic et al., 2009, ASB2012-11906). Effects were observed both in the presence and absence of S9 with statistically significant increases in tail intensity at 3.5, 92.8 and 580 µg/ml without S9 and at 580 µg/ml with S9. A modification of the alkaline SCGE assay employing human 8-hydroxyguanine DNA-glycosylase (hOGG1) to detect oxidative damage only indicated statistically significant effects on tail length for treatment with 580 µg/ml with S9. Increases in nuclear abnormalities (nuclear buds and/or nucleoplasmic bridges) were also observed at 580 µg/mL with and without S9 and in micronucleus frequency at 580 µg/ml with S9. Measurements of total antioxidant capacity and thiobarbituric acid reactive substances showed statistically significant increases at 580 µg/ml in the presence or absence of S9. Interpretation of the significance of metabolic activation effects is complicated by the observation that several of the end points (alkaline SCGE tail intensity and nuclear abnormalities) tended to show increases in the presence of S9 in negative controls or at the very lowest concentrations of glyphosate. A reasonable summation of the results in this publication is that alkaline SCGE effects and other effects such as nuclear abnormalities, early apoptosis, necrosis and oxidative damage were consistently observed at 580 µg/mL.

In addition to mammalian cell studies there are publications reporting positive alkaline SCGE effects for glyphosate in *Tradescantia* flowers and nuclei exposed to up to 700 µM glyphosate (Alvarez-Moya et al., 2011, ASB2012-11538) and in the *E. coli* SOS chromotest for DNA damage conducted on a Roundup BIO GBF (Raipulis et al., 2009, ASB2012-12008). Observations of DNA damage in plants exposed to glyphosate are of questionable significance because of the herbicidal nature of glyphosate and the SOS chromotest provides only indirect evidence of DNA damage in a bacterial system.

Overall there appear to be a number of studies in which glyphosate or GBFs have been reported to produce positive responses in DNA damage endpoints of SCE or alkaline SCGE *in vitro* in mammalian cells. Most of these have occurred with exposures to mM concentrations of glyphosate. Although this dose level range is lower than the limit dose of 10 mM recommended for several *in vitro* mammalian cell culture assays (OECD473, 1997; OECD476, 1997; OECD487, 2010), an even lower limit dose of 1 mM was recently recommended for human pharmaceuticals, particularly because of concerns about relevance of positive *in vitro* findings observed at higher dose levels. In addition, many of the studies have limitations such as not indicating control of medium pH and not coding slides for visual scoring.

Concerns over the possibility of effects induced by toxicity have led to several suggestions for experimental and interpretive criteria to distinguish between genotoxic DNA-reactive mechanisms for induction of alkaline SCGE effects and cytotoxic or apoptotic mechanisms. One recommendation for the *in vitro* alkaline SCGE assay is to limit toxicity to no more than a 30 % reduction in viability compared to controls. Importantly, dye exclusion measurements of cell membrane integrity, such as those reported in some of the above publications may significantly underestimate cytotoxicity that could lead to alkaline SCGE effects. Other

recommendations include conducting experiments to measure DNA double strand breaks to determine if apoptotic process might be responsible for alkaline SCGE effects. Measurement of apoptotic and necrotic incidence were only performed in one publication (Mladinic et al., 2009, ASB2012-11906) and these measurements indicated both apoptotic and necrotic processes occurring in parallel with observations of alkaline SCGE effects. These direct observations as well as the reported dose responses, consistently suggest that biological effects and cytotoxicity accompany the observations of DNA damage *in vitro* in mammalian cells and therefore confirm the likelihood that the observed effects are secondary to cytotoxicity and are thresholded.

***In vivo* DNA damage studies**

In the earlier review positive results for DNA strand breakage were reported for mice treated by the i.p. route with glyphosate and GBFs and for the alkaline SCGE endpoint in tadpoles of the frog *Rana catesbiana* exposed to a GBF (Williams et al., 2000, ASB2012-12053).

██████████. (2006, ASB2012-11539) reporten an increase in SCE frequency in bone marrow cells of mice treated with uncharacterised herbazed GBF. Statistically significant positive effects were only observed at the highest dose level tested (200 mg/kg administered p.o.).

Several recent publications report alkaline SCGE results for GBFs in aquatic species. Three publications reported positive alkaline SCGE results in aquatic vertebrates exposed to Roundup GBFs in water. These publications have a common feature that alkaline SCGE results were reported as visually scored damage category incidence rather than instrumental measurements of properties such as the tail length or tail intensity. In one publication increases in nuclei exhibiting alkaline SCGE visual damage effects were observed in erythrocytes and gill cells of the tropical fish *Prochilodus lineatus* exposed to 10 mg/litre of a Roundup GBF in water (██████████ 2008, ASB2012-11586). Results were variable with cell type and incubation; statistically significant positive responses were observed for erythrocytes at 6 hours and 96 hours, but not 24 hours or for branchial cells from the gills at 6 hours and 24 hours. Measurement of erythrocyte micronucleus frequency and nuclear abnormalities did not show statistically significant increases in these endpoints. The concentration used was reported to be 75 % of the 96 hour LC₅₀, but trypan blue dye measurements apparently indicated >80 % viability of cells used in the alkaline SCGE assays. A second publication reported positive alkaline SCGE results in erythrocytes of the goldfish, *Carasseus auratus*, exposed to 5, 10 and 15 ppm of a Roundup GBF for 2, 4 or 6 days (██████████ 2007, ASB2012-11587). Similar effects were observed for other end points (micronucleus and nuclear abnormalities). In general, effects increased with concentration and time. This publication did not report toxicity measurements or, more specifically, measurements of cell viability in the population studied. Positive results were also reported in erythrocytes of the European eel, *Anguilla anguilla*, exposed to 58 and 116 µg/liter of a Roundup GBF in water for 1 or 3 days ██████████., 2010, ASB2012-11836). Increases in nuclear abnormalities were also observed in erythrocytes from animals exposed for 3 days. Measurement of toxicity was not reported for the animals or erythrocytes; however, several endpoints relevant to antioxidant responses and oxidant effects were made in whole blood samples. No statistically significant effects were observed for catalase, glutathione transferase, glutathione peroxidase, glutathione reductase or reduced glutathione content. A large statistically significant increase for thiobarbituric acid reactive substances (TBARS, a measure of lipid peroxidation) was observed for the 115 µg/litre concentration group at 1 day. Statistically significant TBARS increases were not observed at 3 days, but, the 3-day negative control value appeared to be several fold higher than the 1-day value.

