

1 Modelling plant health for policy

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9 Abstract

10 Plant health is relatively poorly funded compared to animal and human health issues.
11 However, we contend it is at least as complex and likely more so given the number of pests
12 and hosts and that outbreaks occur in poorly monitored open systems. Modelling is often
13 suggested as a method to better consider the threats to plant health to aid resource and time
14 poor decision makers in their prioritisation of responses. However, like other areas of science,
15 the modelling community has not always provided accessible and relevant solutions. We
16 describe some potential solutions to developing plant health models in conjunction with
17 decision makers based upon a recent example and illustrate how an increased emphasis on
18 plant health is slowly expanding the potential role of modelling in decision making. We place
19 the research in the Credibility, Relevance and Legitimacy (CRELE) framework and discuss
20 the implications for future developments in co-construction of policy-linked models.

21

22 1. Introduction

23

24 Pests and diseases have adversely affected humanity throughout the recorded history, either
25 directly through infection and infestation of our bodies, or indirectly by attacking animals and
26 plants. Pandemics, like the one caused by SARS-CoV-2 [1] and by Spanish influenza virus [2]
27 or animal disease outbreaks like 2001 Foot-and-mouth (FMD) epidemic in the UK [3]
28 understandably have received large attention. However, plant epidemics like the 1846 Irish
29 potato famine [4], the 1943 Bengal Famine [5] or the Ash dieback epidemic [6], clearly
30 demonstrate the interconnectedness between the health of humans, animals, plants and
31 ecosystems. Policy makers increasingly look to mathematical models to predict the invasion
32 and spread, to evaluate the economic, environmental and societal impact and to carry out the
33 cost-benefit analysis of possible control strategies [7].

34

35 The growing impacts of the of invasive plant pest and diseases introductions is well
36 documented [8]. There is a general view that that interventions to prevent or slow the spread
37 of plant pests and diseases have, for a variety of reasons, been too little and too late [9]. An

38 evaluation of the plant health regime in the European Union (EU) concluded that “*In*
39 *emergency situations, the limited support and lengthy decision-making process results in*
40 *measures being taken too slowly, too late.*” [10].

41

42 Plant health dynamics take place in a complex system of interacting environmental, social and
43 economic factors characterised by significant uncertainty across a large number of key system
44 variables [11, 12]. Analysis of plant health risks needs to account for such complexities to
45 inform decision and policy makers where success is invisible (environmental, social and
46 economic losses that do not occur). Invisible success can only be considered by the
47 application of tools that are able to create an ex-ante baseline – that state of the system where
48 the pest/disease is not present or where it is present but having lower impact due to mitigating
49 responses [9].

50

51 Rapidly expanding and changing trade pathways (e.g. numbers of products and volumes,
52 move to internet based trading) and changing trends (e.g. demand for large trees and novel
53 foods) provide opportunities for new pests and disease to enter and establish [e.g. 13-16]. It
54 has been estimated that 26,000 plant species have been introduced into the UK compared to
55 a native flora of 1,600 [17]. This provides a conveyor belt pathway for non-native pests and
56 disease. The damages that these can lead to are potentially significant: Hill et al [6] estimated
57 the damage caused by Ash dieback to the UK at £15bn, greater than the estimates of damage
58 due to FMD.

59

60 Despite this, plant health generally receives less funding than animal health [9] but the
61 “conveyor belt” and the scale of the damages are increasing pressure upon public sector
62 capacity and budgets for plant health management. Increasingly there has been a move to
63 prepare for likely incursions in order to reduce the risks and consequences of pest/disease
64 outbreaks occurring in the future [18]. Such analyses need to consider key elements of the
65 invasion and potential responses such as surveillance performance, prevalence when found,
66 subsequent rates of spread and the performance of eradication and control options. These
67 analyses are often undertaken with limited or poor data which partly relate to the relatively
68 small budgets available for plant health. The result is that there is normally significant
69 variability and uncertainty within the computationally complex analyses presenting a challenge
70 when integrating these models into the policy making process [7]. Dupre et al [19] highlight
71 the lack of involvement in the construction and use models that can form a major part of such
72 analyses. These difficulties are exacerbated when acknowledging that decision makers are
73 time pressured and seldom have the luxury of long-term research [7]. Often, they are tasked
74 with producing a response within hours, days or weeks. Such rapid action is necessary given

75 the small window of opportunity for eradication. As Hewitt et al [20] illustrate, decision makers
76 preferred and adopted a simple touchscreen application and not a more complicated, research
77 focussed spatial model. Further, Smetschka and Gaube [21] show that participatory modelling
78 allows the integration of the most relevant issues and for the co-development of scenarios and
79 strategies with stakeholders.

