

1 Article

2 **Respiratory condition of family farmers exposed to**  
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21 Pesticide exposure is a growing concern for public health. Although Brazil is the world's largest  
22 consumer of pesticides, a few studies addressed the health effects among farmers. This study  
23 aimed to evaluate whether pesticide exposure is associated with respiratory outcomes among rural  
24 workers and relatives in Brazil during the crop and off-seasons. 82 family farmers were  
25 interviewed about occupational history and respiratory symptoms, and cholinesterase tests were  
26 conducted in the crop-season. Spirometry was performed during the crop and off-season.  
27 Respiratory outcomes were compared between seasons and multiple regressions were conducted  
28 to search for associations with exposure indicators. Participants were occupationally and  
29 environmentally exposed to multiple pesticides from an early age. During the crop and off-season,  
30 respectively, they presented a prevalence of 40% and 30.7% for cough, 30.7% and 24% for nasal  
31 allergies, and 24% and 17.3% for chest tightness. Significant relations between spirometry  
32 impairments and exposure indicators were found both during the crop and off-season. These  
33 findings provide complementary evidence about the association of pesticide exposure with adverse  
34 respiratory effects among family farmers in Brazil. This situation requires special attention as it  
35 may increase the risk of pulmonary dysfunctions, and the morbidity and mortality burden  
36 associated with these diseases.37 **Keywords:** pesticides; spirometry; respiratory symptoms; cholinesterase; rural workers; family  
38 farmers.40 **1. Introduction**41 Careless use of pesticide is a major problem for human health, particularly in low and  
42 middle-income countries where public policies tend to be less restrictive and health surveillance less  
43 effective [1,2]. In Brazil, agriculture plays a crucial role in the economic development, and since 2008,  
44 the country has been the world's largest consumer of pesticides [1]. Brazilian family farmers are  
45 often exposed to large amounts of pesticides due to the low risk-awareness and educational level,  
46 lack or misuse of personal protective equipment (PPE), lack of technical support, frequent use of  
47 highly toxic compounds, proximity of households and application sites, and relatives working or

48 helping in different cultivation tasks, among others [1,3,4].

49 Occupational exposure to pesticides can represent a serious risk to the respiratory system [5–7].  
50 Epidemiological studies have linked it to respiratory symptoms [8–10], asthma [11–13], chronic  
51 bronchitis [9,14–16], and lung cancer [7]. Spirometry was performed in workers occupationally  
52 exposed to pesticides and revealed a significant decrease in the lung function parameters both in  
53 cross-sectional studies comparing with non-exposed controls [8,9,17,18] and in prospective cohort  
54 studies [16,19,20]. Only few cross-sectional studies were conducted with pesticide-exposed rural  
55 workers in Brazil and reinforce the findings regarding its effects on the respiratory symptoms  
56 [3,21,22]. One study, published in 2005, evaluated the lung function of rural workers in Brazil and  
57 found a high prevalence of ventilatory disorders [23].

58 Assessing the individual exposure to pesticides is a main challenge in studies with  
59 occupationally exposed communities. Biological monitoring is often used to estimate the extent of  
60 exposure and establish causal relations with health outcomes. Despite all concerns about its  
61 specificity, sensitivity, and individual and laboratory variations, the most common test used in  
62 Brazil is the quantification of acetylcholinesterase (AChE) and butyrylcholinesterase (BChE) activity,  
63 which are inhibited by organophosphorus (OF) and carbamate (CM) pesticides [1,4].

64 Therefore, the present study aimed to explore whether exposure to pesticides is associated with  
65 the prevalence of respiratory symptoms and lung function impairments among workers and their  
66 families in small rural properties in Brazil during both crop season and off-season, using  
67 cholinesterase exams, among other research instruments.

68

## 69 **2. Materials and Methods**

70 This study was carried out in two stages: a) during the crop season (July and August 2014),  
71 questionnaire-based interviews about sociodemographic characteristics, clinical information and  
72 detailed exposure history to pesticide were conducted, biomarkers were collected for analysis, and  
73 the respiratory assessment was performed; b) during the off-season period (January 2015), all  
74 participants underwent the respiratory assessment again to compare higher and lower exposure  
75 periods. This study was approved by the Ethical Board of the University Hospital Clementino Fraga  
76 Filho of the Federal University of Rio de Janeiro, and all participants provided written informed  
77 consent.

78

### 79 *2.1. Study area and population*

80 São José de Ubá (SJU) is a small town located in the northwest of Rio de Janeiro State, Brazil. It  
81 has approximately 7,000 inhabitants, 45% in the urban center and 55% distributed in rural  
82 neighborhoods of 200 to 300 people. The economy is based on family farming, especially tomato  
83 cultivation [24], which demands intensive phytosanitary care for pest control, usually based on the  
84 use of significant amounts of pesticides [25]. Studies previously conducted in the area evaluated the  
85 quality of surface and groundwater and found Nitrate, Aluminum, Iron, Manganese, Boron, Zinc  
86 and pesticides (organochlorine and OF) in disagreement with the levels allowed by Brazilian  
87 legislation as a result of agricultural practices, livestock and untreated sewage disposal [26,27].

