



# International Code of Conduct on the Distribution and Use of Pesticides

## Guidelines on Monitoring and Observance of the Code of Conduct



FOOD AND AGRICULTURE ORGANIZATION  
OF THE UNITED NATIONS

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## Table of contents

1.	INTRODUCTION .....	4
1.1	Background .....	4
2.	WHY TO MONITOR .....	5
3.	WHAT TO MONITOR .....	5
3.1	General.....	5
3.2	Initial focus for Monitoring.....	5
3.3	Differentiating Among Entities .....	7
3.3.1	<i>Governments in collaboration with FAO.....</i>	7
3.3.2	<i>Pesticide industry.....</i>	7
3.3.3	<i>NGOs and other interested parties.....</i>	7
3.3.4	<i>Food industry.....</i>	7
4.	GATHERING INFORMATION AT THE NATIONAL LEVEL .....	8
4.1.	Governments .....	8
4.1.1	<i>Different types of monitoring require different tools.....</i>	8
4.1.2	<i>Make use of existing systems.....</i>	8
4.1.3	<i>Specific steps to monitor the high-priority items.....</i>	8
4.1.4	<i>Specific steps to monitor other elements.....</i>	8
4.1.5	<i>Collaboration with FAO.....</i>	9
4.2	Other Stakeholders .....	9
4.3.	Combined Information Base.....	9
5.	PROCEDURES FOR REPORTING AND FOLLOW-UP .....	10
5.1	Regular Monitoring and Reporting.....	11
5.1.1	<i>Regular gathering of information.....</i>	11
5.1.2	<i>Submission of regular reports.....</i>	11
5.1.3	<i>Preparation of FAO report.....</i>	11
5.1.4	<i>Review and recommendations by FAO Panel of Experts.....</i>	12
5.1.5	<i>Implementation of follow-up actions.....</i>	12
5.2.	<i>Ad Hoc</i> Monitoring and Reporting .....	12
5.2.1	<i>Submission of ad hoc reports and information.....</i>	12
5.2.2	<i>Opportunity for Response or Additional Information.....</i>	13
5.2.3	<i>Preparation of FAO report.....</i>	13
5.2.4	<i>Review and recommendations by FAO Panel of Experts.....</i>	13
5.2.5	<i>Implementation of follow-up actions.....</i>	13
6.	THE ROLE OF FAO IN THE MONITORING SYSTEM.....	14
6.1.	General .....	14
6.2.	FAO-maintained Data Base .....	14
6.3	Technical assistance and follow-up .....	14
ANNEX A	REGULAR MONITORING REPORT .....	16
ANNEX B	AD HOC MONITORING REPORT .....	30
ANNEX C	RESPONSIVE OR SUPPLEMENTARY INFORMATION RELATING TO AD HOC MONITORING .....	32

# Guidelines on Monitoring and Observance of the Code of Conduct

## 1. Introduction

The revised *International Code of Conduct on the Distribution and Use of Pesticides* (further referred to as the Code of Conduct) represents an updated, globally-accepted standard of conduct relating to the distribution and use of pesticides. Adopted in 2002, the revisions to the Code of Conduct have strengthened its guidance to reduce the adverse effects of pesticides on health and the environment and to support sustainable agricultural practices.

Among other changes, the revised Code of Conduct contains important new provisions on monitoring and observance. Under Article 12, all stakeholders are invited to monitor and report on implementation of the Code of Conduct. Other provisions call upon governments and industry to collect and report on various types of information relating to pesticides.

These *Guidelines on Monitoring and Observance of the Code of Conduct (Guidelines)* are designed to provide a user-friendly approach for governments and other stakeholders identified in Article 12, including NGOs, the pesticide industry, and other industries, to participate effectively in monitoring observance under the revised Code of Conduct. The *Guidelines* identify information to be gathered and ways to ensure that it will be accessible and used effectively to support further implementation of the Code of Conduct. Over time, their implementation will provide an ongoing source of information to evaluate progress in observing the Code of Conduct, and to highlight where further work is needed.

Following a brief review of the background leading to the development of the new provisions on monitoring in the Code of Conduct, the *Guidelines* address:

- Why to monitor
- What to Monitor
- Gathering Information at the National Level
- Procedures for Reporting and Follow-up
- The Role of FAO in the Monitoring System
- Reporting Forms

### 1.1 Background

After the adoption of the original Code of Conduct, Governments were invited to report on their efforts to implement it under Conference Resolution 10/85 adopting the Code of Conduct. In this context, FAO circulated two questionnaires, one in 1986 and the second in 1993.

These early questionnaires were designed as “mirror images” of the Code of Conduct; they yielded important information on its implementation. This information is summarized in a 1996 FAO publication, *Analysis of Government Responses to the Second Questionnaire*, which also reviews responses to the First Questionnaire. The analysis details trends by region, records how technical cooperation programs and national regulatory systems have helped to implement the original Code of Conduct, and draws general conclusions.

This analysis, however, was based on responses from governments only, and lacked direct input from other important stakeholders, such as the pesticide industry and NGOs.

## 2. Why to Monitor

The *Guidelines* have been developed in order to strengthen the implementation of various provisions of the Code of Conduct of conduct and based on recommendations made by the FAO Panel of Experts on Pesticide Management (the FAO Panel of Experts).

Through a regular monitoring related to the implementation of selected but essential provision of the Code of Conduct, FAO will be able to describe the worldwide status on pesticide management with inputs from governments and other important stakeholders. It will allow for the establishment of trends overtime and to the identification of specific issues worldwide in certain regions. It might also be helpful for the identification of critical areas in pesticide management. Furthermore, experience has shown that the process of monitoring itself can be a tool for self-assessment of governments at the national level to improve decision-making on pesticide management and environmental performance.

The *Guidelines* are directed primarily to governments. As outlined in article 12 of the Code of Conduct, other important stakeholders and interested parties are invited to provide their inputs reflecting the broad group of entities addressed in the Code of Conduct, and the share responsibility to pesticide management. The *Guidelines* include the forms for regular monitoring and for *ad-hoc* monitoring.

