

1                                   **Effectiveness and chemical pest control of Bt-cotton**  
2                                   **in the Yangtze River Valley, China**  
3

41. **Introduction**

5    In China, genetically modified cotton (GMC) was first marketed in 1997, with varieties  
6    integrating Bt genes (Bt-cotton) to control some cotton pests, notably *Helicoverpa armigera*.  
7    By 2005, it was estimated that Bt-cotton is grown on about 60% of the total Chinese cotton-  
8    growing area (ISAAA, 2005), and close to 100% in areas with potentially major bollworm  
9    infestations (namely in the Yellow River Valley and Yangtze River Valley).  
10   This acceptance of Bt-cotton could be explained by its cost-effectiveness due to a reduction in  
11   pesticide use (Huang et al., 2003; Huang et al., 2004; Pray et al., 2002). Three kinds of Bt-  
12   cotton varieties have been grown: varieties integrating the Monsanto Bt Cry 1Ac gene,  
13   varieties with the Chinese Bt gene<sup>1</sup> (Guo and Cui, 2004), and more recently varieties  
14   combining the Chinese Bt gene with the protease inhibitor CpTi gene (Cowpea Trypsin  
15   inhibitor). Most varieties currently grown in China have only the Chinese Bt-gene although  
16   there was a debate on the illegal use of Monsanto Bt-gene in Chinese varieties(Pray et al.,  
17   2006; Zou, 2003). The market share of the Monsanto gene varieties has dramatically fallen in  
18   recent years (10% in 2005 and presumably less since then). The relative share of GM varieties  
19   combining two genes has not yet been estimated.  
20   The Chinese experience is a success story which has nevertheless recently been questioned, at  
21   least with respect to the Yellow River Valley, through papers accessible to the international  
22   community (CRICAAS, 2006; Lang, 2006), but documented much earlier in China (Yang and

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<sup>1</sup> This gene was constructed in 1992 by the team of Prof. Guo Sandui of the Biotechnology Research Institute, Chinese Academy of Agricultural Sciences. Various papers from this team mention this as being a Cry 1A gene, outcome of a gene synthesis. The first cotton varieties integrating this gene were experimented in 1995.

23 Guo, 2002). It is reported that the level of pest resistance is considered to be insufficient, the  
24 reduction in chemical control of bollworms seems to be counter-balanced by an increase in  
25 insecticides being applied to control other pests and farmers are also complaining about the  
26 substantial increase in Bt-cotton seed prices. This worrisome decline in the profitability of  
27 cotton growing likely underlies the Chinese Government's decision to implement a seed-  
28 subsidy program in 2007 (Liu, 2006; Wang and Lou, 2007; Yang, 2007), hence resuming  
29 subsidies, which had been discontinued in 1999, at the time when China was preparing its  
30 enter the WTO.

31 Factors underlying the effectiveness of Bt-cotton in China have not been analysed in detail.

32 Are the varieties in the market really GMs? Is the gene expression correct? Is chemical control  
33 adapted for these varieties? Our paper is a contribution towards answering these questions.

34 It is not easy to directly address these issues with up to 300 varieties being marketed, in 2005  
35 (Lu et al., 2006), and very time-consuming to conduct a proper survey of farmers' cultivation  
36 practices, notably in the area of pest control, and to identify the varieties they use. Some  
37 authors have even underlined the difficulties encountered in identifying farmers' pest control  
38 practices through surveys in China (Pemsl et al., 2005a). The present study provides a more  
39 indirect methodology based on the results of a network of varietal experiments conducted in  
40 the Yangtze River Valley which have provided informative data on the issues addressed.

## 412. **Materials and Methods**

### 42 *The varietal experiment network*

43 The Yangtze River Valley varietal experiment network (YRVEN) dates back to 1950 and  
44 spans eight provinces, accounting for 35% of the cotton production in China in 2005. It  
45 currently assesses and recommends varieties adapted to local conditions through trials  
46 conducted at 22 locations (Table 1). The aim is to have varieties recommended for all or at  
47 least for several provinces of the network . A database was recently set up to help record and  
48 process results of more than 50 years of research. Results of data for the 2000-2006 period are

49 considered in the present paper.

50

51 (Table 1: General information on the network trial locations)

52

53 The varieties in each trial are proposed by the institutions which have bred them. These

54 generally have already been registered at local level and have been cultivated to some extent

55 by farmers. So, the varietal performances in the network trials are quite indicative of what

56 farmers can actually expect in the field. One variety served as a check in each trial. This was a

57 non-GM variety until 2005, but it was replaced by a GM variety (XiangZa 8) thereafter. Seeds

58 for all varieties tested were provided by the variety owners in quantities sufficient for two

59 series of trials in case they had to be tested in a second year.

#### 60 *The experiment implementation*

61 In all Chinese provinces, there are local research institutes at district and county levels which

62 are mainly involved in implementing adaptive research, such as cultivation practices, crop

63 protection, and plant breeding. The staff of these institutes are also responsible for

64 implementing the YRVEN varietal trials, which were designed to identify varieties adapted to

65 local conditions. Network collaborators were asked to apply local cultivation techniques.

66 Decisions to apply chemical pest control were only made if required, according to the average

67 pressure observed throughout the trial. With mostly Btcotton, the pest pressure observed was

68 illustrative of the average Bt-trait effectiveness. Once decided, chemical sprays were applied

69 on all varieties, regardless to their individual pest resistance status. Hence, chemical control

70 was directed more to GM varieties and potentially less suitable for non-GM varieties.