Significance of DNA damage end point results

DNA damage end points such as SCE or alkaline SCGE are generally regarded as supplementary to the gene mutation and chromosome effects end point categories. DNA damage endpoints do not directly measure effects on heritable mutations or events closely associated with chromosome mutations. *In vitro* DNA damage endpoints such as the SCE or alkaline SCGE can be induced by cytotoxicity and cell death processes rather than from DNA-reactive mechanisms.

The observation of effects of sodium dodecyl sulfate is also interesting because it suggests responses to surfactants which are typically components of GBFs. As a more specific example, polyoxyethylenealkylamine (POEA), a surfactant component of some GBFs has been shown to elicit cytotoxic effects such as perturbation of the mitochondrial membrane and disruption of mitochondrial membrane potential in cultured mammalian cells (██████████, 2007, ASB2009-9030). Surfactant effects provide a plausible mechanism for observations of GBFs inducing DNA damage responses. Such responses would be expected to be associated with cytotoxicity-inducing exposures and exhibit a threshold.

B.6.4.8.7 Human and environmental studies

A number of human and environmental studies have been published in or after 2000 where some exposures to GBFs in the studied populations were postulated. These publications are summarised in Table B.6.4-30.

Table B.6.4-30: Studies of Human and Environmental Populations with Reported or Assumed Glyphosate Exposure

Exposed Population	End point	Exposures	Result	Reference
<i>Human Studies</i>				
Open field and fruit farmers	Bulky DNA adducts	glyphosate formulation use reported in only 1 of 29 fruit farmers	No effects attributed to glyphosate formulation exposure	██████████., 2007 (ASB2012-11543)
Humans in areas where glyphosate formulation is applied	Lymphocyte cytokinesis block micronucleus (CB MN)	Aerial or manual spraying of glyphosate formulation for illicit crop control and sugar cane maturation	Increase in CB MN but no clear relationship to assumed or reported exposures	██████████ 2009 (ASB2012-11570)
Floriculturists	Lymphocyte CB MN	Glyphosate formulation use reported in 21/51 workers with average of 106.5 kg applied	Increase in CB MN but not statistically significant	██████████ 2004 (ASB2012-11572)
Floriculturists	Lymphocyte CB MN	Glyphosate formulation use reported in 57/107 workers. Numerous other pesticides reported as used by a similar number or more of workers	Statistically significant increase in CB MN	██████████ 2002 (ASB2012-11573)

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Exposed Population	End point	Exposures	Result	Reference
Agricultural workers	Buccal cell micronucleus	Glyphosate formulation use reported along with numerous other pesticides	Statistically significant increase in MN	██████████ 2009 (ASB2012-11570)
Fruit growers	Lymphocyte Alkaline SCGE; Ames test on urine	Glyphosate use reported in 2/19 1 day before captan spraying and 1/19 on the day of captan spraying	No effects attributable to glyphosate formulation exposure	██████████ 2003 (ASB2012-11878)
Agricultural workers	Lymphocyte CB MN; buccal cell micronucleus	Glyphosate formulation use reported in 16% of one of four populations studied (Hungary)	No statistically significant increases in CB MN or buccal cell micronucleus frequencies	██████████ 2003 (ASB2012-11991)
Individuals on or near glyphosate spraying	Lymphocyte alkaline SCGE	Glyphosate formulation aerially sprayed within 3 km	Statistically significant increases in damaged cells	██████████ 2007 (ASB2012-11992)
Greenhouse Farmers	Lymphocyte SCE	Glyphosate formulation use reported in 99/102 workers; numerous other pesticides used	Statistically significant increases in SCE	██████████ 2001 (ASB2012-12025)
Farmers	Lymphocyte CB MN	Glyphosate formulation use reported in 3/11 farmers	Statistically significant increase in micronucleus frequency but not in frequency of binucleated cells with micronuclei	██████████ 2006 (ASB2012-12045)
<i>Environmental Studies</i>				
Meadow voles living on golf courses	Blood cell alkaline SCGE; erythrocyte micronucleus	Glyphosate formulation use reported along with numerous other pesticides	Some effects judged possibly related to Daconil® fungicide	██████████ 2004 (ASB2012-11871)
Fish from dams (various species)	Erythrocyte micronucleus	Glyphosate formulation use reported in adjacent lands along with other pesticides	Higher MN frequencies than normal or expected but no negative concurrent controls used	██████████ 2011 (ASB2012-12017)

Many of the human studies either found no effects attributable to GBFs or the reported GBF usage by the studied population was too low to be associated with observed population effects (██████████., 2007, ASB2012-11543; ██████████., 2004, ASB2012-11572; ██████████., 2003, ASB2012-11878; ██████████., 2003, ASB2012-11991; ██████████., 2006, ASB2012-12045).