88 The sample in our study consisted of 82 individuals older than 18 years from approximately 750  
89 individuals working in tomato cultivation in SJU. Participants were rural workers (n=48) or relatives  
90 (n=34) residing in the rural area. Rural workers were those daily involved in tomato cultivation at  
91 the time the study was conducted, which included pesticide handling. Relatives were those  
92 members of the same family (relatives that lived in the same household), which could eventually  
93 help in agricultural-related activities. Recruitment of participants was done by convenience in  
94 agricultural areas upon indication of SJU residents and stakeholders. Individuals were contacted in  
95 the rural properties and invited to participate. Participants were sought for reevaluation in the  
96 off-season period. The sample was obtained sequentially, including all eligible subjects that could be  
97 contacted during the study period. Thus, the final sample size was delimited by the projects' time  
98 and budget constraints.

99 Demographic data such as age, gender and body mass index (BMI) were obtained from each  
100 subject. Socio-economic status, educational level, smoking habits (pack-years), marital status and  
101 alcohol consumption data were also collected. The Brazilian minimum salary was used as the basis  
102 to calculate the monthly family income, which was R\$ 954 Brazilian reais ( $\pm$  293 US\$) in 2018.  
103

104 *2.2. Exposure Assessment*

105 Exposure assessment was obtained through a questionnaire-based interview conducted by a  
106 trained researcher during the crop season. Information related to the duration of pesticide exposure,  
107 manipulation frequency, use of personal protective equipment (PPE), pesticide use in the off-season,  
108 domestic exposure, intoxication history, and hygiene habits after pesticide manipulation (washing  
109 hands and taking a shower after work or eating at the crop field) were obtained. It was asked the  
110 types of pesticides most frequently used by rural workers and they were classified according to the  
111 Brazilian National Sanitary Surveillance Agency (ANVISA): class I (extremely toxic), II (highly  
112 toxic), III (moderately toxic) and IV (low toxicity) [1]. It was also assessed whether rural workers and  
113 relatives received technical orientation or training in safety procedures.

114 Based on previous studies [18,28–30], an individual exposure burden (IEB) variable was created  
115 with a range of 0-10, using: current contact with pesticides (no=0/yes=2); domestic exposure, such as  
116 manipulation of contaminated clothes and domestic use for pest control (no=0/yes=1); previous  
117 intoxication after pesticide exposure (no=0/yes=1); frequency of pesticides manipulation (no  
118 contact=0, once a month or less=1, 2-3 times/month=2, 1-3 times/week=3 or 5-7 times/week=4); and  
119 distance from home to crop areas (more than 1km=0, from 500m to 1km=1 or up to 500m=2).

120 Regarding the cholinesterase activity measurement, blood samples (10 ml) were collected from  
121 74 individuals by qualified personnel using heparinized Vacutainer tubes during the crop season.  
122 Samples were immediately centrifuged, frozen and sent to the Centro de Estudos da Saúde do  
123 Trabalhador e Ecologia Humana (CESTEH - Human Study Center for Worker's Health and Human  
124 Ecology) from the National School of Public Health, Oswaldo Cruz Foundation (FIOCRUZ) for  
125 analysis. Cholinesterase activity (AChE and BChE) was quantified by using a Shimadzu UV/VIS  
126 1601 spectrophotometer, through the Ellman method, modified by Oliveira-Silva et al. [31]. This  
127 method is indicated when blood sampling is performed far from the laboratory and allows  
128 cholinesterase determination after freezing of plasma and erythrocyte fractions. Obtained values  
129 were compared to the exposure indicators and to reference values determined by CESTEH from  
130 studies involving populations non-exposed to pesticides, being 0.56 mmol/min/mg for AChE (for  
131 both genders) and 2.29 and 1.61 mmol/min/mg for BChE, for men and women, respectively [31].  
132 Cholinesterase activity was considered normal when subjects presented values above the reference  
133 values.  
134

135 *2.3. Respiratory Health Assessment*

136 Prevalence of respiratory symptoms was assessed by a questionnaire-guided interview, using  
137 the European Community Respiratory Health Survey (ECRHS), validated in Brazil by Ribeiro et al.  
138 [32]. This questionnaire evaluates respiratory symptoms in the previous 12 months. However, in the  
139 off-season period, it was adapted to identify the symptoms prevalence in the previous 4 months, in  
140 order to avoid overlapping with the crop season.

141 Spirometry was performed following the recommendations of the ATS/ERS - American  
142 Thoracic Society and the European Respiratory Society [33] with a Koko PFT spirometer, calibrated  
143 daily. We used reference values proposed by Polgar and Promadhat [34] for males up to 24 years  
144 and females up to 20 years old and by Pereira et al. [35] for males aged over 25 years and females  
145 over 21 years old. Although only the latter set was derived from the Brazilian population, both are  
146 recommended by the Brazilian Thoracic Society [36]. In the crop season, the respiratory assessment  
147 was conducted one week after the first interview due to exam preparation.

148 This study focused on the forced vital capacity (FVC), the forced expiratory volume in the first  
149 second (FEV<sub>1</sub>), the FEV<sub>1</sub>/FVC ratio, and the forced expiratory flow between 25-75% (FEF<sub>25-75%</sub>).  
150 Individuals with the FEV<sub>1</sub>/FVC ratio below the predicted lower limit were classified as having an

151 obstructive defect (OD). In these cases, severity classification was measured according to the FEV<sub>1</sub>  
 152 value in relation to the predicted: mild (FEV<sub>1</sub> > 60%), moderate (FEV<sub>1</sub> > 41 < 60%) and severe (FEV<sub>1</sub> ≤  
 153 40%). A restrictive pattern (RP) was defined for cases with simultaneous reduction of FVC and FEV<sub>1</sub>,  
 154 but with FEV<sub>1</sub>/FVC ratio within the predicted range associated with at least one of the following (i)  
 155 FVC reduction to levels below 50% of predicted value or (ii) presence of FEF<sub>25-75%</sub>/FVC ratio above  
 156 150% of predicted that may characterize increased intermediate expiratory flows, due to a rise in  
 157 elastic recoil traction of lungs. Altered cases that did not meet the criteria for definition as an  
 158 obstructive defect or restrictive pattern were classified as a nonspecific pattern (NSP) [33,37].  
 159