## 3. What to Monitor

Article 12 envisions that all aspects of observance of the Code of Conduct should be monitored. It identifies different areas of focus, depending on who is doing the monitoring. Other provisions of the Code of Conduct, noted below, call for monitoring of specific types of information. In keeping with these provisions, the following points are highlighted:

### 3.1 General

These *Guidelines* provide a basis to monitor the observance of each provision of the Code of Conduct. They will help to indicate the extent to which health and the environment are being protected, in line with the objectives of the Code of Conduct. The monitoring system should provide clear information on how well governments, the pesticide industry and others identified in the Code are observing their responsibilities under the Code of Conduct.

### 3.2 Initial focus for Monitoring

Monitoring can be resource intensive. In this light, these *Guidelines* recommend that initial priority be given to elements of the Code of Conduct selected on the basis of the following criteria: (i) importance to overall objectives of the Code of Conduct, especially on protection of health and the environment; (ii) concerns highlighted in past questionnaires and recent experience in implementation; (iii) ease of monitoring; and (iv) contribution to a useful end-result data base to review trends over time.

Based on these criteria, the following provisions of the Code of Conduct are identified for priority attention in monitoring. These provisions are described more fully in Part II of Annex A, attached (Reporting Form).

- Provisions of the Code of Conduct on Pest Management, (**Pesticide Management**), in particular Article 3.7 on efforts to develop and promote Integrated Pest Management (IPM) and Article 3.11 on resistance management strategies
- Provisions of the Code of Conduct on testing, quality control and effects under field conditions (“**Testing of pesticides**”), in particular Articles 4.2, 4.4 and 4.5.
- Provisions of the Code of Conduct to collect information on health and environmental effects of pesticides, including in relation to occupational exposure, poisoning, environmental contamination and residues in food (“**Health and Environmental Information**”), in particular Articles 5.1.3, 5.1.9 and 5.1.10.<sup>1</sup>
- Provisions of the Code of Conduct to collect information on trends and practices on manufacture, use and trade of pesticides (“**Reducing Health and Environmental risks**”), in particular Articles 6.1.8 and 6.1.10.<sup>2</sup>
- Other selected standards of conduct prioritized for initial monitoring (“**Regulatory and Technical Requirements**”), in particular:
  - Article 5.2.3 (actions by pesticide industry to reduce risks) and 5.2.4;
  - Article 5.3 (cooperation by government and industry to further reduce risks);
  - Articles 6.1.1, 6.1.2, 6.2.4, 6.2.6, 6.2.7 (regulatory and technical requirements);
  - Article 7.5 (prohibitions on highly toxic and hazardous products, such as those included in WHO classes Ia and Ib);
  - Article 10 (labelling, packaging, storage and disposal); and
  - Article 11 (advertising).
- Provisions that are identified to be of particular importance at the national level (“**Other Important Items**”). In this regard, all stakeholders should gather and supply information in response to the following questions:
  - Which provisions of the Code of Conduct are especially important at the national level, and why?
  - In which areas covered by the Code of Conduct are there the most significant problems in full observance? What are these problems, and why do they exist?

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<sup>1</sup> The present *Guidelines* focus on the extent to which governments have put in place methods to gather information on health and environmental effects of pesticides. See Annex A. Questions relating to the actual data on the nature and extent of these effects are still being developed, and will be included either in a separate Guideline or as an amended part of the present *Guidelines*.

<sup>2</sup> The present *Guidelines* focus on the extent to which governments have put in place methods to gather information on these trends in manufacture, use and trade. See Annex A. Questions relating to the actual data on the manufacture, use and trade are still being developed, and will be included either in a separate Guideline or as an amended part of the present *Guidelines*.

### 3.3 Differentiating Among Entities

The Code of Conduct provisions on monitoring differentiate between governments, the pesticide industry, and NGOs and other stakeholders. For example, Article 12 provides that governments “should” monitor observance and report on progress, whereas it “invites” the pesticide industry and NGOs/others to do so. The type of information to be provided also differs among the various entities. This may be described as follows:

#### 3.3.1 *Governments in collaboration with FAO*

Article 12 of the Code of Conduct envisions that governments, in collaboration with FAO, will monitor and report on observance of the Code of Conduct in general. This covers their own level of observance of relevant provisions and the level of observance of the pesticide industry and other entities within their jurisdiction of provisions addressed to them. More generally, governments are responsible for monitoring the extent to which the overall objectives of the Code of Conduct are being met. Governments should bear each of these considerations in mind as they gather and report on information in response to these *Guidelines*.

FAO will play an active role in helping to initiate monitoring activities, and will compile information received into a data base designed to build awareness and understanding of issues relating to pesticides and observance of the Code of Conduct. FAO also will support efforts to make effective use of this information, including as a basis to update the Code of Conduct, as needed, and to identify opportunities for further technical assistance in response to priorities and needs identified by countries. More detail on the procedures for these activities is set forth in Parts 5 and 6 of these *Guidelines*.

#### 3.3.2 *Pesticide industry*

Article 12 invites the pesticide industry to report on its product stewardship activities related to observance of the Code of Conduct. The pesticide industry may wish to provide information relevant to its observance of the provisions of the Code of Conduct, including those addressed jointly to it and other stakeholders. In this regard, one should note that certain items contained in Part II of the Regular Monitoring Report Form in Annex A are directed toward the pesticide industry.

#### 3.3.3 *NGOs and other interested parties.*

Article 12 invites NGOs and other interested parties to monitor and report on activities related to implementation of the Code of Conduct. This encompasses the full spectrum of activities covered by the Code of Conduct, including those under the responsibility of governments and pesticide industry. Accordingly, NGOs and other stakeholders may wish to provide information relevant to the observance of any or all provisions of the Code of Conduct. In addition, Article 11.3 calls upon international organizations and public sector groups to call attention to departures from Article 11 (on Advertising).

#### 3.3.4 *Food industry*

The Code of Conduct calls upon the food industry, as important users of agricultural products, to work together with others to ensure that the objectives of the Code of Conduct are achieved (see Article 12.2). To this end, the food industry is encouraged to monitor the use of pesticides throughout the supply chain, and play a part in the cooperative effort to reduce pesticide problems.

