

Response Plan development

Revision history

Version	Date issued	Amendment details	
		Section(s)	Details
1.0	1 June 2018	All	New document developed by Plant Health Australia. Endorsed by Parties May 2018.
1.1	30 Nov 2018	All	<p>Full revision of document. Key sections/areas updated include:</p> <ul style="list-style-type: none"> • Document control versioning • Reference to inclusion of assumptions underpinning the aims and objectives, technical feasibility of eradication assessment and trigger points • Clarification and/or addition of information on hosts and additional impacts in the current status of the Incident section • Reference to the impact of the EPP and response strategy actions on industry and the community • New section on host free period/fallow under the response strategy • New section on key performance indicators/program milestones under Response Plan review • Transition to Management – addition to list of activities that may be undertaken, reference to responsible Parties for delivery and social support mechanisms available <p>Endorsed by Parties November 2018.</p>

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1. Purpose

This guideline has been developed to assist Parties in developing and revising a Response Plan for a response to an Emergency Plant Pest (EPP) under the Emergency Plant Pest Response Deed (EPPRD).

The intent of this document is to provide guidance on the appropriate structure and format for developing a new Response Plan and revising an existing Response Plan, in accordance with the requirements of the EPPRD (clause 6 and schedule 4), PLANTPLAN and any applicable Plant Pest strategy (contingency plan).

Once a response strategy has been determined, this information will form the basis for the content of a Response Plan. However, it is not the intent of this document to provide guidance on strategic or operational planning for an eradication response. The *Biosecurity emergency management response planning guide* and the *Technical guidelines for development of pest specific Response Plans* provide guidance on operational planning and response strategy development for EPP responses.

Note that capitalised words and terms (excluding names) that are used within this document are a reference to the defined words/terms within clause 1.1 of the EPPRD.

2. Introduction

A Response Plan, as defined by the EPPRD (clause 1.1), is an integrated plan for undertaking a response to an EPP that is developed in accordance with clause 6 and part 1 of schedule 4 of the EPPRD.

Response Plans are living documents and may be developed and updated at various stages of a response. The level of detail included in the plan will vary according to the nature, extent and stage of the Incident. For instance, a Response plan developed in the early stages when the extent of the Incident is not yet known might be quite a short document that is not yet comprehensively compiled across all sections of the document. Once further information has been gathered, this Response Plan may be revised to be a whole of life Response Plan that has all sections comprehensively populated.

This guideline will support the development and revision of a Response Plan during each iteration, including revision to incorporate Transition to Management.

2.1 Development and approval

Response Plans are developed by one or more state or territory Chief Plant Health Manager(s) of the Lead Agency(ies) in consultation with Affected Industry Parties, state and territory governments, the Commonwealth government and Plant Health Australia (PHA), through the membership of the CCEPP. Response Plans are endorsed by the CCEPP and then approved by the NMG, subject to NMG agreement to Cost Sharing in accordance with the EPPRD requirements. The Response Plan development and approval process must not impede the initiation of a rapid response by the Lead Agency to the EPP. Refer to PLANTPLAN for additional information on the development and approval process for Response Plans.

2.2 Structure and content

Response Plans must be developed in accordance with the principles under clause 6 and must address all matters identified in part 1 of schedule 4 of the EPPRD. The Response Plan must reflect the nature and circumstances of the EPP and Incident and include key strategies and core operational components, including to identify those that will be the subject of Cost Sharing.

The Response Plan must conform to PLANTPLAN and any applicable Plant Pest strategy (contingency plan) and any significant variations or departures from the current version of PLANTPLAN or any applicable Plant Pest strategy must be clearly identified and agreed by the NMG, on advice of the CCEPP (clause 6.2).

Response Plan templates are available and contain the required elements to fulfil the content requirements. These templates should be utilised when developing a Response Plan for eradication (refer to the *Response Plan for eradication template*) or revising an existing Response Plan to incorporate Transition to Management (refer to the *Response Plan for Transition to Management template*). Additional elements that are not captured by the headings contained in the templates may also be appropriate for inclusion in a Response Plan, and the necessary inclusions will be response dependent. In addition, the amount of detail included under each heading and sub-heading will depend on the nature, extent and stage of the response.

2.3 Related resources

The following resources should be referred to in conjunction with these guidelines when developing and revising a Response Plan:

- EPPRD
 - Clause 1.1 Definitions
 - Clause 6 Developing a Response Plan
 - Part 1 of schedule 4 Development and Management of a Response Plan
- PLANTPLAN and any relevant supporting documents available from **planthealthaustralia.com.au** including:
 - *Response Plan for eradication template*
 - *Response Plan for Transition to Management template*
 - *Transition to Management guidelines*
- The following documents may be used to inform development of response strategy:
 - *Biosecurity emergency management response planning guide* (available from **agriculture.gov.au**)
 - *Technical guidelines for development of pest specific Response Plans* (available from **planthealthaustralia.com.au**)

3. Document management and control

3.1 Document title

All Response Plans are to be titled according to the following naming convention:

[Common name of pest] ([*Scientific name of pest*]) Response Plan

As a Response Plan is a national document, reference to the state/territory in which the response is being undertaken should not be used within the title.