160 *2.4. Statistical Analysis*

161 Depending on their distribution, data were presented as mean and standard deviation (SD) or  
 162 median and interquartile range (IQR). Comparison between groups was performed using T-test or  
 163 Mann-Whitney test and comparison between categorical variables was performed using Chi-Square  
 164 test. The associations of independent variables (including the IEB) and variables such as lung  
 165 function results, AChE and BChE were evaluated in a regression analysis using Generalized Linear  
 166 Models (GLM) [38]. Variables with  $p < 0.10$  in the univariate analysis were considered for the multiple  
 167 models. The GLM was fitted using the log-link function and Poisson scale response. Akaike's  
 168 Information Criterion (AIC) was applied to indicate the best fitting model. All models tested were  
 169 controlled for smoking and age. Gender, weight and height were considered to establish the  
 170 predicted values for spirometry. Socioeconomic status was similar among all participants and not  
 171 included in the analysis. Each person was compared to himself for the presence of respiratory  
 172 symptoms during the crop season and off-season, and the Odds Ratio was calculated through the  
 173 McNemar test, as they were a matched control case. Statistical analysis was performed using IBM  
 174 SPSS software (version 22 IBM Corp., Chicago, IL, USA). P-values  $< 0.05$  were considered significant.  
 175

176 **3. Results**

177 *3.1. Study Population*

178 Of 82 participants in the exposure assessment, some refused to participate in the cholinesterase  
 179 test, or their samples were insufficient, remaining 74 (90.2%) valid blood samples for analysis.  
 180 Spirometry was performed in 70 (85.4%) individuals during the crop season and 62 (75.6%) in the  
 181 off-season. Seventy-five (91.5%) individuals answered to the respiratory symptoms questionnaire in  
 182 both periods.

183 Table 1 presents sociodemographic characteristics of the studied population divided by the  
 184 group of exposure. Most rural workers were men (83.3%) with a mean age of  $42.9 \pm 12.4$  (sd) and  
 185 relatives were women (85.3%) aging  $45.7 \pm 14.9$  (sd) on average. They were married and, as many  
 186 individuals in relatives' group were married to participant rural workers, family income was similar  
 187 among groups (up to 2 Brazilian minimum wages:  $\pm 586$  US\$). In general, 86.6% had primary or  
 188 lower educational level, and only 13.4% had studied more than eight years. Most rural workers  
 189 (60.4%) and relatives (76.5%) had never smoked, whereas 20.8% and 17.6% were ex-smokers, and  
 190 only 18.8% and 5.9% were smokers at the time of data collection, respectively. Although the number  
 191 of current smokers was higher among rural workers, the non-statistical significance may have  
 192 occurred because of the small size of the subgroups. Among rural workers and relatives,  
 193 respectively, 50% and 38.2% had low or normal weight, 41.7% and 29.4% were overweight, and 8.3%  
 194 and 32.4% were obese.

195

196 **Table 1.** Sociodemographic and pesticide exposure characteristics of a rural population in SJU, divided by  
 197 groups of exposure.

Sociodemographic variables	Total <i>n</i> = 82 (%)	Rural workers <i>n</i> = 48 (%)	Relatives <i>n</i> = 34 (%)	<i>p</i> - Value
Age (mean in years $\pm$ sd)	$44.0 \pm 13.5$	$42.9 \pm 12.4$	$45.7 \pm 14.9$	0.35 <sup>b</sup>
Gender				

Male	45 (54.9%)	40 (83.3%)	5 (14.7%)	<0.001 <sup>b</sup>
Female	37 (45.1%)	8 (16.7%)	29 (85.3%)	
Marital status				
Married/cohabiting partner	71 (86.6%)	40 (83.3%)	31 (91.2%)	0.31 <sup>b</sup>
Single or divorced	11 (13.4%)	8 (16.7%)	3 (8.8%)	
Monthly family income \$				
Up to 2 salaries	58 (70.7%)	37 (77.1%)	21 (61.8%)	0.133 <sup>b</sup>
More than 2 salaries	24 (29.3%)	11 (22.9%)	13 (38.2%)	
Years of education (median; IQR*)	4 (3.3 - 8)	4 (3 - 6.5)	5 (4 - 8)	0.30 <sup>c</sup>
Body Mass Index (mean ± sd)	26.4 ± 5.6	25 ± 4	28.5 ± 6.9	0.48 <sup>c</sup>
Low or normal weight	37 (45.1%)	24 (50%)	13 (38.2%)	
Overweight	30 (36.6%)	20 (41.7%)	10 (29.4%)	0.021 <sup>b</sup>
Obese	15 (18.3%)	4 (8.3%)	11 (32.4%)	
Smoking status				
Never	55 (67.1%)	29 (60.4%)	26 (76.5%)	0.16 <sup>a</sup>
Past (ex)	16 (19.5%)	10 (20.8%)	6 (17.6%)	0.78 <sup>a</sup>
Current	11 (13.4%)	9 (18.8%)	2 (5.9%)	0.11 <sup>a</sup>
Mean / Median (pack-years)	2.8 / 0	6.4 / 0	1.0 / 0	0.09 <sup>c</sup>
Alcohol consumption (if yes)	24 (29.3%)	14 (29.2%)	10 (29.4%)	1.00 <sup>a</sup>