## 4. Gathering Information at the National Level

Governments and other entities will need to have in place systems or capabilities to gather and compile the relevant information for monitoring. This Part describes some general steps that may be taken to assist them. Part 5 then sets forth the framework for reporting this information, and related follow-up actions.

### 4.1. Governments

Practical steps to assist governments in monitoring at national and, where appropriate, regional levels are described below.

#### *4.1.1 Different types of monitoring require different tools*

Given the varied nature of the provisions of the Code of Conduct, different methods will be needed to gather the necessary information. For example, methods to gather information on environmental contamination and poisonings will differ from methods to gather information on the manufacture, use and trade of pesticides.

#### *4.1.2 Make use of existing systems*

Existing national regulatory system, and other existing initiatives, will provide the core mechanism for gathering and compiling information relating to observance of the Code of Conduct. Such mechanisms should be organized in a way that enables governments to fulfil their monitoring responsibilities.

In some cases, relevant data collection and reporting systems have already been established under various international initiatives. Examples are the yearly FAO Questionnaire on Pesticide Consumption or the Rotterdam Convention's Severely Hazardous Pesticide Formulation reporting system. Such existing mechanisms should be used whenever possible, to avoid duplication.

Where needed, new information-gathering mechanisms should be established.

#### *4.1.3 Specific steps to monitor the high-priority items*

The high-priority items for monitoring are noted above, and also reproduced in Part II of Annex A (Regular Monitoring Report Form). For each of these, the following steps should be taken:

- identify responsible officials/experts with responsibility to gather and report on this information, and provide FAO with their contact details ;
- inventory existing sources of information and, to the extent possible, organize existing data to provide the needed information;
- establish a mechanism to gather the indicated information.

Annex A provides further guidance on practical approaches to gather information on these items. Further assistance may be requested from FAO.

#### *4.1.4 Specific steps to monitor other elements*

Governments may follow a simpler process to monitor other items in the Code of Conduct. An approach could be a simple checklist and questionnaire, following the format provided in Part III of Annex A.



#### *4.1.5 Collaboration with FAO*

Article 12 indicates that governments should monitor observance of the Code of Conduct “. . . in collaboration with FAO.” Governments are invited to ask FAO for assistance in implementing the steps to gather information outlined above. FAO will provide this assistance, subject to available resources. The role of FAO in the monitoring system is addressed further in Parts 5 and 6.

## **4.2 Other Stakeholders**

Other stakeholders, including the pesticide industry and NGOs, are invited to consider various actions to enhance their capabilities to gather and compile the relevant information. It is suggested that they take note of priority areas noted above to focus these efforts. Stakeholders are invited to provide information on their systems to gather such information.