3.2 Issue date

The Response Plan 'issue date' is the date that the Response Plan is approved by the NMG.

This date may initially be left blank in the draft Response Plan, or pre-populated with the date that the NMG will be convening a meeting to consider the Response Plan for approval.

3.3 Document control

All Response Plans must include version control through numbering/lettering and a revision history table to ensure that changes made to the document are recorded and managed appropriately.

3.3.1 Version numbering and lettering

The use of numbering for NMG approved Response Plan versions and lettering for revised drafts developed by the Lead Agency and amended through CCEPP revision will ensure clear version tracking and enable Response Plan versioning to reflect the extent/magnitude of the change made to NMG endorsed version.

Versioning should be based on the following conventions:

- **Initial drafts considered by the CCEPP** - During the initial stages of Response Plan development by the Lead Agency and review by the CCEPP (prior to approval by the NMG), the Response Plan version should be identified through alphabetical increments, with the first version labelled 'Version 0.A'. Subsequent revised versions incorporating feedback from the CCEPP should increase alphabetically (e.g. version 0.B, version 0.C, and so on).
- **NMG approved Response Plan** - The first iteration of the Response Plan approved by the NMG should be labelled 'version 1.0'.
- **Revised drafts considered by the CCEPP** - Revised versions of the approved Response Plan updated by the Lead Agency and amended to incorporate CCEPP feedback should increase alphabetically, based on the current approved version number (e.g. version 1.0A, version 1.0B, version 1.0C and so on).
- **NMG approved revised Response Plans** – For each subsequent version approved by the NMG, the version number should increase by increments of 1.0

or 0.1 as determined by the magnitude of the changes made. For example, minor amendments will be issued by applying increments of 0.1 on the previously endorsed version, (e.g. version 1.1, version 1.2). If the subsequent version endorsed by the NMG incorporates more significant amendments (e.g. trigger breach and response strategy change), the Response Plan will be issued by applying increments of 1.0 on the previously endorsed version (e.g. version 2.0, version 3.0, and so on).

3.3.2 Revision history table

The revision history table should appear at the front of the Response Plan, and includes the version number, who proposed the change (e.g. Lead Agency, CCEPP), the date of issue of the version and the details of the specific changes made.

3.3.3 Definitions and acronyms

A definitions and acronyms table should be included at the front of the Response Plan.

4. Response Plans according to stages of a response

Response Plans are living documents, which may be updated as a response progresses through various stages. The expectations of content and level of detail for each of the required elements of the Response Plan will differ depending on the nature, extent and stage of the response. The following section is intended to provide guidance on the minimum content requirements for Response Plan development according to the stage of the Incident.

4.1 Eradication response

4.1.1 Early in the response

Response Plans are intended as a mechanism to support the eradication of an EPP. During the initial stages of a response, Parties may still be gathering information on the extent of the Incident, through delimitation and tracing, and may not yet know with certainty whether the EPP is technically or economically feasible to eradicate. Under these circumstances a short, sharp Response Plan may be developed to undertake eradication and Emergency Containment actions whilst further information is being gathered to inform feasibility of eradication and future actions required. Robust triggers for Response Plan review should be included in the plan to address the uncertainty regarding the extent of the Incident. Refer to section 5.1.11.1 for additional information.

This phased approach allows for rapid development of a Response Plan that includes a response strategy based on the best information available at the time. The timeframe identified in a phased Response Plan should, as a minimum, allow as much time as necessary to determine feasibility of eradication and does not need to address the whole life of the response. This rapid development may be critical if response actions are likely to incur Owner Reimbursement Costs (ORC), which may only be Cost Shared for eligible Owners once a Response Plan is approved by the NMG. Under these circumstances, it is not necessary to comprehensively complete all sections of the Response Plan. Rather, these sections should be compiled based on the knowledge available at the time and a statement added to indicate that "this section will be revised as further information becomes available".

The *Response Plan for eradication template* should be used for the initial drafting of a Response Plan, and any subsequent revisions.

4.1.2 Under eradication – the duration of the response

The Response Plan may undergo revision during an eradication response. As further information becomes available, or trigger points are breached, the Response Plan may require revision to incorporate changes to the strategy or additional detail in certain areas. Any revisions must be made to the currently approved version of the Response Plan, which is based on the *Response Plan for eradication template* and must follow the conventions described under section 3.

4.2 Transition to Management

Following the determination by the NMG (on advice of the CCEPP) that it is no longer feasible to eradicate an EPP, and that the response should enter a Transition to Management Phase, the Response Plan will require amendments to incorporate Transition to Management activities.

The approach for Transition to Management will differ significantly to that for eradication of an EPP, and therefore a *Response Plan for Transition to Management template* has been developed and should be used to incorporate Transition to Management activities into the revised Response Plan.