80
81 Scientific evidence can inform environmental decision making by considering ranges of
82 options and clarify the implications of choices. The science-policy interface literature
83 acknowledges the issues in bringing research into policy making [22]. Scientists bemoan the
84 lack of impact their research in policy and conversely policy makers lament the lack of context
85 and real-world insight [23, 24]. A common factor in the literature is the degree to which
86 scientific information is usable by policy which in itself is dependent on the perspective and
87 capacity of those involved. Usability is a factor of, for example, accessibility and transmission
88 of evidence, type of knowledge, evidence standards (including uncertainty), as well as the
89 degree to which it can lead to a response or action [24, 25] at an appropriate spatial or
90 temporal scale [26]. Barriers to the uptake of scientific evidence include organisation culture,
91 values and ethics, resources, and entrenched commitments. Facilitators of useable
92 knowledge include the co-production of knowledge [27, 28] and social learning [29].

93
94 Dun and Laing [30] like Cook et al [7] suggest that a key gap in this landscape is the lack of
95 consideration of the demand for information in addressing the needs of policy and decision
96 makers and how research and policy interact accounting for what policy makers themselves
97 value most in research. Dunn and Laing [30] consider the prominent contention that the key
98 attributes for effective knowledge to action are *credibility* (adequate, authoritative, trustworthy),
99 *relevance* (particularly in terms of spatial and temporal scales), and *legitimacy* (an unbiased
100 and respectful process). These attributes (often abbreviated to CRELE) are challenged by
101 Dunn and Laing [30] given a limited empirical verification. By conducting 72 structured
102 interviews with policy makers in the urban water sector, they found CRELE to be a poor
103 predictor of the concerns of policy makers over usability of research and that *applicability*,
104 *comprehensiveness*, *timing* and *accessibility* (ACTA) better summarise the concerns of policy
105 makers. This in effect increases the importance of relevance in the CRELE view. Whilst
106 credibility and legitimacy are of great importance to the scientist's world view, they are less
107 important outside the research environment. *Accessibility* refers to knowledge that is created
108 with the end user in mind, that avoids jargon and is communicated effectively.
109 *Comprehensiveness* recognises the broader interdisciplinary environment of the decision
110 maker and the need to contextualise ideas within a broad range of real-world considerations
111 including the economic and financial consequences. *Timing* acknowledges the cycles that

112 policy and business decision makers work within whereby windows of opportunity for action
113 need to be incorporated. Finally, *applicability* links the research to solutions to the problems
114 faced that guide implementation (not just concepts) that are tailored to the specific issue and
115 variables.

116 This view was prevalent in a recent project undertaken for UK plant health policy [31].
117 Amongst the objectives for the work were that it should be:

- 118 • flexible and transparent, be clear and simple to follow, and be readily updatable with
119 existing assessments as new evidence becomes available.
- 120 • responsive to time constraints facing decision-making

121 Whilst close engagement was not explicit in the brief, the above objectives chime closely with
122 elements of both the CRELE and ACTA frameworks, possibly more so for the latter. In the
123 following sections we describe some of the challenges of providing modelling for policy within
124 the plant health system, the policy challenges, the role of modelling and finish with potential
125 challenges and solutions.