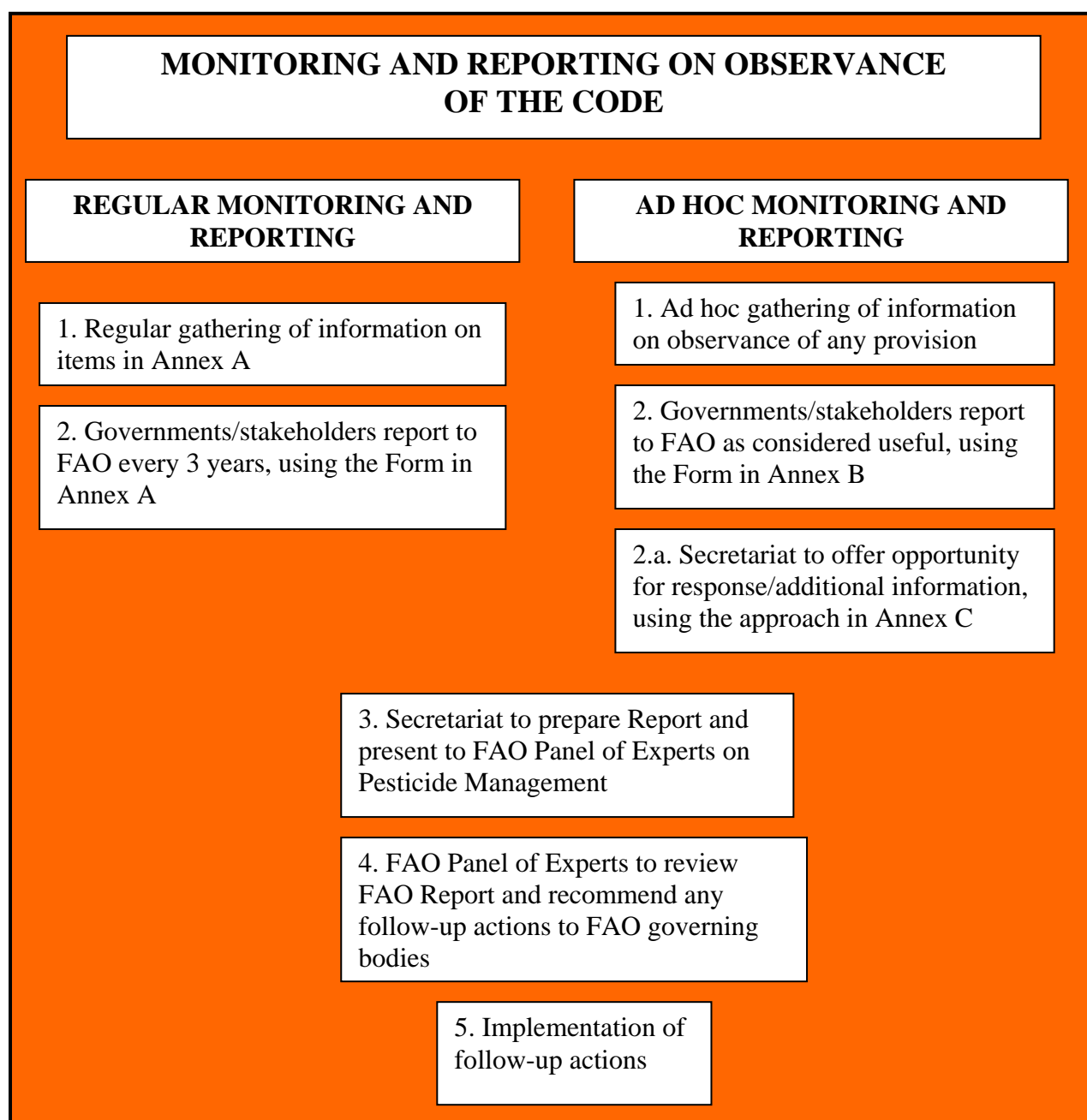
## **4.3. Combined Information Base**

If put in place, the above elements, in combination, would build a working system of information-gathering and data relevant to the observance of the Code of Conduct. Governments and the other entities are invited to put this information in a publicly-accessible format, to promote understanding of the status of implementation of the Code of Conduct on an ongoing basis. This system of gathering information should provide the basis for participation in the monitoring system under the Code of Conduct described in Part 5.

## 5. Procedures for Reporting and Follow-up

A key purpose of these *Guidelines* is to provide a simple, user-friendly approach for use by stakeholders to participate in monitoring the observance of the Code of Conduct. The common use of this approach will facilitate participation, promote comparability of data and regularity of information flow.

To this end, Parts 3 and 4 of these *Guidelines* set out the types of information that should be gathered by governments and other stakeholders as a basis to monitor observance of the Code of Conduct. This Part sets out the mechanism by which this information should be reported to FAO, and how the information will be assessed and used. The overall approach is described in the following chart:



As shown by the chart, the system envisions monitoring on a regular basis (left-hand column) and on an *ad hoc* basis as considered useful (right-hand column). In each case, FAO (Plant Protection Service) will prepare a Report on the basis of information submitted, and present this Report to the FAO Panel of Experts on Pesticide Management (the FAO Panel of Experts) for consideration (see lower 3 boxes). These steps are described in more detail below.

## **5.1 Regular Monitoring and Reporting**

### *5.1.1 Regular gathering of information*

Governments should, and stakeholders are invited to, gather information on the items identified in Annex A on a regular basis (left hand column, box 1). Practical suggestions for gathering this information are set out in Annex A.

### *5.1.2 Submission of regular reports*

Governments should, and stakeholders are invited to, submit reports on these items to FAO every three years. The reports should be submitted to FAO, the Director of the Plant Production and Protection Division (AGP), see left-hand column, box 2.

Annex A provides a Form (Regular Monitoring Reports) for use by governments to monitor and report on both priority elements and other elements. This form may also be use by the pesticide industry, NGOs and other interested parties. In line with these *Guidelines*, detailed information is requested on items with an initial focus for monitoring (see Annex A, Part II), while more general information is requested on other items (see Annex A, Part III).

FAO will circulate invitations to governments, the pesticide industry, the food industry, and other stakeholders to submit reports on the covered items, in line with the three year time frame. The pesticide industry, NGOs and other stakeholders are invited to use the Form in Annex A, as applicable. However, such stakeholders also are invited to develop their own approach to monitoring and reporting as they see most appropriate, and to report to FAO on the approach taken.

### *5.1.3 Preparation of FAO report*

Within six months of the date upon which receipt of these reports is due, FAO (Plant Protection Service) will compile the results of the reports into a single document, known as the FAO Report (Box 3 of Chart). The Secretariat Report should include the following:

- a summary of the information provided in the Regular Monitoring Reports;
- a section on major trends and conclusions indicated by the reported information. These should be provided, at a minimum, on a region-by-region basis, with reference also to the situation in individual countries as considered appropriate;
- draft recommendations for possible follow-up actions, in line with relevant provisions of the Code of Conduct and the items listed in point 5.1.4 below.

FAO will then publish this Secretariat Report in draft form on the FAO website, and present it to the FAO Panel of Experts for its review and consideration.

#### 5.1.4 *Review and recommendations by FAO Panel of Experts*

The FAO Panel of Experts will review the FAO Report and recommend follow-up actions, as appropriate. These recommended actions need to remain in line with the objectives and provisions of the Code of Conduct, and the role envisioned for FAO and other bodies in this regard.<sup>3</sup> They may include:

- recommended actions to address issues or problems identified in the FAO Report. These may be directed towards governments, other stakeholders, international institutions and/or others, and may include:
  - further steps at the national or regional level to promote awareness and observance;
  - the provision of targeted capacity building and technical assistance, as appropriate, to assist countries or regions in taking these steps;
  - further development of Guidelines or other materials to assist countries in achieving observance of the Code of Conduct;
- recommend modifications to the Code of Conduct and/or the procedures, as appropriate, taking into account technical, economic and social progress;
- consider and recommend to FAO which information reported should be made publicly available on the FAO website;
- requests for additional information from governments and/or other stakeholders.

The results of these deliberations, including the key elements of the FAO Report and any recommendations of the FAO Panel of Experts, should be submitted to the FAO Conference through the appropriate procedures, for their information or consideration (Box 4 of Chart).

#### 5.1.5 *Implementation of follow-up actions*

Consistent with Article 12 and other provisions of the Code of Conduct, governments and other identified stakeholders should take effective actions to implement recommendations developed under point (4) above, in support of improved observance of the Code of Conduct (Box 5 of Chart).

## 5.2. ***Ad Hoc Monitoring and Reporting***

### 5.2.1 *Submission of ad hoc reports and information*

Governments and stakeholders are invited to submit monitoring information on specific aspects of observance of the Code of Conduct at any other time, as and when it is considered useful to provide such information (right-hand column, boxes 1 and 2). Such information should be provided to the Secretariat, using the Form in Annex B (*Ad Hoc Monitoring Report*) or some other format that provides similar information. The information may refer to positive examples of observance of the Code of Conduct, problems of observance, or other aspects of observance as the case may be.

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<sup>3</sup> For example, Article 12.1 highlights that the Code of Conduct should be observed through collaborative actions by governments, international organizations and stakeholders. Article 12.6 further provides that FAO and other competent international organizations should give full support to the observance of the Code of Conduct. Articles 12.3 and 12.10 provide that all parties should observe the Code of Conduct, and that the governing bodies of FAO should periodically review the relevance and effectiveness of the Code of Conduct.