The revised Response Plan should focus on the activities to be undertaken during Transition to Management. It is not necessary to include information on the response approach for eradication of the EPP that was contained in the previous version of the Response Plan. The timeframe of a Response Plan incorporating Transition to Management must be limited to a maximum of a 12-month period, and this 12-month period will commence when the revised Response Plan is approved by the NMG.

5. Response Plan content

Once the response strategy has been developed, the strategic information should be used to inform the population of the Response Plan.

All sections of the Response Plan template should be completed based on the information available at the time. The level of detail included will be at the discretion of the Lead Agency and CCEPP/NMG and may vary depending on the circumstances of the Incident and stage of the response.

As indicated in section 4.1, it is not necessary to fully compile the sections of the Response Plan for which the information is not yet available. Rather, these sections should be completed based on the knowledge available at the time and a statement added to indicate that “this section will be revised as further information becomes available”. For example, a sentence may be sufficient as a minimum in the early stages of a response.

5.1 Eradication response

Parties are encouraged to use the *Response Plan for eradication template* to develop a new Response Plan or revise an existing Response Plan for eradication to ensure alignment with the requirements of the EPPRD.

5.1.1 Aim and objectives of the Response Plan

Consideration of the aim and objectives of the response will provide focus for the Response Plan.

An aim is a broad statement of a purpose or anticipated outcome and may reflect why the Response Plan is required. For example, the aim of the Response Plan could be to ensure that an EPP is eradicated from Australia, or to contain and eradicate an EPP whilst information is being gathered to inform feasibility of eradication. The aim should also identify the indicative timeframe of the Response Plan (e.g. "the objective is to contain and eradicate the EPP whilst information is being gathered over an indicative 6-month period to inform feasibility of eradication") and potentially also for each phase of the response.

Objectives are specific statements which reflect the course of action and/or methodology that will be undertaken to achieve the aim of the Response Plan. If ORCs are likely to be incurred through Response Plan actions, then one of the objectives should be to enable provision of ORCs to eligible Owners impacted by the Response Plan actions. It may also be relevant to include an objective that reflects the desired outcomes related to minimising the impact of the EPP on the community and industry.

The aim and the objectives may change over the course of the Response Plan as more information becomes available on the Incident and should be adjusted accordingly in each iteration of the Response Plan.

A section on assumptions underpinning the aims and objectives may also be included.

5.1.2 Current status of the Incident

Including an outline of the status of the Incident will enable Parties to quickly identify the stage and status of the response at the time of Response Plan development. The status of the Incident will likely change over the course of the response and details within this section should be adjusted accordingly if the Response Plan is revised. The following headings should be included, noting that additional headings may be required.

- *EPP details*
Include the common and scientific names of the EPP. A concise description of the biology and life cycle of the EPP can be included, with more detailed information included as an appendix to the Response Plan, if required.
- *Affected host(s)*
Include the common and scientific name(s) of affected host(s) for which the EPP has been found to affect in this specific Incident.

- *Other known hosts in the affected area*
List any other known hosts of the EPP present in the affected area to inform the risk of spread and the response activities. This includes any alternate or native hosts known to be present in the affected area. The complete list of hosts could be included as an appendix to the Response Plan if extensive.
- *Diagnostic details*
Provide an outline of the diagnostic process used to identify the EPP, including whether any approved national or international diagnostic protocols were utilised. Note whether both the initial and independent secondary confirmatory diagnoses have been completed.
- *Description and affect*
Relating specifically to the Incident, briefly provide details of the EPP's effect on the host when infested or infected (i.e. symptoms). Details on the broader known and potential impacts on different hosts or the environment or amenity value could be provided as an appendix if this information is considered required.
- *Extent of Incident*
A concise summary of the immediate extent of the Incident should be provided here. Outline the geographic area currently known to be affected by the EPP and the incidence/density of infection/infestation. Include the current status of the Incident in terms of number, locations and types (e.g. residential, commercial etc) of Infected Premises, Suspect Premises and any other relevant premises classifications.
- *Additional impacts*
Identify any potential flow-on affects that may be incurred by the response, beyond those impacting on the Affected Industry Parties (e.g. impacts on the community, and/or supporting industries).
- Any other relevant information, such as description of the affected industry and its distribution nationally and in the affected state/territory.

5.1.3 Feasibility of eradication

A statement must be included demonstrating that Parties consider it both technically feasible and cost-beneficial to eradicate the EPP from the known affected area, within an identified timeframe. If it is very early in the response and the feasibility of eradication has not yet been considered, this should be stated here along with the timeline for determining technical and economic feasibility and any specific considerations.

Further details should be included under the following sub-headings:

5.1.3.1 *Technical feasibility of eradication*

The information provided in this section of the Response Plan should be based on the considerations of the CCEPP and should be informed by the *Factors to consider regarding the technical feasibility of EPP eradication* (technical feasibility criteria) provided in Table 2 of section 4 of PLANTPLAN. It may be appropriate to provide these considerations in table form, noting that not all the criteria listed in PLANTPLAN need to be fulfilled for

eradication to be considered technically feasible. The relative importance placed on each criterion will be dependent on the specific Incident.