126

127 2. Nature of the system

128

129 Although in many ways plant epidemiology is dealing with similar issues to veterinary or
130 medical sciences, there are substantial differences that in many respects make it more
131 challenging to predict and control. For an outbreak of plant epidemic to be initiated and for the
132 pest or pathogen to spread, a number of conditions need to be fulfilled. Van der Plank [32]
133 and Zadoks & Schein [33] summarised these conditions in the form of a disease triangle, with
134 corners comprised of Host, Pest and Environment [34]; this concept can be applied across all
135 fields of epidemiology and used to compare the different approaches. Firstly, in medical
136 epidemiology, there is only one primary host: the human being, whereas veterinary
137 epidemiology deals with a limited number of hosts, both domestic and wild animals. However,
138 only a few animal species are classed as important from a societal standpoint. For plants, the
139 situation is very different, as there is a large number of plant genera providing ecological or
140 agricultural services. The domesticated and wild hosts for the same plant pest are often found
141 in proximity to each other with high levels of cross-over. Although zoonotic disease, e.g. Ebola
142 [35] and wild/domesticated crossover, e.g. bTB in badgers and livestock [36], are important
143 in human and animal diseases, there are many more plant examples of that type [37, e.g.
144 wheat stem rust [38]. Secondly, the multiple plant and tree hosts are affected by a large
145 number of pests and pathogens, many of which have a broad range of hosts, e.g., *Xylella*
146 spp. is currently believed to have over 563 hosts, a number that has increased in the last few
147 years as more is learnt about the pest [39, 40]; the UK Plant Health Risk Register [41] currently
148 lists well over 1,000 threats, many of which are insects or fungal pathogens. Plant pests and

149 diseases are also more difficult to detect because of the lack of obvious symptoms and long
150 latent periods, and due to the sheer number and acreage of hosts (or large mixed species
151 area with randomly located hosts) that would need to be monitored. Finally, plant pests often
152 have complex life cycles driven by environmental conditions (e.g., temperature, rainfall) which
153 make it necessary to consider factors that otherwise are less relevant in human or animal
154 diseases.

155

156 Although some plant epidemics and pest outbreaks are indeed devastating and hence draw
157 the public and the politician attention (e.g. Ash dieback in the UK [6]), the general appreciation
158 of them is low. This is also partly because there are usually ways to substitute the market or
159 non-market services of plants or, for trees, the impact is over a long time period making the
160 impact less noticeable [6]. Thus, the outbreaks might draw less publicity and less effort is often
161 invested in surveillance or controlling movements, unlike strict controls that exist on movement
162 of livestock or companion animals. Imports are also less regulated, as it has been relatively
163 easy to source seeds and other plant material online [42, 43]. The lack of monitoring combined
164 with a number and area of hosts means that lower quality data are available, although this is
165 potentially changing with the advent of remote sensing [44 – 46].

166

167 Once the outbreak occurs, there are often fewer control options available [47], with destruction
168 or clear-felling often the only option. The loss of chemical control due to regulatory control and
169 increasing resistance [48] partly parallels the rise of Anti-Microbial Resistance (AMR) in
170 medical and veterinary medicine [49], but the scale of the problem is potentially larger. In many
171 cases there are no options but to adapt to the pest or pathogen once it becomes established,
172 even though there are substantial losses associated with this strategy. In the short term, this
173 strategy can be associated with “do nothing” option. However, many plant pests become fully
174 established once they arrive, leading to long term consequences which need to be accounted
175 for, but are highly uncertain, such as ash dieback leading to a potential collapse in the whole
176 ecosystem supported by the host [50].

177

178 The decision how, or indeed whether, to control is often to some extent driven by economic
179 considerations. The livestock losses are relatively easily quantifiable, although the impact of
180 the UK FMD outbreak on animal and farmer welfare and well-being has long been
181 underestimated [3]. The impacts of plant, and even more forest, pests and diseases are often
182 irreversible [51], as once a keystone species is lost, the whole ecosystem can collapse [50].
183 Although market impacts are important in the agricultural setting and in timber production,
184 plant pests often affect non-market ecosystem values [52, 53 and 12 for a comprehensive
185 review of the valuation literature on values associated with woodlands]. The estimation of

186 these is notoriously difficult but the inclusion in case of the Ash dieback epidemic in the UK
187 shows the scale is at least comparable with the FMD outbreak [6].