In some studies, incidence of GBF use by the population studied was significant but high incidence of use of other pesticides was also reported (██████████ 2002, ASB2012-11573; ██████████ 2001, ASB2012-12025). Even though positive effects were observed in these populations, ascribing these effects to any particular environmental exposure is not

scientifically justifiable and such results certainly cannot be considered as definitive evidence for GBF-induced human genotoxic effects.

Two published studies focused on populations believed to be exposed to GBFs by their presence at or near aerial or manual spraying operations. One publication reported induction of alkaline SCGE effects in blood lymphocytes of populations living within 3 km of areas sprayed with glyphosate formulation for illicit crop eradication (2007, ASB2012-11992). The populations studied were relatively small (24 exposed individuals and 21 non-exposed individuals). The sprayed material was reported to be Roundup Ultra, a GBF containing 43.9 % glyphosate, polyethoxylated surfactant and a proprietary component, Cosmoflux 411F. Specific methods for collection, storage, and transport of blood samples are not described for either the exposed population or control group. The publication also does not indicate that slides were coded for scoring which consisted of visual classification into damage categories and measurement of DNA migration (tail length). There were fairly large differences in ages and sex distribution of the exposed and control populations but these did not appear to be statistically significant. The study reported increases in damaged cell categories and statistically significant increases in DNA migration (tail length) in the presumably exposed population. Interpretation of the results of this study should consider numerous reported signs of toxicity in the exposed population and the reported application rate of 24.3 litres/ha which was stated to be 20 times the maximum recommended application rate. Some of the reported human health effects described by (2007, ASB2012-11992) appear to be consistent with severe exposures noted in clinical reports of acute poisoning incidents with GBFs and other pesticide formulations (often self-administered) rather than typical bystander exposures. Given the considerably favorable general toxicology profile of glyphosate as reported by the WHO/FAO Joint Meeting on Pesticide Residues (WHO/FAO, 2004, ASB2008-6266) and in Williams et al. (2000, ASB2012-12053), factors related to either high surfactant exposure, unusual GBF components in this formulation or other undocumented variables appear to be confounding factors in this study. It appears that the reported alkaline SCGE effects could well have been secondary to the ailments reported in this study population.

A second publication reported results for a blood lymphocyte cytokinesis-block micronucleus study of individuals in areas treated with glyphosate formulation by aerial spraying or manual application (2009, ASB2012-11570). Although the title of the publication contains the term “agricultural workers”, most of the populations studied do not appear to be agricultural workers who are involved in application of GBFs. The human lymphocyte culture and scoring methodology employed in the (2009, ASB2012-11570) study appear to be generally consistent with commonly used and recommended practices for this assay. However, there is a significant question as to how long the blood samples used in the study were stored prior to initiating cultures and this may have affected the micronucleus numbers observed in the different sets of samples and populations. Also, the populations in the aerially sprayed regions had a second sampling a few days after the first sampling and this second sampling was not performed in the control populations. The publication reported a small increase in the frequency of binucleated cells with micronuclei and micronuclei per cell in samples collected from people living in three regions after spraying of GBFs compared with control values of samples collected just before spraying. However, the pattern of the increases did not correlate either with the application rate or with self-reported exposure. The largest post-spraying increase in binucleated cell micronucleus frequency was reported for a population with a much lower glyphosate active ingredient application rate and only 1 of 25 people in this region reported contact with sprayed glyphosate formulation. Increases in binucleated cell micronucleus frequency did not have a statistically significant relationship with self-reported exposure for two other populations. Some interpretative statements in

██████████ (2009, ASB2012-11570) suggest a small transient genotoxic effect of glyphosate formulation spraying on frequencies of binucleated cells with micronuclei, but other statements indicate that causality of the observed effects could not be determined using reasonable criteria and that lack of exposure data precluded conclusions. This study has a combination of uncontrolled or inadequately characterized variables, such as uncharacterised exposure to "genotoxic pesticides", that would appear to preclude using the data to support any conclusion that exposure to GBFs affects binucleated micronucleus frequencies. Actually, the available data, while certainly limited in nature, support a conclusion that the observed effects do not appear to be attributable to glyphosate formulation exposure. This conclusion is reinforced by ██████████ (2004, ASB2012-11528), where biomonitoring of agricultural workers applying GBFs reports systemic exposures orders of magnitude below *in vivo* model chromosome aberration and micronucleus study doses, the majority of which were negative for glyphosate and GBFs.

There are two publications related to environmental monitoring for genotoxic endpoints. One study using blood cell alkaline SCGE and micronucleus endpoints was conducted on samples from meadow voles living on or near golf courses where pesticides had been applied (██████████ 2004, ASB2012-11871). Results were significantly inconsistent between two seasons. Although some suggestions of effects were reported, glyphosate was only one of a number of applied pesticides and the effects observed were considered as possibly attributable to exposure to Daconil® fungicide. A second publication reported results for the erythrocyte micronucleus assay applied to fish collected from several dams in Brazil (██████████, 2011, ASB2012-12017). Glyphosate formulation was one of a number of pesticides reported to be used in the area of the dams. No efforts appear to have been made to measure glyphosate or other pesticide concentrations in any of the ten dams from which fish were sampled. This study reported what were considered to be high levels of micronucleated cell frequency but there were no concurrent negative controls. In the absence of these controls the results cannot be interpreted as indicating any effect of pesticide exposure.