#### Exposure variables

Duration of pesticide exposure (mean in years ± sd)	25.7 ± 15.1	30.2 ± 13.6	19.3 ± 15.1	0.001 <sup>b</sup>
Current direct contact in the crop (if yes)	42 (51.2%)	38 (79.2%)	4 (11.8%)	<0.001 <sup>a</sup>
Frequent handling in the crop season**	41 (50%)	38 (79.2%)	3 (8.8%)	<0.001 <sup>a</sup>
Pesticide use in the off-season	6 (7.3%)	6 (12.5%)	0	0.03 <sup>a</sup>
Use of any PPE***	53 (64.6%)	43 (89.6%)	10 (29.4%)	<0.001 <sup>a</sup>
Use of respiratory PPE (mask or respirator)	39 (47.6%)	37 (77.1%)	2 (5.9%)	<0.001 <sup>b</sup>
Use of eyes PPE (visor)	11 (13.4%)	11 (22.9%)	0	0.003 <sup>b</sup>
Use of hand PPE (gloves)	41 (50%)	35 (72.9%)	6 (17.6%)	<0.001 <sup>b</sup>
Use of shoes PPE (boots)	42 (51.2%)	36 (75%)	6 (17.6%)	<0.001 <sup>b</sup>
Domestic exposure (if yes)	72 (87.8%)	40 (83.3%)	32 (94.1%)	0.141 <sup>a</sup>
Residential distance from plantation site				
Up to 500 meters	44 (53.7%)	23 (47.9%)	21 (61.8%)	0.215 <sup>b</sup>
More than 500 meters	38 (46.3%)	25 (52.1%)	13 (38.2%)	
Previous intoxication ever	14 (17.1%)	11 (22.9%)	3 (8.8%)	0.095 <sup>a</sup>
Received training or technical support	11 (13.4%)	11 (22.9%)	0 (0%)	0.003 <sup>a</sup>
Washes hands after handling pesticides	63 (76.8%)	42 (87.5%)	21 (61.8%)	0.007 <sup>a</sup>
Takes shower after handling pesticides	47 (57.3%)	33 (68.8%)	14 (41.2%)	0.013 <sup>a</sup>
Consumes food and water in the field	71 (86.6%)	46 (95.8%)	25 (73.5%)	0.004 <sup>a</sup>

<sup>198</sup> \$ Based on Brazilian minimum salary (± 293 US\$) \* IQR - Interquartile range (P25 - P75) \*\* Frequent pesticide  
<sup>199</sup> handling = more than 1 to 3 times per week; \*\*\* PPE: Personal protective equipment; <sup>a</sup>Chi-Square - Fisher  
<sup>200</sup> exact test; <sup>b</sup>One-way ANOVA; <sup>c</sup>Kruskal-Wallis one-way ANOVA.

#### 3.2. Exposure Assessment

Table 1 shows pesticide exposure characteristics of participants divided by groups of exposure. The duration of pesticide exposure was long for both groups. Rural workers had a mean age of 42.9 years and a length of pesticide exposure of  $30.2 \pm 13.6$  (sd) years, with an average of  $10.7 \pm 2.3$  (sd) hours worked per day in the crop season. Among relatives, the mean age was 45.7 years, and the duration of exposure was  $19.3 \pm 15.1$  (sd) years. Significantly fewer relatives stated to have direct contact with pesticide in the crop (n=4; 11.8%) and to frequently handle pesticides (n=3; 14.7%) at the time of data collection. Nevertheless, 29 (85.3%) relatives have claimed to assist in agricultural activities in the crop season as re-entry workers although only 10 (29.4%) declared to use any PPE. Thirty-eight rural workers (79.2%) reported handling and spraying pesticides by manual pumping or backpack tank more than once a week, and five of them (11.9%) used pesticides 4 to 7 times per

213 week. About 75% of rural workers affirmed to wear respiratory protection, gloves and boots, but  
214 only 23% claimed to use eyes protection while applying pesticides.

215 Besides the occupational exposure, some participants are frequently environmentally exposed  
216 either by domestic use of pesticides or by their residential proximity to planting areas. Most  
217 individuals (53.7%) lived up to 500 meters from a planting site. Forty rural workers (83.3%) and  
218 thirty-two relatives (94.1%) were domestically exposed to pesticides by using them at home or  
219 washing contaminated clothes and equipment (Table 1). Only 22.9% of rural workers and none  
220 relative were trained or received technical support to handle pesticides. Most of the rural workers  
221 (95.8%) and relatives (73.5%) consumed food and water on the crop site, including when pesticides  
222 were applied.

223 All participants presented values of AChE above the reference values, considered as normal.  
224 Twelve out of 44 rural workers (27.3%) and 2 out of 30 relatives (6.7%) presented BChE levels below  
225 the reference values, considered as abnormal. In the multiple regression models, AChE reduction  
226 pattern were significantly associated with the pesticide manipulation frequency ( $p=0.04$ ), whereas  
227 BChE presented an association near the significance level ( $p=0.08$ ). The association coefficient and  
228 confidence interval are presented in Table 4.