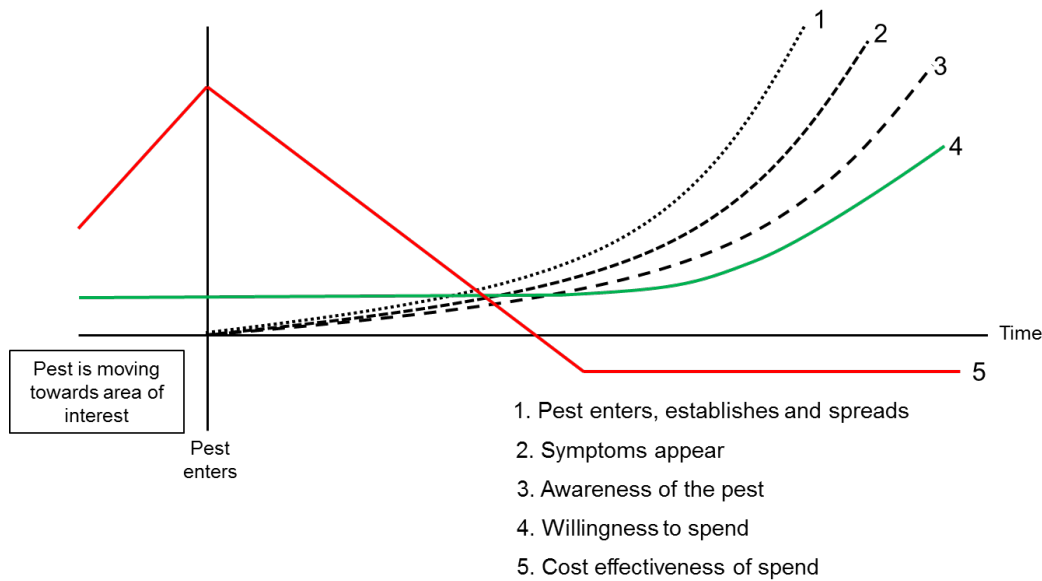
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189 3. Policy challenges

190

191 There is a strong economic argument (which includes estimates for non-market impacts) for
192 the public support of plant health policies, and this is now generally accepted at national level
193 decision making. However, it is not always easy to define success in terms of prevention or
194 control of diseases, as the consequences of “doing nothing” are not always apparent. This is
195 particularly difficult for plant and even more for forest pests, where such consequences might
196 only become apparent years or even decades after the initial incursion. The invisible (and
197 often slow) nature of success potentially leads to two effects: firstly, the under allocation of
198 resources to plant health; and secondly, the misallocation of resources within plant health.
199 The extent of these effects has not been quantified But Ward [9] provided a view on the cost-
200 effectiveness of the typical responses from those who manage plant pest and disease to a
201 new outbreak based upon decades of managing public plant health inspection resources in
202 the UK. Figure 1 shows a series of lagged steps that delay response to plant pests that lead
203 to less cost effectiveness solutions. Stakeholder response is reactive to events with
204 awareness of the problem and willingness to respond lagging entry, spread and symptoms.
205 The cost effectiveness illustrates the value of prevention and early detection as well as
206 implying (where it dips below the x-axis) that there is a point at which response options
207 (eradication and control should cease and that stakeholders should learn to live with the pest.
208 The cost effectiveness estimation is dependent upon knowledge of the multiple host-pest
209 system variables and uncertainties described above i.e. how to allocate scarce resources
210 when faced with multiple threats of differing probabilities of invasion and levels of impact.

211



212

Figure 1. Pest progression, willingness to respond, and cost effectiveness

213

214

Cook et al [7] highlight the often short timeframes available to decision makers (*ACTA – timing*), particularly during outbreaks. It is not uncommon for almost all decision support people to be time-pressured and they therefore require methods to estimate the benefits and costs of response options that can be delivered rapidly. Initial decisions need to account for potential economic, environmental and social impacts (*ACTA – comprehensiveness*) with the decision likely to be implemented under conditions of significant uncertainty. This speed reflects the limited window of opportunity for successful eradication. It also highlights the need for authorities to prepare for likely future pests by considering the major threats and conducting ex-ante analyses i.e. with respect to Figure 1, acting in time prior to the y-axis.