Although there have been a fairly large number of human genotoxicity studies reported where there was some exposure to GBFs, the large majority of these studies do not allow any conclusions about possible effects of glyphosate or GBFs because the exposure incidence was low or because there were reported exposures to a large number of pesticides. One report found an increase in alkaline SCGE effects in humans living in or near areas where a GBF was sprayed but that study had a number of methodology reporting and conduct deficiencies and the reported effects could well have been due to toxicity reported in the study population. A second study found some increases in cytokinesis-block micronucleus frequency in humans possibly exposed to GBFs but the effects were not concordant with application rates or self-reported exposures and thus do not constitute reliable indications of effects for this endpoint in humans exposed to GBFs. Neither of the two environmental monitoring studies in meadow voles or fish provide any reliable evidence of exposures to glyphosate or GBFs or adverse effects resulting from potential exposures to glyphosate or GBFs.

After submission of the first draft of this RAR for public comment the following additional studies have been included.

Koureas et al. (2014, ASB2014-9724) performed a study aimed at estimating the oxidative damage to DNA in different subpopulations in Thessaly region (Greece) and investigating its correlation with exposure to pesticides and other potential risk factors. The study produced findings that support the hypothesis that pesticide exposure is involved in the induction of oxidative damage to DNA. A correlation was found in this study between exposure to formulations containing neonicotinoids or glufosinate ammonium and oxidative damage to DNA. However, no significant correlation was reported for glyphosate.

Gentile et al. (2012, ASB2014-9482) submitted results of the micronucleus assay as a biomarker of genotoxicity in the occupational exposure to agrochemicals in rural workers in Argentina. The authors found significant differences in the frequency of micronuclei between occupationally exposed (20 individuals) and unexposed (10 individuals) workers. However, no conclusion on genotoxicity of glyphosate or other specific pesticides is possible on basis of this study.

Da Silva et al. (2014, ASB2014-9358) performed a genotoxic assessment in tobacco farmers at different crop times. The study sought to determine genotoxic effects in farmers occupationally exposed to agrochemicals and nicotine. A significant increase of micronucleated cells in the off-season group was observed. However, no conclusion on genotoxicity of glyphosate or other specific pesticides is possible on basis of this study.

Benedetti et al. (2013, ASB2014-9279) studied genetic damage in soybeans workers exposed to pesticides. The evaluation was performed with the comet and buccal micronucleus assays. The results of both tests revealed DNA damage in soybean workers. No special pesticide can be identified as cause of the observed effects.

B.6.4.8.8 DNA-Reactivity and carcinogenesis

As noted in the earlier review, ³²P-postlabelling DNA adduct studies in mice did not indicate formation of adducts from glyphosate and questionable evidence of adducts from Roundup GBF administered as a high 600 mg/kg i.p. dose in an unusual dimethylsulfoxide/olive oil vehicle (Peluso et al., 1998, TOX1999-318; Williams et al., 2000, ASB2012-12053). Another earlier reviewed study reported DNA strand breakage in liver and kidneys of mice injected i.p. with glyphosate and Roundup GBF. This study also reported an increase in 8-hydroxydeoxyguanosine (8-OHdG) residues in liver DNA from mice injected with glyphosate but not GBF. Increased 8-OHdG was found in kidney DNA from mice injected with GBF but not glyphosate (Bolognesi et al., 1997, Z59299; Williams et al., 2000, ASB2012-12053). No new direct studies of DNA reactivity of glyphosate or GBFs were encountered in publications since 2000. One publication did report on studies in mice to further investigate toxic effects and 8-OHdG levels associated with the routes, vehicles and dose levels employed in earlier ³²P-postlabelling and DNA strand breakage and 8-OHdG studies (Heydens et al., 2008, ASB2012-11845). This publication reported that high i.p. dose levels of GBF induced significant liver and kidney toxicity that were not observed with oral administration. Statistically significant increases in 8-OHdG were not observed in this study under the same conditions as employed by the earlier study. The dimethylsulfoxide/olive oil vehicle dramatically enhanced toxicity of GBF administered by the i.p. route and the toxicity was also observed for formulation components without glyphosate. These results indicated that the effects reported in the earlier studies were associated with high liver and kidney toxicity that was primarily due to the non-glyphosate components of the formulation and which were produced by the i.p. route of exposure to very high dose levels. The enhancement of toxicity by the unusual dimethylsulfoxide/olive oil dosing vehicle further calls into question whether the ³²P-postlabelling finding represented effects associated with unusual toxicity rather than being indicative of adducts formed from glyphosate or glyphosate formulation components.

Carcinogenicity is not a direct endpoint for genotoxicity but it is one of the possible consequences of genotoxicity and, conversely, lack of carcinogenicity in well-conducted experimental studies provides some evidence that a significant genotoxic mode of action is not operating *in vivo*. The earlier review of glyphosate concluded that it was not carcinogenic

in mouse or rat chronic studies and notes that glyphosate was not considered carcinogenic by numerous regulatory agencies and scientific organisations (Williams et al., 2000, ASB2012-12053).

B.6.4.8.9 AMPA and POEA

In addition to glyphosate and GBFs, the earlier review included information on the toxicity and genotoxicity of the major environmental breakdown product of glyphosate, aminomethylphosphonic acid (AMPA), and what was at that time a common GBF surfactant mixture of polyethoxylated long chain alkylamines synthesized from animal-derived fatty acids (polyethoxylated tallow amine, ██████████ ethoxylate, POEA). Today a wide variety of surfactant systems are employed by different companies for different regions and end uses.