### *5.2.2 Opportunity for Response or Additional Information*

In cases where an *Ad Hoc* Monitoring Report refers to actions by specific entities, and in particular where it identifies possible problems in relation to observance, these entities should be given an opportunity to provide responsive or additional information on the matters addressed. The Secretariat should contact such entities and offer them the opportunity to do so (right-hand column, box 2.a), following the approach set forth in Annex C (Responsive or Supplementary Information relating to *Ad Hoc* Monitoring).

The additional information may be provided in a format considered appropriate by the entity concerned. FAO will provide a sufficient period of time to provide the information, such as two months, and will reasonably allow for an extension if needed. The entity or entities providing the additional information may request that some or all of the information that it provided be retained internally by FAO and not published on the internet or included in the FAO Report, noted below. FAO will put safeguards in place to respect this request.

### *5.2.3 Preparation of FAO report*

Following the time-period for the response, FAO will compile the information presented into a single document, the FAO Report (Box 3 of Chart). Subject to point 5.2.2, above, FAO will [publish the Report on the FAO internet site] and present it to the FAO Panel of Experts for its review and consideration.

### *5.2.4 Review and recommendations by FAO Panel of Experts*

Following receipt of the FAO Report, the FAO Panel of Experts should review the Report and recommend appropriate follow-up actions. These recommended actions need to remain in line with the objectives and provisions of the Code of Conduct, and the role envisioned for FAO and other bodies. As appropriate, they may be forwarded to FAO governing bodies (Box 4 of Chart).

### *5.2.5 Implementation of follow-up actions*

Consistent with Article 12 and other provisions of the Code of Conduct, Governments and other identified stakeholders should take effective actions to implement recommendations developed under point (4) above, in support of improved observance of the Code of Conduct (Box 5 of Chart).

## 6. The Role of FAO in the Monitoring System

### 6.1. General

FAO is committed to provide full support to the observance of the Code of Conduct and thus prepared to assist governments and other stakeholders upon request and subject to available resources in the gathering of information noted in Annexes A and B.

FAO functions in relation to the monitoring and reporting system include the following:

- circulate and publicize invitations to governments, the pesticide industry, the food industry, NGOs, and others to monitor and regularly report on items covered by these *Guidelines*;
- receive the regular and *ad hoc* monitoring reports from governments and other stakeholders, and prepare FAO Reports based on this information;
- forward FAO Reports and related information to the FAO Panel of Experts for its consideration;
- forward the results of the deliberations of the FAO Panel of Experts, including any recommendations, to the entities involved and to the relevant FAO governing bodies, as appropriate;
- help to coordinate follow-up actions.

The FAO Panel of Experts has the responsibility under these *Guidelines* to receive and review Reports provided by FAO on the results of monitoring, and to make recommendations for follow-up actions as appropriate. See Part 5. above.

The FAO Conference or other FAO governing bodies may, as appropriate, consider information developed through this monitoring system. Pursuant to Article 12.10, the FAO Conference should periodically review the relevance and effectiveness of the Code of Conduct.

### 6.2. FAO-maintained Data Base

In addition to the functions identified above, FAO will develop a data base for recording on continuous basis information and trends relevant to observance of the Code of Conduct. This data base should draw upon the information developed under these *Guidelines*, should be designed to help evaluate progress in observing the Code of Conduct over time and highlight where further work is needed in support of improving pesticide management. It will be made publicly available.

### 6.3 Technical assistance and follow-up

An important element of this monitoring is to help identify where technical assistance and other follow-up actions are needed to promote observance of the Code of Conduct. Upon request, FAO should lend support to these efforts, within available resources. This support might include, among other things:

- facilitate the sharing of relevant information;
- identify opportunities to coordinate efforts with other international organizations and initiatives;
- participate in discussions, technical assistance and capacity-building activities, and further development of guidance and training materials.



## Annex A

### Regular Monitoring Report

International Code of Conduct on Distribution and Use of Pesticides  
Submitted by: [government]<sup>4</sup>

This report provides information regarding the observance by governments and others, where indicated, of the International Code of Conduct on the Distribution and Use of Pesticides (the "Code of Conduct"). The report follows the format set forth in the Guidelines on Monitoring and Observance of the Code of Conduct (the "*Guidelines*"). Both the Code of Conduct and the *Guidelines* are available on the FAO internet site, at [www.fao.org/ag/AGP/AGPP/Pesticid/](http://www.fao.org/ag/AGP/AGPP/Pesticid/)

#### I. Background Information

<b>A. Contact details</b>		<i>Please provide requested information</i>
Name of Agency/Entity:		
Responsible and/or contact person:		
Mailing address:		
Telephone no.:	Fax no.:	
Email address:	Web site url:	
<b>B. Responsibility</b>		
Areas of responsibility/activity relating to pesticides:		
<i>More than one box can be ticked if relevant</i>		
Legislation/regulation <input type="checkbox"/>	Pesticide registration/authorization <input type="checkbox"/>	Facility licensing <input type="checkbox"/>
Enforcement/inspection <input type="checkbox"/>	Research/testing <input type="checkbox"/>	Training/extension <input type="checkbox"/>
Other <input type="checkbox"/>	<i>Please describe</i>	
Types of pesticides that are regulated by this Agency (for regulatory Agencies)		
<i>More than one box can be ticked if relevant</i>		
Agricultural pesticides <input type="checkbox"/>	Veterinary pesticides <input type="checkbox"/>	Public health pesticides <input type="checkbox"/>
Household pesticides <input type="checkbox"/>		
<b>C. Description of the Agency/Entity</b>		Information provided?
If available, please attach a recent report or document describing the structure and activities of this Agency/Entity (e.g. a recent annual report or a presentation made for a conference)		Yes <input type="checkbox"/> No <input type="checkbox"/>

<sup>4</sup> As noted in the accompanying *Guidelines*, this form should be used by governments to submit their regular monitoring reports. The pesticide industry, NGOs and other interested parties may use this form, as applicable, or develop their own format for reporting, as described further in the accompanying *Guidelines*.