If the assessment against the technical feasibility criteria changes over the course of the response, this section should be updated accordingly in any revised iteration of the Response Plan, based on the determinations of the CCEPP.

Assumptions underpinning the technical feasibility criteria assessment may also be identified under this section of the Response Plan and linked to specific Trigger Points (section 5.1.11.1).

5.1.3.2 Economic feasibility of eradication

For some EPPs, the economic feasibility of eradication may be relatively easy to compile; while for others, a formal and detailed benefit cost analysis may be required.

This section does not have to be comprehensive in the first instance but should at least include preliminary considerations of the benefits and costs of eradicating the EPP under the Response Plan strategy. The CCEPP may determine that a full benefit cost analysis should be undertaken, which can then be added to the Response Plan in this section of a revised version or as an appendix if required.

5.1.4 Response activities for Emergency Containment and eradication

This section should provide a detailed outline of the response strategy and activities that will be undertaken to achieve the aim and objectives of the Response Plan. It must also identify who will undertake each action, and the timelines for each activity.

This section is not a replacement for a situation report and as such does not need to be regularly updated unless the response strategy changes through the duration of the response.

Content of this section may include:

5.1.4.1 Overall response strategy

A summary of the overall response strategy must be included. This may include, for example, that eradication will occur through destruction of all host material in a specified area, followed by a specified host free period and proof of freedom activities. A section may also be included here on the impacts of the strategy on the community and industry, how this may influence the response and measures that will be taken to manage the risk.

As the response progresses, the strategy may evolve, and should be updated in this section of the revised Response Plan accordingly.

5.1.4.2 Zoning, quarantine and movement controls

This section should outline zoning, quarantine and movement controls on plants, plant products, people, machinery and other items including the timing for implementation and details of the activities, for example:

- Destruction, quarantine and buffer zones.
- Restricted and control areas.
- Movement of host material into, within, and out of quarantine areas.
- Movement of host material outside of quarantine areas.

- Compliance regulations.
- Legislative authorities (complete legislative orders do not need to be detailed; it is sufficient to simply state the names of the Act(s) and order(s) that will be in operation).
- Future quarantine requirements.

5.1.4.3 *Diagnostics and scientific support*

This section should provide a summary of the diagnostic and/or scientific resources required to support the eradication response. This may include details on:

- Whether a National Diagnostic Protocol (NDP) is available, or in the case where a NDP isn't available, best practice diagnostic protocols that could be used nationwide to support the response.
- Resource requirements for laboratory testing, such as how the testing will be carried out, and whether the Lead Agency is able to maintain the level of testing necessary to support a successful response.

5.1.4.4 *Trace forward and traceback*

This section should outline the tracing activities yet to be undertaken. Outcomes of tracing activities to date do not need to be included here as these will be reported to the CCEPP through situation reporting. Depending on the pathways and pest biology, the tracing activities that may be included in the Response Plan could be influenced by:

- Tracking pest movement on produce, equipment, containers or in/on plants/seed/fruit and soil.
- Tracking pest movement along water courses, irrigation lines/channels and run off, and identifying water sources.
- Identifying hitch hiking opportunities for spores or life stages of invertebrates.

5.1.4.5 *Surveillance and monitoring*

This section should provide a summary of the surveillance and monitoring requirements of the response, including:

- The surveillance strategy, including the purpose of the surveillance activities (e.g. delimitation), method (general, targeted, national), frequency, sampling levels and procedures.
- Resource requirements and availability for the surveillance strategy to be undertaken.
- The detailed methodology should not be included in this section but rather provided as an appendix if required.

5.1.4.6 *Decontamination, destruction and disposal*

This section should outline the activities required to achieve effective eradication, including any required control treatments, destruction, decontamination and disposal of affected host material, capital items, and/or personnel. The detail in this section will vary depending on the EPP's biology and the type and extent of the Incident.

The following may potentially be included:

- Eradication control techniques (e.g. chemical treatments)
- Destruction strategy.
- Planning and priorities.
- Method of removal and destruction of infected plants and host plants within the quarantine area.
- Processing of plants, and plant products, including by-products and waste (hygiene protocols).

- Site clean-up and disinfection (hygiene protocols).
- Any issues with disposal.
- Environmental impacts of host plant removal such as soil erosion and whether cover crops will be planted at affected sites to prevent erosion during any host free period

The ability to perform these activities may not always exist or may be difficult to achieve. Where this would be critical to the success of the Response Plan, this should be noted and included as a trigger point (refer to section 5.1.11.1).

5.1.4.7 Host free/fallow period

Details of the host free/fallow period and replanting/restocking requirements must be included in the Response Plan if relevant, including activities that will be undertaken to demonstrate premises remain host free during the required period (e.g. regrowth surveillance specifications and frequency).

Potential environmental and biological impacts of host plant removal and host free periods should also be detailed, and explanation provided for how these impacts will be mitigated. For instance, whether cover crops are to be planted to prevent soil erosion and/or prevent spread of the EPP through soil runoff (if the EPP persists in soil). Any specific requirements for the type/species of cover crop that can be planted should also be detailed in this section.