71 In addition to the number and dates of sprays, additional information was required from 2004

72 to determine the pests targeted at each spray, the particular active ingredient targeted at a

73 specific pest and when it was applied. The number of chemical applied is higher than the

74 number of sprays, as a mixture can be applied in one spray to control several pests. More

75 importantly, it has become possible to identify the date of the first bollworm control treatment.

76 *Monitoring the GM status and bioassays*

77 The GM status of the varieties has been monitored since 2003 by the Biotechnology Research  
78 Institute, Beijing, owner of the Chinese Bt gene (Xia and Guo, 2004). Until 2007, this Institute  
79 was the only organization authorized to assess the GM status of cotton varieties through  
80 ELISA tests. Varieties to be assessed are sown in 30 m<sup>2</sup> plots in May every year and ELISA  
81 tests are performed at the end of June on top leaves from plants at around 45 day post-  
82 emergence. The Bt-protein content is determined on the basis of absorbance values (in ng/g).  
83 The results of many experiments, indicate that a protein content of 450ng/g can be regarded as  
84 a threshold for good potential pest resistance.

85 Bioassays on the same varieties only began in 2004 at the Crop Protection Institute, Jiangsu  
86 Academy of Agricultural Science. The indoor and outdoor trials involved assays of cotton  
87 leaves picked from cotton plants grown in 20 m<sup>2</sup> plots per variety, which were generally sown  
88 around April 25. In addition to the varieties included in YRVEN, a pest-sensitive variety was  
89 sown to serve as a check in the bioassays.

90 Leaves were picked near the top of the cotton plants at the 4-5 true leaf seedling stage for the  
91 laboratory bioassays, in which six one-day old neonates are placed on two cotton leaves in  
92 Petri dishes. Five dishes were used per variety. The number of dead and alive bollworm  
93 larvae, and the extent of leaf damage were recorded after 3 and 5 days. All of these data,  
94 notably the mortality at days 3 and 5 for all varieties, were compared with the results obtained  
95 with the non-Bt check variety, according to the formula:

96 
$$\text{Adjusted mortality} = (\text{treatment mortality} - \text{check mortality}) / (100 - \text{check mortality}) \times 100$$

97 In the outdoor bioassays, nylon nets were placed over plots and 40 pairs of bollworm moths  
98 were introduced when the cotton plants had reached the squaring stage. The total number of  
99 squares and bolls attacked, the extent of their damage, and the number of living larvae were  
100 recorded 10 and 14 days later. The number of larvae surviving was compared with the check.

101 The larvae and moths needed for the bioassays were reared by the Crop Protection Institute at  
102 a constant room temperature of 26°C with 16 h of sunlight, from an initial collection of larvae  
103 from the field.. After about 30 generations, this population was considered quite sensitive to  
104 Bt toxin, although a few individuals had to be introduced into this population in recent years to  
105 preserve its vigour.

106 The names of varieties were coded by the YRVEN head agent, who was the only person who  
107 could match the codes and variety names after the analyses or bioassays had been  
108 implemented. Two non-GM varieties were integrated in the Bt-protein analysis and  
109 bioassays.

### 1103. **Results**

#### 111 *Features of the tested varieties*

112 The number of varieties submitted every year to the network for regional recommendation has  
113 risen to as high as 31 varieties (Table 2). These varieties no longer originate from public  
114 research institutions alone, as private companies are playing an increasing role. The principally  
115 GM varieties are also almost exclusively hybrids as these have stronger vigour, permit lower  
116 plant density and hence reduce labour requirement for the widely adopted technique of  
117 transplantation (Fok and Xu, 2007).

118  
119 (Table 2: Basic information on the varieties tested in YRVEN)  
120

#### 121 *Great variation and fluctuation in Bt-toxin production*

122 The protein tests were effective for certifying the GM status of the varieties tested in YRVEN.  
123 No Bt-proteins were detected in the two non-GM varieties. The range of Bt-protein production  
124 in GM varieties (Figure 1) showed that except three varieties, the protein production was  
125 below 800ng/g. For most varieties, the protein production was above the 450ng/g threshold,  
126 thus suggesting a high pest resistance potential according to the norm retained in China. There  
127 were about 24 cases of production below this threshold (although there were 13 cases of

128 protein production between 400 and 450ng/g), i.e. about 33 % of all tests carried out.

129

130 Figure 1: Distribution of varieties according to their Bt-protein production

131

132 Bt-gene expression is not only an issue between genetic background, as expression has

133 fluctuated considerably for the same genetic backgrounds between years. Indeed, 10 varieties

134 were tested in two subsequent years and their Bt-gene expression was evaluated. In spite of

135 similar seeds from one year to another, Bt-protein production fluctuated substantially for more

136 than 50% of the varieties which were tested in duplicate, revealing a quite substantial protein

137 production gap of more than 200ng/g (about half of the threshold of 450ng/g for resistance

138 effectiveness). We also processed data from the larger Yellow River Valley network in which

139 the varieties tested were also mainly Bt ones but quite different to those submitted to the

140 Yangtze River Valley network. The same protein production fluctuations were observed

141 (Table 3).

142

143 (Table 3: Fluctuations in Bt-protein production for the same varieties)

144

#### 145 *Pest resistance confirmed but not perfect*

146 Bioassay results were obtained for 56 varieties during the 2004-2006 period, and 10 of these

147 were tested for two subsequent years, revealing some fluctuation in Bt-protein production, as

148 mentioned above.