## Practical Suggestions to Gather the Information Requested in Part II of this Form

It is recommended that governments develop an inventory and draw on existing sources of material in providing the requested information. As requested in the Form, please identify the source of the information that is provided.

In gathering the information requested in the Form, it will be important to seek involvement and input from all relevant ministries and other key entities, including agriculture, environment, health, customs (e.g., for trade data), labour (e.g., for occupational impacts), industry/commerce, and trade. This should also include coordination with relevant sub-national authorities and entities.

It will also be important to develop simple methods to address information gaps.

## II. Initial Focus for Monitoring

*Please provide the requested information as attachments*

### A. Pest Management

*This Section requests information relevant to Articles 3.7 and 3.11 of the Code of Conduct.*

#### Integrated Pest Management (Article 3.7):

To what extent has your country been successful in promoting the use of IPM? Please rank according to the following scale:

Not at all;  To a small degree;  To a large degree;  Fully/Completely

Please estimate the percentage of national government resources put into these efforts in relation to all national government programs to support pest and pesticide management

\_\_\_\_ %

Does your country have a National IPM program?

Yes;  No

Has a specific IPM policy been declared?

Yes;  No

Is IPM specifically mentioned in other agricultural policy documents (including laws and regulations, where applicable)?

Yes;  No

Has the government developed strategies that promote increased participation of:

Farmers (including women's groups):  Yes;  No

Extension agents:  Yes;  No

On-farm resources:  Yes;  No

In terms of overall agricultural policy, do you consider IPM high priority?

Yes;  No

To what extent have lending institutions and donor agencies provided support to national IPM practices and improved IPM concepts and practices:

Not at all;  To a small degree;  To a large degree;  Fully/Completely

Please provide additional remarks regarding your responses to each of the above on a separate sheet of paper, if any.

### **Resistance management (Article 3.11):**

Does your country have significant problems with pest resistance?

In agriculture  Yes;  No/

In public health  Yes;  No

Do you have sufficient resources and expertise to address problems with pest resistance?

In agricultural sector  Yes;  No

In public health sector  Yes;  No

To what extent has your government made efforts to collaborate with pesticide industry, national and international organisations in developing and promoting resistance management strategies:

Not at all;  To a small degree;  To a large degree;  Fully/completely

Please describe the basis for your responses on a separate sheet of paper, including a brief description of:

- o Information on significant examples where pest resistance has been detected and is posing a problem in your country, and the nature of the problem.
- o Needs in addressing problems of pest resistance.

## B. Testing, Quality Control and Effects in the Field

*This Section requests information relevant to Articles 4.2, 4.4 and 4.5 of the Code of Conduct.*

### Facilities for quality control over pesticides (Article 4.2):

Do you have significant problems or concerns about the quality of pesticides offered for sale or export in your country?

Yes;  No

To what extent does your country possess or have access to facilities to verify and exercise control over the quality of pesticides offered for sale or export

Not at all;  To a small degree;  To a large degree;  Fully/completely

Do you have significant problems or concerns about your ability to establish the quantity of active ingredients and the suitability of their formulation, according to FAO or WHO specifications when available?

Yes;  No

To what extent do you possess or have access to facilities to establish the quantity of the active ingredient or ingredients and the suitability of their formulation, according to FAO or WHO specifications, when available.

Not at all;  To a small degree;  To a large degree;  Fully/completely

Does your national law or regulatory framework require pesticides to conform to relevant FAO or WHO specifications when available?

Yes;  No

Please provide additional remarks regarding your responses to each of the above on a separate sheet of paper, if any.

### Assistance by exporting governments in relation to testing and analysis (Article 4.4):

Has your country received assistance during the last three years in training personnel on trial design and conduct, the interpretation and evaluation of test data, and risk/benefit analysis?

For exporting governments, to what extent do you assist developing importing countries in training personnel on trial design and conduct, the interpretation and evaluation of test data, and risk/benefit analysis.

Not at all;  To a small degree;  To a large degree;  Fully/completely

For those that provide such assistance, please respond to the following questions.

Does your government have ongoing programs or initiatives to assist developing importing countries in personnel on trial design and conduct, the interpretation and evaluation of test data, and risk/benefit analysis?

Yes;  No

Has your government provided funding to developing importing countries for training in the mentioned areas?

Yes;  No

Has your government made available experts to participate in training in the mentioned areas?

Yes;  No

If the answer to any of the above is yes, please describe briefly on a separate sheet of paper.

Please also describe to what extent you have taken actions to promote maximum availability to, and use by importing developing countries of, appropriate international assessments and evaluations of pesticide hazards and risks.

Not at all;  To a small degree;  To a large degree;  Fully/completely

For those that have taken such actions, please describe briefly on a separate sheet of paper.

**Collaboration between pesticide industry and governments in post-registration surveillance and monitoring to determine fate and effects of pesticides under field conditions (Article 4.5):**

To what extent has your government taken actions to collaborate with pesticide industry and with other governments in post-registration surveillance or in conducting monitoring studies to determine the fate of pesticides and their health and environmental effects under field conditions.

Not at all;  To a small degree;  To a large degree;  Fully/completely

For those that have taken such actions, please describe briefly on a separate sheet of paper.

### C. Health and Environmental Information

*This Section requests information relevant to Articles 5.1.3, 5.1.5, 5.1.9 and 5.1.10 of the Code of Conduct. Practical suggestions for gathering the requested information are attached to this Form.*

#### Occupational exposure to pesticides, and poisonings (Article 5.1.3)

Does your Government conduct surveys on occupational exposure to pesticides?

Regularly

Occasionally

Once recently

None

Do the surveys cover?

The entire country

Selected regions of the country

Selected locations

Who do these surveys address?

Farm workers

Workers in formulation or manufacturing facilities

Others , please specify:

If the answer to any of the above is yes, please describe the surveys and methods used on a separate sheet of paper.

Do you document poisoning cases?