In the earlier review, summarised genotoxicity results for AMPA included negative results in the Ames/*Salmonella* bacterial reversion assay, an *in vitro* unscheduled DNA synthesis assay in primary hepatocytes and a mouse bone marrow erythrocyte micronucleus assay (Williams et al., 2000, ASB2012-12053). One publication of AMPA genotoxicity results was observed subsequent to 2000. In this publication analytical grade AMPA was reported to have positive effects in several assays including an alkaline SCGE endpoint in cultured mammalian Hep-2 cells, a chromosome aberration endpoint in cultured human lymphocytes and in a mouse bone marrow erythrocyte micronucleus assay (Manas et al., 2009, ASB2012-11891). Experimental limitations in the conduct of the alkaline SCGE assay included no inclusion of mammalian metabolic activation and no reported control of medium pH even though relatively high concentrations of AMPA acid (2.5-10 mM for 4 hours) were used. Although nucleoid images were analyzed with software rather than visual analysis the methodology doesn't indicate that slides were coded and there may have been a visual judgment component in selection of images for analysis. The positive results were statistically significant increases in tail length, % DNA in tail and tail moment at 4.5 to 7.5 mM AMPA. The human lymphocyte chromosome aberration assay also did not employ an exogenous mammalian metabolic activation system but control of medium pH and blind scoring of slides were reported for this assay. A small increase in chromosome aberrations per 100 metaphases was observed in cells exposed to 1.8 but not 0.9 mM AMPA for 48 hours. The increase was marginally significant ($p < 0.05$) and no statistically significant increases were observed for any specific chromosome aberration category. Although number of cells with aberrations are commonly used to describe results from *in vitro* chromosome aberration assays (OECD473, 1997) these data were not presented. Given the marginal significance, these omissions are a significant limitation in interpreting the results. Positive results were also reported for a mouse micronucleus bone marrow assay in mice administered 2 x 100 mg/kg or 2 x 200 mg/kg i.p at 24 hour intervals. The methodology description did not indicate that slides were coded for analysis in this assay. Results were reported as a statistically significant increase from a negative control value of 3.8/1000 micronucleated erythrocytes to 10.0 and 10.4/1000 micronucleated erythrocytes in the 2 x 100 and 2 x 200 mg/kg dose groups, respectively. These data do not indicate a reasonable dose response and a third dose level was not employed as recommended for this assay (OECD474, 1997). The publication indicates micronucleus scoring results for "erythrocytes" and not polychromatic or immature erythrocytes as would be appropriate for the acute dose protocol employed. Although this might be an inadvertent error in methodology description the term polychromatic erythrocytes was used in the methods section and PCE was used in the results table to describe scoring of PCE/NCE ratio.

The reported positive effects for AMPA in the *in vitro* studies are not concordant with *in vitro* results for other endpoints or the lack of genotoxic structural alerts in the structurally similar parent molecule moieties from DEREK *in silico* analysis. The alkaline SCGE effect could be due to cytotoxicity, especially considering the relatively high dose levels employed (close to the 10 mM upper limit dose) and the lack of indication of pH control. Although limited cytotoxicity (>80 % viability) was reported using the trypan blue exclusion method this endpoint may grossly underestimate cytotoxic effects observed with other end points.

The *in vitro* chromosome aberration assay positive result was of low magnitude and was of particularly questionable significance, considering the lack of statistical significance for any individual chromosome aberration category and that the results for number or percent of cells with chromosome aberrations were not reported.

There is a clear discordance in results for AMPA in the mouse bone marrow micronucleus assay. In the earlier review negative results were reported for AMPA in a mouse bone marrow micronucleus assay conducted with dose levels up to 1000 mg/kg i.p. (Williams et al., 2000, ASB2012-12053) The maximum dose level was much higher than those used by Manas et al. (2009, ASB2012-11891) Although Manas et al. used a protocol with two doses separated by 24 hours and a single harvest time, this protocol would not be expected to give different results than a single dose with multiple harvest times, particularly when the maximum single dose was much higher (OECD474, 1997). PCE/NCE ratio data from the Manas et al. (2009, ASB2012-11891) study do not indicate that there were detectable bone marrow toxic effects observed under the conditions of their study. It appears possible that Manas et al. may have inappropriately scored erythrocytes for micronuclei instead of polychromatic erythrocytes, but if this is the case lower sensitivity rather than higher sensitivity would be expected. These limitations suggest the possibility that the aberrant result might be that of Manas et al. (2009, ASB2012-11891) but further studies might be necessary to resolve the discordance.

The earlier review reported negative results for POEA in an Ames/*Salmonella* assay (Williams et al., 2000, ASB2012-12053). No other genotoxicity results were reported for POEA individually but numerous genotoxicity results were presented, as described earlier, for GBFs containing POEA. Examination of subsequent literature for this review did not produce any new publications reporting genotoxicity results for POEA as an individual test material (i.e. not as a glyphosate formulation). However, there were some publications confirming that POEA can be a significant contributor to toxicity of GBFs and that it exhibits biological effects consistent with surfactant properties. As noted earlier, experiments with a POEA-containing formulation without glyphosate administered i.p. in DMSO/olive oil vehicle to mice produced the same severe liver and kidney toxicity as a GBF indicating that the toxicity primarily resulted from the formulation components rather than glyphosate (Heydens et al., 2008, ASB2012-11845). Similarly, dose-response curves were superimposed for an *in vitro* system evaluating a GBF and the same formulation without glyphosate present (Levine et al., 2007, ASB2009-9030). Effects on mammalian cells consistent with membrane disruption and consequent cytotoxicity were observed for POEA (Benachour and Seralini, 2009, ASB2012-11561).