149 In the indoor bioassays, the observed larval mortality after 3 days was not sufficiently

150 indicative of the mortality induced by Bt-toxin, which would require at least 5 days of

151 monitoring. Varieties classified as pest resistant were resistant, especially at the very young

152 cotton plant stage (4-5 real leaf stage). This was clearly indicated by the mortality observed in

153 the indoor trials 5 days after the larvae were placed on cotton leaves: larval mortality was less

154 than 60 - 80% only in 5% and 16% of the varieties tested respectively (Table 4).

155 The reduction in larval survival noted in the outdoor bioassays (implemented in Nanjing) was

156 not correlated with the Bt-protein production measured (in Beijing) but the outdoor bioassay  
157 results were quite consistent with the indoor results, although the correlation between these  
158 results was not perfect (coefficient of determination of 33%). There was no reduction in larval  
159 survival in the field for around 10% of the GM varieties tested. For 10-20% of the other  
160 remaining varieties, the reduction was low (less than 60%). These figures are indicative of  
161 some pest-resistance effectiveness whose level is already considered to be below expectation  
162 in the Yangtze River Valley.

163 (Table 4: Bt-protein production and bioassay results)  
164

165 ***Relatively frequent chemical control of cotton pests***

166 The number of chemical controls and sprays<sup>2</sup> varied substantially between provinces and  
167 years. It cannot be considered that chemical control requirements diminished during the 2004-  
168 2006 period in any of the provinces considered while no changes were introduced in the  
169 spraying practices. Averaged across the 8 provinces, 14.5 insecticide treatments were applied  
170 in 8.2 sprays in 2006 (Table 5). Less chemical control was noted in three provinces, two of  
171 which (Anhui and Jiangsu) are partially connected to the Yellow River Valley where farmers  
172 reduced their chemical sprays to a greater extent after the advent of GM cotton (Pray et al.,  
173 2002).

174  
175 (Table 5: Variation of the numbers of chemical controls and sprays in provinces)  
176

177 Cotton plants still require up to five sprays against bollworms but with variation between  
178 provinces and years (Table 6). In addition to the well known *H. armigera* and *P. gossypiella*,  
179 the Asian Corn Borer (*Ostrinia furnacalis Guenee*) is another Lepidopteran pest, which is

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<sup>2</sup> Each control is based on a particular active ingredient targeted at a specific pest at a specific time, so the number of chemical controls is higher than the number of sprays, as one spray can combine several active ingredients to control several pests.

180 reported to be a pest of increasing threat in the Yellow River Valley (He et al., 2006) where  
181 maize and cotton crops are grown.

182 More than two sprays are currently needed to control leaf-eating pests, but this category  
183 includes *Spodoptera litura* that the single gene Cry 1Ac has never controlled. It is reported that  
184 this pest no longer feeds only on leaves but attacks also squares and bolls, and whose chronic  
185 infestation is now regarded as a worrisome threat to cotton production (Guo et al., 2003; Li,  
186 2004; Li et al., 2004; Qin et al., 2000; Russell and Deguine, 2006).

187 At all locations, sucking pests require more insecticide sprays than bollworms, as it was  
188 pointed out (Lang, 2006; Yang and Guo, 2002) and noted in two surveys carried out in Hebei  
189 and Jiangsu, respectively located in the Yellow and Yangtze River Valleys (Fok and Xu, 2007;  
190 Fok et al., 2005).

191 (Table 6: Chemical control patterns according to pest types)

192

#### 1934. Discussion

##### 194 *Reality and rationale of the wide diffusion of hybrid varieties*

195 Since the year 2000, Bt and hybrid cultivars have dramatically increased their share among the  
196 varieties tested in the Yangtze regional network (Table 2). Bt-varieties increased from 30% in  
197 2000 to 94% in 2006, while hybrid cultivars represented 100% of all the varieties tested in  
198 2006. The dominance of hybrid varieties agrees with the full coverage of cotton area with  
199 these varieties in many provinces of the Yangtze River Valley (Xu and Fok, 2008).

200 The hybrid cultivars achieve a higher yield resulting from more numerous and heavier bolls  
201 compared to non-hybrid cultivars (Table 7). Hybrid and non-hybrid cultivars showed the same  
202 average value in terms of Bt-protein production during the 2003-2006 period, suggesting that  
203 the Bt gene used in creating hybrids is completely dominant.

204 Nevertheless Bt-cultivars did not show superiority for any of the criteria considered in the  
205 Yangtze River Valley, consistent with previous observations which have pointed out the low  
206 specific advantage of pest resistance by Bt-gene in the Yangtze River Valley (Xu et al., 2004).

207 The superiority of varieties which successfully pass through the regional testing, appears to be  
208 due mainly to improved lint quality criteria (lint length and "spinning quality"), as well as a  
209 slightly higher average yield (Table 7). However, this result is biased as non-hybrid cultivars  
210 contribute to the lower mean yield of the group of non-approved varieties. The less influence  
211 of yield criteria is illustrative of a situation where quite high yields have been obtained for  
212 many years.

213  
214 (Table 7: Hybrid and GM effects on various recommendation criteria)  
215

216 *Efficacy threshold of Bt-toxin*

217 In China, Bt-varieties are considered effective in pest resistance when the Bt-toxin production  
218 exceeds 450ng/g, as in 67% of the varieties tested during the 2003-06 period. The Bt-toxin  
219 production seldom exceeds 800ng/g. Since some authors have proposed the efficacy threshold  
220 of 1900ng/g of Cry 1Ac toxin, on the basis of research undertaken in India (Kranthi et al.,  
221 2005), could the low toxin production level being observed in the Yangtze River Valley  
222 network impact negatively on the pest resistance?