223

224

Biosecurity decision makers at a national level will likely have access to a number of in-house and external experts across a wide range of disciplines that are necessary to provide the wide range of inputs required for modelling plant health related scenarios. With respect to modelling, this poses the question as to the degree to which the policy leads are au fait with the modelling methods and the inherent shortcomings given the data available and the full range of uncertainties and gaps (*ACTA – applicability and accessibility*). Cook et al [7] suggest that “Public officials and community stakeholders charged with the responsibility of making these decisions are often naive about what science can and cannot say about complex systems. In these situations, policymakers tend to rely on a limited number of “heuristic principles” [54] to help them simplify the process of judgment”. Such heuristics might, for example, give greater weight to particular locations or to economic impacts over environmental. To this end it is important that such officials are aware of inherent limitations

235

236 implicit in modelling approaches in order to account for the uncertainties within the decision-
237 making process. This includes an awareness of how the decision might change as new
238 information becomes available and, potentially, a willingness to change the decision in this
239 light.

240

241 Jones [11] identifies a number of critical factors for determining policy response options.
242 These factors themselves involve a set of complex economic, social and environmental
243 interactions [55]:

244 • The prevalence of a pest when found is a function itself of the performance and
245 scale/scope of the detection system [56]. Relating this to the Ward diagram (Figure 1)
246 limited or poorly applied detection effort or asymptomatic characteristics make it more
247 likely that initial detection could be at a point where any action aimed at controlling the
248 pest is not cost effective and the response should be to adapt to its presence.

249 • The rate of spread of the pest/disease is a function of its own lifecycle and movement
250 capabilities as well as the degree to which human activities contribute.

251 • The impact of the pest on the host can vary from yield/quality reduction, to mortality
252 effects or morbidity effects that lead to mortality through other means. Knowledge of
253 the precise impacts of the pest/disease on ecosystem services is almost always
254 imperfect. As is the value of the host itself including the range of services it provides.
255 There are significant uncertainties in our understanding of how pest impacts lead to
256 changes in ecosystem services and consequently on human welfare.

257 • The efficacy of the policy response is also uncertain particularly with gaps in
258 information from the above factors. For example, movement restrictions may slow the
259 spread of pest associated with the plant trade, but it is very difficult to know whether
260 there will be full and or effective compliance or if some actors may simply elect to flout
261 the rules.

262 • The decision makers also engage with a wide range of stakeholders whose objectives
263 may be in conflict (*CRELE – credibility and legitimacy*). Stakeholders include:
264 agriculture, horticulture (food and ornamental crops), forestry, landscaping, and
265 management of parks & gardens (including local authorities); resulting in a complex
266 and heterogeneous set of private and public stakeholders. As pests move through the
267 landscape, different stakeholders with different knowledge and incentives come into
268 contact both with the pest and each other leading to an array of potential responses
269 that have implications for policy responses.

270

271 Thus, public decision makers have a particularly complex and difficult task when dealing with
272 plant health issues.

273

274 4. The application of modelling to policy

275

276 Mathematical modelling has a long history in addressing challenges presented by pest and
277 disease outbreaks [34], from predicting the temporal and spatial extend, through estimation of
278 losses to evaluation of control measures [7]. Increasingly, the modelling is linked with
279 economics and behavioural sciences [57], and actively used in policy making [7]. However,
280 too often such multidisciplinary research suffers from being conducted in separate silos, rather
281 than through a close interdisciplinary collaboration of the research team and inclusion of
282 stakeholders at each stage of the development; effort is needed to actively break such
283 barriers.

284

285 To illustrate the use of modelling within a plant health policy setting, here we describe a
286 decision support tool developed in Jones *et al.*[31] and (Kleczkowski *et al.*[58] to illustrate the
287 challenges and potential solutions to address them; similar tools have been described in [7].
288 The aim of these two projects was to provide a generalised (*ACTA – applicability*), transparent
289 (*ACTA – accessibility*), and quantified tool to estimate risks and impacts of plant and tree pests
290 and diseases and to estimate the role of climate change in the potential economic losses. The
291 tool allows comparing the cost-effectiveness of different response options. The framework
292 was also designed to enable decisions on whether or not to eradicate, contain or learn to live
293 with a problem.