229 Subjects declared using regularly 49 pesticides from 31 chemical groups, including  
230 organophosphates, carbamates, pyrethroids, nitriles, diamides, neonicotinoids, avermectins and  
231 benzimidazole. Glyphosate, classified as highly toxic was mentioned by 35.4% of rural workers, and  
232 Paraquat, moderately toxic to humans, by 16.7%, while 6.3% reported to use both. They are  
233 prohibited in Brazil for tomato cultivation [1]. Another 15 extremely toxic pesticides and 7 highly  
234 toxic were mentioned 91 and 36 times, respectively. Moreover, 21 moderately toxic pesticides were  
235 mentioned 81 times and 5 low toxic pesticides were mentioned 9 times. In addition, Lorsban  
236 (chlorpyrifos), an extremely toxic organophosphate, was mentioned 3 times, and 2,4-D  
237 (aryloxyalkanoic acid), an extremely toxic herbicide was mentioned once, both are not permitted for  
238 tomato cultivation. Furthermore, Endosulfan, a highly toxic insecticide/acaricide prohibited in Brazil  
239 since 2013 was mentioned once [1].

### 240 241 3.3. Respiratory Health Assessment

242 Considering all participants, 33.3% reported none respiratory symptom in the crop season and  
243 66% in the off-season. During the crop season, 32% had one and 22.7% two respiratory symptoms,  
244 whereas during the off-season, 18.7% had one symptom and 13.3% two symptoms. In both periods,  
245 the most prevalent symptoms were cough, nasal allergies and hay fever, chest tightness, and  
246 breathlessness. During the crop season and off-season, respectively, the prevalence was 40% and  
247 30.7% for cough, 30.7% and 24% for nasal allergies and hay fever, 24% and 17.3% for chest tightness,  
248 and 17.3% and 10.7% for breathlessness. Among rural workers, 37% and 19.6% presented 1 and 2  
249 symptoms during the crop season, and 17.8% and 11.1% in the off-season, respectively. Whereas  
250 among relatives, 24.1% and 27.6% showed 1 and 2 symptoms during the crop season, and 20% and  
251 16.7% in the off-season, respectively. Although there were no statistically significant differences  
252 between the periods, the number and prevalence of respiratory symptoms were higher during the  
253 crop season.

254 The individual comparison of respiratory symptoms between crop season and off-season is  
255 presented in Table 2. The chance of having symptoms during the crop season was significantly  
256 higher than during the off-season for two symptoms. Six individuals woke with breathlessness  
257 during the crop season but not during the off-season, whilst the opposite did not happen. Eleven  
258 individuals woke up with cough during the crop season but not during the off-season, while only 2  
259 individuals had the opposite (OR = 5.5).

260 261 262 **Table 2.** Comparison of respiratory symptoms prevalence between crop season (2014) and off-season  
263 (2015), using the ECRHS questionnaire in SJU.

Symptoms	Crop season/Off-season periods <sup>a</sup>	Odds Ratio (95% CI) <sup>b</sup>	P- Value
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	Yes/No	No/Yes	Yes/Yes	No/No		
Wheeze or chest tightness	9	4	6	51	2.25 (0.63, 10)	0.27
Wheeze with breathlessness	2	3	3	62	0.67 (0.06, 5.82)	1
Wheeze without cold	3	2	3	62	1.5 (0.17, 17.96)	1
Waking with chest tightness	6	1	7	56	6 (0.73, 275.99)	0.13
Waking with breathlessness	6	0	5	59	Not calculable	0.04*
Waking with cough	11	2	19	38	5.5 (1.20, 51.07)	0.03*
Asthma crisis	2	1	0	67	2 (0.1, 118.10)	1
Nasal allergies and hayfever	12	5	10	43	2.4 (0.79, 8.70)	0.15
Treatment for asthma	0	2	1	67	Not calculable	0.48
Asthma diagnosis <sup>c</sup>	1	3	1	65	0.33 (0.01, 4.15)	0.62

<sup>a</sup> Comparison between crop season and off-season periods, being 'Yes' for 'with symptoms' and 'No' for

<sup>b</sup> Odds Ratio calculated through McNemar test and Confidence Interval (CI) = 95%; <sup>c</sup>

Asthma diagnosis = at least one asthma attack in the past 12 months and/or confirmation of medication use.

\* Values with statistical significance.

Both during the crop- and off-season, most individuals (80%) presented normal spirometry. Table 3 shows the spirometry associated patterns among rural workers and relatives assessed in SJU in both periods. The most common pattern of pulmonary change found in SJU was obstructive, followed by non-specific. During the crop season, 5 rural workers presented mild OD, one moderate OD, and 2 presented NSP. Moreover, 3 relatives presented mild OD, 1 presented RP, and 2 had NSP. During the off-season, 5 rural workers presented mild OD, one presented RP and 3 presented reduced vital capacity and FEV<sub>1</sub> close to inferior normal limit with normal FEV<sub>1</sub>/FVC ratio. Also, 1 relative presented mild OD and 3 presented NSP.

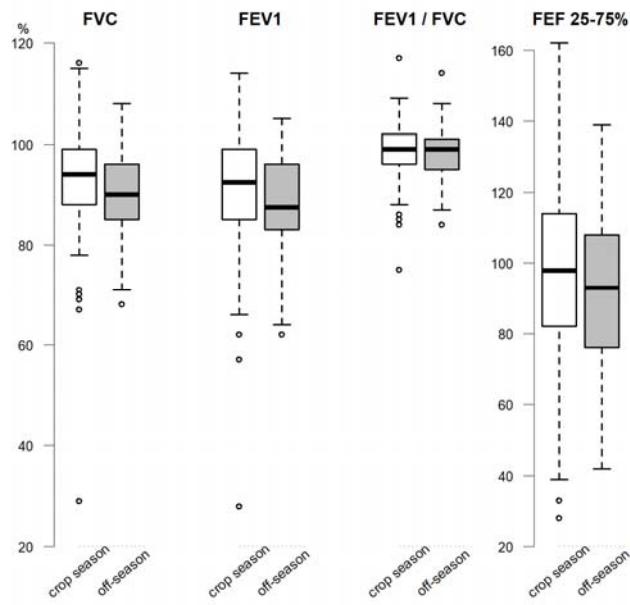
**Table 3.** Spirometry patterns among individuals assessed in SJU during crop season and off-season.