5.1.4.8 Owner Reimbursement Costs

If ORCs are expected to be incurred as a result of implementation of the Response Plan, comprehensive details of the activities to be undertaken that will incur ORCs must be included in the Response Plan. This includes specific and retrospective identification of response activities already undertaken that have incurred ORCs. Unless the Response Plan specifically identifies these activities, the ORCs will not be Cost Shared.

Examples of response activities are as follows:

- Destruction of host Crops – including whether only infested/infected Crops will be destroyed or all host Crops.
- Destruction of stored product – including whether only infested/infected stored product will be destroyed or all host product.
- The type of properties/premises on which the activities will occur (e.g. production nursery, commercial orchard).
- Emergency Containment activities that may prevent a Crop from moving from a premises and therefore devalue the Crop.
- Any host free/fallow periods that will be imposed.

Information related to the estimated costs of ORCs, appointment of an ORC assessor and associated assessor costs should be included in the financial management section.

5.1.5 Proof of freedom activities

The Response Plan must clearly articulate the activities that will be undertaken to demonstrate that the response strategy has been successful and the EPP has been eradicated. It must also clearly articulate what would constitute evidence of freedom for the response.

Planning how proof of freedom will be achieved should occur at the beginning of a response. It is dependent on the biology of the EPP and the capacity for surveillance and ongoing monitoring to prove absence of the pest over a defined period.

For an early stage Response Plan, this section may not be able to be comprehensively developed until further information has been gathered. An early indication of how proof of freedom will be achieved could be included along with a statement to indicate that this section will be further populated in the next version of the Response Plan.

Elements of proof of freedom may include:

- Trapping
- Placement of sentinel host plants

The information provided should also be consistent with International Plant Protection Convention requirements for proving area freedom. This will help to enable any international restrictions to be lifted once eradication is declared.

As the response progresses the strategy for proving freedom may require further clarification, or additional time requirements. These changes should be made to this section, as appropriate if the Response Plan is revised.

5.1.6 Public relations and communication activities

The Response Plan should articulate the overall communication strategy, as well as details of industry consultation and liaison and community engagement activities.

5.1.7 Social support mechanisms

The Response Plan should include advice on social support schemes and/or mechanisms available through the Lead Agency or nationally, to assist stakeholders that are impacted by the response (e.g. support or financial assistance/advice helplines).

5.1.8 Response Plan management and governance

A general outline of the response structure and staffing (resource) requirements should be included in this section of the Response Plan. Greater detail will be captured in the Lead Agency's Incident Action Plan. However, Parties may consider the following matters useful additional information for inclusion under this heading, or as an appendix to the Response Plan:

- Local Control Centre (LCC)
 - LCC site
 - Structure, management and staffing
 - Equipment
 - Operations
 - Planning
 - Logistics
 - Infected premises operations teams
 - Forward command post (if necessary)
 - Industry Liaison

- State Coordination Centre (SCC)
 - SCC site
 - Structure, management and staffing
 - Planning
 - Operations
 - Logistics
 - Communications

5.1.9 Information systems and services

Details of the systems used for recording response details should be noted in the Response Plan, including consistency with any nationally agreed systems. This may include a description of:

- Software to assist the management of EPP information, including systems to record surveillance and diagnostic results data, geographical information systems and database system development.
- Control centre information management
 - Message forms and log sheets
 - Mapping
 - Databases
 - Files
 - Personnel
 - Information boards
 - Staff information briefings
- Information dissemination

5.1.10 Reporting

The Response Plan must articulate the reporting requirements and methods that will be used, including situation reports, expenditure reports and other forms of reporting to the CCEPP and NMG, as well as international notifications.

5.1.10.1 CCEPP and NMG reporting

Situation reports (SITREPS) should be provided during the course of the response to inform the CCEPP and NMG on the progress of the response. Details on the frequency that these reports will be distributed by the Lead Agency should be provided here. If quarterly and/or annual reports will also be provided, this should also be detailed in this section.

The Lead Agency also has an obligation to provide a written report at each relevant meeting of the CCEPP which sets out the budgeted, committed and actual expenditure of the Response Plan. General acknowledgement of this reporting requirement should be noted in this section including the frequency with which these reports will be provided. This section should also refer to the *Accounting and reporting expenditure* section for further detail on financial reporting.

5.1.10.2 International notifications

This section should include details of notifications to trading partners as well as to the International Plant Protection Convention.

5.1.11 Response Plan review

5.1.11.1 Key performance indicators/program milestones

A list of key performance indicators or program milestones may be included in this section.

5.1.11.2 Trigger points to review the Response Plan

The Response Plan must clearly identify all relevant trigger points for the review of response activities and these should be informed by discussions of the CCEPP. Triggers should be formatted as a table in the Response Plan and may include details on the assumptions underpinning each trigger and explanation for how the triggers will be monitored. Triggers will be dependent on the type of Incident, the individual EPP's biology and the Response Plan aims/objectives and may change over the course of a response.