294

295 Although not explicitly using the CRELE or ACTA frameworks, the brief addressed these
296 attributes by requiring that the decision support system to:

297

298 • Be a quantified framework that allows for economic, social, environmental, political,
299 technical and legal considerations (*CRELE - credibility, ACTA - comprehensiveness*);

300

301 • Include critical factors such as rate of spread, size of known distribution of threat;
302 social, environmental and economic 'value at risk'; sectoral / community
303 considerations; wider environmental threat posed by the threat; public acceptability of
304 control and management options; regulatory and legal context (*CRELE - Legitimacy,*
ACTA - applicability);

304

305 • Apply to a range of threats from the UK Plant Health Risk Register (*CRELE -*
Relevance, ACTA - timing);

306

307 • Be flexible and based on transparent assumptions, and be clear and simple to follow,
applicable to other threats and provide support to readily update existing assessments

308 as new evidence becomes available (*CRELE - Credibility, Legitimacy, ACTA -*
309 *accessibility*).

- 310 • Be responsive to the very different time constraints facing decision-making within the
311 scenarios of eradication, containment and management (*CRELE - Relevance, ACTA*
312 *- timing*).

313

314 We responded by constructing a framework which consists of three elements: (i) the
315 epidemiological model, (ii) the valuation and impact model, and (iii) the uncertainty evaluation.
316 Following intensive consultation with the stakeholders and a number of workshops at which
317 we presented different versions, the framework was implemented in R [59] using Shiny
318 package [60]. The close interaction with stakeholders and policy makers was designed to
319 ensure accessibility (addressing *Accessibility* in the ACTA framework) by involving them in co-
320 production of the system.

321

322 There exists the whole range of modelling approaches that can be used, depending on the
323 availability of data. For the decision support system to be accessible to a wide range of
324 stakeholders it needed to be user-friendly and simple while remaining as accurate and
325 powerful as possible (thus satisfying both *Comprehensiveness* and *Applicability* in the ACTA
326 framework while addressing *Credibility* and *Relevance* in CRELE). In particular, the model
327 structure needs to be adapted to the policy objectives and to the existing data; this will often
328 limit the choice of the model structure.

329

330 There exists a range of different models that could be used to predict the future of an outbreak;
331 for a current review see [34]. At one end of the scale there are simple Risk Assessment models
332 like those discussed in (Heikkilä J. , 2011) and (Leung, et al., 2012), which essentially follow
333 a semi-quantitative methodology by using an algorithm that combines scores given by
334 assessors to produce the overall risk and impact. Such approaches, whilst intuitively appealing
335 (e.g. UK Plant Health Risk Register), are essentially static and do not account for nonlinearities
336 inherent in epidemiological processes, like the invasion threshold described in terms of the
337 reproductive number (Kleczkowski et al, 2019b). At the other end, are the Agent Based Models
338 (ABMs) which attempt to represent individual dynamics of all relevant entities (either individual
339 plants or trees, or more likely, fields or forest patches). ABMs, while very successful in
340 predicting the course of a particular outbreak, have a limited generality as they are closely tied
341 up to a particular host distribution and pest properties. They also have high data demand,
342 which is not often possible, particularly in the plant health context. The choice of the model
343 needs also to be driven by the balance between *Comprehensiveness* and *Applicability* on one
344 hand and *Accessibility* and *Timing* on another. The first two of these factors originate in a

345 recognition that the real-life applications are complex and require multidisciplinary approach.
346 This often leads to inclusion of too many processes which cannot be readily and
347 comprehensively parameterised within the time frame of the project. At the same time, the
348 model needs to capture the essential features of the process.

349 For pest and disease support [61] and [62] recommend that the main components of the model
350 are (a) entry, (b) establishment, (c) spread and (d) impact (economic, social and
351 environmental), with the considerations in terms of the probability of each step [7]. The model
352 consisted of six elements [58]: (i) the epidemiology module describing spread, (ii) the pest
353 arrival (entry) module, (iii) the control module, (iv) the economic module addressing the
354 impact, (v) the weather and climate module, and (vi) the reporting module.

355
356 The model is described in detail in [31] and [58]. Similar to Cook et al. [7], we found that a
357 metapopulation approach is often an appropriate selection in a situation when data are limited.
358 In this approach, the region is subdivided into discrete units but the host and pest distributions
359 within each region are irrelevant. The area of infestation in our model follows a Susceptible-
360 Infected/Infested-Removed/Dead model [58] in each region, with cross-infestation
361 representing either focal expansion or establishment of new foci [7]. Conversely, reduction in
362 cross-infestation between regions can be interpreted as a prevention strategy; given the
363 constraints of the project we assumed that the pest is already present in one part of the region.
364 This assumption has been relaxed in subsequent developments of the model [58].