	Crop season			Off-season		
	Rural workers (n=43)	Relatives (n=27)	Total (n=70)	Rural workers (n=38)	Relatives (n=24)	Total (n=62)
Normal	35 (81.3%)	21 (77.8%)	56 (80%)	29 (76.3%) *	20 (83.3%)	49 (79%)
OD <sup>1</sup>	6 (14%)	3 (11.1%)	9 (12.9%)	5 (13.2%)	1 (4.2%)	6 (9.7%)
RP <sup>2</sup>	0	1 (3.7%)	1 (1.4%)	1 (2.6%)	0	1 (1.6%)
NSP <sup>3</sup>	2 (4.7%)	2 (7.4%)	4 (5.7%)	0	3 (12.5%)	3 (4.8%)

<sup>1</sup> OD: obstructive disease; <sup>2</sup> RP: restrictive pattern; <sup>3</sup> NSP: non-specific pattern; \* 3 rural workers presented vital capacity and FEV<sub>1</sub> close to inferior normal limit with normal FEV<sub>1</sub>/FVC ratio.

For each spirometry variable, the lower and upper limits, interquartile ranges, outliers, mean or median, were calculated and presented in boxplot in Figure 1. Non-statistical significant difference was seen in the comparison of evaluated periods. Nonetheless, values presented a slight reduction and less negative outliers during the off-season period.

**Figure 1.** Boxplot of spirometry results comparison (in percentage of predicted) between crop season (2014) and off-season (2015) among family farmers in SJU.

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Notes: Light and dark boxes represent the crop season and off-season, respectively. The boxes show the interquartile range (IQR, 25th–75th percentile) and the horizontal line inside the box represents the median; the circles show the outlier values. FVC, FEV<sub>1</sub> and FEV<sub>1</sub>/FVC presented non-normal distribution while FEF<sub>25-75%</sub> presented normal distribution.

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The multiple regression models show that spirometric variables are influenced by the proposed exposure indicators. Table 4 presents the association of the spirometry variables and cholinesterase enzymes with the exposure indicators during the crop season. FVC was associated with the years of working with pesticide as a rural worker or helper, and having two or more respiratory symptoms. FEV<sub>1</sub> was related to the IEB, having two or more symptoms, and years of working with pesticide. FEV<sub>1</sub>/FVC was related to the frequency of handling pesticides, and to the IEB. FEF<sub>25-75%</sub> was associated with the manipulation frequency, years of rural work, and having two or more respiratory symptoms.

**Table 4.** Multiple regression models <sup>a</sup> of spirometry variables (in percentages of predict) and cholinesterase levels on exposure indicators during the crop season in SJU, 2014.

Variables	Indicators	β-Coefficient (CI) <sup>b</sup>	p- Value
FVC	Years of rural work <sup>c</sup>	-0.01 (-0.14; 0.28)	<0.001
	Symptoms <sup>d</sup>	-0.79 (-1.21; -0.04)	0.005
FEV <sub>1</sub>	IEB <sup>e</sup>	-0.06 (-0.09; -0.023)	0.001
	Symptoms <sup>d</sup>	-0.11 (-0.17; -0.05)	<0.001
FEV <sub>1</sub> /FVC	Years of rural work <sup>c</sup>	-0.003 (-0.005; -0.002)	0.01
	Manipulation frequency	-0.85 (-1.74; 0.89)	<0.001
FEF <sub>25-75%</sub>	IEB <sup>e</sup>	-0.11 (-1.05; 0.13)	0.05
	Manipulation frequency	-0.62 (-0.77; -0.48)	<0.001
AChE	Years of rural work <sup>c</sup>	-0.05 (-0.07; 0.03)	<0.001
	Symptoms <sup>d</sup>	-0.89 (-1.14; -0.36)	0.002
AChE	Manipulation frequency	-14.27 (-27.11; -1.44)	0.039
BChE	Manipulation frequency	-11.80 (-25.24; -1.64)	0.08

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<sup>a</sup> multiple analysis adjusted for age and smoking; <sup>b</sup> confidence interval = 95%; <sup>c</sup>

307 years of working or helping as rural worker; <sup>d</sup> two or more declared  
 308 respiratory symptoms; <sup>e</sup> IEB: individual exposure burden.  
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310 Table 5 shows the inversely association of the pesticide exposure indicators with the spirometry  
 311 measures during the off-season in SJU. FVC was related to having two or more respiratory  
 312 symptoms. FEV<sub>1</sub> was associated with the manipulation frequency, and the years of working with  
 313 pesticide as a rural worker or helper. FEV<sub>1</sub>/FVC ratio was related to the years of rural work, whilst  
 314 presented an association near the significance level with the IEB. Moreover, FEF<sub>25-75%</sub> was associated  
 315 with the manipulation frequency, and years working with pesticide or helping as a rural worker.  
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317 **Table 5.** Multiple regression models <sup>a</sup> of spirometry variables (in percentages of  
 318 predict) on exposure indicators during the off-season in SJU. 2015.