B.6.4.8.10 Genotoxicity of glyphosate mixtures and photoactivation

Roustan et al. (2014, ASB2014-8086) assessed the photo-inducible cytogenetic toxicity of glyphosate, aminomethyl phosphoric acid (AMPA), desethyl-atrazine (DEA), and their various mixtures by the *in vitro* micronucleus assay on CHO-K1 cells. Results demonstrated according to the authors that cytogenetic potential of pesticides greatly depends on their

physico-chemical environment. The mixture made with the four pesticides exhibited the most potent cytogenetic toxicity, which was 20-fold higher than those of the most active compound AMPA, and 100-fold increased after light-irradiation.

B.6.4.8.11 Genotoxicity Weight of Evidence

The earlier review applied a weight of evidence analysis to the available genotoxicity data. Various weighted components included assay system validation, test system species, relevance of the endpoint to heritable mutation, reproducibility and consistency of effects and dose-response and relationship of effects to toxicity (Williams et al., 2000, ASB2012-12053). The conclusion of this analysis was that glyphosate and Roundup GBFs were not mutagenic or genotoxic as a consequence of direct chemical reaction with DNA. This was supported by a strong preponderance of results indicating no effects in *in vivo* mammalian assays for chromosome effects and consistently negative results in gene mutation assays. Although some DNA damage responses were noted, these were judged likely to be secondary to toxicity rather than DNA reactivity.

Since this earlier review, a large number of genotoxicity studies have been conducted with glyphosate and GBFs. For gene mutation, one of the two primary endpoint categories with direct relevance to heritable mutation, one subsequent publication contains a summary of results from a bacterial gene mutation endpoint assay (Ames/*Salmonella* bacterial reversion assay). Although there were very significant limitations to the information published, the negative result is consistent with the majority of negative results reported for glyphosate and GBFs in Ames/*Salmonella* bacterial reversion assays. Another publication reported results for a *Drosophila* wing spot assay of glyphosate. Results were negative or inconclusive in this assay for crosses that would have detected gene mutation as loss of heterozygosity. The new results provide some support to reinforce the earlier conclusion that glyphosate and GBFs are not active for the gene mutation endpoint category.

The second primary endpoint category with direct relevance to heritable mutation is chromosome effects. The earlier review noted mixed results for two *in vitro* chromosome effects assays in mammalian cells but concluded that the most reliable result was the negative assay. A number of *in vitro* mammalian cell chromosome aberration or micronucleus assay results have been subsequently published using bovine or human lymphocytes. These assays suffer from some technical limitations in conduct or reporting of methodology that frequently included failure to indicate control of medium for pH and failure to indicate coding of slides for visual scoring. Both positive and negative results are reported in these assays. A large preponderance of results in the absence of an exogenous mammalian metabolic activation system were negative up to high (mM) dose levels that were toxic or close to toxic levels observed in parallel experiments. The exceptions were a weak and inconsistent response reported in two publications from the same laboratory and a positive response for the uncharacterized formulation, herbazed. In addition to these findings in mammalian cells negative results were also reported for Roundup GBF in an onion root tip assay conducted without exogenous mammalian metabolic activation. Thus, the preponderance of evidence from assays not employing an exogenous mammalian metabolic activation system indicates that glyphosate and GBFs are not structural chromosome breakage inducers (clastogenic) in *in vitro* mammalian chromosome aberration or micronucleus assays.

Two publications from one laboratory reported an increase in micronucleus frequencies for glyphosate in *in vitro* cultured mammalian cells in the presence of an exogenous S9 metabolic activation system (Mladinic et al., 2009, ASB2012-11906; Mladinic et al., 2009, ASB2012-11907). An enrichment for centomeric-containing micronuclei suggested that the increased

micronuclei observed in these studies were derived from aneugenic processes, probably mediated through toxicity, rather than chromosome breakage. Thus, these two reports of weak micronucleus responses in the presence of exogenous mammalian metabolic activation appear to result from toxicity-associated aneugenic rather than clastogenic mechanisms. A number of other gene mutation and *in vitro* chromosome effect genotoxicity studies are negative with exogenous metabolic activation which supports the conclusion that the weight of evidence does not indicate a DNA-reactive clastogenic activity in *in vitro* assays using mammalian cells.

All except one of a number of *in vivo* mouse bone marrow chromosome aberration or micronucleus assays of glyphosate and GBFs were reported as negative in the earlier review. In the updated review both positive and negative results were reported for glyphosate and GBFs in these types of assays. Many of these studies had limitations or deficiencies compared to international guidelines with the most common and significant being no indication of slide coding for visual scoring. Four publications from three laboratories reported negative results in mouse bone marrow erythrocyte micronucleus assays of glyphosate and GBFs which are consistent with the earlier reviewed studies. These studies used high, peri-lethal dose levels administered by the i.p. or oral routes.

Two publications from two laboratories reported positive results for glyphosate and GBFs in the mouse bone marrow erythrocyte micronucleus assay. One positive result for glyphosate was encountered using dose levels and routes that were similar to those employed in the negative glyphosate studies in the same assay system. The publication reporting this result indicates that erythrocytes rather than polychromatic erythrocytes were scored which would be inappropriate for the treatment protocol but it is possible that this is a misreporting of what types of cells were actually scored. Although there is no definitive explanation for the discordance, the preponderance of mouse bone marrow erythrocyte micronucleus studies of glyphosate are clearly negative. The reported positive result for Roundup GBF is discordant with a number of negative results for Roundup or other GBFs conducted at higher dose levels. The most unique feature of this study was the use of dimethylsulfoxide as a vehicle. The preponderance of mouse bone marrow erythrocyte micronucleus studies for Roundup and other GBF studies is negative.