365
366 The modelling approach was a compromise between the need to capture key elements of the
367 spread and the lack of detailed data and information. For example, spread within the
368 subpopulation was assumed to be homogenous and the model did not include any spatial
369 heterogeneity on the economic side. The population age structure was assumed to be
370 constant. Although the key advantage of the model was the explicit inclusion of uncertainty in
371 the parameters for spread and values at risk, there was no inclusion of the demographic
372 stochasticity. Finally, the model did not explicitly include cryptic and latent classes.

373
374 The model was parameterised using a combination of literature search, expert elicitation
375 (including expert workshops) and rigorous parameter estimation. The exact arrival point and
376 timing of the pest is usually unknown and can span years if not decades, particularly for tree
377 pests. Areas and locations of host are often well established, although the role of trees outside
378 woodlands or volunteer plants in facilitating spread is not clear. The rates of pest or pathogen
379 spread can often be obtained from other studies or by fitting the model to existing data. Both
380 approaches are not without problems. Papers reporting values are mostly for different
381 locations and climatic conditions and some are for different sub-species; this is particularly

382 difficult for rare or novel pests. The values are often model-dependent and, as different studies
383 use different models, the results might not be transferable. Data are difficult to obtain and are
384 often biased by observational effort. The estimation of the spread is therefore characterised
385 by large uncertainties, structural (e.g. different models), systematic (e.g. under-reporting or
386 different hosts) and random.

387

388 We found that the impact of pests or pathogens on values is even less established. The
389 efficacy of control beyond clear-felling is highly unknown for many forest pests and for
390 agricultural pests there is an added complication of loss of chemical control and rise of
391 resistance. Although there are general estimates of the market and non-market values [64],
392 values of losses due to infestation or infection are much less well established (see [6]). So,
393 whilst there are methods available to estimate non-market impacts, they are currently not
394 sufficient to be able to apply to broad policy questions beyond the rather old Willis *et al.* [64]
395 estimates (which are the main input to the estimates used in Defra's Tree Health Resilience
396 Strategy, [63]). The non-market valuation estimates available do not fully account for the
397 potential range of possible lost values. Some impacts will be currently unquantifiable (e.g.
398 shared values, health and well-being) but might be dominating the discourse.

399

400 One of the key elements of any decision support systems for plant or tree health is the need
401 to account of multiple sources of uncertainty. Analysts can be encouraged to perform
402 sensitivity analysis in order to assess how future uncertainties can affect the choice between
403 the control policy options and deciding whether any is preferable to "do nothing". Another key
404 factor in ensuring the successful construction and uptake of the model is the iterative and
405 adaptive nature of the design development. For example, we found the model to be better
406 suited not to be used directly to make the decision but instead to be used to provide
407 information to decision makers in evaluation of scenarios. This type of use requires the joint
408 construction of a narrative by direct and indirect users with assistance of modellers. This
409 underscores the importance of the *Relevance* in the CRELE framework in the process of
410 balancing the *Credibility* and *Legitimacy* (essential to the scientific aspect of the modelling)
411 with *Relevance* as captured by the ACTA framework (a key to usability of research).

412

413 Given the balance of assumptions and scope of such decision support tools, we feel that they
414 could be used (i) to answer broad questions concerning the future threats of different pests
415 and pathogens in relative terms, (ii) to explore initial feasibility options for the scale of control
416 necessary for a specific well-documented pest/pathogen, (iii) to provide rapid, early stage
417 assessment of the likely impact of certain pests and pathogens, and (iv) to engage with
418 stakeholders to illustrate the effects of control strategies and climate change.

419

420 This approach should be treated as part of a larger framework, combined with risk analysis
421 approaches that broadly to identify key pests and diseases. In turn, the middle-range generic
422 models – as discussed here – can provide rapid early stage evaluation or to answer broad
423 questions about the long-term behaviour. Subsequently, for detailed management advice for
424 a specific pest or pathogen, a bespoke epidemiological model should be developed and
425 carefully parameterised.