223 The low level of Bt-toxin production (relatively to what is reported in other countries for Cry  
224 1Ac) is not specific to the Yangtze River Valley network. The levels we have reported are  
225 quite consistent with what has been found in previous studies. The maximum values were less  
226 than 600ng/g (Xia and Guo, 2004) and all values were below 600ng/g (except one value at  
227 900ng/g) in another study (Xia et al., 2005). When the Bt-toxin production is reported from  
228 both the Monsanto and Chinese Bt-gene, the data is similar with at most 700ng/g (Wan et al.,  
229 2005), by using the ELISA kit provided by the American firm Agdia (Elkhart, IN). When the  
230 Bt-toxin production is controlled at the farmers' level<sup>3</sup>, from cotton plants from seeds of Bt-  
231 varieties they have held back from previous season or they have bought, Bt-toxin

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<sup>3</sup> Analysis was made by the Chinese Academy of Agricultural Sciences in Beijing.

232 concentrations seldom exceed 1000ng/g and 80% were below 800ng/g (Pemsl et al., 2005a).  
233 With reference to bioassays results, mortality ratios were quite substantial whatever the levels  
234 of the Bt-toxin production, this implies that the threshold retained in China does not seem to be  
235 too low. Nevertheless, the Bt-toxin production measured (in Beijing) is badly correlated to the  
236 results of bioassays (implemented in Nanjing); this observation implies that the figure of Bt-  
237 gene expression in one place is not a sufficiently good indicator of the pest-resistance efficacy  
238 in real conditions. This is consistent with the multitude of factors which impact on this efficacy  
239 (cf. infra).

240 The content of Cry1Ac toxin is reported to reach 6000ng/g in India and Australia. In India,  
241 depending on the plant parts and the period of analysis, the content has fluctuated from 50 to  
242 5510ng/g (Kranthi et al., 2005). In Australia, a very wide range of Cry 1Ac toxin content has  
243 been obtained in various experiments to assess the effects of genetic background, agronomic  
244 practices and water or fertility stresses. The toxin concentration ranged from 270 to 6010ng/g,  
245 but most figures, even for varieties integrating the single Cry 1Ac gene, ranged from 1000 to  
246 2500ng/g (Rochester, 2006).

247 The maximum values of Bt-toxin production measured in China are far much lower than in  
248 India and Australia, and their range is also smaller consequently. These lower values cannot be  
249 regarded as a factor of lower efficacy against the target pests when the results of bioassays are  
250 considered. Thus, the suggestion of an efficacy threshold of 1900 ng/g reported from India  
251 (Kranthi et al., 2005) cannot be applied to China.

### 252 *Fluctuating expression of Bt-gene*

253 During our research work, we observed that the expression of the Bt-gene in terms of  
254 production of Bt-toxin fluctuated a lot between varieties (Figure 1). This is consistent with the  
255 observation that genetic background is a major factor of fluctuation in Australia (Rochester,  
256 2006). So far, in China, no systematic study has clarified the influence of genetic background

257 on Bt expression.

258 Our results also demonstrate that Bt expression can fluctuate between years for a given variety  
259 (Table 3) with seeds of similar source and with the Bt-toxin concentration measured by the  
260 same laboratory. This result confirms that the expression of the Bt-gene, Cry 1A in our case, is  
261 sensitive to climatic factors as well as to agronomic factors (Rochester, 2006). This means that  
262 the Bt-protein production measured at one location one year cannot accurately reflect pest  
263 resistance ability everywhere and at all times.

264 *Factors of lower pest resistance efficacy in the Yangtze River Valley*

265 Our data is essentially related to the Yangtze River Valley, so does not allow comparison and  
266 thus confirmation that pest resistance is less than in the Yellow River Valley. However  
267 efficacy, although satisfactory, is far from perfect (Table 4) and raises the question whether  
268 pest resistance is sub-optimal in the Yangtze area.

269 One possible factor is the origin of the Bt-gene in the varieties used in the Yangtze River  
270 Valley. Based on studies (He et al., 2006; Wan et al., 2005), one can argue that the Monsanto  
271 Cry 1Ac is superior, and yet it is represented in only 4.7% of the total cotton area in Jiangsu  
272 province of the Yangtze River Valley in 2003, as opposed to 76.9% in Hebei Province of the  
273 Yellow River Valley (Xu and Fok, 2008). This indicates that the Monsanto varieties did not  
274 compete well against the Chinese varieties, subsequently making the Monsanto Bt-gene less  
275 attractive for integration into new varieties, even illegally<sup>4</sup> as it was observed in 2001 and

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<sup>4</sup> It is quite possible that Monsanto Bt-gene has been illegally used in creating new varieties in the Yellow River Valley, but it is doubtful that this practice has persisted after the application of the Biosecurity Act and of the Plant Variety Protection Act (whose decree of application modalities were issued in 1999). After this implementation, breeders have to contract with the Biocentury Transgene Ltd to use the Chinese Bt-gene carried out by Prof. Guo Sandui's team, the only Bt-gene they can use. To formally register a new Bt-cotton variety, the breeder must provide a transgenic biosecurity certificate for which the Bt gene is identified through

276 reported in the Yellow River Valley (Pray et al., 2006). The argument of the superiority of the  
277 Monsanto Bt-gene is nevertheless flawed, at least in the Yangtze River Valley where the  
278 Monsanto varieties did not perform better than the Chinese varieties. Even in the Yellow River  
279 Valley, the superiority reported is debatable. Only very slight superiority has been observed for  
280 the Monsanto Cry 1Ac gene, in the control of the third generation of the Asian Corn Borer (He  
281 et al., 2006), late in the cotton crop cycle when complementary chemical control is needed. In  
282 other research, the expression of the Chinese Bt-gene was more variable along the cotton plant  
283 cycle and plant parts (Wan et al., 2005), but there is no difference when considering the case of  
284 top leaves till the early boll setting stage, organs and periods which are more crucial for the  
285 pest-resistance efficacy.