Yes;  No

Have you established poison control centres or facilities near areas where pesticide poisoning may occur?

Yes;  No

If so, please describe on a separate sheet of paper .

Is medical assistance readily available to areas where pesticide poisoning may occur?

Yes;  No

Is any training available that would assist in the identification and management of pesticide poisoning symptoms?

Yes;  No

**Gathering data on environmental contamination and incidents (Article 5.1.9):**

Do you have significant problems or concerns of environmental contamination from pesticides?

Yes;  No

Have you had significant incidents of pesticide contamination to the environment during the last three years, e.g., to wildlife or aquatic ecosystems?

Yes;  No

Have you established programs to collect data on environmental contamination and specific incidents relating to pesticides.  Yes;  No

More specifically, have you collected data on pesticide effects on:

Wildlife:  Yes;  No

Endangered Species:  Yes;  No

Aquatic ecosystems:  Yes;  No

Terrestrial ecosystems:  Yes;  No

Specific incidents that have harmed the environment (e.g., fish poisonings, etc.):  Yes;  No

If the answer to any of the above is yes, please describe the surveys and methods used on a separate sheet of paper.

**Monitoring pesticide residues in food (Article 5.1.10):**

Has your Government established national MRLs for food and feed items?

Yes;  No

Does your Government have implemented a national system to monitor pesticide residues?

In food/feed  Yes;  No

In the environment  Yes;  No

If no, has your government recently carried out any studies on residues in food or in the environment?

Yes;  No

If the answer is yes, please describe the surveys and methods used on a separate sheet of paper.

#### **D. Trends in Manufacture, Use and Trade**

*This Section requests information relevant to Articles 6.1.8 and 6.1.10 of the Code of Conduct*

##### **Data on Manufacture, Use and Trade (Article 6.1.8):**

Have you established and applied methods to collect and record data on the import, export, manufacture, formulation, quality, and use of pesticides?

Have you collected data regularly in the following areas:

Import:  Yes;  No

Export:  Yes;  No

Manufacture:  Yes;  No

Formulation:  Yes;  No

Quality:  Yes;  No

Use:  Yes;  No

Does your Government send any data to FAO in response to the yearly questionnaire on pesticide consumption?

Yes;  No

If the answer to any of the above is yes, please describe in a separate sheet of paper or provide references what type of data has been collected, how often, and whether it contains any significant gaps.

##### **Methods to detect and control illegal trade in pesticides (Article 6.1.10):**

Have you established methods to detect illegal trade in pesticides?

Yes;  No

Have you established methods to control illegal trade in pesticides?

Yes;  No

Do you consider that there are or might be significant problems of illegal import of pesticides in your country?

Yes;  No

If the answer to either of the above questions is yes, please describe on a separate sheet of paper.

## E. Selected Standards of Conduct

*This section requests information relevant to certain standards of conduct set forth in Articles 5,6 and 7 of the Code of Conduct, as well as Articles 10 and 11*

### **Risk reduction efforts by pesticide industry (Article 5.2.3):**

Please describe the extent to which the pesticide industry has made efforts to reduce risks from pesticides in relation to the following:

Making less toxic formulations available:

Not at all;  To a small degree;  To a large degree;  Fully/completely

Introducing products in ready-to-use packages

Not at all;  To a small degree;  To a large degree;  Fully/completely

Developing application methods and equipment that minimize exposure to pesticides

Not at all;  To a small degree;  To a large degree;  Fully/completely

Using returnable and refillable containers where effective container collection systems are in place

Not at all;  To a small degree;  To a large degree;  Fully/completely

Using containers that are not attractive to or easily opened by children, particularly for domestic use products

Not at all;  To a small degree;  To a large degree;  Fully/completely



Using clear and concise labeling

Not at all;  To a small degree;  To a large degree;  Fully/completely

Please describe on a separate sheet of paper any positive actions that have been taken, as well as any particular issues or concerns, in relation to the above-mentioned areas

**Cooperative actions for risk reduction (Article 5.3):**

Has your government alone and/or in cooperation with industry undertaken cooperative actions to further reduce risks in the following areas:

Promoting the use of proper and affordable personal protective equipment:

Yes;  No

Making provisions for safe storage of pesticides at both warehouse and farm level

Yes;  No

Establishing services to collect and safely dispose of used containers and small quantities of left-over pesticides

Yes;  No

Protecting biodiversity and minimizing adverse effects of pesticides on the environment (water, soil and air) and on non-target organisms

Yes;  No

Please describe on a separate sheet of paper any positive cooperative initiatives, as well as any particular issues or concerns, in relation to the above-mentioned areas.

**National legislation and enforcement (Article 6.1.1):**

Has your government introduced the necessary legislation for the regulation of pesticides covering their entire life-cycle and made provisions for its effective enforcement.

Yes;  No

Please describe briefly on a separate sheet of paper successes and gaps in the legislation and enforcement.

**Registration system (Article 6.1.2):**

Does your government ensure that each pesticide product is registered before it can be made available for use?

Yes;  No

Please describe on a separate sheet of paper both successes and gaps in relation to the registration system.

**Conformity with relevant FAO and WHO specifications (Article 6.2.4):**

Does the pesticide industry ensure that active ingredients and formulated products conform with relevant FAO and WHO specifications.

Yes;  No

Please describe on a separate sheet of paper both successes and difficulties in relation to this matter, as applicable.

**Voluntary responsive action (Article 6.2.6):**

Has the pesticide industry, when problems occur in your country, voluntarily taken corrective action and, when requested by governments, helped to find solutions to difficulties.

Yes;  No

Please describe on a separate sheet of paper any positive examples and any difficulties in this regard.

**Provision of data on trade, manufacture and sale by pesticide industry (Article 6.2.7):**

Has the pesticide industry has provided the national government with clear and concise data on the following:

Export:  Yes;  No

Import:  Yes;  No

Manufacture:  Yes;  No

Formulation:  Yes;  No

Sales:  Yes;  No

Quality of pesticides:  Yes;  No

**Prohibitions on highly toxic and hazardous products (Article 7.5):**

Has your government prohibited the importation, sale and purchase of highly toxic and hazardous products, such as those included in WHO classes Ia and Ib, in light of Article 7.5 which indicates that such prohibitions may be desirable if other control measures or good marketing practices are insufficient to ensure that the product can be handled with acceptable risk to the user.