Positive results were reported in an unusual test system (rabbit) and route (drinking water), but water intake was not reported and effects may therefore be attributable to dehydration. Furthermore, most of the effects were on endpoints not usually considered as indicators of clastogenicity and structural chromosome aberration. One laboratory reported positive results for chromosome aberration effects in bone marrow and spermatocytes after extended dosing. However, the herbazed formulation test material was not characterised.

While more discordant results in the important *in vivo* mammalian chromosome effect assay category have been reported in publications subsequent to the earlier 2000 review the preponderance of evidence continues to indicate that glyphosate and GBFs are not active in this category of endpoint.

Several *in vivo* erythrocyte micronucleus assay results for GBFs in non-mammalian systems (fish and caiman eggs) have been published since the earlier review. These test systems have relatively little experience and are largely unvalidated in comparison to the mouse bone marrow erythrocyte micronucleus assay. Two publications report negative results and two publications report positive results in different fish species and there is no definitive explanation for the discordance. Both the positive and negative studies employed maximum dose levels that were toxic or close to toxic dose levels. One possible explanation for the discordance is that the positive effects were associated with toxicity that only occurred beyond an exposure threshold and over a fairly narrow dose range. Positive results in hatchlings derived from caiman eggs exposed to Roundup formulation are given relatively

little weight because of extremely limited experience with this assay system and because of significant questions about how DNA damage effects induced in embryos can persist and be evident in cells of hatchlings after several weeks and numerous cell divisions. The reported weak and inconsistent response in one of four crosses for somatic recombination in the *Drosophila* wing spot assay is also accorded relatively low weight. These non-mammalian test systems are generally considered of lower weight for predicting mammalian effects than mammalian test systems. Also, the environmental significance of effects for GBFs should consider the relationship between concentrations or exposures producing effects and likely environmental concentrations or exposures. This is particularly important if the effects are produced by threshold mediated toxic processes.

There have been a significant number of publications since the earlier review of results for assays in the DNA damage category with some SCE and a large number of alkaline SCGE endpoint publications. In general, the DNA damage end point category is considered supplementary to the gene mutation and chromosome effect categories because this endpoint category does not directly measure heritable events or effects closely associated with heritable events. Regulatory genotoxicity testing recommendations and requirements focus on gene mutation and chromosome effect end points for initial core testing, particularly for *in vitro* testing. This consideration is underscored by the observation of some cases of compounds where positive effects are observed in these assays that are not observed for gene mutation or chromosome effect assays. Also, there are numerous examples of responses in these endpoints that do not appear to result from mechanisms of direct or metabolite DNA-reactivity. The unique response consideration is reinforced in this data set by observations of responses in DNA damage endpoints but not in chromosome effect end points.

Many DNA damage endpoint assays of glyphosate or GBFs have produced positive results at high, toxic or peri-toxic dose levels for the SCE and alkaline SCGE endpoints in a variety of test systems including cultured mammalian cells, several aquatic species and caiman eggs. The only new report of positive *in vivo* mammalian DNA damage effects are for an uncharacterised formulation, herbazed. There are several examples of negative results for a chromosome aberration or micronucleus endpoint and positive results for the alkaline SCGE or SCE endpoint in the same publication (Cavalcante et al., 2008, ASB2012-11586; Manas et al., 2009, ASB2012-11892; Mladinic et al., 2009, ASB2012-11906; Sivikova and Dianovsky, 2006, ASB2012-12029). These examples confirm the impression that the DNA damage endpoints are not necessarily predictive of heritable mutation effects and are also consistent with the DNA damage endpoints reflecting toxic effect mechanisms. While the number of reported positive responses in these endpoints does suggest that effects in these endpoints can be induced by glyphosate or GBFs, comparison with results for gene mutation and chromosome effects endpoints, examination of the dose response and association of the effects with toxic endpoints indicates that these effects are likely secondary to toxicity and are threshold mediated. Surfactants in GBFs increase toxicity compared to the active ingredient of glyphosate salts and are shown to induce effects such as membrane damage and oxidant stress which are likely capable of inducing DNA damage effects at cytotoxic doses. These factors as well as other considerations presented in Section 6.3 indicate that these DNA damage effects have negligible significance to prediction of hazard or risk at lower and more relevant exposure levels.

Most of the human studies do not provide interpretable or relevant information regarding whether there are *in vivo* human genotoxic effects of GBFs because the reported incidence of glyphosate formulation exposure in the population was low or because there were reported exposures to a relatively large number of pesticides. Two studies with focus on glyphosate exposure through presence in or near areas of glyphosate formulation spraying found increases in the DNA damage alkaline SCGE end point. In one study clinical signs of toxicity

were reported in the population and spraying concentrations were reported to be many times the recommended application rate. Given the nature of the end point a reasonable interpretation is that effects might well be due to the overt toxicity that was reported in the publication. This would be a threshold mediated, non-DNA reactive mechanism and is consistent with experimental system results showing alkaline SCGE effects in animals exposed to high levels of formulation components. The low weight of evidence for significant genotoxic hazard indicated by this particular endpoint in human monitoring is reinforced by findings that exercise induces alkaline SCGE effects in humans. The other study found increases in binucleated micronucleated cell frequency in population in spraying areas but the increases were not consistent with spraying levels or self-reported exposure. These latter observations are not consistent with the study presenting clear evidence of GBF effects on this endpoint. In sum, the available human data do not provide any clear indications that exposed humans are substantially different in response than mammalian animal models or that exposure to GBFs produces DNA-reactive genotoxicity.