426

427 5. Solutions and challenges

428

429 In 2012 Ash dieback was detected for the first time in the UK. This devastating disease of ash
430 had a significant impact on the future direction of plant health in the UK with a Tree Health
431 and Plant Biosecurity Expert Taskforce. Amongst its recommendations in the final report
432 (Defra, 2013) were a group relating to plant pest and pathogen modelling:

- 433 • Capacity to model the spread of different pests and pathogens to predict their rate of
434 spread, the effectiveness of different control measures, and to identify key epidemiological
435 parameters and hence prioritise research needs;
- 436 • Models should be developed in advance for specific known threats while generic
437 models should be available as the basis for studying novel threats (*ACTA – timing*);
- 438 • Models should be open to examination and testing by the research community and
439 be as transparent as possible to all stakeholders (*ACTA – accessibility*);
- 440 • Models should be refined and updated based on field verification data obtained
441 whilst dealing with new or established pests and pathogens; and
- 442 • Ecological and epidemiological models should be constructed so that, according to
443 the problem, they can be easily linked to diverse models of economic and social
444 drivers and responses (*ACTA – applicability*)

445

446 There has been movement to varying degrees across all these recommendations. ADB meant
447 that plant health, and tree health in particular, moved up the policy agenda in the UK to the
448 extent it is now directly incorporated in the stated priorities of the responsible Government
449 department. This increased awareness and focus on plant health can be seen, for example,
450 in the range of UKRI calls, the development of preparedness plans for high priority pests (e.g.
451 *Xylella fastidiosa* and Emerald Ash Borer). These have increased the number of academics
452 familiar with different aspects of the subject matter. Further, Defra has constructed a plant
453 health modelling framework which now has three or four academic based consortia that will
454 respond to rapid calls for research into different policy issues. However, the expansion of
455 modellers familiar with this space has not increased significantly. These calls and frameworks,

456 in combination with the development of pest specific preparedness boards and the model
457 described in section 4, allows for the development of models in advance of threats being
458 realised.

459

460 Of particular note from our experience when modelling plant health outbreak scenarios with
461 Government officials responsible for developing response options was the degree to which
462 discussion around the model assisted in understanding of the importance of evidence gaps
463 and how these gaps translated into wide ranges in outcomes and therefore possible policy
464 success. This would appear to support the Dunn & Laing [30] perspective that relevant
465 scientific research and modelling (it needs to be applicable, comprehensive, timely and
466 accessible) is crucial for it to have traction/impact in policy development.

467

468 The model in section 4 also illustrates movement towards transparency with the model code
469 being shared. Data remains a problem. The relatively limited funding for plant health reduces
470 the data that can be collected and the data that does exist is often difficult to extract or obtain.
471 To our knowledge, the model described in section 4 remains a somewhat rare example of a
472 model linked to economic and social impacts. Attempts to link drivers of outbreaks remains
473 an under researched area.

474

475 Conclusions

476 Models can only have an impact if decision makers account for their outputs in maintaining or
477 changing a position. Decision makers are time poor and cannot be expected to be able to
478 assimilate all the potential interactions within a complex system. Thus, model developers
479 need to recognise trade-offs between addressing complexity inherent in the policy question
480 and producing tools that will inform decision makers. Co-design principles can begin to
481 overcome some of the barriers to the wider use of models in decision making. However, it is
482 not just about using the models. It is also about creating shared understanding of a wider set
483 of factors: providing insights to decision makers on the effects of uncertainty in key parameters
484 on model outcomes (and how that might effect changes in decisions) as well as the range of
485 factors that are missing from the models e.g. political risks including social acceptability of the
486 decision. Elements of both the CRELE and ACTA frameworks were apparent in the case
487 study presented.

488

489 The recent outbreak of COVID-19 further illustrates the importance of the role of modelling in
490 policy making and the stakeholders and indeed general public trust in such models [66, 67]. It
491 is too early yet to evaluate the direct impact of the pandemic on plant health but COVID
492 measures could lead to reduced trade and travel [68] thereby lower the risk of plant pests and

493 diseases through trade. On the other hand, it could lead to reduced government budgets for
494 inspections and surveillance and so increase the risk.

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