Yes;  No

If yes, please describe on a separate sheet of paper which products have been made subject to such prohibitions.

## F. General Input on Observance of Code of Conduct

*This section is designed to allow you to identify areas of the Code of Conduct of particular important in your country, and to highlight any problems relating to pesticides that you consider merit attention.*

**Question 1:** Which provisions of the Code of Conduct are especially important at the national level, and why? Please explain your answer with examples.

**Question 2:** In which areas covered by the Code of Conduct are there the most significant problems in full observance? Please explain what these problems are and why you believe that they exist. In answering these two questions, please provide your professional opinion on the following:

- What are the strengths of the present pesticide management system?
  - What are the weaknesses of the present pesticide management system?
  - What are the major bottlenecks to ensure sound pesticide management?
  - What are priority areas for strengthening of pesticide management?
  - In what areas could FAO possibly provide assistance for strengthening of pesticide management?

Please provide your responses on a separate sheet of paper

### III. General

*This part is designed to allow you to provide any comments on this Monitoring Report form, including suggestions for modifications and improvements.*

Please provide any comments on this Monitoring Report form, including suggestions for modifications and improvements, you may use a separate sheet of paper.

Name and Title:

Please return this form to the FAO Representation, at the following address: [insert address].

Where possible, it is requested that responses be provided in electronic format. An electronic version of this questionnaire can be made available on request, please write to Mr. Gero Vaagt (email address: [Gero.Vaagt@fao.org](mailto:Gero.Vaagt@fao.org)).

## **Practical Suggestions to Gather the Information Requested in Part II of the Form**

### **General:**

It is recommended that governments develop an inventory and use existing sources of material in providing the requested information. As requested in the Form, please identify the source of the information that is provided.

In gathering the information requested in the Form, it will be important to seek involvement and input from all relevant ministries and other key entities, including agriculture, environment, health, customs (e.g., for trade data), labor (e.g., for occupational impacts), industry/commerce, and trade. This should also include coordination with relevant sub-national authorities and entities.

It will also be important to develop simple methods to address information gaps. . Finally, it will be important to identify responsible officials/experts with responsibility to gather and report the requested information. Please inform the FAO Secretariat of who is the responsible official/expert.



## Annex B

### *Ad Hoc* Monitoring Report

FAO Code of Conduct on Distribution and Use of Pesticides

Submitted by: \_\_\_\_\_<sup>5</sup>

<b>1. Contact details</b>	
<i>Please provide requested information</i>	
Name of entity submitting the Report:	
Responsible and/or contact person:	
Mailing address:	
Telephone no.:	Fax no.:
Email address:	Web site url:
<b>2. Description of the Entity submitting the Report</b>	
Please describe the entity submitting this Report, and the nature of its involvement and interest in pesticide management issues relevant to the Code of Conduct	
<b>3. Types of pesticides involved in the <i>Ad Hoc</i> Report</b>	
<i>More than one box can be ticked if relevant</i>	
Agricultural pesticides <input type="checkbox"/> Veterinary pesticides <input type="checkbox"/> Public health pesticides <input type="checkbox"/> Household pesticides <input type="checkbox"/>	
Disinfectants <input type="checkbox"/> Wood preservatives <input type="checkbox"/> Other types of pesticides <input type="checkbox"/>	
<b>4. <i>Ad Hoc</i> Monitoring Information</b>	
Please provide information that you consider appropriate relevant to observance of the Code of Conduct, in accordance with the provisions of the Code of Conduct and the <i>Guidelines</i> to which this form is attached. In order for this information to be further considered, it should:	

<sup>5</sup> As noted in the accompanying *Guidelines*, this form should be used by entities recognized under the Code of Conduct that wish to provide *ad hoc* reporting information relating to observance of the Code of Conduct. The requested information should be included on attached sheets.

- Indicate which provision(s) of the Code of Conduct is being addressed
- Address a matter(s) relating to observance of this provision(s), in accordance with the provisions of the Code of Conduct
- Describe the factual basis on which the Report is submitted, and how these facts relate to observance of the provision(s)
- Provide contact information for entities engaged in the described activities, so that such entities may be contacted by FAO and provided the opportunity to provide any responsive or supplementary information
- Provide sufficient information to enable the Secretariat to compile a neutral summary of the issue(s) relating to observance
- Be provided for the purpose of promoting improved information and understanding of observance of the Code of Conduct

## 5. Signature

**Name and Title:**

**Date:**

Please return this form to the FAO Representation at the following address: [insert address]. Where possible, it is requested that responses be provided in electronic format.

## Annex C

### Responsive or Supplementary Information relating to

#### *Ad Hoc* Monitoring

As indicated in the *Guidelines* and Annex B, *Ad Hoc* Monitoring Reports may refer to activities by specific entities relevant to observance of one or more provisions of the Code of Conduct. In accordance with these *Guidelines*, such entities should be given an opportunity to provide responsive or additional information on the matters addressed.

For this purpose, the FAO should circulate a Note to governments where the activity(ies) took place, and a copy to any entities identified in the matter of observance of the Code of Conduct in the *Ad Hoc* report. The Note should include the following information:

- A brief description of the Code of Conduct and the *Ad Hoc* Reporting Process relating to observance of the Code of Conduct
- A brief description of the matters described in the specific *Ad Hoc* Report, including where they took place and who is identified as involved in a matter of observance of the Code of Conduct
- A brief description of the process that will be followed for handling the *Ad Hoc* Report and any responsive or supplementary information that is provided, in accordance with the accompanying *Guidelines*
- An invitation to the government, and the entities identified in the *Ad Hoc* Report, to provide to the FAO any responsive or supplementary information that they consider appropriate

If the *Ad Hoc* Monitoring Report addresses issues of general relevance or if similar activities are reported from different countries FAO will present such case to its “Panel of Experts on Pesticide Management”.