Carcinogenicity is an adverse effect that is a possible consequence of genotoxic and mutagenic activity. Conversely, lack of carcinogenicity in properly conducted animal models is supportive for lack of significant *in vitro* mammalian genotoxicity. The updated review provides one new study of glyphosate formulation which is negative for either initiator or complete carcinogenesis activity which provides additional evidence to reinforce the conclusion from earlier mammalian carcinogenicity assays that glyphosate and GBFs are non-carcinogenic. These findings support the conclusion that glyphosate and GBFs do not have *in vivo* mammalian genotoxicity or mutagenicity.

In addition to considering the results relevant to genotoxicity hazard assessment, an important additional perspective on risk can be provided by comparing levels used in experimental studies with expected human and environmental exposure levels. A study of farmers indicated a maximum estimated systemic glyphosate dose of 0.004 mg/kg for application without protective equipment and a geometric mean of 0.0001 mg/kg (Acquavella et al., 2004, ASB2012-11528). When compared with *in vivo* mammalian test systems that utilize glyphosate exposures on the order of 50-300 mg/kg, the margins of exposure between the test systems and farmers is 12,500-75,000 for the maximum farmer systemic exposure and 0.5-3 million for the geometric mean farmer systemic exposure. These margins are quite substantial, especially considering that many of the *in vivo* genotoxicity studies are negative. Assuming reasonable proportionality between exposure to glyphosate and GBF ingredients, similar large margins of exposure would exist for GBF components. The margins of exposure compared to *in vitro* mammalian cell exposures are estimated to be even larger. Assuming uniform distribution, the systemic concentration of glyphosate from the Acquavella et al. (2004, ASB2012-11528) farmer biomonitoring study would be on the order of 24nM for the maximum and 0.59 nM for the geometric mean exposure. A typical maximum *in vitro* mammalian exposure of 1-5 mM represents a margin of exposure of 42,000-211,000 for the maximum farmer exposure and 1.7-8.4 million for the geometric mean farmer systemic exposures, respectively.

Overall, the weight of evidence of the studies considered in the earlier review as well as the studies considered in this review indicates that glyphosate and GBFs are not genotoxic in the two general endpoint categories most directly relevant to heritable mutagenesis, gene mutation and chromosome effects. This conclusion results from a preponderance of evidence; however, there are reports of positive discordant results in both end point categories. The new studies considered in this review provide some evidence for DNA damage effects induced by high, toxic exposures, particularly for the alkaline SCGE end point and for GBFs containing surfactant. Several considerations, including the lack of response in other endpoint

categories, suggest that these effects result from toxic and not DNA-reactive mechanisms and that they do not indicate *in vivo* genotoxic potential under normal exposure levels.

Regulatory and authoritative reviews of glyphosate supporting registrations and registrations in all regions of the world over the last 40 years have consistently determined that glyphosate is nongenotoxic (Commission, 2002, ASB2009-4191; WHO/FAO, 2004, ASB2008-6266). Scientific publications contrary to these regulatory reviews should be evaluated using a weight of evidence approach with consideration for reliability of the assay used and data quality presented.

Abbreviations

AMPA, aminomethylphosphonic acid ; CB MN, cytokinesis block micronucleus; GBF, glyphosate based formulation; i.p., intraperitoneal ; NCE, normochromatic erythrocyte; OECD, Organization for Economic Cooperation and Development; PCE, polychromatic erythrocyte; POEA, polyethoxylated tallow amine, [REDACTED] ethoxylate; SCE, sister chromatid exchange; SCGE, single cell gel electrophoresis (comet).

Author(s)	Year	Study title
Alvarez-Moya, C., Silva, M.R., Arambula, A.R.V., Sandoval, A.I., Vasquez, H.C., Gonzales Montes, R.M.	2011	Evaluation of genetic damage induced by glyphosate isopropylamine salt using <i>Tradescantia</i> bioassays Genetics and Molecular Biology Volume: 34 Number: 1 Pages: 127-130 ASB2012-11538

Abstract*

Glyphosate is noted for being non-toxic in fishes, birds and mammals (including humans). Nevertheless, the degree of genotoxicity is seriously controversial. In this work, various concentrations of a glyphosate isopropylamine salt were tested using two methods of genotoxicity assaying, viz., the pink mutation assay with *Tradescantia* (4430) and the comet assay with nuclei from staminal cells of the same plant. Staminal nuclei were studied in two different forms, namely nuclei from exposed plants, and nuclei exposed directly. Using the pink mutation assay, isopropylamine induced a total or partial loss of color in staminal cells, a fundamental criterion utilised in this test. Consequently, its use is not recommended when studying genotoxicity with agents that produce pallid staminal cells. The comet assay system detected statistically significant ($p < 0.01$) genotoxic activity by isopropylamine, when compared to the negative control in both the nuclei of treated plants and directly treated nuclei, but only the treated nuclei showed a dose-dependent increase. Average migration in the nuclei of treated plants increased, when compared to that in treated nuclei. This was probably due, either to the permanence of isopropylamine in inflorescences, or to the presence of secondary metabolites. In conclusion, isopropylamine possesses strong genotoxic activity, but its detection can vary depending on the test systems used.

* Quoted from article

Klimisch evaluation

Reliability of study: Not reliable
 Comment: Exposure conditions of plants (immersion) not representative for glyphosate. Inappropriate test model