286 In China, the unique factor considered is the climate as high temperatures have reduced Bt-  
287 gene expression in experimental conditions (Rui et al., 2002; Xia and Guo, 2004). In reality,  
288 high temperatures might limit the Bt-gene expression but they can hardly explain the efficacy  
289 differential observed between the Yellow and the Yangtze River Valleys as temperatures are  
290 equally high during the cotton growing months.

291 Explaining factors have mainly to do with the specificities of the cotton growing techniques in  
292 the Yangtze River Valley. One of these factors is the widespread if not exclusive practice of  
293 transplantation (Fok and Xu, 2007). This technique is quite specific to China and notably to the  
294 Yangtze River Valley. Cotton seeds are sown in nursery and plantlets are transplanted when  
295 they reach the five-true leave stage. As yet, no research work in China has checked the  
296 influence of transplanting on the production of Bt-toxins, although plants are stressed and  
297 this could reduce the Bt-toxin production (Rochester, 2006).

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DNA sequencing. Till 2007, the Bt-trait has been tested in Beijing by the research lab run by Prof. Guo Sandui,  
the owner of the Chinese gene.

298 The other specific factor in the Yangtze River Valley is the almost exclusive use of hybrid  
299 cultivars. Debates are ongoing as to whether the hybrid form of the varieties could induce a  
300 reduction in Bt-cotton effectiveness, with the argument put forward that the genetic resistance  
301 is derived from just one parent (Kranthi et al., 2005). This is nevertheless not consistent with  
302 the fact that Bt-genes are single dominant genes, so no reduction in resistance effectiveness has  
303 been observed in hybrid varieties (Xiao et al., 2001). The dominance might not be complete  
304 but this is not the case with the varieties considered, as we have noticed earlier.

305 The negative impacts on Bt-toxin production from using hybrid cultivars could be indirect  
306 ones. The plant vigour of hybrid cultivar has led to reduce plant densities in the Yangtze River  
307 Valley; this is the feature which has made hybrid cultivars so much attractive to farmers who  
308 implement transplantation because labour requirement is proportionally reduced. It is observed  
309 in Australia that the Bt-toxin production is reduced with low densities (Rochester, 2006). If  
310 this is true also in China, then the Valley efficacy differential is partly explained.

311 Another indirect negative factor linked to the use of hybrid cultivars is related to the lack of  
312 sufficient purity of hybrid cultivar seed, which is probably due to the constraints on manual  
313 hybrid seed production. Workers inevitably miss some flower buds when they implement the  
314 stamen elimination so some flowers are not hybridized and the seeds they produce are non-Bt  
315 cotton mixed with the hybrid seeds when the seed multiplication plots are harvested. The risk  
316 of collecting non-hybridized seeds is increased by rain which prevents access to the fields  
317 every day. Flowers which have been self-pollinated during the rainy days should be removed,,  
318 but some of them can be missed too. Thus purity of the hybrid seeds is not perfect, notably at  
319 commercial scale of their production. This shortfall might not be observed at the stage of  
320 regional varietal test because the variety owners will have provided the purest seeds.

#### 321 ***Sub-optimal chemical control***

322 Since the pest resistance of Bt-cotton is not total, variable larval survival rates are noted in the

323 field, thus explaining why farmers might spray chemicals as a precaution. This precautionary  
324 behaviour implies a still high level of chemical control which has been observed but it was  
325 either related to the opportunistic behaviour of the extension staff who could make profit by  
326 selling insecticides (Huang et al., 2002) or to the lack of proper technical assistance to cotton  
327 growers (Pemsl et al., 2005a). Our results, suggest that the still high use of insecticides must  
328 also be due in part to the suboptimal effectiveness of Bt-cotton.

329 In China, it is generally acknowledged that *H. armigera* could undergo 4 to 5 generations  
330 during the cotton growing cycle and that GM cotton cannot control them all. Generally, the first  
331 generation coincides with the cotton plant seedling stage; the next generation appears at the  
332 cotton squaring stage; the third generation at cotton flowering; the fourth corresponds to the  
333 cotton boll setting stage while the fifth generation is at the beginning of boll opening. Surely  
334 GM cotton cannot control *H. armigera* up to the fourth generation at a period when Bt-gene  
335 expression has seriously slowed down (Yang and Guo, 2002). In the Yangtze River Valley,  
336 chemical control is generally recommended when high infestation levels are observed for the  
337 third generation of *H. armigera*.

338 In practice, we observed that at all the network experimental sites the first chemical control of  
339 *H.armigera* was always conducted before the *H. armigera* fourth generation. For the three year  
340 period of 2004-2006, 50-60% of the first spray was applied against the second generation and  
341 even earlier, particularly in 2005 when 37 of the sprays were directed at the first generation,  
342 probably because that year was warmer with possibly lower Bt gene expression.

343 The continued frequent chemical control against *H. armigera* could be explained by the fact  
344 that farmers still observe bollworms that have survived due to the insufficient genetic pest  
345 resistance of the cotton crops. This nevertheless highlights that farms habitually spray  
346 whenever bollworms are observed regardless of the infestation levels. Furthermore, so far no  
347 information is disseminated to help farmers adjust chemical control to threshold levels

348 according to the bollworm populations.