Potential triggers may include:

- Key performance indicators or agreed milestones not met.
- Financial triggers such as the point when expenditure is projected to exceed the agreed budget.
- EPP related changes, such as:
 - New detections outside of control areas or in another jurisdiction
 - Change in expected EPP behaviour
 - Change in EPP impact
 - New vector discovered.
- Indicators of the effectiveness of the Response Plan activities, for example operational matters such as control methods not successful in achieving eradication.
- Indicators that it may no longer be technically feasible to eradicate.
- Maintenance of quarantine areas no longer possible due to legal/ political/ technical issues.

As the response progresses, the trigger points may be reviewed and amended as required.

5.1.11.3 Efficiency audit

A statement should be included under this heading if an efficiency audit will be conducted during the course of the response.

5.1.12 Financial management of the Response Plan

The following section provides initial guidance on aspects of financial management of the Response Plan.

Note that further detail to guide the development of the indicative budget, including guidance on normal commitments and costs eligible for cost sharing, accounting and reporting expenditure and cost claims processes will be provided in the guidance material currently under development by PHA. The financial management section of this document will be reviewed following the development of this guidance material.

5.1.12.1 Indicative budget

The indicative budget needs to provide the Affected Parties with a clear and transparent indication of the costs of implementing the Response Plan. Sufficient detail must be

provided to justify the costs being proposed for cost sharing. This detail should be provided in the form of text and supported by a table reflecting the indicative dollar amounts broken down into specific categories as indicated below.

If the Response Plan budget covers multiple financial years, then the indicative amounts should be split across each financial year.

If there is more than one Lead Agency implementing the Response Plan, it is suggested that an indicative budget is included for each jurisdiction's activities along with an overall total indicative budget for the Response Plan.

If a Response Plan has been revised, the indicative budget should reflect the total cost across all iterations (versions) of the Response Plan, not just the revised version.

The budget must be separated into the following four categories and both the Lead Agency's normal commitments and cost shared amounts must be specified:

- Salary and wages
- Operational costs
- Capital items (if relevant)
- ORCs (if relevant)

The salary/wages and operational costs should be separated into the following areas to align with the cost claim forms and processes:

- Program Management
- Destruction and Disposal
- Surveillance and Tracing
- Quarantine and Movement Control
- Communications and Industry liaison
- Information Services
- Scientific Support

Sufficient detail should be provided that demonstrates the basis upon which the figures have been calculated (e.g. full-time equivalents for personnel and their positions).

The following should be considered in preparing the section on the ORC budget:

- The specific response activities that will incur ORCs must be detailed. This includes specifically describing any response activities that either will take place following approval of the Response Plan or have taken place retrospectively and incurred ORCs (for example during the Incident Definition Phase). If these are not specified, then ORCs may not be cost shareable. Response activities that will incur ORCs are detailed in section 5.1.4.7 and could either be repeated here or that section of the Response Plan referred to.
- Provide an indication of the number and types of premises that are anticipated to incur ORCs.
- Provide details on who the ORC assessor will be, or if one has not been identified, on the process for appointment. Note that the indicative cost of the ORC assessor should not be included within the total ORC budget cost and must be specified under the 'operational costs' category.
- Provide an indication of the administrative burden on the Lead Agency in terms of resource implications for managing the ORCs claims, payments, disputes and other associated processes. Although the resource implications can be described

in this section, the indicative administrative costs should be specified under the 'operational costs' category. These must be broken into normal commitments and Cost Shared components as relevant for operational costs.

5.1.12.2 Accounting and reporting expenditure

Response Plan expenditure report

The Lead Agency has an obligation under clause 12.2 of the EPPRD to provide a written report at each relevant meeting of the CCEPP in the form of schedule 10 which sets out the budgeted, committed and actual expenditure on the Response Plan. These should be provided to the NMG in a timely manner. General acknowledgement of this reporting requirement should be noted in this section including the frequency with which these reports will be provided (e.g. on every meeting of the CCEPP and NMG or another timeframe).

Accounting and cost claims processes

A statement should be included to indicate that cost claims coordination will be undertaken by PHA in accordance with the requirements of the EPPRD and that all Affected Parties must submit their cost claims quarterly to PHA in accordance with clause 12 of the EPPRD unless otherwise agreed by NMG. If requesting of NMG a different time frame, this should also be specified here.

5.1.12.3 Financial audit

A financial audit is required when the total cost shared amount is equal to or exceeds \$500,000¹ (clause 12.4 and part 2 of schedule 11). A statement on whether a financial audit is or is not required should be included in this section. If a financial audit is required, it should be acknowledged that a final audit report will be provided to all Affected Parties within 60 days of the Response Plan Completion Date (or such other date as agreed by the Affected Parties). The cost of the financial audit should be included in the 'operational costs' category of the indicative budget.