Variables	Indicators	β-Coefficient (CI) <sup>b</sup>	p - Value
FVC	Symptoms <sup>d</sup>	-0.79 (-1.21; -0.04)	0.005
FEV <sub>1</sub>	Manipulation frequency	-0.29 (-0.37; -0.28)	<0.001
	Years of rural work <sup>c</sup>	-0.02 (-0.03; -0.009)	<0.001
FEV <sub>1</sub> /FVC	Years of rural work <sup>c</sup>	-0.001 (-0.001; -0.001)	<0.001
	IEB <sup>e</sup>	-0.001 (-0.002; 0.000)	0.07
FEF <sub>25-75%</sub>	Manipulation frequency	-0.34 (-0.42; -0.26)	<0.001
	Years of rural work <sup>c</sup>	-0.03 (-0.04; 0.02)	<0.001

319 <sup>a</sup> multiple analysis adjusted for age and smoking; <sup>b</sup> confidence interval = 95%; <sup>c</sup>  
 320 years of working or helping as rural worker; <sup>d</sup> two or more declared  
 321 respiratory symptoms; <sup>e</sup> IEB: individual exposure burden.  
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#### 323 4. Discussion

324 This study investigated whether the occupational pesticide exposure is associated with the  
 325 prevalence of respiratory symptoms and lung function impairments among rural workers and their  
 326 relatives involved in tomato cultivation in Brazil. Only a few studies were conducted in Brazil to  
 327 access the health impacts among pesticide-exposed populations. An innovative approach of this  
 328 study was to compare the respiratory effects of high and low-exposure periods in Brazil. Our  
 329 findings demonstrate an increased prevalence of self-reported cough, nasal allergies and hay fever,  
 330 chest tightness, and breathlessness among workers and relatives, especially during the crop season.  
 331 Furthermore, we found significant associations between the short and long-term exposure to  
 332 pesticides and a decrease in lung function parameters in both crop season and off-season. These  
 333 findings provide complementary evidence of the acute and chronic effects of pesticide exposure on  
 334 respiratory health and possibly the development of chronic lung diseases.

335 We found a significant association between some exposure indicators used and a decrease of  
 336 FVC, FEV<sub>1</sub>, FEV<sub>1</sub>/FVC ratio, and FEF<sub>25-75%</sub> both during the crop season and off-season, even after  
 337 adjusting for sex, age and smoking. In general, more exposure indicators were significantly related  
 338 with the lung measures and presented higher coefficient during the crop season, suggesting that  
 339 short-term exposure to pesticides had an additional effect on spirometry parameters. The pattern of  
 340 spirometry observed in SJU suggests the involvement of small airways, but further studies should be  
 341 done to investigate, since no specific small airways function test was performed. Previous studies  
 342 investigated the pulmonary function of pesticide-exposed workers and found a significant decrease  
 343 in the FVC [8,9], in the FEV<sub>1</sub> [8,9,17–19,28,39,40], in the FEV<sub>1</sub>/FVC ratio [9,17,28,39,40], in the FEF<sub>25-75%</sub>  
 344 [8,9,18,39], and in the peak expiratory flow [9,17]. In addition, the only study that evaluated the  
 345 influence of pesticide exposure on the lung function of Brazilian rural workers found a prevalence of  
 346 obstructive diseases higher than our findings [23]. Taken together, these studies reinforce the  
 347 association between respiratory impairments and occupational exposure to pesticides, independent

348 of smoking.

349 Not many studies have discussed the respiratory effects of pesticide exposure considering  
350 seasonal variations. In the present study, we did not find any statistically significant differences on  
351 lung function when comparing the crop season and the off-season. Nevertheless, the spirometry  
352 variables presented a slight reduction during the off-season, in accordance with another study [19].  
353 This minor reduction could be explained by the worsening of the individual condition, by less effort  
354 of the participants at the reevaluation tests or by loss of follow-up subjects at this stage, especially  
355 those in better health condition. Previous studies found a significant reduction in the FEV<sub>1</sub>  
356 measurement in the post-exposure when compared to the pre-exposure level [41], and lower  
357 post-shift values of FVC and FEV<sub>1</sub> in both crop- and off-season [19]. It suggests that acute obstructive  
358 diseases can arise from high exposure in crop activities. Even when all standards and  
359 recommendations are followed, a precise estimation of the individual spirometric changes requires a  
360 relatively prolonged follow-up due to seasonal, technical and biological variability [19].

361 In this study, the higher prevalence of respiratory symptoms during the crop season can be  
362 attributable to the short-term effects of pesticide exposure. These findings are supported by several  
363 epidemiological studies that associated respiratory symptoms to occupational pesticide exposure in  
364 Brazil [21–23] and elsewhere [8,9,13,17,29].

365 In Brazil, family farmers frequently handle multiple pesticides and apply them by manual  
366 pumping or backpack tank. Nonetheless, pesticide exposure is not restricted to direct contact during  
367 the preparation and spraying. Commonly, rural workers are involved in all stages of the cultivation  
368 process and very often are helped by their relatives in different agricultural tasks during the crop  
369 season [1,3,21]. Although many relatives do not often participate directly in spraying activities, they  
370 are occupationally exposed to pesticides when helping in other tasks, such as taking the sprout out,  
371 tying the stems or harvesting the tomatoes. Some of these activities are carried out at the same day or  
372 day after the pesticide spraying and are often done without personal protection. This situation was  
373 observed in SJU. Moreover, our findings corroborate previous studies conducted in Brazil which  
374 have shown that, in general, family farmers present low educational level and family income, and  
375 lack of orientation or technical support for using chemical products. This scenario points to social  
376 vulnerability, leading to a low risk-awareness and a misuse of protective equipment and,  
377 consequently, to careless pesticide use and higher human exposure [3,21–23,42]. Indeed, during the  
378 field work in SJU it was observed that no one used complete PPE even during spraying activities. In  
379 the interviews they pointed these equipments as expensive, hot and uncomfortable. Despite most  
380 rural workers affirming that they shower and wash hands after pesticide handling, this only occurs  
381 at the end of the work day. Most also declared consuming food and water in the field during work.  
382 These habits may increase the exposure and contamination risk [3,43].