3495. **Conclusion**

350 This study provides further insight into the effectiveness of GM cotton use in China since the  
351 international community has become aware that its sustainability is under threat (Lang, 2006).

352 It addresses this issue of effectiveness in the Yangtze River Valley, one of the two main

353 regions where Bt-cotton is widely used in China. An indirect assessment approach was

354 adopted for this study through processing of data collected within the Yangtze River Valley

355 Varietal Experiment Network.

356 In this network, the status of all varieties classified as GM, with integration of the Bt-gene, was

357 actually confirmed. However, this does not guarantee that all seeds of the same varieties sold

358 to farmers were necessarily GM, i.e. there is sufficient information on the poor quality of

359 seeds, and even fake GM seeds, sometimes supplied to farmers (Liu, 2006; Zhang et al., 2006).

360 This situation prompted the launching of the quality seed subsidy policy in 2007.

361 It turned out that the expression of the Cry 1A gene substantially varied between genetic

362 backgrounds and between two subsequent years for a few of these varieties. The efficacy of

363 pest-resistance is confirmed but its level is not perfect, the mortalities of the *H. armigera*

364 larvae in indoor and furthermore in outdoor bioassays are not always sufficiently high. This is

365 consistent with the acknowledgement that the pest-resistance of Bt-cotton in the Yangtze River

366 Valley is not so good, notably with reference to the Yellow River Valley. We suggest that this

367 relatively lower efficacy could result from the transplantation technique which induces stresses

368 to the cotton plant growth and development. We believe also that it is an indirect effect of the

369 widespread use of hybrid varieties for which it is quite difficult to achieve pure enough hybrid

370 seeds containing the Bt-gene.

371 Globally speaking, the Bt-cotton varieties being used cannot totally control bollworms even

372 early in the growing season in the Yangtze River Valley. Surviving larvae will inevitably be

373 observed, thus prompting farmers (or professional agents in charge of supplying technical

374 assistance to farmers) to spray chemicals, regardless of the infestation level, i.e. the habit of  
375 total eradication seems to still predominate in the area of pest control. Bollworms seem to be  
376 sprayed more often than required and far earlier than necessary, i.e. against *H. armigera*.  
377 Farmers nevertheless are not to blame. No information is disseminated to farmers to inform on  
378 how to adapt chemical control according to infestation thresholds and to the bollworm  
379 generation number. This shortfall is unfortunately very likely to prevail in developing  
380 countries, hence justifying more attention to the institutional aspect in promoting GM varieties  
381 (Pemsl et al., 2005b).

382 From an economic viewpoint, due to the insufficient and variable pest resistance level of the  
383 Bt-cotton varieties released in the Yangtze River Valley, and partly to the lack of tailored  
384 complementary chemical control, farmers are paying high prices for Bt-cotton hybrids seeds  
385 which are not totally pest resistant while pest control costs are not reduced to the extent they  
386 might expect. These two phenomena undermine the cost-effectiveness of cotton production.  
387 An additional reason why chemical protection costs are not decreasing is that alternative pests  
388 are becoming an increasing threat due to the pest complex shift.

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Table 6: Chemical control patterns according to pest types

| Province & year |      | Average number of chemical controls by pest types |            |               |                |
|-----------------|------|---|------------|---------------|----------------|
|                 |      | borers  | leaf-eater | Picker-sucker | pest from soil |
| Anhui           | 2004 | 1.0   |            | 1.0           | 1.0            |
|                 | 2005 | 3.0   |            | 4.5           | 1.0            |
|                 | 2006 | 1.5   |            | 7.5           | 1.5            |
| Henan           | 2004 | 3.0   |            | 7.0           | 2.0            |
|                 | 2005 | 2.0   |            | 7.0           | 1.0            |
|                 | 2006 | 1.0   |            | 7.0           | 2.0            |
| Hubei           | 2004 | 3.2   | 1.0        | 5.0           | 1.0            |
|                 | 2005 | 5.4   | 1.3        | 7.2           | 1.0            |
|                 | 2006 | 4.4   | 1.0        | 8.0           | 1.3            |
| Hunan           | 2004 | 6.3   | 2.0        | 5.7           | 1.0            |
|                 | 2005 | 4.7   | 2.0        | 3.7           | 1.0            |
|                 | 2006 | 4.5   | 2.5        | 5.0           | 1.0            |
| Jiangsu         | 2004 | 3.0   | 2.0        | 4.3           | 1.0            |
|                 | 2005 | 3.7   | 1.0        | 4.3           | 1.0            |
|                 | 2006 | 2.7   | 1.7        | 5.3           | 1.0            |
| Jiangxi         | 2004 | 4.0   | 1.0        | 5.0           |                |
|                 | 2005 | 6.0   | 2.0        | 8.0           |                |
|                 | 2006 | 8.0   | 3.0        | 11.0          |                |
| Sichuan         | 2004 | 9.0   |            | 9.0           | 1.0            |
|                 | 2005 | 5.0   |            | 5.0           |                |
|                 | 2006 | 15.0  |            | 8.5           |                |
| Zhejiang        | 2004 | 6.0   | 2.0        | 9.0           | 1.0            |
|                 | 2005 | 11.0  | 1.0        | 5.0           | 1.0            |
|                 | 2006 | 4.0   | 3.5        | 5.0           | 2.0            |

Note: borers are composed of *Helicoverpa armigera*, *Ostrinia furnacalis* (Guenée) and *Pectinophora gossypiella*(Saunders), leaf-eaters are composed of *Sylepta derogate* Fabrilius and *Spodoptera litura* (Fabr.); picker-suckers are composed of *Aphis gossypii*, *Tetranychus cinnabarinus*, *Adelphocoris suturalis* (Jacovlev), *Lygus lucorum* (Meyer-Dur) and *Bemisia tabaci* (Gennadius); pests from soil are composed of *Agrotis ypsilon* and *Trachea tokionis*(Butler).