5.1.13 Appendices

Any additional supporting information that is critical to the Response Plan, but too detailed or extensive to be included within the body of the Response Plan, may be included in an appendix. Examples of information that may be provided in an appendix could include, but are not limited to:

- Maps (e.g. eradication, quarantine and surveillance zones, known areas of infection, or trap locations).
- Ecology and lifecycle of the pest.
- Comprehensive host list.
- Surveillance plans.
- Communication strategies.
- Risk analyses.
- Benefit: cost analysis report.
- Quarantine notices and movement control orders.
- Control options (e.g. chemicals).
- Guidelines (e.g. for trapping).
- Protocols (e.g. for the destruction and disposal of host material).

¹ \$500,000 in 2011/2012, to be indexed annually using the Consumer Price Index (CPI) at 30 June each year and applying from 1 July each year

- Organisational charts.
- References.

Each separate appendix should be numbered and titled (e.g. *Appendix 1: Map of known areas of infection*).

As the response progresses, some appendices may no longer be appropriate for inclusion and should therefore be removed, and/or additional appendices should be added to encompass new information requirements for the Response Plan.

5.2 Transition to Management

The *Response Plan for Transition to Management template* should be used to develop an updated Response Plan that incorporates Transition to Management. The previous iteration of the Response Plan for eradication of the pest (the current approved Response Plan) should be used to help inform the content of relevant sections of this template.

5.2.1 Aim and objectives of the Response Plan

Consideration of the aim and objectives of the response under this section will provide focus for the Response Plan and should justify the need for Transition to Management and clearly reflect the outcome Parties are aiming to achieve.

The aim is a broad statement of a purpose or anticipated outcome that Transition to Management will achieve. The aim should also identify the timeframe of the Response Plan (which in the case of Transition to Management cannot exceed a period of 12 months from NMG's approval of the Response Plan).

Objectives are specific statements which broadly describe the activities that will be undertaken to achieve the Transition to Management aim/outcome. Examples of objectives taken from the *Transition to Management* guideline include:

- Build capacity and capability in industry and/or the community to manage the pest.
- Develop understanding of the pest's biology and behaviour.
- Develop potential control options.
- Extend knowledge and expertise regarding the pest.
- Maintain domestic and international market access.

5.2.2 Current status of the Incident

This information can be taken from the eradication Response Plan and updated where necessary. A statement should be added under *Decision on feasibility of eradication* to indicate that the NMG agreed, on advice of the CCEPP, that the EPP is no longer considered technically feasible and/or cost beneficial to eradicate. This should include the reasons why and date of decision. The decision by the NMG, on advice of the CCEPP, that a Transition to management Phase is appropriate could also be referenced in this section.

The following sub-headings should be maintained in the Response Plan for Transition to Management:

- *EPP details*
- *Affected host(s)*

- *Other known hosts in the affected area*
- *Diagnostic details*
- *Description and affect*
- *Extent of Incident*
- *Additional impacts*
- *Decision on feasibility of eradication.*

Refer to section 5.1.2 for additional information on the information to include with each sub-heading.

5.2.3 Transition to Management activities

This section should provide a detailed outline of activities that will be undertaken to deliver on the aim and objectives of the revised Response Plan. This section must also identify who will undertake each action/activity and a timeline for each activity (e.g. the number of days, weeks or months to complete each activity).

Subheadings under this section will be dependent on the specific Incident and required activities to achieve the Transition to Management aims and objectives. Examples for sub-headings for Transition to management activities may include:

- *Development of regulations and associated legislation*
- *Research activities/projects*
- *Communication, engagement and training*
- *Registration of chemicals*
- *Industry contingency and/or enterprise management plans*
- *Development of a national management plan*
- *Development or review of existing codes of practice, on-farm biosecurity plans, market access protocols or Industry enterprise management plans*
- *Consolidation and publishing of outcomes and results arising from the response*
- *Details of formal handover arrangements to share information and knowledge from the response.*

Each Transition to Management activity identified should also clearly articulate the Party(s) responsible for undertaking that action.

5.2.4 Public relations and communication activities

The Response Plan should articulate the overall communication strategy for the period of Transition to Management, as well as details of industry liaison/consultation and community engagement activities.

5.2.5 Social support mechanisms

The Response Plan should include advice on social support schemes and/or mechanisms available through the Lead Agency or nationally, to assist impacted stakeholders (e.g. support or financial assistance/advice helplines).

5.2.6 Response Plan management and governance

A general outline of the Transition to Management staffing structure and personnel (resource) requirements should be included under this section of the Response Plan.

5.2.7 Information systems and services

Details of the systems used for recording response details should be noted in the Response Plan, including consistency with any nationally agreed systems. Refer to section 5.1.9 for further detail on what to include in this section.

5.2.8 Reporting

5.2.8.1 CCEPP and NMG reporting

Situation reports should continue to be provided during implementation of Transition to Management. Details of the frequency that situation reports will be developed and provided to the CCEPP/NMG by the Lead Agency should be noted under this heading. If quarterly and/or annual reports will also be provided, this should also be detailed in this section.