383 Brazilian family farmers, besides the occupational exposure, are often environmentally exposed  
384 to pesticides from an early age, either by living near planting sites, by using or storing pesticides at  
385 home, or by having contact with contaminated clothes and work tools. This residential contact can  
386 represent an extra pesticide exposure to rural families and increment the risk and effects on human  
387 health [1,43].

388 The Brazilian law states that all agricultural workers must be submitted to periodic medical  
389 examinations with cholinesterase measurements, however, these are not provided by public health  
390 services to family farmers. The exposure assessment and health care of family farmers in Brazil are  
391 limited by: the informal organization of these workers and their distribution in millions of small  
392 properties, the constant and prolonged exposure to low doses of multiple pesticides, the distance to  
393 health services, the shortage of laboratories with available analytical capacity, and the absence of an  
394 integrated intoxication reporting system [1,4]. The AChE and BChE activities vary widely among  
395 population groups but their reduction may indicate chronic and acute exposures, respectively [3].  
396 Although the participants were exposed to multiple pesticides in SJU, a significant relation was  
397 observed only between AChE inhibition and manipulation frequency, and few individuals  
398 presented BChE below the proposed reference values. This can be partially explained by the chosen  
399 reference values, by the sample size or because these biomarkers reflect only the exposure to a small

400 portion of the pesticides used in SJU. AChE has been pointed to be inadequate for monitoring  
401 low-dose chronic exposure [44,45], and the BChE reboot effect and fast recovery can hide or  
402 underestimate unsafe pesticide exposure [43], making their use as a biomarker for pesticide  
403 exposure controversial. Nevertheless, the relation between pesticide exposure and the cholinesterase  
404 depletion has been reported in longitudinal studies [41,46,47] and in cross-sectional ones comparing  
405 to non-exposed controls [3,9,43]. In another study, agricultural workers presented an AChE  
406 inhibition of 34.2% and positive associations with respiratory symptoms, lung function decrement  
407 and COPD, compared to controls [9]. A study conducted in Brazil showed that, compared to  
408 unexposed controls, rural workers and rural area residents presented BChE depletion during the  
409 exposure period and AChE depression during both the exposure and non-exposure periods. On the  
410 other hand, 31.7% had AChE over 30% higher than baseline levels, indicating a reboot effect [43].

411 As a limitation of our study, few individuals did not participate at all stages, resulting in some  
412 missing data, but not invalidating our findings. The years of rural work were not considered in the  
413 IEB because the frequency of manipulation was more explanatory in the analysis. However, the  
414 years of working or helping as a rural worker presented significant relations to the pulmonary  
415 function impairments in the multiple regression models. The absence of an unexposed control group  
416 may also be considered a limitation of this study. A strong point is that the study included  
417 approximately 11% of the total number of individuals working in tomato cultivation in SJU.

418 This study adopted an important methodological approach to access the respiratory health of  
419 pesticide exposed individuals. It presented an exposure burden measurement which, even in a small  
420 sample size, was associated with respiratory impairments and could be replicated, or even  
421 improved, in other studies. Other strengths of this research were the focus on family farming, which  
422 is responsible for most of the food consumed in Brazil; the assessment of seasonal variations; the  
423 consideration of rural workers and their relatives as exposed groups; and the broader view of the  
424 pesticide exposure, for example, considering the residential proximity to agricultural areas.  
425

## 426 5. Conclusions

427 This study reinforces previous evidence that short- or long-term exposure to pesticides are  
428 associated with a clinically relevant prevalence of respiratory symptoms and pulmonary function  
429 impairment among family farmers often exposed occupationally and environmentally. This  
430 situation deserves special attention and urgent preventive measures as poor respiratory condition at  
431 productive age may decrease the quality of life of adults and elderly and increase the risk of chronic  
432 disease. A higher morbidity and mortality burden associated with these diseases impacts the health  
433 system and increases costs. Understanding the family farmers' health situation is essential to  
434 establish early diagnosis and offer appropriate treatments.

435 Brazil is the world largest consumer of pesticides but local evidences of their impacts are very  
436 scarce and further research is much needed. This study helps to show that occupational exposure to  
437 pesticides can culminate in adverse respiratory health outcomes in Brazilian family farmers and  
438 reinforces the need for adoption of more personal protection measures and sustainable agricultural  
439 practices.

440 Despite this research being conducted in a small rural community in Brazil, similar situations  
441 are very common in family farming and widespread in most of the low- and middle-income  
442 countries. Moreover, data produced reinforces causal relationships and can help the design of  
443 effective intervention measures and public policies to reduce exposure, risks and the consequences  
444 for human health and the environment.

445

446

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454 to the data analysis. João Salge conducted respiratory data analysis and result interpretation. Fredi  
455 Diaz-Quijano and Luís Amato-Lourenço conducted statistical analysis. Renata Leão and Rejane Marques  
456 contributed to study design and data collection. Daniela Silva collect the data. Jean Guimarães was the main  
457 project coordinator and supervised sample collection. All authors reviewed and provided valuable input to the  
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