Table 5: Variation of the total numbers of chemical controls and sprays in provinces

|          | Number of chemical controls |      |      | Number of chemical sprays |      |      |
|----------|-----------------------------|------|------|---------------------------|------|------|
|          | 2004                        | 2005 | 2006 | 2004                      | 2005 | 2006 |
| anhui    | 3.0                         | 8.5  | 10.5 | 3.0                       | 7.5  | 6.5  |
| henan    | 12.0                        | 10.0 | 10.0 | 10.0                      | 8.0  | 8.0  |
| hubei    | 9.2                         | 14.0 | 13.4 | 8.0                       | 9.4  | 8.6  |
| hunan    | 13.3                        | 11.0 | 12.5 | 9.0                       | 7.3  | 7.0  |
| jiangsu  | 9.3                         | 9.0  | 10.3 | 6.0                       | 7.3  | 6.7  |
| jiangxi  | 10.0                        | 16.0 | 22.0 | 7.0                       | 6.0  | 8.0  |
| sichuan  | 18.5                        | 10.0 | 23.5 | 8.5                       | 7.5  | 11.5 |
| zhejiang | 18.0                        | 17.0 | 13.5 | 10.0                      | 10.0 | 9.0  |
| Average  | 11.7                        | 11.9 | 14.5 | 7.7                       | 7.9  | 8.2  |

Table 4: Bt-protein production and bioassays results

| Bt-protein production |                            |              | <400 ng/g     |         | 400-600 ng/g  |         | >600 ng/g     |         |
|-----------------------|----------------------------|--------------|---------------|---------|---------------|---------|---------------|---------|
|                       |                            |              | No. varieties | % Total | No. varieties | % Total | No. varieties | % Total |
| Indoor bioassays      | Mortality, Day 3           | <60%         | 2             | 67%     | 8             | 24%     | 9             | 47%     |
|                       |                            | 60-80%       | 1             | 33%     | 11            | 32%     | 3             | 16%     |
|                       |                            | >80%         |               |         | 15            | 44%     | 7             | 37%     |
|                       | Mortality, Day 5           | <60%         |               |         | 1             | 3%      | 1             | 5%      |
|                       |                            | 60-80%       |               |         | 4             | 12%     | 2             | 11%     |
|                       |                            | >80%         | 3             | 100%    | 29            | 85%     | 16            | 84%     |
| Outdoor bioassays     | Survival reduction, Day 14 | No reduction | 1             | 33%     | 2             | 6%      | 2             | 11%     |
|                       |                            | <60%         |               |         | 4             | 12%     | 4             | 21%     |
|                       |                            | 60-80%       |               |         | 1             | 3%      | 1             | 5%      |
|                       |                            | >80%         | 2             | 67%     | 27            | 79%     | 12            | 63%     |
|                       |                            |              |               |         |               |         |               |         |

Table 3: Fluctuations in Bt-protein production for same varieties

|  |         | Yangtse River<br>Valley network | Yellow River<br>Valley network |
|--|---------|---------------------------------|--------------------------------|
| Number of varieties analysed for protein<br>content for 2 subsequent years |         | 10                              | 20                             |
| Protein content gap, ng/g  | <100    | 3                               | 3                              |
|  | 100-200 | 1                               | 4                              |
|  | 200-400 | 3                               | 8                              |
|  | >400    | 3                               | 5                              |

Table 2: Basic information on the varieties tested in YRVEN

|      | No. varieties tested | % varieties from public institutions | % hybrid | % GM | No. varieties approved |
|------|----------------------|--------------------------------------|----------|------|------------------------|
| 2000 | 10                   | n.a.                                 | 50%      | 30%  | 1                      |
| 2001 | 10                   | n.a.                                 | 60%      | 20%  | 1                      |
| 2002 | 10                   | n.a.                                 | 70%      | 70%  | 1                      |
| 2003 | 17                   | 100%                                 | 71%      | 88%  | 3                      |
| 2004 | 18                   | 73%                                  | 71%      | 83%  | 2                      |
| 2005 | 30                   | 75%                                  | 90%      | 67%  | 3                      |
| 2006 | 31                   | 74%                                  | 100%     | 94%  | 4*                     |

\* 4 other varieties should be approved too after a new experiment

Table 1: General information on the network trial locations

| Provinces | Cotton lint production, 2005 |            | Number of trial locations |
|-----------|------------------------------|------------|---------------------------|
|           | in tons                      | in % China |                           |
| Anhui*    | 324 634                      | 5.68       | 2                         |
| Henan*    | 677 000                      | 11.85      | 1                         |
| Hubei     | 374 960                      | 6.56       | 6                         |
| Hunan     | 197 511                      | 3.46       | 4                         |
| Jiangsu*  | 322 660                      | 5.65       | 3                         |
| Jiangxi   | 87 196                       | 1.53       | 2                         |
| Sichuan   | 24 713                       | 0.43       | 2                         |
| Zhejiang  | 21 566                       | 0.38       | 2                         |