The Lead Agency also has an obligation to provide a written report at each relevant meeting of the CCEPP which sets out the budgeted, committed and actual expenditure of the Response Plan. General acknowledgement of this reporting requirement should be noted in this section including the frequency with which these reports will be provided. This section should also refer to the *Accounting and reporting expenditure* section for further detail on financial reporting.

5.2.8.2 International notifications

This section should include details of notifications to trading partners and to the International Plant Protection Convention. This section is likely to require updating from the Response Plan for eradication as the status will change from the EPP being under eradication to, for example, being present in some areas.

5.2.9 Trigger points for Response Plan review

The Response Plan must clearly identify any relevant trigger points for the review of response activities and these should be informed by discussions of the CCEPP. Triggers should be formatted as a table in the Response Plan and include details on how these will be monitored. Triggers will be dependent on the Transition to Management aims/objectives and specific activities being undertaken.

Potential triggers may include:

- Key performance indicators or agreed milestones not being met.
- Financial triggers such as the point when expenditure is projected to exceed the agreed budget.
- Emergence of new knowledge (including science or technical advice) that impacts the Transition to Management aims/objectives.
- Any other events that may result in activities identified in the Response Plan no longer being considered appropriate or capable of achieving the agreed outcome.

5.2.10 Financial management of the Response Plan

The following section provides initial guidance on aspects of financial management of the Response Plan.

Note that further detail to guide the development of the indicative budget, including guidance on normal commitments and costs eligible for cost sharing, accounting and

reporting expenditure and cost claims processes will be provided in the guidance material being developed by PHA. The financial management section of this document will be reviewed following the development of this guidance material.

The content of the followings sub-sections will differ to the eradication stage of the response and will depend on the activities that are required for Transition to Management.

5.2.10.1 Indicative budget

The indicative budget needs to provide the Affected Parties with a clear and transparent indication of the costs of implementing the Response Plan. Sufficient detail must be provided to justify the costs being proposed for cost sharing. This detail should be provided in the form of text and supported by a table reflecting the indicative dollar amounts broken down into clearly defined and transparent categories.

The budget categories included in the Response Plan for eradication will not all be appropriate for inclusion in Transition to Management and additional and/or different categories will be required to transparently reflect the costs of Response Plan activities. For this reason, it is appropriate to provide a specific indicative budget for Transition to Management that is separate to the overall total budget across all iterations of the Response Plan. However, a total budget across all iterations (versions) of the Response Plan to date must also be provided to reflect the total cost of the response (cost shared and normal commitments).

The Transition to Management budget should be broken down into the following high level categories (with sub-categories within) and must include a break down into normal commitments and cost shared amounts:

- Salary and wages
- Operational costs

Within these 2 categories, include justification of the staffing and operational budget for overall management of the Response Plan and to deliver each Transition to Management activity. As an example only, relevant sub-categories within salary and wages and operational may include:

- Program management
- Communications and stakeholder engagement
- Information services
- Indicative estimates of salary and wages and operational costs required to undertake each specified Transition to management activity under relevant headings (e.g. development of National Management Plan, registration of chemicals, research projects etc).

Sufficient detail should be provided that demonstrates the basis upon which the figures have been calculated (e.g. full-time equivalents for personnel and their positions).

Note: If any costs associated with administering ORCS are still being incurred during Transition to Management (i.e. as ORC assessments for ORCs incurred during the Emergency Response Phase have not yet been completed), then the specific activities

and costs must be specified in the indicative budget (for example, assessor costs and Lead Agency administration).

5.2.10.2 Accounting and reporting expenditure

Response Plan expenditure report

The Lead Agency has an obligation under clause 12.2 of the EPPRD to provide a written report at each relevant meeting of the CCEPP in the form of schedule 10 which sets out the budgeted, committed and actual expenditure on the Response Plan. These should be provided to the NMG in a timely manner. General acknowledgement of this reporting requirement should be noted in this section including the frequency with which these reports will be provided (e.g. on every meeting of the CCEPP and NMG or another timeframe).

Accounting and cost claims processes

A statement should be included to indicate that cost claims coordination will be undertaken by PHA in accordance with the requirements of the EPPRD and that all Affected Parties must submit their cost claims quarterly to PHA in accordance with clause 12 of the EPPRD unless otherwise agreed by NMG. If requesting of NMG a different time frame, this should also be specified here.

5.2.10.3 Financial audit

As indicated in section 5.1.12.3, a statement must be included to indicate whether a financial audit is or is not required. If a financial audit is required, it should be acknowledged that a final audit report will be provided to all Affected Parties within 60 days of the Response Plan Completion Date (or such other date as agreed by the Affected Parties). The cost of the financial audit should be included in the operational section of the indicative budget.

5.2.11 Appendices

Any additional supporting information that is critical to the Response Plan, but too detailed or extensive to be included within the body of the Response Plan, may be included in an appendix.

When incorporating Transition to Management into the Response Plan, some appendices from earlier iterations of the document may no longer be appropriate for inclusion and should therefore be removed or updated.

Each separate appendix should be numbered and titled (e.g. *Appendix 1: Map of known areas of infestation*).