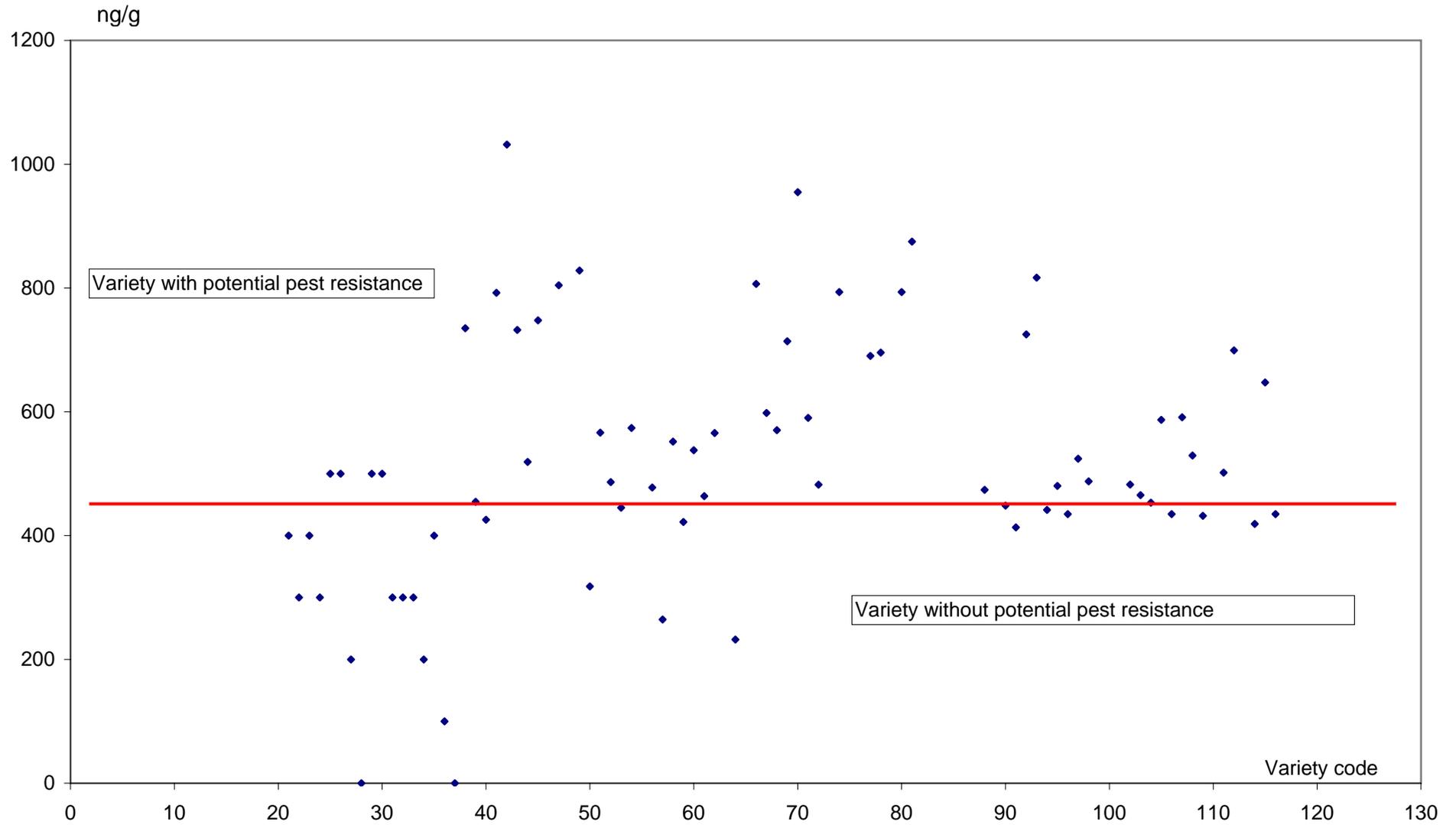
\* only part of the related provinces belong to the Yangtze River valley. Cotton production is given for the whole province.

Table 7/ Hybrid and GM Effects on various recommendation criteria

|                     |                       | Seedcotton<br>Yield kg/ha | Average Boll<br>weight, g | No. bolls<br>per ha | Bt-protein<br>content, ng/g | Lint length<br>mm | lint spin<br>index |
|---------------------|-----------------------|---------------------------|---------------------------|---------------------|-----------------------------|-------------------|--------------------|
| Hybrid              | Yes                   | 3 521                     | 5.9                       | 787 665             | 530                         | 29.86             | 141                |
|                     | No                    | 3 057                     | 5.3                       | 793 327             | 530                         | 29.88             | 141                |
|                     | Probability.<br>ANOVA | 0.0001                    | 0.0001                    | 0.0101              | 0.5666                      | 0.5835            | 0.6493             |
| GM cotton           | Yes                   | 3 513                     | 5.8                       | 789 676             | 530                         | 29.90             | 141                |
|                     | No                    | 3 219                     | 5.7                       | 786 643             | 0                           | 29.76             | 140                |
|                     | Probability<br>ANOVA  | 0.0675                    | 0.6840                    | 0.1156              |                             | 0.0489            | 0.2460             |
| Variety<br>approved | Yes                   | 3 543                     | 5.9                       | 785 487             | 532                         | 30.10             | 143                |
|                     | No                    | 3 368                     | 5.7                       | 790 278             | 534                         | 29.76             | 140                |
|                     | difference            | 175*                      | 0.2**                     | 4 792               | -2                          | 0.3*              | 3.2*               |

\* t test Significant at 95%; \*\* t test Significant at 99%

Figure 1: Distribution of the tested varieties according to their Bt-protein content at 6-leaf stage



Variety code pertains to one variety and one year. The same variety tested during two years will appear in two distinct codes